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Chapter 35: Consular Affairs

Office of the Assistant Secretary**A-35-001-01 Assistant Secretary Subject File**

Description: Hard copy file contains incoming and outgoing correspondence and memoranda. Subjects are Department and Bureau decision memoranda, Congressional correspondence, GAO and OIG report correspondence, position papers, handwritten notes, and other documentations on discussions, and Diplomatic Notes. Material is filed by subject within a certain time period. Recordkeeping medium is paper.

Disposition: PERMANENT. Cutoff every two months and hold in office. Block in four month increments and retire to the RSC for transfer to WNRC when five years old. Transfer to National Archives when 25 years old.

DispAuthNo: N1-059-08-06, item 1 **Date Edited:** 11/12/2008

A-35-001-02 Assistant Secretary Daily Activities

Description: Daily activities of the Assistant Secretary are maintained by the Personal Assistant using Microsoft Calendar. Daily activity calendar is sent via email to CA Staffer mailboxes as well as to appropriate officers to inform personnel of the activities of the Assistant Secretary.

Disposition: TEMPORARY. Delete all copies except the electronic copy contained in the CA Staffers mailbox. Dispose of calendar in accordance with disposition instructions for the CA Staff Assistant Group Inbox, which is to delete in 10 years.

DispAuthNo: N1-059-08-06, item 2 **Date Edited:** 11/12/2008

A-35-001-03a CA Staff Assistant Read File

Description: An electronic email file that contains messages (with attachments) acted upon by the Assistant Secretary, documenting completed actions for each day. Attachments may include scanned images of related documents. The electronic folder is distributed to and used by senior staff members as a resource of complete substantive products, and to provide awareness of products completed or acted upon each day. Final products are filed in the Subject File upon completion.

a. Documents scanned for attachment to email file. The record copy of these records is maintained permanently with the Assistant Secretary Subject Files. Medium is paper.

Disposition: TEMPORARY. Destroy input copy upon verification of image quality and legibility.

DispAuthNo: N1-059-08-06, item 3a **Date Edited:** 11/12/2008

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A-35-001-03b **CA Staff Assistant Read File**

Description: An electronic email file that contains messages (with attachments) acted upon by the Assistant Secretary, documenting completed actions for each day. Attachments may include scanned images of related documents. The electronic folder is distributed to and used by senior staff members as a resource of complete substantive products, and to provide awareness of products completed or acted upon each day. Final products are filed in the Subject File upon completion.

b. Email messages with attachments sent to and received from senior staff officers. Medium is electronic.

Disposition: TEMPORARY. Retain in CA Staff Assistant Group Inbox within Outlook. See Outlook Shared Drive- Archive File (item A-35-001-04) for final disposition.

DispAuthNo: N1-059-08-06, item 4

Date Edited: 11/12/2008

A-35-001-03c **CA Staff Assistant Read File**

Description: An electronic email file that contains messages (with attachments) acted upon by the Assistant Secretary, documenting completed actions for each day. Attachments may include scanned images of related documents. The electronic folder is distributed to and used by senior staff members as a resource of complete substantive products, and to provide awareness of products completed or acted upon each day. Final products are filed in the Subject File upon completion.

c. Completed Products

Description: Memoranda, reports, and other substantive products completed, printed from email file, and signed by the Assistant Secretary. The products include original tasking and key background papers. Medium is paper.

Disposition: File in Assistant Secretary Subject File upon completion, signature, and distribution. See Assistant Secretary Subject File item (item A-35-001-01) for final disposition.

DispAuthNo: N1-059-08-06, item 1

Date Edited: 11/12/2008

A-35-001-04 **Outlook Shared Drive - Archive File**

Description: Using a shared hard drive, CA Staff Assistants store all completed e-mails sent to the CA Staffers Mailbox. The email messages with attachments contain all background and draft materials used to produce the final documents. In addition, the Group Inbox and the A/S daily activities are included in the Outlook Data Files maintained on the shared drive. The archived folders are listed chronologically and cover the period CY 2005 to present. Medium is electronic.

