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

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**Chapter 37: Bureau of International Information Programs**

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**Office of the Coordinator (IIP)****A-37-001-01      Subject Files**

**Description:** Files contain substantive information relating to the activities of the Coordinator, Principal Deputy Coordinator, Deputy Coordinators, and their special assistants in directing and carrying out the policy and program functions, duties, and responsibilities of the Bureau of International Information Programs. Includes reports, correspondence, telegrams, memoranda, letters, policy files, project records, reports, and other material related to IIP programs. Arranged chronologically by subject. Covers the period 2000 to present.

**Disposition:** PERMANENT. Break files annually by fiscal year. Retire when 3 years old to records storage facility for eventual transfer to the National Archives in five-year blocks when twenty five years old.

**DispAuthNo:** N1-059-09-13, item 1

**Date Edited:** 6/15/2010

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## U.S. Department of State Records Schedule

### Chapter 37: Bureau of International Information Programs

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#### A-37-001-02 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 and GRS 23, item 5a)

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

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

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**Chapter 37: Bureau of International Information Programs**

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**A-37-001-04 Supervisors' Personnel Files**

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

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

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

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

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

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**A-37-001-05a Working Papers and Background Material**

**Description:** Included are extra copies of communications and correspondence; publications of the department, other Federal agencies; newspaper clippings, reference material; studies, notes, drafts, interim reports and background data on Office programs, projects and initiatives.

a. Drafts recording necessary approvals or changes and other essential documents.

**Disposition:** Screen out official documents for incorporation in the appropriate program file when projects or assignments are completed.

**DispAuthNo:** Note: See 5 FAH-4-H-215.5 **Date Edited:** 6/16/2010

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

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**Chapter 37: Bureau of International Information Programs**

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**A-37-001-05b Working Papers and Background Material**

**Description:** Included are extra copies of communications and correspondence; publications of the department, other Federal agencies; newspaper clippings, reference material; studies, notes, drafts, interim reports and background data on Office programs, projects and initiatives.

b. Extra copies of communications and correspondence; publications of department and other Federal agencies; newspaper clippings; reference material and other non-essential documents.

**Disposition:** Destroy the remainder of the file when projects or assignments are completed. See 5 FAH-4, H-216

**DispAuthNo:** Non-Record

**Date Edited:** 6/15/2010

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**A-37-001-06 Chronological Files**

**Description:** Extra copies of communication, correspondence, and other documents arranged in order of occurrence either alphabetically or by another method, and used as a general reading and/or reference file.

**Disposition:** PERMANENT. Cutoff files annually by fiscal year. Retire when 3 years old to records storage facility for eventual transfer to the National Archives in five year blocks when twenty-five years old.

**DispAuthNo:** N1-059-09-13, item 6

**Date Edited:** 6/15/2010

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## U.S. Department of State Records Schedule

### Chapter 37: Bureau of International Information Programs

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#### A-37-001-07 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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## U.S. Department of State Records Schedule

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### Chapter 37: Bureau of International Information Programs

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#### Office of Policy, Planning and Evaluation

**A-37-002-01**      **Subject/Project Files**

**Description:** Files contain substantive information relating to the activities of the office director and office staff in directing and carrying out the policy and program functions and responsibilities of the Office. Includes reports, correspondence, telegrams, memoranda, letters, policy files, project records, reports, and other material related to the Office of Policy, Programs, and Evaluations. Arranged chronologically by subject and/or project. Covers the period 2000 to present.

**Disposition:** PERMANENT. Break files annually, by fiscal year. Retire when 3 years old to a record storage facility for eventual transfer to the National Archives in 5 year blocks when twenty-five years old.

**DispAuthNo:** N1-059-09-19, item 1

**Date Edited:** 8/5/2010

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**A-37-002-02a**      **INFOCENTRAL Website: (<https://infocentral.state.gov>)**

**Description:** INFOCENTRAL is a web portal providing press and policy guidance, talking points, official texts, and other background information to State Department officers and other USG officials engaged in communication and outreach with foreign publics. Maintained by IIP's Office of Policy, Planning, and Evaluation, INFOCENTRAL offers current, comprehensive, and substantive source material and serves as a valuable one-stop public diplomacy tool. Covers the period 2000 to present.

a. Content Records

Contents include guidance, reports, and texts from the State Department and White House; a daily Rapid Response report highlighting media trends on key issues; daily news clippings on U.S. foreign policy issues; daily State Department press guidance; and direct links to such other resources as the Counter Terrorism Communications Center and the Office of Research. INFOCENTRAL also offers such tools as ready-to-use PowerPoint presentations, an international events calendar, and a compilation of public diplomacy best practices. Although the site does not contain classified information, the material it contains is not intended for public distribution.

**Disposition:** PERMANENT. Cutoff with snapshot of site at end of fiscal year. Transfer a pre-accession copy of the content snapshot to the National Archives in five year blocks in a format acceptable by regulation at the time of transfer. Transfer to National Archives when 25 years old.

**DispAuthNo:** N1-059-09-19, item 2a

**Date Edited:** 8/5/2010

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**Chapter 37: Bureau of International Information Programs**

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**A-37-002-02b**                      **INFOCENTRAL Website: (<https://infocentral.state.gov>)**

**Description:**                      INFOCENTRAL is a web portal providing press and policy guidance, talking points, official texts, and other background information to State Department officers and other USG officials engaged in communication and outreach with foreign publics. Maintained by IIP's Office of Policy, Planning, and Evaluation, INFOCENTRAL offers current, comprehensive, and substantive source material and serves as a valuable one-stop public diplomacy tool. Covers the period 2000 to present.

b. Operations and Maintenance Records

Documentation files that consist of documents created or received in the development, design, implementation, operations, and maintenance of the INFOCENTRAL website.

