

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>NI-476-00-1</i> ⁰⁸	
To. NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>8/15/08</i>	
1 FROM (Agency or establishment) US Department of Commerce		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 Industry and Security			
3 MINOR SUBDIVISION Office of Non-Proliferation Controls and Treaty Compliance/Treaty Compliance Division			
4. NAME OF PERSON WITH WHOM TO CONFER Julissa Hurtado	5 TELEPHONE NUMBER 202-482-8093	DATE <i>7/18/08</i>	ARCHIVIST OF THE UNITED STATES WITHDRAWN
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 <u>11</u> page(s) are not needed now for the business for 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, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE <i>7/18/08</i>	SIGNATURE OF AGENCY REPRESENTATIVE 		TITLE 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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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 the attached list of record descriptions and requested Disposition Authorities.		

Office of Non-Proliferation Controls and Treaty Compliance

Treaty Compliance Division

The Treaty Compliance Division (TCD) is responsible for the processing of data declarations and performing inspections under the Chemical Weapons Convention (CWC). On April 25, 1997, the United States ratified the Convention on the Prohibition of the Development, Production, Acquisition, Stockpiling, Transfer and use of Chemical Weapons and on their Destruction. TCD is responsible for the collection, aggregation and validation of declaration data from U.S. Chemical Industry involving chemicals. BIS is the lead agency for CWC inspections conducted at U.S. facilities. TCD acts as the Host Team (HT) and escort of OPCW inspections teams during inspections of U.S. facilities subject to the Chemical Weapons Convention Regulations (CWCRCR), including challenge inspections. TCD also participates in outreach programs to maintain dialogue with industry and to provide education on their rights and obligations under the CWC.

The United States is working towards entry-into force for the Additional Protocol (AP). Signed in 1995, the U.S. Additional Protocol is a bilateral agreement between the United States and the International Atomic Energy Agency (IAEA) that supplements provisions of the U.S.-IAEA Safeguards Agreement by broadening IAEA access to all aspects of the nuclear fuel cycle through declaration and complementary access provisions. BIS will play a key role in U.S. implementation of the Additional Protocol. TCD will manage an Additional Protocol Reporting System (APRS), which will process reports from industry and relevant Departments and compile the U.S. national declaration for transmission to the IAEA. TCD will participate in outreach activities to educate and maintain dialogue with industry on the obligations under the AP.

See the Attached List of Record Descriptions
And Requested Disposition Authorities.

WITHDRAWN

The records identified in this Records Control Schedule supersede the records identified in the BXA/CBTC/TCD/Information Technology Team's Record Control Schedule number N1 476-00-1 signed by the Archivist of the United States on June 22, 2000

TREATY COMPLIANCE DIVISION (TCD)

Paper Program Records

1. Chemical Weapons Convention (CWC) Program files
Records on the agency's regulations, program functions,
meetings and other issues relating to CWC. Records are
filed alphabetically in chronological order.

a. Reports to Congress

Reference copies of reports to U.S. Congress as mandated by
the CWC of 1997.

**Disposition: Temporary - Reference copies. Destroy when
obsolete or superseded.**

b. Directives and Agreements

Records of Federal Register notices, regulations and
legislation creating and modifying major changes, in the
agency's policies, procedures and program functions relating
to CWC. Records of International agreements on the CWC
including the treaty, treaty interpretations and
annexes.

**Disposition: Temporary - Cut off files at end of fiscal
year. Retain on site and destroy when obsolete or
superseded.**

c. Agency and Industry meetings

Records include meeting correspondence within DOC,
government agencies, private contacts and the chemical
industry relating to CWC, Data Declarations, Inspections and
other program issues and interpretations.

**Disposition: Temporary - Cut off files at end of fiscal
year. Destroy when obsolete or when no longer needed for
current business.**

d. CWC Implementation Assistance Programme (IAP)

Provides various background and reference materials to
assist States Parties in implementing treaty requirements,
which includes the CWC declaration, import/export control
obligations under Article VI, and provisions for National
Authorities under Articles VII of the treaty.

**Disposition: Temporary - Retain until superseded or
obsolete, and then destroy.**

e. Chemical Determinations

Records of correspondence and requesting chemical
classifications and/or reporting requirements under the CWC.

