Program Record Retention & Archiving – Field and HQ

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1. POLICY

1.1 Purpose and Scope

Mercy Corps' records are important to the efficient and effective operation of the agency. Most records created by employees, consultants, interns and volunteers, whether in electronic or paper form, are agency records.

This policy has been enacted to:

- Comply with applicable law;
- Comply with donor regulations;
- Retain important records for reference and future use;
- Dispose of records that are no longer necessary for the proper functioning of the agency;
- Organize records for efficient retrieval; and
- Ensure that staff know
  - what records should be retained,
  - the length of retention,
  - the means of storage, and
  - when/how records may be destroyed.

For the purposes of this section, record retention refers to the organizing, filing and maintenance of active and/or permanent records which are related to program activities at both the field and HQ level. Archiving refers to the long term storage of inactive records once they are no longer needed for reference in relation to currently active programs. See Annex A - Glossary for more details.

This policy covers the basic record keeping for program records in both the field and HQ. Finance, Operations and Administrative Department record keeping is beyond the scope of this policy.

A program record is defined as any record pertaining to the implementation or results of a program. This includes records that relate to the planning, design, implementation and results, both of the program and of individual activities implemented by the program. A finance record is any record which supports financial transactions and internal controls. The following table outlines other types of records and the reference manual stating Mercy Corps' policy.

Record Type	Resource	Section
Finance	Field Finance Manual	17
Human Resource	Field Administration Manual	2.2
Fleet and/or asset management	Field Asset Management Manual	9
Procurement	Field Procurement Manual	11
Security	Field Security Manual	N/A
Legal, host government and registration	Field Administration Manual	3
Visitor and inspection logs/reports	Warehouse Management Policy & Procedures	5

For the purposes of this policy, program is defined as one or more awards or interventions with a common purpose, to which a single manager is assigned. This policy applies to the level at which a single program manager is assigned; in the Mercy Corps context, this person might be called a "Project Manager," "Program Manager," "Program Director," or "Chief of Party." See Figure 1 or refer to the Program Management Manual.

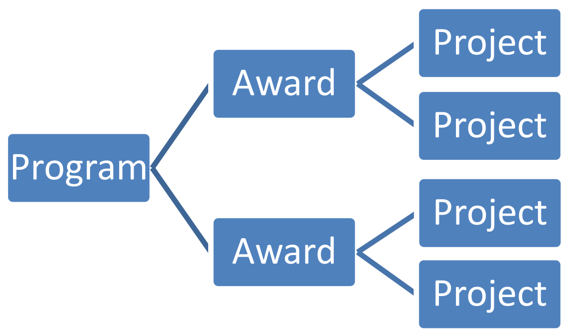


Figure 1.

1.2 General Policy

1.2.1 Responsibility for Program Record Retention and Archiving

The Country Director (CD) is responsible for implementing the policy at the country level and ensuring compliance and adherence. CDs introduce and communicate the policy to country staff to ensure all team members understand their roles and responsibilities.

The Program Manager (PM), or equivalent, is responsible for proper retention of records for each respective program. During the life of the program, the Program Manager is responsible for the program records kept in the country portfolio – refer to the Retention Schedule for responsibility by specific record type. This responsibility includes:

- Ensuring that current records are complete, properly organized and appropriately stored.
- Safeguarding and maintaining control over the program file.
- Ensuring the timely retrieval and subsequent re-filing and re-securing of any program records requested for audit or inspection.
- Ensuring records that are required to be retained at HQ are provided in a timely fashion.

At program completion, prior to the departure of the Program staff, the CD assigns, at the field level, responsibility for the maintenance of archiving and storage process of inactive records. The point person for this role should be clearly identified and known among team members.

The Regional Program Team (RPT) HQ desk officer is responsible for the maintenance and retention of program records held at HQ. They help support country teams with creation and close-out of the Program File, as needed, and verify that relevant records are received at HQ throughout the life of a program.

1.2.2 Transparency

It is Mercy Corps policy that program activities be recorded in a transparent manner. Transparency refers to the practice of open, clear and accurate recordation and processes. Transparency allows information to be readily available for use in decision-making or to assess organizational or program performance. This includes conducting all program activities in an open and traceable manner and retaining adequate records as evidence (for example, community selection rationale).

1.2.3 Safeguarding Records

Records serve as basic evidence that an activity took place and that Mercy Corps and donor policies were followed. Missing or inadequate records mean loss of evidence of implementation and can result in audit findings and costly disallowances, as well as a loss of trust from donors. Field offices must therefore take care to ensure that program records are safeguarded from loss or misuse.

It is Mercy Corps policy that active program records in Field offices must be kept in offices, storage containers or cabinets. Access to this storage must be restricted to authorized personnel only.

Destroying program records is strictly prohibited except as outlined in Section 3.4 of this policy.

1.2.4 Original Records

Original program records are those that include original signatures, such as attendance sheets of beneficiaries (trainings, events, etc), beneficiary agreements, Memorandums of Understanding (without financial implications) with communities/partners/etc, should be maintained by the relevant Program Manager. Originals such as award or sub-grant agreements should be retained at HQ by the International Finance team. Offices should be consistent in filing and storing each category of original records, so that each original record can be easily located.

When original records cannot be located, every effort should be made to obtain copies of the missing record from other sources. If the original records or copies cannot be obtained, a missing record memo must be written. The memo should include a detailed description of each missing record and the reason the record is missing. The memo must be signed by the Program Manager responsible for maintaining the record and counter-signed for compliance by the CD then filed as a supporting record for the related transaction.

Consult Mercy Corps Legal Department (legal@mercycorps.org) prior to providing any original records to any outside party, including outside auditors (such as the USAID Office of Inspector General), donors or host country governments. In general, *only copies of original records should be provided to outside parties*. Anytime a copy is provided, a notation should be made in the Retention Schedule Inventory. The notation should include the date the copy was provided, to whom the records were given and location of the originals. If, after consultation with Mercy Corps Legal Department, it is determined that originals must be provided, clean and fully legible copies of the originals must be maintained in the file along with a full Retention Schedule Inventory notation of the circumstances surrounding the provision of the originals. Regular checks on the status of records provided to auditors or donors should be performed to ensure the records are returned in a timely manner.

1.2.5 Electronic Records

As with tangible records, electronic records must be organized, filed and maintained to ensure access to active, inactive and archived agency records, as well as to facilitate the proper destruction of non-permanent records, as outlined in the retention schedule.

All head country offices should have a shared network drive, which is a hard drive available to multiple computers on a Local Area Network (LAN). The CD and relevant staff may determine whether or not to setup access to a shared network drive at the field sub-office level, depending on the capacity of the sub-office and resources available. To ensure retention, electronic records should be stored and archived at the country office with duplicate copies kept at the relevant field sub-office.

Regardless of an office's networking capacity, record retention policies for tangible records must be applied. For information on the setup and configuration of a shared drive, see *Recommended Guidelines for Setting Up a LAN in a Start Up Office* in the Digital Library:
https://mcdl.mercycorps.org/gsdl/docs/LANRecommendationforMCSmallFieldOffice.pdf

1.2.6 Organization of Electronic Records
The shared drive must have a records folder labeled "Programs" that contains:
- A folder labeled "Inactive Programs"
- A folder labeled "Archived Programs"
- Individual folders for each active program

Name active program folders using this format: [PROGRAM START YEAR] [DONOR] [COST CENTER] [PROGRAM NAME]

Example:

2012 Omidyar Network 32141 Red Tierras-Technology for Land Tenure in Bolivia
Archived Programs
Inactive Programs

Active program folders must contain these subfolders:
- "Permanent Program File"
- "Permanent Subgrant File" (if applicable)
- "Permanent Consultants File" (if applicable)

These subfolders must contain copies of the documents required for filing under the "Permanent Program File", "Permanent Subgrant Folder" and "Permanent Consultants File," as listed in Annex B, Filing Template of this policy.

Non-permanent electronic records must also be kept in their relevant program folders. However, the creation, organization and labeling of non-permanent record subfolders is left to the discretion of local program managers.

Included with this policy is a zip file titled "Shared Drive Folders ." Use this to deploy the file structure described above.

2. FILING

2.1 Filing Systems
Field offices are responsible for maintaining appropriate filing systems in accordance with the standards outlined in this section. To assist offices with this, a filing system accompanied by tools and templates is

provided in Annex B. Program Filing System (Tools & Templates). The program filing system template provides a complete and comprehensive filing structure that allows critical records to be easily located at all times across all Mercy Corps offices.

2.1.1 Filing Systems – General Standards

Filing systems should be simple, applied consistently and logical in the context used. Files should be maintained in an organized manner that ensures retention and allows for easy retrieval. Records must be referenced in a manner that:

a) demonstrates that the records are complete, and
b) that allows activities to be traced from program reports to the means of verification and vice-versa.

Program files should have labels that describe the purpose of the file and the specific records contained in the file. Please refer to Annex B for the structure of a program file.

2.1.2 Organizing Records by Program

In order to facilitate later archiving and retention of records, files should be organized based on the program – see Annex B. Archiving and retention dates are assigned on the basis of donor retention requirements. If a program is funded by multiple donors, the date required by the donor requiring the longest retention date should be applied to the entire program file and all records.

2.2 Active & Inactive Records

Filing systems should be differentiated by active records (office) and inactive records (archive). Active records are those records that may need to be referenced in the normal course of business (current active programs) and must remain within possession and control of the responsible field office. Inactive records are those that must be retained due to policy, donor regulations or law, but will not likely be needed in the normal course of business (completed programs) and can be put in storage. For program records, the distinction between active and inactive records is generally made by the duration of the award and start/end dates.

3. PROCEDURES

Step-by-step guidelines for proper record retention

3.1 Retention & Archiving

A. Identify program and/or specific project within a program.
B. Designate the position responsible for maintaining program records created (this could be the Program or Project Manager depending on the most appropriate level).
C. Create the program Retention Schedule Inventory, save a soft-copy version on the local server and print two hardcopies, one for the Program File located in the Field Office and one to be held at the Country Office.
D. Review donor retention requirements to ensure Mercy Corps' internal retention periods fall within the donor's requirements. If they do not, the longest retention period should be used and applied.

E. Set appropriate safeguarding by identifying a secure location for the storage of program records (see above section 1.2.3).
F. Create program record filing structure – please refer to Annex B.
G. As records are created, determine whether the record needs to be retained by Program, Finance, Operations, or Administration. For finance, operations or administration records please refer to the relevant policy linked in section 1.1.
H. Identify any original records (see section 1.2.4).
    a. If it's not an original, file and store according to filing system (Annex B).
    b. If it is an original, file and store according to filing system (Annex B).
    c. If the original record cannot be located, confirm whether a copy can be obtained from an alternative source:
        i. If a copy can be retrieved, file and store according to filing system.
        ii. If a copy cannot be retrieved, complete a Missing Record Memo (see Annex C) and file and store the memo according to the established filing system.
I. Determine the type of record: tangible or electronic.
    a. Tangible records: determine the status of the record. Using the Retention Schedule in Annex B, determine whether the records are active or inactive.
        i. Active tangible records should be retained and remain within the department/office.
            1. Referring to the HQ Retention Schedule, identify which records need to be retained at HQ and send them to the relevant HQ.
            2. File and store all active records in accordance with the procedures stated in this policy.
            All Field Offices should review active records annually to update the record status and retain or move to storage/dispose of as appropriate – see section 3.7 for procedures. Additionally, the Retention Schedule Inventory should be copied and sent to the HQ Program Operations desk officer at least once a year.
        ii. Inactive tangible records need to be archived and properly stored.
            1. Determine number of boxes needed to properly store and easily retrieve inactive records. Procure boxes; labels and any other needed supplies.
            2. Maintain a Retention Schedule Inventory of all records in each box and include a reference to any separate electronic records. Inventory should be in triplicate (one copy kept by the sender, one copy within the box and one copy for the Program File at the Field office). Records should not be sent for archiving without a Retention Schedule Inventory.
            3. Update the overall Retention Schedule Inventory and save in the Program File.
            4. All boxes must be labeled clearly (see template in Annex C). Include: Agency name (Mercy Corps), Field designation, department, any disposal date and box number. Include a copy of the inventory in the top of the box (including reference to related records that may be stored elsewhere in electronic format).
            5. After the above steps have been completed, store in area office or transfer for storage in country office.

6. All Field Offices should review inactive records at least annually (section 3.7) to update the record status and retain or move to storage/dispose of as appropriate. Additionally, the Retention Schedule Inventory should be copied and sent to the HQ Program Operations desk officer at least once a year. For shipping inactive records to HQ, see section 3.6 for procedures.

b. Electronic records may either be printed and stored as a tangible record, or may be saved and filed to the appropriate folder as per Annex B. The Retention Schedule Inventory should be created/updated to reflect the type and location of each record.
    i. Active electronic records should be retained and remain within the country office (or department if HQ) with duplicates kept at the field office as necessary.
        1. Referring to the HQ Retention Schedule, identify which records need to be retained at HQ and send copies to the relevant HQ as they are created/updated.
        2. File and store all active records in accordance with the procedures stated in this policy including the creation of a Retention Schedule Inventory.
        3. All active records should be reviewed annually per section 3.7 of this policy. Additionally, the Retention Schedule Inventory should be copied and sent to the HQ Program Operations desk officer at least once a year.
    ii. Inactive electronic records should be retained and remain within the country office (or department if HQ) with duplicates kept at the field office as necessary.
    iii. Closing active programs: After a program closes, move the entire program file to the Inactive folder. The Inactive folder and its subfolders must have read-only permissions for regular shared drive users.
    iv. Archiving inactive programs: When an inactive program file has reached its retention end date, review the contents of the program folder. Following applicable retention schedule guidelines, delete all non-permanent files and folders from the program file. Do not delete any permanent records. These folders should remain in the program folder: "Permanent Program File", "Permanent Subgrant File" (if applicable) and "Permanent Consultants File" (if applicable).
    v. Move the remaining program file to the Archive folder. The Archive folder and its subfolders must have read-only permissions for regular shared drive users.

3.2 Status Change

All changes in records status will be accompanied by the subsequent change in the Retention Schedule Inventory. If the records in question are of a legal or financial nature, the Agency's HQ Legal or Finance Department should be consulted to determine what legal or financial requirements exist.

A. Identify the current status of the record in question: active or inactive.
    a. Change from Active to Inactive:
        i. If the record is currently active but is no longer needed for reference in current program operations, it can be changed to inactive. See procedure I.a.ii and I.b.ii above for appropriate relevant actions.
        ii. Update the status of the record and location in the Retention Schedule Inventory.

b. Change from Inactive to Active:
   i. If the record is currently inactive but is needed for reference in current program operations, change the status to active.
   ii. Using the Retention Schedule Inventory, located in the Program File, identify the type and location of the record.
   iii. Follow the procedures I.a.i or I.b.i above and update the location of the record in the Retention Schedule Inventory.

3.3 Retrieval of Inactive Records

To retrieve inactive records in a Field office, contact the office administrator or relevant point person. Review the Retention Schedule Inventory in the Program File and identify the location of the specific record(s) you are seeking. Once the appropriate box has been identified and retrieved, the Office Administrator should note on the Retention Schedule Inventory that the record(s) have been pulled from storage. Once the record(s) are no longer needed, they should be re-filed appropriately and the box should be placed back in storage in accordance with the procedures stated in this policy. Update the Retention Schedule Inventory accordingly.

3.4 Record Destruction

A. Tangible records may be scheduled for destruction by shredding, burning or other means that will render them unreadable in accordance with the Retention Schedule.
B. Electronic records may be deleted from servers and devices in accordance with the Retention Schedule.
C. When records are destroyed, update Retention Schedule Inventory and file in the Program File, and send a copy to HQ Program Operations Desk Officer.

3.5 Original Record Request

When a donor, auditor or other party requests to take an original record from Mercy Corps premises, follow the procedures below. Our policy permits that they are able to view originals if they physically remain within our office.

A. Consult with HQ Legal Department to determine whether an actual original must be supplied, or if a copy will suffice.
B. If a copy of the original will suffice, send it to the requestor and update the Retention Schedule Inventory with the date the copy was provided, and to whom.
C. If the actual original must be supplied, make a clean and legible copy of the original for the files, and update the Retention Schedule Inventory with the full details of the circumstances for provision of the original.
   i. There should be a regular check on the status of the original until it is returned and re-filed appropriately.
   ii. Once the original record is returned, destroy the copy immediately.

3.6 Shipping Tangible Records to HQ

Transport and shipping of tangible records to HQ is managed and led at the HQ level in coordination with the field team (see list of Process maps Annex J 1-14 for more detailed instructions). The HQ PALM/Material Aid team is responsible for recommending and selecting a service provider, coordinating customs and importation, documentation, delivery, unloading and temporary storage at the Portland HQ warehouse.

The wrong choice of a service provider can lead to many problems at the receiving end. Therefore, in the majority of cases, shipments will be arranged with known and tested US-based service providers, and arrangements will be made and managed by the HQ PALM/Material Aid team, rather than field team members. If a US-based provider cannot be found to perform this service, the HQ lead person will work closely with the field team representative to locate a suitable shipping agent in the country of shipment origin.

A. Designate a project lead in the field office shipping the records.
B. Contact the PALM/Material Aid HQ representative to begin the shipping process.
C. Review records to identify what needs to be shipped to HQ and update Retention Schedule Inventory accordingly.
D. Estimate the number of storage boxes, pallets, labels, etc needed and procure them. Use standard document boxes (15”x12”x10”).
E. Label boxes clearly on each side and top using the box label template (Annex G), referenced by number, with numbers corresponding to the Retention Schedule Inventory and description of contents.
F. Prepare packing list of all contents, weights and dimensions, etc.
G. After boxes are filled, load boxes on pallets. Stack boxes four or five rows high on good-quality standard pallets (42”x48”), heat-treated if possible.
H. Shrink-wrap boxes tightly to prevent load shifting in transit.
I. Load pallet in container (20’ or 40’) with loading pattern suitable for forklift/pallet jack access and unloading.
J. Establish and confirm with freight forwarder the critical documentation needed to be completed and send copies of documentation to HQ PALM/Material Aid for approval prior to shipping.
K. Inform freight forwarder to move ahead with shipment.

3.7 Annual Review of Records

A. Review Retention Schedule Inventory and identify any records whose lifecycle milestones have been reached.
B. If lifecycle milestones have not been reached, records will remain as they are until next review or other cause for status change.
C. If milestones have been reached:
    i. Active to Inactive milestone: follow procedure outlined in section 3.2Aa in this policy.
    ii. Active or Inactive to end of lifecycle: follow procedure outlined in section 3.4 of this policy.

3.8 Exiting a Country

Review the Retention Schedule Inventory and identify those inactive records that have reached the end of their lifecycle. Follow procedure outlined in section 3.4 of this policy.

For Active records and Inactive records not at the end of their lifecycle, prepare for shipping as per section 3.6.

3.9 Program Closing

Review the Retention Schedule Inventory and identify those inactive records that have reached the end of their lifecycle. Follow procedure outlined in section 3.4 of this policy.

For Active and Inactive records not at the end of their lifecycle, file, store and control records in the main country office as per sections 3.1.I.a and 3.1.I.b.

4. Annexes

Annex A – Glossary

Term	Definition
Active Record	Records used for current operations that, according to the Retention Schedule, must remain within possession and control of the responsible Field Office.
Archive	Long term storage of inactive records.
Country Office	Mercy Corps primary head office in country.
Destruction	A process that makes a record no longer exist.
Disposition	Decision about where a record is sent (for retention and/or destruction).
Electronic record	Records captured through electronic means, and which may or may not have a paper record to back it up: records such as email, geographic information systems (GIS), webpages, word-processed documents, spreadsheets, databases, digital images and video and audio files.
Grant File (HQ)	File that contains all original agreements, modifications and program records that pertain to a given grant. The Grant File is kept at HQ by International Finance and Program Operations, and should match what is in the field Program File.
Inactive Record	Records that are no longer needed for reference in relation to current operations, but must be retained due to policy, donor regulations or law, and are archived. Records become inactive at the time the final program narrative report is submitted.
Lifecycle Milestones	Key points in the life of a record where a decision may be required which may change the record's status.
Non-Permanent Records	Records that do not need to be retained indefinitely. Usually related to specific transactions or activities that have concluded. All non-permanent records are subject to a minimum retention period of 7 years from the time at which they become inactive, unless specific donor regulations fall outside of this.
Program File (field)	The Program file contains all relevant records that pertain to the lifecycle of a program, including the original agreement, modifications, change letters, log-frame, budget, and progress reports. The Program File in the field should overlap perfectly with the Grant File kept at HQ. Required contents and minimum standard are listed in Annex 10 of the Mercy Corps Program Management Manual.
Permanent Records	Records that are critical to Mercy Corps history or institutional memory. Permanent records should be retained indefinitely and should not be destroyed.
Record	A tangible object (e.g. document) or piece of digital information (e.g. email) that was created, received and maintained as evidence by an organization or person to show how one conducts business, makes decisions, and carries out work. Records are evidence of decisions and actions.
Retention	The organizing, filing and maintenance of records that support program activities and internal controls. Retention of records begins at creation and ends upon disposition.
Retention	A guide to the requirements for keeping or retaining the types of records Mercy

Schedule	Corps generates.
Retention Schedule Inventory	The inventory is a list that identifies record type, status, and location of records for one program. The inventory is updated when records are created and updated and change locations.
Sub-Office	Mercy Corps field office in country.
Tangible record	Hard-copy paper records such as printed version of electronically-stored records, photographs, signed original records, print advertisements, licensed products and promotional items.

Annex B - Filing Template

Program files move through various stages and dispositions throughout their lifecycle: from active, to inactive, to archival or destruction. Organizing your files with these stages in mind will make filing transitions and retention review easier to manage.

The exact mechanics of filing will vary from office to office, but following the general organizational framework outlined here is important. This filing system groups items based on their final lifecycle status: Records required for permanent archival and records scheduled for eventual destruction are stored in separate folders.

To facilitate access while the program is active, the files are then arranged by stages outlined in the *Program Management Manual, Annex 10 Program File Contents Checklist*. Subgrant and Consultant program records are stored in separate folder files. For each donor, your Program File will include these main filing sections:

- Permanent Program File
- Permanent Subgrant File (if applicable)
- Permanent Consultant File (if applicable)
- Identification & Design
- Set Up And Planning
- Implementation
- Program Subgrant File
- Consultants Program File
- Monitoring & Evaluation
- End-of-Program Transition
- Correspondence File

The contents required for each of these main sections are listed under "File Contents" in the template section below. Items listed in the template should be grouped together within subfolders.

All original grant records are archived in the HQ Finance Department. In cases where an exception has been approved and a grant agreement is signed in the field, the original copy of the signed agreement must be submitted to the HQ Regional Finance Officer (citation: current FAM 3.3.2). Following consistent filing procedures ensures your country Program File overlaps with the Grant File retained by HQ (See section 4.1 of the *Program Management Manual*).

When Program File contents are noted as "(Copies)", this means non-original versions of a document are stored in that file. Example: If pre-existing assessments are used during the development of a proposal, retain those copies in the Identification and Design File. If an assessment is a deliverable of a program, retain that original assessment in the Permanent Program File.

These filing templates assume Mercy Corps' Retention Schedule requirements (Annex E) are applicable. Modify the templates accordingly to accommodate donor retention requirements.

File Labeling

Label your program folders and files with this format: [YYYY]-[Donor]-[Cost Centers]-[Program Name]-[Main Filing Section]-[Sub Filing Section]

- [YYYY]: Year program began
- [Donor]: The specific donor relevant to this program file
- [Cost Centers]: All cost centers relevant to the overall project. Separate multiple cost centers with hyphens
- [Program Name]: The general program name that encompasses all sub activity and projects of the program
- [Main Filing Section]: One of the main filing sections outlined in this template
- [Sub Filing Section]: Either one of the sub filing sections listed in this template or a sub filing section created at your discretion

Example: The program *Vie, Te & Eneji* in Haiti has two donors. Each donor will have a separate program file. Each program file will include a Set Up and Planning file that contains a subfolder with agreements. The agreement folder for the Barr Foundation program file will have this label: 2011-Barr Foundation-32076-32113-Vie, Te & Eneji: Set Up and Planning File - Agreements

Templates

Permanent Program File

General	All documents that contribute to Mercy Corps' long term institutional memory belong in this file. These items are retained to allow the organization to identify the goals and accomplishments of past programming. Keep material destined for permanent archiving in this file.
File contents:	• Assessment (original) • Proposal or Preliminary Scope Statement approved by donor • Concept Notes/Logical Framework
	Reports
	• Program Reports: Interim, Quarterly, Semi-Annual, Annual • Event Reports (baseline, endline & routine monitoring) • Final Report: Narrative and a copy of the financial report • Final Evaluation Report • Lessons Learned Report
Instructions:	• Non-draft, final versions of documents are stored here. • Create subfolders for Assessments, Proposals, Logical Frameworks and Reports. • Arrange documents within folders reverse chronologically, with most recent documents available first . • Create subfolders as needed to group similar or related documents.
Maintained by:	Program Manager

Archiving:	• After program closure, move to inactive files until retention end date. • At retention end date, review file to ensure non-permanent records are not in file. • **Permanently archive this file.**
Related Documents:	*Annex E, Retention Schedule*

Identification and Design File

General:	Documentation relevant to pre-proposal, positioning and proposal development work belongs in this file. This includes formal, finalized copies of work, as well as notes and research that contributed to development of the final work.
File Contents:	• RFA • Assessment (copies) or Problem Analysis • External Stakeholders List • Community Selection Rationale • Partner Identification Rationale • Lesson Learned Review Documentation (copies) • Proposals (rejected) • Proposals (drafts) • Budget Program – Summary • Other explanatory notes, key communications or documents from the design team
Instructions:	• Ensure original assessments or lessons learned are not included in this file. • Ensure final, approved proposal is not stored in this file. • Arrange documents within folders reverse chronologically, with most recent documents available first. • Create subfolders as needed to group similar or related documents.
Maintained by:	**Program Manager**
Archiving:	• After program closure, move to inactive files until retention end date. • When file reaches retention end date, review folder to ensure no permanent records have been included in this file. • **After retention review, destroy this file.**
Related Documents:	