Disposition: TEMPORARY. Delete when 10 years old.

DispAuthNo: N1-059-08-06, item 4

Date Edited: 11/12/2008

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A-35-001-05 Non-recordkeeping Copies of Electronic Records

Description: Non-recordkeeping copies of electronic records agencies maintain in email systems, computer hard drives or networks, web servers, or other locations after agencies copy the records to a recordkeeping system or otherwise preserve the recordkeeping version. This includes:

- documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings, or presentations created on office applications, including those in Portable Document Format (PDF) or its equivalent
- senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any related attachments
- electronic spreadsheets
- digital still pictures or posters
- digital video or audio files
- digital maps or architectural drawings
- copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves

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

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

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

DispAuthNo: DAA-GRS-2016-0016-0002 (G) **Date Edited:** 9/28/2017

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Office of Public Affairs and Policy Coordination

A-35-002-01 Press Guidance Files

Description: Documents generated and submitted to the Bureau of Public Affairs (PA) for use at daily press briefings. Records provide an update of on-going issues dealing with immigration between the US and various countries. Files document passport and visa activities regarding American citizens.

Disposition: Block files by calendar year. Destroy when 3 years old or sooner if no longer needed for current operations.

DispAuthNo: N1-059-96-01, item 1 **Date Edited:** 4/1/1999

A-35-002-02 Public Speaking Files

Description: Letters from private organizations requesting Department officials to address consul-related topics at seminars, conferences, etc. Included are memorandums, publications, press clippings, telegrams and other related correspondence on the acceptance or denial of engagement.

Disposition: Block files by calendar year. Retain block in the office 1 year, then destroy.

DispAuthNo: N1-059-96-01, item 2 **Date Edited:** 4/1/1999

A-35-002-03 General Correspondence from the Public

Description: Requests for publications and letters addressed to the Assistant Secretary from the general public that provide comments regarding consular matters.

Disposition: Destroy when 3 months old.

DispAuthNo: N1-059-96-01, item 3 **Date Edited:** 4/1/1999

A-35-002-04 Country Files

Description: Arranged alphabetically by name of country. Duplicate copies of telegrams, newspaper articles, background notes, post correspondence and other related materials. Documents activities and issues related to consular matters regarding American citizens in a specific country.

Disposition: Block files by calendar year. Destroy when 1 year old.

DispAuthNo: N1-059-96-01, item 4 **Date Edited:** 4/1/1999

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A-35-002-05 News Media Files

Description: Memorandums submitted to the Bureau of Public Affairs requesting acceptance or denial for news media interviews. Included are recommendation papers stating why the Department should accept or deny the request.

Disposition: Block files by calendar year. Retain block in office for 1 year, then destroy.

DispAuthNo: N1-059-96-01, item 5

Date Edited: 4/1/1999

A-35-002-06 Subject Files

Description: Arranged alphabetically by subject. Copies of press articles, telegrams, background notes, public inquiries, reports, White House statements and other documents on visas and passport matters.

Disposition: Block files by calendar year. Destroy when 1 year old.

DispAuthNo: N1-059-96-01, item 6

Date Edited: 4/1/1999

A-35-002-07a Publication Files-Publications issued by the Bureau of Consular Affairs to inform the public and in-house publications such as Consular Update

Description: a. Master File.

Disposition: Permanent. Transfer to the RSC when 3 years old for transfer to the WNRC. Transfer to the National Archives when 30 years old.

DispAuthNo: N1-059-96-01, item 7a

Date Edited: 4/1/1999

A-35-002-07b Publication Files-Publications issued by the Bureau of Consular Affairs to inform the public and in-house publications such as Consular Update

Description: b. All other copies.

Disposition: Destroy when 1 year old.

