
U.S. Department of State Records Schedule

Chapter 04: Personnel Records

General

A-04-001-01a **Official Personnel Files**

Description: a. Foreign Service Administrative Folders on separated FS employees.

Official personnel actions and related administrative records of Foreign Service employees, excluding performance ratings and related records, documenting their service with the Department and any prior Federal service.

Disposition: Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 3)

DispAuthNo: DAA-GRS-2017-0007-0001 (G) **Date Edited:** 9/1/2017

A-04-001-01b **Official Personnel Files**

Description: b. Foreign Service Performance Folders on separated Foreign Service Employees. Performance ratings, commendations, training reports, Inspector reports, official reprimands, end use summary reports, etc., of Foreign Service employees.

Disposition: Retire to RSC 1 year after separation of employee. Destroy 15 years after separation.

DispAuthNo: NN-174-029, item 1 **Date Edited:** 4/1/1999

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A-04-001-01c Official Personnel Files

Description: c. Official Personnel Folders of Civil Service Employees.

Consists of record copies of documents covering their entire Federal service as prescribed in the Federal Personnel Manual and related Departmental guidelines.

Long-term records. Records of separated employees saved to the "permanent" folder in the eOPF or filed on the right side of the hardcopy OPF.

Exclusion: OPFs for employees separated prior to December 31, 1973. It is the responsibility of OPM to schedule these records.

Exclusion: Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule.

Note 1: For transferred employees, see Chapter 7 of The Guide to Personnel Recordkeeping for instructions.

Note 2: Hardcopy original personnel folders scanned into the Enterprise Human Resource Integration (EHRI) eOPF Database are covered by GRS 5.2, Transitory and Intermediary Records, item 020.

Disposition: Temporary. Destroy when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 1b)

DispAuthNo: DAA-GRS-2017-0007-0004 (G **Date Edited:** 6/14/2019

A-04-001-02 Reserved

Description:

Disposition:

DispAuthNo: Reserved **Date Edited:** 6/26/2003

A-04-001-03 Official Personnel Folder - Policy and Precedent File

Description: Includes files relating to content and use of Official Personnel Folders, including such matters as employee taxes, emergency visitation, travel, court appearances, legal opinions, proposed changes to FAM, retirement, etc.

Disposition: Retire inactive files to Personnel Policy Reference File (PER/MGT/RR).

DispAuthNo: NC-059-75-05, item 1a **Date Edited:** 4/1/1999

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A-04-001-04 Personnel Files Survey Records

Description: Background and studies for the reorganization of the PER files including reports and recommendations, approved plans for implementing the files project, progress reports, disposal authorizations, etc.

Disposition: Retire inactive files to Personnel Policy Reference File (PER/MGT/RR).

DispAuthNo: NC-059-75-05, item 1b **Date Edited:** 4/1/1999

A-04-001-05 Reserved

Description:

Disposition:

DispAuthNo: Reserved **Date Edited:** 6/26/2003

A-04-001-06 Overseas Employment (OE) Claims

Description: Claims by current or former FSN employees pertaining to personnel issues requesting compensation. Consists of a wide variety of copies of claim forms and a wide range of copies of personnel paperwork that may cover several decades. Contains copies of: correspondence, personnel forms, superior reports of injury, request for change of classification or designation, unpaid compensation, etc. Also contains copies of official records, legislation enacted by Congress, legal documents supporting relationship of claimant to the FSN, agency investigation of claim, recommendations, and final decisions.

a. Recordkeeping copy (paper.)

Disposition: TEMPORARY: Retire to RSC 1 year after all claims in folder have been totally resolved on that individual. Destroy when 7 years old. (N1-059-88-30)

DispAuthNo: N1-059-00-14, item 7a **Date Edited:** 1/14/2002

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Employment

A-04-002-01a **Recruitment and Employment General Subject Files**

Description: Correspondence, reports and other reference material pertaining to the operation and administration of recruitment and employment functions.

a. Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy when 10 years old. (NC1-59-80-5, item 1)

DispAuthNo: N1-059-00-07, item 1a **Date Edited:** 9/7/2001

A-04-002-02 **Applicant Control Card (DS-905)**

Description: Card reference file containing information on status of applicant while being processed for employment.

Disposition: Destroy when no longer needed for reference purposes.

DispAuthNo: NN-173-128, item 1 **Date Edited:** 4/1/1999

A-04-002-03a **Trip Files**

Description: Correspondence, reports and other documentation of recruitment trips, conferences, and speaking engagements.

a. Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy when 5 years old. (NC1-59-80-5, item 2)

DispAuthNo: N1-059-00-07, item 2a **Date Edited:** 9/7/2001

A-04-002-04a **Applicant Files**

Description: Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the OPM and agencies, allowing for the examination and certification of applicants for employment. Files include applications for employment (SF-171 or similar form) related forms, and correspondence, i.e. students.

a. Cancelled and ineligible applications for positions filled from a register or inventory. Such documents include Optional form (OF) 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

Disposition: TEMPORARY. Cut off annually. Destroy 1 year after cutoff (Supersedes GRS 1, item 33k)

DispAuthNo: DAA-GRS-2014-0002-0011 (G **Date Edited:** 11/8/2018

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A-04-002-04b **Job Application Packages**

Description: Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the OPM and agencies, allowing for the examination and certification of applicants for employment. Files include applications for employment (SF-171 or similar form) related forms, and correspondence, i.e. students.

a. Eligible applications for positions filled from a register or inventory, including OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

(1) On active/inactive register or inventory.

b. Eligible applications for positions filled by case examining that either are not referred to the hiring official or are returned to the examining office by the hiring official. Such documents include OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

c. Ineligible or incomplete applications for positions filled by case examining. Such documents include OF 612, resumes, supplemental forms, whether in hard copy or electronic format.

Note: This item is only for copies of materials submitted to and maintained in systems that receive job applications. Copies of these records used to fill job vacancies are covered under job vacancy case files (Items 050 and 051).

Disposition: Temporary. Destroy 1 year after date of submission. (Supersedes GRS 1, item 33l(1) and GRS 1, item 33l(2))

DispAuthNo: DAA-GRS-2014-0002-0011 (G **Date Edited:** 9/7/2017

A-04-002-05 **Dossiers - Successful Career (FSO) Candidates**

Description: Consists of correspondence, working papers, forms and other documentation developed in the course of pre-employment processing.

Disposition: Destroy 10 years after year in which appointment is made. (NN-173-128, item 2)

DispAuthNo: NC1-059-80-05, item 3 **Date Edited:** 4/1/1999

A-04-002-06 **Dossiers - Unsuccessful Career (FSO) Candidates**

Description: Includes correspondence, working papers, applications, statements of reasons for wanting to join the Foreign Service, autobiographic data, and panel report.

Disposition: Destroy 10 years after year in which exam is given. (NN-173-128, item 3)

DispAuthNo: NC1-059-80-05, item 4 **Date Edited:** 4/1/1999

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A-04-002-07a(1)	Dossiers-Foreign Service Reappointment Candidates
Description:	a. Dossiers of Foreign Service Reappointment Candidates who took the oral examination. Correspondence and other documentation concerning reappointment to the Foreign Service including Qualifications Evaluation Report and report of oral examination. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY: Retire to RSC 2 years after the year of reappointment for transfer to WNRC. Destroy when 7 years old.
DispAuthNo:	N1-059-00-07, item 3a(1) Date Edited: 9/7/2001
A-04-002-07b(1)	Dossiers-Foreign Service Reappointment Candidates
Description:	b. Dossiers of Foreign Service Reappointment Candidates who did not take the oral examination. Correspondence and other documentation concerning reappointment to the Foreign Service including Qualifications Evaluation Report. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY: Destroy 2 years from the date of most recent documentation.
DispAuthNo:	N1-059-00-07, item 3b(1) Date Edited: 9/7/2001
A-04-002-08	Pre-employment Correspondence - Successful Applicants (Excluding those covered by Items 040205 and 040207)
Description:	Correspondence, forms, form letters, telegrams, etc., concerning applications for employment, security and medical clearances, job requirements, status of application, etc. Includes chronology sheets, interview reports, and Applicant Processing Form.
Disposition:	Destroy 2 years after applicant has been appointed.
DispAuthNo:	NN-173-168, item 1 Date Edited: 4/1/1999
A-04-002-09	Affirmative Action System
Description:	Affirmative Action Master - An on-line information system used to track the employment process of screened applicants to the Foreign Service for Affirmative Action purposes. Data includes personal information about the applicant.
Disposition:	Destroy when active agency use ceases.
DispAuthNo:	NC1-059-83-04, item 1 Date Edited: 4/1/1999

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A-04-002-10 Foreign Service Nationals Master

Description: Position Control System - An on-line information system containing information on each foreign national employed by the State Department and is used to make resource decisions for overseas posts. Data includes name, position identification, location, grade level, skill codes, and salary.

Disposition: Destroy when active agency use ceases.

DispAuthNo: NC1-059-83-04, item 22 **Date Edited:** 4/1/1999

A-04-002-11a Dossiers-Foreign Service Non-career Appointees

Description: Includes correspondence and other documentation concerning appointment to the Foreign Service outside the examination process.

a. Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy 2 years from the date of most recent documentation.

DispAuthNo: N1-059-00-07, item 4a **Date Edited:** 9/13/2001

A-04-002-12a Recruitment and Employment Policy and Procedure Files

Description: Correspondence, reports, reference material, policy documentation, and procedural matters relating to the development and administration of Recruitment and Employment.

a. Recordkeeping copy (paper).

Disposition: PERMANENT: Retire to RSC when 10 years old for transfer to WNRC. Transfer to NARA when 20 years old.

DispAuthNo: N1-059-00-07, item 5a **Date Edited:** 9/13/2001

A-04-002-13a Diplomat-in-Residence General Subject Files

Description: Consists of general information regarding the Diplomat-in-Residence Program, correspondence with university officials regarding the program, participants report on the program.

a. Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy when 3 years old.

DispAuthNo: N1-059-00-07, item 6a **Date Edited:** 9/13/2001

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A-04-002-14a Diplomat-in-Residence Case Files

Description: Correspondence with university and ambassador regarding appointment of Diplomat-in-Residence, and reports on evaluation of activities on campus.

a. Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy when 3 years old.

DispAuthNo: N1-059-00-07, item 7a

Date Edited: 9/14/2001

A-04-002-16a Employee Drug Test Plans, Procedures, and Scheduling Records

Description: Drug testing program records pertaining to the development of procedures, such as the determination of testing incumbents in designated positions and selection of specific employees/applicants for testing. Includes:

- agency copies of plans and procedures, with related drafts, correspondence, and memoranda
- lists of selectees
- notification letters
- testing schedules

Exclusion 1: Documents filed in record sets of formally issued documents, such as directives, procedure handbooks, and operating manuals. Schedule these on agency-specific schedules.

Exclusion 2: Consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f), are covered in GRS 5.7, Agency Accountability Records.

Exclusion 3: Oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice. Schedule these on agency-specific schedules.

Disposition: Temporary. Destroy when 3 years old or when superseded or obsolete. (Supersedes GRS 1, item 36a and GRS 1, item 36c)

DispAuthNo: DAA-GRS-2017-0010-0016 (G

Date Edited: 1/18/2018

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A-04-002-16b	Employee Drug Test Acknowledgment of Notice Forms
Description:	Forms completed by employees whose positions are designated sensitive for drug testing purposes, acknowledging they have received notice and they may be tested.
Disposition:	Temporary. Destroy when employee separates from testing-designated position. (Supersedes GRS 1, item 36b)
DispAuthNo:	DAA-GRS-2017-0010-0017 (G Date Edited: 1/18/2018)
A-04-002-16c	Employee Drug Testing Specimen Records
Description:	Identifying data on each specimen, recorded at each collection site in the order in which the specimen was collected. Includes records used to maintain control and accountability of specimens from the point of collection to final disposition, e.g., chain-of-custody records.
Disposition:	Temporary. Destroy 3 years after date of last entry or when 3 years old, whichever is later. (GRS 1, item 36d2)
DispAuthNo:	DAA-GRS-2017-0010-0018 (G Date Edited: 9/3/2019)
A-04-002-16d	Employee Drug Test Results
Description:	Records documenting individual test results, including testing reports, notification of employees and employing offices, and documents relating to follow-up testing. (1) Positive Results. Exclusion: Drug test results of applicants for employment are covered by GRS 2.1, Employee Acquisition Records, items 050 and 051.
Disposition:	Temporary. Destroy when employee leaves the agency or when 3 years old, whichever is later. (Supersedes GRS 1, item 36e(1)a)
DispAuthNo:	DAA-GRS-2017-0010-0019 (G Date Edited: 9/3/2019)

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A-04-002-16e Employee Drug Test Results

Description: Records documenting individual test results, including testing reports, notification of employees and employing offices, and documents relating to follow-up testing.

(1) Negative Results.

Exclusion: Drug test results of applicants for employment are covered by GRS 2.1, Employee Acquisition Records, items 050 and 051.

Disposition: Temporary: Destroy when 3 years old. (Supersedes GRS 1, item 36e(2))

DispAuthNo: DAA-GRS-2017-0010-0020 (G **Date Edited:** 9/3/2019)

A-04-002-17 Job Vacancy Case Files

Description: Case files an agency creates when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes:

- request for lists of eligible candidates
- job announcement
- examination announcement
- job analysis, assessment criteria, and crediting plan
- basis for certification
- applications, resumes, supplemental forms, other attachments
- list of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification
- certificates, registers or lists of eligible candidates issued to selecting officials
- job-related test records
- mandatory applicant drug test records
- annotated certificates of eligible candidates returned by selecting officials
- job offers
- records of job offer being accepted or declined
- correspondence/documentation of announcement or recruiting operation

Legal citation: 5 CFR 335.103

Disposition: Temporary. Destroy 2 years after termination of register. (Supersedes GRS 1, item 36e(1)b).

DispAuthNo: DAA-GRS-2017-0011-0002 (G **Date Edited:** 1/4/2018)

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Board of Examiners of the Foreign Service

A-04-003-01a **FSO Written Examination Master File**

Description: Consist of one copy of the FSO Written Examination for each year.

Disposition: PERMANENT: Retire to RSC every 5 years for transfer to the WNRC. Transfer to the National Archives when 25 years old. (NC1-59-80-20, items 1a and 1b)

DispAuthNo: N1-059-00-07, item 9 **Date Edited:** 6/18/2007

A-04-003-02a **Master File of Agenda and Minutes of the Board of Examiners of the Foreign Service**

Description: a. Recordkeeping copy (paper).

Disposition: PERMANENT: Retire to RSC when 10 years old for transfer to WNRC. Transfer to National Archives when 25 years old.

DispAuthNo: N1-059-00-07, item 10a **Date Edited:** 9/10/2001

A-04-003-03a **Examination General Subject Files**

Description: Arranged by subject. Includes correspondence and memoranda relating to preparation and grading of Written Examination by a contract testing service; procedures for oral examinations; lists of candidates designated for appointment; press releases or other publicity on examinations; and any other pertinent reports or studies.

a. Recordkeeping copy (paper).

Disposition: PERMANENT. Retire to RSC when 5 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC1-59-80-20, item 3)

DispAuthNo: N1-059-00-07, item 11a **Date Edited:** 9/10/2001

A-04-003-04 **Readers Reports on Written Examinations**

Description: Master File of Reports.

Disposition: Permanent. Retire to RSC when 5 years old. Transfer to National Archives when 20 years old.

DispAuthNo: NC1-059-80-20, item 4a **Date Edited:** 4/1/1999

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A-04-003-05	Summary and Oral Examination Rating Sheets
Description:	
Disposition:	Destroy 5 years after date of examination.
DispAuthNo:	NN-171-171, item 2 Date Edited: 4/1/1999
A-04-003-06	Candidate Card Record, 1960
Description:	Machine produced card records of candidates who have taken the written examination for appointment as a Foreign Service Officer. Shows date, type of examination taken and scores.
Disposition:	Destroy when 3 years old.
DispAuthNo:	NC1-059-83-06, item 1b Date Edited: 4/1/1999
A-04-003-07a	Application for Designation to Take Written Examination - Includes applications, biographic and other data submitted by candidate
Description:	a. Applicants ruled ineligible to take or who are designated to take the written examination but withdraw or fail to appear for examination.
Disposition:	Destroy 6 months from date of examination.
DispAuthNo:	II-NNA-400, items 9a and 9b Date Edited: 4/1/1999
A-04-003-07b	Application for Designation to Take Written Examination - Includes applications, biographic and other data submitted by candidate
Description:	b. Applicants who fail to pass written examination.
Disposition:	Destroy 1 year after date of examination.
DispAuthNo:	II-NNA-400, item 9c Date Edited: 4/1/1999
A-04-003-08a	Dossiers - Successful FSO Candidates
Description:	Dossiers of officer candidates who were certified for and accepted appointment. Includes correspondence with applicant, report of Oral Assessment, and information on experience. a. Recordkeeping copy (paper).
Disposition:	TEMPORARY: Retire to RSC 2 years after the year of appointment for transfer to WNRC. Destroy when 7 years old.
DispAuthNo:	N1-059-00-07, item 14a Date Edited: 4/1/1999

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A-04-003-09a(1) **Dossiers - Unsuccessful FSO Candidates**

Description: a. Dossiers of officer candidates who, after having taken the Written Examination, were determined to be eligible for the Oral Assessment but were not appointed. Includes correspondence with applicant, report of any Oral Assessment, and information on experience.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Retire to RSC 2 years after the year of the Written Examination for transfer to WNRC. Destroy when 7 years old. (NC1-59-83-6, item 3)

DispAuthNo: N1-059-00-07, item 15a(1) **Date Edited:** 9/10/2001

A-04-003-09b(1) **Dossiers - Unsuccessful FSO Candidates**

Description: b. Dossiers of officer candidates who, after having passed the Qualifications Evaluation Panel process, took the oral examination but were not appointed. Includes correspondence with applicant, report of the oral examination, and information on experience.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy 2 years from the date of the most recent documentation.

DispAuthNo: N1-059-00-07, item 15b(1) **Date Edited:** 9/12/2001

A-04-003-09c(1) **Dossiers - Unsuccessful FSO Candidates**

Description: c. Dossiers of officer candidates who failed the Qualifications Evaluation Panel Process or who, having passed that process, failed to take the oral examination. Includes correspondence with applicant and information on experience.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Retire to RSC 2 years after the year of the oral examination for transfer to WNRC. Destroy when 7 years old.

DispAuthNo: N1-059-00-07, item 15c(1) **Date Edited:** 9/12/2001

A-04-003-10 **Declaration Sheets**

Description: Includes name and address of candidate and serial number of examination.

Disposition: Destroy after candidates have been notified of grades and grades have been recorded on permanent record card.

DispAuthNo: II-NNA-400, item 12 **Date Edited:** 6/18/2007

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A-04-003-11	Dossiers - Unsuccessful Applicants, Wriston Program
Description:	Dossiers of personnel who were occupying positions in the Department which were declared dual service. These employees were never integrated into the Foreign Service because of failure to pass physical or oral examinations, were under age, lacked service time or voluntarily declined integration.
Disposition:	Destroy all folders of candidates who are 55 years old or older.
DispAuthNo:	II-NN-3412, item 2
	Date Edited: 4/1/1999
A-04-003-12	Lateral Entry General Subject File
Description:	Consists of correspondence, reports and other documentation pertaining to policy and procedural matters affecting the Lateral Entry Program.
Disposition:	Retire policy documents to RSC when 5 years old for permanent retention. Destroy all non-policy material when 2 years old.
DispAuthNo:	NN-171-171, item 4
	Date Edited: 4/1/1999
A-04-003-13	Lateral Entry Case File
Description:	Consists of application, correspondence, Qualifications Evaluation Report, oral examination report and approved recommendations of Board.
Disposition:	Retire to RSC after 2 years. Destroy 8 years thereafter.
DispAuthNo:	NN-173-062, item 3
	Date Edited: 4/1/1999
A-04-003-14a	Dossiers-Successful Specialist Candidates
Description:	Dossiers of specialist candidates who were certified for and accepted appointment. Includes correspondence with applicant, report of oral examination, and information on experience. a. Recordkeeping copy (paper).
Disposition:	TEMPORARY: Retire to RSC 2 years after the year of appointment for transfer to WNRC. Destroy when 7 years old. (NC1-59-83-6, item 4)
DispAuthNo:	N1-059-00-07, item 16a
	Date Edited: 9/7/2001

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A-04-003-15a(1)	Dossiers - Unsuccessful Specialist Candidates
Description:	a. Dossiers of specialist candidates who, having passed the Qualification Evaluation Panel process, took the oral examination but were not appointed. Includes correspondence with applicant, report of oral assessment, and information on experience. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY: Retire to RSC 2 years after the year of the oral examination for transfer to WNRC. Destroy when 7 years old. (NC1-59-83-6, item 5)
DispAuthNo:	N1-059-00-07, item 17a(1) Date Edited: 9/7/2001
A-04-003-15b(1)	Dossiers - Unsuccessful Specialist Candidates
Description:	b. Dossiers of specialist candidates who failed the Qualification Evaluation Panel process or who, having passed that process, failed to take the oral examination. Includes correspondence with applicant and information on experience. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY: Destroy 2 years from the date of the most recent documentation.
DispAuthNo:	N1-059-00-07, item 17b(1) Date Edited: 9/12/2001
A-04-003-18	FSO Written Examination Applications and Answer Sheets
Description:	Applications for FSO Written Examination and answer sheets for applicants who take that examination.
Disposition:	TEMPORARY: Destroy after 6 months.
DispAuthNo:	N1-059-00-07, item 13 Date Edited: 9/14/2001
A-04-003-19a	Examination Policy and Procedure File
Description:	Consist of correspondence, reports, reference material, policy documentation and procedural matters relating to the development and administration of the Examination process. a. Recordkeeping copy (paper).
Disposition:	PERMANENT: Retire to RSC when 10 years old for transfer to WRNC. Transfer to the National Archives when 25 years old.
DispAuthNo:	N1-059-00-07, item 19a Date Edited: 9/17/2001

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A-04-003-20 FSO Written Examination Results

Description: Registers of candidate names and statistical tabulations submitted by the contract testing service.