**Disposition:**                      PERMANENT. Transfer to the National Archives with the permanent records to which the documentation relates. (Supersedes GRS 20, item 11a[2]).

**DispAuthNo:**                      GRS 3.1, item 050

**Date Edited:**                      6/18/2015

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## U.S. Department of State Records Schedule

### Chapter 37: Bureau of International Information Programs

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#### A-37-002-03 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 and GRS 23, item 5a)

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

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

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**A-37-002-05 Supervisors' Personnel Files**

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

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

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

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

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

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**A-37-002-06a Working and Background Material**

**Description:** Included are extra copies of communications and correspondence; publications of the Department and other Federal agencies; newspaper clippings; reference material; studies, notes, drafts, interim reports, and background data on Office programs, projects, and initiatives.

a. Drafts recording necessary approval or changes and other essential documents.

**Disposition:** Screen out official documents for incorporation in the appropriate program file when projects or assignments are completed. Note: See 5 FAH-4, H-215

**DispAuthNo:** Filing Instruction      **Date Edited:** 8/5/2010

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**Chapter 37: Bureau of International Information Programs**

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**A-37-002-06b**      **Working Files and Background Material**

**Description:**      Included are extra copies of communications and correspondence; publications of the Department and other Federal agencies; newspaper clippings; reference material; studies, notes, drafts, interim reports, and background data on Office programs, projects, and initiatives.

b. Extra copies of communications and correspondence; publications of Department and other Federal agencies; newspaper clippings; reference material and other non-essential documents.

**Disposition:**      Destroy the remainder of the file when projects or assignments are completed.  
Note: See 5 FAH-4, H-216

**DispAuthNo:**      Non-Record

**Date Edited:**      8/5/2010

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## U.S. Department of State Records Schedule

### Chapter 37: Bureau of International Information Programs

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#### A-37-002-07 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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## U.S. Department of State Records Schedule

### Chapter 37: Bureau of International Information Programs

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#### Office of Regional Coordination and American Spaces

**A-37-003-01 Subject/Project Files**

**Description:** Files contain substantive information relating to the activities of the Office Director, Deputy Director, and staff directing and carrying out the policy and program functions and responsibilities of the office. Includes reports, correspondence, telegrams, memoranda, policy files, project records, and other material related to the Office of Information Resources. Arranged chronologically by subject and/or project.

**Disposition:** PERMANENT. Cutoff at end of fiscal year. Hold in office until inactive and retire to Records Service Center for eventual transfer to the Washington National Records Center. Transfer to the National Archives in five-year blocks when 25 years old.

**DispAuthNo:** N1-059-09-21, item 1

**Date Edited:** 10/19/2012

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**A-37-003-02 IRC Knowledge Database**

**Description:** The directory describes Information Resource Center (IRC) personnel, collections, programs, infrastructure and services, Information Resource Officer (IRO) assignments, travel, schedules, budget allotments, etc. Serves as a repository of IRC Annual Plans and one-pagers, and IRO Reports prepared by regional IROs. Includes data migrated from former database platform, which increases ease of use for the IRC community worldwide. Data Links are provided to relevant websites for IRC information. Functionality includes creation of an IRC information page, reporting, printing, and export functions. Information covers the period 2000 to present.

**Disposition:** TEMPORARY. Delete when 10 years old or no longer needed for program or administrative purposes.

**DispAuthNo:** N1-059-09-21, item 2

**Date Edited:** 10/19/2012

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**A-37-003-03 American Corners Central Database**

**Description:** File serves as repository of information on American Corners. The repository is a clearinghouse for guidance and recommended strategies for setting up and sustaining American Corner programs, as well as a directory representing each of the more than 400 Corners. Also used to monitor and report on American Corner operations and sustaining funds. Serves U.S. Mission Public Affairs Sections that need basic information to develop and run American Corners as well as Washington staff who frequently need data on short notice about the worldwide program. Interfaces with related internal databases in the public diplomacy family. Covers the period 2003 to present.

**Disposition:** TEMPORARY. Delete when 10 years old or no longer needed for program or administrative purposes.

**DispAuthNo:** N1-059-09-21, item 3

**Date Edited:** 10/19/2012

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### Chapter 37: Bureau of International Information Programs

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<b>A-37-003-04a</b>	<b>Office of American Spaces Intranet Website</b>
<b>Description:</b>	<p>The Office of American Spaces (IIP/RCA/AS) Portal's tools support the productivity and effectiveness of Information Resource Officers (IROs) abroad and at home, as well as personnel of Information Resource Centers (IRCs) at Public Affairs Sections worldwide. The Portal is useful to Public Affairs Officers (especially those who supervise IRCs), book program officers, and other public diplomacy officers in IIP, ECA, and other State bureaus. It is also useful at FSI tradecraft courses. It gathers and organizes information resources from a variety of sources, including commercial online services, internal IIP and State Department resources, and publically available web resources.</p> <p>a. Content Records</p> <p>Web pages containing information not published in other Department recordkeeping systems.</p>
<b>Disposition:</b>	TEMPORARY. Delete when superseded or obsolete.
<b>DispAuthNo:</b>	N1-059-09-21, item 4a
<b>Date Edited:</b>	10/22/2012
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<b>A-37-003-04b</b>	<b>Office of American Spaces Intranet Website</b>
<b>Description:</b>	<p>b. Operation and Management Records</p> <p>Documents created or received in the development, design, implementation, operations and maintenance of the IIP website.</p>
<b>Disposition:</b>	TEMPORARY. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded. (Supersedes GRS 24, item 8c)
<b>DispAuthNo:</b>	GRS 3.1, item 020
<b>Date Edited:</b>	6/18/2015
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<b>A-37-003-05</b>	<b>InfoUSA CD File</b>
<b>Description:</b>	<p>Annual CD-ROM issued each year with general information on the United States, in English and foreign languages. Arrange English and foreign versions in alphabetical order. Covers the period 2000 to present.</p>
<b>Disposition:</b>	TEMPORARY. Destroy/delete when superseded or obsolete.
<b>DispAuthNo:</b>	N1-059-09-21, item 5
<b>Date Edited:</b>	10/19/2012
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## U.S. Department of State Records Schedule

