

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER NI-417-10-2	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 8-10-2010	
1 FROM (Agency or establishment) Department of Commerce		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION National Telecommunications & Information Administration (NTIA)			
3 MINOR SUBDIVISION Office of Spectrum Management (OSM)			
4 NAME OF PERSON WITH WHOM TO CONFER Daniel J. Rooney	5 TELEPHONE NUMBER 202-482-0517	DATE 8/25/10	ARCHIVIST OF THE UNITED STATES <i>[Signature]</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 _____ page(s) are not needed now for the business for 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, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE 5/21/10	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature: Daniel J. Rooney]</i>		TITLE DOC 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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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 ATTACHED		

This section updates the National Telecommunications and Information Administration's (NTIA) Records Schedule section titled Office of Federal Systems and Spectrum, items 97-174, issued in January of 1981 under NARA's disposition authority NC1-417-79-1. Additional organizational information can be obtained from NTIA's website at www.ntia.doc.gov

NTIA's Office of Federal Systems and Spectrum was renamed the Office of Spectrum Management effective September 14, 1982 (DOC DOO 25-7)

OFFICE OF SPECTRUM MANAGEMENT (OSM)

The Office of Spectrum Management (OSM) is responsible for managing the Federal Government's use of the radio frequency spectrum with the assistance and advice from the Interdepartment Radio Advisory Committee (IRAC)

Office of the Associate Administrator

1. Associate Administrator Program Subject File- The file reflects the coordination, management, and executive direction of the Associate Administrator and Deputy Associate Administrator in administering the spectrum management program of NTIA. The file contains only materials pertaining to specific matters of interest to the Associate Administrator or Deputy Associate Administrator. Speeches and testimonies files for the Associate Administrator or Deputy Associate Administrator are governed by disposition authority N1-417-10-1, item 18. Specific matters of the Interdepartment Radio Advisory Committee are maintained by the IRAC Secretariat which has a permanent disposition.

- a) Speeches and Testimonies of Associate Administrator or Deputy Associate Administrator

Permanent Cut off files annually Retire to WNRC 4 years after cutoff Transfer to the National Archives in 5 year blocks 20 years after cutoff.

- b) All other files

Temporary Cut off files at the end of the calendar year Transfer inactive files to WNRC 5 years after cut off Destroy 10 years after cut off

Records Common to Multiple OSM Divisions

2. Division Chief Working Papers and Reference Files- Reports, statistical data, publications, and other documentation that are collected and used by the Division Chief to develop reports, publications, briefing papers, talking points, and other products, the final version of which is published, transmitted to the Associate Administrator, Assistant Secretary or the Office of the Secretary, or otherwise disseminated.

Temporary Dispose when no longer needed for current business or for other work

3 Division Working Files- These files consist of documents necessary to generate reports that are provided to the OSM Associate Administrator and the OSM Deputy Associate Administrator. The documentation includes both administrative and technical information that relates to objectives of the division and the associated tasks for which it is assigned primary responsibility. The program files contain electronic records and hard copy records.

Temporary. Move active files forward and dispose of all others when they have served their purpose or when 10 years old, whichever is sooner.

4. Working Papers and Reference Files- These files include records associated with ongoing projects, tasks, and work assignments of the staff. The records include technical papers, publications, notes, correspondence, and other documentation, as well as information that are compiled in response to special assignments.

Temporary. Cut off files at the termination of the project or assignment. Destroy 1 year after cut off.

Domestic Spectrum Policy Division – Office of the Chief

5 Workshop and Seminar Files- Documentation pertaining to periodic and Federal Spectrum Management Courses. File contains training materials and administrative files necessary to conduct the workshop and seminars.

Temporary. Cut off at the end of the calendar year. Destroy 5 years after cut off.

6 Spectrum Wallchart Files- Materials used to update the spectrum wall chart and create a printable copy.

Temporary. Cut off at the end of the calendar year. Destroy 10 years after cut off.

IRAC Secretariat -- Office of the Executive Secretary

The Interdepartment Radio Advisory Committee (IRAC), organized by mutual agreement of the federal departments concerned on June 1, 1922, reconstituted on October 6, 1952, with status, mission, and functions officially defined on December 10, 1964, was continued by the Assistant Secretary pursuant to Executive Order 12046 of March 27, 1978 and the National Telecommunications and Information Administration Organization Act, as revised. The IRAC serves in an advisory capacity to the Assistant Secretary and reports to the Deputy Associate Administrator for the Office of Spectrum Management. Electronic records created by the Secretariat are the official record keeping copy. The textual records are considered duplicate copies and are used by the staff for reference.

