

## Request for Records Disposition Authority

Records Schedule Number      DAA-0173-2014-0002  
Schedule Status                Approved  
  
Agency or Establishment      Federal Communications Commission  
Record Group / Scheduling Group   Records of the Federal Communications Commission  
Records Schedule applies to    Major Subdivision  
Major Subdivision              Enforcement Bureau  
Schedule Subject                EBATS (Enforcement Bureau Activity Tracking System)  
Internal agency concurrences will be provided      No

### Background Information

EBATS is the system used by the Enforcement Bureau to track it's activity related to the enforcement of provisions of the Communications Act, the Commission's rules, Commission orders and terms and conditions of station authorizations. EBATS is organized by complaints (from individual consumers and from the FCC's Consumer and Governmental Affairs Bureau), initiatives (proactive investigations and inspections) and cases. Cases are opened when a formal investigation is needed because there is sufficient evidence to support enforcement action. When a case is launched the underlying complaint and/or initiatives is closed. The main table of the system contains all information related to a particular complaint, initiative, and/or case.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	0	4	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0173-2014-0002

Sequence Number	
1	Master File
1.1	Unassigned Complaints Disposition Authority Number: DAA-0173-2014-0002-0001
1.2	Assigned Complaints and Initiatives Disposition Authority Number: DAA-0173-2014-0002-0002
1.3	Cases referred to the Department of Justice Disposition Authority Number: DAA-0173-2014-0002-0003
1.4	Cases not referred to the Department of Justice Disposition Authority Number: DAA-0173-2014-0002-0004

## Records Schedule Items

Sequence Number	
1	<b>Master File</b>
1.1	<p data-bbox="363 472 688 502"><b>Unassigned Complaints</b></p> <p data-bbox="363 523 1140 553">Disposition Authority Number      <b>DAA-0173-2014-0002-0001</b></p> <p data-bbox="363 574 1458 685">Includes complaints in which no staff assignment is made, due to various factors such as insufficiency of information, lack of jurisdiction, failure to identify an FCC violation, low enforcement priority, or the inability to pursue an investigation.</p> <p data-bbox="363 706 915 736">Final Disposition                      <b>Temporary</b></p> <p data-bbox="363 757 850 787">Item Status                              <b>Active</b></p> <p data-bbox="363 808 821 838">Is this item media neutral?          <b>Yes</b></p> <p data-bbox="363 859 821 970">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p data-bbox="363 991 821 1102">Do any of the records covered by this item exist as structured electronic data?                      <b>Yes</b></p> <p data-bbox="363 1123 1078 1170">GRS or Superseded Authority Citation      <b>NC1-173-84-4, item 27</b></p> <p data-bbox="363 1208 669 1238"><b>Disposition Instruction</b></p> <p data-bbox="363 1259 1286 1289">Cutoff Instruction                      <b>Cutoff at the end of the calendar year.</b></p> <p data-bbox="363 1310 1481 1383">Retention Period                      <b>Destroy 3 year(s) after the complaints or initiatives are closed in the system without being made a case.</b></p> <p data-bbox="363 1421 669 1451"><b>Additional Information</b></p> <p data-bbox="363 1472 951 1502">GAO Approval                              <b>Not Required</b></p>
1.2	<p data-bbox="363 1536 854 1566"><b>Assigned Complaints and Initiatives</b></p> <p data-bbox="363 1587 1146 1617">Disposition Authority Number      <b>DAA-0173-2014-0002-0002</b></p> <p data-bbox="363 1638 1458 1889">Includes complaints and initiatives that are assigned to staff to pursue an investigation, but are ultimately deemed not to be actionable, at which point they are closed. Complaints and initiatives may be closed without action for reasons such as insufficiency of information, lack of jurisdiction, failure to identify a FCC rule violation, low enforcement priority, or the inability to pursue an investigation. Cases are opened for complaints and initiatives that are actionable (items 0003 and 0004).</p> <p data-bbox="363 1910 919 1940">Final Disposition                      <b>Temporary</b></p>

1.3	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-173-87-3, items 1 and 2 NC1-173-78-3, items 8 and 24 NC1-173-82-7, items 1 NC1-173-84-4, items 26 and 27 N1-173-90-1, item 1, and 4 N1-173-86-2, item 14 NC1-173-80-2, item 13.
	Disposition Instruction	
	Cutoff Instruction	Cutoff at the end of the calendar year.
	Retention Period	Destroy 6 year(s) after complaints and initiatives are closed.
	Additional Information	
	GAO Approval	Not Required
	Cases referred to the Department of Justice	
	Disposition Authority Number	DAA-0173-2014-0002-0003
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-173-87-3, items 1, 2, and 3 NC1-173-78-3, item 1, 8, and 24 N1-173-87-3, item 4 NC1-173-84-3, items 50 and 51 N1-173-90-1, items 1, 3, and 4

		N1-173-86-2, item 14 NC1-173-84-4, items 23, 24, 25, 26, and 27 NC1-173-80-2, item 13
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff at the end of the calendar year.
	Retention Period	Cut off 3 years after the DOJ case, the underlying complaint(s) and/or initiative(s), are closed and the appeals process has concluded. Destroy 3 years after cut off.
	<b>Additional Information</b>	
	GAO Approval	Not Required
1.4	<b>Cases not referred to the Department of Justice</b>	
	Disposition Authority Number	DAA-0173-2014-0002-0004
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-173-87-3, items 1, 2, and 3 NC1-173-78-3, items 1, 4, 8 and 24 NC1-173-84-4, items 23, 24, 25, 26, and 27 NC1-173-84-3, items 50 and 51 N1-173-90-1, items 1, 2, and 4 N1-173-86-2, item 14 NC1-173-80-2, item 13
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff at the end of the calendar year.
	Retention Period	Cut off 3 years after the case and the underlying complaint(s) and/or initiative(s) are closed. Destroy 3 years after cut off.
	<b>Additional Information</b>	
	GAO Approval	Not Required

## 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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
09/12/2014	Certify	Vanessa Lamb	Supervisory Program Analyst	Office of Managing Director - Performance Evaluation and Records Management
07/07/2015	Return for Revision	Ann Gillette	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
08/06/2015	Submit For Certification	Carolyn Conyers	Agency Records Officer	Office of Managing Director - PERM
08/26/2015	Certify	Carolyn Conyers	Agency Records Officer	Office of Managing Director - PERM
08/31/2015	Submit for Concurrence	Lisa Clavelli	Supervisor, ACNR Appraisal Team 2	National Archives and Records Administration - Records Management Services
09/01/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/01/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/02/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist