

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-476-90-010**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 11/23/2023

### **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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

All items other than those listed below remain active

### **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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

Item 17 is superseded by GRS 9 # 3b (DAA-GRS-2013-0003-0002)

Item 18 is superseded by GRS 6 #4 (DAA-GRS-2013-0003-0001)

Item 22 is superseded by GRS 6 # 4 (DAA-GRS-2013-0003-0001)

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>				<b>LEAVE BLANK</b>	
				JOB NO. <b>N1-476-90-10</b>	
TO: GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408				DATE RECEIVED <b>2-14-90</b>	
1. FROM (Agency or establishment) <b>U. S. Department of Commerce</b>				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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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.	
2. MAJOR SUBDIVISION <b>Bureau of Export Administration</b>					
3. MINOR SUBDIVISION <b>Director of Administration</b>					
4. NAME OF PERSON WITH WHOM TO CONFER <b>Richard Usrey</b>			5. TELEPHONE EXT. <b>377-5653</b>	DATE <b>10/25/90</b>	ARCHIVIST OF THE UNITED STATES <i>Celt</i> <b>Claudine Weiler</b>

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 8 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 <b>2/6/90</b>	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>Sherry M. Cage</i> <b>Sherry M. Cage</b>	D. TITLE <b>Departmental Records Management Clearance Officer</b>
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7. ITEM NO.	8. DESCRIPTION OF ITEM <small>(With Inclusive Dates or Retention Periods)</small>	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN <small>(INARS USE ONLY)</small>
	<p>The Director of Administration is the principal advisor to the Under Secretary and the Deputy Under Secretary on administrative and management policy for BXA. The director functions as BXA's Security Officer and exercises line responsibility for BXA's planning, financial and administrative functions, including the Department's Management By Objectives (MBO) program. In addition, the Director manages BXA's tasking and control systems, centralized delivery and personnel intake programs. The Director of Administration directs the following offices:</p> <p style="margin-left: 40px;">The Office of Security and Management Support The Office of Budget and Financial Management The Office of Information Resources Management</p> <p>The records described in this schedule are the special records that are unique to certain functions of BXA. All other records maintained by the above offices are those common to most agencies of the Federal Government and are included in the General Records Schedule.</p>		

*Copies sent to agency NCF, NNT NNW*  
*11/7/90*

RECORDS OF THE OFFICE OF SECURITY AND MANAGEMENT SUPPORT

Management Analysis and Support Division

1. Distribution Records of Revisions to Export Regulations - As revisions are made to the Export Administration Regulations (EAR) they are published in the Federal Register (FR). Summaries of the FR notices are distributed to Commerce District Offices and to foreign posts. The records are filed chronologically according to anticipated publication date in the FR. The records of this distribution include:

- o copy of the summary of the FR notice
- o copy of the cable sent to foreign posts
- o cover sheet listing the dates of each distribution with the message sent to the Commerce District Offices

Destroy after one year.

2. District Office Reports of Export Control Counselling Activity - Each month the offices of the U.S. and Foreign Commercial Service send to BXA a record of the activity each office spends in counselling U.S. exporters on matters of export regulations. The counselling sessions are recorded on the Form ITA-700 and these forms are attached to a summary cover sheet that contains the total activity for each office during the month. The records are filed chronologically by month and alphabetically by district office within each month.

Destroy after one year.

3. Management Studies and Program Evaluations - These records are discretionary reports conducted as requested by BXA officials and program offices. Examples of these reports are the review of the export license application process and the audits of BXA field office operations.

Transfer to the WNRC 3 years after completion of the study and destroy 3 years later.

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4. Vulnerability Assessments and Internal Control Reviews - These records are studies and reviews of the susceptibility of a program to the occurrence of waste, loss, unauthorized use, misappropriation of resources or mismanagement. The studies recommend safeguards to address weaknesses identified.

Transfer to the WNRC 3 years after completion of the study and destroy 3 years later.

