

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-476-05-003

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 3 is superseded by GRS 6 #1a (DAA-GRS-2013-0003-0001)

Item 4 is superseded by GRS 1 #4 (DAA-GRS-2017-0007-0008)

Item 5 is superseded by GRS 6 #1a (DAA-GRS-2013-0003-0001)

Item 6 is superseded by GRS 8 #2(b2) (DAA-GRS-2013-0003-0012)

Item 7 is superseded by GRS 11 #2a (DAA-GRS-2016-0011-0001)

Item 9 and 10 are superseded by DAA-GRS-2016-0002-0001

Item 13 is superseded by GRS 18 #26-28 (DAA-GRS-2016-0004-0001)

Item 14a is superseded by GRS 26 #1a (DAA-GRS-2016-0016-0003)

Item 14b is superseded by GRS 1 #29(a2) (DAA-GRS-2016-0014-0001)

Item 14d is superseded by GRS 18 #9 (DAA-GRS-2017-0006-0010)

Item 15 is superseded by GRS 8 #5 (DAA-GRS-2013-0003-0012)

Item 16 is superseded by GRS 8 #1 (DAA-GRS-2016-0013-0001)

Item 17 is superseded by GRS 6 #5a (DAA-GRS-2016-0013-0001)

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Item 18, 19 is superseded by GRS 6, #1a (DAA-GRS-2013-0003-0001)

Item 20 is superseded by GRS 7 #1 (DAA-GRS-2016-0013-0001)

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REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER 71-476-05-3	
1. FROM (Agency or establishment) DEPARTMENT OF COMMERCE		DATE RECEIVED 10-25-2004	
2. MAJOR SUBDIVISION BUREAU OF INDUSTRY AND SECURITY		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION OFFICE OF ADMINISTRATION			
4. NAME OF PERSON WITH WHOM TO CONFER ELAINE FARROW	5. TELEPHONE 202 482-2165	DATE 2-2-05	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</i>
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>5</u> 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, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. </div>			
DATE 2/23/04	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	TITLE Records Officer	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>The Office of Administration is responsible for the development and conduct of administrative management and resource policies and practices for BIS. The Office of Administration carries out the responsibilities mandated by the Clinger-Cohen Act, the Chief Financial Officer's Act and the Government Performance and Results Act. The Office manages administrative functions in support of headquarters, domestic, and overseas operations; maintains liaison for administrative services provided by the Chief Financial Officer and Assistant Secretary for Administration; coordinates the administrative aspects of BIS programs involving other departments and agencies; provides supervision and guidance for the implementation of BIS's administrative management and resource policy functions; functions as the BIS's security office; and monitors and evaluates reimbursable agreements and shared programs and advises annually on continuance or modification of those agreements; supports the Under Secretary and Deputy Under Secretary in developing BIS programs related to the Department and government-wide initiatives in the areas of diversity, quality management, foreign technical assistance and reinvention; and provides administrative services and support of BIS's program offices. The Office of the Comptroller and the Office of Planning, Evaluation and Management fall under the Office of Administration.</p> <p style="margin-top: 100px;"><i>cc Agency NR NAWMW</i></p>	N1-476-93-1	

OFFICE OF ADMINISTRATION

DIRECTOR OF ADMINISTRATION

1. CHRONOLOGICAL FILES - 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 than is normally associated with a chronological file. They serve as a useful index to other files the office creates.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 4 years after cut off.

2. SUBJECT FILES - These are incoming and outgoing correspondence, reports, memoranda, and related papers arranged alphabetically by subject. They describe the activities of the office in carrying out the Bureau's responsibilities.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 3 years after cut off.

3. GENERAL ACCOUNTABILITY OFFICE (GAO) AUDIT - These files contain duplicate copies of audit reports, correspondence, memoranda, and supporting working papers.

Disposition: TEMPORARY - Cut off files at the end of the fiscal year. Destroy 2 years after cut off.

COVERED BY
GRS 6,
item 1(a)

4. PERFORMANCE PLANS - An electronic copy of Senior Executive and General Workforce employees currently employed with the Bureau of Industry and Security. These files are used for reference purposes.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 4 years after cut off.

COVERED BY
GRS 1, item 4

PLANNING, EVALUATION AND MANAGEMENT

5. GENERAL ACCOUNTABILITY OFFICE (GAO) LIAISON COORDINATION AND FOLLOW-UP - These are records of studies conducted by the GAO of Bureau of Industry and Security programs and activities.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Retire to WNRC 3 years after completion of studies. Destroy 6 years after cut off.

COVERED BY
GRS 6,
item 1(a)

~~6. SPACE DESIGN WORK PRIORITY REPORT - A weekly status report that reflects BIS work to be done according to priority.~~

~~Disposition: TEMPORARY - Information is kept electronically and updated weekly. Reports are superseded by newest update.~~

COVERED BY
GRS 8,
item 2(b)(2)

~~7. DEPARTMENT OF COMMERCE (DOC) QUARTERLY SPACE UTILIZATION REPORTS - These records consist of documents relating to BIS's goals and performance measures, to include BIS's input to the Department's various planning and budget documents.~~

~~Disposition: TEMPORARY - Retain in Office of Administration for 1 year and then destroy.~~

COVERED BY
GRS 11,
item 2(c)

~~8. DATA VALIDATION AND PROGRAM EVALUATION REPORTS AND WORKING PAPERS - These are copies of publications produced by the publication staff and the Government Printing Office. They include the Annual Report and Report on Foreign Policy Export Controls to Congress and other promotional and instruction material offered to the U.S. exporting community.~~

~~Disposition: TEMPORARY - Cut off files at the end of the calendar year. Retire to WNRC 3 years after cut off. Destroy 3 years later.~~

~~9. E-FOIA - System contains public comments on regulations; notifications of export violations and antiboycott allegations.~~

~~Disposition: TEMPORARY - Destroy paper copy when uploaded to the server. Information on the system can be destroyed when 5 years old. Maintain system for the life of the program.~~

COVERED BY
GRS 14,
item 37

~~10. FREEDOM OF INFORMATION ACT (FOIA) - Files are created in response to requests for information under FOIA, consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy requested record or copy thereof.~~

~~Disposition: TEMPORARY~~

~~a. Original request - Cut off files at the end of the calendar year. Destroy 6 years after cut off.~~

~~b. Appeals - Cut off files at the end of the calendar year. Destroy 6 years after completion of appeals process.~~

COVERED BY
GRS 14,
items 11(c)
and 12(c)

~~11. COURT CASES - Files created in response to Court-ordered cases.~~

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 3 years after cut off.

12. STUDIES - Management studies conducted within BIS.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 5 years after cut off.

~~13. CONTINUITY OF OPERATIONS (COOP)~~

- ~~a. Plans - Plans for the continuation of BIS's mission essential functions (MEF) throughout a spectrum of emergencies denying the effective use of the Herbert C. Hoover Building.~~

Disposition: TEMPORARY - Document is kept electronically and periodically updated.

- ~~b. Briefing and Training Materials - Materials (i.e., slide show presentations, pamphlets, work books) that are used to provide information to BIS employees on what to do in the event of an emergency.~~

Disposition: TEMPORARY - The electronic copy is periodically updated and therefore supersedes itself. Hard copy materials can be destroyed once superseded.

- ~~c. Test Exercises - Exercises that are used to test the Bureau's COOP. This may include correspondence within the Bureau, within the Office of the Secretary, and with other Departments (i.e., Defense, Energy, State). Also included are after action reports.~~

Disposition: TEMPORARY - Maintain for 10 years and then destroy.

14. SAFETY PROGRAM

- ~~a. Safety Committee Agenda and Meeting Minutes - These are records that provide plans, ideas, and responses for the implementation of the Bureau's safety program.~~
- ~~b. Training and Support Material - Materials (i.e., slide show presentations, pamphlets, newsletters, etc.) that are used to provide information to BIS employees on what to do in response to safety and/or health issues or concerns.~~
- ~~c. Reports - Departmental and Bureau reports on injuries and illnesses reported for compensation payment.~~
- ~~d. Inspections - Checklist and feedback material used to promote Bureau safety and health awareness.~~

Disposition: TEMPORARY - Documents are kept electronically and periodically updated. Hard copy materials can be destroyed once superseded. Destroy after 10 years.

COVERED By
GRS 18
items 26, 27, and
28

COVERED By:
GRS 26,
item 1(a)
GRS 1,
item 29(a)(2)

GRS 1,
item 22
GRS 18,
item 9

COMPTROLLER

~~15. ACCOUNTING REPORTS – These are monthly financial statements that show obligations, expenditures, receipts, balances, and variances of the budget execution for each office in BIS.~~

~~Disposition: TEMPORARY – Cut off files at the end of the fiscal year. Destroy 3 years after cut off.~~

COVERED BY
GRS 8,
item 5

~~16. REQUESTS 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 BIS personnel. It must be submitted with the Travel Order (CD-29) when relocating or moving to a first duty station.~~

~~Disposition: TEMPORARY – Destroy when the transaction has been completed or canceled.~~

COVERED BY
GRS 8,
item 1

~~17. 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 BIS Director of Administration.~~

~~Disposition: TEMPORARY – Cut off file at the end of the calendar year. Destroy 7 years after cut off.~~

COVERED BY
GRS 6,
item 5(a)

~~18. 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 \$1,000.00 are approved by the Director of Administration. Costs greater than \$1,000.00 require approval by the Director of Administration and Assistant Secretary for Administration and the Chief Financial Officer in the Office of the Secretary.~~

~~Disposition: TEMPORARY – Cut off file at the end of the calendar year. Destroy 7 years after cut off.~~

COVERED BY
GRS 6,
item 1(a)

~~19. 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 in the Office of Export Licensing. A duplicate copy is maintained in the Office of the Comptroller.~~

~~Disposition: TEMPORARY – Cut off file at the end of the calendar year. Destroy 3 years after cut off.~~

COVERED BY
GRS 6,
item 1(a)

20. CITIBANK – Incoming and outgoing correspondence which include applications for Citibank credit cards.

Disposition: TEMPORARY – Cut off file at the end of the calendar year. Destroy 3 years after cut off.

Covered By
GRS 7,
item 1

21. ELECTRONIC RECORDS (E-MAIL AND WORD PROCESSING) – Records created within these offices using electronic mail and word processing applications.

Disposition: TEMPORARY – Destroy/delete within 180 days after the recordkeeping copy has been produced.