### Chapter 37: Bureau of International Information Programs

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#### A-37-003-06 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; GRS 23, item 5a; and GRS 23, item 5b)

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

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**A-37-003-08 Supervisors' Personnel Files**

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

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

Exclusion 2: Employee medical documents, unless part of employee's initial request for reasonable accommodation. Following approval, the agency's reasonable accommodation decision replaces medical documentation and becomes the record. Reasonable accommodation employee case files are covered under GRS 2.3, Employee Relations Records.  
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**Disposition:** Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer. (Supersedes GRS 1, item 18a and GRS 1, item 18b)

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

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**A-37-003-09a Working Papers and Background Material**

**Description:** Description: Copies of communications and correspondence; publications of the Department and other federal agencies; newspaper clippings, reference material and studies, notes, drafts, and interim reports on office programs, projects, and initiatives.

a. Drafts recording necessary approvals or changes and other essential documents.

**Disposition:** Screen out official documents for incorporation in the appropriate program file when projects or assignments are completed. SEE 5 FAH-4, H-215.

**DispAuthNo:** N1-059-09-21, item 9a **Date Edited:** 10/19/2012

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**A-37-003-09b Working Papers and Background Material**

**Description:** b. Extra copies of materials described above.

**Disposition:** Non-record; destroy/delete when projects or assignments are completed. SEE 5 FAH-4, H-216.

**DispAuthNo:** N1-059-09-21, item 9b **Date Edited:** 10/19/2012

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

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**A-37-003-10 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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### Chapter 37: Bureau of International Information Programs

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#### Office of Regional Programs

**A-37-004-01 Subject/Project Files**

**Description:** Files contain substantive information relating to the activities of the office directors and office staff in IIP's five regional offices (AF, EAP, EUR, NEA/SA, and WHA) directing and carrying out the policy and program functions and responsibilities of their office. Includes reports, correspondence, telegrams, memoranda, letters, policy files, project records, reports, and other material related to each individual regional office. Arranged chronologically by subject and/or project.

**Disposition:** PERMANENT. Break files annually, by fiscal year. Retire when 3 years old to a records storage facility for eventual transfer to the National Archives in five-year blocks when twenty-five years old.

**DispAuthNo:** N1-059-09-16, item 1

**Date Edited:** 8/5/2010

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**A-37-004-02 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; GRS 23, item 5a; and GRS 23, item 5b)

**DispAuthNo:** DAA-GRS-2016-0016-0001 (G

**Date Edited:** 9/25/2017

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**A-37-004-04 Supervisors' Personnel Files**

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

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

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

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

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

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**A-37-004-05a Working Papers and Background Material**

**Description:** Included are extra copies of communications and correspondence; publications of the Department and other Federal agencies; newspaper clippings; reference material; studies, notes, drafts, interim reports, and background data on Office programs, projects, and initiatives.

a. Drafts recording necessary approval or changes and other essential documents.

**Disposition:** Screen out official documents for incorporation in the appropriate program file when projects or assignments are completed. Note: See 5 FAH-4, H-215

**DispAuthNo:** Non-Record      **Date Edited:** 8/5/2010

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**A-37-004-05b                      Working Papers and Background Material**

**Description:**                      Included are extra copies of communications and correspondence; publications of the Department and other Federal agencies; newspaper clippings; reference material; studies, notes, drafts, interim reports, and background data on Office programs, projects, and initiatives.

b. Extra copies of communications and correspondence; publications of Department and other Federal agencies; newspaper clippings; reference material and other non-essential documents.

**Disposition:**                      Non-Record. Destroy the remainder of the file when projects or assignments are completed. Note: See 5 FAH-4, H-216

**DispAuthNo:**                      Non-Record

**Date Edited:**                      8/5/2010

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#### A-37-004-06 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 Information Resources

**A-37-006-01 Subject/Project Files**

**Description:** Copies of material created/received in the Office of the Coordinator, IIP. Documents include reports, correspondence, telegrams, memoranda, letters, policy files, project records, reports, and related material. Arranged chronologically by subject and/or project.

**Disposition:** TEMPORARY. Destroy/delete when 3 years old or no longer needed, whichever is later.

**DispAuthNo:** N1-059-09-20, item 1 **Date Edited:** 10/3/2012

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**A-37-006-02a Working Papers and Background Material**

**Description:** Copies of communications and correspondence; publications of the Department and other federal agencies; newspaper clippings, reference material and studies, notes, drafts, and interim reports on office programs, projects, and initiatives.

a. Drafts recording necessary approvals or changes and other essential documents

**Disposition:** Screen out official documents for incorporation in the appropriate program file when projects or assignments are completed. SEE 5 FAH-4, H-215.

**DispAuthNo:** Non-Record **Date Edited:** 10/3/2012

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**A-37-006-02b Working Papers and Background Material**

**Description:** b. Extra copies of materials described above.

**Disposition:** Non-record; destroy/delete when projects or assignments are completed. SEE 5 FAH-4, H-216.

**DispAuthNo:** Non-Record **Date Edited:** 10/3/2012

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**A-37-006-03a Washington File Compiler System**

**Description:** Washington File Compiler System (WFCS) is used by IIP editors to assemble compilations of the daily Washington File publications (in regional editions and multiple languages) from individual text items produced or acquired by IIP writers. The application outputs the Washington File in plain text, HTML, and XML versions for distribution over the web, posting on a listserv and replication to overseas Posts.

a. Content Records

**Disposition:** TEMPORARY. Destroy/delete when superseded or no longer needed for program purposes.

**DispAuthNo:** N1-059-09-20, item 3a **Date Edited:** 10/3/2012

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**A-37-006-03b**                      **Washington File Compiler System**

**Description:**            b. Operation and Management Records

Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, database or other electronic records. Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule.

**Disposition:**            Temporary. Destroy 5 years after the project/activity/ transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system, but longer retention is authorized if required for business use. (Supersedes GRS 20, item 11a(1))

**DispAuthNo:**            GRS 3.1, Item 051

**Date Edited:**            3/9/2017

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#### A-37-006-04 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; GRS 23, item 5a; and GRS 23, item 5b)

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

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**A-37-006-06 Supervisors' Personnel Files**

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

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

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

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

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

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#### A-37-006-07 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 Publications

**A-37-007-01 Subject/Project Files**

**Description:** Files contain substantive information relating to the activities of the Office director, division chiefs, and staff in directing and carrying out the policy and program functions and responsibilities of the Office. Includes reports, correspondence, telegrams, memoranda, letters, policy files, project records, reports, and other material related to the Office of Publications. Arranged chronologically by subject and/or project. Covers the period 2000 to present.

**Disposition:** PERMANENT. Break files annually, by fiscal year. Transfer to a records storage facility when 3 years old for eventual transfer to the National Archives in five-year blocks when twenty five years old.

**DispAuthNo:** N1-059-09-12, item 1

**Date Edited:** 9/7/2010

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**A-37-007-02 Electronic Journals**

**Description:** Monthly journal produced in electronic and print format, focusing on one thematic issue per month.

**Disposition:** PERMANENT. Break annually by fiscal year and by language. Retain one print copy of each issue, including language versions where applicable. Transfer to a records storage facility when three years old for eventual transfer to the National Archives in five-year blocks when twenty five years old.

**DispAuthNo:** N1-059-09-12, item 2

**Date Edited:** 9/7/2010

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**A-37-007-03 Pamphlets and Booklets**

**Description:** File contains pamphlets and booklets produced on specific thematic issues, including the "Outline" series on U.S. history, geography, etc.

**Disposition:** PERMANENT. Break annually, by fiscal year and language. Retain one copy of each pamphlet and booklet, including language versions where applicable. Transfer when three years old to a records storage facility for eventual transfer to the National Archives in five-year blocks when twenty five years old.

**DispAuthNo:** N1-059-09-12, item 3

**Date Edited:** 9/7/2010

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**A-37-007-04 Paper Shows**

**Description:** Paper shows and posters, either individual items or sets.

**Disposition:** PERMANENT. Break annually by fiscal year. Retain one copy of each paper show and poster. If an agency distribution list for posters exists, place NARA on the list to receive two copies of each poster upon printing and distribution. If a distribution list does not exist, break annually by fiscal year and transfer two copies of each paper show and/or poster to NARA at the end of each fiscal year.

**DispAuthNo:** N1-059-09-12, item 4

**Date Edited:** 9/7/2010

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<b>A-37-007-05a</b>	<b>"Hi" Magazine</b>
<b>Description:</b>	Arabic-language magazine published 2003-2006. See items (a) through (c) for specific disposition.  (a) "Hi" Magazine issues.
<b>Disposition:</b>	PERMANENT. Break annually. Retain one copy of each issue. Transfer to a records storage facility when three years old for eventual transfer to the National Archives in five-year blocks when twenty five years old.
<b>DispAuthNo:</b>	N1-059-09-12, item 5a
	<b>Date Edited:</b> 9/7/2010
<b>A-37-007-05b</b>	<b>Hi Magazine</b>
<b>Description:</b>	Hi Magazine history files, including significant reports, studies, correspondence, and policy decisions.
<b>Disposition:</b>	PERMANENT. Break files annually by fiscal year. Transfer when three years old to a records storage facility for eventual transfer to the National Archives in five-year blocks when twenty five years old.
<b>DispAuthNo:</b>	N1-059-09-12, item 5b
	<b>Date Edited:</b> 9/7/2010
<b>A-37-007-05c</b>	<b>Hi Magazine</b>
<b>Description:</b>	Hi Magazine production folders, including layouts, proofs, work orders, and correspondence related to publication of the magazine. Arranged chronologically by subject.
<b>Disposition:</b>	Temporary. Destroy when 1 year old or when superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use. (Supersedes GRS 13, item 2b)
<b>DispAuthNo:</b>	GRS 5.5, Item 010
	<b>Date Edited:</b> 3/13/2017
<b>A-37-007-06</b>	<b>Article Alerts</b>
<b>Description:</b>	A file that contains electronic copies of biweekly compilation of summaries of significant articles for embassy use as public diplomacy reference and outreach tools. IIP writers identify and collect articles of interest, prepare summaries of the articles, and submit the summaries to the editor, who produces the bi-weekly summaries. Summaries are posted to the Information Resource Center (IRC) IRC listserv.
<b>Disposition:</b>	TEMPORARY. Break files annually, by fiscal year. Destroy/delete when obsolete or of no further reference and/or outreach value.
<b>DispAuthNo:</b>	N1-059-09-12, item 6
	<b>Date Edited:</b> 9/7/2010

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**A-37-007-07**      **Copyright Clearances**

**Description:**      Agreements for purchase of publication rights from commercial sources, including copyright clearances.

