

Request for Records Disposition Authority

Records Schedule Number DAA-0059-2015-0015
Schedule Status Approved

Agency or Establishment Department of State
Record Group / Scheduling Group General Records of the Department of State
Records Schedule applies to Major Subdivision
Major Subdivision Under Secretary of Management
Minor Subdivision Office of Management Policy, Rightsizing and Innovation
Schedule Subject Records for the Office of Management Policy, Rightsizing and Innovation (M/PRI)

Internal agency concurrences will be provided No

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
13	7	6	0

GAO Approval

Outline of Records Schedule Items for DAA-0059-2015-0015

Sequence Number	
1	Subject and Project Files Disposition Authority Number: DAA-0059-2015-0015-0001
2	Office of Inspector General (OIG) Files Disposition Authority Number: DAA-0059-2015-0015-0002
3	Accountability Review Board (ARB) Policy Files Disposition Authority Number: DAA-0059-2015-0015-0003
4	Accountability Review Board (ARB) Incident Files Disposition Authority Number: DAA-0059-2015-0015-0004
5	Accountability Review Board (ARB) Implementation Files Disposition Authority Number: DAA-0059-2015-0015-0005
6	Rightsizing Reviews Disposition Authority Number: DAA-0059-2015-0015-0006
7	Greening Diplomacy Initiative Files Disposition Authority Number: DAA-0059-2015-0015-0007
8	Executive Board Files When the Office Is the Executive Secretariat Disposition Authority Number: DAA-0059-2015-0015-0008
9	Executive Board Files When the Office Is Not the Executive Secretariat Disposition Authority Number: DAA-0059-2015-0015-0009
10	Vital Presence Validation Process Country Files Disposition Authority Number: DAA-0059-2015-0015-0010
11	National Security Decision Directive (NSDD) 38 Case Files Disposition Authority Number: DAA-0059-2015-0015-0011
12	M/PRI Working Files Disposition Authority Number: DAA-0059-2015-0015-0012
13	Information Requests from Other Bureaus or Offices Disposition Authority Number: DAA-0059-2015-0015-0013

Records Schedule Items

Sequence Number

1

Subject and Project Files

Disposition Authority Number **DAA-0059-2015-0015-0001**

Contain files relating to the office's creation, improvement, and standardization of management policies, systems, and programs. This category includes documents only when the office has the lead in developing or implementing the program. If another entity has the lead for the U.S. Government, the office's files on this topic belong in the M/PRI Working Files. These files should not include documents when the final version is contained in a separate, authoritative system of record. The topics in this category include, but are not limited to, chief of mission authority, business process improvement, data quality and data-driven decision-making, electronic records management, resource utilization, electronic country clearance (eCC), lapse in appropriations, and International Cooperative Administrative Support Services (ICASS). The documentation contained in these files may include, but are not limited to, management studies, interagency agreements, overseas staffing reviews and reports, meeting minutes, contracts and funding documents, white papers, briefing checklists, memoranda, written procedures and guidance.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

GRS or Superseded Authority Citation **N1-059-99-16 / 1/A
N1-059-99-16 / 1/B
N1-059-99-16 / 2/A
N1-059-99-16 / 2/B**

Disposition Instruction

Cutoff Instruction **Cut off after activity is closed.**

Transfer to Inactive Storage **Retire to the Records Service Center (RSC) five years after cutoff.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 25 year(s) after cutoff.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **Unknown**
Date span of the initial transfer is unknown at this time.

How frequently will your agency transfer these records to the National Archives? **Every 25 Years**

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Office of Inspector General (OIG) Files

Disposition Authority Number **DAA-0059-2015-0015-0002**

Arranged by country, bureau, or issue. Files contain copies of reports and follow-up reviews of domestic and regional inspections conducted by the OIG. Documents include action memorandums presenting issues for discussion and essential factors for the attention of the Under Secretary for Management, OIG compliance memorandums, cables, correspondence, general information as well as draft copies of reports for comment.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

GRS or Superseded Authority Citation **N1-059-99-16 / 5/A**
N1-059-99-16 / 5/B

Disposition Instruction

Retention Period **Destroy when 10 years old or when no longer needed for current operations, whichever is sooner.**

Additional Information

GAO Approval **Not Required**

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Accountability Review Board (ARB) Policy Files

Disposition Authority Number **DAA-0059-2015-0015-0003**

Contain policies, procedures and background information that document the outcomes of the Permanent Coordinating Committee's establishment of review boards that result from serious injury, loss of life or significant destruction of property at or related to a USG mission abroad, or any case of a serious breach of security.