Disposition: TEMPORARY: Retire to RSC when 7 years old for transfer to WNRC. Destroy when 20 years old.(NC1-59-80-20, item 4b)

DispAuthNo: NC1-059-00-07, item 12

Date Edited: 9/10/2001

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Personnel Statistics and Reports

A-04-004-01a General Subject File

Description: Correspondence, proposals, memoranda and other papers relating to the automation of various personnel programs, including inter-office correspondence between PER and Payroll.

Major policy, plans and procedures regarding PER reports including PER input into ADP.

1. Recordkeeping copy (paper)

Disposition: TEMPORARY: Retire inactive files when 5 years old to RSC for transfer to WNRC. Destroy when 15 years old. (NC-59-75-7, item 11a)

DispAuthNo: N1-059-00-08, item 1(1) **Date Edited:** 7/12/2007

A-04-004-02 Personnel Audit Reports (PARs)

Description: ADP report sheets filed alphabetically by name of employee. Reviewed for corrections and ultimately entered into the automated system on magnetic tape.

Disposition: Destroy when 2 years old.

DispAuthNo: NC-059-75-06, item 2 **Date Edited:** 4/1/1999

A-04-004-03 Global Employment Management System (GEMS)

Description: This corporate on-line system will provide comprehensive employment data for all direct-hire Department of State (DOS) employees and will be the primary system for processing DOS SF-50, personnel actions. Employment and position data are updated for each personnel-related action. The system will provide the most current information, as well as, maintain a complete chronological history on all employees. Data includes name, social security number, sex, citizenship, marital status, number and birth dates of eligible family members, date and place of employee birth, career data such as educational levels, colleges attended, major subjects, skill codes, foreign language training and examination scores; job history data such as current position, title, grade, location and inclusive dates, previous assignments, including grades and dates, and data on employees and potential employees whose assignments are pending; organizational hierarchies, including accounting information; and additional data, such as awards, disciplinary actions, etc.

Disposition: See each item for specific NARA approved disposition.

DispAuthNo: N1-059-00-08 **Date Edited:** 6/18/2007

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A-04-004-03a	Global Employment Management System (GEMS)
Description:	a. Information reflecting monthly personnel and position data for each calendar year, beginning 1998. This information reflects monthly transactions and end-of-year December personnel data for each calendar year, beginning December 1971 and information reflecting this data for each calendar year, beginning o/a January 1991.
Disposition:	PERMANENT. Transfer data reflecting December personnel data for each calendar year beginning December 1971 in a format that meets NARA transfer requirements for electronic media at the time of transfer. (NC1-59-83-4, item 25a)
DispAuthNo:	N1-059-00-08, item 4a Date Edited: 10/23/2002
A-04-004-03b	Global Employment Management System (GEMS)
Description:	b. All other storage media.
Disposition:	TEMPORARY. Destroy when active agency use ceases. (NC1-59-83-4, item 25b)
DispAuthNo:	N1-059-00-08, item 4b Date Edited: 10/23/2002
A-04-004-03c(1)	Global Employment Management System (GEMS)
Description:	c. Outputs (1) Employee Profile - GEMS output that consist of ADP reports that reflect an employee employment history during their tenure with the Department of State. Reviewed for corrections and ultimately entered into the automated Central Personnel System.
Disposition:	TEMPORARY. Destroy when 2 years old. (NC-59-75-6, item 2)
DispAuthNo:	N1-059-00-08, item 4c(1) Date Edited: 10/23/2002
A-04-004-03c(2)	Global Employment Management System (GEMS)
Description:	c. Outputs (2) Table of ADP Codes GEMS output that consist of Monthly computer printout used in conjunction with the Office of Personnel Management for entering data in the automated Central Personnel System.
Disposition:	TEMPORARY. Destroy when superseded. (NC-59-75-6, item 3)
DispAuthNo:	N1-059-00-08, item 4c(2) Date Edited: 10/23/2002

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A-04-004-03c(3)	Employee Management Administrative Records
Description:	<p>Global Employment Management System (GEMS) outputs such as Staffing Patterns, Monthly Action Reports, and Report of Federal Civilian Employment (SF-113-A).</p> <p>Records on routine office program support, administration, and human resources operations. Includes:</p> <ul style="list-style-type: none">• reports, including annual reports to the Department of State concerning the number of official passports issued and related matters• reports from subordinate units regarding statistics and other reporting measures• general correspondence with internal agency offices and with OPM• general correspondence with travelers regarding official passport application procedures and documentation requirements• statistics, including lists of official passport holders <p>Exclusion: Agency reports received by the Department of State document the Department's mission and must be scheduled by the Department.</p>
Disposition:	Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 16)
DispAuthNo:	DAA-GRS-2017-0007-0001 (G Date Edited: 9/1/2017
A-04-004-03c(4)	Global Employment Management System (GEMS)
Description:	<p>Output - General Personnel Statistical Studies.</p> <p>Includes Geographic Survey, Grade Breakdown by Organization, FSO Positions by Functions, Foreign Service Accessions, Men and Women Count by Grade, Excepted Positions, Labor Department Reports and Foreign Service Separations.</p>
Disposition:	TEMPORARY. Delete when 2 years old or when no longer needed for reference purposes, whichever is later. (NC-59-75-6, item 2)
DispAuthNo:	N1-059-00-08, item 4c(4) Date Edited: 10/23/2002
A-04-004-04a	Personnel Action Handbook
Description:	<p>Master File set and history or background documents.</p> <p>1. Recordkeeping copy (paper).</p>
Disposition:	TEMPORARY. Retire when superseded to Records Service Center for transfer to WNRC. Destroy when 20 years old. (NC-59-75-6, item 4a)
DispAuthNo:	N1-059-00-08, item 2(1) Date Edited: 8/6/2007

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A-04-004-04b Personnel Action Handbook

Description: Working papers and other related files.

Disposition: Destroy when 2 years old.

DispAuthNo: NC-059-75-06, item 4b **Date Edited:** 4/1/1999

A-04-004-05 OPM Input Actions (CPDF)

Description: Office of Personnel Management Computer Printout of State Department Personnel Actions.

Disposition: TEMPORARY. Destroy when 1 year old. (NC-59-75-6, item 5)

DispAuthNo: N1-059-00-08, item 3 **Date Edited:** 6/26/2003

A-04-004-06 Personnel Employment Reports

Description: Summary of Employment

Disposition: TEMPORARY. Retire inactive reports to Personnel Policy Central Reference File.

DispAuthNo: NC-059-75-07, item 1 **Date Edited:** 4/1/1999

A-04-004-07 Reserved for future use.

Description: test

Disposition:

DispAuthNo: Reserved **Date Edited:** 10/23/2002

A-04-004-08 Personnel on Detail to other Agencies - Yearly Analytical Report

Description:

Disposition: TEMPORARY. Destroy when 1 year old.

DispAuthNo: NC-059-75-07, item 3 **Date Edited:** 4/1/1999

A-04-004-09 Reserved for future use

Description:

Disposition:

DispAuthNo: Reserved **Date Edited:** 4/1/1999

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A-04-004-10	Language Training Statistical Reports
Description:	
Disposition:	TEMPORARY. Destroy when 1 year old.
DispAuthNo:	NC-059-75-07, item 5 Date Edited: 4/1/1999
A-04-004-11	Semi-annual Report of Consultants on the Rolls of the Department
Description:	Master List of Consultants.
Disposition:	TEMPORARY. Retain in PER. Destroy when 20 years old or sooner if no longer needed for reference use.
DispAuthNo:	NC-059-75-07, item 6 Date Edited: 4/1/1999
A-04-004-12	Periodic Statistical Reports
Description:	Required to implement policy changes, including the hiring of consultants, termination of Foreign Service Reserve Officers, Service Computation Date Listings for FSRS, etc.
Disposition:	TEMPORARY. Destroy when 1 year old.
DispAuthNo:	NC-059-75-07, item 7 Date Edited: 4/1/1999
A-04-004-13	Weekly Report of Personnel Actions, DS-1666 (Front Pages)
Description:	
Disposition:	TEMPORARY. Destroy when 1 year old.
DispAuthNo:	NC-059-75-07, item 8 Date Edited: 4/1/1999
A-04-004-15	Monthly Federal Employment Statistics Bulletins issued by the Office of Personnel Management
Description:	
Disposition:	TEMPORARY. Destroy when no longer needed for reference.
DispAuthNo:	Non-Record Date Edited: 4/1/1999

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A-04-004-16a	Personnel From Side (PERFS)
Description:	PERFS is an automated computer system used to prepare SF-52 (Request for Personnel Action) forms, electronically route them for all required approvals, and automatically update the central personnel and payroll databases. (System discontinued in April 1999) a. Master file maintained on network server.
Disposition:	TEMPORARY. File may be deleted when 10 years old. (N1-059-88-16)
DispAuthNo:	N1-059-00-08, item 5a Date Edited: 10/23/2002
A-04-004-16b	Personnel From Side (PERFS)
Description:	b. System tapes retained by IRM. Magnetic tape copies reflecting daily and monthly transactions of personnel data for each calendar year, beginning December 1985.
Disposition:	TEMPORARY. Destroy after approval of this schedule.
DispAuthNo:	N1-059-00-08, item 5b Date Edited: 10/23/2002
A-04-004-17a	Notifications of Personnel Actions
Description:	Copies of Standard Form 50, documenting all individual personnel actions such as hiring, promotions, transfers, and separation. Includes chronological files, fact sheets, general correspondence, and forms about pending personnel actions maintained by agency Human Resources offices. Exclusion: SF-50s filed in the OPF. Items 040 and 041 of this schedule cover these records.
Disposition:	Temporary. Destroy when business use ceases. (Supersedes GRS 1, item 14a and GRS 1, item 14b)
DispAuthNo:	DAA-GRS-2017-0007-0006 (G Date Edited: 9/1/2017

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A-04-004-18	Integrated Personnel Management System (IPMS) Foreign Service Assignment Management Application (IFSAMA)
Description:	<p>IFSAMA is a computer system that replaced the Automated Personnel Transactions System (APTS) in November 1997 and controls all phases of the Foreign Service personnel assignment and travel process. It tracks and reports on employee assignment, employee travel history, and the Foreign Service bidding process. It also collects training data, eligible family member information, employee and eligible family member medical information, tour of duty data and pending assignment data.</p> <p>Cartridge tape copies reflecting Foreign Service assignment and travel related data for each calendar month since November 1997.</p>
Disposition:	TEMPORARY. Cut off annually. Delete when obsolete or no longer needed. (N1-059-88-15)
DispAuthNo:	N1-059-00-08, item 7
	Date Edited: 10/23/2002
A-04-004-19	Personnel Historical Information Storage House (PHISH)
Description:	<p>PHISH is an information system that provides summarized information in specific areas of interest as identified by users in a graphical interface. It performs reporting, ad hoc queries, and maintenance and security for the reporting data. It captures both current and historical information on employee, position, and transaction data from 1992 to present.</p> <p>Magnetic tape copies reflecting monthly transactions of personnel data for each calendar year.</p>
Disposition:	TEMPORARY. Destroy when no longer needed to backup GEMS.
DispAuthNo:	N1-059-00-08, item 8
	Date Edited: 10/23/2002
A-04-004-20	Post Personnel System (PS)
Description:	PS is a computer system that tracks employee and position data on Foreign Service National employees and employees hired and/or serving at overseas posts from both the Department of State and other federal agencies. Magnetic tape.
Disposition:	TEMPORARY. Cut off annually. Retain at Post for 5 years then transfer to RSC. Destroy after 5 years at RSC.
DispAuthNo:	N1-059-00-08, item 9
	Date Edited: 10/23/2002

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A-04-004-21 Automated Foreign Service Employment Recruitment System (AFSERS)

Description: This system tracks employment applications for Foreign Service generalists and specialists. It maintains a register of qualified applicants for each program and includes security clearance and medical information on the applicant and family members.

Disposition: TEMPORARY. Delete when no longer needed or superseded.

DispAuthNo: N1-059-00-08, item 10 **Date Edited:** 10/23/2002

A-04-004-22-25 Reserved for Future Use.

Description:

Disposition:

DispAuthNo: Reserved **Date Edited:** 10/23/2002

A-04-004-26a Official Personnel Folders (OPF)

Description: a. Foreign Service Administrative Folders.

Official personnel actions and related administrative records of Foreign Service employees, excluding performance ratings and related records documenting their service with the Department and any prior Federal service.

(1) Recordkeeping copy (paper).

Short-term records. Records of separated employees saved to the "temporary" folder in the eOPF or filed on the left side of the hardcopy OPF.

Exclusion: USCIS Form I-9 and performance-related records. See item 060 of this schedule for I-9 Forms and items 070, 071, 072, and 073 for disposition of temporary performance-related records.

Disposition: Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier. (Supersedes GRS 1, item 10a)

DispAuthNo: DAA-GRS-2017-0007-0005 (G) **Date Edited:** 9/1/2017

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A-04-004-26b Official Personnel Folders (OPF)

Description: Foreign Service Performance Folders.

Performance ratings, commendations, training reports, Inspector reports, official reprimands, end-use summary reports, etc. of Foreign Service employees. (FS Act of 1980 as amended dated January 1992 P.L.. 96-465).

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY. Retire to RSC 1 year after separation of employee for transfer to WNRC. Destroy 15 years after separation.

DispAuthNo: N1-059-00-08, item 11b(1)

Date Edited: 10/24/2002

A-04-004-26c Official Personnel Folders (OPF)

Description: Civil Service Administrative Folders.

Recordkeeping copy (paper).

Official Personnel Folders of Civil Service employees, consisting of record copies of documents covering their entire Federal service as prescribed in the OPM operating manual, Guide to Personnel Recordkeeping and related Department guidelines.

Short-term records. Records of separated employees saved to the "temporary" folder in the eOPF or filed on the left side of the hardcopy OPF.

Exclusion: USCIS Form I-9 and performance-related records. See item 060 of this schedule for I-9 Forms and items 070, 071, 072, and 073 for disposition of temporary performance-related records.

Exclusion: Agencies not subject to OPM recordkeeping requirements under title 5, U.S. Code, should apply their own agency-specific schedule. Note 1: For transferred employees, see Chapter 7 of The Guide to Personnel Recordkeeping for instructions.

Note 2: Hardcopy original personnel folders scanned into the Enterprise Human Resource Integration (EHRI) eOPF Database are covered by GRS 5.2, Transitory and Intermediary Records, item 020.

Disposition: Temporary. Destroy when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier. (Supersedes GRS 1, item 10a)

DispAuthNo: DAA-GRS-2017-0007-0005 (G

Date Edited: 9/1/2017

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A-04-004-26d(1)(a) Employee Performance File System Records

Description: Acceptable performance appraisals of non-senior executive service employees. Performance records for employees as defined in 5 U.S.C. 4301(2)).

Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system.

Exclusion 1: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule.

Exclusion 2: Performance records of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA.

Legal citation: 5 CFR Part 293.404

Disposition: Temporary. Destroy no sooner than 4 years after date of appraisal, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 23; GRS 1, item 23a(1); GRS 1, item 23a(2); GRS 1, item 23a(3)(a); GRS 1, item 23a(3)(b); GRS 1, item 23a(4); and GRS 1, item 23a(5))

DispAuthNo: DAA-GRS-2017-0007-0008 (G) **Date Edited:** 9/3/2017

A-04-004-26d(2)(a) Employee Performance File System Records

Description: Records of senior executive service employees. Performance records for employees as defined in 5 U.S.C. 3132a(2). Includes records of performance ratings boards.

Employee performance records are ratings of record, the performance plans on which ratings are based, supporting documentation for those ratings, and any other performance-related material required by an agency's performance appraisal system.

Exclusion 1: Performance records of Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an agency-specific schedule to NARA.

Exclusion 2: Performance records superseded through an administrative, judicial, or quasi-judicial procedure are covered by item 073 of this schedule. Legal citation: 5 CFR Part 293.404

Disposition: Temporary. Destroy no sooner than 5 years after date of appraisal, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 9)

DispAuthNo: DAA-GRS-2017-0007-0010 (G) **Date Edited:** 8/31/2017

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A-04-004-27a Employee Service Record

Description: a. Electronic Records.

Effective January 1995, an on-line information system has provided service card data for each Civil Service and Foreign Service employee who separated or transferred from the Department since 1988. Information contains the Personnel Audit Report (PAR) and information from the last separation Notification of Personnel Action (SF-50). Data is downgraded to magnetic tape to perform an annual backup of all data associated with the Folder System.

Disposition: TEMPORARY. Retain on magnetic tape in the Department Human Resources Records Division (HR/EX/ADM/RM) until no longer needed for reference purposes. (NC1-059-80-16)

DispAuthNo: N1-059-00-08, item 12a

Date Edited: 10/29/2002

A-04-004-27b Employee Service Record

Description: b. Paper records 1976 thru 1994.

Information consists of Personnel Audit Report (PAR) and the last Notification of Personnel Action (SF-50).

Disposition: TEMPORARY. Retain in the Department Human Resources Records Division (HR/EX/ADM/RM) until no longer needed for reference purposes.

DispAuthNo: N1-059-00-08, item 12b

Date Edited: 10/29/2002

A-04-004-27c Employee Service Record

Description: Microfilm Copies - 1940 to 1975.

Disposition: PERMANENT: Transfer immediately to NARA upon approval of this schedule.

DispAuthNo: N1-059-00-08, item 12c

Date Edited: 10/30/2002

A-04-004-28 Administrative Clearances for Separation (DA-8A)

Description: Contains original form prepared by administrative office in the Department or at post at the time employee separates from either the Foreign Service or Civil Service, indicating the return of security identification card, parking permit, dining room pass, or library card. This item does not include forms DS-8, Fiscal Clearance for Final Salary Payment, or OF-109, Separation Statement.

a. Recordkeeping copy (paper).

Disposition: TEMPORARY. Destroy 6 months after separation of employee.

DispAuthNo: N1-059-00-08, item 13a

Date Edited: 10/30/2002

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A-04-004-29 Freedom of Information and Privacy Acts Card File

Description: Alphabetical card file of individuals requesting access to personnel records under provisions of the Freedom of Information and Privacy Acts, showing the nature of the request, the action taken on the request and the time spent.

Disposition: Temporary. Destroy or delete 5 years after date of last entry, final action by agency (such as downgrading, transfer or destruction of related classified documents, or release of information from controlled unclassified status) or final adjudication by courts, as may apply, whichever is later; but longer retention is authorized if required for business use. (Supersedes GRS 14, item 13a)

DispAuthNo: DAA-GRS-2016-0002-0004 (G **Date Edited:** 11/8/2018

Director General of the Foreign Service

A-04-005-01a Director General Messages

Description: Communications between the Director General of the Foreign Service and the Principal Officer of a Foreign Service post on sensitive personnel matters (captioned DIRGEN CHANNEL). Also included are communications dealing with agreement requests for American Ambassadors and Ministers as well as matters relating to the appointment, resignation, or transfer of an American Chief of Mission or Charge dAffairs (captioned AGREEMENT CHANNEL).

a. Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy when 5 years old.(NC1-59-79-9)

DispAuthNo: N1-059-00-01, item 1a **Date Edited:** 6/18/2007

A-04-005-02a Correspondence Files

Description: Consists of letters, telegrams, memoranda and miscellaneous correspondence, prepared by the Director General pertaining to administrative and sensitive personnel matters, etc.

a. Recordkeeping copy (paper)

Disposition: TEMPORARY. Retire to RSC when 2 years old for transfer to WNRC. Destroy when 5 years old.

