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FROM THE AMERICAN PEOPLE

# ADS Chapter 502

## The USAID Records Management Program

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**ADS Chapter 502 - The USAID Records Management Program**

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## Functional Series 500: Management Services

### ADS Chapter 502 - THE USAID RECORDS MANAGEMENT PROGRAM

#### 502.1 Authority

1. The Federal Property Administrative Services Act of 1949, as amended;
2. The Federal Records Act of 1950, ([44-USC 310-3107](#)) as amended;
3. [Executive Order 12656](#)
4. [53 Foreign Affairs Handbook \(FAH\) 47491](#)
5. [12 Foreign Affairs Manual \(FAM\)-1, Section 1111.6](#)
6. The Federal Information Resources Management Regulations (FIRMR), (41 CFR) 201-45 issued by the General Services Administration, (GSA);
7. The Paperwork Reduction Act of 1980, as amended, ([44-USC 3501](#)).
8. Title [44 U.S.C. 2904](#) and [3101](#);
9. [Title 36 Code of Federal Regulations \(CFR\) 1232, Audiovisual Records Management](#);
10. [36 CFR 1228.184, Transfer of Records to the National Archives Audiovisual Records](#);
11. National Archives and Records Administration's Instructional Guide Series, Managing Audiovisual Records.
12. [Title 36 Code of Federal Regulations \(CFR\) 1234, Electronic Records Management](#)
13. [Title 36 Code of Federal Regulations \(CFR\) 1228.22](#)
14. Federal Information Resources Management Regulation (FIRMR), Section 3201
15. [Title 36 CFR 1228.188 Transfer of Machine Readable Records to National Archives](#)
16. Federal Rules of Evidence (Rules 803(6) and (8))
17. [Office of Management and Budget in Circular OMB-130](#)
18. [General Records Schedules issued by Archivist of the U.S.](#)

#### 502.2 Objective

The objective of the USAID Records Management Program is to inform personnel of their responsibilities under the Agency's Records program. It is designed to guide records personnel, secretaries, and file custodians in the proper maintenance and disposition of official files, bringing together in one source all records management policies and procedures.

This chapter is also intended to promote efficient and economical practices and effective control over the creation, maintenance, disposition,

and preservation of all electronic records, electronic mediums, office records maintenance and files procedures. It provides an organized system for maintaining Agency records, facilitates the selection and retention of records of archival value, and disposal of non-current records.

The purpose of the Vital Records section of this chapter is to provide general policy and essential procedures to ensure that USAID has an effective Vital Records Program in place to identify, protect, and provide ready access to vital records necessary to ensure continuity of essential Agency activities in the event of a disaster or emergency.

The objective of Audiovisual (AV) Records Management is to achieve the effective creation, maintenance, and disposition of Audiovisual Material and related record, establish policy, responsibilities, and provide guidance for implementation of the Audiovisual Records Program within the Agency, and to provide guidance for the safety and security of all Audiovisual Documents.

### **502.3 Responsibility**

1. The Director, Office of Administrative Services (M/AS) has overall responsibility to develop and implement an Agency-wide program for the management of all audiovisual records created, received, maintained, used or stored in USAID.

2. The Bureau for Management, Office of Administrative Services, Information Records Division (M/AS/IRD) is responsible for the overall management of the Agency's records program. M/AS/IRD is responsible for developing and implementing Agency-wide standards and requirements for management of all electronic records. M/AS/IRD is also responsible for the Agency Vital Records Program.

The Chief of M/AS/IRD serves as the Agency's Records Officer and has responsibility for implementing the Agency's records management program.

3. All Associate/Assistant Administrators, Mission Director, Inspector General and General Counsel, Office Directors, Division and Branch Chiefs are responsible for:

- a. Ensuring compliance with the provisions of this Directive and all other records management practices.
- b. Providing guidance for proper storage and preservation of audiovisual records, including providing optimal

environmental conditions appropriate to the medium held.

**(See Mandatory Reference, [36 CFR 1232](#))**

- c. Establishing contract specifications for contractor produced Audiovisual (AV) records under their jurisdiction.
- d. Indicating the location of all generations of Audiovisual records created or kept by office through inclusion on form 520-2 (9/92) Records Inventory and Disposition Plan. **(See Mandatory Reference, [Records Inventory and Disposition Plan, USAID Form 520-2](#))**
- e. Complying with the Disposition Schedules in Chapter 502, which provides distinct instructions and time-frames for the retirement/disposal of AV records and related finding aids.
- f. Scheduling the disposition of audiovisual records for which there is no coverage in the ADS System.

Senior executives and their principal subordinate officers are responsible for the proper application of disposal authorizations to records in their custody. Any questions concerning a disposal authorization or its application must be referred to the Information Records Division (M/AS/IRD) in USAID/W.

- 4. Bureaus, Office Heads, and overseas Missions are responsible for overseeing the operation of the office's electronic records system.

Bureaus, Office Heads, and overseas Missions are also responsible for implementing effective records management procedures within their organization.

- 5. Bureau for Management, Office of Information Resource Management (M/IRM):

M/IRM is responsible for coordinating closely with M/AS/IRD to ensure that the Agency's automated systems make adequate provision for the requirements of electronic records standards and records management responsibilities are fully addressed in the new systems design and development.

M/IRM is responsible for following and documenting the authorized disposition scheduling and complying with established security procedures to prevent unauthorized disclosure of the data contained in the system for systems developed or maintained by M/IRM.

6. The USAID Records Management Officer (RMO): The RMO serves as coordinator for USAID's Electronic Records Management and carries out the responsibility of the Director, Office of Administrative Services by:

- a. Informing offices of current Government standards and procedures relating to audiovisual records.
- b. Establishing policy, practices and procedures for the creation, maintenance, and disposition of Agency audiovisual records.
- c. Performing periodic evaluations of AV records and systems to ensure compliance with applicable regulations and to assess the value and effectiveness of the Agency's program.
- d. Establishing liaison with the Motion Pictures Branch of The National Archives and Records Administration (NARA).
- e. Submitting the Annual Audiovisual Report to NARA.

7. Records Liaison Officers (RLOs): RLOs are responsible for coordinating implementation of the USAID filing system, and insuring that records eligible for disposal are removed from office space.

Records Liaison Officers (RLOs) are also responsible for scheduling and disposition of all electronic records systems or electronic records.

In addition, the Records Liaison Officer RLO(s), in conjunction with the requirements of ADS 531 Continuity of Operation Program (COOP), is responsible for: **(See [ADS 531](#))**

- a. Determining those records, which are required to maintain the continuity of its essential functions;
- b. Submitting Form AID 5-84, Inventory of Emergency Operating Records by April 3 of each fiscal year to the M/AS/IRD Vital Records Officer; and **(See Form [AID 5-84](#))**
- c. Notifying M/AS/IRD Vital Records Officer of any organizational changes affecting vital records.

8. USAID/W Bureaus and Offices are responsible for appointing Records Liaison Officers (RLOs) within USAID/W and notifying the



Management Bureau's Office of Administrative Services, Information and Records Division (M/AS/IRD).

9. Files custodians are responsible for the operation of files stations in accordance with appropriate records management practices.

10. Managers of Large AV Collections (LPA, HRDM/TD, CDIE, etc.) are responsible for coordinating audiovisual records system activities with the Records Management Officer in order to:

- a. Determine if the records being created/held are record or non-record material.
- b. Establish procedures for identifying, cataloging, and labeling AV records for the life cycle of the record.
- c. Attempt compatibility among the various AV Collection retrieval systems (Some Automated) to provide a simple Agency-wide integrated search system that will best serve users.

11. System Owner (SO): System Owner, including those operated for Government by a contractor, is responsible for coordinating with M/AS/IRD to comply with electronic records standards.

12. Users:

Electronic: Users are responsible for complying with the operating procedures or technical documentation in utilizing the system throughout its life cycle.

Audio Visual: Users are responsible for complying with operating procedures established by the Collection Managers and office of records in such manner as to protect the AV records (still photos, videos, etc.) from alteration, undue wear, damage, or loss.

13. Contractors are responsible for ensuring the adequacy of documentation, complying with established maintenance and procedures, and observing authorized disposition practices.

