

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	N1-59-96-5
1. FROM (Agency or establishment) Department of State		DATE RECEIVED	2/5/97
2. MAJOR SUBDIVISION Consular Affairs		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION Passport Services		In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
Marria Braden	647-6011	2-28-97	John W. Paul

6. 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 on the attached 18 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required; is attached; or has been requested.

DATE 1/29/97	SIGNATURE OF AGENCY REPRESENTATIVE <i>Kenneth L. Roman</i>	TITLE Department of State Records Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See attached.	NN-166-167, item 1a-d NN-162-96, items 1 thru 5, 7, 8, 9, 10, and 12 NC1-59-79-2, NC1-59-79-12, item 3 NC1-59-83-4, item 28	

CHAPTER 13 PASSPORT RECORDS

The records described in this chapter document the policies, programs and management of the Passport Services in its efforts to oversee travel abroad for United States citizens.

1. 130001 Passport Case Files

A. Passport and Citizenship Case Files, 1925-1970.

Case files containing one or more of the following types of records: passport applications; Reports of Birth of American Citizens Abroad; Certificates of Witness to Marriage; Applications for Amendment or Extension of Passport; Certificates of Loss of Nationality; and other supporting forms, documents and correspondence pertaining to each case.

1. Reports of Birth of American Citizens Abroad, Certificates of Witness to Marriage, Certificates of Loss of Nationality, and Oaths of Repatriation

DISPOSITION: Permanent. Transfer to the National Archives when 70 years old.
(NC1-59-79-12, item 2a)

2. All other records

DISPOSITION: Destroy when 100 years old. (NC1-59-79-12, item 2b)

B. Passport Case Files, 1971-82

Consist of passport applications with photograph attached; applications for amendment or extension of passports; and related correspondence.

1. Paper records that have been microfilmed (beginning in 1978)

DISPOSITION: Transfer to WNRC in quarterly accumulations after it has been determined that the microfilm copies have been made in accordance with GSA and NARA regulations and are adequate substitutes for the paper records. Destroy when 15 years old.
(NC1-59-79-12, item 1a)

2. Microfilm, 1978-82.

a. Original Silver Halide (Archival)

~~DISPOSITION: Transfer to WNRC monthly. Destroy when 100 years old.
(NC1-59-79-12, item 1b)~~

~~b. Duplicate Vesicular copies~~

~~DISPOSITION: Retain in PPT. Destroy when 100 years old. (NC1-59-79-12, item 1b)~~

~~3. Paper records not microfilmed, 1971-78.~~

~~DISPOSITION: Transfer to WNRC when 5 years old. Destroy when 100 years old.
(N1-59-90-23)~~

~~C. Passport Case Files, 1983-present.~~

~~Consist of passport applications with photograph attached; applications for amendment or extension of passports; and related correspondence.~~

~~1. Paper records that have been microfilmed~~

~~DISPOSITION: Transfer to WNRC in weekly accumulations after it has been determined that the microfilm copies have been made in accordance with GSA and NARA regulations and are adequate substitutes for the paper records. Destroy when 15 years old.
(NC1-59-79-12, item 1a)~~

~~2. Microfilm~~

~~a. Original Silver Halide (Archival)~~

~~DISPOSITION: Transfer to WNRC monthly. Destroy when 100 years old.
(NC1-59-79-12, item 1b)~~

~~b. Duplicate Vesicular copies~~

~~DISPOSITION: Retain in PPT. Destroy when 100 years old. (NC1-59-79-12, item 1b)~~

~~D. A & P Passport and Citizenship Case Files 1910-present~~

~~Consists of a wide variety of citizenship files including abandoned applications, registration applications, expired look-out files and other related material.~~

~~DISPOSITION: Disposition not approved. Transfer to WNRC on an annual basis.~~

2 . 130002 Passport Books: Recovered, Surrendered, Unclaimed or Found

These passports books were issued to individuals who have returned them on their own initiative or at the request of the Department of State or other Government agency or have been found, recovered, and/or forwarded to Passport Services (PPT/TD/R). They include Diplomatic or other official passports issued to military personnel who are either discharged, retired or deceased during the validity period of the passport; No-Fee passports issued to Peace Corps volunteers; tourist passports; and all other passports.

DISPOSITION: Destroy after receipt has been logged into PFM database. (NN-166-167, item 1a-c)

3 . 130003 Passport Authorization Sheets or Records

A. Lists Issued by Consular Posts

Arranged numerically, giving passport number, name and address of person to whom issued.

1. Paper

DISPOSITION: Destroy when it is determined that the microfilm copies have been made in accordance with GSA and NARA regulations and are adequate substitutes for the paper records.

2. Microfilm

DISPOSITION: Destroy when 100 years old.

B. Index Cards

Arranged alphabetically. Master index to issuances 1909 through 1978 (paper records). Contains index cards with information on passport issuance, registration, consular reports of birth, and other information.

DISPOSITION: Transfer immediately to WNRC. Destroy when 100 years old.

C. Microfilm Master Index to Issuances, 1909-1978

1. Original Silver Halide (Archival)

DISPOSITION: Transfer to WNRC. Destroy when 100 years old.

2. Duplicate Vesicular copies

DISPOSITION: Retain in PPT. Destroy when 100 years old.

4. 130004 Reports of Passports Issued

Accounting statistical reports.

DISPOSITION: Destroy when 5 years old. (NN-162-96, item 10)

5. 130005 Passport Accounting Records

Accounting records showing money received, deposited, or refunded by Passport Services. Also includes copies of cash receipts.

a. Consular cash receipts (DS-233)

DISPOSITION: Destroy when 2 years old.

b. All other accounting records.

DISPOSITION: Destroy when 5 years old.

6. 130006 Requests for Authorization

Communications between the passport agencies and Passport Services requesting authorization from the Department to issue or extend passports, granting such authorizations, and forwarding applications. These communications are routine in nature and not a part of the individual case file.

DISPOSITION: Destroy when 1 year old. (NC1-59-77-17)

7. 130007 Authorizations for a No-Fee Passport

Original copies of requests from other government agencies for renewal, modification, or amendment of an existing no-fee passport (not original issue).

DISPOSITION: Destroy when 4 years old. (NN-162-96, item 7)

8. 130008 Blank Passport Correspondence and Receipts File

Consists of receipts for passports, certificates and cards of identity and registration; correspondence between the Department, posts and passport agencies on the requisitioning, forwarding and receipting of blank passports; reports of the number of blank passports on hand, together with inclusive serial numbers; reports on mutilated passports; correspondence regarding the transfer of blank passports from one post to another; other routine correspondence on the maintenance and accounting of an adequate supply of passports at the post or agency.

DISPOSITION: Destroy when 2 years old. (NN-162-96, item 8a-c)

9. 130009 General Passport Correspondence

Correspondence pertaining to such matters as requests for passports, routine explanations of the legal restrictions on the issuance of passports, requests for information regarding the availability and cost of transportation, with replies thereto.

DISPOSITION: Destroy when 1 year old. (NN-162-96, item 1)

10. 130010 Routine Requests

Requests for application blanks, copies of passport rules and regulations, visa regulations, and other travel information.

DISPOSITION: Destroy when reply is made. (NN-162-96, item 2)

11. 130011 Transmittal Letters

Letters used by clerks of court to transmit applications to Passport Services Office which do not contain other information pertinent to an application.

DISPOSITION: Destroy after checking enclosures. (NN-162-96, item 3)

12. ~~130012 Requests for Information (FOIA and Privacy Act).~~

~~Files created in response to requests from individuals or government agencies to access Passport records, as provided under the Privacy Act and Freedom of Information Act.~~

~~A. Privacy Act Request Files~~

Files created in response to requests for individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.

1. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

(a) Granting access to all the requested records

DISPOSITION: Destroy 2 years after date of reply. (GRS 14, item 21)

(b) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(1) Requests not appealed.

DISPOSITION: Destroy 2 years after date of reply. (GRS 14, item 21)

(2) Requests appealed.

DISPOSITION: Destroy as authorized under Item 3. (GRS 14, item 21)

2. Denying Access to all or part of the records requested.

(a) Requests not appealed.

DISPOSITION: Destroy 5 years after date of reply. (GRS 14, item 21)

(b) Requests appealed.

DISPOSITION: Destroy as authorized under Item 3. (GRS 14, item 21)

3. Privacy Act Amendment Case Files.

Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g).

(2) Request appealed.

DISPOSITION: Destroy as authorized under Item 3. (GRS 14, item 11)

(c) Denying access to all or part of the records requested.

(1) Request not appealed.

DISPOSITION: Destroy 6 years after date of reply. (GRS 14, item 11)

(2) Request appealed.

DISPOSITION: Destroy as authorized under Item 3. (GRS 14, item 11)

2. Official file copy of requested records.

DISPOSITION: Dispose of in accordance with approved agency disposition instructions for the related records or with the related FOIA request, whichever is later. (GRS 14, item 11)

3. FOIA Appeals Files

Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

(a) Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein).

DISPOSITION: Destroy 6 years after final determination by agency, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by the courts, whichever is later. (GRS 14, item 12)

(b) Official file copy of records under appeal.

DISPOSITION: Dispose of in accordance with approved agency disposition instructions for the related record or with the related FOIA request, whichever is later. (GRS 14, item 12)

(a) Requests to amend agreed to by agency. Includes individual's request to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials.

DISPOSITION: Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later. (GRS 14, item 22)

(b) Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials.

DISPOSITION: Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later. (GRS 14, item 22)

(c) Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.

DISPOSITION: Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later. (GRS 14, item 22)

B. Freedom of Information Act Requests Files

Files created in response to requests for information under the Freedom of Information Act, consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of requested record or copy thereof.

1. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

(a) Granting access to all the requested records.

DISPOSITION: Destroy 2 years after date of reply. (GRS 14, item 11)

(b) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(1) Request not appealed.

DISPOSITION: Destroy 2 years after date of reply. (GRS 14, item 11)

13. 130013 Clerk of Court Correspondence

Correspondence between the Passport Services and clerks of courts regarding such matters as request for information on the countries in which passports are required, the specific forms to be used under certain conditions, the requirements for establishing citizenship, the names of foreign consular officers within the United States, the amendment of passports because of changes in names, marital status, etc., and transmittal of specimen signatures.

DISPOSITION: Destroy when 1 year old. (NN-162-96, item 5)

14. 130014 Passport Subject File

Consists of documentation, including studies and reports, of the policies, regulations and legislation governing passport issuance, and the administrative and operational procedures of the Passport Services.

DISPOSITION: Permanent. Transfer to WNRC when 10 years old. Transfer to the National Archives when 30 years old. (NC1-59-79-2)

15. 130015 Vital Records File

Consists of Reports of Birth of American Citizens Abroad; Certificates of Witness to Marriage; Certificates of Loss of Nationality; Oaths of Repatriation and Reports of Death, 1925-present. NOTE: Prior to 1971, some records were attached to the passport applications. (Since 1971 they are maintained in a separate file, alphabetically organized, to be kept in 10-year blocks.) See Item 130001a(1).

A. Paper Records

DISPOSITION: Permanent. Transfer to WNRC when microfilmed. Transfer to the National Archives when 70 years old. (NC1-59-79-12, item 3)

B. Original Silver Halide Microfilm (Archival)

DISPOSITION: Disposition not approved. Transfer to the WNRC on a monthly basis.

C. Duplicate Vesicular Microfilm

DISPOSITION: Disposition not approved.

16. 130016 Passport Lookout Master

This on-line information system assists Passport Services staff in determining those individuals to whom a passport should be issued or denied, identifies those individuals who have been denied passports, or those who are not entitled to the issuance of full validity passport and those whose existing files must be reviewed prior to issuance.

DISPOSITION: Destroy when active agency use ceases. (NC1-59-83-4, item 26)

17. 130017 Passport Lookout Index

This on-line information system provides rapid access to names in the Passport Lookout Master.

DISPOSITION: Destroy when active agency use ceases. (NC1-59-83-4, item 27)

18. 130018 Name Check System (NC)

Name Check History Master. This series contains a yearly listing of requests by Passport Services and Visa Services personnel to query the Passport and Visa Lookout systems (see items 130016 and 130017) The listing provides statistical data for the Bureau of Consular Affairs.

DISPOSITION: Destroy when active agency use ceases.(NC1-59-83-4, item 23)

19. ~~130019 Passport Lookout Files~~

WITHDRAWN

~~Contains original lookout files with associated documentation such as passport applications, cables, and related memoranda. Excludes vital records, such as Certificates of Loss of Nationality and Reports of Birth.~~

~~DISPOSITION: Destroy when 100 years old.~~

20. ~~130020 Passport File Miniaturization System (PFM)~~

~~A. PFM Database Index of Passports Issued, 1961-present~~

WITHDRAWN

~~Database of passport issuances indexed by name and passport number. Not all issuances between 1961-77 were captured. All post-1977 issuances are captured.~~

~~DISPOSITION: Delete data when 15 years old after downloading to magnetic tape or other viable medium.~~

~~B. PFM Input Data~~

WITHDRAWN

~~1. Magnetic Tapes from Agencies and Posts containing passport and amendment data.~~

~~DISPOSITION: Delete data 3 months after process history is captured. Recycle tapes.~~

~~2. PFM INGEST diskettes from Microfilm Cameras and OCR scanner.~~

~~Contains passport numbers and the microfilm file addresses.~~

~~DISPOSITION: Delete data after review is completed. Recycle diskettes.~~

~~3. Log Files of Daily Transactions~~

~~Electronic transactions such as data entries, modifications, deletions.~~

~~DISPOSITION: Download to compressed tape bimonthly. Destroy tape when 2 yrs old.~~

~~4. Application and System Software and Tapes~~

~~DISPOSITION: Retain latest three revisions. Delete or destroy all others.~~

~~C. PFM Output Data~~

WITHDRAWN

~~1. Log Books on Domestic and Post Logs (TDISIN)~~

~~DISPOSITION: Destroy when 5 years old.~~

~~2. Print-outs from Loads~~

~~a. TDISIN.PR print-out~~

~~DISPOSITION: Destroy when 2 years old.~~

~~b. INGEST.PR print-out .~~

~~DISPOSITION: Destroy upon completion of review.~~

3. TDIS Batch Control Log Book on Automated files

DISPOSITION: Destroy when 15 years old, or when no longer needed for agency use, whichever is sooner.

4. TDIS Compressed History Tapes

DISPOSITION: Destroy when 15 years old, or when no longer needed for agency use, whichever is sooner.

5. IRS Application Tapes

a. Master

DISPOSITION: Forward to the IRS.

b. Back-up

DISPOSITION: Delete after written confirmation of successful loading by IRS.

6. PFM System and Application Software and Back-up Tapes

a. Back-up Tape 1

DISPOSITION: Retain three generations of back-up tapes in CA/PPT/TD.

b. Back-up Tape 2

DISPOSITION: Transfer latest back-up to a safe haven location. Destroy or recycle upon receipt of updated tape.

c. Back-up Tape 3

DISPOSITION: Transfer to WNRC quarterly. Destroy or recycle upon receipt of updated tape.

d. Back-up Tape 4

DISPOSITION: Transfer to RSC quarterly for immediate transfer to the Department's Vital Records Center. Destroy or recycle upon receipt of updated tape.

~~D. PFM System Documentation~~

~~The PFM system documentation is composed of data systems specifications, file specifications, record layouts, user guides, output specifications, and final reports relating to PFM.~~

WITHDRAWN

~~DISPOSITION: Destroy when superseded.~~

21. 130021 Travel Document Issuance System (TDIS)

TDIS is a computerized system used to process passport applications at Passport Agencies in the United States.

A. TDIS Database (Passport Agencies)

The database consists of passport information extracted from applications received and processed during the last six months at an agency.

DISPOSITION: Delete data when 6 months old.

B. TDIS Input Data

1. Passport Application Data

a. Passport Applications (paper)

DISPOSITION: Forward to CA/PPT/TD/R after processing is completed. (see Schedule 130001c1)

b. Magnetic Tapes containing Passport Application Data

DISPOSITION: Delete data bi-weekly after uploading to TDIS database.

2. Application and System Software and Tapes

DISPOSITION: Retain three latest revisions. Delete or destroy all others.

C. TDIS Output Data

1. Management and Statistical Reports

DISPOSITION: Destroy when 6 months old.

2. Magnetic Tape containing "Book Print" Information

DISPOSITION: Delete when 5 years old. Recycle tape.

3. Daily Back-up Tape

DISPOSITION: Delete data when 1 week old. Recycle tape.

4. Monthly Passport Processing data

a. Magnetic tape

DISPOSITION: Forward to PPT/TD/R on a monthly basis along with print-out.

b. Print-out

DISPOSITION: Forward to PPT/TD/R on a monthly basis along with magnetic tape.

D. TDIS System Documentation

Data systems specifications, file specifications, record layouts, user guides, output specifications, and final reports relating to TDIS.

DISPOSITION: Destroy or delete when superseded or obsolete, or upon deletion of the TDIS database.

22 . 130022 Diplomatic and Official Tracking System (DOTS)

DOTS is an accountability system for the issuance of diplomatic and official passports.

A. DOTS Database

Database of Diplomatic and Official passports issued August 1, 1988 to the present, indexed by name, passport number, and organization code (DOTS code).

DISPOSITION: Delete when 5 years old.

B. DOTS Input Data

1. Passport Application Data

a. Passport Applications (paper)

DISPOSITION: Forward to CA/PPT/TD/R after processing is completed. (see Schedule 130001c1)

b. Magnetic Tapes containing Passport Application Data

DISPOSITION: Delete data 3 months after uploading to DOTS database.

C. DOTS Output Data

1. Management and Statistical Reports

DISPOSITION: Destroy when 3 months old.

2. DOTS Back-up Tapes

a. Back-up Tape 1

DISPOSITION: Retain three generations of back-up tapes in CA/PPT/TD.

b. Back-up Tape 2

DISPOSITION: Transfer latest back-up to a safe haven location. Destroy or recycle upon receipt of updated tape.

c. Back-up Tape 3

DISPOSITION: Transfer to WNRC quarterly. Destroy or recycle upon receipt of updated tape.

d. Back-up Tape 4

DISPOSITION: Transfer to RSC quarterly for immediate transfer to the Department's Vital Records Center. Destroy or recycle upon receipt of updated tape.

D. DOTS System Documentation

Data systems specifications, file specifications, record layouts, user guides, output specifications, and final reports relating to DOTS.

DISPOSITION: Destroy or delete when superseded or obsolete, or upon deletion of the DOTS database.

23. ~~130023 Vital Records Reporting System (VRRS)~~

WITHDRAWN

~~VRRS is a vital records system containing birth, death and marriage documentation of U.S. citizens (from Post Consular Sections).~~

~~A. VRRS Database~~

~~The index of vital records contains Reports of Birth from 1919 to the present.~~

~~DISPOSITION: Delete 100 years after birth date, after downloading to magnetic tape or other viable medium.~~

~~B. VRRS Input Data~~

~~Original Birth, Death, and Marriage Documents~~

~~DISPOSITION: Permanent. (see Schedule 130015)~~

~~C. VRRS Output Data~~

~~1. Print-out: Report of Birth and Certificate of Birth~~

~~DISPOSITION: Provide document to authorized requestor.~~

~~2. Daily Management and Statistical Reports~~

~~DISPOSITION: Destroy when 1 month old.~~

~~3. VRRS Back-up Tapes~~

~~a. Back-up Tape 1~~

~~DISPOSITION: Retain three generations of back-up tapes in CA/PPT/TD.~~

~~b. Back-up Tape 2~~

~~DISPOSITION: Transfer latest back-up to a safe haven location. Destroy or recycle upon receipt of updated tape.~~

c. Back-up Tape 3

DISPOSITION: Transfer to WNRC quarterly. Destroy or recycle upon receipt of updated tape.

WITHDRAWN

d.. Back-up Tape 4

DISPOSITION: Transfer to RSC quarterly for immediate transfer to the Department's Vital Records Center. Destroy or recycle upon receipt of updated tape.

D. VRRS System Documentation

Data systems specifications, file specifications, record layouts, user guides, output specifications, and final reports relating to VRRS.

DISPOSITION: Destroy or delete when superseded or obsolete, or upon deletion of the database.