

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK	
TO: GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO.	N1-476-90-4
1. FROM (Agency or establishment) U.S. Department of Commerce		DATE RECEIVED	11/9/89
2. MAJOR SUBDIVISION Bureau of Export Administration		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION Office of Foreign Availability		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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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. <i>act 11</i>	
4. NAME OF PERSON WITH WHOM TO CONFER Richard Usrey	5. TELEPHONE EXT. 377-5653	DATE 10/25/89	ARCHIVIST OF THE UNITED STATES <i>Claudine Steiner</i>
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 6 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 11/6/89	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>Sherry M. Cage</i> Sherry M. Cage	D. TITLE Departmental Records Clearance Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN <i>(NARS USE ONLY)</i>
	<p><u>THE OFFICE OF FOREIGN AVAILABILITY (OFA)</u></p> <p>The Office of Foreign Availability conducts foreign availability assessments to determine if a foreign item is comparable to a good or technology that is controlled for national security purposes, and to determine if it is available in fact from non-U.S. sources. Foreign availability of a controlled item exists when a foreign item of comparable quality is available in fact to proscribed countries in sufficient quantities so that continued control of U.S. exports of the item would be ineffective in achieving its purposes.</p>		

Copies sent to agency, NCF, NNT, NNW

Records of the Director of OFA

1. Chronological File - 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 the Director and staff members than is normally associated with a chronological file. They serve as a useful index to other files the office creates.

Destroy after 3 years at the end of the calendar year.

Records of the Foreign Availability Assessment Division

This division analyzes the technical capability of foreign sources to produce controlled goods and technology; reviews comparability of technology and production in quality and quantity; prepares final assessments; and coordinates review of foreign availability determinations with appropriate agencies and prepares reports for higher management to use in making policy decisions for decontrol when foreign availability has been determined. These assessments and reviews are for the purpose of issuing licenses, decontrolling goods or technologies, determining the U.S. position on control levels for bilateral and multilateral international negotiations, and supporting negotiations conducted by the Department of State to eliminate uncontrolled sources of foreign availability.

2. Central Assessment File - These are records of completed assessments. They include; chronology of the review, supporting documentation/evidence, all correspondence and cables, Federal Register Notices, and final determination. They come to this file from the Analyst Working File (Item 5 below) when the assessment is completed and are filed chronologically/numerically by an assigned number.

Permanent - Transfer to WNRC 5 years after the finding or completion of the review and offer to National Archives 15 years later.

3. Analyst Subject Files - These general reference files are used by the analysts working on the assessments. They are filed according to the different areas of technology but are not specific to an assessment. They are divided into classified and unclassified material and include specifications, product brochures, and company information.

Destroy when material becomes obsolete.

4. COCOM Licensing Files - These are additional reference materials used by the analysts. The international Coordinating Committee (COCOM) maintains an international list (IL) of all goods and technology multilaterally controlled for export by COCOM member countries. They are filed numerically by IL number and alphabetically by country name within each IL file.

Destroy when the list is superseded by later revisions.

5. Analysts Working Files - These individual files are maintained by each analyst and contain all paperwork relevant to an assessment in progress.

Transfer to the Central Assessment File (Item 2 above) when the Assessment is complete.

6. Claims File - These are all records associated with Foreign Availability Submissions (FASs) as required by the Export Administration Regulations. The records may be unclassified or may be classified as proprietary material to be withheld from public disclosure. They are filed alphabetically by name of claimant.

Permanent - Transfer to WNRC 5 years after the finding or completion of the review and offer to National Archives 20 years later.

7. Division Chron File - Contains copies of all memoranda and correspondence leaving the division and internal to the division. There is an unclassified file and a classified file.

Destroy when 3 years old.

Records of the Technical Information Resources Staff

8. COCOM Files - These are all records on COCOM activities of interest to the Office of Foreign Availability, including reporting cables, records of discussions, U.S. and foreign proposals, meeting schedules, trip reports, etc. These are filed alphabetically by subject and include material on commodities, countries, events, etc.

Transfer to the WNRC after 5 years or when no longer needed for reference, whichever comes first. Destroy 5 years later.

9. External Research Contract Files - These files include the contract administrative documents (e.g. Requests for Proposals, contractor technical proposals, a copy of the contract and statement of work, correspondence with the contractor and DOC contracting officials, progress reports, etc.) that OFA's COTR maintains, and the contract deliverables, which may include hard copy and/or electronic copies of the draft and final reports. These records are filed alphabetically by the name of the contractor.

Destroy ~~2 years~~ after termination of contract.

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Records of the Director of Special Projects

10. Management Control Files - These are records that contain information for use in completing the mission of Special Projects. These files include: records of meetings, information on nominated BXA appointees, chronologies and tracking of ongoing assessments, foreign, industry and government contacts, Federal Register procedures and notices, GAO and IG reports, legislation creating and modifying OFA, regulations pertaining to OFA, and various workshops attended by the Director of Special Projects. These are filed alphabetically by subject matter.

Destroy when no longer needed for current business.

11. Availability-in Fact - These records contain information on the various sources of foreign availability for different commodities, as they pertain to ongoing assessments. These records are filed alphabetically by commodity and then by country within the commodity.

When the assessment is completed, transfer to the technology specialist responsible for the assessment or to the Country File (Item 17 below).

12. International Coordinating Committee (COCOM) - These records contain information that relates to COCOM operations as they affect OFA. They include information on COCOM staff members, individual controls and control systems of COCOM member countries, strategic offices, background, duties and COCOM's interest in foreign availability. These are filed alphabetically by subject matter.

Destroy when no longer needed for current business.

13. Export Administration Act, Section 5(k) Countries - These are records of non-COCOM countries that contain information on which countries receive in part or full the 5(k) benefits that are offered to induce countries to adopt COCOM comparable control systems. These are filed alphabetically by country.

Transfer to the Country File (Item 17 below) when no longer needed for current business

14. Third Country Initiatives - These are records of negotiations between U.S. and foreign countries that do not have export control systems. These are filed alphabetically by country.

Destroy when no longer needed for current business.

15. U.S. Export Controls - These records contain information about recent changes to U.S. export control policy and regulations. Included are changes in export policy of: U.S. Origin Parts and Components, Technical Data, and Missile Technology. These are filed alphabetically by subject.

Destroy after one year or when no longer needed, whichever comes first.

16. Working Groups - These are records of the activities of various working groups; the commodities studied and their recommendations relative to any aspect of foreign availability. The groups include: Technical Advisory Groups (TAC's), Technical Task Groups (TTG's), Militarily Critical Technologies List Implementation Technical Advisory Committee (MITAC), and the Trade Violations Working Group (TVWG). Filed alphabetically by group and chronologically within the group.

Destroy after two years or when no longer needed for current reference, whichever comes first.

Records of the Special Projects Staff

17. Country Files - These records pertain to the foreign availability of goods from particular countries. They include: relations with the U.S., export laws, export controls, relations with other countries (e.g. COCOM, Eastern Bloc, USSR), technical transfers, industrial/economic information, nuclear capabilities, and specific industries. The files consist mostly of studies of the countries and copies of cables from foreign posts (classified and unclassified). These are filed alphabetically by country.

Destroy when 5 years old or when no longer needed, whichever comes first.

18. Working Files - These are files which consist of background and reference material, work papers, extra copies and drafts. They are maintained by individual staff members and pertain to particular assignments given to them. They are filed alphabetically by subject matter.

Destroy when no longer needed or transfer to the Country Files or Management Control Files as appropriate.