DispAuthNo: N1-059-00-01, item 2a **Date Edited:** 6/18/2007

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Civil Service Personnel Management

A-04-006-01a(1) Civil Service Personnel Management**Official Position Descriptions.****Description:** a. Master

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY. Destroy 5 years after position is abolished or description is superseded.**DispAuthNo:** N1-059-00-09, item 1a(1)**Date Edited:** 6/19/2002

A-04-006-01b Official Position Descriptions**Description:** b. All other copies.**Disposition:** TEMPORARY. Destroy 2 years after position is abolished or description is superseded. (GRS 1, item 7b)**DispAuthNo:** N1-059-00-09, item 1b**Date Edited:** 6/19/2002

A-04-006-02a Merit Promotion Applicant Files**Description:** Files relate to Department employees and applicants outside the Department. Included are requests for personnel action (SF-52), vacancy announcements, crediting plans, applications for Federal employment, performance appraisals, panel ratings and summary sheets and related correspondence. Consist of DS-1740, Panel Evaluation Report, DS-1738, Application for Vacancy, request for Merit Promotion Certificate, DS-1737, Job Opportunity Announcement, DS-1739, Experience and Qualifications Statement for Top Ranking Candidates, DS-1297, Merit Promotion and Placement Certificate, position description and related correspondence.

a. Recordkeeping copy (paper).

Disposition: TEMPORARY. Retire to RSC 1 year after personnel action. Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner. (GRS 1, item 32)**DispAuthNo:** N1-059-00-09, item 2a**Date Edited:** 6/19/2002

A-04-006-03 RESERVED.**Description:****Disposition:****DispAuthNo:** Reserved**Date Edited:** 6/19/2002

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A-04-006-04 Automated Staffing Control System

Description: This on-line system facilitates the tracking of applicants. It provides access to pertinent applicant data, employment applications, vacancy announcement and position description numbers, qualifications and scores of applicants and action taken on selections/non selections.

Disposition: TEMPORARY. Delete 2 years after the personnel action is completed.

DispAuthNo: N1-059-00-09, item 4

Date Edited: 6/19/2002

A-04-006-05a Pre-Appointment Files

Description: Files relate to Department employees and applicants outside the Department selected for vacancies. Included are copies of applications for employment, position descriptions, SF-52, Request for Personnel Action, finger print charts, security clearances, and other related correspondence.

a. Recordkeeping copy (paper).

Disposition: TEMPORARY. Transfer documents appropriate for the Official Personnel Folder (OPF) and destroy remainder once individual enters on duty.

DispAuthNo: N1-059-00-09, item 5a

Date Edited: 6/19/2002

A-04-006-06a Priority Consideration Files

Description: Files relate to Department employees and applicants outside the Department. Included are applications for Federal employment, correspondence that documents eligibility for priority consideration, and other correspondence pertinent to the case.

a. Recordkeeping copy (paper).

Disposition: TEMPORARY. Cut off files at end of calendar year in which person was placed in position. Destroy 1 year after cutoff.

DispAuthNo: N1-059-00-09, item 6a

Date Edited: 6/19/2002

A-04-006-07 RESERVED

Description:

Disposition:

DispAuthNo: Reserved

Date Edited: 6/19/2002

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A-04-006-08a	Senior Executive Service (SES) Staffing Files
Description:	Files relate to Department employees and applicants outside the Department. Included are requests for personnel action (SF-52), vacancy announcement, applications for Federal employment, performance appraisals, panel rating and summary sheets and related correspondence. a. Recordkeeping copy (paper).
Disposition:	TEMPORARY. Destroy after OPM audit or 2 years after personnel action is completed, whichever is sooner. (GRS 1, item 15)
DispAuthNo:	N1-059-00-09, item 8a Date Edited: 6/19/2002
A-04-006-09a(1)	Senior Executive Service (SES) Performance Documents
Description:	(1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure. a. Recordkeeping copy (paper).
Disposition:	TEMPORARY. Destroy when superseded. (GRS 1, item 23b(1))
DispAuthNo:	N1-059-00-09, item 9(1)(a) Date Edited: 8/2/2007
A-04-006-09b(1)(a)	Senior Executive Service (SES) Performance Documents
Description:	2. Performance-related records pertaining to a former SES appointee. a. Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating. (GRS 1, item 23b (2)(a)) (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY. Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal service.
DispAuthNo:	N1-059-00-09, item 9(2)(a)(1) Date Edited: 8/2/2007
A-04-006-09b(2)(a)	Senior Executive Service (SES) Performance Documents
Description:	b. All other performance ratings and plans. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY. Destroy when 5 years old, or when no longer needed, whichever is sooner. (GRS 1, item 23b(2)(b))
DispAuthNo:	N1-059-00-09, item 9(2)(b)(2) Date Edited: 8/2/2007

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A-04-006-09c(1)	Senior Executive Service (SES) Performance Documents
Description:	3. All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment. a. Recordkeeping copy (paper).
Disposition:	TEMPORARY. Destroy 5 years after date of appraisal. (GRS 1, item 23b(3))
DispAuthNo:	N1-059-00-09, item 9(3)(a) Date Edited: 8/6/2007

A-04-006-09d(1)	Senior Executive Service (SES) Performance Documents
Description:	4. Supporting documents. a. Recordkeeping copy (paper).
Disposition:	TEMPORARY. Destroy 5 years after date of appraisal or when no longer needed, whichever is sooner. (GRS 1, item 23b(4))
DispAuthNo:	N1-059-00-09, item 9(4)(a) Date Edited: 8/6/2007

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Awards and Incentives

A-04-007-01a(1) **Awards General Subject File**

Description: Consists of correspondence, reports, memoranda, staff studies and other documentation of the establishment and administration of awards.

a. Material documenting the establishment of specific awards.

(1) Recordkeeping copy (paper)

Disposition: Temporary. Retire to RSC when 5 years old for transfer to WNRC. Destroy when 50 years old. (NC-59-75-8, item 1a)

DispAuthNo: N1-059-00-11, item 10a(1)

Date Edited: 4/16/2002

A-04-007-01b(1) **Awards General Subject File**

Description: b. All other material including vouchers and reports.

(1) Recordkeeping copy (paper)

Disposition: Temporary. Destroy when 5 years old. (NC-59-75-8, item 1b)

DispAuthNo: N1-059-00-11, item 10b(1)

Date Edited: 4/16/2002

A-04-007-02a **Programs from Honor Awards Ceremonies**

Description: a. Recordkeeping copy (paper)

Disposition: Temporary. Destroy when 10 years old. Earlier destruction is authorized if no longer needed for administrative use. (NC-59-75-8, item 2)

DispAuthNo: N1-059-00-11, item 11a

Date Edited: 4/16/2002

A-04-007-03a **Employee Suggestion Files**

Description: Suggestion Program Form (DS-1856) and related office and post correspondence submitted under the Department beneficial suggestions programs.

a. Recordkeeping copy (paper)

Disposition: Temporary. Destroy 2 years after case is closed. (NC-59-75-8, item 3)

DispAuthNo: N1-059-00-11, item 12a

Date Edited: 4/16/2002

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A-04-007-04	Cash Award Vouchers
Description:	Initiating office copy of vouchers for funds paid out to employees in the form of cash awards.
Disposition:	Destroy when 1 year old.
DispAuthNo:	NC-059-75-08, item 4
	Date Edited: 4/1/1999
A-04-007-05	Employee Blood Donor Record Card File
Description:	For emergency use in cases where blood is needed by an employee of the Department or a member of an employee family.
Disposition:	Destroy when 50 years old.
DispAuthNo:	NC-059-75-08, item 5
	Date Edited: 4/1/1999
A-04-007-06a	Combined Federal Campaign Records
Description:	Including list of quotas, pink copy of Keyman report by office, and other related documents. a. Recordkeeping copy (paper).
Disposition:	TEMPORARY: Destroy after GAO audit or when 3 years old, whichever is sooner. (GRS 2, item 15)
DispAuthNo:	N1-059-00-10, item 1a
	Date Edited: 2/27/2002
A-04-007-07a	U.S. Savings Bond Drive Records
Description:	Including correspondence regarding participation, quotas, distribution, organization and publicity. a. Recordkeeping copy (paper).
Disposition:	TEMPORARY: Destroy when 2 years old. (NC-59-75-8, item 7)
DispAuthNo:	N1-059-00-10, item 2a
	Date Edited: 2/27/2002
A-04-007-08	Blood Donor Program Records
Description:	Including correspondence covering emergency needs, "Gallon Club" member list, Blood Drive correspondence, and printing specifications and requisitions for Blood Donor Certificates.
Disposition:	Destroy when 3 years old.
DispAuthNo:	NC-059-75-08, item 8
	Date Edited: 4/1/1999

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A-04-007-09a	Discipline Case Files on Foreign Service and Civil Service Employees
Description:	Case files consisting of personnel sensitive reports of investigations concerning allegations of misconduct, disciplinary actions taken, various correspondence, memoranda, and other documentation pertaining to the case. a. Recordkeeping copy (paper).
Disposition:	TEMPORARY: Cut off file when case is closed. Retire to RSC 5 years after cutoff for transfer to WNRC. Destroy 20 years after cutoff.
DispAuthNo:	N1-059-00-10, item 3a Date Edited: 2/27/2002
A-04-007-10a	Alternative Dispute Resolution (ADR) Program Files
Description:	Documents reflect notes on ADR cases, agreements to mediate, settlement agreements, memorandums of understanding and case documentation. a. Recordkeeping copy (paper).
Disposition:	TEMPORARY: Cut off file when dispute is resolved. Retire two RSC 5 years after cutoff for transfer to WNRC. Destroy 10 years after cutoff.
DispAuthNo:	N1-059-00-10, item 5a Date Edited: 2/27/2002
A-04-007-11	Grievance, Appeals and Disciplinary Tracking and Reporting (GADTRAKS)
Description:	This database provides historical and statistical data on conduct suitability and discipline case files on Foreign Service and Civil Service employees. Includes pertinent data on employee, type of case, received and resolved dates, specialist assigned to the case, action taken, and status.
Disposition:	TEMPORARY: Retain in HR/ER office. Delete individual case when active agency use ceases.
DispAuthNo:	N1-059-00-10, item 6 Date Edited: 10/30/2001

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A-04-007-12a(1) Workers Compensation Claim Files

Description: Consist of medical information, medical bill payments, reimbursement requests, Department of Labor Office of Workers Compensation Programs (OWCP) correspondence, agency and employee responses to OWCP requests for information. Excludes copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.

a. Minor Claims Files

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff. (GRS 1, item 31)

DispAuthNo: N1-059-00-10, item 7a(1) **Date Edited:** 6/19/2007

A-04-007-13 Workers Compensation Tracking System

Description: This database system includes all workers compensation claims filed by employees. It allows for tracking the progress of claims and providing information in response to requests made by Office of Workers Compensation Program (OWCP). Included is pertinent data on employee, type of injury, status of claim, etc.

Disposition: TEMPORARY: Retain in HR/ER office. Delete individual record when active agency use ceases.

DispAuthNo: N1-059-00-10, item 8 **Date Edited:** 2/27/2002

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A-04-007-13b(1)	Workers' Compensation (personnel injury compensation) Records
Description:	<p>Records of agencies that forward case file material to DOL for retention in DOL's master OWCP records.</p> <p>Federal Employees' Compensation Act case files on injuries Federal employees sustain, while performing their duties that result in lost time or death, whether or not the employee filed a workers' compensation claim. Includes:</p> <ul style="list-style-type: none">• forms, reports, correspondence, claims• medical and investigatory records• administrative determinations or court rulings• payment records <p>Exclusion 1: Copies filed in the Employee Medical Folder.</p> <p>Exclusion 2: Records created and maintained by the Department of Labor's Office of Workers' Compensation.</p>
Disposition:	Temporary. Destroy 3 years after compensation ceases or when deadline for filing a claim has passed. (Supersedes GRS 1, item 31)
DispAuthNo:	DAA-GRS-2016-0015-0012 (G) Date Edited: 9/5/2017
A-04-007-14a	Reasonable Accommodations Case Files
Description:	<p>Documents reflect requests by employees for reasonable accommodations. Includes Personnel Audit Report (PAR) printouts, intake forms (determinations of qualified disabled) accommodation efforts for disability retirement purposes, and related correspondence.</p> <p>a. Recordkeeping copy (paper).</p>
Disposition:	TEMPORARY: Destroy 3 years after separation of employee.
DispAuthNo:	N1-059-00-10, item 9a Date Edited: 2/27/2002
A-04-007-15	Reasonable Accommodations Tracking System
Description:	This database contains pertinent data on employees requesting reasonable accommodations including type of disability, nature of accommodation, etc.
Disposition:	TEMPORARY: Retain in HR/ER office. Delete individual record when active agency use ceases.
DispAuthNo:	N1-059-00-10, item 10 Date Edited: 2/27/2002

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A-04-007-16a	Federal Employees Health Benefits (FEHB) and Federal Employees Group Life Insurance (FGLI) Subject Files
Description:	a. Procedures and guidelines for the FEHB and FGLI programs. Includes information on eligibility, FEHB open season, FGLI open enrollment, Temporary Continuation of Coverage (TCC), grandchildren, leave without pay, dual enrollment, certificate of incapacity, refunds, etc.
Disposition:	TEMPORARY: Destroy when superseded.
DispAuthNo:	N1-059-00-10, item 13a Date Edited: 2/27/2002
A-04-007-16b(1)	Federal Employees Health Benefits (FEHB) and Federal Employees Group Life Insurance (FGLI) Subject Files
Description:	b. Certificate of Incapacity Files. Includes sensitive correspondence on dependent children who are incapable of self-support and continued FEHB coverage beyond age 22. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY: Destroy upon separation of employee.
DispAuthNo:	N1-059-00-10, item 13b(1) Date Edited: 2/27/2002
A-04-007-16c(1)	Federal Employees Health Benefits (FEHB) and Federal Employees Group Life Insurance (FGLI) Subject Files
Description:	c. Requests for Refund Files. Includes correspondence regarding erroneous deductions of premiums for health and life insurance. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY: Destroy when 1 year old.
DispAuthNo:	N1-059-00-10, item 13c(1) Date Edited: 2/27/2002
A-04-007-17	State Magazine Tracking System
Description:	This database contains names and addresses of employees who wish to receive the State Magazine.
Disposition:	TEMPORARY: Delete individual record when no longer needed. (GRS 13, item 4a)
DispAuthNo:	N1-059-00-10, item 14 Date Edited: 2/27/2002

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A-04-007-18a	Disability Retirement Case Files
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Description:	Case files consisting of certification of reasonable access efforts, correspondence, and copies of standard forms used for disability retirement, such as SF-3102F.
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	a. Recordkeeping copy (paper).
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Disposition:	TEMPORARY: Destroy when 5 years old.
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DispAuthNo:	N1-059-00-10, item 15a	Date Edited:	2/27/2002
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A-04-007-19	Awards Database
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Description:	Information relates to Foreign Service and Civil Service employees and is used to update Personnel Audit Reports, for reporting as required by the consent decree in class action suits, and analysis and distribution of awards. Includes data such as name, social security number, grade, assignment, type of award, sex, approval date, dollar amount, hours (for time off), and basis of award.
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Disposition:	Temporary. Retain in HR/PE office. Destroy when active agency use ceases.
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DispAuthNo:	N1-059-00-11, item 9	Date Edited:	4/16/2002
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Position and Pay Management

A-04-008-01a Position Descriptions

Description: Official record copy of position description.
Copy held at Human Resources office.
Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities.

Disposition: Temporary. Destroy 2 years after position is abolished or description is superseded, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 7b)

DispAuthNo: DAA-GRS-2014-0002-0002 (G) **Date Edited:** 9/11/2017

A-04-008-02 Staffing Patterns

Description: Copies of staffing patterns for Departmental units and Foreign Service posts.

Disposition: Destroy when superseded.

DispAuthNo: NN-166-054, item 1 **Date Edited:** 4/1/1999

A-04-008-03 Chronological Files

Description: Extra copies of documents of outgoing communications of all types, arranged chronologically without regard to subject. The official record copy is filed in the designated recordkeeping program file.

Disposition: TEMPORARY: Destroy when 1 year old, or sooner if no longer needed for current operation.

DispAuthNo: N1-059-00-14, item 8 **Date Edited:** 1/14/2002

A-04-008-04a Classification General Subject and Organizational Files - Correspondence, memoranda, reports, circulars, studies, audits and other papers on classification cases, reorganizations, Schedule C positions, Supergrades, Chief of Mission and other matters

Description: a. Records on significant classification policies, procedures, studies, reports and surveys.

Disposition: Permanent.

DispAuthNo: RRP-NN-464-7 **Date Edited:** 4/1/1999

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A-04-008-04c	Classification General Subject and Organizational Files - Correspondence, memoranda, reports, circulars, studies, audits and other papers on classification cases, reorganizations, Schedule C positions, Supergrades, Chief of Mission and other matters
Description:	c. Case files on certain types of positions such as Schedule C, Supergrade, Chief of Mission, etc.
Disposition:	Destroy when superseded or when case ceases to have value as a precedent.
DispAuthNo:	NN-173-138, item 1c
Date Edited:	4/1/1999

A-04-008-05a	Position Designation File
Description:	Correspondence, memorandums, reports, requests for changes and other papers on designation of positions as Civil Service or Foreign Service. Arranged by organizational unit and occupational group
	a. Copies of completed studies and significant policies, procedures and organizational papers.
Disposition:	Permanent.
DispAuthNo:	RRP-NN-464-7
Date Edited:	4/1/1999

A-04-008-05b	Position Designation File
Description:	Correspondence, memorandums, reports, requests for changes and other papers on designation of positions as Civil Service or Foreign Service. Arranged by organizational unit and occupational group
	b. All papers other than those described in "a" above.
Disposition:	Destroy when superseded or obsolete.
DispAuthNo:	NN-166-054, item 5
Date Edited:	4/1/1999

A-04-008-06	Position Control System
Description:	Position Control Master - This on-line information system contains data on each American personnel position in the State Department on a worldwide basis.
Disposition:	Destroy when active agency use ceases.
DispAuthNo:	NC1-059-83-04, item 21
Date Edited:	4/1/1999

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A-04-008-07a(1)	Classification Survey Data Files.
Description:	a. Consist of classification reports, conversion charts and surveys, and other related correspondence. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY: Retire to RSC when 1 year old for transfer to WNRC. Destroy when 10 years old.
DispAuthNo:	N1-059-00-14, item 3a(1) Date Edited: 1/14/2002
A-04-008-07b	Classification Survey Data Files.
Description:	b. Microfilm copies: Silver halide original and positive vesicular microfilm copy.
Disposition:	TEMPORARY: Destroy when 10 years old or when no longer needed for reference purposes.
DispAuthNo:	N1-059-00-14, item 3b Date Edited: 1/14/2002
A-04-008-07c(1)(a)	Classification Survey Data Files.
Description:	d. Background material including copies of communications, memoranda, worksheets, questionnaires and other material collected or created in preparing various classification reports, studies, and surveys. (1) Routine cases. (a) Recordkeeping copy (paper).
Disposition:	TEMPORARY: Destroy 1 year after completion of related survey or study.
DispAuthNo:	N1-059-00-14, item 3d(1)(a) Date Edited: 11/8/2018
A-04-008-07c(2)(a)	Classification Survey Data Files.
Description:	(2) Precedent cases. (a) Recordkeeping copy (paper).
Disposition:	TEMPORARY: Destroy when of no further reference value.(NN-173-138, item 1b)
DispAuthNo:	N1-059-00-14, Item 3d(2)(a) Date Edited: 11/8/2018

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A-04-008-08a	Position Reviews and Classification Appeals
Description:	Records an agency creates and receives when reviewing a position's classification in response to a classification appeal to the agency Human Resources function or directly to OPM, including records of desk audits.
Disposition:	Temporary. Destroy 3 years after final decision, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 7d(1))
DispAuthNo:	DAA-GRS-2014-0002-0004 (G Date Edited: 9/11/2017

A-04-008-09a	Subject Files.
Description:	Consist of correspondence, memorandum and reports documenting the development and implementation of policies, regulations, and procedures concerning the personnel management of all direct hire and personal services contract Foreign Service National (FSN) employees. Also includes correspondence documenting policies and procedures to offices in the Department, other Federal agencies and post overseas on personnel issues. a. Recordkeeping copy (paper).
Disposition:	TEMPORARY: Destroy when 10 years old.
DispAuthNo:	N1-059-00-14, item 1a Date Edited: 1/14/2002

A-04-008-10a	Country Files.
Description:	Consist of correspondence, memorandum, reports, telegrams from posts, studies, surveys, staffing patterns, cases, reorganizations, and other documents on salary/benefits and classification, etc. a. Recordkeeping copy (paper).
Disposition:	TEMPORARY: Destroy when 10 years old.
DispAuthNo:	N1-059-00-14, item 2a Date Edited: 1/14/2002

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A-04-008-11a(1) Wage Survey Files

Description: Records created while conducting periodic surveys of wages paid to non-Government workers in a specified wage area to support and modify the Federal Wage System. Includes survey data, background documents, correspondence and reports on area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).

Disposition: Temporary. Destroy after completing second succeeding survey in the specific wage area (i.e., retain records of the two most recently completed surveys), but longer retention is authorized if required for business use. (Supersedes GRS 1, item 38)

DispAuthNo: DAA-GRS-2016-0015-0010 (G) **Date Edited:** 9/7/2017

A-04-008-11b Wage Survey Files.

Description: Consists of wage survey reports and data.

b. Microfilm copies: Silver halide original and positive vesicular microfilm copy.

Disposition: TEMPORARY: Retain in PER/OE. Destroy when 10 years old or when no longer needed for reference purposes, whichever is sooner.

DispAuthNo: N1-059-00-14, item 5b **Date Edited:** 1/14/2002

A-04-008-11c(1) Wage Survey Files.

Description: Consists of wage survey reports and data.

c. Salary Schedules and Local Compensation Plans. Wage schedules for all established work weeks (40 hr.-48 hr. etc.); rates and rules pertaining to premium pay and holiday pay; and a full description of all authorized direct benefit plans such as severance pay plans, insurance plans, etc.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Retire to RSC when 3 years old for transfer to WNRC. Destroy when 25 years old.

DispAuthNo: N1-059-00-14, item 5c(1) **Date Edited:** 1/14/2002

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A-04-008-11c(3) **Wage Survey Files.**

Description: c. Salary Schedules and Local Compensation Plans. Wage schedules for all established work weeks (40 hr.-48 hr. etc.); rates and rules pertaining to premium pay and holiday pay; and a full description of all authorized direct benefit plans such as severance pay plans, insurance plans, etc.

(3) Microfilm copies: Silver halide original and positive vesicular microfilm copy.

Disposition: TEMPORARY: Retain in PER/OE. Destroy when 10 years old or when no longer needed for reference purposes, whichever is sooner.

DispAuthNo: N1-059-00-14, item 5c(3)

Date Edited: 1/14/2002

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Performance Evaluation

A-04-009-01a Performance Evaluation General Subject Files

Description: Reports, memorandums, telegrams, correspondence, issuances, minutes of meetings, agendas for meetings, and other policy documentation documenting significant policy, procedural and organizational matters relating to the development and administration of the Department of State program for performance evaluation, promotion and separation of Foreign Service Officers, and other Foreign Service employees.

a. Recordkeeping copy (paper)

Disposition: Permanent. Retain in Performance Evaluation Office (PER/PE) for 10 years. Retire to RSC when 10 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (N1-059-93-15, item 1)

DispAuthNo: N1-059-00-11, item 1a **Date Edited:** 4/16/2002

A-04-009-02a Foreign Service Selection Board Precepts

Description: "Core" (aka Decision Criteria for Tenure and Promotion) and Procedural Precepts for tenure, promotion, performance pay and other Boards. Arranged by date and thereunder by type of records.

Disposition: Permanent. Retain in office for 10 years. Retire to RSC in 1-year blocks for transfer to WNRC. Transfer to the National Archives when 25 years old in 5-year blocks. (Supersedes: N1-059-00-11, item 2a and N1-059-93-15, item 2)

DispAuthNo: DAA-0059-2016-0004-0001 **Date Edited:** 1/10/2020

A-04-009-02b Foreign Service Selection Board Final Reports

Description: Final Reports may include comments and recommendations, findings, rankings, promotion lists, class list, membership lists, and other records of Boards. Arranged by Board and thereunder by type of records.

Disposition: Permanent. Retain in office for 10 years. Retire to RSC in 1-year blocks for transfer to WNRC. Transfer to the National Archives when 25 years old in 5-year blocks. (Supersedes: N1-059-00-11, item 2b)

DispAuthNo: DAA-0059-2016-0004-0002 **Date Edited:** 1/10/2020

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A-04-009-02c	Foreign Service Selection Board – Working Files		
Description:	Notes, drafts, reference material and related documentation used in the creation of final reports.		
Disposition:	Temporary. Destroy when no longer needed.		
DispAuthNo:	DAA-0059-2016-0004-0003	Date Edited:	10/21/2016
A-04-009-03	Performance Evaluation Case Files		
Description:	Correspondence with Foreign Service employees regarding the submission of performance ratings or supplemental data for inclusion in their Performance Folders, inquiries or comments concerning the content of ratings, and other performance evaluation matters, excluding any rebuttals that are filed only in the employee Official Performance Folder.		
Disposition:	Destroy 5 years after separation of employee from the Foreign Service.		
DispAuthNo:	NC1-059-77-18, item 5	Date Edited:	4/1/1999
A-04-009-04	Selection Board Administrative Correspondence File		
Description:	Consists of correspondence regarding the selection of Board members, administrative arrangements, etc.		
Disposition:	Destroy when 2 years old.		
DispAuthNo:	NN-173-131, item 4	Date Edited:	4/1/1999
A-04-009-05	Automated Score Card System		
Description:	This on-line system is used to track the career status and progress of individuals in the Foreign Service. Information consists of the individual name, date of birth, social security number, tenure date, commission date, time-in-class and extensions, Selection Board rankings, promotion history, skill code, senior threshold board requests and related correspondence.		
Disposition:	Temporary. Retain in HR/PE office. Delete when active agency use ceases. (NN-173-131, item 6)		
DispAuthNo:	N1-059-00-11, item 5	Date Edited:	4/16/2002

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A-04-009-06 Automated Report Card System

Description: This on-line system is used to account for the receipt of and to track evaluation reports. Information includes the names of the rated, rating and reviewing officers, the period covered by the report, the date received in the office, ranking of overall performance and potential, and the rated officer social security number.

Disposition: Temporary. Retain in HR/PE office. Delete when active agency use ceases. (NN-173-131, item 6)

DispAuthNo: N1-059-00-11, item 6

Date Edited: 4/16/2002

A-04-009-07a Threshold Review Files

Description: 1. Consists of threshold review panel statements, personnel audit reports (PARs) and related records on Class 6 officers considered for promotion by the Threshold Review Board. The 1973 files also contain administrative documents, such as copies of BEX letters transmitting interview statements, acknowledgements of receipt thereof, copies of letters concerning the Board findings, career counseling statements of cone preferences, etc. Some of these papers will no longer accumulate and the remainder will henceforth be maintained by BEX.

a. Files on Threshold candidates who are promoted to Class 5.

Disposition: Destroy upon promotion.

DispAuthNo: NC-059-75-10, item 1a

Date Edited: 4/1/1999

A-04-009-07b Threshold Review Files

Description: 1. Consists of threshold review panel statements, personnel audit reports (PARs) and related records on Class 6 officers considered for promotion by the Threshold Review Board. The 1973 files also contain administrative documents, such as copies of BEX letters transmitting interview statements, acknowledgements of receipt thereof, copies of letters concerning the Board findings, career counseling statements of cone preferences, etc. Some of these papers will no longer accumulate and the remainder will henceforth be maintained by BEX.

b. Files on Threshold candidates who fail to be promoted.

Disposition: Destroy 1 year after candidate is separated from service for time in class.

DispAuthNo: NC-059-75-10, item 1b

Date Edited: 6/22/2007

A-04-009-08 Threshold Review Files

Description: Administrative records relating to Threshold interviews conducted by BEX.

Disposition: Destroy 1 year following interview.

DispAuthNo: NC-059-75-10, item 2

Date Edited: 4/1/1999

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Personnel Policy and Planning

A-04-010-01a Personnel Policy Historical File

Description: Originals and copies of reports, studies, surveys, orders, circulars, bills, acts, hearings, committee documents, papers on policies, plans, organization, programs, procedures, systems and matters relating to personnel administration of the Department and the Foreign Service.

a. Recordkeeping copy (paper).

Disposition: PERMANENT. Retain in the Policy Coordination Office (DPG/PC) for 10 years. Retire inactive files when 10 years old to RSC for transfer to WNRC. Transfer to the National Archives when 25 years old. (RRP-NN-464-7)

DispAuthNo: N1-059-00-12, item 01a

Date Edited: 7/5/2002

A-04-010-02 Card Index to Central Reference File

Description:

Disposition: Permanent.

DispAuthNo: RRP-NN-464-7

Date Edited: 4/1/1999

A-04-010-03a Task Force and Committee Records on the Herter Report - Copies of recommendations, progress reports and other papers of the task force Steering Committee and Executive Committee

Description: a. Master Copy.

Disposition: Permanent.

DispAuthNo: RRP-NN-464-7

Date Edited: 4/1/1999

A-04-010-03b Task Force and Committee Records on the Herter Report - Copies of recommendations, progress reports and other papers of the task force Steering Committee and Executive Committee

Description: b. Extra copies of papers, galley proofs and reproduction materials.

Disposition: TEMPORARY. Destroy when no longer needed for reproduction or distribution purposes.

DispAuthNo: Non-Record

Date Edited: 4/1/1999

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A-04-010-04a	Committee Records on the Wriston Report - Background information, copies of correspondence, study group reports and other related papers.
Description:	a. Master Copy.
Disposition:	Permanent.
DispAuthNo:	RRP-NN-464-7
	Date Edited: 4/1/1999
A-04-010-04b	Committee Records on the Wriston Report - Background information, copies of correspondence, study group reports and other related papers
Description:	b. Extra copies of papers, galley proofs and reproduction materials.
Disposition:	TEMPORARY. Destroy when no longer needed for reproduction or distribution purposes.
DispAuthNo:	Non-Record
	Date Edited: 4/1/1999
A-04-010-05a(1)	Project Reports on Personnel Policy and Planning
Description:	a. Master. (1) Recordkeeping copy (paper).
Disposition:	PERMANENT. Retire to RSC when 10 years old for transfer to WNRC. Transfer to the National Archives when 25 years old.
DispAuthNo:	N1-059-00-12, item 2a(1)
	Date Edited: 7/5/2002
A-04-010-05b	Project Reports on Personnel Policy and Planning
Description:	b. All other copies.
Disposition:	TEMPORARY. Destroy when no longer needed for reproduction or distribution purposes.
DispAuthNo:	N1-059-00-12, item 2b
	Date Edited: 7/5/2002
A-04-010-06a	Project Working Papers
Description:	Consist of questionnaires, copies of memoranda, reports, printed and processed materials, notes, and drafts collected or created in connection with each planning or policy project. a. Recordkeeping copy (paper).
Disposition:	TEMPORARY. Destroy when project is completed.
DispAuthNo:	N1-059-00-12, item 3a
	Date Edited: 7/5/2002

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A-04-010-07a(1)	Legislative Files
Description:	General subject files on personnel legislation. Includes draft bills and related memoranda, correspondence and supporting briefing data. a. One copy of each draft justification, cost estimate and briefing data. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY. Destroy when 15 years old.
DispAuthNo:	N1-059-00-12, item 4a(1) Date Edited: 7/5/2002
A-04-010-07b	Legislative Files
Description:	b. All other papers.
Disposition:	TEMPORARY. Destroy when superseded or obsolete.
DispAuthNo:	N1-059-00-12, item 4b Date Edited: 7/8/2002
A-04-010-08a(1)	FSRU Conversion Applicant File
Description:	Contains application for conversion, worksheets, medical clearance and other documentation pertaining to conversion; where conversion is approved, a copy of the letter of offer; where conversion is disapproved, the recommendations for disapproval and a copy of the letter of denial sent to the applicant. a. Approved candidates. (1) Paper records.
Disposition:	Destroy after it has been ascertained that reproduced copies have been made in accordance with GSA and NARA regulations and are adequate substitutes for the paper records.
DispAuthNo:	NC1-059-79-08, item 1a(1) Date Edited: 6/21/2007

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A-04-010-08a(2) FSRU Conversion Applicant File

Description: Contains application for conversion, worksheets, medical clearance and other documentation pertaining to conversion; where conversion is approved, a copy of the letter of offer; where conversion is disapproved, the recommendations for disapproval and a copy of the letter of denial sent to the applicant.

a. Approved candidates.

(2) Microfilm records.

Disposition: Destroy when 10 years old.

DispAuthNo: NC1-059-79-08, item 1a(2)

Date Edited: 6/21/2007

A-04-010-08b FSRU Conversion Applicant File

Description: Contains application for conversion, worksheets, medical clearance and other documentation pertaining to conversion; where conversion is approved, a copy of the letter of offer; where conversion is disapproved, the recommendations for disapproval and a copy of the letter of denial sent to the applicant.

b. Candidates who withdraw or separate prior to conversion or denial.

Disposition: Destroy 1 year after withdrawal, separation or denial.

DispAuthNo: NC1-059-79-08, item 1b

Date Edited: 4/1/1999

A-04-010-08c FSRU Conversion Applicant File

Description: Contains application for conversion, worksheets, medical clearance and other documentation pertaining to conversion; where conversion is approved, a copy of the letter of offer; where conversion is disapproved, the recommendations for disapproval and a copy of the letter of denial sent to the applicant.

c. Candidates whose conversion is disapproved.

Disposition: Destroy 1 year after separation of employee.

DispAuthNo: NC1-059-79-08, item 1c

Date Edited: 4/1/1999

A-04-010-09 Reserved for future use

Description:

Disposition:

DispAuthNo: Reserved

Date Edited: 4/1/1999

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A-04-010-10a **FSRU Program Files**

Description: Documentation defining the FSR/FAS Program and its establishment, related reports, correspondence and memoranda; and related precedent cases

a. Policy and precedent files.

Disposition: Permanent. Offer to National Archives when 30 years old.

DispAuthNo: NC1-059-79-08, item 2a **Date Edited:** 4/1/1999

A-04-010-10b **FSRU Program Files**

Description: Documentation defining the FSR/FAS Program and its establishment, reported reports, correspondence and memoranda; and precedent cases

b. All other records.

Disposition: Destroy when 10 years old.

DispAuthNo: NC1-059-79-08, item 2b **Date Edited:** 4/1/1999

A-04-010-11 **Labor Management Relations Files**

Description: a. Labor Management Relations General and Case files.

Correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups:

(1) Office negotiating agreement.

(a) Recordkeeping copy (paper).

Disposition: TEMPORARY. Destroy 10 years after expiration of agreement.

DispAuthNo: N1-059-00-12, item 5a(1)(a) **Date Edited:** 1/10/2020

A-04-010-12 **Labor Arbitration (negotiated grievance procedure) Case Records**

Description: Records of workplace disputes processed under negotiated grievance procedures and settled by either agreement or binding arbitration.

Disposition: Temporary. Destroy 3 years after close of case, but longer retention is authorized if required for business use. (Supersedes GRS 2.3, Item 052)

DispAuthNo: DAA-GRS-2018-0002-0010 (G) **Date Edited:** 1/10/2020

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A-04-010-13 Labor Management Relations Agreement Negotiation Records

Description: Records relating to negotiations with labor unions. Includes:

- negotiation agreements
- requests to bargain
- bargaining session records/notes
- correspondence, memoranda, forms
- reports
- other records relating to the negotiated agreements and general relationship between management, employee unions and other groups

Disposition: Temporary. Destroy 5 years after expiration of agreement or final resolution of case, as appropriate, but longer retention is authorized if required for business use. (Supersedes GRS 2.3, Item 50 and GRS 2.3, Item 051)

DispAuthNo: DAA-GRS-2018-0002-0015 (G **Date Edited:** 1/10/2020

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Career Counseling and Assignments

A-04-011-01a(1) **General Subject Files.**

Description: a. Major policy and procedural files documenting program management and policy-making pertaining to the Department career counseling and assignments functions.

(1) Recordkeeping copy (paper)

Disposition: TEMPORARY: Retire inactive material to the RSC when 10 years old for transfer to WNRC. Destroy when 15 years old. (NN-172-202, item 1a)

DispAuthNo: N1-059-00-13, item 15a(1) **Date Edited:** 9/26/2001

A-04-011-01b(1) **General Subject Files.**

Description: b. Administrative and operational correspondence files pertaining to the Department career counseling and assignments functions.

(1) Recordkeeping copy (paper)

Disposition: TEMPORARY: Destroy when 3 years old. (NN-172-202, item 1b)

DispAuthNo: N1-059-00-13, item 15b(1) **Date Edited:** 9/26/2001

A-04-011-01c(1) **General Subject Files.**

Description: c. Departmental circulars, printed and processed reference material, and other information or working papers relating to internal administration or program subjects.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy when no longer needed for current operations. (NN-172-202, item 1c)

DispAuthNo: N1-059-00-13, item 15c(1) **Date Edited:** 9/26/2001

A-04-011-02 **Reserved for future use**

Description:

Disposition:

DispAuthNo: Reserved **Date Edited:** 4/1/1999

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A-04-011-03 **Reserved for future use**

Description:

Disposition:

DispAuthNo: Reserved

Date Edited: 4/1/1999

A-04-011-10a(1) **Career Development Case Files on Foreign Service Officers and Staff Employees.**

Description: a. Records of long-term value on right side of folder, such as correspondence and memoranda relating to assignment preferences, career development, transfer between cones, and training.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Retire to RSC 2 years after separation for transfer to WNRC. Destroy 7 years after employee is separated from the Foreign Service. (NN-172-202, item 4a)

DispAuthNo: N1-059-00-13, item 16a(1)

Date Edited: 9/26/2001

A-04-011-10b(1) **Career Development Case Files on Foreign Service Officers and Staff Employees.**

Description: b. Records of short-term value on left side of folder, such as telegrams relating to travel, etc.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy when 3 years old or upon transfer of folder to new counseling office or inactive file. (NN-172-202, item 4b)

DispAuthNo: N1-059-00-13, item 16b(1)

Date Edited: 9/26/2001

A-04-011-11 **Staffing Patterns - Foreign Service Counseling and Assignments**

Description: Monthly tabulations of Foreign Service and domestic employees arranged alphabetically by name of FS employee, by post within geographic regions; and domestic employees arranged by staff office or bureau.

Disposition: Destroy on receipt of next month copy.

DispAuthNo: NN-172-202, item 5

Date Edited: 4/1/1999

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A-04-011-12a(1) **Front Pages showing FS assignments made by Panel B (Career FSOs) and Panel C (Staff employees).**

Description: a. Master set maintained by PER/CDA Office of Deputy Director.

 (1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Retire to RSC when 2 years old for transfer to WNRC. Destroy when 7 years old. (NN-172-202, item 6a)

DispAuthNo: N1-059-00-13, item 17a(1) **Date Edited:** 9/26/2001

A-04-011-12b **Front Pages showing FS assignments made by Panel B (Career FSOs) and Panel C (Staff employees).**

Description: b. Copies maintained by other offices.

Disposition: TEMPORARY: Destroy when 1 year old. (NN-172-202, item 6b)

DispAuthNo: N1-059-00-13, item 17b **Date Edited:** 10/2/2001

A-04-011-13a(1) **Panel Agendas.**

Description: Information documenting transfer data of employees assigned to Foreign Service positions, i.e., assignments, estimate time of arrival at post, time of departure from post, length of tour of duty, position numbers, etc.

 a. Master agenda maintained by PER/CDA Office of the Deputy Director.

 (1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Retire to RSC when 2 years old for transfer to WNRC. Destroy when 7 years old. (NN-172-202, item 7a)

DispAuthNo: N1-059-00-13, item 18a(1) **Date Edited:** 9/26/2001

A-04-011-13b **Panel Agendas.**

Description: Information documenting transfer data of employees assigned to Foreign Service positions, i.e., assignments, estimate time of arrival at post, time of departure from post, length of tour of duty, position numbers, etc.

 b. All other copies.

