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## U.S. Department of State Records Schedule

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### Chapter 23: Legal Affairs Records

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#### Office of the Legal Adviser (L/FO)

**A-23-001-01a**                      **Legal Adviser Files**

**Description:**            a. Subject Files. Telegrams, memorandums, reports, notes and other documentation on subjects of relevance or interest to the Legal Adviser. Arranged by subject.

**Disposition:**            Permanent. Retire to RSC 1 year after end of tenure of principal for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives 30 years after end of tenure of principal.

**DispAuthNo:**            N1-059-95-11, item 1a                                      **Date Edited:**            4/1/1999

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**A-23-001-01b**                      **Legal Adviser Files**

**Description:**            b. Chronological Files. Extra copies of outgoing documents filed chronologically.

**Disposition:**            Permanent. Retire to RSC 1 year after end of tenure of principal for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives 30 years after end of tenure of principal.

**DispAuthNo:**            N1-059-95-11, item 1b                                      **Date Edited:**            4/1/1999

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**A-23-001-02a**                      **Principal Deputy and Deputy Legal Adviser Files**

**Description:**            a. Subject Files. Telegrams, memorandums, reports, notes, correspondence and other documentation on subjects of relevance or of interest to incumbent.

**Disposition:**            Permanent. Retire to RSC 1 year after end of tenure of principals for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives 30 years after end of tenure of principal.

**DispAuthNo:**            N1-059-95-11, item 2a                                      **Date Edited:**            4/1/1999

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**A-23-001-02b**                      **Principal Deputy and Deputy Legal Adviser Files**

**Description:**            b. Chronological Files. Chronological arrangement of copies of all documents signed by incumbent. These documents do not necessarily duplicate the subject files.

**Disposition:**            Permanent. Retire to RSC 1 year after end of tenure of principal for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives 30 years after end of tenure of principal.

**DispAuthNo:**            N1-059-95-11, item 2b                                      **Date Edited:**            4/1/1999

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<b>A-23-001-03a</b>	<b>Staff Assistant Files</b>
<b>Description:</b>	a. Top Secret Documents - arranged in chronological order.
<b>Disposition:</b>	Permanent. Cut off at the end of the calendar year. Retire to RSC when 2 years old for transfer to Washington National Records Center (WNRC). Transfer to the National Archives when 30 years old.
<b>DispAuthNo:</b>	N1-059-95-11, item 3a
<b>Date Edited:</b>	4/1/1999
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<b>A-23-001-03b</b>	<b>Staff Assistant Files</b>
<b>Description:</b>	b. NODIS and EXDIS Documents.
<b>Disposition:</b>	Destroy when 1 year old or when no longer needed for operational purposes, whichever is sooner. Record copies are maintained by S/S.
<b>DispAuthNo:</b>	N1-059-95-11, item 3b
<b>Date Edited:</b>	4/1/1999
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<b>A-23-001-04</b>	<b>Weekly Reports</b>
<b>Description:</b>	Weekly reports from component offices of the Legal Adviser providing an overview of the work and activities of the offices as well as key issues that arise, that are being worked on, and that have been resolved.
<b>Disposition:</b>	Permanent. Cut off at the end of the calendar year. Retire to RSC when 2 years old for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives when 30 years old.
<b>DispAuthNo:</b>	N1-059-95-11, item 4
<b>Date Edited:</b>	4/1/1999
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**Office of Buildings and Acquisitions (L/BA)****A-23-002-01      Litigation Case Files - Arranged by name of claimant and court case number**

**Description:** Memorandums, correspondence, reports to courts, contracting officer decisions, proposals, bid protests and other documentation relating to litigation by or against U.S. involving acquisition, construction and management of foreign property.

**Disposition:** Retire to RSC 6 months after close of case and the appeal date has passed.  
Destroy 6 years and 3 months after close of case and the appeal date has passed.

**DispAuthNo:** N1-059-95-11, item 5      **Date Edited:** 4/1/1999

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**A-23-002-02      Contract Claims Files - Arranged by name and contract claim number**

**Description:** Correspondence, memorandums, reports, copies of contracts and other documents relating to the negotiation and settlement of contract cases.

**Disposition:** Retire to RSC 6 months after settlement of case. Destroy 6 years after settlement of the case.

**DispAuthNo:** N1-059-95-11, item 6      **Date Edited:** 4/1/1999

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**A-23-002-03      Subject Files**

**Description:** Working files containing miscellaneous correspondence, memorandums, and other documentation accumulated while servicing client bureaus relating to acquisition and management of foreign property.

**Disposition:** Destroy as space requirements and frequency of use dictate. Send unique documents to the office of record, i.e. FBO, OPR, etc.

**DispAuthNo:** N1-059-95-11, item 7      **Date Edited:** 4/1/1999

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#### Office of the Executive Director (L/EX)

**A-23-004-01      Management Analysis Files**

**Description:** Subject files used to do special analytical projects such as workload analysis, efficiency studies, monitoring of staffing patterns, employment projections; other special projects, including internal control liaison and liaison with the Office of Inspector General. Copies of OIG inspection reports and correspondence regarding compliance, memorandums, staffing patterns, requisitions, and other reports and correspondence.

**Disposition:** Destroy when no longer needed for operational purposes.

**DispAuthNo:** N1-059-95-11, item 11                      **Date Edited:** 4/1/1999

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**A-23-004-02      Recruitment Files**

**Description:** Resumes, transcripts and reviews of resumes arranged in alphabetical order.

NOTE: See A-04-002-04a-d

**Disposition:** N/A

**DispAuthNo:** N/A    **Date Edited:** 10/13/2010

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**A-23-004-03      Special Projects and Reports Financial Files**

**Description:** Purchase orders, public vouchers, obligations documents, memorandums and other documents relating to special projects and reports in the bureau, such as the Protective Fisherman Fund, the Victory Van US-Iranian Claim, Law Digest and Relocation of SA-9, etc.

**Disposition:** Destroy when no longer needed for operational purposes.

**DispAuthNo:** N1-059-95-11, item 13                      **Date Edited:** 4/1/1999

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**A-23-004-04      Opinions and Reports of the Examiner of Claims, the Solicitor, and the Legal Adviser, 1865-1950**

**Description:** Arranged chronologically in bound volumes entitled Opinions and Reports of the Examiner of Claims; Opinions and Reports of the Solicitor; Opinions of the Legal Adviser. Written reports and opinions of the Department legal counsel.

**Disposition:** Permanent. Retire to RSC after having been installed on CD-ROM server for immediate transfer to the National Archives.

**DispAuthNo:** N1-059-95-11, item 14                      **Date Edited:** 4/1/1999

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**Geographic Offices: African and Near Eastern Affairs (L/AN); Afghanistan and South Central Asia (L/ASCA); East Asia and Pacific Affairs (L/EAP); European and Eurasian Affairs (L/EUR); and Western Hemisphere Affairs (L/WHA)**

**A-23-005-01 Subject and Country Files**

**Description:** Copies of legislation, rules, circulars, notices and regulations, correspondence, telegrams, airgrams, memoranda, articles, legislative histories, depositions, legal briefs, and other legal documents, policy statements, press releases, and other documentation that the office has accumulated while providing advice and support to client bureaus.

**Disposition:** Permanent. Retire to the RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-059-95-11, item 15 **Date Edited:** 4/1/1999

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**A-23-005-02 Legal Case Files - Arranged by subject, country, and name**

**Description:** Copies of legislation, rules, circulars, notices and regulations, correspondence, telegrams, airgrams, memoranda, articles, legislative histories, depositions, legal briefs, and other legal documents, policy statements, press releases, and other documentation that the office has accumulated while providing advice and support to client bureaus.

**Disposition:** Permanent. Retire to the RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-059-95-11, item 16 **Date Edited:** 4/1/1999

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**A-23-005-03 Organization and Conference Files - Arranged by organization, thereunder by subject, case name or conference date**

**Description:** Telegrams, airgrams, memoranda, delegation lists, meeting agendas and minutes, policy and position papers, bilateral and multilateral agreements, talking points, speeches, resolutions, intelligence reports, and reference material documenting U.S. participation or interest in national and international organizations addressing issues concerning countries in the assigned geographical areas.

