

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-476-89-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

Items 1, 2, 4, 6, 8, 10, 11, 16-18, 20, 22-26, and 28-35.

SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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.

N1-476-07-001 supersedes the following:

Item 2 supersedes item 3

Item 3 supersedes item 5

Item 4 supersedes item 7

Item 5 supersedes item 9

Item 6 supersedes item 13


Item 7 supersedes item 14

Item 8 supersedes item 15

Item 10 supersedes item 19

Item 11 supersedes item 21

Item 13 supersedes item 27

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| REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse) | | LEAVE BLANK | |
| TO: GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408 | | JOB NO. N1-476-89-1 | DATE RECEIVED 9/13/89 |
| 1. FROM (Agency or establishment) U.S. Department of Commerce | | NOTIFICATION TO AGENCY | |
| 2. MAJOR SUBDIVISION Bureau of Export 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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 Office of Export Licensing | | | |
| 4. NAME OF PERSON WITH WHOM TO CONFER Richard Usrey | 5. TELEPHONE EXT. 377-5653 | DATE 9/30/90 | ARCHIVIST OF THE UNITED STATES  |
| 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 10 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.

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| B. DATE 8-30-89 | C. SIGNATURE OF AGENCY REPRESENTATIVE  Sherry M. Cage | D. TITLE Departmental Records Management Officer |
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| 7. ITEM NO. | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. GRS OR SUPERSEDED JOB CITATION | 10. ACTION TAKEN (NARS USE ONLY) |
|-------------|--|-----------------------------------|-------------------------------------|
| | <p align="center"><u>THE OFFICE OF EXPORT LICENSING</u></p> <p>The Office of Export Licensing (OEL) is the focal point in the Bureau of Export Administration (BXA) for the analysis, interpretation and decision making regarding all export licensing transactions involving technology, equipment commodities and technical data that are controlled for national security, foreign policy and short supply considerations. OEL provides advice and counsel to the business community regarding means to structure export control policy, develops new initiatives to improve and facilitate the export licensing process while maintaining U.S. national security and foreign policy interests, serves as focal point for coordinating export license reviews and analyses with the interagency and international export control community, conducts bilateral and multilateral negotiations regarding export licensing issues; manages BXA's outreach and educational programs including the export control seminar program and its field office operations.</p> <p>The records identified in this Records Control Schedule supersede the records identified in the International Trade Administration's Record Control Schedules numbers NCI-151-77-1, NCI-151-83-3, and N1-151-87-7.</p> | | |

Received 7/11/90

THE OFFICE OF EXPORT LICENSING

The Office of Export Licensing (OEL) is the focal point in the Bureau of Export Administration (BXA) for the analysis, interpretation and decision making regarding all export licensing transactions involving technology, equipment, commodities and technical data that are controlled for national security, foreign policy and short supply considerations. OEM provides advice and counsel to the business community regarding means to structure export control policy, develops new initiatives to improve and facilitate the export licensing process while maintaining U.S. national security and foreign policy interests, serves as focal point for coordinating export license reviews and analyses with the interagency and international export control community, conducts bilateral and multilateral negotiations regarding export licensing issues; manages BXA's outreach and educational programs including the export control seminar program and its field office operations.

Records of the Director of OEL

1. OEL Subject File - Records of communications with other government agencies and with the divisions of OEL developed by the Director on emerging export control matters, application of existing legislation and regulations, and similar matters under consideration by top level authorities.

The Director's memoranda to the Divisions provide guidance on changes of procedures, interpretations of law or regulations and on special situations surrounding exports of specific commodities or exports to specific destinations. These records are filed alphabetically by subject matter.

Start a new file every year and retire to WNRC 3 years later. Destroy when 25 years old.

NCI-101-77-1-1182

2. Controlled Correspondence - This is correspondence directed to the OEL from higher management for action by OEL. This correspondence has a cover sheet which logs the time of receipt and response due from OEL. Filed in chronological order. Other copies of this correspondence are kept in the originating offices that initially directed the correspondence to OEL.

