

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>	LEAVE BLANK
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TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408	JOB NO N1-28-87-5 <hr/> DATE RECEIVED 4-8-87
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1 FROM (Agency or establishment) <u>U.S. Postal Service</u> 2 MAJOR SUBDIVISION <u>Finance and Planning Group</u> 3 MINOR SUBDIVISION <u>Records Office</u> 4 NAME OF PERSON WITH WHOM TO CONFER <u>Leroy Hinton</u>	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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required. <hr/> <table style="width:100%; border: none;"> <tr> <td style="width:30%; border: none;">5 TELEPHONE EXT</td> <td style="width:20%; border: none;"><u>268-5155</u></td> <td style="width:10%; border: none;">DATE</td> <td style="width:40%; border: none;"><u>8-7-87</u></td> </tr> </table>	5 TELEPHONE EXT	<u>268-5155</u>	DATE	<u>8-7-87</u>
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6. CERTIFICATE OF AGENCY REPRESENTATIVE

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 14 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence is attached, or is unnecessary

B DATE	C SIGNATURE OF AGENCY REPRESENTATIVE	D TITLE
3/10/87	<u>Philip J.G. Skelly</u> Philip J.G. Skelly	Records Officer

7 ITEM NO	8 DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN <i>(NARS USE ONLY)</i>
7	<p>This schedule covers records of the General Counsel, except for the Special Projects Division. It includes new and revised items.</p> <p>All changes to this proposed schedule have been approved by:</p> <p style="font-size: 1.5em;"><u>Leroy Hinton 5 Aug 87</u> Agency Representative</p> <p style="font-size: 1.5em;"><u>Richard E Wood 8/1/87</u> NARA Representative</p> <p style="font-size: 1.5em;"><u>copies to agency, NCF 8-7-87</u></p>		

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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
1.	<p>Legal Program Subject Correspondence Files - General Counsel</p> <p>Arrangement: Most chronologically, some by subject (when warranted by importance or volume).</p> <p>Consists of letters, memoranda, opinions, reports, and other correspondence of the General Counsel and the Deputy General Counsel that reflect the policies, procedures, functions, and major activities of the USPS legal program.</p> <p style="padding-left: 40px;">Cut off the file each calendar year; screen and bring forward current material. Dispose of when no longer needed for reference purposes.</p>		
2.	<p>Legal Program Subject Correspondence Files - Associate and Assistant General Counsel</p> <p>Arrangement: By subject.</p> <p>Consists of letters, memoranda, opinions, reports, processed materials, and other correspondence maintained by Associate and Assistant General Counsels. These files document policies, procedures, and activities in the functional areas for which these officials are responsible, such as Labor Law, Contracts and Property, Field Legal Services, Legislative, General Administrative Law and Postal Rates.</p> <p style="padding-left: 40px;">Cut off the file each calendar year; transfer to a Federal Records Center when 5-years old. Dispose of 20 years from the date of cutoff.</p>		
3.	<p>Attorneys' Working Files</p> <p>Consists of files created and maintained by individual attorneys in the course of their daily work. Includes reference material and duplicates of official correspondence found in other files.</p> <p>Used in daily work.</p> <p style="padding-left: 40px;">Dispose of when no longer needed.</p>		

