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www.altgov2.org/records-destruction-requests
Request for Records Disposition Authority

Records Schedule Number: DAA-0059-2015-0010
Schedule Status: Appraiser Working Version

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: Bureau of International Narcotics and Law Enforcement Affairs
Schedule Subject: Consolidated Schedule: Records of the Bureau of International Narcotics and Law Enforcement Affairs.

Internal agency concurrences will be provided: No

Background Information: Flexible schedule which consolidates the records of the Bureau of International Narcotics and Law Enforcement. Applies to records 2012 and forward. This schedule does not supersede existing records schedules for the Bureau. Crosswalk with additional detail is attached to the schedule.

Item Count

<table>
<thead>
<tr>
<th>Number of Total Disposition Items</th>
<th>Number of Permanent Disposition Items</th>
<th>Number of Temporary Disposition Items</th>
<th>Number of Withdrawn Disposition Items</th>
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<td>3</td>
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GAO Approval: PENDING - NOT APPROVED FOR USE
### Outline of Records Schedule Items for DAA-0059-2015-0010

<table>
<thead>
<tr>
<th>Sequence Number</th>
<th>Description</th>
<th>Disposition Authority Number</th>
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<tbody>
<tr>
<td>1</td>
<td>Deputy Assistant Secretary Files</td>
<td>DAA-0059-2015-0010-0001</td>
</tr>
<tr>
<td>2</td>
<td>Program Files</td>
<td>DAA-0059-2015-0010-0002</td>
</tr>
<tr>
<td>3</td>
<td>Project Files</td>
<td>DAA-0059-2015-0010-0003</td>
</tr>
<tr>
<td>4</td>
<td>Special Project Files</td>
<td>DAA-0059-2015-0010-0004</td>
</tr>
<tr>
<td>5</td>
<td>Working Files</td>
<td>DAA-0059-2015-0010-0005</td>
</tr>
<tr>
<td>6</td>
<td>Inspection/Audit Reference Files</td>
<td>DAA-0059-2015-0010-0006</td>
</tr>
<tr>
<td>7</td>
<td>Criminal Justice Assistance and Partnership (INL/CAP) Training Files</td>
<td>DAA-0059-2015-0010-0007</td>
</tr>
<tr>
<td>8</td>
<td>Policy, Planning and Coordination (INL/PC) Public Affairs Public Diplomacy Files</td>
<td>DAA-0059-2015-0010-0008</td>
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<tr>
<td>11</td>
<td>INL Aviation Management System</td>
<td>DAA-0059-2015-0010-0011</td>
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### Records Schedule Items

<table>
<thead>
<tr>
<th>Sequence Number</th>
<th>Deputy Assistant Secretary Files</th>
</tr>
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<tr>
<td>1</td>
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**Disposition Authority Number**: DAA-0059-2015-0010-0001

Records documenting the activities of the Principal Deputy Assistant Secretary and Deputy Assistant Secretaries (DASs) for the Bureau of International Narcotics and Law Enforcement in the directing and carrying out of their duties, including relevant documentation facilitated by staff assistants, senior advisors, etc. These files include all correspondence; memoranda; reports and intelligence reports; policy; position and decision papers; diplomatic notes; notes, including meeting notes and handwritten notes; speeches and testimonies; statements; Congressionals; press-releases; briefing materials; background and fact sheets, daily and/or weekly activity records, including calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits and other activities of the DASs while serving in the official capacity.

**Final Disposition**: Permanent

**Item Status**: Pending

**Is this item media neutral?**: No

**Explanation of limitation**: Records are exclusively electronic. The inclusive start date is 01-01-2012.

**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 the incumbent’s tenure in position.

**Transfer to Inactive Storage**: Retire to the Records Service Center after cut off.

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

**Additional Information**

**First year of records accumulation**: 2012

**What will be the date span of the initial transfer of records to the National Archives?**: Unknown

Initial date span unknown at this time.
<table>
<thead>
<tr>
<th>How frequently will your agency transfer these records to the National Archives?</th>
<th>Unknown</th>
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</thead>
<tbody>
<tr>
<td>The frequency of transfer is unknown at this time.</td>
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</table>

**Program Files**

**Disposition Authority Number**

DAA-0059-2015-0010-0002

Records related to Department and INL initiatives to counter crime with impact on U.S. interests and minimize its adverse effects on US citizens. These files include policy; plans and strategic plans; briefing and testimony materials; Questions for the Record; action memos; position papers; program reviews and other reports, including relevant statistics, studies, and surveys; factsheets; and all other substantive correspondence and other documentation related to the directing and carrying out of policy, program functions and responsibilities in INL. This item applies to all program files within INL offices and their future equivalents: Front Office, Office of Anticrime, Criminal Justice Assistance and Partnership, Office of Policy and Planning, Resource Management, Office of Audit Oversight, and Office of Aviations. It also applies to the geographic offices, specifically the Office of Western Hemisphere Programs, Office of Afghanistan and Pakistan Programs, Office of Africa and Middle East Programs, Office of Europe and Asia Programs. See crosswalk for additional information.

<table>
<thead>
<tr>
<th>Final Disposition</th>
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<tr>
<td>Item Status</td>
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<tr>
<td>Is this item media neutral?</td>
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</tr>
<tr>
<td>Explanation of limitation</td>
<td>Records are exclusively electronic. The inclusive start date is 01-01-2012.</td>
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</tbody>
</table>

| 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 when 10 years old; or when no longer needed for reference, whichever occurs first. |

| Transfer to Inactive Storage | Retire to the RSC upon cut off. |
| Transfer to the National Archives for Accessioning | Transfer to the National Archives when 25 years old. |

| Additional Information |
| First year of records accumulation | 2012 |
| What will be the date span of the initial transfer of records to the National Archives? | Unknown | Initial date span of transfer unknown at this time. |
| How frequently will your agency transfer these records to the National Archives? | Every 1 Years |

### Project Files

**Disposition Authority Number**

DAA-0059-2015-0010-0003

Records documenting the projects and activities of the various offices within INL. These files include, but are not limited to, work plans; copies of interagency, implementation, and regional agreements; memorandums of understanding; decisional documentation on the administration of the projects; funding and budgetary information; working group papers; informational and educational material; partnership event and outreach material; presentations; assessment reports; desk reviews and studies; trip views and site visit reports; copies of contract documentation; cables; and correspondence related to the projects. This item applies to all project files within INL offices and their future equivalents: Office of Anticrime, Criminal Justice Assistance and Partnership, Office of Policy and Planning, Resource Management, and Office of Aviations. It also applies to the geographic offices, specifically the Office of Western Hemisphere Programs, Office of Afghanistan and Pakistan Programs, Office of Africa and Middle East Programs, Office of Europe and Asia Programs. This item does not include those projects that are deemed significant due to departmental, Congressional, and/or public interest. See crosswalk for additional information.

**Final Disposition**

Temporary

**Item Status**

Pending

**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**

Cut off at the end of the activity, contract or grant.

**Cutoff Instruction**

Retire to the RSC upon cut off.

**Transfer to Inactive Storage**

Retire to the RSC upon cut off.

**Retention Period**

Destroy 25 year(s) after cutoff.

**Additional Information**

**GAO Approval**

Not Required

**Special Project Files**
Disposition Authority Number  DAA-0059-2015-0010-004

Records relating to the projects and activities that received significant Presidential, Congressional, Departmental, of public attention. This item applies to all project files within INL offices and their future equivalents: Office of Anticrime, Criminal Justice Assistance and Partnership, Office of Policy and Planning, Resource Management, and Office of Aviations. It also applies to the geographic offices, specifically the Office of Western Hemisphere Programs, Office of Afghanistan and Pakistan Programs, Office of Africa and Middle East Programs, Office of Europe and Asia Programs. See crosswalk for additional information.

Final Disposition
Permanent

Item Status
Pending

Is this item media neutral?
No

Explanation of limitation
Records are exclusively electronic. The inclusive start date is 01-01-2012.

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 the activity, contract or grant.

Transfer to Inactive Storage
Retire to the RSC upon cut off.

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
Initial date span is unknown at this time.

How frequently will your agency transfer these records to the National Archives?
Unknown
The frequency of transfer is unknown at this time.

Working Files

Disposition Authority Number  DAA-0059-2015-0010-0005

These files include drafts of correspondence, memoranda, reports and intelligence reports, policy, position and decision papers, diplomatic notes, speeches and testimonies, statements, Congressionals, press-releases, briefing materials, background and fact sheets, excluding drafts with substantive edits or annotations that are to be incorporated into the appropriate Program File. These files also include reference materials, as well as press clippings, external reports and...
publications that did not influence the mission or policy of the Bureau, and extra copies of correspondence.

Final Disposition: Temporary
Item Status: Pending
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 fiscal year.
Retention Period: Destroy when no longer needed for agency business.

Additional Information
GAO Approval: Not Required

Criminal Justice Assistance and Partnership (INL/CAP) Training Files
Disposition Authority Number: DAA-0059-2015-0010-0007

Educational material, including presentations, lesson plans, rosters, curricula, and activity reports; training material and reference guidance on history and culture,
human rights, legal issues, law enforcement, skills training and other specialized training.

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<tbody>
<tr>
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### Disposition Instruction

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<tbody>
<tr>
<td>Transfer to Inactive Storage</td>
<td>Retire to the RSC upon cut off.</td>
</tr>
<tr>
<td>Retention Period</td>
<td>Destroy 10 year(s) after cutoff.</td>
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### Additional Information

<table>
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<th>Not Required</th>
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**Policy, Planning and Coordination (INL/PC) Public Affairs Public Diplomacy Files**

**Disposition Authority Number**

DAA-0059-2015-0010-0008

Records relating to the routine projects and activities of the public affairs and public diplomacy functions of the Office of Policy, Planning and Coordination (INL/PC), generally generated by INL/PC. These files include, but are not limited to, press strategy and guidance; talking points developed for spokespersons; interview packages, including approvals and quotes for attribution; contact lists of reporters; public calendars; newsletters; website material; media notes and press releases generally generated by INL/PC; and press interview documentation.

<table>
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### Disposition Instruction

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<th>Cut off at the end of the activity, contract or grant.</th>
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<td>Transfer to Inactive Storage</td>
<td>Retire to the RSC upon cut off.</td>
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<tr>
<td>Retention Period</td>
<td>Destroy 5 year(s) after cutoff.</td>
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</table>
### Office of Resource Management (INL/RM) Letters of Agreement

**Disposition Authority Number**
DAA-0059-2015-0010-0009

**Non-recordkeeping versions** of agreements in cases where the original is filed with the Office of Treaty Affairs.

<table>
<thead>
<tr>
<th>Final Disposition</th>
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<tbody>
<tr>
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<tr>
<td>Is this item media neutral?</td>
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</tr>
<tr>
<td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td>
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</table>

**Disposition Instruction**

Transfer original agreements to the Office of Treaty Affairs when no longer needed for agency business. Destroy all other copies when no longer needed for agency business and official version is verified to have been filed with the Office of Treaty Affairs.