**Disposition:**      TEMPORARY. Break files annually by fiscal year. Retain in office until copyright agreement has expired. Destroy one year after expiration of agreement.

**DispAuthNo:**      N1-059-09-12, item 7

**Date Edited:**      9/7/2010

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**A-37-007-08**      **Books in Translation**

**Description:**      Includes files and correspondence related to translated book program, including correspondence with field posts, book orders, book lists, etc.

**Disposition:**      TEMPORARY. Break files annually, by fiscal year. Destroy after three years or when obsolete or otherwise of no further value, whichever occurs first.

**DispAuthNo:**      N1-059-09-12, item 8

**Date Edited:**      9/7/2010

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#### A-37-007-09 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; GRS 23, item 5a; and GRS 23, item 5b)

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

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**A-37-007-11 Supervisors' Personnel Files**

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

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

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

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

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

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**A-37-007-12a Working Papers and Background Material**

**Description:** Included are extra copies of communications and correspondence; publications of the Department, other Federal agencies; newspaper clippings; reference material; studies, notes, drafts, interim reports, and background data on Office programs, projects, and initiatives.

a. Drafts recording necessary approval or changes and other essential documents.

**Disposition:** Screen out official documents for incorporation in the appropriate program file when projects or assignments are completed. Note: see FAH-4, H-215

**DispAuthNo:** Filing Instruction      **Date Edited:** 9/7/2010

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**A-37-007-12b Working Papers and Background Material**

**Description:** Included are extra copies of communications and correspondence; publications of the Department, other Federal agencies; newspaper clippings; reference material; studies, notes, drafts, interim reports, and background data on Office programs, projects, and initiatives.

b. Extra copies of communications and correspondence; publications of Department and other Federal agencies; newspaper clippings; reference material and other non-essential documents.

**Disposition:** Non-record. Destroy the remainder of the file when projects or assignments are completed. Note: See 5 FAH-4, H-216

**DispAuthNo:** Non-Record

**Date Edited:** 9/7/2010

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**A-37-007-13 Chronological Files**

**Description:** Extra copies of communication, correspondence, and other documents arranged in order of occurrence either alphabetically or by another method, and used as a general reading and/or reference file.

**Disposition:** TEMPORARY. Destroy when one year old or sooner if objective has been served.

**DispAuthNo:** N1-059-09-12, item 13

**Date Edited:** 9/7/2010

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#### A-37-007-14 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 Web Management (IIP/W)****A-37-008-01 CMS (Content Management System) Training Files**

**Description:** File contains records used to provide training materials for web management. These include PowerPoint presentations, manuals, user guides, FAQs and classroom materials, which are updated frequently.

**Disposition:** TEMPORARY. Destroy/delete when updated or superseded.

**DispAuthNo:** N1-059-11-02, item 1 **Date Edited:** 3/4/2011

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**A-37-008-02 Working Papers and Background Material**

**Description:** Background records, such as studies, notes, drafts, and interim reports, on Office programs, projects, and initiatives.

**Disposition:** TEMPORARY. Screen out nontransitory record material for incorporation in the appropriate program file and destroy the remainder of the working file when projects or assignments are completed.

**DispAuthNo:** 5-FAH-4 H-215.5 **Date Edited:** 3/7/2011

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#### A-37-008-03 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; GRS 23, item 5a; and GRS 23, item 5b)

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

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<b>A-37-008-05</b>	<b>Technical and Administrative Helpdesk Operational Records</b>
<b>Description:</b>	<ul style="list-style-type: none"><li>• records of incoming requests (and responses) made by phone, email, web portal, etc.</li><li>• trouble tickets and tracking logs</li><li>• quick guides and “Frequently Asked Questions” (FAQs)</li><li>• evaluations and feedback about help desk services</li><li>• analysis and reports generated from customer management data</li><li>• customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports</li></ul> <p>Exclusion: Public customer service records scheduled under GRS 6.5.</p>
<b>Disposition:</b>	Temporary. Destroy 1 year after resolved, or when no longer needed for business use, whichever is appropriate. (Supersedes GRS 24, item 10b)
<b>DispAuthNo:</b>	DAA-GRS-2017-0001-0001 (G <b>Date Edited:</b> 9/13/2017
<b>A-37-008-06a</b>	<b>Oversight and Compliance Files</b>
<b>Description:</b>	Office records with agency-wide or bureau-wide responsibility for managing CMS operations relating to compliance with IT directives, policies, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.  a. Performance measurements and benchmarks
<b>Disposition:</b>	TEMPORARY. Destroy 5 years after the project/activity/transaction is completed or superseded. (Supersedes GRS 24, item 1a).
<b>DispAuthNo:</b>	GRS 3.1, item 040 <b>Date Edited:</b> 6/18/2015
<b>A-37-008-06b</b>	<b>Oversight and Compliance Files</b>
<b>Description:</b>	Office records with agency-wide or bureau-wide responsibility for managing CMS operations relating to compliance with IT directives, policies, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.  b. All other oversight and compliance records including: certification and accreditation of Content Management System (CMS); quality assurance reviews and reports; reports on implementation of plans; compliance reviews; data measuring or estimating impact and compliance.
<b>Disposition:</b>	TEMPORARY. Destroy 5 years after the project/activity/transaction is completed or superseded. (Supersedes GRS 24, item 1b).
<b>DispAuthNo:</b>	GRS 3.1, item 040 <b>Date Edited:</b> 6/18/2015