Set Up & Planning File

General:	
File Contains:	**Agreements (copies)**

<table>
<tr><td></td><td>Final signed program agreement with donor
Agreements of Understanding – communities/partners/government (Memorandum of Understanding (MOU), letters of support, etc.)</td></tr>
<tr><td></td><td>Amendments/Modifications/Extensions</td></tr>
<tr><td></td><td>Modifications and amendments to program agreement
Official communications with donors, including requests (NCE, key personnel, waivers, etc.) and approvals</td></tr>
<tr><td></td><td>Workplan</td></tr>
<tr><td></td><td>Modifications
Program Parameters
Work Breakdown Structure (WBS)
Program Schedule
Copy of Budget Program – Coded
End of Program Transition Plan</td></tr>
<tr><td>Instructions:</td><td>Originals of agreements, amendments, modifications and signed documentation must be submitted to HQ finance.
Create subfolders for Agreements, Amendments and Workplans.
Arrange documents reverse chronologically, with most recent documents available first.
Attach copy of approvals, rejections and responses to relevant request letters.</td></tr>
<tr><td>Maintained by:</td><td>Program Manager and Finance</td></tr>
<tr><td>Archiving:</td><td>After program closure, move to inactive files until retention end date.
When file reaches retention end date, review folder to ensure no permanent records have been included in this file.
After retention review, destroy this file.</td></tr>
<tr><td>Related Documents:</td><td>Field Finance Manual Appendix 17:
https://mcdl.mercycorps.org/gsdl/docs/Appendices2%20FFMapp.pdf</td></tr>
</table>

Implementation File

<table>
<tr><td colspan="2"></td></tr>
<tr><td>General:</td><td>Documentation related to administrating active program</td></tr>
<tr><td>File Contains:</td><td>Meeting Minutes</td></tr>
<tr><td></td><td>Meeting Minutes - Kick-Off Meeting
Meeting Minutes - Program Team Coordination (quarterly)
Meeting Minutes - External Stakeholders</td></tr>
<tr><td></td><td>Reporting (non-permanent)</td></tr>
<tr><td></td><td>Reports - Quality Assurance Checks
Reports - Internal Program Progress
Budget vs. Actual Reports
Updates to Program Work Plan
Issues Log
Risk Register</td></tr>
</table>

	Subgrants: *See Subgrant Program File*
	Program Deliverables
	• Planning Documentation • Verification of Completion/Execution • Reports of Quality Assurance Checks
	Human Resources
	• Organizational Chart • Consultants: See *Consultants Program File* • Training Needs Assessment
Instructions:	• Create subfolders for Meeting Minutes, Reporting, Program Deliverables and Human Resources. • Create subfolders as needed to group similar or related documents. • Arrange documents within folders reverse chronologically, with most recent documents available first. See *Permanent Program File* to ensure program reports are appropriately retained.
Maintained by:	**Program Manager, Project Officer and HR**
Archiving:	• After program closure, move to inactive files until retention end date. • When file reaches retention end date, review folder to ensure no permanent records have been included in this file. • **After retention review, destroy this file.**
Related Documents:	**Field Finance Manual** **Field Administration Manual**

Subgrant Program File

General:	This folder is for reference within the larger program file and does not replace the finance subgrant file. Signed originals do not belong in this folder.
File Contents:	**Permanent Subgrant Folder**
	• Sub-grant - Approved Proposal • Sub-grant - Program Reports
	7 Year Min Requirement Folder
	• Sub-grant Agreement (copy) • Sub-grant - Coded Budget • Sub-grant end of program closure documentation
Instructions:	• File each subgrant in a separate folder. • Within Permanent Subgrant Folder, create subfolders for Proposals, Reports, Agreement and Budgets. • Arrange documents within folders reverse chronologically, with most recent documents available first.
Maintained by:	**Finance**
Archiving:	• After program closure, move to inactive files until retention end date. • At retention period end date, add Permanent Subgrant Folder to the main Permanent Program File for archiving. • **After retention review and removing permanent files, destroy**

	remaining file.
Related Documents:	Subgrant Management Manual Field Finance Manual

Consultants Program File

General:	Contains documents relevant to work done by consultants.
File Contents:	**Permanent Consultants Folder**
	• Consultants - Final Deliverables/Output.
	7 Year Min Requirement Folder
	• Consultants – Copy of Agreement • Consultants - Scope of Work
Instructions:	• See Retention Schedule to ensure appropriate items are retained. • File each consultancy in a separate consultants subfolder. • Arrange documents within folders reverse chronologically, with most recent documents available first.
Maintained by:	**Finance**
Archiving:	• After program closure, move to inactive files until retention end date. • At retention period end date, add Permanent Consultants Folder to the main Permanent Program File for archiving. • **After retention review and removing permanent files, destroy remaining file.**
Related Documents:	Field Finance Manual 5.1-.2 https://mcdl.mercycorps.org/gsdl/docs/FieldFinanceManual2010.pdf Field Procurement Manual 8.3 https://mcdl.mercycorps.org/gsdl/docs/field%20procurement%20manual%202006.pdf

Monitoring & Evaluation File

General	Contains documentation relevant to monitoring and evaluation.
File contents:	• Performance Monitoring Plan (PMP) / Indicator Plan • Revisions to PMP • Data Management System Reports • Data Sources (disaggregated by sex and age)
Instructions:	• Including M&E planning documents, report printouts, and data collection materials here. • Finalized deliverables that capture data in final reports and evaluations belong in the *Permanent Program File.* • Create subfolders as needed to group similar or related documents. • Arrange documents within folders reverse chronologically, with most recent documents available first.

Maintained by:	**M&E and Program Manager**
Archiving:	• After program closure, move to inactive files until retention end date. • When file reaches retention end date, review folder to ensure no permanent records have been included in this file. • **After retention review, destroy this file.**
Related Documents:	

End-of-Program Transition File

General:	Contains planning material used to guide program closeouts and other administrative documents created during that process.
File Contents:	• End of Program Transition Plan • Proof of communication (End of program Transition plan) - internal team members • Meeting Minutes - Final 90 Days • Handover Report to Stakeholders • Handover of deliverables documentation (includes infrastructure)
Instructions:	• Lessons learned created for this program belong in the *Permanent Program File.* • Create subfolders as needed to group similar or related documents. • Arrange documents within folders reverse chronologically, with most recent documents available first.
Maintained by:	Program Manager
Archiving:	• After program closure, move to inactive files until retention end date. • When file reaches retention end date, review folder to ensure no permanent records have been included in this file. • **After retention review, destroy this file.**
Related Documents:	**Program Management Manual, see chapter 7:** https://mcdl.mercycorps.org/gsdl/docs/ProgramManagementManualPMM.pdf

Correspondence File

General:	Informal communications created during administration of program. See *Set Up & Planning File* for formal correspondence with donor**.**
File Contents:	• Internal requests • Travel and meeting scheduling • Drafts • Memoranda • Notes
Instructions:	• Create subfolders as needed to group multiple copies and versions of the same document type. • Arrange documents within folders reverse chronologically, with most recent documents available first.

Maintained by:	
Archiving:	• After program closure, move to inactive files until retention end date. • When file reaches retention end date, review folder to ensure no permanent records have been included in this file. • **After retention review, destroy this file.**
Related Documents:	

Program File Example: Food Security in the Horn of Africa

2011-USAID-123456-Food Security in the Horn of Africa: Permanent Program File

2011-USAID-123456-Food Security in the Horn of Africa: Permanent Program File-Proposals folder:

Proposal submitted to USAID

2011-USAID-123456-Food Security in the Horn of Africa: Permanent Program File-Reports folder:

Final Report
Final Evaluation Report
Semi-Annual Report, September 2010-March 2011
Semi-Annual Report, April-September 2010

2011-USAID-123456-Food Security in the Horn of Africa: Permanent Program File-Amendments/Modifications/Extensions folder:

No-Cost Extension Approval
Request for No-Cost Extension
Cost Extension Agreement
Request for Cost Extension

2011-USAID-123456-Food Security in the Horn of Africa: Identification and Design File

RFA
Stakeholders List
Community Selection Rationale
Lessons Learned

2011-USAID-123456-Food Security in the Horn of Africa: Identification and Design File-Proposal Drafts folder:

Drafts

***2011-USAID-123456-Food Security in the Horn of Africa:* Identification and Design File-Notes folder:**

Notes

2011-USAID-123456-Food Security in the Horn of Africa: Set Up & Planning File

2011-USAID-123456-Food Security in the Horn of Africa: Set Up & Planning File-Agreements folder:

Signed agreement with donor
MOU with local government

2011-USAID-123456-Food Security in the Horn of Africa: Set Up & Planning File-Workplan folder:

Modifications
Program Parameters
Work Breakdown Structure (WBS)
Program Schedules
Copy of Budget Program
End of Program Transition Plan

***2011-USAID-123456-Food Security in the Horn of Africa :*Implementation File**

***2011-USAID-123456-Food Security in the Horn of Africa:* Implementation File-Meeting Minutes folder:**

Quarterly Team Coordination minutes
- January-March 2011 Minutes
- October-December 2010 Minutes
- July-September 2010 Minutes
- April-June 2010 Minutes

External Stakeholders Meeting folder:
- March 20, 2010
- March 12, 2010

Kick Off Meeting

***2011-USAID-123456-Food Security in the Horn of Africa:* Implementation File-Reporting (non-permanent) folder:**

Internal Progress Reports:

- January-March 2011

October-December 2010
July-September 2010
April-June 2010

Budget vs Actual Reports folder:

January-March 2011
October-December 2010
July-September 2010
April-June 2010

Risk Register

2011-USAID-123456-Food Security in the Horn of Africa: Subgrant Program File

2011-USAID-123456-Food Security in the Horn of Africa: Subgrant Program File-Permanent folder:

Approved Proposal
Program Reports
January-March 2011
October-December 2010
July-September 2010
April-June 2010

2011-USAID-123456-Food Security in the Horn of Africa: Subgrant Program File-7 Year Min Requirement folder:

Sub-grant Agreement (copy)
Sub-grant - Coded Budget

2011-USAID-123456-Food Security in the Horn of Africa: Consultants Program File

2011-USAID-123456-Food Security in the Horn of Africa: Consultants Program File-Permanent folder:

Soil Nutrient Depletion Evaluation and Recommendations by ABC Consulting

2011-USAID-123456-Food Security in the Horn of Africa: Consultants Program File-7 Year Min Requirement folder:

Agreement
Scope of Work

2011-USAID-123456-Food Security in the Horn of Africa: Consultants Program File-End-of-Program Transition

End of Program Transition Plan
Proof of communication (End of program Transition plan)
Sub-grant end of program closure documentation
Meeting Minutes - Final 90 Days
Handover Report to Stakeholders
Handover of deliverables documentation (includes infrastructure)

2011-USAID-123456-Food Security in the Horn of Africa: Correspondence File

Internal requests
Travel and meeting scheduling
Issues letter: June 21, 2010 (draft)
Internal announcements
Notes

2011-USAID-123456-Food Security in the Horn of Africa: Correspondence File- Internal requests

MercyCorps

Name Program File: [Program Start Date] [Donor] [Cost Center] [Program Name]

1. Permanent Program File

- Assessments
- Proposals
- Concept Note/Logical Framework
- Reports

2. Permanent Sub-Grant File

- Proposals
- Reports

3. Permanent Consultants Program File

- Final Deliverables/Output

4. Identification & Design File

- RFA
- Assessment (copies) or Problem Analysis
- External Stakeholders List
- Community Selection Rationale
- Partner Identification Rationale
- Lesson Learned Review Documentation (copies)
- Proposals (rejected)
- Proposals (drafts)
- Budget Program–Summary
- Other explanatory notes, key communications or documents from the design team

5. Set up & Planning File

- Agreement
  (a) Final signed program agreement with donor
  (b) Agreements of Understanding–MOU, letters of support, etc
- Amendments, Modifications, Extensions, etc.
  (a) Official communication with donor (NCE, key personnel, waivers, etc.) and approvals
- Work plan
  (a) Modifications
  (b) Program Parameters
  (c) Work Breakdown Structure (WBS)
  (d) Program Schedule
  (e) Copy of Budget Program–Coded
  (f) End-of-Program Transition plan

6. Implementation File

- Human Resources
  (a) Organizational Chart
  (b) Consultants
  (c) Training Needs Assessment
- Meeting Minutes
  (a) Kick-Off Meeting
  (b) Program Team Coordination (quarterly)
  (c) External Stakeholders
- Program Deliverables
  (a) Planning Documentation
  (b) Verification of Completion/Execution
  (c) Reports of Quality Assurance Checks
- Reporting (non-permanent)
  (a) Quality Assurance Checks
  (b) Internal Program Progress
  (c) Budget vs. Actual Reports
  (d) Updates to Program Work Plan
  (e) Issues Log
  (f) Risk Register
  (g) Email Submissions

7. Monitor & Evaluation File

- PMP/Indicator Plan
- Revisions to PMP
- Data Management System Reports
- Data Sources (disaggregated by sex and age)

8. End-of-Program Transition File

- End of Program Transition Plan
- Proof of communication–internal team members
- Meeting minutes–Final 90 days
- Handover Report to Stakeholders
- Handover of Deliverables

9. Correspondence File

- Internal Requests
- Travel and meeting scheduling
- Drafts
- Memoranda
- Notes

10. Sub-Grant Program File

- Sub-grant Agreement
- Sub-grant–Coded Budget
- Sub-grant end of program closure documentation

11. Consultants Program File

- Copy of Agreement
- Scope of Work

Annex C – Missing Record Form

This form is to be used when a document required for retention is not available. This form is also to be used when an original document is required for retention but only a copy is available. File and retain the form in place of the missing document for the retention period, and record in the *Missing Record Log*.

