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Front Office

A-11-001-10 Policy File - Arrange by TAGS and Terms

Description: Congressionals, correspondence, memorandums, telegrams, reports and other documentation on security covering awareness, counterintelligence, countermeasures, counterterrorism, diplomatic couriers, emergency plans, field offices, information systems, investigations, overseas operations, Overseas Security Advisory Council (OSAC), physical security, procedures, protection, services, technology, threats, and other related subjects.

Disposition: Permanent. Cut off file at end of each calendar year. Retire to RSC 3 years after cut off date. Transfer to WNRC 5 years after cut off date. Transfer to the National Archives 30 years after cut off date.

DispAuthNo: N1-059-94-43, item 1(1)a **Date Edited:** 10/26/2007

A-11-001-11 Assistant Secretary Chronological File - Arrange by message reference number or by date

Description: Extra copies of correspondence, memorandums, notes, official-informal, reports, speeches, statements, telegrams and other documentation maintained by or for the direct use of the Assistant Secretary or Deputy Assistant Secretary.

Disposition: Permanent. Cut off file at end of each calendar year. Retire to RSC 1 year after cut off date. Transfer to WNRC 3 years after cut off date. Transfer to the National Archives 30 years after cut off date.

DispAuthNo: N1-059-94-43, item 1(1)b **Date Edited:** 10/26/2007

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Countermeasures and Counterintelligence

A-11-003-10a(1) Alarm Systems Files - Reports on fire and security alarms covering the Central Monitoring Station (CMS)

Description: a. Fire Alarm Report File. Activity reports generated by the Department's Interactive Technologies Inc. (ITI) fire alarm system.

(1) Printouts.

Disposition: Destroy when 1 year old.

DispAuthNo: N1-059-94-43, item 36a(1)

Date Edited: 10/26/2007

A-11-003-10a(2) Alarm Systems Files - Reports on fire and security alarms covering the Central Monitoring Station (CMS)

Description: a. Fire Alarm Report File. Activity reports generated by the Department's Interactive Technologies Inc. (ITI) fire alarm system.

(2) Cassettes.

Disposition: Reuse when 2 weeks old. Destroy tape when no longer usable.

DispAuthNo: N1-059-94-43, item 36a(2)

Date Edited: 10/26/2007

A-11-003-10b(1) Alarm Systems Files - Reports on fire and security alarms covering the Central Monitoring Station (CMS)

Description: b. Security Alarm Report File. Activity reports generated by the Department's Monitor Dynamics Security System (MDI) security alarm system.

(1) Printouts.

Disposition: Destroy when 1 year old.

DispAuthNo: N1-059-94-43, item 36b(1)

Date Edited: 10/26/2007

A-11-003-10b(2) Alarm Systems Files - Reports on fire and security alarms covering the Central Monitoring Station (CMS)

Description: b. Security Alarm Report File. Activity reports generated by the Department's Monitor Dynamics Security System (MDI) security alarm system.

(2) Cassettes.

Disposition: Reuse when 2 weeks old. Destroy tape when no longer usable.

DispAuthNo: N1-059-94-43, item 36b(2)

Date Edited: 10/26/2007

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A-11-003-10c **Alarm Systems Files - Reports on fire and security alarms covering the Central Monitoring Station (CMS)**

Description: c. Security Monitoring Cameras File. Video Home System (VHS) video cassette tapes generated by the security monitoring cameras.

Disposition: Reuse when 1 week old. Destroy tape when no longer usable.

DispAuthNo: N1-059-94-43, item 36c **Date Edited:** 10/26/2007

A-11-003-12 **Building Passes for Persons who are not Department Employees - Case File**

Description: Applications for Department of State Building Pass (DSP-97), and Security Investigation Data for Nonsensitive Position (SF-85) on persons who are not Department employees covering applications, building passes, investigations, and other related subjects.

Disposition: Destroy 1 year after cancellation of pass.

DispAuthNo: N1-059-94-43, item 30 **Date Edited:** 10/26/2007

A-11-003-13 **Data Cards File**

Description: Data cards on individuals covering the issuance of building passes.

Disposition: Destroy when new pass is issued or at termination of employment.

DispAuthNo: N1-059-94-43, item 31 **Date Edited:** 10/26/2007

A-11-003-14 **Facilities Physical Security - Program File - Arrange by TAGS and Terms**

Description: Accrediting reports, copies of contracts, memorandums, status reports, surveys, and telegrams on physical security for facilities covering advice of allotments, antennas, certifications, comments, controlled access areas, construction, designs, drawings, funding, installations, new office buildings (NOB), plans, projects, rehabilitation, requirements, reviews, shipping, space, surveys, and other related subjects.

Disposition: Cut off file at end of each calendar year. Retire to RSC 3 years after cut off date for transfer to WNRC. Destroy 7 years after cut off date.

DispAuthNo: N1-059-94-43, item 51 **Date Edited:** 10/26/2007

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A-11-003-15 Facility Security Assessment Records

Description: All other facility security areas.

Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.

Correspondence, and reports on fire and security alarms covering opening and closing schedules, lists of authorized personnel, alarm reports, and other related subjects.

Disposition: Temporary. Destroy 3 years after updating the security assessment or terminating the security awareness status, whichever is sooner, but longer retention is authorized if required for business use. (Supersedes GRS 18, item 10)

DispAuthNo: DAA-GRS-2017-0006-0011 (G) **Date Edited:** 9/11/2017

A-11-003-16 Industrial Security Case File

Description: Documentation on security clearances covering the facilities of private organizations, when the Department is interested in bidding on a classified contract which uses those facilities.

Disposition: Destroy upon close of out of contract. (ref. NN-172-188, item 19)

DispAuthNo: N1-059-94-43, item 40 **Date Edited:** 9/18/2012

A-11-003-17 Industrial Security Inspection File

Description: Reports on contracts covering security classification inspections.

Disposition: Destroy 6 months after closeout of contract.

DispAuthNo: N1-059-94-43, item 41 **Date Edited:** 10/26/2007

A-11-003-20 Countermeasures - Program File - Arrange by TAGS and Terms

Description: Memorandums, reports, and telegrams on technical and physical security covering accreditation, anti-terrorism, buildings, construction, contractors, countermeasures, debugging, demolition, detection equipment, electronic security, emanations, inspections, receipts, systems development, and other related subjects.

Disposition: Cut off at the end of each calendar year. Destroy 2 years after cut off date.

DispAuthNo: N1-059-94-43, item 62 **Date Edited:** 10/26/2007

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A-11-003-22	Device Finds Files - Arrange alphabetically by name of post
Description:	Memorandums, reports, correspondence, photographs, diagrams, and other material relating to technical penetration of U.S. overseas facilities and the analysis of those devices. Also included are publications and reports of the U. S. Intelligence Board, Security Committees, Technical Surveillance Countermeasures Subcommittee. Files date primarily from the 1940s to the 1980s.
Disposition:	Permanent. Retire to RSC 10 years after case is closed for transfer to WNRC. Transfer to the National Archives 30 years after case is closed.
DispAuthNo:	N1-059-94-43, item 6 Date Edited: 10/26/2007
A-11-003-23	Emanations Security - Program File - Arrange by TAGS and Terms
Description:	Correspondence, memorandums, reports, studies, and telegrams on emanation security covering coordination, equipment, inspections, product evaluation, shielding, tempest, testing, training, zones of control, and other related subjects.
Disposition:	Cut off file at the end of every 5 calendar years. Destroy 5 years after cut off date.
DispAuthNo:	N1-059-94-43, item 63 Date Edited: 10/26/2007
A-11-003-24	Emanations Security Post - Program File - Arrange by post
Description:	Memorandums, reports, and telegrams on emanation security covering Automated Emanations Security Operations Program (AESOP) reports, construction, coordination, equipment, floor plans, inspections, shielding, tempest, testing, travel schedules, zones of control, and other related subjects.
Disposition:	Destroy 4 years after all requirements have been met.
DispAuthNo:	N1-059-94-43, item 64 Date Edited: 10/26/2007
A-11-003-25	Engineering Security - Arrange by posts
Description:	Engineering Security Services Report (DS-1539), forms, memorandums, monthly status reports, technical reports, and other documentation on engineering security covering countermeasures, drawings, engineering, ESC (Engineering Security Center), equipment, floor plans, inspections, installations, penetration, security technology, support services, surveillance, surveys, technical services, visits, and other related subjects.
Disposition:	Cut off file at the end of 3 calendar years. Microfiche file when 3 years old. Destroy paper file after filming. Retire microfiche to RSC when 12 years old for transfer to WNRC. Destroy microfiche when 30 years old.
DispAuthNo:	N1-059-94-43, item 9 Date Edited: 10/26/2007

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A-11-003-27	Technical Threat Assessment - Program File - Arrange by TAGS and Terms
Description:	Analysis material, collected threat information, memorandums, telegrams, and other documentation on defensive technical analysis covering facilities, intelligence, personnel, programs, and other related subjects.
Disposition:	Permanent. Cut off file at end of each calendar year. Retire to RSC 5 years after cut off date for transfer to WNRC. Transfer to the National Archives 30 years after cut off date.
DispAuthNo:	N1-059-94-43, item 5 Date Edited: 10/26/2007
A-11-003-28	U.S. Intelligence Board/Technology Security Coordination Group - (USIB/TSCG) - Audio Countermeasures Subcommittee File - Arrange by TAGS and Terms
Description:	Record copies of reports and related documentation.
Disposition:	Permanent. Cut off file at end of each calendar year. Retire to RSC when no longer needed. Transfer to WNRC after 3 years. Transfer to The National Archives when 30 years old.
DispAuthNo:	N1-059-94-43, item 8 Date Edited: 10/26/2007
A-11-003-30	Control Officer - Program File - Arrange by TAGS and Terms
Description:	Operational chronologies on controlled pouch trips to selected posts covering airway bills, deliveries to controlled access areas (CAA), tasks, telephones, warehouse set ups, vehicles, and other related subjects.
Disposition:	Cut off file at end of each year. Destroy 5 years after cut off date.
DispAuthNo:	N1-059-94-43, item 14 Date Edited: 10/26/2007
A-11-003-40	Crisis Management Exercise Controller Books - Program File - Arrange by post
Description:	Books and other documentation on exercises covering specific countries.
Disposition:	Destroy after new report is issued.
DispAuthNo:	N1-059-94-43, item 23 Date Edited: 10/26/2007
A-11-003-41	Crisis Management Exercises - Program File - Arrange by post
Description:	Background material and reports on exercises covering country clearances, equipment, evacuations, reports, shipments, training material, trips, and other related subjects.
Disposition:	Cut off file at end of every 3 calendar years. Retire to RSC 1 year after cut off date for transfer to WNRC. Destroy 6 years after cut off date.
DispAuthNo:	N1-059-94-43, item 22 Date Edited: 10/26/2007

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A-11-003-42	Crisis Management Training - Program File - Arrange by TAGS and Terms
Description:	Documentation on crisis management training exercises covering country clearances, equipment, evacuations, shipments of material, and other related subjects.
Disposition:	Cut off file at end of each year. Retire to RSC 3 years after cut off date for transfer to WNRC. Destroy 10 years after cut off date.
DispAuthNo:	N1-059-94-43, item 21 Date Edited: 10/26/2007
A-11-003-45	Emergencies - Program File - Arrange by post
Description:	Telegrams, trip reports, and reports on U.S. citizens abroad in actual emergencies covering protection, evacuation, relocation and other related subjects.
Disposition:	Cut off file at end of every 3 calendar years. Destroy 7 years after cut off date. (ref. NN-170-120, item 10)
DispAuthNo:	N1-059-94-43, item 26 Date Edited: 10/26/2007
A-11-003-51a	Physical Security Laboratory - Program Files - Documentation on physical security evaluations and testing covering equipment, locks, training, interagency liaison, and other related subjects - Arrange by TAGS and Terms
Description:	a. Interagency Advisory Committee on Security Equipment (IACSE) Specifications, standards, technical information, copies of committee minutes (GSA chairs committee).
Disposition:	Destroy when no longer needed.
DispAuthNo:	N1-059-94-43, item 48a Date Edited: 10/26/2007
A-11-003-51b(1)	Physical Security Laboratory - Program Files - Documentation on physical security evaluations and testing covering equipment, locks, training, interagency liaison, and other related subjects
Description:	b. Technical Data File (1) Technical reference materials on classified storage equipment.
Disposition:	Destroy when no longer needed.
DispAuthNo:	N1-059-94-43, item 48b(1) Date Edited: 10/26/2007

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A-11-003-51b(2)	Physical Security Laboratory - Program Files - Documentation on physical security evaluations and testing covering equipment, locks, training, interagency liaison, and other related subjects - Arrange by post
Description:	b. Technical Data File (2) Telegrams.
Disposition:	Cut off file at end of each calendar year. Destroy 3 years after cut off date.
DispAuthNo:	N1-059-94-43, item 48b(2) Date Edited: 10/26/2007
A-11-003-51c	Physical Security Laboratory - Program Files - Documentation on physical security evaluations and testing covering equipment, locks, training, interagency liaison, and other related subjects - Arrange by subject
Description:	c. Training Material File.
Disposition:	Destroy when updated or obsolete.
DispAuthNo:	N1-059-94-43, item 48c Date Edited: 10/26/2007
A-11-003-52	Plain Text Processing Equipment - Program File - Arrange by TAGS and Terms
Description:	Memorandums, telegrams, and other documentation on plain text processing equipment covering certifications, classified information processing equipment (CIPE), controlled access areas, emergencies, engineering, equipment, evaluations, maintenance, opinions, policies, shipments, studies, and other related subjects.
Disposition:	Cut off file at end of each calendar year. Destroy 1 year after cut off date.
DispAuthNo:	N1-059-94-43, item 66 Date Edited: 10/26/2007
A-11-003-53a	Security Equipment and Maintenance (SEMP) - Program Files - Arrange by subject
Description:	Documentation on security equipment covering maintenance, procurement, product integrity, protective equipment, shipments, special equipment, storage, supplies, vehicles, and other related subjects. a. Bill of Materials File. Pick list, materials, and shipping information.
Disposition:	Cut off file at the end of each fiscal year. Destroy 3 years after cut off date.
DispAuthNo:	N1-059-94-43, item 49a Date Edited: 10/26/2007

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A-11-003-53b(1)	Security Equipment and Maintenance (SEMP) - Program Files - Arrange by TAGS and Terms Blanket Purchase Agreements Files
Description:	Documentation on security equipment covering maintenance, procurement, product integrity, protective equipment, shipments, special equipment, storage, supplies, vehicles, and other related subjects. b. Blanket Purchase Agreements Files (1) Data. Copies of invoices, memorandums, order registers on BPA's covering accounting data, fiscal data, and funding information.
Disposition:	Cut off file at the end of each fiscal year. Destroy 3 years after cut off date.
DispAuthNo:	N1-059-94-43, item 49b(1) Date Edited: 10/26/2007
A-11-003-53b(2)	Security Equipment and Maintenance (SEMP) - Program Files - Arrange by TAGS and Terms
Description:	Documentation on security equipment covering maintenance, procurement, product integrity, protective equipment, shipments, special equipment, storage, supplies, vehicles, and other related subjects. b. Blanket Purchase Agreements Files (2) Transactions. Transmittal sheets on BPA's covering accounts receivable, copies of open and closed purchase orders, parts, requisitions, salvage reports, and vendor information.
Disposition:	Cut off file at the end of each fiscal year. Destroy 3 years after completion of contract.
DispAuthNo:	N1-059-94-43, item 49b(2) Date Edited: 10/26/2007
A-11-003-53d	Security Equipment and Maintenance (SEMP) - Program Files - Arrange by TAGS and Terms
Description:	Documentation on security equipment covering maintenance, procurement, product integrity, protective equipment, shipments, special equipment, storage, supplies, vehicles, and other related subjects. d. Memorandums, telegrams, and other documentation on inventories covering security equipment.
Disposition:	Destroy when updated.
DispAuthNo:	N1-059-94-43, item 49d Date Edited: 10/26/2007

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A-11-003-53e(1)	Security Equipment and Maintenance (SEMP) - Program Files - Arrange by TAGS and Terms
Description:	<p>Documentation on security equipment covering maintenance, procurement, product integrity, protective equipment, shipments, special equipment, storage, supplies, vehicles, and other related subjects.</p> <p>e. Logistics Program File. Memorandums, messages, telegrams on logistics covering building management, copies of contracts, receiving, supplies, technical equipment, warehouses, and other related subject.</p> <p>(1) Copies of contracts.</p>
Disposition:	Destroy 1 year after termination of contract.
DispAuthNo:	N1-059-94-43, item 49e(1) Date Edited: 10/26/2007
A-11-003-53e(2)	Security Equipment and Maintenance (SEMP) - Program Files - Arrange by TAGS and Terms
Description:	<p>Documentation on security equipment covering maintenance, procurement, product integrity, protective equipment, shipments, special equipment, storage, supplies, vehicles, and other related subjects.</p> <p>e. Logistics Program File. Memorandums, messages, telegrams on logistics covering building management, copies of contracts, receiving, supplies, technical equipment, warehouses, and other related subject.</p> <p>(2) All other material.</p>
Disposition:	Cut off file at the end of each fiscal year. Destroy 3 years after cut off date.
DispAuthNo:	N1-059-94-43, item 49e(2) Date Edited: 10/26/2007
A-11-003-53f	Security Equipment and Maintenance (SEMP) - Program Files
Description:	<p>Documentation on security equipment covering maintenance, procurement, product integrity, protective equipment, shipments, special equipment, storage, supplies, vehicles, and other related subjects.</p> <p>f. Post File. Status reports and telegrams on services provided to posts by contractors covering equipment, post trip itineraries, shipping, and other related subjects.</p>
Disposition:	Destroy 1 year after termination of contract.
DispAuthNo:	N1-059-94-43, item 49f Date Edited: 10/26/2007

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A-11-003-53g	Security Equipment and Maintenance (SEMP) - Program Files - Arrange by TAGS and Terms
Description:	Documentation on security equipment covering maintenance, procurement, product integrity, protective equipment, shipments, special equipment, storage, supplies, vehicles, and other related subjects. g. Receiving file. Order-Supplies or Services (DS-1089), and Receiving and Inspection Report (OF-127) covering inventory check lists, local operating funds, packing lists, truck tickets, and other related subjects.
Disposition:	Cut off file at end of fiscal year. Destroy 3 years after cut off date.
DispAuthNo:	N1-059-94-43, item 49g Date Edited: 10/26/2007
A-11-003-53h	Security Equipment and Maintenance (SEMP) - Program Files - Arrange by TAGS and Terms
Description:	Documentation on security equipment covering maintenance, procurement, product integrity, protective equipment, shipments, special equipment, storage, supplies, vehicles, and other related subjects. h. Purchase Orders and Requisitions File. Order-Supplies or Services (DS-1089), and support request forms purchases.
Disposition:	Cut off file at end of fiscal year. Destroy 3 years after cut off date.
DispAuthNo:	N1-059-94-43, item 49h Date Edited: 10/26/2007
A-11-003-53i(1)	Security Equipment and Maintenance (SEMP) - Program Files - Arrange by TAGS and Terms
Description:	Documentation on security equipment covering maintenance, procurement, product integrity, protective equipment, shipments, special equipment, storage, supplies, vehicles, and other related subjects. i. Shipping File. (1) Government Bills of Lading, memorandums, telegrams, and Diplomatic Pouch Mail Registration (OF-120) on shipping. Covering funding and funding sites.
Disposition:	Cut off file at end of fiscal year. Destroy 5 years after cut off date.
DispAuthNo:	N1-059-94-43, item 49i(1) Date Edited: 10/26/2007

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A-11-003-53i(2)	Security Equipment and Maintenance (SEMP) - Program Files - Arrange by post
Description:	Documentation on security equipment covering maintenance, procurement, product integrity, protective equipment, shipments, special equipment, storage, supplies, vehicles, and other related subjects. i. Shipping File. (2) Telegrams on equipment shipments
Disposition:	Destroy when 1 year old.
DispAuthNo:	N1-059-94-43, item 49i(2) Date Edited: 10/26/2007
A-11-003-53j	Security Equipment and Maintenance (SEMP) - Program Files - Arrange by post
Description:	Documentation on security equipment covering maintenance, procurement, product integrity, protective equipment, shipments, special equipment, storage, supplies, vehicles, and other related subjects. j. Technical Surveillance Countermeasures Equipment File. Memorandums, and telegrams on technical surveillance countermeasures covering equipment, inquires, Diplomatic Pouch Mail Registration (OF-120), requests, shipping messages, and other related subjects.
Disposition:	Cut off file at the end of every 3 fiscal years. Destroy 3 years after cut off date.
DispAuthNo:	N1-059-94-43, item 49j Date Edited: 10/26/2007
A-11-003-53k	Security Equipment and Maintenance (SEMP) - Program Files - Arrange by post
Description:	Documentation on security equipment covering maintenance, procurement, product integrity, protective equipment, shipments, special equipment, storage, supplies, vehicles, and other related subjects. k. Technical Trips Reports File. Correspondence, diagrams, memorandums, telegrams, and trip reports (in process and final) covering posts, technical equipment information, visa requirements, and other related subjects.
Disposition:	Destroy when 1 year old.
DispAuthNo:	N1-059-94-43, item 49k Date Edited: 10/26/2007

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A-11-003-61 File Cabinet or Vault Security Forms

Description: Forms: Security Container Information (SF-700) and Security Container Checksheet (SF-702) used to record access to unclassified sensitive, administratively controlled, or classified information, and valuable equipment and property in file cabinets, file safes, or other security containers, and vaults, controlled access areas, and facilities.

Disposition: Destroy 1 year after last date entered on sheet.

DispAuthNo: NC-059-75-02, item 3 **Date Edited:** 10/26/2007

A-11-003-70 Building Drawings File - Arrange by post

Description: Drawings at different phases of design (conceptual, 30%, 60%, 90%, and final) on existing or new office buildings covering electrical, mechanical, and physical plans.

Disposition: Destroy 5 years after completion of project.

DispAuthNo: N1-059-94-43, item 52 **Date Edited:** 10/26/2007

A-11-003-71 Turnkey Program - Survey Reports and Specification

Description: Proposals, reports, and other documentation, exclusive of architectural drawings, related to TURNKEY projects.

Disposition: Permanent. Transfer to WNRC when one year old. Transfer to the National Archives when 30 years old.

DispAuthNo: N1-059-90-25, item 1 **Date Edited:** 10/26/2007

A-11-003-71a Turnkey Program - Architectural Drawings

Description: Drawings related to security upgrades for overseas posts identifying electrical, plumbing, structural, and other improvements of U.S. occupied buildings overseas. Upon completion of a project, all drawings and pertinent documentation covered by item 1 will be microfilmed (aperture cards and microfiche).

Disposition: See sub sections 71a(1) through 71a(3) for specific dispositions.

DispAuthNo: N1-059-90-25, item 2 **Date Edited:** 10/26/2007

A-11-003-71a(1) Turnkey Program - Architectural Drawings

Description:
a. Original architectural drawings.

Disposition: Destroy upon verification of microfilm.

DispAuthNo: N1-059-90-25, item 2a **Date Edited:** 10/26/2007

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A-11-003-71a(2)	Turnkey Program - Architectural Drawing
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Description:	b. Master set of microfilm.
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Disposition:	Retain in DS. Retire to RSC 10 years after completion of Turnkey Program. Destroy when 20 years old.
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DispAuthNo:	N1-059-90-25, item 2b	Date Edited:	10/26/2007
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A-11-003-71a(3)	Turnkey Program - Architectural Drawing
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Description:	c. Duplicate set of microfilm.
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Disposition:	Destroy when 10 years old.
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DispAuthNo:	N1-059-90-25, item 2c	Date Edited:	10/26/2007
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A-11-003-72	Construction Evaluation and Review File - Arrange by post or geographic area
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Description:	Small construction drawings, telegrams, requests for review, comments, post specific information, and other material.
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Disposition:	Cut off file after update. Destroy when no longer needed.
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DispAuthNo:	N1-059-94-43, item 55	Date Edited:	10/26/2007
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A-11-003-74a	Penetration Post - Program Files
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Description:	Correspondence, reports, and other documentation on post penetration activities covering photographs, original building plans, copies of U.S. Intelligence Board/Technical Security Coordination Group (USIB/TSCG) reports, Technical Security Survey Reports, and other related subjects.
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	a. Active Cases.
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Disposition:	Review annually. Transfer to inactive file 3 years after determination case no longer has security interest.
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DispAuthNo:	N1-059-94-43, item 29a	Date Edited:	10/26/2007
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A-11-003-74b Penetration Post - Program Files

Description: Correspondence, reports, and other documentation on post penetration activities covering photographs, original building plans, copies of U.S. Intelligence Board/Technical Security Coordination Group (USIB/TSCG) reports, Technical Security Survey Reports, and other related subjects.

b. Inactive Cases.

Disposition: Permanent. Retire to RSC 10 years after cut off date for transfer to WNRC. Transfer to the National Archives 30 years after cut off date.

DispAuthNo: N1-059-94-43, item 29b **Date Edited:** 10/26/2007

A-11-003-75 Post Security Drawings - Arrange by post

Description: Conceptual drawings on building security covering different building stages.

Disposition: Destroy when updated or obsolete.

DispAuthNo: N1-059-94-43, item 28 **Date Edited:** 10/26/2007

A-11-003-77 Post Residential Security Program File - Arrange by TAGS and Terms

Description: Maps, memorandums, photographs, surveys, and telegrams on residential security covering alarms, crime information, direct hire employees, funding, grills, guidance, lighting, locks, monthly status reports, personal residences, physical security, travel, trip reports, and related subjects.

Disposition: Cut off file at end of every 3 calendar years. Destroy 1 year after cut off date.

DispAuthNo: N1-059-94-43, item 46 **Date Edited:** 10/26/2007

A-11-003-81 Program Standards and Policy Files - Arrange by subject

Description: Records accumulated by offices responsible for security program management, including the development of security standards and policies for which they have primary responsibility, leading to the publication of foreign affairs manuals and handbooks.

Disposition: See sub sections 81a through 81d for specific dispositions.

DispAuthNo: N1-059-94-43, item 53 **Date Edited:** 10/26/2007

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A-11-003-81a	Program Standards and Policy Files - Arrange by subject		
Description:	a. Master Set of Standards.		
Disposition:	Permanent. Retire to RSC 1 year after updated for transfer to WNRC. Transfer to NARA when 30 years old.		
DispAuthNo:	N1-059-94-43, item 53a	Date Edited:	10/26/2007
A-11-003-81b	Program Standards and Policy Files - Arrange by subject		
Description:	b. Master Set of Policies.		
Disposition:	Permanent. Retire to RSC 1 year after updated for transfer to WNRC. Transfer to NARA when 30 years old.		
DispAuthNo:	N1-059-94-43, item 53b	Date Edited:	10/26/2007
A-11-003-81c	Program Standards and Policy Files		
Description:	c. Drafts of Standards.		
Disposition:	Destroy 3 months after standards are published.		
DispAuthNo:	N1-059-94-43, item 53c	Date Edited:	10/26/2007
A-11-003-81d	Program Standards and Policy Files		
Description:	d. Drafts of Policies.		
Disposition:	Destroy 3 months after standards are published.		
DispAuthNo:	N1-059-94-43, item 53d	Date Edited:	10/26/2007
A-11-003-82	Requests for Waiver of Physical Security Standards - Arrange by post or geographically		
Description:			
Disposition:	Destroy when no longer needed.		
DispAuthNo:	N1-059-94-43, item 54	Date Edited:	10/26/2007

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A-11-003-83	Systems Development and Evaluation Laboratory - Program File		
Description:	Background material, reports, and other documentation on security requirements covering developments, evaluations, existing systems, interagency research, market research, new equipment, new systems, requirement developments, systems, and other related subjects.		
Disposition:	See sub sections 83a through 83d for specific dispositions		
DispAuthNo:	N1-059-94-43, item 65	Date Edited:	10/26/2007
A-11-003-83a	Systems Development and Evaluation Laboratory - Program File		
Description:	a. Current Equipment - Research File. Research on existing equipment and systems in use.		
Disposition:	Maintain until updated or the equipment is no longer used by the Department.		
DispAuthNo:	N1-059-94-43, item 65a	Date Edited:	10/26/2007
A-11-003-83b	Systems Development and Evaluation Laboratory - Program File		
Description:	b. Proposed Equipment - Research File. Research on proposed equipment for future use.		
Disposition:	Destroy 5 years after the equipment is determined to be of no further use to the Department.		
DispAuthNo:	N1-059-94-43, item 65b	Date Edited:	10/26/2007
A-11-003-83c	Systems Development and Evaluation Laboratory - Program File		
Description:	c. Obsolete Equipment - Research File. Completed research on equipment no longer in use.		
	(1) Research material of continued interest to the Department.		
Disposition:	Maintain until the Department has no further interest.		
DispAuthNo:	N1-059-94-43, item 65c(1)	Date Edited:	10/26/2007

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A-11-003-83d	Systems Development and Evaluation Laboratory - Program File
Description:	c. Obsolete Equipment - Research File. Completed research on equipment no longer in use. (2) Research material no longer of interest to the Department.
Disposition:	Destroy 5 years after determined to be of no further interest to the Department.
DispAuthNo:	N1-059-94-43, item 65c(2) Date Edited: 10/26/2007

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Diplomatic Security and Services

A-11-004-01a **DS Electronic Tracking (DSET)**

Description: Master File:

Diplomatic Security Employee Tracker (DSET) is an application that provides DS with a single location to enter and search employee work schedules and related data (e.g., protective details, temporary duty [TDY] assignments, etc.) and produce staffing reports. DS-ET provides timely data to the Command Center (CC), Domestic Offices (DO), and International Programs (IP) offices, making it easier to adjust personnel resource plans and staff special assignments.

Disposition: Temporary. Destroy/delete master file data 5 years after special assignment ends.

DispAuthNo: N1-059-09-17, item 1a

Date Edited: 8/27/2009

A-11-004-01b **Intermediary Records**

Description: DS Electronic Tracking (DSET) hard copy and electronic input documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system. Also includes output adhoc reports derived from electronic records for reference purposes or to meet day-to-day business needs.

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-11-004-01f **DS Electronic Tracking (DSET)**

Description: Systems Backups:

System Backups and Tape Library Records. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

Disposition: Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (Supersedes GRS 24, item 4a[1]).

DispAuthNo: GRS 3.2, item 040

Date Edited: 5/7/2015

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A-11-004-01g	DS Electronic Tracking (DSET)
Description:	System Documentation. Includes systems requirements, system design, and user guides.
Disposition:	Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system. (Supersedes GRS 20, item 11a[1]).
DispAuthNo:	GRS 3.1, item 051
	Date Edited: 5/7/2015
A-11-004-03	Security Legal Services - Program File - Arrange by subject
Description:	Correspondence, memorandums, telegrams and other documentation on legal issues covering security programs and projects.
Disposition:	Permanent. Cut off file when program or project is terminated. Retire to RSC 5 year after cut off date for transfer to WNRC. Transfer to the National Archives 30 years after cut off date.
DispAuthNo:	N1-059-94-43, item 67
	Date Edited: 10/26/2007
A-11-004-04	Litigation Cases - Reference File
Description:	Copies of pending litigation documents and other legal documentation on security matters.
Disposition:	Cut off file when case is closed. Destroy 3 months after case is closed or when no longer needed.
DispAuthNo:	Non-Record
	Date Edited: 4/1/1999
A-11-004-05	Monthly Activity Reports File - Arrange by post
Description:	Monthly Activity Reports on security received each month from posts covering current events, incidents, investigative statistics, projects, threats, and other related subjects.
Disposition:	Cut off file at end of each calendar year. Destroy 1 year after cut off date. (ref. NN-172-188, item 24)
DispAuthNo:	N1-059-94-43, item 83
	Date Edited: 10/26/2007

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A-11-004-06 Director Chron Files

Description: Reference copies of various incoming and outgoing correspondence signed by the Director, including but not limited to: memoranda, OIG requests/responses, internal instructions, reports, Memoranda of Agreement (MOAs), Memoranda of Understanding (MOUs) personnel evaluations, action memoranda, responses to congressional inquiries, and briefing materials primarily related to facility security and personnel "Fitness for Duty" evaluation requests. The files are stored chronologically and are maintained by month and year. (NOTE: Record copies are stored in subordinate offices; files at the A/S level are permanent.)

Disposition: Temporary. Cut-off at end of calendar year. Destroy three (3) years after cut-off date or when no longer needed for reference, whichever is longer.

DispAuthNo: DAA-0059-2015-0009-0001

Date Edited: 4/27/2016

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Public Affairs Office

A-11-005-01 Public Affairs - Subject Files

Description: Includes copies of press releases issued through the Department's press office or the Diplomatic Security (DS) web site; copies of press guidance for use by the Department's spokesman and DS personnel when speaking to the news media or public audiences; copies of speeches made by the DS Assistant Secretary and Deputy Assistant Secretary; clearances on writing for publication and public speeches given by DS employees on matters of official concern; written responses to media queries; media interviews; information related to media policy guidance; background information on preparation of informational and educational materials; information on outreach programs, such as the A-OK Program (Alert Overseas Kids) and the Sentry Kids Identification System; and materials for exhibits.

Disposition: Temporary. Cut off at the end of the calendar year. Destroy when 10 years old or when no longer needed, whichever is later. Supersedes N1-059-92-19, item 1

DispAuthNo: DAA-0059-2012-0002-0001

Date Edited: 4/16/2014

A-11-005-02 Public Affairs - Newsletter

Description: Internal newsletter covering DS mission-related topics and items of interest to DS employees, including, but not limited to, employee activities, events, awards, or bureau news. Includes background and research materials.

Disposition: Temporary. Cut off at end of calendar year. Destroy when 10 years old or when no longer needed, whichever is later.

DispAuthNo: DAA-0059-2012-0002-0002

Date Edited: 4/16/2014

A-11-005-03 Public Affairs - Publications

Description: Includes copies of the DS annual report, annual reports of other DS offices; brochures describing the mission of DS; and DS recruitment brochures. Excluded are historical publications on DS.

Disposition: Temporary. Cut off at end of calendar year in which publication was produced. Destroy when 10 years old or when no longer needed, whichever is later. Supersedes N1-059-92-19, item 2a and item 2b.

DispAuthNo: DAA-0059-2012-0002-0003

Date Edited: 4/16/2014

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A-11-005-04 Public Affairs - Photographs

Description: Photographs depicting DS mission-related activities that may be used in brochures, presentations, exhibits, and other products.

Disposition: Permanent. Copy existing images and metadata and transfer to NARA in an acceptable format upon approval of schedule. Thereafter, every five years, copy images and metadata and transfer to NARA in an acceptable format at the time of transfer. Supersedes N1-059-92-19, item 2c; and items 5a, 5b, and 5c

DispAuthNo: DAA-0059-2012-0002-0004 **Date Edited:** 4/16/2014

A-11-005-05 Public Affairs - Presentations

Description: Consists of PowerPoint slide presentations on DS mission-related topics that are used to support internal and external program activities.

Disposition: Temporary. Destroy when obsolete or superseded, whichever is sooner.

DispAuthNo: DAA-0059-2012-0002-0005 **Date Edited:** 4/16/2014

A-11-005-06 Public Affairs - DVD-Video

Description: Consists of digital video disks (DVDs) or other storage media format created by DS or created by and for others on DS mission-related topics, such as copies of news clips and commercial productions or DS internal training topics that are used to support internal and external program activities. This item excludes DS produced video on DS history

Disposition: Temporary. Destroy when obsolete, superseded, or when no longer needed for reference, whichever is later. Supersedes N1-059-92-19, items 3 and 4b

DispAuthNo: DAA-0059-2012-0002-0006 **Date Edited:** 4/16/2014

A-11-005-07 Public Affairs - DS History

Description: Consist of publications and other productions created by Public Affairs on historical aspects of the Bureau of Diplomatic Security, as well as, for external and/or internal publication.

Disposition: Permanent. Cut off at end of calendar year in which produced. Transfer to the National Archives 15 years after cutoff. For video productions, transfer 5 years after cutoff. Supersedes N1-059-92-19, item 4a(1)

DispAuthNo: DAA-0059-2012-0002-0007 **Date Edited:** 4/16/2014

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A-11-005-08 Public Affairs - News Articles

Description: Consists of reprints of news articles from various sources on items related to Diplomatic Security and related programs.

