

Request for Records Disposition Authority

Records Schedule Number DAA-0059-2019-0012

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 Under Secretary for Arms Control and International Security

Minor Subdivision Bureau of Political-Military Affairs

Schedule Subject Consolidated Schedule: Records of the Bureau of Political-Military Affairs (PM)

Internal agency concurrences will be provided No

Background Information Flexible schedule which consolidates the records of State Department Bureau of Political-Military Affairs (PM) and applies to records 2012 and forward unless otherwise noted. This schedule does not supersede existing records schedules for the Bureau. Crosswalk with additional detail is attached to the schedule.

The mission of the PM is to build enduring security partnerships to advance U.S. national security objectives. This records schedule covers records that document the major functions and activities of PM in executing and advancing its mission to build defense capabilities of U.S. partners and allies; implement export control reform initiatives; contribute expertise to counter terrorist efforts; reduce the threat posed by explosive remnants of war; combat the illicit proliferation of conventional weapons, such as Man-Portable Air Defense Systems (MANPADS); train peacekeepers across the globe; integrate planners and policy advisors with DoD; negotiate defense agreements with foreign governments; administer money for security assistance; and address the most pressing current national security challenges.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	3	3	0

GAO Approval

Outline of Records Schedule Items for DAA-0059-2019-0012

Sequence Number	
1	Program Records Disposition Authority Number: DAA-0059-2019-0012-0001
2	Enforcement Files Disposition Authority Number: DAA-0059-2019-0012-0002
3	United States Munition List Disposition Authority Number: DAA-0059-2019-0012-0003
4	Program Operations Records and Working Files Disposition Authority Number: DAA-0059-2019-0012-0004
5	Registration Records Disposition Authority Number: DAA-0059-2019-0012-0005
6	Clearance and Approval Records Disposition Authority Number: DAA-0059-2019-0012-0006

Records Schedule Items

Sequence Number	
1	<p data-bbox="342 380 597 411">Program Records</p> <p data-bbox="342 432 1149 464">Disposition Authority Number DAA-0059-2019-0012-0001</p> <p data-bbox="342 485 1523 1020">Records documenting the development, formulation, implementation and promotion of PM programs, projects, and initiatives relating to international security operations; conventional weapons destruction, including humanitarian demining; arms and munitions exports; international traffic in arms; and all defense-related activities and operations. This item also covers records documenting non-FACA intra-agency and inter-agency committees, subcommittees and working groups that develop, coordinate, recommend, or promote policies, procedures, standards, plans, and agreements related to PM programs and initiatives. Records include, but are not limited to, correspondence, memoranda, congressionals, briefing materials, projects, contingency plans and operations, statistical reports, political and military plans and exercises, policies, case files, assessments, proposals, orders, licenses, agreements, charters, meeting agendas, minutes, transcripts, publications, exhibits, and all other related records. Includes substantial working files related to records in this category. See crosswalk for additional information.</p> <p data-bbox="342 1041 922 1073">Final Disposition Permanent</p> <p data-bbox="342 1094 850 1125">Item Status Active</p> <p data-bbox="342 1146 818 1178">Is this item media neutral? Yes</p> <p data-bbox="342 1199 805 1230">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p data-bbox="342 1356 659 1388">Disposition Instruction</p> <p data-bbox="342 1419 1455 1451">Cutoff Instruction Cut-off at the end of calendar year of final action.</p> <p data-bbox="342 1472 1455 1545">Transfer to the National Archives for Accessioning Transfer to the National Archives 25 year(s) after cutoff.</p> <p data-bbox="342 1587 656 1619">Additional Information</p> <p data-bbox="342 1640 834 1671">First year of records accumulation 2012</p> <p data-bbox="342 1692 1045 1787">What will be the date span of the initial transfer of records to the National Archives? From 2012 To 2012</p> <p data-bbox="342 1808 964 1902">How frequently will your agency transfer these records to the National Archives? Every 1 Years</p>

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Enforcement Files

Disposition Authority Number **DAA-0059-2019-0012-0002**

Case files relating to the investigation of alleged or actual violations of U.S. export laws and regulations. Records include, but are not limited to, administrative case settlements; compliance and enforcement documentation; consent agreements; reports; designation of U.S. Government approved projects; maintenance agreements; and all background and supporting documentation. See crosswalk for additional information.

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 **Cut-off at the end of calendar year of case closure.**

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 2012**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

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United States Munition List

Disposition Authority Number **DAA-0059-2019-0012-0003**

Records containing a list of defense articles, services, and munitions-related items sent to foreign countries. Data is used to assist in controlling munitions export licenses; maintaining technical data on arms, ammunition, implements of war, and related materials; and generating reports to Congress on values of munitions control list items licensed.