**Disposition:** Permanent. Retire to the RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-059-95-11, item 17 **Date Edited:** 4/1/1999

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<b>A-23-005-04a</b>	<b>Secretary of State Briefing Books</b>
<b>Description:</b>	Books prepared for the use of the Secretary of State and Office of the Secretary at multilateral meetings and conferences, containing copies of key international documents and other papers required for the negotiation of international agreements.  a. Record Copy.
<b>Disposition:</b>	Permanent. Retire to RSC 1 year after conclusion of agreement. Transfer to the WNRC immediately thereafter. Transfer to the National Archives when 30 years old.
<b>DispAuthNo:</b>	N1-059-95-11, item 18a
	<b>Date Edited:</b> 4/1/1999
<b>A-23-005-04b</b>	<b>Secretary of State Briefing Books</b>
<b>Description:</b>	Books prepared for the use of the Secretary of State and Office of the Secretary at multilateral meetings and conferences, containing copies of key international documents and other papers required for the negotiation of international agreements.  b. Extra Copies.
<b>Disposition:</b>	Destroy when 1 year old.
<b>DispAuthNo:</b>	N1-059-95-11, item 18b
	<b>Date Edited:</b> 4/1/1999
<b>A-23-005-05a</b>	<b>General Background/Briefing Books</b>
<b>Description:</b>	Books prepared for bilateral, multilateral, and interagency meetings and conferences, containing meeting agendas, delegation lists, intelligence reports, policy and position papers, and reference material documenting U.S. policy positions.  a. Master Copy.
<b>Disposition:</b>	Permanent. Retire to the RSC when 3 years old for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives when 30 years old.
<b>DispAuthNo:</b>	N1-059-95-11, item 19a
	<b>Date Edited:</b> 4/1/1999

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**A-23-005-05b**                      **General Background/Briefing Books**

**Description:**            Books prepared for bilateral, multilateral, and interagency meetings and conferences, containing meeting agendas, delegation lists, intelligence reports, policy and position papers, and reference material documenting U.S. policy positions.

b. Extra Copies.

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

**DispAuthNo:**            N1-059-95-11, item 19b

**Date Edited:**            4/1/1999

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#### Office of Consular Affairs (L/CA)

**A-23-006-01a**                      **Litigation Case Files - Arranged by name of litigant and case number**

**Description:**            Legal briefs and other court documents, copies of legislation, memorandums, telegrams, correspondence, and other documentation relating to litigation involving consular affairs.

a. Precedent Cases.

**Disposition:**            Permanent. Retire to the RSC 1 year after close of case for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives 30 years after close of case.

**DispAuthNo:**            N1-059-95-11, item 20a                      **Date Edited:**            4/1/1999

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**A-23-006-01b**                      **Litigation Case Files - Arranged by name of litigant and case number**

**Description:**            Legal briefs and other court documents, copies of legislation, memorandums, telegrams, correspondence, and other documentation relating to litigation involving consular affairs.

b. Non-Precedent Cases.

**Disposition:**            Retire to RSC when 1 year old. Destroy when 2 years old.

**DispAuthNo:**            N1-059-95-11, item 20b                      **Date Edited:**            4/1/1999

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**A-23-006-02**                      **Subject Files**

**Description:**            Memorandums, telegrams, correspondence, legal documents and other documentation pertaining to consular affairs, including international agreements.

**Disposition:**            Permanent. Transfer to RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives when 30 years old.

**DispAuthNo:**            N1-059-95-11, item 21                      **Date Edited:**            4/1/1999

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#### Office of International Claims and Investment Disputes (L/CID)

**A-23-007-01a**                      **Iraq/U.S. Claims Files**

**Description:** a. Subject Files. Files on general subject matters relating to a variety of claims and their settlement, including awards and presentation of claims before the U.N. Compensation Commission set up to handle these claims. Telegrams, correspondence, memorandums, policy and issue papers, legal positions and other related documentation.

**Disposition:** Permanent. Retire to RSC as space requirements and frequency of use dictate for eventual transfer to the WNRC. Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-076-95-03, item 1a                      **Date Edited:** 12/16/2011

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**A-23-007-01b**                      **Iraq/U.S. Claims Files**

**Description:** b. Claims Files. Individual corporation and government claims filed before the U.N. Compensation Commission against Iraq. Claim form and supporting documentation. Arranged in alphabetical order by type of case and then by name of case. There is an accompanying database.

**Disposition:** Disposition not approved. Do not destroy. Cut off files on termination of UN Compensation Commission and retire to RSC. Notify NARA so that final appraisal may be undertaken.

**DispAuthNo:** N1-076-95-03, item 1b                      **Date Edited:** 12/23/2011

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**A-23-007-01c**                      **Iraq/U.S. Claims Files**

**Description:** c. Iraqi Claims Database. Pace software dependent database used to trace claims from inception through adjudication and payment of awards. Contains pertinent information about claims.

**Disposition:** Disposition not approved. Do not destroy. Cut off files on termination of UN Compensation Commission and retire to RSC. Notify NARA so that final appraisal may be undertaken.

**DispAuthNo:** N1-076-95-03, item 1c                      **Date Edited:** 12/23/2011

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<b>A-23-007-02a</b>	<b>U.S./Iran Claims Tribunal Files</b>
<b>Description:</b>	a. Central Subject Files. Memorandums, background information, correspondence, forms, copies of congressionals and hearings, diplomatic notes, press clippings, telegrams, court proceedings and other documents relating to claims and arbitration before the Tribunal.
<b>Disposition:</b>	Permanent. Retire to RSC 1 year after closure of the Tribunal for eventual transfer to the WNRC. Transfer to the National Archives 5 years after closure of the Tribunal.
<b>DispAuthNo:</b>	N1-076-95-02, item 1a
	<b>Date Edited:</b> 12/23/2011
<b>A-23-007-02b</b>	<b>U.S./Iran Claims Tribunal Files</b>
<b>Description:</b>	b. Small Claims. Settled claims arranged in numerical order with an alphabetical and numerical index. Consists of Tribunal documents -- orders, etc., copy of claim, correspondence between claimant and Department, and court documents. Copies of documentation furnished to Foreign Claims Settlement Commission.
<b>Disposition:</b>	Disposition not approved. Do not destroy. Cut off files on termination of Iran-United States Claims Tribunal and retire to RSC. Notify NARA so that final appraisal may be undertaken.
<b>DispAuthNo:</b>	N1-076-95-02, item 1b
	<b>Date Edited:</b> 12/23/2011
<b>A-23-007-02c</b>	<b>U.S./Iran Claims Tribunal Files</b>
<b>Description:</b>	c. Large Claims. Arranged in numerical order with an alphabetical and numerical index. Consists of Tribunal documents, legal opinions, order, etc., correspondence between the Department and claimant attorneys along with claimant response and exhibits.
<b>Disposition:</b>	Disposition not approved. Do not destroy. Cut off files on termination of Iran-United States Claims Tribunal and retire to RSC. Notify NARA so that final appraisal may be undertaken.
<b>DispAuthNo:</b>	N1-076-95-02, item 1c
	<b>Date Edited:</b> 12/23/2011
<b>A-23-007-02d</b>	<b>U.S./Iran Claims Tribunal Files</b>
<b>Description:</b>	d. Iran/U.S. Tribunal Decisions. Bound volumes of decisions.
<b>Disposition:</b>	Permanent. Retire to the RSC as space requirements and frequency of use dictate for eventual transfer to the National Archives.
<b>DispAuthNo:</b>	N1-076-95-02, item 1d
	<b>Date Edited:</b> 12/23/2011

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**A-23-007-03 U.S./Iran Claims Tribunal**

**Description:** Documents of Evidence (source documentation). Commercial and technical documents collected from the Department of State, Department of Justice, and the Department of Defense to be used as hard evidence in support of large claims. Packing lists, bills of lading, etc., covering the date range of 1976 to present.

**Disposition:** Return to the source of documents or destroy when no longer needed. Material selected as claims exhibits should be filed with claims files.

**DispAuthNo:** N1-076-96-02, item 1 **Date Edited:** 12/23/2011

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**A-23-007-04 Legal Bureau Correspondence Control (LX)**

**Description:** On-line information system which serves as a register of claims against Iran submitted by United States citizens between April 1981 and approximately April 1982, which were handled by the bureau. Data includes a sequential claim identification number, date of claim, name of attorney, type of claim, amount, and the action status of the claim.

