

November 8, 2001

BUREAU OF NONPROLIFERATION (NP)

1. Weekly/Daily Activity Report (WAR/DAR) Files

Files include reports containing activity updates from each office in the bureau. Arranged in chronological order within calendar year.

a. WAR files of the Assistant Secretary and Deputy Assistant Secretaries. Official signed copies of reports from each bureau component.

Permanent. Cut off at end of calendar year. Hold in current file area or retire to Records Service Center 1 year after closure. Transfer to WNRC when 5 years old. Transfer to National Archives 25 years after closure.
(Ref. N1-383-97-1, item 1a)

b. Files containing copies of WAR's/DAR's held in offices and divisions.

Temporary. Cut off at end of calendar year. Hold in current file area for 1 year, then destroy.
(Ref. N1-383-97-1, item 1b and N1-59-93-3, item 5)

c. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

2. Daily Activity Records

Files contain calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of an official capacity created and maintained in hard copy or electronic form, excluding material determined to be personal.

a. Files of the Assistant Secretary and Deputy Assistant Secretaries.

Temporary. Cut off at end of calendar year. Hold in current file area and destroy when 2 years old.

b. Office/division files.

Temporary. Cut off at end of calendar year. Hold in current file area and destroy when 2 years old. (New item)

c. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

3. Organization and Conference Files

Files contain correspondence, telegrams, airgrams, memoranda, delegation lists, meeting agendas, minutes, policy and position papers, bilateral and multilateral agreements, talking points, speeches, resolutions, intelligence reports, and reference materials documenting U.S. participation in national and international organizations. These organizations address nonproliferation, nuclear energy and energy technology, nuclear export, nuclear safeguards, and issues relating to the creation, transport, use, and misuse of chemical, biological, and missile weaponry. Arranged by organization.

a. Files of the Assistant Secretary and Deputy Assistant Secretaries.

Permanent. Cut off at end of calendar year. Hold in current file area and retire to Records Service Center when 5 years old. Transfer to the WNRC when 10 years old. Transfer to the National Archives when 25 years old in five-year blocks. (Ref. N1-59-93-31, item 4 and N1-59-93-31, item 8)

b. Office files

Permanent. Cut off at end of calendar year. Hold in current file area and retire to Records Service Center when 5 years old. Transfer to WNRC when 10 years old. Transfer to National Archives when 25 years old in five-year blocks. (Ref. N1-59-93-31, items 14 and 20 and N1-59-92-38, item 2)

c. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

4. Conference Administrative Files

a. Files of Deputy Assistant Secretaries and others, which contain correspondence, telegrams, airgrams, worksheets, standard forms, and other documents pertaining to the administrative aspects of national and international conferences. Arrangements for acquisition of conference supplies and equipment, delegation security clearances, requests for issuance of travel orders and passports, delegation travel and lodging arrangements, and other administrative activities undertaken by the U.S. for each conference. Arranged by organization.

Temporary. Cut off at end of calendar year. Destroy 3 years after end of conference. (Ref. N1-59-93-31, item 6 and N1-59-93-31, items 9, 15, and 21 and N1-59-92-38, item 3)

b. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

5. Chronological Files

- a. Chronological files of the Assistant Secretary and Deputy Assistant Secretaries. Arranged by calendar year in reverse chronological order, most recent date in front.

Permanent. Cut off at end of calendar year. Hold in current file area or retire to Records Service Center 1 year after closure. Transfer to WNRC when 5 years old. Transfer to National Archives 25 years after closure.
(Ref. N1-383-97-1, item 2a and N1-59-93-31, item 5)

- b. Chronological Files at Office Level

Permanent. Cut off at end of calendar year. Retire when 2 years old to Records Service Center. Transfer to WNRC when 10 years old. Transfer to National Archives when 25 years old in five-year blocks.
(Ref. N1-59-92-37, item 4)

- c. All other bureau components.

Temporary. Cut off at end of calendar year. Hold in current file area for 1 year, then destroy.
(Ref. N1-383-97, item 2b and N1-59-92-38, item 8)

- d. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

6. Subject Files

- a. Substantive Files of the Assistant Secretary and Deputy Assistant Secretaries relating to specific subjects or topics that establish, discuss, or define policies related to nonproliferation, nuclear energy and energy technology, international safeguards, nuclear export controls, nuclear cooperative agreements, and international initiatives in energy technology matters. May include correspondence, forms, reports, analyses, studies, position papers, cables and other related records. Arranged alphabetically by subject.

Permanent. Cut off at end of calendar year. Retire to Records Service Center when 5 years old. Transfer to WNRC when 10 years old. Transfer to National Archives when 25 years old in five-year blocks.
(Ref. N1-383-97-1, item 3a, and N1-59-93-31, items 1 and 3)

- b. Substantive Office files relating to specific subjects or topics that establish, discuss, or define policies related to nonproliferation, nuclear energy and energy technology, international safeguards, nuclear export controls, nuclear cooperative agreements and initiatives, Science Centers, and supercomputers. Also includes documentation pertaining to the commercial and non-commercial development, testing, sale, export, use, and misuse of chemical and biological weapons and missile technology.

Permanent. Cut off at end of calendar year. Hold in current file area and retire to Records Service Center when 5 years old. Transfer to WNRC when 10 years old. Transfer to National Archives when 25 years old in five-year blocks. (Ref. N1-59-93-31, items 7, 13, and 19 and N1-59-92-37, item 1 and N1-59-92-38, item 1)

- c. Non-substantive files that pertain to administrative/housekeeping matters or consist of documents that are duplicates or reference copies.

Temporary. Destroy when no longer needed for current business. (Ref. N1-383-97-1, item 3b)

- d. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

7. Treaty Negotiation Subject Files

a. Files relating to the negotiations of treaties and agreements related to nonproliferation and use of nuclear energy; 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 nonproliferation. Files are maintained at the office level and are organized alphabetically by subject, or chronologically by negotiation round.

Permanent. Close at end of negotiation round or at end of calendar year. Hold in current file area for 1 year or until end of negotiation round and retire to Records Service Center. Transfer to WNRC 5 years after closure or when no longer needed, whichever is sooner. Transfer to National Archives 25 years after closure.
(Ref. N1-383-97-1, item 4 and N1-59-93-31, item 16)

b. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

8. Agreement Reference Files

Files contain full and partial text copies of bilateral and multilateral agreements on nuclear nonproliferation and chemical, biological and missile weaponry, and are maintained separately from subject files as a collection used for reference purposes only. Arranged chronologically by subject.

Temporary. Destroy when no longer needed for reference.
(Ref. N1-59-93-31, items 11, and 17 and N1-59-92-38, item 4)

9. Country Files

a. Files are maintained at the Deputy Assistant Secretary and office level and contain individual country data on nonproliferation, nuclear exports and specific export control issues, export control lists, and application of international safeguards, peaceful nuclear cooperative initiatives, nuclear energy and energy technology affairs, nuclear export control policies, and chemical and biological weapons and missile technology matters. Files include correspondence, briefing papers, cables, reports, memorandums, background material, and intelligence assessments of a country's nuclear policy and nuclear programs as well as decisions taken on nuclear cooperative and safeguard matters and chemical and biological weapons and missile technology. Arranged chronologically by country.

Permanent. Cut off at end of calendar year. Retire to Records Service Center when 5 years old. Transfer to WNRC when 10 years old. Transfer to National Archives 25 years after closure.
(Ref. N1-383-97-1, item 13 and N1-59-95-13, item 5 and N1-59-93-31, items 1, 3, 7, 13, and 19 and N1-59-92-38, item 1)

b. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

10. Interagency Committee Files

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

a. The bureau is Chair/Secretariat:

Permanent. Cut off at end of calendar year. Hold in current file area 1 year after closure and then retire to Records Service Center. Transfer to WNRC when 5 years old or no longer needed for administrative purposes, whichever is sooner. Transfer to National Archives 25 years after closure. (Ref. N1-383-97-1, item 18a)

b. The bureau is not Chair/Secretariat:

Temporary. Destroy when no longer needed for current business. (Ref. N1-383-97-1, item 18b)

c. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

11. Arms Transfer Case Files

a. Files are maintained at the Deputy Assistant Secretary and office level. Files contain information required for review and approval of request for export of dual-use weapons and weapons of mass destruction. Files are maintained chronologically by month/year.

Permanent. Close files at end of each Administration. Retire to Records Service Center when 5 years old. Transfer to WNRC when 10 years old or when no longer needed for administrative purposes, whichever is sooner. Transfer to National Archives when 25 years old. (Ref. N1-387-97-1, item 12a)

b. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

12. Information Report Files

Files of Congressional mandated reports, summaries or analyses. Arranged chronologically.

a. Office of Record maintains original versions of each report and substantive drafts of each report.

Permanent. Close files upon submission of report. Hold in current file area for 1 year and retire to Records Service Center. Transfer to WNRC 5 years after submission of report. Transfer to National Archives when 25 years old (Ref. N1-383-78-1, item 4 and N1-383-97-1, item 15)

b. All other office copies of drafts or final versions of each report.

Temporary. Destroy when no longer needed for reference. (New item)

c. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

13. Program Files for Wassenaar Arrangements

a. Files contain information documenting U.S. negotiations with Wassenaar Arrangements and with any successor organization with respect to efforts to restrain the sale of arms, critical dual-use industrial products, and related technologies to countries or regions that might pose a threat to international peace and security. Negotiations concern changes to export control lists and other general policy issues. Contain cables, memoranda, other reports, activity reports, etc. Information is arranged by technology categories, specific negotiations, export control lists, subjects, etc.

Permanent. Cut off at end of calendar year. Hole in current file area and retire to Records Service Center when 3 years old. Transfer to WNRC when 10 years old. Transfer to National Archives when 25 years old. (Ref. N1-59-95-13, item 1)

b. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

14. Supercomputer Files

a. Subject Files. Contain historical and other background material on bilateral or multilateral negotiations on the supercomputer export control regime and its procedures governing the sale of super computers to different countries. Contain information on interagency groups, committees, private industry and other organizations. Consists of cables, memoranda, and other reports.

Permanent. Cut off annually. Retire when 3 years old to Records Service Center. Transfer to WNRC when 10 years old. Transfer to the National Archives when 25 years old. (Ref. N1-59-95-13, item 3a)

b. Interagency Working Group Meetings. File contains information on the working group meetings, including the Supercomputer Working Group. Includes meeting agendas, other agencies' views, and proposals for negotiations with other countries on general export policies for supercomputers and views on specific cases.

Permanent. Cut off at end of calendar year. Retire when 3 years old to Records Service Center. Transfer to WNRC when 10 years old. Transfer to National Archives when 25 years old. (Ref. N1-59-95-13, item 3c)

c. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

15. Electronics, Telecommunications, and Encryption Files

a. Subject files. Contain historical and other background material on bilateral or multilateral negotiations on the transfer of advanced electronic devices and systems and manufacturing equipment, telecommunications systems, and encryption technology. Contain information on interagency groups, committees, private industry and other organizations. Consists of cables, memoranda, other reports, etc.

Permanent. Cut off at end of calendar year. Retire when 3 years old to the Records Service Center. Transfer to the WNRC when 10 years old. Transfer to the National Archives when 25 years old. (Ref. N1-59-95-13, item 4a)

b. Interagency or Working Group Meetings. Information on working group meetings, including meeting agendas, other agencies' views and proposals for policy initiatives and negotiations with other countries on export of electronics, telecommunications, and encryption products.

Permanent. Cut off at end of calendar year. Hold in current file area and retire when 3 years old to the Records Service Center. Transfer to the WNRC when 10 years old. Transfer to the National Archives when 25 years old. (Ref. N1-59-95-13, item 4c)

c. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

16. Remote Sensing Files

a. Subject Files. Contain historical and other background material on bilateral or multilateral negotiations on the transfer of advanced remote sensing devices and systems and manufacturing equipment. Includes information on interagency groups, committees, private industry and other organizations. Consists of cables, memoranda, and reports. (New item)

Permanent. Cut off at end of calendar year. Retire when 3 years old to the Records Service Center. Transfer to WNRC when 10 years old. Transfer to the National Archives when 25 years old.

b. Interagency Working Group Meetings. Information on working group meetings, including meeting agendas, other agencies' views and proposals for policy initiatives and negotiations with other countries on export of remote sensing products. (New item)

Permanent. Cut off at end of calendar year. Hold in current file area and retire when 3 years old to the Records Service Center. Transfer to WNRC when 10 years old. Transfer to the National Archives when 25 years old.

c. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

17. Technology Transfer Working Group

Files consist of material related to the work of an interagency working group responsible for assigning action on intelligence issues and reporting requirements. Contains only minutes of the meetings, which are stored only in secure space in INR.

- a. Subject Files. Minutes of meetings and other documentation of the Technology Transfer Working Group.

Permanent. Cut off at end of calendar year. Hold in current file area 5 years and retire to Records Service Center. Transfer to National Archives SCI storage when 25 years old.

- b. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

18. Export Case Files

- a. Files contain copies of export license application of Nuclear Regulatory Commission, Department of Commerce and commercial origin, telegrams, airgrams, memoranda, technical reports, and other related material supporting the NP position on the export of nuclear materials, the export of chemical and biological weapons and missiles and missile technology. Arranged by case number and/or country.

Permanent. Cut off when case is closed. Hold in current file area and retire to the Records Service Center 3 years after case is closed. Transfer to WNRC when 10 years old. Transfer to National Archives when 25 years old in five-year blocks. (Ref. N1-59-93-31, item 10 and N1-59-92-38, item 6)

- b. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

19. Background/Briefing Books

- a. Files consist of books prepared for bilateral, multilateral, and interagency meetings and conferences and congressional hearings. Contains meeting agendas, delegation lists, intelligence reports, policy and position papers, and reference material documenting U.S. policy on nuclear export, environmental protection, and chemical, biological, and missile weaponry.

1. Master Copy

Permanent. Cut off at end of calendar year. Hold in current file area and retire to Records Service Center when 3 years old. Transfer to WNRC when 10 years old. Transfer to National Archives when 25 years old in five-year blocks. (Ref. N1-59-93-31, items 12a and 18a and N1-59-92-38, item 7a)

2. Extra Copies

Temporary. Destroy when one year old. (Ref. N1-59-93-31, items 12b and 18b and N1-59-92-38, item 7b)

- b. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

20. Technical Reference Files

Files contain publications, reports and other background information maintained separately from subject files as a collection of reference material only.

Temporary. Destroy when no longer needed for reference. (Ref. N1-59-93-31, item 22)

21. International Science Technology Centers (ISTC) Proposal File

Files contain proposals submitted by companies, universities, individuals, etc. identifying projects consisting of scientific experiments; research and studies to be undertaken by the International Science Technology Centers (ISTC) located in Russia and the Ukraine.

a. Proposals that are accepted.

Temporary. Cut off upon completion of project. Hold in current file area and retire to Records Service Center 3 years after completion of the project. Destroy when 10 years old. (Ref. N1-59-93-3, item 1a)

b. Proposals that are rejected.

Temporary. Destroy when 1 year old. (Ref. N1-59-93-3, item 1b)

c. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

22. Resumes for the International Science Technology Centers (ISTC)

Files contain resumes from scientists and engineers to work in the ISTCs with the Russian counterparts.

Temporary. Cut off at end of calendar year. Hold in current file area and destroy when 3 years old. (Ref. N1-59-93-3, item 2)

23. Program Files

a. International Science Technology Centers.

Files contain information on the negotiations and final agreement amongst the countries involved in the development of these technology centers, which will be located in Russia and the Ukraine. In addition to the negotiations for the final agreement, the files contain operation issues such as budget, personnel, equipment and facilities. Information consists of telegrams, memorandums, faxes, reports, proposals, etc.

