

DAA-GRS-2016-00xx

Mail, Printing, and Telecommunication Service
Management Records
(GRS 5.5)

This file contains three documents. The draft schedule describes the records proposed for inclusion in this new GRS. The appraisal memorandum provides additional background explanation and includes the appraiser's justification for the retention decisions proposed in the schedule. The crosswalk matches authorities in the draft schedule with current GRS authorities.

This schedule has not yet been entered into the Electronic Records Archives, pending finalization through agency and stakeholder review.

<i>Document</i>	<i>Page in this PDF</i>
Draft Schedule	2
Appraisal Memorandum	6
Crosswalk to current GRS	11

National Archives and Records Administration
Office of the Chief Records Officer
GRS Team
February 24, 2016

GENERAL RECORDS SCHEDULE 5.5: Mail, Printing, and Telecommunication Service Management Records

Draft 7 *** for Agency and Stakeholder review *** February 24, 2016

This schedule covers records related to:

- organization, planning, administration, control, and oversight of agency communications sent and received by any mail, messenger, courier, or shipping service
- administration and use of all landline and mobile telecommunication and equipment and devices that transmit and receive UHF, VHF, short-wave, satellite, and other radio frequencies
- administration of printing/binding/duplication services

This schedule specifically excludes certain records from coverage:

- Actual information that is relayed by any delivery system: hard copy mail, packages, and messages sent or received by telephone, email, text, or radio must be scheduled according to its subject matter content.
- Records documenting agency contracts with shipping, delivery, and telecommunication services are covered under GRS 1.1, item 010.
- Records of information technology (IT) are covered under GRS 3.1
- Unique agency publications produced by a printing service must be scheduled by the publishing agency.
- Records documenting agency programs providing printing services (*e.g.* the Government Printing Office and the Bureau of Engraving and Printing) and radio/broadcasting services (*e.g.* the Armed Forces Radio and Television Service) must be scheduled by those agencies.

Item	Records Description	Disposition Instruction	Disposition Authority
010	<p>Mail, printing, and telecommunication services administrative and operational records. Records of internal administration and operation of mail rooms, printing/duplication services, and radio/telecommunication services. Includes:</p> <ul style="list-style-type: none"> • agreements and related background data, and other records regarding mail, printing, telecommunication, and radio services • records documenting acquisition, installation, change, removal, and servicing of mail, printing, telecommunication, and radio service equipment • telephone and mobile device use records with details on call origin/destination, date, time, duration, downloads, messaging, cost, and other data • records documenting allocation, distribution, and use of telephone calling cards • related correspondence 	<p>Temporary. Destroy when 3 years old, or 3 years after applicable agreement expires or is cancelled, as appropriate, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-XXXX-0001

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Exclusion: Agreements used to support payment vouchers are covered under GRS 1.1, item 010.</p> <p>Supersedes:</p> <ul style="list-style-type: none"> GRS 12, item 2a (NC1-64-77-9, item 2a) <i>2 years</i> GRS 12, item 2b (NC1-64-77-9, item 2b) <i>3 years</i> GRS 12, item 2d2 (NC1-64-77-9, item 2d2) <i>3 years</i> GRS 12, item 2e (NC1-64-77-9, item 2e) <i>2 years</i> GRS 12, item 4 (N1-GRS-96-4) <i>3 years</i> GRS 13, item 1 (GRS 13, 1952, item 2) <i>2 years</i> GRS 13, item 2b (GRS 13, 1952, item 3b) <i>3 years</i> GRS 13, item 6 (GRS 13, 1952, item 7) <i>2 years</i> 		
020	<p>Mail, printing, and telecommunication services control records.</p> <p>Records of general day-to-day communication service administration and specific transmission tracking. Includes:</p> <ul style="list-style-type: none"> • records tracking shipment, routing, registration, certification, declared value, insurance, and receipt of incoming and outgoing mail, including overnight, express, special delivery, and specially tracked packages • messenger and courier service logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records documenting messenger and courier service activity • reports of loss, rifling, delayed or late delivery, wrong delivery, or other improper treatment of mail • statistical reports on mail and package shipment volume and costs • records documenting requisition and receipt of stamps and postage meter balances • documentation and tracking to intended destination of valuables (e.g. checks, cash, stamps, money orders, etc.) received by mail or private delivery/messenger • staff and office directories used to ensure correct mail and package delivery • printing requisitions, work orders, samples, manuscript clearances, and related documents • mailing and contact lists managed by a mailroom or similar office • telephone message registers and logs <p>Exclusion 1: Records tracking shipment, <i>etc.</i> (first bullet) and reports of loss, <i>etc.</i> (second bullet) held by the United States Postal Service are not covered.</p>	<p>Temporary. Destroy when 1 year old or when superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use.</p>	DAA-GRS-2016-XXXX-0002

Item	Records Description	Disposition Instruction	Disposition Authority
	<p>Exclusion 2: Requisitions used to support payment vouchers are covered under GRS 1.1, item 010.</p> <p>Exclusion 3: Mailing lists for public distribution of material are covered under GRS 6.5, item 030.</p> <p>Supersedes:</p> <p>GRS 9, item 4b (N1-GRS-91-3, item 4b) <i>1 year</i></p> <p>GRS 12, item 1 (NC1-64-77-9, item 1) <i>2 months</i></p> <p>GRS 12, item 2c (NC1-64-77-9, item 2c) <i>1 year</i></p> <p>GRS 12, item 3a (NC1-64-77-9, item 3a) <i>6 months</i></p> <p>GRS 12, item 5a (N1-GRS-87-2, item 1a) <i>1 year</i></p> <p>GRS 12, item 5b (N1-GRS-87-2, item 1b) <i>1 year</i></p> <p>GRS 12, item 5c (N1-GRS-87-2, item 1c) <i>1 year</i></p> <p>GRS 12, item 6a (NC1-64-77-9, item 6a) <i>1 year</i></p> <p>GRS 12, item 6b (NC1-64-77-9, item 6b) <i>6 months</i></p> <p>GRS 12, item 6c (NC1-64-77-9, item 6c) <i>6 months</i></p> <p>GRS 12, item 6d (NC1-64-77-9, item 6d) <i>1 year</i></p> <p>GRS 12, item 6e (NC1-64-77-9, item 6e) <i>1 year</i></p> <p>GRS 12, item 6f (NC1-64-77-9, item 6f) <i>6 months</i></p> <p>GRS 12, item 6g (NC1-64-77-9, item 6g) <i>1 year</i></p> <p>GRS 12, item 6h (NC1-64-77-9, item 6h) <i>5 months</i></p> <p>GRS 12, item 8 (NC1-64-77-9, item 8), in part <i>3 years</i> [also covered in part by an item in GRS 5.6]</p> <p>GRS 13, item 2a (GRS 13, 1952, item 3a) <i>1 year</i></p> <p>GRS 13, item 3 (GRS 13, 1952, item 4) <i>1 year</i></p>		
030	<p>Metered mail records.</p> <p>Official metered mail reports such as GSA-1390A, "Quarterly Postage Mail Report / Record of Accountable Metered Mail Report," and all related papers.</p> <p>Supersedes:</p> <p>GRS 12, item 7 (NC1-64-77-9, item 7) <i>6 years</i></p>	Temporary. Destroy when 6 years old, but longer retention is authorized if required for business use.	DAA-GRS-2016-XXXX-0003
040	<p>Lost, destroyed, or damaged shipment records.</p> <p>Records documenting shipment of valuables under the Government Losses in Shipment Act, including consignee and carrier identification; shipment description; value or replacement value declaration, and registry or lock number; date and time of delivery; registry and carrier receipts; shipment notice;</p>	Temporary. Destroy when 6 years old, but longer retention is authorized if required for	DAA-GRS-2016-XXXX-0004

Item	Records Description	Disposition Instruction	Disposition Authority
	shipment inspection; report of loss, destruction, or damage; and claim for replacement. Supersedes: GRS 9, item 2 (N1-GRS-91-3, item 2) <i>6 years</i>	business use.	