**Disposition:** Disposable. Destroy when active agency use ceases.

**DispAuthNo:** NC1-059-83-04, item 18 **Date Edited:** 12/23/2011

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**A-23-007-05 Country Claims Files - Arranged by country and thereunder by subject or case**

**Description:** Claims of U.S. nationals against foreign governments relating to confiscation, breach of contract, denial of justice, war damage, mob violence and wrongful death, etc. Includes claim, telegrams, correspondence between the Department and the claimant along with documentary evidence as may be necessary to substantiate claim.

**Disposition:** Retire to RSC 5 years after resolution of claim for transfer to the Washington National Records Center (WNRC). Destroy 20 years after resolution of claim.

**DispAuthNo:** N1-059-95-11, item 22 **Date Edited:** 4/1/1999

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**A-23-007-06 Subject Claims files**

**Description:** Memorandums, correspondence, reports, telegrams, research material, and other documentation relating to claims but not to specific claims against specific countries. Arranged by general subject.

**Disposition:** Retire to RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Center (WNRC). Destroy when 15 years old.

**DispAuthNo:** N1-059-95-11, item 23 **Date Edited:** 4/1/1999

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**A-23-007-07a**      **Tort Claims Files - Civil claims for negligent acts of Department of State employees under the Federal Tort Claims Act and the Act of August of 1956 relating to property damage, personal injury and wrongful death**

**Description:** a. Administrative Claims.

**Disposition:** Retire to RSC 1 year after resolution of case. Transfer to the WNRC 5 years later. Destroy 10 years after resolution of case.

**DispAuthNo:** N1-059-95-11, item 24a

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

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**A-23-007-07b**      **Tort Claims Files - Civil claims for negligent acts of Department of State employees under the Federal Tort Claims Act and the Act of August of 1956 relating to property damage, personal injury, and wrongful death**

**Description:** b. Litigation Files.

**Disposition:** Retire to RSC 1 year after close of case. Transfer to WRNC 5 years later. Destroy 20 years after close of case.

**DispAuthNo:** N1-059-95-11, item 24b

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

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**A-23-007-08**      **Nairobi Bombing Claims Forms (SF-95)**

**Description:** Files of SF-95; Claim for Damage, Injury, or Death, resulting from the terrorist bombing of the U.S. Embassy in Nairobi, Kenya. Arranged numerically.

Includes, but not limited to Lot 02D295 and 02D297.

**Disposition:** TEMPORARY: Retire to records holding facility. Destroy when 20 years old.

Note: This schedule does not cover the individual claims files relating to these claims.

**DispAuthNo:** N1-059-03-09, item 1

**Date Edited:** 2/3/2004

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**A-23-007-09**      **Heathrow Arbitration Team (L/HAT) Officer Subject Files**

**Description:** Subject files belonging to John Crook, Samuel M. Witten, and Laura V. Farthing. Correspondence, research material, memoranda, FAXes, and other documents arranged by subject.

(Supersedes N1-076-95-1, item 7.)

**Disposition:** TEMPORARY. Retire immediately to the Records Service Center (RSC) after settlement of all claims for transfer to a Federal Records Center. Destroy 25 years after settlement of all claims.

**DispAuthNo:** N1-076-10-01, item 1

**Date Edited:** 4/15/2010

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**A-23-007-10 North and Central American Free Trade Agreements (NAFTA and CAFTA)**

**Description:** Court documents, written submissions of the parties, correspondence related to the case (i.e. correspondence to/from Tribunal members and parties involved), telegrams, memorandums, research and reference materials, legislation histories, exhibits and other documentation relating to the case, any chronologies of the case, final memos written in relation to the case, orders and awards of the Tribunal.

**Disposition:** N/A

**DispAuthNo:** N/A

**Date Edited:** 1/10/2011

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**A-23-007-10a North and Central American Free Trade Agreements (NAFTA and CAFTA)**

**Description:** a. Litigation Case Files

**Disposition:** Permanent. Retire to the Records Service Center (RSC) 2 years after case is closed. Transfer to WNRC 10 years after case is closed. Transfer to the National Archives 25 years after case is closed.

**DispAuthNo:** N1-059-09-44, item 1a

**Date Edited:** 1/10/2011

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**A-23-007-10b North and Central American Free Trade Agreements (NAFTA and CAFTA)**

**Description:** b. Routine Case Files

Those that are not historically significant or precedent setting are not covered by the schedule.

**Disposition:** Contact the Department of State Records Officer to submit an SF-115 to NARA. NARA will determine the disposition on a case-by-case basis or will determine if a new item needs to be added to this schedule.

**DispAuthNo:** N/A

**Date Edited:** 1/10/2011

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#### Office of Public Diplomacy and Public Affairs (L/PD)

**A-23-009-01      Subject Files**

**Description:** Briefing papers, memorandums, telegrams, copies of educational and cultural agreements, copies of press conferences, hearings, bills, copies of U.S. code, correspondence, exhibits, position papers, memorandums of conversation, newspaper clippings and other documentation relating to protection and restitution of cultural property.

**Disposition:** Permanent. Transfer to the RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-059-95-11, item 27

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

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**A-23-009-02      Case Files**

**Description:** Specific cases and claims relating to protection and restitution of cultural property. Newspaper clippings, correspondence, copies of treaties and agreements, memorandums and other documentation providing evidence that property was stolen and who the rightful owners are.

**Disposition:** Permanent. Retire to RSC 10 years after case is closed for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-059-95-11, item 28

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

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**Office of Employment Law (L/EMP)****A-23-010-01a Ethics and Employment Law Case Files**

**Description:** Legal Briefs and other legal documents, including depositions, trial and/or hearing transcripts, and exhibits; memorandums, telegrams, correspondence, court documents, and other legal documentation accumulated while providing advice in support of litigation brought against the Department. Arranged by name of individual and case number.

a. EEO Complaints in EEOC, OFO, and federal court.

**Disposition:** Temporary. Retire to records center 6 months after Department's final response. Destroy 10 years after Department's final response.

**DispAuthNo:** N1-059-08-13, item 1a **Date Edited:** 2/25/2009

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**A-23-010-01b Ethics and Employment Law Case Files**

**Description:** Legal Briefs and other legal documents, including depositions, trial and/or hearing transcripts, and exhibits; memorandums, telegrams, correspondence, court documents, and other legal documentation accumulated while providing advice in support of litigation brought against the Department. Arranged by name of individual and case number.

b. Merit System Protection Board cases. Includes Foreign Service and Civil Service.

**Disposition:** Temporary. Retire to records center 6 months after Department's final response. Destroy 10 years after Department's final response.

**DispAuthNo:** N1-059-08-13, item 1b **Date Edited:** 2/25/2009

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<b>A-23-010-01c</b>	<b>Administrative Grievance, Disciplinary, and Adverse Action Files</b>
<b>Description:</b>	Administrative grievance files. Records relating to grievances raised by covered entities/individuals such as non-bargaining agency employees. Includes formal and informal administrative grievance processes. Includes: <ul style="list-style-type: none"><li>• grievance documents (copy of original grievance submission and supporting documentation/evidence)</li><li>• statements of witnesses</li><li>• reports of interviews and hearings</li><li>• examiner's findings and recommendations</li><li>• copy of the original decision</li><li>• related correspondence and exhibits</li></ul> Exclusion: Item excludes EEO complaints and negotiated grievances by bargaining unit employees.
<b>Disposition:</b>	Temporary. Destroy no sooner than 4 years but no less than 7 years after case is closed. (Supersedes GRS 1, item 30a)
<b>DispAuthNo:</b>	DAA-GRS-2015-0007-0017 (G) <b>Date Edited:</b> 9/5/2017

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<b>A-23-010-01d</b>	<b>Ethics and Employment Law Case Files</b>
<b>Description:</b>	Legal Briefs and other legal documents, including depositions, trial and/or hearing transcripts, and exhibits; memorandums, telegrams, correspondence, court documents, and other legal documentation accumulated while providing advice in support of litigation brought against the Department. Arranged by name of individual and case number.  d. Personnel Grievance Cases. Foreign Service Employees (exception from GRS 1 item 30a).
<b>Disposition:</b>	Temporary. Retire to records center 6 months after Department's final response. Destroy 20 years after Department's final response. Supersedes N1-059-95-11, item 29c (2).
<b>DispAuthNo:</b>	N1-059-08-13, item 1d <b>Date Edited:</b> 2/25/2009

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<b>A-23-010-01e</b>	<b>Ethics and Employment Law Case Files</b>
<b>Description:</b>	Legal Briefs and other legal documents, including depositions, trial and/or hearing transcripts, and exhibits; memorandums, telegrams, correspondence, court documents, and other legal documentation accumulated while providing advice in support of litigation brought against the Department. Arranged by name of individual and case number.  e. Unfair Labor Practices and other Union Disputes. Includes: (1) Civil Service Employees; (2) Foreign Service Employees; (3) Union Institutional matters; (4) Investigative Cases.
<b>Disposition:</b>	Temporary. Retire to records center 6 months after Department's final response. Destroy 10 years after Department's final response.
<b>DispAuthNo:</b>	N1-059-08-13, item 1e <b>Date Edited:</b> 2/25/2009
<b>A-23-010-01f</b>	<b>Ethics and Employment Law Case Files</b>
<b>Description:</b>	Legal Briefs and other legal documents, including depositions, trial and/or hearing transcripts, and exhibits; memorandums, telegrams, correspondence, court documents, and other legal documentation accumulated while providing advice in support of litigation brought against the Department. Arranged by name of individual and case number.  f. Labor Arbitrations.
<b>Disposition:</b>	Temporary. Retire to records center 6 months after Department's final response. Destroy 10 years after Department's final response.
<b>DispAuthNo:</b>	N1-059-08-13, item 1f <b>Date Edited:</b> 2/25/2009
<b>A-23-010-01g</b>	<b>Ethics and Employment Law Case Files</b>
<b>Description:</b>	Legal Briefs and other legal documents, including depositions, trial and/or hearing transcripts, and exhibits; memorandums, telegrams, correspondence, court documents, and other legal documentation accumulated while providing advice in support of litigation brought against the Department. Arranged by name of individual and case number.  g. Touhy Regulation Cases
<b>Disposition:</b>	Temporary. Retire to records center 6 months after Department's final response. Destroy 5 years after case is closed.
<b>DispAuthNo:</b>	N1-059-08-13, item 1g <b>Date Edited:</b> 2/25/2009

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#### **A-23-010-02      Employment Law Subject Files**

**Description:** Telegrams, memorandums, draft statements, guidance, facsimilies, interpretation of laws and regulations, and other documentation used to provide advice concerning personnel issues to client bureaus in cases that may or may not result in litigation.

**Disposition:** Permanent. Retire to records center as space requirements and frequency of use dictate. Transfer to the National Archives when 25 years old. Supersedes N1-059-95-11, item 30.

**DispAuthNo:** N1-059-08-13, item 2

**Date Edited:** 2/25/2009

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#### **A-23-010-03      Ethics Subject Files**

**Description:** Telegrams, handwritten notes, memorandums, statements, guidance, facsimiles, laws and regulations and other documentation used to provide advice concerning ethical issues to client bureaus.

**Disposition:** Temporary. Retire to records center as space requirements and frequency of use dictate. Destroy 2 years after receipt by records center. Supersedes N1-059-95-11, item 31.

**DispAuthNo:** N1-059-08-13, item 3

**Date Edited:** 2/25/2009

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#### **A-23-010-04a      Nominations Files**

**Description:** Nomination papers and White House Personal Data Statement, campaign contribution forms, SFRC questionnaires, financial disclosure reports (SF-278), correspondence, memorandums, instructions, and other documentation relating to nominations for Ambassadors to foreign countries, U.S. representatives to delegations of international organizations, and Senate confirmed nominees at the level of Assistant Secretary and above. Arranged overall by type and name of nominee.

a. Confirmed Nominees.

**Disposition:** Temporary. Retire to records center 3 years after certification. Destroy 6 years after certification. Note: OGE Rule. Supersedes N1-059-95-11, item 32a.

**DispAuthNo:** N1-059-08-13, item 4a

**Date Edited:** 2/25/2009

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<b>A-23-010-04b</b>	<b>Nominations Files</b>
<b>Description:</b>	Nomination papers and White House Personal Data Statement, campaign contribution forms, SFRC questionnaires, financial disclosure reports (SF-278), correspondence, memorandums, instructions, and other documentation relating to nominations for Ambassadors to foreign countries, U.S. representatives to delegations of international organizations, and Senate confirmed nominees at the level of Assistant Secretary and above. Arranged overall by type and name of nominee.  b. Unconfirmed Nominees.
<b>Disposition:</b>	Temporary. Destroy 1 year after nominee is withdrawn. Note: OGE Rule. Supersedes N1-059-95-11, item 32b.
<b>DispAuthNo:</b>	N1-059-08-13, item 4b
<b>Date Edited:</b>	2/25/2009
<b>A-23-010-05</b>	<b>Nominations Summary Log</b>
<b>Description:</b>	A ledger used as a tracking record from beginning of nomination to confirmation or non-confirmation.
<b>Disposition:</b>	Temporary. Destroy 6 years after last entry in log. Supersedes N1-059-95-11, item 33.
<b>DispAuthNo:</b>	N1-059-08-13, item 5
<b>Date Edited:</b>	2/25/2009
<b>A-23-010-06</b>	<b>Pre-employment Clearance File</b>
<b>Description:</b>	Memorandums, position descriptions, financial disclosure reports and other background material and other documents used to obtain pre-employment clearances for individuals prior to filling covered positions as required by the Ethics Government Act and Ethics Reform Act. Arranged in chronological order by month.
<b>Disposition:</b>	Temporary. Retire to records center 3 years after individual assumes position. Destroy 6 years after individual assumes position. Supersedes N1-059-95-11, item 34.
<b>DispAuthNo:</b>	N1-059-08-13, item 6
<b>Date Edited:</b>	2/25/2009
<b>A-23-010-07</b>	<b>Master List of Annual SF-278, Public Financial Disclosure Report</b>
<b>Description:</b>	List of all employees required to submit an incumbent financial disclosure report as required by Ethics and Government Act and Ethics Reform Act. Arranged in alphabetical order by last name.
<b>Disposition:</b>	Temporary. Retire to records center as space requirements and frequency of use dictate. Destroy 2 years after receipt by records center.
<b>DispAuthNo:</b>	N1-059-08-13, item 7
<b>Date Edited:</b>	2/25/2009

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**A-23-010-08 Incumbent, New Entrant, and Termination SF-278, Public Financial Disclosure Report**

**Description:** Memorandums, position description descriptions, financial disclosure reports, and other background information used to analyze all financial holdings and outside positions disclosed on form to determine if an actual or potential conflict of interest exists. Arranged in alphabetical order by last name.

**Disposition:** Temporary. Destroy 6 years after receipt of the OGE Form 278 or 278e by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed. (Supersedes GRS 25, item 2a(2))

**DispAuthNo:** GRS 2.8, Item 061 **Date Edited:** 3/9/2017

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**A-23-010-09 Incumbent and New Entrant OGE-450, Confidential Financial Disclosure Report**

**Description:** Memorandums, position descriptions, financial disclosure reports, and other background information used to analyze all financial holdings and outside positions disclosed on form to determine if an actual or potential conflict of interest exists.

**Disposition:** Temporary. Destroy 6 years after receipt of the OGE Form 450 by the agency, except when the OGE Form 450 supports one or more subsequent Optional OGE Form 450-As then destroy 6 years after receipt of the last related OGE Form 450-A by the agency, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed. (Supersedes GRS 25, item 2b(2))

**DispAuthNo:** GRS 2.8, Item 071 **Date Edited:** 3/9/2017

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**A-23-010-10 Ethics Training Record**

**Description:** Electronic listing of all employees who have taken ethics training in a calendar year. Arranged in alphabetical order by last name

**Disposition:** Temporary. Block annually. Destroy after 6 years.

**DispAuthNo:** N1-059-08-13, item 10 **Date Edited:** 2/25/2009

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**A-23-010-11 Semi-Annual Report of Acceptance of Non-Federal Funding for Travel**

**Description:** Listing of all bureaus or post employees who have been approved to accept non-federal funding for travel, lodging, or meals on behalf of the Department in an official capacity. Arranged in alphabetical order by bureau or post.

