

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-59-00-13	DATE RECEIVED 11/24/2000
1 FROM (Agency or establishment) Department of State		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Bureau of Human Resources		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION Career Development and Assignments			
4 NAME OF PERSON WITH WHOM TO CONFER Marria Eraden	5 TELEPHONE 202 261-8339	DATE 7-31-01	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</i>

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 14 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 11-17-00	SIGNATURE OF AGENCY REPRESENTATIVE <i>Margaret G. Peppe</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 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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.		

## **SECTION 11 CAREER DEVELOPMENT AND ASSIGNMENTS**

### **Presidential Appointments**

#### **1. 041101 Presidential Appointment Precedent and Policy Files.**

Consist of correspondence, reports, studies, etc. documenting policies, procedures and precedents concerning the appointment and process of presidential appointments.

- a. Recordkeeping copy (paper)

DISPOSITION: Permanent. Retire to RSC when 10 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC1-59-77-19, item 1a and b)

- b. Electronic version of records created by electronic mail and word processing applications.

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced

#### **2. 041102 Ambassador Appointments.**

Consist of documentation on bilateral/multilateral ambassadorial appointments, as well as ranks and personal ranks of ambassador. Includes memoranda to and from the White House, bio data, press releases, nominations, clearance materials, agreement communications, Congressional correspondence, letters of resignation and Presidential letters of acceptance, and clearance materials. [Note: Original letters of resignation and Presidential acceptance letters are on file at the White House or appropriate Presidential Library.]

- a. Recordkeeping copy (paper).

DISPOSITION. Permanent. Retire to RSC when 8 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC-59-77-19, item 3a and b)

- b. Electronic version of records created by electronic mail and word processing applications.

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

#### **3. 041103 Miscellaneous Department of State (DOS) Appointments.**

Documentation on the appointments of Principal Officers in the DOS and individuals to Boards and Commissions under the jurisdiction of the DOS, e.g., fishery commissions, United Nations bodies, independent agencies. Includes memoranda to and from the White House, bio data, clearance materials, press releases, nominations, agreement communications, Congressional correspondence, letters of resignation and Presidential letters of acceptance.

a. Recordkeeping copy (paper).

DISPOSITION: Permanent. Retire to RSC when 8 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC1-59-77-13, item 2a and b)

b. Electronic version of records created by electronic mail and word processing applications.

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

~~041104 Reserved for future use.~~

**4. 041105 Presidential Nominations.**

Copies of nominations of individuals for public office sent by the President to the United States Senate.

DISPOSITION: Permanent. Retire to the RSC when 7 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC1-59-77-19 items 2a and b)

**5. 041106 Foreign Service Appointments/Promotions/Assignments.**

Documentation of all aspects of appointments, promotions, and consular assignments of Foreign Service Officers, including interdepartmental correspondence, memoranda to and from the White House, nomination/authorization lists, and Congressional correspondence.

a. Recordkeeping copy (paper).

DISPOSITION: Permanent. Retire to RSC when 10 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC1-59-77-19, item 3a and b)

b. Electronic version of records created by electronic mail and word processing applications.

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

**6. 041107 Oaths of Office.**

Appointment Affidavit (SF-61), executed by individuals appointed by the President for public office.

DISPOSITION: Permanent. Retire to RSC when 15 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC1-59-77-19-4a and b)

**7. 041108 Senate Resolutions on Presidential Appointments.**

Original resolutions providing advice and consent of the United States Senate to the appointment by the President of individuals to public office

DISPOSITION: Permanent. Retire to RSC when 5 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC1-59-77-19, item 5a and b)

**8. 041109 Presidential Appointment Law Books.**

These books contain summaries of the laws establishing positions, boards, commissions, etc. to which the President makes appointments. Appointment data, e.g., name, appointment date, term, is also entered into the law books.

DISPOSITION: Permanent. Retire to the RSC when 15 years old for transfer to WNRC. Transfer to the National Archives when 25 years old.

**9. 041110 Card File Index.**

Contains appointment data on Presidential appointments i.e., Foreign Service appointments, promotions, and assignments, ambassadorial appointments; Cabinet officers; all other civil officers appointed by the President whose commissions are not required by law to be issued under another seal.

DISPOSITION. Permanent. Retire to RSC when 10 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (NC-59-77-19, item 13)

**10. 041111 Great Seal of the United States.**

a. Subject Files. Historical records on the Great Seal of the United States, include speeches, tapes, and photos, etc.