Disposition: Temporary. Destroy when obsolete or no longer needed, whichever is sooner.

DispAuthNo: Non-record

Date Edited: 4/16/2014

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Project Coordination Branch (DS/PSD/PCB)

A-11-006-01 Photograph Collection

Description: Photographs taken as part of new construction, major renovation, or inventory of US Department of State overseas facilities. Photographs are part of the review process to ensure that facilities abroad maintain accepted standards of physical security. Includes prints, slides, negatives, digitally scanned images, and born-digital images.

Disposition: Temporary. Destroy/delete when U.S. no longer has ownership of the building, no longer leases the building, or when no longer needed.

DispAuthNo: DAA-0059-2015-0013-0001 **Date Edited:** 4/27/2016

A-11-006-02 Physical Security Surveys

Description: Physical Security Surveys, supplementals, exhibits, and supporting documentation on physical security covering U.S. Government owned facilities abroad.

Disposition: Temporary. Destroy/delete when superseded by new report.

DispAuthNo: DAA-0059-2015-0013-0002 **Date Edited:** 4/27/2016

A-11-006-03 Policy Memorandums Working Files

Description: Records accumulated by offices responsible for security program management, including the development of security standards and policies for which they have primary responsibility, leading to the publication of foreign affairs manuals and handbooks.

Disposition: Temporary. Cut off at the end of the calendar year. Destroy/delete 3 years after cutoff.

DispAuthNo: DAA-0059-2015-0013-0003 **Date Edited:** 4/27/2016

A-11-006-04 Facilities' Security Program and Project Files

Description: Accrediting reports, copies of memorandums, status reports, project files, surveys, and telegrams on physical security for facilities covering advice of allotments, antennas, certifications, comments, controlled access areas, construction, designs, drawings, funding, installations, new office buildings (NOB) plans, projects, rehabilitation, requirements, reviews, shipping, space, forms, and other related administrative documents.

Disposition: Temporary. Cutoff file at end of each calendar year. Destroy/delete 15 years after cutoff date.

DispAuthNo: DAA-0059-2015-0013-0004 **Date Edited:** 4/27/2016

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Assistant Director for Training

A-11-007-01 Reference Files

Description: Copies of printed reports, special studies, internal instructions, information materials, legislative publications and other documents used solely for reference purposes. (Official copy retained in subordinate office(s)).

Disposition: Destroy material when no longer needed for reference.

DispAuthNo: Non-Record

Date Edited: 12/1/2006

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Office of Antiterrorism Assistance

A-11-008-01 Daily and Weekly Activity Reports

Description: a. Recordkeeping copies. File contains summaries of the weekly activities of PM/CPP. Arrange annually or other specific time period.

Disposition: TEMPORARY: Cutoff at end of calendar year. Hold in current file area and destroy when 3 (three) years old.

DispAuthNo: N1-059-07-04, item 1

Date Edited: 1/29/2008

A-11-008-01a Non-recordkeeping Copies of Electronic Records

Description: Non-recordkeeping copies of electronic versions of Daily and Weekly Activity Reports) maintained in email systems, computer hard drives or networks, web servers, or other locations after copying the records to a recordkeeping system or otherwise preserve the recordkeeping version.

Note 1: Non-recordkeeping copies may be Federal records. Often, copies are non-records and can be immediately destroyed, but not always. Copies are non-record if they are kept only for convenience of reference. If copies are used in the course of agency business to make decisions or take action, they are Federal records. The copies described here are Federal records if they are still being used by the agency for such business purposes, but are not recordkeeping copies of those records.

Note 2: For electronic mail records, the recordkeeping system must capture the names of sender and recipients, date (transmission data for recordkeeping purposes), and any receipt data, along with the message text. Sender/recipient information should be individual account information, not the name of a distribution list.

Disposition: Temporary. Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use. (Supersedes GRS 4.3, item 040)

DispAuthNo: DAA-GRS-2016-0016-0002 (G

Date Edited: 9/28/2017

A-11-008-02 Country Assessment Report File

Description: Files contain assessment reports, regardless of media, documenting the threat analysis (capability of a foreign country to ward off threat and the level of the threat). File also contains pre-assessment country survey, country assessment report (narrative and quantitative) and threat exploitation matrix.

a. Record copy of Country Assessment Reports (hard copy).

Disposition: PERMANENT: Cut off annually. Retire to records center 10 (ten) years after cut off. Transfer to the National Archives when 25 (twenty five) years old.

DispAuthNo: N1-059-07-04, item 2a

Date Edited: 1/29/2008

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A-11-008-02a Country Assessment Report File

Description: Files contain assessment reports, regardless of media, documenting the threat analysis (capability of a foreign country to ward off threat and the level of the threat). File also contains pre-assessment country survey, country assessment report (narrative and quantitative) and threat exploitation matrix.

b. All other copies and supporting material (electronic or paper).

Disposition: TEMPORARY: Destroy when no longer needed.

DispAuthNo: N1-059-07-04, item 2b

Date Edited: 1/29/2008

A-11-008-03 Weapons Control File

Description: Files created in the procurement of weapons (guns and ammunition) to support overseas training courses. Records used to compile master file to track weapons procured and turned over to foreign countries after course completion. Files include DSP-83 Form (Non-Transfer and Use Certificate), which is used to approve the transfer of weapons and technology. Files maintained according to country receiving weapons and by weapon serial number. Files span 2002 to present.

Disposition: TEMPORARY: Cut off file at the end of the calendar year. Maintain in the office for 3 (three) years after cutoff, and then transfer to the Records Service Center. Destroy 10 (ten) years after cut off.

DispAuthNo: N1-059-07-04, item 3

Date Edited: 1/29/2008

A-11-008-04 Weapons Log

Description: This log is used to maintain the control and accountability of shoulder weapons and spare handguns assigned to an office.

Disposition: TEMPORARY: Cut off file at the end of the calendar year. Maintain in the office for 3 (three) years after cutoff, and then transfer to the Records Service Center. Destroy 10 (ten) years after cut off.

DispAuthNo: N1-059-07-04, item 4

Date Edited: 1/29/2008

A-11-008-05 Ammunition Inventory Records

Description: The Ammunition Inventory Record accounts for all ammunition received and removed from stock, the date, and the reason for expenditure.

Disposition: TEMPORARY: Cut off at the end of the calendar year. Maintain in the office for 3 (three) years after cut off, and then transfer to the Records Service Center. Destroy 10 (ten) years after cut off.

DispAuthNo: N1-059-07-04, item 5

Date Edited: 1/29/2008

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A-11-008-06 **Passport and Visa File**

Description: Files contain correspondence required in the process of applying for diplomatic and official passports and visas for staff personnel and contractors who perform tasks outside the U.S. Files include actual passports returned upon completion of task. Files arranged alphabetically by individual's name. Files span 2003 to present.

Disposition: TEMPORARY: Forward returned passport books to DOS Passport Office when no longer required. Destroy passport or visa correspondence files when 5 (five) years old or upon separation of the bearer, whichever is sooner.

DispAuthNo: N1-059-07-04, item 6

Date Edited: 1/29/2008

A-11-008-07 **Interagency Agreement File**

Description: Files contain copies of Interagency Agreements (MOAs) with other U.S. Government and military agencies to provide training support requiring specific expertise. Files include cables, memoranda, and procurement contracts created in support of the MOAs. Files span 1993 to present. DS Contracts and Procurement (CAP) maintains the official file for MOAs.

Disposition: TEMPORARY: Destroy upon termination of MOA or when no longer needed.

DispAuthNo: N1-059-07-04, item 7

Date Edited: 1/29/2008

A-11-008-08 **Counter-Terrorism Program Management Information System (CTPMIS)**

Description: CTPMIS tracks all ATA financial transactions and scheduling processes, and provides the ability to accurately store financial data for events and operations; easily retrieve information about students and courses provided per location and country; retrieve real-time spending financial data per event and country; training schedules, purchase orders, contract files, students/alumni, travel, medical invoices; and store records of future events.

Inputs: Include financial data such as task orders, interagency agreements, fiscal cables, invoices, course schedules, and Notice of Change Forms.

Outputs: Include reports such as Obligations Summary Report, Obligations Cost Detail, Vendor Detail, Annual Plan for Appropriations, Chronological Program Activities, and Event Summaries that are used to track expenditures. Data is drawn from this system to prepare the Monthly Variance Report and Annual Reports to Congress.

Data spans 1987 to present. DS Chief Technology Officer (CTO) manages this system.

Disposition: TEMPORARY: Destroy when data is 6 (six) years 3 (three) months old or when no longer needed, whichever is longer.

DispAuthNo: N1-059-07-04, item 8

Date Edited: 1/29/2008

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A-11-008-09 Student Pre and Post Knowledge and Skills Surveys

Description: Files created, regardless of media, contain baseline on student's knowledge of subject prior to receiving course and student's level of knowledge after taking course used to measure and evaluate ATA course curriculum and instructor. Also included are student evaluations of course.

Disposition: TEMPORARY: Destroy 9 (nine) years after revision or termination of course.

DispAuthNo: N1-059-07-04, item 9 **Date Edited:** 1/29/2008

A-11-008-10 Independent Evaluation of ATA Courses

Description: File contains documents, regardless of media, including evaluation reports of instructor, course materials, course content and delivery prepared by outside independent contractors.

Disposition: TEMPORARY: Destroy 9 (nine) years after revision or termination of course

DispAuthNo: N1-059-07-04, item 10 **Date Edited:** 1/29/2008

A-11-008-11 ATA Course Materials

Description: a. Active Courses File. Contains records, regardless of media, including plans of instruction, student evaluations, pre and post test scores, equipment lists, multi-lingual course curriculum, lesson plans, training support materials (audio-visuals), participant course book, and other handout materials, and administrative records related to course materials.

Disposition: TEMPORARY: Destroy 9 (nine) years after course has been revised or terminated.

DispAuthNo: N1-059-07-04, item 11a **Date Edited:** 1/29/2008

A-11-008-11a ATA Course Materials

Description: b. Course Development Working File. Contains materials, regardless of media, including working drafts of Anti-terrorism Assistance (ATA) course descriptions, plans of instruction, lesson plans, and training materials, and correspondence, memorandums, and evaluations to ongoing development and revision.

Disposition: TEMPORARY: Transfer data to Active Courses File upon completion of development. Destroy working drafts 1 (one) year after development or revision is completed and course is approved.

(Supersedes N1-059-94-43, item 2b)

DispAuthNo: N1-059-07-04, item 11b **Date Edited:** 1/29/2008

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A-11-008-12 Training Activities Support File

Description: Documents, regardless of media, related to the implementation of specific training assistance, including: offer of training, post response to offer, contracted instructor information, country clearances, logistical and financial data, relevant cables, participants rosters and itinerary, training provider task orders and contract, inventory of equipment, Form DSP-83 (Non-Transfer and Use Certificate), which is used to approve the transfer of weapons and technology, end of course/training evaluation reports, program officer evaluation reports, escort reports, and incident reports. Files arranged alphabetically by country, in chronological order on fiscal year basis. Files span from 2001 to present.

Disposition: TEMPORARY: Destroy when 5 (five) years old.

DispAuthNo: N1-059-07-04, item 12

Date Edited: 1/29/2008

A-11-008-13 Country Assistance Plan

Description: Country Plan, regardless of media, consists of ATA historical relationship, country profile, country counterterrorism strengths, ATA/country strategy, country program review, training needs assessment, and budget plan for training. Records span 2004 to present.

a. Record copy of Country Assistance Plan (hard copy).

Disposition: PERMANENT: Cut off when superseded or in 10 (ten) years, whichever is sooner. Retire to records center when 10 (ten) years old. Transfer to the National Archives when 25 (twenty-five) years old.

DispAuthNo: N1-059-07-04, item 13a

Date Edited: 1/29/2008

A-11-008-13a Country Assistance Plan

Description: Country Plan, regardless of media, consists of ATA historical relationship, country profile, country counterterrorism strengths, ATA/country strategy, country program review, training needs assessment, and budget plan for training. Records span 2004 to present.

b. All other copies and supporting material (electronic and paper).

Disposition: TEMPORARY: Destroy when no longer needed.

DispAuthNo: N1-059-07-04, item 13b

Date Edited: 1/29/2008

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A-11-008-14 Office Administrative Scheduling File

Description: Contains records, regardless of media, that monitor operation schedules for entire division and applies new curriculum to schedule. Consists of course offer cable, country acceptance cable, and list of country participants. Used to develop fiscal year training schedule for TMD.

Disposition: TEMPORARY: Block annually. Destroy when 2 (two) years old or when no longer needed, whichever is later.

DispAuthNo: N1-059-07-04, item 14

Date Edited: 1/29/2008

A-11-008-16 Annual Report to Congress on the Anti-terrorism assistance Program

Description: This item covers the Annual Report submitted to Congress on the Anti-terrorism Assistance Program. The Annual Report provides documentation of . The Annual Report also provides a statistical snapshot of program activities such as the number of needs assessments and program reviews conducted during the reporting period, the number of courses taught during the reporting program, and the number and names of countries participating in the program.

Disposition: See sub sections 16 1 and 16b for specific dispositions.

DispAuthNo: N1-059-07-04, item 16

Date Edited: 6/22/2017

A-11-008-16a Annual Report to Congress on the Anti-terrorism Assistance Program

Description: This item covers the Annual Report submitted to Congress on the Anti-terrorism Assistance Program. The Annual Report provides documentation of . The Annual Report also provides a statistical snapshot of program activities such as the number of needs assessments and program reviews conducted during the reporting period, the number of courses taught during the reporting program, and the number and names of countries participating in the program.

a. Records copy (hard copy).

Disposition: PERMANENT: Cut off annually. Retire copy of each issuance to record center in ten-year blocks for immediate transfer to the National Archives.

DispAuthNo: N1-059-07-04, item 16a

Date Edited: 6/22/2017

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A-11-008-16b Annual Report to Congress on the Anti-terrorism assistance Program

Description: This item covers the Annual Report submitted to Congress on the Anti-terrorism Assistance Program. The Annual Report provides documentation of . The Annual Report also provides a statistical snapshot of program activities such as the number of needs assessments and program reviews conducted during the reporting period, the number of courses taught during the reporting program, and the number and names of countries participating in the program.

b. All other copies (electronic or paper).

Disposition: TEMPORARY: Destroy when no longer needed.

DispAuthNo: N1-059-07-04, item 16b

Date Edited: 6/22/2017

A-11-008-17 Internal Administrative Accountability and Operational Management Control Records

Description: Internal evaluations of accounting and administrative controls, mandated or governed by OMB Circulars A-123, A-130, and A-76; Government Accountability Office's (GAO) Standards for Internal Control in the Federal Government (the "Green Book"); and similar requirements or directives. Includes:

- copies of internal and external directives outlining management control policy
- management control plans and records of the planning process
- records of management reviews
- comprehensive plans documenting agency efforts to comply with OMB Circular A-123 and similar requirements
- risk analyses and risk profiles
- internal controls over reports
- feeder reports and compliance statements from agency components contributing to consolidated reports the agency submits to the President/OMB or Congress (see Exclusion 2)
- records tracking assignments, tasks, and responsibilities
- administrative correspondence

Exclusion 1: Reports related to agency mission activities (agencies schedule these separately).

Exclusion 2: Consolidated final agency reports submitted to the President/OMB or Congress (agencies schedule these separately).

Exclusion 3: Reports that mandating agencies receive (these agencies must schedule them separately).

Disposition: Temporary. Destroy 1 year after submission or when superseded, as appropriate, but longer retention is authorized if required for business use. (Supersedes GRS 16, item 14d)

DispAuthNo: DAA-GRS-2017-0008-0001 (G

Date Edited: 1/18/2018

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A-11-008-18 Administrative Records Maintained in any Agency Office

Description: Records (substantive and non-substantive) accumulated 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. (Supersedes GRS 23, item 5a and GRS 23, item 5b)

DispAuthNo: DAA-GRS-2016-0016-0001 (G **Date Edited:** 9/25/2017

A-11-008-20 Classified Document Container Security Files

Description: Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers. Includes OF-62, Safe or Cabinet Security Record, OF-63, Security Container Information, and OF-111, Combination Safe Card.

Disposition: Temporary. Destroy when superseded or obsolete, but longer retention is authorized if required for business use. (Supersedes GRS 18, item 7a)

DispAuthNo: GRS 4.2, Item 031 **Date Edited:** 3/21/2017

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Office of Training and Performance Support

A-11-009-09a	Physical Security Laboratory- Program Files Documentation on physical security evaluations and testing covering equipment, locks, training, interagency liaison, and other related subjects- Arrange by post
Description:	Technical Date File. (Also at A-11-003-51b(2))
Disposition:	Cut off file at end of each calendar year. Destroy 3 (three) years after cut off date.
DispAuthNo:	N1-059-94-43, item 48b(2) Date Edited: 10/25/2007
A-11-009-09b	Physical Security Laboratory - Program Files - Documentation on physical security evaluations and testing covering equipment, locks, training, interagency liaison, and other related subjects - Arrange by subject
Description:	c. Training Material File. (Also at A-11-003-51c)
Disposition:	Destroy when updated or obsolete.
DispAuthNo:	N1-059-94-43, item 48c Date Edited: 10/25/2007
A-11-009-10	File Cabinet or Vault Security Forms
Description:	Forms: Security Container Information (SF-700) and Security Container Checksheet (SF-702) used to record access to unclassified sensitive, administratively controlled, or classified information, and valuable equipment and property in file cabinets, file safes, or other security containers, and vaults, controlled access areas, and facilities. (Also at A-11-003-61)
Disposition:	Destroy 1 (one) year after last date entered on sheet.
DispAuthNo:	NC-059-75-02, item 3 Date Edited: 10/25/2007
A-11-009-11a(1)	Routine Procurement and Contract Files-Contracts, requisitions, purchase orders, leases, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment
Description:	a. Original Contracts (1) Transactions of more than \$25,000 and all construction contracts exceeding \$2,000. (Also at A-03-004-06a(1))
Disposition:	Temporary. Destroy 6 years after final payment or cancellation. (Supersedes GRS 3, item 3a[1][a]).
DispAuthNo:	GRS 1.1, item 010 Date Edited: 5/7/2015

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A-11-009-11a(2)	Routine Procurement and Contract Files-Contracts, requisitions, purchase orders, leases, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment
Description:	a. Original Contracts (2) Transactions of \$25,000 or less and construction contracts under \$2,000. (Also at A-03-004-06a(2))
Disposition:	Temporary. Destroy 6 years after final payment or cancellation. (Supersedes GRS 3, item 3a[2]).
DispAuthNo:	GRS 1.1, item 010
Date Edited: 5/7/2015	
A-11-009-11b	Routine Procurement and Contract Files-Contracts, requisitions, purchase orders, leases, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment
Description:	b. Other copies. (Also at A-03-004-06b)
Disposition:	Temporary. Destroy when business use ceases. (Supersedes GRS 3, item 3c).
DispAuthNo:	GRS 1.1, item 011
Date Edited: 5/7/2015	
A-11-009-12	Transportation Files
Description:	Contain office copies of government or commercial bills of lading, commercial transportation vouchers (SF-1113A) and transportation requests (SF-169), travel authorizations and supporting documents.
Disposition:	Temporary. Destroy 6 years after final payment or cancellation. (Supersedes GRS 9, item 1c).
DispAuthNo:	GRS 1.1, item 010
Date Edited: 5/7/2015	
A-11-009-13	Visitor Processing Records
Description:	Areas requiring highest level security awareness. Includes areas designated by the Interagency Security Committee as Facility Security Level V. Visitor processing records. Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers. Note: GRS 4.2, Information Access and Protection Records, item 030, covers requests and authorizations for individuals to have access to classified files.
Disposition:	Temporary. Destroy when 5 years old, but longer retention is authorized if required for business use. (Supersedes GRS 18, item 17a)
DispAuthNo:	DAA-GRS-2017-0006-0014 (G
Date Edited: 9/11/2017	

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A-11-009-13a **Visitor Processing Records**

Description: All other facility security areas. Includes areas designated by the Interagency Security Committee as Facility Security Levels I through IV.

Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers.

Note: GRS 4.2, Information Access and Protection Records, item 030, covers requests and authorizations for individuals to have access to classified files.

Disposition: Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use. (Supersedes GRS 18, item 17b)

DispAuthNo: DAA-GRS-2017-0006-0015 (G) **Date Edited:** 9/11/2017

A-11-009-14 **Curriculum Development Records**

Description: Records created, regardless of media, as part of the development of a course. Records include project plans, job task analysis, task/objective/examination matrices and task/objective lists. Arranged alphabetically by course title.

Disposition: TEMPORARY: Cut off file upon conclusion of first course review, which is conducted after 5 (five) years. Retain original course development materials for 5 (five) years after cut off and destroy (Supersedes N1-059-94-43, items 94a and 97a).

DispAuthNo: N1-059-07-01, item 1 **Date Edited:** 10/25/2007

A-11-009-15 **Curriculum Review Records**

Description: Records created, regardless of media, as part of the Curriculum Review. Records include meeting notes, Curriculum Review final reports/recommendations, and conference logistics. Arranged alphabetically by course title.

Disposition: TEMPORARY: Cut off file upon conclusion of a subsequent course review, which is conducted after 5 (five) years. Retain Curriculum Review materials for 5 (five) years after cut off and destroy.

DispAuthNo: N1-059-07-01, item 2 **Date Edited:** 10/25/2007

A-11-009-16 **Course Execution Records**

Description: Course materials that are needed to execute each class of a course, including lesson plans, student materials, instructor/student guides, and multimedia products. Arranged alphabetically by course title and folder contents filed chronologically.

Disposition: TEMPORARY: Cut off file when course is discontinued. Destroy 10 (ten) years after cut off (Supersedes N1-059-94-43, items 94b, 97b, and 2(a)).

DispAuthNo: N1-059-07-01, item 3 **Date Edited:** 10/25/2007

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A-11-009-17 Course Evaluation Records

Description: Post-training evaluations (Level III), correspondence, and feedback provided by/to program managers related to a specific course. Arranged alphabetically by course chronologically by class date.

Disposition: TEMPORARY: Cut off file upon completion of a scheduled course review, which is after 5 (five) years. Destroy 1 (one) year after cut off.

DispAuthNo: N1-059-07-01, item 4

Date Edited: 10/25/2007

A-11-009-18 Class Records

Description: Records, regardless of media, pertaining to each convening of a course, including class syllabus, roster, student critiques (Level I), examinations (Level II), and student attendance information. Arranged alphabetically by course and chronologically by class date.

Disposition: TEMPORARY: File materials at the conclusion of each class. Cut off file upon completion of a course review, which is after 5 (five) years. Retain materials for 10 (ten) years after cut off and destroy (Supersedes N1-059-94-43, item 100).

DispAuthNo: N1-059-07-01, item 5

Date Edited: 10/25/2007

A-11-009-19 Student Training Records

Description: Records developed on individual students during the course of training, including applications, waivers, examination/practical results, records of counseling/remediation, training agreements, and qualifications/ certifications. Arranged alphabetically by student's name.

Disposition: TEMPORARY: Cut off file at termination of employment with Department. Retire 1 (one) year after cut off date. Destroy 5 (five) years after cut off date (Supersedes N1-059-94-43, item 99).

DispAuthNo: N1-059-07-01, item 6

Date Edited: 10/25/2007

A-11-009-20 Course Administrative Records

Description: Records pertaining to the funding, budget, procurement, contracting and program support of a course.

Disposition: TEMPORARY: Cut off file at the end of each calendar year. Destroy when 2 (two) years old or when no longer needed, whichever is sooner.

DispAuthNo: N1-059-07-01, item 7

Date Edited: 10/25/2007

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A-11-009-21 TPS Staff Training Records

Description: Records pertaining to the training, qualification and evaluation of individuals assigned to the Office of Training and Performance Support (TPS) as staff instructors. Arranged alphabetically by staff member's name.

Disposition: TEMPORARY: Destroy 5 (five) years after departure from assignment within TPS.

DispAuthNo: N1-059-07-01, item 8 **Date Edited:** 10/25/2007

A-11-009-22 Training Policy and Procedures Records

Description: Records pertaining to the development and implementation of training policy and procedures for the Office of Training and Performance Support.

Disposition: TEMPORARY: Cut off at the end of each calendar year. Retire 5 (five) years after cut off date. Destroy when 30 (thirty) years old.

DispAuthNo: N1-059-07-01, item 9 **Date Edited:** 10/25/2007

A-11-009-23 Accreditation Records

Description: Records pertaining to the accreditation of the academy and programs of the Office of Training and Performance Support.

Disposition: TEMPORARY: Cut off at the end of each calendar year. Retire 5 (five) years after cut off date. Destroy when 30 (thirty) years old.

DispAuthNo: N1-059-07-01, item 10 **Date Edited:** 10/25/2007

A-11-009-24 External Training Records

Description: Records on training requests from outside sources, certificates and Form SF-182 (Request, Authorization, Agreement and Certification of Training).

Disposition: TEMPORARY: Cut off file at the end of each calendar year. Destroy when 3 (three) years old or when no longer needed whichever is sooner.

DispAuthNo: N1-059-07-01, item 11 **Date Edited:** 10/25/2007

A-11-009-25 Diplomatic Security Training Center (DSTC) Duty Officer Rosters

Description: Roster of DSTC Duty Officer Assignments.

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 18, item 13b)

DispAuthNo: GRS 4.2, Item 040 **Date Edited:** 3/9/2017

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A-11-009-26 Firearms Training Ammunition Usage Report

Description: The Ammunition Usage Report is produced on a monthly basis. This monthly report tracks the types of ammunition utilized and assigned.

Disposition: TEMPORARY: Cut off records at the end of the calendar year. Maintain in the office for 3 (three) years after cut off, and then transfer to records storage center. Destroy 10 (ten) years after cut off.

DispAuthNo: N1-059-07-01, item 13 **Date Edited:** 10/25/2007

A-11-009-27 Weapons Re-qualification Records

Description: This file contains the records of re-qualification by an individual in the use of firearms, shotguns, off-duty weapons, and intermediate weapons.

Disposition: TEMPORARY: Cut off on the separation/retirement of the individual. Destroy 5 (five) years after separation/ retirement.

DispAuthNo: N1-059-07-01, item 14 **Date Edited:** 10/25/2007

A-11-009-28 Ammunition Inventory Records

Description: The Ammunition Inventory Record accounts for all ammunition received and removed from stock, the date, and the reason for expenditure.

Disposition: TEMPORARY: Cut off at the end of the calendar year. Maintain in the office for 3 (three) years after cut off, and then transfer to records storage center. Destroy 10 (ten) years after cut off.

DispAuthNo: N1-059-07-01, item 15 **Date Edited:** 10/25/2007

A-11-009-29 Weapons Log

Description: This log is used to maintain the control and accountability of shoulder weapons and spare handguns assigned to an office.

Disposition: TEMPORARY: Cut off file at the end of the calendar year. Maintain in the office for 3 (three) years after cutoff, and then transfer to records storage center. Destroy 10 (ten) years after cut off.

DispAuthNo: N1-059-07-01, item 16 **Date Edited:** 10/25/2007

A-11-009-30 Range Score Cards

Description: The Range Score Card is completed by a Firearms Instructor who records the qualifying scores for courses of fire. This information is recorded on the Weapons Qualification Record.

Disposition: TEMPORARY: Cutoff at the end of the calendar year. Destroy 1 (one) year after cut off.

DispAuthNo: N1-059-07-01, item 17 **Date Edited:** 10/25/2007

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A-11-009-31 Special Projects

Description: Study or research conducted and documented, usually involves testing of firearms, ammunition, and/ or to procure any new equipment for DS.

Disposition: TEMPORARY: Cut off at the end of the calendar year. Maintain at the office for 3 (three) years after cut off, and then transfer to records storage center. Destroy 10 (ten) years after cut off.

DispAuthNo: N1-059-07-01, item 18

Date Edited: 10/25/2007

A-11-009-32 Reports Files - Registrar

Description: Annual Reports - Internal Training. Annual compilation of training data for internal training. Includes statistical summaries, management reports, charts, and related documentation.

Disposition: TEMPORARY: See sub sections 32a and 32b for specific dispositions.

DispAuthNo: N1-059-07-01, item 19

Date Edited: 10/25/2007

A-11-009-32a Reports Files - Registrar

Description: Annual Reports - Internal Training. Annual compilation of training data for internal training. Includes statistical summaries, management reports, charts, and related documentation.

(a) Recordkeeping copy (paper).

Disposition: TEMPORARY: Destroy when 20 (twenty) years old or when superseded, whichever is later.

DispAuthNo: N1-059-07-01, item 19a

Date Edited: 10/25/2007

A-11-009-32b Reports Files - Registrar

Description: Annual Reports - Internal Training. Annual compilation of training data for internal training. Includes statistical summaries, management reports, charts, and related documentation.

(b) Electronic version of records created by electronic mail and word processing applications.

Disposition: TEMPORARY: Destroy/delete within 180 (one hundred and eighty) days after recordkeeping copy has been produced.

DispAuthNo: N1-059-07-01, item 19b

Date Edited: 10/25/2007

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A-11-009-33 Course Files - Registrar

Description: Internal Training. Arranged by course code and title. Includes class/ completion roster, copies of Form DS-755 (Request for Training), copies of certificates of course completion, copies of Form SF-182 (Request, Authorization, Agreement and Certification of Training) and related correspondence.

Disposition: TEMPORARY: See sub sections 33a and 33b for specific dispositions.

DispAuthNo: N1-059-07-01, item 20 **Date Edited:** 10/25/2007

A-11-009-33a Course Files - Registrar

Description: Internal Training. Arranged by course code and title. Includes class/ completion roster, copies of Form DS-755 (Request for Training), copies of certificates of course completion, copies of Form SF-182 (Request, Authorization, Agreement and Certification of Training) and related correspondence.

(a) Recordkeeping copy (paper).

Disposition: TEMPORARY: Retire to records storage center when 1 (one) year old. Destroy when 5 (five) years old (Supersedes N1-059-94-43, item 58).

DispAuthNo: N1-059-07-01, item 20a **Date Edited:** 10/25/2007

A-11-009-33b Course Files - Registrar

Description: Internal Training. Arranged by course code and title. Includes class/ completion roster, copies of Form DS-755 (Request for Training), copies of certificates of course completion, copies of Form SF-182 (Request, Authorization, Agreement and Certification of Training) and related correspondence.

(b) Electronic version of records created by electronic mail and word processing applications.

Disposition: TEMPORARY: Destroy/delete within 180 (one hundred and eighty) days after recordkeeping copy has been produced.

DispAuthNo: N1-059-07-01, item 20b **Date Edited:** 10/25/2007

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A-11-009-34 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 (office copies of SF-182 and DS-755), travel, supplies, and equipment, excluding procurement and payment records and forms requesting training
- 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. (Supersedes GRS 23, item 1)

DispAuthNo: DAA-GRS-2016-0016-0001 (G **Date Edited:** 9/25/2017)

A-11-009-35 Room Reservations Spreadsheets

Description: Spreadsheets with classroom reservations at the Diplomatic Security Training Center (DSTC).

Disposition: TEMPORARY: See sub sections 35a and 35b for specific dispositions.

DispAuthNo: N1-059-07-01, item 22 a and b **Date Edited:** 10/25/2007

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A-11-009-35a	Room Reservations Spreadsheets
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Description:	Spreadsheets with classroom reservations at the Diplomatic Security Training Center (DSTC).
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(a) Paper copy

Disposition:	TEMPORARY: Destroy copies when 1 (one) year old.
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DispAuthNo:	N1-059-07-01, item 22a	Date Edited:	10/26/2007
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A-11-009-35b	Room Reservations Spreadsheets
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Description:	Spreadsheets with classroom reservations at the Diplomatic Security Training Center (DSTC).
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(b) Electronic version

Disposition:	TEMPORARY: Delete when 1 (one) year old.
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DispAuthNo:	N1-059-07-01, item 22b	Date Edited:	10/26/2007
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A-11-009-36	Incoming and Outgoing Package Delivery Spreadsheets
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Description:	Spreadsheets that track express mail packages (UPS, Federal Express, DHL), coming in and going out.
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Disposition:	Temporary. Destroy when 1 year old or when superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use. (Supersedes GRS 12, item 6a)
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DispAuthNo:	GRS 5.5, Item 020	Date Edited:	3/13/2017
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A-11-009-36a	Incoming and Outgoing Package Delivery Spreadsheets
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Description:	Spreadsheets that track express mail packages (UPS, Federal Express, DHL), coming in and going out.
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(a) Paper copy

Disposition:	Temporary. Destroy when 1 year old or when superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use. (Supersedes GRS 12, item 6a)
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DispAuthNo:	GRS 5.5, Item 020	Date Edited:	3/13/2017
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A-11-009-36b	Incoming and Outgoing Package Delivery Spreadsheets
Description:	Spreadsheets that track express mail packages (UPS, Federal Express, DHL), coming in and going out. (b) Electronic version
Disposition:	Temporary. Destroy when 1 year old or when superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use. (Supersedes GRS 12, item 6a)
DispAuthNo:	GRS 5.5, Item 020 Date Edited: 3/13/2017
A-11-009-37	Blanket Purchase Agreement Files
Description:	Contain copies of invoices, memorandums, order registers on BPA's covering accounting data, fiscal data, and funding information.
Disposition:	TEMPORARY: Cut off file at the end of each fiscal year. Destroy 3 (three) years after cut off date.
DispAuthNo:	N1-059-07-01, item 24 Date Edited: 10/25/2007
A-11-009-38	Blanket Purchase Transaction Files
Description:	Contain transmittal sheets on BPA's covering accounts receivable, copies of open and closed purchase orders, parts, requisitions, salvage reports, and vendor information.
Disposition:	TEMPORARY: Cut off file at the end of each fiscal year. Destroy 3 (three) years after completion of contract.
DispAuthNo:	N1-059-07-01, item 25 Date Edited: 10/25/2007
A-11-009-39	Credit Card Transactions
Description:	Records pertaining to training for other agency personnel, including underlying forms such as SF-182, Request, Authorization, Agreement and Certification of Training.
Disposition:	TEMPORARY: Destroy 6 (six) years from the date of card purchase.
DispAuthNo:	N1-059-07-01, item 26 Date Edited: 10/25/2007

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A-11-009-40 External Training Support Files

Description: Contain copies of Form SF-182 (Request, Authorization, Agreement and Certification of Training), schedule of classes, vendor registration, and copies of waiver approval. Arranged alphabetically by student's name.

Disposition: TEMPORARY: Destroy when 3 (three) years old. (Supersedes N1-059-94-43, item 57).

DispAuthNo: N1-059-07-01, item 27

Date Edited: 10/25/2007

Office of Mobile Security Deployment

A-11-010-01 Emergency Security Support - Program File - Arrange by post

Description: Records created, regardless of media, including telegrams, memorandums, deployment orders, trip reports and other documentation on Security Support Teams (SST) and Tactical Support Teams (TST) designed to enhance the security posture of overseas Posts and to provide support to domestic high threat security details.

Disposition: TEMPORARY. Cut off file at end of each calendar year. Destroy 10 years after cut off date. (Formerly N1-059-94-43, item 95).

DispAuthNo: N1-059-07-02, item 1

Date Edited: 11/13/2008

A-11-010-02 Mobile Training Teams - Program File

Description: Records created, regardless of media, including telegrams, memorandums, deployment orders, trip reports and student rosters related to overseas security training provided by MSD Mobile Training Teams (MTT) and Safehaven Emergency Care (SHEC) Mobile Training Teams covering protective security training, safe haven emergency medical care training, local guard force training, counter threat driving, firearms, surveillance detection, and other related subjects.

Disposition: TEMPORARY. Cut off file at end of each calendar year. Destroy 10 years after cut off date. (Formerly N1-059-94-43, item 96).

DispAuthNo: N1-059-07-02, item 2

Date Edited: 11/13/2008

A-11-010-03 Mobile Security Deployments Training Records- Arrange by Student

Description: Records created, regardless of media, including memorandums, emails, certificates, schedules, student rosters on MSD sustainment training provided to MSD personnel, following the MSD indoctrination training, covering firearms, driving, land navigation, explosives training, rope training, defensive tactics, and other related subjects.

Disposition: TEMPORARY. Cut off file at end of each individual's tour in MSD. Destroy 5 years after cut off date.

DispAuthNo: N1-059-07-02, item 3

Date Edited: 11/13/2008

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Weapons of Mass Destruction Division

A-11-011-01 Training Equipment Inventory Files

Description: Contains documentation of WMD training equipment inventoried and used at posts worldwide to address radiological, responder and decontamination situations. Inventories includes but not limited to equipment types required such as masks, hoods, sampling kits, duffle bag kits, Tyvek suites, gloves, canteens, booties and other related equipment; as well as, quantity of equipment issued, receiving and shipping details, and other related information.

Disposition: Temporary. Cutoff in year in which shelf life expires. Destroy when 20 years after cutoff.

DispAuthNo: DAA-0059-2011-0003-0001 **Date Edited:** 4/10/2013

A-11-011-02 Weapons and Mass Destruction (WMD) Training Records

Description: Records related to the various types of training provided to all personnel under the Chiefs of Missions worldwide; the name and number of attendees, to include but not limited to, contractors, Foreign Service Nationals (FSNs), local guards, and other designated security personnel from the Department of Defense (DOD) and the Federal Bureau of Investigation (FBI) stationed at posts; and name of training instructors at posts as well as the type of training employees received and completed.

Disposition: Temporary. Cutoff in fiscal year in which training occurs. Destroy when 20 years after cutoff.

DispAuthNo: DAA-0059-2011-0003-0002 **Date Edited:** 4/10/2013

A-11-011-03 WMD Training Curriculum

Description: Binders consisting of WMD training manual for overseas posts and domestic offices including documentation on techniques and curriculum reviews.

Disposition: Temporary. Destroy when superseded

DispAuthNo: DAA-0059-2011-0003-0003 **Date Edited:** 4/10/2013

A-11-011-04 Post Trip Report

Description: Informal WMD program review of post between WMD and Regional Security Officers (RSOs) to include Chemical, Biological, Radiological or Nuclear (CBRN) attacks.

Disposition: Temporary. Cutoff in fiscal year. Destroy 7 years after cutoff.

DispAuthNo: DAA-0059-2011-0003-0004 **Date Edited:** 4/10/2013

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A-11-011-05 Contract Management Files

Description: Consists of records on burn rate, invoices, training funding, requisitions, travel and labor costs, contract hires and copies of vouchers and contracts.

Disposition: Temporary. Cutoff by fiscal year in which contract is closed. Destroy 3 years after cutoff.

DispAuthNo: DAA-0059-2011-0003-0005 **Date Edited:** 4/10/2013

A-11-011-06 Escape Mask Program

Description: Documents pertaining to the issuance of training Escape Masks domestically and tracking information on the expiration information for replacement.

Disposition: Temporary. Destroy when superseded.

DispAuthNo: DAA-0059-2011-0003-0006 **Date Edited:** 4/10/2013

A-11-011-07 Budget Preparation Background Records

Description: Records held at all other offices. Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.

Disposition: Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use. (Supersedes GRS 5, item 2)

DispAuthNo: DAA-GRS-2015-0006-0006 (G **Date Edited:** 1/18/2018

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A-11-011-08 Routine Procurement Files

Description: Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in items 1 and 12).

a. Procurement or purchase organization copy, and related papers.

(1) Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining A simplified acquisition threshold).

a. Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding \$2000

Destroy 6 years and 3 months after final payment.

b. Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2000.

Disposition: Temporary. Destroy 6 years after final payment or cancellation. (Supersedes GRS 3, items 3a[1][a] and [b]).

DispAuthNo: GRS 1.1, item 010

Date Edited: 5/7/2015

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Office of Investigations and Counterintelligence

A-11-012-01 Criminal Investigative Case Files

Description: Headquarters, Field Offices and Overseas Files. Files contain information on investigations that range from passport and visa fraud to smuggling, assault, and acts of terrorism, and they cover any investigations undertaken by DS, including, but not limited to, investigations internal to the Department of State. Files also consists of correspondence, reports, funds spent/received information, affidavits, subpoenas, search/arrest warrants, sworn statements, sentencing documents, evidence/property receipts, photos, copies of drivers licenses, birth and death certificates, passports, and other related documentation. Note that materials gathered during the execution of a search warrant may be in in these files.

Disposition: TEMPORARY. Cut off after case closes. Retire to RSC 10 years after closure for transfer to WNRC. Destroy 30 years after case closes. (Supersedes NARA Job No.: N1-059-97-4, item 1a(1), 1a(2), 1b, 2a(1), 2a(2), and 2b).

NOTE: All paper investigative records after January, 2007 must be scanned into electronic information system "IMS" except classified and grand jury information. Destroy only after paper records have been converted to an electronic medium and verified, when no longer needed for legal or audit purposes, or to support the reconstruction of, or serve as the backup to, the electronic record. Additionally, if the Department of State becomes aware of any significant or precedent-setting cases that warrant permanent preservation, NARA should be notified and an independent appraisal of these cases should be conducted.

DispAuthNo: N1-059-10-11, item 1

Date Edited: 7/14/2011

A-11-012-02 Interagency and Intra-agency Agreement Files (MOAs and MOUs)

Description: File contains originals and copies of Interagency Agreements (MOAs) or Memoranda of Understanding (MOU) with other U.S. Government agencies to detect, deter and disrupt criminal organizations and individuals that pose a threat to national security and public safety. Includes memorandums in support of MOAs or MOUs.

Disposition: TEMPORARY. Destroy 10 years after termination of MOAs/MOUs.

DispAuthNo: N1-059-10-11, item 2

Date Edited: 7/14/2011

A-11-012-03 Program Files

Description: Copies of information and/or action memoranda related to unit's mission, policy and procedural drafts and final products, manpower tables of organization, schedules, taskers, calendars and other staffing records.

Disposition: TEMPORARY. Cut off file at end of each calendar year. Destroy 5 years after cut off date.

DispAuthNo: N1-059-10-11, item 3

Date Edited: 7/14/2011

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A-11-012-04 ICI Status Reports

Description: Any and all reports generated by the Office for dissemination, including but not limited to: monthly, quarterly or annual reports, any metric related to the activities of the subordinate units of the office and any/all special reports created for upper management.

Disposition: TEMPORARY. Cut off at end of Calendar Year. Destroy 5 years after cut off.

DispAuthNo: N1-059-10-11, item 4

Date Edited: 7/14/2011

A-11-012-05 Asset Forfeiture Program Budget Records

Description: Consists of memorandums, worksheets, forms and requests for funding support for the asset forfeiture program from Department of Justice.

Disposition: TEMPORARY. Cut off at end of Fiscal Year. Destroy 7 years after funding is approved.

DispAuthNo: N1-059-10-11, item 5

Date Edited: 7/14/2011

A-11-012-06 Financial Crime Enforcement Network (FINCEN) Files

Description: Copies of FINCEN requests and Department of Treasurer financial investigations.

Disposition: TEMPORARY. Destroy when no longer needed.

DispAuthNo: N1-059-10-11, item 6

Date Edited: 7/14/2011

A-11-012-07 Supervisors' Personnel Files

Description: Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.

Exclusion 1: Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records.

Exclusion 2: Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.

Disposition: Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer. (Supersedes GRS 1, item 18a and GRS 1, item 18b)

DispAuthNo: DAA-GRS-2017-0007-0012 (G

Date Edited: 9/1/2017

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A-11-012-09 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-11-012-11 Budget Preparation Background Records

Description: Records held at all other offices. Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.

Disposition: Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use. (Supersedes GRS 5, item 2)

DispAuthNo: DAA-GRS-2015-0006-0006 (G **Date Edited:** 1/18/2018)

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A-11-012-12 Employee Incentive Award Records

Description: Agency awards files, including recommendations, approved nominations, correspondence, and reports about agency-sponsored cash and noncash awards (such as lump-sum cash awards, honorary awards, informal recognition awards, cost savings awards, and time off awards). Also, includes correspondence about awards from other Federal agencies or non-Federal organizations and to former employees.

Exclusion: Records of Department-level awards require agency-specific schedules.

Disposition: Temporary. Destroy when 2 years old or 2 years after award is approved or disapproved, whichever is later, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 12a(1))

DispAuthNo: DAA-GRS-2017-0007-0003 (G **Date Edited:** 9/1/2017

A-11-012-13 Equal Employment Opportunity (EEO) Records

Description: EEO program files.

General program-related correspondence and copies of regulations with related records that pertain to the Civil Rights Act of 1964, the EEO Act of 1972, and any other pertinent legislation, and agency EEO Committee meeting records.

Disposition: Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 25g)

DispAuthNo: DAA-GRS-2015-0007-0006 (G **Date Edited:** 9/5/2017

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A-11-012-14 **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
- 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-11-012-15 **Training Records**

Description: b. Employee training - consist of correspondence, memoranda, reports, and other records relating to the availability of training and employees participation in training programs sponsored by other government agencies or non-Government institutions.

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 29b)

DispAuthNo: GRS 2.6, Item 010 **Date Edited:** 3/9/2017

A-11-012-16 **Financial Transaction Records Related to Procuring Goods and Services, Paying Bills, Collecting Debts, and Accounting**

Description: Records relating to routine and operational aspects of travel and visits other than prominent individuals and congressmen. Included are travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting documents.

Disposition: Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. (Supersedes GRS 9, item 3a)

DispAuthNo: DAA-GRS02013-0003-0001 (**Date Edited:** 10/4/2017

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A-11-012-17	Expenditure Accounting General Correspondence and Subject Files
Description:	Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration.
Disposition:	Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use. (Supersedes GRS 7, item 1)
DispAuthNo:	GRS 1.1, Item 001 Date Edited: 3/13/2017

A-11-012-18	Administrative Records Maintained in any Agency Office
Description:	<p>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:</p> <ul style="list-style-type: none">• 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 <p>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.</p> <p>Note 1: This item covers administrative policies and procedures at the office/unit level. GRS 5.7 covers agency-level administrative issuances or directives.</p>
Disposition:	Temporary. Destroy when business use ceases. (Supersedes GRS 23, item 1)
DispAuthNo:	DAA-GRS-2016-0016-0001 (G Date Edited: 9/21/2017

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A-11-012-19a Investigative Management System (IMS)

Description: a. Master File

An electronic tracking system used to control and document criminal investigations. Information covers case background, case allegations, case documented interviews, evidence, surveillance videos/audio tapes, pictures, post records and foreign government records, and related investigative information.

Disposition: Temporary. Destroy/delete master file data 100 years after case closes. NOTE: If the Bureau of Diplomatic Security becomes aware of any significant or precedent-setting cases that may warrant preservation, notify NARA for an independent appraisal of these cases.

DispAuthNo: N1-059-09-36, item 1a

Date Edited: 6/22/2011

A-11-012-19b Intermediary Records

Description: Investigative Management System (IMS) hard copy and electronic documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system. Also includes system output adhoc reports for reference purposes or to meet day-to-day business needs.

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-11-012-19f Investigative Management System (IMS)

Description: f. Systems Backups

System Backups and Tape Library Records. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

Disposition: Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (Supersedes GRS 24, item 4a[1]).

DispAuthNo: GRS 3.2, item 040

Date Edited: 5/7/2015

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A-11-012-19g	Investigative Management System (IMS)
Description:	g. System Documentation Includes systems requirements, system design, and user guides.
Disposition:	Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system. (Supersedes GRS 20, item 11a[1]).
DispAuthNo:	GRS 3.1, item 051
	Date Edited: 5/7/2015
A-11-012-20	Counterintelligence - Case Files
Description:	Contains information on investigations that range from counterintelligence and espionage to disclosures of classified information and related issues. Files consist of correspondence, reports, funds spend/received, affidavits, subpoenas, search/arrest warrants, sworn statements, sentencing documents, evidence/property receipts, photos, copies of official documentation.
Disposition:	Temporary. Cut off at close of case. Retire to RSC 10 years after closure for transfer to WNRC. Destroy 30 years after close of case. (Supersedes N1-059-94-43, item 4a).
DispAuthNo:	N1-059-11-13, item 4
	Date Edited: 6/18/2015
A-11-012-21	Counterintelligence Analyses Records
Description:	Consists of reports, memoranda, assessments and analyses of counterintelligence incidents, activities, threats, and trends overseas. Also included are recommendations in response to country threats, suggested counterintelligence changes at various posts and counterintelligence policy reviews.
Disposition:	Temporary. Cutoff at end of calendar year. Destroy 20 years after cutoff or when no longer needed, whichever is later.
DispAuthNo:	N1-059-11-13, item 1
	Date Edited: 6/18/2015
A-11-012-22	Sensitive Compartmented Information Facilities (SCIFs) Files
Description:	Files contain documents on approval, creation, and maintenance of Sensitive Compartmented Information Facilities (SCIF), Fixed Facility Checklists (FFC), Facility Emergency Action Plan (FEAP), SCIF Accreditation Memorandum for Security Requirements for Secure Working Areas (SWACS), Technical Security Compartmented Maintenance Inspection (TSCM) for security electronic devices, Unescorted Access List for personnel assigned to update area; and Security Officer registration for security conference.
Disposition:	Temporary. Destroy when 5 years old.
DispAuthNo:	N1-059-11-13, item 2
	Date Edited: 6/18/2015

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A-11-012-23 Counterintelligence Briefing Materials

Description: Includes briefing material related to country or issue-specific counterintelligence threats, briefings given to employees, contractors and Regional Security Officers (RSO) regarding counterintelligence procedures while at post or on TDY. Also included are briefing sign-in sheets, certificates, and other related documentation certifying completion of training.

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

DispAuthNo: Na-059-11-13, item 3

Date Edited: 6/18/2015

A-11-012-24 Construction Project Records

Description: Records relating to the construction of new embassy/consulate facilities, including copies of funding, memorandums, project reports on site, debriefings, monthly operations, statistical data, and special projects.

Disposition: Temporary. Destroy 10 years after end of construction and project or when no longer needed, whichever is later.

DispAuthNo: N1-059-11-13, item 5

Date Edited: 6/18/2015

A-11-012-25 Counterintelligence Network Application (CINA)

Description: DS/ICI/CI system used to control and document investigations, briefings and analyses. Information includes, but not limited to, case allegations and summaries, case information and documentation, briefing certificates,

Disposition: Temporary. Destroy/Delete Master File data 100 years after case close. NOTE: if the Bureau of Diplomatic Security becomes aware of any significant or precedent-setting cases that may warrant preservation, notify NARA for independent appraisal of case(s).

DispAuthNo: N1-059-11-13, item 6

Date Edited: 6/18/2015

A-11-012-27 Victims' Resource Advocacy Program (VRAP)

Description: Authorized by 42 USC 10607, the mission of the Victims' Resource Advocacy Program (VRAP) is to empower those who have been victimized as a result of crimes investigated by the Bureau of Diplomatic Security. VRAP provides resources to assist aggrieved individuals in overcoming traumatic experiences resulting from victimization and in understanding the judicial processes surrounding criminal offenses. Resources are specifically tailored to meet the needs of the victims, and may include assistance in attaining counseling, reimbursements for medical payments and lost property, accompaniment to judicial proceedings, and relocation support.

Disposition: N/A Please see the following VRAP items.

DispAuthNo: DAA-0059-2016-0006

Date Edited: 5/9/2017

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A-11-012-28	Victims' Resource Advocacy Program (VRAP) - Administrative Files
Description:	Contains Information Memorandums and Action Memorandums related to VRAP's mission, policy and procedural drafts and final products, Standard of Operations-SOPs, tables of organization, schedules, taskers and other staffing and business-related records.
Disposition:	Temporary. Cutoff at end of calendar year. Destroy/delete 10 years after cutoff date.
DispAuthNo:	DAA-0059-2016-0006-0001 Date Edited: 3/13/2017
A-11-012-29	Victims' Resource Advocacy Program (VRAP) - Statistical Records
Description:	Consists of weekly reports, quarterly reports (QPRs), tracking data, annual reports and special reports as requested by management on program activities by VRAP for in-house consumption within DS/DO/ICI, or dissemination within DS to offices such as DS/DO, DS/EX/PPD, or Public Affairs.
Disposition:	Temporary. Cutoff at end of calendar year. Destroy/delete 3 years after cutoff date.
DispAuthNo:	DAA-0059-2016-0006-0002 Date Edited: 3/13/2017
A-11-012-30	Victims' Resource Advocacy Program (VRAP) - Training Material
Description:	Contains training summaries, briefing materials, informational pamphlets, fact sheets and guidance created by the program office for victims and their family members on types of crimes, judicial system navigation, eligibility criteria and other available assistance.
Disposition:	Temporary. Destroy/delete when superseded or obsolete.
DispAuthNo:	DAA-0059-2016-0006-0003 Date Edited: 3/13/2017
A-11-012-31	Victims' Resource Advocacy Program (VRAP) - Working Files
Description:	Consists of the Victims' Resource Advocacy Program (VRAP) Intake Forms, that capture background, incident and contact information for victims assisted by the program. The official recordkeeping copy is paper.
Disposition:	Temporary. Destroy/delete 3 years after case is closed or when no longer needed for business use, whichever is later.
DispAuthNo:	DAA-0059-2016-0006-0004 Date Edited: 3/13/2017

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Countermeasures Directorate Front Office

A-11-013-01 Countermeasures Front Office Chronological Files

Description: Files copies of incoming and outgoing correspondence reviewed and/or signed by the DS/C Deputy Assistant Secretary. Includes but not limited to memorandums, internal instructions, reports other related documentation regarding security countermeasure issues.

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

DispAuthNo: N1-059-11-18, item 1 **Date Edited:** 5/17/2013

A-11-013-02 Countermeasures – Bureau Files

Description: Memorandums, reports and other related documentation regarding countermeasures and security matters relating to construction by Bureau of Overseas Buildings Operations (OBO).

Disposition: Temporary. Cutoff annually. Destroy 5 years after cutoff or when no longer needed, whichever is later.

DispAuthNo: N1-059-11-18, item 2 **Date Edited:** 5/17/2013

A-11-013-03 Countermeasures – Country Files

Description: Memorandums, reports, security issues covering accreditation, anti-terrorism, buildings, construction, contractors, countermeasures, demolition, detection equipment, electronic security, emanations, inspections, receipts, systems development, and other related documentation. Maintained by posts.

Disposition: Temporary. Cutoff annually. Destroy when 7 years old or when no longer needed, whichever is later.

DispAuthNo: N1-059-11-18, item 3 **Date Edited:** 5/17/2013

A-11-013-04 Weekly Activities Report

Description: File contains compilation of weekly activities of the Countermeasures Divisions (DS/C/PSP, DS/C/ST and DS/C/DC) that submitted to Diplomatic Security Assistant Secretary. Arranged chronologically.

Disposition: Temporary. Cutoff at end of calendar year. Destroy 3 years after cutoff.

DispAuthNo: N1-059-11-18, item 4 **Date Edited:** 5/17/2013

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A-11-013-05 Countermeasures - Budget Files

Description: Cost statements, rough data and similar materials accumulated in the preparation of budget estimates and justification, formulations and other related documentation.

Disposition: Temporary. Cutoff annually. Destroy 7 years after cutoff.

DispAuthNo: N1-059-11-18, item 5 **Date Edited:** 5/17/2013

A-11-013-06 Financial Transaction Records Related to Procuring Goods and Services, Paying Bills, Collecting Debts, and Accounting

Description: Records relating to routine and operational aspects of travel and visits by other than prominent individuals and congressmen. Included are travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting documents.

Disposition: Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. (Supersedes GRS 9, item 3a)

DispAuthNo: DAA-GRS-2013-0003-0001 (G **Date Edited:** 10/4/2017

A-11-013-07 Supervisors' Personnel Files

Description: Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.

Exclusion 1: Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records.

Exclusion 2: Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.

Disposition: Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer. (Supersedes GRS 1, item 18a and GRS 1, item 18b)

DispAuthNo: DAA-GRS-2017-0007-0012 (G **Date Edited:** 9/1/2017

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A-11-013-08 Time and Attendance Records

Description: Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.

Legal citation: 29 U.S.C. 516.5a

Disposition: Temporary. Destroy after GAO audit or when 3 years old, whichever is sooner. (Supersedes GRS 2, item 7)

DispAuthNo: DAA-GRS-2016-0015-0003 (G **Date Edited:** 9/11/2017

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Office of Domestic Facilities Protection

A-11-014-01 Time and Attendance Records

Description: Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.

Includes forms such as OF 71, DS-7100; and DS-1216

Legal citation: 29 U.S.C. 516.5a

Disposition: Temporary. Destroy after GAO audit or when 3 years old, whichever is sooner. (Supersedes GRS 2, item 6a; GRS 2, item 6b; and GRS 2, item 7)

DispAuthNo: DAA-GRS-2016-0015-0003 (G **Date Edited:** 9/11/2017

A-11-014-02 Uniformed Guard - Program Files

Description: Invoices (copies), memorandums, and telegrams on local guards covering body guards, contracts, finances, funding ceilings, Mobil security patrols, official buildings security, personnel service contracts, profile survey, radios, uniforms, vehicles, and other related subjects.

Disposition: Temporary. Cut off file at end of each calendar year. Destroy 5 years after cut off date.

DispAuthNo: N1-059-94-43, item 42 **Date Edited:** 6/22/2011

A-11-014-03 Internal Investigation - Program Files - Documentation on investigations covering access controls, fires, medical emergencies, security inspections, and other related subjects

Description: a. Entry Notices

Disposition: Temporary. Destroy when 3 months old.

DispAuthNo: N1-059-94-43, item 32a **Date Edited:** 6/22/2011

A-11-014-04 Internal Investigation - Program Files - Arrange by case. Documentation on investigations covering access controls, fires, medical emergencies, security inspections, and other related subjects

Description: b. Evidence. Reports, testimony, witnesses' statements, etc.

Disposition: Temporary. Destroy 2 years after case is completed.

DispAuthNo: N1-059-94-43, item 32b **Date Edited:** 6/22/2011

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A-11-014-05 **Internal Investigation - Program Files - Documentation on investigations covering access controls, fires, medical emergencies, security inspections, and other related subjects**

Description: c. Forms

Accident Report, GSA (SF-94-A)
Claim for Damage, Injury or Death (SF-95)
Data Bearing on Scope of Employment of Motor Vehicle Operator (OF-26)
Operator Report of Motor Vehicle Accident (SF-91)
Statement of Witness (SF-94)

Disposition: Temporary. Destroy when 3 years old.

DispAuthNo: N1-059-94-43, item 32c

Date Edited: 6/22/2011

A-11-014-06 **Internal Investigation - Program Files - Documentation on investigations covering access controls, fires, medical emergencies, security inspections, and other related subjects**

Description: d. Logs

(1) Short Term Logs

Equipment Issue Log
Key Sign Out Log
Post Duty Log
Tape Log
24 Hour Duty Log

Disposition: Temporary. Destroy when 3 months old.

DispAuthNo: N1-059-94-43, item 32d(1)

Date Edited: 6/22/2011

A-11-014-07 **Internal Investigation - Program Files - Documentation on investigations covering access controls, fires, medical emergencies, security inspections, and other related subjects**

Description: d. Logs

(2) Long Term Logs

Alarm Logs
Employee Logs
Visitor Logs

Disposition: Temporary. Destroy when 2 years old.

DispAuthNo: N1-059-94-43, item 32d(2)

Date Edited: 6/22/2011

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A-11-014-08 **Internal Investigation - Program Files - Documentation on investigations covering access controls, fires, medical emergencies, security inspections, and other related subjects**

Description: e. Property Passes

Disposition: Temporary. Destroy 3 months after expiration date.

DispAuthNo: N1-059-94-43, item 32e **Date Edited:** 6/22/2011

A-11-014-09 **Internal Investigation - Program Files - Documentation on investigations covering access controls, fires, medical emergencies, security inspections, and other related subjects**

Description: f. Reports

 (1) Short Term Reports

 Post Inspection Reports

Disposition: Temporary. Destroy when 3 months old.

DispAuthNo: N1-059-94-43, item 32f(1) **Date Edited:** 6/22/2011

A-11-014-10 **Internal Investigation - Program Files - Documentation on investigations covering access controls, fires, medical emergencies, security inspections, and other related subjects**

Description: f. Reports

 (2) Long Term Reports

 Event Reports

 Lost and Found Reports

 Vehicle Activity and Inspection Reports

 Vehicle Incident Reports

 Vehicle Maintenance Reports

 Vehicle Monthly Reports

Disposition: Temporary. Destroy when 2 years old.

DispAuthNo: N1-059-94-43, item 32f(2) **Date Edited:** 6/22/2011

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A-11-014-11	Internal Investigation - Program Files - Documentation on investigations covering access controls, fires, medical emergencies, security inspections, and other related subjects
Description:	f. Reports (3) Access Control Reports, Guard Services Contract Daily Assignment Report General Inventory Report Key Inventory Report Master Inventory Report Post Inventory Report
Disposition:	Temporary. Destroy 2 years after end of contract.
DispAuthNo:	N1-059-94-43, item 32f(3) Date Edited: 6/22/2011
A-11-014-12	Internal Investigation - Program Files - Documentation on investigations covering access controls, fires, medical emergencies, security inspections, and other related subjects
Description:	g. Security Violations
Disposition:	Destroy 2 years after final action.
DispAuthNo:	N1-059-94-43, item 32g Date Edited: 6/22/2011
A-11-014-13	Internal Investigation - Program Files - Documentation on investigations covering access controls, fires, medical emergencies, security inspections, and other related subjects
Description:	h. VIP Pin Request
Disposition:	Temporary. Destroy when 3 months old.
DispAuthNo:	N1-059-94-43, item 32h Date Edited: 6/22/2011
A-11-014-14	Special Events Security - Program File - Arrange by event
Description:	Correspondence, memorandums, reports, on all aspects of physical security for special events that the Department hosts covering conferences, dignitary visits, guard orders, guests and participants lists, local police, meetings, requests for security requirements, technical security, training, U.S. Marine Corps, VIP escort requests, and other related other subjects.
Disposition:	Temporary. Destroy when 3 months old.
DispAuthNo:	N1-059-94-43, item 34 Date Edited: 6/22/2011

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A-11-014-15a Visitor Processing Records

Description: Areas requiring highest level security awareness. Includes areas designated by the Interagency Security Committee as Facility Security Level V.

AlarmNet General Support System (GSS): An electronic tracking system that utilizes information collected by the Bureau's Identity Management System (IDMS) to build access profiles and give individuals access to facilities within the Department of State nationwide. The information is required to grant access clearances, and to provide the Department's Diplomatic Security Uniformed Protective Officers (UPO) the information necessary to protect Department assets. AlarmNet supports the Bureau of Diplomatic Security (DS/FSE/DME) mission requirements for providing physical intrusion detection, access control security, and monitoring from central locations, for all domestic Department facilities nationwide on a 24x7 basis. AlarmNet provides the connectivity for the Department's Domestic Access Control and Intrusion Detection System.

Visitor Access Control System (Domestic)-VACS-D: The Visitor Access Control System(Domestic)-VACS-D database is a web-based tool that allows DS staff to pre-register individuals, groups, and non-U.S. citizens requesting entrance into the Harry S. Truman Building. VACS-D increases control of the registration process, improves security, verifies identity, contains contact escort/sponsor information, and reduces the time it takes to register, authenticate and badge visitors.

Registers or logs recording names of outside contractors, service personnel, foreign national and other visitors, employees admitted to areas, and reports on vehicles and passengers.

Note: GRS 4.2, Information Access and Protection Records, item 030, covers requests and authorizations for individuals to have access to classified files.

Disposition: Temporary. Destroy when 5 years old, but longer retention is authorized if required for business use. (Supersedes GRS 18, item 17a)

DispAuthNo: DAA-GRS-2017-0006-0014 (G **Date Edited:** 9/11/2017

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A-11-014-15a(1) AlarmNet General Support System (GSS)

Description: Master File:

An electronic tracking system that utilizes information collected by the Bureau's Identity Management System (IDMS) to build access profiles and give individuals access to facilities within the Department of State nationwide. The information is required to grant access clearances, and to provide the Department's Diplomatic Security Uniformed Protective Officers (UPO) the information necessary to protect Department assets. AlarmNet supports the Bureau of Diplomatic Security (DS/FSE/DME) mission requirements for providing physical intrusion detection, access control security, and monitoring from central locations, for all domestic Department facilities nationwide on a 24x7 basis. AlarmNet provides the connectivity for the Department's Domestic Access Control and Intrusion Detection System.

Disposition: Temporary. Destroy Personal Identity Verification cards within 30 days after death, separation, or transfer of employee. Destroy all other records upon notification of death or no later than five years after separation or transfer of employee, whichever is applicable.

DispAuthNo: DAA-0059-2012-0001-0001 **Date Edited:** 6/18/2013

A-11-014-15b Intermediary Records

Description: AlarmNet General Support System (GSS) hard copy and electronic documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included adhoc reports and printouts for reference purposes or to meet day-to-day business needs.

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:** 9/27/2017

A-11-014-15f AlarmNet General Support System (GSS)

Description: System Backups:

System Backups and Tape Library Records. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

Disposition: Temporary. Destroy when superseded by a full backup, or when no longer needed for restoration, whichever is later. (Supersedes GRS 24, item 4a[1]).

DispAuthNo: GRS 3.2, item 040 **Date Edited:** 5/7/2015

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A-11-014-15g AlarmNet General Support System (GSS)

Description: System Documentation:

Includes systems requirements, system design and user guides.

Disposition: Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system. (Supersedes GRS 20, item 11a[1]).

DispAuthNo: GRS 3.1, item 051

Date Edited: 5/7/2015

A-11-014-16a Identity Management System - IDMS

Description: Master File:

The Identity Management System is a database application that stores information collected from persons requiring Department of State (DoS) Personal ID Cards. IDMS is the property of the Bureau of Diplomatic Security and is owned by the DoS. The information collected facilitates the production (printing) and encoding (data elements required for physical/logical access and verification of the cardholder) of the DoS Personal ID Card ultimately issued to an approved cardholder. IDMS contains Personally Identifiable Information (PII) extracted from forms: DS-1838 (Request for Building Pass Identification Card), SF-85 (Questionnaire for Non-Sensitive Positions); SF-85P(S) (Questionnaire for Public Trust Positions); SF-86 (Questionnaire for National Security Positions) and DSP-97 (U.S. DoS Building Access Application). IDMS also contains personal information as required by HSPD-12 and the information is verified by the individual applicant.

Disposition: Temporary. Delete/destroy 20 years after separation, or transfer of cardholder from the Department of State. PII is to be delete/destroyed in accordance with DS approved records disposition schedule on retention of information/data on a particular individual.

DispAuthNo: DAA-0059-2012-0001-0002

Date Edited: 6/18/2013

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A-11-014-16b Intermediary Records

Description: Identity Management System (IDMS) records including hard copy and electronic input documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system. Includes both output records and adhoc reports for reference purposes or to meet day-to-day business needs.

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:** 9/27/2017

A-11-014-16f Identity Management System - IDMS

Description: Systems Backup:

System Backups and Tape Library Records. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

Disposition: Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (Supersedes GRS 24, item 4a[1]).

DispAuthNo: DAA-GRS-2013-0006-0005 (G **Date Edited:** 9/28/2017

A-11-014-16g Identity Management System - IDMS

Description: System Documentation:

Includes system requirements, system design and user guides.

Disposition: Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system. (Supersedes GRS 20, item 11a[1]).

DispAuthNo: GRS 3.1, item 051 **Date Edited:** 5/11/2015

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A-11-014-17a Agent Credentials - Program File

Description: Accountability Receipt Forms for DSS Identification Media, correspondence, memorandums, reports on agents' credentials covering badge numbers, badges, cards, couriers, credential numbers, credentials (cards), engineers, pins, receipts, security officers, special investigators, and other related subjects.

a. Receipts and related documentation. Arrange file by media identification number.

Disposition: Temporary. Retain in office. Destroy accountability receipts/records 10 years after media (credentials, badges, PRS pins) redesign change. Destroy personnel files 10 years after departing (Resign, Terminate, Retire, etc.) from DoS subject to the issuance of retirement media. (Supersedes N1-059-94-43, item 98a)

DispAuthNo: DAA-0059-2012-0001-0003 **Date Edited:** 6/18/2013

A-11-014-17b Agent Credentials - Program File - Arrange by subject

Description: Accountability Receipts Forms for DSS Identification Media, correspondence, memorandums, reports on agents' credentials covering badge numbers, badges, cards, couriers, credential numbers, credentials (cards), engineers, pins, receipts, security officers, special investigators, and other related subjects.

b. General correspondence.

Disposition: Retain in office. Cut off file at the end of each calendar year. Destroy 25 years after cutoff date.

DispAuthNo: N1-059-94-43, item 98b **Date Edited:** 6/24/2014

A-11-014-18 Property Receipt Records

Description: Consists of Form DS-584, Personal Custody Property Receipt, for property items loaned to individuals for their use and related documents.

Disposition: Temporary. Destroy original when property is returned. Destroy copies when operational purposes have been served. (Supersedes II-NN-3250, item 57)

DispAuthNo: DAA-0059-2012-0001-0004 **Date Edited:** 6/18/2013

A-11-014-19 Property Survey Records

Description: Consists of copies of DS-310, Property Survey Report (Domestic) and related documents. Report provides property accountability for all office equipment and furniture.

a. Supply Branch copy. (Supersedes II-NN-3250, item 58a)

Disposition: Temporary. Destroy 3 years after disposal of equipment.

DispAuthNo: DAA-0059-2012-0001-0005 **Date Edited:** 6/18/2013

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A-11-014-20 **Personal Services Contract Files**

Description: Copies of employees HRPSC021 Request for Contract Action (Personal Service Contract-PSC), JF-62, PSC salary worksheet computation, spreadsheets, invoices, time sheets, payments, security clearance, copies of contracts, financial forms relating to the activities of contractors involved in security guard services and personal service contracts for Uniformed Patrol Offices, correspondence, and PSC contract checklist.

Disposition: Temporary. Cut off when employee has separated or terminate. Destroy 6 years and 3 months after final payment.

DispAuthNo: DAA-0059-2012-0001-0006 **Date Edited:** 6/18/2013

A-11-014-21 **Allotment Reports**

Description: Monthly reports of allottees, showing current and cumulative to date transactions as reflected in their distribution ledgers. Included are related communications and worksheets.

Disposition: Temporary. Destroy 4 years after close of fiscal year prepared.

DispAuthNo: NC1-059-77-26, item 12 **Date Edited:** 6/18/2013

A-11-014-22 **Budget Preparation Background Records**

Description: Records held at all other offices. Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.

Disposition: Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use. (Supersedes GRS 5, item 2)

DispAuthNo: DAA-GRS-2015-0006-0006 (G **Date Edited:** 1/18/2018

A-11-014-23 **Appropriation Allotment Files**

Description: Allotment records showing status of obligations and allotments under each authorized appropriation.

Disposition: Temporary. Destroy 6 years after final payment or cancellation. (Supersedes GRS 7, item 3).

DispAuthNo: GRS 1.1, item 010 **Date Edited:** 5/11/2015

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A-11-014-24	Expenditure Accounting Posting and Control Files
Description:	Records such as distribution ledgers, registers of interoffice transfers, expenditure voucher files, liquidation memorandums and other series of posting and control media, subsidiary to the allotment ledgers, and not otherwise provided for in this schedule. Included are related communications, reports, tabulations and worksheets.
Disposition:	Temporary. Destroy 6 years after final payment or cancellation. (Supersedes GRS 7, item 4a).
DispAuthNo:	GRS 1.1, item 010
Date Edited:	5/11/2015
A-11-014-25	Routine Procurement and Contract Files
Description:	Contracts, requisitions, purchase orders, leases, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment. (a) Original Contracts – held by AQM or DS/MGT/CAP (2) Transactions of \$25,000 or less and construction contracts under \$2,000.
Disposition:	Temporary. Destroy 6 years after final payment or cancellation. (Supersedes GRS 3, item 3a[2]).
DispAuthNo:	GRS 1.1, item 010
Date Edited:	7/16/2015
A-11-014-26	Routine Procurement and Contract Files
Description:	Contracts, requisitions, purchase orders, leases, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment. b. Other copies.
Disposition:	Temporary. Destroy when business use ceases. (Supersedes GRS 3, item 3c).
DispAuthNo:	GRS 1.1, item 011
Date Edited:	5/11/2015
A-11-014-27	Requests for Information
Description:	Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply.
Disposition:	Temporary. Destroy when 90 days old, but longer retention is authorized if required for business use. (Supersedes GRS 23, item 7)
DispAuthNo:	GRS 4.2, Item 010
Date Edited:	3/9/2017

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A-11-014-28 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 (office copies of SF-182, DS-755, DS-1276, DS-1889, and DS-3033), travel (office copies of DS-5089), supplies (i.e. OF-263, DS-1089, and DS-5), and equipment, excluding procurement and payment records and forms requesting training
- 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. (Supersedes GRS 23, item 1)

DispAuthNo: DAA-GRS-2016-0016-0001 (G **Date Edited:** 9/25/2017)

A-11-014-29 Financial Transaction Records Related to Procuring Goods and Services, Paying Bills, Collecting Debts, and Accounting

Description: Records relating to routine and operational aspects of travel and visits by other than prominent individuals and members of congress. Included are travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting documents.

