

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO.

N1-476-90-1

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

DATE RECEIVED

10/31/89

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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 INDUSTRIAL RESOURCES ADMINISTRATION

4. NAME OF PERSON WITH WHOM TO CONFER

Richard Usrey

5. TELEPHONE EXT.

377-5653

DATE

3/12/91

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 12 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.

B. DATE

9-29-89

C. SIGNATURE OF AGENCY REPRESENTATIVE

Sherry M. Cagle
Sherry M. Cagle

D. TITLE

Departmental Records Management Officer

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 GRS OR SUPERSEDED JOB CITATION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)

THE OFFICE OF INDUSTRIAL RESOURCES ADMINISTRATION

The Office of Industrial Resources Administration (OIRA) is the focal point within the Department of Commerce for analysis and regulation pertaining to the defense industrial base. OIRA responsibilities are to: evaluate the impact of trade and economic policy on the ability of U.S. industry to meet national resource management plans and controls as an element of U.S. National strategy.

The records identified in this Records Control Schedule supersede the records identified in International Trade Administration's Records Control Schedule number NCI-151-77-1

Copier sent to agency, NCF, NN, W, NNT 3/14/91

Records of the Director

1. Director's Chronological File - Correspondence, reports, copies of committee papers, slip copies of legislation with workpapers, and similar documentation generated or collected by the Director and his immediate staff, including the Deputy Director. The paperwork flow is so organized that official record copies of policy development, program planning, and functional implementation papers are maintained in the component divisions of the Office.

Start a new file every 2 years. ^{Retire} Transfer to WNRC and destroy when 10 years old.

2. Legislative Policy and Guidance - Orders and regulations that directly or indirectly affect the Office of Industrial Resource Administration. These files are arranged in numerical order.

Destroy when superseded by later issuance or when obsolete.

National Security Preparedness Division - This Division administers several regulatory and preparedness functions including the following:

- o Administration of the Defense Priorities and Allocations System (DPAS) which ensures that contracts and orders related to approved national security programs are given preferential treatment by suppliers. The system would be vastly expanded in times of national emergency to control industrial production. The Division conducts a training program to explain major provisions of the DPAS to defense agency and industry contractors, and a compliance program to ensure compliance with the system.
- o Coordination of the Department's emergency planning preparedness program to ensure that industrial mobilization

programs are current and comprehensive. Planning is coordinated with other agencies and with Canada and our NATO allies.

- o Participation as the U.S. representative to NATO's Industrial Planning Committee. The Industrial Planning Committee is the central forum for the discussion of

industrial mobilization and civil emergency planning issues which effect the Alliance's ability to field an effective conventional deterrent capability. Its primary responsibility is the training and development of the Central Supplies Agency, which would be activated to coordinate NATO industrial production and policy in times of crisis or war.

- o Administration of the Department's National Defense Executive Reserve program including recruiting and training a cadre of industry executives for emergency duty assignments to ensure that mobilization programs are rapidly implemented.

3. 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. Documents - Destroy in accordance with the appropriate NATO security regulations. Disposition included on document.
- b. Correspondence - Destroy when 5 years old.

4. Federal Emergency Plans - Plans for the assumption, by Government, of the responsibility for industrial production, construction, and distribution in the event of national emergencies.

Destroy when superseded by later issuance or when obsolete.

5. DPAS Program Subject File - This Program administers the Special Priorities Assistance Program, and activities that involve compliance and enforcement under the provisions of the Defense Production Act of 1950. The file contains correspondence, documentation and other materials on all facets of operation of the Program. The Program is also responsible for revisions to the DPAS regulation, the taking of official actions

and other issuances as required. The regulation and certain issuances initiated in the Program are all published in the Federal Register. Accordingly, the file is primarily valuable for administrative purposes. These records are filed alphabetically by subject

Permanent Start a new file every 5 years. Retire to the WNRC and transfer to the National Archives when 10 years old.

6. DPAS Issuances - A set of DPAS regulations, orders, and delegations 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 of the System that might not otherwise be possible through use of a multiplicity of references. These records date from February 1986 and accumulate approximately one-half cubic foot per year.

RZ
1/18/91
Record Set (1 copy of each issuance) - Permanent. ^{Retire} ~~Transfer~~ to WNRC when 10 years old and ~~offer~~ ^{transfer} to the National Archives when ~~25~~ ¹⁵ years old.