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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
4.	<p>Legislative History Case Files</p> <p>Arrangement: Numerically by Congress and alphabetically by subject thereunder.</p> <p>Consists of documents created in preparing, reviewing, and commenting on proposed legislation, Executive Orders, and related proposals. These may be proposed by the USPS. Includes background material, drafts, reviews, minutes of meetings, position papers, bills, and other related papers, exclusive of nonrecord copies.</p> <p>Used to prepare, review and comment on proposed legislations.</p> <p style="text-align: center;">Close this file at the end of each Congress. Transfer this file at the end of each second Congress to the Postal Service Library. Do Not Transfer to a Federal Records Center.</p>		
5.	<p>Litigation Case Files (Except for Private Express and Postal Rate and Classification Litigation Files found elsewhere in these schedules) (USPS 030.030, 120.220, 120.230, 190.010, 190.020)</p> <p>Arrangement: Alphabetically by name of litigant.</p> <p>Consists of documents relating to legal proceedings in which the USPS is a party or in which testimony is sought from Postal Service sources, such as NLRB, Hatch Act, Privacy/FOIA, Adverse Action, EEO, Arbitration. Included are summons, investigation reports, lists of witnesses, litigation reports, statements of claims, copies of processes and formal pleadings, briefs, supporting documents and related correspondence resulting from claims, torts, contracts, criminal action and similar matters.</p> <p>Used to provide legal advice and representation to the USPS.</p> <p style="text-align: center;">Move to a closed file when litigation is resolved. Cut off this file each calendar year. Transfer to a Federal Records Center when 2 years old. Dispose of 10 years from the date of cutoff.</p>		

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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
6.	<p>Financial Disclosure Records</p> <p>a. Financial Disclosure Reports for Executive Branch Personnel - SF 278</p> <p>Arrangement: Alphabetically by last name of employee, and by year of submission.</p> <p>Consists of public financial disclosure reports and related documents submitted by senior level employees as required by the Ethics in Government Act of 1978 (PL-521). Includes changes and additions.</p> <p>Used for compliance with Ethics in Government Act and for reviews of possible conflict of interest violations.</p> <p style="padding-left: 40px;">Dispose of 6 years from date of receipt unless needed in connection with pending investigation; Then dispose of along with investigative file. Do not transfer to a Federal Records Center.</p> <p>b. Confidential Statements of Employment and Financial Interests - PS Forms 2417 and 2418 (USPS 120.060)</p> <p>Arrangement: Alphabetically by last name of employee.</p> <p>Consists of confidential statements of employment and financial interests, supplemental statements, and related documents submitted annually by certain Law Department employees as required by the Ethics in Government Act.</p> <p>Used for compliance with Ethics in Government Act and for reviews of possible conflict of interest violations.</p> <p style="padding-left: 40px;">Dispose of 2 years after employee is no longer subject to reporting requirements. Destroy by shredding. Do not transfer to a Federal Records Center.</p>		
7.	<p>FOIA/Privacy Appeals - Case Files</p> <p>a. Freedom of Information Act Appeals (USPS 150.015)</p> <p>Arrangement: Numerically by appeal number and by name of requester.</p>		

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(7)	<p>Consists of appellant's letter, copy of appeal decision, the initial request and decision letters, and related supporting documents, including copies of the records under appeal.</p> <p>Used in rendering appeal decision and in subsequent FOIA litigation.</p> <p>Move to a completed file upon final determination or upon final adjudication in case of a civil suit. Cut off this file each calendar year; transfer to Federal Records Center 6 years after cutoff. Dispose of 10 years from date of cutoff.</p> <p>b. Privacy Act Appeals (USPS 150.025)</p> <p>Arrangement: Numerically by appeal number and by name of requester.</p> <p>Consists of appellant's letter, copy of appeal decision, the initial request and decision letters, and related supporting documents, including copies of the records under appeal.</p> <p>Used in rendering appeal decision and in subsequent Privacy litigation.</p> <p>Move to a completed file upon final determination or upon final adjudication in case of a civil suit. Cut off this file each calendar year; transfer to Federal Records Center 3 years after cutoff. Dispose of 10 years from date of cutoff.</p>		
8.	<p>Pandering Act Records – Prohibitory Orders (USPS 060.020)</p> <p>Arrangement: Numerically, by case number.</p> <p>Consists of notices for Prohibitory Orders against senders of pandering advertisements in the mails, original mailing pieces, prohibitory orders, and applications for their enforcement. These records are maintained at Field Divisions.</p> <p>Sample Forms: PS 2150, 2152</p> <p>a. Case files</p>		NCL-28-79-4/4

