

Request for Record Disposition Authority

(See Instructions on reverse)

Leave Blank (NARA Use Only)

To: National Archives and Records Administration (NIR)
Washington, DC 20408

1. From: (Agency or establishment)

Postal Regulatory Commission

2. Major Subdivision

Administrative Office

3. Minor Subdivision

Docket Section

4. Name of Person with whom to confer

Ruth Ann Abrams

5. Telephone (include area code)

202-789-6843

Job Number

N1-458-12-1

Date Received

7/5/12

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

Date

2/9/14

Archivist of the United States

[Signature]

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 6 page(s) are not now needed 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:

is not required is attached has been requested

Signature of Agency Representative

[Signature]

Title

Secretary and Chief Administrative Officer

Date (mm/dd/yyyy)

06/29/2012

7. Item Number	8. Description of Item and Proposed Disposition	9. GRS or Superseded Job Citation	10. Action taken (NARA Use Only)
	Postal Regulatory Commission-Specific Records pages attached.		

Postal Regulatory Commission

File	Description of Records	Authorized Disposition	Superseded Schedule
28	<p>Postal Regulatory Commission-Specific Records Includes records of the predecessor Postal Rate Commission (prior to 2006). Commission specific records located in this schedule include unique materials created by Commission employees in the course of Commission business. This part outlines the types of unique records created in each docket or case that may come before the Commission. It also enumerates the unique records created in each office of the Commission. This schedule is media neutral, applying to records in all formats.</p>		
28.01	<p>Rate Case Dockets Transcripts, formal documents (certified into the record). Informal documents (not certified into the record) that are filed by the U.S. Postal Service, intervenors, interested parties, and the Commission in the course of a rate case. Records date from 1977 through 2007 for the Postal Rate Commission; and from 2007 to the present for the Postal Regulatory Commission. The records may be in paper or electronic format. Volume on hand: 180 cubic feet.</p> <p>a. Transcripts, evidence, and other formal documents certified into the record.</p>	<p>Permanent. Cut off at end of fiscal year when case is closed. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to NARA, along with documentation, when 3 years</p>	<p>N1-458-96-2, item 1a1</p>

	<p>b. Informal documents not certified into the record. For example, cross examination exhibits used to facilitate witness testimony, interrogatory responses not designated for inclusion in the formal record, and materials of an illustrative nature used in the course of the proceeding, but not offered as evidence.</p>	<p>old, according to standards applicable at the time.</p> <p>Temporary. Cut off at end of fiscal year when case is closed. Destroy/delete 3 years after cutoff.</p>	<p>N1-458-96-2, item 1a2</p>
28.02	<p>Annual Compliance Determination Dockets. Formal documents including notices, comments, orders, and on rare occasions, transcripts, filed by the Commission, the U.S. Postal Service, and commenters. The Commission initiates compliance determination proceedings each year. Records date from 2008 and are ongoing. Records are arranged by docket case number. Volume on hand: 16 cubic feet.</p>	<p>Permanent. Cut off at end of fiscal year when case is closed. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to NARA, along with documentation, when 3 years old, according to standards applicable at the time.</p>	
28.03	<p>Rulemaking Dockets. Formal documents including notices, comments, orders, and on rare occasions, transcripts, filed by the Commission, the U.S. Postal Service, and commenters. The Commission initiates rulemaking proceedings on its own initiative or at the requests of parties or the Postal Service. The Commission provides parties with advanced notice in the Federal Register of the rules being proposed and an opportunity to comment. Records date from 1971 (1971-2007 are records for the Postal Rate Commission) and are ongoing. Records are arranged by docket case number. Volume on hand: 18 cubic feet.</p>	<p>Permanent. Cut off at end of fiscal year when case is closed. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to NARA, along with documentation, when 3 years old, according to standards applicable at the time.</p>	<p>N1-458-96-3, item 2</p>

28.04	<p>Complaint Dockets. Formal documents such as motions, notices, rulings, and discovery requests filed by complainants, the Commission, and the U.S. Postal Service. Cases are established when complainants raise issues concerning whether the Postal Service is operating in conformance with specific requirements of sections 101(d), 401(2), 403(c), 404(a), or 601 of Title 39. Records date from 1971 (1971-2007 are records for the Postal Rate Commission) and are ongoing. Records are arranged by docket number. Volume on hand: 35 cubic feet.</p>	<p>Permanent. Cut off at end of fiscal year when case is closed. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to NARA, along with documentation, when 3 years old, according to standards applicable at the time.</p>	<p>N1-458-96-3, item 3.</p>
28.05	<p>Nature of Service Dockets: Advisory Opinions Formal documents, including hearing transcripts and evidence, filed by the Commission, the U.S. Postal Service, and interveners. Advisory opinions are the result of "Nature of Service" cases that are established when the Postal Service submits a proposal to change the nature of Postal Services on a nationwide or substantially nationwide basis, and requests an advisory opinion from the Commission. Records date from 1975 (1975-2007 are records for the Postal Rate Commission) and are ongoing. Records are arranged by docket case number. Volume on hand: 26 cubic feet.</p> <p>a. Transcripts, evidence, and other formal documents certified into the record.</p>	<p>Permanent. Cut off at end of fiscal year when case is closed. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to NARA, along with documentation, when 3 years old, according to standards</p>	<p>N1-458-96-3, item 4</p>

	<p>b. Documents not certified into the record. For example, cross-examination exhibits used to facilitate witness testimony, interrogatory responses not designated for inclusion into the formal record, and materials of an illustrative nature used in the course of the proceeding but not offered as evidence.</p>	<p>applicable at the time.</p> <p>Temporary. Cut off at close of fiscal year when case is closed. Destroy/delete 5 years after cut off.</p>	
28.06	<p>Post Office Closing Dockets. Formal documents filed by the Commission, the U.S. Postal Service, and petitioners. Informal documents not certified into the record. Documents are filed in response to notice of intent to close or consolidate a post office. Dockets date from 1971 (1971-2004 are records for the Postal Rate Commission) and are ongoing. Records are arranged by docket case number. Volume on hand: 21 cubic feet.</p> <p>a. Transcripts, evidence, and other formal documents certified into the record.</p> <p>b. Documents not certified into the record. For example, cross-examination exhibits used to facilitate witness testimony, interrogatory responses not designated for inclusion into the formal record, and materials of an illustrative nature used in the course of the proceeding but not offered as evidence.</p>	<p>Permanent. Cut off at end of fiscal year when case is closed. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to NARA, along with documentation, when 3 years old, according to standards applicable at the time.</p> <p>Temporary. Cut off at close of fiscal year when case is closed. Destroy/delete 5 years after cut off.</p>	<p>N1-458-96-3, item 5</p>

28.07	<p>Other Dockets and Docket-Related Records. Records such as informal comments, letters, transcribed public informational hearings, notices, orders, cost and revenue data worksheets, and motions. Volume on hand: 143 cubic feet.</p> <p>a. Public Inquiry Dockets Public inquiry cases in which the Commission gathers the general public's opinion as a matter of interest.</p> <p>b. Special Study Dockets Review by the Commission of a specific topic concerning Postal law or policy.</p> <p>c. Market Test Dockets Review by the Commission of testing of an experimental product by the Postal Service for a limited period of time pursuant to 39 U.S.C. 3641.</p> <p>d. Competitive Products Dockets Review by the Commission of the Postal Service's setting of rates, fees, or discounts for its Competitive area, such as Priority or Express Mail.</p> <p>e. Mail Classification Dockets Review by the Commission of new Postal Service products to be classified as Market Dominant or Competitive and</p>	<p>Temporary. Cut off at end of fiscal year when case is closed. Destroy/delete 5 years after cut off.</p> <p>Temporary. Cut off at end of fiscal year when study is complete. Destroy/delete 5 years after cut off.</p> <p>Temporary. Cut off at close of fiscal year when market test completes. Destroy/delete 5 years after cutoff.</p> <p>Temporary. Cut off at end of fiscal year when product no longer applicable. Destroy/delete 5 years after cutoff.</p>	<p>N1-458-96-3, item 1</p>
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	<p>assigned to the Mail Classification Schedule (MCS).</p> <ol style="list-style-type: none"> 1. 2006 and earlier Dockets Volume on hand: 61 cubic feet. 2. Post 2006 Dockets <p>f. Library References Supporting evidence or materials, in a variety of formats and media, submitted as evidence in a Commission proceeding.</p> <ol style="list-style-type: none"> 1. Library references containing Cost and Revenue Analysis Reports (CRA) and the Cost Segments and Components Reports. Volume on hand: 2 cubic feet 2. All other Library References 	<p>Permanent. Cut off when case is closed and all appeals are exhausted. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old.</p> <p>Temporary. Cut off at end of fiscal year when product, rate, fee, or discount no longer applicable. Destroy/delete 5 years after cutoff.</p> <p>Permanent. Cut off at end of fiscal year in which report is released. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to NARA, along with documentation, when 3 years old, according to standards applicable at the time.</p> <p>Temporary. Cut off at end of fiscal year when case is closed.</p>	<p>N1-458-96-3, item 1</p> <p>N1-458-96-1, item 1</p>
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	<p>g. International Mail Dockets From 1998 through 2006, the law required the Commission to prepare comprehensive reports on the costs, volumes, and revenues of the Postal Service's international mail services. No more will be created due to the passage of the Postal Accountability and Enhancement Act (PAEA).</p>	<p>Destroy/delete 5 years after cutoff.</p> <p>Permanent. Cut off at end of fiscal year when case is closed. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to NARA, along with documentation, when 3 years old, according to standards applicable at the time.</p>	
28.08 — 28.10	Reserved		
28.11	<p>Research Papers and Reports</p> <p>a. Final copy of papers and reports published by the Commission upon Congressional or Presidential request related to specific postal topics. Arranged by subject. Volume on hand: 5 cubic feet.</p> <p>b. Working papers</p>	<p>Permanent. Cut off annually at end of fiscal year in which report is published. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to NARA, along with documentation, when 3 years old, according to standards applicable at the time.</p> <p>Temporary. Cut off at end of fiscal year. Destroy upon publication of final.</p>	N1-458-96-3, item 6(a)