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<b>A-37-008-07</b>	<b>System Backups and Tape/File Library Records</b>
<b>Description:</b>	System backup tapes/files maintained for potential system restoration in the event of a system failure or other unintentional loss of data.
<b>Disposition:</b>	TEMPORARY. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (Supersedes GRS 24, item 4a[1]).
<b>DispAuthNo:</b>	GRS 3.2, item 040
	<b>Date Edited:</b> 6/18/2015
<b>A-37-008-08</b>	<b>Files Related to Maintaining the Security of Systems and Data</b>
<b>Description:</b>	System Security Plans, Disaster Recovery Plans, Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plans, service test plans, test files and data.
<b>Disposition:</b>	TEMPORARY. Destroy 1 year after system is superseded by a new iteration or when no longer needed for agency/ltadministrative purposes to ensure a continuity of security controls throughout the life of the system. (Supersedes GRS 24, item 5b).
<b>DispAuthNo:</b>	GRS 3.2, item 010
	<b>Date Edited:</b> 6/18/2015
<b>A-37-008-09</b>	<b>User Identification, Profiles, Authorizations, and Password Files</b>
<b>Description:</b>	Routine systems.
<b>Disposition:</b>	TEMPORARY. Destroy when business use ceases. (Supersedes GRS 24, item 6b).
<b>DispAuthNo:</b>	GRS 3.2, item 030
	<b>Date Edited:</b> 6/18/2015
<b>A-37-008-10b</b>	<b>CMS Operations Records</b>
<b>Description:</b>	b. Schedules of maintenance and support activities.
<b>Disposition:</b>	TEMPORARY. Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded. (Supersedes GRS 24, item 8a).
<b>DispAuthNo:</b>	GRS 3.1, item 040
	<b>Date Edited:</b> 6/18/2015

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#### A-37-008-13 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 Information Technology Services (IIP-ECA/IT)

**A-37-009-01a**                      **Oversight and Compliance Files**

**Description:** Office records with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT directives, policies, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.

a. Performance measurements and benchmarks.

**Disposition:** TEMPORARY: Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

**DispAuthNo:** N1-059-02-09, item 1a                      **Date Edited:** 12/1/2004

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**A-37-009-01b**                      **Oversight and Compliance Files**

**Description:** b. All other oversight and compliance records including:

- certification and accreditation of equipment
- quality assurance reviews and reports
- reports on implementation of plans
- compliance reviews
- data measuring or estimating impact and compliance

**Disposition:** TEMPORARY: Destroy/delete when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

**DispAuthNo:** N1-059-02-09, item 1b                      **Date Edited:** 12/1/2004

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**A-37-009-02**                      **IT Facility, Site Management, and Equipment Support Service Records**

**Description:** Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located including:

- files identifying IT facilities and sites, and
- files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, equipment service histories, reports of follow-up actions, and related correspondence.

**Disposition:** TEMPORARY: Destroy/delete when 3 years old, or when superseded or obsolete, whichever is longer.

**DispAuthNo:** N1-059-02-09, item 2                      **Date Edited:** 12/1/2004

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**A-37-009-04a(1 and 2)**      **System Backups and Tape Library Records**

**Description:** System backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data. See GRS 20; item 8, for backups of master files and databases.

**Disposition:** TEMPORARY: Delete incremental backup tapes when superseded by a full backup, or when no longer needed for a system restoration, whichever is later.

TEMPORARY: Delete full backup tapes when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.

**DispAuthNo:** N1-059-02-09, item 4a(1) and      **Date Edited:** 12/1/2004

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**A-37-009-04b**      **System Backups and Tape Library Records**

**Description:** Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs.

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

**DispAuthNo:** N1-059-02-09, item 4b      **Date Edited:** 12/1/2004

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**A-37-009-05a**      **Files related to Maintaining the Security of Systems and Data**

**Description:** System Security Plans and Disaster Recovery Plans.

**Disposition:** TEMPORARY: Destroy/delete 1 year after system is superseded.

**DispAuthNo:** N1-059-02-09, item 5a      **Date Edited:** 12/1/2004

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**A-37-009-05b**      **Files related to Maintaining the Security of Systems and Data**

**Description:** Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data.

**Disposition:** TEMPORARY: Destroy/delete 1 year after system is superseded.

**DispAuthNo:** N1-059-02-09, item 5b      **Date Edited:** 12/1/2004

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#### A-37-009-06 Computer Security Incident Handling, Reporting and Follow-up Records

**Description:**

**Disposition:** TEMPORARY: Destroy/delete 3 years after all necessary follow-up actions have been completed.

**DispAuthNo:** N1-059-02-09, item 6 **Date Edited:** 12/1/2004

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#### A-37-009-07a User Identification, Profiles, Authorizations, and Password Files. Does not include records relating to electronic signatures

**Description:** Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records.

**Disposition:** TEMPORARY: Destroy/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later.

**DispAuthNo:** N1-059-02-09, item 7a **Date Edited:** 12/1/2004

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#### A-37-009-07b User Identification, Profiles, Authorizations, and Password Files. Does not include records relating to electronic signatures

**Description:** Routine systems, i.e., those not covered by item 6a.

**Disposition:** TEMPORARY: Destroy when business use ceases. (Supersedes GRS 20, item 1c).

**DispAuthNo:** GRS 3.2, item 030 **Date Edited:** 6/22/2015

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#### A-37-009-08a IT Operations Records

**Description:** Problem reports, proposals for changes and related decision documents relating to the software infrastructure of the network or system.