Permanent. Retire 3 years after signing of the agreement to the Records Service Center. Transfer to the National Archives when 25 years old in five-year blocks. (Ref. N1-59-93-3, item 3a)

b. Nuclear Reactor Safety Program

Files consist of materials related to the coordination of U.S. initiatives to improve the safety of nuclear reactors located in the former Soviet Union and eastern bloc countries. Contains telegrams, memorandums, faxes, reports, proposals, etc.

Permanent. Retire when 3 years old to the Records Service Center. Transfer to the National Archives when 25 years old in five-year blocks. (Ref. N1-59-93-3, item 3b)

c. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

24. Clearance Files

a. Files contain incoming requests from other offices for clearances on cables, memorandums and reports. The office's outgoing response is filed with the request.

Temporary. Destroy when 2 months old. (Ref. N1-59-93-3, item 4)

b. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

25. Press Information

a. Files consist of press clips, press guidance and questions and answers that pertain to the programs of offices involved.

Temporary. Destroy when 2 years old. (Ref. N1-59-93-3, item 6)

b. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

26. Text Conforming Files

- a. Files contain materials related to negotiations on the language of the ISTC agreements and STCU amongst the participating countries.

Permanent. Cut off at signing of agreement. Hold in current file area and retire 3 years after the signing of the agreement to the Records Service Center. Transfer to the WNRC 10 years after the signing of the agreement. Transfer to the National Archives when 25 years old in five-year blocks. (Ref. N1-59-93-3, item 7)

- b. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

27. United Nations Special Commission (UNSCOM)

- a. Files consist of materials related to participation in UNSCOM activities monitoring Iraq's military operations, nuclear weapons issues, nonproliferation treaty, arms control and export control policies. Information includes cables, memorandums, correspondence, reports, etc. Arranged by subject. File became inactive December 1999.

Permanent. Hold in current file area and retire to the Records Service Center when 10 years old. Transfer to WNRC when 20 years old. Transfer to the National Archives when 25 years old in five-year blocks. (Ref. N1-59-92-37, item 2)

- b. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

28. United Nations Monitoring, Verification, and Inspection Commission (UNMOVIC) Files

a. Files consist of materials related to participation in UNMOVIC activities monitoring Iraq's compliance with UN Security Council resolutions to fully declare and destroy all weapons of mass destruction and long-range ballistic missile systems. Information includes cables, memorandums, correspondence, reports, etc. Arranged by subject. Covers period from March 1999 to present.

Volume on hand	10 cubic feet
Growth	2 cubic feet annually

Permanent. Hold in current file area and retire to the Records Service Center when 10 years old. Transfer to WNRC when 20 years old. Transfer to National Archives when 25 years old in five-year blocks. (New item)

b. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

29. International Atomic Energy Agency (IAEA) Action Team Files

a. Files consist of materials related to participation in IAEA activities monitoring compliance with UN Security Council resolutions to fully declare and destroy Iraq's nuclear weapons program. Information includes cables, memorandums, correspondence, reports, etc. Arranged by subject. Covers period June 1991 to present. (New item)

Volume on hand	5 cubic feet
Growth	2 cubic feet annually

Permanent. Hold in current file area and retire to Records Service Center when 10 years old. Transfer to WNRC when 20 years old. Transfer to the National Archives when 25 years old in five-year blocks.

b. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)

30. Historical Records

a. Files contain information on the negotiations of computer export control issues. Includes cables, memorandums, correspondence, reports, agreements, etc. identifying the Department of State's policies and positions for domestic companies' sales of technical equipment to foreign countries and companies. Arranged by country and subjects.

Permanent. Cut off at end of calendar year. Hold in current file area and retire to Records Service Center when 10 years old. Transfer to National Archives when 25 years old in five-year blocks. (Ref. N1-59-92-37, item 3)

b. Electronic copies created on electronic mail and word processing systems.

Temporary. Delete after recordkeeping copy has been produced. (New item)