**Disposition:** Temporary. Destroy after 1 year of sending report to OGE. NOTE: OGE Rule.

**DispAuthNo:** N1-059-08-13, item 11 **Date Edited:** 2/25/2009

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#### Office of Human Rights and Refugees (L/HRR)

**A-23-011-01a**                      **Program Files - Arranged by subject**

**Description:** a. Subject Files. Correspondence, memorandums, handwritten notes, copies of rules, regulations, cables, UNHCR documents, congressional documents, reports, statements/speeches, facsimiles, articles and other documentation relating to legal issues concerning human rights and refugees.

**Disposition:** PERMANENT: Retire to RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-059-95-11, item 36a                      **Date Edited:** 4/1/1999

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**A-23-011-01b**                      **Program Files - Arranged alphabetically by country**

**Description:** b. Country Files. Reports, articles, cables, correspondence and other documentation related to legal issues and specific countries.

**Disposition:** PERMANENT: Retire to RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-059-95-11, item 36b                      **Date Edited:** 4/1/1999

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**A-23-011-01c**                      **Program Files - Arranged by case name and number**

**Description:** c. Litigation Case Files. Handwritten notes, pleadings, legal opinions, briefs and other legal documents pertaining to litigation brought by or against the Department relating to human rights and refugee issues.

**Disposition:** Permanent. Maintain in active and inactive blocks. Retire inactive cases to RSC 1 year after case is closed. Transfer to WNRC 5 years after case is closed. Transfer to the National Archives 30 years after close of case.

**DispAuthNo:** N1-059-95-11, item 36c                      **Date Edited:** 4/1/1999

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#### Office of Law Enforcement and Intelligence (L/LEI)

**A-23-012-01a**                    **Extradition Case Files**

**Description:**        Dossiers documenting U.S. and foreign extradition requests of fugitives to be tried for crimes committed in the United States or in foreign countries. (Supersedes: N1-059-95-11, item 37a)

a. Precedent and Historical Cases.

**Disposition:**        Permanent. Retire to RSC 2-years after case is closed. Transfer to WNRC 10-years after case is closed. Transfer to the National Archives 30-years after case is closed.

**DispAuthNo:**        N1-059-00-06, item 1a

**Date Edited:**        7/29/1999

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**A-23-012-01b(1)**                    **Extradition Case Files**

**Description:**        Dossiers documenting U.S. and foreign extradition requests of fugitives to be tried for crimes committed in the United States or in foreign countries. (Supersedes: N1-059-95-11, item 37b)

b. Non-precedent and non-historical cases.

(1) Recordkeeping copy

**Disposition:**        Retire to the RSC two years after the case is closed for transfer to a records storage facility. Destroy 20-years after case is closed.

**DispAuthNo:**        N1-059-00-06, item 1b(1)

**Date Edited:**        7/29/2002

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**A-23-012-02a**                    **Extradition Card File and Computer Database.**

**Description:**        Card file and computer database used to track extradition cases, gather statistics, do analyses, respond to FOIA requests and from time to time to refer to and cite previous cases.

a. Card Files.

**Disposition:**        Destroy when no longer needed.

**DispAuthNo:**        N1-059-95-11, item 38a

**Date Edited:**        4/1/1999

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<b>A-23-012-02b</b>	<b>Extradition Card File and Computer Database - Card file and computer database used to track extradition cases, gather statistics, do analyses, respond to FOIA requests and from time to time to refer to and cite previous cases</b>
<b>Description:</b>	b. Computer Database File. Software dependent database compiled with information extracted from case files used to track status of cases. Also used to do analyses and statistical reports.
<b>Disposition:</b>	Delete information in database when no longer needed.
<b>DispAuthNo:</b>	N1-059-95-11, item 38b
<b>Date Edited:</b>	4/1/1999
<b>A-23-012-03</b>	<b>General Extradition Subject Files</b>
<b>Description:</b>	Telegrams, memorandums, reports, handwritten notes, circulars and regulations, copies of legislation, background information, correspondence between the Department of State and the Department of Justice, copies of hearings and other documentation relating to extradition matters.
<b>Disposition:</b>	Permanent. Transfer to RSC as space requirements and frequency of use dictate for transfer to the WNRC. Transfer to the National Archives when 30 years old.
<b>DispAuthNo:</b>	N1-059-95-11, item 39
<b>Date Edited:</b>	4/1/1999
<b>A-23-012-04</b>	<b>Extradition Chronological Files</b>
<b>Description:</b>	Copies of diplomatic notes, surrender warrants and declarations arranged chronologically. Has maintained a complete record to be used for reference and research purposes.
<b>Disposition:</b>	Destroy when no longer needed.
<b>DispAuthNo:</b>	N1-059-95-11, item 40
<b>Date Edited:</b>	4/1/1999
<b>A-23-012-05</b>	<b>Extradition Country Files - Arranged in alphabetical order by country</b>
<b>Description:</b>	Telegrams, diplomatic notes, correspondence, memorandums and other documentation relating to extradition issues that are country specific.
<b>Disposition:</b>	Permanent. Transfer to RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives when 30 years old.
<b>DispAuthNo:</b>	N1-059-95-11, item 41
<b>Date Edited:</b>	4/1/1999

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<b>A-23-012-06</b>	<b>Subject and Country Files (Attorney-Adviser Files)</b>
<b>Description:</b>	Telegrams, memorandums, reports, correspondence, policy papers and directives, notes, chits, drafts, e-mail, documents, and other material relating to all matters dealt with by L/LEI. Subjects include international law enforcement issues, extradition matters, narcotic matters, intelligence coordination and oversight, counter-terrorism, Mutual Legal Assistance Treaties (MLATs), war criminality, interagency intelligence liaison, intelligence activities, and other related activities.
<b>Disposition:</b>	Permanent. Transfer to RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives when 30 years old.
<b>DispAuthNo:</b>	N1-059-95-11, item 42
	<b>Date Edited:</b> 4/1/1999
<b>A-23-012-07a</b>	<b>Litigation Case Files - Court documents, telegrams, memorandums, research and reference material, legislation histories, exhibits and other documentation relating to specific cases</b>
<b>Description:</b>	a. Precedent and Historical Cases.
<b>Disposition:</b>	Permanent. Retire to RSC 2 years after the case is closed. Transfer to WNRC 10 years after case is closed. Transfer to the National Archives 30 years after case is closed.
<b>DispAuthNo:</b>	N1-059-95-11, item 43a
	<b>Date Edited:</b> 4/1/1999
<b>A-23-012-07b</b>	<b>Litigation Case Files - Court documents, telegrams, memorandums, research and reference material, legislation histories, exhibits and other documentation relating to specific cases</b>
<b>Description:</b>	b. Non-Precedent and Non-Historical Cases.
<b>Disposition:</b>	Retire to RSC 2 years after case is closed for transfer to the WNRC. Destroy 10 years after case is closed.
<b>DispAuthNo:</b>	N1-059-95-11, item 43b
	<b>Date Edited:</b> 4/1/1999

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**Office of Management (L/M)****A-23-013-01      Subject Files**

**Description:** Copies of legislation, rules, circulars, notices and regulations, correspondence, telegrams, memoranda, articles, legislative histories, legal briefs and other legal documents, policy statements, press releases, and other documentation that the Office of Legislation and General Management accumulates while providing advice and support to client bureaus.

**Disposition:** Permanent. Retire to RSC as space requirements and frequency of use dictate for transfer to WNRC. Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-059-95-11, item 44      **Date Edited:** 4/1/1999

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**A-23-013-02      Litigation Case Files - Arranged by case name and number**

**Description:** Depositions, legal briefs and other legal documents pertaining to litigation brought by or against the Department relating to the Freedom of Information Act and Privacy Act.

**Disposition:** Maintain in active/inactive series. Retire inactive cases to RSC 1 year after case is closed for transfer to the WNRC. Destroy 10 years after case is closed.