Covered by
NI-476-03-2(18)

WITHDRAWN

Disposition: Temporary - Retain in the Treaty Compliance Division for the life of the program. Re-examine every 10 years and destroy when no longer needed for current business.

f. Questions and Answers

Records of various correspondences requesting information or clarification on issues relating to the CWC program.

Disposition: Temporary - Retain in the Treaty Compliance Division for the life of the program. Re-examine every 10 years and destroy when no longer needed for current business.

h. Schedule -1 Advance Notification and Reports

Records of advanced notification and annual reports from the chemical industry informing BIS/TCD of their intent to export chemicals under the Chemical Weapons Convention Regulations (CWCR).

Disposition: Temporary - Retain in the Treaty Compliance Division for the life of the program. Re-examine every 10 years and destroy when no longer needed for current business.

i. End-User Certificates

Records of end-user certificates that are submitted to BIS/TCD via the foreign governments of the import country.

Disposition: Temporary - Retain in the Treaty Compliance Division for the life of the program. Re-examine every 10 years and destroy when no longer needed for current business.

2. TCD Program Operation Records

Records that reflect changes in TCD's program components. Included are executive orders, strategic plans, functional and mission statements, and vital record plan. Records are filed alphabetically by subject.

Disposition: Temporary - Cut off files at end of fiscal year. Retain until superseded or obsolete, and then destroy.

3. Chronological Files

Extra copies of incoming and outgoing correspondence maintained for convenience of reference (example: FOIA request, controlled correspondence, cables, TR's etc...). These files have a longer-term reference value because they serve as a useful index to other files that the office creates. The office will maintain an unclassified and classified chon file.

WITHDRAWN

~~Disposition: Temporary - Cut off files at end fiscal year and destroy after 5 years or when no longer needed for current business.~~

*Covered by
NI-476-03-2(4)*

~~4. Instructional and Procedural Manuals~~

~~Includes standard operating procedures (SOPs), instructional manuals and records for internal use by the Treaty Compliance Division (TCD) staff members. These manuals incorporate CWC treaty guidance, CWC regulations and DOC/BIS/TCD policies.~~

~~a. Inspection Site Manuals~~

~~Records of inspections, which includes pre inspection documents (notifications, consent form, mandate and TEI report); host and inspection team's documents (rooster, control logs, sit reps, IT inspection plan, draft Preliminary Findings Report, Preliminary Findings Report and Final Inspection Report); post inspection documents (reimbursable expenses report, cost estimate, letter to site and final report) and plant site/inspection assessments documents (after action report, SAV reports etc..)~~

~~Disposition: Temporary - Retain in the Treaty Compliance Division for the life of the program. Re-examine every 10 years and destroy when no longer needed for current business.~~

~~b. CWC Declaration SOP~~

~~Provides standard procedures and guidance for processing S-1, S-2, S-3 and UDOC data declarations and reports.~~

~~Disposition: Temporary - This manual is revised as new procedures are established. Retain until superseded or obsolete, and then destroy.~~

~~c. CWC Inspection SOP~~

~~Provides standard operating procedures and CWC treaty guidance for industry inspections.~~

~~Disposition: Temporary - This manual is revised as new procedures are established. Retain until superseded or obsolete, and then destroy.~~

~~d. CWC Travel SOP~~

~~Includes procedures and guidance on the processing of travel orders and voucher for CWC inspections.~~

~~Disposition: Temporary - This manual is revised as new procedures are established. Retain until superseded or obsolete, and then destroy.~~

~~e. Sampling and Analysis SOP~~

WITHDRAWN

Includes instructions and policy on sampling and analysis during OPCW challenges inspections.

Disposition: Temporary - This manual is revised as new procedures are established. Retain until superseded or obsolete, and then destroy.

f. AP Declaration SOP

Provides standard procedures and guidance for processing data declarations and reports.

Disposition: Temporary - This manual is revised as policy is updated or established. Retain until superseded or obsolete, and then destroy.

g. AP Inspection SOP

Provides standard operating procedures and CWC treaty guidance for industry inspections.

Disposition: Temporary - This manual is revised as policy is updated or established. Retain until superseded or obsolete, and then destroy.

h. Challenge Inspection Manual

Provides standard operating procedures and CWC treaty guidance for industry challenge inspections.

