

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <i>NI-173-07-1</i>	
1. FROM (Agency or establishment) Federal Communications Commission		Date Received <i>7/26/07</i>	
2. MAJOR SUB DIVISION Consumer and Governmental Affairs Bureau		NOTIFICATION TO AGENCY	
3. MINOR SUB DIVISION Consumer Inquiries and Complaints Division		In accordance with the provisions of 44 U.S.C 3303a, the disposition request, including amendments is approved	
4. NAME OF PERSON WITH WHOM TO CONFER Shoko B. Hair		5. TELEPHONE (202) 418-1379	DATE <i>7/27/07</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>4</u> page(s) are not needed now 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,		ARCHIVIST OF THE UNITED STATES <i>Allen Desautels</i>	
<input type="checkbox"/> is not required <input checked="" type="checkbox"/> is attached; or <input checked="" type="checkbox"/> has been requested.		DATE July 24, 2007	
SIGNATURE OF AGENCY REPRESENTATIVE <i>Shoko B. Hair</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 GRS OR SUPERSEDED JOB CITATION	10.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)
	See Attachment.		

SA 7/28/08 copies sent to Agency, NWML

CONSUMER AND GOVERNMENTAL AFFAIRS BUREAU (CGB)

This request supersedes records retention schedule, N1-173-95-1, Informal Complaint and Inquiry Files and N1-173-98-7, Functions of the Compliance and Information Bureau's Call Center. The proposed disposition instructions for the following record series apply to records in all media and formats.

Operations Support for Complaint Analysis and Resolution (OSCAR) and Equivalent, 1999.

OSCAR is a correspondence tracking, document tracking and document imaging system used by the CGB to track and maintain communications related informal complaints submitted by or on behalf of individual consumers to the Federal Communications Commission. Informal complaints are filed against common carriers in accordance with Section 1.716 *et seq.* of the Commission's rules. Rules for informal slamming complaints are found in Section 1.719 of the Commission's rules. The main complaint types are wireless, wireline, radio and television broadcast, cable, and satellite. There are dozens of sub-categories and subject codes under the main complaint categories. Information maintained in the system is related to the contact information of the complainant, the regulated company named in the complaint, dates relative to the staff's processing of the complaints and responses to the complaints from regulated companies. The complaint and, if required, carrier response thereto are also maintained in OSCAR. Third party verification (TPV) audio files and letters of agency (LOAs) are also maintained in the system. The information is stored and arranged by a unique informal complaint number which is assigned automatically to each complaint by the system.

Input/Source Records. Paper complaints received via postal mail, fax or email are scanned into OSCAR by Bureau staff. Complaints received via the Internet (FCC Forms 475, General Communications Related Issues, FCC Form 501, Slamming Complaint Form, Form 1088, Telemarketing, Junk Fax, and E-Mail Messaging Complaints, FCC Form 2000, Deceptive or Unlawful Advertising or Marketing, Billing Privacy or Service Quality, Disability Access, Emergency or Public Safety, Media, Other Communications Complaints and/or equivalent forms) are automatically imported from the web into OSCAR each day. Telephone complaints are manually entered into the system by the CAMS.

1a. Complaints and Related Materials

Disposition: **Temporary.** Cut off files monthly. Destroy/delete three years after data is entered into the system and verified.

1b. Slamming Complaints (FCC Form 501) and Related Materials

Disposition: **Temporary.** Cut off files at the end of the calendar year. Destroy/delete three years after case is closed.

**The Lotus notes application of OSCAR is being replaced by CIMS with like purpose and functionality and currently contains Slamming Complaint data as of May 2006 to present.*

2. Electronically Imported Data from CIMS and the Internet (FCC Forms 475, 501, 1008, 2000 and/or equivalent forms).

Disposition: **Temporary.** Cut off files monthly. Destroy/delete three years after information is imported into OSCAR and/or CIMS and the data has been verified.

3. Master Data File. Information maintained in the system is related to the contact information of the complainant, the company or companies named in the complaint and dates relative to the staff's processing of the complaint and, if required, response thereto dates relative to carrier service and response received. The complaint and the response are also maintained in OSCAR. The information is sorted and arranged by the informal complaint number. The informal complaint number is the primary/key unit of analysis for each document. The main view uses this field to sort the complaints. Each case is automatically assigned a unique informal complaint number by the system.

Disposition: **Temporary.** Cut off files at the end of the calendar year. Destroy/delete three years after case is closed.

4. Output/Reports. Reports (weekly, monthly, quarterly, etc.,) of case receipts generated and released to the public and Congress. Reports are also generated for internal use.

Disposition: **Temporary.** Cut off files semi-annually. Destroy/delete when report(s) are three years old or no longer needed for administrative purposes.

~~**Documentation.** Includes user guides, scripts, tip sheets, manufacturer's manuals, system specifications and file specifications with corresponding instructions.~~

~~Disposition: **Temporary.** Destroy/delete when updated or no longer needed, whichever is sooner.~~

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Consumer Information Management System (CIMS) and Equivalent, 2003.

The Consumer Centers located in Washington, DC and Gettysburg, PA receive telephone and e-mails inquiries about various topics. The CIMS system is used to track consumer inquiries e-mailed and/or telephoned to the Consumer Centers. The user enters a new "ticket" into the system for each contact/inquiry received. However, CIMS is not yet coded for entering new complaints; new complaints are scanned into CIMS and automatically assigned a unique informal complaint number by the system.

Input and Source Records. New records are created in the system one of three ways, user input through the desktop computer and client software, scanned, or the electronic transfer of e-mails to the server from Microsoft Outlook mailbox.

5. Complaints and Related Documents.

Disposition: **Temporary.** Cut off files at the end of the calendar year. Destroy/delete three years after case is closed.

6. Master Data File. The main table of the system contains all information related to the inquiry. That information includes description of the inquiry, the subject matter categorization of the inquiry and the responsive information, if any, sent to the consumer. In addition, related date and time information and owner/creator related information is contained. The consumer table contains all consumer-related data (name address, fax number, telephone number, email address, etc.). Each inquiry/contact input in the system is given a unique identifier. A new "ticket" is entered in to the system for each contact/inquiry received. The primary/key unit for each record is the Problem ID field. The Problem ID field uniquely identifies each "contact" or inquiry. Duplicates are not identified by the system. With the exception of SPAM or items that do not require a response, each contact made is responded to. If a consumer sends two e-mails they receive two responses.

Disposition: **Temporary.** Destroy/delete three years after case is closed.

7. Outputs.

Each inquiry/contact input in the system is responded to via informational PDF files that are sent via e-mail, mail, or via information provide orally by the CAMS via telephone.

Disposition: **Temporary.** Destroy/delete three years after case is closed.

8. Notice of Informal Complaint (NOIC) Letter

Generated for each slamming complaint and is sent to the alleged slamming carrier and the consumer.

Disposition: **Temporary.** Cut off files at the end of the calendar year. Destroy/delete three years after case is closed.

9. State Referral Letter

Sent to the Public Utilities Commission along with the original copy of complaints received by consumers who are residents in states that have "opted-in" to administer the FCC's slamming liability rules; paper copies of sent documents are maintained.

Disposition: **Temporary.** Cut off files at the end of the calendar year. Destroy/delete three years after case is closed.

10. Deficiency Letter.

Sent to consumers who have a filed a complaint but have not provided the necessary evidence, such as a bill, to document the alleged slamming complaint. Original complaints and copies of our letter to the consumer are maintained.

Disposition: **Temporary.** Cut off files at the end of the calendar year. Destroy/delete three years after case is closed.

Tracking and Control Records

~~These files contain logs, registers, and other records used to control or document the status of correspondence, reports or other records.~~

~~Disposition: Temporary. Destroy/delete when 2 years old, or 2 years after date of the latest entry, whichever is applicable.~~

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State Information Screen.

Screen provides all state contact related information that may be needed by the CAMS.

11. Reports.

Reports available to users, management and statisticians.

Disposition: **Temporary.** Destroy/delete when reports are three years old or no longer needed for administrative purposes.

Documentation:

~~Users' Manual, System Administration Manual, FAQ document, Remedy provided system documentation.~~

~~Disposition: Temporary. Destroy/delete when updated or no longer needed for administrative purposes.~~

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