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### Office of Resource Management (INL/RM) Audit and Oversight Engagement Files

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

Records relating to the inspections, audits and assessments conducted by INL on its activities, programs and functions. These files include but are not limited to notifications; meetings; requests for information; program reviews; draft reports and recommendations; final reports; and all substantive correspondence and other documentation related to the audit and oversight of INL.

<table>
<thead>
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<tbody>
<tr>
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<tr>
<td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td>
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</table>

**Disposition Instruction**

PENDING - NOT APPROVED FOR USE
### INL Aviation Management System

**Disposition Authority Number**

DAA-0059-2015-0010-0011

All systems and records used for fleet management purposes including the interchange of aviation parts, service and information used by the Office of Aviation (INL/A) to capture and validate data for INL/A missions. The systems centralize the tools necessary for creating reports and tracking aircraft refurbishment, controlling the acquisition and distribution of materials, managing maintenance service personnel information and labor information, tracking training requirements associated with maintenance actions, and provides asset management (property book) of government property.

**Final Disposition**

Temporary

**Item Status**

Pending

**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?**

Yes

**Do any of the records covered by this item exist as structured electronic data?**

No

**Disposition Instruction**

Cut off at the end of the calendar year in which event occurred.

**Retention Period**

Destroy/Delete 25 years after cutoff or when no longer needed, whichever is later.

**Additional Information**

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

<table>
<thead>
<tr>
<th>Date</th>
<th>Action</th>
<th>By</th>
<th>Title</th>
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<td>03/27/2015</td>
<td>Certify</td>
<td>William Fischer</td>
<td>Agency Records Officer</td>
<td>Administration - A/GIS/IPS/RA</td>
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<tr>
<td>06/15/2016</td>
<td>Return for Revision</td>
<td>Sean Curry</td>
<td>Senior Appraisal Archivist</td>
<td>National Archives and Records Administration - Agency Services</td>
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<td>03/10/2017</td>
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<td>03/24/2017</td>
<td>Submit For Certific</td>
<td>Shelia Prince</td>
<td>Records and Information Management Specialist</td>
<td>Bureau of Administration - A/GIS/IPS/RA</td>
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<td>06/06/2017</td>
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<td>Timothy Kootz</td>
<td>Agency Records Officer</td>
<td>Bureau of Administration - Records and Archives Management Division A GIS IPS RA</td>
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Executive Summary

Summary
Permanent Item Numbers 0001, 0002, 0004
Federal Register Notice
Publication Date
Copies Requested 0
Comments Received 0
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<th>CURRENT SERIES TITLE</th>
<th>SUPERSEDED AUTHORITY</th>
<th>SUPERSEDED RETENTION</th>
<th>OFFICE OF RECORD, ONLY PERMANENT RECORDS</th>
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<td>Front Office</td>
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<td>0005</td>
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Amendment to Appraisal Report

Schedule Title

For consistency across all the Department of State flexible schedules, and to provide clarity once the schedules are posted online, the title will be changed to “Consolidated Schedule: Records of the Bureau of International Narcotics and Law Enforcement.”

Item 0007: Office of Criminal Justice Assistance and Partnership, Training Files

During the Change Memo process, some clarification was provided relative to item 0007, Office of Criminal Justice Assistance and Partnership, Training Files. The requirement for State to add the sentence “Records related to internal training activities within the office” is no longer accurate or valid, as the office now maintains training material related to both internal and external training. The same training material is also included in project files that are related to training projects (for example, a project where DOJ provides training to law enforcement within a certain area). This series is maintained separately to allow INL quick access to content, generally to assist in the development of future content, and the 10 year disposition remains adequate for the Bureau’s business needs.

Due to this, the requirement for State to add the sentence “Records related to internal training activities within the office” is no longer valid, and this will not be included on the final submission.
INTRODUCTION

Schedule Overview
Records of the Bureau of International Narcotics and Law Enforcement Affairs

Background
The Bureau of International Narcotics and Law Enforcement Affairs (INL), headed by an Assistant Secretary of State, advises the President, Secretary of State, other Department of State Bureaus, and other departments and agencies within the U.S. Government on the development of policies and programs to combat international narcotics and crime.

INL is at the forefront of U.S. government efforts to address complex transnational threats including transnational organized crime, corruption, illicit trade, money laundering, terrorist financing, cyber and intellectual property crimes, border insecurity, environmental crime, narcotics trafficking, and other types of smuggling and trafficking.

Through engagement with international organizations, INL promotes U.S. anti-crime and drug control standards and best practices that assist and provide models for foreign governments in dismantling and disrupting organized criminal groups. INL actively recruits state and local law enforcement, departments of corrections and legal agencies (e.g. state attorneys general and district attorneys) into our criminal justice assistance programs. To that end, INL manages the U.S. Department of State’s foreign assistance resources dedicated to the development of criminal justice systems and the establishment of the rule of law abroad, focusing on “cops, courts and corrections.”

INL is one of the highest funded bureaus within the State Department; the 2013 budget alone
was over 2.5 billion dollars to carry out bureau missions, mostly in the form of individual INL-sponsored projects conducted globally. Some of the other Federal agencies that State directly works with on projects include Department of Justice, Department of Homeland Security, Bureau of Prisons, and Office of National Drug Control Policy.

The records on this schedule reflect the mission of the entire Bureau of International Narcotics and Law Enforcement Affairs. This is an organizationally based aggregated bucket schedule for INL. More on this approach is discussed below.

It is very important to note, however, that this schedule will cover records from 2012 forward, the date in which the Bureau shifted from centralized front-office records management and began using SharePoint. Existing schedules for the bureau will remain active for earlier records. This schedule **DOES NOT** supersede those schedules.

This schedule is part of the Department’s agency-wide initiative to move to organizational large aggregate bucket schedules. This approach will greatly reduce the number of individual disposition authorities managed by State, and support the Department’s move to more automated means of records management. This is reflected in the version under review, as compared to the initial submission (11 versus 33 items). The initiative will includes one schedule for high-level senior officials (above the Deputy Assistant Secretary of State level), and then one schedule per major organization (for example, Bureau of International Narcotics and Law Enforcement [INL]; Bureau of Diplomatic Security [DS]). As part of this initiative, State undertook a major inventoring project, which helped inform the schedules submitted. All schedules will be submitted with the required documentation, primarily a detailed crosswalk.

**Implementation**
The Department is in a strong position to ensure proper application and implementation of this schedule. The Department’s records management office, Office of Information Programs and Services (IPS) and the Office of Resource Management (RM) within INL, which oversees all administrative components of the bureau have undergone the following activities:

- RM issued standard operating procedures that require:
  - Records management training by all INL employees;
  - Each program office appoint a records point-of-contact; and
  - Each program office detail in their own standard operating procedures for records management to supplement the one issued by RM.

- The office-level standard operating procedures will detail:
  - Definitions, including program vs. project files;
  - Criteria for special project designation; and
  - Basic filing conventions and requirements.

- INL is currently planning to roll-out a bureau-wide electronic document management system (EDMS), which will rely on this schedule to allow personnel to properly designate records disposition;

- INL has standing monthly working group meetings headed by the INL records liaison. It includes all RM points of contacts and they discuss and coordinate on records management issues;
• IPS is involved in meetings, training, and other aspects of the INL records management program.
• INL Staff are trained on the use of the department's electronic records storage center (e-RSC) for the retirement of permanent electronic records.
• All the offices within INL are using SharePoint. The front office maintains the main INL platform, and each program office has their own "section" on this platform for the management of their own records. Records flow to and from the Front Office through the use of SharePoint, and since 2012 very little paper has been used for official record-keeping purposes.
• From a permanent records transfer standpoint, all future Transfer Requests (TR) will reference the specific internal manual number found in the Department's Records Disposition Schedule (RDS), and clearly specify the office of creation and responsibility (noted in the crosswalk).
• State is aware of the metadata requirements for permanent electronic records. NARA metadata guidance will be met, if not exceeded, for all permanent electronic records.

Concerning the use of SharePoint mentioned above, INL has moved away from centralized paper filing in place when the primary schedule for INL was approved in 1988 (N1-59-88-17). INL now utilizes a SharePoint platform to manage all records, as well as to facilitate the flow of records throughout the bureau for review and/or approval. This SharePoint platform has taken the place of the former centralized paper recordkeeping, giving records management responsibility back to the originating program offices. Therefore, INL is proposing permanent records in offices below the Front Office in their organization structure. This matches the business process of INL, where the Front Office is involved in activities more on the front-end of the process, rather than on the back-end when an activity closes. More detail of this is provided within individual items below, specifically item 0002.

Additional Background Information
Each office within the current bureau structure of INL is discussed below.

FRONT OFFICE: The Front Office is led by the Assistant Secretary for INL, who reports to the Under Secretary for Civilian Security, Democracy and Human Rights (J). As delegated by the Secretary, the Assistant Secretary is responsible for: 1) Development, supervision, coordination and implementation of international narcotics control assistance activities of the Department of State; 2) Development of assistance programs directed at U.S. Government objectives abroad on international criminal justice issues; 3) Coordination and management of the Department's international counternarcotics program, the international criminal justice program, and strategic planning for bureau programs and policies; and 4) As delegated by the Secretary, the Assistant Secretary negotiates and concludes bilateral and multilateral agreements to strengthen narcotics control and criminal justice systems, and to combat transnational crime. The front office is responsible for records of the broader INL programs, as well as records specific to senior leadership of the bureau.

OFFICE OF ANTICRIMES (INL/C): This office: 1) Provides policy support on interagency anti-
crime issues relating to combating transnational criminal threats and illicit networks, particularly corruption, organized crime, money laundering, border security/alien smuggling and cybercrime/intellectual property crimes; 2) Coordinates and provides U.S. Government input to multilateral and bilateral processes that promote cooperation, development and implementation of international anti-crime standards and commitments; 3) Oversees and implements the system of International Law Enforcement Academies (ILEA) and related programs; and 4) Coordinates and provides U.S. Government input into demand reduction programs implemented through bilateral and multilateral mechanisms. As such, this office provides support, in the form of input and resources, to other offices within INL, especially those implementing specific projects.

OFFICE OF POLICY, PLANNING and COORDINATION (INL/PC): INL/PC develops and coordinates broad international narcotics and crime control policy guidance for the bureau, posts, and the Department in three main areas: Congressional Affairs, Public Affairs/Public Diplomacy, and Multilateral Affairs. Working with other offices in the Department, it also provides analytic and management support in connection with legislative issues including drafting and coordinating testimony, responding to Congressional inquiries, and arranging briefings for members of Congress and their staffs. It manages the bureau’s public affairs/public diplomacy program, to include producing and coordinating daily press guidance; arranging press conferences, press briefings, and media interviews; and designing and developing public outreach initiatives for major programs in which INL has significant input.

OFFICE OF RESOURCE MANAGEMENT (INL/RM): The Controller/Executive Director of INL/RM serves as the Office Director for INL resource management, domestic and overseas operations. INL/RM directs the bureau’s financial management program including budget formulation and budget presentation and execution, and provides fiscal accountability and reporting to Congress. It also directs the personnel, administrative, and management activities of the bureau, as well as directs the bureau’s acquisition of commodities, technical services and grants, accomplishes audit and end-use monitoring of INL-funded commodities, oversees property management, and provides contract administration guidance and support. Further, it manages the bureau’s management policy and internal controls assurance and training, and coordinates the bureau’s program planning, monitoring, and evaluation efforts.

OFFICE OF CRIMINAL JUSTICE ASSISTANCE AND PARTNERSHIP (INL/CAP): Similar to Anticrime Programs (INL/C), INL/CAP is subject based. INL/CAP provides subject matter expertise that supports the INL offices and U.S. missions abroad in planning, designing, implementing, monitoring, and evaluating law enforcement, justice sector, and corrections programs in INL programs worldwide. It manages strategic outreach to build partnerships with domestic law enforcement, corrections, and legal organizations and professionals, multilateral organizations, and non-governmental actors to identify opportunities for their participation in INL’s foreign assistance assessments, programs and training. Further, it develops and supports INL-managed training for deployed criminal justice advisors to address the pre-deployment and continuing professional development requirements of INL advisors in the field.

INL GEOGRAPHIC OFFICES: Program offices that manage projects of a specific geographic
office. Currently, the offices are: 1) Office of Western Hemisphere Programs (INL/WHP); 2) Office of Afghanistan and Pakistan Program (INL/AP); 3) Office of Africa and Middle East Programs (INL/AME); and 4) Office of Europe and Asia Programs (INL/EA).

**OFFICE OF AVIATION (INL/A):** INL/A is a single aviation service provider for U.S. Government-owned/leased operational, piloted aircraft within the Department, providing aviation expertise and resources in support of counternarcotics programs, law enforcement, and other overseas mission operations. It provides planning, operational and logistical support, and contract oversight for aviation services in support of INL and Department programs and missions. INL/gets involved in projects of other offices that involve the use of aircraft.

**VOLUME AND FORMATS:** With the transition to SharePoint in 2012, the official recordkeeping copy for permanent records will be electronic (PDF, Microsoft Office suite applications). It is estimated that there is currently 415 cubic feet of textual records dating back to 1990 (bulk before 2012) that relate to the permanent items on this schedule (primarily program files). Those records which predate 2012 will be managed according to the job number N1-59-88-17.

Included with the schedule is a crosswalk that illustrates the relationship of this schedule with previous INL schedules. The office of record has the most possibility of change in the future, and the crosswalk will be updated in accordance with NARA policy. For example, the geographic offices tend to change as diplomatic priorities shift – the records themselves remain the same in terms of scope, but the area of the world which they cover may change in terms of how INL is organized at any given time. The items, therefore, are designed to apply to records that meet certain general descriptions, regardless of office of origin/creation/management.

**Overall Recommendation**
I recommend approval of the attached schedule, with one or more changes as provided below.

**APPRAISAL**

**NOTE:** The agency will be required to change the title of the schedule from “Inclusive Schedule for Records of the Bureau and Offices of International Narcotics and Law Enforcement Affairs” to “Records of the Bureau of International Narcotics and Law Enforcement Affairs.”

State will also be required to add the following to the “Background Information” section of the schedule: “Flexible schedule which consolidates the records of the Bureau of International Narcotics and Law Enforcement. Applies to records 2012 and forward. This schedule does not supersede existing records schedules for the Bureau. Crosswalk with additional detail is attached to the schedule.”

**Item 0001: Assistant Secretary and Deputy Assistant Secretary Files**
**NOTE:** Records of the Assistant Secretary will be included in the “Senior Leadership” schedule with a proposed disposition of permanent. State will be required to remove Assistant Secretary from the item title and description for this item, as well as within the crosswalk. New title will read “Deputy Assistant Secretary Files” and the description will read “Records documenting the
activities of the Principal Deputy Assistant Secretary and Deputy Assistant Secretaries (DASs) for the Bureau of International Narcotics and Law Enforcement in the directing and carrying out of their duties, including relevant documentation facilitated by staff assistants, senior advisors, etc. These files include all correspondence; memoranda; reports and intelligence reports; policy; position and decision papers; diplomatic notes; notes, including meeting notes and handwritten notes; speeches and testimonies; statements; Congressionals; press-releases; briefing materials; background and fact sheets, daily and/or weekly activity records, including calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits and other activities of the DASs while serving in the official capacity.

NOTE: State will also be required to change the “Is this item media neutral?” field to “No” and include an explanation that the records are exclusively electronic. The “Inclusive Start Date” will read “01-01-2012” to denote the starting date for which this schedule covers.

This series includes records typical of the leadership of a Bureau, such as correspondence, calendars (currently Microsoft Outlook), briefing material, activity reports from program offices, and fact-sheets. Records are created and managed electronically; formats include pdf and Microsoft Office suite applications. Currently the highest national security classification for the records is Secret/NOFORN (no foreign nationals).

**Proposed Disposition:** Permanent

**Appropriateness of Proposed Disposition:** Appropriate.

**Appraisal Justification:**

* Documents significant actions of Federal officials.
* Similar records have been approved as permanent; job N1-059-88-17, item 1 International Narcotic Controls Policy Files, and Item 2a Briefing Materials File. These are the same records produced prior to 2012. This new authority will apply 2012 forward.

**Adequacy of Proposed Transfer Instructions:** Adequate.

**Media Neutrality:** Not Approved. Electronic is the official recordkeeping copy for these records.

**Item 0002: Program Files**

NOTE: State will be required to change the “Is this item media neutral?” field to “No”, and include an explanation that the records are exclusively electronic. The “Inclusive Start Date” will read “01-01-2012” to denote the starting date for which this schedule covers.

When discussing the Program Files it is important to understand the relationship between these records, and those found in the Project Files (proposed as temporary, item 0003). These records represent the files that document the larger policy and program direction of the Bureau. For example, this may include documentation on State’s policy on establishing Rule of Law Programs throughout the world or a specific region, and the types of projects and initiatives they will support or fund to carry out this policy. These records will generally document what policies were at a given time, how resources were to be divided, and how programs were to operate. Project files, however, are more specific. For example, program records may include policy on priorities for Rule-of-Law programs in the Middle East, while a
project file would document a specific project—such as training police forces in a specific city—that fits the parameters of the Rule-of-Law program/policy. More information on this is provided under the item for project files (item 0003).

Specific to the Front Office:

These are the primary official packages/products of INL, documenting senior leadership approval of INL policy, programs, and projects. The products are tasked in one of two ways: 1) a program office initiates a product, and sends it to the Front Office for review and approval, or 2) the Front Office initiates the task, sending it to a lower office for action. The packages each have a detailed tracking sheet (clearances, etc.), and include substantive edits made by the Front Office. The office processes between 5 and 10 packets per day (one example was 26 in one week). The typical packet is made up of three documents: 1) the signed letter or document; 2) a tracked changes version of the letter or document, showing changes made by the Front Office, and 3) a “tasker summary” sheet illustrating the purpose of the letter or document, and how it was routed.

It is very important to note that the Front Office does not always have the final, complete record. Many lower level program offices within INL will take further action on the packet (such as coordination with other agencies), and then maintain the final packet/record. Another example is the Front Office signing off on the concept of a program-wide initiative, but the policy and specifics of the initiative are developed by, and managed by, a lower office. This will equate to a limited amount of duplication between records captured as permanent within the Front Office, and those captured in the other subordinate offices. Further, a very small percentage of packets will rise further up in State, in which case they flow through EVEREST. ACR feels this degree of duplication is acceptable.

As an example of how records flow between the Front Office and subordinate offices: documentation within the Office of Anticrime (INL/C) strategizing with DHS on “border security” that requires Front Office approval before INL/C interacts further with DHS. In this case the Front Office would not have the complete documentation, but INL/C would. As mentioned above, this will equate to a small volume of duplication, but is warranted to capture these important records.

Specific to other offices:

1) Anticrime, which focuses on the general topic of anticrime, regardless of geography. Many of the projects of this office are multi-regional. The office works with other program offices within INL to provide expertise on the subject of anticrime actions, and supports broader projects, often partnering with other Federal agencies such as the Department of Justice, the Department of Defense, and the Department of Homeland Security. Examples are larger policy records on internal drug demand reduction; anticorruption; transnational organized crime reduction; cybercrime and intellectual property rights (IPR) crime reduction; anti-money laundering and counter-terrorist financing activities; border security and counter-alien smuggling activities; capacity building of criminal justice professionals (through the ILEA program); and environmental crime and wildlife trafficking reduction.

2) Criminal Justice Assistance and Partnership, which focuses on general/broad criminal
justice assistance, regardless of geography. They develop policy on assistance to bureau, department, US government interagency and international partners related to criminal justice (for example, policy on maritime related projects and initiatives); policy on pre-deployment training; policy on policing and rule of law development and operations support; policy of peace-keeping efforts and programs. The office supports programs and projects that span multiple regions, or support specific programs and projects within the geographic offices.

3) Policy and Planning: documentation of coordination of policy issues pertaining to global narcotics and anti-crime policy; coordination between INL and US inter-agency engagement with international organizations, leading efforts to develop global standards and norms through international organizations that support US interests; policy on technical assistance to international organizations to develop international law enforcement capacities, complimenting bilateral assistance programs; and policy on liaising for the bureau with other US government agencies.

4) Resource Management: documents relating to initiatives to facilitate efficient and effective domestic and overseas foreign policy and foreign assistance operations that are reliable; policy on oversight and auditing of all program offices within INL. This may include budget policy, and formal program files on funding efficiency across all INL programs.

5) Geographic Offices: policy on larger goals and funding plans (for example, policy on goals within a certain country for a given year). These are the equivalent of the "country files" approved as permanent on the 1988 schedule. Most of this level of program file in the geographic offices relates to larger strategies within a region or a specific country (for example, policy on initiative and funding priorities in Mexico; or a formal strategic plan for initiatives in the Middle East; or Lebanon Program plan, which highlights policy in Lebanon and how it ties into that larger INL mission), wherein the project files would break it out into the specific projects undertaken to support that policy, program or program initiative.

6) Aviation: policy and program records related to supporting the US foreign assistance and foreign policy missions related to counter narcotics, counterterrorism, border security, law enforcement, and embassy transportation. An example is "INL Aviation Program Policies and Procedures Handbook." This is an excellent example of a document that was signed-off by the front office to allow its creation, but the manual itself was developed and approved within the Office of Aviation alone.

As mentioned earlier, INL started using SharePoint around 2012 to support electronic records-management. Formats include pdf and Microsoft suite applications. Legacy paper dating back to 1990 does exist and will be managed in accordance with job number N1-059-88-17. Currently the highest national security classification for the records is Secret/NOFORN (no foreign nationals).

**Proposed Disposition:** Permanent

**Appropriateness of Proposed Disposition:** Appropriate.

**Appraisal Justification:**

* Documents significant actions of Federal officials.
* Similar records have been approved as permanent; job N1-059-88-17, item 1
 International Narcotic Controls Policy Files; N1-059-88-17, item 5 Country Files; N1-059-88-17, item 6 International Meetings Files; N1-059-88-17, item 7 UN Commission Files; and N1-059-88-17, item 8 Aviation Files. These are the same
records, prior to 2012. This new authority will apply 2012 forward.

**Adequacy of Proposed Transfer Instructions:** Adequate.  
**Media Neutrality:** Not Approved. Electronic is the official recordkeeping copy for these records.

**Item 0003: Project Files**

As mentioned previously, the State RDS, and INL SOPs, will break this down into individual items for each office it affects, with more detail on what specific documents are relevant for each office.

Any copies of agreements are just that; the record-keeping copy of the agreements are maintained in the Resource Management Office, with disposition proposed within a separate item (DAA-0059-2015-0010, item 0009).

Project files make up the bulk of most of the records maintained by the offices within INL, and document the specific projects supported and funded within each program. Most projects are routine: training projects; workshop/event projects; construction related projects. Most of these are coordinated with other Federal agencies, such as the Department of Justice and the Department of Homeland Security. These are the “in-the-weeds” records, including the documentation required to properly manage and implement each specific project. The number of projects carried out by each program office varies, with each carrying out hundreds of projects in a given year. Projects are funded similar to other grants processes, in that State may not be the party expending the funds. The department is providing major financial support for initiatives carried out by other parties, and has oversight of the funds being used and how the projects comply with Bureau-wide mission priorities. These project files go into the weeds of the finances expended for each project. ACR and State agree that use of GRS 1.2 is not appropriate since the records are not as template-driven as typical grants may be, and the price-tag attached to projects is often considerably high.

Some examples include:

1) **Anticrime:** “Maritime Workshop, 2014” funded by The Anticrime Office to hold a specific workshop on maritime initiatives. Whereas this file includes very specific documentation on the event (agendas, invite lists, etc.), the larger policy on maritime initiatives is within the program files, proposed as permanent in item 0002.

2) **Criminal Justice Assistance and Partnership:** a project to work with the New York City Police Department on cross-governmental issues; and a project working with the Wisconsin Department of Corrections on best practices.

3) **Office of Resource Management:** many of the files held by this office are duplicative of those found in all other offices, but focused more on budget execution. The office has a business need to maintain these copies independent of the other offices. This office also oversees the general budgeting process and those files are included in the project files. These files also include apportionment memos and spreadsheets; allotment memos and spreadsheets; transfer of funds memos and spreadsheets; correspondence; copies of congressional notifications, reimbursement agreements, and grant documentation, including notices, awards and deliverables; background material and other documentation pertaining to the projects and related activities of INL/RM, excluding original contract and grant documentation.

4) **Geographic Offices:** the geographic offices create and maintain the largest
number of project files within INL, with projects specific to the region they oversee. For example, 911 Call Center in Dominican Republic.

5) Office of Aviation: most of the files held by this office are also duplicative of those found in other offices within INL as this office tends to support other projects, rather than initiate and oversee their own. Examples, however, include a project file on “Decreasing the Afghanistan [aircraft] fleet.”

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:
- Does not document significant actions of Federal officials.
- Captured elsewhere in permanent records. Records related to general program goals, directions, and successes are proposed as permanent in the Program Files, proposed item 0002. Projects that receive considerable attention are proposed as permanent in the Special Project Files, proposed item 0004.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Approved.

Item 0004: Special Project Files

NOTE: State will be required to change the “Is this item media neutral?” field to “No”, and include an explanation that the records are exclusively electronic. The “Inclusive Start Date” will read “01-01-2012” to denote the starting date for which this schedule covers.

These are project files that rise to a higher level due to their uniqueness, or due to considerable departmental, Congressional, and/or public interest - criteria are noted in the series description. Considering most offices are carrying out over 300 projects a year, special projects will be somewhat rare. Some examples include:

1) Criminal Justice Assistance and Partnership: projects related to the International Police Peacekeeping Operations Support (IPPOS) Program, which has received considerable attention; projects of the Global Shield Program (GSP); and the project related to the Law Enforcement Memorial Wall, which represents a very unique project.

2) Office of Policy and Planning: projects related to the International Narcotics Control Strategy Report (INCSR), a one-time initiative that has had departmental interest; the Majors List, including significant documentation created during the certification process, inter-agency and intra-agency clearances, correspondence, and Congressionally mandated reports; a special project with the Department of the Treasury on the King-Pin Designation Act, which received considerable attention and influenced larger Department policy direction.

3) The geographic offices may have projects that are designated in this category merely because of the region the project or initiative is occurring in. For example, many of the projects within Tunisia, regardless of project type, have received considerable attention and scrutiny.

Currently the highest national security classification for the records is Secret/NOFORN (no foreign nationals).