Disposition: Temporary - This manual is revised as policy is updated or established. Retain until superseded or obsolete, and then destroy.

i. Article VI - Inspection Guidance Manual

This manual provides policy documents on CWC related subjects (i.e. ambiguities/IFA, CBI, sampling and analysis, plant site delineation, site security, records review, mandates, cameras and photography, safety, information control, etc...).

Disposition: Temporary - This manual is revised as policy is updated or established. Retain until superseded or obsolete, and then destroy.

j. TCD Record Keeping Manual

Provides the fundamental concept of the records management program and instructions on the use of Documentum (formerly Foremost) electronic recordkeeping system. Documentum complies with DOD 507.2 standard, which is endorsed by NARA. New pages are inserted to replace those that are obsolete.

Disposition: Temporary - Retain until superseded or obsolete and then destroy.

WITHDRAWN

k. General System Operational Manual

Provides instructions for the general use and operations of TCD's computer systems.

Disposition: Temporary - Retain until superseded or obsolete and then destroy.

6. Additional Protocol (AP) Program Files

Signed in 1998, the U.S. Additional Protocol (AP) is a bilateral agreement between the U.S. and the International Atomic Energy (IAEA). Records reflect the agency's regulations, policies, procedures and program functions, agency and industry meetings relating to the Additional Protocol. Records are filed alphabetically in chronological order.

a. Reports to Congress

Reference copies of reports to U.S. Congress.

Disposition: Temporary - Retain until superseded or obsolete and then destroy.

b. Directives and Agreements

Records of Federal Register notices, regulations and legislation creating and modifying major changes, in the agency's policies, procedures and program functions relating to AP. Records of international agreements on the AP including the treaty, treaty interpretations and annexes.

Disposition: Temporary - Cut off files at end of calendar year. Destroy when no longer needed for current business.

c. Agency and Industry meetings

Records include meeting correspondence within DOC, government agencies, private contacts and the chemical industry relating to the AP, data declarations, inspections and other program issues and interpretations.

Disposition: Temporary - Cut off files at end of calendar year. Destroy when no longer needed for current business.

7. Outreach Program

Workshops and seminars conducted by TCD staff to educate industry of their obligations under both the Chemical Weapon Convention (CWC) and the Additional Protocol (AP) programs. Records include presentation slides, registration logs, questionnaires, hand-outs and publications.

Disposition: Temporary - Destroy when superseded or obsolete.

8. Biological Weapons Convention (BWC) Program Files

WITHDRAWN

Records related to policies, meetings and other BWC issues.
Records are filed alphabetically in chronological order.

Disposition: Temporary - Cut off files at end of calendar year. Retain until superseded or obsolete, and then destroy.

9. Company Files

Company cases and CW production cases which involve decisions, advice and/or OEE pending actions on matters related to CWC that may have set statute for future events.

Disposition: Temporary - Retain in the Treaty Compliance Division for the life of the program. Re-examine every 10 years and destroy when no longer needed for current business.

10. Subject Files

Records of communication between DOC and interagency generated by TCD director or staff members on CWC, AP or other issues related to TCD.

Disposition: Temporary - Destroy when no longer needed for current business.

*Covered by
NI-476-03-2(1)*

11. Export License Applications and Supporting Documentation

Applications and supporting documentation for the export of chemicals and chemical equipment as specified under the Export Administration Regulation.

Disposition: Temporary - Supporting documentation will be submitted to the licensing support staff along with a "Marrs Batch Sheet" for imaging. Destroy working copies when no longer needed for current business or when 1 year old, whichever ever is sooner.

*Covered by
NI-476-03-2(7)*

12. Working Paper Files: Paper files maintained by individual staff members that consist of background materials, working papers, extra copies, drafts, and technical specs or reference materials pertaining to individual assignments or projects.

Disposition: Temporary - Destroy on site when no longer needed for current business.