7. DPAS Issuances Support File - These are background papers generated by the Division in the preparation or revision of DPAS issuances. These are needed for a considerable period of time in connection with the development of new issuances and to insure protection of all legal rights.

^{Cutoff annually.}
~~Retire~~ ^{Transfer} to WNRC when not needed for current business.
Destroy when 15 years old.

8. 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 OIRA, a copy of the case worker's Worksheet for Request for Priorities Assistance (Form BXA-513, or equivalent), related correspondence and supporting documents. The files show the nature of the request, the actions taken by the priorities office and the reasons for taking the actions. Companies holding

defense contracts initiate priorities assistance requests to expedite shipment and receipt of materials, equipment or other items which they require to complete their contract. In cooperation with the defense agencies, the Department of Commerce directs the appropriate supplier to meet the needs of the requesting contractor. This record set of cases handled by the Office constitutes the sole authoritative version of each

case for legal and other purposes. These records are filed numerically by a 5 digit case number.

~~Return~~
~~Transfer~~ ^{Cut off Annually}

Transfer to WNRC when 3 years old. Destroy when 10 years old.

9. 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 which is administered pursuant to the authority of the Defense Production Act. The file also contains copies of compliance reports and recommendations submitted to the Director, Office of Industrial Resource Administration, and to the Office of General Counsel, Department of Commerce, where appropriate. The files are arranged alphabetically by company name.

~~Return~~
~~Transfer~~ closed cases to WNRC when 5 years old. Destroy when ~~10 years old~~. 5 years thereafter.

10. Canadian DPAS Files - These are applications from the Canadian government for U.S. priority rating authority. Also included are the letters of authorization issued by OIRA and related documents. They are filed numerically by case number.

~~Return~~
~~Transfer~~ ^{Cut off Annually}

Transfer to WNRC when 3 years old. Destroy when 10 years old.

11. Controlled Materials Program Files - These are various subject files from a deactivated program arranged alphabetically by subject and grouped under main subject headings also arranged alphabetically. They include documents, information, and data related to program implementation and the management of the four controlled materials: steel, copper, aluminum, and nickel alloys. The documents, information, and data include material pertaining to set-asides (industry wide by company), production directives to companies, defense requirements for controlled materials, Canadian allotments, and steel producers reports.

~~Return~~
~~Transfer~~ to WNRC and Destroy ^{when} 10 years ^{old} later.

Emergency Preparedness Program

The Program develops and tests plans and procedures for response to war or other national emergencies; recruits and trains cadres of National Defense Executive Reservists from the private sector to assume major responsibilities in a national emergency; maintains industrial mobilization data centers at selected alternate and regional relocation sites; provides emergency planning support to the Director, OIRA, for participation in the NATO Industrial Planning Committee and the U.S./Canada Emergency Planning Committee for Industrial Production and Materials; and, prepares procedural documents for other national emergency response programs.

12. Emergency Plans and Exercises - These are emergency plans and procedures for both nuclear and conventional war. Included here are working papers generated in periodic exercise of these plans, arranged by the name of the specific exercise.

- a. Emergency plans - Destroy when superseded or obsolete.
- b. Exercise files - Destroy when 5 years old.

13. Emergency Preparedness Planning - These are documents on the participation of the Division in civil, industrial, and mobilization planning.

Destroy when 10 years old.

14. Emergency Mobilization Preparedness Board (EMPB) Program File - The EMPB was established on December 17, 1981 by Presidential Executive Memorandum. It is intended to improve U.S. capability to respond to major peacetime and wartime emergencies. The Board consists of representatives of 22 Federal agencies and is chaired by the Assistant to the President for National Security Affairs.

The Department of Commerce representatives include the Under Secretary for Export Administration, the Deputy Under Secretary for Export Administration, who chairs the Industrial Mobilization Working Group; and the Assistant Secretary for Export Administration, or his designated alternate, who serve on various working groups and task forces. Current working groups include Human Resources, Civil Defense, Emergency Communications, Military Mobilization, Health, Law Enforcement, and Public Safety. Among the task forces are Resource-Claimancy, Co-Production and Offsets, Stock Pile, and Industrial Capabilities.

Records are arranged by type of meeting or subject, as appropriate. Agendas and minutes of meetings, memoranda, drafts of documents, correspondence, and general background information on the EMPB comprise the bulk of the file.