14. USAID Missions are responsible for appointing a Correspondence and Records Supervisor (C&R) or equivalent within the Mission and notifying the Information and Records Division (M/AS/IRD)

15. The Correspondence and Records Supervisors (C&R), or equivalent in conjunction with the requirements of ADS 530, Emergency Planning Overseas, and ADS 251 International Disaster Assistance is responsible for (**See [ADS 530](#)**):

- a. Determining, those records which are required for emergency action and disaster (**See [ADS 251](#)**);
- b. Ensuring that Missions prepare and maintain the records in accordance with each Missions' Emergency Action Plan;
- c. Submitting a Form AID 5-84, Inventory of Emergency Operating Records by April 3 of each fiscal year to the M/AS/IRD Vital Records Officer;
- d. Pre-positioning records at the safehaven so that they are available during testing of various parts of the Plan and/or during an actual emergency; and
- e. Notifying M/AS/IRD Vital Records Officer of any organizational changes affecting vital records.

#### 502.4 Definitions (**See [GLOSSARY PDF](#)** )

[A AND B ROLLS](#)  
[CASE FILES](#)  
[CHRONOLOGICAL FILES](#)  
[COMPOSITE PRINT](#)  
[CONTINGENCY](#)  
[CONTINGENCY PLANNING](#)  
[CONTINUITY](#)  
[CONTINUITY OF OPERATIONS PLAN \(COOP\)](#)  
[CONVENIENCE FILES](#)  
[CYCLING \(CYCLE\)](#)  
[DATA BASE](#)  
[DATA BASE MANAGEMENT SYSTEM](#)  
[DATA FILE](#)  
[DISASTER](#)  
[DISPOSITION](#)  
[DISPOSITION SCHEDULE](#)  
[DUBBING](#)  
[EMERGENCY](#)  
[EMERGENCY OPERATING RECORDS](#)  
[ELECTRONIC INFORMATION SYSTEM](#)  
[ELECTRONIC MAIL \(E-MAIL\)](#)

ELECTRONIC MAIL MESSAGE  
ELECTRONIC MAIL SYSTEM  
ELECTRONIC RECORDKEEPING SYSTEM  
ELECTRONIC RECORDS (ER)  
ELECTRONIC RECORDS SYSTEM  
GENERAL RECORDS SCHEDULES (GRS)  
INFORMATION SYSTEMS (IS)  
INTERMEDIATE  
INTERNEGATIVE  
INVENTORY  
LIFE CYCLE  
LOG BOOK  
MAINTENANCE OF RECORDS  
MASTER POSITIVE  
MEDIUM (MEDIA)  
NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA)  
NEGATIVE FILM  
NON-RECORD MATERIAL  
OFFICIAL RECORDS  
OUTTAKE  
PERMANENT RECORDS  
POSITIVE FILM  
RECEIPT DATA  
RECORDS  
RECOVERY  
RELEASE PRINT  
RIGHTS AND INTERESTS RECORDS  
SAFEHAVEN  
SCRIPT  
SHOT LIST  
SOUND TRACK  
SPECIAL TYPES OF RECORDS  
STOCK FOOTAGE  
SUBJECT FILES  
SUBJECT FILING  
SYSTEM OWNER  
TECHNICAL DOCUMENTATION  
TECHNICAL REFERENCE FILES  
TEXT DOCUMENTS  
TRANSITORY CORRESPONDENCE  
TRANSITORY FILES  
TRANSMISSION DATA  
UNSCHEDULED RECORDS  
USER'S GUIDE  
USERS

## VITAL RECORDS

### 502.5 POLICY

The statements contained within the .5 section of this ADS chapter are the official Agency policies and corresponding essential procedures.

#### 502.5.1 THE USAID RECORDS MANAGEMENT PROGRAM

USAID shall establish and maintain an active continuing program for managing Agency records, commensurate with its size, organization, mission, and record keeping activities.

##### E502.5.1 The USAID Records Management Program

The Agency records management program must:

- a) Assign specific responsibility for the development and implementation of Agency-wide records management to an office of the Agency and to a qualified records manager.
- b) Apply appropriate records management practices to all records, irrespective of the medium (e.g., paper, electronic, or other) on which the record resides as defined within this chapter.
- c) Follow the guidance contained in GSA and NARA Handbooks and Bulletins when establishing and implementing records management programs.
- d) Control the creation, maintenance, and use of Agency records and the collection and dissemination of information.

##### 502.5.1a OWNERSHIP AND CUSTODY

No government employee, contractor, or participant shall acquire proprietary interest in USAID records under their custody. When an official receives private, personal correspondence, which includes portions that relate to official business, the official must extract those portions that pertain to official business and make them a part of the official files.

- 1) Overseas: Under circumstances where USAID has residual activities, and no active USAID office exists, control of USAID records is delegated to the American Embassy.

2) Program records created by USAID staff must remain in USAID ownership and custody. Records pertaining to USAID personnel and to USAID administrative activities, that are created, received, and maintained by a Joint Administrative Organization (JAO) under the Department of State, are records of the Department. As such, they are kept and managed in accordance with Department of State regulations.

#### **E502.5.1a Ownership and Custody - N/A**

#### **502.5.1b OFFICIAL RECORDS**

Official records must be preserved as appropriate, by the Agency because of the informational value of data they contain or as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Agency.

#### **E502.5.1b Official Records**

There are instances where more than one copy of an official document and/or file can be considered a record if different offices use it to perform different functions. When it is difficult to determine if a file or document is a record, which needs to be preserved (archived), the records officer must treat this material as an official record.

#### **502.5.1c ACCESS TO USAID RECORDS**

Official Agency records are available for use by all USAID employees, the U.S. public, participating agencies, consultants, scholars, and researchers with the following restrictions:

1) Classified and Sensitive But Unclassified (SBU) records: Conditions controlling access to security classified and SBU controlled records are set forth in Executive Order 12958 (EO) and 12 Foreign Affairs Manual 540 (FAM) **(See [Mandatory References Executive Order 12958 \(EO\)](#), and [12 FAM 540](#).)**

2) Privileged Records: Records with information that affects an individual's private affairs, reflects facts or opinions given in confidence, or that could prejudice U.S., private, or business interests if disclosed, are privileged, even though they may not have security or SBU markings. Access to, and use of, these records must be restricted. Conditions controlling access to such records are set by the Freedom of Information Act, the Privacy act, and by Agency regulations. **(See [ADS 507](#) and [508](#))**

3) Access for public research: It is USAID's policy to make information freely available to the public, subject only to the restrictions stated above. Any questions concerning access to USAID records must be addressed to the Office of Customer Outreach & Oversight Staff (M/AS/COOS)

**E502.5.1c Access to USAID Records - N/A**

**502.5.2 FILES PLANNING, ORGANIZATION, AND MAINTENANCE:  
DESIGNATING FILES STATIONS**

Each USAID/W office and overseas Mission must designate official files stations where official Agency records shall be maintained. Official files stations must be established at locations convenient to files users. Proper maintenance and controls over the use of official records must be provided. Official records maintained at the designated files stations must be identified and appropriate procedures established within offices to ensure that records are filed at their designated stations.

**E502.5.2 Files Planning, Organization, and Maintenance: Designating Files Stations - N/A**

**502.5.2a AVOID NEEDLESS FILING**

It is USAID's policy to keep its records holdings to a minimum by eliminating unnecessary filing of materials.

**E502.5.2a Avoid Needless Filing**

To prevent needless filing the following guidelines must be followed:

1) Periodicals, circulars, and similar printed materials received for general information must be retained on a selective basis. Recipients of the material shall determine whether it must be retained and for what period of time. If a particular article is of greater value than the entire publication, a copy of the article must be retained.

2) Information copies of letters or forms must not be filed unless future reference to the material is likely and the document is not available in the originating office.

3) Periodicals, circulars, and similar printed materials must not be interfiled with actions or transaction except when essential for complete documentation.

- 4) Copies of routine communications that are not needed for records purposes must be eliminated or avoided by:
- a. Returning routing requests for printed matter with the materials sent;
  - b. Returning routine requests with desired information noted at the bottom of page;
  - c. Using routing slips in preference to transmittal letters; and
  - d. Returning the original request with a form letter used to transmit requested information if possible.

If a request must be filed, enter the date of reply and the form letter number rather than retaining a file copy of the form letter.

- 5) Extra copies of non-record materials are often kept by various elements within the same office or organization. In many instances, extra copy files can be eliminated by an agreement between or within offices concerning use of record files. By following this procedure, files maintained at one file station supplement rather than partially duplicate the records at another station.
- 6) Information copies of communications must be provided when copies have been requested or a valid purpose will be served.

#### **502.5.2b RECOGNIZING NON-RECORD MATERIALS**

Some non-record materials appear to be official record documents because they are involved in daily activities. However, if they do not document USAID's policies, procedures, practices or operations, they are non-record material and must be maintained separately from official files.

#### **E502.5.2b Recognizing Non-Record Materials**

The following lists are non-record materials, which must be destroyed when no longer needed:

- Chron files
- Extra copies
- Personal files
- Publications
- Reading files

Reproduced materials  
 Routing slips  
 Suspense files  
 Working files  
 Wrappers, labels, envelopes

### **502.5.2c ASSEMBLING PAPERS FOR FILING**

To assure sufficiency of documentation, the files custodian must assemble directly related records for filing.

#### **E502.5.2c Assembling Papers for Filing**

- 1) Case files. The incoming letter, a copy of the reply, and any pertinent attachments or enclosures must be filed together.
- 2) General correspondence subject files, the files custodian must:
  - a. Remove any earlier correspondence already on file;
  - b. Determine if any segments of the current correspondence is lacking; and
  - c. Assemble the complete papers in chronological order with the latest date on top.

### **502.5.2d FILES ARRANGEMENTS**

Files must be arranged in a systematic manner, according to Agency regulations. The three basic arrangements are, alphabetical, numerical, and chronological. To assure sufficiency of documentation, the files custodian must assemble directly related records for filing.

#### **E502.5.2d Files Arrangements**

Files are to be arranged according to the below listed procedures, using medium weight 11-point Kraft folders, with a maximum of 200 single sheets to a folder.

- 1) Alphabetical Arrangements: This arrangement is used to file documents by names of persons, companies, agencies, etc. in alphabetical sequence. Types of records that are often filed alphabetically include:
  - a. Name Files. Arrange name files alphabetically by surname and then by first name and middle initial. When identical names occur, they must be arranged secondarily by other distinguishing features, such as date of birth or social security number.



b. Geographic Files. These files must be arranged alphabetically by geographic location such as region, country, or state. This arrangement is used when the geographic location is the primary means of reference. Files are arranged in alphabetical sequence first by the name of the main geographic division, such as a country, then by the next most important subdivision required for reference such as states, countries, cities, or units of local government.

c. Organizational Files: This arrangement shall be used when the name of the organization is the primary means of reference.

2) Numerical Arrangements: This arrangement is used to arrange records identified and referenced by number, such as activity files or purchase orders. Numbers must not be assigned to documents for the sole purpose of filing arrangement.

a. Straight numerical. Files are arranged in straight numerical sequence: 1, 2, 3, 4, 5, etc. This method is used if fewer than 10,000 papers are filed a year.

b. Duplex numbers. Duplex numbers consist of two or more parts separated by a dash, space, or comma (examples, 94-0001, 942-0002, 942-0003). Files are to be arranged in straight numerical sequences by the first part of the number and thereunder by succeeding parts.

3) Chronological arrangements: A chronological file is usually arranged into two separate series: incoming and outgoing, i.e., one for cables and telegrams and one for correspondence (letters, memos, faxes, E-mails), and by sequential date or numerical order, with latest date or highest number at the front of the folder.

#### **502.5.2e FILING SECURITY CLASSIFIED PAPERS**

Classified papers must be filed apart from unclassified papers in security file cabinets or secured areas as provided in Executive Order 12958 (EO), and 12 Foreign Affairs Manual 540 (FAM) If the volume of classified papers is small, they may be maintained as a central security file in a common-use office or division. In overseas offices classified papers must be stored separately. **(See Mandatory References, [Executive Order 12958 \(EO\)](#), and [12 FAM 540](#))**

#### **E502.5.2e Filing Security Classified Papers**

When filing classified material apart from unclassified material, cross reference sheets must be placed in the unclassified file to show where the related classified papers are located.

## **502.5.2f FILES EQUIPMENT AND SUPPLIES**

In USAID/W all files related equipment and USAID forms must be requisitioned from the Information Records Division, (M/AS/IRD). Prior to approval, the Chief of IRD assures that the offices and bureaus are effectively applying agency records disposal standards and that files equipment is being used for the intended purpose.

### **E502.5.2f Files Equipment and Supplies**

Guidelines For Use Of Files Equipment and Supplies. To promote effective use of filing equipment, the following standards for filing equipment and supplies must be used:

- 1) Files equipment must be used only for record material. Files equipment must not be used for stocking blank forms, stationary, office supplies, or personal effects.
- 2) Non-current records must be disposed of in accordance with records disposal standards within this Chapter.
- 3) Letter-sized folders and five-drawer filing cabinets must be used, whenever possible.
- 4) Equipment not needed for current or anticipated use must be returned to stock.

## **502.5.2g ORDERING EQUIPMENT AND SUPPLIES OVERSEAS**

Files equipment and supplies for overseas offices must be purchased through normal supply channels. Appropriate controls must be applied to assure that records disposal standards are being applied and that non-current records are not being maintained in office space before files equipment is approved.

### **E502.5.2g Ordering Equipment and Supplies Overseas - N/A**

## **502.5.3 SUBJECT FILES AND CASE FILES: SETTING UP SUBJECT FILES AND CASE FILES**

The Subject Outlines provide the information needed to organize and correctly label official subject files. Record retention periods are

addressed separately in the Records Disposition Schedules of this Chapter.

a) Subject files. Use only the subjects in the Subject Outlines that pertain to your office when setting up subject files. If a paper involves more than one secondary topic in a primary subject file group, you must file it at the next higher classification level. Use secondary and tertiary breakdowns only if the primary subject has been used and there is a need to file ten or more documents. **(See Mandatory References [Table of Contents](#), [Subject Outlines](#); [Subject Outlines](#); and [Subject Outlines Index](#)).**

b) Case files. Case files must be maintained until final action is taken and the case is closed.

### **E502.5.3 Subject Files and Case Files: Setting Up Subject Files and Case Files**

a) Subject Outlines are made up of subject file codes (e.g., ADM, EDU, PRC), which are the primary codes. There are also secondary code breakdowns (ADM-1, EDU-12, OR PRC-3) with file classification captions such as "Health Education", "Administrative Management", etc., followed by a narrative description for each code and classification. Together these comprise a system that provides offices with a smooth and efficient means of filing and retrieving information.

b) Kraft Folders: It is preferred that standard USAID Kraft file folders, square cut, scored to indicate label position be used when setting up subject files and case files.

**Bulky Material:** When folders become too bulky to handle, the case file folder must be cut-off and a new folder started. The date on which material ceases to be filed in a particular folder is the cut-off date. For convenience, end of fiscal year, end of month, or end of specific date must be used as the cut-off date for case file folders. Several years of documentation may be included in one file.

Bulky material must be filed separately in storage equipment suited to size, and maintained by file classification, date, or serial number. A cross reference to bulky material must be prepared and filed with related file papers or a notation concerning the bulky material must be placed on related file papers. Bulky material must be marked to show classification and other information necessary to relate it to associated papers. A cross reference form must be attached to identify the location of this material.

**502.5.3a FILING SUBJECT FILE MATERIAL**

Papers dealing with the same subject must be filed together in the same folder. The file code AGR-4 will distinguish it from papers dealing with other agricultural subjects (e.g., AGR-2, AGR-6), all of which are grouped under the parent classification "AGR", Agriculture.

**E502.5.3a Filing Subject File Material**

Offices are to select a few major subject codes that pertain to the program functions of the office, such as Food for Peace (FFP), Loans, Guarantees and Private Enterprise (LGP), Transportation (TRV). In addition to subject codes that reflect the program functions of the office, most offices will have codes and classifications for files dealing with general administrative office matters such as Administrative Management (ADM), Personnel (PER), and Budget (BUD), etc.

**502.5.3b ARRANGING DOCUMENTS TO BE PLACED IN CASE FILES (MARKINGS)**

Case file material must not be marked with Subject file group codes.

**E502.5.3b Arranging Documents to be Placed in Case Files (Markings)**

Arrange Official Personnel Folders (OPFs) alphabetically by last name. The information on the tab of the SF-66 must include the person's name (last name first) and the person's date of birth (month, day, and year).

**502.5.3c PERSONNEL FILES (FOREIGN SERVICE NATIONALS)**

All the records documenting an employee's service and status must be filed in an Official Personnel Folder (OPF), Standard Form 66 (SF-66), as required by U.S. Government regulations. Only one official folder is authorized for each direct hire employee. Maintain personnel folders must be maintained in a secure area and unauthorized access must not be allowed. **(See SF-66)**

**E502.5.3c Personnel Files (Foreign Service Nationals) - N/A**

**502.5.3d LABELS ON FOLDERS**

Yellow-banded self-adhesive labels must be used for official case files and official subject files; green-banded labels for working subject and case files, and red-banded labels for classified material (Confidential and

above). Labels for working files must have exactly the same titles as the official file. Information must be as complete and concise as possible. Abbreviations may be used only if easily understood.