28.12	<p>Publications Informational brochures on the functions and organization of the Commission, arranged by subject.</p>	<p>Permanent. Cut off annually at end of fiscal year when publication is released. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to NARA, along with documentation, when 3 years old, according to standards applicable at the time.</p>	<p>N1-458-96-3, item 7</p>
28.13	<p>Official Correspondence Files</p> <p>a. Office of the Chairman Letters, memoranda, and other correspondence in all formats, including email, maintained by the Chairman's office, that document policies, procedures, decisions, and any other activities in the functional areas for which the Chairman is responsible. Arranged by subject.</p> <p>b. Commissioners Letters, memoranda, and other correspondence in all formats, including email, maintained by the Commissioners' offices, that document policies, procedures, decisions, and any other activities in the functional areas for which the Commissioners are responsible. Arranged by subject.</p>	<p>Permanent. Cut off at end of fiscal year in which tenure ends. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to NARA, along with documentation, when 3 years old, according to standards applicable at the time.</p> <p>Permanent. Cut off at end of fiscal year in which tenure ends. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to</p>	<p>N1-458-96-3, item 8(a)</p> <p>N1-458-96-3, item 8(b)</p>

	<p>c. Directors and Chief Administrative Officer Letters, memoranda, and other correspondence in all formats, including email, maintained by the Directors' or Chief Administrative Officer's office, that document policies, procedures, decisions, and any other activities in the functional areas for which the Directors or Chief Administrative Officer are responsible. Arranged by subject.</p> <p>d. Commenter files Letters in all formats, including email, sent to the Commission from parties that have not intervened or submitted formal comments, if the case allows, expressing their views on cases that are currently before the Commission. Arranged by docket. Volume on hand: 3 cubic feet.</p>	<p>NARA, along with documentation, when 3 years old, according to standards applicable at the time.</p> <p>Permanent. Cut off at end of fiscal year in which tenure ends. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to NARA, along with documentation, when 3 years old, according to standards applicable at the time.</p> <p>Temporary. Cut off at end of fiscal year when case is closed. Destroy/delete 5 years after cutoff.</p>	<p>N1-458-96-3, item 8(c)</p> <p>N1-458-96-3, item 8(d)</p>
28.14	<p>Speeches by Commissioners Public, memorialized remarks made by the Chairman and Commissioners during their tenure at the Commission. Arranged by Commissioner's surname. Volume on hand: 1 cubic foot</p>	<p>Permanent. Cut off at end of fiscal year in which tenure ends. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to NARA, along with</p>	<p>N1-458-96-4, item 1</p>

		documentation, when 3 years old, according to standards applicable at the time.	
28.15	<p>Congressional Testimony by Commissioners and Directors Testimony given by the Chairman, Commissioners, and Directors before Congressional oversight and appropriations committees concerning the operation of the Commission and the U.S. Postal Service. Arranged chronologically. Volume on hand: 3 cubic feet.</p>	<p>Permanent. Cut off at end of fiscal year in which tenure ends. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to NARA, along with documentation, when 3 years old, according to standards applicable at the time.</p>	N1-458-96-4, item 2
28.16	<p>Commission Meetings/Hearings</p> <p>a. Minutes of the open and closed meetings of the Commission. Volume on hand: 11 cubic feet.</p> <p>b. Audiotapes that support written minutes of open and closed meetings of the Commission (1980 -2007; 2007 – 2012).</p>	<p>Permanent. Cut off at end of fiscal year when meeting was adjourned. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to NARA, along with documentation, when 3 years old, according to standards applicable at the time.</p> <p>Permanent. Transfer audiotapes, with index, to NARA immediately upon approval of this schedule.</p>	

