

OFFICE OF EXPORTER SERVICES (OEXS)

1. OEXS DIRECTOR'S EMERGING EXPORT CONTROL ISSUE FILES - Records of communications with other government agencies and with other offices in Export Administration, developed by the Director on emerging export matters under consideration by top level authorities.

Disposition: PERMANENT - Cut off files at the end of the calendar year. Transfer to WNRC 3 years after cut off. Transfer to NARA 4 years after cut off.

2. COMPANY FILES - Correspondence pertaining to requests for review of decisions and general advice on export control matters imposed on the company by BIS. Correspondence confirms the approval of company requests to export specified controlled materials in a specified manner and time period.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Transfer to WNRC 3 years after cut off. Destroy 7 years after cut off.

3. APPLICATIONS FOR EXPORT LICENSE AND CLASSIFICATIONS - Exporters submit paper applications to OExS to export one or more shipments of specified commodities under the Export Administration Regulations or to classify the item. Applications consist of forms and related documentation required under the regulations. Included among the forms are: BIS-748P, Multipurpose Application form. Applications are scanned into and electronic system. Support documents are stored in paper files.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Transfer to WNRC 1 year after cut off. Destroy 6 years after cut off.

4. U.S. IMPORT CERTIFICATES 9FORM BIS-645P - Duplicate copies of Import Certificates issued by BIS to U.S. exporters for submission to a foreign government to support the issuance of an export license by that government.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Transfer to WNRC 1 years after cut off. Destroy 7 years after cut off.

5. CONFIRMATION COPIES OF FOREIGN IMPORT CERTIFICATES - Duplicate copies of import certificates issued by foreign governments authorizing the import of commodities for which a U.S. export license has been required. These are submitted to

OExS by the issuing government. They are used for verification purposes.

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

6. TRANSFER LICENSE CASE FILES - Requests for transfers of unexpired individual validated licenses from one party to another. The new licensee must certify that he/she will comply with U.S. export regulations.

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

7. LICENSING OFFICERS' MANUAL - Instruction manual for internal use by staff licensing officers. The manual is electronic and is updated on a regular basis as new procedures are established. It is maintained in the Office of Exporter Services.

Disposition: PERMANENT - Retain in Office of Exporter Services for the life of the program. Transfer copies to NARA in 5-year increments according to NARA regulations.

8. REQUESTS FOR THE RETURN OF COPIES OF FOREIGN IMPORT CERTIFICATES - Foreign governments make requests of the foreign importer to obtain a certified copy of the import certificate issued by that government for the import of U.S. goods. The foreign importer, in turn, makes the request of his/her U.S. exporter, who in turn, sends the request to OExS and includes in the request the total value of goods shipped under the license. After reviewing the request, OExS sends it to the foreign importer and maintains a copy of the certificate.

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

~~9. ELECTRONIC SUBMISSION APPLICATIONS - Letters from U.S. exporters requesting the privilege of submitting their export license applications electronically. Personal identification Numbers (PIN) are assigned to responsible exporter employees and a Company Identification Number (CIN) is assigned to the company. The letters contain a certificate for the officer of the company who will be responsible for additions and deletions of persons authorized to be assigned PINS. Documents are scanned into electronic system.~~

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

Covered by
GRS 20,
Item 2 (4)

10. EXPORTER ASSISTANCE CORRESPONDENCE FILE - These are letters from and replies to U.S. exporters and prospective exporters on matters of export regulations and status of license applications.

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

11. EXPORT SEMINAR FILES - Files of the Export Seminar staff who conduct training seminars throughout the country. The files include correspondence with the sponsoring organizations, the hotels where the seminars are to be held, and with the seminar attendees.

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

12. SPECIAL COMPREHENSIVE LICENSE INTERNAL CONTROL PROGRAM REVIEW FILES - Internal control program reviews are conducted to ensure compliance with the terms of these licenses. Part 752 and internal control program requirements. Files include correspondence with companies related to licenses and amendments, review reports of findings and recommendations and final disposition of reviews. ICP review files are filed by license numbers and then chronologically according to the date reviews are conducted.