#### **E502.5.3d Labels on Folders**

Type the file group code and title on the label directly below the colored band. Type them exactly as shown in the Subject Outlines. Subject files are cut-off and new files started each fiscal year, with the fiscal year typed in the lower right corner of the label.

#### **502.5.4 IDENTIFICATION OF VITAL RECORDS**

The Agency's policy and identification of Vital Records are those that are essential to the Agency's continued operations in cases of an emergency or disaster and must include; emergency plans and related records that specify how the Agency is to respond to an emergency as well as those records that are needed to protect legal and financial rights and interests. The informational content of records series and electronic records systems must be considered when identifying vital records. Only the most recent and complete source of the vital information is treated as vital records.

#### **E502.5.4 Identification of Vital Records - N/A**

#### **502.5.4a RIGHTS AND INTERESTS OFFICES**

- 1) USAID/W
  - a. Office of the General Counsel, Assistant General Counsel for Litigation and Enforcement (GC/LE);
  - b. Bureau for Global Programs, Center for Human Capacity and Development (G/HCD)
  - c. Bureau for Management, Human Resources Office (M/HR);
  - d. Bureau for Management, Office of Financial Management (M/FM);
  - e. Office of the Inspector General, Office of Security (IG/SEC); and
  - f. Bureau for Management, Office of Procurement (M/OP).

Each of the offices in the preceding list must designate a Records Liaison Officer and notify M/AS/IRD Vital Records Officer. The Records Liaison Officer must:

- a. Determine those records required for the preservation of the rights and interests of individual U.S. Citizens and the Federal Government and ensure the preservation of privileges related to such records that limit or prohibit disclosure such as classification, proprietary designation, and attorney-client privilege;
- b. Submit a Form AID 5-86, Inventory of Rights and Interest Records by April 3 of each fiscal year to M/AS/IRD and updates the form as necessary; **(See Form [AID 5-86](#))**
- c. Prepare a Form AID 5-85, Transmittal of Records for Safe Storage, to accompany each item to be sent for safe storage; this transmittal form constitutes the control and finding aid for records at the Federal Records Center (FRC);
- d. Ensure that both the Form AID 5-85 and the package containing material to be stored are properly marked to show the office symbol and item numbers; this material must be forwarded to the Agency's Records Depository, Room B2.6C, Ronald Reagan Building who in turn forwards it to the appropriate FRC (\*Note - a copy of the Form AID 5-85 must be forwarded to the Vital Records Officer, M/AS/IRD); and **(See Form [AID 5-85](#))**
- e. Notify M/AS/IRD of any organizational changes affecting vital records.

2) Missions

- a. Offices with Strategic Objectives (SO);
- b. Controller;
- c. Regional Legal Advisor (RLA); and
- d. Executive Office.

Each of the offices in the preceding list must designate a Correspondence and Records Supervisor (C&R) or equivalent and notify M/AS/IRD, Vital Records Officer. The Correspondence and Records Supervisor must:

- a. Determine those records required for the preservation of the rights and interests of individual U.S. Citizens and the Federal Government; and ensure the preservation of privileges related to such records that limit or prohibit disclosure such as classification, proprietary designation, and attorney-client privilege;
- b. Submit AID Form 5-86, Inventory of Rights and Interest Records by April 3 of each fiscal year to M/AS/IRD and update as necessary; (**See [AID Form 5-86](#)**)
- c. Prepare AID Form 5-85, Transmittal of Records for Safe Storage, to accompany each item to be sent for safe storage; this transmittal form will constitute the control and finding aid for records at the Federal Records Center (FRC);
- d. Ensure that AID Form 5-85 and 5-86 are thoroughly completed and forwarded to the Agency's Vital Records Officer; and
- e. Notify M/AS/IRD of any organizational changes affecting vital records.

**E502.5.4a Rights and Interests Offices - N/A****502.5.4b USAID/W EMERGENCY OPERATING OFFICES**

- 1) Office of the Administrator (A/AID)
- 2) Executive Secretariat (ES)
- 3) Bureau for Humanitarian Response, Office of Foreign Disaster Assistance (BHR/OFDA)
- 4) Bureau for Management, Office of Assistant Administrator (AA/M)
- 5) Bureau for Management, Office of Administrative Services, Overseas Management Support (M/AS/OMS)
- 6) Bureau for Legislative and Public Affairs (LPA/PR) and (LPA/CL)
- 7) Bureau for Africa (AFR)
- 8) Bureau for Asia and the Near East (ANE)
- 9) Bureau for Latin America and the Caribbean (LAC)
- 10) Bureau for Europe and the New Independent States (ENI)

11) Bureau for Management, Office of Information Resources  
Management (M/IRM)

USAID/W Emergency Operating Offices must instruct their Records  
Liaison Officers (RLO) to complete the following.

- 1) Prepare Form AID 5-85, Transmittal of Vital Records for Safe Storage to accompany each item to be sent for safe storage. This transmittal constitutes the control and finding aid for records at the relocation sites/saf havens. **(See [AID Form 5-85](#))**
- 2) Ensure that both the form AID 5-85 and the packages containing material to be stored are properly marked to show the office symbol and item numbers. This material must be forwarded to the appropriate mail and distribution office for transmitting to appropriate relocation side/saf haven.
- 3) Check supplementary and replacement packages to make sure that the transmittals, Form AID 5-85, if marked as replacements, are numbered the same as the items to be replaced. The transmittal forms for replacement must be the same as for those being replaced except for the dates. (This permits a minimum of handling at the relocation site, i.e., only the entire package is replaced).
- 4) Ensure that records, which are replaced monthly or quarterly are not included in packages requiring different retention periods.

**E502.5.4b USAID/W Emergency Operating Offices - N/A**

**502.5.4c USAID MISSION EMERGENCY OPERATING OFFICES**

All USAID Missions are Emergency Operating Offices.

USAID/Mission Emergency Operating Offices must instruct their Correspondence and Records Supervisors (C&R) or equivalent to complete the following.

- 1) Prepare Form AID 5-85, Transmittal of Vital Records for Safe Storage to accompany each item to be sent for safe storage. This transmittal constitutes the control and finding aid for records at the relocation sites/safe havens. **(See [AID Form 5-85](#))**



2) Ensures that Form AID 5-85 is properly marked to show the office symbol, item numbers, and safehaven location. This form must be forwarded to the M/AS/IRD, Vital Records Officer. Note: Only Form AID 5-85 must be sent. Copies of vital records are not to be forwarded to USAID/W.

3) Check supplementary and replacement packages to make sure that the transmittals, Form AID 5-85, if marked as replacements, are numbered the same as the items to be replaced. The transmittal forms for replacement must be the same as for those being replaced except for the dates. (This permits a minimum of handling at the relocation site, i.e., only the entire package is replaced).

4) Ensure that records, which are replaced monthly or quarterly are not included in packages requiring different retention periods.

**E502.5.4c USAID Mission Emergency Operating Offices - N/A**

**502.5.4d OFFICE OF INFORMATION RESOURCE MANAGEMENT (M/IRM)**

M/IRM must assist the user in the development of disaster recovery plans Agency-wide that address how critical portions of emergency operations will be accomplished between the loss of a service, data processing installation, and its recovery or restoration by:

1) Identifying automated vital records (emergency operating, and rights and interests);

2) Identifying processing requirements necessary to support automated vital records (alternate methods and procedures (i.e., suspending processing; using manual or personal computer procedures; or processing on a back-up computer); and

3) Maintaining a listing of offices having approved disaster recovery plans.

**E502.5.4d Office of Information Resource Management (M/IRM) - N/A**

**502.5.4e OFFICES MAINTAINING AUTOMATED VITAL RECORDS (USERS)**

Each office that qualifies as a user

- 1) Must develop a disaster recovery plan for its respective office in accordance with ADS Chapter 545, Automated Information Systems Security (**See [ADS 545](#)**);
- 2) Must implement internal procedures for approving the plans;
- 3) Cycle/update the plan as necessary; and
- 4) Submit a copy of the plan to the M/AS/IRD Vital Records Officer.

