

Rec'd N 100 25 Jul 78 119

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS

(See Instructions on Reverse)

TO: GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT)

Federal Communications Commission

2. MAJOR SUBDIVISION

Field Operations Bureau

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Rex Marshall

5. TEL. EXT.

632-7533

AUG 3 1978

(Date) ACTING Archivist of the United States

LEAVE BLANK DATE RECEIVED JOB NO. 26 1978 NC 1 173 78 3 NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "with-drawn" in column 10.

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 4 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

July 25, 1978 Date

Rex Marshall (Signature of Agency Representative)

Chief, Records Management Division (Title)

Table with 4 columns: 7. ITEM NO., 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods), 9. SAMPLE OR JOB NO., 10. ACTION TAKEN. Row 1: 1, RECORDS CONTROL SCHEDULE FIELD OPERATIONS BUREAU, 0.111 FUNCTIONS OF THE BUREAU. The Field Operations Bureau is responsible for all Commission engineering activities performed in the field relating to radio stations including station inspections, surveys, monitoring, direction finding, signal measurement and investigations; for those enforcement activities performed in the field dealing with the suppression of interference and the inspection of devices possessing electromagnetic radiation characteristics; and such field inspections or investigations as might be required by the Commission, or the Bureaus and Staff Offices. This schedule supersedes NN 171-133, approved June 6, 1971. Specific items are noted in column 9 when applicable. ADMINISTRATIVE AND GENERAL FILES General Subject File. a. Correspondence and copies of memoranda relating to the functions of the Bureau, the administration of its field offices. Break file annually. Destroy when five years old.

NN-171-133

Item 1a and 2b

All FRC's NMF & Agency 8/8/78 73 items

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
2	<p>FIELD OPERATIONS BUREAU Records Schedule</p> <p><u>ADMINISTRATIVE AND GENERAL FILES</u> (cont'd)</p> <p>b. Other correspondence and copies of memoranda on matters of transient importance such as routine memoranda relating to field technical measurements, equipment evaluation reports and other subjects having little value.</p> <p><u>Destroy</u> when three years old.</p> <p>c. Papers covered by General Records Schedules.</p> <p>Refer to Appendix A.</p> <p>Investigative Case Reports. (FCC Forms FE-950 and 951) associated forms, reports, and correspondence.</p> <p>a. <u>Routine cases.</u> Destroy one year after closure.</p> <p>b. <u>Significant cases.</u> Retire to the Washington National Federal Records Center three years after closure.</p> <p><u>Destroy</u> eight years after closure.</p>	<p>Item 1b</p> <p>Item 2a</p> <p>Item 3</p>	<p></p>
3	<p>Certificate of Compliance. (FCC Form 724), ISM equipment, associated correspondence and graphs. These certificates state that the owner or lessee of the equipment listed is familiar with Part 18 of the FCC Rules and, also, that any harmful interference caused by its use will be corrected.</p> <p><u>Transfer</u> to Washington National Federal Records Center three years after receipt.</p> <p><u>Destroy</u> 11 years after receipt.</p>	<p>Item 4</p>	<p><i>JKL</i> <i>7/28/78</i></p>
4	<p>Violation and Citation Series, associated forms and correspondence; all services.</p> <p>Break file annually. <u>Destroy</u> when four years old.</p>	<p>Item 5</p>	<p></p>

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

3

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
5	<p>Ship inspection reports, notices, associated forms and correspondence.</p> <p>Correspondence and related reports and notices pertaining to the inspection of and the adequacy of the communications system used by ships and vessels of United States registry.</p> <p>These inspections are made with a view to protecting life and property, and their effectiveness is dependent upon determining what is defective, what corrective action is required, and the expeditiousness with which the correction is made. Thus after the period specified, these papers have no value.</p> <p>a. Cases involving <u>major</u> documented sailing violations of the Communications Act or vessels involved in Marine disasters.</p> <p><u>Transfer</u> to the Federal Records Center when 4 years old.</p> <p><u>Destroy</u> when 6 years old.</p> <p>b. All other records</p> <p><u>Destroy</u> when 4 years old.</p> <p>c. Records Cards</p> <p><u>Destroy</u> when no longer needed.</p>	<p>Item 6a</p> <p>Item 6b</p>	<p>7/28/78</p>
6	<p>Monitoring Files, associated forms and correspondence-all services. (FCC Forms 955).</p> <p>This series including correspondence, rough and finished reports and related papers pertaining to monitoring activities to ascertain that the Commission Communications Act of 1934, as amended, is being complied with by all parties transmitting energy or messages by radio.</p> <p>a. Interference Case Files.</p> <p><u>Destroy</u> two years after closure.</p> <p>b. Non-interference Case Files.</p> <p>(1) Case File.</p> <p><u>Destroy</u> five years after closure and briefings.</p>	<p>Item 7a</p> <p>Item 7b(1)</p>	

Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF
4

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>(2) Monitoring case brief. <u>Destroy</u> brief when 10 years old.</p> <p>c. <u>Survey</u> Case Files. <u>Destroy</u> two years after closure.</p> <p>d. Contract Case Files. <u>Destroy</u> two years after closure.</p> <p>e. FCC Form 955. <u>Destroy</u> 5 years after observations.</p>	<p>Item 7b(2)</p> <p>Item 7c</p> <p>Item 7d</p>	<p><i>filed</i> <i>7/28/78</i></p>
7	<p>Engineering Project Series. These files include papers pertaining to equipment testing, developing, design, and construction projects.</p> <p>a. Equipment development and design projects. <u>Destroy</u> five years after closure.</p> <p>b. Equipment testing and data collection projects (e.g., field strength recording data). <u>Destroy</u> three years after closure.</p> <p>c. Equipment and technical plant acquisition and construction projects. <u>Destroy</u> two years after closure.</p> <p>d. Real facilities acquisition projects. See Appendix A, GSA (General Records Schedule) 4, Item 7 and GRS 22, Items 1 and 2. These files contain GSA owned/controlled and FCC owned/controlled real facilities acquisition projects.</p>	<p>Item 9a</p> <p>Item 9b</p> <p>Item 9c</p>	
8	<p>Antenna Analysis Files. These files pertain to antenna heights and locations and contain forms, worksheets and reports.</p>	Item 10	

Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF

5

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>a. Current station files.</p> <p><u>Transfer</u> to deleted station files when inoperable.</p> <p>b. Dismissed applications, deleted station files and analysis worksheets.</p> <p><u>Destroy</u> when two years old.</p>	Item 10a Item 10b	
9	<p>Federal Aviation Agency clearances file consisting of copies of airspace studies conducted by the Federal Aviation Agency pertaining to proposed antenna tower construction versus navigable air space.</p> <p><u>Destroy</u> when 3 years old.</p>	Item 11	
10	<p>Civil Defense Files</p> <p>These files consist of copies of correspondence, reports, directives, etc., pertaining to operation alerts, emergency broadcast systems and relocation sites. The original records are maintained by the Emergency Communications Division of the Executive Director.</p> <p>a. Operations Files.</p> <p><u>Destroy</u> when two years old.</p> <p>b. Emergency Broadcast System Files.</p> <p><u>Destroy</u> when cancelled or modified.</p> <p>c. Relocation Site Files.</p> <p><u>Destroy</u> when superseded or obsolete.</p>	Item 12a Item 12b Item 12c	<i>inf 7/28/78</i>
11	<p>Committee and Conference Files.</p> <p>These files contain copies of proposals, reports, minutes and work papers of Interagency and International</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
12	<p>FIELD OPERATIONS BUREAU Records Schedule</p> <p><u>ADMINISTRATIVE AND GENERAL FILES</u> (cont'd)</p> <p>organizations such as CCIR, Inter-American, CIR (Cooperative Interference Committee) etc.</p> <p>a. (1) CCIR (International Radio Consultive Committee) (Study Group I) <u>Destroy</u> when three years old.</p> <p>(2) Other study groups as appropriate. <u>Destroy</u> when three years old.</p> <p>(3) All work papers. <u>Destroy</u> upon approval by U.S. National Committee.</p> <p>(4) Plenary Assembly Documents. <u>Destroy</u> when no longer needed for reference.</p> <p>b. Inter-American Study Group. <u>Transfer</u> to Federal Records Center when three years old. <u>Destroy</u> when 10 years old.</p> <p>c. Cooperative Interference (CIR) and Television Interference Committee files. <u>Destroy</u> when one year old.</p> <p>Personal Property Records.</p> <p>a. (1) Procurement Records, Object Classes 31 (Equipment) and 32 (Land and Structures); copies only. <u>Destroy</u> when five years old.</p>	<p>Item 13a(1)</p> <p>Item 13a(2)</p> <p>Item 13a(3)</p> <p>Item 13a(4)</p> <p>Item 13b</p> <p>Item 13c</p> <p>Item 14a(1)</p>	

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>FIELD OPERATIONS BUREAU Records Schedule</p> <p><u>ADMINISTRATIVE AND GENERAL FILES</u> (cont'd)</p> <p>(2) Other object classes. Copies only. <u>Destroy</u> when two years old.</p> <p>b. Inventory records, including transfer forms. (Carbon copies; originals in Office of Executive Director, Financial Management Division). <u>Destroy</u> when five years old.</p> <p>c. Technical equipment calibration or accuracy check records. <u>Destroy</u> after disposal of instrument.</p> <p>d. Specific Technical Equipment Catalogs. <u>Destroy</u> when equipment and catalogs become obsolete.</p> <p>e. Equipment operation and maintenance instruction manuals. <u>Destroy</u> after disposal of all instruments of model involved.</p>	<p>Item 14a(2)</p> <p>Item 14b</p> <p>Item 14c</p> <p>Item 14d</p> <p>Item 14e 7/28/78.</p>	
13	<p>Radio Operator Case Files.</p> <p>These files pertain to administrative sanction action by the Commission against commercial radio operators.</p> <p><u>Transfer</u> to the Federal Records Center when six years old.</p> <p><u>Destroy</u> when 16 years old.</p>		

Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF

8

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
14	<p>Alien Commercial Radio Operator Applications - FCC Form 755.</p> <p>These are applications filed by aliens for commercial radio operator licenses.</p> <p><u>Break</u> file annually.</p> <p><u>Transfer</u> to the Federal Records Center when six years old.</p> <p><u>Destroy</u> when 11 years old.</p> <p><u>ALL FIELD OFFICES</u></p> <p>The retention periods provided for this section of the schedule apply to the records described whenever found in a field office of the Field Operating Bureau. The periods prescribed for transfers to Federal Records Centers are intended as minimum standards and may be extended if conditions warrant.</p>		
15	<p><u>General Correspondence Files.</u></p> <p>Correspondence, reports, and related papers pertaining to monitoring, inspection, operator examination, investigations, and other activities associated with carrying out the terms of the Communications Act, as amended.</p> <p>All of the significant program policy information found in these files is duplicated, with disposition provided for, in the files of the Headquarters offices. Managerial and operational data found in these papers are summarized and forwarded to Headquarters.</p> <p><u>Break</u> file every two years.</p> <p><u>Destroy</u> when four years old.</p>	<p>Item 15 filed 7/28/78</p>	

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

9

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
16	<p>FIELD OPERATIONS BUREAU Records Schedule</p> <p><u>Administrative Files.</u></p> <p>a. Files documenting all fiscal transactions are maintained in the Headquarters Offices. Copies of such papers as requisitions, purchase orders, invitations to bid, acceptances, contracts and related correspondence, and reading files of outgoing correspondence, and maintained solely for statistical and reference purposes. Since a record copy of these papers is maintained at Headquarters, they are of no value after the period specified.</p> <p><u>Destroy</u> six months after close of fiscal year involved.</p> <p>b. All stocks of periodicals, except for important individual copies.</p> <p><u>Destroy</u> when one year old.</p> <p>c. Technical and engineering periodicals which have reference material value.</p> <p><u>Destroy</u> when no longer needed or when 5 years old, whichever is sooner.</p> <p>d. All other administrative records, use the General Records Schedules.</p>	Item 16	
17	<p><u>Radio Operator Services Series.</u></p> <p>a. <u>Applications.</u></p> <p>(1) Applications for a Restricted Radiotelephone Operator Permit - FCC Form 753-A. Under Part 13.4 (Vol. 1) of the Commission's Rules this application (Permit) is issued for the lifetime of the holder.</p> <p>Forward applications to Gettysburg, Pa., office after issuance.</p> <p><u>Transfer</u> to Federal Records Center when six months old.</p> <p><u>Destroy</u> when 75 years old.</p>	Item 18a	

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>FIELD OPERATIONS BUREAU Records Schedule</p> <p>(2) Application for immediate need of above Permit. <u>Destroy</u> when one year old.</p> <p>(3) Application for radio operator license or permit - FCC Forms 756 and 756-C. (Other than Restricted Radiotelephone Operator Permit or Amateur License).</p> <p>Start new alphabetical file at beginning of each year.</p> <p><u>Transfer</u> to the Federal Records Center when six years old.</p> <p><u>Destroy</u> when eight years old.</p> <p>b. <u>Card Files.</u></p> <p>(1) Radio Operator Card File - FCC Form 756-B. When a license is issued, this card is forwarded to the Gettysburg, Pa., office by the tenth of the month for all licenses issued during the previous month. The Gettysburg processing unit then transfers information from this card and merges it with the computerized file of commercial radio operators.</p> <p>When no license is issued, this card is not completed.</p> <p>(a) All cards prior to 1966 are now stored at the Federal Records Center.</p> <p><u>Destroy</u> when 20 years old.</p> <p>(b) Cards subsequent to 1965 are to be automated.</p> <p><u>Destroy</u> after information has been keypunched, verified and transferred to the computer.</p>	<p>Item 18b</p> <p>Item 17b jlf 7/28/78</p> <p>Item 17d</p>	