Disposition: TEMPORARY: Destroy when no longer needed for operating purposes. (NN-172-202, item 7b)

DispAuthNo: N1-059-00-13, item 18b **Date Edited:** 9/26/2001

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A-04-011-14	Quarterly Assignment Workbooks - Foreign Service Counseling and Assignments
Description:	Prepared for use by Panels B and C in making assignments to FS Officers and Staff employees and consisting of quarterly books with related Assignment Worksheets and narrative statements.
Disposition:	Destroy when 2 years old.
DispAuthNo:	NN-172-202, item 8
	Date Edited: 4/1/1999
A-04-011-15a	Personnel Abstracts (DS-1711) - Maintained in Card Files on FS Officers, Staff employees, Departmental secretaries, and division employees - Foreign Service Counseling and Assignments
Description:	a. Cards on active employees.
Disposition:	Destroy when updated card received.
DispAuthNo:	NN-172-202, item 10a
	Date Edited: 4/1/1999
A-04-011-15b	Personnel Abstracts (DS-1711) - Maintained in Card Files on FS Officers, Staff employees, Departmental secretaries, and division employees - Foreign Service Counseling and Assignments
Description:	b. Cards on reassigned employees.
Disposition:	Transfer card to inheriting office.
DispAuthNo:	NN-172-202, item 10b
	Date Edited: 4/1/1999
A-04-011-15c	Personnel Abstracts (DS-1711) - Maintained in Card Files on FS Officers, Staff employees, Departmental secretaries, and division employees - Foreign Service Counseling and Assignments
Description:	c. Cards on separated employees.
Disposition:	Destroy 3 years after separation.
DispAuthNo:	NN-172-202, item 10c
	Date Edited: 4/1/1999

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A-04-011-16	Career Assignments Program Sheets (CAPs) - Foreign Service Counseling and Assignments
Description:	Prepared on Foreign Service Officers for use by Panel and FS inspectors, providing resume of current position, function, projection of assignments, any limitation on assignments, and pertinent information on employee's ability and qualifications. a. Master Files. Note: See item 041110 for copies filed in CDC Folder.
Disposition:	Destroy when 3 years old.
DispAuthNo:	NN-172-202, item 11a Date Edited: 6/22/2007
A-04-011-17a(1)	Senior Assignments Board (SAB) records relating to Class 1 and 2 Foreign Service Career Officers.
Description:	a. Memoranda recommending senior officer assignments and bearing approval of Director General. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY: Destroy when 4 years old.(NN-172-202, item 12a)
DispAuthNo:	N1-059-00-13, item 19a(1) Date Edited: 9/27/2001
A-04-011-17b(1)	Senior Assignments Board (SAB) records relating to Class 1 and 2 Foreign Service Career Officers.
Description:	b. SAB assignment approval concerning key positions at posts or within the Department, (i.e., Ambassador Selection Committee and Deputy Chief of Mission Committee). (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY: Destroy when 4 years old.(NN-172-202, item 12b)
DispAuthNo:	N1-059-00-13, item 19b(1) Date Edited: 9/27/2001
A-04-011-17c(1)	Senior Assignments Board (SAB) records relating to Class 1 and 2 Foreign Service Career Officers.
Description:	c. Memoranda approving change in assignments or tour of duty. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY: Destroy when 1 year old. (NN-172-202, item 12c)
DispAuthNo:	N1-059-00-13, item 19c(1) Date Edited: 9/27/2001

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A-04-011-18a(1) **Interagency Liaison Files.**

Description: a. Correspondence with agencies concerning available positions, assignments of FSOs and agreements concerning such assignments.

 (1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy 3 years after agreement is terminated. (NN-172-202, item 13a)

DispAuthNo: N1-059-00-13, item 20a(1) **Date Edited:** 9/27/2001

A-04-011-18b(1) **Interagency Liaison Files.**

Description: b. Memorandum re. assignment of FSOs to functional bureaus of Department.

 (1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy when 3 years old, (NN-172-202, item 13b)

DispAuthNo: N1-059-00-13, item 20b(1) **Date Edited:** 9/27/2001

A-04-011-18c(1)(a) **Interagency Liaison Files.**

Description: c. General Subject files relating to functions and administration of office.

 (1) Policy and Procedure files.

 (a) Recordkeeping copy (paper).

Disposition: TEMPORARY: Retire inactive files when 5 years old to RSC for transfer to WNRC. Destroy when 20 years old. (NN-172-202, item 13d(1))

DispAuthNo: N1-059-00-13, item 20c(1)(a) **Date Edited:** 9/27/2001

A-04-011-18c(2)(a) **Interagency Liaison Files.**

Description: c. General Subject Files relating to functions and administration of office.

 (2) Routine administrative records.

 (a) Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy when no longer needed in current operations. (NN-172-202, item 13d(2))

DispAuthNo: N1-059-00-13, item 20c(2)(a) **Date Edited:** 9/27/2001

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A-04-011-18e	Interagency Liaison Files - Foreign Service Counseling and Assignments
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Description:	Files relating to assignment of Foreign Service Officers to positions in functional bureaus of Department or in other Federal agencies.
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e. Correspondence with separated FSOs regarding transfer to other Federal agencies.

Disposition:	Destroy when 2 years old.
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DispAuthNo:	NN-172-202, item 13e	Date Edited:	4/1/1999
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A-04-011-19a(1)	Official Technician Files.
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Description:	a. Travel orders and related assignment correspondence on right side of folder consisting of Post Assignment Travel Authorization (formerly TMFour) and revisions; requests from employee for special travel approvals; requests for amendment to travel orders; Leave, Travel and Consultation Status (DS-1707); Status of Quarters (formerly TMTwo); Proposed Itinerary (formerly TMTwo); Departure Notice (formerly TMFive); Arrival Notice (formerly TMEight); official Change in Tour of Duty notifications; appointment or separation documentation (such as retirement approval); notification of effective date of reassignment; document reflecting approval or termination of Separate Maintenance Allowance; formal correspondence (telegrams, memos, etc.) related to travel; documentation not kept in other official files in support of Request for Personnel Action (SF52); Assignment Notification (formerly TMOOne or TMThree) and revisions; courtesy travel arrival notice (until official Arrival Notice is received); informal correspondence related to travel or assignment (such as electronic mail); and worksheets or other working papers.
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(1) Recordkeeping copy (paper).

Disposition:	TEMPORARY: Retire to RSC 2 years after separation from the Foreign Service or conversion to Civil Service for transfer to WNRC. Destroy 4 years after file is retired to WNRC. (NN-173-105, item 1a)
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DispAuthNo:	N1-059-00-13, item 21a(1)	Date Edited:	9/27/2001
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A-04-011-19b(1) Official Technician Files.

Description: b. Documents consisting of Foreign Service Residence and Dependency Report (OF-126) and all supporting documentation on the left side of the Official Technician file.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Retire to RSC (on the left side) of the Official Technician File 2 years after separation from the Foreign Service or conversion to Civil Service for transfer to WNRC. Destroy 4 years after file is retired to WNRC. (NN-173-105, item 1b)

DispAuthNo: N1-059-00-13, item 21b(1)

Date Edited: 9/28/2001

A-04-011-20 Personnel Card (DS-986) - Foreign Service Counseling and Assignments

Description: Record of each FS employee travel to assigned post, tour of duty and home leave eligibility date, round trip and departure data, family status, personnel and panel actions.

Disposition: Destroy upon departure of employee from post.

DispAuthNo: NN-172-202, item 15

Date Edited: 4/1/1999

A-04-011-21 Interview Cards - Foreign Service Counseling and Assignments

Description: A record of interview with FS employee when reporting to Department on consultation prior to home leave, showing date of departure from U.S. and arrival at new post, and address and phone number while on home leave.

Disposition: Destroy after employee returns to post.

DispAuthNo: NN-172-202, item 16

Date Edited: 4/1/1999

A-04-011-22a Post Correspondence Files.

Description: Consists of routine communications with posts on administrative matters or issues affecting more than one FS employee at post.

a. Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy when 2 years old. (NN-172-202, item 17)

DispAuthNo: N1-059-00-13, item 22a

Date Edited: 9/28/2001

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A-04-011-23 **Reserved for future use**

Description:

Disposition:

DispAuthNo: Reserved

Date Edited: 4/1/1999

A-04-011-24a(1)(a) **Training Files.**

Description: Training files relating to the development and evaluation of training policies and programs, coordination of training plans with FSI, USIA, and AID.

a. General Subject Files.

(1) Policy and procedural files.

(a) Recordkeeping copy (paper).

Disposition: TEMPORARY: Retire to RSC when 10 years old for transfer to WNRC. Destroy when 25 years old. (NN-172-202, item 19a(1))

DispAuthNo: N1-059-00-13, item 23a(1)(a)

Date Edited: 9/28/2001

A-04-011-24a(2)(a) **Training Files.**

Description: Training files relating to the development and evaluation of training policies and programs, coordination of training plans with FSI, USIA, and AID.

a. General Subject Files.

(2) Records relating to the administration and operation of training functions; including correspondence regarding the FSO's proposed training, and correspondence with training organizations listing selections, available slots, etc.

(a) Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy when 5 years old or when superseded or obsolete, whichever is sooner. (NN-172-202, item 19a(2))

DispAuthNo: N1-059-00-13, item 23a(2)(a)

Date Edited: 9/28/2001

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A-04-011-24b(1)	Training Files.
Description:	Training files relating to development and evaluation of training policies and programs, coordination of training plans with FSI, USIA, and AID. b. Budget Estimate Files, including correspondence, reports, statistical data, worksheets, etc., concerning budgeting for FSO training including coordination with FSI and AID. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY: Destroy when 5 years old or 5 years after completion of a specific training program.(NN-172-202, item 19b)
DispAuthNo:	N1-059-00-13, item 23b(1) Date Edited: 6/20/2007
A-04-011-24c	Training Files relating to development and evaluation of training policies and programs, coordination of training plans with FSI, USIA, and AID - Foreign Service Counseling and Assignments
Description:	c. Officer Training Application and Preference Report.
Disposition:	Destroy when 2 years old.
DispAuthNo:	NN-172-202, item 19c Date Edited: 4/1/1999
A-04-011-25a(1)	Mustang Program Files.
Description:	Files of Foreign Service and Civil Service applicants for entry into the Foreign Service Junior Officer Career Candidate Program. Includes application, autobiography, information on college training/written exam scores, the Board of Examiners final integration form, and the signed tenure statement. a. Successful applicants. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY: Retire to RSC 2 years after year of appointment for transfer to WNRC. Destroy when 7 years old. (NC-59-75-9, items 1a and b)
DispAuthNo:	N1-059-00-13, item 24a(1) Date Edited: 9/28/2001

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A-04-011-25b(1) **Mustang Program Files.**

Description: Files of Foreign Service and Civil Service applicants for entry into the Foreign Service Junior Officer Career Candidate Program. Includes application, autobiography, information on college training/written exam scores, the Board of Examiners final integration form, and the signed tenure statement.

b. Unsuccessful applicants.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Retire to RSC 2 years after year of Oral Assessment for transfer to WNRC. Destroy when 7 years old. (NC-59-75-9, item1c)

DispAuthNo: N1-059-00-13, item 24b(1) **Date Edited:** 10/2/2001

A-04-011-26a(1) **Foreign Service Grievance Files.**

Description: a. Subject files consisting of correspondence, memoranda, reports, regulatory and procedural material, legislative and workshop records, and any other documents of a policy or precedent nature concerning the submission, handling, or resolution of grievance cases. Cut off annually.

(1) Recordkeeping copy (paper).

Disposition: Temporary. Retire to RSC 3 years after the cutoff. Destroy 15 years after cut off. (NC1-59-77-18, item 4a)

DispAuthNo: N1-059-00-15, item 1a(1) **Date Edited:** 6/22/2007

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A-04-011-26b(1) Foreign Service Grievance Files

Description: b. Case Files consisting of all papers accumulated in connection with any informal grievance, including the grievant original letter, or referral memorandum with attachments from the Foreign Service Grievance Board, acknowledgement of grievant letter, further correspondence, memorandum of findings by the Grievance Staff, and reply to grievant; and cases involving administrative review of the grievance of a separated employee, informal name file, consisting of correspondence indicating potential grievances that may be filed; and formal name file, consisting of a letter from a grievant or memorandum from the Foreign Service Grievance Board indicating that the grievant intends to file a formal grievance, with material pertinent to the Board action, its remedial order, and any correspondence indicating compliance. EXCLUDES THE RECORDS OF THE FOREIGN SERVICE GRIEVANCE BOARD.

(1) Recordkeeping copy (paper).

Disposition: Temporary. Retire to RSC 1 year after case is closed for transfer to WNRC. Destroy 15 years after case is closed. (NC1-59-77-18, item 4b)

DispAuthNo: N1-059-00-15, item 1b(1)

Date Edited: 6/22/2007

A-04-011-26c(1) Foreign Service Grievance Files

Description: c. General Subject Files

Consist of routine administrative and operational correspondence regarding grievance matters.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy when 2 years old or when no longer needed for reference purposes, whichever is sooner.

DispAuthNo: N1-059-00-15, item 1c(1)

Date Edited: 6/22/2007

A-04-011-27 Automated Personnel Transaction System (APTS) - Foreign Service Counseling and Assignments

Description: An automated system used to manage the Foreign Service personnel assignment system. Includes all data pertaining to the assignment bid and panel process, and telegrams, correspondence, and forms issued for employee transfer, travel, or training. Once a year, or sooner if necessary, selected data is archived on magnetic tape. All personnel transactions are also entered into the main personnel database, the Table-Driven On-Line Foundation Software (TOFS).

Disposition: Destroy when information is obsolete or no longer needed.

DispAuthNo: N1-059-88-15, item 1

Date Edited: 4/1/1999

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A-04-011-28a	Suitability Files on Foreign Service Employees - Foreign Service Counseling and Assignments
Description:	a. Subject files consisting of correspondence, memoranda, reports, and any other documentation of a policy or precedent nature concerning misconduct by Foreign Service employees and appropriate types of disciplinary action.
Disposition:	Permanent. Transfer to National Archives when 30 years old.
DispAuthNo:	NC1-059-77-18, item 3a Date Edited: 4/1/1999
A-04-011-28b	Suitability Files on Foreign Service Employees - Foreign Service Counseling and Assignments
Description:	Foreign Service Employees Conduct, Suitability, and Discipline b. Case files consisting of sensitive communications with Foreign Service employees and/or their supervisors concerning allegations of misconduct, marital or nonsupport problems, personal indebtedness, black market operations, narcotics traffic, visa fraud, or bribery; informal hearings regarding alleged misconduct; and sensitive or other privileged information about an employee exchanged between top officials of the Department and principal officers overseas.
Disposition:	Retire to RSC 2 years after separation of employee from the Foreign Service, and destroy 15 years after separation date.
DispAuthNo:	N1-059-86-08, item 1b Date Edited: 6/22/2007
A-04-011-28c	Suitability Files on Foreign Service Employees - Foreign Service Counseling and Assignments
Description:	Foreign Service Employees Conduct, Suitability, and Discipline c. Case files consisting of sensitive communications with Foreign Service employees, their supervisors and the Diplomatic Security Service concerning repeated security violations.
Disposition:	Destroy 2 years after separation of employees from the Foreign Service.
DispAuthNo:	N1-059-86-08, item 2c Date Edited: 6/22/2007

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A-04-011-29 Foreign Service Grievance Board Records of Proceedings- Foreign Service Counseling and Assignments

Description: Case files involving appeals by employees of State, AID, USIA, Commerce and Agriculture when management decisions on personnel policy or procedures reached after an agency review in the grievance process did not result in agreement. Includes charges, i.e. grievant original letter, responses, i.e. acknowledge of grievant letter, and other related correspondence, i.e. exhibits substantiating charges, memos notifying of hearing dates, etc., hearing briefs, Board or, if litigation pursued, court transcript of proceedings, etc.

Disposition: Destroy 25 years after case is closed.

DispAuthNo: N1-059-86-01, item 1

Date Edited: 4/1/1999

A-04-011-30 Grievance Tracking System.

Description: This on-line system tracks the status of grievance cases.

Disposition: Temporary. Delete entry when related record are destroyed.

DispAuthNo: N1-059-00-15, item 3

Date Edited: 5/24/2002

A-04-011-31 Civil Service Counseling and Assignments

Description: Conference Staffing Records - Includes delegation lists, staff studies, security clearances, and miscellaneous administrative material concerning staffing for international conferences and meetings.

Disposition: Destroy 3 years after end of conference. (II-NN-2835)

DispAuthNo: NN-172-202, item 20

Date Edited: 4/1/1999

A-04-011-32 Civil Service Counseling and Assignments

Description: Personal Services Case Files - Includes application for employment, security clearance data, Appointment Affidavits, and general correspondence with contract employees.

Disposition: Retire to NPRC, St. Louis, 5 years after termination of contract.

DispAuthNo: NN-172-202, item 21

Date Edited: 4/1/1999

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A-04-011-33	Administrative Grievance, Disciplinary, Performance-based, and Adverse Action Case Files
Description:	<ul style="list-style-type: none">• Records of grievances filed by covered entities (for instance, employees who are not members of a bargaining unit). Includes:<ul style="list-style-type: none">o statement of grievance, supporting documentation, and evidenceo statements of witnesses, records of interviews and hearingso examiner's findings, recommendations, decisions• Records of disciplinary and performance-based actions against employees. Includes:<ul style="list-style-type: none">o performance appraisal, performance improvement plan, and supporting documentso recommended action, employee's replyo records of hearings and decisionso records of appeals• Records of adverse actions (suspension, removal, reduction in grade, reduction in pay, or furlough) against employees. Includes:<ul style="list-style-type: none">o proposed adverse action, employee's replyo statements of witnesseso records of hearings and decisionso letters of reprimando records of appeals <p>Note 1: Letter of reprimand filed in an employee's Official Personnel File is scheduled by GRS 2.2, item 041.</p> <p>Note 2: Per OPM, each agency must select one fixed retention period, between 4 and 7 years, for all administrative grievance, adverse action, and performance-based action case files. Agencies may not use different retention periods for individual cases.</p>
Disposition:	Temporary. Destroy no sooner than 4 years but no later than 7 years (see Note 2) after case is closed or final settlement on appeal, as appropriate.
DispAuthNo:	DAA-GRS-2018-0002-0006 (G) Date Edited: 1/10/2020
A-04-011-34	Civil Service Counseling and Assignments
Description:	Request for Personnel Action (SF-52) - Chronological File copy.
Disposition:	Destroy when 1 year old.
DispAuthNo:	NN-172-202, item 23 Date Edited: 4/1/1999

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A-04-011-35 Civil Service Counseling and Assignments

Description: Personnel Abstract (DS-1711)

Disposition: Destroy 2 years after separation of employee.

DispAuthNo: NN-172-202, item 24

Date Edited: 4/1/1999

A-04-011-36 Job Vacancy Case Files

Description: Records of onetime competitive and Senior Executive Service announcements/selections.

Case files an agency creates when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes:

- request for lists of eligible candidates
- job announcement
- examination announcement
- job analysis, assessment criteria, and crediting plan
- basis for certification
- applications, resumes, supplemental forms, other attachments
- list of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification
- certificates, registers or lists of eligible candidates issued to selecting officials
- job-related test records
- annotated certificates of eligible candidates returned by selecting officials
- job offers
- records of job offer being accepted or declined
- correspondence/documentation of announcement or recruiting operation

Legal citation: 5 CFR 335.103

Disposition: Temporary. Destroy 2 years after selection certificate is closed or final settlement of any associated litigation; whichever is later. (Supersedes GRS 1, item 32; GRS 1, item 33p; and GRS 1, item 33q)

DispAuthNo: DAA-GRS-2014-0002-0006 (G

Date Edited: 9/5/2017

A-04-011-37 Grievance Files on Civil Service Employees

Description: a. Subject files consisting of policy and precedent material, including correspondence, memoranda, reports and copies of pertinent documents in precedent cases.

(1) Recordkeeping copy (paper).

