REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK (NARA use only)

JOB NUMBER **NI-59-04-4**

DATE RECEIVED **4/23/04**

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment) Department of State	**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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.
2. MAJOR SUBDIVISION Bureau of Political-Military Affairs	
3. MINOR SUBDIVISION Directorate of Defense Trade Controls (PM/DDTC)	

4. NAME OF PERSON WITH WHOM TO CONFER Alice S. Ritchie	5. TELEPHONE (202) 261-8511	DATE 10-27-04	ARCHIVIST OF THE UNITED STATES John W. Carlin

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 ___4___ 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,

[X] is not required; [ ] is attached; or [ ] has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
April 14, 2004	Margaret G. Peppe *Margaret G. Peppe*	Division Chief, A/RPS/IPS/PP

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 GRS OR SUPERSEDED JOB CITATION	10.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.		

115-109

NSN 7540-00-634-4064
PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)
Prescribed by NARA
36 CFR 1228

Draft 4-6-04

BUREAU OF POLITICAL-MILITARY AFFAIRS (PM/DDTC)

Directorate of Defense Trade Controls

The Defense Trade Application System (DTAS)

DTAS (The Defense Trade Application System) contains no substantive program information. It is an application software system that uses a variety of products to manage the operation of D-Trade and the future Registration/Compliance and Commodity Justification subsystems.

1. D-Trade Electronic Licensing System

The purpose of the D-Trade System is to support the mission and functions of the Directorate of Defense Trade Controls (DDTC). D-Trade is a web-based system intended to acquire, validate, and process munitions export application forms and attachments in an operational environment. DDTC annually adjudicates some 50,000-export requests by industry. Control of arms sales to foreign parties is an integral part of the U.S. ability to safeguard national security and further foreign policy objectives. Pursuant to the Arms Export Control Act (AECA), the International Traffic in Arms Regulations (ITAR), and presidential delegations of authority, the DDTC provides policy advice to U.S. persons involved in the manufacture, export, temporary import, and brokering of defense hardware, services, and related technical data covered by the U.S. Munitions List (USML).

   a. Input

   (1) Arms Export Case Files (Electronic). Electronic submission input remotely from commercial company locations. Includes PKI protected Application Form, Contract or Purchase Order, Certificate of Compliance, in-house and other agencies clearances, and technical reference material describing the export product. Arranged by case type and number, company and country. Also includes information from the following forms:

   DSP-5, Application/License for Permanent Export of Unclassified Defense Articles and Related Unclassified Technical Data (March 26, 2003 to present)

   DSP-61, Application/License for Temporary Import of Unclassified Defense Articles and Related Unclassified Technical Data (2004 to present)

DSP-73, Application/License for Temporary Export of Unclassified Defense Articles and Related Unclassified Technical Data (2004 to present)

DSP-119, Application for Amendment for License for Export or Import of Classified or Unclassified Defense Articles and Related Technical Data (2004 to Present)

TEMPORARY. Delete after input and verification of data into master file or when no longer needed to support the creation or reconstruction of the master file, whichever is later. (Ref. N1-59-01-22, item 1a)

(2) Arms Export Case Files (Paper). 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 to present)

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

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

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

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

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

TEMPORARY. Cutoff after issuance of license. Retire to Records Service Center after cutoff and transfer to WNRC when 5 years old. Destroy when 20 years old. (Ref. N1-59-01-22 item 1b)

b. Master File

Collects and maintains input of form data elements received from company remote locations. Elements of information include date prepared, PM/DDTC

applicant code, country of ultimate destination, probable port of exist from U.S., applicants name, U.S. Government contact information, quantity and description of commodity, munitions list catalog number, value, foreign end user, source or manufacturer of commodity, name and address of foreign consignee and U.S. consignor, purpose for which material is required and to whom license to be sent. License number and period of validity are entered once approval granted and signatures obtained.

TEMPORARY. Cutoff case after issuance of license. Maintain case files on-line or copy completed cases to CD-ROM and retire to Records Service Center when no longer needed for current operations. Delete 20 years after cutoff. (Ref. N1-59-01-22, item 1a)

c. Outputs

> (1) Screens of information related to completed forms and provided in response to DDTC or customer queries. Screens replicate forms and are used to indicate approvals, approvals with provisions, returns without cause and denials with reasons stated.

TEMPORARY. Delete screen information after it is provided to user. (New item)

> (2) Ad-hoc and periodic reports produced in electronic or hardcopy media against any of the data elements and in any arrangement. Includes the Annual 655 Report to Congress, which contains information extracted from D-Trade and put up on DDTC website (www.pmdtc.org) for access by the public. Arranged by country.

TEMPORARY. Delete/destroy reports when superseded by updated or new report. (New item)

> (3) CD-ROM Back-up Copies. Daily, weekly, and monthly backups.

TEMPORARY. Delete when superseded by updated copy. (Ref. N1-59-01-22, item 1c)

d. Documentation

> (1) External and Internal User Manuals prepared to provide descriptive and technical documentation related to the use of the system.

TEMPORARY. Destroy/delete when superseded or 1 year after termination of system. (New item)

(2) System Managers Manual prepared to provide documentation needed to understand the operations of the system. Contains data systems specifications, file specifications, record layouts, and information on systems security and maintenance and support activities.

TEMPORARY. Destroy/delete when superseded or 1 year after termination of system. (New item)