**DispAuthNo:** N1-059-95-11, item 45      **Date Edited:** 4/1/1999

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#### Office of Oceans, International Environmental and Scientific Affairs (L/OES)

**A-23-014-01**      **Subject Files**

**Description:** Telegrams, memorandums, position papers, background information, correspondence, copies of legislation, copies of agreements and treaties, court documents and other documentation used in rendering legal advice and assistance in the negotiation, drafting, application and interpretation of international agreements, and coordinating other legal activities related to oceans, international environmental and scientific affairs.

**Disposition:** Permanent. Retire to RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-059-95-11, item 46      **Date Edited:** 4/1/1999

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**A-23-014-02**      **Country Files**

**Description:** Telegrams, memorandums, position papers, background information, correspondence, copies of treaties and agreements, court documents pertaining to and arranged by specific countries.

**Disposition:** Permanent. Retire to RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-059-95-11, item 47      **Date Edited:** 4/1/1999

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**A-23-014-03**      **Court Documents (separate collection).**

**Description:** Court documents and briefs cited in court cases maintained as a separate collection. Does not include briefs interfiled with other documents.

**Disposition:** Destroy when no longer needed.

**DispAuthNo:** N1-059-95-11, item 48      **Date Edited:** 4/1/1999

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#### Reserved

**A-23-015-000**      **RESERVED.**

**Description:**

**Disposition:**

**DispAuthNo:** Reserved      **Date Edited:** 7/29/2002

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#### Office of Private International Law (L/PIL)

**A-23-016-01a**      **International Organization Files - Arranged by organization and thereunder by subject**

**Description:** a. Administrative Files. Documentation relating to the structure and management of international organizations and conferences. Contains information on the budget, pension plans, size of the bodies, staffing, building, etc.

**Disposition:** Retire to RSC when 5 years old. Destroy when 10 years old.

**DispAuthNo:** N1-059-95-11, item 51a      **Date Edited:** 4/1/1999

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**A-23-016-01b**      **International Organization Files - Arranged by organization and thereunder by subject**

**Description:** b. Subject Files. Telegrams, draft and final minutes of meetings, reports of meetings, correspondence, draft conventions, final texts of treaties, reports on treaty interpretation and responses to them, speeches, articles and other documentation documenting U.S. participation in international organizations for the purpose of coordinating the development of private international law.

**Disposition:** Permanent. Retire to RSC 10 years after treaty enters into force. Transfer to WNRC 15 years after treaty enters into force. Transfer to the National Archives 30 years after treaty enters into force.

**DispAuthNo:** N1-059-95-11, item 51b      **Date Edited:** 4/1/1999

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**A-23-016-02**      **Advisory Committee Meetings on Private International Law - Arranged by meeting and by study group in addition to some general files about the committee**

**Description:** Minutes, annual reports, agendas, correspondence, memorandums, drafts, and other material relating to the establishment and work of the Committee.

**Disposition:** Permanent. Retire to RSC 10 years after meeting for transfer to WNRC. Transfer to the National Archives 30 years after meeting.

**DispAuthNo:** N1-059-95-11, item 52      **Date Edited:** 4/1/1999

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**A-23-016-03**      **Miscellaneous Correspondence Files (ACPIL)**

**Description:** Correspondence from individuals requesting information or asking questions about subjects not relating to International Organizations and Advisory Committees.

**Disposition:** Destroy when 2 years old.

**DispAuthNo:** N1-059-95-11, item 53      **Date Edited:** 4/1/1999

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#### Office of Diplomatic Law and Litigation (L/DL)

<b>A-23-017-01</b>	<b>Litigation Case Files - Arranged by country</b>
<b>Description:</b>	Memorandums, correspondence, cables, notes, facsimiles, court decisions and other documents relating to litigation involving an Embassy or Foreign Service National employee.
<b>Disposition:</b>	Retire to RSC 10 years after the close of case for transfer to the Washington National Records Center (WNRC). Destroy 20 years after close of case.
<b>DispAuthNo:</b>	N1-059-95-11, item 54
	<b>Date Edited:</b> 4/1/1999
<b>A-23-017-02</b>	<b>Foreign Litigation Case Files</b>
<b>Description:</b>	Memorandums, correspondence, cables, handwritten notes, copies of reference material and other documentation relating to foreign sovereignty and immunity cases against the United States, U.S. corporations and individuals.
<b>Disposition:</b>	Retire to RSC 5 years after close of case. Destroy 10 years after close of case.
<b>DispAuthNo:</b>	N1-059-95-11, item 55
	<b>Date Edited:</b> 4/1/1999
<b>A-23-017-03</b>	<b>Privileges and Immunities Files - Arranged by subject and thereunder by country</b>
<b>Description:</b>	Cables, correspondence, memorandums, diplomatic notes, facsimiles, copies of international agreements and other documentation relating to diplomatic immunities of foreign diplomats and accompanying issues. Included are the dependent employment files.
<b>Disposition:</b>	Permanent. Retire to RSC as space requirements and frequency of use dictate for transfer to the WNRC. Transfer to the National Archives when 30 years old.
<b>DispAuthNo:</b>	N1-059-95-11, item 56
	<b>Date Edited:</b> 4/1/1999
<b>A-23-017-04</b>	<b>Foreign Missions Act Files - Arranged by subject and/or issue</b>
<b>Description:</b>	Cables, memos, correspondence, handwritten notes, facsimiles and other documentation relating to the Foreign Missions Act. Included are rules and regulations for Foreign Missions and the diplomats connected thereto and issues concerning reciprocity.
<b>Disposition:</b>	Permanent. Retire to RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives when 30 years old.
<b>DispAuthNo:</b>	N1-059-95-11, item 57
	<b>Date Edited:</b> 4/1/1999

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**A-23-017-05      Diplomatic Tax Files**

**Description:** Diplomatic notes and cables relating to a variety of tax issues involving foreign missions and diplomats in the U.S. and American missions and personnel abroad.

**Disposition:** Retire to RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Center (WNRC). Destroy when 10 years old.

**DispAuthNo:** N1-059-95-11, item 58

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

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**A-23-017-06      Foreign Heads of State Immunity Files - Arranged by name of foreign head of state or subject**

**Description:** Decisions, talking points, court documents, transcripts, memorandums, correspondence and other documentation relating to litigation involving foreign heads of state.

**Disposition:** Permanent. Retire to RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-059-95-11, item 59

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

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#### Office of Treaty Affairs (L/T)

**A-23-018-01 Original Treaties and Agreements**

**Description:** Original treaties and agreements, both in force, having undergone ratification and proclamation by the President, and/or not published. Records consist of original agreement and TIAS publication, if applicable.

**Disposition:** PERMANENT. Cut off after treaty or agreement is no longer in force. Retire to the RSC 10 years after cut off. Transfer to the National Archives 25 years after cut off. (Supersedes N1-059-07-12, item 1; and N1-059-07-12, item 2)

**DispAuthNo:** DAA-0059-2014-0007-0001 **Date Edited:** 7/9/2020

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**A-23-018-02 TIAS Publications Documentation**

**Description:** Correspondence, documents, galleys, manuscripts, Publishing Services Requisition/Purchase Order/Invoice/Receiving Report/Voucher (DS-5R).

**Disposition:** TEMPORARY. Destroy 1 year after publication. (Supersedes N1-059-95-11, item 61).

**DispAuthNo:** N1-059-07-12, item 3 **Date Edited:** 11/12/2008

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**A-23-018-03 Vital Records**

**Description:** Consist of extra copies of TIAS publications, texts of agreements not published, UST Bound Volumes (United States Treaties), Treaties in Force yearly publications and Slip Laws (Public Law) deposited at relocation site.

**Disposition:** TEMPORARY. Retain at relocation site until notified by L/T. (Supersedes N1-059-95-11, item 62).

**DispAuthNo:** N1-059-07-12, item 4 **Date Edited:** 11/12/2008

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**A-23-018-04 Treaty and Agreement Background Files**

**Description:** Background documentation on treaties and other international agreements of the United States (1778-Present). Records include, but are not limited to, copies of treaties; translations and transmittals; copies of texts of agreements; telegrams, airmgrams and dispatches; files regarding the negotiation and/or negotiating stage(s) of a treaty or agreement; copies of Circular 175s; memoranda and other official correspondence of background interest.