5. Quality Assurance Reviews - These records are generated from the Vulnerability Assessment program that monitors the recommendations and evaluates accomplishments resulting from the Internal Control Reviews. These quality assurance reviews assess the agency's compliance with the guidelines of OMB, DOC, and OIG.

Transfer to the WNRC 3 years after completion of the study and destroy 3 years later.

6. A-76 Studies - These are records from the agency's review process to comply with the Office of Management and Budget's Circular A-76, "Performance of Commercial Activities". The studies are conducted to determine whether Government support services can be more efficiently and effectively performed by the government or by the private sector.

Transfer to the WNRC 3 years after completion of the study and destroy 3 years later.

7. Government Accounting Office (GAO)/Inspector General (IG) Liaison Coordination and Follow-up - These records consist of reports conducted by the GAO of BXA programs and activities. They may include classified and unclassified reports, status reports and tracking systems.

Transfer to the WNRC 3 years after completion of the study and destroy 3 years later.

### Records Inspection Facility

8. Antiboycott Reports Microfilm - These are microfilm records of requests transferred from BXA's Office of Antiboycott Compliance. These are reports required by the Export Administration Act of 1979, as amended. The Act requires a United States person ... "who receives a request to take any action which has the effect of furthering or supporting a restrictive trade practice or boycott fostered or imposed by a foreign country against a country friendly to the United States or against any United States person..." to report such a request to the Department of Commerce. Certain proprietary information in these records are withheld from these publicly-available documents. The sanitized microfilmed versions are available for public access.

Destroy in office space 5 years after received from the Office of Antiboycott Compliance.

9. Antiboycott Consent and Settlement Documents - These are copies of consent and settlement documents involving alleged violations of the Export Administration Act regarding foreign boycotts or restrictive trade practices. These records are made available for public access.

Destroy in office space 5 years after the case has been closed.

10. Closed Investigative Case Files - These are records received from the Office of Export Enforcement that are available for public access. These are non-proprietary papers and related documentation compiled in the process of collecting evidence on violations of export controls. Each case concerns a violation or violations of the Export Administration Regulations and has been completed or closed. Included are the letters of charges, denial orders, consent agreements, and press releases.

Destroy in office space 7 years after the date of the Denial Order.

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11. Section 232 Cases Under the Trade Expansion Act - A Section 232 investigation is conducted to determine the effect of imports on the national security. These records are background data generated in the process of investigating imports of certain articles into the U.S. in such quantity or under such circumstances as to threaten to impair national security. They consist of the requests for investigations, the Federal Register notice of the investigations, comments from the public, and the report of the findings. These are copies received from BXA's Office of Industrial Resources Administration and are made available for public review.

Destroy in office space when 10 years old.

12. Public Comments Related to Short Supply Controls - Section 7 of the Export Administration Act provides authority for the President to prohibit or curtail the export of goods subject to the jurisdiction of the United States where necessary to protect the domestic economy from the excessive drain of scarce materials and to reduce the serious inflationary impact of foreign demand. Notices to propose or impose such short supply controls are published in the Federal Register so that public comments may be made. Copies of these public comments are available for public review.

Destroy in office space after 5 years.

13. Public Comments on Proposed Changes to the Export Administration Regulations. When changes are proposed to the Export Administration Regulations, the proposal is published in the Federal Register with an invitation for public comments on the proposal. These records are copies of the public comments and are maintained for public review.

Destroy in office space after 5 years.

RECORDS OF THE OFFICE OF BUDGET & FINANCIAL MANAGEMENT (OBFM)

14. Accounting Reports - These are monthly financial statements that show obligations, expenditures, receipts, balances, and variances of the budget execution for each cost center (Office of Export Licensing, Office of Export Enforcement, etc.) in BXA. Obligations, accruals, expenditures and reservations are also given by object class (office supplies, travel, telephone bills, office equipment, etc.) and for each project in the cost centers. These are filed chronologically by month.

Destroy in office space after 3 years.

