

### Request for Records Disposition Authority

Records Schedule Number: DAA-0286-2012-0003  
Schedule Status: Returned Without Action  
Agency or Establishment: Agency for International Development  
Record Group / Scheduling Group: Records of the Agency for International Development  
Records Schedule Applies to: Agency-wide  
Schedule Subject: Part 2 of 10 of the USAID Washington Disposition Schedule. Records of the Administrator and Assistant Administrator, Continuation of the Records Common to Most Offices and Private Enterprise Records.  
Internal agency concurrence to be provided: No

Background Information

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 0                                 | 0                                     | 0                                     | 19                                    |

GAO Approval

**Returned Without Action**

### Outline of Records Schedule Items for DAA-0286-2012-0003

| Sequence Number |   |
|-----------------|---|
| 1               | Records of the Administrator and Assistant Administrator  |
| 1.1             | General Subject Correspondence Files<br>Disposition Authority Number: DAA-0286-2012-0003-0001             |
| 1.2             | Chronological Files<br>Disposition Authority Number: DAA-0286-2012-0003-0002                              |
| 1.3             | Schedule of Daily Activities<br>Disposition Authority Number: DAA-0286-2012-0003-0003                     |
| 2               | Continuation of Records Common to Most Offices  |
| 2.1             | Program (non-project) Procurement Files<br>Disposition Authority Number: DAA-0286-2012-0003-0004          |
| 2.2             | Schedules of Daily Activities   |
| 2.2.1           | Records Containing Substantive Information<br>Disposition Authority Number: DAA-0286-2012-0003-0005       |
| 2.3             | Research Studies Files  |
| 2.3.1           | Final Reports<br>Disposition Authority Number: DAA-0286-2012-0003-0006                                    |
| 2.3.2           | Back-up Material<br>Disposition Authority Number: DAA-0286-2012-0003-0007                                 |
| 2.4             | Audit Report Files<br>Disposition Authority Number: DAA-0286-2012-0003-0008                               |
| 2.5             | Publications File   |
| 2.5.1           | Record Copies of Publications   |
| 2.5.1.1         | In-House Publications<br>Disposition Authority Number: DAA-0286-2012-0003-0009                            |
| 2.5.1.2         | Publications Prepared Under Grants and Contracts<br>Disposition Authority Number: DAA-0286-2012-0003-0010 |
| 3               | Private Enterprise (Pre) Records  |
| 3.1             | Private Enterprise Project Files  |
| 3.1.1           | Published or Unpublished Reports<br>Disposition Authority Number: DAA-0286-2012-0003-0011                 |
| 3.1.2           | All Other Project Records<br>Disposition Authority Number: DAA-0286-2012-0003-0012                        |
| 3.2             | Status Reports on Loans<br>Disposition Authority Number: DAA-0286-2012-0003-0013                          |

Returned Without Action

- 3.3 Unsuccessful Investment Opportunity Proposals  
Disposition Authority Number: DAA-0286-2012-0003-0014
- 3.4 Company Correspondence Files  
Disposition Authority Number: DAA-0286-2012-0003-0015
- 3.5 Housing and Urban Development Project Files
- 3.5.1 Basic Contractual Documents and Related Materials  
Disposition Authority Number: DAA-0286-2012-0003-0016
- 3.5.2 Inspection Reports on Housing Construction  
Disposition Authority Number: DAA-0286-2012-0003-0017
- 3.5.3 General Correspondence  
Disposition Authority Number: DAA-0286-2012-0003-0018
- 3.6 Studies and Reports on Shelter Activities and Housing Guaranty Programs  
Disposition Authority Number: DAA-0286-2012-0003-0019

**Returned Without Action**

Records Schedule Items

| Sequence Number |   |
|-----------------|---|
| 1               | Records of the Administrator and Assistant Administrator  |
| 1.1             | General Subject Correspondence Files  |
|                 | Disposition Authority Number DAA-0286-2012-0003-0001  |
|                 | Letters, memoranda, studies, reports, forms and other data documenting and/or implementing plans, policies, procedures, accomplishments, opinions, and decisions pertaining to USAID program and staff activities. Arrange by subject/ name/country as appropriate. |
|                 | Final Disposition Permanent   |
|                 | Item Status Withdrawn   |
|                 | Is this item media neutral? Yes   |
|                 | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No  |
|                 | GRS or Superseded Authority Citation DAA-0286-86-001/02010  |
|                 | Disposition Instruction   |
|                 | Cutoff Instruction Cutoff when file is complete.  |
|                 | Transfer to Inactive Storage Hold in records management application for 8 years.  |
|                 | Transfer to the National Archives for Accessioning Transfer to the National Archives 8 year(s) after cutoff.  |
|                 | Additional Information  |
|                 | What will be the date span of the initial transfer of records to the National Archives? Unknown<br>N/A  |
|                 | How frequently will your agency transfer these records to the National Archives? Unknown<br>N/A   |
| 1.2             | Chronological Files   |
|                 | Disposition Authority Number DAA-0286-2012-0003-0002  |