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?	Yes
Disposition Instruction	
Transfer to the National Archives for Accessioning	Transfer a snap-shot to NARA upon approval of this schedule, and then every 5 years.
Additional Information	
First year of records accumulation	1971
What will be the date span of the initial transfer of records to the National Archives?	From 1971 To 2020
How frequently will your agency transfer these records to the National Archives?	Every 5 Years
Program Operations Records and Working Files	
Disposition Authority Number	DAA-0059-2019-0012-0004
Records relating to administrative and program support activities relevant to the mission of the bureau but do not contain significant policy or decision making. Records include, but are not limited to, requests from retired or reservist military personnel to work in a foreign country; requests from foreign countries for VIP and foreign national medical treatment at a U.S. military medical facility; clearance for foreign ships and aircrafts entering the United States and its territories; and related records.	
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 Cut-off at the end of calendar year of final action.
Retention Period Destroy 7 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Registration Records

Disposition Authority Number DAA-0059-2019-0012-0005

Records documenting the registration of U.S. manufacturers and exporters of defense articles, defense services and all related technical data. Records are arranged by case number, company, and country and includes, but are not limited to, application for registration, receipts for registration fees, correspondence, and related records.

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 Cut-off at the end of calendar year of final action.
Retention Period Destroy 25 year(s) after cutoff.

Additional Information

GAO Approval Not Required

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Clearance and Approval Records

Disposition Authority Number DAA-0059-2019-0012-0006

Records documenting the administration, coordination, monitoring, review and approval of arms transfers, arms sales, defense exports licenses, and other related activities. Records include, but are not limited to, correspondence, voluntary disclosure records, nth or third party country transfer requests, clearance requests, excess property donations, approvals, and other related records.

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	Cut-off at the end of calendar year of final action.
Retention Period	Destroy 20 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
03/12/2019	Certify	Timothy Kootz	Agency Records Officer	Bureau of Administration - Records and Archives Management Division A GIS IPS RA
09/04/2020	Return for Revision	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
10/16/2020	Submit For Certification	Dionne Batson	Records and Information Management Specialist	Bureau of Administration - Records and Archives Management Division
10/19/2020	Certify	Timothy Kootz	Agency Records Officer	Bureau of Administration - Records and Archives Management Division A GIS IPS RA
10/05/2021	Submit for Concurrence	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
10/12/2021	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
10/15/2021	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
10/26/2021	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

NARA Crosswalk for DAA-0059-2019-0012							
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	Program Records	Permanent: Transfer to the National Archives 25 years after cut-off.	Cut-off at the end of calendar year of final action.	Senior Advisor for Security Negotiations and Agreements (PM/SNA)	N/A; New Item 2012 forward	N1-059-01-17/ 1/a	International Security Operations Subject Files
				Office of Regional Security and Arms Transfers (PM/SNA)	N/A; New Item 2012 forward	N1-059-01-17/ 1/b	International Security Operations Subject Files
				Office of Weapons Removal and Abatement (PM/WRA)	N/A; New Item 2012 forward	N1-059-01-18/ 1/a	Small Arms/Light Weapons (SA/LW)
				Office of Regional Security and Arms Transfers (PM/RSAT)	N/A; New Item 2012 forward	N1-059-01-18/ 2/a	Critical Information Protection (CIP)/Information Security
				Office of Weapons Removal and Abatement (PM/WRA)	N/A; New Item 2012 forward	N1-059-01-18/ 3/a	Non-Lethal Weapons (NLW)
				Office of Security Assistance (PM/SA)	N/A; New Item 2012 - 2016 (2017 forward covered by GRS 1.3)	N1-059-01-18/ 4/a	Security Assistance Files (Expenditure files)
				Office of Security Assistance (PM/SA)	N/A; New Item 2012 forward	N1-059-01-18/ 5/a	Land Mine Files
				Office of Defense Trade Controls Policy (PM/DTCP)	N/A; New Item 2012 forward	N1-059-01-18/ 6/a	Defense Planning
				Office of Defense Trade Controls Policy (PM/DTCP)	N/A; New Item 2012 forward	N1-059-01-18/ 7a	Defense Trade

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Office of Contingency Planning and Peacekeeping	N/A; New Item 2012 forward	N1-059-01-19/ 1/a	Subject Files
Office of Contingency Planning and Peacekeeping	N/A; New Item 2012 forward	N1-059-01-19/ 2/a	Regional/Country Files
Office of Contingency Planning and Peacekeeping	N/A; New Item 2012 forward	N1-059-01-19/ 3/a	Political-Military Plans
Office of Contingency Planning and Peacekeeping	N/A; New Item 2012 forward	N1-059-01-19/ 4/a	Managing Complex Contingency Operations
Office of Weapons Removal and Abatement (PM/WRA)	N/A; New Item 2012 forward	N1-059-01-20/ 1/a	Demining Chronological Files
Office of Weapons Removal and Abatement (PM/WRA)	N/A; New Item 2012 forward	N1-059-01-20/ 13/a	Publications
Office of Weapons Removal and Abatement (PM/WRA)	N/A; New Item 2012 forward	N1-059-01-20/ 5/a	Program/Project Files
Office of Weapons Removal and Abatement (PM/WRA)	N/A; New Item 2012 forward	N1-059-01-20/ 6/a	Policy and Procedures Files
Office of Weapons Removal and Abatement (PM/WRA)	N/A; New Item 2012 forward	N1-059-01-20/ 7/a	Demining Interagency Working Group Files/Policy Coordination Committee Subgroup Files
Office of Regional Security and Arms Transfers (PM/RSAT)	N/A; New Item 2012 forward	N1-059-01-21/ 1/a	Program Files
Office of Regional Security and Arms Transfers	N/A; New Item 2012 forward	N1-059-01-21/ 10/a	Policy Files
Office of Regional Security and Arms Transfers (PM/RSAT)	N/A; New Item 2012 forward	N1-059-01-21/ 12/b	Munitions Controls Export License Approval Documentation Files (case files)

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Office of Regional Security and Arms Transfers (PM/RSAT)	N/A; New Item 2012 forward	N1-059-01-21/ 15/a	Memorandum of Understanding
Office of Regional Security and Arms Transfers (PM/RSAT)	N/A; New Item 2012 forward	N1-059-01-21/ 2/a	Third Party Transfer Files (case files)
Office of Regional Security and Arms Transfers (PM/RSAT)	N/A; New Item 2012 forward	N1-059-01-21/ 23/a	National Disclosure Policy Committee (NDPC) - State Department Member Files
Office of Regional Security and Arms Transfers (PM/RSAT)	N/A; New Item 2012 forward	N1-059-01-21/ 24/a	Military Cooperation Agreements
Office of Defense Trade Controls (PM/DTC)	N/A; New Item 2012 forward	N1-059-01-22/ 2/a	Statistical Reports on Exports
Office of Defense Trade Controls (PM/DTC)	N/A; New Item 2012 forward	N1-059-01-22/ 4/a	International Traffic in Arms Regulations Files (ITAR)
Office of Defense Trade Controls (PM/DTC)	N/A; New Item 2012 forward	N1-059-01-22/ 9/a	Manufacturing License and Technical Assistance Agreements
Office of Defense Trade Controls (PM/DTC)	N/A; New Item 2012 forward	N1-059-01-22/ 9/b	Manufacturing License and Technical Assistance Agreements
Office of State-Defense Integration (PM/SDI)	N/A; New Item 2012 forward	N1-059-05-08/ 1	Execute Orders (EXORDS)
Office of State-Defense Integration (PM/SDI)	N/A; New Item 2012 forward	N1-059-05-08/ 2	Deployment Orders (DEPORDS)
Office of State-Defense Integration (PM/SDI)	N/A; New Item 2012 forward	N1-059-05-08/ 3	SITREP Reports
Office of State-Defense Integration (PM/SDI)	N/A; New Item 2012 forward	N1-059-05-08/ 6	Rules of Engagement (ROEs)