Final Disposition **Permanent**

Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
GRS or Superseded Authority Citation	N1-059-99-16 / 9/A/1 N1-059-99-16 / 9/A/2
Disposition Instruction	
Cutoff Instruction	Cutoff when superseded.
Transfer to Inactive Storage	Retire to the Records Service Center (RSC) 5 years after cutoff.
Transfer to the National Archives for Accessioning	Transfer to the National Archives when 25 years old.
Additional Information	
What will be the date span of the initial transfer of records to the National Archives?	Unknown Date span of the initial transfer is unknown at this time.
How frequently will your agency transfer these records to the National Archives?	Every 25 Years
Accountability Review Board (ARB) Incident Files	
Disposition Authority Number	DAA-0059-2015-0015-0004
Contain minutes of ARB meetings, lists of attendees, situation reports, briefing materials, investigative proceedings, reports to Congress on recommendations of the ARB, e-mail messages and other related correspondence.	
Final Disposition	Permanent
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
GRS or Superseded Authority Citation	N1-059-99-16 / 9/B/1 N1-059-99-16 / 9/B/2
Disposition Instruction	

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Cutoff Instruction	Cutoff at the closure of the ARB activities for each incident.
Transfer to Inactive Storage	Retire to RSC five years after cutoff.
Transfer to the National Archives for Accessioning	Transfer to the National Archives 25 year(s) after cutoff.

Additional Information

What will be the date span of the initial transfer of records to the National Archives?	Unknown Date span of the initial transfer is unknown at this time.
How frequently will your agency transfer these records to the National Archives?	Every 25 Years

5

Accountability Review Board (ARB) Implementation Files

Disposition Authority Number DAA-0059-2015-0015-0005

Contain files that document the implementation of recommendations made by the ARB, including action memos, correspondence, emails, policy papers, and reports to senior officials.

Final Disposition	Permanent
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No

Disposition Instruction

Cutoff Instruction	Cut off at closure of all recommendations from ARB report.
Transfer to Inactive Storage	Retire to RSC five years after cutoff.
Transfer to the National Archives for Accessioning	Transfer to the National Archives 25 year(s) after cutoff.

Additional Information

What will be the date span of the initial transfer of records to the National Archives?	Unknown Date span of the initial transfer is unknown at this time.
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How frequently will your agency transfer these records to the National Archives? **Every 25 Years**

Rightsizing Reviews

Disposition Authority Number **DAA-0059-2015-0015-0006**

Contain information on USG direct hire positions overseas on a country, regional and worldwide basis, based on Rightsizing analysis. Posts receive a review every five years. Provides staffing recommendations and guidance to missions related to the strategic objectives, security, and financial cost of sustaining a USG presence abroad.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

GRS or Superseded Authority Citation **N1-059-99-16 / 10**

Disposition Instruction

Cutoff Instruction **Cutoff when review is finalized.**

Retention Period **Destroy ten years after cutoff or five years after publication of the next review, whichever is sooner.**

Additional Information

GAO Approval **Not Required**

7

Greening Diplomacy Initiative Files

Disposition Authority Number **DAA-0059-2015-0015-0007**

Contain documentation of internal and external efforts to improve the Department's environmental footprint and increase efficiencies. Files may contain memos, correspondence, event files, documents related to grants, reports to GAO, Congress, and the White House, and briefing checklists.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in **No**

electronic format(s) other than e-mail and word processing?

Disposition Instruction

Cutoff Instruction Cutoff at end of the year. Maintain in central files.

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Executive Board Files When the Office Is the Executive Secretariat

Disposition Authority Number DAA-0059-2015-0015-0008

Contain documentation of Department or interagency committees, working groups or other subgroups for which the office is the Executive Secretariat. The subject matter of these files may include, but is not limited to, the Regional Initiatives Council and the Application Data Coordination Working Group. Documentation may include, but is not limited to, meeting minutes, reports, correspondence, briefing materials, policies, standards, and agreements.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cutoff the end of the calendar year.

Transfer to Inactive Storage Retire to RSC 5 years after cutoff or when no longer needed, whichever is later.

Transfer to the National Archives for Accessioning Transfer to the National Archives when 25 years old.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
Date span of the initial transfer is unknown at this time.