IRAC Secretariat

7 Sequence File- This file contains one copy of every document treated by the IRAC. Incoming and outgoing documents are logged showing the date, document number, description of document, types of action required, a notation of the action of the Committee, and appropriate cross-reference to other documents, if applicable. Each document bears a document number in numerical sequence as received. The file is arranged numerically.

At least once a year these files are scanned and maintained in an electronic archival data base for research and historical purposes. One copy of the data base is retained on a server at headquarters for purposes of current business and another copy is deposited at a relocation site.

Permanent. Destroy hardcopy records after scanning. Cut off electronic files at the end of the calendar year. Transfer electronic records to the National Archives 3 years after cut off.

8. Committee Logs- Each document considered by the Committee is posted in an electronic database showing the date received, file number, brief description, type of action, agenda item action or note, meeting date, and similar descriptive statements.

- a) Loose-leaf Log Books for the period October 1952 through December 1996. This is a series of loose-leaf binders started in October 1952 and maintained through December 1996.

Permanent. Already transferred to the WNRC. Transfer to the National Archives in 2016.

- b) IRAC and Subcommittee logs since January 1997 are maintained in an electronic data base. Information contained in the log is now incorporated with the scanned documents in the "Sequence File."

Frequency Assignment Subcommittee (FAS)

9 Applications for Frequency Assignment Actions- Each year the FAS receives electronic applications for frequency assignments actions from agencies of the Federal Government. These applications are forwarded to the FAS for the necessary research analysis and a recommended final frequency assignment action. Frequency assignment actions include requests for a new frequency, a renewal, a modification or deletion of an existing assignment.

From this and related data the computer automatically assigns a docket number to each application and electronically prepares a daily Screeners' List of all applications received. Each record on the Screeners' List is reviewed and those records with unresolved issues are tabled until fixed or withdrawn.

Temporary. Cut off files at the end of the calendar year. Destroy 3 years after cut off.

10 Screeners' List- This is a computer electronic file of all the data on the application, plus all of the changes or adjustments that must be made in order to allow a Frequency Assignment Action to be considered by the FAS. These lists are reviewed by the staff and changes are then posted daily to the NTIA website.

Temporary Cut off files at the end of the calendar year Destroy 3 years after cut off

11 Agenda- The staff analyses the information on the Screeners' List concerning each application under consideration, any changes that need to be made in this information are posted on the NTIA website. All of the data concerning each application with the revisions of the staff is put in the computer and it automatically prepares an electronic Agenda for NTIA and agency review The Subcommittee and Staff changes are keyed into the agenda data base Once the application is approved by the FAS the computer automatically includes these records in the Government Master File (GMF), an electronic data base containing the Federal Agencies' frequency assignment records

Temporary Cut off files at the end of the calendar year Destroy 3 years after cut off

12 Administrative Dockets- These are the action papers received or generated by the FAS on managerial or policy matters. Each such document is assigned a registration or document number which is maintained in an electronic log along with a description of the document, date received, and the date distributed These documents are arranged by number and are scanned into the archive data base which is maintained by NTIA

Permanent. Destroy hardcopy records after scanning Cut off electronic files at the end of the calendar year. Transfer electronic records to the National Archives 3 years after cut-off

13 Special Temporary Authorization (STA)- Incoming and outgoing correspondence concerning permission to use sites for telecommunications installations and the characteristics of such sites for operating periods up to approximate 30 days

Temporary. Cut off files at the end of the calendar year. Destroy 3 years after cut off

14 Non-Member Assignment File- Hard copy radio frequency lists, representative letters, correspondence requesting radio frequencies and frequency assignments given to agencies

Temporary Destroy when superseded, or when no longer needed for business purposes

15 Selected Correspondence- Selected incoming and outgoing paper or electronic correspondence that has general application to the development of the FAS IT computer programs, radio interference reports, agencies request, and FAS activities Paper documents are stored as paper files File arranged by subject

Temporary. Destroy when superseded or when no longer needed for business purposes

Common Records of Various IRAC Subcommittees

16 Subcommittee Files- Contains record copies of all papers generated by the subcommittee under IRAC. Documents are scanned and maintained in an electronic archival data base for research and historical purposes. Each document in the file is given a document number under which it is filed in sequential order.