Returned Without Action

Files consisting of extra copies of letters, memoranda, and other communications media. Files are normally maintained by date of issuance and are kept, for the most part, as "easy reference" files.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-286-86-001/02020

Disposition Instruction

Cutoff Instruction Cutoff annually by fiscal year.

Transfer to Inactive Storage Retain in office files or records management application

Retention Period Destroy 1 year(s) after cutoff or when no longer needed for reference occurs, whichever is sooner

Additional Information

GAO Approval Not Required

Schedule of Daily Activities

Disposition Authority Number DAA-0286-2012-0003-0003

Records containing substantive information relating to the official activities of high-level officials, the substance of which has been incorporated into memoranda, reports, correspondence, or other records included in official USAID files. High-level officials include the Administrator, Deputy Administrator, the Assistant Administrators, and the Directors of Offices that report directly to the Administrator or his Deputy, and staff assistants to these aforementioned officials, such as special assistants, confidential assistants, and administrative assistants.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-286-86-001/02030

Returned Without Action

1.3

Disposition Instruction

Cutoff Instruction

Cutoff annually, by calendar year.

Transfer to Inactive Storage

Retain in office files or records management application.

Retention Period

Destroy 1 year(s) after cutoff or when no longer needed occurs, whichever is sooner

Additional Information

GAO Approval

Not Required

2

Continuation of Records Common to Most Offices

2.1

Program (non-project) Procurement Files

Disposition Authority Number DAA-0286-2012-0003-0004

Case files of grants and loan agreements on cash transfer or commodity import activities consisting of such records as agreements, implementation letters, action memos, program assistance papers, and related documents and correspondence pertaining to program assistance transactions.

Final Disposition

Temporary

Item Status

Withdrawn

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

No

GRS or Superseded Authority Citation

N1-286-86-001/0310

Disposition Instruction

Cutoff Instruction

Cutoff after loan has been fully repaid (maximum of 40 years).

Retention Period

Destroy 1 year(s) after cutoff

Additional Information

GAO Approval

Not Required

2.2

Schedules of Daily Activities

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and activities of Federal employees

2.2.1

Records Containing Substantive Information

Disposition Authority Number DAA-0286-2012-0003-0005

Records containing substantive information relating to the official activities of high-level officials, the substance of which has been incorporated into memoranda, reports, correspondence, or other records included in official USAID files. High-level officials include the Administrator, Deputy Administrator, the Assistant Administrators, and the Directors of Offices that report directly to the Administrator or his Deputy, and staff assistants to these aforementioned officials, such as special assistants, confidential assistants, and administrative assistants.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-286-86-001/01320

Disposition Instruction

Cutoff Instruction Cutoff annually at the end of the calendar year.

Retention Period Destroy 1 year(s) after cutoff or when no longer needed occurs, whichever is sooner

Additional Information

GAO Approval Not Required

2.3

Research Studies Files

Social and Economic Studies files prepared by USAID staff or by outside contractors (individuals or institutions), including periodic progress reports, correspondence, and final reports.

2.3.1

Final Reports

Disposition Authority Number DAA-0286-2012-0003-0006

Final reports of studies not described elsewhere in this schedule.

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-286-86-001/01350

Disposition Instruction

Cutoff Instruction Cutoff annually by fiscal year.

Transfer to Inactive Storage Hold in records management application.

Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks when most recent report is 10 years old.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown  
N/A

How frequently will your agency transfer these records to the National Archives? Unknown  
N/A

2.3.2

**Back-up Material**

Disposition Authority Number DAA-0286-2012-0003-0007

Copies of progress reports and correspondence.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-286-86-001/01360

**Disposition Instruction**

Cutoff Instruction Cutoff after final report is submitted.

Transfer to Inactive Storage Hold in office or records management application.