Missing Record Information
Record name: ______________________________
Record type:_______________________________
Author(s): ________________________________
Creation date: _____________________________
Date discovered missing: ____________________
Was missing record signed? (Y/N): ____________
Format (circle one): paper / electronic

Program Information
Program name: ____________________________
____
Donor: ___________________________________
Country: _________________________________
Agreement number: ________________________
GAIT ID: _________________________________

Is this an original record that is missing? (Y/N): ________
Is a copy attached? (Y/N): _______ If no, explain: ____

For electronic documents only
Format (circle one): MS Office PDF Email Video Photo Audio Other
If electronic record was deleted, what measures were undertaken to recover it? ______________________
____

Detailed summary of record contents (what business is being conducted?)

____
____
____
____

Attach additional pages if needed.

Reason the record is missing (include last known location)

____
____
____
____

Attach additional pages if needed.

Exemption requested by: ____

Job title: ____

Office/Country: _________________________________ / _____________________________________

Signature of requester:

____ Date ______________________

Signature of Country Director:

____ Date ______________________

Annex D – SOP: Shipment of Program/Finance/Legal document to U.S.HQ

Purpose: Outline the process of shipping key Program, Finance and Legal documents to MC PDX HQ (sorting, packing, transport, importation, receipt/unloading and storage)

Date: June 20, 2012 (updated December 27, 2012)

Document Owner: Matthew Schwartzberg (PALM)

When Program, Finance, or Legal documents must be shipped to MC HQ (PDX), PALM will coordinate the shipping process to ensure that the transfer is done in the most efficient way.

1. **Coordination and Responsibilities**
    a. **Field Team representative**: Ensure that the record keeping is complete, properly organized and appropriately labeled for shipping (packing, loading, labeling, local transport in-country, local payment if required) and archived at MC HQ. The Field Team Representative will usually be the Project Manager or Operations Manager (or another team members designated by the Country Director).
    b. **HQ PALM/Material Aid**: Lead the shipment process in coordination with HQ RPT, HQ Finance, and the Field Team Representative to select the service provider, and coordinate customs and importation, documentation, delivery, unloading, and temporary storage at the Portland warehouse.
    c. **HQ Program**: Coordinate with Field Team Representative, PALM and IF to support the record keeping process and proper archiving at the HQ.
    d. **International Finance (IF)**: Coordinate with Field Team Representative and PALM to support the record keeping process and proper archiving at HQ. Review and arrange payment to the service providers.

Note: if possible, RPT and IF should designate a single point of contact in each department to facilitate the coordination with PALM.

2. **Packing, Labeling, Loading**
    a. Packing and Labeling
        i. Use sturdy document records boxes, which have a removable lid and two hand-holes in the ends. These are sometimes referred to as, “bankers’ boxes.” The usual “letter” size is 15x12x10”, but other sizes may be used, as long as they are not larger than about 24x12x10”
        ii. Securely tape the boxes closed with plastic or paper packing tape
        iii. Label boxes clearly on each side and top using the box label template (Annex G), referenced by number, with numbers corresponding to a spreadsheet index and description of contents
        iv. Prepare packing list of all contents, weights and dimensions, etc. Use the words, “Paper document records,” Paper folders and files,” etc. to describe the contents. Do not use words such as, “cash record,” bank record,” etc., which might imply that the shipment contains items of tangible value to others.

v. Attach an Iron Mountain document storage label to the box. These labels are available from your HQ representative.

b. Loading
   i. It is important to load boxes on pallets. Stack boxes four or five rows high on good-quality standard-sized pallets, 42x48." Pallets must be heat treated and bear a clear and visible "ISPM-15" certification stamp, which indicates they were properly heat-treated.
   ii. Shrink-wrap well, and tightly, to prevent load shifting
   iii. Load in (20 or 40') container, with loading pattern suitable for forklift/pallet jack access and unloading

3. **Selection of Freight Forwarder and Local Agent**
   a. The wrong choice of service provider can lead to many problems at the receiving end. Therefore, in the majority of cases, shipments will be arranged with known and tested **US-based service providers**, and arrangements will be made by IF/RPT lead team members, rather than field team members. If a US-based provider cannot be found to perform this service, IF/RPT lead team members will work closely with the Field Team Representative to locate a suitable shipping agent in the country of shipment origin.
   b. PALM (HQ) will assist in locating an established and trusted freight forwarder/shipping agent.
   c. PALM (HQ) will help provide all documentation and importation information.
   d. Finance (HQ) will prepare payment authorizations and make timely payments to provider(s).

4. **Critical Documentation (establish and confirm with Freight Forwarder, and send copies to HQ for approval prior to shipping)**
   a. Bill of Lading
      i. Consignee:
         Mercy Corps Headquarters
         45 SW Ankeny St.
         Portland, OR 97204 USA

      ii. Notify Party
         Mercy Corps Headquarters
         45 SW Ankeny St.
         Portland, OR 97204 USA
         Attn: *Insert Staff person name and contact here*

      iii. Delivery Address
         Mercy Corps Warehouse
         2904 SW First Ave.
         Portland, OR 97201
         Attn: Matthew Schwartzberg
         503 896-5831
         mschwartzberg@mercycorps.org

Note: All deliveries must be pre-arranged and scheduled beforehand!

b. Additional Information to Include on BL and Customs Documents
    i. packing list
    ii. contents description for all documents, labeled: “Financial and legal records, files, spreadsheets, reports, documents, and forms” (DO NOT use words such as, “cash,” “finance,” “bank,” etc.)
    iii. number of boxes
    iv. weight in kg.
    v. number of pallets
    vi. declared value of shipment, in US currency (typically, we use $2,500)

c. Packing List
    i. The Packing List will be prepared by the MC field office that prepares the initial shipment. Please remember to name contents as requested above

d. Customs and Importation Documentation
    i. PALM (HQ) will prepare and submit these to the forwarder/agent; including TSA and ISF documents, and the Proforma Invoice

5. **Receipt and Unloading**
    a. PALM (HQ) will manage receipt of container and the unloading of the container for temporary storage in the MC Warehouse

6. **Other Procedural Details and Related Information**
    a. The Finance/RPT lead team members (HQ) will arrange for sorting after delivery and transfer of sorted documents to Iron Mountain.
    Recommend Three Months Maximum warehouse hold time

Field Retention Schedule & Inventory Template

The list below includes the primary types of program records generated throughout the life of a program and the retention period for each record. This list is not exhaustive and additional records should be retained if they pertain to implementation or results of a program. The records classified as a minimum standard (in the left-most column labeled 'MS') are the bare minimum required to be retained as per section 4.1, the Program File, of the Program Management Manual. In columns M, N and O the X denotes if another department, outside of Program, is responsible for keeping the original document. Copies of original documents should be given to relevant teams or stored in the Program File. If you have questions on types of records not included on this list, please contact your HQ desk officer. Copies of program specific records that are required to be retained at HQ, identified by an X in column E, should be sent to the relevant HQ desk officer depending on the grant administration (e.g. European administered grants sent to the Scotland desk officer, U.S. administered to the Portland desk officer).

Key: (minimum retention times)
C = Current Year
P = Permanent
L = Life (of asset, sponsorship, equipment, employment, contract, project, etc.)

PROGRAM TITLE: ***enter program title here***

Program Management Minimum Standard	Type of Record	Period	Person Responsible	Record Required to be Retained at HQ	Record Sent to HQ *(PDX or Scotland)*	Record Status	Record Type	Location of Record *(e.g. cabinet on 2nd floor, file path for electronic records)*	Destruction Date if not Permanent *(using period to the left)*	Notes	Financial Record	HR Record	PALM Record
Identification & Design													
MS	Assessment or Problem Analysis	L+7	Program Manager	X									
MS	External Stakeholders List	L+7	Program Manager										
MS	Community Selection Rationale	L+7	Program Manager										
MS	Partner Identification Rationale	L+7	Program Manager										
MS	Approved Proposal or Preliminary Scope Statement	P	Program Manager	X									
	Final Submission Approved by Donor	L+7	HQ	X									
MS	Logical Framework	P	Program Manager	X									
MS	Lesson Learned Documentation	L+7	Program Manager	X									
MS	Budget Program - Summary	L+7	Program Manager	X							X		
Set Up & Planning													
MS	Agreement - Final with Donor	L+7	Finance	X							X		
MS	Agreements of Understanding (communities/partners/govt)	P	Finance/Program Manger	X							X		
MS	Modifications & Ammendments to Program Agreement	L+7	Finance	X							X		
MS	Communication Official with Donor (NCE, key personnel, waivers, approvals, etc)	L+7	HQ Desk Officer	X									
MS	Work Plan (Original)	L+7	Program Manager	X									
MS	Program Parameters	L+7	Program Manager										
MS	Work Breakdown Structure (WBS)	L+7	Program Manager										
MS	Program Schedule	L+7	Program Manager	X									
MS	Budget Program - Coded	L+7	Program Manager	X							X		
MS	End of Program Transition Plan	L+7	Program Manager										
Implementation													
MS	Meeting Minutes - Kick-Off Meeting	L+7	Program Manager	X									
MS	Meeting Minutes - Program Team Coordination (quarterly)	L+7	Program Manager										
MS	Meeting Minutes - External Stakeholders	L+7	Program Manager										
MS	Reports submitted to donor (program & financial; all)	P	Program Manager	X							X		
	Proof of submission of report to donor (either email or DHL/mailing reciept)	L+7	HQ Desk Officer	X									
	Reports - Quality Assurance Checks	L+7	Program Manager										
MS	Reports - Internal Program Progress	L+7	Program Manager										
	Budget vs. Actual Reports	L+7	Program Manager	X							X		
MS	Work Plan - Updates & Modifications	L+7	Program Manager	X									
	Issues Log	L+7	Program Manager										
	Risk Register	L+7	Program Manager										
MS	Sub-grant Agreement	L+7	Finance	X							X		
MS	Sub-grant - Approved Proposal	P	Finance	X									
	Sub-grant - Coded Budget	L+7	Finance	X							X		
MS	Sub-grant - Memorandum of Understanding	L+7	Program Manager/Finance								X		
MS	Sub-grant - Program Reports	P	Program Manager	X									
MS	Program Deliverable - Planning Documentation	L+7	Program Manager										X
MS	Program Deliverable - Verification of Completion/Executior	L+7	Program Manager										X
MS	Program Deliverable - Quality Assurance Checks	L+7	Program Manager										X

Program Management Minimum Standard	Type of Record	Period	Person Responsible	Record Required to be Retained at HQ	Record Sent to HQ *(PDX or Scotland)*	Record Status	Record Type	Location of Record *(e.g. cabinet on 2nd floor, file path for electronic records)*	Destruction Date if not Permanent *(using period to the left)*	Notes	Financial Record	HR Record	PALM Record
MS	Organizational Chart (original & updates)	L+7	HR	X								X	
MS	Consultants - Agreement	L+7	HR / Finance / Program Manager	X								X	
MS	Consultants - Scope of Work	L+7	HR / Finance / Program Manager	X								X	
MS	Consultants - Final Deliverables/Output	P	Program Manager	X									
MS	Training Needs Assessment	L+7	Program Manager										
Monitoring & Evaluation													
MS	Performance Monitoring Plan (PMP) / Indicator Plan	L+7	Program Manager	X									
MS	Revisions to PMP	L+7	Program Manager	X									
MS	Event Reports (baseline, endline, & routine monitoring)	P	Program Manager										
MS	Evaluation Report (Mid-term and final)	P	Program Manager	X									
MS	Data Management System Reports	L+7	M&E										
MS	Data Sources (disaggregated by sex and age)	L+7	M&E										
End of Program Transition													
MS	End of Program Transition Plan	L+7	Program Manager	X									
MS	Proof of communication (End of program Transition plan) - internal team members & external stakeholders	L+7	Program Manager	X									
MS	Sub-grant end of program closure documentation	L+7	Program Manager / Finance / Operations								X		
MS	Meeting Minutes - Final 90 Days	L+7	Program Manager	X									
MS	Handover of Deliverables to Stakeholders (report documentation)	L+7	Program Manager										
MS	Lessons Learned Report	P	Program Manager	X									
Miscellaneous													
MS	Correspondence - formal to donor, informal to donor, HQ approvals, etc	L+7	Program Manager	X									

HQ Retention Schedule & Inventory Template

The list below includes the primary types of program records generated throughout the life of a program and the retention period for each record. This list is not exhaustive and additional records should be retained if they pertain to implementation or results of a program. The records classified as a minimum standard (in the left-most column labeled 'MS') are the bare minimum required to be retained as per section 4.1, the Program File, of the Program Management Manual. In columns P, Q and R the X denotes if the record is required to be retained at HQ by RPT or another department, outside of RPT. Copies of original documents should be given and retained by relevant teams or stored in the Program File. If original copies are retained by another department, a copy should be made and kept on the S drive in the relevant folder. Program specific records that are required to be retained at HQ should be sent to the relevant HQ desk officer depending on the grant administration (e.g. European administered grants sent to the Scotland desk officer, U.S. administered to the Portland desk officer).

Key: (minimum retention times)
C = Current Year
P = Permanent
L = Life (of asset, sponsorship, equipment, employment, contract, project, etc.)

