

Request for Records Disposition Authority

Records Schedule Number: DAA-0286-2012-0008
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 6 of 10 of the USAID Washington Disposition Schedule.
Legislative and Legal Affairs Records, and Security and Inspector General Records
Internal agency concurrence will 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
11	1	0	0

GAO Approval

Returned Without Action

Outline of Records Schedule Items for DAA-0286-2012-0008

Sequence Number	
1	Legislative and Legal Affairs Records
1.1	Congressional Correspondence Files
1.1.1	Documents Containing Policy Disposition Authority Number: DAA-0286-2012-0008-0001
1.1.2	All Other Routine Correspondence Disposition Authority Number: DAA-0286-2012-0008-0002
1.2	Correspondence Briefs Disposition Authority Number: DAA-0286-2012-0008-0003
1.3	Committee Hearing Records Disposition Authority Number: DAA-0286-2012-0008-0004
1.4	Litigation and Enforcement Case Files Disposition Authority Number: DAA-0286-2012-0008-0005
1.5	Legal Opinions and Decisions Files
1.5.1	Original Files Disposition Authority Number: DAA-0286-2012-0008-0006
2	Security and Inspector General Records
2.1	Security Files
2.1.1	Contractor Security Clearance Files
2.1.2	Investigators' Working Files Disposition Authority Number: DAA-0286-2012-0008-0010
2.2	Investigations, Inspections, and Audit Files
2.2.1	Official Office of Inspections and Investigations (OI II) Case Files Disposition Authority Number: DAA-0286-2012-0008-0011
2.2.2	Audit Reports File Disposition Authority Number: DAA-0286-2012-0008-0012
2.2.3	Audit Recommendation Files Disposition Authority Number: DAA-0286-2012-0008-0013
2.2.4	Program Subject Files Disposition Authority Number: DAA-0286-2012-0008-0014

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Records Schedule Items

Sequence Number	
1	Legislative and Legal Affairs Records
1.1	Congressional Correspondence Files Correspondence between the Agency and members of Congress and signed by the Administrator, his Deputy, or the Director of Legislative and Public Affairs. Arrange alphabetically by the name of the Congressional member.
1.1.1	Documents Containing Policy Disposition Authority Number: DAA-0286-2012-0008-0001 Paper containing policy and precedent and requiring research which documents relations with Congress. Final Disposition: Temporary Item Status: Pending 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: N1-286-86-001/06010 Disposition Instruction: Cutoff Instruction: Cutoff annually by fiscal year. Transfer to Inactive Storage: Hold in office or records management application. Retention Period: Destroy 13 year(s) after cutoff. Additional Information: GAO Approval: Not Required
1.1.2	All Other Routine Correspondence Disposition Authority Number: DAA-0286-2012-0008-0002 All other routine correspondence between the Agency and members of Congress. Final Disposition: Temporary Item Status: Pending Is this item media neutral? Yes Do any of the records covered by this item currently exist in

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1.2

electronic format(s) other than e-mail and word processing?
GRS or Superseded Authority Citation N1-286-86-001/06020
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

Correspondence Briefs

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

Briefs or drafts of letters to members of Congress prepared by the Office of Legislative and Public Affairs.

Final Disposition Temporary

Item Status Pending

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 N1-286-86-001/06020

Disposition Instruction

Cutoff Instruction Cutoff annually by fiscal year.

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

Retention Period Destroy when no longer needed

Additional Information

GAO Approval Not Required

1.3

Committee Hearing Records

Disposition Authority Number DAA-0286-2012-0008-0004

Copies of committee reports and Congressional hearings.

Final Disposition Temporary

Item Status Pending

1.4	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	N1-286-86-001/06040
	Disposition Instruction	
	Cutoff Instruction	Cutoff annually by fiscal year.
	Transfer to Inactive Storage	Hold in office or records management application.
	Retention Period	Destroy when no longer needed
	Additional Information	
	GAO Approval	Not Required
	Litigation and Enforcement Case Files	
1.5	Disposition Authority Number	DAA-0286-2012-0008-0005
	Case files containing documents containing information on all dispute matters where USAID is involved, such as contract disputes, civil or criminal litigation, etc. Files also containing legal information, in the form of advice, furnished to the Inspector General's office in the conduct of their investigations.	
	Final Disposition	Temporary
	Item Status	Pending
	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	N1-286-86-001/06050
	Disposition Instruction	
	Cutoff Instruction	Cutoff file when case is closed.
	Transfer to Inactive Storage	Hold in office or records management application.
Retention Period	Destroy 11 year(s) after case is closed.	
Additional Information		
GAO Approval	Not Required	
Legal Opinions and Decisions Files		

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1.5.1

Files of legal opinions on law and Executive Orders as a result of requests from USAID offices on any matter requiring interpretation of Federal or other law. Files include requests for advice, formal legal opinion and decisions, and related correspondence.

