



## Administrative Support Manual

Issue 13

July 1999

- A. Explanation.** *Administrative Support Manual* (ASM) 13 is a complete revision containing all changes published in the *Postal Bulletin* between June 1998 and June 1999 and other changes submitted to the ASM editor through June 24, 1999. The Appendix, Privacy Act Systems of Records, contains changes published in the *Federal Register* through April 6, 1999.
- B. Instructions.** This issue replaces and obsoletes ASM 12.
- C. Distribution**
- 1. Initial.** The ASM is distributed to all postal facilities.
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- E. Updates.** The ASM is updated periodically via the *Postal Bulletin* and available online through the Postal Service Intranet at <http://blue.usps.gov/cpim>.
- F. Comments and Questions.** If you cannot find or understand material, send queries to:
- ASM EDITOR  
CORPORATE DIRECTIVES AND FORMS  
UNITED STATES POSTAL SERVICE  
475 L'ENFANT PLAZA SW RM 5540  
WASHINGTON DC 20260-1540
- G. Effective Date.** This revision is effective immediately.

A handwritten signature in black ink, reading "Richard D. Weirich".

Richard D. Weirich  
Vice President  
Information Systems



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# Update Notice

## Administrative Support Manual Issue 13 (July 1999)

*Administrative Support Manual* (ASM), Issue 13, was last printed in July 1999. To inform you of changes since that time, we periodically update this online edition of the ASM. We use vertical bars (i.e., revision bars) in the margin to indicate text changed since July 1999.

### How to Use This Update Notice

- Use the table in this update notice to find out about changes published in the *Postal Bulletin*.
- Find the chapter, subchapter, part, section, or system of records in the first column and read across the other columns to find specific information about that revision.

This online version of *Administrative Support Manual* (ASM), Issue 13, published in July 1999 is updated through April 1, 2004, with the following *Postal Bulletin* articles:

This chapter, subchapter, part, or section...	titled...	was updated to...	in <i>Postal Bulletin</i> issue number...	with an issue date of...
<b>Chapter 1, Postal Organization</b>				
111.652	Headquarters Field Units	include reporting relationships for mail recovery centers and customer Contact Management	22046	3-22-2001
112.4	Use of Signature Devices	add new section	22056	8-9-2001
<b>Chapter 2, Audits and Investigations</b>				
213.3	Definitions	reflect organizational and technological changes and to ensure that updated cross references are included.	22125	4-1-2004
274.5	Disclosure of Information Collected From Mail Sent or Received by Customers	<ul style="list-style-type: none"> <li>■ add two additional circumstances when the Postal Service may collect images of live mail for specified purposes.</li> <li>■ rewrite the section to make it easier to understand.</li> </ul>	22073	4-4-2002
274.5	Disclosure of Information Collected From Mail Sent or Received by Customers	reflect organizational and technological changes and to ensure that updated cross references are included.	22125	4-1-2004

This chapter, sub-chapter, part, or section...	titled...	was updated to...	in <i>Postal Bulletin</i> issue number...	with an issue date of...
274.51	Disclosure of Information from Contents of Sealed Mail	add new section to show the difference between the policies for disclosing information from the contents of mails and disclosing information from the cover of a piece of mail.	22073	4-4-2002
277.1	Purpose	require that Postal Service managers ensure that no part of the employee's social security number is displayed on the employee's photo identification card. This requirement applies to all cards issued after May 31, 2002.	22076	5-16-2002
277.233	Form 4098-F and Employee Identification	require that every postal employee; postal contractor; and temporary employee, including casual employees, have a PS Form 4098-F, Employee Identification (face), or an equivalent photo identification card.	22076	5-16-2002
277.72	Replacement Fee	reflect increased costs to replace photo identification cards and increased use of electromechanical access control badges.	22052	6-14-2001
278	Mail Security During Collection and Delivery	add a new part that includes the guidelines for ordering and deploying Arrow™ locks and modified Arrow locks.	22080	7-11-2002
286.1	Postmaster General	add the vice president, area operations, eastern area, to the list of persons that succeed the postmaster general and perform the duties of the position in the event of an emergency that incapacitates the postmaster general.	22075	5-2-2002
<b>Chapter 3, Communications</b>				
333.647	Public Affairs and Communications, Licensing	add a new section with a reference to the Licensing group's responsibilities.	22082	8-8-2002
333.7	Participation in Community Service Activities	add a new section to clarify what the organization can and cannot do to be a responsible and contributing member of the community.	22014	1-11-2001

This chapter, subchapter, part, or section...	titled...	was updated to...	in <i>Postal Bulletin</i> issue number...	with an issue date of...
35	Records and Release of Information	Parts of subchapter 35 are removed to Handbook AS-353, <i>Guide to Privacy and the Freedom of Information Act</i> , and the remaining parts are renumbered as shown below.	22110	9-4-2003
351.1	Retention	renumber; previously was 351.2	22110	9-4-2003
351.2	Information Caveats	renumber; previously was 351.33	22110	9-4-2003
351.3	Transfer	renumber; previously was 351.5	22110	9-4-2003
351.4	Disposal	renumber; previously was 351.6	22110	9-4-2003
352	Micrographics	renumber; previously was 354	22110	9-4-2003
353	Automated Information Processing Security	renumber; previously was 355; except that 355.5, Ownership, was removed	22110	9-4-2003
374.2	Ordering Cards	include new business card design and new address for ordering cards.	22106	7-10-2003
<b>Chapter 4, Relations With Other Organizations</b>				
43	Postal Service Band Equity	update the procedures for using the Postal Service brand identity.	22099	4-3-2003
474.22	Correspondence	include reference to Veterans Administration Form 2008, Application for United States Flag for Burial Purposes.	22052	6-14-2001
<b>Chapter 5, Facilities and Equipment</b>				
519.222	Inscription	update plaque inscription for postmaster general.	22052	6-14-2001
531.24	Maintenance Operating Plan	include policy and procedures for establishing, updating, and using the maintenance operating plan.	22086	10-3-2002
<b>Chapter 6, Support Services</b>				
645	Semipostal Stamps	simplify the provisions of part 645, which apply to all semipostal stamps the Postal Service issues.	22066	12-27-2001
645.5	Policy to Offset Costs for Semipostal Stamps	clarify procedures for determining offsets for the U.S. Postal Service's reasonable costs from semipostal stamp differential revenue.	22121	2-5-2004
645.52	Policy	delete the word <i>commemorative</i> .	22121	2-5-2004

This chapter, sub-chapter, part, or section...	titled...	was updated to...	in <i>Postal Bulletin</i> issue number...	with an issue date of...
645.53	Procedure	revise text of items <i>a</i> and <i>b</i> (1).	22121	2-5-2004
645.55	Other Costs	revise text of introductory paragraph and items <i>a</i> through <i>h</i> . Add item <i>c</i> (6).	22121	2-5-2004
66	Licensing	add a new subchapter to include the Postal Service's licensing policy and information about the licensing program.	22082	8-8-2002
<b>Chapter 7, Supply Management</b>				
7	Purchasing and Materials	change the chapter name to reflect the transition of Purchasing and Materials to Supply Management and the revision of Handbook AS-709.	22105	6-26-2003
71	General	reflect the transition of Purchasing and Materials to Supply Management and the revision of Handbook AS-709.	22105	6-26-2003
72	Purchasing	reflect the transition of Purchasing and Materials to Supply Management and the revision of Handbook AS-709.	22105	6-26-2003
722.31	Prohibited Purchases	add two new categories to the list of purchases that you can't make using local buying procedures	22061	10-18-2001
<b>Chapter 8, Information Resources</b>				
87	Information Security	<ul style="list-style-type: none"> <li>■ change the title from <i>Security Program</i> to <i>Information Security</i>.</li> <li>■ include the new security policies and organizational responsibilities covering protection of Postal Service information resources.</li> </ul>	22071	3-7-2002
<b>Appendix, Privacy Act System of Records</b>				
Appendix	Privacy Act System of Records	remove entire appendix to Handbook AS-353, <i>Guide to Privacy and the Freedom of Information Act</i> .	22110	9-4-2003

# Administrative Support Manual — Contents

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ASM Issue 13, July 1999

Updated With Postal Bulletin Revisions Through April 1, 2004

## **UPDATE NOTICE**

## **TRANSMITTAL LETTER**

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# Summary of Changes

## 1. Overall Revisions

This ASM contains many overall changes that rename organizations and position titles, update reporting relationships, and list responsibilities reflecting current organization and practices. Changes have also been made to correct grammatical, printing, and reference errors, to correct codification, and to provide editorial consistency. These changes are not listed in this summary except where they are deemed necessary for clarification. Revision bars are used throughout the text to indicate substantive changes.

(**Note:** For the revision bars in online ASM 13, see [Update Notice](#).)

## 2. Specific Revisions

### Chapter 1, Postal Organization

**11 Authority and Responsibilities** is revised (from ASM 12) to reflect current changes in organizations, relationships, and responsibilities.

### Chapter 2, Audits and Investigations

The chapter title is changed from “Inspection Service” to “Audits and Investigations,” reflecting the creation of the Office of Inspector General (OIG).

**211 Authority** adds the inspector general as an independent entity and describes the authority and responsibility to conduct audits and investigations, including oversight responsibility for all activities of the Postal Inspection Service. The section is changed to reflect specific powers of the OIG, and to describe the designation of audit and investigative functions between the OIG and the Postal Inspection Service.

**212 Circulars and Rewards** is revised to reflect the authority of the OIG to issue wanted circulars and pay rewards.

**213 Mail Covers** is revised to show changes in the delegations of authority within the Postal Inspection Service and to reflect programmatic oversight by the OIG.

**214 Forfeitures** is revised to include the authorization of the OIG to engage in forfeiture activity.

**221 General Reporting Requirements** is revised to add requirements to report certain violations and offenses to the OIG or the Postal Inspection Service. Changes include a reporting address and phone number for the OIG and updated addresses for Postal Inspection Service divisions.

**222 Offenses Reported by Telephone** is revised to add requirements to report certain violations and offenses to the OIG.

## Summary of Changes

**224 Offenses Reported by Memorandum** is revised to add requirements to report certain violations and offenses to the OIG.

**225 Other Situations** is revised to update instructions for reporting suspected money laundering activities, and Exhibit 225 is revised to reflect reporting requirements to the OIG.

**229 Money Laundering and Foreign Asset Controls** is revised to identify the responsibility of the OIG to conduct audit of the Postal Service's compliance with the Bank Secrecy Act.

**241–243 Responsibility, Background, and Mission** are revised to reflect the creation of the OIG and describes the responsibilities for conducting independent assessments of Postal Service programs and operations. The changes reflect the authority of the OIG, and describe the standards, objectives, project categories, and process overviews for the audits of Postal Service programs by the OIG and Postal Inspection Service.

**244 Reports** is revised to update instructions relating to the reporting process for OIG and Postal Inspection Service audits, including release and distribution throughout appropriate Postal Service management levels.

**245 Implementation of Audit Recommendations** is revised to establish the responsibility of the audit control coordinator to maintain management's audit tracking and reporting system.

**247 Requests for Audit Attention** is added to provide guidance to managers regarding when to request audit attention from the OIG or the Postal Inspection Service.

**252 Accident Investigations** is revised to include instructions for accident investigators for reporting accidents involving OIG employees.

**271 General Responsibilities** is revised to reflect the responsibility of the OIG for directing and administering an internal security program. Changes and additions also provide Postal Service employees with specific information relating to the general integrity and security of the mails and the handling of personal mail in the workplace.

**272 Personnel Security Clearances** is revised to reflect changes to requirements and procedures for the issuance of security clearances to postal employees and contractors. The changes also reflect the creation of the OIG.

**273 Facility Security** is updated to include instructions on the use of technology and current information on locks, keys, and access control cards.

**274 Mail Security** is revised to update language relating to mail classifications and to identify the authority and responsibilities of the OIG and other agencies in examining articles in the mail.

**275 Physical ADP Security** is revised to include the OIG as a reviewing authority.

**282–286 Preparedness Planning Objectives, Contingency Planning, Planning Responsibilities, Contingency Plans, and Emergency Lines of Succession** are updated to reflect current executive orders and to include responsibilities previously described in section 43, which has been eliminated.

## Chapter 3, Communications

**Overall revisions.** Titles of organizations and offices are amended to reflect their current and accurate identifications and responsibilities.

**31 Policies and Procedures** is retitled from Directives. “Directives” has been changed to “policies and procedures” throughout 31.

**312.1 Corporate** is retitled from Headquarters Directives.

**312.2 Local** is retitled from Field Directives.

**Exhibit 312 Standard Headquarters Policy and Procedure Document Types** is retitled from Standard Headquarters Directives and *Purchasing Manual* is added. The reference to “Policy Memos” has been changed to “Memorandums of Policy.”

**32 Forms Management.** Policy and responsibilities are updated for the current organization. Local forms management is simplified. Forms retention requirements are clarified, and procedures for forms suggestions are updated.

**332.31–332.32** clarifies inquiries to national level and amends “public announcements” to “media announcements.”

**333.2 Responsibility** restates the actions that affect community relations.

**335 Marketing Communications** is retitled from Marketing Communications and Special Events.

**338.44 Dedicatory Plaques** is retitled from Memorial Plaques and updates the title of the office of Government Relations.

**342.1 National Employee Publications** is updated to include *Leadership* and *Straight Talk*.

**342.21 Criteria** is updated to include performance cluster newspaper formats.

**342.23 Performance Cluster Newspaper Design Guidelines** is added as a new section.

**342.3 Other Employee Communications Vehicles** is updated to include *Postal Vision*.

**35 Records and Release of Information** is updated to include the Administration and Freedom of Information Act (FOIA) office in Finance.

**352.8 Reporting** is revised to add exceptions to the general requirement that records custodians must complete a PS Form 8170, *Freedom of Information Act and Privacy Act Request Report*, for each request processed that cites the Freedom of Information Act and/or the Privacy Act. (PB 21984, 11-5-98)

**36 World Wide Web-Based Communications** is added to provide descriptions of the Postal Service Intranet and Internet presences and their functionalities.

## Chapter 4, Relations With Other Organizations

**43 Civil Preparedness (ASM12).** This subchapter is deleted and information is incorporated into 28, Emergency Preparedness.

**452.1 Manager of Activity-Based Management** is retitled from Manager of Product Finance.

**463.321 Employee Designation.** “Public affairs officer” is replaced with “Corporate Relations Center or other designated public communications representative.”

**47 Flags** is updated for Corporate Relations titles.

## Chapter 5, Facilities and Equipment

**51 Facilities** is updated to reflect current directives and forms. *Publication 191* references are amended to handbook F-66 series on investment policies and procedures throughout 51.

**511.1 Responsibility** is revised to insert narrative responsibilities moved from 62 and is rephrased.

**512 Facility Requirements** is relocated from 521 and renumbered. Subsections are correspondingly renumbered.

**512.231 Preparation** is revised to reflect current practice in Processing and Distribution for projects \$10 million and over.

**517.124 Relocation of Artwork** is updated to reflect current process.

**518.2 Community Contact** is revised to comply with the most recent *Federal Register* rule concerning community relations procedures published May 7, 1998 and published in the *Postal Bulletin* August 27, 1998. (PB 21979, 8-27-98)

**518.221–518.235** text is revised to reflect new community contact procedures.

**518.31 Policy** is amended to clarify the citation of the Randolph-Sheppard Act amendments of 1974.

**519 Design and Construction** is relocated from 518 and clarifies the policy and components for building design standards.

