

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

(See Instructions on reverse)

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

1. FROM (Agency or establishment) DEPARTMENT OF COMMERCE	
2. MAJOR SUBDIVISION BUREAU OF INDUSTRY AND SECURITY	
3. MINOR SUBDIVISION OFFICE OF NONPROLIFERATION CONTROLS AND TREATY COMPLIANCE	
4. NAME OF PERSON WITH WHOM TO CONFER  ELAINE FARROW	5. TELEPHONE  (202) 482 - 2165

LEAVE BLANK (NARA use only)

JOB NUMBER <i>21-476-03-2</i>	
DATE RECEIVED <i>3-18-2003</i>	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 <i>4-16-04</i>	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 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	SIGNATURE OF AGENCY REPRESENTATIVE <i>Elaine Farrow</i>	TITLE RECORDS OFFICER
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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 GRS OR SUPERSEDED JOB CITATION	10.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)
	The Office of Nonproliferation Controls and Treaty Compliance is responsible for administering the Commerce Department multilateral export control responsibilities under the Nuclear Suppliers Group, the Missile Technology Control Regime, and the "Australia Group" (Chemical and Biological Controls). It also administers the export licensing responsibilities for foreign nationals under the "deemed export" technology rule and the "short supply" provisions of the Export Administration Regulations. In addition, this office is responsible for the industrial compliance provisions of the Chemical Weapons Convention and for representing U.S. commercial interests in the negotiations to develop a legally binding protocol to the Biological and Toxin Weapons Convention.		

*cc Agency NWMD NWETC*



OFFICE OF NONPROLIFERATION CONTROLS AND TREATY COMPLIANCE

1. SUBJECT FILES - Copies of incoming and outgoing correspondence, reports, memoranda, and related papers arranged by subject that are maintained for reference. These files have a longer reference value than is normally associated with a chronological file.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 4 years after cut off.

2. ADVISORY OPINIONS - These are the letter from companies/individuals and NPTC's replies to the letters on subjects of interpretation of export regulations.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 4 years after cut off.

3. COMMODITY CLASSIFICATIONS - Official responses for written requests to classify products/technologies. These classifications advise companies as to the licensing requirements and control levels under which a particular item meets the criteria of the Commerce Control List.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 4 years after cut off.

4. CHRONOLOGICAL SUSPENSE FILES - Copies of correspondence maintained for convenience of reference, or to indicate a due date for an action. In some cases, these copies are removed from such files and used for cross-reference and other purposes in subject files.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 3 years after cut off.

5. STAFF WORKING PAPER FILES - Files maintained by staff members. These files consist of background materials, working papers, drafts, and technical reference materials pertaining to particular staff assignments given to individual members.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 3 years after cut off.

6. QUARTERLY REPORTS TO CONGRESS - File copies of reports to the U.S. Congress as mandated by the Export Administration Act of 1979 or other sources.



Disposition: TEMPORARY - Cut off files at the end of the calendar year. Retire to Washington National Records Center (WNRC) 5 years after cut off. Destroy 10 years after cut off.

7. APPLICATIONS FOR EXPORT LICENSES - Exporters submit applications to one or more shipments of specified commodities under the Export Administration Regulations. The application consists of forms and related documentation required under the regulations. Included among the forms are BXA-622P, Application for Export License; BXA-699P, Re-export Authorization; and BXA-685P, Request and Notice of Amendment Action, depending on the nature of the export transaction. Upon receipt, the face of the application is recorded on a microfiche and then sent to the appropriate licensing branch for review. The Licensing Officers determine whether to approve, deny, or return without action to the applicant. When processing is completed and the licensing decision is made the application and related papers are delivered to the Microfiche Unit.

Disposition: TEMPORARY - Cut off files after verification of storage on MARRS. Destroy after verification of storage on MARRS.

8. APPEALS AND REFERRALS - These are copies and originals of appeals and referrals and the subsequent actions on export license applications.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy originals 4 years after cut off.

9. COUNTRY FILES - These are briefing papers prepared for the Secretary of Commerce regarding current and changing export policies for individual countries. These are mostly of short-term relevance.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 4 years after cut off.