Proposed Disposition: Permanent

Appropriateness of Proposed Disposition: Appropriate.
Appraisal Justification:

* Documents significant actions of Federal officials.
* High potential research value. This series represents projects or initiatives that were either very unique or received substantial departmental, Congressional, and/or public interest.

Adequacy of Proposed Transfer Instructions: Adequate.
Media Neutrality: Not Approved. Electronic is the official recordkeeping copy for these records.

**Item 0005: Working Files**
These records are essentially the files created by lower level staff in formalizing records that fall into other items on the schedule. They add no substantial context to the records. NOTE: within item 0002, the packets of the Front Office include edits that occurred during approval process.

Proposed Disposition: Temporary
Appropriateness of Proposed Disposition: Appropriate.
Appraisal Justification:

* Does not document significant actions of Federal officials.
* Captured elsewhere in permanent records. The final products are found in other items recommended for permanent retention, specifically the Program Files (item 0002) and Special Project Files (item 0004).

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability.
Media Neutrality: Approved.

**Item 0006: Inspection/Audit Reference Files**
These are copies of inspection and audit reports and other files used for ease of reference.

Proposed Disposition: Temporary
Appropriateness of Proposed Disposition: Appropriate.
Appraisal Justification:

* Does not document significant actions of Federal officials.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability.
Media Neutrality: Approved.

**Item 0007: Office of Criminal Justice Assistance and Partnership, Training Files**
NOTE: State will be required to add a sentence to the description, so it starts with “Records related to internal training activities within the office.”

Unique to the Office of Criminal Justice Assistance and Partnership, these are files related to internal training, primarily for INL officials which are heading overseas. These are not “projects,” but training of any INL officials – from all INL programs – that may be involved in a project that requires overseas travel.

Proposed Disposition: Temporary
Appropriateness of Proposed Disposition: Appropriate.
Appraisal Justification:
* Does not document significant actions of Federal officials.
* Has little or no historical value.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability.
Media Neutrality: Approved.

Item 0008: Policy, Planning and Coordination, Public Affairs Public Diplomacy Files
The documentation created in the office certainly supports the programs of INL, but flow up to the Front Office, and from the Front Office to the Public Affairs Office. Examples include media notices, such as "State Department Unveils First Ever Formal Partnership with a U.S. Public Defender ..." which support the records maintained by State's Public Affairs Office (PA).

Proposed Disposition: Temporary
Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:
* Does not document significant actions of Federal officials.
* Captured elsewhere in permanent records. Records related to bureau public affairs decisions and activities are captured in Front Office Program files, proposed as permanent in item 0001, as well as in the files of the Public Affairs Office, multiple items, including Statements Issued by the Department, N1-59-95-24, item 3.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability.
Media Neutrality: Approved.

Item 0009: Office of Resource Management, Letters of Agreement
NOTE: this item was originally submitted with a proposed final disposition of permanent; the revised schedule reflects the recommendation that the records be approved as temporary for the rationale provided herein.

Included are agreement files between INL (on behalf of the United States Government) and foreign governments related to programs, initiatives, and projects. These are essentially the "buy-in" agreements of the various countries to participate and/or cooperate with INL. They are binding agreements. These records date back to 1962, and currently comprise approximately 41,000 agreements. The office considers the paper the official recordkeeping version, since the original signature is often deemed necessary by parties involved.

The office has reported that the originals are NOT filed with the Office of Treaty Affairs. This was discussed with the Office of Treaty Affairs, who confirmed that, despite their efforts, not all binding agreements are centralized in their office. None of the agreements are currently classified.

The revised schedule reflects the recommendation that INL work with the staff within Treaty Affairs and have all originals of these records transferred to them, where the records will be stored in a climate-controlled environment, and transferred in accordance with the approved treaty office schedule. The program office staff was amicable to this during the appraisal visit, and this is supported by State's RM office.

Proposed Disposition: Temporary
Appropriateness of Proposed Disposition: Requires Change. The department will be required to change the final disposition instructions to read "Transfer original agreements to the Office of Treaty Affairs when no longer needed for agency business. Destroy all other copies when no longer needed for agency business and official version is verified to have been filed with the Office of Treaty Affairs."

Appraisal Justification:

* Captured elsewhere as permanent, Office of Treaty Affairs, DAA-0059-2014-0007, item 0001 Original Treaties and Agreements.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Approved.

Item 0010: Office of Resource Management, Audit and Oversight Engagement Files

NOTE: this item was originally submitted with a proposed final disposition of permanent; the revised schedule reflects the recommendation that the records be approved as temporary for the rationale provided herein.

During appraisal, it became clear that this office liaises with other audit and oversight offices within State to coordinate between the two offices. The official final record-keeping versions of records are kept with the offices outside of INL. Although these are not the same as the reference files proposed as temporary in item 0006, they are used for official business instead of reference purposes. This item primarily relates to the office's coordination role: correspondence; records of meetings; and other documentation related to working with oversight offices within State. They do not, however, include content that meets the requirements for a permanent record.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

* Does not document significant actions of Federal officials.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Approved.

Item 0011: INL Aviation Management System

These systems support the INL/A to support other projects that require any form of aviation support. This system is administrative in nature, allowing INL/A to track the use and maintenance history of specific aircraft.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate.

Appraisal Justification:

* Does not document significant actions of Federal officials.
* Captured elsewhere in permanent records. Since this office supports projects managed in other offices within INL; INL/A’s involvement in special projects will be captured in the relative special project files, proposed as permanent in item 0004.
Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Approved.

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