Destroy when 2 years old.

3. 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 alphabetically by company.

Start a new file every year. Record the files on microfiche when 2 years old and then destroy the hard copy. Destroy the microfiche when 15 years old.

4. Country Files - Documentation of the export control policy for specific countries with associated papers concerning commodities under consideration for inclusion on the Commodity Control List and the improvement of existing controls. This file is also used as a cross-index file for referencing the Company Files described above. Documentation includes Memoranda of Understanding, Delegations of Authority and other sensitive licensing issues.

Start a new file every year and retire to WNRC 3 years later. Destroy when 10 years old.

The Individual Validated Licensing Division is the focal point for technical/regulatory analyses leading to its authorization or rejection of specific export transactions involving items controlled for national security, foreign policy and short supply consideration. The Division supports interagency dispute resolutions regarding strategically sensitive export applications and policies and in developing new analytic regimes for license reviews in response to changes in export control policy (e.g., missile technology, chemical weapons and supercomputer regimes). The Division provides major support to the export outreach program with expert speakers/advisors for domestic and international seminar programs and trade exhibitions.

5. 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: BXA-622P, Application for Export License; BXA-699P, Reexport Authorization; and BXA-685P, Request for and Notice of Amendment Action, depending upon the nature of the export transaction.

Upon receipt, the face of the applications are recorded on a microfiche and then sent to the appropriate licensing branch for review. The Licensing Officers determine whether to approve, deny, or return the application to the applicant without further action. When processing is completed and the licensing decision is made, the application and related papers are delivered to the Microfiche Unit. All papers related to exports to Communist bloc countries and other selected destinations are recorded on the microfiche.

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

6. Microfiche File of Export Applications - The face of all Individual Validated License applications except for those electronically submitted are recorded on microfiche. The entire record of licenses for Communist bloc countries and other selected licenses are recorded on microfiche. The microfiche are filed chronologically as the applications are received or, in the case of complete record files, in license number order.

Destroy when 7 years old.

7. U.S. Import Certificates (Form BXA-645P) - These are copies of U.S. Import Certificates issued by BXA to U.S. importers for submission to a foreign government to support the issuance of an export license by that government. These records are filed alphabetically by the District Office issuing office and, thereunder, numerically by BXA assigned certification number.

Transfer to WNRC 3 months after issuance. Destroy when 7 years old.

8. Foreign Import Certificate Record (Form BXA-605) These are 4x7 index cards 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, license application number and date received. They are used as a comparison with the confirmation copies to detect possible use of counterfeit import certificates. They are arranged alphabetically by country and, thereunder, by number assigned by the foreign government.

Destroy when 7 years old.

9. Confirmation Copies of Foreign Import Certificates These are copies of import certificates issued by foreign governments authorizing the import of commodities for which a U.S. export license has been requested. These are submitted to OEL by the issuing government. They are used for verification purposes as stated above with the Record

Cards. They are arranged alphabetically by country and then numerically by certificate number within the country group.

Destroy in office space when 2 years old.

10. Delivery Verification Certificates (Form BXA 648P)
These certificates received from U.S. exporters certify that the commodities exported abroad have been received by the foreign consignee in accordance with the information contained on the export license. They are arranged by year and by license number within the year.

Destroy when 7 years old.

11. Statement by Ultimate Consignee and Purchaser (Form BXA-629P) These are statements sent to a U.S. exporter from a foreign consignee 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 BXA-629P) for each transaction. These files are arranged alphabetically by country.

Destroy when 7 years old.

12. Visitation Reports - These are reports of periodic visits to computer installations in Communist bloc countries. Conditions are placed on exports of U.S. computer systems that the visits will be made and reports made that certify that the systems remain in place where authorized and are used for the stated end-use as authorized on the export license. These records are arranged alphabetically by the name of the exporter and, thereunder, by license number.

Destroy reports in office space 1 year after inspection ceases for each item covered by a specific license.

