

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK

JOB NO. **NI-151-87-7**

TO: **GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

DATE RECEIVED
2-20-87

1. FROM (Agency or establishment)
U.S. Department of Commerce

NOTIFICATION TO AGENCY

2. MAJOR SUBDIVISION
International Trade Administration

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

3. MINOR SUBDIVISION
Assistant Secretary for Trade Administration

4. NAME OF PERSON WITH WHOM TO CONFER
Charles Brett

5. TELEPHONE EXT.
377-3430

DATE **6-4-87** ARCHIVIST OF THE UNITED STATES
[Signature]

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: is attached; or is unnecessary. has been requested.

B. DATE 2-18-87	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>Charles J. Brett</i>	D. TITLE ITA Records Management Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN <i>(NARS USE ONLY)</i>
	<p>Deputy Assistant Secretary for Export Administration Office of Export Licensing Operational Support Division Reports and Records Branch</p> <p>The Branch supports export licensing operations by keeping records and conducting license follow-ups. Included among its functions are reviewing visitation reports submitted by exporters to ensure compliance with conditions found on their export licenses; administering import certificate and delivery verification programs; reissuing lost licenses and administering transfer license programs; processing license cancellation requests; and maintaining historical and pending microfiche files on Export Administration cases and case-related correspondence.</p> <p><i>Agency copy sent 6/8/87 Copies sent to NNF and NCF 6/8/87</i></p>		<i>10 items</i>

1. Foreign Import Certificate Record (Form ITA-605, or equivalent) -- originally a 3x5 and now a 4x7 index card containing data from the Foreign Import Certificates that accompany the applications for U.S. export licenses. The cards show the issuing foreign country, import certificate number, application number and date received. They are used as a comparison with the confirmation copies to detect possible use of counterfeit Import Certificates. These are arranged by country and, thereunder, by number assigned by the foreign government.

Retire to RSHF when 2 years old and transfer immediately to WNRC. Destroy when 7 years old. (NC1-151-77-1/1316)

2. Confirmation Copies of Foreign Import Certificates -- copies of Import Certificates issued by foreign governments authorizing import of commodities for which a U.S. export license has been requested. These are submitted to the Office of Export Licensing (OEL) by the issuing government. They are used for verification purposes as stated above with the Record Cards. These are arranged by country and numerical sequence within the country group.

Destroy in office space when 2 years old. (NC1-151-77-1/1318)

3. Delivery Verification Certificates (Form ITA-648P, or equivalent) -- certificates verifying delivery of commodities authorized for export by a U.S. export license and related correspondence. These are arranged by year and by export license case number, thereunder.

Retire to RSHF when 2 years old and transfer immediately to WNRC. Destroy when 7 years old. (NC1-151-77-1/1320)

4. Statement by Ultimate Consignee and Purchaser (Form ITA-629P, or equivalent) -- a statement that the U.S. exporter receives from a foreign customer who expects to receive multiple shipments of approved U.S. commodities. The form permits the exporter to apply for individual licenses but without having to provide individual statements (Form 629P) on each transaction. These files are arranged alphabetically by country.

Retire to RSHF when 3 years old and transfer immediately to WNRC. Destroy when 7 years old. (NC1-151-77-1/1325)

5. U. S. Import Certificates (Form ITA-645P, or equivalent) -- copies of U.S. Import Certificates issued by OEL to U.S. importers for submission to a foreign government to support the issuance of an export license by that government. Beginning in January, 1986, specific data from them is entered in the LARS database. These documents are arranged by name of issuing office and, thereunder, numerically by OEL-assigned case number.

Retire to RSHF 3 months after entry to database. Transfer immediately to WNRC. Destroy when 6 years old.
(NC1-151-77-1/1326)

6. Applications for Export Licenses -- exporters submit applications to OEL to export one or more shipments of specified commodities under the Export Administration Regulations. The applications consist of forms and related documentation required under the Regulations. Included among the Forms are ITA-622P (or equivalent), Application for Export License; ITA-699P (or equivalent), Request to Dispose of Commodities or Technical Data Previously Exported; and ITA-685P (or equivalent), Request for and Notice of Amendment Action, depending upon the nature of the export transaction. The licenses issued under these procedures are valid for two years or less.

Upon receipt, the applications are sent to appropriate OEL licensing units for review. Their personnel determine whether to approve, reject or return the application to the exporter without further action. When processing is completed and the decision made on the status of the export license application, the forms and related papers are delivered to the Microfiche Unit of the Reports and Records Branch. The papers are then filmed and the resulting microfiche becomes the record copy of the licensing transaction.

Destroy paper records relating to export license transactions in office space after verification of the data on the related microfiche.

(NC1-151-83-3/2a.&b.)

7. Microfiche File of Export Applications -- all export license applications, supporting documents, related papers and approved licenses are recorded on microfiche. These are the record copies for most licensing actions taken by OEL, and are arranged by export license number.

Retire to RSHF when 3 years old and transfer to WNRC 1 year later. Destroy when 7 years old. (NC1-151-83-3/5)

8. Returned Export Licenses -- export licenses must be returned to OEL when shipments against them have been made or when they have expired. When returned, they are examined for proper use of the license. Beginning with those licenses expiring on or after January 30, 1985, specific data from them is entered in the LARS database. These records are not microfiched. Files are arranged by month and year of the license expiration.

Retire to RSHF 3 months after entry to database. Transfer immediately to WNRC. Destroy when 7 years old.

(NC1-151-83-3/4a.&b.)

9. Visitation Reports -- certain goods, e.g., computers, which are considered of strategic or national defense value, are approved for export or re-export abroad only on condition that a representative of the exporting firm periodically inspect the item to ensure that it has not been altered for some other purpose than that originally stated on the export license application. These are company case files arranged by name of exporter and include correspondence and reports related to inspections. COCOM approval to export is usually required in these cases.

Destroy individual documents or contents of file folders in office space 1 year after inspection ceases for each item covered by a specific license.

10. Transfer License Case Files -- under Section 372.13 of the Export Administration Regulations, exporters may request that their outstanding export licenses be transferred to another party. OEL reviews such requests to determine whether to grant or deny them.

Included among the papers are letters of request, related statements and certifications submitted by the original exporter. The files are arranged alphabetically by the name of the original exporter.

Retire to RSHF when 2 years old and transfer immediately to WNRC. Destroy when 7 years old.