

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0059-2020-0016

Status: APPROVED
Date Approved: 10/02/2023

General Information

Agency or Establishment	Department of State
Record/Scheduling Group	0059 - General Records of the Department of State
Records Schedule Applies to	Agency Subdivision
Major Subdivision	Bureau of the Comptroller and Global Financial Services
Schedule Subject	Consolidated Schedule: Records of the Bureau of the Comptroller and Global Financial Services
Additional Schedule Information	<p>Flexible schedule which consolidates the records of the Bureau of the Comptroller and Global Financial Services (CGFS). This schedule applies to records 2012 and forward, except for the records of the Emergencies in the Diplomatic and Consular Service (EDCS) which were previously unclassified. This schedule does not supersede existing records schedules for the Bureau. Crosswalk with additional detail is attached to the schedule.</p> <p>The Bureau of the Comptroller and Global Financial Services (CGFS) operates under legislative, regulatory, and managerial controls to provide an accountable, efficient and transparent financial management platform that furthers the U.S. governments and Department of State's global foreign affairs mission. The bureau provides accurate and high-value financial information and supports quality stewardship over financial operations and resources.</p>
Is there a classified version of this form?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

National Archives and Records Administration
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Item Count

Total number of disposition items: 7

Number of Temporary disposition items: 5

Number of Permanent disposition items: 2

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

National Archives and Records Administration
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Outline of Records Schedule Items for DAA-0059-2020-0016

Item #	Title	Disposition
0001	Program Files	Permanent
0002	Repatriation Loan Case Files	Temporary
0003	Operational Support Files	Temporary
0004	Rewards, Financial and Subject Records (K Funds)	Temporary
0005	Gift Funds Records	Temporary
0006	International Cooperative Administrative Support Services (ICASS) Records	Temporary
0007	Emergencies in Diplomatic and Consular Services K Funds Historical Collection [Closed series, 1790-1959]	Permanent

National Archives and Records Administration
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Records Schedule Items

DAA-0059-2020-0016-0001		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Program Files	
Item Description	<p>Records retained by program offices under this schedule item typically are reviewed and approved at the assistant secretary, deputy assistant secretary, or director levels; apply to the Department of State as a whole, and, where relevant, to interagency partners participating in the provision of shared financial and accounting services; and/or result in an update to the Department of State Foreign Affairs Manual or Foreign Affairs Handbook; and/or provide evidence of significant change in methodology or implementation of internal controls; and/or provide evidence of or recommendations for changes to significant bureau-wide financial processes and/or bureau-wide or enterprise-level financial information systems.</p> <p>This item consolidates records maintained in all program offices that include, but are not limited to, mandatory financial audit and accountability reports, policies and procedures, memorandums, correspondence, studies, reports and related data, briefing materials, taskers, minutes of meetings, as well as drafts, working copies and supporting documentation that are circulated for review and approval and provide evidence of substantive changes to financial reports and audits, policies, procedures and information systems.</p> <p>Records related to policies and regulations, procedures, reporting, and systems may cover one or more of the following services: agency financial and accountability reporting; global compensation; payroll services to include Foreign Service annuitants and locally-employed staff; travel; budget and spending; customer support; data management; business intelligence; debt collection; financial accounting and fiscal services; financial information system management; financial management controls; financial planning; financial reporting; grants management; gift and trust fund management; integrated financial, accounting and asset management systems; funds disbursement; internal auditing; retirement operations; performance standards and</p>	

National Archives and Records Administration
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	measurement; shared administrative support systems; Government Accountability Office (GAO); and training.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Permanent
Cutoff Instructions	Cut off at end of Fiscal year.
Are there multiple instructions for this item?	Yes
	Instructions
Records to which this instruction applies	Transfer Instruction
Electronic records	Other: Transfer to the National Archives 25 years after cutoff
Paper-based textual records	Other: Transfer to the National Archives 25 years after cutoff. Paper-based textual records are limited only to unclassified and classified instances of the K Funds Congressional reports which are produced by the Office of Emergencies in the Diplomatic and Consular Services (EDCS).
ADDITIONAL INFORMATION	
Current Records Format	Paper-based textual records:24 cubic feet ; Textual data:50 MB
Approximate first year of records covered by this authority	1985
End year of records covered by this authority	Still being created
Date span of the initial transfer	From: --/--/1985 To: --/--/1997
Frequency of transfer	1
Are any of the records covered by this item subject to a FOIA exemption?	No

DAA-0059-2020-0016-0002	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Repatriation Loan Case Files

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

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Item Description	Records documenting repatriation case files and debt to the U.S. Government incurred by repatriation. Records include, but are not limited to, applications for financial assistance, promissory notes, emergency loan records, statements of funds due, summary activity of Accountability Review Board (ARB) debts, payment transactions, memoranda of loan status, record of remittance, vouchers, power of attorney, requests for recovery of debts due the United States, investigation reports and related correspondence, Repatriation Loan Record Card (DS-266a), all files of supporting documents on closed accounts including records related to set-off against Foreign Claims Settlement Commission awards, and Congressional correspondence regarding individual accounts.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff when account is closed.
Retention Period	Destroy 10 year(s) after cutoff.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0059-2020-0016-0003	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Operational Support Files

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

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Item Description	<p>Records retained by program offices under this schedule item typically include routine, non-substantive information, operational and administrative work products that do not circulate for review and final approval outside of the program office; and/or relate to internal procedures and policies affecting the administration of a program office; and/or are referred to in other records such as quarterly and annual progress reports or action memorandums which are circulated outside of the program office and captured in another permanent records series.</p> <p>This item documents the Bureau of the Comptroller and Global Financial Services' implementation of operations on services that include, but are not limited to: fiscal and financial accounting, planning, management controls, and reporting; compensation; retirement operations; all payroll services to include locally employed staff and Foreign Service annuitants; planning and budget; grants management; gift and trust fund management; travel; business intelligence; data management; financial information system management; integrated financial, accounting and asset management systems; shared administrative support system; internal audits; performance standards and measurement; funds disbursement; fund policy analysis; government accountability; debt collection; and customer support and training.</p> <p>These operational and administrative records include, but are not limited to: correspondence, meeting minutes, agendas, notes, reports, memoranda, background, reference and research material, statements of work, handbooks, guidance products, and standard operating procedures, training and briefing materials, taskers, talking points, presentation slides, as well as drafts and working copies that provide evidence of substantive changes and revisions.</p>
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	

National Archives and Records Administration
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Records Schedule Number: DAA-0059-2020-0016

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Final Disposition	Temporary
Cutoff Instructions	Other: Cut off at end of fiscal year.
Retention Period	Destroy 5 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	Yes
GAO Approval Required	No

DAA-0059-2020-0016-0004		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Rewards, Financial and Subject Records (K Funds)	
Item Description	Records documenting funds appropriated from the Emergencies in the Diplomatic and Consular Service appropriation, including but not limited to, correspondence, action memos, evacuation status reports, memorandums of understanding, financial information, backup material, Reward Program Participant (RPP) case information, and any additional correspondence with the source or nominating agency.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off files when final payment is made.	
Retention Period	Other: Retain records until all audits and actionable items are complete or 20 years after cutoff, whichever is longer, then destroy.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?	Yes	
GAO Approval Required	No	

DAA-0059-2020-0016-0005		STATUS: Active
ITEM GENERAL INFORMATION		

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0059-2020-0016

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Item Title	Gift Funds Records
Item Description	Funds donated to the Department from outside donors. Records consist of financial statements, accountings, receipts of expenditures, donation acknowledgements, and action memos. Records are arranged by fiscal year and date of donation.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off when funds are disbursed.
Retention Period	Other: Retain records until all audits and actionable items are complete or 20 years after cutoff, whichever is longer, then destroy.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0059-2020-0016-0006	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	International Cooperative Administrative Support Services (ICASS) Records
Item Description	Records supporting actions and decisions of the ICASS Executive Board and working groups. Records include, but are not limited to: drafts, notes, presentation slides, correspondence, logs, notices, preliminary reports, studies, and other documents concerning guidelines, policies and procedures related to committee and subcommittee activities.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No

National Archives and Records Administration
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DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off at end of fiscal year.
Retention Period	Destroy 20 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0059-2020-0016-0007	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Emergencies in Diplomatic and Consular Services K Funds Historical Collection [Closed series, 1790-1959]
Item Description	Original records dating from 1790 to the 1950s documenting the appropriation, disbursement, and accounting of K Funds.
Is this item media neutral?	No
Media limitation	Paper/analog only
Is this item a Big Bucket?	No
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Permanent
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives immediately after signature
ADDITIONAL INFORMATION	
Current Records Format	Paper-based textual records:9 cubic feet
Approximate first year of records covered by this authority	1790
End year of records covered by this authority	Year: 1959
Date span of the initial transfer	From: --/--/1790 To: --/--/1959
Frequency of transfer	0
Are any of the records covered by this item subject to a FOIA exemption?	No

