

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-059-01-022

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 11/5/2020

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items except the ones listed below are active

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1 is superseded by N1-059-04-004

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER NI-59-01-22	
1. FROM (Agency or establishment) Department of State		DATE RECEIVED 8/28/01	
2. MAJOR SUBDIVISION Bureau of Political-Military Affairs		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION Office of Defense Trade Controls (PM/DTC)		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER Alice S. Ritchie	5. TELEPHONE (202) 261-8511	DATE 8-28-02	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</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 5 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 6/05/02	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 GRS OR SUPERSEDED JOB CITATION	10.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.		

AM *Copy sent Agency, NWMD, NWME, NWMW*

May 20, 2002

BUREAU OF POLITICAL-MILITARY AFFAIRS (PM/DTC)

Office of Defense Trade Controls

1. Arms Export Case Files

a. Electronic copy. Arranged by case number, company and country. Includes Application Form, Certificate of Compliance Letter, in-house and other agencies clearances, and technical reference material describing the export product. Contains the following forms:

DSP-5, Application/License for Permanent Export of Unclassified Defense Articles and Related Unclassified Technical Data (March 1990-present)

DSP-53, International Import Certificate (1982-present)

DSP-61, Application/License for Temporary Import of Unclassified Defense Articles and Related Unclassified Technical Data (January 1990-present)

DSP-73, Application/License for Temporary Export of Unclassified Defense Articles and Related Unclassified Technical Data (February 1990-present)

DSP-85, Application/License for Permanent/Temporary Export or Temporary Import of Classified Defense Articles and Related Classified Technical Data (January 1990-present)

DSP-119, Application for Amendment for License for Export or Import of Classified or Unclassified Defense Articles and Related Technical Data. (1993 to present)

Temporary. Delete when no longer needed. (Ref. N1-59-92-32, item 1a)

b. Paper case files include Application Form, Certificate of Compliance Letter, in-house and other agencies clearances, and technical reference material describing the export product. Contains the following forms:

DSP-5, Application/License for Permanent Export of Unclassified Defense Articles and Related Unclassified Technical Data (March 1990-present)

DSP-53, International Import Certificate (1982-present)

DSP-61, Application/License for Temporary Import of Unclassified Defense Articles and Related Unclassified Technical Data (January 1990-present)

DSP-73, Application/License for Temporary Export of Unclassified Defense Articles and Related Unclassified Technical Data (February 1990-present)

DSP-85, Application/License for Permanent/Temporary Export or Temporary Import of Classified Defense Articles and Related Classified Technical Data (January 1990-present)

DSP-119, Application for Amendment for License for Export or Import of Classified or Unclassified Defense Articles and Related Technical Data. (1993 to present)

Temporary. Cutoff at the end of the year of issuance of license. Retire to Records Service Center two years after cutoff. Transfer to WNRC when five years old. Destroy when 20 years old. (Ref. N1-59-92-32, item 1b)

c. CD-ROM Copy. Extra copy maintained for backup.

Temporary. Delete when no longer needed. (New item)

d. Electronic Index. Index containing data elements such as case number, country, date prepared, and other related items.

Temporary. Delete when no longer needed. (New item)

2. Statistical Reports on Exports

File contains periodic and other required or requested reports relating to arms and munitions exports; including reports required by law to be submitted to Congress or other Government agencies, reports requested by various elements of the Department of State, and reports requested under the Freedom of Information Act.

a. Record copy - either electronic or paper.

Permanent. Block annually. Hold in current file area for five years and then retire to Records Service Center for transfer to WNRC. Transfer to National Archives when 25 years old. (Ref. N1-59-92-32, item 3a)

b. Extra copies.

Temporary. Destroy when ten years old. (Ref. N1-59-92-32, item 3b)

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

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

*Obsolete: These items reflect a print and file process.
Reported on 2/8/19 by Mark Spambetta*

3. Registration Files

a. Files are arranged by case number, company, and country. Includes such things as Form DSP-9, Application for Registration, receipts for registration fees and related correspondence.

Temporary. Cutoff file when company is no longer required to be registered. Retire to Records Service Center one year after cutoff. Destroy 25 years after cutoff. (Ref. N1-59-92-32, item 4)

~~b. Electronic copies produce on electronic mail and word processing systems.~~

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

*Obsolete: See above note
2/8/19*

4. International Traffic in Arms Regulations Files (ITAR)

a. Files are arranged by year and contain amendments developed by the Department of State pertaining to international traffic in arms, Presidential Directives, and related background and working papers.

Permanent. Block annually. Retire to Records Service Center when ten years old for transfer to WNRC. Transfer to National Archives when 25 years old. (Ref. N1-59-92-32, item 5)

~~b. Electronic copies produce on electronic mail and word processing systems.~~

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

*Obsolete: See above note
2/8/19*

5. Procedures Files

- a. Files contain procedures for filling out and submitting applications for various licenses, etc. Maintained in electronic form.