**52 Equipment Requirements for Nonfixed Mechanization** is retitled from Plant and Equipment Requirements. The entire ASM 12 section 521 is relocated to 512, and other 52 sections and subsections are correspondingly relocated and renumbered. References to *Publication 191* are amended to handbook F-66 series on investment policies and procedures.

**521.2 Definitions** is relocated from 522.12 and the list is revised.

**522.13 Budgeting** is relocated from 522.214 and revises description of the budgeting process for nonfixed mechanization performed by Engineering.

**522.32 Schedule** is relocated from 522.232 and revises the process of scheduling delivery and installation of new mechanization.

## Chapter 6, Support Services

**61 Technology** is retitled from Research and Technology. The section is completely revised to restate policy and expand upon the areas of strategic technology planning, electronic commerce, the role of Quality in technology, and the focus and functions of Engineering.

**62 Supporting Operations** is revised to reflect organizational changes. ASM 12 sections are relocated as follows: 622.2 Engineering is relocated to 61 Technology; 622.3, Facilities is relocated to 51, Facilities; and 622.6, Purchasing and Materials is relocated to 71, General in chapter 7, Purchasing and Materials.

**622.3 Senior Vice President, Operations** adds a new section describing responsibilities.

**622.4 Operations Planning** is retitled from Operations Redesign.

**622.6 Network Operations Management** is added as a new section and describes the responsibilities in logistics, aviation mail security, international operations, and the Priority Mail network.

**65 Quality** is completely revised to reflect the current organizational structure and the application of *CustomerPerfect!* The revised section expands upon the functions, processes, responsibilities, and objectives of development and benchmarking, core process support, enabling support, leadership and major programs support, and sales and marketing support.

## Chapter 7, Purchasing and Materials

**71 General** is relocated from ASM 12 section 622.6 Purchasing and Materials and renumbered as a general overview of this chapter. Subsequent subchapters and sections are accordingly renumbered.

**722.22 Authority and Transaction Limit.** The title is amended and authority and reference to Management Instruction AS-710-1999-1, *Unauthorized Contractual Commitments*, are included.

**722.32 Restricted Purchases** is amended to reorder the listed items.

**722.631 General** is amended by adding reference to Management Instruction FM-640-1999-1, *Payment for Supplies and Services Using the Miscellaneous Disbursement Payment Process under Local Buying Authority* to subparagraph d.

**731.1 Purpose and Scope** is amended to include “and disposal” after property control.

## Chapter 8, Information Resources

**Overall revisions.** Chapter 8 is completely revised and reorganized to reflect the prevailing information technology resources environment in the Postal Service. It is expanded to provide more extensive coverage of the postal computing environment and infrastructure, business information, and information technology management. Sections are accordingly renumbered, and more details provided as appropriate to update descriptions and procedures.

**82 Enterprise Architecture** is added and provides descriptions of its components.

**84 Business Information** is added to provide coverage of the management, data policy, usage, definitions, accountability, and responsibilities relating to business information resources.

**85 Information Technology Management** is added to identify the organizations entrusted to manage information technology and to describe their specific functions and responsibilities.

## Appendix, Privacy Act Systems of Records

*Federal Register* articles published between March 12, 1996 and April 6, 1999 are incorporated into Appendix, section C. System deletions, additions, addition of new routine uses, and other modifications are listed below. All other published changes are editorial revisions that do not affect the character or use of the information.

### The following systems are deleted:

USPS 040.040

USPS 100.020

USPS 130.010

USPS 130.020

USPS 130.050

USPS 160.030

### The following systems are added:

USPS 010.090

USPS 040.050

USPS 050.050

USPS 050.060

USPS 300.010

### Routine uses are added to the following systems:

USPS 080.010

USPS 120.060

USPS 120.061

**Other modifications are made to the following systems:**

USPS 010.010. Two routine uses are added and various modifications made to conform with related policy in ASM 352.44.

USPS 030.010. System location is expanded, and a routine use is added.

USPS 050.020. In addition to the addition of routine uses, the description of categories of individuals is expanded.

USPS 050.040. Modifications are made to the existing system of records and new routine uses added.

USPS 120.070. Categories of records covered are expanded and clarifying modifications are made.

USPS 120.151. System locations are changed.

USPS 050.005. Modification is made to the existing system of records and new routine uses added.

USPS 120.152. Proposal to expand the types of records covered by this system is added.

USPS 130.040. System is renamed to USPS 220.030, Marketing Records — Postal Product Sales and Distribution, modifications are made and routine uses added.

USPS 140.020. Modifications are made and new routine uses added.

USPS 160.010. Modifications are made and new routine uses added.

USPS 160.020. Modifications are made and new routine uses added.



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# 1 Postal Organization

## 11 Authority and Responsibilities

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### 111 General Organization

#### 111.1 The United States Postal Service

The United States Postal Service was established as an independent establishment within the executive branch of the government of the United States under the Postal Reorganization Act of August 12, 1970 (Public Law 91-375, 84 Stat. 719).

#### 111.2 Board of Governors

##### 111.21 Composition

The Board of Governors consists of 11 members. Nine governors are appointed by the president of the United States, by and with the advice and consent of the Senate. Not more than five governors may be adherents of the same political party. The governors are chosen to represent the public interest generally, and they may not be representatives of specific interests using the Postal Service. The governors may be removed only for cause. The postmaster general and the deputy postmaster general are also voting members of the Board of Governors.

##### 111.22 Responsibilities

The Board of Governors directs the exercise of the powers of the Postal Service, reviews the practices and policies of the Postal Service, and directs and controls its expenditures.

#### 111.3 Office of Inspector General

The Office of Inspector General (OIG) was established as an independent law enforcement and oversight agency for the United States Postal Service under the Inspector General Act of 1978 (5 U.S.C. App. 3), as amended in 1988 (Public Law 100-504) and 1996 (Public Law 104-208).

**111.31 Responsibilities**

The OIG was established to:

- a. Provide an independent and objective unit to conduct and supervise audits and investigations relating to programs and operations of the Postal Service.
- b. Provide leadership and coordination and recommend policies for activities designed to:
  - (1) Promote economy, efficiency, and effectiveness in the administration of postal programs and operations.
  - (2) Prevent and detect fraud and abuse in postal programs and operations.
- c. Provide a means of keeping the governors and Congress fully and currently informed about:
  - (1) Problems and deficiencies relating to the administration of postal programs and operations.
  - (2) The necessity for corrective action.
  - (3) The progress of corrective action.
- d. Provide oversight of all activities of the Postal Inspection Service.

**111.32 Inspector General****111.321 Appointment**

The inspector general is appointed for a 7-year term by the nine governors.

**111.322 Responsibilities**

The inspector general is responsible for the operations of the OIG: ensuring independent and objective audits and investigations of postal operations and programs; overseeing the Postal Inspection Service; and apprising the Governors and Congress of significant observations. The inspector general has no direct responsibility for designing, installing, and/or operating postal operations or programs.

**111.323 Extent of Powers**

In addition to the authority otherwise provided by the Inspector General Act of 1978, as amended, the inspector general is authorized to:

- a. Have unrestricted access to all Postal Service operations, programs, records, and documents, whether in custody of the Postal Service or available by law, contract, or regulation.
- b. Have direct and prompt access to the governors when necessary for any purpose pertaining to the performance of the functions and responsibilities of the OIG.
- c. Administer oaths when necessary in performance of the functions assigned to the OIG.
- d. Require by subpoena the production of all information, documents, reports, answers, records, accounts, papers, and other data and documentary evidence necessary in the performance of the functions of the OIG.

- e. Select, appoint, and employ such officers and employees as may be necessary for carrying out the functions, powers, and duties of the OIG.
- f. Obtain the temporary or intermittent services of experts or consultants in accordance with applicable laws and regulations.

#### 111.4 **Corporate Officers**

The Board of Governors determines the number of corporate officers and appoints the postmaster general. The governors and the postmaster general appoint the deputy postmaster general. The postmaster general appoints the remaining corporate officers. The corporate officers of the Postal Service are the following:

- a. The postmaster general and chief executive officer.
- b. The deputy postmaster general.
- c. The chief operating officer and executive vice president.
- d. The chief financial officer and executive vice president.
- e. The senior vice presidents.
- f. The general counsel and vice president.
- g. The vice presidents.
- h. The chief inspector.
- i. The consumer advocate and vice president.
- j. The judicial officer.
- k. The president, Expedited/Package Services.

#### 111.5 **Headquarters Organization**

##### 111.51 **Postmaster General**

##### 111.511 **Appointment**

The postmaster general (PMG), the chief executive officer of the Postal Service, is appointed by and can be removed by a majority of the nine governors.

##### 111.512 **Responsibilities**

The postmaster general is responsible for the overall operation of the Postal Service. The postmaster general determines appeals from the actions of staff and corporate officers, except in cases where he or she has delegated authority to make a decision to a subordinate, such subordinate may also determine appeals within the authority delegated.

##### 111.513 **Extent of Powers**

The postmaster general, as directed by the Board of Governors, exercises the powers of the Postal Service to the extent that such exercise does not conflict with power reserved to the Board by law. The postmaster general is authorized to direct any officer, employee, or agent of the Postal Service to exercise such of the postmaster general's powers as the postmaster general deems appropriate.

**111.52 Deputy Postmaster General**

The deputy postmaster general is appointed and can be removed by the postmaster general and the governors.

**111.53 Chief Operating Officer and Executive Vice President**

The chief operating officer and executive vice president is appointed by the postmaster general and directs all processing, distribution, and customer service functions.

**111.54 Heads of Headquarters Organizational Units****111.541 Reporting Directly to the Postmaster General**

Nine of the corporate officers report directly to the postmaster general. These are the deputy postmaster general, the chief operating officer and executive vice president, the vice president of Strategic Planning, the general counsel and vice president, the senior vice president of Human Resources, the chief inspector, the senior vice president of Government Relations and Public Policy, the chief financial officer and executive vice president of Finance, and the president of Expedited/Package Services, who is overseen by a management committee of officers.

**111.542 Reporting to the Deputy Postmaster General**

Five of the corporate officers report directly to the deputy postmaster general. These are the senior vice president of Corporate Business Development, the vice president of E-Commerce, the judicial officer, the chief technology officer and senior vice president of Technology, and the chief marketing officer and senior vice president of Marketing.

**111.543 Reporting to the Chief Operating Officer and Executive Vice President**

Twelve of the corporate officers report directly to the chief operating officer and executive vice president. These are the 10 area vice presidents, senior vice president of Operations, and senior vice president of Sales.

**111.544 Reporting to the Senior Vice President of Government Relations and Public Policy**

The vice president of Public Affairs and Communications, and the Consumer Advocate and vice president report directly to the senior vice president of Government Relations and Public Policy.

**111.545 Reporting to the Chief Financial Officer and Executive Vice President of Finance**

The controller and vice president of Finance, the vice president of Purchasing and Materials, and the Treasurer and E-Payments vice president report directly to the chief financial officer and executive vice president of Finance.

**111.546 Reporting to the Senior Vice President of Human Resources**

The vice presidents of Employee Resource Management, Labor Relations, and Diversity Development report directly to the senior vice president of Human Resources.

**111.547 Reporting to the Senior Vice President of Operations**

Six vice presidents report directly to the senior vice president of Operations. These are the vice presidents of Delivery, Network Operations Management, Engineering, Facilities, Operations Planning and Processing, and Quality.

**111.548 Reporting to the Chief Marketing Officer and Senior Vice President of Marketing**

Five vice presidents report directly to the chief marketing officer and senior vice president of Marketing. These are the vice presidents of Strategic Marketing; Pricing and Product Design; Retail, Consumers and Small Business; Core Business Marketing; and International Business.

**111.549 Reporting to the Chief Technology Officer and Senior Vice President of Technology**

Two vice presidents report directly to the chief technology officer and senior vice president of Technology. These are the vice presidents of Information Technologies and Information Platform.

**111.550 Responsibilities**

The corporate officers head the organizational units into which Headquarters and the field are divided. They are responsible for the following:

- a. Program planning, direction, and review.
- b. Establishment of policies, procedures, and standards.
- c. Operational determinations not delegated to district officials.

**111.6 Field Organization****111.61 General**

There are 10 areas, each with a vice president.

**111.62 Area Locations**

<b>Area Name</b>	<b>Location</b>
Allegheny	Pittsburgh PA
Great Lakes	Chicago IL
Mid-Atlantic	Arlington VA
Midwest	St. Louis MO
New York Metro	New York NY
Northeast	Windsor CT
Pacific	San Francisco CA
Southeast	Memphis TN
Southwest	Dallas TX
Western	Denver CO

**111.63 Area Functions****111.631 Functional Units**

Each area is divided into five functional units:

- a. Finance.
- b. Human Resources.
- c. Marketing.
- d. Operations Support.
- e. Quality.

**111.632 Reporting Units**

Areas are responsible for:

- a. Customer service districts (CSDs).
- b. Post offices (POs).
- c. Vehicle maintenance facilities (VMFs).
- d. Processing and distribution centers (P&DCs).
- e. Processing and distribution facilities (P&DFs).
- f. Air mail centers (AMCs).
- g. Air mail facilities (AMFs).
- h. Bulk mail centers (BMCs).
- i. Bulk mail facilities (BMFs).
- j. Remote encoding centers (RECs).
- k. Mail transportation equipment centers (MTECs).

**111.633 Reporting Relationships**

Normally, the POs and VMFs report to a district manager; the P&DFs, the AMFs, and the BMFs report to a P&DC manager; and the districts and centers all report to the area vice president. Some areas have their centers report to a lead plant manager instead of directly to the area.

**111.64 Customer Service District Offices**

The 85 district offices coordinate the day-to-day management of post offices and customer service activities other than processing and distribution within a geographical area. EAS-26 and above postmasters report to their district manager. Each district office is organized into eight functional units except in small districts:

- a. Post Office Operations.
- b. Operations Programs Support.
- c. Customer Service Support.
- d. Finance.
- e. Human Resources.
- f. Information Systems.
- g. Administrative Support.
- h. Marketing.

**111.641 Reporting Relationships**

Independent delivery distribution centers and post offices Level EAS-24 and below report to the manager of Post Office Operations.

**111.65 Support****111.651 General**

Headquarters field units and service centers provide support for area offices.

**111.652 Headquarters Field Units**

Headquarters field units are:

- a. Chief field counsel.
- b. Corporate relations service centers.
- c. Human resources field offices.
- d. Facilities service centers.
- e. Finance field offices.
  - (1) Accounting service centers.
  - (2) International Accounts Center.
  - (3) Statistical programs service centers.
- f. Information systems field offices.
  - (1) Computer operations service centers.
  - (2) Field computing services.
  - (3) Field information systems programs.
  - (4) Information systems service centers.
  - (5) Management support service centers.
  - (6) National Network Service Center.
- g. Purchasing field offices.
  - (1) Label Printing Center.
  - (2) Mail equipment shops.
  - (3) Material distribution centers.
  - (4) Purchasing service centers.
- h. Consumer advocate field offices.
  - (1) Mail Recovery Centers.
  - (2) Customer Contact Management.

**112 Delegations of Authority****112.1 Authority to Administer Postal Affairs****112.11 The Postmaster General**

The postmaster general has been authorized by the Board of Governors to exercise the powers of the Postal Service to the full extent that such exercise is lawful. The postmaster general is empowered to authorize any employee



or agent of the Service to exercise any function vested in the Postal Service, in the postmaster general, or in any other Postal Service employee.

#### 112.12 **Corporate Officers**

Corporate officers are authorized to exercise the powers and functions of the Postal Service under the Postal Reorganization Act with respect to matters within their areas of responsibility, except as limited by law or by the specific terms of their assignment.

