NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-458-12-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: <u>08/27/2020</u>

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 28.01/B Rate Case Dockets, Informal documents not certified into the record.

Item 28.05 /B Nature of Service Dockets: Advisory Opinions Documents not certified into the record.

Item 28.06 /B Post Office Closing Dockets, Documents not certified into the record.

Item 28.11 /B Research Papers and Reports, Working papers

Item 28.13 /D Official Correspondence Files, Commenter files

Item 28.16 /B Commission Meetings/Hearings , Minutes of open and closed meetings of the Commission in digital format (2012-present)

Item 28.24 Postal Visits

Item 28.27 Commission Administrative Records

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

The inactive items on this schedule are superseded by DAA-0458-2018-0001

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

	Request for Recordisposition		-			RA Use Only)
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	Regulatory Commission				Notification to	Agency
2. Major Sul	· ·				cordance with the pro	visions of 44 U.S.C.
Administ 3. Minor Su	trative Office	<u> </u>		amen	the disposition dments, is approved	except for items that
Docket S				may I "witho	be marked "disposition Irawn" in column 10.	on not approved" or
	Person with whom to confer	5. Telephone (include area code)		Date		ivistiof hae United States
Ruth An	n Abrams	202-789-6843		2192	14 QL	M D
6. Agenc	y Certification	<u> </u>		<u> </u>	\	
	y certify that I am authorized to act for this ag losal on the attached 6 page(s) are n		-			
periods	specified; and that written concurrence from	not now needed for the business of in the General Accounting Office, u				
	ce of Federal Agencies:				•	
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Postal Regulatory Commission

File	Description of Records	Authorized Disposition	Superseded Schedule
28	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 pourtal, applying to records in all formats.		
28.01	This schedule is media neutral, applying to records in all formats. 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.		
·	Transcripts, evidence, and other formal documents certified into the record.	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	N1-458-96-2, item 1a1

	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.	old, according to standards applicable at the time. Temporary. Cut off at end of fiscal year when case is closed. Destroy/delete 3 years after cutoff.	N1-458-96-2, item 1a2
28.02	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.	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.	
28.03	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.	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.	N1-458-96-3, item 2

28.04	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.	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.	N1-458-96-3, item 3.
28.05	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.		
	Transcripts, evidence, and other formal documents certified into the record.	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	N1-458-96-3, item

	the course of the proceeding but not offered as evidence.		
İ	formal record, and materials of an illustrative nature used in	.flo	
	interrogatory responses not designated for inclusion into the	Destroy/delete 5 years after cut	
	examination exhibits used to facilitate witness testimony,	fiscal year when case is closed.	
	b. Documents not certified into the record. For example, cross-	Temporary. Cut off at close of	
	into the record.	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 documentation, when 3 years old, according to standards old, according to standards.	ç
	a. Transcripts, evidence, and other formal documents certified	Permanent. Cut off at end of	məti ,£-69-824-1V
1	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.		
	 b. Documents not certified into the record. For example, crossexamination 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. 	Temporary. Cut off at close of fiscal year when case is closed. Destroy/delete 5 years after cut off.	

28.07	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.		
	a. Public Inquiry Dockets Public inquiry cases in which the Commission gathers the general public's opinion as a matter of interest.	Temporary. Cut off at end of fiscal year when case is closed. Destroy/delete 5 years after cut off.	
	b. Special Study Dockets Review by the Commission of a specific topic concerning Postal law or policy.	Temporary. Cut off at end of fiscal year when study is complete. Destroy/delete 5 years after cut off.	
	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.	Temporary. Cut off at close of fiscal year when market test completes. Destroy/delete 5 years after cutoff.	
	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.	Temporary. Cut off at end of fiscal year when product no longer applicable. Destroy/delete 5 years after cutoff.	
	e. Mail Classification Dockets Review by the Commission of new Postal Service products be classified as Market Dominant or Competitive and		N1-458-96-3, item

1. 2006 and earlier Dockets Volume on hand: 61 cubic feet, 2. Post 2006 Dockets 2. Post 2006 Dockets 1. Library References Supporting evidence or materials, in a variety of formats and media, submitted as evidence in a Commission proceeding. 1. Library references containing Cost and Revenue Components Reports. 1. Library References containing Cost and Revenue Analysis Reports (CRA) and the Cost Segments and Dockes when newest record is needed, 1 and 2 and 2 and 3	ħ.	fiscal year when case is closed.		1
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assigned to the Mail Classification Schedule (MCS).			assigned to the Mail Classification Schedule (MCS).	

	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).	Destroy/delete 5 years after cutoff. 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.	·
28.08	Reserved		
-			
28.10			
28.11	Research Papers and Reports 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.	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.	N1-458-96-3, item 6(a)
	b. Working papers	Temporary. Cut off at end of fiscal year. Destroy upon publication of final.	

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

	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.	NARA, along with documentation, when 3 years old, according to standards applicable at the time. 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.	N1-458-96-3, item 8(c)
	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.	Temporary. Cut off at end of fiscal year when case is closed. Destroy/delete 5 years after cutoff.	N1-458-96-3, item 8(d)
28.14	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	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	N1-458-96-4, item 1

		documentation, when 3 years old, according to standards applicable at the time.	
28.15	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.	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.	N1-458-96-4, item 2
28.16	Commission Meetings/Hearings	approacte at the time.	
	a. Minutes of the open and closed meetings of the Commission. Volume on hand: 11 cubic feet.	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.	
	 b. Audiotapes that support written minutes of open and closed meetings of the Commission (1980 -2007; 2007 – 2012). 	Permanent. Transfer audiotapes, with index, to NARA immediately upon approval of this schedule.	

29 17	c. Minutes of open and closed meetings of the Commission in digital format (2012-present) Volume on hand: 7 cubic feet	Transfer digital media to NARA, along with documentation, 3 years after end of fiscal year in which meeting was held. 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.
28.17	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.	
	 a. SEC-type reports, annual reports, and quarterly RPW (Revenue, Pieces & Weight) reports Volume on hand: 4 cubic feet. 	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

20.10	b. All other quarterly and monthly reports. Volume on hand: 110 cubic feet.	old, according to standards applicable at the time. Temporary. Cut off annually at end of fiscal year. Destroy/delete 5 years after cutoff or when superseded or obsolete, whichever is later.	
28.18 - 28.20	Reserved		
28.21	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.	Temporary. Cut off at end of fiscal year when case is closed. Destroy/delete 5 years after cutoff.	N1-458-96-4, item 3
28.22	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.	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.	N1 458-96-4, item 7
28.23	Protective Conditions a. Signed statements by parties agreeing to abide by certain confidentiality requirements for viewing materials filed under seal by the Postal Service.	Temporary. Cut off at end of fiscal year when case is closed. Destroy/delete 3 years after	N1-458 96-4, item 5

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

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