

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER 417 N1-040-08-1	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 7/22/08	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 NTIA			
3 MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Daniel J. Rooney	5 TELEPHONE NUMBER 202-482-0517	DATE 7-13-09	ARCHIVIST OF THE UNITED STATES <i>Adrienne Thomas</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 6/16/08	SIGNATURE OF AGENCY REPRESENTATIVE <i>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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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		

Attachment to Standard Form 115: Request for Records Disposition Authority for the NTIA Digital Television Converter Box Coupon Program (Coupon Program)

Program Description Summary

The Department of Commerce's National Telecommunications and Information Administration (NTIA) TV Converter Box Coupon Program (Coupon Program) was authorized in the Digital Television Transition and Public Safety Act of 2005

The Coupon Program provides for distribution and redemption of coupons that consumers may apply toward the purchase of digital-to-analog converter boxes. The converter boxes will enable consumers to watch over-the-air television broadcasts on analog televisions once television stations cease analog broadcasting on February 17, 2009, as required by law.

NTIA created a new system of records for applications related to coupons for the Digital-to-Analog Converter Box program. Information is collected from individuals under the authority of Title III of the Deficit Reduction Act of 2005, Pub. L. No. 109-171, 120 Stat. 4, 21 (Feb. 8, 2006) (hereinafter "the Act") and pursuant to regulations published by NTIA in 47 C.F.R. § 301. This new system of records is necessary to identify those households that qualify for and receive coupons towards the purchase of a digital-to-analog converter box.

NTIA awarded a contract to IBM on August 15, 2007, to provide services for the TV Converter Box Coupon Program. The contract performance began on the award date, and is scheduled for closeout September 30, 2009.

Description of Records and Proposed Disposition

Item 1. Electronic System

Name of system: TV Converter Box Coupon Program (*see attached electronic information system questionnaire*)

Purpose of system: This system is used to collect information from requesting households so that NTIA may provide the coupons to eligible households via the U.S. Postal Service, as required by the statute. **Authorities for Maintenance of the System:** Title III of the Deficit Reduction Act of 2005, Pub. L. No. 109-171, 120 Stat. 4, 21 (Feb. 8, 2006)

Household information is collected and/or maintained by NTIA and/or its Contractor. 47 C.F.R. § 301 requires consumers to submit an application to NTIA's Contractor that contains the following information to demonstrate the household's eligibility to receive a digital-to-analog converter box coupon: (1) name, (2) address; (3) the number of coupons requested; and (4) a certification as to whether the household receives cable, satellite, or other pay television.

All electronic information collected and/or disseminated by NTIA's Contractor adheres to the following Federal Laws, Regulations, Acts, Executive Orders, Special Publications, Guidelines, DOC/NTIA Directives and Policies: DOC's IT Security Program Policy and Minimum Implementation Standards, DOC Information Technology Management Handbook, Appendix III, Security of Automated Information Resources, OMB Circular A-130, the Computer Security Act of 1987 (Pub. L. No. 100-235), DOC Security Manual, Chapter 18, Executive Order 12958,

as amended; the Federal Information Security Reform Act of 2002 (Pub L No 107-347), NIST SP 800-18, Guide for Developing Security Plans for Federal Information Systems, NIST SP 800-26, Security Self-Assessment Guide for Information Technology Systems, NIST SP 800-53, Recommended Security Controls for Federal Information Systems; and DOC Procedures and Guidelines in the Information Technology Management Handbook.

Inputs: Applicants for digital-to-analog coupons may enter the information via four channels. a website, phone, fax or by mail. Retailers apply for certification via a website or with paper records

Disposition: TEMPORARY. Delete records 2 years after termination of program.

Master File: Includes: household coupon requests and fulfillments, retailer certification, coupon redemptions, retailer payments, and converter box technical certifications. System contains records from January 1, 2008 to scheduled program close out on September 30, 2009. Records are organized and retrieved using an internal identification number or the name (e.g. household, retailer, or manufacturer), however, records may be accessed by using any file element or any combination thereof

Disposition: TEMPORARY. Delete records 2 years after termination of program.

~~**Outputs:** Coupons mailed to the consumer. The output of the coupon redemption and payment system is a secure file for NIST to process payments via the U. S Treasury. Both systems provide reporting data to the IBM dashboard, which provides NTIA with various views and data. Separate reports are also provided on a daily, weekly and monthly basis.~~

a. Electronic or paper copy of reports

Disposition: TEMPORARY. Delete or destroy when no longer needed for operational purposes.

Covered by
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Item 6

Item 2. Retailer Paper Files:

Retailer files are primarily in electronic form. Retailers click on an “I agree” button on the retailer website for the Retailer Agreement. Some retailers send in a paper form of the agreement. The paper agreements are filed alphabetically, by retailer name. These files are held by the IBM team—CLC and Epiq

Retailer certification sign-up closed on March 31, 2008, however, retailers do have the ability to sign up late by requesting an appeal package. This process follows the same process as retailers that were denied certification may follow in requesting an appeal of the denial decision. The appeals packages sent to the requesting retailer are either electronically or in paper format. If the retailer returns the information required, they are again filed electronically.

Disposition: TEMPORARY. Delete or destroy upon termination of program.

Item 3. Household Application Paper Files:

Files contain envelope and application by households to obtain up to two coupons towards the purchase of converter box(s). These files are held by the IBM team—CLC and Epiq. Paper or faxed coupon applications are logged as received, numbered, and scanned to image. The envelope is included in the scan and filed with the paper hard copy. Applications are filed and maintained by the application ID (the number assigned on receipt), roughly chronological in batches.

Disposition: TEMPORARY. Destroy upon termination of program.

Item 4. Manufacturers' Files

Manufacturers primarily send their Notice of Intent (NOI) by fax or mail. These are scanned onto the NTIA share folder. Email contact with the manufacturers are saved in electronic file folders and forwarded to the NTIA shared drive. Messages are archived on NTIA email accounts.

All paper copies are currently stored alphabetically by manufacturer in the coupon program PMO office. Paper files consist of the hard copy NOI, test results, certification letters, UPC information, manufacturer points of contact, and any other information the manufacturer provides.

Disposition:

Paper files--TEMPORARY. Destroy upon termination of program.

Electronic files--TEMPORARY. Delete 1 year after termination of program.

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The Department of Commerce's National Telecommunications and Information Administration (NTIA) TV Converter Box Coupon Program (Coupon Program) was authorized in the Digital Television Transition and Public Safety Act of 2005

The Coupon Program provides for distribution and redemption of coupons that consumers may apply toward the purchase of digital-to-analog converter boxes. The converter boxes will enable consumers to watch over-the-air television broadcasts on analog televisions once television stations cease analog broadcasting on June 12, 2009, as required by law

Deleted: February 17, 2009

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NTIA awarded a contract to IBM on August 15, 2007, to provide services for the TV Converter Box Coupon Program. The contract performance began on the award date and is scheduled for closeout January 31, 2010.

Deleted: September 30, 2009

Description of Records and Proposed Disposition

Item 1. Electronic System

Name of system: TV Converter Box Coupon Program (*see attached electronic information system questionnaire*)

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Household information is collected and/or maintained by NTIA and/or its Contractor. 47 C.F.R. § 301 requires consumers to submit an application to NTIA's Contractor that contains the following information to demonstrate the household's eligibility to receive a digital-to-analog converter box coupon: (1) name, (2) address, (3) the number of coupons requested, and (4) a certification as to whether the household receives cable, satellite, or other pay television.

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Act of 1987 (Pub L No 100-235), DOC Security Manual, Chapter 18, Executive Order 12958, as amended, the Federal Information Security Reform Act of 2002 (Pub L No 107-347), NIST SP 800-18, Guide for Developing Security Plans for Federal Information Systems, NIST SP 800-26, Security Self-Assessment Guide for Information Technology Systems, NIST SP 800-53, Recommended Security Controls for Federal Information Systems, and DOC Procedures and Guidelines in the Information Technology Management Handbook

Inputs: Applicants for digital-to-analog coupons may enter the information via four channels a website, phone, fax or by mail Retailers apply for certification via a website or with paper records

Disposition: TEMPORARY. Delete records 2 years after termination of program.

Master File: Includes household coupon requests and fulfillments, retailer certification, coupon redemptions, retailer payments, and converter box technical certifications System contains records from January 1, 2008 to scheduled program close out on January 31, 2010 Records are organized and retrieved using an internal identification number or the name (e.g household, retailer, or manufacturer), however, records may be accessed by using any file element or any combination thereof

Deleted: September 30, 2009

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~~**Outputs:** Coupons mailed to the consumer The output of the coupon redemption and payment system is a secure file for NIST to process payments via the U S Treasury Both systems provide reporting data to the IBM dashboard, which provides NTIA with various views and data Separate reports are also provided on a daily, weekly and monthly basis.~~

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Disposition: TEMPORARY. Delete or destroy upon termination of program.

Reviewed by
GAS 2016
Ft 2/16

Item 3. Household Application Paper Files:

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Disposition:

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