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF
11

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
18	<p>FIELD OPERATIONS BUREAU Records Schedule</p> <p>(2) Amateur Record Card - FCC Form 763. These card files containing information on license amateur radio operators are filed in field offices.</p> <p><u>Destroy</u> when six years old.</p> <p>c. Examination Papers - Commercial Radio Operators and Amateur Radio Operators, who have either passed or failed the test.</p> <p><u>Destroy</u> when 90 days old.</p> <p>Monitoring Case Files, associated forms and correspondence - All Services.</p> <p>These include some correspondence, reports, and related papers pertaining to monitoring activities to ascertain that the Communications Act of 1934, as amended, is being complied with. These files in the Field Offices have little value after the period specified and may be reactivated, if need be, upon advice from the Washington Headquarters which has more detailed long-range records.</p> <p><u>Destroy</u> all case files and incident correspondence one year after advice from Washington Headquarters to close.</p>	Item 19c	
19	<p><u>Engineering Project Series.</u></p> <p>a. Correspondence, reports, and associated forms on engineering projects.</p> <p><u>Destroy</u> three years after closure of project by Washington Headquarters.</p> <p>b. Real facilities acquisition projects.</p> <p>(1) Transfer appropriate records (certification of title, etc.) to Real Property Files.</p> <p><i>See item 20 of this schedule.</i></p> <p style="text-align: right;"><i>ihf</i> <i>7/28/78</i></p>	Item 20	
		Item 21a	
		Item 21b	

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF
12

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	FIELD OPERATIONS BUREAU Records Schedule		
	(2) Destroy remainder five years after closure of project by Washington Headquarters.	Item 21b (2)	<i>Met</i> 7/25/78
20	<u>Real Property Records.</u> See Appendix A, GSA (General Records Schedule), 4 Item 7 and General Records Schedule 22, Items 1 and 2.	Item 22	
21	<u>Personal Property Records.</u>		
	a. Procurement records. <u>Destroy</u> when two years old.	Item 23a	
	b. Inventory records, including transfer forms. <u>Destroy</u> when five years old.	Item 23b	
	c. Equipment calibration or accuracy check records. <u>Destroy</u> when five years old or upon disposal of instrument, whichever occurs first.	Item 23c	
	d. Equipment operation and maintenance instruction manuals. <u>Destroy</u> upon disposal of equipment. If equipment is transferred, send with equipment.	Item 23d	
	e. Automobile operation reports. <u>Destroy</u> after disposal of vehicle.	Item 23e	

Request for Records Disposition Authority—Continuation

JOB NO.

PAGE OF
13

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	FIELD OPERATIONS BUREAU Records Schedule		
22	Investigative Case Reports - Forms 950 and 951 - associated forms and correspondence. a. Important or basic reference cases. <u>Destroy</u> when 10 years old. b. Routine investigative cases. <u>Destroy</u> two years after closing.	Item 24a Item 24b	
23	Violation Notices - associated forms and correspondence. a. Broadcast services. <u>Destroy</u> four years following issuance of notice. b. Ship services. <u>Destroy</u> four years following issuance of notice. c. Other than Broadcast or Ship services. <u>Destroy</u> four years following date of issuance of notice.	Item 25	
24	Radio Station License and Correspondence Files - all services. a. Current license, special authorizations and technical specifications. <u>Transfer</u> to noncurrent file when license expires. b. Non-current licenses, reports, correspondence, authorizations, and construction or operating data. <u>Destroy</u> upon reinspection or when 4 years old, whichever is sooner.	Item 27a and 28a Items 27b and 28b	

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	FIELD OPERATIONS BUREAU Records Schedule		
25	Certificate of Compliance--This file contains ISM <i>equipment associated correspondence, and graphs.</i> Destroy when five (5) years.	Item 29	
26	Collection of Fees Records Files--These files include Fee Transmittal Record FCC Form A-74, Certificates of Deposit, Standard Form No. 219, Transaction Record of Fees Form A-70, and Imprest Fund Record. Destroy when two (2) years old.		
27	Interim Ship Licenses File--This file contains copies of Interim Ship Licenses. Destroy when one (1) year old.		

*ikl
7/28/78*