How frequently will your agency transfer these records to the National Archives? Every 25 Years

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Executive Board Files When the Office Is Not the Executive Secretariat

Disposition Authority Number **DAA-0059-2015-0015-0009**

Contain documentation of Department or interagency committees, working groups or other subgroups for which the office is not the Executive Secretariat. Documents may include, but are not limited to, correspondence, meeting notes, reports, policies, standards, and agreements.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Disposition Instruction

Cutoff Instruction **Cutoff at end of calendar year.**

Retention Period **Destroy 3 years after cutoff or when no longer needed, whichever is later.**

Additional Information

GAO Approval **Not Required**

10

Vital Presence Validation Process Country Files

Disposition Authority Number **DAA-0059-2015-0015-0010**

Contain documentation of the process of weighing the needs of U.S. government policy against the risks facing U.S. government personnel, and considering whether adjustments to the U.S. government presence must be made. Arranged by country. Files include memos, reports, analyses and other related information.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Disposition Instruction

Cutoff Instruction **Cutoff annually.**

Transfer to Inactive Storage **Retire to RSC five years after cutoff.**

Transfer to the National Archives for Accessioning Transfer to the National Archives 25 year(s) after cutoff.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
Date span of the initial transfer is unknown at this time.

How frequently will your agency transfer these records to the National Archives? Every 25 Years

11

National Security Decision Directive (NSDD) 38 Case Files

Disposition Authority Number DAA-0059-2015-0015-0011

Contain case files arranged by agency, activity, region, and country. Records concern coordination with other agencies, Department of Defense (DOD) and Department of State bureaus and missions to assess the resources, security, and strategic goals related to placing U.S. Government personnel abroad, including managing requests by U.S. Government agencies for additions, deletions, and changes to their staffing overseas. Documentation may include, but is not limited to, memoranda, cables, and correspondence covering appeals and funding of positions; policies and procedures, guidelines, reports and briefings on issues such as staffing and reporting of overseas positions and station closings, intelligence community issues, talking points, overseas staffing proposals, restructuring initiatives, annual reports, and working group documents.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-059-99-16 / 6/A
N1-059-99-16 / 6/B
N1-059-99-16 / 7/A/1
N1-059-99-16 / 7/A/2
N1-059-99-16 / 7/B/1
N1-059-99-16 / 7/B/2
N1-059-99-16 / 7/C/1
N1-059-99-16 / 7/C/2

Disposition Instruction

Cutoff Instruction Cut off in the year approved, disapproved, or when case is closed.

Transfer to Inactive Storage Retire to the Records Service Center (RSC) five years after cutoff.

Transfer to the National Archives for Accessioning Transfer to the National Archives 25 year(s) after cutoff.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **Unknown**
Date span of the initial transfer is unknown at this time.

How frequently will your agency transfer these records to the National Archives? **Every 25 Years**

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M/PRI Working Files

Disposition Authority Number **DAA-0059-2015-0015-0012**

Contain drafts and copies used for reference and/or created to produce official project or program files or final products within the office. This documentation includes, but is not limited to, correspondence, notes, background information, memos, and recommendations. Excluded from this item are records or final products incorporated into official files and all records associated with Accountability Review Boards.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Disposition Instruction

Retention Period **Destroy when final product or program or project file has been created, disseminated, and/or approved or when no longer needed for reference, whichever is later.**

Additional Information

GAO Approval **Not Required**

13

Information Requests from Other Bureaus or Offices

Disposition Authority Number **DAA-0059-2015-0015-0013**

Contain materials created or used to fulfill information requests or facilitate final decisions, actions, products, or policies for offices outside of M/PRI. Documentation of the official policy development, action, or decision making is retained by offices outside of M/PRI. This includes, but is not limited to, Congressional liaison requests and press guidance.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Disposition Instruction

Cutoff Instruction **Cut off at the end of calendar year.**

Retention Period **Destroy three years after cutoff or when no longer needed, whichever is later.**

Additional Information

GAO Approval **Not Required**

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
09/09/2015	Certify	William Fischer	Agency Records Officer	Administration - A/GIS/IPS/RA
03/17/2017	Return for Revision	Lisa Clavelli	Supervisor, ACNR Appraisal Team 2	National Archives and Records Administration - Records Management Services
07/13/2017	Submit For Certification	Shelia Prince	Records and Information Management Specialist	Bureau of Administration - A/GIS/IPS/RA
08/10/2017	Certify	Timothy Kootz	Agency Records Officer	Bureau of Administration - Records and Archives Management Division A GIS IPS RA
11/27/2017	Return for Revision	Meredith Scheiber	Appraisal Archivist	National Archives and Records Administration - Records Management Services
11/30/2017	Submit For Certification	Shelia Prince	Records and Information Management Specialist	Bureau of Administration - A/GIS/IPS/RA
12/06/2017	Certify	Timothy Kootz	Agency Records Officer	Bureau of Administration - Records and Archives Management Division A GIS IPS RA
01/10/2018	Submit for Concurrence	Andrea Shahmohammadi	Appraisal Archivist	National Archives and Records Administration - Electronic and Special Media Records Services Division
01/11/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program

				- ACNR Records Management Services
01/11/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/12/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist