

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-476-90-009

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 14 is superseded by N1-476-06-001

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK	
TO: GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO. N1-476-90-9	DATE RECEIVED 1/22/90
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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 Enforcement Support			
4. NAME OF PERSON WITH WHOM TO CONFER Richard Usrey	5. TELEPHONE EXT. 377-5653	DATE 2/11/91	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 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 1-17-90	C. SIGNATURE OF AGENCY REPRESENTATIVE  Sherry M. Cage	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)
	<p align="center">THE OFFICE OF ENFORCEMENT SUPPORT</p> <p>In order to develop export control information and intelligence data, and to provide export license review and investigative support, the Office of Enforcement Support conducts information collection, research analysis, file retention and dissemination. The office maintains liaison with the export community to receive and provide information. The office provides export licensing intelligence information and analysis to and in support of Export Enforcement investigations; provides licensing policy reviews and guidance to Export Administration licensing officials; conducts analysis resulting in the reliability and diversion risk potential of recipients of U.S. origin goods; and provides targeting and tasking information to the national export control community information collection authorities.</p>		
<i>Copies sent to agency NCF 2/13/90</i>			

1. Action Sheets (Form BXA-7004LF) - These forms are completed by Export Enforcement personnel to indicate recommended action on a pending application for an export license. For statistical reporting purposes, a separate file is maintained for these action sheets recommending "Return Without Action" or "Rejection" of an application for other than pre-license check related reasons, i.e., investigative or intelligence information. These forms are filed in numerical sequence according to the number of the application to which the form applies.

Destroy in office space at the end of 2 years.

2. Automated Screen (ATLAS - Automated Targeted License Analysis System) - Firms suspected of violations of export regulations and other firms posing an enforcement concern are placed on the automated screen. Related applications are referred to Export Enforcement (EE) for review automatically. The screen is part of the Export Control Automated Support System (ECASS) maintained by the Office of Information Resources Management (OIRM). These ECASS electronic records are permanent records and are included in the Records Control Schedule of the Director of Administration of the Bureau of Export Administration. EE staff members utilize personal computers to update and change information on the screen.

A daily print-out of the complete screen is made for use by authorized users. For audit purposes, a copy of the print-out is retained on a monthly basis.

Transfer to the WNRC at the end of each calendar year and offer to the National Archives 20 years later.

Screen Audit Reports (print-outs) summarizing all screen transactions are done periodically, usually weekly, to review activity, particularly deletions, to assure accuracy and integrity of the screen.

Transfer to the WNRC at the end of each calendar year and offer to the National Archives 20 years later.

*Withdrawn - to be
appraised by
NNX/A*

3. Screen Control Form - (Form BXA-7005LF) - This form is utilized by EE personnel to change, add or delete screen entries. The forms are filed alphabetically by the name of the party on the form.

Transfer to the WNRC after 3 years and offer to the National Archives 20 years later.

4. Master Cable File - These are copies of cables received from foreign posts that contain information on pre-license checks on pending export license applications and post-shipment checks on approved licenses. These are filed alphabetically by the name of the foreign party.

Destroy in office space at the end of 3 years.

5. Cable Traffic File - These are incoming and outgoing cables arranged chronologically by month of receipt and of transmittal, respectively, and by cable number thereunder. They deal with a variety of matters of interest to the various organizational units comprising Export Enforcement. Cables dealing with substantive matters are retained in other files for a sufficient period to meet individual units needs.

Destroy in office space when 2 years old, or when no longer needed for reference, whichever is later.

6. Administrative & Investigative Indexes - This is a 3" X 5" index card file containing the names of all parties of historical and current interest to EE. Included is a numerical reference to the file where the documents are located. The cards are filed alphabetically. Use of this manual card index will cease and information thereafter will be stored in an automated computer system. Portions of the cards have been identified for automation and all cards will be placed on microfiche.

Transfer these index cards to the WNRC after placing on the microfiche or when no longer needed for reference whichever is later and offer to the National Archives 20 years later.

7. Administrative and Investigative Microfiche Records - These records contain the names of all parties of historical and current interest to EE and were created to replace the 3" X 5" index cards described above in Item 6. Included is a numerical reference to the file where documents are located. Use of these microfiche will be discontinued when the information contained in them is transferred to an automated computer system. The microfiche are filed alphabetically.

Destroy in office space when no longer needed.

8. Intelligence Reference Files - These contain allegations and/or disclosures of possible violations of the Export Administration Regulations. The staff conducts a preliminary review to determine if a formal referral to the Office of Export Enforcement should be initiated. These files document cases where no further action has been required.

Arranged numerically, the files consist of incoming and outgoing correspondence, memoranda, and printed and processed material. They have long-term informational value as background material in possible, future enforcement actions.

As of August 8, 1988, all allegations and disclosures received by OES are forwarded immediately to the Intelligence Division of the Office of Export Enforcement. No review is conducted and no files are maintained.

For files dated prior to August 8, 1988, transfer to the WNRC when 10 years old and destroy 10 years later.

9. Export License Application Review File - Applications are referred to OES to verify the accuracy of the data on the applications and the "bona fides" of the parties involved in the transaction. These also include electronically transferred applications. The process of verification often involves pre-license and post-shipment checks of the export transaction.

Upon receipt, the applications are referred to the appropriate office and agent within Export Enforcement for review. Liaison contacts in OES receive those for EE field offices. The agent's recommendations are filed with the application and also recorded in the transaction logs and in ECASS. Where warranted, this review may lead to the opening of an investigative file. Hard copy application files are returned to the Office of Export Licensing (OEL) with an Action Sheet. Electronic referrals are returned electronically with the recommendation. Action sheets are filed in OES.

Destroy completed review papers in office space requiring no further action or when no longer needed for reference.

10. Dunn and Bradstreet Reports - These two files, maintained alphabetically by company name, consist of domestic and international business information reports on companies of interest to EE.

Destroy in office space at the end of 3 years.

11. E and E Star Awards - This file consists of memoranda, incoming requests for information from the United States & Foreign Commercial Service (U.S. & F.C.S.) results of internal file and records checks, and OES response to U.S. & F.C.S. recommending withholding of the award because of enforcement concerns and possible action against an award candidate or recommending favorable action because of a lack of EE concerns or prior record. These are filed chronologically by the date of the request from the U.S. & F.C.S.

Destroy in office space at the end of 2 years.

12. Automated Export Report Program - This file contains memoranda and letters from the Bureau of the Census requesting EE review of applicants to Census for the privilege of reporting exports to Census by magnetic medium or direct on-line interface. The special privilege is granted by the Bureau of Census to qualified exporters who wish to submit export information by means other than the individual Shipper's Declaration for each shipment. The file also includes the EE internal file check results and EE's response to Census. These are filed in chronological order.

Destroy in office space at the end of 2 years.

13. Trans Logs - This is a log recording the application for license case numbers of cases referred to or marked for referral to EE for review because of a screen match and/or manual "flagging". They are logged by case number, agent and office. Cases for export to member countries of the international Coordinating Committee (COCOM) are identified for separate handling and expedited consideration or review.

Destroy in office space at the end of 2 years.

14. Secure Automated Screening System (SASS) - This is a secure computer system utilized to compare classified information on the SASS to information entered into ECASS from export licenses submitted to OEL. Hard copy reports are generated identifying applications of potential interest to EE. Applications of apparent interest are flagged in ECASS and referred to EE for review. Hard copy print-outs containing names of parties in the SASS are utilized internally in EE. The Form BXA-7005LF Screen Control Forms are utilized to maintain the screen. Printed screens are destroyed as new ones are printed and delivered to recipients. The alphabetical Screen Control Forms are retained in file as are reports covering SASS/ECASS comparisons and

identification of "hits" and cases flagged. A "hit" is a party of interest to EE when the name appears on both the ECASS and the SASS.

Destroy in office space when no longer needed.

15. Pre-License Check (PLC) Data Base - This is an automated LOTUS computer program for a file or spreadsheet on PLC's requested, pending and completed. The file contains the chronology of the PLC. The information is used by managers to identify any potential problem areas and for taking corrective action. It also provides useful information for preparation of follow-up cables, routing additional information to EE offices requesting the PLC and compiling weekly and annual reports and forecasting workload requirements. The LOTUS program allows for searching the disk for party name, date, name of exporter, foreign consignee, commodity, etc.

Destroy in office space when no longer needed.

16. Seizures and Detentions - This is an automated LOTUS file containing information on Commerce and U.S. Customs Service detentions and seizures of shipments attempted in apparent violation of export regulations. It is updated regularly as information is received in OES. Reports are issued periodically to EE operating and investigative units for information purposes.

Destroy in office space when no longer needed.

17. Allegations and Disclosures - This is an automated LOTUS file containing information on matters sent or referred to OES or OEE. The file contains information on the source of the allegation or disclosure, the alleged violation(s) or violation and other information. Information is arranged alphabetically by alleged violator.

Destroy in office space when no longer needed.

18. Post Shipment Check (PSC) Data Base - This is an automated spreadsheet file containing information on pending and completed PSC's. The file is also used to track overseas post's interim responses-requests for information and to task agent or analyst who initiated the request. Reports are generated periodically to prompt initiators of PSC's to follow up with posts by asking for a response. Summary information is also provided for specialized reports, such as those pertaining to the Republic of South Africa, and the EE Annual Report. It also assists in predicting

workload requirements. Information can be searched for by country or foreign consignee or other criteria.

Destroy in office space when no longer needed.

19. Post Shipment Check (PSC) Documentation - This file consists primarily of Shipper's Export Declarations, Bills of Lading (or Air Waybills) and invoices, furnished by exports to satisfy a condition on their export license(s) to allow EE to perform a PSC at an overseas post. If the PSC was requested by, or if the license was of interest to an EE agent or analyst, the documents are routed to the EE agent or analyst when received for information and consideration regarding the PSC action. If another agency requests the PSC, the documents are reviewed in the Export License Review Division. The documents are filed numerically by export license number.

Destroy in office after review in EE or when no longer needed for reference, whichever comes later.

20. Department of Defense Information Support - In support of defense related intelligence and investigative functions, two Department of Defense (DOD) operating units direct memoranda to this office requesting that we review names of persons and companies of concern or interest to DOD programs. This office completes routine file and records checks and responds to DOD. The file consists of memoranda and file and record check results. Filed chronologically.

Destroy in office space after 1 year.

21. Special License Division (SLD) Information Support - Prior to the initiation of contacts by SLD with licensees or consignees for audit or systems review purposes, that Division clears the proposed names with this office, primarily to avoid conflict with potential concerns or ongoing activities. This office completes routine file and records checks and responds to SLD accordingly. This file consists of memoranda and file and record check results. Filed chronologically.

Destroy in office space after 1 year.

22. Foreign Acquisition Requests - The Office of Industrial Resources Administration (OIRA) requests OES record checks of parties attempting to buy controlling interests in U.S. firms. The results of these checks are given to OIRA verbally and a copy of the request and findings are filed. Filed chronologically.

Destroy in office space after 1 year.

23. Denied Parties File - OES maintains an alphabetical file containing all current Denied Parties. The file includes copies of screen control forms, decisions and orders of the Administrative Law Judge, and the Federal Register entry of the Denial Order. Filed alphabetically by party.

Destroy in office space when no longer needed.