#### 112.13 **General Counsel**

The general counsel is authorized to settle federal tort claims under section 2672 of Title 28, United States Code, up to \$100,000, in accordance with the provisions of 39 CFR 224.4.

#### 112.2 **Authority to Function as Notaries Public**

Postmasters in Alaska have the authority to administer oaths and affirmations, take acknowledgments and make and execute certificates thereof, and perform all other functions of a notary public within Alaska when a certification is necessary to meet any Act of Congress or the Legislature of Alaska.

**Note:** No fees may be charged for notarial services.

#### 112.3 **Other Delegation**

##### 112.31 **Documentation**

All delegations of authority must be officially documented.

##### 112.32 **Position Title**

Delegations of authority must ordinarily be made by position title rather than by name of the individual involved. An officer or executive acting for a principal has the principal's full authority.

##### 112.33 **Level**

When authority is delegated to an officer, the officers above that officer shall have the same authority. Delegated authority does not extend to aides unless an aide is acting for the supervisor (see 112.32) or is specifically authorized by the superior to exercise such authority.

##### 112.34 **Agreement With Law**

A delegation must agree with the law and regulations under which it is made and contain such specific limiting conditions as may be appropriate.

##### 112.35 **Further Delegation**

Authority may be further delegated unless prohibited by law, a regulation that expressly prohibits further delegation, or terms of the delegation.

## 112.4 **Use of Signature Devices**

### 112.41 **General**

This provides policy and procedures to establish and manage signature devices used in the Postal Service. It requires Postal Service officers, executives, and managers to authorize the use of such devices that reproduce their signatures, to delegate in writing the authority to use them, and to control and monitor their use.

### 112.42 **Policy**

Postal Service officers, executives, and managers are responsible and accountable for the security and uses of devices containing reproductions of their signatures. They must determine the appropriate use of each device and establish a process to manage the use, which must include written delegation of authority to specified individuals for use of each device. These devices may not be used to sign contracts or interagency agreements or to commit the Postal Service to any expenditure of more than \$10,000 (see the Postal Service *Purchasing Manual*).

### 112.43 **Scope**

#### 112.431 **Devices Covered**

Signature devices covered by this policy include:

- a. Automatic signature machines.
- b. Signature stamps.
- c. Digitized signatures (e.g., scanned images of handwritten signatures, which are stored in computers and applied electronically to documents).
- d. Photocopiers, printers, or other mechanisms when used to *apply* a signature; this does not apply to duplication of documents that already bear a signature.

#### 112.432 **Devices Not Covered**

This policy does not cover digital or electronic signatures. To use a signature device or technology not listed in 112.431, you must send a request to the Corporate Information Security Office for review and the chief information officer for approval. These may include solutions based on digital (not *digitized*) signatures, biometrics, or other devices or technologies that generate a signature and apply it electronically to a document.

### 112.44 **Responsibility**

#### 112.441 **Officers, Executives, and Managers**

Postal Service officers, executives, and managers are responsible for complying with the policy and procedures for delegating signature authority.

#### 112.442 **Corporate Information Security Office**

The Corporate Information Security Office is responsible for reviewing requests for all new technology signature solutions.

**112.443 Chief Information Officer**

The chief information officer is responsible for approving use of any signature devices or technologies not covered in 112.431.

**112.45 Procedures for Managing Use of Signature Devices****112.451 Obtain Approval**

The officer, executive, or manager whose signature will be put on a document by a signature device must do the following:

- a. Prepare a written request defining the number and types of signature devices, the conditions under which each device will be used, and the controls and monitoring to be implemented.
- b. Submit the written request to his or her manager for approval.

**112.452 Delegate a Signature Solution Authority**

Upon obtaining approval for a signature solution, the requester will issue a written delegation of authority to the individual authorized to affix his or her signature. That delegation:

- a. Defines the conditions under which the signature device is to be used.
- b. Identifies the period of time during which the authorized individual may use the signature device.
- c. Identifies the security practices that will be implemented to prevent unauthorized use of the signature device.

**112.453 Protect the Signature Device**

The requester must ensure that the signature device is protected from unauthorized use. Recommended controls include:

- a. For *automatic signature machines and signature stamps*, secure the signature device under lock and key when it is not in use or not actively assigned.
- b. For *digitized signatures*, wipe or encrypt the file until the digitized signature is reissued for subsequent use. Protections may include:
  - (1) Setting directory or file permissions.
  - (2) Encrypting files to restrict access to only authorized users.

**112.454 Record the Use of Signature Devices**

Individuals authorized to use a signature device should maintain an electronic or paper log sufficient to monitor and audit the use of the signature device. The log should contain the following information:

- a. Signature control number, which is a unique number that identifies each authorized use. (A batch of documents — e.g., general announcements, routine correspondence, mass mailings — may be recorded as a single use, provided that the number of documents constituting the batch is recorded.)
- b. Time and date of use.
- c. Description of document(s) signed.
- d. Name of authorized individual applying the signature.

**112.46 Record Retention Periods**

Records relating to the use of signature devices will be retained as follows:

- a. Approved requests to use signature devices must be retained by the officer, executive, or manager until one year after the signature device is deactivated.
- b. Delegations of authority must be retained by the individual authorized to use the signature device for one year beyond expiration of authority (or by the manager if that individual vacates the position before that time).
- c. The log or record of use of the signature device must be retained for one year beyond the application of signature.

**113 Relationships and Communication Channels****113.1 Headquarters and Areas**

Headquarters provides policy guidance and interpretation to area officials.

**113.2 Channels of Communication****113.21 Headquarters With Area Offices****113.211 General**

Headquarters provides policy guidance, procedures, and interpretation to area officials.

**113.212 Policies**

As stated in 39 CFR 223.2(a)(2), policies are issued over the signatures of the vice presidents of the functional organizations (unless the postmaster general or deputy postmaster general issues these directives personally). Whether published on paper or online, such policies must be coordinated with other appropriate organizations before issuance and reviewed, published, and managed by Public Affairs and Communications (see 31). If within the authority of the issuer, these policies have the same effect as though sent by the postmaster general or deputy postmaster general.

**113.213 Procedures**

Regulations, instructions, and implementation guidelines are issued over the signatures of vice presidents of functional organizations or their accountable functional unit manager and used to implement programs and business activities. Whether published on paper or online, such procedures must be coordinated with other appropriate organizations before issuance and reviewed, published, and managed by Public Affairs and Communications.

## 12 Post Office Functions

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### 121 Responsibilities

Postmasters must meet the general and specific responsibilities prescribed in their standard position description.

### 122 Hours of Duty

#### 122.1 Full-Time Offices

Postmasters of full-time offices (EAS-11 and above) are scheduled to work a 40-hour workweek. Normally, this schedule is set at 8 hours, 5 days a week, Monday through Friday. A postmaster relief/replacement or subordinate supervisor is scheduled to relieve the postmaster and to provide service as necessary on the sixth day. However, these postmasters may request from their district managers that they be assigned to a permanent schedule that includes not less than 4 hours on Saturday with equivalent time off on one of the workdays Monday through Friday in the same service week.

#### 122.2 Part-Time Offices

##### 122.2.1 Normal Schedule

Postmasters of part-time offices (EAS-A through -E) work a 6-day service week, Monday through Saturday. Daily total hours of service include those regular business hours when the principal mail is received and dispatched, as follows:

EAS-A	2 hours per day
EAS-B	3 hours per day
EAS-C	4 hours per day
EAS-D	5 hours per day
EAS-E	6 hours per day

##### 122.2.2 Variations

EAS-C, -D, and -E postmasters, with the approval of their district managers, may alter their regularly scheduled hours of service on Saturdays, if there is no additional expense to the Postal Service and the principal mail is received and dispatched.

##### 122.3 FLSA-Nonexempt Postmasters

Postmasters who are nonexempt because they supervise fewer than two full-time equivalent employees are paid FLSA overtime for hours worked in excess of 40 paid hours in the workweek (see ELM 434.123). Full-time management postmasters are paid postal overtime for all hours worked in excess of 8 paid hours in a service day.

## 123 **Absence From Office**

### 123.1 **More Than Five Days**

For periods of absence more than 5 days, postmasters must obtain advance approval from their district managers, unless this approval authority is delegated.

### 123.2 **Five Days or Less**

Postmasters normally are not required to obtain advance approval for absences of 5 days or less, including periods of annual leave, sick leave, or personal absence. They must maintain an accurate record of all absences taken and advise their managers of planned periods away from the office. On an individual basis, district managers may require postmasters to obtain advance approval of all absences when the postmaster's previous performance warrants such action.

### 123.3 **Emergencies**

Emergency absences are governed by these provisions to the extent that conditions and time permit, but in all cases postmasters must advise the appropriate official of any emergency absence as soon as possible.

### 123.4 **Assignment of Postmaster Relief**

#### 123.41 **Determination**

Postmasters must determine the necessity of assigning others in their own relief. An employee relieving the postmaster must be engaged in the primary or core duties and be directed to assume the major responsibilities of the relief position. For example, if the postmaster is to be absent for a short time or is off duty for a period when window service is not available, it may not be necessary to provide relief for these responsibilities.

#### 123.42 **Office Without Career Clerk**

In offices without an assigned career clerk, a temporary postmaster relief/leave replacement may be used for a limited term to relieve the postmaster during all hours the post office is open to the public. The postmaster may be in a duty status or off duty during the period of absence.

#### 123.43 **Office With Career Clerk**

In offices with an assigned career clerk, the clerk is authorized to act in relief of the postmaster when the post office is open to the public and only when the postmaster is away from the local area or not in a duty status — that is, on the postmaster's regular day off, when taking personal absence, or on official leave. At other times when the postmaster is in a duty status and away from the office but remains in the general vicinity, such as when attending training or meetings, relief is not authorized. In these cases, the postmaster retains responsibility for the operation of the office even though not physically present.

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# 2 Audits and Investigations

## 21 General

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### 211 Authority

#### 211.1 Responsibility

#### 211.11 Inspector General

The Office of Inspector General (OIG), authorized by law in 1996 as a federal law enforcement and oversight agency, conducts audits and investigations of Postal Service programs and operations, and oversight of the Postal Inspection Service (5 United States Code [U.S.C.] App. 3; 18 U.S.C. 3061; and 39 U.S.C. 404 (a)(7)). The OIG is headed by the inspector general. The inspector general, independent of postal management, is appointed by and reports directly to the nine presidentially appointed Governors of the Postal Service (39 U.S.C. 202).

#### 211.12 Chief Inspector

The Postal Inspection Service, a federal law enforcement agency, conducts audits and investigations of Postal Service programs and operations (18 U.S.C. 3061 and 39 U.S.C. 404 (a)(7)), and is headed by the chief inspector, who reports directly to the postmaster general. The chief inspector acts as security officer and emergency coordinator for the Postal Service and maintains liaison with other investigative and law enforcement agencies of the government, as well as the Federal Emergency Management Agency and other emergency coordinators.

#### 211.13 Designation of Functions

The Governors approved a distribution of duties and responsibilities between the OIG and the Postal Inspection Service to maximize each organization's capabilities and maintain their legislated roles and responsibilities. The designations of functions provide for partnering opportunities, while avoiding duplicative efforts. See [Exhibit 211](#) for a synopsis of the designation of functions.



## Exhibit 211

**Designation of Functions**

Office of Inspector General*	Postal Inspection Service
<b>Audits</b>	
<ul style="list-style-type: none"> <li>■ Financial statements, including: <ul style="list-style-type: none"> <li>– Overall opinion audits</li> <li>– Quality reviews of Postal Inspection Service work</li> </ul> </li> <li>■ Postal-wide performance reviews</li> <li>■ Contract audits, except pre-award and post-award audits</li> <li>■ Developmental audits</li> <li>■ Facility audits, including: <ul style="list-style-type: none"> <li>– Facilities construction contracts of \$10 million or more</li> <li>– Right of first choice on contracts valued between \$5–10 million</li> <li>– Leases of \$1 million or more</li> <li>– Repair and alterations of \$1 million or more</li> </ul> </li> <li>■ Revenue-focused audits (international mail)</li> </ul>	<ul style="list-style-type: none"> <li>■ Financial statements, including installations and districts</li> <li>■ Area, district and local performance reviews</li> <li>■ Service investigations</li> <li>■ Pre-award and post-award contract audits</li> <li>■ Facility audits, including: <ul style="list-style-type: none"> <li>– Facilities construction contracts of \$5 million or less</li> <li>– Contracts between \$5–10 million not performed by OIG</li> <li>– Leases under \$1 million</li> <li>– Repair and alterations under \$1 million</li> </ul> </li> </ul>
<b>Investigations</b>	
<ul style="list-style-type: none"> <li>■ Revenue cases, including: <ul style="list-style-type: none"> <li>– Bribery, kickbacks, conflicts of interest</li> <li>– Systemic reviews</li> </ul> </li> <li>■ Workers' compensation cases, including: <ul style="list-style-type: none"> <li>– Inspector General subpoenas</li> <li>– Program monitoring</li> </ul> </li> <li>■ Tort claims, including: <ul style="list-style-type: none"> <li>– Serious incidents</li> <li>– Liability reports</li> </ul> </li> <li>■ Embezzlements (conduct/partner on cases of \$100,000 or more)</li> <li>■ Expenditure cases, including: <ul style="list-style-type: none"> <li>– Bribery, kickbacks, and conflicts of interest</li> <li>– Systemic reviews</li> </ul> </li> <li>■ Conduct/partner on cases involving executives</li> <li>■ Postal Inspection Service internal affairs: executives</li> <li>■ Computer forensics</li> <li>■ Hotline</li> </ul>	<ul style="list-style-type: none"> <li>■ Revenue cases, including: <ul style="list-style-type: none"> <li>– Revenue loss detection</li> <li>– Shares with OIG on revenue task force and other groups</li> </ul> </li> <li>■ Primary responsibility for workers' compensation cases</li> <li>■ Tort claims</li> <li>■ Embezzlements under \$100,000</li> <li>■ Expenditure cases, including: <ul style="list-style-type: none"> <li>– Cases referred by OIG</li> <li>– IMPAC card cases</li> <li>– Local purchases or procurements</li> </ul> </li> <li>■ Emergency responses on cases involving executives</li> <li>■ Internal and external crimes</li> <li>■ Employee protection</li> <li>■ Security</li> <li>■ Fraud and prohibited mailings</li> <li>■ Postal Inspection Service internal affairs: non-executives</li> <li>■ Forensic and technical services</li> </ul>
<b>Other</b>	
<b>Additional OIG work:</b> <ul style="list-style-type: none"> <li>■ Oversight of the Postal Inspection Service</li> <li>■ Postal rate-making programs and operations</li> <li>■ Revenue generation</li> <li>■ Labor management</li> <li>■ Electronic commerce</li> </ul>	

\* The Inspector General has oversight responsibility for Postal Inspection Service functions. The Inspector General retains the right to conduct/partner with the Postal Inspection Service on audits and investigations, pursuant to the Inspector General Act.

**211.14 Federal Laws and Postal Regulations**

- 211.141 The OIG is responsible for promoting economy, efficiency, and effectiveness, and preventing and detecting fraud, waste, and abuse in all postal programs and operations. The OIG conducts and supervises audits, evaluations, and investigations and keeps the Governors and Congress fully informed of problems and deficiencies and the progress of corrective actions. Under applicable policies, regulations, and procedures, it carries out investigations and presents evidence to the Department of Justice and U.S. attorneys in investigations of a criminal nature.
- 211.142 The Postal Inspection Service is responsible for protection of the mails, enforcement of federal laws and postal regulations within its jurisdiction as provided in 211.22, plant and personnel security, and coordinating Postal Service emergency preparedness planning of both a wartime and a natural disaster nature. The Postal Inspection Service, under applicable policies, regulations, and procedures, carries out investigations and presents evidence to the Department of Justice and U.S. attorneys in investigations of a criminal nature. In coordination with the OIG, the Postal Inspection Service also performs selected audits and reviews of the Postal Service.

**211.2 Arrest and Subpoena Powers****211.21 Authorization**

OIG special agents and postal inspectors are authorized to perform the following functions in connection with any matter within their respective official duties as established by the inspector general and the chief inspector:

- a. Carry firearms.
- b. Serve warrants and subpoenas issued under the authority of the United States.
- c. Make arrests without warrant for offenses against the United States committed in their presence.
- d. Make arrests without warrant for felonies cognizable under the laws of the United States, if they have reasonable grounds to believe that the person to be arrested has committed or is committing such a felony.

**211.22 Limitations**

The powers granted by 211.21 are exercised only in the enforcement of laws regarding property in the custody of the Postal Service, property of the Postal Service, the use of the mails, other postal offenses, and pursuant to any agreements between the attorney general and the Postal Service, in the enforcement of other federal laws, violations of which the attorney general determines have a detrimental effect on the Postal Service.

### 211.3 Access to Records

#### 211.31 Records and Documents

The OIG and Postal Inspection Service are authorized access to all records and documents of possible relevance to an official audit, evaluation, fact-finding, inspection, investigation, review or other inquiry whether they are in the custody of the Postal Service or otherwise available to the Postal Service by law, contract, or regulation. This includes information about mail sent or received by a particular customer. Exceptions to authorized access are listed in 211.33.

#### 211.32 Disclosure

Information obtained under 211.31 may be disclosed to other postal employees who have a need for such information in the performance of their duties or to any federal, state, or local government agency or unit thereof that needs such information for civil, administrative, or criminal law enforcement. Any such disclosure must be consistent with Postal Service privacy regulations (see Handbook AS-353, *Guide to Privacy and the Freedom of Information Act*).

#### 211.33 Exceptions

There are no exceptions when an inquiry, such as an investigation, inspection, evaluation, fact-finding, review, or audit is conducted under the authority of the Inspector General Act. Exceptions to the policy of disclosure are the following:

- a. For information from the covers of mail, see 213. For dead mail, see the *Domestic Mail Manual*.
- b. For access to employee restricted medical records and Employee Assistance Program records, see Handbook EL-806, *Health and Medical Service*, Chapter 2, and *Employee and Labor Relations Manual* (ELM) 870.
- c. For access to an employee's Form 2417, *Confidential Statement of Employment and Financial Interests*, see the ELM or 39 CFR 447.42(e)(2).

### 212 Circulars and Rewards

#### 212.1 Wanted Circulars

The Postal Inspection Service and the OIG issues wanted circulars to help locate and arrest fugitive postal offenders. Post these circulars in the most conspicuous place in the post office lobby and in other prominent places. Post near Poster 296, *Notice of Reward*. Telephone immediately the postal inspector in charge or inspector general with any information on the possible location of the person wanted. Remove and destroy circulars immediately when notified of their cancellation or when the circular is not listed in the periodic *Postal Bulletin* notices of current wanted circulars.

## 212.2 Rewards

### 212.21 Criminal Postal Offenses

Rewards are paid, in the amounts and under the conditions stated in Poster 296, for the arrest and conviction of persons for these postal offenses:

- a. Robbery or attempted robbery.
- b. Mailing bombs, explosives, poison, or controlled substances.
- c. Post office burglary.
- d. Stealing or unlawfully possessing mail, money, or property of the United States under Postal Service custody or control, including Postal Service property.
- e. Destroying, obstructing, or retarding the passage of mail.
- f. Altering, counterfeiting, forging, unlawful uttering, or passing of postal money orders; or unlawfully using, counterfeiting, or forging of postage stamps or other postage; or using, selling, or possessing with intent to use or sell any forged or counterfeit postage stamp or other postage; or misusing of postage meters.
- g. Assaulting a postal employee.
- h. Committing the murder or manslaughter of a postal employee.
- i. Mailing or receiving through the mail any visual depiction involving a minor engaging in sexually explicit conduct.

### 212.22 Other Rewards

The chief inspector and/or the inspector general may pay a reward for information leading to the detection of people or firms who obtain or secure postal funds, property, or services based on false or fraudulent activities, statements, or claims. The reward amount may not exceed one-half of the amount collected by the Postal Service from funds recovered through civil or criminal proceedings.

### 212.23 Reward Notices

The postmaster or a designated employee should present reward notices to representatives of firms transporting mail, security or detective units of firms, police officers, sheriffs and their deputies, if practicable, and encourage their cooperation in protecting mail and Postal Service property.

## 213 Mail Covers

### 213.1 Policy

The Postal Service maintains rigid controls and supervision with respect to the use of mail covers as an investigative technique for law enforcement or the protection of national security.

### 213.2 Scope

These regulations constitute the sole authority and procedure for initiating a mail cover, and for processing, using, and disclosing information obtained from mail covers.

### 213.3 Definitions

The following definitions apply to mail covers:

- a. *Mail cover* is the process by which a nonconsensual record is made of any data appearing on the outside cover of any sealed or unsealed class of mail matter (see 274.23), or by which a record is made of the contents of unsealed class of mail matter as allowed by law, to obtain information for any of the following:
  - (1) Protecting national security.
  - (2) Locating a fugitive.
  - (3) Obtaining evidence of commission or attempted commission of a crime.
  - (4) Obtaining evidence of a violation or attempted violation of a postal statute.
  - (5) Assisting in the identification of property, proceeds, or assets forfeitable under law.
- b. *Record*, for the purposes of this section, is a transcription, photograph, electronic image, photocopy, or any other facsimile of the image of the outside cover, envelope, wrapper, or contents of any class of mail.
- c. *Sealed matter* is mail on which appropriate postage is paid, and which under postal laws and regulations is included within a class of mail maintained by the Postal Service for the transmission of mail sealed against inspection, including First-Class Mail, Priority Mail, Express Mail, international letter mail forming part of the LC class of Postal Union mail, and mailgram messages.
- d. *Unsealed mail* is mail on which appropriate postage for sealed mail has not been paid and which under postal laws or regulations is not included within a class of mail maintained by the Postal Service for the transmission of mail sealed against inspection. Unsealed mail includes Periodicals, Standard Mail, incidental First-Class Mail attachments or enclosures, international parcel-post mail, the AO class of Postal Union mail, and the international post cards forming part of the LC class of Postal Union mail.
- e. *Fugitive* is any person who has fled from the United States or any state, the District of Columbia, territory, or possession of the United States, to avoid prosecution for a crime, to avoid punishment for a crime, or to avoid giving testimony in a criminal proceeding.
- f. *Crime*, for the purposes of this section, is any commission of an act or the attempted commission of an act punishable by law by imprisonment for a term exceeding 1 year.

- g. *Postal statute* refers to a statute describing criminal activity, regardless of the term of imprisonment, for which the Postal Service has investigative authority, or which is directed against the Postal Service, its operations, programs, or revenues.
- h. *Law enforcement agency* is any authority of the federal government or any authority of a state or local government, one of whose functions is to investigate the commission or attempted commission of acts constituting a crime, or protect the national security.
- i. *Protection of the national security* means to protect the United States from any of the following actual or potential threats to its security by a foreign power or its agents:
  - (1) An attack or other grave hostile act, including upon information infrastructures.
  - (2) Sabotage or international terrorism.
  - (3) Clandestine intelligence activities, including commercial espionage.
- j. *Emergency situation* refers to circumstances that require the immediate release of information to prevent the loss of evidence or in which there is a potential for immediate physical harm to persons or property.

#### 213.4 **Authorizations**

##### 213.41 **Chief Postal Inspector**

The chief postal inspector is the principal officer of the Postal Service in the administration of all matters governing mail covers.

##### 213.42 **Delegation of Authority**

The chief postal inspector may delegate any or all authority in this regard to the deputy chief inspectors at Postal Inspection Service Headquarters.

##### 213.43 **ISOSG Managers and Inspectors in Charge**

Except for national security mail covers, the chief postal inspector also may delegate any or all authority to the Postal Inspection Service Operations Support Group (ISOSG) managers, and, for emergency situations, to inspectors in charge. The ISOSG managers may delegate this authority to no more than two designees.

##### 213.44 **Directives**

Delegations of authority are issued through official, written directives. Except for delegations at Postal Inspection Service Headquarters, such delegations apply only to the geographic areas served by the ISOSG managers, or their designees.

**213.5 Ordering Mail Covers**

The chief postal inspector or designee may order mail covers under any of the following circumstances:

- a. When a written request is received from a postal inspector or OIG special agent that states reason to believe a mail cover will produce evidence relating to the violation of a postal statute.
- b. When a written request is received from any law enforcement agency in which the requesting authority specifies the reasonable grounds to demonstrate the mail cover is necessary to: protect the national security, locate a fugitive, obtain information regarding the commission or attempted commission of a crime, or assist in the identification of property, proceeds, or assets forfeitable because of a violation of criminal law.
- c. When time is of the essence, the chief inspector or designee may act on an oral request, to be confirmed by the requesting authority in writing within 3 calendar days. Information may be released by the chief postal inspector or designee, prior to receipt of written request, only when the releasing official is satisfied that an emergency situation exists.

**213.51 ISOSG Managers****213.511 Circumstances**

All five ISOSG managers or their designees pursuant to delegations in writing, may order mail covers within their geographic jurisdiction under either of the following circumstances:

- a. When there is reason to believe that the subject or subjects are engaged in an activity violating any postal statute.
- b. When written request is received from any law enforcement agency of the federal, state, or local governments in which the requesting authority stipulates and specifies the reasonable grounds that demonstrate that the mail cover either would aid in locating a fugitive or obtaining information about the commission or attempted commission of a crime.

**213.512 Approvals**

Except when ordered by the chief inspector or designee, requests for mail covers must be approved by the ISOSG manager or designee in each locale in which the mail cover is to operate.

**213.6 Exceptions**

A postal inspector or a postal employee acting at the direction of a postal inspector may record the information appearing on the envelope or outer wrapping of mail without obtaining a mail cover order only under the following circumstances:

- a. Undelivered mail found abandoned or in the possession of a person reasonably believed to have stolen or embezzled such mail.

- b. Damaged or rifled, undelivered mail.
- c. Mail that poses an immediate threat to persons or property.

#### 213.7 **Limitations**

The following limitations apply:

- a. Mail covers only authorize the recording of mail information for a law enforcement investigative purpose. Mail may only be detained, opened, searched, and seized in accordance with section 274. Information from mail may be recorded for operational purposes as prescribed by section 274.5.
- b. No mail cover shall include matter mailed between the mail cover subject and the subject's known attorney.
- c. No officer or employee of the Postal Service other than the chief postal inspector, ISOSG manager, and their designees are authorized to order mail covers. Under no circumstances may a postmaster or postal employee furnish information for a law enforcement purpose, except as authorized by a mail cover order issued by the chief postal inspector or designee, or as directed by a postal inspector under the circumstances described in 213.6.
- d. Except for mail covers ordered upon fugitives or subjects engaged, or suspected to be engaged, in any activity against the national security, no mail cover order shall remain in effect for more than 30 days, unless adequate justification is provided by the requesting authority. At the expiration of the mail cover order period, or prior thereto, the requesting authority may be granted additional 30-day periods under the same conditions and procedures applicable to the original request. The requesting authority must provide a statement of the investigative benefit of the mail cover and anticipated benefits to be derived from its extension.
- e. No mail cover shall remain in force longer than 120 continuous days unless personally approved for further extension by the chief postal inspector or designees at Headquarters.
- f. Except for fugitive cases, no mail cover shall remain in force when information has been filed or the subject has been indicted for the matter for which the mail cover is requested. If the subject is under investigation for further criminal violation, or a mail cover is required to assist in the identification of property, proceeds, or assets forfeitable because of a violation of criminal law, a new mail cover order must be requested consistent with these regulations.
- g. Any national security mail cover request must be approved personally by the head of the law enforcement agency requesting the cover or one designee at the agency's headquarters level. The head of the agency shall notify the chief postal inspector in writing of such designation.



**213.8 Records, Reports, and Review****213.81 Records**

All requests for mail covers, with records of action ordered thereon, and all reports issued pursuant thereto, shall be deemed within the custody of the chief postal inspector. However, the physical storage of this data shall be at the discretion of the chief postal inspector. The following also apply:

- a. If the chief postal inspector or designee determines a mail cover was improperly ordered, all data acquired while the cover was in force shall be destroyed, and the requesting authority notified of the discontinuance of the mail cover and the reasons for it.
- b. Any data concerning mail covers shall be made available to any mail cover subject in any legal proceeding through appropriate discovery procedures.
- c. The retention period for files and records pertaining to mail covers is 5 years.

**213.82 Reporting to Requesting Authority**

Once a mail cover is duly ordered, authorization may be delegated to any employee in the Postal Inspection Service to transmit mail cover reports directly to the requesting authority.

**213.83 Review By Inspector General**

The inspector general or designee of the OIG oversight group periodically reviews mail cover orders issued by the Postal Inspection Service to ensure compliance with these regulations and procedures. The inspector general also selects and appoints a designee to conduct a periodic review of national security mail cover orders.

**213.9 Military Postal System**

Section 213 does not apply to the military postal system overseas or to persons performing military postal duties overseas. Information about regulations prescribed by the Department of Defense for the military postal system overseas may be obtained from the Department of Defense.

**214 Forfeitures****214.1 Authorization**

The Postal Service is authorized to seize property and conduct civil administrative forfeitures under any of the following:

- a. 18 U.S.C. 981 (Civil Forfeiture).
- b. 18 U.S.C. 982 (Criminal Forfeiture).
- c. 18 U.S.C. 2251 et seq. (Child Protection Act).
- d. 18 U.S.C. 1956–1957 (Money Laundering).
- e. 31 U.S.C. 5313(a) and 5324(a) (Currency Transaction Violations), Financial Institutions.

- f. 18 U.S.C. 981(c) (Financial Institution Reform, Recovery, and Enforcement Act of 1989) (FIRREA).
- g. 21 U.S.C. 333 (Federal Food, Drug and Cosmetic, and Human Growth Hormones).
- h. 21 U.S.C. 801 et seq. (Controlled Substance Act) includes anabolic steroid and drug paraphernalia.

## 214.2 Administration

The Postal Inspection Service is responsible for administering the Postal Service forfeiture program, in accordance with applicable laws. Both the chief postal inspector and inspector general are authorized to exercise the authority of the Postal Service described in 214.1 and delegate any or all of the authority to any or all postal inspectors and OIG special agents.

## 215 Mail Fraud Investigations

The Postal Inspection Service has primary responsibility for investigating violations of the mail fraud laws. Consumer complaints are the primary basis for these investigations. Postal officials should send all consumer complaints, inquiries, or concerns relating to possible violations of the mail fraud or false representation statutes to the Postal Inspection Service Operations Support Group according to the ZIP Code of the subject of the complaint, based on the ranges shown in the table below. Matters not relating to mail fraud should be sent to the appropriate Postal Inspection Service Division.