PM Minimum Standard	Type of Record	Period	Person Responsible	Record Required to be Retained at HQ	Record Received from Field	Record Status	Record Type	Location of Record *(e.g. cabinet on 2nd floor, file path for electronic records)*	Destruction Date if not Permanent *(using period to the left)*	Notes	Record needs to be retained at HQ by RPT	Record is currently retained at HQ by RPT	Record is currently retained at HQ by another dept
COUNTRY-WIDE													
	Strategy	P	U.S. Desk Officer	X							X		
	Annual Plans/Budgets	L+7	U.S. Desk Officer	X							X	X	X
	Semi-Annual Reports	P	U.S. Desk Officer	X							X	X	
	Expat personnell info - C.V., Position Description, Letter of Assignment/Authority	L+7	U.S. Desk Officer/HR	X							X		X (HR)
	Organizational Charts	L+7	U.S. Desk Officer	X							X		
	Success Stories	L+7	U.S. Desk Officer	X							X	X	X (RD)
	Fact Sheets	P	U.S. Desk Officer	X							X	X	X
	Constant Companions	CU+7	U.S. Desk Officer	X							X	X	
	Situation Reports (emergencies)	CU+7	U.S. Desk Officer	X								X	X (SRGE/Security)
	Security Plans	P?	U.S. Desk Officer	X							X		X (Security)
	Security Incident reports	P?	U.S. Desk Officer	X							X		X (Security)
	Trip reports	CU+3	U.S. Desk Officer	X							X		
	Internal audits	P	U.S. RFO	X									X (IF)
	R&R policy	P	U.S. Desk Officer/HR	X							X (copy kept)		X (HR)
	National HR policies	P	U.S. Desk Officer/HR	X							X (copy kept)		X (HR)
	Registration	P	U.S. Desk Officer/Legal	X									X (Legal)
PROGRAM SPECIFIC													
Identification & Design													
	SF-424s	L+7	Desk Officer	X							X	X	
	Certifications & Assurances	L+7	Desk Officer	X							X	X	
	Final proposal submission package to donor	P	Desk Officer/RFO	X							X	X	X (IF)
MS	Assessment or Problem Analysis	L+7	Desk Officer	X							X	X	
MS	External Stakeholders List	L+7	Desk Officer										
MS	Community Selection Rationale	L+7	Desk Officer										
MS	Partner Identification Rationale	L+7	Desk Officer										
MS	Approved Proposal or Preliminary Scope Statement	P	Desk Officer	X							X		
	Final Submission Approved by Donor	L+7	Desk Officer	X									
MS	Logical Framework	P	Desk Officer	X							X	X	
MS	Lesson Learned Documentation	L+7	Desk Officer/TSU	X							X (TSU)		
MS	Budget Program - Summary	L+7	Desk Officer	X							X	X	
Set Up & Planning													
MS	Agreement - Final with Donor	L+7	Desk Officer/RFO	X							X		X (IF)
	Proposal - revised and final approved by donor	P	Desk Officer/RFO	X							X		X (IF)
	Budget - revised and final approved by donor	L+7	Desk Officer/RFO	X							X		X (IF)
	New Award Initation Summary Sheet & email to field	L+7	Desk Officer/RFO	X							X		X (IF)
	Donor guidelines identifying year (primarily for EC)	L+7	RFO	X							X		X (IF)
MS	Agreements of Understanding (communities/partners/govt)	P	Desk Officer/RFO	X							X		X (IF)
MS	Modifications & Ammendments to Program Agreement	L+7	Desk Officer/RFO	X							X		X (IF)
MS	Communication Official with Donor (NCE, key personnel, waivers, approvals, etc)	L+7	Desk Officer/RFO	X							X	X	X (IF)
	Communication Official Internal (e.g. low ICR approval, cost share approval, etc)	L+7	Desk Officer/RFO	X							X		X (IF)
MS	Work Plan (Original)	L+7	Desk Officer	X							X	X	
MS	Program Parameters	L+7	Desk Officer										

PM Minimum Standard	Type of Record	Period	Person Responsible	Record Required to be Retained at HQ	Record Received from Field	Record Status	Record Type	Location of Record *(e.g. cabinet on 2nd floor, file path for electronic records)*	Destruction Date if not Permanent *(using period to the left)*	Notes	Record needs to be retained at HQ by RPT	Record is currently retained at HQ by RPT	Record is currently retained at HQ by another dept
MS	Work Breakdown Structure (WBS)	L+7	Desk Officer										
MS	Program Schedule	L+7	Desk Officer	X							X		
MS	Budget Program - Coded	L+7	Desk Officer/RFO	X							X		X (IF)
MS	End of Program Transition Plan	L+7	Desk Officer										
Implementation													
MS	Meeting Minutes - Kick-Off Meeting	L+7	Desk Officer	X							X		
MS	Meeting Minutes - Program Team Coordination (quarterly)	L+7											
MS	Meeting Minutes - External Stakeholders	L+7											
MS	Reports submitted to donor (program & financial; all)	P	Desk Officer/RFO	X							X	X	X (IF - financial)
	Proof of submission of report to donor (either email or DHL/mailing reciept)	L+7	Desk Officer	X							X		
	Reports - Quality Assurance Checks	L+7											
MS	Reports - Internal Program Progress	L+7											
	Budget vs. Actual Reports	L+7	Desk Officer/RFO	X							X		X (IF)
MS	Work Plan - Updates & Modifications	L+7	Desk Officer	X							X		
	Issues Log	L+7	Desk Officer										
	Risk Register	L+7											
MS	Sub-grant Agreement	L+7	Desk Officer/RFO	X							X		X (IF & Compliance)
MS	Sub-grant - Approved Proposal	P	Desk Officer	X							X		X (IF)
	Sub-grant - Coded Budget	L+7	Desk Officer/RFO	X							X		X (IF)
MS	Sub-grant - Memorandum of Understanding	L+7	Desk Officer										
MS	Sub-grant - Program Reports	P	Desk Officer	X							X		
MS	Program Deliverable - Planning Documentation	L+7											
MS	Program Deliverable - Verification of Completion/Execution	L+7											
MS	Program Deliverable - Quality Assurance Checks	L+7											
MS	Organizational Chart (original & updates)	L+7	Desk Officer	X							X		
MS	Consultants - Agreement	L+7	Desk Officer/HR	X							X		X (HR)
MS	Consultants - Scope of Work	L+7	Desk Officer/HR	X							X		X (HR)
MS	Consultants - Final Deliverables/Output	P	Desk Officer	X							X	X	
MS	Training Needs Assessment	L+7											
Monitoring & Evaluation													
MS	Performance Monitoring Plan (PMP) / Indicator Plan (includes revisions)	L+7	Desk Officer	X							X	X	
MS	Revisions to PMP	L+7									X		
MS	Event Reports (baseline, endline & routing monitoring)	P	Desk Officer								X		
MS	Evaluation Report (Mid-term and final)	P	Desk Officer	X									
MS	Data Management System Reports	L+7											
MS	Data Sources (disaggregated by sex and age)	L+7											
End of Program Transition													
MS	End of Program Transition Plan	L+7	Desk Officer	X							X		
MS	Proof of communication (End of program Transition plan) - internal team members & external stakeholders	L+7	Desk Officer	X							X		
MS	Sub-grant end of program closure documentation	L+7											
MS	Meeting Minutes - Final 90 Days	L+7	Desk Officer	X							X		
MS	Handover of Deliverables to Stakeholders (report documentation)	L+7											
MS	Lessons Learned Report	P	Desk Officer	X							X		X (TSU)
Miscellaneous													
MS	Correspondence - formal to donor, informal to donor, HQ approvals, etc	L+7	Desk Officer/RFO	X							X	X	X (IF & others)

Missing Record Log

Donor:		Country:	Agreement #:		Cost Center:	Program Name:		
Date record noted as missing	**Date form completed**	**Missing record form location**	**Name of record**	**Record ID?**	**Paper or electronic?**	**Copy filed w/ form? Y/N**	**Name of reporter**	**Date record found**

Missing Record Log: Example

Donor: USAID		**Country:** Nepal	**Agreement #:** 123-456-7890		**Cost Center:** 12345	**Program Name:** Programming to Help Beneficiaries (PHB)		
Date record noted as missing	**Date form completed**	**Missing record form location**	**Name of record**	**Record ID?**	**Paper or electronic?**	**Copy filed w/ form? Y/N**	**Name of reporter**	**Date record found**
3/15/2012	3/15/2012	Identification & Design	Partner Identification Rationale		Electronic	Y	Jeff Crump	
4/22/2012	4/23/2012	Implementation/ Meeting Minutes	Meeting Minutes - Program Team Coordination April 2012		Paper	N	Jeff Crump	5/11/2012

Box No.:

MercyCorps

Cost Centers:

Box location:

Program name:

Program Inactive Date:

Country:

Retention End Date*:

(DD/MM/YY)

Box in permanent archive status** (Y):

(DD/MM/YY)

* End of fiscal year program went inactive plus 7 years or date required by donor regulations

** All items scheduled for destruction must be removed on or after retention end date for box to be eligible for permanent archive status

Transfers and Status Changes

Transfer:

Transfer:

Location | Print Name | (DD/MM/YY)

Status Change:

Status Change:

Status changed to active, inactive or archive? | Print Name | (DD/MM/YY)

Box Inventory

Initial inventory:

Inventory updated:

Inventory updated:

Inventory updated:

Inventory updated:

Print Name | (DD/MM/YY)

Update inventory and register changes on this label if the following occurs: Box transfers locations; box or items within change status; items are removed or added to box. See *Program Record Retention & Archiving* policy for more details.