Disposition: Temporary. Retire to RSC 5 years after cutoff. Destroy 15 years after cutoff. (NC1-59-77-18, item 2a)

DispAuthNo: N1-059-00-15, item 2a(1)

Date Edited: 1/10/2020

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A-04-011-38	Civil Service Mustang Program Files - Civil Service Counseling and Assignments
Description:	Applicant files for a program selecting talented junior employees for Civil Service careers. Name files contain application form (DS 1720); FSEE test scores; an essay on an assigned topic; a letter explaining the results of the oral examination; and the scoresheets. Also contain correspondence on assignments and six week progress reports.
Disposition:	Destroy when 5 years old.
DispAuthNo:	NC-059-75-09, item 3 Date Edited: 4/1/1999
A-04-011-39	Merit Promotion Announcement Files - Civil Service Counseling and Assignments
Description:	Contain DS-1740, Panel Evaluation Report; DS-1738, Application for Vacancy; Memo or letter from office requesting Merit Promotion Certificate; DS-1737, Job Opportunity Announcement; DS-1739, Experience and Qualifications Statement for Top Ranking Candidates; DS-1297, Merit Promotion and Placement Certificate; Position Description; and other pertinent correspondence and documentation.
Disposition:	Destroy when 2 years old.
DispAuthNo:	NC1-059-80-15, item 1 Date Edited: 4/1/1999
A-04-011-41a	Civil Service Upward Mobility Program Files.
Description:	Applicant files for the Upward Mobility Program. Files contain applications (SF-171); Supervisor Appraisal of Employee Potential (DS-1782); Supplemental application; Performance Evaluation and Rating; vacancy announcement, panel evaluation sheet; other pertinent correspondence. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY: Retire to RSC after 1 year for transfer to WNRC. Destroy when 5 years old.(NC1-59-84-2)
DispAuthNo:	N1-059-00-13, item 25(1) Date Edited: 10/1/2001

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A-04-011-42a(1) Functional Specialization Files.

Description: Files of Foreign Service and Civil Service applications for career redirection training in a designated specialty. Includes application, the Board of Examiners narrative material, training/evaluation data, and skill code changes.

a. Successful applicants.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Retire to RSC 2 years after year of appointment for transfer to WNRC. Destroy when 7 years old.

DispAuthNo: N1-059-00-13, item 26a(1)

Date Edited: 10/1/2001

A-04-011-42b(1) Functional Specialization Files.

Description: Files of Foreign Service and Civil Service applications for career redirection training in a designated specialty. Includes application, the Board of Examiners narrative material, training/evaluation data, and skill code changes.

b. Unsuccessful applicants.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Retire to RSC 2 years after year of oral examination for transfer to WNRC. Destroy when 7 years old.

DispAuthNo: N1-059-00-13, item 26b(1)

Date Edited: 10/1/2001

A-04-011-43a(1) Developmental Assignments Program.

Description: Files of Civil Service applications for limited duration assignments into overseas Foreign Service positions.

a. Successful applicants.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Retire to RSC 2 years after year of appointment for transfer to WNRC. Destroy when 7 years old.

DispAuthNo: N1-059-00-13, item 27a(1)

Date Edited: 10/1/2001

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A-04-011-43b(1) **Developmental Assignments Program.**

Description: Files of Civil Service applications for limited duration assignments into overseas Foreign Service positions.

b. Unsuccessful applicants.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Retire to RSC 2 years after year of Panel review of application for transfer to WNRC. Destroy when 7 years old.

DispAuthNo: N1-059-00-13, item 27b(1) **Date Edited:** 10/1/2001

A-04-011-44a **Limited Non-Career (Conversion) Appointments.**

Description: Non-Competitive Case Files consisting of Department of State in-house Civil Service Employees only. Records include memoranda, telegrams, pre-employment conflict of interest clearance request form (JF-1), position description, SF-171, Residency and Dependency Report, authorization for Medical examination, Notification of Personnel Action (SF-50), extension requests, etc.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Retire to RSC 2 years after year of appointment for transfer to WNRC. Destroy when 10 years old.

DispAuthNo: N1-059-00-13, item 28(1) **Date Edited:** 10/1/2001

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Board of the Foreign Service

A-04-012-01a(1) **Board of the Foreign Service (BFS) Administrative Files.**

Description: Consist of personnel, budget requests, and other administrative records.

a. Routine correspondence including reference copies of information memorandums, meeting notices, requisitions, etc.

(1) Recordkeeping copy (paper)

Disposition: TEMPORARY: Destroy when 3 years old.(NC1-59-77-3, item 1a)

DispAuthNo: N1-059-00-01, item 3a(1) **Date Edited:** 6/22/2007

A-04-012-01b(1) **Board of the Foreign Service (BFS) Administrative Files.**

Description: Consist of personnel, budget requests, and other administrative records.

b. All other records, including budget files, requests.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Retire to RSC when 3 years old for transfer to WNRC. Destroy when 10 years old. (NC1-59-77-3, item 1b)

DispAuthNo: N1-059-00-01, item 3b(1) **Date Edited:** 9/6/2001

A-04-012-02a(1) **Board of the Foreign Service Subject Files.**

Description: Consist of agreements under E.O. 11636, correspondence, studies, memorandums, etc.

a. Routine papers including copies of EEO circulars, Executive Orders, questionnaires, reference copies of routine correspondence, transmittal letters, agreements sent to BFS for information.

(1) Recordkeeping copy (paper)

Disposition: TEMPORARY: Destroy when 3 years old.(NC1-59-77-3, item 2a)

DispAuthNo: N1-059-00-01, item 4a(1) **Date Edited:** 9/6/2001

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A-04-012-02b(1)	Board of the Foreign Service Subject Files.
Description:	Consist of agreements under E.O. 11636, correspondence, studies, memorandums, etc. b. All other files, including studies commissioned by BFS and current inter agency agreements. (1) Recordkeeping copy (paper)
Disposition:	TEMPORARY: Retire to RSC when 3 years old for transfer to WNRC. Destroy when 10 years old. (NC1-59-77-3, item 2b)
DispAuthNo:	N1-059-00-01, item 4b(1) Date Edited: 9/6/2001
A-04-012-03a	Board of the Foreign Service Precept Files and Promotion Lists.
Description:	Precepts for selection boards of foreign affairs agencies submitted for Board of the Foreign Service consideration. a. Records containing Board actions, including draft precepts and records of meetings at which precepts were discussed.
Disposition:	Permanent. Retire to RSC when 3 years old. Transfer to National Archives when 20 years old.
DispAuthNo:	NC1-059-77-03, item 3a Date Edited: 4/1/1999
A-04-012-03b	Board of the Foreign Service Precept Files and Promotion Lists
Description:	Precepts for selection boards of foreign affairs agencies submitted for Board of the Foreign Service consideration b. All other records, including published precepts and transmittal memos.
Disposition:	Destroy when 3 years old.
DispAuthNo:	NC1-059-77-03, item 3b Date Edited: 4/1/1999

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A-04-012-04a	Board of the Foreign Service Meeting Files.
Description:	Notices of meetings, documents considered, verbatim transcripts, minutes, and related correspondence. a. Recordkeeping copy (paper).
Disposition:	PERMANENT: Retire to RSC when 5 years old for transfer to WNRC. Transfer to the National Archives when 20 years old (NC1-59-77-3, item 4)
DispAuthNo:	N1-059-00-01, item 5a Date Edited: 9/6/2001
A-04-012-05	Board of the Foreign Service Separation Case Files
Description:	Cases involving Foreign Service personnel whose separation for cause under Sec. 637 of the Foreign Service Act of 1946 was requested by the Director General of the Foreign Service. Includes Director General letters of charge, employee responses and other correspondence; transcripts of hearings; reports of hearing officers; recommendations to the Secretary by the Board.
Disposition:	Retire to RSC when 3 years old. Destroy 10 years after date of last action on case.
DispAuthNo:	NC1-059-77-03, item 5 Date Edited: 4/1/1999
A-04-012-06a	Board of the Foreign Service Disputes Panel Administrative Files
Description:	Disputes Panel procedures, general correspondence, etc. a. Routine papers including correspondence regarding times of meetings, complimentary letters to Board members, routine administrative matters.
Disposition:	Destroy when 3 years old.
DispAuthNo:	NC1-059-77-03, item 6a Date Edited: 4/1/1999
A-04-012-06b	Board of the Foreign Service Disputes Panel Administrative Files
Description:	Disputes Panel procedures, general correspondence, etc. b. All other files, including dossiers on Board members, documentation procedures and procedural files.
Disposition:	Retire to RSC when 3 years old. Destroy when 10 years old.
DispAuthNo:	NC1-059-77-03, item 6b Date Edited: 4/1/1999

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A-04-012-07	Board of the Foreign Service Disputes Panel Appeals Case Files
Description:	Cases involving appeals by employee organizations of foreign affairs agencies management decisions on personnel policy or procedures when consultation did not result in agreement. includes charges, responses, complaints, reports by Disputes Panel, and related correspondence.
Disposition:	Permanent. Retire to RSC when 3 years old. Transfer to WNRC when 10 years old. Offer to National Archives when 20 years old.
DispAuthNo:	NC1-059-77-03, item 7 Date Edited: 4/1/1999
A-04-012-08a(1)	Employee-Management Relations Commission Subject Files.
Description:	Material pertaining to administration, membership, rules and regulations, etc. a. Routine papers including AFSA proceedings, letters of transmittal, AFGE publications, and newspaper clippings. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY: Destroy when 3 years old.(NC1-59-77-3, item 8a)
DispAuthNo:	N1-059-00-01, item 6a(1) Date Edited: 9/6/2001
A-04-012-08b(1)	Employee Management Relations Commission Subject Files.
Description:	Material pertaining to administration, membership, rules and regulations, etc. b. All other files including drafts of rules, regulations, and procedural guide. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY: Retire to RSC when 3 years old for transfer to WNRC. Destroy when 10 years old. (NC1-59-77-3, item 8b)
DispAuthNo:	N1-059-00-01, item 6b(1) Date Edited: 9/6/2001

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A-04-012-09a	Employee Management Relations Commission Case Files.		
Description:	Cases considered by the Employee Management Relations Commission with respect to eligibility of employee organizations for recognition; supervision of elections to determine exclusive employee representation; alleged unfair practices and violations of standards of conduct; obligation of management to consult. Includes charges, responses, briefs, decisions, and related correspondence and documentation. a. Recordkeeping copy (paper).		
Disposition:	TEMPORARY: Retire to RSC when 3 years old for transfer to WNRC. Destroy when 20 years old. (NC1-59-77-3, item 9)		
DispAuthNo:	N1-059-00-01, item 7a	Date Edited:	9/7/2001
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A-04-012-10a	Annual Report of the Board of Examiners for the Foreign Service.		
Description:	a. Recordkeeping copy (paper).		
Disposition:	PERMANENT: Retire to RSC when 10 years old for transfer to WNRC. Transfer to the National Archives when 25 years old.		
DispAuthNo:	N1-059-00-07, item 18a	Date Edited:	9/14/2001

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Resource Management and Organization Analysis

A-04-013-01 Lawsuit Coordination Unit**Class Action Lawsuit Files.**

Description: Records include information from employee personnel files and other Department offices related to issues in the lawsuits (e.g., performance evaluations; assignments, promotions, training, pay actions, Foreign Service written and oral examination results. Documents are related to the implementation of lawsuit settlement agreements, including monetary, prospective, and individual (e.g., retroactive promotions, awards, or assignments) relief under the consent decrees. Included are correspondence with class members or their attorneys, Department Notices, cables, copies of court decisions and documents, legal briefs, records of hearings and meetings, deposition transcripts, consent decrees, reports, statistical analysis, exhibits, action and information memoranda.

a. Recordkeeping copy (paper).

Disposition: TEMPORARY. Retire to RSC 4 years after resolution for transfer to WNRC. Destroy when 15 years old.

DispAuthNo: N1-059-00-17, item 1a

Date Edited: 3/11/2019

A-04-013-02 Resource Planning and Allocation

Description: Correspondence Files. Arranged by bureau and chronologically.

Documents relate to the allocation of personnel resources. Included are memorandums, copies of authorization notices relating to positions and employment ceilings, requests for funding, reimbursements, and related correspondence.

a. Recordkeeping copy (paper).

Disposition: TEMPORARY. Cut off at the end of the calendar year. Destroy when 5 years old.

DispAuthNo: N1-059-00-17, item 2a

Date Edited: 3/11/2019

A-04-013-03 Statistical Reports.

Description: Copies of monthly and annual reports reflecting authorized positions and employment levels. Reports generated by PER/EX/IM.

Disposition: TEMPORARY. Destroy when 1 year old. (MRH 03/22/02)

DispAuthNo: N1-059-00-17, item 3

Date Edited: 3/11/2019

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A-04-013-04a	Workforce Planning and Compensation
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Description:	Staffing Patterns (Microfilm)
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Monthly tabulations of Foreign Service and Civil Service employees listed alphabetically by post, staff office or bureau in the Department.

a. Master Set. (Vesicular Copy)

Disposition:	TEMPORARY. Retain in PER/RMA. Destroy when 50 years old or when no longer needed for reference purposes, whichever is sooner.
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DispAuthNo:	N1-059-00-17, item 4a	Date Edited:	3/11/2019
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A-04-013-04b	Workforce Planning and Compensation
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Description:	Staffing Patterns (Microfilm)
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Monthly tabulations of Foreign Service and Civil Service employees listed alphabetically by post, staff office or bureau in the Department.

b. Copies maintained by other offices.

Disposition:	TEMPORARY. Destroy on receipt of next month copy. (NN-172-202, item 5)
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DispAuthNo:	N1-059-00-17, item 4b	Date Edited:	3/11/2019
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A-04-013-05a	Position Classification Appeals Files
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Description:	(1) Case files relating to classification appeals, excluding OPM classification certificate.
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Disposition:	TEMPORARY. Destroy 3 years after case is closed. (GRS 1, item 7d(1))
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DispAuthNo:	N1-059-00-17, item 5(1)	Date Edited:	3/11/2019
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A-04-013-05b	Position Classification Appeals Files
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Description:	(2) Certificates of classification issued by OPM.
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Disposition:	TEMPORARY. Destroy after affected position is abolished or superseded. (GRS 1, item 7d(2))
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DispAuthNo:	N1-059-00-17, item 5(2)	Date Edited:	3/11/2019
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A-04-013-06 Study/Project Files

Description: Studies or projects relating to position classification, position management, occupational structure, compensation, workforce or resource planning etc.

a. Recordkeeping copy (paper).

Disposition: TEMPORARY. Retire to RSC 5 years after completion for transfer to WNRC. Destroy when 15 years old. Files may be maintained longer if needed for administrative use. (MRH 03/06/02)

DispAuthNo: N1-059-00-17, item 6a

Date Edited: 3/11/2019

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Family Liaison Office

A-04-014-01a **Policy and Procedure Files.**

Description: Includes material on the establishment of the office, policies and procedures governing its operation.

a. Recordkeeping copy (paper).

Disposition: TEMPORARY. Destroy when superseded.

DispAuthNo: N1-059-00-18, item 1a

Date Edited: 6/20/2002

A-04-014-02a **FLO Subject Files.**

Description: Includes general material on employment, education, and support services provided by the office; related matters such as allowances, foreign born spouses, and counseling; activities such as Around the World in a Lifetime (AWAL), an organization for Foreign Service teenagers; relations with the Association of American Foreign Service Women (AAFSW); and presentations given to audiences such as the Foreign Service Institute Security Overseas Seminar.

a. Recordkeeping copy (paper).

Disposition: TEMPORARY. Destroy when 10 years old or sooner if no longer needed. (NC1-59-84-3, item 2)

DispAuthNo: N1-059-00-18, item 2a

Date Edited: 6/20/2002

A-04-014-03a **Community Liaison Office (CLO) Country/Post Files.**

Description: General files on each country/post where there is a Community Liaison Office (CLO). These files include correspondence regarding CLO activities at posts.

a. Recordkeeping copy (paper).

Disposition: TEMPORARY. Destroy when 2 years old or sooner if no longer needed. (NC1-59-88-13, item 1)

DispAuthNo: N1-059-00-18, item 3a

Date Edited: 6/20/2002

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A-04-014-04a(1)	Community Liaison Office (CLO) Coordinator Files.
Description:	Documents reflect personnel records on persons hired as CLOs at overseas posts. Included are application forms, telegrams offering employment, etc. a. Consist of cables on persons hired as CLOs at posts overseas. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY. Destroy 2 years after last action. (N1-059-88-13, item 2a)
DispAuthNo:	N1-059-00-18, item 4a(1) Date Edited: 6/20/2002
A-04-014-04b	Community Liaison Office (CLO) Coordinator Files.
Description:	Documents reflect personnel records on persons hired as CLOs at overseas posts. Included are application forms, telegrams offering employment, etc. b. Computerized list of all CLO coordinators with dates of tenure and terms of employment. Includes Input and Output Records.
Disposition:	TEMPORARY. Destroy when updated. (N1-059-88-13, item 2b)
DispAuthNo:	N1-059-00-18, item 4b Date Edited: 6/20/2002
A-04-014-05a(1)	FLO Personnel Files.
Description:	a. Working files consisting of correspondence, memoranda, forms and other records relating to positions, authorizations, pending actions, copies of position descriptions, requests for personnel action, etc. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY. Review annually and destroy superseded or obsolete documents. (GRS 1, 18a)
DispAuthNo:	N1-059-00-18, item 5a(1) Date Edited: 6/20/2002
A-04-014-05b(1)	FLO Personnel Files.
Description:	b. Records on M/DGP/FLO employees duplicated in or not appropriate for the Official Personnel Folder. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY. Destroy within 1 year after separation or transfer of employee. (GRS 1, item 18a)
DispAuthNo:	N1-059-00-18, item 5b(1) Date Edited: 6/20/2002

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A-04-014-06a	Client Support Services Files.
Description:	Contains background information on Family Liaison Office (FLO) basic assistance of data and services to client consisting of appointments, referrals, reference advice, meeting notes, etc. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY. Retain in M/FLO 1 year after last action or when no longer needed.
DispAuthNo:	N1-059-00-18, item 6(1) Date Edited: 6/22/2007
A-04-014-07a	Evacuation Files - Arranged by country
Description:	These files document support services provided to employees and dependents of all foreign affairs agencies evacuated from an overseas post. Included are lists of names of persons evacuated, safe-haven addresses and services provided. a. Recordkeeping copy (paper).
Disposition:	TEMPORARY. Destroy 2 years after last action.
DispAuthNo:	N1-059-00-18, item 7a Date Edited: 6/20/2002
A-04-014-08a	Education Files.
Description:	Consist of reference material on schools in the Washington, DC area, boarding schools in the U.S. and abroad and schools at overseas posts. a. Case Files.
Disposition:	TEMPORARY. Destroy when superseded.
DispAuthNo:	N1-059-00-18, item 8a Date Edited: 6/20/2002

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A-04-014-08b(1) **Education Files.**

Description: Consist of reference material on schools in the Washington, DC area, boarding schools in the U.S. and abroad and schools at overseas posts.

b. Country/Post Files.

(1) Recordkeeping copy (paper).

Consist of information about schools available at overseas posts. The material is similar to that maintained by the Department Office of Overseas Schools, with the exception of evaluative information provided by the CLOs.

Disposition: TEMPORARY. Destroy when superseded.

DispAuthNo: N1-059-00-18, item 8b(1) **Date Edited:** 6/20/2002

A-04-014-08c(1) **Education Files.**

Description: c. School files and computerized list of boarding schools. Includes information about schools, catalogs and handouts.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY. Destroy when superseded.

DispAuthNo: N1-059-00-18, item 8c(1) **Date Edited:** 6/20/2002

A-04-014-09a(1) **Employment Program Files.**

Description: Consist of reference material on employment opportunities in the Washington, D.C. area and overseas; material used in counseling family members who are seeking employment; applications and information on the functional training program; files on negotiations conducted for bilateral work agreements with foreign governments; and background files on Career Planning Workshops and Career Development Seminars sponsored by M/DGP/FLO.

a. Bilateral Work Agreements Negotiations Files.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY. Retain in FLO. Destroy 5 years after agreement is superseded.