**E502.5.4e Offices Maintaining Automated Vital Records (Users) - N/A**

**\*502.5.5 AUDIOVISUAL: REVIEWING EXISTING PRODUCTIONS**

Prior to authorizing any type of audiovisual production, the Agency must determine if existing productions are available to satisfy its needs.

If there are no existing or commercial productions available, the agency must produce, within existing budget limitations, additional productions to support program responsibilities.

**E502.5.5 Audiovisual: Reviewing Existing Productions**

The Agency must use the resources of the National Audiovisual Center (NAC) to request subject searches to determine what Federal productions exist. Standard Form 282, Mandatory Title Check, must be used for this purpose. (**See SF-282**)

The Agency must review commercial media collections, either through catalogs or computer-based resources, to determine whether commercial productions exist.

Federal Audiovisual Production Report (SF-202) must be prepared for all Agency productions, after consulting with the USAID Records Management Officer. Prior to production, applicable sections of SF-202, with information about materials planned or in process shall be entered and sent to NAC. Upon completion of an audiovisual production, the post-production section of the same form must be handled similarly. (**See SF-202**)

**E502.5.5a Materials for Audiovisuals Productions**

- 1) Still Photos and Motion Pictures. When ordering photographic materials to create unscheduled or permanent records, the Agency must

ensure that still photo negatives and motion picture preprints (negatives, masters, etc.) are composed of cellulose triacetate on polyester bases and are processed in accordance with ANSI/ASC industry standards. **(See Mandatory Reference, [36 CFR 1232.4\(b\)\(5\)](#))**

2) Audio Recordings. Permanent records or unscheduled audio recordings must be on 1/4-inch open-reel tapes at 3 3/4 or 7 1/2 inches per second, full track, using professional unrecorded polyester splice-free tape stock.

3) The Agency must use only professional format video tapes (e.g., 1-inch, 3/4 inch) for record copies of permanent or unscheduled recordings.

#### **E502.5.5b Storage, Maintenance, and Preservation of AV Records**

1) Only trained staff shall be allowed to handle master copies.

2) The Agency shall lend copies outside the agency if the original copy is retained by the agency.

3) Erasure or alteration of magnetic recordings must be prevented. One way to accomplish this is to disengage the recording mechanism on the playback equipment.

4) Motion pictures in a final A&B format for the reproduction of excerpts or stock footage must be used.

5) Environmental controls must be set for storage at 70 degrees F or cooler with 40 to 60 percent relative humidity. Even colder and drier storage conditions are recommended for color film, which is very sensitive to heat, humidity, and light.

6) Negatives must be stored from prints and magnetic masters, separately from viewing or listening copies. Negatives are stored in a photography or film laboratory and working copies are stored in a media library.

7) The storage area for master copies must be secured against unauthorized access and protect records from fire, water, and chemical damage.

8) Jacket cut film negatives must be stored individually in acid-free envelopes. Store other audiovisual masters in noncorroding metal or inter plastic containers.

- 9) Nitrate and diacetate film must be stored separately and sent to NARA immediately.
- 10) If different versions of the same production are prepared (e.g., foreign- language versions), an unaltered copy of each version must be kept for record purposes.

### **E502.5.5c Filing and Identification of AV Records**

- 1) Unimportant records must be separated from records of historical value to the Agency.
- 2) Masters and working copies, such as negatives and prints, must be filed separately in order to permit more convenient use of each and to make it easier to take special care of the film negative or magnetic master, which is the most valuable copy of any audiovisual record.
- 3) Captions or their equivalent must be provided on the records. Audiovisual records are not useful for retrospective research unless they are identified. For still photographs, the agency wide format for recording captions includes the date, location, names of people, event, copyright owner (if applicable), and unique identification number. Similar identification must be recorded in a standardized format for every reel of motion picture film, videotape, and audio recording. Photographic captions must be stored separately to eliminate the damage that may result from trying to attach them to photographs.
- 4) Unique identification numbers must be recorded on every negative jacket or storage container as well as corresponding prints or other working copies. By assigning unique numbers to each item, masters can be stored safely and be easily retrieved miles away from the working copies. Additionally, every container of motion picture film, videotape, and audio recording must have the generation clearly labeled--for example, A&B rolls, original camera negative, internegative, soundtrack, project print, video master, audio master--so that a negative or master is not inadvertently used for reference purposes.
- 5) With videos, consumer formats (e.g., VHS, Beta) must be used solely for distribution, reference copies, or subjects scheduled for disposal.
- 6) An association between AV records and the finding aids for them such as listings, published and in-house catalogs, indexes--manual or automated systems must be maintained.

**\*E502.5.5d Disposition of AV Records**

- 1) Scheduling of most AV records in the Agency has already been accomplished by USAID in conjunction with NARA and can be found in the Records Disposition Schedule--USAID/W of this directive. The time-frames for retention and disposition carry the weight of the law, for which all employees are accountable. **(See Mandatory Reference, [USAID/W Records Disposition Schedule](#))**
- 2) Per 36 CFR 1232, agencies shall offer to the Special Archives Division (NNS) and NARA-Motion Picture Outtakes trims, and other unedited motion picture footage accumulated in the production of audiovisual products. Video raw footage shall also be appraised by NARA at some time before disposal. Also, if schedules for disposal changes need to be made this must be done through the submission of SF-115 form and the approval of NARA. **(See Mandatory Reference, [36 CFR 1232.6b\(6\)](#) and (See [SF-115](#))**

**502.5.6 ELECTRONIC RECORDS MANAGEMENT**

This policy is applicable for all Users and System Owners and Agency offices who uses electronic records that includes, but not limited to, records that are word processing documents or text documents, electronic mail messages, document released under the Electronic Freedom of Information Act; documents transmitted via Electronic Data Interchange, Internet and Intranet postings; numerical and textual spreadsheets and databases, data files, electronic files, optical images; software; and electronic information system; home pages and websites.

**E502.5.6 Electronic Records Management - N/A****502.5.6a DEVELOPMENT OF DATA FILES**

System Owners shall develop and maintain technical documentation for electronic information systems.

System Owners shall also submit the technical documentation for the electronic information systems to the Bureau for Management, Office of Administrative Services, Information Records Division (M/AS/IRD) for review prior to implementation of the system's design.

**E502.5.6a Development of Data Files**

For the minimum technical requirement documentation required by System Owner, see 36 CFR 1234.20. **(See Mandatory Reference, [36 CFR 1234.20](#))**

System Owners shall complete and submit the AID 502-1 to M/AS/IRD before developing or updating the electronic information system. **(Mandatory Reference, [USAID Form 502-1, Description of Electronic Records](#))**

The System Owner, in coordination with M/AS/IRD, shall propose disposition instructions for the electronic information system and electronic medium for NARA's approval.

**502.5.6b MAINTENANCE OF TEXT DOCUMENTS**

All users shall print electronic text documents in "hard copy" and maintain them in (existing) paper recordkeeping system at this point of time. The Agency has not adopted a standard electronic recordkeeping system and electronic information system to manage electronic text documents. The word processing and electronic mail applications do not meet the certain records management requirements such as records creation, and receipt, accessibility, retrievability, integrity, security and disposition of records. However, Agency offices are encouraged to manage electronic records in accordance with applicable Federal Laws, regulations and best practices for records management.

All users must distinguish electronic text document between Federal Records and non-record materials before printing out and preserved on paper.

**E502.5.6b Maintenance of Text Documents**

The two types of Agency recordkeeping that must be adhered to when maintaining text documents are:

- 1) Paper Recordkeeping System (printed in "hard copy"): When the official file copy of text documents are printed out and preserved on paper, an electronic text document(computer files copy) must be deleted from the word processor and other office automation applications. **(See Mandatory Reference, and [General Records Schedule 23, Item 10](#))**

- 2) **Electronic Recordkeeping System and Electronic Information System:** If Agency offices have acquired or created an application or use electronic media(off-line electronic storage, i.e., optical disk) to manage electronic text documents, they shall schedule such application and coordinate with M/AS/IRD to ensure that the documents are properly maintained electronically. For the minimum requirement, see 36 CFR 1234.22 (a). **(See Mandatory Reference, [36 CFR 1234.22\(a\)](#))**

The Agency Offices as well as the System Owners shall complete and submit the AID 502-1 to M/AS/IRD before developing applications or using media in managing text documents which are created in the office automation applications. **(Mandatory Reference, [USAID Form 502-1, Description of Electronic Records](#))**

After developing the technical documentation for maintaining their electronic documents, the Agency Offices must submit them to M/AS/IRD for final review.

When placing an official document on a electronic information system and electronic media, see 36 CFR 1234.22 for the identifying information required for each document. **(See Mandatory Reference, [36 CFR 1234.22\(b\)](#))**

#### **502.5.6c STANDARD FOR MANAGING ELECTRONIC MAIL RECORDS**

The Agency offices shall manage records created or received through electronic mail systems in accordance with the provision of this chapter.

Agency offices shall comply with the instructions on identifying and preserving electronic mail messages. Users shall be responsible for the distinction between Federal records and non-record materials and copying records for inclusion in a paper record keeping system. **(See Mandatory Reference Federal Records, [44 U.S.C. 3301](#), [36 CFR 1222.34](#), and [36 CFR 1220.14](#))**

M/IRM shall develop and maintain the Electronic Mail System in accordance with the criteria in 36 CFR 1234.24 (b)1. However, the current Agency Electronic Mail system is not designed to be a record keeping system that meets the requirements or is not technologically able to maintain E-mail records electronically. **(See Mandatory Reference, [36 CFR 1234.24\(b\)1](#))**

Therefore, Agency Users shall copy and maintain the E-mail messages in accordance with the policies and essential procedures for a paper record

keeping system. **(See Mandatory Reference, [USAID Electronic Records Disposition Schedule](#) and [36 CFR 1234.24\(b\)2](#))**

#### **E502.5.6c Standard for Managing Electronic Mail Records**

An Agency E-mail User shall include the internal and external E-mail message, any attachment, and essential transmission data (i.e. who sent the message, the addresses and any other recipients, and when it was sent). In addition, information about the receipt of messages must be retained if users consider it necessary for documenting Agency Activities. If transmission and necessary receipt data are not printed by the particular E-mail system, the hard copies must be annotated as necessary to include the data. **(See Mandatory Reference, [36 CFR 1234 \(a\)1](#))**

The E-mail User must copy the E-mail messages to the paper recordkeeping system. **(See maintenance of text documents, E502.5.6b or 502.5.6d)**

Draft documents that are circulated on electronic mail systems are considered official Agency records if they meet the criteria specified in 36 CFR 1222.34. **(See Mandatory Reference, [36 CFR 1222.34](#))**

Some E-mail systems provide calendars and task lists for users. These may meet the definition of a Federal Record. Calendars that meet the definition of Federal Records are to be managed in accordance with the provisions of General Records Schedule 23, Item 5. **(See Mandatory Reference, [GRS 23, Number 5](#))**

#### **502.5.6d JUDICIAL USE OF ELECTRONIC RECORDS**

M/AS/IRD shall conduct reviews in conjunction with Agency Offices to ensure implementation of procedures to enhance the legal admissibility of electronic records if electronic records shall be admitted to Federal Court.

System Owners and Agency offices shall establish the procedures for documenting the recordkeeping operation and the control imposed on it in order to enhance admissibility of electronic records. **(See Mandatory Reference, [36 CFR 1234.26](#))**

#### **E502.5.6d Judicial Use of Electronic Records - N/A**

#### **502.5.6e SECURITY OF ELECTRONIC RECORDS**

The System Owner and Agency Offices, in coordination with M/AS/IRD, shall implement and maintain an effective security program for electronic



information systems and electronic media. (See [ADS Chapters 507 and 545](#)) (See Mandatory Reference, [36 CFR 1234.28](#) and [36 CFR 1234.28](#))

**E502.5.6e Security of Electronic Records N/A**

**502.5.6f ELECTRONIC RECORDS STORAGE MEDIA**

Agency Offices, the System Owner, and User shall coordinate with M/AS/IRD and M/IRM in selecting appropriate media and systems that are acceptable to National Archives and Records Administration (NARA) for storing electronic records throughout their life cycle and for archival purposes. For minimum requirements, see 36 CFR 1234.30 (a). (See **Mandatory Reference, [36 CFR 1234.30 \(a\)](#)**)

The Agency offices must avoid the use of floppy disks for the exclusive long-term storage of permanent or unscheduled electronic records.

System Owners and Agency offices must ensure that information is not lost because of changing technology or deterioration by converting storage media to provide compatibility with the agency's current hardware and software. Before conversion to a different medium, system owners in coordination with M/AS/IRD, must determine that the authorized disposition of the electronic records can be implemented after conversion.

**E502.5.6f ELECTRONIC RECORDS STORAGE MEDIA**

If the medium does not have an authorized disposition for its system, the System Owner and Agency Offices must propose a disposition schedule and submit it to M/AS/IRD for NARA's approval.

The selection of media and system for storing records throughout their life cycle must meet the requirements set forth in 36 CFR 1234.30. (See **Mandatory Reference, [36 CFR 1234.30](#)**)

**502.5.6g RETENTION AND DISPOSITION OF ELECTRONIC RECORDS**

The Agency Offices and System Owner shall work with M/AS/IRD to establish a proper disposition schedule for retention of electronic information systems and electronic records as well as related documentation and indexes by applying General Records Schedules as appropriate or submit an SF 115, Request for Records Disposition Authority to NARA. (See **[Form SF 115](#)**) The information in electronic information systems, including those operated for the Government by a contractor, must be scheduled as soon as possible but no later than one year after implementation of the system.

Electronic mail records shall not be deleted or otherwise disposed of without prior disposition authority from NARA.

#### **E502.5.6g RETENTION AND DISPOSITION OF ELECTRONIC RECORDS**

The Agency offices must not dispose of electronic records that do not have a retention or disposition schedule. The Agency Offices and System Owner must propose a records disposition schedule for the system and forward it to M/AS/IRD for review and submission to NARA for approval.

System Owner and Agency Offices must complete NA 14097, Technical Description of Transfer, or its equivalent, and submit to M/AS/IRD for those electronic records that are eligible for transfer to the Washington National Records Center or NARA.

Users of electronic mail systems must delete the electronic mail records after the E-mail record is preserved in a paper recordkeeping system (printed out in hard copy) along with all appropriate transmission data.

#### **502.5.6h DESTRUCTION OF ELECTRONIC RECORDS**

Electronic records shall be destroyed in accordance with the USAID Electronic Records Disposition Schedule approved by the Archivist of the United States.

Electronic Records that have been scheduled shall not be disposed of until a disposition schedule is approved of by NARA.

The Agency offices must establish proper procedures for destruction. The procedures must ensure protection of any sensitive proprietary or national security information. **(See Mandatory Reference, [36 CFR 1234.34](#))**

Electronic Mail Records shall not be destroyed until the records are preserved to a paper record keeping system (printed in hard copy).

#### **E502.5.6h Destruction of Electronic Records N/A**

#### **\*502.5.7 RECORDS DISPOSITION - USAID/W AND OVERSEAS MISSIONS: RECORDS INVENTORY AND DISPOSITION PLAN**

Each Federal Agency must establish and maintain an active continuing program for managing Agency records, commensurate with agency size, organization, mission, and recordkeeping activities.

**E502.5.7 Records Disposition - USAID/W and Overseas Missions: Records Inventory and Disposition Plan**

The Files Plan must show the location of the file station, the files series maintained, the disposition for the files, and the name and title of the files station custodian.

**\*502.5.7a MANDATORY APPLICATION**

The application of disposition standards provided in this Chapter are mandatory. This Records Disposition Schedule is developed in conjunction with NARA, and is the authority and guide for records disposition at USAID. (See [Mandatory References Table of Contents, Records Disposition Schedule - USAID/W; Records Disposition Schedule-USAID/W; Table of Contents, Records Disposition Schedule - USAID; Records Disposition Schedule - USAID](#); and [Mandatory Reference Electronic Records Disposition Schedule](#)).

**E502.5.7a Mandatory Application - N/A**

**502.5.7b RECORDS UNIDENTIFIED BY SPECIFIC DISPOSITION INSTRUCTIONS**

Whenever a record series cannot be identified with a specific disposal instruction, the office accumulating the records must request establishment of maintenance and disposition instructions. These requests must be forwarded to the Records Management Liaison Officer (RMLO) for review, and must include a complete description of the new file. (See [Disposal Authorization, 502.5.7c](#))

**E502.5.7b Records Unidentified by Specific Disposition Instructions - N/A**

**502.5.7c DISPOSAL AUTHORIZATIONS**

Records pertaining to claims and demands by the United States Government (USG) or against it, or to any accounts in which the USG is concerned, either as debtor or creditor, must not be destroyed under any disposal authorization until such claims, demands or accounts have been settled and adjusted by the General Accounting Office, except upon written approval of the Comptroller General of the United States.