13. Transfer License Case Files - These records are the 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. The request is reviewed by the Office of Export Licensing and the Office of Export Enforcement. If the transfer is approved the original licensee is authorized to make the transfer. The records are arranged alphabetically by name of the original licensee.

Destroy when 7 years old.

14. Licensing Officers' Manual of the Individual Validated Licensing Division - This is the instruction manual for internal use by the licensing officers. The manual is revised as new procedures are established. New pages are inserted to replace those that are obsolete. ~~The obsolete pages are filed by subject in the same order as entered in the manual and thereunder in chronological order.~~

Permanent: Transfer to the Federal Records Center when there is enough accumulation to fill one record box and offer to the National Archives 15 years later.

15. 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 OEL and includes in the request the total value of goods shipped under the license. After reviewing the request OEL sends a certified copy of the microfiche to the U.S. exporter who sends it to his foreign importer. The letter requests and file copies of the import certificate are arranged numerically by the export license number.

Destroy in office space when 2 years old.

16. Certifications of Export License Transactions These records are copies of certifications for the request of license transactions. In cases of litigation on alleged export license violations, requests are made by the Office of Export Enforcement, the U.S. Customs Service or other government agencies to search the licensing records. All records are searched and the results are certified and notarized and delivered to the requesting agency. The records are arranged alphabetically by the name of the exporter(s) named in the request.

Destroy when 5 years old.

17. Electronic Submission Applications - These are letters from U.S. exporters requesting the privilege of submitting their export license applications electronically. Personal Identification Numbers (PINS) are assigned to responsible exporter employees who are authorized to submit license applications. The letters contain a certification of an officer of the company who will be responsible for additions and deletions of persons authorized to be assigned PINS. The records are arranged alphabetically by company name.

Destroy records in office space if no license applications have been submitted by company in 5 years.

18. Special Processing Control Record - This is a special form used by the Exporter Assistance Staff for recording information concerning the emergency clearance of export license applications. Each Export License Specialist maintains his/her file of these records in chronological order.

Destroy when 2 years old.

19. 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. Each License Specialist keeps his/her file in alphabetical order.

Destroy when 2 years old.

20. Exporter Assistance Cable File - These are cables from and cable replies to foreign posts on matters of export regulations, export policy and status of license applications. These are maintained in chronological order.

Destroy when 2 years old.

21. Export Seminar Files - These are 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. The records are filed in chronological order by date of the seminar.

Destroy one year after the seminar.

22. Record Set of Issuance produced by the Export Seminar Staff to educate the public on export control laws.

A. Issuances produced as a student guide for a presentation in a specific location.

(1) One representative student guide that was produced during a two year cycle.

Permanent: transfer to National Archives along with Item 1b.

(2) All other student guides that were produced during the two year cycle for presentation at a specific time.

Disposable: Destroy when no longer needed.

B. All other issuances. Volume is approximately 4 inches per year.

Permanent: Transfer to National Archives when 5 years old.

23. Quarterly Reports to Congress - These are file copies of reports to the U.S. Congress as mandated by the Export Administration Act of 1979. The reports list applications for export licenses which have been in process for periods longer than the statutory deadlines as required in the Act. These are filed in chronological order.

Transfer to the WNRC in 5 year increments and destroy 5 years later.

The Special Licensing Division is responsible for analyzing and acting on all requests for special licensing authority involving multiple shipments and for conducting compliance reviews for distribution license holders and their foreign consignees as well as individual validated exports under the Export License Application and Information Network (ELAIN). The Division also develops new procedures for implementation of special licenses in accordance with Administration policy and the evolving needs of the business community.

24. Special Licenses Files - These are license applications with supporting papers for a license having characteristics above and beyond those of a license for a single transaction. They involve either multiple foreign consignees, liberal export provisions, or exports for longer periods of time. These special licenses are the:

- o Distribution License
- o Service Supply License
- o Project License
- o Humanitarian License
- o Aircraft and Vessel Repair Station Procedure

These applications with supporting papers are filed by license application number within each of the five categories.