Temporary. Delete when obsolete or no longer needed. (New item)

6. Disclosure Files

- a. Case files are arranged by company or person and contain investigation of companies or individuals suspected of or actual violations of licenses issued for export of armaments.

Temporary. Cutoff when case is closed. Retire to Records Service Center one year after cutoff. Destroy when 25 years after cutoff. (Ref. N1-59-92-32, item 7)

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

Obsolete: These items reflect a print and file process.

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

Reported on 2/18/19 by Mark Sgombettera

7. Commodity Jurisdiction Case Files (CJ)

Case files are arranged by case number and consist of correspondence between companies and Department of State on whether an article is on the U.S. Munitions List.

- a. Paper records.

Temporary. Retire to Records Service Center upon conversion of case file to electronic form. Destroy when 20 years old. (Ref. N1-59-92-32, item 8a)

- ~~b. Electronic copy.~~

Temporary. Delete when no longer needed. (Ref. N1-59-92-32, item 8b)

*Obsolete: See above note
2/18/19*

- c. CD-ROM Copy

Temporary. Delete when no longer needed. (New item)

8. General Correspondence Case Files (GC)

Case files are arranged by case number and include advisory opinions on export policies; nth country transfer requests; designation of U.S. Government Approved Projects; inertial navigation systems (INS) maintenance agreements; and other general subjects (March 1989 – present)

a. Paper records.

Temporary. Retire to Records Services Center upon conversion of case file to electronic form. Destroy when 20 years old. (Ref. N1-59-92-32, item 9a)

~~b. Electronic copy.~~

~~Temporary. Delete when no longer needed. (Ref. N1-59-92-32, item 9b)~~

Obsolete: These items reflect a print and file process. Reported on 2/8/19 by Mark Scambettera

c. CD-ROM Copy.

Temporary. Delete when no longer needed.

9. Manufacturing License and Technical Assistance Agreements

Files are arranged by company name or by case number and contain approved and disapproved agreements and amendments between U.S. and foreign country or company for the manufacture abroad, or the furnishing abroad of technical assistance relating to U.S. Munitions List articles.

a. Agreements arranged by company name, 1955-1982

Permanent. Block annually. Retire to Records Service Center after expiration of agreement. Transfer to WNRC five years after expiration of agreement. Transfer to the National Archives when 25 years old. (Ref. N1-59-92-32, item 10a)

b. Agreements arranged by case number, 1983-present.

Permanent. Block annually. Retire to Records Service Center after expiration of agreement. Transfer to WNRC five years after expiration of agreement. Transfer to the National Archives when 25 years old. (Ref. N1-59-92-32, item 10b)

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

~~Temporary. Delete after recordkeeping copy has been produced.~~

*Obsolete: See above note
2/8/19*

10. Munitions Control System

a. Munitions Control System Database. Database containing a listing of munitions-related items being sent to foreign countries. Data assists in controlling munitions export licenses; maintaining technical data on arms, ammunition, and implements of war, and related materials; and generating reports to Congress on values of munitions control list items licensed. This database is a replacement for a system appraised as permanent. It also serves as an index to the scanned images of paper documents. Included are fields for participants in the transaction, foreign end users, and intermediate companies.

Permanent. Transfer a copy of database to the National Archives immediately. Thereafter, transfer an annual snapshot of the database. (Ref. N1-59-92-32, item 12a)

b. Munitions Control System Database Related Documentation. Includes layouts, codebooks, and other related documentation necessary to understand and use the database. This documentation may be in either electronic or paper form.

Permanent. Transfer to the National Archives at the same time as the related data in item 10a. (N1-59-92-32, item 12b)

c. Scanned images of paper documents. Scanned images of Arms Export Case Files, Commodity Jurisdiction Case Files (CJ), General Correspondence Case Files (GC), and other paper files maintained by PM/DTC and appraised as disposable.

Temporary. Destroy when no longer needed for reference. (Ref. N1-59-92-32, item 12c)

11. Chronological Files

a. File contains extra copies of documents generated by PM/DTC and maintained in electronic form for convenience of reference.

Temporary. Destroy when one year old. (Ref. N1-59-92-32, item 14)

12. Enforcement Files

a. Compliance Files. Files are arranged by subject and contain Section Three Report, other reports, and supporting documentation relating to alleged or actual violations of U.S. arms export control laws and regulations.

Permanent. Cutoff when case is closed. Retire to Records Service Center five years after cutoff. Transfer to WNRC ten years after cutoff. Transfer to National Archives when 25 years old. (Ref. N1-59-92-32, item 17)

b. Administrative Case Settlements. Consent agreements and supporting documentation relating to settlements with U.S. companies regarding violations of U.S. arms export control laws and regulations. (New item)

Permanent. Cutoff when case is closed. Retire to Records Service Center five years after cutoff. Transfer to WNRC ten years after cutoff. Transfer to National Archives when 25 years old. (New item)

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

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

Obsolete: These items reflect a print and file process. Reported on 2/8/19 by Mark Sgambettera