*COVERED by
NI-476-03-2(23)*

WITHDRAWN

TREATY COMPLIANCE DIVISION (TCD)

Information Systems

1. CWC Information Management System Redesign (IMSR):

Processes CWC Data Declarations (Schedules 1, 2, 3 & UDOC), reports, and support documentation. The IMSR is use to process, validate, store, and aggregate CWC data from U.S. chemical facilities that produce, process or consume dual-use chemicals to ensure that the U.S. complies with its obligations under the treaty. The IMSR fulfills Government Paperwork Elimination Act (GPEA).

a. Recordkeeping copy - paper

Disposition: Temporary - Cut off file at end of calendar year. Retain original copies on site for 5 years and then destroy when 7 years old.

b. Data files - index of images

Disposition: Temporary - Cut off file at end of calendar year. Store off-line on CD for 5 years and destroy when 7 years old.

c. Documentation - Information Management System Redesign (IMSR)

Instructional Manual provides guidance for operating the IMSR and it also provides an overview of the program. The manual is for internal use by TCD staff members. The manual is revised as new procedures are established. New pages are inserted to replace those that are obsolete.

Disposition: Temporary - Retain until superseded or obsolete, and then destroy.

d. Images - tiff files

Temporary: Cut off file at end of calendar year. Store off-line on CD for 5 years and destroy when 7 years old.

e. Output - Reports - management reports and ad hoc reports generated by TCD.

Disposition: Temporary - Retain until superseded or obsolete, and then destroy.

2. Additional Protocol Reporting System (APRS):

Processes AP declarations and reports from industry and relevant Departments. The national declaration is compiled for transmission to the International Atomic Energy

WITHDRAWN

Agency (IAEA). The APRS fulfills Government Paperwork Elimination Act (GPEA).

a. Recordkeeping copy - paper

Disposition: Temporary - Cut off file at end of calendar year. Store off-line on CD for 5 years and destroy when 7 years old.

b. Data files - index of images

Disposition: Temporary - Cut off file at end of calendar year. Store off-line on CD for 5 years and destroy when 7 years old.

c. Documentation: AP Reporting System (APRS)

Instructional Manual provides guidance for operating the APRS and it also provides an overview of the program. The manual is for internal use by TCD staff members. The manual is revised as new procedures are established. New pages are inserted to replace those that are obsolete.

Disposition: Temporary - Retain until superseded or obsolete, and then destroy.

d. Images - tiff files

Disposition: Temporary - Cut off file at end of calendar year. Store off-line on CD for 5 years and destroy when 7 years old.

e. Output - Reports

Management reports and ad hoc reports generated by TCD.

Disposition: Temporary - Retain until superseded or obsolete, and then destroy.

3. Documentum Recordkeeping System is an electronic record keeping system: TCD program records are scanned, filed and maintained in Documentum.

a. Recordkeeping copy; paper

Disposition: Temporary - Cut off file at end of calendar year. Retain original copies on site for 5 years and destroy when 7 years old.

b. Data files - index of images

Disposition: Temporary - Cut off file at end of calendar year. Store off-line on CD for 7 years and destroy when no longer needed for current business.

WITHDRAWN

c. Documentation: Documentum Recordkeeping Overview and Search SOP provides guidance for operating Documentum and provides an overview of how to file and maintain documents. The manual is for internal use by TCD staff members. The manual is revised as new procedures are established. New pages are inserted to replace those that are obsolete.

Disposition: Temporary - Retain until superseded or obsolete, and then destroy.

d. Images - tiff files

Disposition: Temporary - Cut off file at end of calendar year. Store off-line on CD for 7 years and destroy when no longer needed for current business.

e. Output - Reports - management reports and ad hoc reports generated by TCD.

Disposition: Temporary - Retain until superseded or obsolete and then destroy

4. Electronic Mail (email) and Word Processing System

Copies:

Email that reflects agency business is treated like paper records and is preserved and disposed of in accordance to TCD's approved records schedule. Once an email is determined to be a record, it is filed with related records. To ensure proper documentation is retained, email messages are printed with attachments along with transmission data, which includes: sender of message, addressee(s), and the time of transmission.

a. Records that are created via electronic mail and word processing systems that are located on The P drive, L drive or H personal drive to generate recordkeeping copies of records are covered according to TCD's record schedule.

b. Copies that have no further administrative value after the recordkeeping copies are made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are only to produce the recordkeeping copy.

Disposition: Temporary - Destroy and/or delete after the recordkeeping copy has been produced.

c. Copies used for dissemination, revision, or updating that is maintained in addition to the recordkeeping

WITHDRAWN