Transfer to WNRC 1 year after expiration. Destroy when 7 years old.

25. Audit Reports of Systems Reviews - These are the records of on-site audits of Distribution License holders. The audits involve interviews with officials familiar with or responsible for Distribution License compliance, inspection of records and the review of internal control programs.

These records are filed numerically by a Strategic Analysis Review number for the Washington D.C. office and by a W.R.O. number for the Western Regional Office.

Destroy when 7 years old.

26. Internal Control Program Reviews - These are voluntary submissions of Internal Control programs from Distribution License holders. Each license holder and applicant is required to have an internal control program designed to ensure compliance with all conditions of the Distribution License and the Export Administration Regulations. The programs are reviewed by the Special License Division who then responds to the licensees with letters of approval or with notices of corrections to be made in the programs.

These records are filed alphabetically by Distribution License holder or applicant.

Destroy when 2 years old.

27. Pre-License Consultations - These are records of the meetings held in the Special License Division between license officers and the prospective Distribution License applicants. Before preparing and submitting an application, prospective applicants will have to provide strong evidence of applicant and consignee reliability.

These records are filed alphabetically by applicant name.

Destroy when 4 years old.

28. Policy Initiatives - These are records of recommended changes in licensing policy initiated by the Special License Division. Most are correspondence with other government agencies concerning decisions in new commodities for consideration under the Special Licensing procedures.

These records are filed alphabetically by subject.

Destroy after 3 years or when superseded by new policy guidance.

29. Application for General License (GTE) Temporary Exports These are requests for registration for a General License (GTE) as defined by Part 371.22 (b) of the Export Administration Regulations. These are submitted in duplicate by exporters who wish to export commodities for temporary use abroad.

The files consist of company correspondence, arranged alphabetically by name, requesting registration under this licensing provision. When a firm's request is approved, a validated copy of the certification is returned to the registrant, and one copy is retained by the Special License Division as proof of certification. The registration remains in effect until specifically revoked by OEL.

Destroy when 7 years old.

30. Audit Reports of ELAIN Applications - These are audit reports of export license applications submitted electronically, (ELAIN - Export License Application and Information Network). Random audits are sent to ELAIN license holders to assure proper documentation secured and compliance with procedures for applying for licenses.

The records consist of letters to the licensees and their responses and are filed alphabetically by company name.

Destroy one year after date of response from licensee.

31. Licensing Officers' Manual of Special License Division
This is the instruction manual for internal use by the licensing officers. The manual is revised as new procedures are established. New pages are inserted to replace those that are obsolete. ~~The obsolete pages are filed by subject matter the same as entered in the manual.~~

Permanent: Transfer to the Federal Records Center when there is enough accumulation to fill one record box and offer to the National Archives 15 years later.

Records common to all units of the Office of Export Licensing

32. Chronological, Reading, Tickler or Suspense Files
Extra 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. This, of course, removes the extra file copy. Filed in chronological sequence.

Destroy when no longer needed for current business or when 1 year old, whichever is sooner.

33. Working paper files - These files maintained by individual staff members consist of background materials, work papers, extra copies, drafts, and technical reference materials pertaining to particular staff assignments given to individual members.

Destroy when no longer needed for current business.

Records Related to Short Supply Commodities

34. Western Red Cedar Files - With the passage of the Export Administration Act of 1979, unprocessed western red cedar, with certain exceptions, was placed under short supply controls. Any firm desirous of exporting this commodity from the United States to any destination is required to obtain a validated export license issued by the Office of Export Licensing. Records consist of quota cards, correspondence, sales contracts, company reports, bills of sale, copies of applications for export license, affidavits, and the like. General filing arrangement is by company name.

Transfer to the WNRC when 3 years old and destroy 5 years later.

35. 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 for exports. The records are filed by company name.

Transfer to the WNRC when 3 years old and destroy 5 years later.