	<p>c. Minutes of open and closed meetings of the Commission in digital format (2012-present) Volume on hand: 7 cubic feet</p>	<p>Transfer digital media to NARA, along with documentation, 3 years after end of fiscal year in which meeting was held.</p> <p>Permanent. Transfer audiotapes, with index, to NARA immediately upon approval of this schedule. Transfer digital media to NARA, along with documentation, 3 years after end of fiscal year in which meeting was held.</p>	
28.17	<p>Periodic Reports from the USPS Reports generated by the Postal Service and filed at the Commission with information on finances, work hours, costing, or other information prepared at the direction of the Commission. Periodic reports are not associated with a specific docketed proceeding. Examples include the Postal Service equivalent of the 10-Q report and the National Trial Balance reports.</p> <p>a. SEC-type reports, annual reports, and quarterly RPW (Revenue, Pieces & Weight) reports Volume on hand: 4 cubic feet.</p>	<p>Permanent. Cut off at end of fiscal year in which report is released. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to NARA, along with documentation, when 3 years</p>	

	<p>b. All other quarterly and monthly reports. Volume on hand: 110 cubic feet.</p>	<p>old, according to standards applicable at the time.</p> <p>Temporary. Cut off annually at end of fiscal year. Destroy/delete 5 years after cutoff or when superseded or obsolete, whichever is later.</p>	
28.18 – 28.20	Reserved		
28.21	<p>Original Notices, Comments, Orders, and Information Requests Original copies of Commission generated notices, comments, and information requests issued during all commission docketed proceedings that are not already scheduled for permanent retention in sections 28.01 through 28.07. Volume on hand: 18 cubic feet.</p>	<p>Temporary. Cut off at end of fiscal year when case is closed. Destroy/delete 5 years after cutoff.</p>	N1-458-96-4, item 3
28.22	<p>Memoranda to the Commission Memoranda written by the General Counsel to the Commission advising and recommending courses of action on various legal issues. Arranged chronologically. Volume on hand: 2 cubic feet.</p>	<p>Permanent. Cut off annually at end of fiscal year in which memorandum is issued. Transfer to NARA the later of 15 years after cutoff or when no longer needed for reference. Transfer electronic records to NARA, along with documentation, when 3 years old, according to standards applicable at the time.</p>	N1-458-96-4, item 7
28.23	<p>Protective Conditions a. Signed statements by parties agreeing to abide by certain confidentiality requirements for viewing materials filed under seal by the Postal Service.</p>	<p>Temporary. Cut off at end of fiscal year when case is closed. Destroy/delete 3 years after</p>	N1-458-96-4, item 5

	<p>b. Internal Commission logs of staff granted access to materials filed under seal by the Postal Service or other parties.</p> <p>Volume on hand: 3 cubic feet</p>	<p>cutoff.</p> <p>Temporary. Cut off at end of fiscal year when case is closed. Destroy/delete 3 years after cutoff.</p>	
28.24	<p>Postal Visits</p> <p>Reports after visits to selected U.S. Postal Service or private postal handling facilities. Arranged chronologically.</p> <p>Volume on hand: 3 cubic feet.</p>	<p>Temporary. Cut off annually at end of fiscal year in which report is issued. Destroy/delete 3 years after cutoff.</p>	N1-458-96-4, item 6
28.25	Reserved		
28.26	<p>General Staff Records</p> <p>a. Staff briefings to Commissioners on issues before the Commission.</p> <p>b. Draft reports, orders, memoranda circulated among staff or Commissioners for comments.</p> <p>c. Papers and presentations presented internally or at external forums.</p>	<p>Temporary. Cut off at end of fiscal year when applicable docket closes. Destroy/delete 5 years after cutoff.</p> <p>Temporary. Cut off annually at end of fiscal year. Destroy/delete 5 years after cutoff or when superseded or obsolete, whichever is later.</p> <p>Permanent. Cut off annually at end of fiscal year. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to</p>	

	<p>d. International Reports on the Postal Service's costs and revenues for international mail and Formal Views of the Commission provided to the Secretary of State of the United States on amendments to international treaties or conventions on mail, such as the Universal Postal Union Convention (UPU).</p> <p>e. International documents such as memoranda, letters or statements, relating to the Commission's actions at the UPU or other international regulation.</p> <p>f. Staff assignment memos, emails, or other correspondence creating deliverables for a staff member on a particular assignment not associated with a Commission docket.</p> <p>Volume on hand: 13 cubic feet.</p>	<p>NARA, along with documentation, when 3 years old, according to standards applicable at the time.</p> <p>Permanent. Cut off annually at end of fiscal year. Transfer hard copy records to NARA in 5 year blocks when newest record is 15 years old. Transfer electronic records to NARA, along with documentation, when 3 years old, according to standards applicable at the time.</p> <p>Temporary. Cut off annually at end of fiscal year. Destroy/delete 5 years after cutoff.</p> <p>Temporary. Cut off at end of fiscal year when assignment is completed. Destroy/delete 5 years after cutoff.</p>	
28.27	<p>Commission Administrative Records Administrative Policies promulgated by the Secretary or the Chairman.</p> <p>Volume on hand: 3 cubic feet.</p>	<p>Temporary. Cut off at end of fiscal year in which policy is revoked or superseded. Destroy/delete 5 years after cutoff.</p>	