<b>Divisions:</b> Mid-Atlantic, Newark, New York Metro, Northeast, Philadelphia Metro, San Juan, Washington Metro, Western Allegheny (Pittsburgh only) Newark ISOSG processes all Foreign/International complaints, Chain Letters, Multi-Level Marketing (MLM) and Publication Monitoring. <b>Inclusive ZIP Codes:</b> 00001–29999, 37620–37625	FRAUD COMPLAINT SUPERVISOR INSPECTION SERVICE OPERATIONS SUPPORT GROUP 2 GATEWAY CENTER FLOOR 9 NEWARK NJ 07175-0003
<b>Divisions:</b> Gulf Coast, Miami, Michiana, Midwest, Northern California, Northern Illinois, Northwest, Rocky Mountain, Southeast, Southern California, Southwest, Tampa, Western Allegheny (except Pittsburgh) <b>Inclusive ZIP Codes:</b> 30001–37619, 37626–99999	FRAUD COMPLAINT SUPERVISOR INSPECTION SERVICE OPERATIONS SUPPORT GROUP 222 S RIVERSIDE PLAZA STE 1250 CHICAGO IL 60606-6100

## 22 Postal Emergencies, Losses, and Offenses

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### 221 General Reporting Requirements

#### 221.1 Reports

Postmasters must report emergencies, postal losses, and offenses to the Postal Inspection Service or the OIG.

#### 221.11 Postal Inspection Service

Address reports of emergencies and other losses and offenses to the inspector in charge of the division where they took place (see [Exhibit 221.11](#)), except as required by 221.12.

#### 221.12 Office of Inspector General

Address reports of embezzlements of \$100,000 or more, and offenses involving postal career executive service managers to the OIG.

OFFICE OF INSPECTOR GENERAL  
ATTN HOTLINE  
1735 N LYNN STREET  
ARLINGTON VA 22209-2020

Telephone: 888-USPS-OIG (888-877-7644)

Fax: 703-248-2259

E-mail: [Hotline@uspsoig.gov](mailto:Hotline@uspsoig.gov)

#### 221.2 Emergencies

Report emergencies such as civil disorders, catastrophes, and disasters to the local postal inspector by telephone, confirming the report in writing to the Postal Inspection Service. Report any loss, damage, or casualty sustained (see 222).

#### 221.3 Postal Losses and Offenses and National Defense Material

Report directly to the local postal inspector all cases of arson, burglary, assault, robbery, or explosion, or any classified national defense material found loose in the mail. Confirm the report in writing. Also inform local law enforcement officers of any of the above, except finding classified matter.

Exhibit 221.11

**Addresses of Postal Inspectors in Charge**

<p><b>1. CINCINNATI DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE 895 CENTRAL AVE STE 400 CINCINNATI OH 45202-5748</p> <p><b>2. FLORIDA DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE 3400 LAKESIDE DR 6TH FL MIRAMAR FL 33027-3242</p> <p><b>3. GULF COAST DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 1276 HOUSTON TX 77251-1276</p> <p><b>4. MICHIANA DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 330119 DETROIT MI 48232-6119</p> <p><b>5. MID-ATLANTIC DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 3000 CHARLOTTE NC 28228-3000</p> <p><b>6. MIDWEST DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE 1106 WALNUT ST ST LOUIS MO 63199-2201</p> <p><b>7. NEWARK DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 509 NEWARK NJ 07101-0509</p> <p><b>8. NEW YORK METRO DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 555 NEW YORK NY 10116-0555</p> <p><b>9. NORTHEAST DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE 425 SUMMER ST 7TH FLOOR BOSTON MA 02210-1736</p> <p><b>10. NORTHERN CALIFORNIA DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 882528 SAN FRANCISCO CA 94188-2528</p> <p><b>11. NORTHERN ILLINOIS DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE 433 W HARRISON ST RM 50190 CHICAGO IL 60669-2201</p> <p><b>12. NORTHWEST DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 400 SEATTLE WA 98111-4000</p>	<p><b>13. PHILADELPHIA METRO DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 7500 PHILADELPHIA PA 19101-9000</p> <p><b>14. ROCKY MOUNTAIN DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE 1745 STOUT ST STE 900 DENVER CO 80202-3034</p> <p><b>15. ST PAUL DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 64558 ST PAUL MN 55164-0558</p> <p><b>16. SAN JUAN DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 363667 SAN JUAN PR 00936-3667</p> <p><b>17. SOUTHEAST DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 16489 ATLANTA GA 30321-0489</p> <p><b>18. SOUTHERN CALIFORNIA DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 2000 PASADENA CA 91102-2000</p> <p><b>19. SOUTHWEST DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 162929 FT WORTH TX 76161-2929</p> <p><b>20. TAMPA DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 22526 TAMPA FL 33622-2526</p> <p><b>21. WASHINGTON METRO DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 96096 WASHINGTON DC 20066-6096</p> <p><b>22. WESTERN ALLEGHENY DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE 1001 CALIFORNIA AVE PITTSBURGH PA 15290-9000</p> <p><b>23. HEADQUARTERS</b> UNITED STATES POSTAL INSPECTION SERVICE 475 L'ENFANT PLAZA SW WASHINGTON DC 20260-2100</p>
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**221.4 Telephone Reports**

Include in any telephone report all of the following information:

- a. Date and nature of occurrence.
- b. Approximate loss (if none, so state).
- c. Serial numbers of blank money order forms and whether issuing equipment was lost or stolen.
- d. Action taken to obtain an emergency stock of items lost or stolen.
- e. Address of fugitive postal offenders and aliases, if known.
- f. Remedial action taken if explosive or poisonous articles are discovered or in an emergency caused by hazardous matter.
- g. Notification of local police (if none, so state).
- h. Security category, mailer of classified material found loose, and action taken to secure it.

**221.5 Written Reports**

Include the same information furnished by telephone and the following:

- a. Serial numbers of Treasury checks lost or stolen.
- b. Quantity and denominations of stamps and other accountable paper lost or stolen.
- c. Amount of Postal Service funds or property lost or stolen.
- d. Nature and amount of any personal loss.
- e. Serial number, if any, of mail keys lost or stolen.
- f. Full particulars of lost, stolen, or rifled registered mail.
- g. Additional information discovered after the initial report was made.

**221.6 Nonemergencies and Routine Losses and Offenses**

Less serious losses and offenses may be reported by memorandum or by standard Postal Service forms (see [Exhibit 225](#)).

**221.7 Prohibition**

Do not discuss information about offenses or suspected offenses of postal employees with anyone outside the OIG or the Postal Inspection Service.

**222 Offenses Reported by Telephone****222.1 Loss or Damage**

Immediately report by telephone to the local inspector or inspector in charge any of the following losses or damages:

- a. Damage to a postal unit by fire, hurricane, flood, or other catastrophe.
- b. Loss of a significant amount of Postal Service funds, accountable paper, or property.

- c. Loss of a rotary lock pouch, valuable registered mail, or a large quantity of other mail.

#### 222.2 **Thefts, Burglaries, or Robberies**

Report immediately by telephone to the local inspector or inspector in charge the following thefts, burglaries (see also 227), or robberies:

- a. Any employee robbed.
- b. Postal unit or vehicle broken into, burglarized, or robbed.
- c. Post office locks and keys (including keys and locks for mailboxes and mailbags) stolen, missing, or found under suspicious circumstances, including improper possession.
- d. Indicated or suspected embezzlement. Make no further investigation or inquiry after telephone call and follow-up report.
- e. Thefts, fires, and willful damage to mailboxes or contents, including customer mail receptacles, post office boxes, collection boxes, relay boxes, carrier carts and satchels, and co-op mailing racks.
- f. Theft or mistreatment of mail. If a postal employee, mail contractor, or contractor employee is suspected of theft, abandonment, or other mistreatment of mail, report all known facts and make no further investigation or inquiry.

#### 222.3 **Accidents**

Report immediately by telephone to the local inspector in charge any of the following accidents:

- a. Accidents that kill or seriously injure a private person.
- b. Accidents that kill or seriously injure a postal employee.

#### 222.4 **Assaults or Threats**

Report immediately by telephone to the local inspector or inspector in charge any of the following assaults or threats (see also 223):

- a. Postmaster or postal employee physically assaulted or robbed while on duty or in possession of mail, postal funds, or postal property.
- b. Postal employee threatened with death or bodily injury.
- c. Postal customer physically assaulted or threatened with death or bodily injury by a postal employee.
- d. Libel, threats, or extortion.
- e. Bomb threats.

#### 222.5 **Controlled Substances**

If it is suspected that drugs are being used or sold on postal property or by a postal employee on duty, notify the inspector in charge immediately. Do not confront the person or make further inquiry. Hold mail suspected of containing a controlled substance and report immediately to the Postal Inspection Service.

**222.6 Workers' Compensation**

Report immediately by telephone to the local inspector in charge any indicated or suspected workers' compensation fraud or abuse relating to a postal employee. Report by telephone to the OIG (see 221.12) any information relating to suspected fraudulent claims or medical services from a health care provider (physician, clinic, hospital, pharmacy, laboratory, or other medical service person or facility).

**222.61 Responsibilities**

The OIG monitors and reviews the workers' compensation program, and Postal Service efforts to combat fraudulent claims, and investigates health care providers engaged in making false claims against the Postal Service. The objective of the Postal Inspection Service is to assist injury compensation control office personnel in reducing compensation costs resulting from fraudulent claims and to gather information leading to the removal and prosecution of dishonest employees from the Postal Service.

**222.62 Types of Fraud and Abuse**

Some types of Federal Employees Compensation Act (FECA) fraud are noted below:

- a. Concealing, with intent to defraud, prior injuries or physical impairment when hired.
- b. Reporting an on-the-job injury when the injury occurred off the job.
- c. Fabricating an injury or falsifying the extent or seriousness of the real injury.
- d. Engaging in and concealing outside employment while receiving compensation payments.
- e. Regularly engaging in activities that are inconsistent with alleged injury or medical restrictions.
- f. Failing to return to work after recovering from an injury.
- g. Continuing to accept compensation when no longer disabled, no longer an employee of the Postal Service, or without making any effort to return to work.

**222.63 Warning Signals**

To determine whether fraud or abuse exists, the employee's supervisor should consider the following warning signals:

- a. There are no witnesses to the accident (if there are witnesses, consider their reliability).
- b. The injury logically cannot have happened as described.
- c. The employee sustains a soft tissue versus a visible injury (e.g., no broken bones, no swelling or discoloration).
- d. The injury is not reported on the day of occurrence.
- e. The employee has a history of leave abuse or has previously filed questionable claims.

- f. The injury is reported when disciplinary action is pending or leave of any type is denied.
- g. The injury occurs shortly before an employee's defined termination date.
- h. The employee is known to engage in outside activities (sports or other work) that could cause similar injury.
- i. The employee has a confrontation with his or her supervisor before the accident.
- j. The treating physician handles multiple claims and always indicates disability.

#### 222.7 **Stamp Offenses**

Report immediately by telephone to the local inspector or inspector in charge any of the following stamp offenses:

- a. Illegal use of stamps.
- b. Removal of stamps from wrapper (submit wrapper or other cover with confirmation memorandum).
- c. Unusual possession of stamps, which might indicate illegal use.
- d. Reuse of stamps.
- e. Use by postal employees in payment of debts.
- f. Overcharges or undercharges of postage.
- g. Alteration of meter stamps.
- h. Tampering with meters.

#### 222.8 **Sabotage**

Report immediately by telephone to the local inspector or inspector in charge, any indicated or suspected sabotage of mail processing equipment by a postal employee. This includes any method, procedure, or technique by which an employee is able to stop the mail processing equipment, causing downtime. Make no further investigation or inquiry.

#### 222.9 **Classified National Defense Matter**

##### 222.91 **Categories**

Categories of classified national defense matter are *TOP SECRET*, *SECRET*, and *CONFIDENTIAL*. *SECRET* and *CONFIDENTIAL* matter must be double-enveloped before entry into the mail. The outer envelope bears the address and other mailing information but no indication of the classification of the contents. The inner envelope and each page of a classified document are marked with the classification category of the contents.



**222.92 Mailing Criteria**

Follow these criteria for the mailing of classified matter:

- a. TOP SECRET material may not be mailed but must be hand carried by courier; if any TOP SECRET material is found in the mail, it must be handled under 222.93.
- b. SECRET material may be sent by registered mail.
- c. CONFIDENTIAL material may be sent by certified mail.

**222.93 Handling**

Follow these instructions for handling classified mail:

- a. Immediately give material bearing any of the classification endorsements in 222.91 and found loose in the mail by any postal employee the highest level of protection with access restricted to as few people as possible.
- b. Immediately notify a postal inspector by telephone.

**223 Situations Requiring Special Actions****223.1 Demonstrations, Riots, or Picketing****223.11 Immediate Notification**

If demonstrations, riots, or picketing are imminent or in progress at any postal installation, immediately notify the local postal inspector or inspector in charge and the police department or other local law enforcement body.

**223.12 Information Provided**

Advise the local inspector or inspector in charge of the following, if known:

- a. Approximate number of persons involved and cause.
- b. Interference with the movement of mail.
- c. Damage to postal property.
- d. Blocked entrances and exits.
- e. Inconvenience or criticism of customers.
- f. Newspaper or other media publicity.
- g. Action taken or contemplated by local, state, or federal law enforcement officials.
- h. Involvement of any postal employees (if so, state whether on or off duty).
- i. Involvement of any postal employee organizations.
- j. Picketing (if so, state the exact messages on the picket signs).

**223.13 Further Action**

When individuals are not engaged in disorderly conduct, impeding postal business, or otherwise breaking local ordinances or other laws, no further action should be taken. Participants should not be permitted to remain in the

post office after normal business hours. A decision to eject participants at the conclusion of normal business hours should be cleared with the postal inspector.

## 223.2 **Explosives**

### 223.21 **Immediate Notification**

If bombs, explosives, explosive devices, or incendiary devices are discovered, report immediately to the local postal inspector. Follow cautionary steps in Publication 159-C, *Contingency Planning for Bombs and Bomb Threats*. Also contact the local police for assistance.

### 223.22 **Letter or Parcel**

If a letter or parcel is suspected to contain explosives, see Publication 159-C for procedures.

## 223.3 **Counterfeit Material**

### 223.31 **Postage Stamps and Meter Indicia**

If these items are presented by a customer, confiscate them and give the customer a receipt. Report by telephone to the local postal inspector and submit the postage by registered mail or hand deliver with the follow-up statement of facts.

### 223.32 **Money Orders and Other Items**

Report by telephone to the local inspector or inspector in charge any knowledge of counterfeit money orders, mail locks or keys, badges, identification cards, postmarking stamps, or postage meter impressions; and submit the counterfeit, if available, by registered mail or hand deliver.

## 223.4 **Hazardous or Poisonous Materials**

Attempt to contain and isolate the hazardous or poisonous article and evacuate the immediate area if necessary. Report immediately by telephone to the local inspector or inspector in charge if the situation presents a threat to life or property.

## 223.5 **Suspected Narcotics**

Hold mail and report immediately to the local inspector or inspector in charge, and await disposition instructions.

## 223.6 **Express Mail Labels**

Forward copies of all Express Mail labels for ZIP Codes specified by the Postal Inspection Service.

## 224 Offenses Reported by Memorandum

### 224.1 Nonmailable Matter

Report the following nonmailable matter (see also DMM C000) to the local inspector or inspector in charge by memorandum:

- a. Intoxicating liquors. Withdraw from the mail and await disposition instructions.
- b. Obscene and indecent matter. Submit complaints with a statement of facts.
- c. Subversive matter. Submit complaints with a statement of facts.
- d. Concealable firearms. Withdraw concealed firearms mailed contrary to DMM C020, pending instructions from the postal inspector in charge.
- e. Matter promoting animal-fighting ventures. Submit complaints with a statement of facts.
- f. Matter inciting to violence.

### 224.2 Lotteries

Report lotteries using the mail to the local inspector or inspector in charge. Report also any gambling or lottery operation within the post office or on postal property, except the vending or exchange of state lottery tickets at vending facilities operated by licensed blind persons, where these lotteries are authorized by state law (see DMM C030).

### 224.3 Procedural Irregularities

Report any of the following procedural irregularities to the local inspector or inspector in charge by memorandum:

- a. COD irregularities.
- b. Illegal transportation of letters in violation of the Private Express Statutes (see DMM G011).
- c. Failure to pay postage, violation of franking privilege, misuse of penalty mail, depositing of advertising material in mailboxes without payment of postage, and similar schemes to evade payment of postage.
- d. Delay, damage, tampering, missending, or wrong delivery of registered mail; tampering with other mail; wrong or improper delivery of other mail when financial loss or criminality is involved.

### 224.4 Losses

Report any of the following losses to the local inspector or inspector in charge by memorandum:

- a. Losses of postal funds, accountable paper, or property not otherwise reported.
- b. Loss or suspected theft of official Postal Service records known or thought to contain sensitive information.

**224.5 Fraud, Forgery, Impersonation**

- 224.51 Report any of the following acts to the local inspector or inspector in charge by memorandum:
- a. Mail fraud. Request that complainant prepare a detailed statement of the facts and furnish correspondence, advertising, or other literature and envelopes in which such evidence was transmitted through the mail. Have the complainant initial and date each separate piece of evidence for future identification. Transmit this material with the report.
  - b. Forgery or falsification of postal records or securities, unless reported under 224.52.
  - c. Impersonation of a postal inspector, postal official, or other employee. Include the circumstances of the impersonation and give a complete description of the impersonator.
- 224.52 Report any of the following acts to the OIG by memorandum or by telephone (see 221.12):
- a. Fraud against the Postal Service relating to postal contracts, including bribery, kickbacks, and conflicts of interest.
  - b. Fraud against the Postal Service relating to suspicious workers compensation claims from a provider.
  - c. Conflict of interest or misconduct involving a postal career executive service manager.
  - d. Impersonation of an OIG special agent or other personnel of the OIG.

**225 Other Situations**

Report any of the following activities to the local inspector or inspector in charge by memorandum:

- a. Suspicious activities of boxholders.
- b. Willful or malicious damage or injury to Postal Service property.
- c. Nonpostal offenses occurring in space assigned to postal activities.
- d. Money laundering offenses, including attempts to evade money order purchase reporting requirements, or use of the mails to further laundering of monetary instruments. Complete a Form 8105-A, *Funds Transaction/Transfer Report*, or Form 8105-B, *Suspicious Transaction Report (STR)*, as appropriate (see 229).
- e. Routine loss or offense (see [Exhibit 225](#)).

## Exhibit 225

**Reporting Routine Losses or Offenses**

<b>Loss or Offense</b>	<b>Action Required</b>
Domestic mail — loss or rifling (including stamp stock and printed envelopes shipped by ordinary mail)	Submit Form 1510, <i>Mail Loss/Rifling Report</i> .
Military mail — loss or rifling	Submit Form 1510.
Parcels — rifling	Submit Form 673, <i>Report of Rifled Parcel</i> .
Customer complaints of mail theft after delivery to mail receptacles	Submit Form 2016, <i>Mail Theft and Vandalism Complaint</i> .
Theft damage (including fire) or destruction of mail receptacles and collection/relay boxes	Submit Form 2016.
Registered, insured, or COD mail found in supposedly empty equipment	Send report by letter to PO of mailing, giving full particulars, for check against index record of claims.
Canal Zone mail — mistreatment	See <i>International Mail Manual</i> (IMM) Chapter 9.
International mail — mistreatment	See IMM Chapter 9.
Accountability discrepancy — shortage or overage of \$100 or more in official accountability of employee or contractor handling Postal Service funds or accountable paper	Submit Form 571, <i>Discrepancy of \$100 or More in Financial Responsibility</i> . Show results of six previous checks of employee's accountability. Notify inspector general if discrepancy is \$100,000 or greater.
Accident claims	See 253.
Credit cards mailed by credit card issuer or bank	Submit Form 604, <i>Credit Card Non-Receipt Report</i> , directly to the local inspector in charge (only to be used by credit card issuer or bank).

## 226 Robberies

### 226.1 Preventive Measures

Postmasters or officers in charge are responsible for following all these preventive measures to guard against robberies:

- a. Notify police and postal inspectors if suspicious strangers are observed loitering in or near the post office or following carriers on their routes.
- b. Keep exterior lobby windows clear of obstruction to maximize observation of the lobby area.
- c. Lock doors leading from post office box or service lobbies to workroom areas. Lock other entrances to the workroom area when not in use.
- d. Lock safes, vaults, and fixed credit drawers and containers when not in use.
- e. Train employees in the proper methods of activating any installed holdup alarms and cameras. Maintain and test these alarms and cameras according to instructions furnished with the equipment.
- f. Discuss money or valuable mail on hand or their transportation methods only with authorized postal officials who have a need to know. Notify postal inspectors if anyone makes unusual inquiries about these items or post office security.
- g. Avoid keeping excessive cash on hand. Make multiple bank deposits if large quantities of cash are received. Keep cash in employee credits and open accountability systems near the minimum amount listed in Handbook F-1, *Post Office Accounting Procedures*. If possible, do not count or display cash in public view.
- h. Respond to an “emergency” request to open the post office only after requesting the presence of police, a postal inspector, or a postal police officer.
- i. Respond to a call from the police to come to the post office after hours only after calling back and verifying the call with the police dispatcher.
- j. Do not leave mail unprotected in unlocked vehicles. If the use of a satchel cart is authorized, take care to prevent thefts from the cart while delivering your route.
- k. Do not make yourself or other employees attractive robbery targets. Most robbers want cash or jewelry. Often only an employee’s personal cash or property is stolen. Avoid wearing expensive jewelry and carrying more than the minimum necessary personal funds to reduce personal loss if robbed.

### 226.2 Actions During Robbery

The first Postal Service concern is the safety of its employees. Remain calm and try to follow these instructions:

- a. Comply with the robber’s demands but give only what is demanded. If the robber presents a holdup note or other written instructions, try to

keep it for follow-up investigation by the postal inspectors and local police.

- b. Do not attempt to disarm the armed robber.
- c. Observe the robbers and notice details to assist in providing a description:
  - (1) Make comparisons between the robber and yourself or people you know to determine race, sex, age, height, weight, hair and eye color, complexion, and appearance.
  - (2) Remember peculiarities such as tattoos, scars, and prominent features.
  - (3) Remember the type and color of clothing worn (often clothing worn by a robber may be recovered and used as evidence) and whether gloves are worn.
  - (4) Remember the size, type, and color of weapons used, and how many of the robbers were armed.
  - (5) Make a mental note of everything said by the robbers, especially comments that are threatening in nature. These comments may be useful in court proceedings.
  - (6) Notice if the robber touches anything — the counter line, door, postal equipment, or other items.
  - (7) If possible without endangering your safety, observe the direction taken when the robber leaves and get the automobile description and license tag numbers. Note the color, year, make, body style, license tag number, state, and any body damage.

### 226.3 **Actions After Robbery**

#### 226.31 **Notifying Police and Inspectors**

Immediately call the local police and then the postal inspectors. Give the exact location of the holdup, a description of the robbery and robbers, the license number, vehicle description, the number of occupants in the vehicle, and the direction taken upon departure. *When safe to so do, station someone outside to wait for the arrival of the police and postal inspectors.*

#### 226.32 **Securing Building**

If possible, lock all doors. Ask witnesses to remain until the local police and postal inspectors arrive. If witnesses must leave, record their full names, addresses, and home and work telephone numbers. Deny access to everyone except postal inspectors, postal police officers, the local police, and emergency medical personnel.

#### 226.33 **Protecting Evidence**

Protect anything that was touched or might have been touched by the robbers. Do not touch the items yourself and prevent others from doing so.

**226.34 Recording Witnesses' Descriptions**

Write down your recollection of the crime and a description of the robbers. All employees who witnessed the holdup should record their descriptions as soon as possible. For further information, consult Publication 176, *Carrier Robbery/Assault*, and Publication 275, *Post Office Robbery*.

**226.35 Comparing Descriptions**

Do not compare notes or recollections of the robbery with other employees or witnesses before you give your information to the postal inspectors and police.

**226.36 Handling Media Inquiries**

Refer all inquiries or questions about the robbery received from television, radio, or newspaper reporters to the investigating police and postal inspectors. If the police or postal inspectors authorize you to answer media inquiries, do not release the amount of robbery loss, description of items taken, or names and addresses of witnesses unless specifically authorized.

**227 Burglaries****227.1 Preventive Measures**

Postmasters or officers in charge are responsible for taking the following preventive measures to guard against burglaries:

- a. Where possible, keep the view of building windows or entrances free from overgrown shrubbery or postal vehicles parked overnight.
- b. Maintain good exterior lighting on the building and parking areas.
- c. Make sure all fencing is in good condition to help prevent unauthorized persons from entering the grounds. Do not store against fences equipment that would make it easier for burglars or vandals to gain entry.
- d. Secure all possible points of entry to offices, including roof openings, air conditioning vents, skylights, and roof access doors.
- e. Look for such items as ladders, poles, trees, fences, dumpsters, and vehicles that a potential burglar might use to gain access to the roof.
- f. Install solid core or metal exterior doors. A good solid door is a primary defense against a burglar; doors with thin wooden or glass panels do not provide adequate protection (see Handbook RE-5, *Building and Site Security Requirements*).
- g. If exterior doors have openings of 1 square foot or more, cover the openings with bars, grating, or burglary-resistant security glass.
- h. Ensure that exterior door hinges are not exposed when the doors are closed so the burglar cannot remove the hinge pins. A simple but effective means of protecting hinges on doors that open outward is to secure the hinges from the inside with a set screw.



- i. Equip all exterior doors, including lookout doors and doors providing access to the workroom, with deadbolt locks, as required by Postal Service regulations.
- j. If your post office has swinging vestibule doors, secure the doors with case-hardened steel chains drawn through the holes, and padlock the chains on the inside, if possible. If a Motor Vehicle Service or contract driver delivers mail after closing, the padlock must be placed on the outside. Vestibules with pedestrian doors allow chains to be padlocked on the inside.
- k. Make sure that designated fire exits are not padlocked. Any device or alarm installed to restrict the improper use of egress must be designated and installed so that it cannot, even in case of failure, impede or prevent emergency egress. Consult the National Fire Protection Association (NFPA) Life Safety Code requirements or your safety officer for proper use of locks on exterior doors.
- l. Make sure that keys for retail cabinets or alarm controls are not left in desk drawers or anywhere else a burglar can find them. Issue Postal Service keys to employees only when necessary. Issue building keys only to employees required to open the office in the morning or close the office at night.
- m. Protect windows with grating or wire mesh grills if the windows are less than 10 feet from the ground and are not visible from the street or are in an office susceptible to attack. Install interior locks on operable windows.
- n. Protect parcel drops. Barrel-type parcel drops provide the best defense against unauthorized entry. Steel cages can be built around the inside of the parcel drops, if necessary, to prevent entry by juveniles.
- o. If the post office is equipped with an alarm system, make sure it is operational. Periodically check alarm system batteries and replace any that are leaking or corroded. Keep alarm functions and sensor locations on a need-to-know basis and report any alarm malfunctions to the inspector in charge.
- p. Give postal funds maximum protection. Place cash, food coupons, stamp stock, and money order forms in security containers, vaults, burglar resistant chests, or fireproof safes.
- q. If possible, detach wheels from safes so that they cannot be easily removed from the post office.
- r. Be sure safes and vaults are fully locked at the end of the day. Give the dial at least two complete turns in each direction.
- s. Do not hide the combination to the safe anywhere in the office such as on calendars or in desk drawers. Only authorized postal employees on a need-to-know basis should have the combination of any security container or safe used to protect postal funds.
- t. Do not leave large amounts of cash in the office overnight. Deposit surplus funds in the bank or prepare a dispatch of the bank deposits as required by current instructions.

## 227.2 **Actions After Burglary**

### 227.21 **Before Entry**

If arriving at work and discovering the post office has been burglarized, follow these instructions:

- a. Stay outside the building.
- b. Telephone local police and postal inspectors immediately.
- c. Stay a safe distance away and observe entry points.
- d. Observe and write down any descriptions, license numbers, or other information.
- e. Wait for police and postal inspectors to arrive.

### 227.22 **After Entry**

If a burglary is not obvious until after entering the post office, follow these instructions:

- a. Telephone local police and postal inspectors immediately.
- b. Protect the crime scene.
- c. Lock doors.
- d. Touch nothing and keep others away from the area.

## 228 **Assaults**

### 228.1 **Employees and Customers**

#### 228.11 **Postal Inspection Service Investigations**

The Postal Inspection Service investigates employment-related assaults and threats against employees and customers occurring on postal premises or committed by employees while on duty or because of official employment.

#### 228.12 **Prosecution of Assailants**

Assault on a postal employee engaged in the performance of official duties or because of the performance of official duties may result in prosecution of the assailant under federal or state and local laws.

#### 228.13 **Disciplinary Action of Employees**

Employees assaulting or threatening other employees or postal customers may be subject to remedial or disciplinary action, including discharge and prosecution under federal, state, or local laws.

### 228.2 **Reporting Assaults**

Call local police and the inspector in charge or local inspector when an employee or customer is physically assaulted or threatened with death or bodily harm. Follow the telephone report to the Postal Inspection Service by a memo or other written report.

## 229 Money Laundering and Foreign Asset Controls

### 229.1 Money Laundering Control

#### 229.11 Policy

Postal Service policy is to follow both the letter and the spirit of the law and the regulations pertaining to the Money Laundering Control Act and those portions of title 31 of the United States Code (U.S.C.) referred to as the Bank Secrecy Act (BSA). The Postal Service is committed to minimizing the use of postal money orders, wire transfers, and stored value cards in illegal money laundering schemes. The Secretary of the Treasury delegates to the Postal Service the power to implement, monitor, and enforce its own compliance program under 31 U.S.C. 5318(a)(1).

#### 229.12 Responsibilities

##### 229.121 Compliance Officer

The Postal Service compliance officer is responsible for creating, implementing, maintaining, and monitoring the Postal Service's compliance program. This responsibility includes the following:

- a. Ensuring that postal and contract employees adhere to all aspects of the Bank Secrecy Act.
- b. Implementing and maintaining a national BSA training program.
- c. Ensuring that adequate internal controls and procedures are in place to assist employees in complying with the standard and suspicious transaction reporting requirements of the law and to detect noncompliance by postal and contract employees.
- d. Referring instances of noncompliance to the appropriate postal manager or supervisor or to the Postal Inspection Service or the OIG for appropriate action.
- e. Reporting instances of postal and contract employee noncompliance and instances of suspicious activity by postal customers to the Department of the Treasury in such format and time frame as the Secretary of the Treasury prescribes.

##### 229.122 Postal and Contract Employees

Postal and contract employees are responsible for complying with all recording and reporting requirements of the Bank Secrecy Act. This responsibility includes:

- a. When selling wire transfers and stored value cards for cash equal to or greater than \$1,000 and less than \$3,000 in any combination to the same customer in the same day, completing Form 8105-A, *Funds Transaction/Transfer Report*, with the following information:
  - (1) Purchaser's name.
  - (2) Purchaser's address.
  - (3) Purchaser's photo identification number.
  - (4) Type of photo identification if other than a driver's license.

- (5) Date of purchase.
- (6) Dollar amount of purchase.
- (7) Recipient's name (for wire transfers).
- (8) Recipient's address (for wire transfers).
- (9) Transaction number of wire transfer(s) and/or item number of stored value cards purchased.
- b. When selling money orders, wire transfers, and stored value cards for cash equal to or greater than \$3,000 in any combination to the same customer in the same day, completing Form 8105-A with the following information:
  - (1) Items (1) through (8) above.
  - (2) Purchaser's Social Security number (or alien registration or passport number).
  - (3) Purchaser's date of birth.
  - (4) Inclusive serial numbers of money orders purchased, transaction number or wire transfer(s), and/or item number of stored value cards purchased.
- c. Completing a Form 8105-B, *Suspicious Transaction Report (STR)*, for any cash transaction deemed suspicious by the employee, regardless of the dollar amount or type of transaction. Suspicious activity might include frequent and large cash purchases of money orders, wire transfers, or stored value cards or paying for services, such as meter settings and trust funds, with cash rather than company checks.
- d. Never advising customers how to structure purchases in order to avoid having to provide identifying information (photo ID, Social Security number, etc.).
- e. Never selling money orders, wire transfers, and stored value cards for cash totaling \$10,000 or more in any combination to the same customer in the same day, even if the employee completes Form 8105-A for the transaction(s).
- f. Never cashing money orders or paying out wire transfers totaling \$10,000 or more in any combination to the same customer in the same day, even if the employee completes Form 8105-A for the transaction(s).

#### 229.123 **Office of Inspector General and Postal Inspection Service**

The OIG conducts audits of the Postal Service's compliance with the Bank Secrecy Act. The OIG and the Postal Inspection Service investigate, as appropriate, the use of postal products and services in criminal activities. This may include analyzing Forms 8105-A, Forms 8105-B, and suspicious money order, wire transfer, and stored value card sales and redemptions to detect possible criminal activity.

**229.13 Training**

All postal and contract employees, including postmasters and supervisors, assigned to retail sales positions participate in a formal training program that includes instruction on:

- a. The essential elements of the Bank Secrecy Act.
- b. Standard reporting using Form 8105-A.
- c. Detection of suspicious transactions.
- d. Suspicious transaction reporting using Form 8105-B.

**229.14 Internal Controls**

Supervisors have the following responsibilities:

- a. Ensuring that established internal controls and procedures are in place at their respective units.
- b. Taking immediate corrective action when notified by the Postal Service BSA compliance officer that an employee has not followed any one of the procedures listed in 229.122.
- c. Documenting corrective action taken when incidences of noncompliance are detected.

**229.2 Foreign Asset Control****229.21 Policy**

Postal Service policy is to follow both the letter and the spirit of the law and the regulations dealing with economic sanctions that the U.S. government imposes against certain foreign countries, foreign nationals, and specially designated nations. The Postal Service is committed to ensuring that direct service international money orders and wire transfers are not used to violate these laws and regulations. These laws and regulations are found in the following:

- a. Trading with the Enemy Act, 50 U.S.C. App 5.
- b. International Emergency Economic Powers Act, 50 U.S.C. 1701.
- c. International Security and Development Cooperation Act, 22 U.S.C. 2349aa-9.
- d. Antiterrorism and Effective Death Penalty Act of 1996.
- e. Criminal Code, 18 U.S.C. 1001.

**229.22 Compliance Officer Responsibilities**

The Postal Service compliance officer is responsible for creating, implementing, maintaining, and monitoring the Postal Service's compliance with the laws and regulations in coordination with the Office of Foreign Asset Control, Department of the Treasury. This responsibility includes the following:

- a. Ensuring that postal management adheres to all aspects of the laws, including implementing and maintaining program filters for direct service international money order financial transactions and wire

transfers, and that adequate internal controls and procedures are in place to ensure compliance by postal and contract employees.

- b. Reporting instances of the freezing of assets to the Office of Foreign Asset Control, Department of the Treasury, in such format and time frame as the Secretary of the Treasury prescribes.

## 23 Withdrawal of Mail Privileges

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### 231 False Representation and Lottery Orders

#### 231.1 Issuance

By law (39 U.S.C. 3005), acting on satisfactory evidence, the judicial officer may issue a mail-stop order against anyone seeking mailed remittance of money or property by means of a false representation or lottery scheme. These orders provide for return of the mail and refund to senders of postal money orders.

#### 231.2 Enforcement

Notice of these orders is published in the *Postal Bulletin*. Generally, an order against a domestic enterprise is enforced only by the post office designated in the order. All facilities processing mail for dispatch abroad assist in enforcing orders against foreign enterprises by forwarding mail addressed to these enterprises to designated post offices.

### 232 Fictitious Name or Address Orders

#### 232.1 Issuance

By law (39 U.S.C. 3003 and 3004), when satisfactory evidence exists that mail is addressed to a fictitious name, title, or address used for any unlawful business and no one has established a right to have the mail delivered; or mail is addressed to places other than the residence or regular business address of the addressee to enable the addressee to escape identification, then the judicial officer may, under 39 CFR 964, order the mail returned to the sender.

#### 232.2 Enforcement

Notice of any order issued under 39 U.S.C. 3003 and 3004 and any necessary implementing instructions are published in the *Postal Bulletin*.

## 24 Audits

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### 241 Responsibility

#### 241.1 Inspector General

The inspector general is responsible for independently assessing the programs and operations of the Postal Service and apprising the Governors and Congress of significant observations. The inspector general directs the development of policies, plans, and procedures governing all audits, evaluations, and inspections. These activities are performed by the OIG, the Postal Inspection Service, and independent certified public accountants, as authorized.

#### 241.2 Role and Function

Independent OIG and Postal Inspection Service audits and other reviews play important roles as management tools for evaluating whether operations are executed economically, efficiently, and effectively. OIG and Postal Inspection Service personnel do not exercise authority over persons in the organizations reviewed. Findings and observations are provided to make management aware of any problems noted during a review.

Recommendations and suggestions are offered as workable solutions to noted problems. However, management cannot, and should not, completely rely on auditors, evaluators and/or inspectors to detect problems and recommend solutions. Managers must routinely assess their own operations to assure themselves and their superiors that operations are well controlled and meet the goals and objectives of the organization. Management is responsible to promptly and properly initiate corrective action, if auditors, evaluators, inspectors, or managers find problems.

### 242 Background

#### 242.1 Authority

The Inspector General Act of 1978, amended in September 1996 (Public Law 104-208), created an independent Office of Inspector General (OIG) for the Postal Service (5 U.S.C. App. 3). The inspector general has delegated authority to the Postal Inspection Service to perform selected audit activities in coordination with the OIG. This coordinated audit program ensures the optimum use of resources and provides independent examinations and evaluations of postal activities at all levels of the organization without duplication of effort.

#### 242.2 Standards

OIG and Postal Inspection Service work complies with appropriate standards established by the comptroller general of the United States, the President's Council on Integrity and Efficiency, the American Institute of Certified Public Accountants, and the Institute of Internal Auditors.

## 243 Mission

### 243.1 Objective

OIG and Postal Inspection Service work is performed to:

- a. Provide an independent check on the adequacy and effectiveness of systems of control to ensure achievement of corporate goals.
- b. Determine compliance with Postal Service policies and procedures and public laws.
- c. Verify the existence of assets and assure that proper safeguards are maintained to detect failures that may lead to fraud, waste, and abuse.
- d. Assess the reliability and operation of accounting and reporting systems.
- e. Review operations for economy and efficiency, and effective use of resources.
- f. Evaluate the effectiveness of management's corrective actions relating to identified problems and deficiencies.

### 243.2 Project Category Overview

- a. *Performance* — The OIG is responsible for conducting all postal-wide performance audits. The OIG also conducts audits and evaluations at other levels to test systems and/or internal controls. The Postal Inspection Service is responsible for conducting installation, district, and area performance audits and reviews of the Postal Service.
- b. *Financial* — The OIG directs all financial audit opinion activity, and conducts other financially related audits. The Postal Inspection Service is responsible for conducting installation and district financial audits of the Postal Service.
- c. *Contract* — Contract audits performed by the OIG address systemic issues within the purchasing process, and significant individual procurements. The Postal Inspection Service is responsible for conducting pre- and post-award contract audits, requested by contracting officials. The OIG analyzes results of all contract audit work to identify trends, patterns, and issues relating to postal contractors and contract administration.
- d. *Developmental* — Developmental audit work is performed by the OIG and is intended to provide management with an assessment of the design and integrity of internal controls during the early phases of new projects. These projects include automation, technical, information-based, and business process projects. Developmental work encompasses both performance and financial auditing issues, with an emphasis on an independent assessment and evaluation of new or redesigned systems.
- e. *Consulting services* — Management may request consulting services from the OIG, which are distinct from the usual audits, evaluations, and inspections. The OIG can provide assistance in areas such as process improvement projects; facilitating self-assessments outside of



“traditional” internal control activities, training, and studies relating to implementation of audit report recommendations.

### 243.3 **Process Overview**

OIG and Postal Inspection Service projects generally adhere to the following process:

- a. Announcement letters are issued at the start of a project to solicit management's input and perspective.
- b. Entrance conferences ensure that management is provided an opportunity to discuss the project scope and objectives.
- c. Surveys are conducted to formulate specific project objectives and determine the scope of the project.
- d. Field work and data analysis is performed to independently assess the programs/operations within the scope of the project.
- e. Draft reports or memoranda are issued to management to communicate the results of observations and analyses.
- f. Exit conferences and working meetings ensure that management is aware of pertinent issues and provides a forum for discussion.
- g. Management responses are requested, evaluated, and included in the final report.
- h. Final reports are distributed to appropriate levels of management to ensure that issues are adequately addressed.

### 243.4 **Cooperation**

Postal officials and employees must extend maximum assistance to auditors, evaluators, inspectors, and authorized representatives of the OIG and Postal Inspection Service to ensure audit objectives are achieved.

### 243.5 **Liaison**

Outside organizations such as the General Accounting Office and the independent certified public accountants hired by the Board of Governors also provide selective reviews of Postal Service activities. The OIG maintains liaison and coordinates activities with these and other external organizations providing audit attention.

## 244 **Reports**

### 244.1 **Definitions**

#### 244.11 **Audit Reports**

Audit reports communicate audit findings, conclusions, and recommendations to management. Responsible managers must respond to all recommendations made in these reports. When a response is requested via transmittal letter (see 244.13), it is Postal Service policy to prepare a written response.

**244.12 Other Reports**

Other reports and memoranda communicate observations, conclusions and suggestions to management. Each manager is given an opportunity to respond to the suggestions contained in the reports and memoranda. Written responses are required when appropriate.

**244.13 Transmittal Letters**

Each report is distributed with a transmittal letter offering to hold an exit conference and requesting a written response within a specified time frame. Management is required to respond to reports by addressing each finding, recommendation, and identified savings as detailed in 244.14.

**244.14 Management Responses**

Management's response to audit reports, and other reports when requested, should include the following:

- a. Whether the official agrees with each finding or observation.
- b. Whether the official agrees with each recommendation/suggestion.
- c. Whether the official agrees to any identified savings.
- d. What specifically will be done, including an evaluation of any special assistance needed in carrying out the recommendation.
- e. Who in the organization will take the corrective action.
- f. A timeline for completion and when the corrective action will be implemented. If implementation is deferred beyond 12 months, include the reason for delay.

Management responses to the draft report are evaluated and incorporated into the final report in synopsis form. A verbatim copy of the response may be included in the final report. The final report is then transmitted to the responsible managers, under the signature of the appropriate OIG or Postal Inspection Service issuing authority.

**244.2 Release and Distribution of Audit Reports****244.21 Headquarters****244.211 Office of Inspector General**

The inspector general or appropriate assistant inspector general transmits reports of Headquarters interest and those reports containing recommendations for Headquarters action to the appropriate Headquarters unit.

**244.212 Postal Inspection Service**

When installation, district or area level audits identify issues requiring Headquarters action, the inspectors forward the issue through the deputy chief inspector Business Investigations to the assistant inspector general for Performance (Audit). The appropriate assistant inspector general reviews the issue and, in coordination with the deputy chief inspector Business Investigations, determines the appropriate course of action. The deputy chief inspector notifies inspectors of the final disposition.

**244.213 Audit Control Coordinator**

The audit control coordinator reports to the controller and serves as a focal point for all postal audit activity. The OIG will provide copies of all reports transmitted to Headquarters officials to the audit control coordinator. Headquarters officials with an interest in any audited activity or function may request copies of reports from the coordinator.

**244.22 Levels Below Headquarters****244.221 Performance Audits**

When audit reports include recommendations to area office management or other levels below Headquarters, a draft report is submitted to the manager of the installation or activity audited. Draft reports issued by the OIG are transmitted to the responsible postal manager under the signature of the appropriate assistant inspector general. For audit activities performed by the Postal Inspection Service, draft reports are transmitted to the responsible postal manager under signature of the inspector in charge of the project leader performing the work. Management responses to draft performance audit recommendations must be incorporated into the final report at the project leader level. The final report is then submitted to the responsible postal official under the signature of the appropriate assistant inspector general or inspector in charge.

**244.222 Financial Audits**

At the conclusion of financial audits of post offices and facilities findings and recommendations will be discussed with the facility head during an exit conference. The manager reviews the report and replies (if requested by the project leader) within the specified time frame. The comments are then included in the final report, which is sent to the responsible postal official and the next higher level of management.

**244.223 Contract Audits**

OIG contract audit reports include findings and recommendations for corrective actions by management officials. These types of audit reports will be handled in accordance with the policies previously set forth in 244.211 and 244.221. Contract audit reports issued by the Postal Inspection Service provide an opinion on the adequacy of cost or pricing data submitted by postal contractors. These reports are advisory in nature and are issued in final form directly to the requesting official.

**244.224 Distribution of Report Copies**

A copy of each final report transmitted by the OIG will be forwarded to the assistant inspector general for Performance (Audit) and the audit control coordinator. A copy of each final report transmitted by the Postal Inspection Service will be forwarded through the deputy chief inspector to the assistant inspector general for Performance (Audit) and the audit control coordinator. The Postal Inspection Service will provide to the OIG post negotiation memorandums and any other documentation showing the disposition of reported audit findings for the contract audits it performs.

## 245 Implementation of Audit Recommendations

### 245.1 Management Responsibility

Management must ensure the implementation of audit recommendations to which they have agreed.

### 245.2 Audit Follow-Up

#### 245.21 Status

The audit control coordinator is responsible for maintaining management's audit tracking and reporting system. Periodic status updates on the implementation of management action on recommendations/suggestions will be provided to management, the Postal Inspection Service and the OIG, as appropriate. This follow-up process is required by the inspector general legislation and OMB Circular A-50. The appropriate Headquarters, area, or district office responsible for the implementation of corrective action must identify any formalized plan to respond to audit recommendations, and periodically report the current status to the audit control coordinator, as requested.

#### 245.22 Periodic Reviews

The OIG or the Postal Inspection Service, as appropriate, will conduct periodic follow-up reviews to assess the effectiveness of management's actions.

### 245.3 Coordinating, Tracking, and Reporting

#### 245.31 Headquarters Level

##### 245.311 Deputy Postmaster General

The deputy postmaster general has overall responsibility for the implementation of audit recommendations made to groups for which the deputy postmaster general is responsible. In addition, the deputy postmaster general also is responsible for reviews of those groups answering to the postmaster general. The audit control coordinator reviews implementation of recommendations or suggestions and generates exception reports for the deputy postmaster general. The audit control coordinator prepares a report on the status of each recommendation for inclusion with the semi-annual report to Congress.

##### 245.312 Vice Presidents

Each vice president designates a person responsible for tracking the implementation of audit recommendations within that unit. The vice president's designee provides the chief operating officer with the results of the audit control coordinator status requests.