Disposition: Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. (Supersedes GRS 9, item 3a)

DispAuthNo: DAA-GRS-2013-0003-0001 (G **Date Edited:** 10/4/2017)

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A-11-014-34 Intermediary Records

Description: Visitor Access Control System (Domestic)-VACS-D records which include electronic adhoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent report and data files output for the purpose of information sharing or reference.

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:** 9/27/2017

A-11-014-36 Visitor Access Control System (Domestic)-VACS-D

Description: Systems Backup and Tape Library Records:

Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

Disposition: Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (Supersedes GRS 24, item 4a[1]).

DispAuthNo: GRS 3.2, item 040 **Date Edited:** 5/13/2015

A-11-014-37 Visitor Access Control System (Domestic)-VACS-D

Description: System Documentation:

Includes system requirements, system design and user guides.

Disposition: Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system. (Supersedes GRS 20, item 11a[1]).

DispAuthNo: GRS 3.1, item 051 **Date Edited:** 5/13/2015

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A-11-014-38 Supervisors' Personnel Files

Description: Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.

Exclusion 1: Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records.

Exclusion 2: Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.
PF.

Disposition: Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer. (Supersedes GRS 1, item 18a and GRS 1, item 18b)

DispAuthNo: DAA-GRS-2017-0007-0012 (G **Date Edited:** 9/1/2017

A-11-014-42 Chronology Files

Description: Copies of all correspondence approved and signed by the Director. Includes special studies, internal instructions and reports.

Disposition: Temporary. Destroy/delete material when no longer needed for reference or after three (3) years, whichever is sooner.

DispAuthNo: Non-record **Date Edited:** 3/6/2014

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Office of Protection

A-11-015-01a **Protective Liaison Case Tracking System (POLCATS)**

Description: Master File

POLCATS is an information tracking system. It allows users to identify and assign protective staff to cases involving the protection of personnel and diplomatic contingents of dignitaries visiting the United States. POLCATS contains information about the subject of each case, the progress of the investigation, agents assigned to each case, cross references to other cases, other case-related information, and incident reports at foreign embassies.

Disposition: Temporary. Delete/Destroy Master File data 25 years after close of case or when no longer needed for law enforcement purposes, whichever is later.

DispAuthNo: N1-059-09-15, item 1a **Date Edited:** 1/19/2010

A-11-015-01b **Intermediary Records**

Description: Protective Liaison Case Tracking System (POLCATS) hard-copy and electronic input records used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input, as well as hard copy documents that are scanned into an electronic recordkeeping system.

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:** 9/27/2017

A-11-015-01d **Protective Liaison Case Tracking System (POLCATS)**

Description: Outputs

Ad hoc and recurring reports

Disposition: Temporary. Destroy when no longer needed.

DispAuthNo: N1-059-09-15, item 1d **Date Edited:** 1/19/2010

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A-11-015-01e	Protective Liaison Case Tracking System (POLCATS)
Description:	System Back-ups and Tape Library Records Back-up tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.
Disposition:	Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (Supersedes GRS 24, item 4a[1]).
DispAuthNo:	GRS 3.2, item 040 Date Edited: 5/13/2015
A-11-015-01f	Protective Liaison Case Tracking System (POLCATS)
Description:	Documentation Documentation includes data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or database that has been authorized for destruction by the GRS or a NARA-approved disposition schedule.
Disposition:	Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system. (Supersedes GRS 20, item 11a[1]).
DispAuthNo:	GRS 3.1, item 051 Date Edited: 5/13/2015
A-11-015-02	Visit File - Arrange by case
Description:	Reports and site surveys on visiting domestic and foreign dignitaries covering their arrival, protection, and other related subjects.
Disposition:	Destroy 2 years after case is closed.
DispAuthNo:	N1-059-94-43, item 73 Date Edited: 10/26/2007
A-11-015-03	City Closing Report - Program File - Arrange file by city
Description:	Advance reports, place survey reports, maps, and correspondence on physical and security problems covering airports, hotels, public places, and other related subjects.
Disposition:	Destroy when report has been updated.
DispAuthNo:	N1-059-94-43, item 91 Date Edited: 10/26/2007

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A-11-015-04 Foreign Dignitaries and U.S. Officials Protective Detail - Case File

Description: Correspondence, memorandums, telegrams, and other documentation on protective security details provided to visiting dignitaries and U.S. Government officials (other than the Secretary of State) covering agent time sheets, biographic information, bulletins, command post logs, expenditures, maps, schedules, summary sheets, and other related subjects.

Disposition: Destroy when 2 years old.

DispAuthNo: NC1-059-78-11, item 3

Date Edited: 10/26/2007

A-11-015-05 Protective Liaison Country - Program File - Arrange by TAGS and Terms

Description: Diplomatic notes, copies of faxes, memorandums, activity reports, telegrams, and other documentation on diplomatic protection liaison assistance and support with national and international law enforcement agencies covering airports, consulate security surveys, demonstrations, details, diplomatic immunity, escorts, International Association of Chiefs of Police (IACP), investigations, traveling foreign officials and U.S. dignitaries, foreign mission property, requests for protective security, terrorist information, threats, and other related subjects.

Disposition: Cut off file at end of each calendar year. Destroy 1 year after cut off date.

DispAuthNo: N1-059-94-43, item 89

Date Edited: 10/26/2007

A-11-015-06 Protective Liaison Reimbursement - Program File - Arrange by TAGS and Terms

Description: Bills, correspondence, invoices, memorandums, and other documentation on reimbursements for protective security of foreign diplomats and missions covering budgets, cellular telephones, contracts, cooperative and interagency agreements, equipment inventories, foreign mission property throughout the U.S., security coverage, tasking orders, and other related subjects.

Disposition: Cut off file at end of each calendar year. Destroy 7 years after cut off date.

DispAuthNo: N1-059-94-43, item 90

Date Edited: 10/26/2007

A-11-015-07 Financial Printouts Reports

Description: Printout: Monthly Transaction Status Reports, Unaccepted Documents and Accepted/Rejected Documents, and other reports on financial activities covering status, transactions, and other related subjects.

a. Updated Copies.

Disposition: Destroy when update has been printed.

DispAuthNo: N1-059-94-43, item 92a

Date Edited: 10/26/2007

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A-11-015-08 Financial Printouts Reports

Description: Printout: Monthly Transaction Status Reports, Unaccepted Documents and Accepted/Rejected Documents, and other reports on financial activities covering status, transactions, and other related subjects.

b. Final Copies - 1311 Report, and other reports.

Disposition: Cut off file at end of fiscal year. Destroy 5 years after cut off date.

DispAuthNo: N1-059-94-43, item 92b **Date Edited:** 10/26/2007

A-11-015-16 Intermediary Records

Description: High Threat Integrated Tracking System (HITS). Records include:

- Input or source records, which agencies create in the routine process of creating, maintaining, updating, or using electronic information systems and which have no value beyond the input or output transaction such as electronic input source records such as transaction files or intermediate input/output files

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:** 9/27/2017

A-11-015-17 Dignitary Protection Invoices

Description: Records on validation of invoices, vendor claims, and e-mail confirmation receipts sent to Charleston, SC within 30 days.

Disposition: Temporary. Destroy 7 years after final payment.

DispAuthNo: N1-059-11-11, item 1 **Date Edited:** 9/10/2014

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A-11-015-18 Interagency Agreement and Funding Files

Description: Consists of correspondence, memorandums, memorandums of understanding and other documentation on interagency agreements, hard copies of initial obligation and requests for protective services for Foreign Dignitaries and other types of services provided by the US Air Force and US Army. Includes military Air Force K-9 dog technician and trainer; and DOD explosive technicians. Other law enforcement agencies are the US Marshalls Service (USMS) and Bureau of Alcohol, Tobacco and Firearms (ATF); as well as funding records related to United Nations General Assembly (UNGA) involving the support of the USMS, ATF Site Solutions, U.S. Air Force, Explosive Ordinance Disposal (EOD) and K9 Explosive Detective Dogs (EDD) and many more.

Disposition: Temporary. Destroy signed original agreement and related documents 7 years after termination date of agreement, extension, or final act and final payment.

DispAuthNo: N1-059-11-11, item 2

Date Edited: 9/10/2014

A-11-015-19 Advice of Allotment Records (AOA)

Description: Contains requests for funds to support protective details required for the USUN Ambassador. Funding provisions are scheduled for detail personnel, hotels, drivers, and vans/cars. Transfer of funds to support USUN Ambassador for protective details.

Disposition: Temporary. Destroy 6 years after detail is concluded.

DispAuthNo: N1-059-11-11, item 3

Date Edited: 9/10/2014

A-11-015-20 Official Vehicles Statements

Description: Consists of Dignitary Protective (DP) employees' signed Official Vehicle Statements agreeing to adhere to the Department's policy on the usage of official vehicles worldwide.

Disposition: Temporary. Destroy 2 years after transfer of employee from DP.

DispAuthNo: N1-059-11-11, item 4

Date Edited: 9/10/2014

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A-11-015-21a SHIELD

Description: Master File:

Shield is an information tracking system designed to track and maintain records of the Bureau of Diplomatic Security's protective details provided to various foreign and domestic dignitaries. Shield also tracks personnel and expenditures involved with protective details as well as the names of the dignitaries, locations, Department vehicles used, agents assigned to each detail, and a variety of costs.

Disposition: Temporary. Delete/destroy Master File data 25 years after event or when no longer needed, whichever is later.

DispAuthNo: N1-059-11-11, item 4

Date Edited: 9/10/2014

A-11-015-21b Intermediary Records

Description: SHIELD records which include hard copy (non-electronic) documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system.

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: 9/27/2017

A-11-015-21c SHIELD

Description: System Backups and Tape Library Records:

Backup tapes maintained for potential system restoration in the event of a system failure or other Unintentional loss of data.

Disposition: Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (Supersedes GRS 24, item 4a[1]).

DispAuthNo: GRS 3.2, item 040

Date Edited: 5/13/2015

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A-11-015-21d	SHIELD
Description:	Documentation: Documentation includes data systems specifications, file specifications, codebooks, records layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base that has been authorized for destruction by the GRS or a NARA-approved disposition schedule.
Disposition:	Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system. (Supersedes GRS 20, item 11a[1]).
DispAuthNo:	GRS 3.1, item 051 Date Edited: 5/13/2015
A-11-015-22	Personal Service Contract (PSC) Files
Description:	Arranged by name of contractor. Files include copies of personnel files for Personal Service Contractors (PSC) hired to support protective services. Also included, but not limited to, correspondence related to, and copies of contracts.
Disposition:	Temporary. Destroy 7 years after separation from employment.
DispAuthNo:	N1-059-11-11, item 6 Date Edited: 9/10/2014
A-11-015-23	Personal Service Contract (PSC) & 3rd Party Contractor Funding Files
Description:	Arranged by name of contractor. Files include copies of personnel files for Personal Service Contractors (PSC) and 3rd Party Contractors. Also included, but not limited to, purchase orders input into ARIBA System once information received from the DS/CAP and PSC Coordinators.
Disposition:	Temporary. Destroy 7 years after separation from employment.
DispAuthNo:	N1-059-11-11, item 7 Date Edited: 9/10/2014
A-11-015-24	De-obligate Funding Files
Description:	Contains records of requests sent to the office of Uniform Protective Division, the U.S. Marshall Service, ATF, US Army, U.S. Air Force, Site Solutions and M9-Misc. Account to de-obligate/return funds to the Department of State that were not spent during any given protection detail or during United Nations General Assembly (UNGA).
Disposition:	Temporary. Destroy 7 years after funds are returned.
DispAuthNo:	N1-059-11-11, item 8 Date Edited: 9/10/2014

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A-11-015-25 First Class and Business Class Memorandums

Description: Action memorandums requesting authority to authorize DS Special Agents to travel in First Class or Business Class. Included are copies of DS 4087 forms which are to be uploaded into E2 Solutions information system.
Temporary. Destroy when no longer needed.

Disposition: Temporary. Destroy when no longer needed.

DispAuthNo: N1-059-11-11, item 9 **Date Edited:** 9/10/2014

A-11-015-26 Car Rental Records

Description: Consists of direct-billing car rental agreements and tracking records on car rentals with Avis, Budget, and Hertz for Advance Agents.

Disposition: Temporary. Destroy 3 years after revision of authorization.

DispAuthNo: N1-059-11-11, item 10 **Date Edited:** 9/10/2014

A-11-015-27 Fully Armored Vehicles Files

Description: Consists of a log tracking the use and whereabouts of fully armored vehicles used for domestic protective details. Files also include, but not limited to, correspondence between the Department and the manufacturers, Certificate of Origin for a Vehicle, Official Vehicle Statement, and form DS-1892 - Official Vehicle Report.

Disposition: Temporary. Destroy 3 years after vehicle has been returned to Defensive Equipment Armored Vehicles (DEAV) manufacturer.

DispAuthNo: N1-059-11-11, item 11 **Date Edited:** 9/10/2014

A-11-015-28 Cost Leased Vehicles Records

Description: Consists for records relating to Base Year and Option Year contracts, supplies, services and cost of commercial leased unarmored vehicles for domestic services. Also included are Excel spreadsheets with the total costs of all option years.

Disposition: Temporary. Destroy 6 years after vehicle has been returned.

DispAuthNo: N1-059-11-11, item 12 **Date Edited:** 9/10/2014

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A-11-015-29a **Motor Vehicle Files**

Description: Correspondence and documentation regarding management of government-owned and commercially-leased motor vehicles for use by Diplomatic Security, including but not limited to, leasing, costs, maintenance, accident reports, claims, disposal and other related information.

Government-Owned

Disposition: Temporary. Cutoff when motor vehicles are excess and/or transferred to GSA. Destroy 6 years and 3 months after the cutoff date.

DispAuthNo: N1-059-11-11, item 13a **Date Edited:** 9/10/2014

A-11-015-29b **Motor Vehicle Files**

Description: Commercially Leased

Disposition: Temporary. Cutoff when lease expired or terminated and/or vehicle exchanged. Destroy 5 years after the cutoff date, whichever is later.

DispAuthNo: N1-059-11-11, item 13b **Date Edited:** 9/10/2014

A-11-015-30 **DS Major Events Records**

Description: Consists of events records and reports to include, but not limited to, security planning for international athletic events, liaison between governments and department's DS Agents, physical security and protection for U.S. Government Olympics and tourists, Agent Expenditures Sheets, airfare, per diem, addendum to closing reports, vouchers, excel spreadsheets and other miscellaneous expenditures involving Diplomatic Security Agents' security details.

Disposition: Temporary. Cut off after each event. Destroy 5 years after cutoff.

DispAuthNo: N1-059-11-11, item 14 **Date Edited:** 9/10/2014

A-11-015-31 **International Security Event Group (ISEG)**

Description: Consists of 20 agencies co-chaired by the (SCG) Chairperson by DS Major Events and includes monthly meeting with all U.S. agencies involved to determine resources needed for international events such as training and security protection.

Disposition: Temporary. Cut off after each event. Destroy 3 years after cutoff.

DispAuthNo: N1-059-11-11, item 15 **Date Edited:** 9/10/2014

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A-11-015-32 Miscellaneous Events Records

Description: Correspondence, memorandums and reports on unanticipated special athletic events.

Disposition: Temporary. Destroy 3 years after each event or when superseded.

DispAuthNo: N1-059-11-11, item 16 **Date Edited:** 9/10/2014

A-11-015-33 Trip Plan Folders

Description: Records containing information on protective details for the Secretary's foreign and/or domestic trip plans to include, but not limited to, site visits, trip plans spreadsheets, level of security required, agents roster, correspondence and dates and agents' trip report summaries. Reports are filed by country.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 3 years after cutoff or when no longer needed, whichever is later.

DispAuthNo: N1-059-11-11, item 17 **Date Edited:** 9/10/2014

A-11-015-34 Administrative Directives and Notices

Description: Standard Operations Procedures (SOP). Consists of established standard operational procedures and guidance for conducting day-to-day official business within the office.

Policy documents on administrative functions such as payroll, procurement, facilities, equipment, and human capital. Includes records documenting development.

Exclusion: Documents related to mission activities (agencies schedule these separately).

Disposition: Temporary. Destroy when superseded, obsolete, or no longer needed for business, whichever is later. (Supersedes GRS 16, item 1)

DispAuthNo: DAA-GRS-2017-0008-0003 (G **Date Edited:** 1/18/2018

A-11-015-35 Standard Operations Procedures (SOP)

Description: Operational Notices including office directives for conducting official business and assigned duties.

Disposition: Temporary. Cut off at end of calendar year. Destroy when superseded.

DispAuthNo: N1-059-11-11, item 18 **Date Edited:** 1/18/2018

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A-11-015-36	Passport Application Records
Description:	Contains documentation on diplomatic passports for Special Agents, requests for additional passport pages, issuance of additional passports, information on loss and/or stolen passports and passport services.
Disposition:	Temporary. Destroy when no longer needed.
DispAuthNo:	N1-059-11-11, item 19
Date Edited:	9/10/2014
A-11-015-37	Secretary's Schedule Binder
Description:	Consists of the Secretary of State's daily schedule when located in the U.S.
Disposition:	Temporary. Destroy at end of calendar year.
DispAuthNo:	N1-059-11-11, item 20
Date Edited:	9/10/2014
A-11-015-38	Secretary's Approved Activities Binder
Description:	Contains information on the Secretary's past and present upcoming events.
Disposition:	Temporary. Destroy at the end of the calendar year.
DispAuthNo:	N1-059-11-11, item 21
Date Edited:	9/10/2014
A-11-015-39	Duty Schedule Binder
Description:	Consists of Special Agents' work schedules worldwide.
Disposition:	Temporary. Destroy at end of calendar year.
DispAuthNo:	N1-059-11-11, item 22
Date Edited:	9/10/2014

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Office of Domestic Operations

A-11-016-01 Action Memoranda and Information Memoranda Files

Description: Consist of requests for action as well as information memorandums from the Office for Domestic Operations relating to subject matters pertaining to, but not limited to, policy, projects, issues related to the protection of staff, budgetary matters, and criminal and administrative investigations.

Disposition: Temporary. Cutoff at end of calendar year. Destroy 3 years after cutoff or when no longer needed, whichever is longer.

DispAuthNo: DAA-0059-2011-0011-0001 **Date Edited:** 11/7/2012

A-11-016-02 Memorandum of Agreements (MOAs) and Memorandum of Understandings (MOUs)

Description: Interagency and Intra-agency MOAs and MOUs on security, criminal and protective operations worldwide.

Disposition: Temporary. Cutoff at end of calendar year in which signed. Destroy 3 years after cutoff or when no longer needed, whichever is later.

DispAuthNo: DAA-0059-2011-0011-0002 **Date Edited:** 11/7/2012

A-11-016-03 Congressional Inquiries Files

Description: Consist of copies of responses to Congressional inquiries concerning Domestic Operations (DO) and copies of testimony of other Federal Law Enforcement agencies reviewed by DOD.

Disposition: Temporary. Cutoff at end of calendar year. Destroy 3 years after cutoff or when no longer needed, whichever is later.

DispAuthNo: DAA-0059-2011-0011-0003 **Date Edited:** 11/7/2012

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A-11-016-04 Supervisors' Personnel Files

Description: Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.

Exclusion 1: Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records.

Exclusion 2: Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.

Disposition: Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer. (Supersedes GRS 1, item 18a and GRS 1, item 18b)

DispAuthNo: DAA-GRS-2017-0007-0012 (G **Date Edited:** 9/1/2017

A-11-016-05 Commercial Freight and Passenger Transportation Files

Description: Original vouchers and support documents covering commercial freights and passenger transportation charges of settled fiscal accounts, including registers and other control documents, but EXCLUDING those covered by item 1b of this schedule.

Disposition: Temporary. Destroy 6 years after final payment or cancellation. (Supersedes GRS 9, item 1a).

DispAuthNo: GRS 1.1, item 010 **Date Edited:** 5/13/2015

A-11-016-06 Investigative Memorandums

Description: Consists of copies of investigative reports from the offices of Professional Responsibility, the Office of Investigations and Counterintelligence and Personnel Suitability.

Disposition: Temporary. Destroy when no longer needed.

DispAuthNo: Non-Record **Date Edited:** 11/7/2012

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A-11-016-07 Policy and Plans Clearances Files

Description: Reference copies of all approved clearances on all Domestic Operations equities.

Disposition: Temporary. Destroy when no longer needed.

DispAuthNo: Non-Record

Date Edited: 11/7/2012

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Office of Regional Directors

A-11-017-01 Memorandums to Deputy Assistant Secretary (DAS)

Description: Copies of International Program Directorate (IP) Action Memorandums and Information Memorandums to the DAS on a variety of domestic and overseas subject matters related to, but not limited to, IP realignments; IP operations; Post Security Program Reviews; IP security tasks and responsibilities; IP travel; IP WAEs; space plans; funding; staffing; construction; expenditures over and under \$500; technical support for pilferable property; policy decisions and other budget issues.

Disposition: Temporary. Cut off at end of calendar year. Destroy when 3 years old or when no longer needed, whichever is later.

DispAuthNo: N1-059-11-03, item 1 **Date Edited:** 3/11/2013

A-11-017-02 DS/IP/RD Responses to Regulatory Agencies Files

Description: Consists of a compilation of minutes, inquiries and responses, notes, working files and copies of final reports from the Office of Inspector General (OIG), the General Accounting Office (GAO) and the Commission on Wartime Contracting (CWC) providing information on U.S. embassy security contracts in Afghanistan and Iraq, audits of the design and construction of the new embassy compounds, and detailed information GAO engagements/assignments for Iraq Reconstruction.

a. Record copy (electronic)

Disposition: Temporary. Cut off in year in which signed. Transfer to RSC and destroy when 7 years old.

DispAuthNo: N1-059-11-03, item 2 **Date Edited:** 3/11/2013

A-11-017-03 International Program's (IP) Property Records

Description: Consists of domestic inventory files from 2002 to present on all of IP supplies and equipment to include, but not limited to, pilferable property over \$500 (bar-coded) and property that can be pilfered under than \$500, and an annual log of purchases.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 7 years after cutoff or when GAO audit is completed.

DispAuthNo: N1-059-11-03, item 3 **Date Edited:** 3/11/2013

A-11-017-04 Communications Equipment Tracking Files

Description: Consists of a list of all office laptops, FOBs, cell phones, etc. issued as well as signed User Briefing/Acknowledgement Forms and User Agreement for Official Use forms.

Disposition: Temporary. Destroy after items determined to be excess.

DispAuthNo: N1-059-11-03, item 4 **Date Edited:** 3/11/2013

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A-11-017-05 DS/IP/RD Post Security - Program Review Files

Description: Correspondence, memorandums, and inspection reports on post security activities covering ambassador briefings, crisis management, local guards, RSO travel, Post Security Program Reviews, security committees and groups, surveys, U.S. Marines, and other related subjects.

Disposition: Temporary. Destroy when superseded. Supersedes N1-059-94-43, item 85.

DispAuthNo: N1-059-11-03, item 5 **Date Edited:** 3/11/2013

A-11-017-06 Communications Security Inventory Records

Description: Contains logs and forms on communications security equipment to include, but not limited to, transmissions, transactions, inventory, destruction, change of custodian, possession, unit security officers and other related subjects.

Disposition: Temporary. Cut off at end of calendar year. Destroy one year after cutoff.

DispAuthNo: N1-059-11-03, item 6 **Date Edited:** 3/11/2013

A-11-017-07 Weekly Activity Reports Files- Arrange by Post

Description: Weekly Activity Reports on security received from posts covering current events, incidents, investigative statistics, projects, threats, and other related subjects.

Disposition: Temporary. Cut off file at end of calendar year. Destroy 1 year after cutoff. Supersedes N1-059-94-43, item 83.

DispAuthNo: N1-059-11-03, item 7 **Date Edited:** 3/11/2013

A-11-017-09 SmartPay Worldwide Purchase Card (Government Credit Card)

Description: Copies of monthly cardholder credit card statements and Designated Billing Official invoices, receipts, and related supporting documentation. Copies of reconciled/signed cardholder Monthly Credit Card Statements are maintained by both the Cardholder and Charleston (as the domestic finance office of DBO) and the FMO at each Post (for overseas records).

a. Transactions that exceed \$3,000

Disposition: TEMPORARY: Destroy when 6 years after payment or cancellation. (Supersedes GRS 6, item 1a).

DispAuthNo: GRS 1.1, item 010 **Date Edited:** 5/13/2015

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A-11-017-10	SmartPay Worldwide Purchase Card (Government Credit Card)
Description:	Copies of monthly cardholder credit card statements and Designated Billing Official invoices, receipts, and related supporting documentation. Copies of reconciled/signed cardholder Monthly Credit Card Statements are maintained by both the Cardholder and Charleston (as the domestic finance office of DBO) and the FMO at each Post (for overseas records). b. Transactions that under \$3,000
Disposition:	TEMPORARY: Destroy after GAO audit or when 3 (three) years old, whichever is sooner.
DispAuthNo:	N1-059-96-29, item 1
Date Edited:	3/11/2013
A-11-017-11	Inventory Requisition Files
Description:	Requisitions for supplies and equipment for current inventory. a. Stockroom copy
Disposition:	Temporary. Destroy when 3 years old or 3 years after superseded, as appropriate, but longer retention is authorized if required for business use. (Supersedes GRS 3, item 8a)
DispAuthNo:	GRS 5.4, Item 010
Date Edited:	3/13/2017
A-11-017-12	Inventory Files
Description:	Inventory lists
Disposition:	Temporary. Destroy when 3 years old or 3 years after superseded, as appropriate, but longer retention is authorized if required for business use. (Supersedes GRS 3, item 9a)
DispAuthNo:	GRS 5.4, Item 010
Date Edited:	3/13/2017
A-11-017-13	Classified Document Container Security Files
Description:	Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers
Disposition:	Temporary. Destroy when superseded or obsolete, but longer retention is authorized if required for business use. (Supersedes GRS 18, item 7a)
DispAuthNo:	GRS 4.2, Item 031
Date Edited:	3/9/2017

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A-11-017-14 Unclaimed Personal Property Records

Description: Records for property valued at \$500 or less.

Records accounting for non-Government, personally owned property lost, abandoned, unclaimed, or believed stolen on premises owned or leased by the Federal Government. Includes:

- lost-and-found logs and release forms
- loss statements
- receipts
- reports

Legal citation: 41 CFR 102-41.130

Disposition: Temporary. Destroy 30 days after the property is found, but longer retention is authorized if required for business use. (Supersedes GRS 18, item 15b)

DispAuthNo: DAA-GRS-2017-0006-0008 (G) **Date Edited:** 9/11/2017

A-11-017-15 Budget Estimates and Justifications

Description: Budget estimates and justifications prepared or consolidated by bureaus and their subordinate organizational units.

Disposition: Temporary. Destroy 3 years after close of fiscal year covered.

DispAuthNo: NC1-059-77-26, item 9 **Date Edited:** 3/11/2013

A-11-017-16 Budget Preparation Background Records

Description: Records held at all other offices. Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.

Disposition: Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use. (Supersedes GRS 5, item 2)

DispAuthNo: DAA-GRS-2015-0006-0006 (G) **Date Edited:** 1/18/2018

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A-11-017-17 Time and Attendance Records

Description: Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.

Includes forms such as OF 71, DS-7100; and DS-1216

Legal citation: 29 U.S.C. 516.5a

Disposition: Temporary. Destroy after GAO audit or when 3 years old, whichever is sooner. (Supersedes GRS 2, item 7)

DispAuthNo: DAA-GRS-2016-0015-0003 (G **Date Edited:** 9/11/2017

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Office of Special Programs and Coordination

A-11-018-01 Executive Secretariat Memorandums

Description: Copies of Executive Secretariat memorandums pertaining to the Department's request for the Department of Defense (DOD) assistance in the evacuation of U.S. embassies, the Deployment of special security forces to provide security for U.S. embassies, as well as assisting with DS security operations when required to provide security and protection to foreign heads of state in their own countries.

Disposition: Temporary. Destroy when 15 years old.

DispAuthNo: N1-059-10-19, item 1 **Date Edited:** 12/1/2014

A-11-018-02 DS Liaison Records (DSLNO)

Description: Consists of administrative records for each of the DS Special Agents assigned to the DOD Geographical Combatant Commands (GCC). These files contain the Memorandums of Agreement (MOA) assigning these DS Special Agents to each of the Commands, their Position Descriptions, and any other Administrative actions concerning their assignments.

Disposition: Temporary. Cutoff when assignment ends. Destroy 3 years after cutoff.

DispAuthNo: N1-059-10-19, item 2 **Date Edited:** 12/1/2014

A-11-018-03 Regional Survey Test (RST) Records

Description: Records used in DS sponsored program, funded by DOD which include coordination for security surveys, quarterly coordination requirements, and approval cables from U.S. Embassies, Consulates, and Consulate Generals as part of a program designed to assist with the updating of the Diplomatic facility's Emergency Action Plans (EAP).

Disposition: Temporary. Cut off annually. Destroy when superseded.

DispAuthNo: N1-059-10-19, item 3 **Date Edited:** 12/1/2014

A-11-018-04 Special Sporting Events Records

Description: Correspondence and cables on DS participation in support of special security programs during special sporting events Worldwide.

Disposition: Temporary. Destroy 10 years after event.

DispAuthNo: N1-059-10-19, item 4 **Date Edited:** 12/1/2014

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A-11-018-05 Special Program Files

Description: Copies of cables, emails, reports and memorandum, arranged by embassy, on special teams who previously supported Regional Security Officers (RSO) overseas.

Disposition: Temporary. Destroy 20 years after incident or when no longer needed, whichever is later.

DispAuthNo: N1-059-10-19, item 5 **Date Edited:** 12/1/2014

A-11-018-06 Security Assessment Reports

Description: Contains information on security survey of U.S. Embassies Overseas.

Disposition: Permanent. Cut off at end of calendar year. Retire to RSC 15 years after cutoff date for transfer to WNRC. Transfer to National Archives 25 years after cutoff date.

DispAuthNo: N1-059-10-19, item 6 **Date Edited:** 12/1/2014

A-11-018-07 U.S. Marine Corps - Security Guards - Arranged by Subject

Description: a. Program History File. Agreements, correspondence with the Commandant U.S. Marine Corps, memorandums, memorandums of agreement, memorandums of understanding, cables on the assignment of U.S. Marines at Foreign Service Posts around the world covering detachments, graduation programs, guard program, guards, guidelines, personnel, policies, requests for assistance, schools, security, and other related subjects.

Disposition: Permanent. Cut off at end of calendar year. Retire to RSC 15 years after cutoff date for transfer to WNRC. Transfer to National Archives 25 years after cutoff date. Supersedes N1-059-94-43, item 43

DispAuthNo: N1-059-10-19, item 7 **Date Edited:** 12/1/2014

A-11-018-08 U.S. Marine Corps - Security Guards - Arranged by Tags and Terms

Description: b. Administrative File. Administrative and operational correspondence on the assignment of U.S. Marines at Foreign Service Posts covering: advice of allotment, funding, inspection reports, payments, vehicles, and other related subjects.

Disposition: Temporary. Cut off at end of Fiscal Year. Destroy when 6 years, 3 months old. Supersedes N1-59-94-43, item 44

DispAuthNo: N1-059-10-19, item 8 **Date Edited:** 12/1/2014

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A-11-018-09	U.S. Marine Corps - Security Guards
Description:	c. Case File. Record of Marine Security Guard (DST-939) as evidence of security clearance on Marine Security Guards and other related subjects.
Disposition:	Temporary. Cut off at end of assignment. Destroy when 6 years or when obsolete whichever is later. Supersedes N1-59-94-43, item 45
DispAuthNo:	N1-059-10-19, item 9 Date Edited: 12/1/2014
A-11-018-10	OIG Inspection/Audit File – Arranged by Geographic Area
Description:	Copies of Office of Inspector General (OIG), security oversight, and audit reports; documents relating to tasking actions involving OIG report recommendations; and reports of coordinating actions and responses to OIG recommendations.
Disposition:	Temporary. Cut off file at end of each calendar years when case closed. Destroy 6 years, 3 months after action is closed by the OIG. Supersedes N1-59-95-43, item 59
DispAuthNo:	N1-059-10-19, item 10 Date Edited: 12/1/2014
A-11-018-11	Emergency Planning Program Files
Description:	Program files consist of records relating directly to Emergency Planning's specific mission, such as, briefing materials, cables, reports, publication of regulations and handbooks, meetings, general policy papers, correspondence, and other related documentation covering emergencies and evacuation plans.
Disposition:	Cut off file at end of each year. Destroy three years after cut off or when no longer needed, whichever is later. Supersedes N1-059-94-43, item 24
DispAuthNo:	N1-059-10-19, item 11 Date Edited: 12/1/2014
A-11-018-12	Post Emergency Action Plans (EAP) - [Crisis and Emergency Planning Application - CEPA]
Description:	The Crisis and Emergency Planning Application System is a Web-based application to assist posts in developing the Emergency Action Plan (EAP). CEPA facilitates the development, review, and approval of the mandatory Emergency Action Plans. The EAPs are living documents that are updated, maintained, and published using the application.
Disposition:	TEMPORARY. Destroy when replaced by a new plan. Supersedes N1-059-94-43, item 25
DispAuthNo:	N1-059-10-19, item 12 Date Edited: 12/1/2014

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Office of Overseas Protective Operations

A-11-019-01 Incident Reports

Description: Copies of reports on acts/omissions that might adversely affect safety or security e.g., hostile actions, attacks, bombings, injuries, deaths, and other such events.

Disposition: Temporary. Cutoff at end of calendar year. Retain in office. Destroy 10 years after cutoff.

DispAuthNo: DAA-0059-2011-0001-0001 **Date Edited:** 4/11/2013

A-11-019-02 Tracking and Control Records - Processing Roster

Description: Logs, registers, and other records used to control or document the status of individuals assigned to overseas posts including personal biographic information (to include personally identifiable information (PII), security clearance, Common Access Card (CAC), country clearance, passport, spot incident reports, adjustment data and other documents such as visa and review board denials. (No new records are added to this series; the functions were transferred to the High Threat Integrated Tracking System-HITS).

Disposition: Temporary. Series discontinued. Destroy all records in 2022.

DispAuthNo: DAA-0059-2011-0001-0002 **Date Edited:** 4/11/2013

A-11-019-03 Personal Data Checklist

Description: DS employee records on biographic information, resumes, itineraries, training, passports, visas, clearances, and qualification and biographic worksheets.

Disposition: Temporary. Cutoff after separation or transfer of employee. Destroy 1 year after cutoff.

DispAuthNo: DAA-0059-2011-0001-0003 **Date Edited:** 4/11/2013

A-11-019-04 Central Repository Files

Description: Consists of records to included but not limited to data adjustments, biographic information, resumes, incident reports, letters of authorization, historic files, monthly reports, Appendix Z activities, muster sheets; and other documents relating to personnel staffing and contractor compliance. Includes excel spreadsheets and electronic mail on task orders and visas.

Disposition: Temporary. Cutoff at end of calendar year. Retain in office. Destroy 10 years after cutoff.

DispAuthNo: DAA-0059-2011-0001-0004 **Date Edited:** 4/11/2013

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A-11-019-05 Program Standards and Policy Files

Description: Drafted security program standards and policy documents submitted to DS/MGT/PPD which lead to their publication in Foreign Affairs Manuals (FAM) and Foreign Affairs Handbook (FAH). These documents pertain to the OPO High Threat Protection, Local Guard, Residential Security and Surveillance Detection programs.

Disposition: Temporary. Cutoff when drafted documents are published. Destroy when no longer needed.