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Signatory Information

Action	User	Date
Accept	Data Migration	12/20/2019
Approve	Colleen Shogan	10/02/2023

NARA CROSSWALK FOR DAA-0059-2020-0016

NEW DISPOSITION AUTHORITY					RELATED AUTHORITIES		
Item	Record Series	Disposition	Series Level Cutoff (where applicable)	Office of Record for Permanent Records	Superseded Authority	Disposition Authority	Record Series
0001	Program Files	Permanent. Transfer to the National Archives 25 years after cutoff.	Cut off at end of fiscal year of final action.	EDCS	N/A; previously unscheduled	N/A NEW ITEM	Congressional (K-Fund) Reports
				Front Office	N/A; new item 2012 forward	N1-059-99-11, item 1a	Federal Manager's Financial Integrity Act Report (FMFIA)
				Front Office		N1-059-99-11, item 2a	Secretary's Semi-Annual Report to Congress
				Front Office		N1-059-99-11, item 3a	Accountability Report
0002	Repatriation Loan Case Files	Temporary. Destroy 10 years after cutoff.	Cut off when account is closed.	N/A	N/A; new item 2012 forward	NN-170-072, item 31a	Repatriation Loan Case Files
						NN-170-072, item 31b	Repatriation Loan Case Files
0003	Operational Support Files	Temporary. Destroy 5 years after cutoff.	Cut off at the end of calendar year.	N/A	N/A; new item 2012 forward	N1-059-01-08, item 3a	Budget Files
						N1-059-00-11, item 4a	Subject (Program) Files
						N/A, new item	CGFS Global Training Program Courses
						N1-059-99-18, item 4a	Interagency Committee Management Groups
						N1-059-01-08, item 16b	ICASS Handbook.
						N1-059-01-08, item 15a	Training/Briefing Material File.
						N1-059-01-08, item 1b	Subject Files.
						NC1-059-79-1, item 1	Financial Systems Development - General Subject File
						NC1-084-79-04, item 1c	Chronological Files
						N1-059-01-08, item 15b	Training/Briefing Material File
						N1-059-01-08, item 2a	Tasker File
						N1-059-01-08, item 2b	Tasker File
						N1-059-01-08, item 7a	Briefing Files
NC1-084-79-03, item 4b	Foreign Affairs Administrative Support Files						
NC1-084-79-04, item 10a	Correspondence and Research Files						

NARA CROSSWALK FOR DAA-0059-2020-0016

NEW DISPOSITION AUTHORITY						RELATED AUTHORITIES	
Item	Record Series	Disposition	Series Level Cutoff (where applicable)	Office of Record for Permanent Records	Superseded Authority	Disposition Authority	Record Series
						N/A	Policies, Procedures, QW's
						NC1-084-79-04, item 1b	Operational and Administrative Files
						NC1-084-79-04, item 1a	Policy and Planning Files
0004	Rewards, Financial and Subject Records (K Funds)	Temporary. Retain records until all audits and actionable items are complete or 20 years after cutoff, whichever is longer, then destroy.	Cut off case files when final payment is made.	N/A	N/A; previously unscheduled	N/A New Item	Post Evacuation Status Reports K Fund Payments K Fund Case Information
0005	Gift Funds Records	Temporary. Retain until all audits and actionable items are complete or 20 years after cutoff, whichever is longer, then destroy.	Cut off when funds are disbursed.	N/A	N/A; previously unscheduled	N/A New Item	Gift Fund Registry (including transactions and receipts) Gift Fund Donations Gift Fund Donation Acknowledgements Gift Fund Action Memos
0006	ICASS [International Cooperative Administrative Support Service] Records	Temporary. Destroy 20 years after cutoff.	Cut off at the end of fiscal year.	N/A	N/A; new item 2012 forward	N1-059-01-08, item 4a N1-059-01-08, item 5a N1-059-01-08, item 1a N1-059-01-08, item 16a	ICASS Executive Board (IEB) File. ICASS Working Group (IWG) File. Subject Files. ICASS Handbook.
0007	EDCS K Funds Historical Collection [Closed series, 1790-1959]	Permanent. Direct offer to NARA upon signature.		EDCS	N/A; previously unscheduled	N/A New Item	N/A