- 1) Exceptions. Records having value in connection with any pending or prospective litigations must be retained until such litigations have been terminated. Bureau or offices receiving requests for records or information

in connection with litigations must inform the Office of the General Counsel immediately.

The disposal authorizations contained in this Chapter apply to all records of the types described regardless of their physical location, e.g., central files; officially decentralized files; or working files at an individual's desk. This authorization applies to both classified and unclassified records unless otherwise specified.

2) Bureau and office heads are responsible for insuring against inadvertent destruction of any records of the types described above by having them segregated from other files that are destroyed under normal disposal procedures.

#### **E502.5.7c Disposal Authorizations**

The records supervisor or files custodian must ensure that:

- a) Sensitive But Unclassified (SBU) records are destroyed in accordance with Executive Order 12958 (EO) and 12 Foreign Affairs Manual 540 (FAM) (**See Mandatory References, [E.O. 12958](#), and [12 FAM 540](#)**); and
- b) A brief record is made of the volume of files destroyed.

#### **502.5.7d METHOD OF DESTRUCTION**

All National Security Information and SBU authorized for destruction must be destroyed in accordance with the provisions cited in 502.5.7 through E502.5.7c.

#### **E502.5.7d Method of Destruction**

Records containing detailed biographical data or any other records that might prove embarrassing or detrimental to operations if they were to fall into unauthorized hands must be treated as SBU.

#### **502.5.7e RECORDS OF DESTRUCTION**

Each bureau and office is responsible for ensuring compliance with the provisions of the Records Disposition Schedules and ascertaining that all records of the organization are covered by appropriate disposal instructions.

**E502.5.7e Records of Destruction**

The office destroying the records must maintain a brief record showing the records destroyed, and a volume of the records destroyed.

**502.5.7f EMERGENCY DESTRUCTION**

Overseas Missions are authorized to destroy records in the event of extreme emergency or evidence of the possible development of such an emergency, in accordance with instructions governing emergencies as set-forth in the Code of Federal Regulations (CFR-36), Subpart F, Emergency Authorization to Destroy Records. **(See Mandatory Reference, [36 CFR 1228.90](#))**

**E502.5.7f Emergency Destruction - N/A**

**502.5.7g RETIRING FILES**

USAID/W. Retired records must be sent through the USAID Records Depository staging area in Room B-531-D, New State to be shipped to the Washington National Records Center (WNRC), in Suitland, Maryland.

Overseas Missions. Records eligible for retirement must be sent to a local storage facility if they can be disposed of within a five year period. If no local facility is available, these records shall be shipped at Mission expense to the USAID/W Records Depository in Room B-531-D, for retirement to WNRC. Missions in troubled areas where threat of emergency exists must keep files covering no more than one fiscal year, in addition to the current fiscal year in office space. All other files must be sent to WNRC for retention or destruction.

**E502.5.7g Retiring Files**

- 1) Use standard one-piece cardboard records storage and shipping boxes, 10" x 12" x 15". These boxes will not be repacked at the USAID Records Depository unless they are damaged in shipment from overseas.
- 2) Combine boxes into lots. All files within a given lot must have the same disposition date and must not contain a mix of classified and non-classified files.
- 3) Pack records in their original folders, in the same order as they were in the file drawer (subject to 1 above). Face all folder labels in the same direction. All letter-sized folders must face the front of the box, and

legal-sized folders must face the left when you look at the box from the front.

4) Wrap oversized documents such as accounting ledgers, rolls of maps, or engineering drawings with heavy kraft paper. Double wrap and seal to provide protection during shipment from overseas.

#### **502.5.7h REVIEW OF THE SCHEDULE**

Each Bureau and office is responsible for ensuring compliance with the provisions of the Records Disposition Schedules and ascertaining that all records of the organization are covered by appropriate disposal instructions.

#### **E502.5.7h Review of the Schedule**

Each office shall review its files annually to determine whether the applicable items on the Schedules are adequate and being followed.

#### **502.6 Supplementary Reference**

[Examples of Vital Records](#)

[Introduction to the Subject Outline](#)

#### **\*502.7 Mandatory References**

[AID Form 5-84](#)

[AID Form 5-85](#)

[AID Form 5-86](#)

[36 CFR 1220](#)

[36 CFR 1222](#)

[36 CFR 1232](#)

[36 CFR 1234](#)

[36 CFR 1228](#)

[E.O. 12958](#)

[12 FAM 540](#)

[44 U.S.C. 3301](#)

[NARA General Records Schedules](#)

National Archives and Records Administration (NARA), Instructional Guide Series, "Vital Records and Records Disaster Mitigation and Recovery," 1996.

[Table of Contents, Subject Outlines;](#)  
[Subject Outlines;](#) and [Subject Outlines Index;](#)  
[USAID/W Records Disposition Schedule](#)

[Table of Contents, Records Disposition Schedule - USAID/W;](#)  
[Records Disposition Schedule-USAID/W;](#)

[Table of Contents, Records Disposition Schedule - USAID; Records](#)  
[Disposition Schedule - USAID;](#)

[Electronic Records Disposition Schedule](#)

[Strategic Objective Document Disposition Schedule](#)

### **A and B Rolls**

Negative rolls of motion picture film, usually 16 mm, in which the shots are distributed between two rolls to permit special effect on printing. (Chapter 502)

### **CASE FILES**

Case Files relate to a specific action, event, person, organization, location, product, or thing. Case files often represent the "mission," "function," or work of the office. (Chapter 502)

### **CHRONOLOGICAL FILES**

Chronological files (chrons) are copies of cables, letters, memoranda, etc., maintained for ease of reference in chronological order (by date of issue), or by serial number. (Chapter 502)

### **COMPOSITE PRINT**

Film print combining picture and sound track. (Chapter 502)

### **CONTINGENCY**

A possible event that must be prepared for such as an emergency. (Chapter 502)

### **CONTINGENCY PLANNING**

Instituting policies and essential procedures to mitigate the effects of potential emergencies or disasters on an agency's operations and records. (Chapter 502)

### **CONTINUITY**

To go on with selected USAID programs in an actual state of contingency operating conditions. (Chapter 502)

### **CONTINUITY OF OPERATIONS PLAN (COOP)**

A contingency action plan which provides the capability for a Department or Agency to continue operations during a crisis which renders the organization's headquarters unusable. (Chapter 531)

### **CONVENIENCE FILES**

Convenience files consist of extra non-record copies of correspondence, forms, and other papers, kept solely to satisfy a particular reference need. (Chapter 502)

### **CYCLING (CYCLE)**

The periodic removal of obsolete copies of vital records and their placements with copies of current vital records. This may occur daily, weekly, quarterly annually, or at other designated intervals. Update. (Chapter 502)

### **DATA BASE**

A set of data, consisting of at least one data file, that is sufficient for a given purpose. (Chapter 502)

### **DATA BASE MANAGEMENT SYSTEM**

A software system used to access and retrieve data stored in a data base. (Chapter 502)

### **DATA FILE**

The actual information files within the system. It can be numeric, text, graphic, or combo. (Chapter 502)

### **DISASTER**

An unexpected occurrence inflicting widespread destruction and distress and having long-term, adverse effects on Agency operations. (Chapter 502)

### **DISPOSITION**

The transfer, retirement, and/or disposal of records or non-record material. (Chapter 502)

The regulation of the fate, condition, application, and related conditions of property; the transference of property into new hands, a new place, condition, and so forth; alienation, or parting; as a disposal of property. (Chapter 536)

### **DISPOSITION SCHEDULE**

A document providing mandatory instructions for what to do with records (electronic and hard copy)(and non-record materials) no longer needed for current Government business, with provision of authority for the final disposition of recurring or nonrecurring records. (Chapter 502)



## **DUBBING**

A duplicate copy of a sound recording or video, and the combination of sound materials from different sources such as dialogue, music, and sound effects into a single sound track. (Chapter 502)

## **EMERGENCY**

A situation or an occurrence of a serious nature, developing suddenly and unexpectedly, and demanding immediate action. This is generally a short duration, for example, an interruption of normal Agency operations for a week or less. It may involve electrical failure or minor flooding caused by broken pipes. (Chapter 502)

## **EMERGENCY OPERATING RECORDS**

The type of vital records essential to the continued functioning or reconstitution of an organization during and after an emergency. (Chapter 502)