DispAuthNo: N1-059-00-18, item 9a(1) **Date Edited:** 6/20/2002

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A-04-014-09b(1)	Employment Program Files.
Description:	Consist of reference material on employment opportunities in the Washington, D.C. area and overseas; material used in counseling family members who are seeking employment; applications and information on the functional training program; files on negotiations conducted for bilateral work agreements with foreign governments; and background files on Career Planning Workshops and Career Development Seminars sponsored by M/DGP/FLO. b. Case files used in providing employment assistance. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY. Destroy 1 year after last action. Earlier destruction is authorized if no longer needed for administrative use.
DispAuthNo:	N1-059-00-18, item 9b(1) Date Edited: 6/20/2002

A-04-014-09c(1)	Employment Program Files.
Description:	Consist of reference material on employment opportunities in the Washington, D.C. area and overseas; material used in counseling family members who are seeking employment; applications and information on the functional training program; files on negotiations conducted for bilateral work agreements with foreign governments; and background files on Career Planning Workshops and Career Development Seminars sponsored by M/DGP/FLO. c. Training Request Files. (1) Recordkeeping copy (paper).
Disposition:	TEMPORARY. Destroy when 3 years old, or no later than at end of tour of duty commenced following functional training. (NC1-59-84-3, item 9c)
DispAuthNo:	N1-059-00-18, item 9c(1) Date Edited: 6/20/2002

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A-04-014-09d(1)	Employment Program Files.
Description:	<p>Consist of reference material on employment opportunities in the Washington, D.C. area and overseas; material used in counseling family members who are seeking employment; applications and information on the functional training program; files on negotiations conducted for bilateral work agreements with foreign governments; and background files on Career Planning Workshops and Career Development Seminars sponsored by M/DGP/FLO.</p> <p>d. Country files. Included information on job opportunities and employment procedures in various countries. Also included are copies of Dependent Employment Reports sent in cable format from CLOs at post.</p> <p>(1) Recordkeeping copy (paper).</p>
Disposition:	TEMPORARY. Destroy when 2 years old. Earlier destruction is authorized if no longer needed for administrative use.
DispAuthNo:	N1-059-00-18, item 9d(1) Date Edited: 6/20/2002
A-04-014-10a	FLO Publications.
Description:	<p>Master set and copies of FLO publications sent to all CLO coordinators and Administrative Officers overseas.</p> <p>a. Recordkeeping copy (paper)</p>
Disposition:	TEMPORARY. Destroy when no longer needed for reference. (N1-059-88-13, item 8)
DispAuthNo:	N1-059-00-18, item 10a Date Edited: 6/21/2002
A-04-014-11	Customer/Client Records
Description:	<p>Distribution lists used by an agency to deliver specific goods or services. Records include:</p> <ul style="list-style-type: none">• contact information for customers or clients• subscription databases for distributing information such as publications and data sets produced by the agency• files and databases related to constituent and community outreach or relations• sign-up, request, and opt-out forms
Disposition:	Temporary. Delete when superseded, obsolete, or when customer requests the agency to remove the records. (Supersedes GRS 13, item 4b)
DispAuthNo:	DAA-GRS-2017-0002-0002 (G) Date Edited: 9/11/2017

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A-04-014-12 FLO Historical Documents.

Description: Consists of records documenting the establishment of the Family Liaison Office. The files include reports, memorandums, letters, and materials provided for anniversary celebrations.

Disposition: TEMPORARY. Destroy when 25 years old, or when no longer needed for reference, whichever is later.

DispAuthNo: N1-059-00-18, item 12

Date Edited: 6/21/2002

A-04-014-13a Naturalization Case Files.

Description: Employees who apply for their spouse or children to be expeditiously naturalized. Included are e-mail messages, requests for information on naturalization of spouse/child; draft cover letter completed by employee; Copies of cover letter to INS requesting specific appointment date, U.S. Department of Justice Immigration and Naturalization Application for Naturalization (BN-400) completed by spouse, or U.S. Department of Justice Immigration and Naturalization Service Application for Certificate of Citizenship on Behalf of an Adopted Child (N-643) or U.S. Department of Justice Immigration and Naturalization Service Application for Certificate of Citizenship (N-600) completed by employee on behalf of child and payment check to INS.

a. Recordkeeping copy (paper).

Disposition: TEMPORARY. Retire to RSC 2 years after case is closed for transfer to WNRC. Destroy 15 years after separation line,

DispAuthNo: N1-059-00-18, item 13a

Date Edited: 6/25/2007

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Foreign Service Retirement

A-04-015-01a(1) **Foreign Service Retirement Case Files.**

Description: Consists of application for retirement (OF-136) or its equivalent; staff study on voluntary or disability retirement; correspondence relating to contributions to Foreign Service Retirement System, prior service credit, total amount of Civil Service Retirement deductions, effective date of FSO appointments and acceptance thereof, etc.

a. Non-annuitants not entitled to an annuity due to resignation or termination with less than five years of service.

(1) Recordkeeping copy (paper).

Disposition: Temporary. Retire to RSC 5 years after separation or attainment of age 62, whichever is earlier for transfer to WNRC. Destroy 20 years thereafter. (NN-174-26, item 1a)

DispAuthNo: N1-059-00-16, item 1a(1)

Date Edited: 4/16/2002

A-04-015-01b(1) **Foreign Service Retirement Case Files.**

Description: Consists of application for retirement (OF-136) or its equivalent; staff study on voluntary or disability retirement; correspondence relating to contributions to Foreign Service Retirement System, prior service credit, total amount of Civil Service Retirement deductions, effective date of FSO appointments and acceptance thereof, etc.

b. Non-annuitants who die without survivors or who resigned and left contributions until becoming eligible at age 60.

(1) Recordkeeping copy (paper).

Disposition: Temporary. Retire to RSC 5 years after death or attainment of age 62, whichever is earlier for transfer to WNRC. Destroy 20 years thereafter. (NN-174-26, item 1b)

DispAuthNo: N1-059-00-16, item 1b(1)

Date Edited: 4/16/2002

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A-04-015-01c(1) Foreign Service Retirement Case Files.

Description: Consists of application for retirement (OF-136) or its equivalent; staff study on voluntary or disability retirement; correspondence relating to contributions to Foreign Service Retirement System, prior service credit, total amount of Civil Service Retirement deductions, effective date of FSO appointments and acceptance thereof, etc.

c. Annuitants/Survivor Annuitants.

(1) Recordkeeping copy (paper).

Disposition: Temporary. Retire to RSC 8 years after case is closed for transfer to WNRC. Destroy 20 years after case is closed.(NN-174-26, item 1c)

DispAuthNo: N1-059-00-16, item 1c(1)

Date Edited: 4/16/2002

A-04-015-01c(3) Foreign Service Retirement Case Files.

Description: Consists of application for retirement (OF-136) or its equivalent; staff study on voluntary or disability retirement; correspondence relating to contributions to Foreign Service Retirement System, prior service credit, total amount of Civil Service Retirement deductions, effective date of FSO appointments and acceptance thereof, etc.

c. Annuitants/Survivor Annuitants.

(3) Microfilm copies consist of selected annuitants documents, i.e. (OF 136, SF 50). Microfilm does not contain all paper records.

Disposition: Temporary. Retain in PER/RET. Destroy 30 years after case is closed.

DispAuthNo: N1-059-00-16, item 1c(3)

Date Edited: 4/16/2002

A-04-015-01d(1) Foreign Service Retirement Case Files.

Description: Consists of application for retirement (OF-136) or its equivalent; staff study on voluntary or disability retirement; correspondence relating to contributions to Foreign Service Retirement System, prior service credit, total amount of Civil Service Retirement deductions, effective date of FSO appointments and acceptance thereof, etc.

d. Precedent Cases.

(1) Recordkeeping copy (paper).

Disposition: Temporary. Destroy 5 years after case is closed.

DispAuthNo: N1-059-00-16, item 1d(1)

Date Edited: 4/17/2002

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A-04-015-02	Annuitant Service Record Card Files.
Description:	Consist of name of employer, retirement date, type of retirement, survivor entitlement, etc.
Disposition:	Temporary. Destroy 10 years after separation or when no longer needed for reference, whichever is sooner. (II-NN-3546, item 7)
DispAuthNo:	N1-059-00-16, item 2
Date Edited:	4/16/2002
A-04-015-03	Non-Annuitant Service Record Card Files.
Description:	Consist of name of employee, salary, date of resignation, beneficiary, etc.
Disposition:	Temporary. Destroy 5 years after separation or when no longer needed for reference, whichever is sooner. (II-NN-3546, item 6)
DispAuthNo:	N1-059-00-16, item 3
Date Edited:	4/16/2002
A-04-015-04	Annuitant Address Listing.
Description:	Microfilm listing of annuitant addresses.
Disposition:	Temporary. Destroy when 1 year old.
DispAuthNo:	N1-059-00-16, item 4
Date Edited:	4/17/2002
A-04-015-05a(1)	Requests for Health Benefits Under Spouse Equity
Description:	Applications and related papers, which may include denial letters, appeal letters, and court orders. Includes denied SF 2809, Health Benefits Election Form.
Disposition:	Temporary. Destroy 1 year after original denial, denial of appeal, or final court order, whichever is appropriate. (Supersedes GRS 1, item 35a)
DispAuthNo:	DAA-GRS-2016-0015-0014 (G
Date Edited:	9/7/2017
A-04-015-05b(1)(a)	Requests for Health Benefits Under Spouse Equity
Description:	Applications and related papers. If applications are denied, may include denial letters, appeal letters, and court orders. Includes SF 2809, Health Benefits Election Form, pertaining to applications that were denied, but successfully appealed.
Disposition:	Transfer to appropriate retirement system after enrollment is cancelled or terminated, or annuity payment begins. (Supersedes GRS 1, item 35b)
DispAuthNo:	DAA-GRS-2016-0015-0014 (G
Date Edited:	11/8/2018

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A-04-015-05b(2)(a)	Foreign Service Former Spouse Health Benefit Files.
Description:	Denied eligibility files consisting of applications [Health Benefits Registration Form (SF 2809)], court orders, denial letters, appeal letters, and related papers. b. Health benefits denied, appealed to OPM for reconsideration. (2) Appeal unsuccessful - benefits denied. (a) Recordkeeping copy (paper).
Disposition:	Temporary: Destroy 5 years after denial.
DispAuthNo:	N1-059-00-16, item 5b(2)(a) Date Edited: 4/17/2002
A-04-015-06a	Foreign Service Retirement Subject Files.
Description:	Consist of Foreign Service Retirements, Monthly Resignation Reports, Principals Correspondence, and Legal Determinations. a. Recordkeeping copy (paper).
Disposition:	Temporary: Destroy when 2 years old or when no longer needed, whichever is sooner.
DispAuthNo:	N1-059-00-16, item 6a Date Edited: 4/17/2002
A-04-015-07a	Civil Service Retirement Case Files.
Description:	Contains application for retirement (OF 136) or its equivalent; health and life insurance forms; service history documentation; estimated calculations, etc. a. Recordkeeping copy (paper).
Disposition:	Temporary: Retire to RSC 2 years after retirement of employee for transfer to WNRC. Destroy 5 years after retirement.
DispAuthNo:	N1-059-00-16, item 7a Date Edited: 4/17/2002

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A-04-015-08a **Civil Service Retirement Subject Files.**

Description: Consist of Civil Service Retirements, Monthly Resignation Reports, Principals Correspondence, Congressional Correspondence, and Legal Determinations, etc.

A. Recordkeeping copy (paper).

Disposition: Temporary: Destroy when 2 years old or when no longer needed, whichever is sooner.

DispAuthNo: N1-059-00-16, item 8a

Date Edited: 4/17/2002

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External Placement

A-04-016-01 Correspondence with Prospective Employers

Description: Correspondence with colleges, universities, firms and organizations regarding job opportunities not related to individual applicants.

Disposition: Destroy when 1 year old.

DispAuthNo: NN-173-148, item 1

Date Edited: 4/1/1999

A-04-016-02 Contact Lists

Description: Copies of processed and printed lists, containing names, addresses and other information on prospective employers.

Disposition: Destroy when obsolete or superseded.

DispAuthNo: Non-Record

Date Edited: 4/1/1999

A-04-016-03 Job Resumes for Applicants

Description: Copies of resumes of applicant education, experience and other qualifications, prepared for applicant to send to prospective employees.

Disposition: Destroy when obsolete or superseded.

DispAuthNo: Non-Record

Date Edited: 4/1/1999

A-04-016-04 Applicant Case File

Description: Correspondence with applicant, copies of job resumes and related papers.

Disposition: Destroy 3 years after case becomes inactive.

DispAuthNo: NN-173-148, item 2

Date Edited: 4/1/1999

A-04-016-05 Student Employment Program Database.

Description: This on-line system tracks applicants, selects and hires for each student program. It provides trend analysis, demographics, management reports to analyze pool and evaluates program results. Included in the system are applicants for Internships, Presidential Management Interns (PMIs), Foreign Affairs Fellowship Program Interns, Summer Hires, Stay-in-School (SIS) and Co-Operative Education Program (Co-Op).

Disposition: TEMPORARY: Cut off file every three years. Destroy 65 years after cutoff.

DispAuthNo: N1-059-00-07, item 8

Date Edited: 9/7/2001

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Presidential Appointments

A-04-017-01a Presidential Appointments Precedent and Policy Files.

Description: Consists of correspondence, reports, studies, etc., documenting policies, procedures, and precedents concerning the appointment and process of presidential appointments.

a. Recordkeeping copy (paper).

Disposition: PERMANENT: Retire to RSC when 10 years old for transfer to WRNC. Transfer to National Archives when 25 years old. (NC1-59-77-19, items 1a and b)

DispAuthNo: N1-059-00-13, item 1a **Date Edited:** 9/21/2001

A-04-017-02 Presidential Nominations.

Description: Copies of nominations of individuals for public office sent by the President to the United States Senate.

Disposition: PERMANENT: Retire to the RSC when 7 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC1-59-77-19, items 2a and b)

DispAuthNo: N1-059-00-13, item 4 **Date Edited:** 11/7/2001

A-04-017-03a Foreign Service Appointments/Promotions/Assignments.

Description: Documentation of all aspects of appointments, promotions, and consular assignments of Foreign Service Officers, including interdepartmental correspondence, memoranda to and from the White House, nomination/authorization lists, and Congressional correspondence.

a. Recordkeeping copy (paper).

Disposition: PERMANENT: Retire to RSC when 10 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC1-59-77-19, item 3a and b)

DispAuthNo: N1-059-00-13, item 5a **Date Edited:** 8/24/2001

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A-04-017-04a	Miscellaneous Department of State (DOS) Appointments.
Description:	Documentation on the appointments of Principal Officers in the DOS and individuals to Boards and Commissions under the jurisdiction of the DOS, e.g., fishery commissions, United Nations bodies, independent agencies. Includes memoranda to and from the White House, bio data, clearance materials, press releases, nominations, agreement communications, Congressional correspondence, letters of resignation and Presidential letters of acceptance. a. Recordkeeping copy (paper).
Disposition:	PERMANENT: Retire to RSC when 8 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC1-59-77-13, item 2a and b)
DispAuthNo:	N1-059-00-13, item 3a Date Edited: 9/24/2001
A-04-017-05	Presidential Appointments Organization/Working File
Description:	This file is essentially a working and information file duplicating the material contained in the Presidential Appointments Organization and Conference File (See Item 041704).
Disposition:	Destroy 2 years after termination of appointment.
DispAuthNo:	NC1-059-77-12, item 1 Date Edited: 4/1/1999
A-04-017-06a	Presidential Appointments - Credentials File
Description:	Consists of copies of all documentation concerned with presentation of credentials, including telegrams to and from posts concerning appointment, letters from Secretary of State to Ambassador concerning presentation of credentials and attendant administrative matters, copies of letters of credence and recall. a. Paper records.
Disposition:	Destroy after it has been ascertained that reproduced copies have been made in accordance with GSA and NARA regulations and are adequate substitutes for the paper records.
DispAuthNo:	NC1-059-77-13, item 3a Date Edited: 4/1/1999

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A-04-017-06b	Presidential Appointments - Credentials File
Description:	Consists of copies of all documentation concerned with presentation of credentials, including telegrams to and from posts concerning appointment, letters from Secretary of State to Ambassador concerning presentation of credentials and attendant administrative matters, copies of letters of credence and recall. b. Microfilm copies.
Disposition:	TEMPORARY. Destroy 10 years after termination of appointment.
DispAuthNo:	NC1-059-77-13, item 3b
	Date Edited: 4/1/1999
A-04-017-07a	Resignation Letters and Letters of Acceptance
Description:	Copies of letters of resignation of Presidential Appointments and related acceptance letters. The original letter of resignation and record copy of Presidential acceptance is on file at the White House or appropriate Presidential Library. a. Paper records.
Disposition:	Destroy after it has been ascertained that reproduced copies have been made in accordance with GSA and NARA regulations and are adequate substitutes for the paper records.
DispAuthNo:	NC1-059-77-13, item 4a
	Date Edited: 4/1/1999
A-04-017-07b	Resignation Letters and Letters of Acceptance
Description:	Copies of letters of resignation of Presidential Appointments and related acceptance letters. The original letter of resignation and record copy of Presidential acceptance is on file at the White House or appropriate Presidential Library. b. Microfilm copies.
Disposition:	Temporary. Destroy when 10 years old.
DispAuthNo:	NC1-059-77-13, item 4b
	Date Edited: 3/12/2019
A-04-017-08a	Presidential Nominations - Copies of Presidential nominations of individuals for public office
Description:	a. Paper records.
Disposition:	Destroy after it has been ascertained that reproduced copies have been made in accordance with GSA and NARA regulations and are adequate substitutes for the paper records.
DispAuthNo:	NC1-059-77-19, item 2a
	Date Edited: 12/2/2019

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A-04-017-08b	Presidential Nominations - Copies of Presidential nominations of individuals for public office
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Description:	b. Microfilm copies.
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Disposition:	TEMPORARY. Destroy when 10 years old.
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DispAuthNo:	NC1-059-77-19, item 2b	Date Edited:	12/2/2019
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A-04-017-09a	Ambassador Appointments.
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Description:	Consist of documentation on bilateral/multilateral ambassadorial appointments, as well as ranks and personal ranks of ambassador. Includes memoranda to and from the White House, bio data, press releases, nominations, clearance materials, agreement communications, Congressional correspondence, letters of resignation, and Presidential letters of acceptance, and clearance materials. [Note: Original letters of resignation and Presidential acceptance letters are on file at the White House or appropriate Presidential Library.]
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	a. Recordkeeping copy (paper).
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Disposition:	PERMANENT: Retire to RSC when 8 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC1-59-77-19, item 3a and b)
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DispAuthNo:	N1-059-00-13, item 2a	Date Edited:	9/24/2001
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A-04-017-10	Oaths of Office
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Description:	Appointment Affidavit (SF-61), executed by individuals appointed by the President for public office.
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Disposition:	PERMANENT: Retire to RSC when 15 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC1-59-77-19, item 4a and b)
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DispAuthNo:	N1-059-00-13, item 6	Date Edited:	9/24/2001
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A-04-017-11	Senate Resolutions on Presidential Appointments.
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Description:	Original resolutions providing advice and consent of the United States Senate to the appointment by the President of individuals to public office.
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Disposition:	PERMANENT: Retire to RSC when 5 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC1-59-77-19, item 5a and b)
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DispAuthNo:	N1-059-00-13, item 7	Date Edited:	9/24/2001
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A-04-017-12a	Miscellaneous Presidential Appointment Commissions
Description:	Copies of commissions of heads of independent Government agencies, Cabinet officers, Presidential appointees in the Department of State, Executive Office of the President, Honorary Commissions, and other Government offices. a. Paper records.
Disposition:	Destroy after it has been ascertained that reproduced copies have been made in accordance with GSA and NARA regulations and are adequate substitutes for the paper records.
DispAuthNo:	NC1-059-77-19, item 6a Date Edited: 4/1/1999
A-04-017-12b	Miscellaneous Presidential Appointment Commissions
Description:	Copies of commissions of heads of independent Government agencies, Cabinet officers, Presidential appointees in the Department of State, Executive Office of the President, Honorary Commissions, and other Government offices. b. Microfilm copies: Silver original and positive vesicular microfilm copy.
Disposition:	Permanent. Transfer to NARA on verification of microfilm.
DispAuthNo:	NC1-059-77-19, item 6b Date Edited: 4/1/1999
A-04-017-13a	Summary Record on Appointments
Description:	Summary records containing information on laws establishing the Commissions and Presidential appointments to the Commissions. a. Paper records.
Disposition:	Destroy after it has been ascertained that reproduced copies have been made in accordance with GSA and NARA regulations and are adequate substitutes for the paper records.
DispAuthNo:	NC1-059-77-19, item 7a Date Edited: 4/1/1999
A-04-017-13b	Summary Record on Appointments
Description:	Summary records containing information on laws establishing the Commissions and Presidential appointments to the Commissions. b. Microfilm copies: Silver original and positive vesicular microfilm copy.
Disposition:	Permanent. Transfer to NARA on verification of microfilm.
DispAuthNo:	NC1-059-77-19, item 7b Date Edited: 4/1/1999

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A-04-017-14	Card File Index.
Description:	Contains appointment data on Presidential appointments i.e., Foreign Service appointments, promotions, and assignments; ambassadorial appointments; Cabinet officers; all other civil officers appointed by the President whose commissions are not required by the law to be issued under another seal.
Disposition:	PERMANENT: Retire to RSC when 10 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC1-59-77-19, item 13)
DispAuthNo:	N1-059-00-13, item 9
	Date Edited: 9/24/2001
A-04-017-15a	Foreign Service Appointments
Description:	Copies of all documentation concerned with the appointment of officers in the Foreign Service, with their promotion from one class to another, and with the appointment of Reserve and Staff Officers as diplomatic and/or consular officers. Includes interdepartmental memorandums, staff studies, memorandums from the President, and Senatorial letters. a. Paper records.
Disposition:	Destroy after it has been ascertained that reproduced copies have been made in accordance with GSA and NARA regulations and are adequate substitutes for the paper records.
DispAuthNo:	NC1-059-77-19, item 8a
	Date Edited: 4/1/1999
A-04-017-15b	Foreign Service Appointments
Description:	Copies of all documentation concerned with the appointment of officers in the Foreign Service, with their promotion from one class to another, and with the appointment of Reserve and Staff Officers as diplomatic and/or consular officers. Includes interdepartmental memorandums, staff studies, memorandums from the President, and Senatorial letters. b. Microfilm copies: Silver original and positive vesicular microfilm copy.
Disposition:	Permanent. Transfer to NARA on verification of microfilm.
DispAuthNo:	NC1-059-77-19, item 8b
	Date Edited: 4/1/1999

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A-04-017-16 Presidential Appointment Law Books.