NATIONAL ARCHIVES *and*
RECORDS ADMINISTRATION
3150 SPRINGBORO ROAD
DAYTON, OH 45439-1969
www.archives.gov

Date: February 24, 2016 **DRAFT**
Appraiser: Galen R. Wilson, ACRA
Agency: General Records Schedules (GRS)
Subject: DAA-GRS-2016-000X [*schedule not yet entered into ERA*]

INTRODUCTION

Schedule Overview

GRS 5.5 Mail, Printing, and Telecommunication Service Management Records

Additional Background Information

This schedule covers records created in the course of administering services that provide hard copy print production, hard copy mail transmission, electronic telecommunications, and radio communication via UHF and VHF frequency. The records document agency management of service provider agreements, monitoring and tracking of equipment and devices, and day-to-day work processes enabling communication within an agency and between an agency and its customers.

More than one revolution in the communications industry has transpired since the items this schedule proposes to supersede became authoritative. The vast majority of superseded items date from 1977; a number of others have been in place—some might say have fossilized—since 1952. Only three updates to these schedules have been processed in nearly 40 years. Three items approved in 1987 expanded coverage to records created by using United States Postal Service commercial competition such as United Parcel Service and Fed-Ex. A 1991 item corrected a statute of limitations issue. In 1996, a long-dormant item for “telephone use records” was resurrected in acknowledgement that the advent of facsimile and email (both sent via telephone lines) had created new—and trackable—opportunities for fraud and abuse.

Since the appearance of most of these items, the rotary telephone gave way to touch-tone and ubiquitous hard-copy printing was supplanted by desktop and on-line paperless publishing. The most popular medium for basic administrative communication went from written memo to telephone to email to texting. Official, signed communications within and between agencies passed less and less often through mailrooms in envelopes and more and more as email attachments. Hard-copy forms prepared in triplicate or more (press *hard* with a ball-point pen!) gave way to on-line fillable PDFs. Through it all, the GRS remained largely silent on new records created by new technologies while continuing to schedule copies of telegrams confirming communications-office transmission.

New to the GRS is specific coverage of records of radio communication, a nod to media neutrality. Many agencies communicate internally on UHF, VHF, and shortwave radio frequencies. Contracted or in-house services maintain and monitor the devices by which this communication is established. This schedule covers administrative records of all Federal

communication delivery methods with one major exception: information technology (IT) services. Records of IT functions are covered under GRS 3.1, "General Technology Management Records." Communicated messages themselves, however, are excluded from both this schedule and GRS 3.1. Such messages must be scheduled relative to their content.

This schedule proposes rescinding GRS 12, item 3b, "Copies of incoming and original copies of outgoing [telegraphic] messages," on the grounds that telegraphic service ceased in 2009. The 2-month records retention called for by this item has by now long since been met.

This schedule was developed with input from subject area experts in three agencies: the Bureau of Labor Statistics, the Federal Bureau of Investigation, and Immigration and Customs Enforcement. Numerous agency comments submitted to the 2012 GRS Survey urged NARA to compress GRS 12 into many fewer items. Not content to wait for the GRS, several agencies¹ have already folded some or all GRS 12 items into single bucket items.

Overall Recommendation

I recommend approval of this schedule.

APPRAISAL

Item 0001 (GRS 5.5, item 010): Mail, printing, and telecommunication services administrative and operational records.

This item incorporates eight previous items, eliminating unnecessary granularity. It includes first time specific mention in the GRS of radio services, whose administrative records have no greater or lesser value than records of any other communication delivery method.

Proposed Disposition

Temporary

Appropriateness of Proposed Disposition

Appropriate

Appraisal Justification

*Previously approved as temporary:

- GRS 12, item 2a (NC1-64-77-9, item 2a)
- GRS 12, item 2b (NC1-64-77-9, item 2b)
- GRS 12, item 2d2 (NC1-64-77-9, item 2d2)
- GRS 12, item 2e (NC1-64-77-9, item 2e)
- GRS 12, item 4 (N1-GRS-96-4)
- GRS 13, item 1 (GRS 13, 1952, item 2)
- GRS 13, item 2b (GRS 13, 1952, item 3b)
- GRS 13, item 6 (GRS 13, 1952, item 7)

*Has little or no research value. These records are purely administrative.

Adequacy of Proposed Retention Period

¹ For instance, Bureau of Public Debt (N1-053-05-3), National Park Service (N1-079-08-8), Farm Credit Administration (N1-103-11-1), Department of Labor Wage and Hour Division (N1-155-11-2), Joint Chiefs of Staff (N1-218-10-5), Pension Benefit Guarantee Corporation (N1-465-09-1), and Defense Contract Management Agency (N1-558-10-001).

Adequate from the standpoint of legal rights and accountability. Three-year retention for records of general administration activities is more and more recognized as a records management best practice. It matches or exceeds retention periods of the items it supersedes—2 to 3 years, and in one case 1 year after audit—which have been in place without challenge between two and six decades.

Media Neutrality

Approved

Item 0002 (GRS 5.5, item 020): Mail, printing, and telecommunication services control records.

Control records are similar to the administration records described in item 0001 (010) but differ in that their informational value peaks and wanes much more rapidly. These records track delivery of information or products. They are retained long enough to ensure they are still extant in the event a delivery goes astray and must be traced. This item merges 18 former GRS items of a tortured granularity that may have served a purpose in a world of paper records, but which no longer need separate identification in an electronic milieu.

Proposed Disposition

Temporary

Appropriateness of Proposed Disposition

Appropriate

Appraisal Justification

*Previously approved as temporary.

- GRS 12, item 1 (NC1-64-77-9, item 1)
- GRS 9, item 4b (N1-GRS-91-3, item 4b)
- GRS 12, item 2c (NC1-64-77-9, item 2c)
- GRS 12, item 3a (NC1-64-77-9, item 3a)
- GRS 12, item 5a (N1-GRS-87-2, item 1a)
- GRS 12, item 5b (N1-GRS-87-2, item 1b)
- GRS 12, item 5c (N1-GRS-87-2, item 1c)
- GRS 12, item 6a (NC1-64-77-9, item 6a)
- GRS 12, item 6b (NC1-64-77-9, item 6b)
- GRS 12, item 6c (NC1-64-77-9, item 6c)
- GRS 12, item 6d (NC1-64-77-9, item 6d)
- GRS 12, item 6e (NC1-64-77-9, item 6e)
- GRS 12, item 6f (NC1-64-77-9, item 6f)
- GRS 12, item 6g (NC1-64-77-9, item 6g)
- GRS 12, item 6h (NC1-64-77-9, item 6h)
- GRS 12, item 8 (NC1-64-77-9, item 8), in part
- GRS 13, item 2a (GRS 13, 1952, item 3a)
- GRS 13, item 3 (GRS 13, 1952, item 4)

*Has little or no research value. These records are purely administrative.

Adequacy of Proposed Retention Period

Adequate from the standpoint of legal rights and accountability. Flexible disposition (1 year or when superseded or obsolete) allows many records to be destroyed the split second the action it tracks is confirmed to have taken place, but also provides for efficient batched disposal. Previous retentions were 1 year, 6 months, 5 months, and 2 months. GRS 12, item

8, is superseded in part. Its 3-year disposition is linked with conclusion of investigation. This item is also superseded by an item in new GRS 5.6 (Security Records) which covers the investigatory aspects of postal irregularities. What remains in this item is a file an agency mailroom might create on the fact that an irregularity took place. This does not need to be retained as long as the file documenting the investigation carried out in a different office. Messenger/courier service function (the subject of this item's second bullet) has in part been superseded by the fax machine but the day this paragraph was drafted, the Departments of Defense and Interior still advertised on their websites how to obtain messenger or courier services.

Media Neutrality

Approved

Item 0003 (GRS 5.5, item 030): Metered mail records.

This item repeats both title and retention of an item in place since 1977. Its description is enlarged to refer to the primary General Services Administration form used for this purpose. The form was last updated in 2006 and is still in use.

Proposed Disposition

Temporary

Appropriateness of Proposed Disposition

Appropriate

Appraisal Justification

*Previously approved as temporary.

GRS 12, item 7 (NC1-64-77-9, item 7)

*Has little or no research value. The records are administrative in nature and provide little or no research use.

Adequacy of Proposed Retention Period

Adequate from the standpoint of legal rights and accountability. These records track proper expenditure of money invested in postage meters and are therefore an accountable record.

As such, they are subject to the same 6-year retention period as other records retained for financial accountability under GRS 1.1, item 010. Retention duplicates that of the superseded item.

Media Neutrality

Approved

Item 0004 (GRS 5.5, item 040): Lost, destroyed, or damaged shipment records.

This item covers the same records previously described in GRS 9, item 2. However, the series description has been rewritten to more fully reflect records listed in 31 CFR 361, "Claims Pursuant to the Government Losses in Shipment Act." This act (40 U.S. Code 173) protects Federal agencies from financial loss when valuables either owned by the Government or consigned to the Government—such as household goods of an employee relocating via Government travel orders—are lost, destroyed, or damaged in shipment. If the claim is approved by the Secretary of Treasury, the agency is reimbursed from a special fund created for this purpose and therefore does not have to debit the loss from its own budget allocation. The proposed new item lists records that must be created and accompany a claim.

Proposed Disposition

Temporary

Appropriateness of Proposed Disposition

Appropriate

Appraisal Justification:

*Has little or no research value. These records are administrative in nature.

*Previously approved as temporary

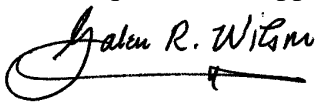
GRS 9, item 2 (N1-GRS-91-3, item 2)

Adequacy of Proposed Retention Period:

Adequate from the standpoint of legal rights and accountability. The Government Losses in Shipment Act is silent on how soon a claim must be filed after valuables are lost, damaged or destroyed in shipment in order to be valid. Six-year retention was originally placed on these records by N1-GRS-91-3, a job which sought to bring a number of records series into consistency with "fiscal accountability requirements" and 28 U.S. Code 2401(a), the statute of limitation for filing a claim in court against the Federal government. The Government Losses in Shipment Act reserves final decision on claims to the Secretary of the Treasury rather than the courts, but uniform retention is nevertheless advisable. Six-year retention also matches that of GRS 1.1, item 010, which covers records subject to financial audit.

Media Neutrality:

Requested and approved.

A handwritten signature in black ink that reads "Galen R. Wilson". The signature is written in a cursive style with a long horizontal flourish at the end.

GALEN R. WILSON
Senior Records Analyst

New GRS 5.5				Old GRS			
GRS No.	Item No.	Retention	ERA Number/Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
5.5	010	3 years	DAA-GRS-2016-000x-0001	12	2a	2 years	NC1-64-77-9, item 2a
				12	2b	3 years	NC1-64-77-9, item 2b
				12	2d2	3 years	NC1-64-77-9, item 2d2
				12	2e	2 years	NC1-64-77-9, item 2e
				12	4	3 years	N1-GRS-96-4
				13	1	2 years	GRS 13, 1952, item 2
				13	2b	3 years	GRS 13, 1952, item 3b
				13	6	2 years	GRS 13, 1952, item 7
5.5	020	1 year or superseded or obsolete	DAA-GRS-2016-000x-0002	9	4b	1 year	N1-GRS-91-3, item 4b
				12	1	2 months	NC1-64-77-9, item 1
				12	2c	1 year	NC1-64-77-9, item 2c
				12	3a	6 months	NC1-64-77-9, item 3a
				12	5a	1 year	N1-GRS-87-2, item 1a
				12	5b	1 year	N1-GRS-87-2, item 1b
				12	5c	1 year	N1-GRS-87-2, item 1c
				12	6a	1 year	NC1-64-77-9, item 6a
				12	6b	6 months	NC1-64-77-9, item 6b
				12	6c	6 months	NC1-64-77-9, item 6c
				12	6d	1 year	NC1-64-77-9, item 6d
				12	6e	1 year	NC1-64-77-9, item 6e
				12	6f	6 months	NC1-64-77-9, item 6f
				12	6g	1 year	NC1-64-77-9, item 6g
				12	6h	5 months	NC1-64-77-9, item 6h
				12	8	3 years	NC1-64-77-9, item 8--in part
				13	2a	1 year	GRS 13, 1952, item 3a
				13	3	1 year	GRS 13, 1952, item 4
5.5	030	6 years	DAA-GRS-2016-000x-0003	12	7	6 years	NC1-64-77-9, item 7
5.5	040	6 years	DAA-GRS-2016-000x-0004	9	2	6 years	N1-GRS-91-3, item 2