Original Files

Disposition Authority Number DAA-0286-2012-0008-0006

Original legal opinions or decisions files. This also includes all legacy formats for these files.

Final Disposition Permanent

Item Status Pending

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? Yes

Do any of the records covered by this item exist as structured electronic data? No

GRS or Superseded Authority Citation N1-286-86-001/06070

Citation N1-286-86-001/06080

Disposition Instruction

Cutoff Instruction Cutoff when case is closed.

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

Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks when most recent records 20 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

Security and Inspector General Records

2.1

Security Files

2.1.1

Contractor Security Clearance Files

2.1.2

Files of institutions and organizations performing work for the Agency, under contract, which require an approval before having access to government facilities or to sensitive data.

Investigators' Working Files

Disposition Authority Number DAA-0286-2012-0008-0010

These files are used as reference material by the investigators in preparation of cases. Files may contain extra copies of memos, letters, drafts, reports, telegrams, and other personal notes. The official documentation is maintained in the Office of Security official files.

Final Disposition Temporary

Item Status Pending

Is this item media neutral? Yes

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

GRS or Superseded Authority Citation N1-286-86-001/19100

Disposition Instruction

Cutoff Instruction Cutoff annually by fiscal year.

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

Retention Period Destroy when no longer needed

Additional Information

GAO Approval Not Required

2.2

Investigations, Inspections, and Audit Files

2.2.1

Official Office of Inspections and Investigations (IG/II) Case Files

Disposition Authority Number DAA-0286-2012-0008-0011

This series documents the official inspection and investigation cases of the Office of Investigations and Inspections. The files contain reports of investigations and inspections, including violations of Title 18 (Crime and Criminal Procedure) and or other criminal or civil matters affecting the United States, possible violations of USAID regulations, and other related documents.

Final Disposition Temporary

Item Status Pending

Is this item media neutral? Yes

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

	electronic format(s) other than e-mail and word processing?	
	GRS or Superseded Authority Citation	N1-286-86-001/19110
	Disposition Instruction	
	Cutoff Instruction	Cutoff file after case is closed or after final adjudication by the courts.
	Transfer to Inactive Storage	Hold in office or records management application
	Retention Period	Destroy 17 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
2.2.2	Audit Reports File	
	Disposition Authority Number	DAA-0286-2012-0008-0012
	The series consists of individual audit case files, which are filed by unique audit sequence numbers. The case files consist of the audit report, correspondence, memoranda, audit recommendations, and responses thereof.	
	Final Disposition	Temporary
	Item Status	Pending
	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	N1-286-99-03/19120
	Disposition Instruction	
	Cutoff Instruction	Close file after compliance with recommendations or after final adjudication by the courts.
	Transfer to Inactive Storage	Hold in office or records management application
	Retention Period	Destroy 6 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
2.2.3	Audit Recommendation Files	
	Disposition Authority Number	DAA-0286-2012-0008-0013

Returned Without Action

This series is a follow up measure of outstanding replies to audit reports and is used to assure appropriate implementation of recommendations. The series contains both open and closed recommendation files.

Final Disposition Temporary
Item Status Pending
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 N1-286-99-03/19130
Disposition Instruction
Cutoff Instruction Close file after compliance.
Transfer to Inactive Storage Hold in office or records management application.
Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Program Subject Files

Disposition Authority Number DAA-0286-2012-0008-0014

Subjects pertaining to operation of the Office of Inspections and Investigations

Final Disposition Temporary
Item Status Pending
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 N1-286-99-03/19150
Disposition Instruction
Cutoff Instruction Cutoff annually by fiscal year.
Transfer to Inactive Storage Hold in office or records management application.
Retention Period Destroy 5 year(s) after cutoff.

Additional Information

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2.2.4

GAO Approval

Not Required

Returned 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 icer	USAID - MMSIRD
03/10/2014	Return Without Ac tion	Darryl Byrd	Appraisal Archivist	National Archives and Records Administration - Records Management Services

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