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USAID Washington Disposition Schedule Chapter 19: Security and Inspector General Records

A Mandatory Reference for ADS Chapter 502

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USAID WASHINGTON DISPOSITION SCHEDULE
Chapter 19 SECURITY AND INSPECTOR GENERAL RECORDS

This chapter covers security and protective services records, records created which document the control and protection of classified information and government facilities from unauthorized entry, sabotage, or loss. These records also include those which determine the future and loyalty of individuals employed by the government; and records accumulated by the Inspector General's Office pertaining to inspections, investigations, and audits performed to ensure Agency-wide compliance with Federal law and regulations and Agency regulations; to reduce waste and fraud; and to improve Agency operations.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
19010	<p><u>Security Files</u></p> <p><u>Identification Unit Files</u> - These files contain Agency Employee ID photos and cards. The cards are renewed and new photos made periodically (5 years).</p>	<p>Temporary. Destroy when IDS are renewed or after termination of employee, whichever is sooner.</p>
19020	<p><u>Personnel Security Clearance Files</u> - Personnel security clearance case files and related indexes maintained by the personnel security office of the employing agency.</p> <p>a. Case files documenting the processing of investigations on employees or applicants for employment whether or not a security clearance is granted, and other persons, such as those performing work for the Agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, other records reflecting the processing of the investigation, and the status of the clearance, exclusive of copies of investigative reports furnished by the investigation agency.</p>	<p>Temporary. Destroy upon notification of death or not later than 5 yrs. after separation or transfer of employee, or not later than 5 yrs. after contract relationship expires, whichever is applicable. (GRS 18 Item 22.a).</p>
19030	<p>b. Investigative reports and related items furnished to agencies by investigative organizations for use in making security/suitability determinations.</p>	<p>Temporary. Destroy in accordance with the investigating agency instructions. (GRS 18 Item 22..b)</p>
19040	<p>c. Index to the Personnel Security Case Files.</p>	<p>Temporary. Destroy with case file. (GRS 18 Item 22.c.)</p>
19050	<p><u>Personnel Security Clearance Status Files</u> - Lists or rosters showing the current security clearance status of individuals.</p>	<p>Temporary. Destroy when superseded or obsolete. (GRS 18 Item 23)</p>

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Chapter 19 SECURITY AND INSPECTOR GENERAL RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
19060 19070	<p>Security Violations Files - Case files relating to investigations of alleged violations of Executive Orders, laws, and Agency regulations for the safeguarding of national security information.</p> <p>a. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Departments of Justice or Defenses for prosecution determinations, exclusive of files held by Department of Justice or Defense offices responsible for making such determinations.</p> <p>b. All other files, exclusive of papers placed in official personnel folders.</p>	<p>Temporary. Destroy 5 after close of case. (GRS 18 Item 24.a.)</p> <p>Temporary. Destroy 2 yrs. after completion of final action. (GRS 18 Item 24.b.)</p>
19080 19090	<p>Contractor Security Clearance Files – 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.</p> <p>a. University Contracts Files - Contract folders containing records of release information (review of personnel), resumes, record check requests, name check requests, requests for approval for building passes, and other related papers.</p> <p>b. Firms and Organizations - Files contain: Security investigative reports, credit reports, Dunn & Bradstreet reports, letters, memoranda, name check requests, records checks, request for clearance, and other related documents.</p>	<p>Temporary. Destroy 5 yrs. after contract relationship expires.</p> <p>Temporary. Destroy 5 yrs. after contract relationship expires.</p>
19100	<p>Investigators' Working Files - 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.</p>	<p>Temporary. Destroy when no longer needed for reference. (non-record)</p>
19110	<p>Investigations, Inspections, and Audit Files</p> <p>Official IG/II Case Files - 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 and or other criminal or civil matters affecting the United States, possible violations of USAID regulations, and other related documents.</p>	<p>Temporary. Cut off file after case is closed or after final adjudication by the courts. Hold in office space for 2 yrs. then retire to WNRC. Destroy when 15 yrs. old. (NI-286-99-3)</p>

<p>19120</p> <p>19130</p> <p>19140</p> <p>19150</p>	<p><u>Audit Reports File</u> - 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.</p> <p><u>Audit Recommendation Files</u> - This series is a follow up system on outstanding replies to audit reports and is used to assure appropriate implementation of recommendations. The series contains both open and closed recommendation files.</p> <p><u>Inspectors Working Files</u> - These records include reference material used by the Inspectors in conducting investigation and inspections. The official case files are maintained by the IG/II file room.</p> <p><u>Program Subject Files</u> – Subjects pertaining to USAID program and/or functions for which the office exists.</p>	<p>Temporary. Close file after compliance with recommendations or after final adjudication by the courts. Hold for 1 year, then retire to WNRC. Destroy when 5 yrs. old. (N1-286-9903)</p> <p>Temporary. Close file after compliance. Destroy when 5 yrs. old.</p> <p>Temporary. Destroy when no longer needed for reference. (non-record)</p> <p>Temporary. Cut off at end of fiscal year. Destroy when 5 yrs. old. (NC1-286-85-7)</p>
<p>GRS 23, Item 10</p>	<p><u>Electronic Mail and Word Processing System Copies</u> – Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered under this schedule.</p> <p>a. Copies that have no further administrative value after the recordkeeping copy are made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drive and copies on shared network drives that are used only to produce the recordkeeping copies.</p> <p>b. Copies used for dissemination, revision or updating that is maintained in addition to the recordkeeping copy.</p>	<p>Temporary. Destroy/delete within 180 days after the recordkeeping copy has been produced.</p> <p>Temporary. Destroy/delete when dissemination, revision or updating is completed.</p>