Disposition: TEMPORARY - Cut off files after the end of the calendar year. Transfer to WNRC 1 year after cut off. Destroy 7 years after cut off.

13. PRE-LICENSE CONSULTATION FILES - Part 752 of the Export Administration Regulations requires that companies interested in requesting a Special Comprehensive License meet with BIS prior to submitting an application. The consultation files are filed by company names and then chronologically according to the consultation meeting dates. If a Special Comprehensive License is approved, the Pre-License Consultation files are included with the files described above and destroyed accordingly.

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

14. EXPORT MANAGEMENT AND COMPLIANCE PROGRAM REVIEW FILES - U.S. companies may request the review of their written export compliance programs. EMCD provides comments and recommendations to strengthen the programs. These files are maintained in alphabetical order by the company names and then chronologically according to the final date of action by EMCD.

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

15. HISTORIC SPECIAL LICENSE FILES - Contains memorandum of agreements (MOUs) between the U.S. and other countries for the conduct of Systems Reviews in the foreign countries and Special License issues of the past.

Disposition: PERMANENT - Cut off files after the end of the calendar year. Transfer to NARA 10 years after the expiration or termination of the license.

16. HISTORIC EXPORT ADMINISTRATION REGULATIONS - Contains annual base manual publication of the Export Administration Regulations (EAR) that has been updated quarterly with replacement pages from Export Administration bulletins.

Disposition: PERMANENT - Cut off files after the end of the calendar year. Transfer to NARA 10 years after cut off or files become obsolete, whichever is sooner.

~~17. FEDERAL REGISTER PUBLICATIONS - Reference copies of publications of Federal regulation and notices by BIS that affect the Export Administration Regulations or Chemical Weapons Convention.~~

~~**Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy when superseded or obsolete.**~~

New Record

~~18. DE-MINIMUS ONE TIME REPORTS - Contains one-time reports of de minimis calculations submitted by the public as required by the EAR. These are paper copies that are scanned into the BIS tracking system WebCIMS.~~

~~**Disposition: TEMPORARY - Destroy scanned copy after verification by WebCIMS tracking system. Delete/destroy electronic WebCIMS folder 5 years after folder is closed.**~~

*Governed
by GRS20,
ITM 26*

~~19. ADVISORY OPINIONS - Contains letters and e-mails from companies and individuals requesting information and interpretations about the EAR provisions or BIS policy. Also contains responses to these companies/individuals and clearances from offices within BIS. These scanned into the WebCIMS tracking system.~~

~~**Disposition: TEMPORARY - Destroy scanned copy after verification by WebCIMS tracking system. Delete/destroy electronic WebCIMS**~~

~~folder 10 years after folder is closed.~~ GOVERNED by GRS 20, Item 2(b)

20. CASE FILES OF REGULATORY CHANGES - These are the records of regulatory actions that have been published in the Federal Register by BIS, and affect or relate to the Export Administration Regulations or the Conventional Arms Regulations. These records are scanned into the WebCIMS tracking system. No classified or restricted information is scanned into WebCIMS.

Disposition: TEMPORARY - Destroy related paper documents 7 years from the date of closure. Destroy/delete electronic WebCIMS folder 10 years after the date of closure.

GOVERNED by GRS 20,
Item 2a(4)

21. REGIME AND PROCEDURE SUBJECT FILES - These are records of export policies that mostly pertain to more than one country. Among these records are control lists from various regimes and documents pertaining to various procedures, requirements, and issues contained in the EAR.

Disposition: TEMPORARY - Cut off files after the end of the calendar year. Transfer to WNRC 1 year after cut off. Destroy 15 years after cut off.

22. CODE OF FEDERAL REGULATION (CFR) PUBLICATIONS - These are duplicate copies of Title 15 CFR parts 300-799, and CFRs covering other agencies that are maintain solely for reference purposes by BIS staff.

Disposition: TEMPORARY - Destroy when superseded or obsolete.

Non-Record