

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
*(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 Politico-Military Affairs

3. MINOR SUBDIVISION  
 Office of Defense Trade Controls (PM/DTC)

4. NAME OF PERSON WITH WHOM TO CONFER  
 Pat Magin

5. TELEPHONE  
 647-6021

LEAVE BLANK (NARA use only)

JOB NUMBER  
 N1-59-92-32

DATE RECEIVED  
 9/27/93

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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  
 10-25-93

ARCHIVIST OF THE UNITED STATES  
*Cindy Huskamp Peterson*

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 8 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: 9/10/93

SIGNATURE OF AGENCY REPRESENTATIVE: *Kenneth H. Rossman*

TITLE: Department of State Records Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See Attachment		

*Copies sent to agency, NN-W, NNT, NCF, NIA 11/2/93*

I. Revised and New Schedules for Office of Defense Trade Controls  
(Originally Office of Munitions Control)

1. ARMS EXPORT CASE FILES (NC1-59-78-12, item 1a,1b)

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)
- a. Electronic copy residing on the optical disk system.

DELETE WHEN NO LONGER NEEDED.

b. Paper Case files

BLOCK ANNUALLY. RETIRE TO RSC AT THE END OF THE YEAR OF ISSUANCE OF LICENSE. TRANSFER TO WNRC WHEN 5 YEARS OLD. DESTROY WHEN 20 YEARS OLD.

2. NATIONAL DISCLOSURE POLICY COMMITTEE (NDPC) - STATE DEPARTMENT MEMBER FILES. (NC1-59-76-14, item 2)

Arranged by NDPC Case Number. Official State Department policy on proposed exceptions to the national disclosure policy. Committee Chairmanship and Secretariat are in the Department of Defense.  
(1970's - Present)

PERMANENT. BLOCK ANNUALLY. RETIRE TO THE RSC WHEN 10 YEARS OLD. TRANSFER TO WNRC WHEN 20 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 30 YEARS OLD.

3. STATISTICAL REPORTS ON EXPORTS (NC1-59-76-14, item 3a & 3b)

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. RETIRE TO RSC WHEN 5 YEARS OLD. TRANSFER TO WNRC WHEN 10 YEARS OLD. TRANSFER TO NATIONAL ARCHIVES WHEN 30 YEARS OLD.

- b. Other copies.

DESTROY WHEN 10 YEARS OLD.

4. REGISTRATION FILES (NC1-59-14, item 4)

Arranged by case number, company and country. Form DSP-9, Application for Registration, Receipts for registration fees and related correspondence.

DESTROY 5 YEARS AFTER EXPIRATION.

5. INTERNATIONAL TRAFFIC IN ARMS REGULATIONS FILES (ITAR) (NC1-59-14, item 5a and NC1-59-78-12, item 2a)

Arranged by year. 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 RSC WHEN 10 YEARS OLD. TRANSFER TO WNRC WHEN 20 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 30 YEARS OLD.

6. SUBJECT AND POLICY FILES (NC1-59-89-24 and NC1-59-78-12, item 2b)

Arranged by subjects. Correspondence, telegrams, airgrams, and other documentation pertaining to international export and import of armaments and reflecting the decisions taken by PM/DTC on international arms traffic matters.

PERMANENT. BLOCK ANNUALLY. RETIRE TO THE RSC WHEN 10 YEARS OLD. TRANSFER TO WNRC WHEN 20 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 30 YEARS OLD.

7. INVESTIGATION FILES (NC1-59-76-14, item 8)

Arranged by company or person. Investigation of companies or individuals suspected of or actual violations of licenses issued for export of armaments. Requests are submitted by Congress, other Government agencies and various elements of the Department of State.

DESTROY WHEN 20 YEARS OLD.

8. COMMODITY JURISDICTION CASE FILES (CJ) (NC1-59-78-12, item 3)

Arranged by case number. Correspondence between companies and Department of State on whether an article is on the U.S. Munitions List.

- a. Paper Records.

Retire to RSC upon conversion of case file to optical disk. Destroy when 20 years old.

- b. Electronic copy residing in optical disk system.

Delete when no longer needed.

9. GENERAL CORRESPONDENCE CASE FILES (GC) (NC1-59-78-12, item 4)

Arranged by case number. Includes 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.

Retire upon conversion of case file to optical disk. Destroy when 20 years old.

b. Electronic copy residing in optical disk system.

Delete when no longer needed.

