

## Request for Records Disposition Authority

Records Schedule Number **DAA-0059-2013-0001**  
Schedule Status **Approved**  
  
Agency or Establishment **Department of State**  
Record Group / Scheduling Group **General Records of the Department of State**  
Records Schedule applies to **Major Subdivision**  
Major Subdivision **Bureau of Economic and Business Affairs**  
Minor Subdivision **Threat Finance Countermeasures and Economic Sanctions**  
Schedule Subject **Records for the Office of Threat Finance Countermeasures & Economic Sanctions**  
  
Internal agency concurrences will be provided **No**

### Background Information

### Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| <b>4</b>                          | <b>2</b>                              | <b>2</b>                              | <b>0</b>                              |

### GAO Approval

## Outline of Records Schedule Items for DAA-0059-2013-0001

| Sequence Number |   |
|-----------------|---|
| 1               | Economic Sanctions Policy Files<br>Disposition Authority Number DAA-0059-2013-0001-0001               |
| 2               | Threat Finance Countermeasures Policy Files<br>Disposition Authority Number DAA-0059-2013-0001-0002   |
| 3               | Department of the Treasury License Case Files<br>Disposition Authority Number DAA-0059-2013-0001-0003 |
| 4               | Department of Commerce Export Cases<br>Disposition Authority Number. DAA-0059-2013-0001-0004          |

## Records Schedule Items

| Sequence Number |  |
|-----------------|--|
| 1               | <p><b>Economic Sanctions Policy Files</b></p> <p>Disposition Authority Number      <b>DAA-0059-2013-0001-0001</b></p> <p>Documents reflect the development and implementation of Department policies involving sanction programs, and policies with respect to certain categories of export license application requests requiring foreign policy guidance. Included are cables, memos, legislation, briefings and speeches, press guidance, proposals, recommendations, committee meetings, and related correspondence. Arranged by country/subject.</p> <p>Final Disposition                      <b>Permanent</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p> <p>GRS or Superseded Authority Citation      <b>N1-59-94-29, item 1</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Cut off at the end of the calendar year</b></p> <p>Transfer to Inactive Storage            <b>Retire to the Records Service Center (RSC) when 5 years old, or sooner if needed</b></p> <p>Transfer to the National Archives for Accessioning      <b>Transfer to the National Archives and Records Administration 25 years after cutoff in a medium and format acceptable to NARA in accordance with NARA regulations and guidance at the time of transfer</b></p> <p><b>Additional Information</b></p> <p>What will be the date span of the initial transfer of records to the National Archives?      <b>Unknown</b><br/><b>Date span is not known at this time</b></p> <p>How frequently will your agency transfer these records to the National Archives?      <b>Every 25 Years</b></p> |
| 2               | <p><b>Threat Finance Countermeasures Policy Files</b></p>  |

Disposition Authority Number **DAA-0059-2013-0001-0002**

**Documents reflect the development and implementation of Department policies involving efforts to counter terrorism and piracy finance and efforts to stem the exploitation of conflict diamonds and conflict minerals. Included are telegrams, legislation, foreign policy trade control reports, briefings and speeches, press guidance, proposals, recommendations, committee meetings, and related correspondence. Arranged by country/subject.**

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

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

GRS or Superseded Authority Citation **N1-59-94-29, item 1**

**Disposition Instruction**

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

Transfer to Inactive Storage **Retire to the Records Service Center (RSC) when 5 years old, or sooner if needed**

Transfer to the National Archives for Accessioning **Transfer to the National Archives and Records Administration 25 years after cutoff in a medium and format acceptable to NARA in accordance with NARA regulations and guidance at the time of transfer**

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? **Unknown  
Date span not known at this time**

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

**Department of the Treasury License Case Files**

Disposition Authority Number **DAA-0059-2013-0001-0003**

**Documents reflect foreign policy recommendations on specific licenses administered by the Department of the Treasury. Included are license applications, meeting notes, foreign policy reviews, background papers, reports, license guidelines and related correspondence. Arranged by country/subject.**

3

|   |   |
|---|---|
| Final Disposition   | Temporary   |
| Item Status   | Active  |
| Is this item media neutral?   | Yes   |
| Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?   | No  |
| GRS or Superseded Authority Citation  | N1-059-94-29, item 2                                  |
| <b>Disposition Instruction</b>  |   |
| Cutoff Instruction  | Cut off inactive file at the end of the calendar year |
| Retention Period  | Delete or destroy when 10 years old                   |
| <b>Additional Information</b>   |   |
| GAO Approval  | Not Required  |
| <b>Department of Commerce Export Cases</b>  |   |
| Disposition Authority Number  | DAA-0059-2013-0001-0004                               |
| Documents reflect foreign policy recommendations on export cases administered by the Department of Commerce. Included are license applications, meeting notes, foreign policy reviews, background papers, reports, export policies security issues, license guidelines and related correspondence. Arranged by country/subject. |   |
| Final Disposition   | Temporary   |
| Item Status   | Active  |
| Is this item media neutral?   | Yes   |
| Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?   | No  |
| GRS or Superseded Authority Citation  | N1-059-94-29, item 2                                  |
| <b>Disposition Instruction</b>  |   |
| Cutoff Instruction  | Cut off inactive file at the end of the calendar year |
| Retention Period  | Delete or destroy when 4 years old                    |
| <b>Additional Information</b>   |   |
| GAO Approval  | Not Required  |

4

## Agency Certification

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

## Signatory Information

| Date       | Action                   | By                   | Title   | Organization  |
|------------|--------------------------|----------------------|---|---|
| 11/05/2012 | Certify                  | Tasha Thian          | Agency Records Officer                        | A/GIS - A/GIS/IPS/RA  |
| 04/10/2013 | Return for Revision      | Andrea Shahmohammadi | Archivist                                     | National Archives and Records Administration - Electronic and Special Media Records Services Division |
| 06/19/2013 | Submit For Certification | Shelia Prince        | Program Analyst                               | A/GIS - A/GIS/IPS/RA  |
| 06/20/2013 | Certify                  | Tasha Thian          | Agency Records Officer                        | A/GIS - A/GIS/IPS/RA  |
| 08/13/2013 | Submit for Concurrence   | Lisa Clavelli        | Supervisor, ACNR Appraisal Team 2             | National Archives and Records Administration - Records Management Services                            |
| 08/20/2013 | Concur                   | Laurence Brewer      | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program                    |
| 08/20/2013 | Concur                   | Laurence Brewer      | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program                    |
| 08/26/2013 | Approve                  | David Ferriero       | Archivist of the United States                | Office of the Archivist - Office of the Archivist   |