Permanent. ^{Cyber Annually} ~~Transfer~~ to WNRC when no longer needed for current business. ^{Offer} ~~Transfer~~ to National Archives when 20 years old.

~~15. National Defense Executive Reserve Program - These are name case folders for each individual designated by the Secretary of Commerce to serve in the Executive Reserve. Each folder contains a copy of the Reservist's application, references, personal history statement, emergency assignment and copies of correspondence concerning service in the Reserve. Executive Reservists are designated for a term of three years and may be redesignated for additional terms if desired.~~

~~a. Separated Reservists - Destroy name case file 5 years after separation.~~

~~b. Deceased Reservists - Destroy name case file upon notification of death.~~

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16. National Defense Executive Reserve Training Records - At the beginning of each fiscal year, an Executive Reserve training program is planned, including a Simulated Emergency Operation Exercise. A schedule of meetings at selected points throughout the United States is also established. Based upon the schedule, invitations and registration forms are sent to Executive Reservists and others who should attend each meeting. After appropriate introductory remarks, the attendees at each meeting participate in the Simulated Emergency Operations Exercise as a workshop. Thereafter, a short time is allowed for discussion.

A file folder is prepared for each meeting containing documentation of the activities described above.

Destroy when 5 years old.

17. National Defense Executive Reserve Training Problems and Solutions - Training meetings, seminars, and exercises are conducted for Executive Reservists using these Problems and Solutions. Each Reservist at the training session is also provided a Situation Summary. These three documents are often supplemented with appendices and exhibits. In the process of preparing these basic training documents, a considerable quantity of workpapers and supporting documentation is generated.

- a. Record Set (1 copy each): Problems, solutions, situation summaries, and training materials. As part of its ongoing functions, the Division conducts periodic orientation and training sessions for emergency designees and NDER members. Between 1968 and 1976 there was an acculation of approximately one-half cubic foot of records. Permanent. ~~Transfer~~ ^{Retire} to WNRC when no longer needed for current business. ~~offer~~ ^{Transfer} to National Archives 20 years later.
- b. All other copies of Problems, Solutions, and Situation Summaries. Destroy when 5 years old.
- c. Supporting documentation and workpapers. Destroy when they have served their purpose.

18. Training Bulletins - This is a special series of bulletins designed to educate Reservists in the principles of industrial mobilization, organization for war, the DPAS and other subjects of importance to the effective training of Reservists. Each issue is devoted to exploring a particular subject area in detail.

Record Set (1 copy each issue) - Permanent. ~~Transfer~~ ^{Retire} to WNRC when enough have accumulated to fill one Records Center box. ~~offer~~ ^{Transfer} to National Archives 15 years later.

~~19. Mobilization Data File - The Executive Reserve program maintains a Mobilization Data File which consists of a central collection of all documents sent to the various national and regional relocation centers or sites (Federal Regional Centers). These documents are all physical duplicates or processed copies of papers maintained in files located throughout the agency. Accordingly these are nonrecord materials that are maintained in official files in the various units of the agency long enough to satisfy all administrative, legal, and historical requirements.~~

~~These materials, as well as those maintained at the relocation sites, are destroyed when they have served their purpose or when obsolete.~~

Non Record

20. Relocation Site Agreements File - These are letters of understanding between FEMA and certain institutions across the country, in which the institutions agree to serve as emergency relocation sites during time of national disaster or emergency. Also included is related correspondence. File is maintained alphabetically by name of ITA District Office.

Destroy upon termination or renegotiation of agreement.

21. NATO Industrial Mobilization 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 war.

The Director, Office of Industrial Resource Administration, serves as the U.S. Representative on the NATO Industrial Mobilization Planning Committee and the National Security Preparedness Division serves as his alternate. The Division is assigned responsibility for responding to NATO requests for proposals, reports, and recommendations covering specified areas of industrial mobilization planning. Most of the papers generated in this activity are received from NATO and bear NATO requirement for their ultimate disposition.

a. Records set: Problems, solutions, situation summaries, training materials, and related program records.
Permanent. ~~Transfer~~ ^{Transfer} to the WNRC when no longer needed reference. Transfer to the National Archives when 20 years old.

b. All other papers. *Cut off annually.* Destroy when 10 years old.

R. J.
1-18-91

BUREAU OF EXPORT ADMINISTRATION