DispAuthNo: DAA-0059-2011-0001-0005 **Date Edited:** 4/11/2013

A-11-019-06 Surveillance Detection (SD) Operations Plans

Description: Records on Facility/Area Analysis studies for identification of vulnerabilities of the facility, the facility Red Zone (hostile surveillance area) and resulting (SD) positions and cover; and other documents such as maps, diagrams and photographs (as required).

Disposition: Temporary. Destroy when no longer needed or superseded.

DispAuthNo: DAA-0059-2011-0001-0006 **Date Edited:** 4/11/2013

A-11-019-07 Surveillance Detection (SD) Management Plans

Description: Records on organizational structure, equipment inventory procedures, annual budget, maintenance and replacement procedures, roles and mission, general orders, Standard Operating Procedures (SOPs) work schedules, written justification for funding requests.

Disposition: Temporary. Destroy when no longer needed or superseded

DispAuthNo: DAA-0059-2011-0001-0007 **Date Edited:** 4/11/2013

A-11-019-08 Program Assistance Visits

Description: Evaluation and assessment reports of local guard, residential security, surveillance detection, and high threat protection security program; of new equipment and protective security standards; and other documentation such as resource requirements and recommendations for correction and actions taken.

Disposition: Temporary. Cutoff at end of fiscal year. Destroy 7 years after cutoff.

DispAuthNo: DAA-0059-2011-0001-0008 **Date Edited:** 4/12/2013

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A-11-019-09	Program Management Review (PMR) Post Operations Checklist and Reports
Description:	Records on program reviews and post operation s checklist files relating to the four Office of Overseas Protective Operations (OPO) Security Programs to include: high threat protection, local guard residential security, and surveillance detection. In addition, reports on the final documents relating to the four Office of Overseas Protective Operations (OPO) Security Programs activities.
Disposition:	Temporary. Cutoff at end of fiscal year. Destroy 7 years after cutoff.
DispAuthNo:	DAA-0059-2011-0001-0009 Date Edited: 4/11/2013
A-11-019-10	DS/IP Policy/Program File
Description:	Ambassadorial and other high level dignitaries briefing materials to include: budget projections, general information, action and decision memorandums; and briefing material relating to the four Office of Overseas Protective Operations (OPO) Security Programs to include: high threat protection, local guard, residential security and surveillance detection.
Disposition:	Temporary. Cutoff file at end of fiscal year. Destroy 2 years cutoff.
DispAuthNo:	DAA-0059-2011-0001-0010 Date Edited: 4/11/2013
A-11-019-11	Training Activities File - Arranged by Activity Number within a Fiscal Year
Description:	Documents related to the implementation of specific training assistance, including but not limited to relevant emails and cables, participants rosters and itineraries, training provider task orders, training evaluation reports, program officer evaluation reports, escort reports, and incident reports.
Disposition:	Temporary. Cutoff at end of fiscal year. Destroy 5 years after cutoff.
DispAuthNo:	DAA-0059-2011-0001-0011 Date Edited: 4/11/2013
A-11-019-12	Post Folders - Local Guard and Residential Security - Arranged by Region/Posts
Description:	Correspondence, memorandums, reports, and telegrams on post security activities covering ambassador briefings, anti-terrorist assistance, buildings and ground, crimes, crisis management, emergency action committees, local guards, management inspections, post profile reports, protection, RSO travel, security committees and groups, surveys, technical security, terrorism, threats, U.S. Marines, and other related subjects such as: Cables and electronic mail for the Local Guards, Residential Security and Surveillance Detection and High Threat Protection Security Programs; and other miscellaneous documents relating to subject.
Disposition:	Temporary. Cutoff at end of fiscal year. Destroy when 3 years old. Supersedes N1-059-94-43; item 85:A-11-004-41
DispAuthNo:	DAA-0059-2011-0001-0012 Date Edited: 4/11/2013

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A-11-019-13	Budget Background Records
Description:	Costs statements, rough order of magnitude data estimates and similar materials accumulated in the preparation of annual budget estimates, including iterations of budget estimates and supporting justifications and related appropriation language sheets, narrative statements, and related schedules; and originating office's copies of reports submitted to bureau budget offices.
Disposition:	Temporary. Cutoff file at end of fiscal year. Destroy 3 years after the close of the fiscal year covered by the budget.
DispAuthNo:	DAA-0059-2011-0001-0013
	Date Edited: 4/11/2013
A-11-019-14	Routine Procurement and Contract Files
Description:	Copies of contracts, requisitions, purchase orders, leases, and bond and surety records and including but not limited to, related papers pertaining to award, administration, receipt, inspection and payment. a. Other copies
Disposition:	Temporary. Cutoff at closure of contract. Destroy one (1) year after termination or completion.
DispAuthNo:	DAA-0059-2011-0001-0014
	Date Edited: 4/11/2013
A-11-019-15a	High Threat Integrated Tracking System - HITS
Description:	Master Files: Security Contractor Personnel Vetting System. System incorporates multiple databases containing contractor biographies, security qualifications, individual training, awards and derogatory entries. Includes PII of U.S. and foreign security contractors.
Disposition:	Temporary. Cutoff when contract ends or employment terminated. Delete system data when 20 years old.
DispAuthNo:	DAA-0059-2011-0001-0015
	Date Edited: 4/11/2013

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A-11-019-15b Intermediary Records

Description: Input or source records for the High Threat Integrated Tracking System (HITS), created in the routine process of maintaining, updating, or using electronic information systems and which have no value beyond the input or output transaction. Records include:

- o hardcopy input source documents where all information on the document is incorporated in an electronic system
- o electronic input source records such as transaction files or intermediate input/output files

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:** 9/27/2017

A-11-019-15e High Threat Integrated Tracking System - HITS

Description: Systems Backups:

System Backups and Tape Library Records. backup tapes maintained for potential system restoration in the event of system failure or other unintentional loss of data.

Disposition: Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (Supersedes GRS 24, item 4a[1]).

DispAuthNo: GRS 3.2, item 040 **Date Edited:** 5/13/2015

A-11-019-15f High Threat Integrated Tracking System - HITS

Description: System Documentation:

Includes systems requirements, system design, and user guides.

Disposition: Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system. (Supersedes GRS 20, item 11a[1]).

DispAuthNo: GRS 3.1, item 051 **Date Edited:** 5/13/2015

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A-11-019-16 Congressional Correspondence Files

Description: Documents reflect Department testimonies and speeches, prepared press guidance, memos prepared for the Bureau on legislative action of interest, responses to congressional requests, legislative referral memos requesting the Department's views on pending legislation, testimonies of other agencies or bills proposed by other agencies and related correspondence.

Disposition: Temporary. Cutoff at end of fiscal year. Destroy when 2 years old.

DispAuthNo: N1-059-94-19, item 9 **Date Edited:** 4/11/2013

A-11-019-17 Classified Document Inventory Files

Description: Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in the schedule.

Disposition: Temporary. Destroy 2 years after last form entry, reply, or submission; or when associated documents are declassified or destroyed; or when authorization expires; whichever is appropriate. Longer retention is authorized if required for business use. (Supersedes GRS 18, item 4)

DispAuthNo: GRS 4.2, Item 030 **Date Edited:** 3/9/2017

A-11-019-18 Top Secret Accounting and Control Files

Description: a. Registers maintained at control points to indicate accountability of Top Secret documents, reflecting the receipt, storage, dispatch, or destruction of the documents. Also included are OF-123 Forms, Top Secret Document Inventory Record, and OF-119 Forms, and Records of Material Removed for Overnight Custody.

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 18, item 5a)

DispAuthNo: GRS 4.2, Item 040 **Date Edited:** 3/9/2017

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A-11-019-19 **Top Secret Accounting and Control Files**

Description: a. Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data. Includes OF-115, Top Secret Cover Sheets, and OF-112 Forms, and Classified Material Receipts.

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 18, item 5b)

DispAuthNo: GRS 4.2, Item 040

Date Edited: 3/9/2017

A-11-019-20 **Classified Document Container Security Files**

Description: a. Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers.

Disposition: Temporary. Destroy when superseded or obsolete, but longer retention is authorized if required for business use. (Supersedes GRS 18, item 7a)

DispAuthNo: GRS 4.2, Item 031

Date Edited: 3/9/2017

A-11-019-21 **Classified Document Container Security Files**

Description: b. Forms placed on safes, cabinets, or vaults containing security classified documents that record opening, closing, and routine checking of the security of the container, such as locking doors and windows, and activating alarms. Included are such forms as SF 701, Activity Security Checklist, and SF 702, Security Container Checklist Sheet.

Disposition: Temporary. Destroy 90 days after last entry on form, but longer retention is authorized if required for business use. (Supersedes GRS 18, item 7b)

DispAuthNo: GRS 4.2, Item 032

Date Edited: 3/9/2017

A-11-019-22 **Security Violations Files**

Description: b. All other files, exclusive of documents placed in official personnel files.

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 18, Item 24b)

DispAuthNo: GRS 4.2, Item 040

Date Edited: 4/7/2017

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A-11-019-23 Contract Task Orders

Description: Statements of Work, contract modifications, cost analysis and Task Order Management Plans (TOMP). Files also serve as Contracting Officers Representative (COR) file.

Disposition: Temporary. Destroy 6 years after final payment or cancellation. (Supersedes GRS 3, item 5a).

DispAuthNo: GRS 1.1, item 010 **Date Edited:** 5/13/2015

A-11-019-24 Tracking and Control Records

Description: Logs, registers, and other records used to control or document the status of correspondence, and other records on local guards, residential security, surveillance detection and high threat protection security programs, finance, contracting information and other documentation such as new contract awards that are authorized for destruction by the GRS or NARA-approved SF 115.

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

DispAuthNo: GRS 4.1, Item 010 **Date Edited:** 3/9/2017

A-11-019-25 Motor Vehicle Correspondence Files

Description: Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.

Disposition: Temporary. Destroy when 3 years old or 3 years after superseded, as appropriate, but longer retention is authorized if required for business use. (Supersedes GRS 10, item 1)

DispAuthNo: GRS 5.4, Item 010 **Date Edited:** 3/9/2017

A-11-019-26 Time and Attendance Records

Description: Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.

Includes forms such as OF 71, DS-7100; and DS-1216

Legal citation: 29 U.S.C. 516.5a

Disposition: Temporary. Destroy after GAO audit or when 3 years old, whichever is sooner. (Supersedes GRS 2, item 7)

DispAuthNo: DAA-GRS-2016-0015-0003 (G **Date Edited:** 9/11/2017

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A-11-019-27 Correspondence/Working Files

Description: Reference copies of memorandums, letters, official correspondence, power point presentations, briefings on program, excel spreadsheets, cost estimates, word documents on awards, copies of action memorandums, and other electronic records used solely for reference purposes. (Official copy retain in subordinate office(s)).

Disposition: Temporary. Cutoff at end of fiscal year. Destroy 3 years after cutoff.

DispAuthNo: Non-Record

Date Edited: 4/11/2013

A-11-019-28 Reference Files - Arranged by Posts

Description: Files contain copies of budget cables, financial plans, recoveries, cables on policy, procedures and issues, post specific issues, reference materials, Foreign Affairs Handbook (FAH), Advice of allotment (AOA), Program Management Review (PMR), ICASS and other documents used solely for reference purposes. (Official coy retained in subordinate office(s)).

Disposition: Temporary. Destroy when no longer needed

DispAuthNo: Non-Record

Date Edited: 4/11/2013

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Threat Investigations and Analysis Directorate - Front Office

A-11-020-01 Program and Policy Files

Description: The files include documents related to the feasibility and establishment of the Directorate including an action memorandum related to an impact assessment on the new Directorate. Files also contain information that documents the day-to-day decisions and policies of the organization and includes reports, memoranda, and e-mails.

Disposition: PERMANENT. Cutoff at the end of the calendar year. Retain in office area for 5 years and retire to Records Service Center. Transfer to the National Archives when 25 years old in a format acceptable at that time.

DispAuthNo: N1-059-10-23, item 1 **Date Edited:** 9/8/2011

A-11-020-02 Project Planning Files

Description: Files contain administrative project planning records, implementation schedules, etc., related to a variety of evolving DSS/TIA projects.

Disposition: TEMPORARY. Cutoff after project is completed. Retain 5 years after project is completed and then destroy/delete.

DispAuthNo: N1-059-10-23, item 2 **Date Edited:** 9/8/2011

A-11-020-03 Subject Files

Description: Files consist of copies of action items approved by the Director and forwarded to designees such as the Secretary and Assistant Secretary. Contains threat assessments, investigative reports, agency-to-agency memorandums of understanding, and IT inventory requests. Filed by subject and office. Record copy is maintained by action office.

Disposition: TEMPORARY. Retain for 5 years and then destroy/delete

DispAuthNo: N1-059-10-23, item 3 **Date Edited:** 9/8/2011

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Office of Intelligence and Threat Analysis

A-11-021-01 Regional/Geographic Threat Assessments (WHA, NEA, EUR, AF and SCA)

Description: Contains material related to responses to requests for threat assessments against Americans, U.S. diplomatic and consular personnel and facilities overseas. Conduct real-time threat assessment to support operational and policy decision making and conducts trend analyses and case studies of acts of terrorism, political violence, and crime. Email reports are produced and disseminated to requesters only and copies are produced in cable form for storage in the State Archiving System (SAS).

Disposition: TEMPORARY. Destroy/delete when 5 years old or when no longer needed whichever is longer.

DispAuthNo: N1-059-10-24, item 1 **Date Edited:** 9/8/2011

A-11-021-02 Security Environment Threat List

Description: Contains Composite Threat List, which reflects categories of security threat. Lists are prepared twice annually and distributed via cable to requester and State Archiving System (SAS).

Disposition: TEMPORARY. Destroy/delete when 20 years old.

DispAuthNo: N1-059-10-24, item 2 **Date Edited:** 9/8/2011

A-11-021-03 Annual Report on Political Violence Against Americans

Description: One copy of each publication dealing with a comprehensive picture of the broad spectrum of political violence that American citizens and interests have encountered abroad on an annual basis.

Disposition: PERMANENT. Cutoff at end of calendar year. Retire in 10-year blocks to RSC. Transfer 10-year blocks to the National Archives when 25 years old. supersedes N1-059-92-19, item 2a.

DispAuthNo: N1-059-10-24, item 3 **Date Edited:** 9/8/2011

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A-11-021-04 Time and Attendance Records

Description: Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.

Includes forms such as OF 71, DS-7100; and DS-1216

Legal citation: 29 U.S.C. 516.5a

Disposition: Temporary. Destroy after GAO audit or when 3 years old, whichever is sooner. (Supersedes GRS 2, item 6a; GRS 2, item 6b; and GRS 2, item 7)

DispAuthNo: DAA-GRS-2016-0015-0003 (G **Date Edited:** 9/11/2017

A-11-021-06a Motor Vehicle Operation and Maintenance Files

Description: a. Operating records including those relating to gas and oil consumption, dispatching, and scheduling.

Disposition: Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. Transfer of extant records to new owner at sale or donation is authorized. (Supersedes GRS 10, item 2a)

DispAuthNo: GRS 5.4, Item 090 **Date Edited:** 3/10/2017

A-11-021-06b Motor Vehicle Operation and Maintenance Files

Description: b. Maintenance records including those relating to service and repair.

Disposition: Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. Transfer of extant records to new owner at sale or donation is authorized. (Supersedes GRS 10, item 2b)

DispAuthNo: GRS 5.4, Item 090 **Date Edited:** 3/10/2017

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A-11-021-07a	Security Incident Management Analysis System (SIMAS)
Description:	a. Master File SIMAS is a system application which allows users to enter and analyze surveillance and crime related information collected by government and foreign service personnel at U.S. Government facilities worldwide. SIMAS enables DoS staff to determine patterns of security incidents, share information with other posts, and enable Regional Security Officers (RSOs) to implement and manage counter-measures and analysis programs. Data captured includes descriptive information about suspects, vehicles, objects, criminals, and incidents/activities.
Disposition:	TEMPORARY. Delete/destroy master file data 25 years after incident or when no longer needed for security purposes, whichever is later.
DispAuthNo:	N1-059-09-18, item 1a Date Edited: 7/30/2013
A-11-021-07b	Intermediary Records
Description:	Security Incident Management Analysis System (SIMAS) hard copy and electronic input documents or forms designed and used solely to create update or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in NARA-approved agency records schedule. Also includes adhoc reports output for reference purposes or to meet day-to-day business needs.
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: 9/27/2017
A-11-021-07f	Security Incident Management Analysis System (SIMAS)
Description:	f. System Backups System backups and Tape Library Records. Backup tapes maintained for potential system restoration in the event of system failure or other unintentional loss of data.
Disposition:	TEMPORARY. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (Supersedes GRS 24, item 4a[1]).
DispAuthNo:	GRS 3.2, item 040 Date Edited: 5/13/2015

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A-11-021-07g **Security Incident Management Analysis System (SIMAS)**

Description: g. System Documentation

Includes systems requirements, system design, and user guides.

Disposition: TEMPORARY. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system. (Supersedes GRS 20, item 11a[1]).

DispAuthNo: GRS 3.1, item 051

Date Edited: 5/13/2015

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Command Center

A-11-022-01 Spot Reports

Description: File contains reports processed as to provide information that is an up-to-the-minute snapshot of what is going on domestically and overseas. Reports are produced to advise the Secretary of State and other officials of threats and incidents and are used as a trend and analysis tool for ITA.

Disposition: TEMPORARY. Destroy/delete when 10 years old or when no longer needed, whichever is sooner.

DispAuthNo: N1-059-10-25, item 1

Date Edited: 6/23/2011

A-11-022-02 Diplomatic Security Daily

Description: Consists of a culmination of information prepared by multiple DS offices and produced by the Command Center on a daily basis, Monday - Friday. Reports are classified and are edited and maintained electronically in cable form minus pictures and other graphics in PDF format.

Disposition: TEMPORARY. Destroy/delete when 30 years old.

DispAuthNo: N1-059-10-25, item 2

Date Edited: 6/23/2011

A-11-022-03 SmartPay Worldwide Purchase Card (Government Credit Card) Files - Arranged by fiscal year

Description: Copies of monthly credit card statements, receipts, and related documentation.

NOTE: Signed original of Monthly Credit Card Statement is maintained by the Office of Finance for 6 years and 3 months (GRS 6, item 1a). Supersedes the International Merchant Purchase Authorization Card (I.M.P.A.C.) program.

Disposition: TEMPORARY: Destroy after GAO audit or when 3 years old, whichever is sooner.

DispAuthNo: N1-059-96-29, item 1

Date Edited: 6/23/2011

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A-11-022-04 Time and Attendance Records

Description: Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.

Includes forms such as OF 71, DS-7100; and DS-1216

Legal citation: 29 U.S.C. 516.5a

Disposition: Temporary. Destroy after GAO audit or when 3 years old, whichever is sooner. (Supersedes Supersedes GRS 2, item 6a; GRS 2, item 6b; and GRS 2, item 7)

DispAuthNo: DAA-GRS-2016-0015-0003 (G **Date Edited:** 9/11/2017

A-11-022-05 Motor Vehicle Operation and Maintenance Files

Description: Includes operating records such as those relating to gas and oil consumption, dispatching, and scheduling. Also includes maintenance records such as those relating to service and repair.

Disposition: Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. Transfer of extant records to new owner at sale or donation is authorized. (Supersedes GRS 10, item 2a and GRS 10, item 2b)

DispAuthNo: GRS 5.4, Item 090 **Date Edited:** 9/11/2017

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Rewards for Justice Program

A-11-023-01 Rewards for Justice Counter-Terrorism Information Files

Description: Files may contain original memos from USG federal agencies nominating sources, Action Memoranda, Backgrounders (containing Interagency Rewards Committee (IRC) recommendation and vote outcome for the Secretary of State's approval), minutes from IRC meetings, letters to the Attorney General for his/her concurrence, Reward Program Participant (RPP) receipts, reports to Congress, and any additional correspondence with the source or nominating agency. Arrange files according to the year the RPP was first nominated and the sequence in which the RPP was first brought to the attention of the RFJ program, i.e., Rewards Program Participant 10-01 denotes the year 2010 and the first source of the year. Arranged by fiscal year.

Case Files

Disposition: PERMANENT. Retain in office. Transfer to National Archives 25 years after case is closed. (Supersedes NARA job number N1-059-94-43, item 78 and N1-059-94-43, items 76a, 76b, and 76c).

DispAuthNo: N1-059-10-26, item 1

Date Edited: 11/7/2011

A-11-023-02 Rewards for Justice (RFJ) Files for Terrorists Who Are Added or Removed from the RFJ Most Wanted List

Description: Files may contain the original request from USG agencies requesting the addition or removal of a terrorist from the RFJ Programs Most Wanted List and, e-mails pertaining to the same subject, Action Memoranda, Backgrounders, and any related intelligence reports pertaining to the same issue. Arrange files by calendar year and then alphabetically within each year.

Case Files

Disposition: PERMANENT. Retain in office. Transfer to National Archives 25 years after case is closed. (Supersedes N1-059-94-43, items 76a, 76b, and 76c(2)).

DispAuthNo: N1-059-10-26, item 2

Date Edited: 11/7/2011

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A-11-023-03a(1)	Publicity Material
Description:	Contains posters, brochures, matchbooks/matchboxes, CDs, DVDs, and other hardcopy items used to promote the RFJ Program. a. Posters, brochures, and other hardcopy items. (1) Record Set - Contains copy of each poster, brochure, and printed artwork for non-standard publicity or promotional materials (e.g. matchbooks/match boxes, etc.) or other hardcopy items.
Disposition:	PERMANENT: Cutoff annually by fiscal year. Retain copies of publicity materials as needed. Retire 2 copies of each promotional material to RSC at the end of each fiscal year. Transfer to National Archives in 5 year blocks when 5 years old and in a format acceptable to National Archives at the time of transfer. (Supersedes N1-059-94-43, item 79a (1)).
DispAuthNo:	N1-059-10-26, item 3a(1) Date Edited: 11/10/2011
A-11-023-03a(2)	Publicity Material
Description:	Contains posters, brochures, matchbooks/matchboxes, CDs, DVDs, and other hardcopy items used to promote the RFJ Program. a. Posters, brochures, and other hardcopy items. (2) Rewards for Justice Office Copy
Disposition:	TEMPORARY: Maintain one set in the RFJ storage room in designated RFJ historical media portfolios (large black cases). Retain until no longer needed for reference and destroy.
DispAuthNo:	Non-Record Date Edited: 11/10/2011
A-11-023-03a(3)	Publicity Material
Description:	Contains posters, brochures, matchbooks/matchboxes, CDs, DVDs, and other hardcopy items used to promote the RFJ Program. a. Posters, brochures, and other hardcopy items. (3) Diplomatic Security's Public Affairs Office (DS/PA) Copy
Disposition:	TEMPORARY. Provide one set to DS/PA for their retention.
DispAuthNo:	Non-Record Date Edited: 11/10/2011

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A-11-023-03a(4)	Publicity Material
Description:	Contains posters, brochures, matchbooks/matchboxes, CDs, DVDs, and other hardcopy items used to promote the RFJ Program. a. Posters, brochures, and other hardcopy items. (4) All other copies
Disposition:	TEMPORARY. Destroy when no longer needed. (Supersedes N1-059-94-43, item 79a (2)).
DispAuthNo:	Non-Record
Date Edited: 11/10/2011	

A-11-023-04b(1)a	Audio-Visual Materials
Description:	(1) English language version of audio and video productions a. One copy in a professional audio-visual format.
Disposition:	PERMANENT. Cutoff annually by fiscal year. Retain copies of audio-visual materials as needed. Transfer one copy of each A/V production to the National Archives when 5 years old in a format acceptable at the time of transfer. (Supersedes N1-059-94-43, item 79b (1) (a)).
DispAuthNo:	N1-059-10-26, item 4b(1)(a)
Date Edited: 11/10/2011	

A-11-023-04b(1)b	Audio-Visual Materials
Description:	(1) English language version of audio and video productions b. Rewards for Justice Office Copy
Disposition:	TEMPORARY. Maintain one set in the RFJ storage room in CD and DVD case. Destroy when no longer needed.
DispAuthNo:	Non-Record
Date Edited: 11/10/2011	

A-11-023-04b(1)c	Audio-Visual Materials
Description:	(1) English language version of audio and video productions c. Diplomatic Security's Public Affairs Office (DS/PA) Copy
Disposition:	TEMPORARY. Provide one set to DS/PA for their retention.
DispAuthNo:	Non-Record
Date Edited: 11/10/2011	

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A-11-023-04b(1)d Audio-Visual Materials

Description: (1) English language version of audio and video productions

 d. All other copies

Disposition: TEMPORARY. Destroy when no longer needed. (Supersedes N1-059-94-43, item 79b(2)).

DispAuthNo: Non-Record

Date Edited: 11/10/2011

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Overseas Security Advisory Council

A-11-024-01 Overseas Security Advisory Council (OSAC) Website (www.osac.gov)

Description: The OSAC website is operated and maintained by the State Department's Bureau of Diplomatic Security, Chief Technology Office. Established in 2005, the current website was significantly enhanced to incorporate state of the art technology and constituent feedback. It is the focal point for the exchange of unclassified information between the U.S. Government and the private sector on security-related incidents and threats overseas.

Disposition: N/A

DispAuthNo: N/A

Date Edited: 6/22/2011

A-11-024-01a Overseas Security Advisory Council (OSAC) Website (www.osac.gov)

Description: a. Content Records

Information accessible from the website include Department of State Travel Warnings and Public Announcements; daily security related news articles; overseas reports on security and crime incidents; terrorist group profiles; timely presentation on current vulnerability, threats, terrorist attacks, and other incidents; general crime information for cities and countries; locations and contacts at U.S. posts overseas; and updates on new or unusual situations. Recent expansion includes cyber threat information, critical incident reporting, and specific traveler information. The critical incident reporting section is interactive for constituents to post incidents and query the database.

Disposition: Temporary. Delete content when superseded by new or updated information.

DispAuthNo: N1-059-10-27, item 1a

Date Edited: 6/22/2011

A-11-024-01b Overseas Security Advisory Council (OSAC) Website (www.osac.gov)

Description: b. Management and Operations Records

Contains records documenting web site operations and maintenance may include such things as web site design documents, management policies and procedures, software-related records, and access logs, site posting logs, search result statistics, and other activity reporting.

Disposition: Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system. (Supersedes GRS 20, item 11a[1]).

DispAuthNo: GRS 3.1, item 051

Date Edited: 5/13/2015

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A-11-024-02 Overseas Security Advisory Council (OSAC) File

Description: File contains correspondence, memorandums, telegrams and publications on overseas security problems covering businesses, business information, charter of OSAC, classified information, coordination, corporations, council members, emergency planning, enterprises, exchange of information facilities families, liaison, meetings other agencies personnel, private, organizations private sector, programs protective security, questionnaires, security awareness, and other related subjects.

Disposition: N/A

DispAuthNo: N/A

Date Edited: 6/22/2011

A-11-024-02a Overseas Security Advisory Council (OSAC) File

Description: a. Records documenting the accomplishments of OSAC maintained by Department as OSAC chair. Records relating to: establishment, organization, membership, and policy of OSAC; and records created by OSAC: council agenda and minutes, final reports, monthly activity reports, and related records documenting the accomplishments of OSAC maintained by Department as OSAC chair.

Disposition: Permanent. Cutoff at the end of the calendar year. Retire to Records Service Center (RSC) 3 years after cutoff date for transfer to WNRC. Transfer to National Archives 30 years after cutoff date.

DispAuthNo: N1-059-94-43, item 86a

Date Edited: 6/22/2011

A-11-024-02b Overseas Security Advisory Council (OSAC) File

Description: b. All other OSAC records

Disposition: Destroy 3 years after cutoff date or when no longer needed for reference, whichever is sooner.

DispAuthNo: N1-059-94-43, item 86b

Date Edited: 6/22/2011

A-11-024-03 SmartPay Worldwide Purchase Card (Government Credit Card) Files - Arranged by fiscal year

Description: Copies of monthly credit card statements, receipts, and related documentation.

NOTE: Signed original of Monthly Credit Card Statement is maintained by the Office of Finance for 6 years and 3 months (GRS 6, item 1a). Supersedes the International Merchant Purchase Authorization Card (I.M.P.A.C.) program.

Disposition: TEMPORARY: Destroy after GAO audit or when 3 years old, whichever is sooner.

DispAuthNo: N1-059-96-29, item 1

Date Edited: 6/22/2011

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A-11-024-04a	Motor Vehicle Operation and Maintenance Files
Description:	a. Operating records including those relating to gas and oil consumption, dispatching, and scheduling.
Disposition:	Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. Transfer of extant records to new owner at sale or donation is authorized. (Supersedes GRS 10, item 2a)
DispAuthNo:	GRS 5.4, Item 090
	Date Edited: 3/10/2017

A-11-024-04b	Motor Vehicle Operation and Maintenance Files
Description:	b. Maintenance records, including those relating to service and repair.
Disposition:	Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. Transfer of extant records to new owner at sale or donation is authorized. (Supersedes GRS 10, item 2b)
DispAuthNo:	GRS 5.4, Item 090
	Date Edited: 3/10/2017

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Office of Protective Intelligence Investigations

A-11-025-01a **Threat - Case Files - Contains correspondence, reports and other documentation on terrorist, criminal, and other specific threats or actions taken against individuals or property. Arranged by country.**

Description: a. Cases concerning diplomats, American citizens, Department personnel or families, Department facilities or property, and cases of an unusual nature.

Disposition: PERMANENT. Retire to the Records Service Center (RSC) when no longer needed for use in the office. Transfer to the Washington National Record Center 1 year after received by the RSC. Transfer to the National Archives when 25 years old in a format acceptable at that time.

DispAuthNo: NC-059-75-02, item 1a **Date Edited:** 6/23/2011

A-11-025-01b **Threat - Case Files - Contains correspondence, reports and other documentation on terrorist, criminal, and other specific threats or actions taken against individuals or property. Arranged by country.**

Description: b. All other cases.

Disposition: Destroy/delete when 10 years old.

DispAuthNo: NC-059-75-02, item 1b **Date Edited:** 6/23/2011

A-11-025-02 **United Nations General Assembly (UNGA) Planning and Preparation Program File**

Description: Correspondence, memorandums, telegrams and other documentation on administrative planning and preparations for UNGA protective operations covering contracts, equipment, hotels, locator lists, protective detail assignments, support agents, and other related subjects. Arranged by TAGS and Terms.

Disposition: TEMPORARY. Cut off at end of each calendar year. Destroy/delete 3 years after cutoff date.

DispAuthNo: N1-059-94-43, item 88 **Date Edited:** 6/23/2011

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A-11-025-03 Time and Attendance Records

Description: Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.

Includes forms such as OF 71, DS-7100; and DS-1216

Legal citation: 29 U.S.C. 516.5a

Disposition: Temporary. Destroy after GAO audit or when 3 years old, whichever is sooner. (Supersedes GRS 2, item 6a; GRS 2, item 6b; and GRS 2, item 7)

DispAuthNo: DAA-GRS-2016-0015-0003 (G **Date Edited:** 9/11/2017

A-11-025-05a Motor Vehicle Operation and Maintenance Files

Description: a. Operating records including those relating to gas and oil consumption, dispatching, and scheduling.

Disposition: Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. Transfer of extant records to new owner at sale or donation is authorized. (Supersedes GRS 10, item 2a)

DispAuthNo: GRS 5.4, Item 090 **Date Edited:** 3/10/2017

A-11-025-05b Motor Vehicle Operation and Maintenance Files

Description: b. Maintenance records, including those relating to service and repair.

Disposition: Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. Transfer of extant records to new owner at sale or donation is authorized. (Supersedes GRS 10, item 2b)

DispAuthNo: GRS 5.4, Item 090 **Date Edited:** 3/10/2017

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Office of Security Infrastructure - Front Office

A-11-026-01 Tracking and Control Records

Description: Logs, registers, and other records, regardless of media, used to control or document the status of correspondence, reports, and other records authorized for destruction. Included are correspondence control forms, routing slips, job control records and other similar records used solely to control work flow.

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

DispAuthNo: GRS 4.1, Item 010 **Date Edited:** 3/9/2017

A-11-026-02 Time and Attendance Records

Description: Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.

Includes forms such as OF 71, DS-7100, and DS-1216

Legal citation: 29 U.S.C. 516.5a

Disposition: Temporary. Destroy after GAO audit or when 3 years old, whichever is sooner. (Supersedes GRS 2, item 6a; GRS 2, item 6b; and GRS 2, item 7)

DispAuthNo: DAA-GRS-2016-0015-0003 (G **Date Edited:** 9/11/2017

A-11-026-05 Financial Management and Reporting Administrative Records

Description: Records related to managing financial activities (i.e. commercial and non-commercial travel and transportation) and reporting. Records include:

- correspondence
- subject files
- feeder reports
- workload management and assignment records

Disposition: Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use. (Supersedes GRS 9, item 4a)

DispAuthNo: DAA-GRS-2016-0013-0001 (G **Date Edited:** 10/4/2017

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A-11-026-06 Mail, Printing, and Telecommunication Services Control Records

Description: Accountability records documenting the issue or receipt of accountable documents.

Exclusion 1: United States Postal Service records tracking shipment, etc. (first bullet) and reports of loss, etc. (third bullet). USPS must schedule these separately.

Exclusion 2: Requisitions used to support payment vouchers (GRS 1.1, item 010 covers these)

Exclusion 3: Mailing lists for public distribution of material (GRS 6.5, item 020 covers these)

Disposition: Temporary. Destroy when 1 year old or when superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use. (Supersedes GRS 9, item 4b)

DispAuthNo: DAA-GRS-2016-0012-0002 (G) **Date Edited:** 10/4/2017

A-11-026-07 Supervisors' Personnel Files

Description: Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.

Exclusion 1: Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records.

Exclusion 2: Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.

Disposition: Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer. (Supersedes GRS 1, item 18a and GRS 1, item 18b)

DispAuthNo: DAA-GRS-2017-0007-0012 (G) **Date Edited:** 9/1/2017

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A-11-026-08 Budget Preparation Background Records

Description: Records held at all other offices. Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.

Disposition: Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use. (Supersedes GRS 5, item 2)

DispAuthNo: DAA-GRS-2015-0006-0006 (G **Date Edited:** 1/18/2018

A-11-026-09 Budget Estimates and Justifications

Description: Budget estimates and justifications prepared or consolidated by bureaus and their subordinate organizational units.

Disposition: Temporary. Destroy 3 years after close of fiscal year covered.

DispAuthNo: NC1-059-77-26, item 9 **Date Edited:** 3/30/2007

A-11-026-10 Financial Plans

Description: Financial plans and related worksheets, reports and communications.

Disposition: Temporary. Destroy 3 years after close of fiscal year in which prepared.

DispAuthNo: NC1-059-77-26, item 11 **Date Edited:** 3/30/2007

A-11-026-11 Chron Files

Description: Copies of all correspondence approved and signed by the Director. Includes special studies, internal instructions and reports. (Official copy retained in subordinate office(s)).

Disposition: Temporary. Destroy material when no longer needed for reference or after 3 years old.

DispAuthNo: Non-Record **Date Edited:** 3/30/2007

A-11-026-12 Congressional Inquiries

Description: Reference copies of records regardless of media of all incoming and outgoing congressional taskers, and action office responses on security clearances inquiries. Documents used solely for reference purposes. (Official copy retained in subordinate office(s)).

Disposition: Temporary. Destroy after 2 years old or no longer needed.

DispAuthNo: Non-Record **Date Edited:** 3/30/2007

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A-11-026-13 Award Files

Description: Reference copies of electronic records of awards, nominations, correspondence, reports and other related incentive awards. Documents used solely for reference purposes. (Official copy retained in subordinate office(s)).

Disposition: Temporary. Maintain until no longer needed.

DispAuthNo: Non-Record

Date Edited: 3/30/2007

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Personnel Security/Suitability Division

A-11-027-01a DOS Clearance System

Description: The DOS Clearance System (DOSC) is the personnel security and suitability processing system and archive. The DOSC contains the security and suitability case files with their associated forms, reports, analysis, memoranda, worksheets, authorizations, etc. It tracks the various processing steps and activities involved with investigations and the determinations made regarding security clearances, public trust certifications and suitability. The system covers the entire process and interfaces with other external databases for information.

See individual items related to master case files.

Disposition: N/A

DispAuthNo: N/A

Date Edited: 4/15/2010

A-11-027-01a(1) Other Agency Investigations - Master Case files

Description: Documentation on Department Investigations, requested by other agencies, covering security and other related subjects.

(Supersedes NC1-59-77-05, item 1 (A-11-004-11))

Disposition: Temporary. Destroy 1 year after case is closed

DispAuthNo: N1-059-08-18, item 1a(1)

Date Edited: 4/15/2010

A-11-027-01a(2) Contractor Security - Master Case File

Description: Documentation on contractor investigations covering clearances, security, and other related subjects.

(Supersedes N1-059-94-43, item 80 (A-11-004-30))

Disposition: Temporary. Destroy 7 years after separation from contract supporting Department of State.

DispAuthNo: N1-059-08-18, item 1a(2)

Date Edited: 4/15/2010

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A-11-027-01a(3) **Visitor Security - Master Case File**

Description: Contains information on contractors by company and contract number, and personal identifiers. Systems records level of clearance, building access, hours of access and escort privileges.

Disposition: Temporary. Destroy/delete 1 year after end of visit.

DispAuthNo: N1-059-08-18, item 1a(3) **Date Edited:** 4/15/2010

A-11-027-01a(4) **Department of State Personnel Security Master Case File**

Description: Applicant Files

(1) Security Clearance granted.

[Supersedes N1-059-94-43, item 81b (1) (A-11-004-31(b))]

Disposition: Temporary. If not hired, destroy when 7 years old. If hired, transfer to employee files.

DispAuthNo: N1-059-08-18, item 1a(4) **Date Edited:** 4/15/2010

A-11-027-01a(5) **Department of State Personnel Security Master Case File**

Description: Applicant Files

(2) Security Clearance or other requested access NOT granted.

[Supersedes N1-059-94-43, item 81b(2) (A-11-004-31b(2))]

Disposition: Temporary. Destroy when 7 years old.

DispAuthNo: N1-059-08-18, item 1a(5) **Date Edited:** 4/15/2010

A-11-027-01a(6) **Department of State Personnel Security Master Case File**

Description: Employee Files

(1) Top Echelon Files, including Secretaries of State and VIPs.

Note: Recordkeeping copy limited to paper.

[Supersedes N1-059-94-43, item 81c(1) (A-11004-31c(1))]

Disposition: Permanent. Retire 5 years after separation or closure of file. Transfer to National Archives when 25 years old.

DispAuthNo: N1-059-08-18, item 1a(6) **Date Edited:** 4/15/2010

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A-11-027-01a(7)	Department of State Personnel Security Master Case File Employee Files		
Description:	(2) Historical Files. Cases that reflect distinctive department activities, attract media or Congressional interest, or are otherwise historically significant. Note: Recordkeeping copy limited to paper. [Supersedes N1-059-94-43, item 81c (2) (A-11-004-31c)]		
Disposition:	Permanent. Designate as permanent at time the case takes on significance. Retire 5 years after separation or closure of file. Transfer to the National Archives when 25 years old.		
DispAuthNo:	N1-059-08-18, item 1a(7)	Date Edited:	4/15/2010
A-11-027-01a(8)	Department of State Personnel Security Master Case File		
Description:	Employee Files (2) All other case files. [Supersedes N1-059-94-43, item 81c (3) (A-11-004-31c)]		
Disposition:	Temporary. Retire to Records Service Center 5 years after separation or immediately upon quality control check of scan. Destroy 20 years after separation.		
DispAuthNo:	N1-059-08-18, item 1a(8)	Date Edited:	4/15/2010
A-11-027-01b	Intermediary Records		
Description:	DOS Clearance System records including hard copy documents or forms and electronic records entered into the system during the process, and electronic records received from another agency. Additionally, records include adhoc reports for reference purposes.		
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:	9/27/2017

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A-11-027-01d **DOS Clearance System**

Description: d. System Documentation.

Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium).

Disposition: PERMANENT. Transfer to the National Archives with the permanent electronic records to which the documentation relates. (Supersedes GRS 20, item 11a[2]).

DispAuthNo: GRS 3.1, item 050

Date Edited: 5/14/2015

A-11-027-01e **DOS Clearance System**

Description: e. System Backups

Electronic copy of the master file retained in case the master file or database is damaged or inadvertently erased

Disposition: Temporary. Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by the National Archives. (Supersedes GRS 20, item 81).

DispAuthNo: GRS 3.2, item 050

Date Edited: 5/14/2015

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A-11-027-02 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: <ul style="list-style-type: none">• 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 <p>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.</p> <p>Note 1: This item covers administrative policies and procedures at the office/unit level. GRS 5.7 covers agency-level administrative issuances or directives.</p>		
Disposition:	Temporary. Destroy when business use ceases. (Supersedes GRS 23, item 1)		
DispAuthNo:	DAA-GRS-2016-0016-0001 (G	Date Edited:	9/21/2017

A-11-027-03 Contractors Payment Records

Description:	Consists of electronic records documenting and supporting financial transactions, money received, money paid, deposited, certified payment or collection in the course of office operations.		
Disposition:	Temporary. Destroy 6 years after final payment or cancellation. (Supersedes GRS 3, item 3a[1][a]).		
DispAuthNo:	GRS 1.1, item 010	Date Edited:	5/14/2015

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A-11-027-04	Department of State Personnel Security Program Policy and General Subject Files
Description:	Records relating to program management, policy making, and overall supervision of the personnel security function in the Department of State as well as specific security issues and matters. [Supersedes N1-059-94-43, item 81a (A-11-004-31a)]
Disposition:	Permanent. Cut off when no longer needed for current business. Retire when 3 years old. Transfer to the National Archives when 25 years old.
DispAuthNo:	N1-059-08-18, item 4 Date Edited: 4/15/2010
A-11-027-05	Privacy Act General - Administrative File - Arrange by TAGS and Terms
Description:	Correspondence, memorandums, notices, and other documentation on the Privacy Act covering DS' implementation of the Act.
Disposition:	Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use. (Supersedes GRS 14, Item 26)
DispAuthNo:	GRS 4.2, Item 001 Date Edited: 3/13/2017

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A-11-027-06 Access and Disclosure Request Files

Description: Case files created in response to requests for information (Passport Records) under the Freedom of Information Act (FOIA), Mandatory Declassification Review (MDR) process, Privacy Act (PA), Classification Challenge, and similar access programs, and completed by:

- granting the request in full
- granting the request in part
- denying the request for any reason including:
 - o inability to fulfill request because records do not exist
 - o inability to fulfill request because request inadequately describes records
 - o inability to fulfill request because search or reproduction fees are not paid
- final adjudication on appeal to any of the above original settlements
- final agency action in response to court remand on appeal

Includes:

- requests (either first-party or third-party)
- replies
- copies of requested records
- administrative appeals
- related supporting documents (such as sanitizing instructions)

Note 1: Record copies of requested records remain covered by their original disposal authority, but if disposable sooner than their associated access/disclosure case file, may be retained under this item for disposition with that case file.

Note 2: Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed.

Disposition: Temporary. Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later, but longer retention is authorized if required for business use. (Supersedes GRS 14, item 21)

DispAuthNo: DAA-GRS-2016-0002-0001 (G) **Date Edited:** 9/11/2017

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Office of Computer Security

A-11-028-01 Interagency Agreement File (MOAs and MOUs)

Description: File contains copies of Interagency Agreements (MOAs) or Memorandums of Understanding (MOUs) with other U.S. Government agencies. Includes memorandums in support of MOAs or MOUs.

Disposition: TEMPORARY. Destroy upon termination of MOA/MOU or when no longer needed.

DispAuthNo: N1-059-07-11, item 1

Date Edited: 11/18/2008

A-11-028-02 Computer Incident Response Team (CIRT) Standard Operating Procedures

Description: Monitoring and incident standard operating procedures in electronic format since 2002 on a shared drive that are periodically revised. All division employees have access to the files which date from 2002.

Disposition: TEMPORARY. Keep until superseded or no longer needed.

DispAuthNo: N1-059-07-11, item 2

Date Edited: 11/18/2008

A-11-028-03a Response and Data Analysis Repository (RADAR) Application (Computer Security Incident Handling, Reporting, and Follow-up System)

Description: An electronic computer security incident/ event tracking and reporting system. Records arranged by post/office with a system generated ticket number and date. The system documents findings and conclusions. Incidents are categorized by level of security and are identified as an incident (more severe) or an event. Includes emails related to an incident or an event. System maintained by IRM.

a. Incident - identified as a higher level cyber threat.

Disposition: TEMPORARY. Destroy/delete 5 years after incident.

DispAuthNo: N1-059-07-11, item 3a

Date Edited: 11/18/2008

A-11-028-03b Response and Data Analysis Repository (RADAR) Application (Computer Security Incident Handling, Reporting, and Follow-up System)

Description: An electronic computer security incident/ event tracking and reporting system. Records arranged by post/office with a system generated ticket number and date. The system documents findings and conclusions. Incidents are categorized by level of security and are identified as an incident (more severe) or an event. Includes emails related to an incident or an event. System maintained by IRM.

b. Paper- classified hard copy (paper) incidents.

Disposition: TEMPORARY. Destroy 5 years after incident.

DispAuthNo: N1-059-07-11, item 3b

Date Edited: 11/18/2008

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A-11-028-04a **Regional Computer Security Officer (RCSO) Resource Reporting System/Maximo**

Description: a. An electronic files system related to maintaining the security of systems and data. The system analyzes network infrastructure in regards to compliance, vulnerability, countermeasures. Generates reports including computer security assessments, trip reports to IPost, Findings Report (statistics regarding number of vulnerabilities identified), travel scheduling to each post based determined by vulnerability identified for each post, equipment and management reports, and budget information. Large database controlled by IRM.

Disposition: TEMPORARY. Destroy 5 years after security assessment or when superseded, whichever is later.

DispAuthNo: N1-059-07-11, item 4a **Date Edited:** 11/18/2008

A-11-028-04b **Regional Computer Security Officer (RCSO) Source Reporting System**

Description: b. System Backup

 A mirrored system of itself to another system. The back-up system is on another drive in an adjacent system. Utilizes RAID 5 backup system.

Disposition: TEMPORARY. Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file. (Supersedes GRS 20, item 8b).

DispAuthNo: GRS 3.2, item 051 **Date Edited:** 5/14/2015

A-11-028-05 **Regional Computer Security Officer (RCSO) Standard Operating Procedures (SOPs)**

Description: Includes files regardless of media, related to SOPs on training equipment, documentation, vendor support for equipment, work requirements by Region.

Disposition: TEMPORARY. Destroy when superseded or no longer needed, whichever is later.

DispAuthNo: N1-059-07-11, item 5 **Date Edited:** 11/18/2008

A-11-028-06 **Computer Security Configuration Documents**

Description: File contains records created and retained from detailed security analysis of hardware and software. Also copies of the standards and guidelines for departmental implementation of information technology hardware and software applications. Files maintained electronically.

Disposition: TEMPORARY. Cut off at end of calendar year. Destroy 5 years after cut off or when certification is no longer needed, whichever is later.

DispAuthNo: N1-059-07-11, item 6 **Date Edited:** 11/18/2008

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A-11-028-07 Regional Computer Security Officer (RCSO) Training Files

Description: Files, regardless of media, are maintained by name of employee and includes training certificates, travel, and funding. Files used as performance matrix for reporting and tracking purposes.

Disposition: TEMPORARY. Cut off at end of fiscal year. Destroy 10 years after cut off.

DispAuthNo: N1-059-07-11, item 7 **Date Edited:** 11/18/2008

A-11-028-08 Cyber Security Awareness Program - Subject File

Description: Contains informational and educational materials; brochures; general correspondence; memorandums; publications; speeches; telegrams dealing with cyber security awareness.

Disposition: TEMPORARY. Cut off at end of calendar year. Destroy 5 years after cut off.

DispAuthNo: N1-059-07-11, item 8 **Date Edited:** 11/18/2008

A-11-028-09 Cyber Security Awareness Briefing Files

Description: Files contain briefing material, regardless of media, cyber security awareness program including PowerPoint slides and videos.

Disposition: TEMPORARY. Destroy 3 years after briefing or when superseded, whichever is later.

DispAuthNo: N1-059-07-11, item 9 **Date Edited:** 11/18/2008

A-11-028-10 Cyber Security Awareness Training Course

Description: On-line course for annual certification of cyber security training for OpenNet users. The database contains copies of the completion certificates with the OpenNet users name, office and date completed.

Disposition: TEMPORARY. Destroy 3 years after course or when superseded or no longer needed, whichever is later.

DispAuthNo: N1-059-07-11, item 10 **Date Edited:** 11/18/2008

A-11-028-11 Overseas Security Policy Board Information Systems Security Working Group (OSPB ISSWG)

Description: Records, regardless of media, documenting the accomplishments of OSPB ISSWG maintained by Department as OSPB ISSWG chair. Records relating to: establishment, organization, membership, and policy of OSPB; and records created by OSPB ISSWG: agenda, minutes, final reports, and related records documenting the accomplishments of OSPB ISSWG. Records maintained electronically.

Disposition: TEMPORARY. Destroy 10 years after working group meeting or when no longer needed, whichever is sooner.

DispAuthNo: N1-059-07-11, item 11 **Date Edited:** 11/18/2008

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A-11-028-12 Exception/ Waiver Files

Description: Files contain memorandums, telegrams and correspondence requesting recommendations and approval of exceptions to the Department's computer, communications and network security policies.

Disposition: TEMPORARY. Destroy 5 years after final decision or when no longer needed, whichever is later.

DispAuthNo: N1-059-07-11, item 12 **Date Edited:** 11/18/2008

A-11-028-13 Committee on National Security Systems (CNSS) Files

Description: File contains correspondence regarding the Department's position on national-level classified computer and communications security policies. The file also contains the voting results of the CNSS representatives which are maintained by vote number.

Disposition: TEMPORARY. Destroy 5 years after CNSS policy/instruction published.

DispAuthNo: N1-059-07-11, item 13 **Date Edited:** 11/18/2008

A-11-028-14 Penetration Testing Reports

Description: Records created and retained as a result of penetration testing to validate security posture and the integrity of departmental offices and computer network. The reports included but not limited to the Executive Summary and Detailed Technical Report maintained electronically.

Disposition: TEMPORARY. Cut off at end of calendar year. Destroy 10 years after cut off or when superseded or obsolete, whichever is later.

DispAuthNo: N1-059-07-11, item 14 **Date Edited:** 11/18/2008

A-11-028-15 Daily Read Files

Description: The file contains daily highlights, excerpts of reports and analysis of cyber issues that are of interest to the U.S. Government. Maintained electronically.

Disposition: TEMPORARY. Cut off at end of calendar year. Destroy 10 years after point of distribution or when no longer needed, whichever is sooner.

DispAuthNo: N1-059-07-11, item 15 **Date Edited:** 11/18/2008

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A-11-028-16a Cyber Threat Analysis Division (CTAD) Reports

Description: The file contains information that is collected, analyzed, and disseminated on cyber threat intelligence gathered through open, proprietary, and collateral sources used to generate an assortment of reports to assist operational managers and policy makers with timely and relevant intelligence and to assist them in migrating the cyber threat confronting the Department. Reports generated include but not limited to: Country Cyber Threat Assessments; Special Focus Reports; Computer Security Profiles and any other ad hoc reports.

a. Record copy (paper).

Disposition: PERMANENT. Cut off at end of calendar year. Retire to RSCO 10 years after cut off. Transfer to National Archives in 5 year blocks 25 years after cut off or most recent records in the block.

DispAuthNo: N1-059-07-11, item 16a

Date Edited: 11/18/2008

A-11-028-16b Cyber Threat Analysis Division (CTAD) Reports

Description: The file contains information that is collected, analyzed, and disseminated on cyber threat intelligence gathered through open, proprietary, and collateral sources used to generate an assortment of reports to assist operational managers and policy makers with timely and relevant intelligence and to assist them in migrating the cyber threat confronting the Department. Reports generated include but not limited to: Country Cyber Threat Assessments; Special Focus Reports; Computer Security Profiles and any other ad hoc reports.

b. All other copies (paper or electronic).

Disposition: TEMPORARY. Destroy when no longer needed.

DispAuthNo: Non-Record

Date Edited: 11/18/2008

A-11-028-17 Cyber Threat Analysis Division (CTAD) Quarterly Reports

Description: The file contains reports generated by TASOB providing overall analysis regarding CTAD activities including but not limited to briefing information and statistical reporting. Maintained electronically.

Disposition: TEMPORARY. Cut off at end of calendar year. Destroy 10 years after point of distribution or when no longer needed, whichever is later.

DispAuthNo: N1-059-07-11, item 17

Date Edited: 11/18/2008

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A-11-028-18	Technical Analysis Special Operations Branch (TASOB) Reports
Description:	Records created and retained in collecting, analyzing, and reporting on security incidents, identifying potential threats and abnormalities within the network, profile malicious code including unauthorized modifications and activities on the DOS global information networks. Reports include but not limited to: Security Incident Reports; Technical Network Analysis; Postmortem Hard Drive Analysis and any other ad hoc reports.
Disposition:	TEMPORARY. Cut off at end of calendar year. Destroy 10 years after cut off or when no longer needed, whichever is later.
DispAuthNo:	N1-059-07-11, item 18 Date Edited: 11/18/2008
A-11-028-19a	Program Standard and Policy Files - Arranged by subject
Description:	Records accumulated by offices responsible for cyber security program management, including the development of security standards and policies for which they have primary responsibility, leading to the publication of foreign affairs manuals and handbooks. a. Master set of Standards. (Also A-11-003-81a).
Disposition:	PERMANENT. Transfer to NARA when 30 years old.
DispAuthNo:	N1-059-94-43, item 53a Date Edited: 12/23/2008
A-11-028-19b	Program Standard and Policy Files - Arranged by subject
Description:	Records accumulated by offices responsible for cyber security program management, including the development of security standards and policies for which they have primary responsibility, leading to the publication of foreign affairs manuals and handbooks. b. Master set of Policies. (Also A-11-003-81b).
Disposition:	PERMANENT. Transfer to NARA when 30 years old.
DispAuthNo:	N1-059-94-43, item 53b Date Edited: 12/23/2008

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A-11-028-19c Program Standard and Policy Files

Description: Records accumulated by offices responsible for cyber security program management, including the development of security standards and policies for which they have primary responsibility, leading to the publication of foreign affairs manuals and handbooks.

c. Draft of Standards. (Also A-11-003-81c).

Disposition: TEMPORARY. Destroy 3 months after standards are published.

DispAuthNo: N1-059-94-43, item 53c

Date Edited: 12/23/2008

A-11-028-19d Program Standard and Policy Files

Description: Records accumulated by offices responsible for cyber security program management, including the development of security standards and policies for which they have primary responsibility, leading to the publication of foreign affairs manuals and handbooks.

d. Draft of Policies.

Disposition: TEMPORARY. Destroy 3 months after standards are published.

DispAuthNo: N1-059-94-43, item 53d

Date Edited: 12/23/2008

A-11-028-20 Chron/Reference Files

Description: Copies of correspondence, reports, special studies, internal instructions, information materials, and other documents used solely for reference purposes (Official copy retained in subordinate office(s)).

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

DispAuthNo: Non-Record

Date Edited: 12/23/2008

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A-11-028-21 Intrusion Detection System (IDS) Reports

Description: An electronic monitoring system developed in 1999 to maintain the security of the system and data. Detects, analyzes, and reports on cyber threats and intrusions for both the classified and unclassified Department infrastructures and systems. The system uses an assortment of network traffic analytical tools and systems to provide near real time detection and warnings of cyber threats and misuse; to identify operational and mis-configurations, and to support the Virus Incident Response Team (VIRT) and other security partners.

Disposition: TEMPORARY. Destroy 1 year after system is superseded by a new iteration or when no longer needed for agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system. (Supersedes GRS 24, item 5b).

DispAuthNo: GRS 3.2, item 010 **Date Edited:** 5/14/2015

A-11-028-23 Reserved.

Description: Reserved.

Disposition: Reserved.

DispAuthNo: Reserved **Date Edited:** 4/30/2009

A-11-028-24 Vulnerability Reporting System

Description: Contains electronic files related to maintaining the security of the system and data. An electronic security system implemented in 2004 that generates vulnerability information for classified/unclassified computer systems worldwide. The system contains automated tools that scan data and monitor the system. It tracks changes, modifications, interruptions in service, and network performance. System maintenance data is collected automatically. (Part of the Tenable System.)

Disposition: TEMPORARY. Destroy 3 years after all necessary follow-up actions have been completed. (Supersedes GRS 24, item 7).

DispAuthNo: GRS 3.2, item 020 **Date Edited:** 5/14/2015

A-11-028-25 Compliance Monitoring System

Description: An electronic system that continuously monitors and reports on all Department security configurations and Department IT assets for classified/unclassified systems. Identifies the degree that established computer standards are met. Monitors password files. (Part of the Tenable system.)

Disposition: TEMPORARY. Destroy when business use ceases. (Supersedes GRS 24, item 6b).

DispAuthNo: GRS 3.2, item 030 **Date Edited:** 5/14/2015

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A-11-028-26 **TENABLE Security Center (TSC3)**

Description: Contains electronic files related to maintaining the security of system and data. An electronic vulnerability and compliance system that can patch data. Also allows periodic scan of networks so that vulnerability and compliance issues are identified quicker. Creates records that assist with the assessments of IT systems. Analysis and reporting from real time data.

Disposition: TEMPORARY. Destroy 1 year after system is superseded by a new iteration or when no longer needed for agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system. (Supersedes GRS 24, item 5b).

DispAuthNo: GRS 3.2, item 010

Date Edited: 5/14/2015

A-11-028-27 **Network Analyzer/Network Forensics Report Data**

Description: Electronic data tool that runs on the network. Analyzes data collected on various Department networks. Random number given recorded by the system.

Output: Reports generated at post and copy sent back to SA-14.

Disposition: TEMPORARY. Destroy 3 years after all necessary follow-up actions have been completed. (Supersedes GRS 24, item 7).

DispAuthNo: GRS 3.2, item 020

Date Edited: 5/14/2015

A-11-028-28 **Technical and Administrative Helpdesk Operational Records**

Description:

- Computer Incident Reporting Team (CIRT) Electronic Customer Service File
- records of incoming requests (and responses) made by phone, email, web portal, etc.
- trouble tickets and tracking logs
- quick guides and "Frequently Asked Questions" (FAQs)
- evaluations and feedback about help desk services
- analysis and reports generated from customer management data
- customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports

Exclusion: Public customer service records scheduled under GRS 6.5.

Disposition: Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate. (Supersedes GRS 24, item 10a and GRS 24, item 10b)

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

Date Edited: 9/13/2017

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A-11-028-29a	SmartPay Worldwide Purchase Card (Government Credit Card)
Description:	Copies of monthly cardholder credit card statements and Designated Billing Official invoices, receipts, and related supporting documentation. Copies of reconciled/signed cardholder Monthly Credit Card Statements are maintained by both the Cardholder and Charleston (as the domestic finance office of DBO) and the FMO at each Post (for overseas records). a. Transactions that exceed \$3,000. (Also A-05-010-03).
Disposition:	TEMPORARY. Destroy 6 years after final payment or cancellation. (Supersedes GRS 6, item 1a).
DispAuthNo:	GRS 1.1, item 010 Date Edited: 5/14/2015
A-11-028-29b	SmartPay Worldwide Purchase Card (Government Credit Card)
Description:	Copies of monthly cardholder credit card statements and Designated Billing Official invoices, receipts, and related supporting documentation. Copies of reconciled/signed cardholder Monthly Credit Card Statements are maintained by both the Cardholder and Charleston (as the domestic finance office of DBO) and the FMO at each Post (for overseas records). b. Transactions that under \$3,000. (Also A-03-004-07).
Disposition:	TEMPORARY. Destroy after GAO audit or when 3 years old, whichever is sooner.
DispAuthNo:	N1-059-96-29, item 1 Date Edited: 12/23/2008
A-11-028-30	Budget Estimates and Justifications
Description:	Budget estimates and justifications prepared or consolidated by bureaus and their subordinate organizational units. (Also A-03-002-01).
Disposition:	TEMPORARY. Destroy 3 years after close of fiscal year covered.
DispAuthNo:	NC1-059-77-26, item 9 Date Edited: 12/23/2008
A-11-028-31	Budget Preparation Background Records
Description:	Records held at all other offices. Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.
Disposition:	Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use. (Supersedes GRS 5, item 2)
DispAuthNo:	DAA-GRS-2015-0006-0006 (G Date Edited: 1/18/2018

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A-11-028-32 **Transitory Records**

Description: Records required only for a short time (generally less than 180 days) and that are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include, but are not limited to:

- messages coordinating schedules, appointments, and events
- transmittal documents such as e-mail, letters, cover memos, and facsimile cover sheets that do not provide evidence of approval, concurrence, or decision-making, or include substantive comments
- received copies of circulated internal information such as agency instructions, notifications, circulars, newsletters, and email blasts to employees
- messages received from agency distribution lists or listservs
- “to-do” or task lists and assignments

Disposition: Temporary. Destroy when no longer needed for business use, or according to agency predetermined time period or business rule. (Supersedes GRS 23, item 6a; GRS 23, item 6b; and GRS 23, item 7)

DispAuthNo: DAA-GRS-2017-0003-0001 (G **Date Edited:** 9/25/2017

A-11-028-33 **Time and Attendance Records**

Description: Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees’ presence at or absence from work.

Includes forms such as OF 71, DS-7100, and DS-1216

Legal citation: 29 U.S.C. 516.5a

Disposition: Temporary. Destroy after GAO audit or when 3 years old, whichever is sooner. (Supersedes GRS 2, item 6a; GRS 2, item 6b; and GRS 2, item 7)

DispAuthNo: DAA-GRS-2016-0015-0003 (G **Date Edited:** 9/11/2017

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Office of Information Security

A-11-029-01 Visitor Authorization Request (VARs) Files

Description: Contains letters from company security officers with a copy of clearance documentation from Defense Security Service on any contractor working at or traveling to a DOS location domestically and overseas. Filed by company name, data is input into the Visitors Security Clearance Tracking System (VSCTS). Also includes sample Visit Authorization Request (VARs), correspondence regarding DoD clearance actions and supporting documentation regarding contract/Contracting Officer's Representatives (CORs).

Disposition: TEMPORARY. Destroy two years after the VAR expiration date.

DispAuthNo: DAA-0059-2011-0016-0001 **Date Edited:** 9/17/2012

A-11-029-02 Sensitive Compartmented Information Facilities (SCIFs) Files

Description: Consists of documentation on the approval, creation, and maintenance of Sensitive Compartmented Information Facilities (SCIF).

Disposition: TEMPORARY. Destroy 2 years after de-accreditation

DispAuthNo: DAA-0059-2011-0016-0002 **Date Edited:** 9/17/2012

A-11-029-03a Security Incident Tracking System (SECINTS)

Description: a. Master File:

Security incident history tracking database for all DoS employees, contractors and tenant agencies. Contains type of incident, location, description, actions taken, etc. since 1970.

Disposition: TEMPORARY. Destroy 70 years after date of incident.

DispAuthNo: DAA-0059-2011-0016-0003 **Date Edited:** 9/17/2012

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A-11-029-03b Intermediary Records

Description: Security Incident Tracking System (SECINTS) records that include hard copy and electronic input documents or forms designed and used solely to create update or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in NARA-approved agency records schedule. Also includes adhoc reports output for reference purposes or to meet day-to-day business needs.

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:** 9/27/2017

A-11-029-03f Security Incident Tracking System (SECINTS)

Description: f. System Backups

System Backups and Tape Library Records. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

Disposition: Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (Supersedes GRS 24, item 4a[1]).

DispAuthNo: GRS 3.2, item 040 **Date Edited:** 5/14/2015

A-11-029-03g Security Incident Tracking System (SECINTS)

Description: g. System Documentation

Includes system requirements, system design, and user guides.

Disposition: Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system. (Supersedes GRS 20, item 11a[a]).

DispAuthNo: GRS 3.1, item 051 **Date Edited:** 5/14/2015

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A-11-029-04a DD Form 254 Database

Description: a. Master File:

Contains data extracted from forms DD Form 254 (Contract Security Classification Specifications) issued to companies and included in their contracts since 1990s.

Disposition: Temporary. Destroy 20 years after cessation of contract performance on DoS contracts.

DispAuthNo: DAA-0059-2011-0016-0004

Date Edited: 10/2/2012

A-11-029-04b Intermediary Records

Description: DD Form 254 Database records which includes hard copy and electronic input documents or forms designed and used solely to create update or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in NARA-approved agency records schedule. Also includes adhoc reports output for reference purposes or to meet day-to-day business needs.

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: 9/27/2017

A-11-029-04f DD Form 254 Database

Description: f. System Backups and Tape Library Records.

Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

Disposition: Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (Supersedes GRS 24, item 4a[1]).

DispAuthNo: GRS 3.2, item 040

Date Edited: 5/14/2015

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A-11-029-04g	DD Form 254 Database
Description:	g. System Documentation Includes system requirements, system design, and user guides.
Disposition:	Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system. (Supersedes GRS 20, item 11a[1]).
DispAuthNo:	GRS 3.1, item 051
	Date Edited: 5/14/2015
A-11-029-05	Contractor SCI Access Request Files
Description:	Request for Sensitive Compartmental Information (SCI) access for contractors includes letters from contracting firms, current VARs, clearance requests, and memoranda from CORs. Filed by company name.
Disposition:	Temporary. Destroy after final decision.
DispAuthNo:	DAA-0059-2011-0016-0005
	Date Edited: 9/18/2012
A-11-029-06	Contractor Personnel Security Action File
Description:	Contains correspondence concerning requests for security clearances or public trust determinations for contractors.
Disposition:	Temporary. Destroy after final decision.
DispAuthNo:	DAA-0059-2011-0016-0006
	Date Edited: 9/18/2012
A-11-029-07	Industrial Security Facility Files
Description:	Documentation on facility security clearances and contracts involving contracting firms either bidding on or awarded DOS classified and/or Sensitive But Unclassified (SBU) Contracts, signed copies of Contract Security Classification Specification (DD Form 254), Reports on adverse information, Security Violation Reports, requests/approvals for contractor access to COMSEC, and assorted security clearance documentation.
Disposition:	Temporary. Destroy 2 years after all contracts with firm have been closed out.
DispAuthNo:	N1-059-95-43, item 40
	Date Edited: 9/18/2012
A-11-029-08	Industrial Security Inspection File
Description:	Reports on inspections/review of contracting firms under contract with the Department. Includes annual connectivity reviews of contractors.
Disposition:	Temporary. Destroy 2 years after all contracts with firm have been closed out.
DispAuthNo:	N1-059-94-43, item 41
	Date Edited: 9/18/2012

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A-11-029-09	Sensitive Compartmented Information (SCI) Nondisclosure Agreements
Description:	Copies of SCI Nondisclosure Agreement 4414, signed by civilian and military personnel with access to information that is classified under standards put forth by Executive Orders governing security classification. These forms should be maintained separately from personnel security clearance files. Agreements for civilian employees working elements of the intelligence community must be maintained separately from the official personnel folder. For all other persons, these forms may be filed in the individual's official military personnel folder (for uniformed military personnel).
Disposition:	Temporary. Destroy when 50 years old. (Supersedes GRS 18, item 25a)
DispAuthNo:	GRS 4.2, Item 121 Date Edited: 3/9/2017
A-11-029-10	Index to the Personnel Security Case Files
Description:	Lists or reports showing the current security clearance status of individuals.
Disposition:	Temporary. Destroy when superseded or obsolete. (Supersedes GRS 18, item 23)
DispAuthNo:	DAA-GRS-2017-0006-0026 (G Date Edited: 9/11/2017
A-11-029-11	Finding Aids (or Indexes)
Description:	Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.
Disposition:	Temporary. Destroy when no longer needed. (Supersedes GRS 20, item 9)
DispAuthNo:	GRS 4.1, Item 010 Date Edited: 3/9/2017
A-11-029-13	Financial Transaction Records Related to Procuring Goods and Services, Paying Bills, Collecting Debts, and Accounting
Description:	Records relating to routine and operational aspects of travel. Included are travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting documents.
Disposition:	Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. (Supersedes GRS 9, item 3a)
DispAuthNo:	DAA-GRS-2013-0003-0001 (G Date Edited: 10/4/2017

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A-11-029-14 Supervisors' Personnel Files

Description: Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.

Exclusion 1: Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records.

Exclusion 2: Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.

Disposition: Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer. (Supersedes GRS 1, item 18a and GRS 1, item 18b).

DispAuthNo: DAA-GRS-2017-0007-0012 (G **Date Edited:** 9/1/2017

A-11-029-15 Bidder Files

Description: Contains copies of Requests for Proposals (RFP), bidder's Contract Security Classification Specifications (DD Forms 254), and correspondence to Contracting Officers. Used only for reference.

Disposition: Temporary. Maintain until contract awarded or for 2 years whichever is later.

DispAuthNo: Non-Record **Date Edited:** 9/18/2012

A-11-029-16 Chronological (Chron) Files

Description: Copies of all correspondence including cover memos to DD Form 254. Used only for reference.

Disposition: Temporary. Destroy when no longer needed for reference.

DispAuthNo: Non-Record **Date Edited:** 9/18/2012

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Office of Security Technology

A-11-031-01a **Computerized Management Maintenance System-CMMS**

Description: Master File:

Computerized Management Maintenance System-CMMS provides enterprise-wide asset management capabilities focused on procurement, installation, inventory control, asset maintenance, and lifecycle monitoring on a global scale to compile comprehensive information on the Office of Security Technology's (ST) worldwide operations and the ability to analyze equipment operations. CMMS is also used to track ST operations to ensure that all security equipment is accurately procured and inventoried; work orders related to the equipment and repairs are tracked with a concurrent lifecycle program for maintenance and replacement. In addition, CMMS provides transparency and accurate accounting of security equipment located at posts throughout the world. CMMS adds efficiency to performance tracking, both of personnel and of machinery; procurement efficacy; procurement discipline and historical analysis.

Disposition: Temporary. Cutoff when equipment is excess or retired. Destroy 6 years and 3 months after cutoff.

DispAuthNo: DAA-0059-2013-0004-0001

Date Edited: 12/18/2013

A-11-031-01b **Intermediary Records**

Description: Computerized Management Maintenance System (CMMS) electronic input records entered into the system during an update process, and not required for an audit and legal purposes and electronic records received from other agencies. Also includes electronic output sources records such as transaction files or intermediate output files.

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: 9/27/2017

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A-11-031-01d	Computerized Management Maintenance System-CMMS
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Description: System Backups:

System Backups and Tape Library Records. Backup tapes maintained for potential system restoration in the event of system failure or other unintentional loss of data.

Disposition: Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (Supersedes GRS 24, item 4a[1]).

DispAuthNo: GRS 3.2, item 040

Date Edited: 5/14/2015

A-11-031-01e	Computerized Management Maintenance System-CMMS
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Description: System Documentation:

Includes systems requirements, system design, and user guides.

Disposition: Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system. (Supersedes GRS 20, item 11a[1]).

DispAuthNo: GRS 3.1, item 051

Date Edited: 5/14/2015

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Office of Physical Security Programs

A-11-032-01 Security Product Certification File - Arrange by vendor and product [Research and Development Branch]

Description: Records contain specifications for test and evaluation of vendor products, design drawings, standards, certification letter and other related information. (Formerly known as Forced Entry Ballistic Registry - FEBR)

(Supersedes NARA Job No. N1-059-94-43, item 56)

Disposition: TEMPORARY. Cutoff when certification completed. Destroy twenty-five (25) years after cutoff or when no longer needed, whichever is longer.

DispAuthNo: DAA-0059-2011-0005-0001 **Date Edited:** 8/3/2011

A-11-032-02 Security Product Non-Certification File - Arrange by vendor and product [Research and Development Branch]

Description: Records contain specifications for test and evaluation of vendor products, design drawings, standards, non-certification documentation and other related information. (Formerly known as Forced Entry Ballistic Registry - FEBR).

Disposition: TEMPORARY. Cutoff when product cannot meet required security standards. Destroy 25 years after cutoff or when no longer needed, whichever is longer.

DispAuthNo: DAA-0059-2011-0005-0002 **Date Edited:** 8/3/2011

A-11-032-03 Research and Development Project Precedent Case File [Research and Development Branch]

Description: This file contains only historical or technologically significant to cases. Records documenting the complete history of the project from initiation through completion and including a copy of contract, request for proposal (RFP), supporting documents, drawings specifications, evaluation reports, email and related correspondence, and technical information bulletin.

Disposition: PERMANENT. Cutoff file at the end of five (5) calendar years. Retire to RSC one (1) year after cutoff date. Transfer to WNRC three (3) years after cutoff date. Transfer to the National Archives thirty (30) years after cutoff date.

DispAuthNo: N1-059-94-43, item 7 **Date Edited:** 8/3/2011

A-11-032-04 Employment Contracts [Research and Development Branch]

Description: Copies of employment contracts regarding personnel hires including but not limited to correspondence to payment, awards, and other related information. Arranged by contractor's name.

Disposition: TEMPORARY. Destroy 6 years after final payment or cancellation. (Supersedes GRS 3, item 3a[1][a]).

DispAuthNo: GRS 1.1, item 010 **Date Edited:** 5/14/2015

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A-11-032-05 Supervisors' Personnel Files

Description: Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.

Exclusion 1: Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records.

Exclusion 2: Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.

Disposition: Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer. (Supersedes GRS 1, item 18a and GRS 1, item 18b)

DispAuthNo: DAA-GRS-2017-0007-0012 (G) **Date Edited:** 9/1/2017

A-11-032-06 Time and Attendance Records

Description: Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.

Includes forms such as OF 71, DS-7100, and DS-1216

Legal citation: 29 U.S.C. 516.5a

Disposition: Temporary. Destroy after GAO audit or when 3 years old, whichever is sooner. (Supersedes GRS 2, item 7)

DispAuthNo: DAA-GRS-2016-0015-0003 (G) **Date Edited:** 9/11/2017

A-11-032-07 Security Survey Reports File

Description: Physical Security Surveys, supplementals, exhibits, and supporting documentation on physical security covering U.S. Government owned facilities abroad.

Disposition: Destroy when superseded by new report.

DispAuthNo: NC1-059-80-03, item 1 **Date Edited:** 10/26/2007

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Office of Diplomatic Courier Service

A-11-033-01 Policy Files

Description: Consists of files documenting the policies of the Diplomatic Courier Program. Includes correspondence, announcements, reports, policy memorandums, studies, surveys, directives, Quality Manual, and other documentation of the development and management of the Diplomatic Courier Program.

Disposition: TEMPORARY. Cut off when 5 years old. Destroy when 25 years old or when superseded, whichever is later.

DispAuthNo: N1-059-10-20, item 1 **Date Edited:** 11/9/2011

A-11-033-02 Policy Waiver Requests

Description: Consists of requests for policy exceptions created by Diplomatic Courier regional offices and submitted to the Diplomatic Courier Program Director for approval.

Disposition: TEMPORARY. Destroy when applicable policy is no longer in effect.

DispAuthNo: N1-059-10-20, item 2 **Date Edited:** 11/9/2011

A-11-033-03 Agreements

Description: Consists of signed agreements with other U.S. government agencies and other clients for the provision of diplomatic courier services worldwide.

Disposition: TEMPORARY. Cut off at termination of agreement. Destroy 2 years after agreement is terminated.

DispAuthNo: N1-059-10-20, item 3 **Date Edited:** 11/9/2011

A-11-033-04 Program Files

Description: Consists of materials related to the projects and programs of the Diplomatic Courier Service, including staffing and organization, safety, opening and closing of courier posts, non-pro courier letters, monthly personnel utilization reports, and other related subjects.

Disposition: TEMPORARY. Cut off at end of calendar year. Destroy when 3 years old. Supersedes N1-059-94-43, items 11 and 12

DispAuthNo: N1-059-10-20, item 4 **Date Edited:** 7/25/2012

A-11-033-05 Newsletters

Description: Includes source materials and internal newsletter covering DS courier-related topics and items of interest to DS employees.

Disposition: TEMPORARY. Cut off at end of calendar year. Destroy when 10 years old.

DispAuthNo: N1-059-10-20, item 5 **Date Edited:** 11/9/2011

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A-11-033-06 Pocket Reference Guide Materials

Description: Includes background materials and references for courier packet reference guide, sample documents, written guidance, and relevant correspondence.

Disposition: TEMPORARY. Cut off when new guide is issued. Destroy when 10 years old or when superseded, whichever is later.

DispAuthNo: N1-059-10-20, item 6 **Date Edited:** 11/9/2011

A-11-033-07 Non-pro Courier Program Slides and Briefing Materials

Description: Non-professional couriers may be used to perform diplomatic courier functions when a professional courier is not available or in exigent circumstances. Briefing slides and other materials outline eligibility criteria for non-professional couriers, and the requirements for performance of this responsibility.

Disposition: TEMPORARY. Destroy when superseded, obsolete, or no longer needed.

DispAuthNo: N1-059-10-20, item 7 **Date Edited:** 11/9/2011

A-11-033-08 Courier Travel System (CTS), Master File

Description: CTS is a web-based system that allows the Diplomatic Courier Service to schedule, process, and report on all courier trips worldwide in one system. The CTS manages master route schedules and courier trips; contains a budgeting system for tracking courier office expenses; includes a ticketing system that monitors used and unused tickets; and features a repository that includes data of past trips for review when future trips are being planned. The CTS facilitates the accurate and efficient reimbursement of travel expenses from other Federal agencies. CTS content includes data on scheduling courier trips, ticketing, receiving material, courier trip preparation, material movement, material delivery, post-trip processing, courier time and attendance, trip reports, and cargo booking and payment data.

Disposition: TEMPORARY. Destroy 3 years after trip is completed, or when no longer needed, whichever is later. Supersedes N1-059-94-43, item 15

DispAuthNo: N1-059-10-20, item 8 **Date Edited:** 11/9/2011

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A-11-033-09 Administrative Records Maintained in any Agency Office

Description: Weekly Activity Reports of the Diplomatic Courier Program.

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. (Supersedes GRS 23, item 1)

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

A-11-033-10 Reference Files

Description: Consists of commonly used reference materials, copies of record versions of documents and working materials

Disposition: TEMPORARY. Review annually and destroy material of no further reference value.

DispAuthNo: Non-Record **Date Edited:** 11/9/2011

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A-11-033-11	Courier Travel System (CTS)
Description:	CTS is a web-based system that allows the Diplomatic Courier Service to schedule, process, and report on all courier trips worldwide in one system. The CTS manages master route schedules and courier trips; contains a budgeting system for tracking courier office expenses; includes a ticketing system that monitors used and unused tickets; and features a repository that includes data of past trips for review when future trips are being planned. The CTS facilitates the accurate and efficient reimbursement of travel expenses from other Federal agencies.
Disposition:	N/A
DispAuthNo:	N/A Date Edited: 7/25/2012
A-11-033-11a	Courier Travel System (CTS)
Description:	a. Master File CTS content includes data on scheduling courier trips, ticketing, receiving material, courier trip preparation, material movement, material delivery, post-trip processing, courier time and attendance, trip reports, and cargo booking and payment data.
Disposition:	Destroy 3 years after trip is completed, or when no longer needed, whichever is later. Supersedes N1-059-94-43, item 15
DispAuthNo:	N1-059-10-20, item 11a Date Edited: 7/26/2012
A-11-033-11b	Intermediary Records
Description:	Courier Travel System (CTS) records which include reports that are used for tracking courier expenses.
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-11-033-11c	Courier Travel System (CTS)
Description:	c. Documentation A CTS User Guide/ Manual provides step-by-step guidance on using the system.
Disposition:	TEMPORARY. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system. (Supersedes GRS 20, item 11a[1]).
DispAuthNo:	GRS 3.1, item 051 Date Edited: 5/14/2015

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A-11-033-11d	Courier Travel System (CTS)	
Description:	d. Backups differential data backup is taken daily, and a full backup is taken weekly in the event the master file or database is damaged or inadvertently erased.	A
Disposition:	TEMPORARY. Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file. (Supersedes GRS 20, item 8b).	
DispAuthNo:	GRS 3.2, item 051	Date Edited: 5/14/2015
A-11-033-12	Diplomatic Courier Contract - Program File - Arrange by vendor	
Description:	Copies of contracts on companies performance of courier services.	
Disposition:	Destroy 1 year after termination of the contract.	
DispAuthNo:	N1-059-94-43, item 17	Date Edited: 10/26/2007
A-11-033-13	Diplomatic Courier Visa - Program File - Arrange by name	
Description:	Memorandums, Government Travel Requests (GTR), and other documentation on When-Actually-Employed (WAE) contract couriers covering visa applications, visas, vouchers, hotel receipts, and other related subjects.	
Disposition:	Cut off file at end of each year. Destroy 1 year after cut off date.	
DispAuthNo:	N1-059-94-43, item 16	Date Edited: 10/26/2007
A-11-033-14	Diplomatic Pouch Certification and Receipt - Program File	
Description:	Diplomatic Pouch Certification and Receipts (OF-253) covering posts, pouch numbers, receipts, signatures, weight, and other related pouch shipping data.	
Disposition:	Destroy when 1 year old.	
DispAuthNo:	N1-059-94-43, item 20	Date Edited: 10/26/2007
A-11-033-15	Official Courier Accompanied Pouch Charges (FS-452) - Program File	
Description:	Form FS-452 covering airlines, excess baggage charges, payments, shipping receipts, and other related subjects.	
Disposition:	Destroy when 1 year old.	
DispAuthNo:	N1-059-94-43, item 19	Date Edited: 10/26/2007

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A-11-033-16 **Washington Regional Diplomatic Courier - Program File - Arrange by TAGS and Terms**

Description: Documentation on the Department courier operations covering airports, couriers, funding, guidelines, monthly fiscal reports, monthly narrative reports, passes, pouches, procedures, schedules, trip reports, weekly activity reports, and other related subjects.

Disposition: Cut off file at end of each year. Destroy 3 years after cut off date.

DispAuthNo: N1-059-94-43, item 18

Date Edited: 10/26/2007

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Office of Deputy Executive Director and Management Services (DS/EX/MGT)

A-11-036-01 Facilities and Space Management Files (LS)

Description: Documentation regarding facilities and space management for Diplomatic Security (DS) domestic and overseas properties that include but not limited to floor plans for moves, renovations, and upgrades; designs; inventory and other related information.

Disposition: Temporary. Destroy when facilities are no longer government-owned or government-leased.

DispAuthNo: DAA-0059-2011-0006-0001 **Date Edited:** 11/19/2013

A-11-036-02 Property Inventory Management Files - Domestic (LS)

Description: Inventory reports, inspection reports, property receipts and other documentation of accountable, expendable and nonexpendable property including but not limited to equipment, supplies, services and other related information.

Disposition: Temporary. Cutoff at end of fiscal year. Destroy 3 years after cutoff.

DispAuthNo: DAA-0059-2011-0006-0002 **Date Edited:** 11/19/2013

A-11-036-03 Lease and Occupancy Agreements (LS)

Description: Copies lease and/or occupant agreements for properties administrated and managed by Diplomatic Security domestically.

Disposition: Temporary. Destroy when business use ceases. (Supersedes GRS 3, item 3c)>

DispAuthNo: GRS 1.1, item 011 **Date Edited:** 5/14/2015

A-11-036-04 Motor Vehicle Files (LS)

Description: Correspondence and documentation regarding management of government-owned and commercially-leased motor vehicles for use by Diplomatic Security, including but not limited to leasing, costs, maintenance, accident reports, claims, disposal and other related information.

a. Government-Owned

Disposition: Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (Superdes GRS 10, items 1-7)

DispAuthNo: GRS 5.4, Item 040 **Date Edited:** 3/10/2017

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A-11-036-05 Motor Vehicle Files (LS)

Description: correspondence and documentation regarding management of government-owned and commercially-leased motor vehicles for use by Diplomatic Security, including but not limited to leasing, costs, maintenance, accident reports, claims, disposal and other related information.

b. Commercially Leased Government-Owned

Disposition: Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (Supersedes GRS 10, items 1-7)

DispAuthNo: GRS 5.4, Item 040

Date Edited: 3/10/2017

A-11-036-06 Motor Vehicle Tag Control Files (LS)

Description: Logs, registers, related information or other records used to control and document motor vehicles tag numbers of government-owned and/or commercially-leased motor vehicles use by Diplomatic Security.

Disposition: Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (Supersedes GRS 10, Item 1-7)

DispAuthNo: GRS 5.4, Item 040

Date Edited: 3/10/2017

A-11-036-07 Security Grants and Cooperative Agreements Files (CAP)

Description: Individual grants (originals) and cooperative agreements (originals) on antiterrorism training, protective services, and covering amendments, basic agreements, cash transaction reports, certifications, correspondence, expenditures, FBI, Federal Assistance Award (DS-1909), final products, final reports, grant program, local police, OIG audit reports, Cost Principles for State and payments (copies of), protection, reports, schedules, services, tasking orders, training, vehicles, and other related subjects.

Disposition: Temporary. Destroy 7 years after final payment or termination of agreement, whichever is sooner.

DispAuthNo: DAA-0059-2011-0006-0003

Date Edited: 11/19/2013

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A-11-036-08 **Personal Service Contract Employee Files (CAP)**

Description: Personal Services Contracts (PSC) employee files are arranged alphabetically by name; files include original personnel files for PSCs, such as form HRPSC021 Request for Contract Action (Personal Services Contract), JF-62, PSC salary worksheet computation, statement of work, security clearance, certificate of eligibles, superior qualifications approval memo, medical clearance (for PSCs overseas), final letter of offer, performance evaluations (for PSC renewals), correspondence, copies of contracts, and various personnel forms and financial forms relating to activities of contractors.

Disposition: Temporary. Destroy 6 years after final payment or cancellation. (Supersedes GRS 3, item 3a[1][a]).

DispAuthNo: GRS 1.1, item 010

Date Edited: 5/14/2015

A-11-036-09 **Interagency Acquisition Agreements and Military Interdepartmental Purchase Request (CAP)**

Description: Documentation of statement of work, products and services provided to and/or acquired from the United States Army Corps of Engineers (USACE) and other Federal Agencies under the authority of the Department of State Acquisition Regulations (DOSAR). DS procurement instruments for Interagency Acquisition Agreements (IAAs), DS-1921 and Military Interdepartmental Purchase Request (MIPR), DD Form 448. Files arranged by Agency name.

Disposition: Temporary. Destroy 6 years after final payment or cancellation. (Supersedes GRS 3, item 3).

DispAuthNo: GRS 1.1, item 010

Date Edited: 5/14/2015

A-11-036-10 **Security Procurement Files (CAP)**

Description: Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers to award, administration, receipt, inspection and payment.

Transactions that exceed the simplified acquisition threshold and all construction contracts below \$2,000.

Disposition: Temporary. Destroy 6 years after final payment or cancellation. (Supersedes GRS 3, item 3a[1][b]).

DispAuthNo: GRS 1.1, item 010

Date Edited: 5/14/2015

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A-11-036-11a	Overseas Security Policy Board (OSPB) Historical Files - Arrange by subject or type of records (PPD)
Description:	a. Documentation of interagency subcommittees, working groups or other subgroup of advisory committee, that support their reports and recommendations to the full or parent committee. Includes the records of the Overseas Security Policy Group which was predecessor group to the OSPB. Documentation includes but not limited to executive meeting minutes, transcripts, reports, correspondence briefing materials, policies, standards, agreements and other related documentation regarding all types of security operations, programs, and projects for the United States Government operations at the U.S. missions abroad.
Disposition:	Permanent. Cutoff files when 10 years old. Transfer to the National Archives in 10 year blocks, 25 years after cutoff.
DispAuthNo:	DAA-0059-2011-0006-0004 Date Edited: 11/19/2013
A-11-036-11b	Overseas Security Policy Board (OSPB) Working Files - Arrange by subject or type of records (PPD)
Description:	b. Files that relate to day-to-day activities of the Advisory Board that do not contain unique information of historical value, including such records as correspondence, reference and working files.
Disposition:	Temporary. Cutoff at end of calendar year. Destroy when 3 years old.
DispAuthNo:	DAA-0059-2011-0006-0005 Date Edited: 11/19/2013
A-11-036-12	Special Protective Equipment Review Board (SPE Review Board) - Historical Files (PPD)
Description:	The Special Protective Equipment Review Board develops policies and procedures and provides guidance to DS Special Agents and others on the authorities and use of special protective equipment. Documentation includes but not limited to meeting minutes; final policy discussions and decisions; reports; working groups; memorandums, correspondence with external entities; responses; and other documentation relating to the work and activities including the records of the Firearms Policy and Review Board (FPRB) which was the predecessor group to the SPE Review Board.
Disposition:	Permanent. Cutoff records when 10 years old. Transfer to National Archives in 10 year blocks, 25 years after cutoff.
DispAuthNo:	DAA-0059-2011-0006-0006 Date Edited: 11/19/2013

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A-11-036-13	Special Protective Equipment Review Board (SPE Review Board) - Working Files (PPD)
Description:	Files that relate to day-to-day activities of the Special Protective Equipment Review Board that do not contain unique information of historical value, including such records as correspondence, draft policy recommendations, reference and working files including the records of the Firearms Policy and Review Board (FPRB) which was the predecessor group to the SPE Review Board.
Disposition:	Temporary. Cutoff at end of the calendar year. Destroy 3 years after cutoff.
DispAuthNo:	DAA-0059-2011-0006-0007 Date Edited: 11/19/2013
A-11-036-14	Performance and Accountability Reports (PPD)
Description:	Files contain copies of Performance Accountability Reports submissions to the Office of Management and Budget (OMB); tracking of performance measurements and resources for program requirements for security domestic offices and overseas posts and other related documentation.
Disposition:	Temporary. Cutoff annually. Destroy 5 years after cutoff or when no longer needed, whichever is later.
DispAuthNo:	DAA-0059-2011-0006-0008 Date Edited: 2/18/2014
A-11-036-15	Mission Strategic Plan Working Files (PPD)
Description:	Correspondence, memorandums, plans, reports, cables, cost analysis and other related subject regarding strategic planning process for security matters.
Disposition:	Temporary. Cutoff annually. Destroy 3 years after cutoff.
DispAuthNo:	DAA-0059-2011-0006-0009 Date Edited: 2/18/2014
A-11-036-16	Congressional and Agency Correspondence Files (FOIA-PA)
Description:	Copies of congressional correspondence, litigation taskers and other documentation related to official requests includes but not limited to Congress, Department of Defense, Department of Justice, internal bureaus and other agencies referred to Diplomatic Security requiring a search of DS records and the preparation of a response.
Disposition:	Temporary. Cutoff annually. Destroy 5 years after cutoff.
DispAuthNo:	DAA-0059-2011-0006-0010 Date Edited: 2/18/2014

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A-11-036-17 Security Administrative Records

Description: Records about routine facility security, protective services, and personnel security program administration. Includes:

- status reports on cleared individuals and other reports
- staffing level and work planning assessments, such as guard assignment records
- standard operating procedures manuals

Disposition: Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (Supersedes GRS 18, item 8)

DispAuthNo: DAA-GRS-2017-0006-0001 (G **Date Edited:** 9/11/2017

A-11-036-18 Time and Attendance Records

Description: Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.

Includes forms such as OF 71, DS-7100, and DS-1216

Legal citation: 29 U.S.C. 516.5a

Disposition: Temporary. Destroy after GAO audit or when 3 years old, whichever is sooner. (Supersedes GRS 2, item 6a; GRS 2, item 6b; and GRS 2, item 7)

DispAuthNo: DAA-GRS-2016-0015-0003 (G **Date Edited:** 9/11/2017

A-11-036-21 Financial Management and Reporting Administrative Records

Description: Routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency travel.

Disposition: Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use. (Supersedes GRS 9, item 4a)

DispAuthNo: DAA-GRS-2016-0013-0001 (G **Date Edited:** 10/4/2017

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A-11-036-22 SmartPay Worldwide Purchase Card (Government Credit Card)

Description: Copies of monthly cardholder credit card statements and Designated Billing Official invoices, receipts, and related supporting documentation. Copies of reconciled/signed cardholder Monthly Credit Card Statements are maintained by both the Cardholder and Charleston (as the domestic finance office of DBO) and the FMO at each Post (for overseas records).

B. Transactions that under \$3,000

Disposition: Temporary. Destroy after GAO audit or when 3 years old, whichever is sooner.

DispAuthNo: N1-59-96-29, Item 1; (A-03-00 **Date Edited:** 11/19/2013

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Executive Director - Front Office

A-11-037-01 Executive Director Chronological Files

Description: Copies of various incoming and outgoing correspondence signed by the Director, including, but not limited to: memoranda, OIG requests/responses, internal instructions, reports, memoranda of understanding or agreement and briefing materials. The files are stored chronologically and are maintained by month and year.

Note: Record copies are retained in subordinate office(s).

Disposition: Temporary. Cut off end of the calendar year. Destroy 3 years after cut off or when no longer needed for reference, whichever is sooner.

DispAuthNo: N1-059-11-15, item 1

Date Edited: 11/7/2011

A-11-037-02 Tracking and Control Records

Description: Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA-approved SF 115.

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

DispAuthNo: GRS 4.1, Item 010

Date Edited: 3/9/2017

A-11-037-03 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

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A-11-037-04 Supervisors' Personnel Files

Description: Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.

Exclusion 1: Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records.

Exclusion 2: Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.

Disposition: Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer. (Supersedes GRS 1, item 18a and GRS 1, item 18b)

DispAuthNo: DAA-GRS-2017-0007-0012 (G) **Date Edited:** 9/1/2017

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A-11-037-05 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. (Supersedes GRS 23, item 1)

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

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A-11-037-06 Transitory Records

Description: Records required only for a short time (generally less than 180 days) and that are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include, but are not limited to:

- messages coordinating schedules, appointments, and events
- transmittal documents such as e-mail, letters, cover memos, and facsimile cover sheets that do not provide evidence of approval, concurrence, or decision-making, or include substantive comments
- received copies of circulated internal information such as agency instructions, notifications, circulars, newsletters, and email blasts to employees
- messages received from agency distribution lists or listservs
- “to-do” or task lists and assignments

Disposition: Temporary. Destroy when no longer needed for business use, or according to agency predetermined time period or business rule. (Supersedes GRS 23, item 6a; GRS 23, item 6b; and GRS 23, item 7)

DispAuthNo: DAA-GRS-2017-0003-0001 (G **Date Edited:** 9/25/2017

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Executive Director - Chief Technology Office

A-11-038-01 Program Management Files

Description: Files contain background material, reports, and other documentation on security requirements covering developments, evaluations, existing systems, interagency research, market research, new equipment, new systems, requirement developments, systems, and other related subjects. Includes but not limited to maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications and other related matters.

Disposition: Temporary. Destroy when obsolete or when superseded or no longer used by the Department.

DispAuthNo: DAA-0059-2011-0002-0001 **Date Edited:** 11/7/2011

A-11-038-02 CTO Correspondence Files

Description: Contains memorandums, correspondence, internal guidelines and other related information regarding management of Diplomatic Security (DS) infrastructures.

Disposition: Temporary. Cut off at end of the calendar year. Destroy two (2) years after cutoff.

DispAuthNo: DAA-0059-2011-0002-0002 **Date Edited:** 11/7/2011

A-11-038-03 Intra-Agency Agreement Files

Description: File contains copies of Intra-agency agreements for Department of State offices such as Memorandums of Understanding (MOUs), Memorandums of Agreements (MOAs), Service Level Agreements (SLAs), support documentation and other related information.

Disposition: Temporary. Destroy upon termination of MOA/SLA or when no longer needed.

DispAuthNo: DAA-0059-2011-0002-0003 **Date Edited:** 11/7/2011

A-11-038-04 Site Security Review Files

Description: Reports, spreadsheets, correspondence and other related documentation pertaining to computer security site reviews including but not limit to policy compliance (FAM, FISMA, etc), unauthorized access and equipment, intrusion issues, recommendations, deficiencies for the Department domestic facilities including Hawaii and Puerto Rico that are protection of Diplomatic Security (DS), Information System Security Officer (ISSO). Records are maintained by location.

Disposition: Temporary. Cutoff annually. Destroy 5 years after cutoff or when superseded, whichever is later.

DispAuthNo: DAA-0059-2011-0002-0004 **Date Edited:** 11/7/2011

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A-11-038-05 Enterprise Architecture Records

Description: Records that describe the agency's baseline or target enterprise or its information architecture, including technical reference models, diagrams, graphics, models, sequencing plans, and narratives.

Exclusion: Records of basic systems and services used to supply the agency and its staff with access to computers and data telecommunications (GRS 3.1 General Technology Management Records, item 010, Infrastructure project records, covers these).

Disposition: Temporary. Destroy 7 years after creating a new iteration of the enterprise or information architecture, but longer retention is authorized if required for business use. (Supersedes GRS 27, item 2)

DispAuthNo: DAA-GRS-2017-0009-0002 (G **Date Edited:** 1/18/2018

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A-11-038-06 Information Technology Program and Capital Investment Planning Records

Description: Records of agency IT program development and capital investment planning that document goals and milestones to achieve them; planning principles and activities; performance and evaluation measures such as TechStat reviews; and compliance with requirements such as OMB Circular A-130, the Federal Information Technology Acquisition Reform Act, and other laws. Includes:

- strategic and tactical plans
- records of internal agency governance boards supporting formally issued plans, including comments, concurrences, clearances, and justifications
- records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the Chief Information Officer (CIO) has sponsorship, leadership, or recordkeeping responsibilities
- reports and statistics documenting quantitative and qualitative performance measures, such as Government Performance and Results Act (GPRA) reporting
- portfolio management records, including clearance and review
- Reports on IT capital investments, such as OMB Exhibit 300 Major IT Business Cases (MITBCs) and IT Portfolio Summaries (ITPS), including IT Dashboard Exhibit 300 MITBC submissions
- business case development, review, and clearance records regarding major investments, systems, acquisitions, or operational assets

Exclusion 1: Policy records generated by the CIO (agencies must schedule these separately).

Exclusion 2: Records of Government-wide committees sponsored by CIOs, such as the Federal Chief Information Officers Council (the agency with responsibility for convening the committee must schedule its records separately).

Exclusion 3: System data or content (agencies must schedule these separately).

Exclusion 4: Systems development records (GRS 3.1, General Technology Management Records, item 011, System development records, covers these).

Exclusion 5: Records documenting system and operational level compliance with IT policies, directives, and plans (GRS 3.1 General Technology Management Records, item 040, Information technology oversight and compliance records, covers these).

Disposition: Temporary. Destroy when 7 years old, but longer retention is authorized if required for business use. (Supersedes GRS 27, item 1, GRS 27, item 3, and GRS 27, item 5)

DispAuthNo: DAA-GRS-2017-0009-0001 (G **Date Edited:** 1/18/2018)

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A-11-038-07a Oversight and Compliance Files

Description: Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.

a. Performance measurements and benchmarks

Disposition: Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded. (Supersedes GRS 24, item 1a).

DispAuthNo: GRS 3.1, item 040

Date Edited: 5/14/2015

A-11-038-07b Oversight and Compliance Files

Description: Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.

b. All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance

Disposition: Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded. (Supersedes GRS 24, item 1b).

DispAuthNo: GRS 3.1, item 040

Date Edited: 5/14/2015

A-11-038-08 IT Facility, Site Management, and Equipment Support Services Records

Description: Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence.

Disposition: Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded. Supersedes GRS 24, item 2).

DispAuthNo: GRS 3.1, item 020

Date Edited: 5/18/2015

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A-11-038-09a	IT Asset and Configuration Management Files
Description:	a. Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.
Disposition:	Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded. (Supersedes GRS 24, item 3a).
DispAuthNo:	GRS 3.1, item 020
	Date Edited: 5/18/2015
A-11-038-09b(1)	IT Asset and Configuration Management Files
Description:	b. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to: (1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.
Disposition:	Temporary. Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes. (Supersedes GRS 24, item 3b[1]).
DispAuthNo:	GRS 3.1, item 030
	Date Edited: 5/18/2015
A-11-038-09b(2)	IT Asset and Configuration Management Files
Description:	b. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to: (2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.
Disposition:	Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded. (Supersedes GRS 24, item 3b[2]).
DispAuthNo:	GRS 3.1, item 020
	Date Edited: 5/18/2015

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A-11-038-10a(1)	System Backups and Tape Library Records
Description:	a. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data. (1) Incremental backup tapes.
Disposition:	Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (Supersedes GRS 24, item 4a[1]).
DispAuthNo:	GRS 3.2, item 040
	Date Edited: 5/18/2015
A-11-038-10a(2)	System Backups and Tape Library Records
Description:	a. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data. (2) Full backup tapes.
Disposition:	Temporary. Destroy when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later. (Supersedes GRS 24, item 4a[2]).
DispAuthNo:	GRS 3.2, item 041
	Date Edited: 5/18/2015
A-11-038-10b	System Backups and Tape Library Records
Description:	b. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs.
Disposition:	Temporary. Destroy when no longer needed. (Supersedes GRS 24, item 4b)
DispAuthNo:	GRS 4.1, item 010
	Date Edited: 6/20/2017
A-11-038-11a	Files Related to Maintaining the Security of Systems and Data
Description:	a. System Security Plans and Disaster Recovery Plans.
Disposition:	Temporary. Destroy 1 year after system is superseded by a new iteration or when no longer needed for agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system. (Supersedes GRS 24, item 5a).
DispAuthNo:	GRS 3.2, item 010
	Date Edited: 5/18/2015

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A-11-038-11b	Files Related to Maintaining the Security of Systems and Data
Description:	b. Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data.
Disposition:	Temporary. Destroy 1 year after system is superseded by a new iteration or when no longer needed for agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system. (Supersedes GRS 24, item 5b).
DispAuthNo:	GRS 3.2, item 010
	Date Edited: 5/18/2015
A-11-038-12a	User Identification, Profiles, Authorizations, and Password Files - EXCLUDING records relating to electronic signatures
Description:	a. Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records.
Disposition:	Temporary. Destroy 6 years after password is altered or user account is terminated. (Supersedes GRS 24, item 6a).
DispAuthNo:	GRS 3.2, item 031
	Date Edited: 6/20/2017
A-11-038-12b	User Identification, Profiles, Authorizations, and Password Files - EXCLUDING records relating to electronic signatures
Description:	b. Routine systems, i.e., those not covered by item 6a.
Disposition:	Temporary. Destroy when business use ceases. (Supersedes GRS 24, item 6b).
DispAuthNo:	GRS 3.2, item 030
	Date Edited: 5/18/2015
A-11-038-13	Computer Security Incident Handling, Reporting and Follow-up Records
Description:	
Disposition:	Temporary. Destroy 3 years after all necessary follow-up actions have been completed. (Supersedes GRS 24, item 7).
DispAuthNo:	GRS 3.2, item 020
	Date Edited: 5/18/2015
A-11-038-14a	IT Operations Record
Description:	a. Workload schedules, run reports, and schedules of maintenance and support activities.
Disposition:	Temporary. Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by the National Archives. (Supersedes GRS 24, item 8a).
DispAuthNo:	GRS 3.2, item 050
	Date Edited: 5/18/2015

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A-11-038-14b IT Operations Records

Description: b. Problem reports and related decision documents relating to the software infrastructure of the network or system.

Disposition: Temporary. Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file. (Supersedes GRS 24, item 8b).

DispAuthNo: GRS 3.2, item 051 **Date Edited:** 5/18/2015

A-11-038-15a Financing of IT Resources and Services

Description: a. Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements

Disposition: Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded. (Supersedes GRS 24, item 9a).

DispAuthNo: GRS 3.1, item 020 **Date Edited:** 5/18/2015

A-11-038-15b Financing of IT Resources and Services

Description: b. Files related to managing third-party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance.

Disposition: Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded. (Supersedes GRS 24, item 9b).

DispAuthNo: GRS 3.1, item 020 **Date Edited:** 5/18/2015

A-11-038-15c Financing of IT Resources and Services

Description: c. Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services EXCLUDING records that are part of the agency cost accounting system, which are covered in GRS 8, items 6 and 7.

Disposition: Temporary. Temporary. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded. (Supersedes GRS 24, item 9c).

DispAuthNo: GRS 3.1, item 020 **Date Edited:** 5/18/2015

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A-11-038-16 Technical and Administrative Helpdesk Operational Records

Description:

- records of incoming requests (and responses) made by phone, email, web portal, etc.
- trouble tickets and tracking logs
- quick guides and "Frequently Asked Questions" (FAQs)
- evaluations and feedback about help desk services
- analysis and reports generated from customer management data
- customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports

Exclusion: Public customer service records scheduled under GRS 6.5.

Disposition: Temporary. Destroy/delete when 1 (one) year old or when no longer needed for review and analysis, whichever is later. (Supersedes GRS 24, item 10a and GRS 24, item 10b)

DispAuthNo: DAA-GRS-2017-0001-0001 (G) **Date Edited:** 9/13/2017

A-11-038-17a IT Infrastructure Design and Implementation Files

Description: Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.

a. Records for projects that are not implemented.

Disposition: Temporary. Destroy 5 years after project is terminated. (Supersedes GRS 24, item 11a).

DispAuthNo: GRS 3.1, item 010 **Date Edited:** 5/20/2015

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A-11-038-17b **IT Infrastructure Design and Implementation Files**

Description: Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.

b. Records for projects that are implemented.

Disposition: Temporary. Destroy 5 years after project is terminated. (Supersedes GRS 24, item 11b).

DispAuthNo: GRS 3.1, item 010

Date Edited: 5/20/2015

A-11-038-17c **IT Infrastructure Design and Implementation Files**

Description: Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.

c. Installation and testing records.

Disposition: Temporary. Destroy 5 years after project is terminated. (Supersedes GRS 24, item 11c).

DispAuthNo: GRS 3.1, item 010

Date Edited: 5/20/2015

A-11-038-18 **Chron/Reference Files**

Description: Copies of correspondence, reports, special studies, internal instructions, information materials, and other documents used solely for reference purposes (Official copy retained in subordinate office(s)).

Disposition: Temporary. Destroy material when no longer needed for reference.

DispAuthNo: Non-Record

Date Edited: 11/7/2011

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A-11-038-19 Time and Attendance Source records

Description: All time and attendance records upon which leave input data is based, such as sign-in sheets; DS-1194, Time and Attendance Reports; JF-56, Authorization of Premium Compensation; DS-1734M, Tatel/PC (draft and final report); DS-1216, Leave Statements; flextime records, and leave applications for jury and military duty. Records may be in either electronic or paper form.

Disposition: Temporary. Destroy after GAO audit or when 3 years old, whichever is sooner. (Supersedes GRS 2, item 7)

DispAuthNo: DAA-GRS-2016-0015-0003 (G **Date Edited:** 1/16/2018

A-11-038-20 Building Pass Files

Description: Card Issuance File.

Authorization to Issue Permanent Department of State Employee I.D. Card (DS-1838), Authorization to Issue Department of State Building Pass (DS-1839), and other documentation on I.D. cards and building passes covering authorizations, buildings, issuances, and other related subjects. (A-11-003-11a)

Disposition: Temporary. Destroy when 1 (one) year old.

DispAuthNo: N1-059-94-43, item 35a **Date Edited:** 11/7/2011

A-11-038-21a(1) Training Records

Description: a. General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency

(1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.