(1) Recordkeeping copy (paper).

DISPOSITION: Permanent. Retire to RSC when 10 years old for transfer to WNRC. Transfer to the National Archives when 20 years old

(2) Electronic version of records generated by electronic mail and word processing applications.

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

b. Working File. Working and information file consisting of material duplicated from the Great Seal of the United States Subject File.

(1) Recordkeeping copy (paper).

DISPOSITION: Destroy when no longer needed for reference purposes.

(2) Electronic version of records generated by electronic mail and word processing applications.

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

**11. 041112 Presidential Appointment Commission Books.**

These books contain the typed texts of the appointment commissions of Cabinet Officers, DOS Principal Officers, heads of independent agencies, White House commissioned staff officers and other individuals appointed by the President to public office.

a. Recordkeeping copy (paper).

DISPOSITION: Permanent. Retire to RSC when 15 years old for transfer to WNRC. Transfer to the National Archives when 25 years old.

b. Electronic version of records generated by electronic mail and word processing applications.

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

~~041113-15 Reserved for future use.~~

**Title and Rank**

**12. 041116 Title and Rank Card File.**

Includes data on all aspects of title and rank actions at a particular post.

DISPOSITION: Permanent. Retire to the RSC 2 years after separation or transfer of employee for transfer to WNRC. Transfer to the National Archives when 25 years old.

**13. 041117 Title and Rank Policy Files.**

Correspondence, reports, forms and other documentation dealing with general and specific country policies, procedures, precedents, agreements, etc. concerning diplomatic and consular titles for Foreign Service and other Federal agency personnel

a. Recordkeeping copy (paper).

DISPOSITION: Permanent. Retire inactive files to RSC when 10 years old for transfer to WNRC. Transfer to the National Archives when 25 years old. (RRP-NN-464-6, item 3a)

b. Electronic version of records created by electronic mail and word processing applications.

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced

**14. 041118 Title and Rank Case Files.**

Correspondence, working papers and other documentation concerning the approval of titles for specific positions at Foreign Service posts.

a. State Department personnel.

(1) Recordkeeping copy (paper).

DISPOSITION: Destroy when 2 years old. (NN-173-176, item 3a)

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

b. Other Federal agency personnel.

(1) Recordkeeping copy (paper)

DISPOSITION: Destroy when 1 year old. (NN-173-176, item 3b)

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

~~041119-20 Reserved for future use.~~

### **Career Development and Training**

#### **15 · 041121 General Subject Files.**

a. Major policy and procedural files documenting program management and policy-making pertaining to the Department's career counseling and assignments functions.

(1) Recordkeeping copy (paper).

DISPOSITION: Retire inactive material to the RSC when 10 years old for transfer to WNRC. Destroy when 15 years old. (NN-172-202, item 1a)

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

b. Administrative and operational correspondence files pertaining to the Department's career counseling and assignments functions.

(1) Recordkeeping copy (paper).

DISPOSITION: Destroy when 3 years old. (NN-172-202, item 1b)

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

c. Departmental circulars, printed and processed reference material, and other information or working papers relating to internal administration or program subjects.

(1) Recordkeeping copy (paper).

DISPOSITION: Destroy when no longer needed for current operations. (NN-172-202, item 1c)

(2) Electronic version of records created by electronic mail and word processing applications

DISPOSITION: Destroy/delete within 180 days after recordkeeping has been produced.

**16. 041122 Career Development Case Files on Foreign Service Officers and Staff Employees.**

a. Records of long-term value on right side of folder, such as correspondence or memoranda relating to assignment preferences, career development, transfer between cones, and training.

(1) Recordkeeping copy (paper).

DISPOSITION: Retire to RSC 2 years after separation for transfer to WNRC. Destroy 7 years after employee is separated from the Foreign Service (NN-172-202, item 4a)

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

b. Records of short-term value on left side of folder, such as telegrams relating to travel, etc.

(1) Recordkeeping copy (paper).

DISPOSITION: Destroy when 3 years old or upon transfer of folder to new counseling office or inactive file. (NN-172-202, item 4b)

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

**17. 041123 Front Pages showing FS assignments made by Panel B (Career FSO's) and Panel C (Staff employees).**

a. Master maintained by PER/CDA Office of Deputy Director

(1) Recordkeeping copy (paper).

DISPOSITION: Retire to RSC when 2 years old for transfer to WNRC. Destroy when 7 years old. (NN-172-202, item 6a)

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

b. Copies maintained by other offices.

