

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO.

N1-476-90-8

DATE RECEIVED

12/1/89

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

1. FROM (Agency or establishment)

U.S. Department of Commerce

2. MAJOR SUBDIVISION

Bureau of Export Administration (BXA)

3. MINOR SUBDIVISION

Office of the Under Secretary for
Export Administration

4. NAME OF PERSON WITH WHOM TO CONFER

Richard Usrey

5. TELEPHONE EXT.

377-5653

DATE

10/29/90

ARCHIVIST OF THE UNITED STATES



NOTIFICATION TO AGENCY

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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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

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 7 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 <i>11/29/89</i>	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>Sherry M. Cage</i> 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 GRS OR SUPERSEDED JOB CITATION	10.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>OFFICE OF THE UNDER SECRETARY FOR EXPORT ADMINISTRATION</p> <p>The Under Secretary for Export Administration determines the policy, directs the programs, and is responsible for all activities of the Bureau of Export Administration. The Under Secretary directs and coordinates all issues regarding the administration of the Export Administration Act of 1979 and other statutes. In the absence of the Secretary of Commerce, the Under Secretary represents the Department on the Export Administration Review Board and, as assigned, serves all other Secretarial level boards, committees, or panels of which the primary focus is export control, export administration, or export or antiboycott enforcement. The Under Secretary acts on decisions of the Administrative Law Judge in enforcement cases involving violations of export control and antiboycott regulations.</p> <p>The Under Secretary is assisted by the Deputy Under Secretary who is the principal deputy to the Under Secretary; performs such duties as the Under Secretary may assign; performs the functions of the Under Secretary in the latter's absence; and is responsible for the day-to-day management of BXA. The Deputy Under Secretary is the permanent chair of BXA's Executive Resources Board.</p> <p>The records identified in this Records Control Schedule supersede the records identified in the International Trade Administration's Record Control Schedule number NCI-151-77-1.</p> <p><i>Copies sent to agency, NCF, NNT, NNW, NNS</i></p>		

1. Under Secretary Speech File - These are copies of all speeches delivered by the Under Secretary. They are filed in chronological order.

Permanent - Retire to the Washington National Records Center (WNRC) when there is a change of the Under Secretary and offer to the National Archives 15 years later.

2. Under Secretary Appointment Book - This record documents meetings, appointments, trips, visits, and other activities. A new book is started for each calendar year.

Permanent - Retire to the WNRC when there is a change of the Under Secretary and offer to the National Archives 15 years later.

3. Under Secretary Travel Files - Separate folders are made for each trip. They contain travel orders, travel vouchers, invitations to speak and copies of speeches. These are filed in chronological order.

Retire to the WNRC when there is a change of the Under Secretary and destroy 10 years later.

4. Under Secretary Working Papers - These are reference copies of incoming and outgoing letters and background material on subjects related to the individual functions of the program offices (Office of Export Licensing, Office of Export Enforcement, Office of Technology and Policy Analysis, etc.). There are also copies of letters and memoranda originated by the Under Secretary that are kept as a convenient reference for the Office although the permanent chronological copies of the letters are kept in the Office of the Secretariat. They are filed alphabetically by subject matter within each program area.

Destroy in office space after one year.

5. Deputy Under Secretary Speech File - These are copies of all speeches delivered by the Deputy Under Secretary. They are filed in chronological order.

Permanent - Retire to the WNRC when there is a change of the Deputy Under Secretary and offer to the National Archives 15 years later.

6. Deputy Under Secretary Appointment Book - This record documents meetings, appointments, trips, visits, and other activities. A new book is started for each calendar year.

Permanent - Retire to the WNRC when there is a change of the Deputy Under Secretary and offer to the National Archives 15 years later.

7. Deputy Under Secretary Travel Files - Separate folders are made for each trip. They contain travel orders, travel vouchers, invitations to speak and copies of speeches. These are filed in chronological order.

Retire to the WNRC when there is a change of the Deputy Under Secretary and destroy 10 years later.

8. Deputy Under Secretary Working Papers - These are reference copies of incoming and outgoing letters and background material on subjects related to the individual functions of the program offices (Office of Export Licensing, Office of Export Enforcement, Office of Technology and Policy Analysis, etc.). There are also copies of letters and memoranda originated by the Deputy Under Secretary that are kept as a convenient reference for the Office although the permanent chronological copies are kept in the Office of the Secretariat. They are filed alphabetically by subject matter within each program area.

Destroy in office space after one year.

9. Office of the Secretariat Chronological (Subject) File - These files contain copies of incoming letters, concurrence records, and outgoing letters. These files take the place of most subject files formerly located in the Offices of the Under

Secretary and Deputy Under Secretary. All are listed in a computer by an assigned number, subject, originator, date received, date due, and completion date. For convenient reference the computer permits tracking of the subject or any other data element entered.

Among these files are:

- o Responses to Congressional, White House, Agency, and general public correspondence,
- o Reports to Congress,
- o President's Export Council Subcommittee on Export Administration,
- o Weekly Highlights to the Secretary,
- o Export licensing information pertaining to various countries.

These are filed chronologically within each year.

