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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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<b>A-04-015-01c(1)</b>	<b>Foreign Service Retirement Case Files.</b>
<b>Description:</b>	Consists of application for retirement (OF-136) or its equivalent; staff study on voluntary or disability retirement; correspondence relating to contributions to Foreign Service Retirement System, prior service credit, total amount of Civil Service Retirement deductions, effective date of FSO appointments and acceptance thereof, etc.  c. Annuitants/Survivor Annuitants.  (1) Recordkeeping copy (paper).
<b>Disposition:</b>	Temporary. Retire to RSC 8 years after case is closed for transfer to WNRC. Destroy 20 years after case is closed.(NN-174-26, item 1c)
<b>DispAuthNo:</b>	N1-059-00-16, item 1c(1) <b>Date Edited:</b> 4/16/2002
<hr/>	
<b>A-04-015-01c(3)</b>	<b>Foreign Service Retirement Case Files.</b>
<b>Description:</b>	Consists of application for retirement (OF-136) or its equivalent; staff study on voluntary or disability retirement; correspondence relating to contributions to Foreign Service Retirement System, prior service credit, total amount of Civil Service Retirement deductions, effective date of FSO appointments and acceptance thereof, etc.  c. Annuitants/Survivor Annuitants.  (3) Microfilm copies consist of selected annuitants documents, i.e. (OF 136, SF 50). Microfilm does not contain all paper records.
<b>Disposition:</b>	Temporary. Retain in PER/RET. Destroy 30 years after case is closed.
<b>DispAuthNo:</b>	N1-059-00-16, item 1c(3) <b>Date Edited:</b> 4/16/2002
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<b>A-04-015-01d(1)</b>	<b>Foreign Service Retirement Case Files.</b>
<b>Description:</b>	Consists of application for retirement (OF-136) or its equivalent; staff study on voluntary or disability retirement; correspondence relating to contributions to Foreign Service Retirement System, prior service credit, total amount of Civil Service Retirement deductions, effective date of FSO appointments and acceptance thereof, etc.  d. Precedent Cases.  (1) Recordkeeping copy (paper).
<b>Disposition:</b>	Temporary. Destroy 5 years after case is closed.
<b>DispAuthNo:</b>	N1-059-00-16, item 1d(1) <b>Date Edited:</b> 4/17/2002

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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#### **A-04-015-02      Annuitant Service Record Card Files.**

**Description:** Consist of name of employer, retirement date, type of retirement, survivor entitlement, etc.

**Disposition:** Temporary. Destroy 10 years after separation or when no longer needed for reference, whichever is sooner. (II-NN-3546, item 7)

**DispAuthNo:** N1-059-00-16, item 2                      **Date Edited:** 4/16/2002

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#### **A-04-015-03      Non-Annuitant Service Record Card Files.**

**Description:** Consist of name of employee, salary, date of resignation, beneficiary, etc.

**Disposition:** Temporary. Destroy 5 years after separation or when no longer needed for reference, whichever is sooner. (II-NN-3546, item 6)

**DispAuthNo:** N1-059-00-16, item 3                      **Date Edited:** 4/16/2002

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#### **A-04-015-04      Annuitant Address Listing.**

**Description:** Microfilm listing of annuitant addresses.

**Disposition:** Temporary. Destroy when 1 year old.

**DispAuthNo:** N1-059-00-16, item 4                      **Date Edited:** 4/17/2002

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#### **A-04-015-05a(1)      Requests for Health Benefits Under Spouse Equity**

**Description:** Applications and related papers, which may include denial letters, appeal letters, and court orders.

Includes denied SF 2809, Health Benefits Election Form.

**Disposition:** Temporary. Destroy 1 year after original denial, denial of appeal, or final court order, whichever is appropriate. (Supersedes GRS 1, item 35a)

**DispAuthNo:** DAA-GRS-2016-0015-0014 (G                      **Date Edited:** 9/7/2017

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#### **A-04-015-05b(1)(a)      Requests for Health Benefits Under Spouse Equity**

**Description:** Applications and related papers. If applications are denied, may include denial letters, appeal letters, and court orders.

Includes SF 2809, Health Benefits Election Form, pertaining to applications that were denied, but successfully appealed.

**Disposition:** Transfer to appropriate retirement system after enrollment is cancelled or terminated, or annuity payment begins. (Supersedes GRS 1, item 35b)

**DispAuthNo:** DAA-GRS-2016-0015-0014 (G                      **Date Edited:** 11/8/2018

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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**A-04-015-05b(2)(a)**      **Foreign Service Former Spouse Health Benefit Files.**

**Description:** Denied eligibility files consisting of applications [Health Benefits Registration Form (SF 2809)], court orders, denial letters, appeal letters, and related papers.

b. Health benefits denied, appealed to OPM for reconsideration.

(2) Appeal unsuccessful - benefits denied.

(a) Recordkeeping copy (paper).