DispAuthNo: N1-059-96-01, item 7b

Date Edited: 4/1/1999

A-35-002-08 Policy and Legislative Files

Description: Memoranda, transcripts, testimonies, questions and answers submitted to the Bureau of Consular Affairs requesting input to legislation pertaining to consular activities. These records contain significant documentation relating to the coordination and implementation of visa and passport policy, Congressional relations, and the development of related legislation.

Disposition: Permanent. Transfer to the RSC when 3 years old for transfer to the WNRC. Transfer to the National Archives when 30 years old.

DispAuthNo: N1-059-96-01, item 8

Date Edited: 4/1/1999

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A-35-002-09 Travel Advisory/Travel Warning Files

Description: Advisories and warnings made by CA to alert the public to safety issues relating to travel in foreign countries.

Disposition: Permanent. Transfer to the RSC when 3 years old for transfer to the WNRC. Transfer to the National Archives when 30 years old.

DispAuthNo: N1-059-96-01, item 9 **Date Edited:** 4/1/1999

A-35-002-10 Consular Information Sheets

Description: Information sheets on various countries issued for the information of US citizens traveling abroad.

Disposition: Destroy when 1 year old.

DispAuthNo: N1-059-96-01, item 10 **Date Edited:** 4/1/1999

A-35-002-11 Consular Affairs Press Clips

Description: Facsimile publication of newspaper and magazine articles about consular affairs matters.

Disposition: Destroy when 1 year old.

DispAuthNo: N1-059-96-01, item 11 **Date Edited:** 4/1/1999

A-35-002-12a(1) Public Service Announcement Files.

Description: A collection of broadcast Public Service Announcements (PSAs) dating from 1976 to present which are in electronic media, audiotape, and video. Two of the announcements are on phonograph type recordings. Some PSAs were prepared in both broadcast formats and others were in just a single format. All of the PSAs were prepared by the Consular Affairs staff for use by domestic broadcasters to inform overseas travelers. Some were also produced in a foreign language version., which was distributed to foreign language and ethnic broadcasters.

a. PSA Files.

(1) Scripts, distribution lists, and other supporting information related to each PSA produced. Filed by title.

Disposition: TEMPORARY: Retain 4 years then destroy.

DispAuthNo: N1-059-01-13, item a1 **Date Edited:** 10/4/2001

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A-35-002-12a(2) **Public Service Announcement Files.**

Description: a. (2) Electronic version of records created by electronic mail and word processing applications.

Disposition: TEMPORARY: Delete after recordkeeping copy has been produced.

DispAuthNo: N1-059-01-13, item a2 **Date Edited:** 10/4/2001

A-35-002-12b **Public Service Announcement Files.**

Description: b. Broadcast tapes of Public Service Announcements produced by CA and distributed to domestic broadcasters to provide to the public routine procedures, practices, and guidance related to travel abroad. All of the PSAs are in their original broadcast media (audio and video format).

Disposition: TEMPORARY: Retain for 4 years, then destroy.

DispAuthNo: N1-059-01-13, item b **Date Edited:** 10/4/2001

A-35-002-13 **Consular Notification and Access Files**

Description: Files contain correspondence related to cases in which foreign nationals were arrested in the United States for serious crimes where the accused were not informed of their right to consular notification and access. Included is official correspondence alleging a violation of the Vienna Convention (or relevant bi-lateral consular agreement) and requesting Department assistance in determining why there was a failure in the notification system. Also included are letters from incarcerated foreign nationals seeking contact information for their consular officials or requesting that their correspondence be forwarded to the appropriate foreign consulate in the United States. Files span the period 1998 (year office was created) to present.

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

DispAuthNo: N1-059-09-22, item 1 **Date Edited:** 1/20/2010

A-35-002-14 **Misdirected Notification Documents**

Description: Files for misdirected notification documents were created as a result of law enforcement authorities mistakenly faxing the suggested fax sheet for notifying consular officers of arrest, death, and detention of a foreign national to the State Department Bureau of Consular Affairs instead of to the Foreign Embassies and appropriate Consulates in the United States.