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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
(8)	<p>Cut off the file each calendar year (end of year in which order was issued); transfer to a Federal Records Center 1 year after cutoff provided there is no enforcement action pending. Dispose of 5 years from end of year of issue or 5 years from last application for enforcement, whichever is sooner.</p> <p>b. Log books</p> <p>Dispose of 5 years from date of last entry.</p>	NCL-28-77-1/22	
9.	<p>Contract Disputes - Board of Contract Appeal Cases</p> <p>Arrangement: Case files, numerically, by case number.</p> <p>Consists of complaints, pleadings, motions, orders, minutes of hearings, adjudications and other documents for cases before the Board of Contract Appeals.</p> <p>Move to an inactive file 3 years after completion. Cut off this file each calendar year; transfer to Federal Records Center when 7 years old; dispose of 20 years from date of cutoff.</p>	NCL-28-82-8/3	
10.	<p>Administrative Procedure Act - Case Files</p> <p>Arrangement: Case files, numerically, by case number.</p> <p>Consists of complaints, pleadings, motions, orders, minutes of hearings, adjudications, and other documents for such cases as domestic false representation, mailability, second-class mail, post office box or caller service, foreign false representation and lottery cases (39 USC 3005).</p> <p>a. Case files</p> <p>Move to an inactive file 3 years after completion. Transfer to a Federal Records Center when 7 years old; dispose of 20 years from date of cutoff.</p> <p>b. Case file dockets</p> <p>A series of looseleaf binders containing identification information and assigning sequential docket</p>	NCL-28-82-8/4	

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(10)	<p>numbers to cases and summarizing the litigation history of the cases. System was replaced effective October 1, 1983.</p> <p>Used for tracking purposes.</p> <p style="padding-left: 40px;">Dispose of a binder 20 years after the cases to which it pertains have been destroyed. Do not sent to a Federal Records Center.</p>		
11.	<p>Post Office Box and Caller Service Records (USPS 010.020)</p> <p>Consists of records that document the involuntary termination of lockbox or caller service and any appeal that may be taken. Records include all correspondence, evidence of delivery or attempted delivery of notices.</p> <p>Sample Forms: PS 2116, 2117</p> <p>a. Closed files</p> <p>Arrangement: Case files, chronologically, by date of closing.</p> <p style="padding-left: 40px;">Move to an inactive file upon closing. Cut off this file each calendar year; dispose of 6 months from date of cutoff. Do not send to a Federal Records Center.</p> <p>b. Closed appeals files</p> <p>Arrangement: Case files, chronologically, by date of closing.</p> <p>Consists of original correspondence and papers, notes, legal memoranda and final decisions, jacketed under PS Docket Numbers.</p> <p style="padding-left: 40px;">Move to an inactive file upon closing. Cut off this file each calendar year; dispose of 1 year from date of cutoff. Do not send to a Federal Records Center.</p> <p>c. Index cards</p> <p>Arrangement: Alphabetically, by case name.</p> <p>Consists of three-by-five cards containing case name and other identifying data.</p>	NCL-28-82-8/4	

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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
(13)	<p>b. Closed Case Files (Case where claims were neither allowed nor disallowed) (200.030)</p> <p>Move to an inactive file upon completion of action. Cut off this file each calendar year; transfer to a Federal Records Center when 2 years old; dispose of 5 years from date of cutoff.</p>	NCl-28-78-6/16b	
	<p>c. Appeal Case Files (USPS 200.030)</p> <p>Move to an inactive file upon completion of action. Cut off this file each calendar year; transfer to a Federal Records Center when 2 years old; dispose of 7 years from date of cutoff.</p>	NCl-28-78-6/16c	
	<p>d. Postal Data Center (PDC) Payment Records (Tort Claims) (200.030)</p> <p>Arrangement: Alphabetically, by name of claimant.</p> <p>This data center has functional responsibility for accident claims under \$1,000.00 and processes these manually.</p> <p>Sample Forms: SF 91, 92A, 94, 95; PS 2106, 2188, 2198</p> <p>Move to an inactive file upon settlement. Cut off this file each calendar year; transfer to a Federal Records Center when 1 year old. Dispose of 4 years from date of cutoff. <i>Do not transfer to a Federal Records Center</i></p>	NCl-28-78-6/16d	
	<p>e. Locator Cards (USPS 200.030)</p> <p>Arrangement: Numerically, by claim number or alphabetically, by name of principal claimant.</p> <p>Move the cards to an inactive section of the file when case is closed. Cut off this file each calendar year; transfer to a Federal Records Center when 2 years old. Dispose of 7 years from date of cutoff.</p>	NCl-28-78-6/16e	
	<p>f. Quarterly Computerized Report of Payments to Satisfy Accident Claims.</p>		