Permanent - Transfer to WNRC 2 years after the end of each calendar year and offer to the National Archives 20 years later.

10. Compliance Case Files - These are copies of all documents related to charges of violations of the Export Administration Act and Regulations. The documents include copies of charging letters, transcripts of hearings, exhibits, rulings, orders, decisions, and all other papers and requests filed in the proceedings. The original case files are maintained in the Office of the Administrative Law Judge. The cases are filed numerically by docket number.

Destroy when they have served their purpose or when 5 years old, whichever is sooner.

11. Appeals Case Files - These cases are created when a company seeks to reverse a negative export license application determination under Part 789 of the Export Administration Regulations. These files are maintained in sequential order from the date received and numbered accordingly. Alphabetical cross-listings under the appellants name are also maintained. Among the documents included are correspondence, affidavits, Notification of Rejection of Export License Application, formal request of appeal, final recommendation, and supporting papers.

Retire closed cases to WNRC annually and destroy 10 years later.

Records of the Congressional Affairs Staff

12. Hearings Files - These files contain hearing reports before the U.S. Congress on all matters affecting international trade. Witnesses from the Department of Commerce and other agencies are called to testify before various committees such as the Foreign Affairs Committee and the Armed Services Committee. The hearings are held on a broad range of subjects affecting national security, foreign policy and short supply. The files are arranged chronologically for each session of Congress.

Retire to WNRC 2 years after the close of each session of Congress and destroy 3 years later.

13. Subject Files - These are incoming and outgoing correspondence and other papers related to congressional interest in all matters of international trade. Among the broad range of subjects included are files on the Alaskan Oil Trade Bill, Chemical Warfare, Licensing Statistics, Missile Technology, Nuclear Non-Proliferation, Supercomputers, and Unilateral Controls.

Destroy in office space when no longer needed or at the end of each odd-numbered calendar year.

14. Chronological Files - These files contain extra copies of incoming and outgoing correspondence and are maintained for convenience of reference. Filed in chronological sequence.

Retire to WNRC 2 years after the close of each session of Congress and destroy 3 years later.

Records of the Public Affairs Staff

15. Press Releases - These are copies of releases initiated by the Bureau of Export Administration. Most relate to changes in export policy or revisions in export regulations. These are filed in chronological sequence.

Permanent - Transfer to WNRC after two years and offer to the National Archives 10 years later.

16. Biographies and Photographs

- a. Biographies These are copies of biographies and photographs of the Secretary of Commerce, Under Secretary for Export Administration and Deputy Under Secretary for Export Administration. They are provided, on request, to organizations who may extend invitations to these officials to visit or speak before their groups. These are filed alphabetically by name of official.

Permanent - Transfer to the WNRC 2 years after separation of the subject official and offer to the National Archives 10 years later.

- b. Photographs which document the substantive program functions of the agency or contain unique and important information and include: (1) Black and white and color negative photography; the original negative, a captioned print, and, for color negative photography, a duplicate negative, if one exists, (2) Color transparencies and slide photography; the original and a duplicate, (3) Slide sets or filmstrips and accompanying audio recordings or scripts; two copies.

Permanent - Offer to the National Archives when no longer needed for current business but no later than 10 years.

17. Statements, Speeches and Testimonies - These are records of statements, speeches and testimonies given by the Secretary, Under Secretary and other officials. They are filed chronologically by each official.

Destroy 2 years after separation of the subject official.

18. Motion Pictures, Videos, and Audio Documents Produced by BXA.

- a. Motion Pictures which document the substantive functions of the agency or contain unique and important information. The original negative or color original plus separate sound track, an intermediate master positive or duplicate negative plus optional sound track, and a sound projection print or video recording.
- b. Video Recordings which document the substantive program functions of the agency or contain unique and important information. The original or earliest generation of recording and a dubbing, if one exists.

- c. Sound Recordings which document the substantive program functions of the agency or contain unique and important information. Conventional mass produced, multiple copy disc recording: the master tape, matrix or stamper, and one disc pressing. Also Magnetic audiotape recordings (reel-to-reel, cassette or cartridge): the original or earliest generation of each recording and a dubbing, if one exists.

Permanent - Offer to the National Archives when no longer needed for current business but no later than 10 years old.

19. Progress Files on Publications - These are records primarily concerned with printing and other technicalities involved in the preparation of the publications issued by the staff. They include the Forms CD-10, "Publications Service Request" and CD-27, "Publications Clearance Request". They are filed alphabetically by the title of the publication.

Destroy when 5 years old.

20. Record Set of Publications - These are copies of publications produced by the publications staff and the Government Printing Office. They include the "Annual Report", the "Foreign Affairs Report to Congress" and other promotional and instruction material offered to the U.S. exporting community.

~~a. Publications Not published by the Government Printing Office (GPO):~~ Permanent - Retire to the WNRC in 5 year blocks and offer to the National Archives 10 years later. *P.U.*

~~b. Publications published by GPO. Destroy when no longer needed for agency business.~~

21. Working Paper Files - These files maintained by individual staff members consist of background materials, work papers, extra copies, drafts, and other reference materials pertaining to particular staff assignments given to individual members.

Destroy when no longer needed for current business.