10. MANUFACTURING LICENSE AND TECHNICAL ASSISTANCE AGREEMENTS (NC1-59-78-12, item 5)

Arranged by Company name or by case number. 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

b. Agreements arranged by case number, 1983-Present

PERMANENT. BLOCK ANNUALLY. RETIRE TO THE RSC AFTER EXPIRATION OF AGREEMENT. TRANSFER TO WNRC 5 YEARS AFTER EXPIRATION OF AGREEMENT. TRANSFER TO THE NATIONAL ARCHIVES WHEN 30 YEARS OLD.

11. LOG BOOKS - THIS SYSTEM HAS BEEN REPLACED WITH MACHINES IDENTIFYING THE LICENSE NUMBERS. (NC1-59-78-12, item 6)

DESTROY 15 YEARS AFTER DATE OF LAST ENTRY.

12. MUNITIONS CONTROL OPTICAL DISK SYSTEM (NC1-59-83-4, item 19)

a. Munitions Control System Database

Database containing a listing of munitions-related items being sent to foreign countries. Data assists in controlling munitions sales licenses; maintaining technical data on arms, ammunitions, and implements of war, and related materials; and generating reports to Congress on values of munitions control list items licensed or shipped. 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.

b. Munitions Control System Database Related Documentation

Layouts, codebooks, and other related documentation necessary to understand and use the database. This documentation may be either electronic or paper in form.

PERMANENT. TRANSFER TO THE NATIONAL ARCHIVES AT THE SAME TIME AS THE RELATED DATA IN ITEM 12(A).

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.

DESTROY WHEN NO LONGER NEEDED FOR REFERENCE.

13. Miscellaneous Correspondence

Arranged by name of company. Routine and general inquiry correspondence not related to a specific arms export case, registration, commodity jurisdiction case, or general correspondence case.

DESTROY WHEN NO LONGER NEEDED.

14. Chronological Files

Extra copies of documents generated by PM/DTC and maintained for convenience of reference.

Destroy when one year old.

**15. ~~Compliance Tracking~~**

~~Electronic tracking of all action items assigned to the Compliance Division, i.e. FOIA, Customs, end check, etc.~~

WITHDRAWN  
for  
separate  
appraisal

~~DELETE 2 YEARS AFTER COMPLETION OF ACTION~~

**16. Compliance Country Files**

Arranged by country. Telegrams, memorandums, reports, and other documentation relating to general policy and specific issues relating to the suspension of licenses to countries for exporting military supplies in violation of arms agreements. May also include files relating to exchanges and visits relating to arms export controls.

PERMANENT. RETIRE WHEN 10 YEARS OLD. TRANSFER TO WNRC WHEN 20 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 30 YEARS OLD.

**17. Enforcement Files**

Arranged by name of company, by name of person, or by subject. Memorandums, reports, correspondence, court documents, clippings, telegrams, licenses or copies of licenses, technical data, and other documentation relating to alleged or actual violations of U.S. arms export control laws and regulations. May include files on general topics such as Iran-Contra and Iraq.

PERMANENT. CUT OFF WHEN ACTIVITY CEASES OR SOONER IF NEEDED AND RETIRE TO RSC. TRANSFER TO WNRC 5 YEARS AFTER CUT OFF. TRANSFER TO THE NATIONAL ARCHIVES WHEN 30 YEARS OLD.

**18. Defense Trade News Publication**

Quarterly bulletin containing articles on issues of interest to the defense community. Articles are submitted by the Bureau of Politico-Military Affairs, other Department of State bureaus and federal agencies involved in the defense industry.

PERMANENT. RETIRE MASTER SET WHEN 5 YEARS OLD. TRANSFER TO WNRC WHEN 10 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 30 YEARS OLD.

19. **Miscellaneous Publications**

Brochures, pamphlets, manuals, and articles generated by PM/DTC for release to the defense community on issues, policies or procedures of the Center for Defense Trade.

PERMANENT. RETIRE MASTER SET WHEN 5 YEARS OLD. TRANSFER TO WNRC WHEN 10 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 30 YEARS OLD.

20. ~~Electronic Addressees Database~~

~~Databases containing addressees for the Defense Trade News by (1) companies who are currently registered with PM/DTC, (2) Other agencies, all U.S. and foreign embassies, Congress, and State and trade associations, and (3) inactive database of those who have been removed from the two previous databases.~~

GRS13  
Item 4

DESTROY WHEN NO LONGER NEEDED.