

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-476-02-003

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 2/8/2022

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 1, ASSISTANT SECRETARY AND DEPUTY ASSISTANT SECRETARY SUBJECT FILES

Item 2, ASSISTANT SECRETARY AND DEPUTY ASSISTANT SECRETARY COUNTRY FILES-

Item 3, ASSISTANT SECRETARY AND DEPUTY ASSISTANT SECRETARY CHRONOLOGICAL

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

DAA-0476-2019-0001 supersedes items 4-7 and 13. Item 8-12 are obsolete.

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER 71-476-02-3	DATE RECEIVED 8-13-2002
1. FROM (Agency or establishment) Department of Commerce		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Bureau of Industry and Security		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION Office of the Assistant Secretary for Export Administration			
4. NAME OF PERSON WITH WHOM TO CONFER Debbie Proctor	5. TELEPHONE (202) 482 - 0711	DATE 1-14-03	ARCHIVIST OF THE UNITED STATES <i>[Signature]</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 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,

is not required; is attached; or has been requested.

DATE 8-6-2	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</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)
	<p>The Assistant Secretary for Export Administration carries out the Department's responsibilities for regulating exports of U.S. goods and technology for purposes of national security, foreign policy, and chairs the Advisory Committee on Export Policy (ACEP), oversees investigations in those instances where imports may threaten to impair the national security, participates in the development and administration of national plans and programs to ensure maximum readiness of strategic U.S. industrial resources and industrial preparedness cooperation among allied countries.</p> <p>The office includes the Deputy Assistant Secretary for Export Administration who serves as the principal deputy to the Assistant Secretary; performs such duties as the Assistant Secretary may assign; and performs the duties of the Assistant Secretary during the latter's absence. The Deputy Assistant Secretary is responsible for the day-to-day management of functions regulating exports of U.S. goods and technology for the purposes of national security, foreign policy, and short supply; and chairs the Subcommittee of the Advisory Committee on Export Policy (Sub-ACEP). In addition, the Deputy Assistant Secretary is responsible for the performance of necessary administrative activities, for, and the provision of staff support to, the Subcommittee on Export Administration of the President's Export Council (PECSEA).</p> <p><i>cc DWMD DW MWA, Agency</i></p>	71-476-90-5	

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Attachment to Job No. N1 476-02-3

OFFICE OF THE ASSISTANT SECRETARY FOR EXPORT ADMINISTRATION

1. ASSISTANT SECRETARY AND DEPUTY ASSISTANT SECRETARY SUBJECT FILES - These are incoming and outgoing correspondence, reports, memoranda and related papers arranged alphabetically by subject. They describe the activities of the office in carrying out the Department's responsibilities for regulating exports of U.S. goods and technology. Notable subjects include reports on the Advisory Committee on Export Policy (ACEP), appeals, reports to Congress, communications with other agencies, correspondence with exporters, and reports concerning export policy on individual commodities controlled for export

Disposition: PERMANENT - Cut off files at the end of the calendar year. Retire to Washington National Records Center (WNRC) 5 years after cut off. Transfer to NARA 15 years after cut off.

2. ASSISTANT SECRETARY AND DEPUTY ASSISTANT SECRETARY COUNTRY FILES - These files are incoming and outgoing cables and other papers arranged alphabetically by name of country. The documents provide an overview of U.S. export policy in the countries concerned, and describe discussions held between U.S. Government officials and their foreign counterparts concerning issues of mutual interest in matters of export administration.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Retire to WNRC 1 year after cut off. Destroy 10 years after cut off.

3. ASSISTANT SECRETARY AND DEPUTY ASSISTANT SECRETARY CHRONOLOGICAL - These are extra copies of incoming and outgoing correspondence and are maintained for convenience of reference. These files have a longer-term reference value to staff members than is normally associated with a chronological file. They serve as a useful index to other files the office creates.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Retire to WNRC 3 years after cut off. Destroy 6 years after cut off.

OPERATING COMMITTEE

~~4. CASE FILES - For cases referred to the Operating Committee (OC), contains a copy of the OC memo and any supporting documentation, including the license application(s), agency positions, technical information, company correspondence, relevant OC Minutes and the Interagency Licensing Decision. For cases referred directly to the Advisory Committee on Export Policy (ACEP), contains the ACEP background paper and all appropriate documentation as described above. Maintains meeting files (OC & ACEP) case files (for each and every~~

Superseded by job / item number:

DMA-0476-2019-0001-0001

Date (MM/DD/YYYY):

02/15/2019

#5 Superseded by job / item number:

← case escalated/discussed at the OC/ACEP). DAA-0476-2019-0001-0001

~~Disposition: PERMANENT - Cut off files 3 years after decision has been reached. Retire to WNRC 1 year after cut off. Transfer to NARA 20 years after cut off.~~ 08/15/2019

5. ~~EXPORT CONTROL SUBJECT FILES~~ - Contains miscellaneous information relating to export control, such as policy guidelines, newspaper clippings, cables, and COCOM positions. ↑

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

6. ~~Advisory Committee on Export Policy (ACEP FILES)~~ - Contains papers related to scheduled ACEP minutes. These papers include the ACEP Meeting Notice, documentation on each case slated for ACEP review, a copy of the briefing book is prepared for the ACEP chairman, the minutes of the meeting, and any post meeting documents or correspondence related to the cases discussed.

~~Disposition: PERMANENT - Cut off files at the end of the calendar year. Retire to WNRC 3 years after cut off. Transfer to NARA 15 years after cut off.~~

7. ~~Export Administration Review Board (EARB FILES)~~ - The current practice is for the Commerce Secretary's Executive Secretariat to schedule EARB meetings and for the Director of the Office of Technology and Policy Analysis (OTPC) to prepare technical and policy papers, case documentation, minutes, and copies of Interagency Licensing Decisions (ILD).

~~Disposition: PERMANENT - Cut off files at the end of the calendar year. Retire to WNRC 3 years after cut off. Transfer to NARA 15 years after cut off.~~

8. ~~Operating Committee (OC) Register FILES~~ - This is a register showing the number issued to each OC Memo, the license numbers associated with each memo, the commodity and Export Control Commodity Number (ECCN), applicant, destination, final action, Interagency Licensing Decision (ILD) number, and date of the decision.

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

9. ~~INTERAGENCY LICENSING DECISION (ILD) LOG~~ - This is an index to the ILD Master File, showing the ILD number, OC Memo number, license application number(s) and ILD issue date.

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

10. ~~INTERAGENCY LICENSING DECISION (ILD) MASTER FILE~~ - This is a set of loose-leaf binders containing record copies of each ILD

#6 #7
Superseded by job / item number:

DAA-0476-2019-0001-0002

Date (MM/DD/YYYY):

08/15/2019

8, #9, and #10 - OBSOLETE,
reported on 03/20/2019

and license conditions or supporting papers, if any, attached.

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

11. COMMODITY INDEX - This is an index to the case files arranged numerically by the Export Control Commodity Number (ECCN) and referenced to the appropriate case file. An index is arranged for each calendar year.

Disposition: TEMPORARY - ~~Cut off files 1 year after the end of the calendar year. Destroy 3 years after cut off.~~

12. COUNTRY INDEX - This is an index to the case files arranged by country of destination and referenced to the appropriate case file. An index is maintained for each calendar file.

Disposition: TEMPORARY - ~~Cut off files 1 year after the end of the calendar year. Destroy 3 years after cut off.~~

13. OPERATING COMMITTEE FILES - This contains record copies of the agenda and minutes of meeting of the Operating Committee which summarizes the deliberations and findings of the committee.

Disposition: PERMANENT - ~~Cut off files at the end of the calendar year. Retire to WNRC 3 years after cut off. Transfer to NARA 15 years after cut off.~~

14. CHRONOLOGICAL FILES - This is a copy of all outgoing items prepared in the office.

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

15. 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.~~

#15 Superseded by job / item number:

DAA-GRS-2016-0014-0002

Date (MM/DD/YYYY):

07/2017

#11, #12, and #14
OBSOLETE, reported
on 03/20/2019

#13 Superseded by job / item number:

DAA-0476-2019-0001-0002

Date (MM/DD/YYYY):

08/15/2019