

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK (NARA use only)

JOB NUMBER

71-476-05-1

DATE RECEIVED

10-25-2004

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE

ARCHIVIST OF THE UNITED STATES

1-31-05 *J. W. Case*

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

FROM (Agency or establishment)

DEPARTMENT OF COMMERCE

2. MAJOR SUBDIVISION

BUREAU OF INDUSTRY AND SECURITY

3. MINOR SUBDIVISION

OFFICE OF ENFORCEMENT ANALYSIS

4. NAME OF PERSON WITH WHOM TO CONFER

5. TELEPHONE

ELAINE FARROW

(202) 482 - 2165

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 2 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,

is not required;

is attached; or

has been requested.

DATE

10/23/04

SIGNATURE OF AGENCY REPRESENTATIVE

[Signature]

TITLE

RECORDS OFFICER

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR SUPERSEDED JOB CITATION

N1-476-90-9

10. ACTION TAKEN (NARA USE ONLY)

In order to develop export control information and intelligence data, and to provide export license review and investigative support, the Office of Enforcement Analysis (OEA) conducts information collection, research analysis, file retention and dissemination. The office maintains liaison with the export community to review and provide information. OEA provides export licensing intelligence information and analysis to and in support of Export Enforcement investigations, provides input 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 technology.

cc Agency NR, NW, MW, NUMB

Attachment to Job No. N1-476-05-1

OFFICE OF ENFORCEMENT ANALYSIS

HIGH PERFORMANCE COMPUTER UNIT

1. NDAА POST-SHIPMENT VERIFICATION RECORDS - File contains reports from private industry of exports subject to the National Defense Authorization Act limitations on high-performance computer exports, cables from BXA requesting post-shipment verifications for said exports, and response cables on the post-shipment verifications. Records may also include printouts of original license or NDAА notification for the exports and safeguards reports.

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

PREVENTATIVE ENFORCEMENT DIVISION (PED)

2. PRE-LICENSE CHECKS (PLCS) - As part of Commerce's responsibility for preventing illegal exports before they occur, Office of Enforcement Analysis (OEA) initiates PLCs to establish the reliability of companies that seek to import controlled U.S. origin goods and technology. Information on PLCs is maintained in ECASS.

Disposition: TEMPORARY - Paper - Destroy cables 2 months after verification of creation of ECASS electronic record.

3. INDIVIDUAL FILES ON ENTITIES OF CONCERN - These files are created and kept by Preventative Enforcement Division (PED) analysts in OEA and contain hard copies of information from open and classified sources.

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

ELECTRONIC LICENSE REVIEW & COMPLIANCE DIVISION (ELR&CD)

4. VISA APPLICATION REVIEW PROGRAM RECORDS - Paper copies of electronic visa referral records and those generated via memoranda, in addition to the associated visa application cables, are maintained as central records by the ELR&CD Director. In addition, copies of the same are maintained in the working files of the Export Compliance Specialist (ECS) that generated the referral to the Office of Export Enforcement (OEE). Paper copies of visa referrals generated to other government agencies are also maintained as central records by the

ELR&CD Director and by each ECS that generated the referral in their working files.

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

5. SHIPPERS EXPORT DECLARATION (SED) REVIEW PROGRAM RECORDS - Paper copies of electronic SED referral records and those generated via memoranda, in addition to the associated SEDs, are maintained as central records in binders located in the main office area.

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

6. POST-SHIPMENT VERIFICATION (PSV) PROGRAM RECORDS - Paper copies of the incoming and outgoing Post-shipment Verification (PSV) cables and other pertinent PSV records are currently destroyed by the Export Compliance Technicians (ECT) after they are scanned into the scanning system. Limited paper copies of some incoming and outgoing PSV cables are maintained by the ELR&CD Director in working files.

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

7. ELECTRONIC RECORDS (E-MAIL AND WORD PROCESSING) - Records created using electronic mail and word processing applications.

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