| REQUEST FOR RECORDS DISPOSITION AUTHORITY | | LEAVE BLANK (NARA | use only) |
|---|--------------------------------|---|--------------------------|
| (See Instructions on reverse) | | JOB NUMBER N1-476-07-/ | |
| TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408 | | DATE RECEIVED 2/2/107 | |
| 1 FROM (Agency or establishment) | | NOTIFICATION TO AGENCY | |
| Department of Commerce | | In accordance with the provisions of 44 | |
| 2 MAJOR SUBDIVISION Bureau of Industry and Security | | USC 3303a the disposi including amendments, is ap | proved except |
| 3 MINOR SUBDIVISION Office of Exporter Services | | for items that may be marked " approved" or "withdrawn" in c | |
| 4 NAME OF PERSON WITH WHOM TO CONFER 5 TELEPHONE | | DATE ARCHIVIST OF THE UNITED STATES | |
| Elaine Farrow | (202) 482-2165 | 3Arlo DA | |
| 6 AGENCY CERTIFICATION | | | / |
| I hereby certify that I am authorized to act for | this agency in matters i | pertaining to the disposition | of its records |
| and that the records proposed for disposal on the | ne attached p | age(s) are not now needed for | or the business |
| of this agency or will not be needed after the | retention periods specific | ed, and that written concurr | ence from the |
| General Accounting Office, under the provision | s of Title 8 of the GAO | Manual for Guidance of Fede | eral Agencies, |
| is not required, is attached, or has been requested | | | |
| DATE SIGNATURE OF AGENCY REPRESENTATIVE TITLE | | | |
| 1/30/2007 (Circu Acros Records | | Officer | |
| 7 | | 9 GRS OR | _10 ACTION |
| 8 DESCRIPTION OF ITEM/AND PROPOSED DISPOSITION | | SUPERSEDED JOB CITATION | TAKEN (NARA USE ONLY) |
| This office is responsible for counseling exporters, conducting export control | | N1-476-89-1 | , |
| seminars and drafting and publishing changes to the Export Administration | | | |
| Regulations It is also responsible for licensing and compliance actions relating to the special complehensive license, and for administering the processing of license | | | |
| applications and commodity classifications | | | |
| 1 Subject Files - Records of communications with other government agencies and | | | |
| with other offices in Export Administration, developed by the Director on emerging export control matters, application of existing legislation and regulations, and similar | | | |
| matters under consideration by top level authorities | | | |
| The Director's memoranda to the offices provides guidance on changes in procedures, | | | |
| interpretations of law or regulations and on special situations surrounding exports of specific commodities or exports to specific destinations | | | |
| Disposition TEMPORARY - Start a new five every year later Destroy when 7 years old | r and retire to WNRC 3 years | | |
| 2 Company Files - Correspondence pertaining to req | | | |
| general advice on export control matters imposed on the company by BIS Much of the correspondence confirms the approval of the companies' request to export | | | |
| specified controlled materials in a specified manner a | | | |
| Disposition TEMPORARY - Start a new file every year and retire to WNRC 3 years | | | |
| later Destroy when 7 years old | | | |
| 3. Applications for Export License - Exporters submit | | | |
| export one or more shipments of specified commoditing Administration Regulations The applications consist | | | |
| documentation required under the regulations. Included among the formers the BIS-748P, Application for Export License or Re-export Authorization. The application | | | |
| and support documents are scanned into the electron | LAGRICITZATION THE APPLICATION | '' 1 | |
| Disposition TEMPORARY - Destroy paper records after verification of accurate transfer of information into electronic system | | | |

OFFICE OF EXPORTER SERVICES (OEXS)

1. OEXS DIRECTOR'S EMERGING EXPORT CONTROL ISSUE FILES - Records of communications with other government agencies and with other offices in Export Administration, developed by the Director on emerging export matters under consideration by top level authorities.

<u>Disposition</u>: PERMANENT - Cut off files at the end of the calendar year. Transfer to WNRC 3 years after cut off. Transfer to NARA 4 years after cut off.

2. <u>COMPANY FILES</u> - Correspondence pertaining to requests for review of decisions and general advice on export control matters imposed on the company by BIS. Correspondence confirms the approval of company requests to export specified controlled materials in a specified manner and time period.

<u>Disposition</u>: TEMPORARY - Cut off files at the end of the calendar year. Transfer to WNRC 3 years after cut off. Destroy 7 years after cut off.

3. APPLICATIONS FOR EXPORT LICENSE AND CLASSIFICATIONS - Exporters submit paper applications to OExS to export one or more shipments of specified commodities under the Export Administration Regulations or to classify the item. Applications consist of forms and related documentation required under the regulations. Included among the forms are: BIS-748P, Multipurpose Application form. Applications are scanned into and electronic system. Support documents are stored in paper files.

<u>Disposition</u>: TEMPORARY - Cut off files at the end of the calendar year. Transfer to WNRC 1 year after cut off. Destroy 6 years after cut off.

4. <u>U.S. IMPORT CERTIFICATES 9FORM BIS-645P</u> — Duplicate copies of Import Certificates issued by BIS to U.S. exporters for submission to a foreign government to support the issuance of an export license by that government.

<u>Disposition</u>: TEMPORARY - Cut off files at the end of the calendar year. Transfer to WNRC 1 years after cut off. Destroy 7 years after cut off.

5. CONFIRMATION COPIES OF FOREIGN IMPORT CERTIFICATES - Duplicate copies of import certificates issued by foreign governments authorizing the import of commodities for which a U.S. export license has been required. These are submitted to

OExS by the issuing government. They are used for verification purposes.

<u>Disposition</u>: TEMPORARY - Cut off files at the end of the calendar year. Destroy 1 year after cut off.

6. TRANSFER LICENSE CASE FILES - Requests for transfers of unexpired individual validated licenses from on party to another. The new licensee must certify that he/she will comply with U.S. export regulations.

<u>Disposition</u>: TEMPORARY - Cut off files at the end of the calendar year. Destroy 7 years after cut off.

7. <u>LICENSING OFFICERS' MANUAL</u> - Instruction manual for internal use by staff licensing officers. The manual is electronic and is updated on a regular basis as new procedures are established. It is maintained in the Office of Exporter Services.

<u>Disposition</u>: PERMANENT - Retain in Office of Exporter Services for the life of the program. Transfer copies to NARA in 5-year increments according to NARA regulations.

8. REQUESTS FOR THE RETURN OF COPIES OF FOREIGN IMPORT CERTIFICATES - Foreign governments make requests of the foreign importer to obtain a certified copy of the import certificate issued by that government for the import of U.S. goods. The foreign importer, in turn, makes the request of his/her U.S. exporter, who in turn, sends the request to OExS and includes in the request the total value of goods shipped under the license. After reviewing the request, OExS sends it to the foreign importer and maintains a copy of the certificate.

<u>Disposition</u>: TEMPORARY - Cut off files at the end of the calendar year. Destroy 2 years after cut off.

9 ELECTRONIC SUBMISSION APPLICATIONS - Letters from U.S. exporters requesting the privilege of submitting their export license applications electronically. Personal identification Numbers (PIN) are assigned to responsible exporter employees and a Company Identification Number (CIN) is assigned to the company. The letters contain a certificate for the officer of the company who will be responsible for additions and deletions of persons authorized to be assigned PINS. Documents are scanned into electronic system.

<u>Disposition</u>: TEMPORARY - Cut off files at the end of the calendar year. Destroy 2 years after cut off.

Coveral by CRS 20, Item 2(4) 10. EXPORTER ASSISTANCE CORRESPONDENCE FILE - These are letters from and replies to U.S. exporters and prospective exporters on matters of export regulations and status of license applications.

<u>Disposition</u>: TEMPORARY - Cut off files at the end of the calendar year. Destroy 2 years after cut off.

11. EXPORT SEMINAR FILES - Files of the Export Seminar staff who conduct training seminars throughout the country. The files include correspondence with the sponsoring organizations, the hotels where the seminars are to be held, and with the seminar attendees.

<u>Disposition</u>: TEMPORARY - Cut off files at the end of the calendar year. Destroy one year after cutoff.

12. SPECIAL COMPREHENSIVE LICENSE INTERNAL CONTROL PROGRAM
REVIEW FILES - Internal control program reviews are conducted to
ensure compliance with the terms of these licenses. Part 752 and
internal control program requirements. Files include
correspondence with companies related to licenses and amendments,
review reports of findings and recommendations and final
disposition of reviews. ICP review files are filed by license
numbers and then chronologically according to the date reviews
are conducted.

<u>Disposition</u>: TEMPORARY - Cut off files after the end of the calendar year. Transfer to WNRC 1 year after cut off. Destroy 7 years after cut off.

13. PRE-LICENSE CONSULTATION FILES — Part 752 of the Export Administration Regulations requires that companies interested in requesting a Special Comprehensive License meet with BIS prior to submitting an application. The consultation files are filed by company names and then chronologically according to the consultation meeting dates. If a Special Comprehensive License is approved, the Pre-License Consultation files are included with the files described above and destroyed accordingly.

<u>Disposition</u>: TEMPORARY - Cut off files at the end of the calendar year. Destroy non-approved licenses 2 years after cut off.

14. EXPORT MANAGEMENT AND COMPLIANCE PROGRAM REVIEW FILES - U.S. companies may request the review of their written export compliance programs. EMCD provides comments and recommendations to strengthen the programs. These files are maintained in alphabetical order by the company names and then chronologically according to the final date of action by EMCD.

<u>Disposition</u>: TEMPORARY - Cut off files at the end of the calendar year. Destroy non-approved licenses 2 years after cut off.

15. <u>HISTORIC SPECIAL LICENSE FILES</u> - Contains memorandum of agreements (MOUs) between the U.S. and other countries for the conduct of Systems Reviews in the foreign countries and Special License issues of the past.

<u>Disposition</u>: PERMANENT - Cut off files after the end of the calendar year. Transfer to NARA 10 years after the expiration or termination of the license.

16. <u>HISTORIC EXPORT ADMINISTRATION REGULATIONS</u> - Contains annual base manual publication of the Export Administration Regulations (EAR) that has been updated quarterly with replacement pages from Export Administration bulletins.

<u>Disposition</u>: PERMANENT - Cut off files after the end of the calendar year. Transfer to NARA 10 years after cut off or files become obsolete, whichever is sooner.

17. FEDERAL REGISTER PUBLICATIONS - Reference copies of publications of Federal regulation and notices by BIS that affect the Export Administration Regulations or Chemical Weapons Convention.

<u>Disposition</u>: TEMPORARY - Cut off files at the end of the calendar year. Destroy when superseded or obsolete.

- Now RECORD

18. DE-MINIMUS ONE TIME REPORTS - Contains one-time reports of de minimis calculations submitted by the public as required by the EAR. These are paper copies that are scanned into the BIS tracking system WebCIMS.

Disposition: TEMPORARY - Destroy scanned copy after verification
by WebCIMS tracking system. Delete/destroy electronic WebCIMS
folder 5 years after folder is closed.

By GASZO,
ADVISORY OPINIONS - Contains letters and e-mails from

ADVISORY OPINIONS - Contains letters and e-mails from companies and individuals requesting information and interpretations about the EAR provisions or BIS policy. Also contains responses to these companies/individuals and clearances fro offices within BIS. These scanned into the WebCIMS tracking system.

<u>Disposition</u>: TEMPORARY - Destroy scanned copy after verification by WebCIMS tracking system. Delete/destroy electronic WebCIMS

folder 10 years after folder is closed. GOVERNED by CRS 20, Item 2(6)

20. CASE FILES OF REGULATORY CHANGES - These are the records of regulatory actions that have been published in the Federal Register by BIS, and affect or relate to the Export Administration Regulations or the Conventional Arms Regulations. These records are scanned into the WebCIMS tracking system. No classified or restricted information is scanned into WebCIMS.

Disposition: TEMPORARY - Destroy related paper documents 7 years from the date of closure. Destroy/delete electronic WebCIMS folder 10 years after the date of closure.

21. REGIME AND PROCEDURE SUBJECT FILES - These are records of export policies that mostly pertain to more than one country. Among these records are control lists from various regimes and documents pertaining to various procedures, requirements, and issues contained in the EAR.

<u>Disposition</u>: TEMPORARY - Cut off files after the end of the calendar year. Transfer to WNRC 1 year after cut off. Destroy 15 years after cut off.

22. CODE OF FEDERAL REGULATION (CFR) PUBLICATIONS - These are duplicate copies of Title 15 CFR parts 300-799, and CFRs covering other agencies that are maintain solely for reference purposes by BIS staff.

Disposition: TEMPORARY - Destroy when superseded or obsolete.