**Disposition:** PERMANENT. Cut off after treaty or agreement is no longer in force. Retire to the RSC 10 years after cut off. Transfer to the National Archives 25 years after cut off. (Supersedes N1-059-07-12, item 5; and N1-059-07-12, item 7)

**DispAuthNo:** DAA-0059-2014-0007-0002 **Date Edited:** 1/15/2015

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**A-23-018-05 Treaty and Agreement Index Card File**

**Description:** Used with treaty background files. Abstracts containing vital information relating to treaties, i.e. where signed, date of entry into force, duration, amendments, extensions, etc., termination dates and action, legal basis, etc. Use of the card file ended c. 2004. Recordkeeping medium is paper.

**Disposition:** PERMANENT. Retain in L/T until automated; then retire to RSC for transfer to the National Archives in 2010. (Supersedes N1-059-95-11, item 64).

**DispAuthNo:** N1-059-07-12, item 6 **Date Edited:** 11/12/2008

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**A-23-018-06 Non-Legally-Binding Agreements**

**Description:** Copies of texts and background information on non-legally-binding agreements of the United States (1950-present). Including, but not limited to, supporting memoranda and other official correspondence, translations, and other material of background interest.

**Disposition:** PERMANENT. Retire to the RSC 5 years after agreement becomes effective. Transfer to the National Archives when 25 years old.

**DispAuthNo:** DAA-0059-2014-0007-0003 **Date Edited:** 7/9/2020

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**A-23-018-07 Agreements between countries in which the U.S. is not a participant (Bilateral and Multilateral)**

**Description:** Copies of text and related background information on multilateral agreements between multiple countries of which the U.S. is not a participant. Copies of the agreements, telegrams, airgrams, dispatches and other related correspondence of background interest. Recordkeeping medium is paper.

**Disposition:** PERMANENT. Cut off as volume and use warrant. Retire to RSC for transfer to WNRC. Transfer to NARA when 30 years old. (Supersedes N1-059-95-11, item 66).

**DispAuthNo:** N1-059-07-12, item 8 **Date Edited:** 11/12/2008

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**A-23-018-08 Treaty Affairs Log Books (closed)**

**Description:** All relevant log book entries of Treaty Affairs, including treaties, agreements, publication information, Case Act logs, ratifications, full powers, etc. The log entries may include, but are not limited to, date of receipt, classification, country with which agreement is made, date signed, subject, and the TIAS number, when appropriate.

**Disposition:** PERMANENT. Transfer in 2028. Supersedes N1-059-07-12, item 9

**DispAuthNo:** DAA-0059-2014-0007-0004 **Date Edited:** 1/15/2015

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<b>A-23-018-09</b>	<b>Circular 175 Logs</b>
<b>Description:</b>	Logs consisting of abstracts of the Circular 175 memorandums maintained by subject.
<b>Disposition:</b>	TEMPORARY. Destroy when no longer needed. (Supersedes N1-059-95-11, item 68).
<b>DispAuthNo:</b>	N1-059-07-12, item 10
<b>Date Edited:</b>	11/12/2008
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<b>A-23-018-10</b>	<b>Circular 175 Memorandum</b>
<b>Description:</b>	Copies of action memorandum to Department principals recommending authorization to negotiate and/or conclude international agreements. (Master copy maintained as part of Treaty and Agreement Background Files.)
<b>Disposition:</b>	TEMPORARY. Retain in L/T as reference. Destroy when no longer needed. (Supersedes N1-059-95-11, item 69).
<b>DispAuthNo:</b>	N1-059-07-12, item 11
<b>Date Edited:</b>	7/9/2020
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<b>A-23-018-11</b>	<b>Central Subject Matter Files (General Treaty and Agreement Information Files)</b>
<b>Description:</b>	Memorandums, reports, opinions, lists, correspondence, documents, and other information on the general subject of treaties and agreements. Topics include treaty and agreement practice, treaty and agreement termination, dispute settlements, and other such matters. Recordkeeping medium is paper.
<b>Disposition:</b>	PERMANENT. Cut off as volume and use warrant. Retire to RSC for transfer to WNRC. Transfer to NARA when 30 years old. (Supersedes N1-059-95-11, item 70).
<b>DispAuthNo:</b>	N1-059-07-12, item 12
<b>Date Edited:</b>	11/12/2008
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<b>A-23-018-12</b>	<b>Treaties in Force Publication</b>
<b>Description:</b>	Publication listing treaties and international agreements to which the United States has become a party and which are carried on the records of the Department of State as being in force as of January 1 of each year.
<b>Disposition:</b>	PERMANENT: Cut off when no longer needed for business purposes. Retire to the RSC at cut off. Transfer to the National Archives 25 years after cut off. Supersedes N1-059-95-11, item 7
<b>DispAuthNo:</b>	DAA-0059-2014-0007-0005
<b>Date Edited:</b>	1/15/2015
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#### A-23-018-13 **Depository Documentation: Individual Country Files**

**Description:** Treaties for which the United States is a depository, individual country files for states that ratify/sign- including original full power documents, instruments of ratification, and any related documentation (telegrams, faxes, and correspondence). Recordkeeping medium is paper.

**Disposition:** PERMANENT. Retire to the National Archives as volume warrants.

**DispAuthNo:** N1-059-07-12, item 14 **Date Edited:** 11/12/2008

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#### A-23-018-14 **Depository Documentation: Original Treaties**

**Description:** Originals of treaties for which the United States is a depository. Recordkeeping medium is paper.

**Disposition:** PERMANENT. Cut off after treaty is no longer in force. Retire to the RSC 10 years after cut off. Transfer to the National Archives 25 years after cut off. Supersedes N1-059-07-12, item 15

**DispAuthNo:** DAA-0059-2014-0007-0006 **Date Edited:** 1/15/2015

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#### A-23-018-15 **UN Registration Files and Documentation**

**Description:** Correspondence, documents, treaty slips regarding the registration of treaties and agreements at the United Nations. Recordkeeping medium is paper.

**Disposition:** PERMANENT. Retire to RSC for transfer to WNRC. Transfer to NARA when 30 years old.

**DispAuthNo:** N1-059-07-12, item 16 **Date Edited:** 11/12/2008

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#### A-23-018-16 **Treaty Information Management System (TIMS)**

**Description:** The Treaty Information Management System (TIMS) is a cumulative database of all treaties in force and terminated treaties since 2004 which is used as an electronic indexing system to track and manage information about treaties, agreements, and international acts of the United States. The following types of information are included in the database: title, instrument type, status, signatories, subject, Treaties and other International Acts Series (TIAS) number, entry into force information, approval information, and duration and termination information.

**Disposition:** PERMANENT. Transfer annual snapshot of data to the National Archives when 25 years old and thereafter, send a snapshot every 10 years, or sooner if the system is discontinued or if records are migrated to another system that changes the record content.

**DispAuthNo:** N1-059-09-03, item 1 **Date Edited:** 7/9/2020

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**A-23-018-17 Treaty Negotiation Files not leading to Treaty or Agreement**

**Description:** Proposed treaties and other international agreements of the United States which did not lead to a treaty or agreement. Arranged alphabetically by subject, or chronologically by negotiation round. Records include, but are not limited to, discussions to cooperate on certain matters between governments, official copies of position papers and briefing books, Circular 175s, agreement drafts, analytical working papers, memoranda of conversation, presidential decisions, talking points, planning papers, delegation lists, speeches, reports, meeting agendas, meeting minutes and other substantive records used to provide advice and support.

From (1940 to 1995)

**Disposition:** Permanent. Cut off at close of treaty or agreement negotiations. Transfer to the National Archives 25 years after cutoff.

**DispAuthNo:** DAA-0059-2020-0001-0001

**Date Edited:** 7/9/2020

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**Office of United Nations Affairs (L/UNA)**

<b>A-23-019-01a</b>	<b>Program Files - Arranged by subject/country and thereunder broken down by secondary subject, organization or meeting, convention, case, international law, agreement, etc.</b>
<b>Description:</b>	Documents legal advice and support to the various bureaus in the Department with regard to issues and problems relating to U.S. participation in the United Nations, its specialized agencies and other international organizations. Telegrams, UN documents, memorandums, newspaper clippings, airgrams, press releases and guidance, correspondence, copies of speeches, facsimiles, position papers, reports and other documents.  a. General Subject and Country Files.
<b>Disposition:</b>	Permanent. Retire to RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives after 30 years.
<b>DispAuthNo:</b>	N1-059-95-11, item 72a <b>Date Edited:</b> 4/1/1999
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<b>A-23-019-01b(1)</b>	<b>Program Files - Arranged by subject/country and thereunder broken down by secondary subject, organization or meeting, convention, case, international law, agreement, etc.</b>
<b>Description:</b>	Documents legal advice and support to the various bureaus in the Department with regard to issues and problems relating to U.S. participation in the United Nations, its specialized agencies and other international organizations. Telegrams, UN documents, memorandums, newspaper clippings, airgrams, press releases and guidance, correspondence, copies of speeches, facsimiles, position papers, reports and other documents.  b. Case Files.  (1) Precedent Cases.
<b>Disposition:</b>	Permanent. Retire to RSC one year after close of case. Transfer to WNRC when 10 years old. Transfer to the National Archives when 30 years old.
<b>DispAuthNo:</b>	N1-059-95-11, item 72b(1) <b>Date Edited:</b> 4/1/1999

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**A-23-019-01b(2)**      **Program File - Organized by subject/country and thereunder broken down by secondary subject, organization or meeting, convention, case, international law, agreement, etc.**

**Description:** Documents legal advice and support to the various bureaus in the Department with regard to issues and problems relating to U.S. participation in the United Nations, its specialized agencies and other international organizations. Telegrams, UN documents, memorandums, newspaper clippings, airgrams, press releases and guidance, correspondence, copies of speeches, facsimiles, position papers, reports and other documents.

b. Case Files.

(2) All Other Cases.

**Disposition:** Retire to RSC one year after close of case. Destroy 10 years after close of case.

**DispAuthNo:** N1-059-95-11, item 72b(2)      **Date Edited:** 4/1/1999

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**A-23-019-02**      **Advisory Committee on International Law**

**Description:** The records are by meeting in addition to some general files about the committee. The files consist of minutes, annual reports, agendas, correspondence, memorandums, drafts, and other material relating to the establishment and work of the Committee.

**Disposition:** Permanent. Retire to RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-059-95-11, item 73      **Date Edited:** 4/1/1999

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#### General

**A-23-020-01**      **Chronological Files (Covers all offices except F.O. principals and L/LEI chrons)**

**Description:** Extra copies of outgoing communications of all types arranged chronologically. The official record copy of the communications are filed elsewhere by subject or case.

**Disposition:** Destroy when 1 year old, or when no longer needed, whichever is sooner. If records in the Chronological Files are NOT extra copies of documents, they have the same disposition as that component Program, Subject, or Country Files as noted elsewhere in this schedule.

**DispAuthNo:** N1-059-95-11, item 74      **Date Edited:** 4/1/1999

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**A-23-020-02**      **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:

- 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 (i.e. copies of security surveys and inspection reports)
- 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

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#### A-23-020-03 Security Administrative Records

**Description:** General security and safety files. Documents pertaining to general security and safety within an office, such as copies of security surveys and inspection reports, excluding those maintained by the Bureau of Diplomatic Security.

**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:** 10/4/2017)

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#### A-23-020-04 Office Working Files (Covers all offices except L/CID)

**Description:** Files maintained by or for individual attorneys consisting of extra or information copies of telegrams, memorandums, preliminary or rough drafts of communications, reports and other documentation.

**Disposition:** Review annually and destroy material no longer needed for current work assignment or project. This item DOES NOT apply to the Program, Subject, Country, Litigation, and other primary files of components of the Office of the Legal Adviser described on this schedule even if maintained in an individual office.

**DispAuthNo:** N1-059-95-11, item 77      **Date Edited:** 10/4/2017

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#### A-23-020-05 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:** 10/4/2017)

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#### Legal Advisor for Legislation and Foreign Assistance (L/LFA)

**A-23-026-01      Subject and Country Files**

**Description:** Telegrams, memorandums, memorandums of conversation, policy papers and directives, proceedings of meetings, reports, copies of legislation, rules, circulars, notices and regulations, correspondence, copies of agreements, draft texts of agreements and treaties, and legal documents documenting legal advice and assistance provided on matters relating to foreign assistance, appropriations and authorization legislation, and all other related legislative issues. Files arranged by subject but subdivided by secondary subject, country, date, section of act, or appropriate breakdown. Recordkeeping medium is paper.

**Disposition:** PERMANENT. Retire to a records storage facility 2 years after the case is closed. Transfer to the WNRC 10 years after case is closed. Transfer to the National Archives 25 years after case is closed.

**DispAuthNo:** N1-059-08-12, item 1                      **Date Edited:** 11/12/2008

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**A-23-026-02      Litigation Case Files**

**Description:** Cases relating to suits brought against U.S. related to appropriations or foreign assistance. Memorandums, copies of regulations and legislation, and telegrams. Files arranged by name of case. Recordkeeping medium is paper.

**Disposition:** PERMANENT. Retire to the records center facility 2 years after the case is closed. Transfer to the WNRC 10 years after case is closed. Transfer to the National Archives 25 years after case is closed.

**DispAuthNo:** N1-059-08-12, item 2                      **Date Edited:** 11/12/2008

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#### Legal Adviser for Nonproliferation and Verification (L/NPV)

<b>A-23-030-01</b>	<b>Nonproliferation Subject and Country Files</b>
<b>Description:</b>	Substantive files relating to specific subject or country topic that establishes, discusses or defines nonproliferation policy. May include memoranda, memoranda of conversation, policy papers and directives, proceedings of meetings, reports, copies of legislation, rules, circulars, notices and regulations, correspondence, copies of agreements, draft texts of agreements and treaties, and legal documents documenting legal advice and assistance provided on matters relating to nonproliferation. Arranged alphabetically by subject.
<b>Disposition:</b>	PERMANENT: Transfer to RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Service Center (WNRC). Transfer to National Archives 25 years after closure.
<b>DispAuthNo:</b>	N1-059-02-01, item 1a
<b>Date Edited:</b>	1/14/2011
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<b>A-23-030-02</b>	<b>Litigation Case Files</b>
<b>Description:</b>	Files include cases relating to suits brought against the U.S. Government and those brought by the United States involving activities related to the Atomic Energy Act and other nonproliferation related matters. Files include memoranda, copies of regulations and legislation, telegrams, briefs, affidavits and depositions.
<b>Disposition:</b>	Disposition Not Authorized
<b>DispAuthNo:</b>	N1-059-02-01, item 2a
<b>Date Edited:</b>	12/23/2011
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<b>A-23-030-03</b>	<b>Arms Control and Verification Subject Files</b>
<b>Description:</b>	Substantive files relating to specific subject or topic that establishes, discusses, or defines arms control and verification policy. May include memoranda, memoranda of conversation, policy papers and directives, proceedings of meetings, reports, copies of legislation, rules, circulars, notices and regulations, correspondence, copies of agreements, draft texts of agreements and treaties, and legal documents documenting legal advice and assistance provided on matters relating to arms control and verification. Arranged alphabetically by subject.
<b>Disposition:</b>	PERMANENT: Transfer to RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Service Center (WNRC). Transfer to National Archives 25 years after closure. (Ref N1-383-97-1, item 3a and N1-059-95-11, item 49)
<b>DispAuthNo:</b>	N1-059-01-09, item 1a
<b>Date Edited:</b>	1/14/2011
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**A-23-030-04**      **Treaty Negotiation Files**

**Description:** Files contain duplicate copies of materials relating to the negotiations of treaties and agreements; working group proceedings; official copies of position papers and briefing books; analytical working papers; memoranda of conversation; Presidential decisions; talking points; planning papers; delegation lists; speeches; reports; meeting agendas; meeting minutes and other substantive records relating to arms control and verification. Arranged alphabetically by subject, or chronologically by negotiation round.

**Disposition:** PERMANENT: Transfer to RSC as space requirements and frequency of use dictate for transfer to the Washington National Records Center (WNRC). Transfer to the National Archives 25 years after closure.

**DispAuthNo:** N1-059-01-09, item 2a

**Date Edited:** 10/4/2001

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