DISPOSITION: Destroy when 1 year old. (NN-172-202, item 6b)

**18. 041124 Panel Agendas.**

Information documenting transfer data of employees assigned to Foreign Service positions, i.e., assignments, estimate time of arrival at post, time of departure from post, length of tour of duty, position numbers, etc.

a. Master agenda maintained by PER/CDA Office of the Deputy Director

(1) Recordkeeping copy (paper).

DISPOSITION: Retire to RSC when 2 years old for transfer to WNRC. Destroy when 7 years old. (NN-172-202, item 7a)

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

b. All other copies.

DISPOSITION: Destroy when no longer needed for operating purposes. (NN-172-202, item 7b)

**19. 041125 Senior Assignments Board (SAB) records relating to Class 1 and 2 Foreign Service Career Officers.**

a. Memoranda recommending senior officer assignments and bearing approval of Director General.

(1) Recordkeeping copy (paper).

DISPOSITION: Destroy when 4 years old. (NN-172-202, item 12a)

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

b. SAB assignment approval concerning key positions at posts or within the Department, (i.e., Ambassador Selection Committee and Deputy Chief of Mission Committee).

(1) Recordkeeping copy (paper).

DISPOSITION: Destroy when 4 years old. (NN-172-202, item 12b)

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

c. Memoranda approving change in assignments or tour of duty.

(1) Recordkeeping copy (paper).

DISPOSITION. Destroy when 1 year old. (NN-172-202, item 12c)

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

DISPOSITION. Destroy/delete within 180 days after recordkeeping copy has been produced.

**20. 041126 Interagency Liaison Files.**

a. Correspondence with agencies concerning available positions, assignments of FSO's, and agreements concerning such assignments.

(1) Recordkeeping copy (paper).

DISPOSITION: Destroy 3 years after agreement is terminated. (NN-172-202, item 13a)

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

b. Memorandum re. assignment of FSO's to functional bureaus of Department.

(1) Recordkeeping copy (paper).

DISPOSITION: Destroy when 3 years old (NN-172-202, item 13b)

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

c. General Subject files relating to functions and administration of office.

(1) Policy and Procedural Files.

(a) Recordkeeping copy (paper).

DISPOSITION: Retire inactive files when 5 years old to RSC for transfer to WNRC. Destroy when 20 years old (NN-172-202, item 13d(1))

(b) Electronic version of records created by electronic mail and word processing applications.

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

(2) Routine administrative records.

(a) Recordkeeping copy (paper).

DISPOSITION: Destroy when no longer needed in current operations. (NN-172-202, item 13d(2))

(b) Electronic version of records created by electronic mail and word processing applications.

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

## 2]. **041127 Official Technician's Files.**

a. Travel orders and related assignment correspondence on right side of folder consisting of Post Assignment Travel Authorization (formerly TMFour) and revisions; requests from employee for special travel approvals; requests for amendment to travel orders; Leave, Travel and Consultation Status (DS-1707); Status of Quarters formerly TMTwo); Proposed Itinerary (formerly TMTwo); Departure Notice (formerly TMFive); Arrival Notice (formerly TMEight); official Change in Tour of Duty notifications; appointment or separation documentation (such as retirement approval); notification of effective date of reassignment; document reflecting approval or termination of Separate Maintenance Allowance; formal correspondence (telegrams, memos, etc.) related to travel; documentation not kept in other official files in support of Request for Personnel Action (SF52); Assignment Notification (formerly TMOne or TMThree) and revisions; courtesy travel arrival notice (until official Arrival Notice is received), informal correspondence related to travel or assignment (such as electronic mail); and worksheets or other working papers. (NN-173-105, item 1a)

(1) Recordkeeping copy (paper).

DISPOSITION: Retire to RSC 2 years after separation from the Foreign Service or conversion to Civil Service for transfer to WNRC. Destroy 4 years after file is retired to WNRC. (NN-173-105, item 1a)

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

b Documents consisting of Foreign Service Residence and Dependency Report (OF-126) and all supporting documentation on left side of the Official Technician file

(1) Recordkeeping copy (paper)

DISPOSITION: Retire to RSC (on the left side) of the Official Technician File 2 years after separation from the Foreign Service or conversion to Civil Service for transfer to WNRC. Destroy 4 years after file is retired to WNRC. (NN-173-105, item 1b)

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

## 22. **041128 Post Correspondence Files.**

Consists of routine communications with posts on administrative matters or issues affecting more than one FS employee at post.

a. Recordkeeping copy (paper).