**Disposition:** Temporary: Destroy 5 years after denial.

**DispAuthNo:** N1-059-00-16, item 5b(2)(a)      **Date Edited:** 4/17/2002

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**A-04-015-06a**      **Foreign Service Retirement Subject Files.**

**Description:** Consist of Foreign Service Retirements, Monthly Resignation Reports, Principals Correspondence, and Legal Determinations.

a. Recordkeeping copy (paper).

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

**DispAuthNo:** N1-059-00-16, item 6a      **Date Edited:** 4/17/2002

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**A-04-015-07a**      **Civil Service Retirement Case Files.**

**Description:** Contains application for retirement (OF 136) or its equivalent; health and life insurance forms; service history documentation; estimated calculations, etc.

a. Recordkeeping copy (paper).

**Disposition:** Temporary: Retire to RSC 2 years after retirement of employee for transfer to WNRC. Destroy 5 years after retirement.

**DispAuthNo:** N1-059-00-16, item 7a      **Date Edited:** 4/17/2002

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## U.S. Department of State Records Schedule

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### *Chapter 04: Personnel Records*

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

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

A. Recordkeeping copy (paper).

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

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

**Date Edited:**        4/17/2002

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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#### External Placement

**A-04-016-01 Correspondence with Prospective Employers**

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

**Disposition:** Destroy when 1 year old.

**DispAuthNo:** NN-173-148, item 1 **Date Edited:** 4/1/1999

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**A-04-016-02 Contact Lists**

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

**Disposition:** Destroy when obsolete or superseded.

**DispAuthNo:** Non-Record **Date Edited:** 4/1/1999

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**A-04-016-03 Job Resumes for Applicants**

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

**Disposition:** Destroy when obsolete or superseded.

**DispAuthNo:** Non-Record **Date Edited:** 4/1/1999

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**A-04-016-04 Applicant Case File**

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

**Disposition:** Destroy 3 years after case becomes inactive.

**DispAuthNo:** NN-173-148, item 2 **Date Edited:** 4/1/1999

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

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

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

**DispAuthNo:** N1-059-00-07, item 8 **Date Edited:** 9/7/2001

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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#### Presidential Appointments

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

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

a. Recordkeeping copy (paper).

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

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

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**A-04-017-02**      **Presidential Nominations.**

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

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

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

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

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

a. Recordkeeping copy (paper).

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

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

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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**A-04-017-08b**      **Presidential Nominations - Copies of Presidential nominations of individuals for public office**

**Description:** b. Microfilm copies.

**Disposition:** TEMPORARY. Destroy when 10 years old.

**DispAuthNo:** NC1-059-77-19, item 2b      **Date Edited:** 12/2/2019

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**A-04-017-09a**      **Ambassador Appointments.**

**Description:** Consist of documentation on bilateral/multilateral ambassadorial appointments, as well as ranks and personal ranks of ambassador. Includes memoranda to and from the White House, bio data, press releases, nominations, clearance materials, agreement communications, Congressional correspondence, letters of resignation, and Presidential letters of acceptance, and clearance materials. [Note: Original letters of resignation and Presidential acceptance letters are on file at the White House or appropriate Presidential Library.]

a. Recordkeeping copy (paper).

**Disposition:** PERMANENT: Retire to RSC when 8 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC1-59-77-19, item 3a and b)

**DispAuthNo:** N1-059-00-13, item 2a      **Date Edited:** 9/24/2001

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**A-04-017-10**      **Oaths of Office**

**Description:** Appointment Affidavit (SF-61), executed by individuals appointed by the President for public office.

**Disposition:** PERMANENT: Retire to RSC when 15 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC1-59-77-19, item 4a and b)

**DispAuthNo:** N1-059-00-13, item 6      **Date Edited:** 9/24/2001

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**A-04-017-11**      **Senate Resolutions on Presidential Appointments.**

**Description:** Original resolutions providing advice and consent of the United States Senate to the appointment by the President of individuals to public office.

**Disposition:** PERMANENT: Retire to RSC when 5 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC1-59-77-19, item 5a and b)