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(1))

DispAuthNo: GRS 2.6, Item 010 **Date Edited:** 3/9/2017

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A-11-038-21a(2)	Training Records
Description:	a. General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency (2) Background and working files.
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: 8/28/2017

A-11-038-22a	Information Security Files - Arrange by TAGS and Terms
Description:	Policies and procedures documentation on information security standards, operations, and compliance covering access, accountability, administratively controlled information, classified information, communications security, compromises, controls, declassification, destruction, disposition, dissemination, enforcement, evaluations, guides, identification, inspections, markings, open storage, protection, reproduction, security violations, storage, surveys, Tempest, training, transmission, transportation, unauthorized disclosures, unit security officers, upgrading, and other related subjects. a. Program File.
Disposition:	Temporary. Cut off file at end of each calendar year. Destroy 3 (three) years after cutoff date.
DispAuthNo:	N1-059-94-43, item 37a Date Edited: 11/7/2011

A-11-038-22b	Information Security Files - Arrange by Post
Description:	Policies and procedures documentation on information security standards, operations, and compliance covering access, accountability, administratively controlled information, classified information, communications security, compromises, controls, declassification, destruction, disposition, dissemination, enforcement, evaluations, guides, identification, inspections, markings, open storage, protection, reproduction, security violations, storage, surveys, Tempest, training, transmission, transportation, unauthorized disclosures, unit security officers, upgrading, and other related subjects. b. Post File. b. Post File.
Disposition:	TEMPORARY. Cut off file at end of each calendar year. Retire to RSC 3 (three) years after cutoff date for transfer to WNRC. Destroy 5 (five) years cutoff date.
DispAuthNo:	N1-059-94-43, item 37b Date Edited: 11/7/2011

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A-11-038-23a	Information Systems Security - Program File - Arrange by post or project whenever appropriate - Arrange sub-files by TAGS and Terms when applicable		
Description:	Correspondence and other documentation on information systems security covering analyses, communications, computers, procedures, projects, research, studies, training material, and other related subjects. a. Computer Security Evaluation Reports (COMPUSEC) and Communication Security Evaluation Reports (COMSEC).		
Disposition:	Temporary. Cut off file at end of each calendar year. Destroy when new report is issued.		
DispAuthNo:	N1-059-94-43, item 27a	Date Edited:	11/7/2011
A-11-038-23b	Information Systems Security - Program File - Arrange by post or project whenever appropriate - Arrange sub-files by TAGS and Terms when applicable		
Description:	Correspondence and other documentation on information systems security covering analyses, communications, computers, procedures, projects, research, studies, training material, and other related subjects. b. All other items.		
Disposition:	Cut off file at end of each calendar year. Destroy 3 years after cutoff date.		
DispAuthNo:	N1-059-94-43, item 27b	Date Edited:	11/7/2011

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Executive Director - Chief Financial Officer

A-11-040-01	Chief Financial Officer's Budget Correspondence Files [Financial Planning Division]
Description:	Correspondence files documenting the Department's budget policy and procedures including internal procedures, routine administration, and other matters relating to Diplomatic Security budgetary activities.
Disposition:	Temporary. Cut off at end of fiscal year. Destroy 5 years after cutoff.
DispAuthNo:	N1-059-11-14, item 1 Date Edited: 10/7/2011
A-11-040-02	Budget Apportionment Files [Financial Planning Division]
Description:	Recordkeeping copies of Diplomatic Security budget estimates and justifications prepared by bureau and subordinates regarding worldwide allotment, obligations and expenditures.
Disposition:	Temporary. Cut off when funding has been expended. Destroy 7 years after cutoff.
DispAuthNo:	N1-059-11-14, item 2 Date Edited: 10/7/2011
A-11-040-03	Reimbursement Files [Financial Planning Division]
Description:	Copies of reimbursements with other agencies, funding, justifications, payment information and other related documentation regarding Diplomatic Security activities.
Disposition:	Temporary. Cut off at end of fiscal year. Destroy 6 years and 3 months after cutoff.
DispAuthNo:	N1-059-11-14, item 3 Date Edited: 10/7/2011
A-11-040-04	Miscellaneous Obligations [Financial Execution Division]
Description:	Funds expended for obligations with one year expiration, trans codes, training, interagency agreements and other related documentation.
Disposition:	Temporary. Destroy 6 years and 3 months after close out of the appropriation, or in the case of no year appropriation until expended whichever is later.
DispAuthNo:	N1-059-11-14, item 4 Date Edited: 10/7/2011
A-11-040-05	Advice of Allotment
Description:	Documentation of funds allocated for Diplomatic Security activities worldwide regarding travel, training, equipment, supplies and other related information that is maintained in the Budget Resource Management System (BRMS).
Disposition:	Temporary. Cutoff end of fiscal year. Destroy 6 years and 3 months after cutoff.
DispAuthNo:	N1-059-11-14, item 5 Date Edited: 10/7/2011

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A-11-040-06 Budget Administration Records

Description: Records documenting administration of budget office responsibilities. Includes:

- correspondence relating to routine administration, internal procedures, and other day-to-day matters
- records monitoring expenditures under approved budget allocations
- records of financial controls maintenance
- spreadsheets and databases tracking income, expenditures, and trends
- work planning documentation
- cost structure and accounting code lists
- feeder and statistical reports
- related correspondence

Disposition: Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (Supersedes GRS 5, item 1)

DispAuthNo: DAA-GRS-2015-0006-0007 (G **Date Edited:** 1/18/2018

A-11-040-07 Budget Preparation Background Records

Description: Records held at all other offices. Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.

Disposition: Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use. (Supersedes GRS 5, item 2)

DispAuthNo: DAA-GRS-2015-0006-0006 (G **Date Edited:** 1/18/2018

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A-11-040-08 Budget Formulation, Estimates, Justification, and Submission Records, Fiscal Year 2017 and Forward

Description: Includes records such as:

- guidance and briefing materials
- agency or department copy of final submission to OMB and Congress
- narrative statements justifying or defending estimates (sometimes called “Green Books”)
- briefing books and exhibits
- language sheets and schedules
- OMB and Congress pass-back responses and questions; agency appeals, responses, and answers
- testimony at, and other agency records of, Congressional hearings
- final settlement or approved appropriation

Exclusion: This item applies only to agencies that submit their budget requests via OMB. Agencies that do not submit budget requests via OMB are excluded from using this item. Such agencies must submit schedules to NARA to cover their budget submission records.

Disposition: Temporary. Destroy 6 years after close of fiscal year, but longer retention is authorized if required for business use. (Supersedes GRS 5, item 2)

DispAuthNo: DAA-GRS-2015-006-0001 (G **Date Edited:** 1/18/2018

A-11-040-09 Budget Reports

Description: Full fiscal-year reports. Standard Form 133, Report on Budget Execution and Budgetary Resources, or equivalent. Periodic status reports on agency's proposed rate of expenditure, appropriations, obligations, apportionments and outlays.

Disposition: Temporary. Destroy when 5 years old, but longer retention is authorized if required for business use. (Supersedes GRS 5, item 3a)

DispAuthNo: DAA-GRS-2015-0006-0003 (G **Date Edited:** 1/18/2018

A-11-040-10 Budget Reports

Description: All other reports. Standard Form 133, Report on Budget Execution and Budgetary Resources, or equivalent. Periodic status reports on agency's proposed rate of expenditure, appropriations, obligations, apportionments and outlays.

Disposition: Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (Supersedes GRS 5, item 3b)

DispAuthNo: DAA-GRS-2015-0006-0004 (G **Date Edited:** 1/18/2018

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A-11-040-11	Expenditure Accounting General Correspondence and Subject Files
Description:	Correspondence or subject files maintained by operating units responsible for expenditure accounting, pertaining to their internal operations and administration.
Disposition:	Temporary. Destroy when 3 years old, but longer retention is authorized if needed for business use. (Supersedes GRS 7, item 1)
DispAuthNo:	GRS 1.1, Item 001 Date Edited: 3/13/2017
A-11-040-12	Appropriation Allotment Files
Description:	Allotment records showing status of obligations and allotments under each authorized appropriation. Record copy is maintained in the Global Financial Management System (GFMS).
Disposition:	Temporary. Destroy 6 years after final payment or cancellation. (Supersedes GRS 7, item 3).
DispAuthNo:	GRS 1.1, item 010 Date Edited: 5/20/2015
A-11-040-13	Procurement Files
Description:	Procurement records support financial expenses incurred by the Bureau of Diplomatic Security that include but not limited to goods, services, credit card orders, purchase orders, petty cash and other related expenditures. Records copies are maintained in Ariba - Integrated Logistics Management System (ILMS).
Disposition:	Temporary. Destroy 6 years after final payment or cancellation. (Supersedes GRS 3, item 3a[1][a]).
DispAuthNo:	GRS 1.1, item 010 Date Edited: 5/20/2015
A-11-040-14	Travel Files - Reimbursable
Description:	Copies of records relating to reimbursing individual, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by Diplomatic Security officers, employees, or other authorized by law to travel. Record copies maintained in E2 Solutions.
Disposition:	Temporary. Destroy 6 years after final payment or cancellation. (Supersedes GRS 6, item 1a).
DispAuthNo:	GRS 1.1, item 010 Date Edited: 5/20/2015

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Executive Director - Office of Human Resources Management

A-11-041-01 Administrative Personnel Working Files

Description: Arranged by employee name. Files contain copies of correspondence and forms maintained in Official Personnel File including but not limited to Enter On Duty (EOD) checklist, personnel actions, tax withholding forms, benefit election forms, travel orders, emergency contact information and other documentation related personnel functions.

Disposition: Temporary. Cutoff upon separation or transfer of an employee. Destroy 2 years after cutoff.

DispAuthNo: DAA-0059-2011-0004-0001 **Date Edited:** 2/6/2012

A-11-041-02 Employees Performance Working Files

Description: Arranged by employee name. Files contain convenience copies of performance related personnel records held in the Human Resource office covering such items as performance appraisals, awards nominations and notifications.

NOTE: Upon separation or transfer of an employee, combine and store inactive employee's personnel and performance files in the appropriate designated repository. Destroy as directed by appropriate records disposition.

Disposition: Temporary. Cutoff upon separation or transfer of an employee. Destroy 2 years after cutoff.

DispAuthNo: DAA-0059-2011-0004-0002 **Date Edited:** 2/6/2012

A-11-041-03 Interagency Agreements

Description: File contains copies of Memorandums of Understanding (MOU) and Memorandums of Agreement (MOA) with other U.S. Government agencies. Includes but limited to detailed personnel, background information, and support documentation of interagency agreements.

Disposition: Temporary. Destroy upon termination or expiration of interagency agreement or when no longer needed, whichever is later.

DispAuthNo: DAA-0059-2011-0004-0003 **Date Edited:** 2/6/2012

A-11-041-04 Personal Services Contract Files

Description: Copies of personal service contracts, renewal forms, exercise of option year forms, modifications and other related documentation regarding employment position. Personal Services Contracts maintained by DS generated contract number.

Record copy of individual personal service contracts maintained in DS/CAP.

Disposition: Temporary. Cutoff when contract expires. Destroy 2 years after cutoff.

DispAuthNo: DAA-0059-2011-0004-0004 **Date Edited:** 2/6/2012

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A-11-041-05 **Personal Services Contract (PSC) Employee Files**

Description: Copies of employees HRPSC021 Request for Contract Action (Personal Services Contract), JF-62, PSC salary worksheet computation, statement of work, security clearance, résumé, certificate of eligibles, superior qualifications approval memo, medical clearance (for PSCs overseas), final letter of offer, performance evaluations (for PSC renewals), correspondence, PSC contract checklist, copies of contracts, and various personnel forms and financial forms relating to activities of contractors. Files maintained alphabetically by employee names.

Record copy of individual personal service contract employees files maintained in DS/CAP.

Disposition: Temporary. Cutoff when employee has separated or terminated. Destroy 2 years after cutoff.

DispAuthNo: DAA-0059-2011-0004-0005 **Date Edited:** 2/6/2012

A-11-041-06 **Personal Services Contract Tracking Log**

Description: PSC tracking log contain information regarding the PSC employment positions in Diplomatic Security. Information extracted includes but not limited to the DSPSC number, position title/series/grade, bureau, new/renewal indicator, position announcement number, classification, program office, selection and other logistical information regarding the positions.

Disposition: Temporary. Destroy/Delete when no longer needed. To maintain readability migrate data when system is superseded.

DispAuthNo: DAA-0059-2011-0004-0006 **Date Edited:** 2/6/2012

A-11-041-07 **Law Enforcement Retirement Verification Case Files**

Description: Files contain information pertaining to law enforcement employees that have separated and/or converted to civil service that includes but not limited to historical research, retirement verification request form, personnel action (SF50), subject expert reviews, performance evaluation, correspondence and other related documentation. Files arranged by name.

Disposition: Temporary. Cutoff when employee transfers, separate or converts civil service. Destroy 10 years after retirement of employee.

DispAuthNo: DAA-0059-2011-0004-0007 **Date Edited:** 2/6/2012

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A-11-041-08a **RECRUIT**

Description: a. Master File:

RECRUIT is an application that provides DS with a single location to enter and track applicants for DS-unique security specialty positions. DS requires staff with specialized skills not utilized within the remainder of the Department. The RECRUIT application was developed in concert with the HR Bureau to integrate within the Department's hiring process. During the recruitment of staff with specialized skills, RECRUIT enables DS to collect specialty information and qualifications on job candidates and to refine candidate pools in a progressive manner to a hiring decision.

Disposition: Temporary. Destroy/delete master file data 5 years after a position is closed.

DispAuthNo: DAA-0059-2011-0004-0008

Date Edited: 2/6/2012

A-11-041-08b **Intermediary Records**

Description: RECRUIT system records including hard copy documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system. Also includes adhoc reports, statistics, and metadata for reference purposes.

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: 9/27/2017

A-11-041-08d **RECRUIT**

Description: d. Systems Backups:

System Backups and Tape Library Records. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

Disposition: Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later, (Supersedes GRS 24, item 4a[1]).

DispAuthNo: GRS 3.2, item 040

Date Edited: 5/20/2015

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A-11-041-08e RECRUIT

Description: e. System Documentation:

Includes systems requirements, system design, and user guides.

Disposition: Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system. (Supersedes GRS 20, item 11a[1]).

DispAuthNo: GRS 3.1, item 051

Date Edited: 5/20/2015

A-11-041-09 Law Enforcement Availability Pay Records

Description: Quarterly and annual hours worked reports; initial and annual employee certifications; employee re-certifications after voluntary and/or involuntary decertification; LEAP Panel records (correspondence and determinations); LEAP memos to employees – recommendation to decertify, decision memo to Director of DSS, decertification notification. Records may be in either electronic or paper form.

Disposition: Temporary. Cutoff annually. Destroy 7 years after cutoff.

DispAuthNo: DAA-0059-2011-0004-0011

Date Edited: 2/6/2012

A-11-041-10 Time and Attendance Records

Description: Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.

Includes Law Enforcement Availability Pay Log (LEAP) on spreadsheet document details that includes but not limited to the participant name, work hours, time reconciliations, work identification number, and other related information.

Legal citation: 29 U.S.C. 516.5a

Disposition: Temporary. Destroy after GAO audit or when 3 years old, whichever is sooner. (Supersedes GRS 2, item 7)

DispAuthNo: DAA-GRS-2016-0015-0003 (G

Date Edited: 9/11/2017

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A-11-041-11 **Workers' Compensation (personnel injury compensation) Records**

Description: Records of agencies that forward case file material to DOL for retention in DOL's master OWCP records.

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:

- forms, reports, correspondence, claims
- medical and investigatory records
- administrative determinations or court rulings
- payment records

Exclusion 1: Copies filed in the Employee Medical Folder.

Exclusion 2: Records created and maintained by the Department of Labor's Office of Workers' Compensation.

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-11-041-12 **Applicant Working Files**

Description: Arranged by employee name. Files contain application, test results, and request for security clearance form for civil and foreign service employees.
Note: Individual Employee Records. Paperwork for Foreign Service is forwarded to HR/REE.

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-11-041-13 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
- 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
- DS-4031 Superior Qualification Appointment checklists

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-11-041-14 Administrative Grievance, Disciplinary, and Adverse Action Files

Description: Performance-based action files. Case files and records related to effected performance based actions against employees. Includes:

- performance appraisal
- performance improvement plan
- supporting documents
- copy of the proposed performance-based action
- employee's reply
- decision notices
- hearing notices
- appeal records

Disposition: Temporary. Destroy no sooner than 4 years but no later than 7 years after case is closed. (Supersedes GRS 1, item 30b)

DispAuthNo: DAA-GRS-2015-0007-0023 (G) **Date Edited:** 9/5/2017

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A-11-041-15 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 36c)

DispAuthNo: DAA-GRS-2017-0010-0016 (G **Date Edited:** 1/18/2018)

A-11-041-17 Employee Incentive Award Records

Description: Agency awards files, including recommendations, approved nominations, correspondence, and reports about agency-sponsored cash and noncash awards (such as lump-sum cash awards, honorary awards, informal recognition awards, cost savings awards, and time off awards). Also, includes correspondence about awards from other Federal agencies or non-Federal organizations and to former employees.

Exclusion: Records of Department-level awards require agency-specific schedules.

Disposition: Temporary. Destroy when 2 years old or 2 years after award is approved or disapproved, whichever is later, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 12a(1))

DispAuthNo: DAA-GRS-2017-0007-0003 (G **Date Edited:** 9/1/2017)

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A-11-041-18 Donated Leave Program Individual Case Files

Description: Records documenting leave donation and receipt, including recipient applications; agency approvals or denials; medical or physician certifications; and records of leave donations, supervisor approvals, leave transfers, payroll notifications, and terminations from the program.

Disposition: Temporary. Destroy 1 year after the employee receiving leave is no longer participating in the program, but longer retention is authorized if required for business use. (Supersedes GRS 1, item 37)

DispAuthNo: DAA-GRS-2016-0015-0009 (G **Date Edited:** 9/7/2017

A-11-041-19 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-11-041-20 Desk Audit Files

Description: Inspection, audit, and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations. Files arranged by name, position and organization.

Disposition: Temporary. Destroy when obsolete or superseded.

DispAuthNo: GRS 1, item 7c(2) **Date Edited:** 2/6/2012

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A-11-041-21 Employee Counseling Files

Description:	Reports of interviews, analyses and related records. Files arranged by individual names.
	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:
	<ul style="list-style-type: none">• 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: 1/18/2018

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Certification, Accreditation and Transit Security Branch

A-11-043-01 Accreditation Inspections Program Files

Description: Accreditation inspection reports certified to Congress; physical and technical evaluations; cables and other related documentation to ensure compliance with Overseas Security Policy Board (OSPB) security standards, construction security plans and operational security systems prior to occupancy of a facility. The files are arranged by post.

Disposition: TEMPORARY. Cutoff when facility is decommissioned. Destroy/delete five (5) years after cutoff.

DispAuthNo: DAA-0059-2011-0008-0001 **Date Edited:** 10/5/2012

A-11-043-02a Transit Security Program Files

Description: Copies of whole and/or partial contracts; documentation regarding consolidated receiving point certifications; container certification schedules and container decertification schedules; shipping schedules; correspondence, memoranda, telegrams related to transit security plans, procurement, projects, shipments, storage and other related information. Files are arranged by subject.

a. Anomaly - Documentation regarding irregularities occurring during shipping and transiting of materials.

Disposition: TEMPORARY. Cut off when the facility to which anomaly relates is decommissioned. Destroy/delete 5 years after cut off. Supersedes N1-059-94-43, item 60 and item 61

DispAuthNo: DAA-0059-2011-0008-0002 **Date Edited:** 8/20/2012

A-11-043-02b Transit Security Program Files

Description: b. Non-Anomaly/Regular - Documentation regarding shipping and transiting of materials without irregularities.

Disposition: TEMPORARY. Cut off files annually. Destroy/delete 5 years after cut off or when no longer needed, whichever is later.

DispAuthNo: DAA-0059-2011-0008-0003 **Date Edited:** 10/22/2012

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A-11-043-03	Construction Security Certification - Program File - Arrange by post
Description:	Congressionals, correspondence, memoranda, and telegrams on construction security certifications (physical and technical), background information, buildings, certifications, construction, drawings, inspections, phases, plans, projects, renovations, residences, security, and standards.
Disposition:	TEMPORARY: Retire to RSC three (3) years after certification for transfer to WNRC. Destroy 10 years after certification.
DispAuthNo:	N1-059-94-43, item 50
	Date Edited: 8/21/2012

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Special Investigations Division

A-11-044-01 Criminal Investigations Case Files

Description: Contains documentation on criminal investigations of Department of State employees, contractors, local employed staff, and all U.S. Government personnel under the Chief of Mission authority who have been accused of, but not limited to, misconduct related to unauthorized disclosure, compromise of classified and sensitive information, financial wrongdoing, abuse or misuse of Diplomatic Pouch, sexual assault, suspicious death, homicide or suicide of an Employee, domestic violence, child abuse and child neglect, and use of unnecessary force. Supersedes N1-059-94-43, item 74

Disposition: Temporary. Cutoff at end of calendar year in which case closed. Retire 5 years after cutoff. Destroy 30 years after cutoff.

DispAuthNo: DAA-0059-2011-0010-0001 **Date Edited:** 1/3/2013

A-11-044-02 Administrative Investigations Case Files

Description: Contains documentation on administrative investigations of Department of State employees, contractors, local employed staff, and all U.S. Government personnel under the Chief of Mission authority who have been accused of, but not limited to, workplace violence, loss and/or theft of DS Special Protective Equipment, fraud, computer misuse (i.e. gambling, pornographic content), substance abuse and media (lost/misuse). Supersedes N1-059-94-43, item 70

Disposition: Temporary. Cutoff at end of calendar year in which case closed. Retire 5 years after cutoff. Destroy 30 years after cutoff.

DispAuthNo: DAA-0059-2011-0010-0002 **Date Edited:** 1/3/2013

A-11-044-03a Investigative Management System (IMS-C) - Classified

Description: a. Master File

An electronic tracking system used to control and document criminal and administrative investigations. Information covers case background, case allegation, case documented interviews, evidence, surveillance videos/audio tapes, pictures, post records and foreign government records, and related investigative information.

Disposition: Temporary. Destroy/delete master file data 100 years after case closes. NOTE: If the Bureau of Diplomatic Security becomes aware of any significant or precedent-setting cases that may warrant preservation, notify NARA for an independent appraisal of these cases.

DispAuthNo: N1-059-09-36, item 1a **Date Edited:** 12/3/2014

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A-11-044-03b Intermediary Records

Description: Investigative Management System (IMS-C) - Classified records including electronic documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system. Also includes adhoc reports, statistics, and metadata for reference purposes.

Note 1: An agency must submit a notification to NARA per 36 CFR 1225.24(a)(1) prior to destroying hardcopy input records previously scheduled as permanent. An agency must schedule the electronic version of unscheduled hardcopy input records prior to destroying the input record.

Legal citations: 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1)

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:** 9/28/2017

A-11-044-03d Investigative Management System (IMS-C) - Classified

Description: d. System Backups:

System Backups and Tape Library Records. Backup Tapes maintained for potential system restoration in the event of a system failure or other unintentional

Disposition: Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (Supersedes GRS 24, item 4a[1]).

DispAuthNo: GRS 3.2, item 040 **Date Edited:** 5/20/2015

A-11-044-03e Investigative Management System (IMS-C) - Classified

Description: e. System Documentation

Includes systems requirements, system design, and user guides.

Disposition: Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system. (Supersedes GRS 20, item 11a[1]).

DispAuthNo: GRS 3.1, item 051 **Date Edited:** 5/20/2015

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A-11-044-04 Time and Attendance Records

Description: Sign-in/sign-out records, time cards, leave applications and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, etc.); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.

Includes forms such as OF 71, DS-7100, and DS-1216

Legal citation: 29 U.S.C. 516.5a

Disposition: Temporary. Destroy after GAO audit or when 3 years old, whichever is sooner. (Supersedes GRS 2, item 7)

DispAuthNo: DAA-GRS-2016-0015-0003 (G) **Date Edited:** 9/11/2017

A-11-044-05a Supervisors' Personnel Files

Description: Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.

Exclusion 1: Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are covered under GRS 2.3, Employee Relations Records.

Exclusion 2: Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.

Disposition: Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer. (Supersedes GRS 1, item 18a and GRS 1, item 18b)

DispAuthNo: DAA-GRS-2017-0007-0012 (G) **Date Edited:** 9/1/2017

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A-11-044-06 Budget Preparation Background Records

Description: Records held at all other offices. Preliminary budget estimates, justifications, cost statements, narrative statements, rough data, and similar materials from internal agency components (individual offices, divisions, programs, etc.) for use in preparing annual, agency-wide budget requests.

Disposition: Temporary. Destroy when 2 years old, but longer retention is authorized if required for business use. (Supersedes GRS 5, item 2)

DispAuthNo: DAA-GRS-2015-0006-0006 (G **Date Edited:** 1/18/2018

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Defensive Equipment and Armored Vehicles Division

A-11-045-01 Armored Vehicle - Purchasing Program Files

Description: Documentation on vehicles procurement, GSA purchasing documentation and shipping information.

Disposition: Temporary. Cut off file at the end of each fiscal year. Destroy one (1) year after vehicle is disposed of by Department of State. Supersede N1-059-94-43, item 47a

DispAuthNo: N1-059-11-17, item 1 **Date Edited:** 1/18/2013

A-11-045-02 Armored Vehicle - Program Files - Arrange by Vehicle ID Number

Description: Documentation on vehicles and other related security equipment by serialized inventory or identification number, covering cars condition, maintenance, planning, requests for vehicle, and other related subjects.

Disposition: Temporary. Cut off file at the end of each fiscal year. Destroy one (1) year after the Department of State disposed of the asset. Supersede N1-059-94-43, item 47a

DispAuthNo: N1-059-11-17, item 2 **Date Edited:** 1/18/2013

A-11-045-03 Armored Vehicle - Program Files - Arrange by Post

Description: Documentation on vehicles and vehicle condition, including cables and reports on defensive equipment covering cars condition, and maintenance planning.

Disposition: Temporary. Cut off file at the end of each fiscal year. Destroy one (1) year after the Department of State disposed of the asset. Supersede N1-059-94-43, item 47a

DispAuthNo: N1-059-11-17, item 3 **Date Edited:** 1/18/2013

A-11-045-04 Armored Vehicle - Contracts

Description: Copies of Award/Contract SF-26.

Disposition: Temporary. Destroy 3 years after completion of contract. (N1-059-94-43, item 49c)

DispAuthNo: N1-059-11-17, item 4 **Date Edited:** 1/18/2013

A-11-045-05 Defensive Equipment - Program Files - Arranged by Procurement Request

Description: Documentation on security equipment covering procurement of protective equipment and funding. Memorandums, cables, and ARIBA orders covering security equipment.

Disposition: Temporary. Destroy three (3) years after placement of order. Supersede N1-059-94-43, item 47b(2)

DispAuthNo: N1-059-11-17, item 5 **Date Edited:** 1/18/2013

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A-11-045-06	Defensive Equipment - Post Program Files - Domestic Offices
Description:	Documentation on security equipment covering maintenance and product integrity. Memorandums, inventories, and all historical documentation of firearms purchases and distribution. Copies of firearms transactions.
Disposition:	Temporary. Cut off when firearm has been destroyed and/or melted down. Destroy 25 years after cut off or when no longer needed, whichever is later
DispAuthNo:	N1-059-11-17, item 6 Date Edited: 1/18/2013
A-11-045-07	Defensive Equipment - Firearms Control Files
Description:	Documentation on security equipment covering maintenance and product integrity. Tracking database compiled regarding weapons information throughout it life cycle. The database includes but limited to the make, model, serial number, name assigned security person, shipping and other related information.
Disposition:	Temporary. Cut off when firearm has been destroyed and/or melted down. Destroy 25 years after cut off or when no longer needed, whichever is later.
DispAuthNo:	N1-059-11-17, item 7 Date Edited: 1/18/2013
A-11-045-08	Defensive Equipment – Program Files - Arrange by Agent
Description:	Documentation covering agents assigned duty firearms to include current location. Agent files, memorandums, messages, cables and other related materials.
Disposition:	Temporary. Cut off file at the end of Agent's career with Department of State. Destroy five (5) years after cut off. Supersede N1-059-94-43, item 47b(1)
DispAuthNo:	N1-059-11-17, item 8 Date Edited: 1/18/2013
A-11-045-09	Defensive Equipment - Post Program Files - Arrange by Overseas Post
Description:	Documentation covering special protective equipment shipments, special equipment, supplies, and other related subjects. Includes but not limited to posts, individuals, posts covering agents. Post Files. Status reports, firearms inventories, emails, inventories, disposition, shipping data and other related information pertaining to supplies and equipment provided to post.
Disposition:	Temporary. Cut off end of the calendar year. Destroy three (3) years after cut off or when no longer needed, whichever is later.
DispAuthNo:	N1-059-11-17, item 9 Date Edited: 1/18/2013

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A-11-045-10 Defensive Equipment - Procurement

Description: Documentation on security equipment covering maintenance, procurement, product integrity, protective equipment, shipments, special equipment, storage, supplies and other related subjects. Copies of award/contract SF 26.

Disposition: Temporary. Destroy three (3) years after completion of contract.

DispAuthNo: N1-059-11-17, item 10 **Date Edited:** 1/18/2013

A-11-045-11 Defensive Equipment – Equipment Requisitions - Arranged by Location.

Description: Documentation includes but not limited to emails, cables, memos, work orders and other related subjects covering requests for expendable and non-expendable equipment for domestic and overseas security officers from DS/PSP/DEAV Special Protective Equipment catalogue.

Disposition: Temporary. Cut off at the end of calendar year. Destroy three (3) years after cut off.

DispAuthNo: N1-059-11-17, item 11 **Date Edited:** 1/18/2013

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High Threat Programs Directorate (DS/HTP)

A-11-046-01 Executive Secretariat Memoranda

Description: Copies of Executive Secretariat memorandums pertaining to the Department of State's requests for Department of Defense (DoD) assistance in the evacuation of and deployment of special security forces to U.S. embassies, as well as support for DS security operations when required to provide security and protection to foreign heads of state in their own countries.

Disposition: Temporary. Destroy when 5 years old or when no longer needed for agency business, whichever is longer.

DispAuthNo: DAA-0059-2015-0008-0001 **Date Edited:** 7/22/2016

A-11-046-02 Director Chronological Files

Description: Copies of various incoming and outgoing correspondence signed by the Director, including, but not limited to the following: OIG requests/responses, internal instructions, reports, memoranda of understanding or agreement, and briefing materials. Files are stored chronologically and are maintained by month and year.

Disposition: Temporary. Cut off at end of calendar year. Destroy 3 years after cutoff or when no longer needed for reference, whichever is longer.

DispAuthNo: DAA-0059-2015-0008-0002 **Date Edited:** 7/22/2016

A-11-046-03 Action Memoranda and Information Memoranda Files

Description: Consist of requests for action and information memoranda from HTP on policy, projects, issues related to the protection of security, staff, budgetary matters, and criminal and administrative operations.

Disposition: Temporary. Cut off at end of calendar year. Destroy 3 years after cutoff or when no longer needed, whichever is longer.

DispAuthNo: DAA-0059-2015-0008-0003 **Date Edited:** 7/22/2016

A-11-046-04 Memoranda of Agreements (MOAs) and Memoranda of Understandings (MOUs)

Description: Interagency and intra-agency MOAs and MOUs regarding security operations at SOCOM, JSOC, CENTCOM and AFRICOM.

Disposition: Temporary. Cut off at end of calendar year in which signed. Destroy three (3) years after cutoff or when superseded, whichever is later.

DispAuthNo: DAA-0059-2015-0008-0004 **Date Edited:** 7/22/2016

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A-11-046-05 Congressional Correspondence Files

Description: Documents including Department testimonies and speeches, prepared press guidance, and memoranda prepared for the Bureau regarding legislative action of interest, responses to congressional requests, legislative referrals requesting DOS views on pending legislation, and testimonies, bills, or related correspondence by other agencies.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 2 years after cutoff.

DispAuthNo: DAA-0059-2015-0008-0005 **Date Edited:** 7/22/2016

A-11-046-06 Inspector General Reports

Description: Copies of Office of Inspector General (OIG), security oversight, and audit reports, as well as, documents relating to tasking actions involving OIG report recommendations and reports of coordinating actions and responses to OIG recommendations.

Disposition: Temporary. Destroy 6 years, 3 months after action is closed by the OIG.

DispAuthNo: DAA-0059-2015-0008-0006 **Date Edited:** 7/22/2016

A-11-046-07 High Profile Case Files

Description: Historical Files and cases that reflect distinctive DOS activities, attract media or Congressional interest, or are otherwise historically significant. Files are comprised of all records related to the case or incident, including memoranda, reports, program reviews, correspondence and cables, and general correspondence.

Disposition: Permanent. Retire to RSC 3 years after case closes for transfer to Washington National Records Center (WNRC). Transfer to the National Archives when 25 years old.

DispAuthNo: DAA-0059-2015-0008-0007 **Date Edited:** 7/22/2016

A-11-046-08 Routine Case Files

Description: All other cases that do not meet the criteria for high profile cases.

Disposition: Temporary. Review every 5 years. Destroy 20 years after case has been determined to no longer have any security interest.

DispAuthNo: DAA-0059-2015-0008-0008 **Date Edited:** 7/22/2016

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A-11-046-09 Post Security Program Review

Description: Correspondence, memoranda, and inspection reports on post security activities covering ambassador briefings, crisis management, local guards, RSO travel, Post Security Program Reviews, security committees and groups, surveys, U.S. Marines, and other related subjects.

Disposition: Temporary. Destroy when superseded.

DispAuthNo: DAA-0059-2015-0008-0009 **Date Edited:** 7/22/2016

A-11-046-10 Special Program Files

Description: Copies of cables, emails, reports and memoranda, arranged by embassies, regarding special teams that previously supported Regional Security Officers (RSO) overseas.

Disposition: Temporary. Destroy when 5 years old or when no longer needed for agency business, whichever is longer.

DispAuthNo: DAA-0059-2015-0008-0010 **Date Edited:** 7/22/2016

A-11-046-11 Regional Survey Test (RST) Records

Description: Records used in DS sponsored programs, funded by DoD, including coordination for security surveys, quarterly coordination requirements, and approval cables from U.S. Embassies, Consulates, and Consulate Generals as part of a program designed to assist with updating the Diplomatic facility's Emergency Action Plans (EAP).

Disposition: Temporary. Cut off annually. Destroy when superseded.

DispAuthNo: DAA-0059-2015-0008-0011 **Date Edited:** 7/22/2016

A-11-046-12 DS Liaison Office Records (DSLNO)

Description: Consists of administrative records for each of the DS Special Agents assigned to the Department of Defense (DoD) Geographical Combatant and Functional Commands. Files contain Memorandums of Agreement (MOA) assigning these DS Special Agents to each of the Commands, their Position Descriptions, and any other administrative actions concerning their assignments.

Disposition: Temporary. Cutoff when assignments end. Destroy 3 years after cutoff.

DispAuthNo: DAA-0059-2015-0008-0012 **Date Edited:** 7/22/2016

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A-11-046-13 Budget Background Records

Description: Cost statements, rough data and similar materials accumulated in the preparation of budget estimates and justification, formulations and other related documentation.

Disposition: Temporary. Cut off file at end of fiscal year. Destroy 5 years after cut-off or when no longer needed for business purposes, whichever is longer.

DispAuthNo: DAA-0059-2015-0008-0013 **Date Edited:** 7/22/2016

A-11-046-14 Responses to Regulatory Agencies Files

Description: Consists of a compilation of minutes, inquiries and responses, notes, working files and copies of final reports from the Office of Inspector General (OIG) and the General Accounting Office (GAO), providing information on U.S. embassy security contracts in Afghanistan and Iraq, audits of the design and construction of the new embassy compounds, and detailed information on GAO engagements/assignments for Iraq Reconstruction.

Disposition: Temporary. Cut off in year in which signed. Transfer to RSC and destroy when 7 years old.

DispAuthNo: DAA-0059-2015-0008-0014 **Date Edited:** 7/22/2016

A-11-046-15 Communications Equipment Tracking Files

Description: Lists of all office laptops, FOBs, cell phones, and other devices etc. issued, as well as signed User Briefing/Acknowledgement Forms and User Agreement for Official Use forms.

Disposition: Temporary. Destroy after items determined to be excess.

DispAuthNo: DAA-0059-2015-0008-0015 **Date Edited:** 7/22/2016

A-11-046-16 Communications Security Inventory Records

Description: Contains logs and forms on communications security equipment to include, but not limited to, transmissions, transactions, inventory, destruction, change of custodian, possession, unit security officers and other related subjects.

Disposition: Temporary. Cut off at end of calendar year. Destroy 1 year after cutoff.

DispAuthNo: DAA-0059-2015-0008-0016 **Date Edited:** 7/22/2016

A-11-046-17 Weekly Activity Reports Files

Description: Weekly Activity Reports on security received from posts covering current events, incidents, investigative statistics, projects, threats, and other related subjects.

Disposition: Temporary. Cut off file at end of calendar year. Destroy 1 year after cutoff.

DispAuthNo: DAA-0059-2015-0008-0017 **Date Edited:** 7/22/2016

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A-11-046-18 Domestic Property Inventory Records

Description: Consists of domestic inventory files of office supplies and equipment to include, but not limited to, pilferable property (items worth over \$500 are bar-coded), and an annual log of purchases.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 7 years after cutoff or when GAO audit is completed. Supersedes N1-059-11-3, item 3.

DispAuthNo: DAA-GRS-2013-0003-0012 (G) **Date Edited:** 7/22/2016