**Disposition:** TEMPORARY: Destroy/delete 1 year after problem is resolved.

**DispAuthNo:** N1-059-02-09, item 8a **Date Edited:** 12/1/2004

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#### A-37-009-08b IT Operations Records

**Description:** Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports.

**Disposition:** TEMPORARY: destroy/delete when 3 years old.

**DispAuthNo:** N1-059-02-09, item 8b **Date Edited:** 12/1/2004

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**A-37-009-08c**      **IT Operations Records**

**Description:** Schedules of maintenance and support activities.

**Disposition:** TEMPORARY: Destroy/delete when 1 year old.

**DispAuthNo:** N1-059-02-09, item 8c      **Date Edited:** 12/1/2004

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**A-37-009-09**      **Financing of IT Resources and Services**

**Description:** Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements.

(Copies of records needed to support contracts should be filed in procurement files, which are scheduled under GRS 3.)

**Disposition:** TEMPORARY: Destroy/delete 3 years after agreement is superseded or terminated.

**DispAuthNo:** N1-059-02-09, item 9      **Date Edited:** 12/1/2004

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**A-37-009-10a**      **IT Customer Service Files**

**Description:** Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Answered Questions," and other documents prepared in advance to assist customers.

**Disposition:** TEMPORARY: Destroy/delete 1 year after record is superseded or obsolete.

**DispAuthNo:** N1-059-02-09, item 10a      **Date Edited:** 12/1/2004

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**A-37-009-10b**      **IT Customer Service Files**

**Description:** Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.

**Disposition:** TEMPORARY: Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later.

**DispAuthNo:** N1-059-02-09, item 10b      **Date Edited:** 12/1/2004

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<b>A-37-009-11</b>	<b>IT Infrastructure Design and Implementation Files. Records of individual projects designed to provide and support new agency IT infrastructure, systems, and services</b>
<b>Description:</b>	IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data communications. Includes records documenting: <ul style="list-style-type: none"><li>- Requirements for and implementation of functions such as:<ul style="list-style-type: none"><li>- Maintaining network servers, desktop computers, and other hardware</li><li>- Installing and upgrading network operating systems and shared applications</li><li>- Providing data communications</li></ul></li><li>- Infrastructure development and maintenance such as:<ul style="list-style-type: none"><li>- Acceptance/accreditation of infrastructure components</li><li>- Analysis of component options, feasibility, costs and benefits</li><li>- Work associated with implementation, modification, and troubleshooting</li></ul></li><li>- Models, diagrams, schematics, and technical documentation</li><li>- Quality assurance reviews and test plans, data, and results</li></ul>
<b>Disposition:</b>	TEMPORARY: See items 11a, 11b and 11c for specific dispositions.
<b>DispAuthNo:</b>	N1-059-02-09, item 11 <b>Date Edited:</b> 12/1/2004

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<b>A-37-009-11a</b>	<b>IT Infrastructure Design and Implementation Files. Records of individual projects designed to provide and support new agency IT infrastructure, systems, and services</b>
<b>Description:</b>	Records for projects that are not implemented.
<b>Disposition:</b>	TEMPORARY: Destroy/delete 1 year after final decision is made.
<b>DispAuthNo:</b>	N1-059-02-09, item 11a <b>Date Edited:</b> 12/1/2004

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<b>A-37-009-11b</b>	<b>IT Infrastructure Design and Implementation Files. Records of individual projects designed to provide and support new agency IT infrastructure, systems, and services</b>
<b>Description:</b>	Records for projects that are implemented.
<b>Disposition:</b>	TEMPORARY: Destroy/delete 5 years after project is terminated.
<b>DispAuthNo:</b>	N1-059-02-09, item 11b <b>Date Edited:</b> 12/1/2004

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<b>A-37-009-11c</b>	<b>IT Infrastructure Design and Implementation Files. Records of individual projects designed to provide and support new agency IT infrastructure, systems, and services</b>
<b>Description:</b>	Installation and testing records.
<b>Disposition:</b>	TEMPORARY: Destroy/delete 3 years after final decision on acceptance is made.
<b>DispAuthNo:</b>	N1-059-02-09, item 11c
	<b>Date Edited:</b> 12/1/2004
<b>A-37-009-12</b>	<b>Records Relating to IT Management and Reporting required by the Clinger-Cohen Act</b>
<b>Description:</b>	Strategic plan documenting how information resources will support agency missions, goals, and objectives, related background records, and records relating to the development and implementation of performance measures and procedures.
<b>Disposition:</b>	TEMPORARY: Destroy 5 years after plan is superseded or terminated.
<b>DispAuthNo:</b>	N1-059-02-09, item 12
	<b>Date Edited:</b> 12/1/2004
<b>A-37-009-13</b>	<b>Electronic Mail and Word Processing System Copies</b>
<b>Description:</b>	Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.
<b>Disposition:</b>	TEMPORARY: see 13a and 13b for specific disposition instructions.
<b>DispAuthNo:</b>	N1-059-02-09, item 13
	<b>Date Edited:</b> 12/1/2004
<b>A-37-009-13a</b>	<b>Electronic Mail and Word Processing System Copies</b>
<b>Description:</b>	Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.
<b>Disposition:</b>	TEMPORARY: Delete 180 days after the recordkeeping copy has been produced.
<b>DispAuthNo:</b>	N1-059-02-09, item 13a
	<b>Date Edited:</b> 12/1/2004

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**A-37-009-13b**                      **Electronic Mail and Word Processing System Copies**

**Description:**            Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

**Disposition:**            TEMPORARY: Delete when dissemination, revision, or updating is completed.

**DispAuthNo:**            N1-059-02-09, item 13b

**Date Edited:**            12/1/2004

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**Office of U.S. Speaker and Specialist Programs (IIP/S)****A-37-010-01 Central U.S. Speaker and Specialist Files**

**Description:** Files contain substantive information relating to the overall activities of the office director, division chiefs, program officers, and program coordinators in directing and carrying out the policy and program functions and responsibilities of the Office. Includes reports, correspondence, telegrams, memoranda, letters, policy files, project records, reports, and other material related to the Office of U.S. Speakers and Specialists. Arranged chronologically by subject and/or project. Covers the period FY-2000 to present. Privacy Act System of Records STATE-65 applies.

