

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 COMMERCE

2. MAJOR SUBDIVISION
BUREAU OF INDUSTRY AND SECURITY

3. MINOR SUBDIVISION
OFFICE OF STRATEGIC INDUSTRIES AND ECONOMIC SECURITY

4. NAME OF PERSON WITH WHOM TO CONFER ELAINE FARROW	5. TELEPHONE (202) 482 - 2165
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LEAVE BLANK (NARA use only)

JOB NUMBER
71-476-03-1

DATE RECEIVED
3-18-2003

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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>2-3-04</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
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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 9 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>[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 GRS OR SUPERSEDED JOB CITATION	10.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)
	The Office of Strategic Industries and Economic Security (OSIES) is the focal point within the Department of Commerce for analysis and regulation pertaining to the national defense and the industrial resource base. SIES is responsible for developing, promoting, and implementing policies and programs to ensure a strong and technologically superior industrial resource base, responsive to the national and economic security requirements of the United States. SIES is organized into two divisions, Strategic Analysis Division and Defense Programs Division in addition to the Office of the Director.		

cc Agency, NWMO, NWCTC

Attachment to Job No. N1-476-02-5

OFFICE OF STRATEGIC INDUSTRIES AND ECONOMIC SECURITY RESOURCES

RECORDS OF THE DIRECTOR

1. CHRONOLOGICAL FILES - Correspondence, reports, and similar documentation generated or collected by the Director and immediate staff. Official record copies of policy development, program planning, and functional implementation papers are maintained in the component divisions of the office.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 2 years after cut off.

2. WEEKLY HIGHLIGHTS - Copies of the Secretary's weekly highlights.

Cut off files at the end of each month. Destroy 3 months after cut off.

TECHNICAL ADVISORY COMMITTEES

The Technical Advisory Committees (TACs) perform the advisory function set forth in the Export Administration Act, i.e., to advise the Department of Commerce on the technical parameters for export controls applicable to dual-use commodities and related technology and on the administration of those controls. Separate records are maintained for each TAC.

3. MEETING FILES - Each file contains the Federal Register notice, agenda, minutes (including attendance records), and documents that were distributed at the meeting or used in preparation for the meeting.

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 10 years after cut off.

4. MEMBERSHIP FILES - Each file contains the security clearance memorandum, the Classified Information Nondisclosure Agreement, the Certification of Status under the Foreign Agents Registration Act, administrative clearance memos, and letters of appointment.

Disposition: TEMPORARY - Cut off files 1 year after file is complete. Destroy 3 years after membership has been terminated.

5. AUDIO RECORDINGS - Recordings are occasionally used as an aid in preparing minutes of meetings.

Disposition: TEMPORARY - Destroy tapes after recordkeeping copy of minutes has been generated.

STRATEGIC ANALYSIS DIVISION

DIVISION DIRECTOR

6. 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 division's responsibilities.

Disposition: PERMANENT - Cut off files at the end of the calendar year. Retire to WNRC 5 years after cut off. Transfer to NARA 10 years after cut off.

OFFSETS IN DEFENSE TRADE

7. COMPANY DATA - Contains company submissions, journal articles, and unclassified cables. Companies submit their information on paper and sometimes include a disk, which provides the same information. The information is stored electronically as well as in hard copy form.

a. Disposition: Paper - TEMPORARY - Cut off files at the end of the calendar year. Destroy 10 years after cut off.

b. Disposition: Electronic Data - TEMPORARY - Retain information on program database until termination of program and then delete/destroy.

INDUSTRIAL CAPABILITIES

8. SURVEYS - Contains information received from market research covering the U.S. defense industrial base on behalf of the Armed Services, Congress, and industry associations. Survey information is input into a database which, along with other information, a report is generated. The final report provides recommendations to government policy makers and industry leaders.

a. Disposition: Surveys - TEMPORARY - Cut off files at the end of the calendar year. Destroy 7 years after cut off.

b. Disposition: Database - TEMPORARY - Retain in program office until termination of program and then delete/destroy.

c. Disposition: Report - PERMANENT - Cut off files after the final report has been generated. Transfer to NARA after termination of program.

9. SUBJECT FILES - File contains information on the various key sectors of the economy which are involved in critical technology developments and industrial capabilities.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 7 years after cut off.

U.S. DEFENSE DIVERSIFICATION/MANUFACTURING EMPOWERMENT ZONE

10. SUBJECT FILES - File contains incoming and outgoing correspondence, reports, memoranda and related papers arranged alphabetically by subject. They describe the activities of the office in carrying out their responsibilities.

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

11. DATABASE - Contains information on various companies' practices and how they utilize the manufacturing capabilities and excess facilities & equipment resident on federal sites nationwide.

Disposition: TEMPORARY - Retain in program office until termination of program and then delete/destroy.

COMPETITIVE ENHANCEMENT/FEDERAL RESOURCE ACCESS PARTNERSHIP PROGRAM (FRAP)

12. SURVEYS - File contains surveys which enables industry to work with elite government agencies and leading national laboratories to access technology transfer, manufacturing, and exporting resources which are received in hard copy and entered into a database.

a. Disposition: TEMPORARY - Paper - Cut off files after survey has been completed. Destroy 3 years after cut off.

b. Disposition: TEMPORARY - Database - Retain in program office until FRAP Program is terminated and then delete/destroy.

FOREIGN INVESTMENT TECHNOLOGY TRANSFER PROGRAM

13. ACQUISITION NOTIFICATIONS - Contains notifications filed by companies when they are involved in relevant transactions; the information is also stored in a database.

a. Disposition: TEMPORARY - Paper - Cut off files 1 year after relevant transactions are complete. Destroy 10 years after cut off.

b. Disposition: TEMPORARY - Database - Retain in program office until termination of agency participation in the Committee on Foreign Investment and then delete/destroy.

BEST MANUFACTURING PRACTICES

14. MAILING LISTS - File contains mailing lists of various companies.

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

SECTION 232 IMPORT INVESTIGATIONS

15. SUBJECT FILE - File contains petitions, public comments and surveys.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 10 years after cutoff.

16. REPORTS - File contains reports based on industry survey data to be submitted to the President.

Disposition: PERMANENT - Cut off files after the end of the calendar year. Retire to WNRC 10 years after cut off. Transfer to NARA 20 years after cut off.

DEFENSE PROGRAMS DIVISION

RECORDS OF THE DIRECTOR

17. GENERAL CORRESPONDENCE - Contains incoming and outgoing correspondence of the director.

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

18. SUBJECT FILES - Contains subject matter files pertaining to the various defense programs.

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

INTERNATIONAL DEFENSE TRADE ADVOCACY

19. DEPARTMENT OF COMMERCE DEFENSE TRADE ADVOCACY PROGRAM FILES - File contains documents generated in support of a defense trade advocacy case which may include a completed advocacy questionnaire and anti-bribery agreement submitted by prime contractor; company brochures, press releases, and point papers; internal and interagency coordination memoranda/comments concerning proposed advocacy action; and copies of signed advocacy letters. Advocacy forms and relevant data are entered into the SIES/DPD Microsoft Access database.

Disposition: PERMANENT - Cut off files after case is closed. Retire to WNRC 5 years after case is closed. Transfer to NARA 10 years after case is closed.

DOD INTERNATIONAL AGREEMENTS

20. DEPARTMENT OF DEFENSE (DOD) MEMORANDUM OF UNDERSTANDING (MOU) OR AGREEMENT INTERAGENCY COORDINATION/REVIEW FILES - File contains copies of incoming DOD correspondence and all MOU coordination materials; Department of Commerce response; SIES/DPD MOU review; and print-outs of records of action from SIES/DPD Microsoft Access tracking database

a. Disposition: PERMANENT - Paper - Cut off files after MOU expires. Retire to WNRC 1 year after MOU expires. Transfer to NARA 2 years after MOU expires.

b. Disposition: TEMPORARY - Database - Retain in program office until termination of DOD's International Agreement Program and then delete/destroy.

EXCESS DEFENSE ARTICLES

21. PROGRAM REVIEW FILES - File contains incoming DOD/DSCA correspondence with proposed Excess Defense Articles (EDA) allocations, value, and quantities; Department of Commerce response; and print-outs of records of action from SIES/DPD MS Access tracking database (including identification of contractors contacted, record of communications with the contractors, and pre-decisional analysis).

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

b. Disposition: TEMPORARY - Database - Retain in program office until termination of Excess Defense Articles program and then delete/destroy.

DEFENSE PRIORITIES AND ALLOCATIONS SYSTEM (DPAS)

22. SUBJECT FILES - This program implements the priorities and allocations provisions of the Defense Production Act of 1950, and the priorities provisions of the Selective Service Act of 1948 and several other related statutes; and pursuant to these authority, administers the Defense Priorities and Allocations System (DPAS) regulation (15 CFR 700), including compliance activities. The file contains correspondence, documentation, and other materials on all facets of the implementation and operation of the program. Accordingly, the file is primarily valuable for administrative purposes.

Disposition: PERMANENT - Cut of files at the end of the calendar year. Retire to WNRC 5 years after cut off. Transfer to NARA 10 years after cut off.

23. (DEFENSE PRIORITIES AND ALLOCATIONS SYSTEM) (DPAS) REGULATION FILES - A set of DPAS regulations, including all delegations and memoranda of understanding, as printed in the Federal Register. Although these documents are promulgated in

the Federal Register, the collection of this set will provide future researchers with an overview of the development and periodic revisions of the system that might not otherwise be possible through use of a multiplicity of references. Included are background papers generated by the Division in the implementation or revision of the DPAS and supporting documents.

Copies of public comments are included which support the periodic review of the effectiveness and efficiency of the DPAS provisions and are used in the development of revisions.

a. Disposition: PERMANENT - Cut off files after record set is completed. Retire 1 record set to WNRC 10 years after record set is completed. Transfer to NARA 15 years after records set is completed.

b. Disposition: TEMPORARY - Cut off files after the end of the calendar year. Retire to WNRC 3 years after cut off. Destroy 15 years after cut off.

24. SPECIAL PRIORITIES ASSISTANCE (SPA) CASE FILES - Each file contains a copy of Request for Special Priorities Assistance (Form BXA-999, or equivalent), copies of official actions taken by OSIES, case notes, notes of telephone conversations, status reports, and related correspondence and documents. The files show the nature of the request, the actions taken by the priorities office and the reasons for taking the actions. SPA requests may be initiated for any reason under the DPAS by any entity requiring assistance, including U.S. or Allied Government defense program offices, and U.S. or foreign companies (prime or lower tier contractor) which are holding defense contracts. Included are files requesting assistance following the placement of defense rated contracts or orders (e.g., to ensure timely delivery of an end item or a product, material, or service) and requests for priority rating authority. This record set of cases handled by the Office constitutes the sole authoritative version of each case for legal and other purposes.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Retire to WNRC 3 years after cut off. Destroy 10 years after cut off.

25. INVESTIGATIVE AND COMPLIANCE CASE FILES - These are notices, findings, and other information collected from investigations conducted because of violations or allegations of violations of the DPAS. The file contains copies of compliance reports and recommendations submitted to the Director, Office of Strategic Industries and Economic Security (OSIES) and to the Office of General Counsel, Department of Commerce, where appropriate.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Retire to WNRC 5 years after cut off. Destroy 10 years after cut off.

26. CANADIAN DEFENSE PRIORITIES AND ALLOCATION SYSTEMS (DPAS)

APPLICATION FILES - These are applications from the Canadian government for U.S. priority rating authority. Also included are the letters of authorization issued by OSIES and related documents.

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

NATIONAL SECURITY EMERGENCY PREPAREDNESS (NSEP)

27. SUBJECT FILES - These are emergency plans and procedures for nuclear and conventional war and civil emergency preparedness, including plans for Government management of industrial production, construction, and distribution in the event of catastrophic national emergency. Also included are working papers generated in the periodic exercise of these plans and procedures.

a. Disposition: PERMANENT - Cut off files after plans and procedures are superseded or obsolete. Retire to WNRC 1 year after superseded or obsolete. Transfer to NARA 3 years after superseded or obsolete.

b. Disposition: TEMPORARY - Working papers - Cut off files after the exercise is complete. Destroy 5 years after exercise is complete.

NATIONAL DEFENSE STOCKPILE

28. SUBJECT FILES - The Department of Commerce co-chairs (with Department of State) the interagency National Defense Stockpile Market Impact Committee (MIC) pursuant to the Strategic and Critical Materials Stock Piling Act as amended by the National Defense Authorization Act for FY 1993. The MIC reviews the proposed disposal of materials by the Department of Defense, Defense National Stockpile Center (DNSC), as proposed in an Annual Material Plan (AMP), and makes recommendations to the DNSC Administrator on the potential market impact of such disposal. These files contain miscellaneous correspondence, documentation, information, and materials pertaining to DOC administration of the MIC and related issues. Accordingly, the file is primarily valuable for administrative purposes.

Disposition: PERMANENT - Cut off files after the end of the calendar year. Retire to WNRC 5 years after cut off. Transfer to NARA 10 years after cut off.

29. MATERIAL FILES - These are documents and information about materials maintained in the National Defense Stockpile, including published material received from the U.S. Geological Survey or other agencies.

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

30. MARKET IMPACT COMMITTEE (MIC) MEETING and ANNUAL MATERIAL PLAN (AMP) REVIEW FILES - These are documents, materials, and information pertaining to MIC review of proposed fiscal year AMP and proposed revisions to these plans, including MIC meetings to review these proposals and meetings with industry representatives on particular material issues. Documents, materials, and information include Federal Register Notices requesting public comment, accompanying press releases, and public comments received in response to the Notice; analysis of comments; notice to the MIC members of meetings and meeting agenda; minutes and notes of meetings; correspondence between or among the MIC, the public, DNSC, and other government or MIC agencies; and material work sheets.

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

NORTH ATLANTIC TREATY ORGANIZATION (NATO)

31. NATO DOCUMENTS AND CORRESPONDENCE - Copies of North Atlantic Treaty Organization papers pertaining to various aspects of national and international mobilization planning. The papers are used by members of the staff as a source of authoritative guidance in the performance of their daily assignments.

Correspondence with the Industrial Planning Committee, NATO, generated by the office is filed at the end of the document file. The substance of this correspondence may be duplicated by a staff paper or release covering the transactions of the committee.

Most of the papers generated in this activity are received from NATO and bear a NATO requirement for their ultimate disposition. Consequently, almost all of the papers have been registered.

~~a. Disposition: TEMPORARY - Cut off files after the end of the calendar year. Destroy 5 years after cut off or in accordance with appropriate NATO security regulations, whichever is later.~~

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

*Apply above instructions
YKJ
12-19-03*

32. NATO INDUSTRIAL PLANNING - This is a program to develop international industrial mobilization planning agreements consistent with the objectives of NATO. These agreements impose upon the participating countries' obligations and restraints in the event of civil or military crisis.

The Director of Defense Programs serves as the U.S. Representative on the NATO Industrial Planning Committee. The division is assigned responsibility for responding to NATO requests for proposals, reports, and recommendations covering specific areas of industrial mobilization planning. A cadre of

Industrial Experts from U.S. industry participates in training events for the Industrial Planning committee. Files for the experts are maintained by the Defense Programs Division. Most of the papers generated in this activity are received from NATO and bear NATO requirement for the ultimate disposition.

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

33. 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.