15. Annual Report On The Status of Debt Collections - In accordance with Exhibit 42A of Circular A-11 of the Office of Management and Budget (OMB) this office is required to submit to OMB a report of fines and penalties that have been collected for the current year and a projection of collections for the coming year. These are fines that have been imposed on exporters for violations of export regulations.

Destroy in office space at the end of 10 years

16. Prompt Payment Report - This annual report is submitted to OMB and contains the number and dollar amounts of late payments and interest penalties required. These are late payments on all bills and invoices for all equipment and services purchased by BXA. It also contains a report of early payments.

Destroy in office space at the end of 5 years.

17. Request for Authorization of Travel and Moving Expenses (Form CD-150) - This form is required to be completed and approved for payment of travel and relocation expenses of BXA personnel. It must be submitted with the Travel Order (CD-29) when relocating or moving to a first duty station.

~~Destroy when the transaction has been completed or cancelled.~~

(GRS 9/36)

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18. Cash Management Initiatives - These are quarterly reports submitted to the Office of Finance and Federal Assistance who then submit the reports to the U.S. Treasury Department. The report contains a record of the interest savings realized from credit instruments and other time payment obligations. Among these are U.S. Government Bank Card charges, Diners Club charges, and the Payroll Direct Deposit/Electron Funds Transfers.

Destroy in office space at the end of <sup>3</sup>/<sub>2</sub> years.

(GRS 6(4))

19. Management by Objectives (MBO) Quarterly Report - This is a quarterly report submitted to the Office of Financial Management that contains the same information as the Cash Management Initiatives records described in Item 17 above. The purpose of this report is to monitor BXA's performance in cash and financial management

Destroy in office space at the end of 2 years

20. Record of Gift or Bequest (Form CD-210) - These records are required in accordance with Department Administrative Order 203-9. Each form contains: (a) the name and address of the donor, (b) name and title of employee to whom offer is made, (c) description of property and/or services in kind, and (d) purpose for which gift or bequest is offered. Approval is granted by the BXA Director of Administration. They are filed by serial numbers assigned chronologically by OBFM.

Destroy in office space at the end of 7 years.

21. Request for Authorization By Primary Operating Unit for Official Entertainment - Expenditure of funds for luncheons, dinners, receptions, etc. must be applied for by completion of this form and approval by the Office of the Secretary and/or the Director of Administration. Costs of less than \$250 are approved by the Director of Administration. Costs of \$250 and greater require approval by the Director of Administration and the Office of the Secretary. They are filed by serial numbers assigned chronologically.

Destroy in office space at the end of 7 years.



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22. Record of Export Seminar Receipts - Admission to Export Seminars conducted by the Office of Export Licensing is given after payment of an admission fee by individuals or by the sponsoring organization. This record is the report of receipts of admission fees and is submitted monthly to the Export Seminar Staff of the Office of Export Licensing. A file copy is retained in OBFM.

Destroy in office space at the end of 3 years. (GTS 6/4)

RECORDS OF THE OFFICE OF INFORMATION RESOURCES MANAGEMENT

23. Electronic Records of the Export Control Automated Support System (ECASS) - ECASS was developed and implemented to support the export control regime. It contains the official copy of export licenses issued as the result of the BXA review and approval of the applications for export licenses. It also contains all official notes, comments, and external agency recommendations concerning the applications. In addition, export enforcement information relating to the processing of each application, including pre-license checks and screening information is contained in ECASS.

Export license applications are received in electronic form via a telecommunications network and paper copy. The paper copies are read into the system via optical character recognition equipment (OCRE). Updates are made on-line, real-time by the licensing officers, export enforcement agents and other agencies. Other entries are made by the computer system in an "artificial intelligence" like manner. This additional information is contextually derived from licensing officers entries or agency recommendations.

ECASS resides on the computer facility in a Model 204 Data Base Management System. The storage media is IBM 3350 (equivalent) disk drives. The size of the data base is approximately 5 gigabytes. Tape back-ups of the disk system are made daily. These tapes are stored on site under controlled temperature and humidity conditions.

Destroy in office space when no longer needed.

To be appraised by  
NNX at a later  
date.