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(13)	<p>Description: Information originates from PS 2106 and contains data elements relating to the number and type of claim, the amount paid, and the date of the accident.</p> <p>Used for inquiries, developing costs and reporting to the Postmaster General.</p> <p style="text-align: center;">Cut off the file each calendar year; dispose of 10 years from date of cutoff. Do not transfer to a Federal Records Center.</p>		
14.	<p>Patent Application Files</p> <p>Arrangement: Case files alphabetically by inventor name.</p> <p>Consists of documents which relate to the acquisition of patent rights for proposed inventions in which the USPS has interest. Included are applications, descriptions of inventions, drawings, specifications and letters of patent issued by the U.S. Patent Office or notices of abandonment.</p> <p>Used to document USPS claims of rights in patented inventions when questions of infringement arise.</p> <p style="text-align: center;"><i>Retain in office space. Dispose of when 50 years old</i> PERMANENT. Retain in office. Offer to NARA when 50 years old.</p>	NCL-28-78-6/16f	
15.	<p>Trademark and Copyright Register Files</p> <p>Arrangement: Case files, trademark files by status, then numerically; copyright files by subject, then chronologically.</p> <p>Consists of applications, registrations and other pertinent papers having to do with acquiring the ownership rights to registered trademarks/service marks and copyrights.</p> <p>Used to document USPS ownership and defend or enforce USPS rights in legal proceedings.</p> <p style="text-align: center;"><i>Retain in office space. Dispose of when 50 years old</i> PERMANENT. Retain in office. Offer to NARA when 50 years old.</p>		
16.	<p>Patent, Trademark and Copyright Administrative Files</p> <p>Arrangement: by subject.</p>		

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(16)	<p>Consists of documents and correspondence accumulated in the general administration of postal patent, trademark, and copyright activity, such as correspondence from individuals seeking information, reporting violations, reports of meetings, and investigations.</p> <p>Used to augment the filing process and to administer the patent function.</p> <p><i>Retain in office space. Dispose of when 50 years old</i> PERMANENT. Retain in office. Offer to NARA when 50 years old.</p>		
17.	<p>Postal Rate Cases</p> <p>Arrangement: Case files by docket number.</p> <p>Consists of rate proposal, testimony of witnesses, interrogatories, interrogatory responses, challenges, press releases, rebuttals, opinions of the Postal Rate Commission and other pertinent papers.</p> <p>Used to request and implement Postal Rate changes.</p> <p>a. Paper Copies</p> <p style="padding-left: 40px;">Dispose of when no longer needed for reference or research.</p> <p>b. Microfiche copy retained by General Counsel/Law Department</p> <p><i>Retain in office space. Dispose of when 100 years old</i> PERMANENT. Offer to the National Archives 20 years from date of implementation.</p> <p>c. All other copies and feeder reports.</p> <p style="padding-left: 40px;">Dispose of when no longer needed for reference.</p> <p>d. Postal Rate and Classification Litigation Case Files</p> <p style="padding-left: 40px;">Maintain in office. Dispose of when 50 years old or no longer required for reference or research, whichever is later.</p>		
18.	<p>Docket Case Files</p> <p>Arrangement: by docket number maintained in 3-ring binders by the Office of Postal Rates and Mailing Rules, Law Department.</p>		

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(18)	<p>Consists of complaints, correspondence, statements of witnesses, briefs, transcripts and final decisions. Records pertain to case concerning complaints, mail classification, mailability and post office closings. (See instructions for Postal Rate cases and Pandering Act cases elsewhere in Postal records schedules.)</p> <p style="text-align: center;">Close the file upon receipt of the final decision and move to a closed case file. Dispose of when no longer needed for reference.</p>		
19.	<p>Private Express Statutes – Case Files and Program Files</p> <p>a. Legislative History Files</p> <p>Arrangement: Chronologically and by session law.</p> <p>Consists of copies of statutes, bills, committee hearings, reports, floor debates and related documents.</p> <p>Used for legal research.</p> <p style="text-align: center;">Close this file at the end of each Congress or as convenient to the records holder. Maintain in USPS space. Do not dispose of these files. Do not transfer to a Federal Records Center.</p> <p>b. Rulemaking Case Files</p> <p>Arrangement: Chronologically by date and regulation number.</p> <p>Consists of Federal Register copy, drafts, comments, analyses of comments, evidence of coordination and related correspondence.</p> <p>Used for research purposes.</p> <p style="text-align: center;">Close this file at the end of each Congress or as convenient to the records holder. Maintain in USPS space. Do not dispose of these files. Do not transfer to a Federal Records Center.</p> <p>c. Congressional Inquiry Case Files</p>		

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(19)	<p>Arrangement: Chronologically and by name of Congressional member of committee.</p> <p>Consists of Congressional requests for information about the Private Express Statutes and for the Postal Service's position on related issues, written responses, written hearing testimony, drafts, background material and related correspondence.</p> <p>Used for research and for reference in the preparation of responses to Congress on Private Express matters.</p> <p style="text-align: center;">Close this file at the end of each Congress or as convenient to the records holder. Maintain in USPS space. Do not dispose of these files. Do not transfer to a Federal Records Center.</p> <p>d. Litigation Case Files</p> <p>Arrangement: Alphabetically by case name.</p> <p>Consists of complaints, pleadings, motions, orders, minutes of hearings, adjudications, briefs, investigative reports, litigation reports, correspondence and other documents related to the defense or enforcement of the Private Express Statutes.</p> <p>Used for research.</p> <p style="text-align: center;">Close this file at the end of each Congress or as convenient to the records holder. Maintain in USPS space. Do not dispose of these files. Do not transfer to a Federal Records Center.</p> <p>e. Advisory Opinion Case Files</p> <p>Arrangement: Chronologically by opinion number.</p> <p>Consists of request for opinion, samples of material at issue, copy of advisory opinion, and related correspondence.</p> <p>Used for research; has precedential application to similar fact patterns.</p> <p style="text-align: center;">Close this file at the end of each Congress or as convenient to the records</p>		

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(19)	<p>holder. Maintain in USPS space. Do not dispose of these files. Do not transfer to a Federal Records Center.</p> <p>f. Alternative Postage Payment Case Files</p> <p>Arrangement: Alphabetically by name of individual or carrier.</p> <p>Consists of correspondence, advice memoranda, agreements, Inspection Service reports and audits, payment records and related documents pertaining to arrangements for the alternative payment of postage when letters are privately carried.</p> <p>Used for the administration of postage payment agreements.</p> <p>Move to a closed case file when arrangement is discontinued. Cut off this file each calendar year. Transfer to a Federal Records Center 5 years after cutoff. Dispose of 20 years from the date of cutoff.</p> <p>g. Private Express Program Files</p> <p>Arrangement: By subject and chronologically within each subject category.</p> <p>Consists of requests for information or advice, written responses, and related documents.</p> <p>Cut off the file each calendar year; transfer to a Federal Records Center when 5 years old. Dispose of 20 years from the date of cutoff.</p>		