

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408	
1. FROM (Agency or establishment) Department of State	
2. MAJOR SUBDIVISION Bureau of Political-Military Affairs (PM)	
3. MINOR SUBDIVISION Office of Regional Security and Arms Transfers	
4. NAME OF PERSON WITH WHOM TO CONFER Alice S. Ritchie	5. TELEPHONE (202) 261-8511

LEAVE BLANK (NARA use only)	
JOB NUMBER NI-59-01-21	
DATE RECEIVED 8/28/01	
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
DATE 7-26-02	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i>

**6. 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 on the attached \_\_\_\_\_ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required;  is attached; or  has been requested.

DATE 04-24-02	SIGNATURE OF AGENCY REPRESENTATIVE Margaret G. Peppe <i>Margaret G. Peppe</i>	TITLE Division Chief, A/RPS/IPS/PP
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See continuation pages.  This schedule reflects changes required by NARA as described in a memorandum dated April 8, 2002.		

*SH Sent copies to Agency, NARA, NARA*

April 19, 2002

**BUREAU OF POLITICAL-MILITARY AFFAIRS (PM/RSAT)**

**Office of Regional Security and Arms Transfer**

**1. Program Files**

a. File is arranged by country, subject or program and contains information on defense relations and security assistance programs under the Arms Export Control Act and other legislation relating to bilateral defense, foreign military sales, legislation, budget support, base negotiations, and treaties. Files contain cables, general correspondence, congressionals, memorandums, etc.

Permanent. Cutoff at end of calendar year. Hold in current file area for two years. Retire to Records Service Center when three years old. Transfer to the National Archives when 25 years old in five-year blocks. (Ref. 59-92-31, item 1 and N1-59-92-35, item 1)

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

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

**2. Third Party Transfer Files**

a. Case files on the purchase of military equipment by a foreign government to retransfer, lease, or sale to another government or private entity. Files are arranged by country and consist of general correspondence, Congressionals, cables, memorandums and final approval.

Permanent. Hold in current file area and retire to Records Service Center when five years old. Transfer to National Archives when 25 years old in five-year blocks. (Ref. N1-59-92-31, item 2)

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

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

**3. 36B Transfer Files**

a. Case files on PM's clearances for requests of arms sales of \$14 million or higher to foreign countries. Arranged by case number (assigned by DOD) and contains incoming and outgoing correspondence on the request.

Temporary. Destroy when 20 years old. (Ref. N1-59-92-31, item 3)

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

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

**4. 36B Case Log**

Log on all incoming requests for arms sales. Contains incoming case number, country, value description, approving officer, date received, date of OMB/NSC clearance, etc.

Temporary. Destroy when no longer needed. (Ref. N1-59-92-31, item 4)

## **5. Clearance for Bureau of Alcohol, Tobacco, and Firearms**

- a. File contains requests by countries on the prescribed list for permits to import U.S. arms into their country.

Temporary. Cutoff when request complete. Hold in current file area for 2 years and retire to Records Service Center. Destroy when 12 years old. (Ref. N1-59-92-31, item 6)

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

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

## **6. Foreign Military Sales (FMS) List**

- a. File contains lists received daily from DOD requiring PM/RSAT approval of arms sales, services or training.

Temporary. Retire when two years old to Records Service Center. Destroy when 20 years old. (Ref. N1-59-92-31, item 8)

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

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

## **7. Military Excess Defense Articles**

- a. File contains materials of interagency committee responsible for offering excess military equipment to other countries. Information is arranged by sections of the Security Assistance Program.

Temporary. Destroy when five years old. (Ref. N1-59-92-31 item 11)

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

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

## **8. Security Assistance Officer Nomination**

- a. File contains nominations for Security Assistance Officer positions located in U.S. embassies. Consists of cables, memorandums and correspondence.

Temporary. Destroy when three years old. (Ref. N1-59-92-31, item 12)

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

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

## **9. Daily Activity Report**

- a. File contains summary of daily activities submitted to the Front Office.

Temporary. Destroy when one year old. (Ref. N1-59-92-31, item 14)

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

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

## **10. Policy Files**

- a. Files documenting the policies pertaining to defense trade relations, defense trade promotion, export controls, defense controls, technology transfers and other issues monitored by PM/RSAT. Files are arranged by country, subject, or programs and contain cables, memorandums, diplomatic notes, briefing papers, etc.

Permanent. Retire to Records Service Center when 10 years old in five-year blocks. Transfer to the National Archives when 25 years old in five-year blocks. (Ref. N1-59-92-33, item 1)

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

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

## **11. Briefing Books**

- a. File contains briefing reports prepared by PM/RSAT on defense trade issues. File is arranged by country.

Permanent. Hold in current file area and retire to the Records Service Center when three years old. Transfer to the National Archives when 25 years old in five-year blocks. (Ref. N1-59-92-33, item 3a)

- b. File contains briefing reports prepared by other agencies on defense trade issues. File is arranged by country.

Permanent. Hold in current file area and retire to Records Service Center when three years old. Transfer to the National Archives when 30 years old in five-year blocks. (Ref. N1-59-92-33, item 3b)

- c. Electronic copies produced on electronic mail and word processing systems.

Temporary. Delete once recordkeeping copy has been produced. (New items)

## **12. Munitions Controls Export License Approval Documentation Files**

a. File contains PM/RSAT's clearance on requests by private companies to export defense-related items. Only PM/RSAT's response is filed.

Temporary. Destroy when 5 years old. (Ref. N1-59-92-33, item 4a)

b. Specific case files related to either certain countries or specific issues, i.e. missiles, radiation, etc.

Permanent. Block Annually. Retire to the Records Service Center when three years old. Transfer to the National Archives when 25 years old in five-year blocks. (Ref. N1-59-92-33, item 4b)

c. File contains requests for PM/RSAT approval for commercial export of military supplies and equipment. Request is submitted by PM/DTC and is filed by case number.

Temporary. Destroy when one year old. (Ref. N1-59-92-31, item 7)

d. Electronic copies produced on electronic mail and word processing systems.

Temporary. Delete once recordkeeping copy has been produced. (New items)

## **13. Public Inquiries**

a. File contains materials on U.S. companies requesting information on munitions licensing policies or procedures. File is arranged by company.

Temporary. Hold in current file area and retire when one year old to the Records Service Center. Destroy when five years old. (Ref. N1-59-92-33, item 5)

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

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

## **14. Daily Activity Reports**

a. File contains summary of daily activities of PM/RSAT.

Temporary. Hold in current file area and destroy when one year old. (Ref. N1-59-92-33, item 6)

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

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

## **15. Memorandum of Understanding (MOU)**

- a. File contains memorandums between two or more governments and NATO on the cooperation, development, research or production of weapon systems. File is arranged by year and then alphabetically by subject of the MOU.

Permanent. Block annually. Retire to the Records Service Center five years after agreement has been signed. Transfer to the National Archives when 25 years old in five-year blocks. (Ref. N1-59-92-33, item 7)

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

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

## **16. Office Reference Material**

- a. File contains materials created on specific issues to be used as a reference tool for future occurrences, e.g. testimonies, speeches, travel, studies, etc.

Temporary. Destroy when no longer needed. (Ref. N1-59-92-33, item 9)

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

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

## **17. Chronological Files**

- a. File contains extra copies of outgoing correspondence located in the Program files of the office.

Temporary. Destroy when one year old. (Ref. N1-59-92-33, item 11)

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

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

## **18. Reference Documents – Defense Trade Advisory Group**

- a. File contains general information supporting the existence of the Defense Trade Advisory Group (DTAG). Includes copies of the charter, legal authorization, bi-laws, meeting proceeds, policy issues, budget and other background material.

Permanent. Hold in current file area. Retire a master set to the Records Service Center when five years old. Transfer to the National Archives when 25 years old. (Ref. N1-59-92-33, item 12)

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

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

## **19. DTAG Membership Files**

a. File contains background information on the members of the DTAG and is arranged alphabetically and by working groups. Includes resumes, nomination letters, acceptance notification, security clearances, membership lists, etc.

Temporary. Destroy one year after tenure as member. (Ref. N1-59-92-33, item 13)

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

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

## **20. DTAG Briefing Books**

a. File contains master set of briefing books relating to DTAG prepared for Front Office principals, consisting of agenda, policy issues and papers prepared for meetings, remarks by the principal, and background papers/issues. Also includes correspondence and papers submitted by members of industry commenting on defense related issues or policies that are of interest to the companies.

Permanent. Hole in current file area and retire to Records Service Center when five years old. Transfer to National Archives when 30 years old. (Ref. N1-59-92-33, item 17)

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

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

## **21. DTAG Correspondence Files**

a. File consists of chronological files, form letters, invitation to conferences, Federal Register Notices, and incoming inquiries.

Temporary. Hold in current file area and retire to Records Service Center when two years old. Destroy when five years old. (Ref. N1-59-92-33, item 14)

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

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

## **22. DTAG Administrative Files**

a. File contains information on general administrative issues, i.e. newspaper articles, phone logs, reservations for conference rooms, representation funds, guidelines, etc.

Temporary. Destroy when two years old. (Ref. N1-59-92-33, item 15)

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

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

### **23. National Disclosure Policy Committee (NDPC) – State Department Member Files**

a. File contains official State Department policy on proposed exceptions to the national disclosure policy. Files are arranged by NDPC Case Number. Committee Chairmanship and Secretariat are in the Department of Defense. (1970's - present)

Permanent. Block Annually. Retire to the Records Service Center when ten years old. Transfer to WNRC when 20 years old. Transfer to the National Archives when 25 years old. (Ref. N1-59-92-32, item 2)

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

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

### **24. Military Cooperation Agreements**

a. File contains information on the negotiations with the Gulf Cooperation Council to allow the U.S. to use military facilities in each member country, transport supplies and equipment into the country and conduct joint military exercises. Contains background material, memos, cables, reports, etc. on the U.S. negotiations with the six Middle East countries.

Permanent. Retire one year after the approval of all of the agreements. Transfer to the National Archives 25 years later in five-year blocks. (Ref N1-59-92-35, item 2)

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

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

### **25. Questions and Answers**

a. Electronic file containing questions and answers on political-military issues prepared for the principals for briefings, meetings, press conferences, etc.

Temporary. Delete items when one year old. (Ref. N1-59-92-35, item 6)