**Disposition:** PERMANENT. Break files annually by fiscal year. Retire when 3 years old to a records storage facility for eventual transfer to the National Archives in five-year blocks when twenty five years old.

**DispAuthNo:** N1-059-09-11, item 1

**Date Edited:** 7/14/2011

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**A-37-010-02 Individual U.S. Speaker and Specialist Files**

**Description:** Records related to individual grantees recruited as U.S. Speakers or Specialists to participate in lecture programs abroad with foreign audiences. Records include project files both for individual grantees and for multiple grantees programmed together as a team. Speaker programs that use the Internet or other electronic means as the communication medium, such as Web chats, Podcasts, and Digital Videoconferencing (DVC), are also included. Records include biographic data sheets; grant awards, follow-up evaluation reports from posts and from grantee, and related correspondence. U.S. Speaker and Specialist paper files are filed by fiscal year and in alphabetical order by last name. Covers the period FY-2000 to present. Privacy Act System of Records STATE-65 applies.

**Disposition:** TEMPORARY. Break files annually by fiscal year. Retire 3 years after cutoff to a records storage facility. Destroy/delete in five-year blocks when 50 years old.

**DispAuthNo:** N1-059-09-11, item 2

**Date Edited:** 7/14/2011

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**A-37-010-03 Tracker Database**

**Description:** An unclassified automated database system that supports the U.S. Speakers or Specialist program. It contains records entered by program officers that are related to individual grantees programmed as U.S. Speakers and Specialists. The records include grant documents, budget information, travel information, correspondence, biographies, and evaluation data. While much of this information is duplicated in the paper files that program officers maintain on the individual Speaker programs for which they are responsible, these files and the data in tracker do not completely overlap. Since 2007 the database contains only U.S. Speaker and Specialist program information including financial and contact information, as well as Social Security and passport numbers of speakers. Prior to 2007 Tracker contained a substantial amount of information not related to the Speaker program including information on book translations/copyrights, credit card purchases, Information Resource Center support, print publications, and the Global Technology Corps Partnership Program. Tracker is unclassified, but does contain SBU material due to personal information on Speakers such as financial and contact information including social security and passport numbers. Data covers the period FY-1997 to present. Privacy Act System of Records STATE-65 applies.

**Disposition:** N/A

**DispAuthNo:** N/A

**Date Edited:** 7/14/2011

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**A-37-010-03a(1) Tracker Database**

**Description:** a. Electronic Files  
  
(1). Biography Files  
  
Content is described under the database description.

**Disposition:** TEMPORARY. Cut off on the last update date timestamp. Destroy/delete when 50 years old.

**DispAuthNo:** N1-059-09-11, item 3a(1)

**Date Edited:** 7/14/2011

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**A-37-010-03a(2) Tracker Database**

**Description:** a. Electronic Files  
  
(2). All other files  
  
Content is described under the database description except the Biography Files.

**Disposition:** TEMPORARY. Cut off at the end of the fiscal year when the project ends. Destroy/delete when 50 years old.

**DispAuthNo:** N1-059-09-11, item 3a(2)

**Date Edited:** 7/14/2011

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**A-37-010-03b**      **Tracker Database****Description:**      b. Backup Files

An electronic copy of the master Tracker Database retained on daily incremental basis and updated weekly to full backups. Retained in case the database is damaged or inadvertently erased.

**Disposition:**      TEMPORARY. Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file. (Supersedes GRS 20, item 8b).**DispAuthNo:**      GRS 3.2, item 051**Date Edited:**      6/22/2015

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**A-37-010-03c**      **Tracker Database****Description:**      c. Documentation

Contains information associated with the Tracker database. The IT project documentation uses software products as repositories. A project notebook holds paper copies of the documentation. Software allows documents to be controlled, accessed, and published via Web pages; it also allows sharing by multiple users who have appropriate access. Documentation includes project plans, project schedules, status reports, test specifications, and technical support documents.

**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:**      6/22/2015

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#### A-37-010-04 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; GRS 23, item 5a; and GRS 23, item 5b)

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

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**A-37-010-06 Supervisors' Personnel Files**

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

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

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

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

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

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**A-37-010-07a Working Papers and Background Material**

**Description:** a. Drafts recording necessary approval or changes and other essential documents.

Background records, such as studies, notes, drafts, and interim reports, on Office programs, projects, and initiatives.

**Disposition:** TEMPORARY. Screen out official documents for incorporation in the appropriate program file when projects or assignments are completed.

**DispAuthNo:** Note: See 5-FAH-4-H-215                      **Date Edited:** 7/14/2011

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**A-37-010-07b Working Papers and Background Material**

**Description:** b. Extra copies of communications and correspondence, publications of department and other Federal agencies, newspaper clippings, reference material and other non-essential documents.

Background records, such as studies, notes, drafts, and interim reports, on Office programs, projects, and initiatives.

**Disposition:** Non-record. Destroy/delete the remainder of the file when projects or assignments are completed.

**DispAuthNo:** Note: See 5 FAH-4-H-216                      **Date Edited:** 7/14/2011

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#### A-37-010-08 Chronological Files

**Description:** Extra copies of communication, correspondence, and other documents arranged in order of occurrence either alphabetically or by another method, and used as a general reading and/or reference file.

**Disposition:** TEMPORARY. Destroy when objective has been served and/or when no longer needed (usually one year).

**DispAuthNo:** N1-059-09-11, item 8

**Date Edited:** 7/14/2011

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#### A-37-010-09 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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