DISPOSITION: Destroy when 2 years old. (NN-172-202, item 17)

b. Electronic version of records created by electronic mail and word processing applications.

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

## 23. **041129 Training Files.**

Training files relating to the development and evaluation of training policies and programs, coordination of training plans with FSI, USIA, and AID.

a. General Subject Files.

(1) Policy and procedural files.

(a) Recordkeeping copy (paper).

DISPOSITION: Retire to RSC when 10 years old for transfer to WNRC Destroy when 25 years old. (NN-172-202, item 19a(1))

(b) Electronic version of records created by electronic mail and word processing applications.

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

(2) Records relating to the administration and operation of training functions; including correspondence regarding the FSO's proposed training, and correspondence with training organizations listing selections, available slots, etc.

(a) Recordkeeping copy (paper).

DISPOSITION: Destroy when 5 years old or when superseded or obsolete, whichever is sooner. (NN-172-202, item 19a(2))

(b) Electronic version of records created by electronic mail and word processing applications.

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

b Budget Estimate Files including correspondence, reports, statistical data, worksheets, etc. concerning budgeting for FSO training including coordination with FSI, USIA and AID.

(1) Recordkeeping copy (paper).

DISPOSITION: Destroy when 5 years old or 5 years after completion of a specific training program. (NN-172-202, item 19b)

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

#### **24. 041130 Mustang Program Files.**

Files of Foreign Service and Civil Service applicants for entry into the Foreign Service Junior Officer Career Candidate Program. Includes application, autobiography, information on college training/written exam scores, the Board of Examiners' final integration form, and the signed tenure statement.

a. Successful applicants.

(1) Recordkeeping copy (paper).

DISPOSITION: Retire to RSC 2 years after year of appointment for transfer to WNRC. Destroy when 7 years old. (NC-59-75-9, items 1a and b)

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

b. Unsuccessful applicants.

(1) Recordkeeping copy (paper).

DISPOSITION: Retire to RSC 2 years after year of Oral Assessment for transfer to WNRC. Destroy when 7 years old. (NC-59-75-9, item 1c)

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

**25. 041131 Civil Service Upward Mobility Program Files.**

Applicant files for the Upward Mobility Program. Files contain applications (SF-171); Supervisor Appraisal of Employee Potential (DS-1782); Supplemental application; Performance Evaluation and Rating; vacancy announcement; panel evaluation sheet; other pertinent correspondence.

(1) Recordkeeping copy (paper).

DISPOSITION: Retire to RSC after 1 year for transfer to WNRC. Destroy when 5 years old. (NC1-59-84-2)

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced

**26. 041132 Functional Specialization Files.**

Files of Foreign Service and Civil Service applicants for career redirection training in a designated specialty. Includes application, the Board of Examiners' narrative material, training/evaluation data, and skill code changes.

a. Successful applicants.

(1) Recordkeeping copy (paper).

DISPOSITION: Retire to RSC 2 years after year of appointment for transfer to WNRC. Destroy when 7 years old.

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

b. Unsuccessful applicants.

(1) Recordkeeping copy (paper).

DISPOSITION: Retire to RSC 2 years after year of oral examination for transfer to WNRC. Destroy when 7 years old.

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

**27. 041133 Developmental Assignments Program.**

Files of Civil Service applicants for limited duration assignments into overseas Foreign Service positions.

a. Successful applicants.

(1) Recordkeeping copy (paper).

DISPOSITION: Retire to RSC 2 years after year of appointment for transfer to WNRC. Destroy when 7 years old.

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

b. Unsuccessful applicants.

(1) Recordkeeping copy (paper).

DISPOSITION: Retire to RSC 2 years after year of Panel review of application for transfer to WNRC. Destroy when 7 years old.

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.

**28. 041134 Limited Non-Career (Conversion) Appointments.**

Non-Competitive Case Files consisting of Department of State in-house Civil Service employees only. Records include memoranda, telegrams, pre-employment conflict of interest clearance request form (JF-1), position description, SF-171, Residence & Dependency Report, authorization for medical examination, Notification of Personnel Action (SF 50), extension requests, etc.

(1) Recordkeeping copy (paper).

DISPOSITION: Retire to RSC 2 years after year of appointment for transfer to WNRC. Destroy when 10 years old.

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

DISPOSITION: Destroy/delete within 180 days after recordkeeping copy has been produced.