## **ELECTRONIC INFORMATION SYSTEM**

A system that contains and provides access to computerized Federal records and other information. (Chapter 502)

## **ELECTRONIC MAIL (E-MAIL)**

Electronic method of Agency communications within USAID/Washington and throughout the mission locations via telecommunications links between computer terminals. (Chapter 502)

## **ELECTRONIC MAIL MESSAGE**

A document created or received on an electronic mail system including brief notes, more formal or substantive narrative documents, and any attachments, such as word processing and other electronic documents, which may be transmitted with the message. (Chapter 502)

## **ELECTRONIC MAIL SYSTEM**

A computer application used to create, receive and transmit messages and other documents. Excluded from this definition are file transfer utilities (software that transmits files between users but does not retain any transmission data), data systems used to collect and process data that have been organized into data files or data bases on either personal computers or mainframe computers, and word processing documents not transmitted on an e-mail system. (Chapter 502)

## **ELECTRONIC RECORDKEEPING SYSTEM**

An electronic system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use and disposition. (Chapter 502)

## **ELECTRONIC RECORDS (ER)**

Any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record in 44 U.S.C. 3301. (Chapter 502)

### **ELECTRONIC RECORDS SYSTEM**

Any information system that produces manipulates or stores records by using a computer. (Chapter 502)

### **GENERAL RECORDS SCHEDULES (GRS)**

A National Archives and Records Administration (NARA) issued schedule governing the disposition of specified records common to several or all agencies. (Chapter 502)

### **INFORMATION SYSTEMS (IS)**

The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual. (Chapters 562, 620)

### **INTERMEDIATE**

Any film copy, other than a camera original, intended for use only in making duplicates, such as a color internegative, a duplicate positive, or a duplicate negative. (Chapter 502)

### **INTERNEGATIVE**

A color negative duplicate made from a color positive and used for printing use-copies to protect the originals. (Chapter 502)

### **INVENTORY**

A survey of basic and indispensable records necessary for the operational continuity of selected USAID programs under unusual conditions. (Chapter 502)

Inventory is a physical count performed to determine the on hand quantity of an item or group of items. (Chapter 534)

### **LIFE CYCLE**

### **LOG BOOK**

a) A step-by-step written record of the activities of making a motion picture/video. Separate logs are usually kept for camera and sound recording activities; and b) a listing, usually in chronological order, of still photographs. (Chapter 502)

### **MAINTENANCE OF RECORDS**

All operations incidental to the upkeep of an organized filing system. (Chapter 502)

### **MASTER POSITIVE**

A positive print made from the original negative film and used to prepare duplicate negatives. (Chapter 502)

### **MEDIUM (MEDIA)**

The physical form of recorded information. Includes paper, film, disk, magnetic tape and other materials on which information can be recorded. (Chapter 502)

### **NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA)**

The organization responsible for appraising, accessing, preserving and making available permanent records. (Chapter 502)

### **NEGATIVE FILM**

Film in which the dark portions of the original image appear light and the light portions dark. Used as the master copy from which positive copies can be made. (Chapter 502)

### **NON-RECORD MATERIAL**

U.S. Government-owned informational materials excluded from legal definition of records; documentation/correspondence that does not document USAID's policies, procedures, practices or operations. Includes extra copies of documents kept only for convenience or reference, stocks of publications of processed documents, and library or museum materials intended solely for reference or exhibition. (Chapter 502)

### **OFFICIAL RECORDS**

Official records are documentary materials (files) regardless of their physical form or characteristics, that are made or received either in pursuance of Federal law or in connection with the transaction of public business. (Chapter 502)

### **OUTTAKE**

Any shot removed from a motion picture film or video during editing. (Chapter 502)

### **PERMANENT RECORDS**

Records which have been given the disposition of permanent by National Archives (NARA) in USAID Disposition Schedules (See USAID Disposition Schedule). Permanent AV records (tapes, motion picture reels, etc.) are transferred to NARA after a designated number of years. (Chapter 502)

### **POSITIVE FILM**

Film in which the dark portions of the original appear dark and light portions light. (Chapter 502)

### **RECEIPT DATA**

Receipt data: Information in electronic mail systems regarding date and time of receipt of a message, and/or acknowledgment of receipt or access by addressee(s).

### **RECORDS**

Any item, collection, or grouping of information about an individual that is maintained by an agency, including, but not limited to, the individual's education, financial transactions,

medical history, and criminal or employment history and that contains the individual's name, or the identifying number, symbol, or other identifying particular assigned to the individual; such as a finger or voice print or a photograph. (Chapters 508, 509)

### **RECOVERY**

To restore USAID programs/activities from a contingency state to their usual state under normal operating conditions (the rebuilding phase). (Chapter 502)

### **RELEASE PRINT**

The final version of a motion picture film that has been distributed for public viewing. (Chapter 502)

### **RIGHTS AND INTERESTS RECORDS**

(Also referred to as Legal Rights and Interest Records)

### **SAFEHAVEN**

An approved site where vital records are stored for cases of emergency and/or disaster. This site has to be a site separate from where the files were originated. Off-site. (Chapter 502)

### **SCRIPT**

Written specifications for an aspect of a video or motion picture production, such as settings, action, camera coverage, dialogue, narration, music, and sound effects. (Chapter 502)

### **SHOT LIST**

A list of shots in a completed motion picture film often used for classification purposes. (Chapter 502)

### **SOUND TRACK**

The portion of the length of film reserved for the sound record or any length of film bearing sound only. (Chapter 502)

### **SPECIAL TYPES OF RECORDS**

Records which, because of their size or physical characteristics, must be kept in a separate group. They include films, disks, and tape records which require special equipment and handling, cartographic materials and drawings, cards (manual and machine type), and computer printouts. (Chapter 502)

### **STOCK FOOTAGE**

Unedited motion picture, film or videotape of scenery and action that is retained for future use. (Chapter 502)

## **SUBJECT FILES**

Relate to standard categories, functions and interests, and consist of general file materials of incoming originals and outgoing copies of letters, memoranda, cables/telegrams, e-mails, faxes, reports and documents involving a wide variety of topics. (Chapter 502)

## **SUBJECT FILING**

The process of arranging and filing records according to their general informational content. The purpose is to bring together all papers on the same topic to make it easier to retrieve information when it is needed. (Chapter 502)

## **SYSTEM OWNER**

An individual or office responsible for the creation, update, maintenance, and disposition of an electronic data system, data base, or automated program. Systems currently in use are listed in the Mandatory Reference section of ADS 502 under Electronic Records Disposition Schedule. (Chapter 502)

## **TECHNICAL DOCUMENTATION**

Records required to plan, develop, operate, maintain, and use electronic records and software. Included are systems specification, file specification, code books, records layout, user guides, and output specifications. (Chapter 502)

## **TECHNICAL REFERENCE FILES**

Copies of documents retained strictly for reference and informational purposes and which are not part of the official files. Sometimes called technical reference materials or reference publications. The technical reference file group consists of printed or processed material that has no record value but has a direct relationship to the work of the office. They include such material as technical reports, manuals and other directives, pamphlets, periodicals, and guides. They are collected for use as working tools. (Chapter 502)

## **TEXT DOCUMENTS**

Narrative or tabular documents, such as letters, memorandums, and reports, in loosely prescribed form and format. (Chapter 502)

## **TRANSITORY CORRESPONDENCE**

Includes transmittal letters or forms, routine requests for information, publications or communications, acknowledgments, and other similar types of papers of short term interest which have no documentary or evident value and normally need not be kept more than 90 days. (Chapter 502)

## **TRANSITORY FILES**

Contain correspondence that ordinarily would be filed in subject files except they pertain to matters of short-term interest. They constitute a separate record series because of the disposal date. (Chapter 502)

### **TRANSMISSION DATA**

Transmission and receipt data: Information in electronic mail systems regarding the identities of sender and addressee(s), and the date and the time messages were sent.

### **UNSCHEDULED RECORDS**

Records (including AV records) for which a disposition has not been assigned, because the records don't fit any of the existing categories, or because they represent a new AV medium. (Chapter 502)

### **USER'S GUIDE**

A package of descriptive and technical documentation prepared for use with a data file.

### **USERS**

Anyone responsible for complying with operating procedures or technical documentation in utilizing a system throughout its life cycle.

### **VITAL RECORDS**

Essential Agency records that are needed to meet operational responsibilities under national security emergency or disaster conditions or to protect the legal and financial rights of the Government and those affected by Government activities. (Chapter 502)

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