Program Record Retention & Archiving

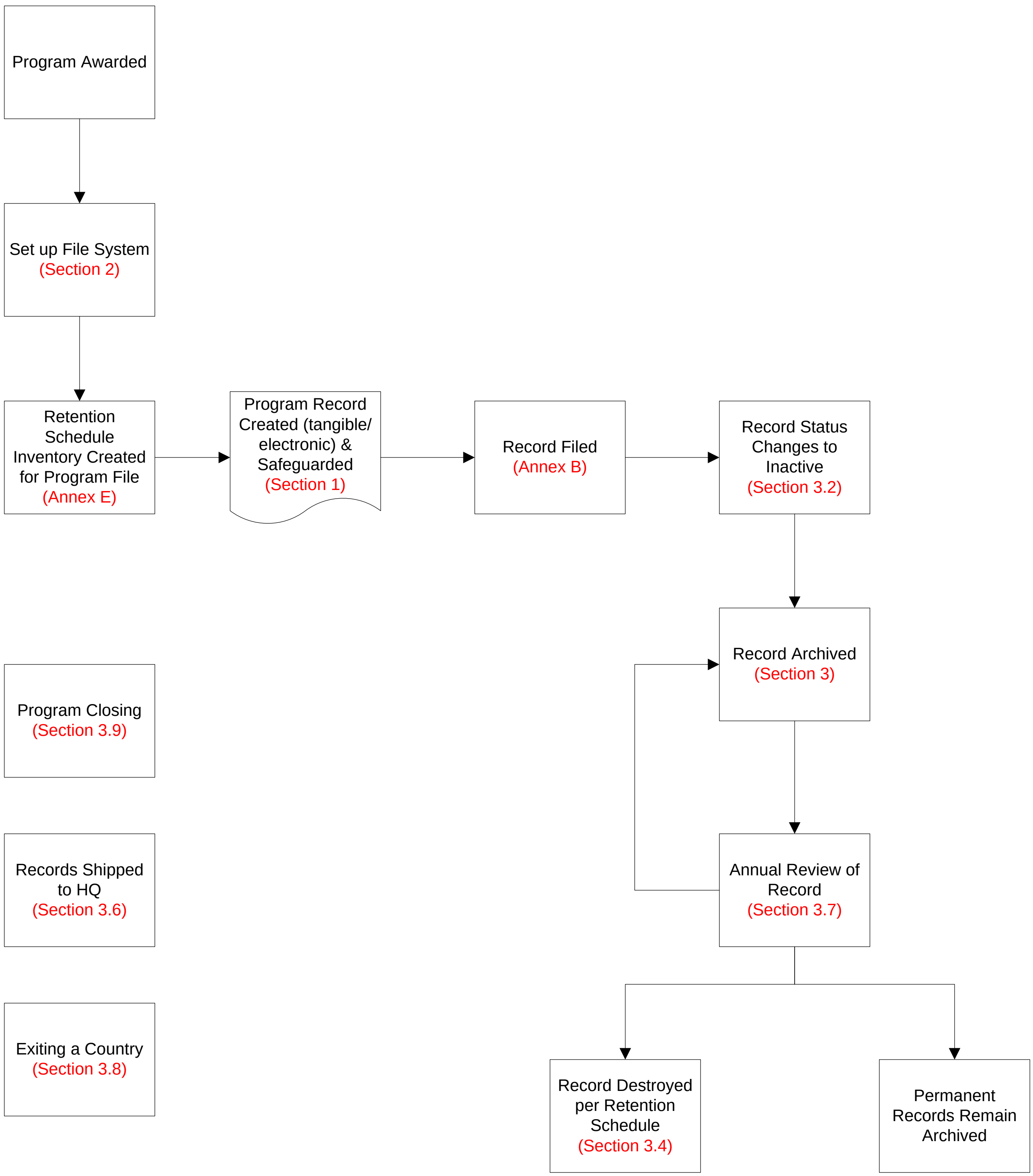
Annex H: Shared Drive Program Folders

Name

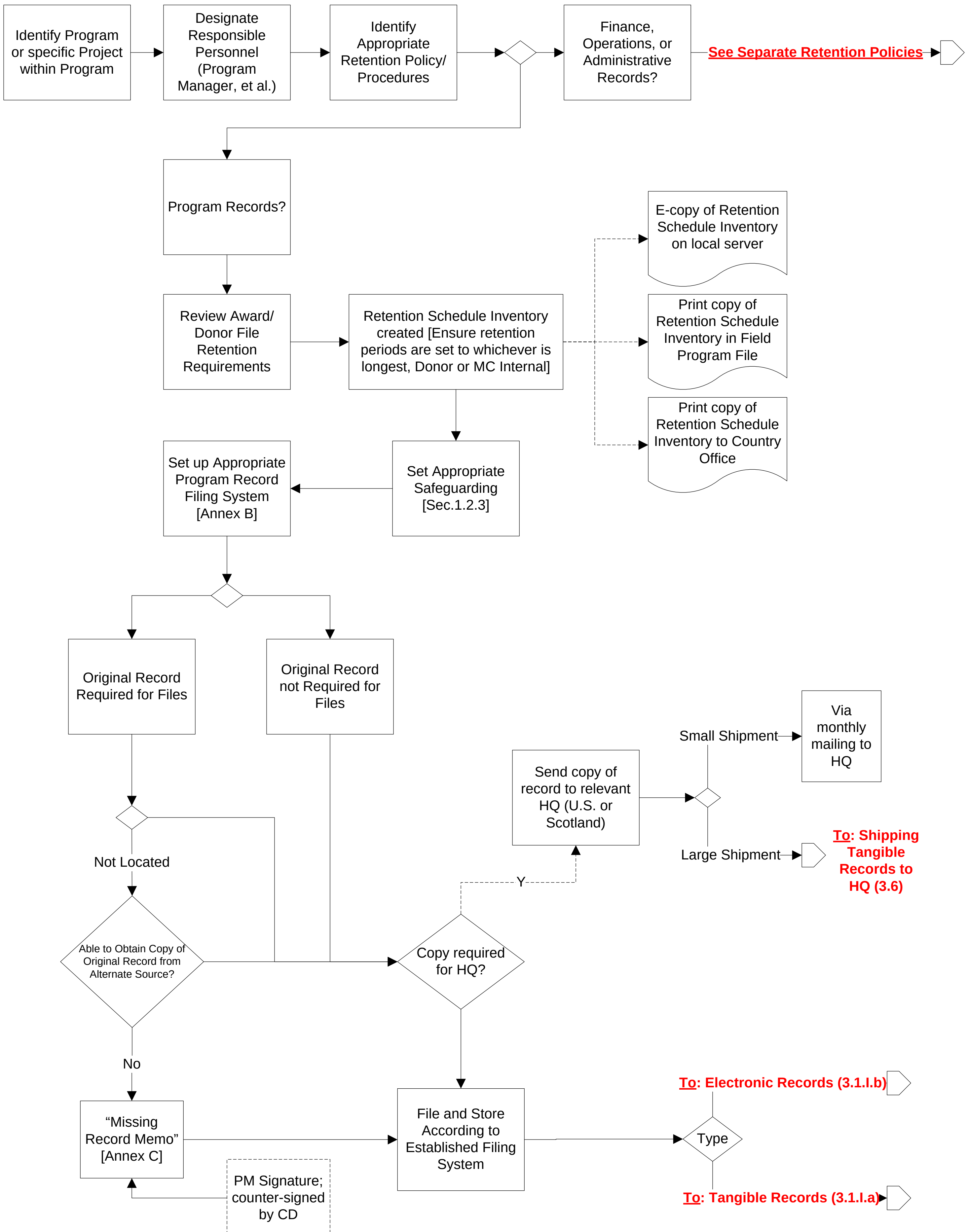
- Country
    - Program
        - Archived Programs
        - Inactive Programs
        - Start_Date Donor Cost_Center Program_Name
            - 1.Permanent Program File
            - 2.Permanent Subgrant Program File
            - 3.Permanent Consultants Program File
            - 4.Identification & Design File
            - 5.Set Up & Planning File
            - 6.Implementation File
            - 7.Monitoring & Evaluation File
            - 8.End-of-Program Transition File
            - 9.Correspondence File
            - 10.Sub-Grant Program File
            - 11.Consultants Program File
            - ProgramRecordRetentionAnnexERetentionScheduleInventoryTemplate.xlsx

The original Annex H is a zip file showing the above file structure. The zip file can be accessed in the Mercy Corps Digital Library by following this link:
https://mcdl.mercycorps.org/gsdl/cgi-bin/library?a=q&r=1&hs=1&t=0&c=all&h=dtt&q=program+record+retention+h

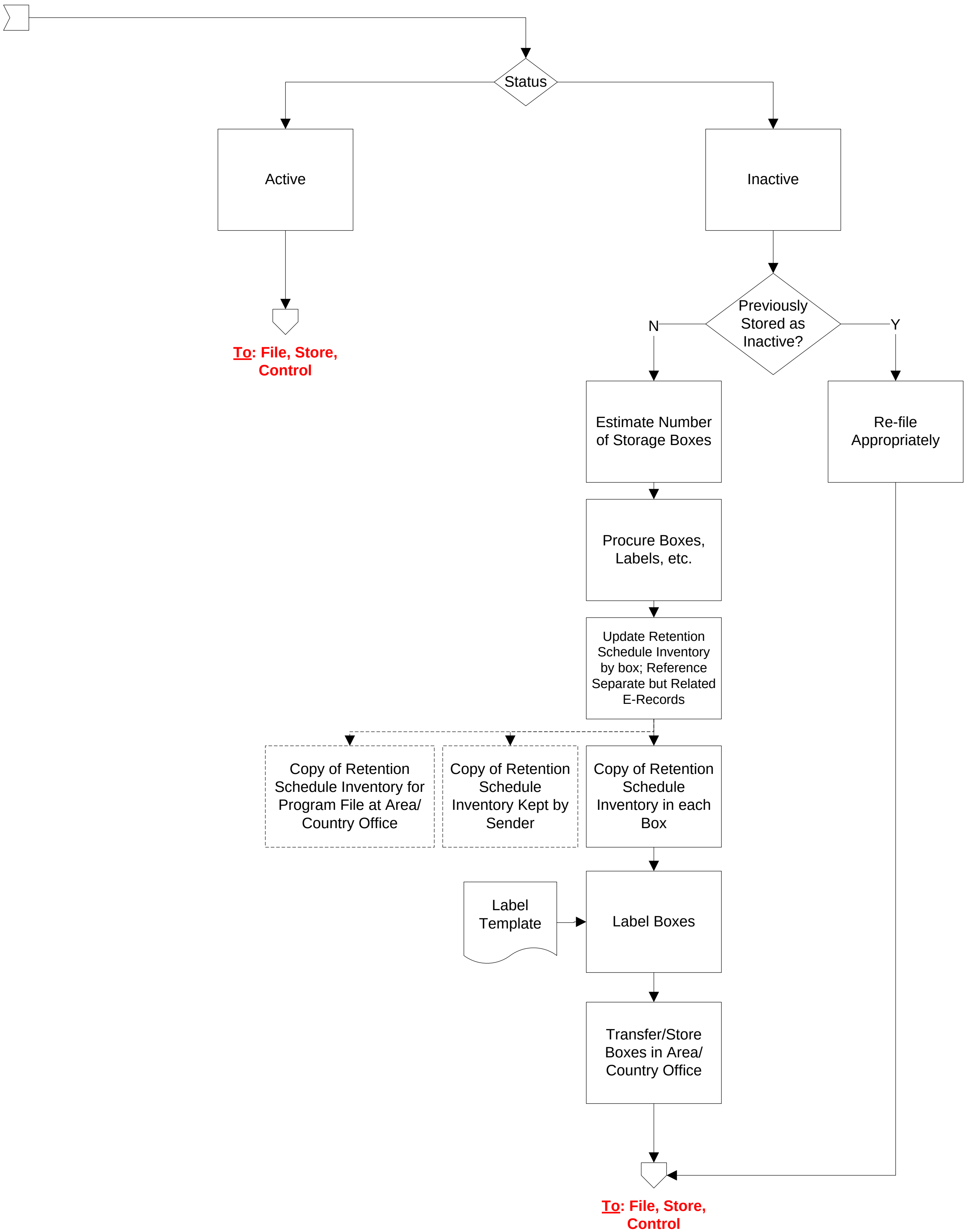
Policy & Procedures
Overview: Program Records



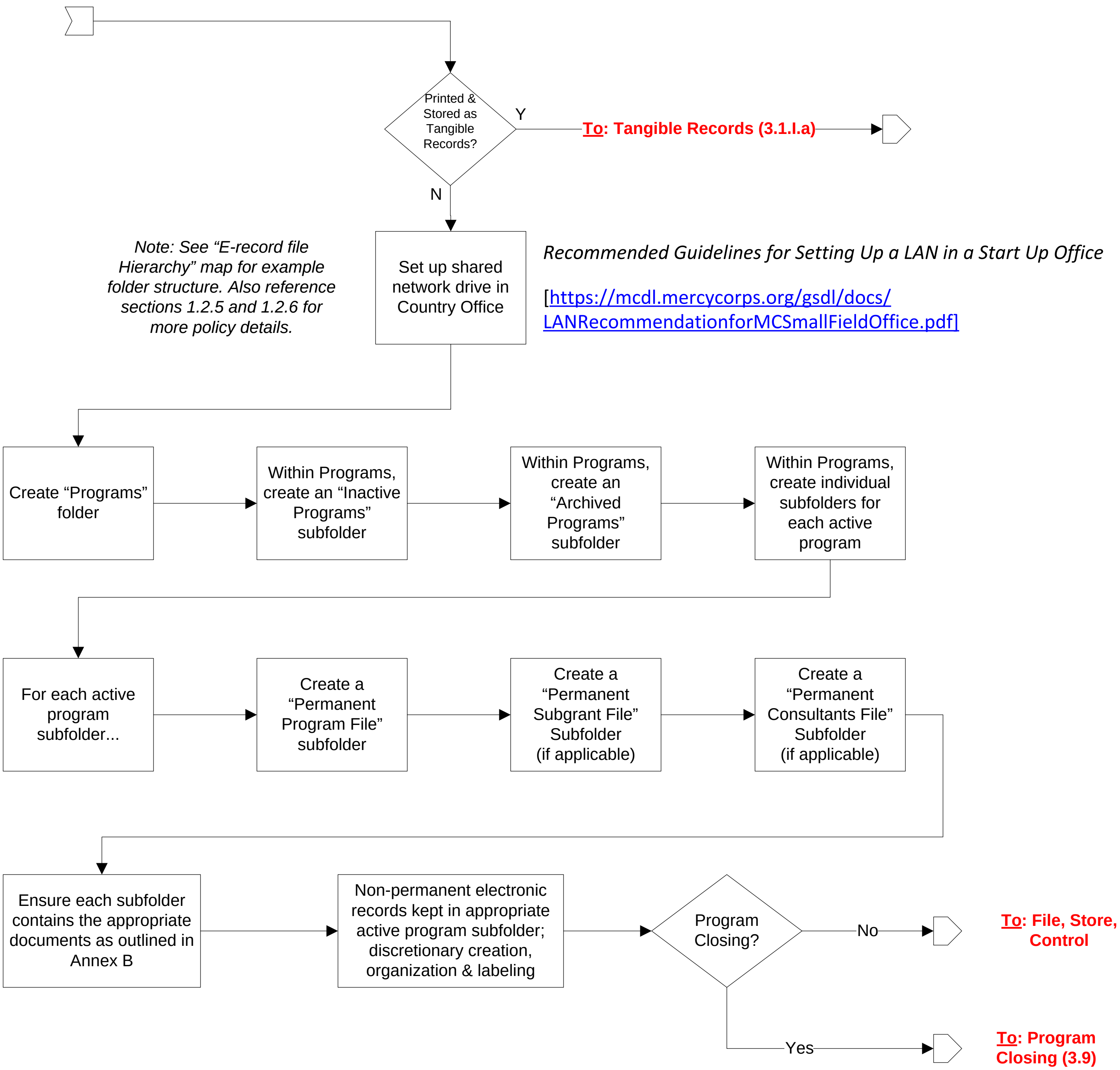
Retention & Archiving Guidelines (3.1)