- a) Records with historical significance as identified by the Subcommittee, including files documenting the subcommittee's establishment, membership, policy, organization, deliberations, findings, and recommendations. These include agendas, minutes, correspondence files of key subcommittee staff, and the recordkeeping copy of reports and studies.

Permanent. Cut off files at the end of the calendar year. Transfer electronic records to the National Archives 3 years after cut off.

- b) Other records with no historical significance. These are records that relate to routine activities of the Subcommittee, including reference and working files and other routine records such as public mail, information requests, and logistical information for committee meetings and hearings.

Temporary. Destroy when no longer needed for business purposes.

Ad Hoc Groups

These are working groups that are designated by IRAC to investigate, analyze, and recommend resolution of a specified problem area. Some of the problem areas must be handled on a specific time table, while others may span a number of years. A convener agency, designated by IRAC, is responsible for the maintenance and preservation of the official records of the Group. Consequently, NTIA is only responsible for the official records of a portion of the total number of active Ad Hoc Groups.

17 Ad Hoc Groups Documents- The Secretary or equivalent of each group collects or generates documents containing data on the organization and activities of the Group. The responsible official (Convener) also generates a quantity of documents containing data used to formulate the group's recommendations to the IRAC. The files are held by the Convener/Secretary of each Ad Hoc Group and should be reviewed for disposition 6 months after discontinuance of the group.

Temporary. Destroy when no longer needed for business purposes.

Electronic Databases

18 Government Master File (GMF)- This electronic database is used to record all federal radio spectrum assignments approved by NTIA for use within the United States. Data is technical and changes daily. The database is also used to support studies predicting the likelihood of interference between existing assignments and those being requested.

- a) Inputs Copies of data received from Federal agencies in various electronic formats

Temporary Delete when data have been entered into the master file and verified, or when no longer needed to support reconstruction or serve as back up file, whichever is later

- b) Master File Contains classified and unclassified approved Federal agencies frequency assignment records used within the United States and licensed by NTIA. The database also contains Canadian, Mexican, Annex L countries and some overseas records used for coordination. Database is updated weekly and a back-up is performed on two different servers

Permanent. Cut off currently posted data when 3 years old and then transfer to the National Archives Maintain previous 2 years archived on a separate system for research and historical purposes for the NTIA staff

- c) Outputs Monthly compact disc produced to provide all federal users a copy of the database. The file is kept chronologically starting at the lowest radio frequency to the highest

Temporary Send copy of compact disc to Federal agency users on a monthly basis Maintain a record copy for 10 years on file, arranged by year Delete/destroy after 10 years or until no longer needed for business purposes, whichever is longer

- d) All extra copies of monthly CD

Temporary. Destroy once a new version of the manual is available or when no longer needed for business purposes

- e) Documentation: The Manual of Regulations and Procedures for Federal Radio Frequency Management, Chapter 9, documents data field size and meaning

Temporary. Delete/Destroy once a new version is available or when no longer needed for business purposes

19. System Review File (SRF)-This electronic database is used to enter Federal Certification information, as well as perform retrievals and related data processing tasks in support of divisional spectrum service activities Information is gathered and used from official Federal Certification Information documents

- a) Hard Copy Documents. These are completed certifications of spectrum support for several systems that are reviewed by the IRAC's Spectrum Planning Subcommittee

Permanent. Hard copy version is the record keeping copy and is transferred to the National Archives as part of the IRAC Secretariat's Sequence file (item 8)

- b) Inputs-Electronic Copy

Temporary. Delete when data have been entered into the master file and verified, or no longer needed for business purposes, whichever is longer.

- c) Master File: Federal spectrum certification information. Data fields from Federal Certifications consist of the following: System Name; Agency; Stage of Review; Frequencies in MHz, KHz, GHz; Emissions; Power; Station Class; Control Number; Docket Number; Description of Document; Entry Date; Agency Date; IRAC Number; Preliminary Assessment Number; Preliminary Assessment Date; Wartime Code; Operating Location; Comments; User Name. The file contains records information for systems processed for certification from 1978 to the present.

Temporary. Retain until IRAC program ends or no longer needed for business purposes and then delete/destroy.

- d) Outputs: Listings of system certification information by Frequency Band, Agency, Stage of Review, and System Identification Number.

Temporary. Delete after recordkeeping copy is produced or when no longer needed for business purposes, whichever is longer.

20. The Equipment Location-Certification Information Database (EL-CID)-Purpose: EL-CID is an automated tool to support the electronic processing of Federal spectrum certification requests at NTIA for major U.S. Federal telecommunication systems along with their supporting equipment and location data.

- a) Inputs: Electronic data is received from Federal agencies in EL-CID formats.

Temporary. Delete when data have been entered into the master file and verified, or when no longer needed for business purposes, whichever is longer.

- b) Master file: Federal spectrum certification information. Data fields from Federal Certifications consist of the following: System Name; Agency; Stage of Review; Frequencies in MHz, KHz, GHz; Emissions; Power; Station Class; Control Number; Docket Number; Description of Document; Entry Date; Agency Date; IRAC Number; Preliminary Assessment Number; Preliminary Assessment Date; Wartime Code; Operating Location; Comments; User Name. System contains records from 2004.

Permanent. Records are transferred to the National Archives as part of the IRAC Subcommittee Files (item 16a).

Outputs: Summary reports, tables, maps, electronic documents, and certification document.

Temporary. Delete after recordkeeping copy is produced or when no longer needed for business purposes, whichever is longer.

Information Technology Division (ITD) – Office of the Chief

21. Computer Services Program Subject File- Consists of documents of the Division Director pertaining to the overall management and operations of furnishing computer services in furthering the various NTIA programs involving ADP operations.

Temporary. Cut off files at the end of the calendar year. Destroy 5 years after cut off.

ITD-Systems Development and Systems Support Branches

22. Computer Program Development File- This contains copies of internal correspondence that relates to the general operation of the Section, productivity reports, specific requests from users pertaining to implementation of new computer programs, updates and others; usual housekeeping papers, technical data on computer software and hardware, and the like.

Temporary. Cut off files at the end of the calendar year. Destroy 3 years after cut off.

23. Program Files- These contain the commands to the computer to treat specified source data in a certain manner and automatically produce the desired end product which might be any one of several possible computer outputs.

Temporary. Delete when upgraded or no longer needed for the business purposes, whichever is longer.

24. Public Web Pages- These pages are viewable by the public through a web browser.

Temporary. Destroy archived pages when 10 years old or when superseded, obsolete, or no longer needed for the conduct of agency business, whichever is earlier.

25. Database Audit Data- This data contains audit trail of access and changes to data, and to database structure.

Temporary. Cut off files at the end of the calendar year or on the completion of an audit. Destroy/delete individual CDs or the content of file folders 3 years after cut off.

ITD-Network and Technical Services Branch

26. Network & Technical Services Working Papers- These are the working papers including internal correspondence, copies of reports generated or collected by the Chief concerning the acquisition of a computer installation for the use of NTIA and its most probable maximum utilization during the initial period of operations.

Once the desired configuration of hardware and software have been determined, the data in these files are summarized or otherwise duplicated in submissions to higher authority that specifically deal with the automatic data processing capability, the need for it and its estimated costs.

Temporary. Cut off files at the end of the calendar year. Destroy individual documents or file folder contents 10 years after cut off.

ITD-Enterprise Architecture Branch

27. Enterprise Architecture Records- Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.

Temporary. Cut off when superseded by a new iteration of the enterprise architecture.
Destroy/delete when 7 years old or when no longer needed, whichever is longer.

Spectrum Engineering and Analysis Division (SEAD) – Office of the Chief

28. Spectrum Analysis Reports- This is a record set consisting of one copy of published reports. These reports are usually generated for each assigned assessment task. There may be other reports that are produced in the process of special projects that result from unanticipated situations.

Most of the reports are published and distributed within the Federal Government and made available to the public on the NTIA website. There are some reports that are not published for security and other reasons. Arranged by report title.

Permanent. Cut off files at the end of the calendar year. Transfer to WNRC 2 years after cut off. Transfer to the National Archives in 5 year blocks 20 years after cut off.
