
U.S. Department of State Records Schedule

Chapter 11: Diplomatic Security Records

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 Delete content when superseded by new or updated information.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 Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system.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-11-041-11 **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, ite 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:

- 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