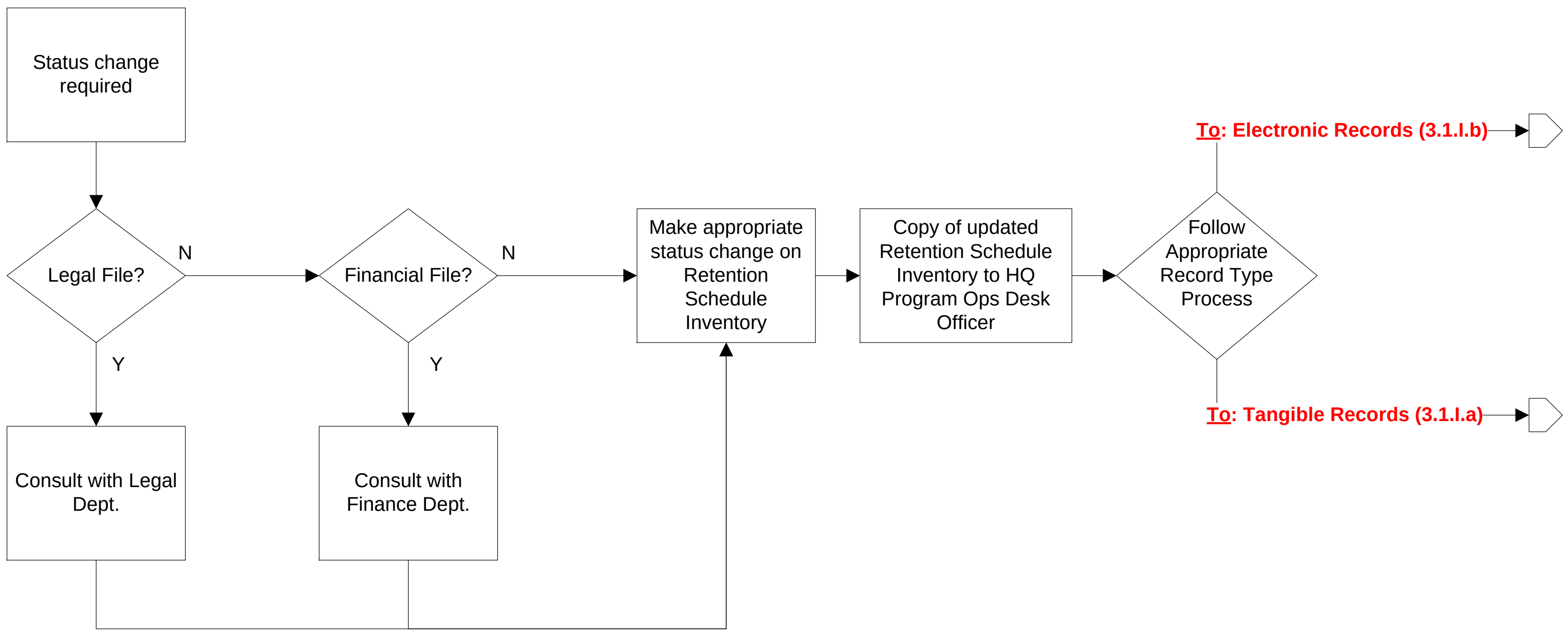
Tangible Records (3.1.I.a)



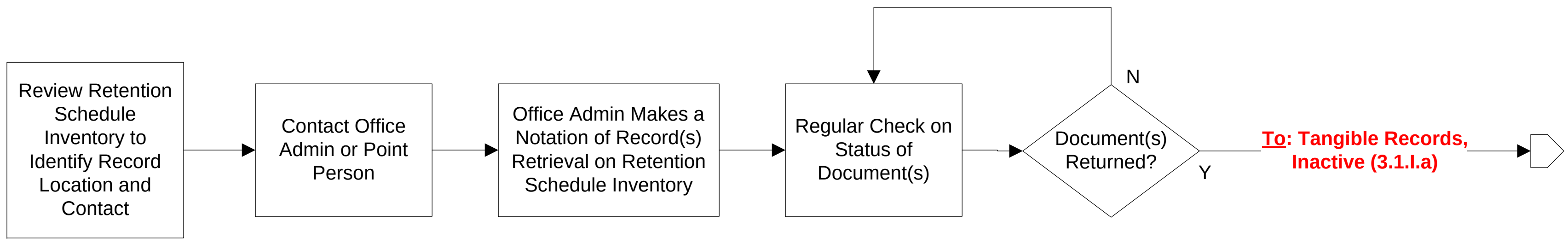
Electronic Records (3.1.I.b)



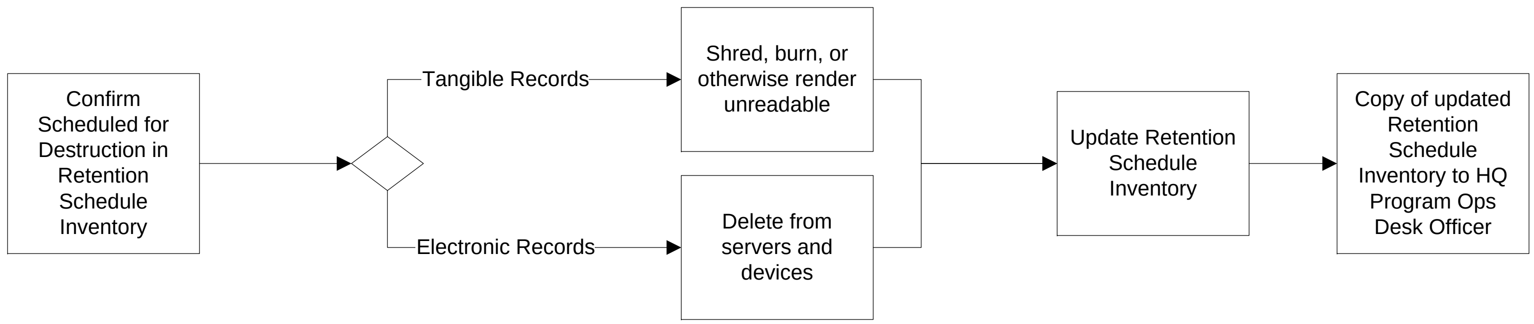
Status Change (3.2)



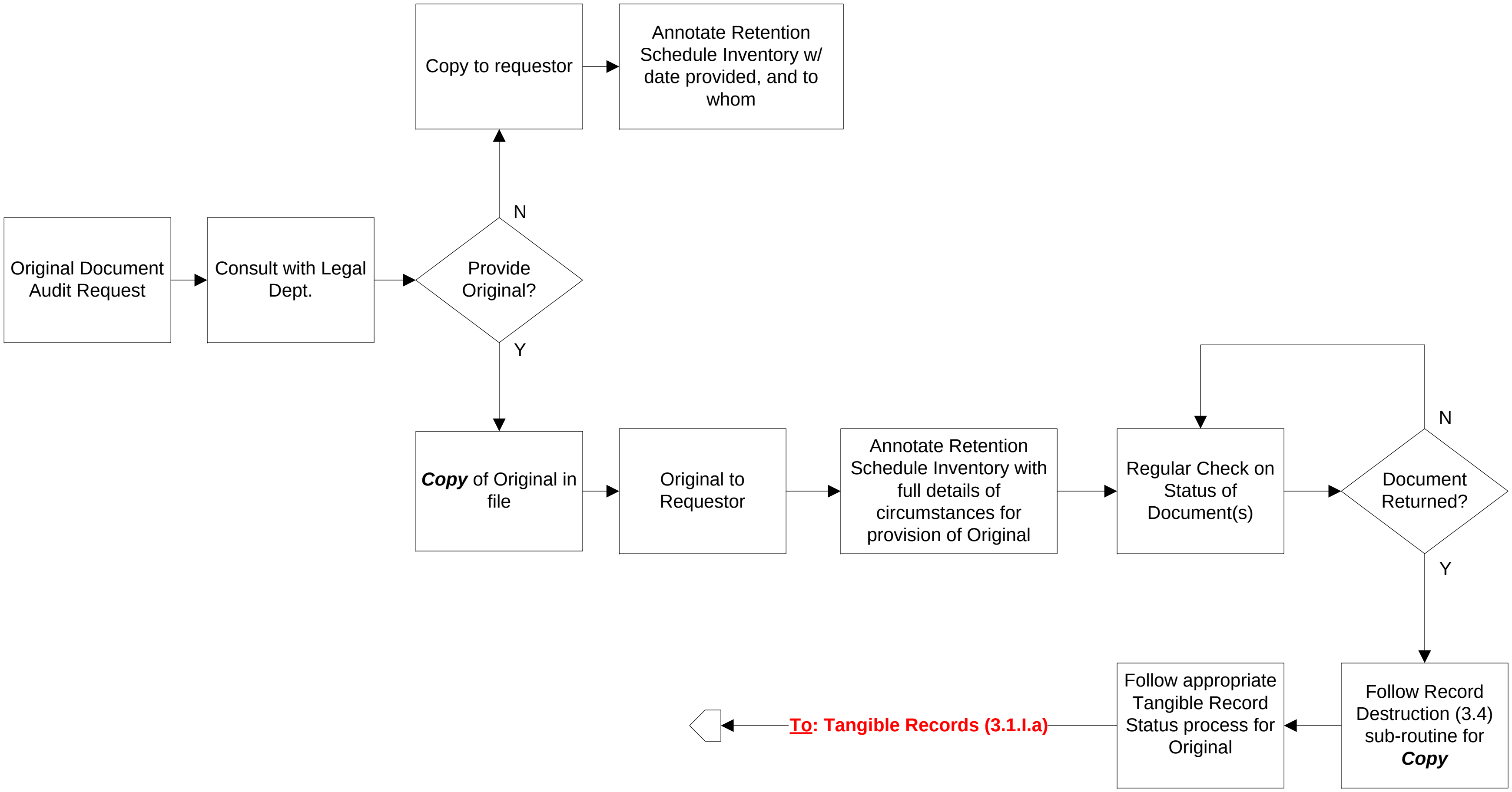
Retrieve Inactive Records (3.3)



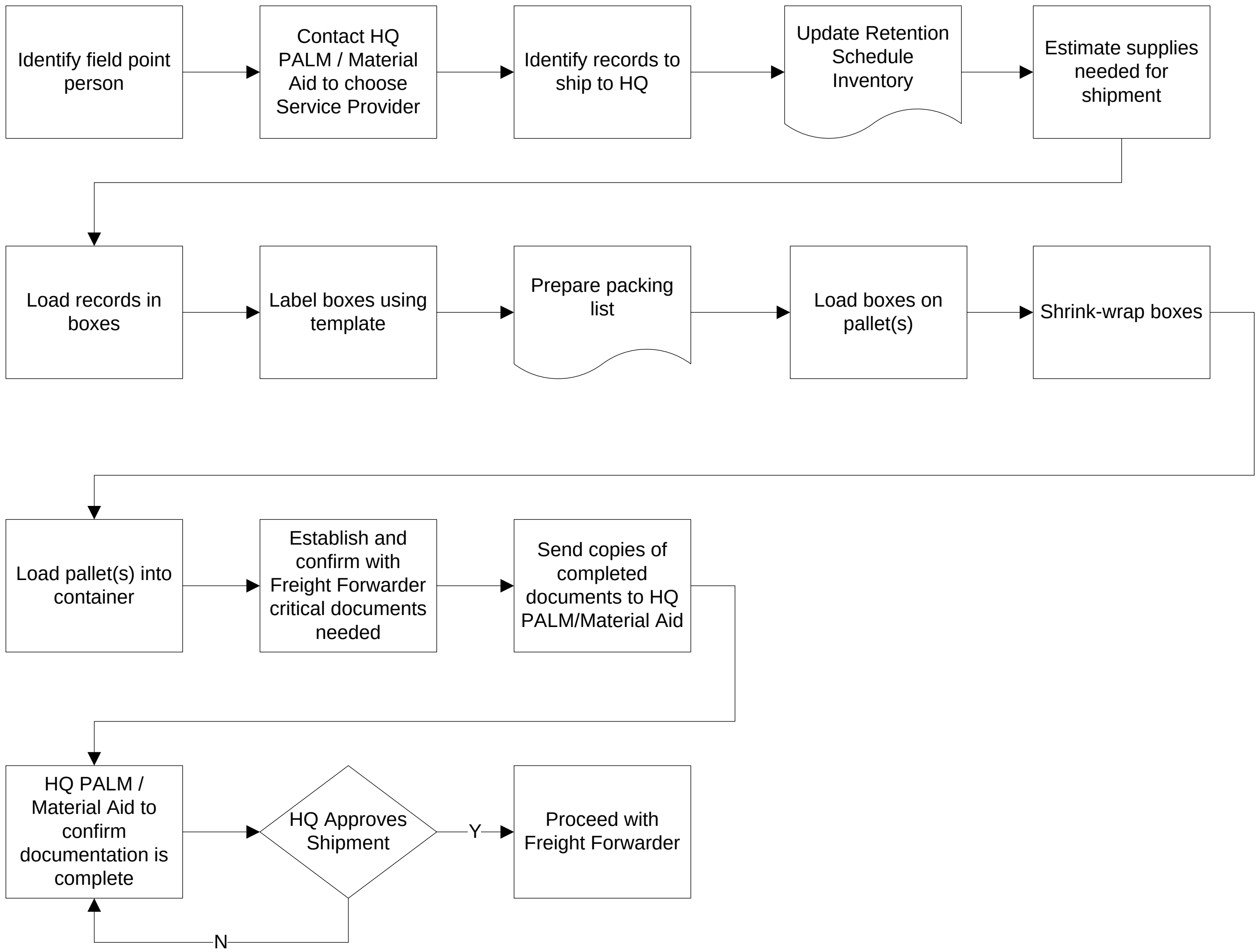
Record Destruction (3.4)



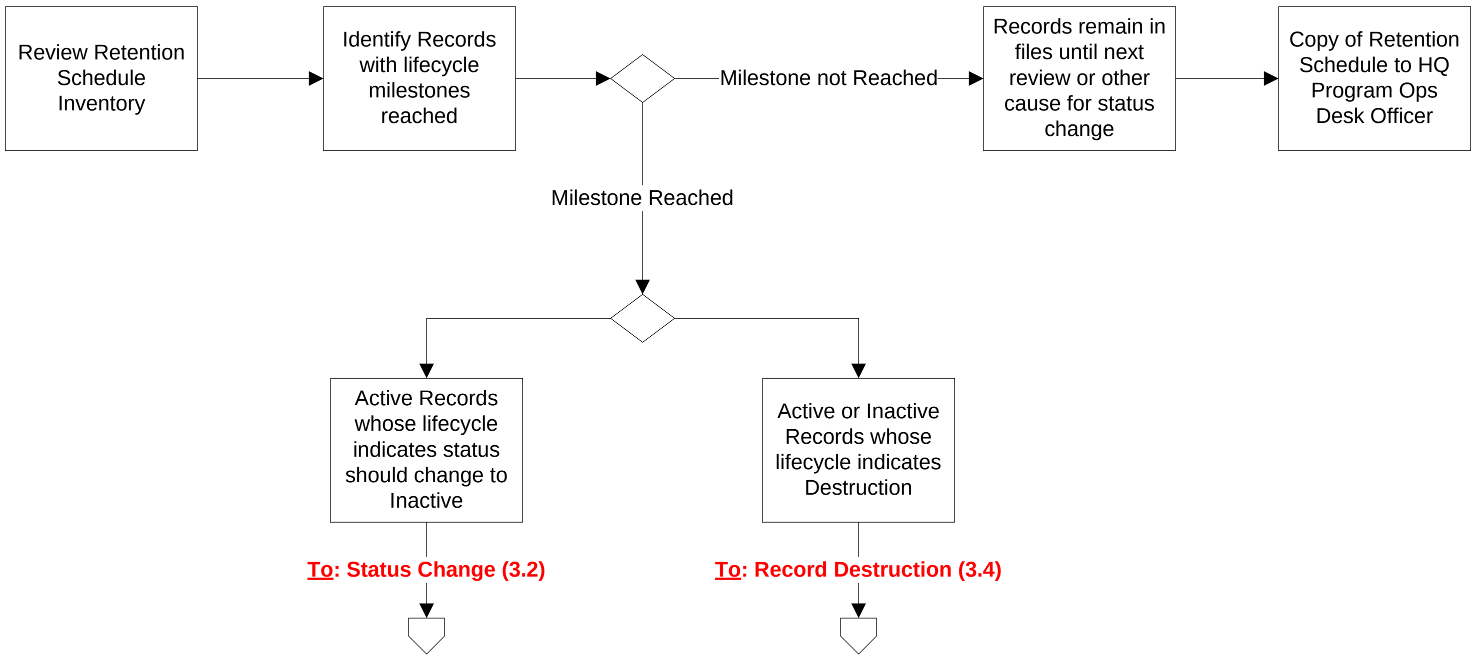
Original Record Request (3.5)



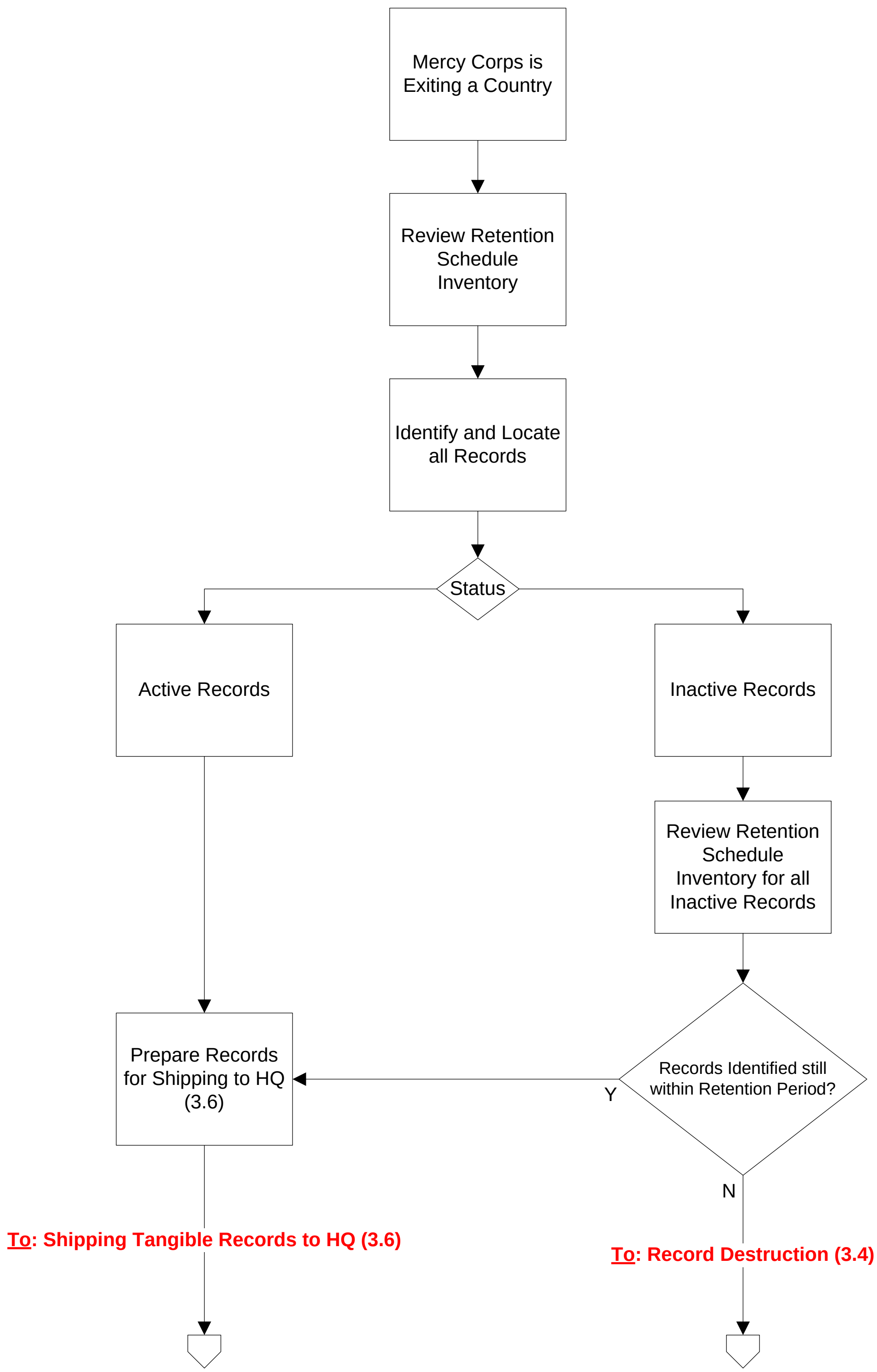
Shipping Tangible Records to US HQ (3.6)



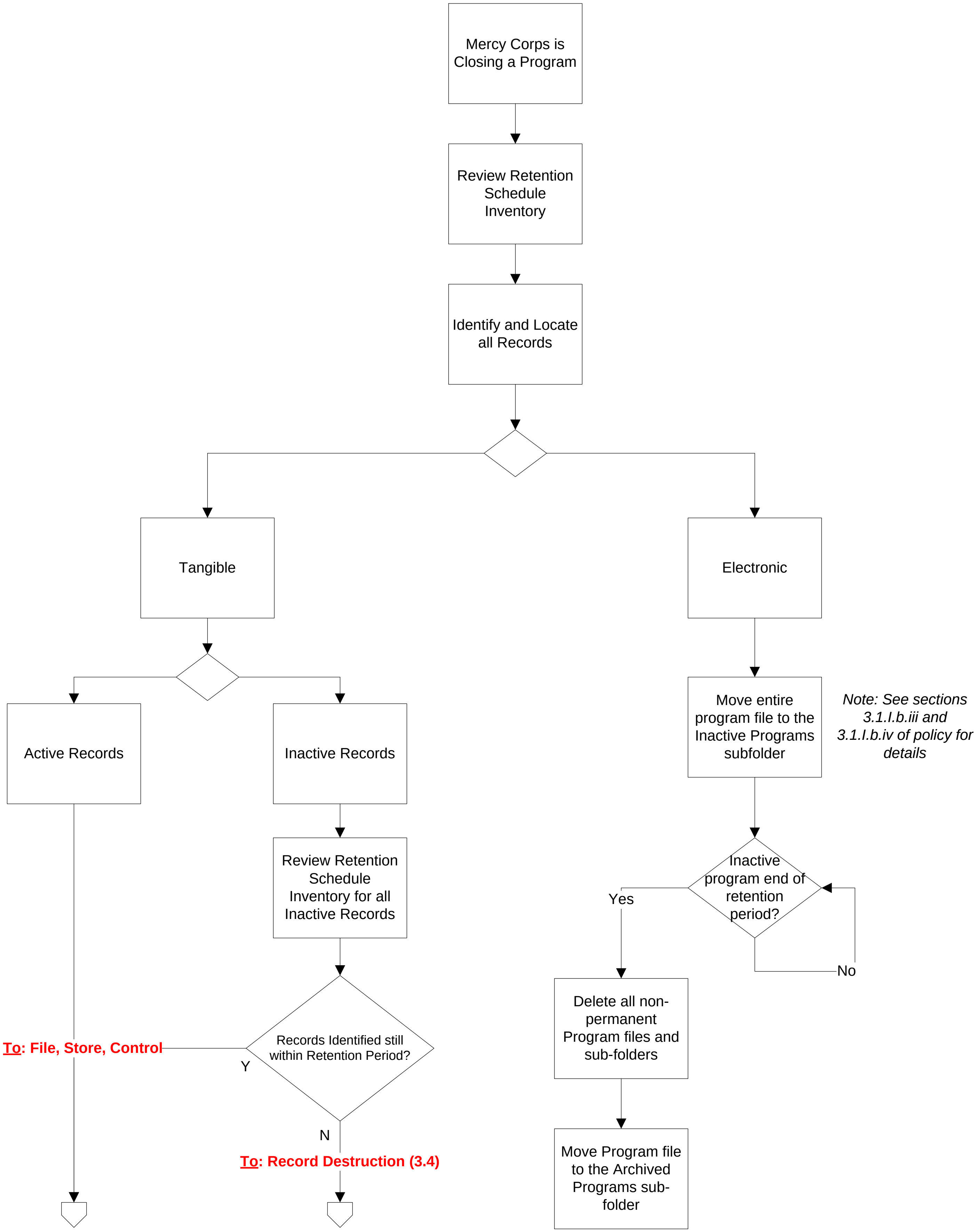
Annual Review (3.7)



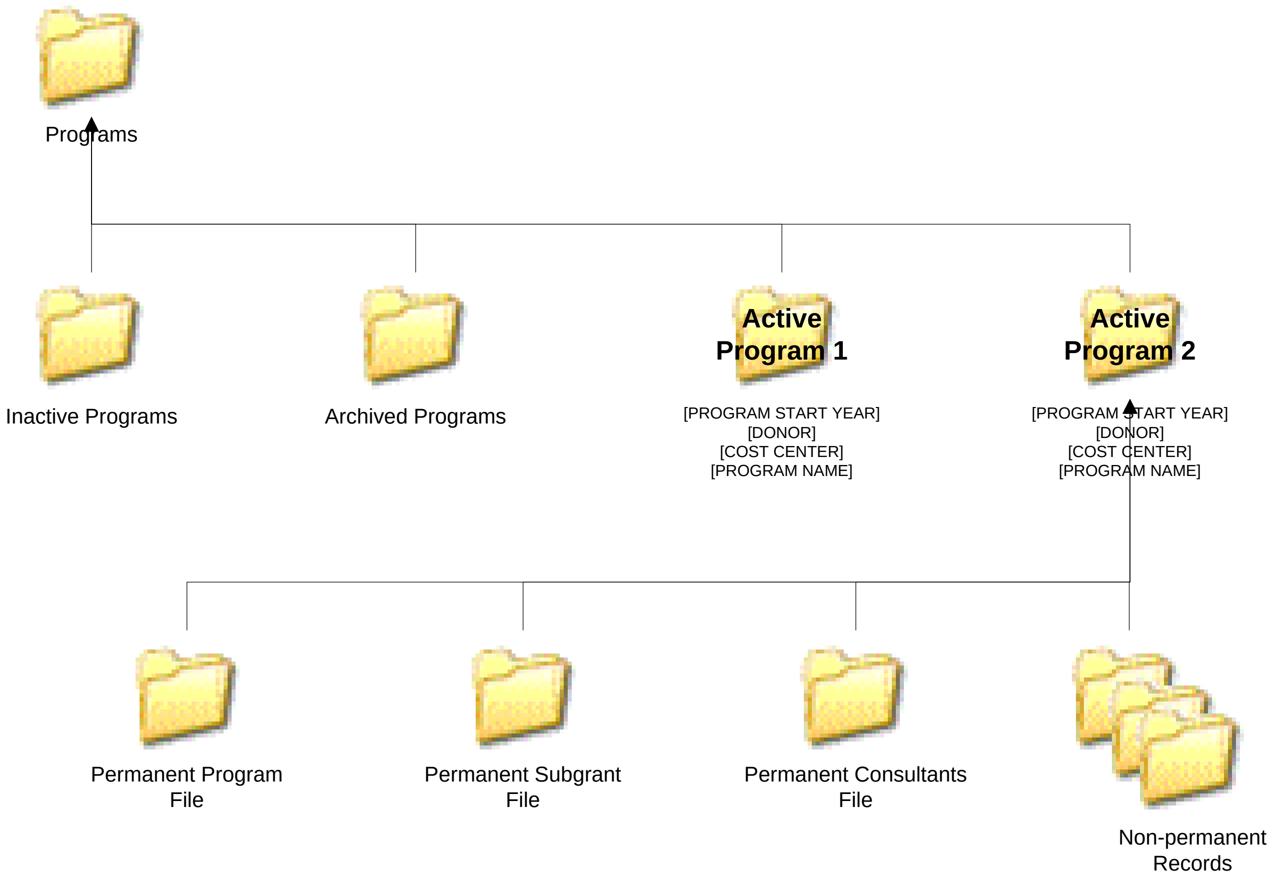
Exiting a Country (3.8)



Program Closing (3.9)



Electronic Records File Hierarchy Example



File, Store, Control