Description: These books contain summaries of the laws establishing positions, boards, commissions, etc., to which the President makes appointments. Appointment data, e.g., name, appointment date, term, is also entered into the law books.

Disposition: PERMANENT: Retire to the RSC when 15 years old for transfer to WNRC. Transfer to the National Archives when 25 years old.

DispAuthNo: N1-059-00-13, item 8 **Date Edited:** 9/25/2001

A-04-017-17a(1) Great Seal of the United States.

Description: a. Subject Files. Historical records on the Great Seal of the United States, includes speeches, tapes, and photos, etc.

(1) Recordkeeping copy (paper).

Disposition: PERMANENT: Retire to RSC when 10 years old for transfer to WNRC. Transfer to the National Archives when 20 years old.

DispAuthNo: N1-059-00-13, item 10a(1) **Date Edited:** 9/25/2001

A-04-017-17b(1) Great Seal of the United States.

Description: b. Working File. Working and information file consisting of material duplicated from the Great Seal of the United States Subject File.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy when no longer needed for reference purposes.

DispAuthNo: N1-059-00-13, item 10b(1) **Date Edited:** 9/25/2001

A-04-017-18a Presidential Appointment Commission Books.

Description: These books contain the typed texts of the appointment commissions of Cabinet Officers, DOS Principal Officers, heads of independent agencies, White House commissioned staff officers and other individuals appointed by the President to public office.

a. Recordkeeping copy (paper).

Disposition: PERMANENT: Retire to RSC when 15 years old for transfer to WNRC. Transfer to the National Archives when 25 years old.

DispAuthNo: N1-059-00-13, item 11a **Date Edited:** 9/25/2001

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Title and Rank

A-04-018-1a Title and Rank Policy Files.

Description: Correspondence, reports, forms and other documentation dealing with general and specific country policies, procedures, precedents, agreements, etc., concerning diplomatic and consular titles for Foreign Service and other Federal agency personnel.

a. Recordkeeping copy (paper).

Disposition: PERMANENT: Retire inactive files to RSC when 10 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (RRP-NN-464-6, item 3a)

DispAuthNo: N1-059-00-13, item 13a

Date Edited: 9/25/2001

A-04-018-2a(1) Title and Rank Case Files.

Description: Correspondence, working papers and other documentation concerning the approval of titles for specific positions at Foreign Service posts.

a. State Department personnel.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy when 2 years old. (NN-173-176, item 3a)

DispAuthNo: N1-059-00-13, item 14a(1)

Date Edited: 9/25/2001

A-04-018-2b(1) Title and Rank Case Files.

Description: Correspondence, working papers and other documentation concerning the approval of titles for specific positions at Foreign Service posts.

b. Other Federal agency personnel.

(1) Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy when 1 year old. (NN-173-176, item 3b)

DispAuthNo: N1-059-00-13, item 14b(1)

Date Edited: 10/1/2001

A-04-018-3 Title and Rank Card File.

Description: Includes data on all aspects of title and rank actions at a particular post.

Disposition: PERMANENT: Retire to the RSC 2 years after separation or transfer of employee to WNRC. Transfer to the National Archives when 25 years old.

DispAuthNo: N1-059-00-13, item 12

Date Edited: 9/25/2001

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Equal Employment Opportunity Records

A-04-019-01 Employee Relations Programs' Administrative Records

Description:	Records documenting routine activities related to programs such as reasonable accommodation, displaced employees, telework/alternative worksite opportunities, anti-harassment, Alternative Dispute Resolution (ADR), Equal Employment Opportunity (EEO), and other avenues for settling disputes. Includes: <ul style="list-style-type: none">• program-related correspondence• copies of statutes, regulations, directives, and instructions• timetables and guidelines for processing case files and appealing decisions• planning records• meeting minutes• program evaluations and reports to senior management• statistical records tracking program participation and participants• records tracking programs' compliance with relevant Executive Orders and other requirements• records arranging for outside mediator and facilitator involvement in case settlements <p>Exclusion 1: Records specific to individual cases (covered by items 020 to 111 in this schedule).</p> <p>Exclusion 2: Reports to external oversight agencies (covered by GRS 5.7, item 050).</p> <p>Exclusion 3: Records created by offices responsible for monitoring employee relations programs government-wide (must be scheduled individually by responsible offices).</p>		
Disposition:	Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (Supersedes GRS 2.3, Item 030)		
DispAuthNo:	DAA-GRS-2018-0002-0001 (G	Date Edited:	1/10/2020

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A-04-019-02 EEO Discrimination Complaint Case Files

Description: Informal process.

Records of cases that do not result in an EEO complaint, and cases resulting in a complaint but resolved prior to the formal process stage.

Includes:

- intake sheet
- summary report
- notes
- supporting documentation
- correspondence

Disposition: Temporary. Destroy 3 years after resolution of case, but longer retention is authorized if required for business use. (GRS 2.3, Item 033)

DispAuthNo: DAA-GRS-2018-0002-0012 (G **Date Edited:** 1/10/2020

A-04-019-03 EEO Discrimination Complaint Case Files

Description: Formal process.

Records at originating agency generated in response to formal complaints resolved within the agency, by the Equal Employment Opportunity Commission, or by a U.S. Court. Includes records gathered in the preliminary informal process, complaints, exhibits, withdrawal notices, copies of decisions, and records of hearings and meetings.

Includes:

- intake sheet
- summary report
- notes
- supporting documentation
- correspondence

Disposition: Temporary. Destroy 7 years after resolution of case, but longer retention is authorized if required for business use. (Supersedes GRS 2.3, Item 032)

DispAuthNo: DAA-GRS-2018-0002-0013 (G **Date Edited:** 1/10/2020

A-04-019-04 Records Documenting Contractor Compliance with EEO Regulations

Description: Reviews, background documents, and correspondence relating to contractor employment practices.

Disposition: Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use. (Supersedes GRS 2.3, Item 034)

DispAuthNo: DAA-GRS-2018-0002-0014 (G **Date Edited:** 1/10/2020

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A-04-019-05 Mandatory Reports to External Federal Entities Regarding Administrative Matters

Description: Agency-level reports that external Federal oversight entities such as the White House, Congress, OMB, the Office of Personnel Management (OPM), and General Services Administration (GSA) require under authorities such as (but not limited to) OMB Circular A-123, the Federal Managers Financial Integrity Act (FMFIA), the Chief Financial Officers Act (CFOA), the Paperwork Reduction Act (PRA), Joint Committee on Printing requirements and the FAIR Act. Examples include:

- Agency Financial Report (AFR), Performance and Accountability Report (PAR), or equivalent
- Annual Performance Plan, Annual Performance Report, or equivalent
- Statement of Assurance (per FMFIA), or equivalent
- information collection clearances
- report on financial management systems' compliance with requirements (per FMFIA), or equivalent
- report on internal controls for corporations covered by the Government Corporation Control Act (per CFOA)
- EEOC reports
- Analysis and Action Plans and other reports required by EEOC's MD 715
- No FEAR Act reports
- service organization auditor report, or equivalent
- annual strategic review
- identified material weaknesses and corrective actions report
- improper payments reports
- premium class travel report
- report on property provided to nonfederal recipients, schools, and nonprofit educational institutions
- feeder reports to the Status of Telework in the Federal Government Report to Congress
- feeder reports to GSA fleet reports
- E-Government status and compliance report (per PRA)

Includes ancillary records such as:

- background and research records
- submission packets and compilations
- related files

Exclusion 1: Oversight entities mandating the reports must separately schedule reports they receive.

Exclusion 2: Mandatory external reports on finance matters (GRS 1.1, items 020 and 040 cover these); mandatory external reports on employee ethics (various items in GRS 2.8 cover these); mandatory

Disposition: Temporary. Destroy 6 years after report submission or oversight entity notice of approval, as appropriate, but longer retention is authorized if required for business use. (GRS 2.3 Item 035)

DispAuthNo: DAA-GRS-2017-0008-0005 (G **Date Edited:** 1/10/2020

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Office of Civil Service Human Resource Management, Career Development Division

A-04-020-01 Career Development Resource Center (CDRC) Client Files

Description: Includes files on Foreign Service and Civil Service employees, as well as Eligible Family Members, Interns/Fellows, and Contractors, who seek career development assistance from the Department's Career Development Resource Center. Files are arranged by name and date, and contain client information sheet and CDRC registration form. May also contain email correspondence, counseling session notes, results of assessment tools such as the, Strong Interests Inventory, Myers-Briggs Type Indicator, and Thomas Kilman Conflict Mode Instrument, employee's resume, coaching report, and client feedback.

Includes records documenting nature of an individual's problem and participation in a treatment or rehabilitation program. Records may include documentation of treatment by a private therapist or a therapist at a Federal, State, local government, or private institution. Includes:

- Privacy Act and signed written consent forms
- psychosocial history and assessments
- medical records
- correspondence with the client
- clinical and education interventions
- records of attendance at treatment, kinds of treatment, and counseling programs
- identity and contact information of treatment providers
- name, address, and phone number of treatment facilities
- notes and documentation of internal EAP counselors
- insurance data
- intervention outcomes

Disposition: Temporary. Destroy 7 years after termination of counseling for adults or 3 years after a minor reaches the age of majority, or when the statespecific statute of limitations has expired for contract providers subject to state requirements, but longer retention is authorized if needed for business use. (Supersedes GRS 1, item 26a)

DispAuthNo: DAA-GRS-2017-0010-0015 (G) **Date Edited:** 9/3/2019

A-04-020-02 Workshop Files

Description: Includes a file on each training workshop presented by the CDRC. Files are arranged by month, and contain sign-in sheet showing title of workshop, presenter's name, date, location, attendee listing by bureau, and tally. File also includes anonymous course evaluations prepared by attendees.

Disposition: Temporary. Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 29a(2))

DispAuthNo: DAA-GRS-2016-0014-0001 (G) **Date Edited:** 11/8/2018

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A-04-020-03 Workshop Presentation Files

Description: Includes course presentation files consisting of material used by instructor for each workshop offered by the Center. Materials include instructor's materials and handouts developed by the CDRC.

Disposition: TEMPORARY: Destroy when three (3) years old or when superseded.

DispAuthNo: N1-059-09-46, item 1

Date Edited: 2/1/2010

A-04-020-04 Employee Management Administrative Records

Description: CDRC Statistical Reports

Files include (1) CDRC customer service evaluations and summary reports produced from the CDRC database; (2) evaluations prepared by International Broadcasting Bureau (IBB) clients who receive assistance from the CDRC, (3) counselor monthly production reports (includes name of client served, date of session, totals, and other activities of counselor and (4) reports on special counseling support initiatives. Post 2004 data is being entered into the CDRC Database.

Records on routine office program support, administration, and human resources operations. Includes:

- reports, including annual reports to the Department of State concerning the number of official passports issued and related matters
- reports from subordinate units regarding statistics and other reporting measures
- general correspondence with internal agency offices and with OPM
- general correspondence with travelers regarding official passport application procedures and documentation requirements
- statistics, including lists of official passport holders

Exclusion: Agency reports received by the Department of State document the Department's mission and must be scheduled by the Department.

Disposition: Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 16)

DispAuthNo: DAA-GRS-2017-0007-0001 (G

Date Edited: 9/1/2017

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A-04-020-05 CDRC Database

Description: The CDRC Database is an Access program designed to track, monitor, and report on services provided to Department employees by the CDRC based on client file information. The database is used to store Sign-In Data (includes category of employee (CS or FS), date, employee's bureau, service received, new or repeat customer); Counseling Appointment Data (counselor access only; shows type of service sought); CDRC Workshop Data; and Statistical Reports (currently 12 reports can be produced to provide data for management purposes).

Disposition: Temporary. Destroy when no longer needed. (Supersedes GRS 23, item 8)

DispAuthNo: DAA-GRS-2013-0002-0016 (G **Date Edited:** 11/8/2018)

A-04-020-06 Administrative Records Maintained in any Agency Office

Description: Records accumulated by the Career Development Resource Center (CDRS) Office that relate to routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists. Records include:

- staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1)
- office-level administrative policies and procedures and files related to their development (see Note 1)
- calendars or schedules of daily activities of non-high-level officials (high-level officials are defined in GRS 6.1; this item covers those positions not defined as high-level)
- informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182)
- internal office activity and workload reports
- studies and analyses of office administrative functions and activities
- non-mission related management reviews and surveys
- minutes of meetings related to administrative activities

Exclusion 1: This item does not apply to recordkeeping copies of organizational charts, functional statements, and related records that document the mission-related organization, staffing, and procedures of the office. Agencies must schedule those records on an agency-specific schedule.

Note 1: This item covers administrative policies and procedures at the office/unit level. GRS 5.7 covers agency-level administrative issuances or directives.

Disposition: Temporary. Destroy when business use ceases.

DispAuthNo: DAA-GRS-2016-0016-0001 (G **Date Edited:** 9/21/2017)

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Chapter 04: Personnel Records

Foreign Service Grievance Board

A-04-021-01 Foreign Service Grievance Board Records of Proceedings (ROPs)

Description: Submission of appeals filed with the FSGB by employees of the various Foreign Affairs agencies that includes but is not limited to State, USAID, Agriculture, etc. The submission includes grievant's original letter, acknowledgement letter, exhibits, supplementary briefs and filings, motions, Board orders, correspondence, hearing transcripts, Board interim and final decisions, and other related information. Files maintained by year and sequential numerical system.

Disposition: Temporary. Cutoff is the date of final decision. Destroy 7 years after cutoff or when no longer needed, whichever is later. (Superseded N1-59-86-1, Item 1) Note for RA: Record copy limited to paper until adequate electronic system in place.

DispAuthNo: DAA-0059-2013-0002-0001 **Date Edited:** 12/19/2013

A-04-021-02 Board Orders and Decisions

Description: All orders, interim Decisions, and final Decisions issued by the Board. File contains official and excised versions. Records are filed by case number and name.

Disposition: Temporary. Cutoff is date of final decision. Destroy 25 years after cutoff or when no longer needed, whichever is later. Note for RA: Record copy limited to paper until adequate electronic system in place.

DispAuthNo: DAA-0059-2013-0002-0002 **Date Edited:** 12/19/2013

A-04-021-03 Court Case Files

Description: Copies of Records of Proceedings of appealed FSGB decisions requested by the courts and interested parties; copies of documentation filed with the court regarding such cases, and copies of the court decisions.

Disposition: Temporary. Cutoff is date of final court decision. Destroy copies of Records of Proceedings and other related documentation 10 years after cutoff. Destroy final court decision 25 years after cutoff or when no longer needed, whichever is later.

DispAuthNo: DAA-0059-2013-0002-0003 **Date Edited:** 12/19/2013

A-04-021-04 Legal Research and Reference Files

Description: Copies of memoranda, guidance, published decisions, copies of laws and regulations, and other documentation used to provide advice to Board members concerning FSGB appeals.

Disposition: Temporary. Destroy/delete when superseded, obsolete, or when no longer needed.

DispAuthNo: DAA-0059-2013-0002-0004 **Date Edited:** 12/19/2013

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Chapter 04: Personnel Records

A-04-021-05 Chronological Files

Description: File contains incoming and outgoing correspondence not related to specific FSGB cases that include, but not limited to, budgetary matters, inquiries, and other operational issues.

Disposition: Temporary. Cutoff the end of calendar year. Destroy 5 years after cutoff or when no longer needed, whichever is later.

DispAuthNo: DAA-0059-2013-0002-0005 **Date Edited:** 12/19/2013

A-04-021-06 Board Member Files

Description: Board member consultant contracts, travel authorizations, vouchers, time and attendance, and related memoranda, correspondence, and documents.

Disposition: Temporary. Cutoff at the end of the member's current annual term, or when member leaves the Board, whichever is sooner. Destroy 1 year after cutoff, or when no longer needed for agency business, whichever is later.

DispAuthNo: DAA-0059-2013-0002-0006 **Date Edited:** 12/19/2013

A-04-021-07 FSGB Annual Report

Description: Summary of the day-to-day operations and responsibilities of the Board including, but not limited to, description of grievances, number and type of cases, decision determinations, and other related information occurring during the calendar year.

Disposition: Permanent. Cutoff at the end of the calendar year in which the report was published. Transfer paper versions to the National Archives in one block (2003 and earlier) in 2019. When official copy is electronic (2004 and forward) transfer to the National Archives 5 years after cutoff.

DispAuthNo: DAA-0059-2013-0002-0007 **Date Edited:** 12/19/2013

A-04-021-08 Policy and Procedure Documents

Description: Internal policies and procedures related to the administrative functions of the Board, including the grievance process.

Disposition: Temporary. Cutoff when superseded. Destroy 5 years after cutoff, or when no longer needed for agency business, whichever is later.

DispAuthNo: DAA-0059-2013-0002-0008 **Date Edited:** 12/19/2013

A-04-021-09 Board Minutes (closed series)

Description: Formal minutes created and maintained by the Board, documenting Board discussion and actions.

Disposition: Permanent. Transfer to the National Archives upon approval of this schedule.

DispAuthNo: DAA-0059-2013-0002-0009 **Date Edited:** 12/19/2013

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Chapter 04: Personnel Records

A-04-021-10a Intermediary Records

Description: Content Records--Website contains documentation which includes the FSGB description, member bios, policy and procedures, notices, decision excisions, and other related information.

Disposition: Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later. (Supersedes GRS 4.3 item 010; GRS 4.3, item 011; GRS 4.3, item 012; GRS 4.3, item 020; GRS 4.3, item 030; and GRS 4.3, item 031)

DispAuthNo: DAA-GRS-2017-0003-0002 (G **Date Edited:** 9/26/2017

A-04-021-10b Management and Operations

Description: Contains records documenting website operations and maintenance, such as website design documents, management policies and procedures, software-related records, access logs, site posting logs, search result statistics, and other related reporting.

Disposition: Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded, but longer retention is authorized if required for business use. (Supersedes GRS 24, item 8)

DispAuthNo: DAA-GRS-2013-0005-0004 (G **Date Edited:** 9/13/2017

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Chapter 04: Personnel Records

A-04-021-11 Administrative Records Maintained in any Agency Office

Description: Records accumulated by individual offices that relate to routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists. Records include:

- staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1)
- office-level administrative policies and procedures and files related to their development (see Note 1)
- calendars or schedules of daily activities of non-high-level officials (high-level officials are defined in GRS 6.1; this item covers those positions not defined as high-level)
- informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training (e.g. SF-182)
- internal office activity and workload reports
- studies and analyses of office administrative functions and activities
- non-mission related management reviews and surveys
- minutes of meetings related to administrative activities

Exclusion 1: This item does not apply to recordkeeping copies of organizational charts, functional statements, and related records that document the mission-related organization, staffing, and procedures of the office. Agencies must schedule those records on an agency-specific schedule.

Note 1: This item covers administrative policies and procedures at the office/unit level. GRS 5.7 covers agency-level administrative issuances or directives.

Disposition: Temporary. Destroy when business use ceases.

DispAuthNo: DAA-GRS-2016-0016-0001 (G **Date Edited:** 9/21/2017)
