

Request for Records Disposition Authority

Records Schedule Number **DAA-0059-2019-0008**

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 Arms Control, Verification, and Compliance**

Schedule Subject **Consolidated Schedule: Records of the Bureau of Arms Control, Verification, and Compliance**

Internal agency concurrences will be provided **No**

Background Information **Flexible schedule which consolidates the records of State Department Bureau of Arms Control, Verification, and Compliance. 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.**

The Arms Control, Verification and Compliance (AVC) Bureau advances U.S. national security through rigorous verification and robust compliance enforcement of all arms control, nonproliferation, and disarmament agreements and commitments to which the United States is a party. The AVC Bureau is also responsible within the Department of State for increasing American security and prosperity by enhancing strategic stability around the world using tools such as the negotiation and implementation of arms control treaties, agreements, and transparency and confidence building measures (TCBMs) and enhancing cooperation among allies and partners. The Bureau is responsible for all matters relating to verification and compliance with international arms control, nonproliferation, and disarmament agreements or commitments (22 USC § 2652c(c)(1)).

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	4	2	0

GAO Approval

Outline of Records Schedule Items for DAA-0059-2019-0008

Sequence Number	
1	Treaty, Agreement, and Other Obligations Records Disposition Authority Number: DAA-0059-2019-0008-0001
2	Program Records Disposition Authority Number: DAA-0059-2019-0008-0002
3	Notifications and Logs Disposition Authority Number: DAA-0059-2019-0008-0003
4	Committee Records (Non-Grant Review Committees - Non-FACA Committees) Disposition Authority Number: DAA-0059-2019-0008-0004
5	Committee Records (Administrative and Reference) Disposition Authority Number: DAA-0059-2019-0008-0005
6	External Research Records Disposition Authority Number: DAA-0059-2019-0008-0006

Records Schedule Items

Sequence Number	
1	<p data-bbox="342 380 1065 415">Treaty, Agreement, and Other Obligations Records</p> <p data-bbox="342 432 1149 468">Disposition Authority Number DAA-0059-2019-0008-0001</p> <p data-bbox="342 489 1523 751">Records produced during the course of negotiation rounds of treaties, agreements, and other obligations to which the U.S. is a party. Records include but are not limited to working group proceedings; official copies of position papers and briefing books; analytical working papers; memoranda of conversation; Presidential decisions; talking points; planning papers; delegation lists; speeches; reports; meeting agenda; meeting minutes and other substantive records relating to arms control, nonproliferation and disarmament.</p> <p data-bbox="342 772 922 808">Final Disposition Permanent</p> <p data-bbox="342 829 850 865">Item Status Active</p> <p data-bbox="342 886 818 921">Is this item media neutral? Yes</p> <p data-bbox="342 942 818 1062">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p data-bbox="342 1083 805 1171">Do any of the records covered by this item exist as structured electronic data? No</p> <p data-bbox="342 1213 659 1249">Disposition Instruction</p> <p data-bbox="342 1270 1360 1346">Cutoff Instruction Cutoff at the close of treaty, agreement, or obligation's negotiation round.</p> <p data-bbox="342 1367 1455 1442">Transfer to the National Archives for Accessioning Transfer to the National Archives 25 year(s) after cutoff.</p> <p data-bbox="342 1484 659 1520">Additional Information</p> <p data-bbox="342 1541 834 1577">First year of records accumulation 2012</p> <p data-bbox="342 1598 1458 1717">What will be the date span of the initial transfer of records to the National Archives? Unknown Date span of the initial transfer is unknown at this time.</p> <p data-bbox="342 1738 1523 1814">How frequently will your agency transfer these records to the National Archives? Unknown Frequency of agency transfer is unknown at this time.</p>
2	Program Records

Disposition Authority Number **DAA-0059-2019-0008-0002**

Records documenting the development, formulation, implementation and promotion of AVC verification and compliance programs, projects, and initiatives that are result of all arms control, nonproliferation, and disarmament treaties, agreements, and commitments to which the United States is a party. Program records include but are not limited to guidance cables, working group proceedings; correspondence; official copies of position papers and briefing books; research projects, analytical working papers; memoranda of conversation; Presidential decisions; talking points; speeches; cables, reports; meeting agendas; meeting minutes and other substantive records relating to arms control, nonproliferation and disarmament program activities; background materials, updates and activity reports, studies, investigations, press guidance, surveys, documents resulting from consultations and investigation activities, and data resulting from other verification activities related to arms control, nonproliferation, and disarmament.

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? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Disposition Instruction

Cutoff Instruction **Cutoff of at the end of the calendar year.**

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? **From 2012 To 2020**

How frequently will your agency transfer these records to the National Archives? **Every 12 Months**

Notifications and Logs

Disposition Authority Number **DAA-0059-2019-0008-0003**

These files contain incoming and outgoing records of government-to government communications, processed by the Nuclear Risk Reduction Center (NRRC). Notifications are divided by regime (e.g. New START, CFE, CSBM, OS, etc.), originator, year, and then ordered by sequence number. Each individual record should include the original message, and any attachments. U.S. notifications should also include a copy of the transmittal letter.

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? Yes

Do any of the records covered by this item exist as structured electronic data? No

Disposition Instruction

Cutoff Instruction Cutoff after 6 months.

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? From 2012 To 2020

How frequently will your agency transfer these records to the National Archives? Every 12 Months

Committee Records (Non-Grant Review Committees - Non-FACA Committees)

Disposition Authority Number DAA-0059-2019-0008-0004

The Bureau is Chair/Secretariat: Documents on establishing, operating, and dissolving committees that consider, advise, take action, and report on specifically assigned functions. They include joint, interagency, and international committees in which the bureau participates; as well as committees operated solely by the bureau. Included are proposals, approvals, and disapprovals to establish the committee; charters, terms of reference, and comments on them; directive establishing, changing, continuing, or dissolving the committee; documents nominating, approving, appointing, and relieving committee members; notices,

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agendas, minutes and reports of committee meetings; and related documents.
Arranged chronologically.

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

Disposition Instruction

Cutoff Instruction Cutoff at end of calendar year.

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? From 2012 To 2020

How frequently will your agency transfer these records to the National Archives? Every 12 Months

Committee Records (Administrative and Reference)

Disposition Authority Number DAA-0059-2019-0008-0005

Records include those that pertain to administrative/housekeeping matters or consist of duplicate documents, reference copies, documentation of committee activities where the bureau is not the chair/Secretariat.

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? Yes

Do any of the records covered by this item exist as structured electronic data? No

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Disposition Instruction

Cutoff Instruction Cutoff at the end of the calendar year.

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

External Research Records

Disposition Authority Number DAA-0059-2019-0008-0006

Records received via external research conducted on behalf of the Bureau by national labs, academic institutions, and the International Security Advisory Board (ISAB) to foster the development of new or more efficient and inexpensive verification capabilities. Many, but not all, external research requests are facilitated and funded by AVC's Verification Fund (V-Fund).

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? Yes

Do any of the records covered by this item exist as structured electronic data? No

Disposition Instruction

Cutoff Instruction Cutoff when project is complete.

Retention Period Destroy 2 year(s) after cutoff.

Additional Information

GAO Approval 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

Date	Action	By	Title	Organization
12/07/2018	Certify	Timothy Kootz	Agency Records Officer	Bureau of Administration - Records and Archives Management Division A GIS IPS RA
05/17/2019	Return for Revision	Ann Gillette	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
07/03/2019	Submit For Certification	Shelia Prince	Records and Information Management Specialist	Bureau of Administration - A/GIS/IPS/RA
08/19/2019	Certify	Timothy Kootz	Agency Records Officer	Bureau of Administration - Records and Archives Management Division A GIS IPS RA
02/05/2020	Return for Revision	Ann Gillette	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
05/19/2020	Submit For Certification	Shelia Prince	Records and Information Management Specialist	Bureau of Administration - A/GIS/IPS/RA
05/20/2020	Certify	Timothy Kootz	Agency Records Officer	Bureau of Administration - Records and Archives Management Division A GIS IPS RA
09/15/2020	Submit for Concurrence	Ann Gillette	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services

10/01/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
10/05/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
10/05/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

NARA Crosswalk for DAA-0059-2019-0008

NEW DISPOSITION AUTHORITY						RELATED AUTHORITIES	
Item	Records Series	Disposition	Series Level Cutoff (where applicable)	Office of Record (for permanent records only)	Superseded Authority	Disposition Authority	Record Series
0001	Treaty, Agreement, and Other Obligations Records	Permanent	Cutoff of at close of treaty, agreement, or obligation's negotiation round	Front Office	n/a; schedule is 2012 forward	N1-059-01-011, item 4a	Treaty Negotiations Subject Files
				Nuclear Risk Reduction Center			
				Office of Chemical and Biological Weapons Affairs			
				Office of Emerging Security Challenger			
				Office of Euro-Atlantic Security Affairs			
				Office of Multilateral and Nuclear Affairs			
				Office of Strategic Stability and Deterrence Affairs			
				Office of Verification, Planning, and Outreach			
0002	Program Records	Permanent.	Cut off at end of calendar year.	Front Office	n/a; schedule is 2012 forward	N1-059-01-011, item 5a	Verification and Implementation Subject Files
				Nuclear Risk Reduction Center		N1-059-01-011, item 3a	Subject Files
				Office of Chemical and Biological Weapons Affairs		N1-059-01-011, item 7a	Country Files
				Office of Emerging Security Challenger		N1-059-01-011, item 9a	Information Report Files
				Office of Euro-Atlantic Security Affairs		N1-059-01-010, item 9a	Country Files
				Office of Multilateral and Nuclear Affairs		N1-059-01-010, item 7a	External Research Project Files

				Office of Strategic Stability and Deterrence Affairs		N1-059-01-010, item 8a	World Military Expenditure and Arms Transfer (WHEAT) Files
				Office of Verification, Planning, and Outreach		N1-059-01-010, item 12a	Information Report Files
				Deputy Assistance Secretary		N1-05901-010, item 13a	Subject Files
						N1-059-11-16, item 2	Policy Files
0003	Notifications and Logs	Permanent	Cutoff after six months	Nuclear Risk Reduction Center	n/a; schedule is 2012 forward	DAA-0059-2016-0005, item 0001	Notification Files
						N1-059-01-10, item 15a	Watch Log
0004	Committee Records (Non-Grant Review Committees - Non-FACA Committees)	Permanent	Cut off at end of calendar year.	Front Office	n/a; schedule is 2012 forward	N1-059-01-11, item 8a	Interagency Committee Files
						N1-059-01-10, item 10a	Interagency Committee Files
0005	Administrative and Reference Records	Temporary. Destroy five years after cutoff.	Cut off at end of calendar year.		n/a; schedule is 2012 forward	N1-05901-11, item 3b	Subject Files
						N1-05901-11, item 9b	Information Report Files
						N1-059-01-10, item 18a	Chronological Files - Extra Copies
						N1-059-01-11, item 8b	Interagency Committee Files (Bureau is not Chair)
						N1-059-01-10, item 10b	Interagency Committee Files (Bureau is not Chair)
						N1-059-96-18, item 7	Working Files
0006	External Research Records	Temporary. Destroy two years after cutoff.	Cut off when project is complete		n/a; new item 2012 forward	n/a; new item	