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

DispAuthNo: N1-059-09-22, item 2 **Date Edited:** 1/20/2010

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Office of Fraud Prevention Programs

A-35-003-01	Director and Deputy Director Files - Arranged by subject, country and chronologically
Description:	Correspondence, telegrams, airgrams, memoranda, intelligence reports, position papers and other documentation received or sent by the Director or Deputy Director, pertaining to the formulation, coordination, and development of policies and practices relating to passport, visa, Federal benefits and other Consular services anti-fraud programs.
Disposition:	Permanent. Cut-off in 1 year blocks. Retire to the RSC when 5 years old for transfer to the WNRC. Transfer to the National Archives when 30 years old.
DispAuthNo:	N1-059-94-10, item 1
Date Edited:	4/1/1999
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A-35-003-02	Subject Files - Arranged by more specific topic under broad topical headings.
Description:	Memorandums, reports, alert bulletins, telegrams, airgrams, reports and studies, correspondence, policy and position papers, briefing papers, and other material relating to the overall history and operation of programs designed to combat fraud involving U.S. passports, visas, Federal benefits and other identity documents.
Disposition:	Permanent. Cut-off in 1 year blocks. Retire to the RSC when 5 years old for transfer to the WNRC. Transfer to the National Archives when 30 years old.
DispAuthNo:	N1-059-94-10, item 2
Date Edited:	4/1/1999
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A-35-003-03	Country Files - Arranged alphabetically by name of country.
Description:	Telegrams, memorandums, facsimile transmissions, and other material relating to general information, passports, and visas for each country.
Disposition:	Cut-off in 1 year blocks. Retire to RSC when 5 years old for transfer to the WNRC. Destroy when 15 years old.
DispAuthNo:	N1-059-94-10, item 3
Date Edited:	4/1/1999
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A-35-003-04	Monthly Fraud Reports - Arranged chronologically
Description:	Monthly reports on fraud submitted by passport agencies. In some cases, the reports are accompanied by enclosures and attachments.
Disposition:	Permanent. Cut-off in 1 year blocks. Retire to the RSC when 5 years old for transfer to the WNRC. Transfer to the National Archives when 30 years old.
DispAuthNo:	N1-059-94-10, item 4
Date Edited:	4/1/1999
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A-35-003-05 Fraud Case Files - Arranged by case name

Description: Case files containing original and copies of documents establishing identity, such as: passport applications; applications for Amendment of Extension of Passport; DS-1589, Passport Lookout forms; DSP-71, Affidavit of Identifying Witness; reports of Birth of American Citizens Abroad; Birth Certificates; Social Security Cards; State Drivers License; Certificates of Witness to Marriage. Files also include correspondence, telegrams, airgrams, memoranda, intelligence reports, and other documentation received or sent by CA/FPP pertaining to individual cases.

Disposition: Transfer to CA/PPT/PS/R immediately after case is closed.

DispAuthNo: N1-059-94-10, item 5 **Date Edited:** 4/1/1999

A-35-003-06 Chronological Files - Arranged by month and year

Description: Duplicate copies of communications, such as telegrams, airgrams, letters and reports maintained in chronological order by month and used for reference purposes only. The official record copy of the communication is filed elsewhere by subject or case.

Disposition: Destroy when 1 year old or when no longer needed, whichever is sooner.

DispAuthNo: N1-059-94-10, item 6 **Date Edited:** 4/1/1999

A-35-003-07 Fraud Database

Description: An on-line electronic information system arranged by last name containing data extracted from case files on individuals suspected of document fraud. Data includes last and first name, date and place of birth and other information related to the case, and is used by CA/FPP to track the life-cycle of each case.

Disposition: Delete when active agency use ceases.

DispAuthNo: N1-059-94-10, item 7 **Date Edited:** 4/1/1999

A-35-003-08 Training Program Files - Arranged by subject

Description: Documentation pertaining to the creation and operation of the CA/FPP document fraud detection training program. Files include intra and inter-agency correspondence such as memoranda, telegrams, letters, policy and position papers, studies, trip reports, and other material reflecting activities of the training program section. Files exclude routine administrative records covering the production of print and audio-visual materials for courses or the actual materials.

Disposition: Cut-off in 1 year blocks. Destroy when 10 years old.

DispAuthNo: N1-059-94-10, item 8 **Date Edited:** 4/1/1999

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A-35-003-09 Training Production Files - Arranged by subject, country, state and case

Description: Documentation pertaining to the origin, development, acquisition, use and ownership of the CA/FPP training materials. Records include routine administrative records such as memos, letters, standard forms, sample identity papers, course production materials such as course syllabi, schedules, hand-outs, instructor's notes and related material.

Disposition: Cut-off in 1 year blocks. Destroy when 10 years old.

DispAuthNo: N1-059-94-10, item 9

Date Edited: 4/1/1999

A-35-003-10 Training Materials - Arranged within files and as a collection on shelf

Description: Audio-visual materials created internally and procured externally which are used to train Consular Officers and other Federal agency personnel in fraud detection techniques. Materials include U.S. and foreign passports, birth and marriage certificates, drivers licenses, and other identity documents, still photographs and negatives, viewgraphs, slides, tape recordings, video recordings, motion pictures, and associated finding aids for the identification, retrieval or use of the materials.

Disposition: Screen annually and destroy audio-visual material with related finding aids when no longer needed for reference purposes.

DispAuthNo: N1-059-94-10, item 10

Date Edited: 4/1/1999

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Office of the Executive Director (CA/EX)

A-35-005-01 Consular Workload and Statistics Systems (CWSS)

Description: The Consular Workload and Statistics System (CWSS) is an electronic information system designed to collect and manage data about post consular section activities in order to support management reporting, planning, and budgeting functions for consular operations. These data are used to assess post consular section goals, management strategy, and productivity. These data comprise the annual Consular Package submitted by each post. The Consular Package documents the volume and nature of a post's current and projected consular section workload in statistical and narrative format. Data spans the period 1974 to the present.

Disposition:

DispAuthNo:

Date Edited: 1/19/2010

A-35-005-01a Consular Workload and Statistics Systems (CWSS)

Description: a. Master File

Consular Package arranged by post and fiscal year. Consular Package contains statistical and narrative data on the following consular functions: 1) immigrant visa processing (e.g., issuances and refusals by visa type); 2) non-immigrant visa processing (e.g., issuances and refusals by visa type); 3) American citizen services (welfare/whereabouts, children's issues, citizenship and passport services, etc.); 4) Federal agency services (e.g., Federal benefits cases); 5) visa fraud prevention activities; 6) refugee and parole case processing; and 7) staffing work hours and patterns.

Disposition: TEMPORARY: Cut off at end of fiscal year. Delete 15 years after cut off or when no longer needed, whichever is later.

DispAuthNo: N1-059-09-39, item 1a

Date Edited: 1/19/2010

A-35-005-01b Intermediary Records

Description: Consular Workload and Statistics Systems (CWSS) which includes electronic data entered into the system during an annual data call and not required for audit and legal purposes.

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

DispAuthNo: DAA-GRS-2017-0003-0002 (G

Date Edited: 9/26/2017

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A-35-005-01c	Consular Workload and Statistics Systems (CWSS)
Description:	c. Outputs Ad hoc and recurring workload and trend analysis reports.
Disposition:	TEMPORARY: Destroy when no longer needed.
DispAuthNo:	N1-059-09-39, item 1c Date Edited: 1/19/2010
A-35-005-01d	Consular Workload and Statistics Systems (CWSS)
Description:	d. Documentation User manual, data dictionary, system specifications guides, and related records.
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: 6/17/2015
A-35-005-01e	Consular Workload and Statistics Systems (CWSS)
Description:	e. System Backups Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.
Disposition:	TEMPORARY. Destroy when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later. (Supersedes GRS 24, item 4a[2]).
DispAuthNo:	GRS 3.2, item 041 Date Edited: 6/17/2015