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				Office of State-Defense Integration (PM/SDI)	N/A; New Item 2012 forward	N1-059-05-08/ 7	EXSEC to EXSEC File
				Office of State-Defense Integration (PM/SDI)	N/A; New Item 2012 forward	N1-059-05-08/ 8	Interdiction Operations File
				Office of Global Programs and Initiatives (PM/GPI)	N/A; New Item 2012 forward	N1-059-05-08/ 9/a	Crisis Status Reports (EXCEL Spreadsheets)
				Office of Weapons Removal and Abatement	N/A; New Item 2012 forward	N1-059-11-16/ 2	Policy Files
				Office of Weapons Removal and Abatement	N/A; New Item 2012 forward	N1-059-11-16/ 3	Program/Project Files
				Office of Weapons Removal and Abatement (PM/WRA)	N/A; New Item 2012 forward	N1-059-11-16/ 4	Outreach Materials
				Office of Weapons Removal and Abatement (PM/WRA)	N/A; New Item 2012 forward	N1-059-11-16/ 8	Interagency Working Group Files
0002	Enforcement Files	Permanent: Transfer to the National Archives 25 years after cut-off date.	Cut-off at end of calendar year of case closure	Office of Defense Trade Controls (PM/DTC)	N/A; New Item 2012 forward	N1-059-01-22/ 12/a	Enforcement Files
				Office of Defense Trade Controls (PM/DTC)	N/A; New Item 2012 forward	N1-059-01-22/ 12/b	Enforcement Files
0003	United States Munition List	Permanent: Transfer a snap-shot to NARA upon approval of this schedule, and then every 5 years.	Create a snap-shot of the system every 5 years.	Office of Defense Trade Controls (PM/DTC)	N/A; New Item 2012 forward	N1-059-01-22/ 10/a	Munitions Control System
				Office of Defense Trade Controls (PM/DTC)	N/A; New Item 2012 forward	N1-059-01-22/ 10/b	Munitions Control System
0004	Program Operations Records and	Temporary: Destroy 7 years after cut-off.	Cut-off at end of calendar year of final action.	N/A	N/A; New Item 2012 forward	N1-059-01-17/ 3/a	Foreign Employment

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	Working Files			N/A	N/A; New Item 2012 forward	N1-059-01-17/ 4/a	Medical Requests
				N/A	N/A; New Item 2012 forward	N1-059-01-20/ 12/a	Demining Allocation Memoranda and Congressional Notifications
				N/A	N/A; New Item 2012 forward	N1-059-01-21/ 13/a	Public Inquiries
				N/A	N/A; New Item 2012 forward	N1-059-03-07/ 1	Miscellaneous Correspondence
				N/A	N/A; New Item 2012 forward	N1-059-11-16/ 6	Allocation Memoranda and Congressional Notifications
				N/A	N/A; New Item 2012 forward	N1-059-11-16/ 1	Subject Files
				N/A	N/A; New Item 2012 forward	N1-059-01-19/ 5/a	Trip Reports from Interagency Exercises
				N/A	N/A; New Item 2012 forward	N1-059-01-21/ 25	Questions and Answers
				N/A	N/A; New Item 2012 forward	N1-059-01-23/ 4/a	Legislative Referral Memorandum
				N/A	N/A; New Item 2012 forward	N1-059-01-23/ 5/a	Press Guidance
				N/A	N/A; New Item 2012 forward	N1-59-01-20/ 11	Financial Plans
0005	Registration Records	Temporary: Destroy 25 years after cut-off	Cut-off at end of calendar year of final action	N/A	N/A; New Item 2012 forward	N1-059-01-22/ 3/a	Registration Files

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				N/A	N/A; New Item 2012 forward	N1-059-04-04/ 1/a/2	The Defense Trade Application System (DTAS)
				N/A	N/A; New Item 2012 forward	N1-059-04-04/ 1/b	The Defense Trade Application System (DTAS)
				N/A	N/A; New Item 2012 forward	N1-059-04-04/ 1/c/2	The Defense Trade Application System (DTAS)
0006	Clearance and Approval Records	Temporary: Destroy 20 years after cut-off.	Cut-off at end of calendar year of final action.	N/A	N/A; New Item 2012 forward	N1-059-01-17/ 2/a	Overflight Clearances
				N/A	N/A; New Item 2012 forward	N1-059-01-21/ 3/a	36B Transfer Files
				N/A	N/A; New Item 2012 forward	N1-059-01-21/ 5/a	Clearance for Bureau of Alcohol, Tobacco, and Firearms
				N/A	N/A; New Item 2012 forward	N1-059-01-21/ 6/a	Foreign Military Sales (FMS) List
				N/A	N/A; New Item 2012 forward	N1-059-01-21/ 7/a	Military Excess Defense Articles
				N/A	N/A; New Item 2012 forward	N1-059-01-21/ 12/a	Munitions Controls Export License Approval Documentation Files
				N/A	N/A; New Item 2012 forward	N1-059-01-21/ 12/c	Munitions Controls Export License Approval Documentation Files
				N/A	N/A; New Item 2012 forward	N1-059-01-22/ 6/a	Disclosure Files
				N/A	N/A; New Item 2012 forward	N1-059-01-22/ 7/a	Commodity Jurisdiction Case Files (CJ)

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				N/A	N/A; New Item 2012 forward	N1-059-01-22/ 8/a	General Correspondence Case Files (GC)
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