**DispAuthNo:** N1-059-00-13, item 7      **Date Edited:** 9/24/2001

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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<b>A-04-017-12a</b>	<b>Miscellaneous Presidential Appointment Commissions</b>
<b>Description:</b>	Copies of commissions of heads of independent Government agencies, Cabinet officers, Presidential appointees in the Department of State, Executive Office of the President, Honorary Commissions, and other Government offices.  a. Paper records.
<b>Disposition:</b>	Destroy after it has been ascertained that reproduced copies have been made in accordance with GSA and NARA regulations and are adequate substitutes for the paper records.
<b>DispAuthNo:</b>	NC1-059-77-19, item 6a
	<b>Date Edited:</b> 4/1/1999
<b>A-04-017-12b</b>	<b>Miscellaneous Presidential Appointment Commissions</b>
<b>Description:</b>	Copies of commissions of heads of independent Government agencies, Cabinet officers, Presidential appointees in the Department of State, Executive Office of the President, Honorary Commissions, and other Government offices.  b. Microfilm copies: Silver original and positive vesicular microfilm copy.
<b>Disposition:</b>	Permanent. Transfer to NARA on verification of microfilm.
<b>DispAuthNo:</b>	NC1-059-77-19, item 6b
	<b>Date Edited:</b> 4/1/1999
<b>A-04-017-13a</b>	<b>Summary Record on Appointments</b>
<b>Description:</b>	Summary records containing information on laws establishing the Commissions and Presidential appointments to the Commissions.  a. Paper records.
<b>Disposition:</b>	Destroy after it has been ascertained that reproduced copies have been made in accordance with GSA and NARA regulations and are adequate substitutes for the paper records.
<b>DispAuthNo:</b>	NC1-059-77-19, item 7a
	<b>Date Edited:</b> 4/1/1999
<b>A-04-017-13b</b>	<b>Summary Record on Appointments</b>
<b>Description:</b>	Summary records containing information on laws establishing the Commissions and Presidential appointments to the Commissions.  b. Microfilm copies: Silver original and positive vesicular microfilm copy.
<b>Disposition:</b>	Permanent. Transfer to NARA on verification of microfilm.
<b>DispAuthNo:</b>	NC1-059-77-19, item 7b
	<b>Date Edited:</b> 4/1/1999

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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

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

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

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

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

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

(1) Recordkeeping copy (paper).

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

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

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

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

(1) Recordkeeping copy (paper).

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

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

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

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

a. Recordkeeping copy (paper).

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

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

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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#### Title and Rank

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

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

a. Recordkeeping copy (paper).

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

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

**Date Edited:** 9/25/2001

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

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

a. State Department personnel.

(1) Recordkeeping copy (paper).

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

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

**Date Edited:** 9/25/2001

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

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

b. Other Federal agency personnel.

(1) Recordkeeping copy (paper).

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

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

**Date Edited:** 10/1/2001

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

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

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

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

**Date Edited:** 9/25/2001

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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#### Equal Employment Opportunity Records

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

**Description:**      Records documenting routine activities related to programs such as reasonable accommodation, displaced employees, telework/alternative worksite opportunities, anti-harassment, Alternative Dispute Resolution (ADR), Equal Employment Opportunity (EEO), and other avenues for settling disputes. Includes:

- program-related correspondence
- copies of statutes, regulations, directives, and instructions
- timetables and guidelines for processing case files and appealing decisions
- planning records
- meeting minutes
- program evaluations and reports to senior management
- statistical records tracking program participation and participants
- records tracking programs' compliance with relevant Executive Orders and other requirements
- records arranging for outside mediator and facilitator involvement in case settlements

Exclusion 1: Records specific to individual cases (covered by items 020 to 111 in this schedule).

Exclusion 2: Reports to external oversight agencies (covered by GRS 5.7, item 050).

Exclusion 3: Records created by offices responsible for monitoring employee relations programs government-wide (must be scheduled individually by responsible offices).

**Disposition:**      Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use. (Supersedes GRS 2.3, Item 030)

**DispAuthNo:**      DAA-GRS-2018-0002-0001 (G)      **Date Edited:**      1/10/2020

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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

**Description:** Informal process.

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

Includes:

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

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

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

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

**Description:** Formal process.

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

Includes:

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

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

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

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

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

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

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

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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

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

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

Includes ancillary records such as:

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

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

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

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

**DispAuthNo:** DAA-GRS-2017-0008-0005 (G

**Date Edited:** 1/10/2020

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**U.S. Department of State Records Schedule**

***Chapter 04: Personnel Records***

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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#### Office of Civil Service Human Resource Management, Career Development Division

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

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

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

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

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

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

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##### **A-04-020-02 Workshop Files**

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

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

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

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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#### A-04-020-03 Workshop Presentation Files

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

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

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

**Date Edited:** 2/1/2010

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#### A-04-020-04 Employee Management Administrative Records

**Description:** CDRC Statistical Reports

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

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

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

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

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

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

**Date Edited:** 9/1/2017

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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#### A-04-020-05 CDRC Database

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

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

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

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

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

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

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

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

**Disposition:** Temporary. Destroy when business use ceases.

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

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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#### Foreign Service Grievance Board

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

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

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

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

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**A-04-021-02 Board Orders and Decisions**

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

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

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

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**A-04-021-03 Court Case Files**

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

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

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

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

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

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

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

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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#### A-04-021-05 Chronological Files

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

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

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

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#### A-04-021-06 Board Member Files

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

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

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

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#### A-04-021-07 FSGB Annual Report

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

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

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

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#### A-04-021-08 Policy and Procedure Documents

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

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

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

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

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

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

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

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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#### A-04-021-10a      Intermediary Records

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

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

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

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#### A-04-021-10b      Management and Operations

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

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

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

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## U.S. Department of State Records Schedule

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### Chapter 04: Personnel Records

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

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

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

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

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

**Disposition:** Temporary. Destroy when business use ceases.

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

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