10. PETROLEUM AND PETROLEUM PRODUCTS FILE - These records relate to the export control of petroleum and petroleum products. The records include correspondence, reports of exports and anticipated exports, and copies of applications of exports. The records are filed by company name.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Retire to WNRC 3 years after cut off. Destroy 5 years after cut off.



## NUCLEAR MISSILE TECHNOLOGY CONTROLS

11. SUBGROUP ON NUCLEAR EXPORT COORDINATION (SNEC) - This group reviews license applications for the export of goods or technical data with nuclear related end-uses. These records are the documentation of the examination of applications to export nuclear related commodities that are important for use in the development of nuclear weapons to assure that export is in accordance with U.S. policy objectives. Papers pertaining to the implementation of U.S. programs in the field of nuclear weapons development, communications, aircraft and maritime nuclear propulsion are encompassed. Also included are the agenda and minutes of the SNEC meetings.

Disposition: PERMANENT - Cut off files after the end of the calendar year. Retire to WNRC 1 year after cut off. Transfer to NARA 5 years after cut off.

12. MISSILE TECHNOLOGY CONTROL REGIME (MTCR) - These files are general correspondence files (i.e., cables, letters, memos, position papers.)

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 5 years after cut off.

13. NUCLEAR SUPPLIERS GROUP (NSG) - These files are general correspondence files (i.e., cables, letters, memos, position papers.)

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 5 years after cut off.

14. MISSILE TECHNOLOGY EXPORT COMMITTEE (MTEC) - This group reviews license applications for the export of goods or technical data with missile-related end-uses. Files consist of meeting minutes and agendas.

Disposition: PERMANENT - Cut off files at the end of the calendar year. Retire to WNRC 1 year after cut off. Transfer to NARA 5 years after cut off.

15. COMPANY FILES - Correspondence pertaining to requests for review and adjustment of decisions on export control matters imposed on the company by BXA. Much of the correspondence confirms the approval of the companies requests to export specified controlled materials in a specified manner and time period. Also included are complaints from companies asking that a decision, which they consider unjust, be set aside. Many of



the papers contain requests from the companies for an interpretation of decision and/or procedures. These records are of a precedent setting nature, not routine issues and are filed by company.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 3 years after cut off.

#### CHEMICAL AND BIOLOGICAL CONTROLS DIVISION

16. AUSTRALIA GROUP (AG)- These are files pertaining to the Australia Group. They are general correspondence files (i.e., cables, letters, memos, position papers).

Disposition: PERMANENT - Cut off files at the end of the calendar year. Retire to WNRC 1 year after cut off. Transfer to NARA 5 years after cut off.

17. SHIELD MINUTES- These are minutes of the SHIELD meetings.

Disposition: PERMANENT - Cut off files at the end of the calendar year. Retire to WNRC 1 year after cut off. Transfer to NARA 5 years after cut off.

#### TREATY COMPLIANCE DIVISION

18. CHEMICAL WEAPONS CONVENTION (CWC)- These files contain letters, policy papers, cables, and other correspondence. These files have a longer-term reference value to staff members than is normally associated with a chronological file.

Disposition: PERMANENT - Cut off files at the end of the calendar year. Retire to WNRC 5 years after cut off. Transfer to NARA 20 years after cut off.

19. WORKING PAPERS: These files are maintained by individual staff members and consist of background materials, work papers, extra copies, drafts, and technical reference materials pertaining to particular staff assignments given to individual members.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 3 years after cut off.

20. CWC INSPECTION REPORTS- These reports contain information regarding inspections of CWC sites.

Disposition: TEMPORARY - Cut off files at the end of the

calendar year. Retire to WNRC 1 year after cut off. Destroy 5 years after cut off.

21. BIOLOGICAL WEAPONS CONVENTION (BWC)- These files are working files that pertain to the BWC.

Disposition: PERMANENT - Cut off files at the end of the calendar year. Retire to WNRC 5 years after cut off. Transfer to NARA 20 years after cut off.

22. WORKING PAPERS: - These files are maintained by individual staff members and consist of background materials, work papers, extra copies, drafts, and technical reference materials pertaining to particular staff assignments given to individual members.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 3 years after cut off

23. ELECTRONIC RECORDS (E-MAIL AND WORD PROCESSING): - Records created using electronic mail and word processing applications.

Disposition: TEMPORARY - Destroy/delete within 180 days after the recordkeeping copy has been produced.