Retention Period Destroy 3 year(s) after cutoff

**Additional Information**

GAO Approval Not Required

2.4

**Audit Report Files**

Disposition Authority Number DAA-0286-2012-0003-0008

Returned Without Action



Copies of Inspector General and General Accounting Office audit reports and relating correspondence maintained by individual offices where audits occurred.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-286-86-001/01380

Disposition Instruction

Cutoff Instruction Cutoff annually by the fiscal year that the audit report was completed.

Transfer to Inactive Storage Hold in office or records management application.

Retention Period Destroy 1 year(s) after all audit exceptions noted in reports have been resolved.

Additional Information

GAO Approval Not Required

2.5

Publications File

2.5.1

Record Copies of Publications

Maintained by the office responsible for the publication. These consist of books, pamphlets, booklets, formal reports and papers, studies, etc. prepared by or for the Agency.

2.5.1.1

In-House Publications

Disposition Authority Number DAA-0286-2012-0003-0009

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-286-86-001/01390

Disposition Instruction

Cutoff Instruction Cutoff annually by fiscal year.  
Transfer to Inactive Storage Hold in records management application for 3 years.  
Transfer to the National Archives for Accessioning Transfer to National Archives in 5 year blocks when most recent record is 10 years old.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown  
N/A  
How frequently will your agency transfer these records to the National Archives? Unknown  
N/A

2.5.1.2

Publications Prepared Under Grants and Contracts

Disposition Authority Number DAA-0286-2012-0003-0010

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-286-86-00101400

Disposition Instruction

Cutoff Instruction Cutoff annually by fiscal year.  
Transfer to Inactive Storage Hold in records management application for 3 years.  
Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks when most recent record is 10 years old.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown  
N/A  
How frequently will your agency transfer these records to the National Archives? Unknown  
N/A

Returned Without Action

3 Private Enterprise (Pre) Records  
3.1 Private Enterprise Project Files  
Files consisting of documentation pertaining to the management of grants, contracts, loans, and cooperative agreements between the USAID and the U.S. private sector. Files include, but are not limited to, copies of proposals, applications, project authorizations, loan and grant agreements, contracts, interim project progress reports, Public International Organizations, etc., and related correspondence.

3.1.1 Published or Unpublished Reports

Disposition Authority Number DAA-0286-2012-0003-0011

(Exclusive of interim project progress reports), project concept papers; and any other final project product.

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than mail and word processing? No

GRS or Superseded Authority Citation N1 286-86-001/07010

Disposition Instruction

Cutoff Instruction Cutoff at the close of project.

Transfer to Inactive Storage Hold in office or records management application.

Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks when most recent records are 10 years old.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown  
N/A

How frequently will your agency transfer these records to the National Archives? Unknown  
N/A

3.1.2 All Other Project Records

Disposition Authority Number DAA-0286-2012-0003-0012

All contributing documenting that helped to complete of the final report.

|  |   |
|--|---|
| Final Disposition  | Temporary   |
| Item Status  | Withdrawn   |
| Is this item media neutral?  | Yes   |
| Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?  | No  |
| GRS or Superseded Authority Citation   | N1-286-86-001/07020                               |
| Disposition Instruction  |   |
| Cutoff Instruction   | Cut off when project is completed.                |
| Transfer to Inactive Storage   | Hold in office or records management application. |
| Retention Period   | Destroy 8 year(s) after cutoff.                   |
| Additional Information   |   |
| GAO Approval   | Not Required                                      |
| Status Reports on Loans  |   |
| Disposition Authority Number   | DAA-0286-2012-0003-0013                           |
| Reports on private sector initiative loans showing disbursements, payments progress, etc., on status of outstanding loans. |   |
| Final Disposition  | Temporary   |
| Item Status  | Withdrawn   |
| Is this item media neutral?  | Yes   |
| Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?  | No  |
| GRS or Superseded Authority Citation   | N1-286-86-001/07030                               |
| Disposition Instruction  |   |
| Cutoff Instruction   | Cutoff annually by fiscal year.                   |
| Transfer to Inactive Storage   | Hold in office or records management application. |
| Retention Period   | Destroy 1 year(s) after cutoff                    |
| Additional Information   |   |
| GAO Approval   | Not Required                                      |
| Unsuccessful Investment Opportunity Proposals  |   |

3.2

3.3

Disposition Authority Number DAA-0286-2012-0003-0014

Proposals from businesses that do not result in a loan.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-286-86-001/07040

Disposition Instruction

Cutoff Instruction Cut off when proposal is withdrawn or denied.

Transfer to Inactive Storage Hold in office or records management application.

Retention Period Destroy 2 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Company Correspondence Files

Disposition Authority Number DAA-0286-2012-0003-0015

General correspondence between the USAID and enterprises in the private sector on all aspects of the Agency program for encouraging the participation of the U.S. private sector in financial transactions that can accelerate the development process overseas.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-286-86-001/07050

Disposition Instruction

Cutoff Instruction Cutoff annually by fiscal year.

Transfer to Inactive Storage Hold in office or records management application.

Retention Period Destroy 2 year(s) after cutoff.

3.4

**Returned Without Action**

|       |  |   |
|-------|--|---|
|       | Additional Information   |   |
|       | GAO Approval   | Not Required                                      |
| 3.5   | <b>Housing and Urban Development Project Files</b><br>Case files on housing construction under the USAID Housing Guaranty Program. Files include, but are not limited to, guarantee and loan agreements, implementation agreements, cost schedules, progress reports, inspection and evaluation reports, and related correspondence. |   |
| 3.5.1 | <b>Basic Contractual Documents and Related Materials</b>   |   |
|       | Disposition Authority Number   | DAA-0286-2012-0003-0016                           |
|       | Final Disposition  | Temporary   |
|       | Item Status  | Withdrawn   |
|       | Is this item media neutral?  | Yes   |
|       | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?  | No  |
|       | GRS or Superseded Authority Citation   | N1-286-86-001/07060                               |
|       | <b>Disposition Instruction</b>   |   |
|       | Cutoff Instruction   | Cut off when loan is paid.                        |
|       | Transfer to Inactive Storage   | Hold in office or records management application. |
|       | Retention Period   | Destroy 3 year(s) after cutoff.                   |
|       | Additional Information   |   |
|       | GAO Approval   | Not Required                                      |
| 3.5.2 | <b>Inspection Reports on Housing Construction</b>  |   |
|       | Disposition Authority Number   | DAA-0286-2012-0003-0017                           |
|       | Final Disposition  | Temporary   |
|       | Item Status  | Withdrawn   |
|       | Is this item media neutral?  | Yes   |
|       | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?  | No  |
|       | GRS or Superseded Authority Citation   | N1-286-86-001/07070                               |

**Returned Without Action**

Disposition Instruction

Cutoff Instruction

Cut off when construction is completed.

Transfer to Inactive Storage

Hold in office or records management application.

Retention Period

Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval

Not Required

3.5.3

General Correspondence

Disposition Authority Number

DAA-0286-2012-0003-0018

Final Disposition

Temporary

Item Status

Withdrawn

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

No

GRS or Superseded Authority Citation

N1-286-86-001/07080

Disposition Instruction

Cutoff Instruction

Cutoff annually by fiscal year.

Transfer to Inactive Storage

Hold in office or records management application.

Retention Period

Destroy 2 year(s) after cutoff.

Additional Information

GAO Approval

Not Required

3.6

Studies and Reports on Shelter Activities and Housing Guaranty Programs

Disposition Authority Number

DAA-0286-2012-0003-0019

Studies and reports on various aspects on the USAID worldwide shelter sector activities, including the Housing Guaranty Program. Arranged by subject.

Final Disposition

Permanent

Item Status

Withdrawn

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

No

|   |   |
|---|---|
| GRS or Superseded Authority Citation  | N1-286-86-001/07090   |
| Disposition Instruction   |   |
| Cutoff Instruction  | Cutoff annually by fiscal year.   |
| Transfer to Inactive Storage  | Hold in office or records management application.   |
| Transfer to the National Archives for Accessioning                                      | Transfer to the National Archives in 5 year blocks when most recent record is 10 years old. |
| Additional Information  |   |
| What will be the date span of the initial transfer of records to the National Archives? | Unknown<br>N/A  |
| How frequently will your agency transfer these records to the National Archives?        | Unknown<br>N/A  |

**Retained Without Action**



### Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

### Signatory Information

| Date       | Action                    | By           | Title                      | Organization  |
|------------|---------------------------|--------------|----------------------------|---|
| 12/12/2012 | Certify                   | Lynn Winston | Agency REcords Off<br>icer | USAID - MMSIRD  |
| 03/10/2014 | Return Without Ac<br>tion | Darryl Byrd  | Appraisal Archivist        | National Archives and<br>Records Administration<br>- Records Management<br>Services |

**Returned Without Action**