**245.313 Units Reporting to Postmaster General**

Each vice president who reports to the postmaster general designates a person for tracking the implementation of audit recommendations within that unit. The designee furnishes the results of status requests to the audit control coordinator, with a copy to the deputy postmaster general.

**245.314 Schedule**

Vice presidents ensure that audit recommendations are carried out as soon as practical. They must establish a target date for full implementation and monitor follow-up action. They must document the status of implementation for subsequent review by the audit control coordinator, the Postal Inspection Service, and the OIG.

**245.32 Area Office Level**

Each vice president of Area Operations is responsible for overall control of the follow-up on implementing audit recommendations within the area office. Each vice president of Area Operations designates a position responsible for reviewing the results of audit control coordinator status requests on the implementation of audit recommendations directed to the area office, plant, and district levels. The vice president of Area Operations' designee evaluates the action taken by field managers to ensure implementation of audit recommendations and personally advises the vice president of Area Operations of the results and furnishes the results of status requests to the audit control coordinator.

**245.33 District Level****245.331 Review**

District managers review each audit report on facilities within their jurisdictions. They provide a written response within the specified time frame when requested by the OIG or the Postal Inspection Service. They monitor the implementation of recommendations at facilities reporting to the district. They review audit control coordinator status request reports from the installation head of the audited facility to ensure that action is taken to implement audit recommendations. They also ascertain that corresponding service and budget objectives are achieved. The final status report submitted must clearly show that audit recommendations are implemented and reported savings realized.

**245.332 Reporting**

District managers report to the vice president of Area Operations on audit control coordinator status requests for the steps taken to carry out the recommendations or the reasons for delay in implementation.

## 246 **Application of Audit Findings**

### 246.1 **Vice President, Area Operations**

The vice president of Area Operations' designee reviews audit reports bearing on matters within the area and annually summarizes significant findings and recommendations for distribution to all district managers within the area office.

### 246.2 **District Manager**

District managers review the summary and determine whether the findings and recommendations apply to their offices. Distribution of the summary is made to all managers within their districts.

### 246.3 **Field Manager**

#### 246.31 **Review**

Field managers review the summary and determine whether the findings and recommendations apply to their offices.

#### 246.32 **Report**

Within 30 days after receipt of the summary, each field manager reports the results of the self-review to the appropriate district manager. Where similar conditions are found to exist, the date corrective action was taken or is estimated to begin is included in the report. Document improvements in service or reductions in cost.

#### 246.33 **Implementation**

When implementation depends on the occurrence, such as training or acquisition of equipment, field managers must include target dates for each step of the implementation.

## 247 **Requests for Audit Attention**

### 247.1 **Headquarters Level**

All requests for audit attention generated from the postmaster general, deputy postmaster general, vice presidents, or other headquarters personnel are directed to the inspector general, with a copy to the audit control coordinator.

### 247.2 **Area Level**

Requests for audit attention generated from vice presidents of Area Operations or other area personnel, including installation and district compliance audits within the area are directed to the appropriate inspector in charge, with a copy to the audit control coordinator. Where concerns or issues arise from policies or processes issued postal-wide from headquarters, requests from area personnel are directed to the inspector general, with a copy to the audit control coordinator.

**247.3 District Level**

Requests for audit attention generated from district managers or other district personnel are directed to the local inspector in charge, with a copy to the audit control coordinator.

**247.4 Field Level**

Requests for audit attention generated from field managers or installation heads are directed to the local inspector in charge, with a copy to the audit control coordinator.

## 25 Tort Claims

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**251 Responsibilities****251.1 Postal Service****251.11 Definition**

*Tort claims* are claims for damage to or loss of property, personal injury, or death caused by the negligent or wrongful act or omission of an employee while acting within the scope of employment.

**251.12 Authority**

The Postal Service is authorized to settle claims under the Federal Tort Claims Act.

**251.13 Policy**

Postal Service policy is to promptly and willingly discharge its legal responsibility to those persons who claim damages pursuant to the Federal Tort Claims Act.

**251.2 General Services Administration (GSA)**

GSA investigates and settles tort claims for damages from accidents at facilities under GSA control.

**252 Accident Investigation****252.1 Accidents to Be Investigated**

Investigate both vehicular and nonvehicular accidents of all types involving personal injury or property damage to private persons where the Postal Service or an employee is involved, except OIG personnel. Investigation of accidents involving OIG employees should be referred to the OIG for internal investigation.

**252.2 Responsibility****252.21 Reference**

Detailed instructions are in Handbook PO-702, *Accident Investigations — Tort Claims*.

**252.22 Installation Head or Designee****252.221 On-the-Scene Investigations**

Conduct prompt on-the-scene investigations of all accidents involving damage to private property or personal injury to private persons following Handbook PO-702.

**252.222 Personal Injury and Private Property**

When personal injury is involved or when damage to private property is estimated to exceed \$1,000, notify the accident investigator before or immediately after returning from the accident scene. Further investigation is based on the advice of the accident investigator.

**252.23 Accident Investigator****252.231 Selection**

The district Customer Support Services manager designates in writing an accident investigator. Where vehicle operations supervisory personnel are assigned, select from these employees. Otherwise, designate a responsible supervisor, preferably a delivery services supervisor. The accident investigator selected should be a person who makes independent, sound judgments and communicates effectively. The individual assigned must be trained as an accident investigator.

**252.232 Duties**

The accident investigator has the following responsibilities:

- a. Conducts both on-the-scene and follow-up investigations of all accidents within the city where the installation is located involving damage to private property or personal injury to private parties.
- b. Serves as a consultant and adviser to associate office personnel designated under 252.221 to investigate accidents.
- c. Trains post office personnel and ensures their accident investigation proficiency.
- d. Makes sure that all information, exhibits, and documentation about accidents involving personal injury to private persons or damage to private property in excess of \$1,000 are forwarded promptly for evaluation.
- e. When a claim is received, determines if any necessary follow-up action is required.
- f. Forwards the completed investigative file promptly to the adjudicating authority (see 254).
- g. Decides whether personal assistance is necessary at the scene or if guidance to the local investigator suffices when notified of the accident.



- h. Promptly contacts the chief field counsel on learning of an accident involving Postal Inspection Service employees (see 254.1).
- i. Promptly contacts the general counsel for the inspector general on learning of an accident involving OIG employees.

#### 252.24 **Accident Investigator and Claims Coordinator**

The accident investigator and claims coordinator (occupational code 0992-5002) plays an important role in accident investigations and tort claims processing.

#### 252.3 **Scope of Investigations**

Promptly obtain full information and facts about responsibility for the accident and the character and extent of any damage sustained. Make thorough and complete inspections and reports of personal injury cases and accidents resulting in property damage. Supplement the report of a postal employee involved in either type of accident with written statements or affidavits from witnesses and from the parties injured or whose property was damaged.

#### 252.4 **Verification of Damages**

Have a body and fender repairman in the motor vehicle service or some other qualified employee carefully check for accuracy all bills submitted by claimants for damages to property. Ensure that all items included in a claim are for repairs of damage actually caused by the specific accident.

### 253 **Preparing Reports and Claims**

#### 253.1 **Postal Official in Charge**

##### 253.11 **General Instructions**

Attach all required forms when submitting a report of an accident. Keep a complete file (copies of all forms) in the installation files.

##### 253.12 **Forms Required**

##### 253.121 **Form 2198**

Submit the requested information on Form 2198, *Accident Report — Tort Claim*, with particular emphasis on your opinion about the negligence of the postal employee involved, whether the bills or estimates supporting the claim are accurate and represent a reasonable charge for the damage involved, and recommendation for action to be taken.

253.122 **Standard Form 91**

SF 91, *Operator's Report of Motor Vehicle Accident*, is carried in each government motor vehicle, privately owned government-operated motor vehicle, and by each employee using a bicycle or light vehicle. The form is filled out by the driver of any vehicle involved in an accident, regardless of the extent of injury or damage, and whether the parties involved state that no claim is to be filed. Vehicle operators must not give any statements, written or oral, at the scene of the accident, except information required by law to be furnished to other drivers or parties involved.

253.123 **Form 1700**

Form 1700, *Accident Investigation Worksheet*, must be completed for both vehicle and nonvehicle accidents.

253.124 **Standard Form 94**

Standard Form 94, *Statement of Witness*, is filled out by all available witnesses to an accident. Instruct vehicle operators and other employees to obtain the names and addresses of any persons who may have witnessed the accident. The claimant does not have to fill out this form.

253.2 **Claims Procedures**253.21 **General**253.211 **Assistance**

Any person who indicates a desire to file a claim should be given a full explanation of claims procedures and an SF 95, *Claim for Damage, Injury, or Death*. When necessary, desirable, and considered in the best interest of the Postal Service, the person should receive help to prepare the form and assemble evidence.

253.212 **Restrictions**

Postal Service employees are prohibited from:

- a. Receiving any gratuity for services.
- b. Accepting any interest in a claim.
- c. Disclosing information that may be made the basis of a claim, any evidence, or any record in any claim matter unless provided by law.

253.22 **Administrative Claims**253.221 **Definition**

An *administrative claim* is a properly completed SF 95 or any other written notification received from a claimant, a duly authorized agent, or legal representative, accompanied by any claim for money damages in a specified sum (*sum certain*) for injury to or loss of property, personal injury, or death alleged to have occurred by reason of the incident. An administrative claim is not required to be filed on an SF 95, but the claimant should file the claim on this form when possible.

**253.222 Insurance Information**

Every claimant must state in writing, as part of a claim for property damage:

- a. Whether collision insurance is carried and, if so, the name and address of the insurance company, policy number, and type of coverage (full or deductible).
- b. Whether a claim is filed with the insurance company.
- c. If a claim is filed, the action the insurer has taken or proposes to take with reference to the claim.
- d. Whether public liability and property damage coverage is carried by the claimant, and if so, the name of the insurance carrier.

**253.223 Who May File**

Claims may be filed as follows:

- a. A claim for injury to or loss of property may be presented by the owner of the property or his or her duly authorized agent or legal representative.
- b. A claim for personal injury may be presented by the injured person or his or her duly authorized agent or legal representative.
- c. A claim based on death may be presented by the executor or administrator of the decedent's estate or by any other person legally entitled to assert such a claim under applicable state law.
- d. A claim for loss wholly compensated by an insurer with the rights of a subrogee may be presented by the insurer. A claim for loss partially compensated by an insurer with the rights of a subrogee may be presented by the parties individually as their respective interests appear or jointly (see also 253.24).
- e. A claim signed by an agent or legal representative on behalf of a claimant is presented in the name of the claimant; it must show title or legal capacity of the person signing and be accompanied by evidence of authority to present a claim on behalf of the claimant as agent, executor, administrator, parent, guardian, or other representative.

**253.23 Processing Administrative Claims****253.231 General Instructions**

Stamp or write the date and sign the original and copies of any claim forms *immediately on receipt*. Do not return any forms or papers received from a claimant or representative. Copies may be provided.

**253.232 Incomplete or Indefinite Claims**

Handle an incomplete or indefinite form as follows:

- a. Note that a claim is incomplete or indefinite if it does not provide all necessary information, as in any of the following cases:
  - (1) It lacks the answers to the questions on insurance as required by 253.222.
  - (2) It does not contain a demand in a specific amount.

- (3) It is not properly signed.
- (4) It is deficient in some other way.
- b. On receipt of an incomplete or indefinite claim, furnish the claimant or representative a blank SF 95 and request that it be filled out completely.
- c. If a claim is not filed on an SF 95, but is a claim as defined in 253.221, furnish the claimant an SF 95 and request that it be filled out completely.
- d. If a reply to a request to complete an SF 95 is not received within 15 days, do not hold the investigative file, but forward it as directed in 254.3.
- e. If a reply is received that resolves the deficiency by a document other than SF 95, do not insist on the completion of an SF 95. Forward the investigative file as soon as possible as directed in 254.3.

#### 253.24 **Claims by Insurance Companies (Subrogation)**

Insurers (subrogees) presenting a claim in their own name or with their insured (subrogor) must state their interest or right to file a claim by appropriate documentary evidence such as a Form 2188, *Subrogation Receipt*, a Proof of Loss statement, or other such form signed by the insured and including words of subrogation. A copy of the insurer's check evidencing payment to or on behalf of the insured is appropriate evidence of the insurer's right to make a claim.

### 254 **Processing Reports and Claims**

#### 254.1 **Serious Accidents**

##### 254.11 **Definition**

An accident is considered a *serious accident* if:

- a. Civil or criminal action is brought against a postal employee involved in an accident.
- b. Injury to private individuals results in any of the following:
  - (1) Death.
  - (2) Dismemberment.
  - (3) Total or partial loss of vision.
  - (4) A medical prognosis of extensive hospitalization or prolonged disability.
  - (5) Damage to private property estimated to exceed \$25,000.

##### 254.12 **Immediate Notice**

Immediately notify the chief field counsel when a serious accident occurs.

##### 254.13 **Complete Report Required**

This preliminary report is not a substitute for a complete investigation and the preparation of other required reports.

## 254.2 **Claims Payment Authority**

### 254.21 **Personal Injury and Property Damage Claims of \$1,000 or Less**

When the amount of claim is \$1,000 or less, the district manager, postmaster, or designee is authorized, except as noted in 254.22, to pay (but not to deny) the claim after determining that the damage claimed was caused by the negligent or wrongful act or omission of a postal employee while acting in the scope of employment. This delegation of authority is limited to the payment of claims made by the public for damages arising out of incidents such as a motor vehicle accident, a slip, trip, or fall accident, or similar occurrence.

### 254.22 **Claims Payment Unauthorized**

The district manager or postmaster may not pay any of the following:

- a. Any claim arising out of the loss, miscarriage, or negligent transmission of letters or postal matter.
- b. Any claim arising out of assault, battery, false imprisonment, false arrest, malicious prosecution, abuse of process, libel, slander, misrepresentation, deceit, or interference with contract rights.
- c. Any claim submitted by a federal agency.
- d. Any claim submitted by a federal employee.
- e. Any claim arising out of an accident in which the postal employee involved received workers' compensation or continuation of pay.

### 254.23 **Denied Claims**

The above listed claims and all tort claims that are recommended for denial must be forwarded to the chief field counsel's office or the Information Systems Service Center, as explained in 254.31, 254.32, and 254.33.

### 254.24 **Multiple Claims**

If more than one claim arises or may arise out of a single accident, the district manager or postmaster may pay each claim presented, if none of the claims or anticipated claims exceeds the delegated authority of \$1,000.

### 254.25 **Claim Payment**

Payment of claims by the district manager or postmaster must be entered to AIC 597, Tort Claims — \$5000 or Less (District Offices only), in the accountbook. A summary report, together with all supporting documents and exhibits, should be retained to support the accountbook entry (see Handbook PO-702, *Accident Investigation — Tort Claims*).

### 254.26 **Advising Claimants**

Before paying a claim under 254.31, 254.32, and 254.33, do not advise a claimant or a claimant's representative that the Postal Service accepts liability or plans to pay for any expenses incurred such as rental of a replacement vehicle.

**254.3 Processing Claims****254.31 Property Damage Claims Over \$5,000**

When the claim of one individual, including a claim of an insurance company, is more than \$5,000, submit reports and forms immediately to the chief field counsel.

**254.32 Personal Injury Claims Over \$1,000**

When the amount of the personal injury claim of an individual is more than \$1,000, submit reports and forms immediately to the chief field counsel.

**254.33 Property Damage Claims, \$1,000 to \$5,000**

When the amount of the property damage claim of an individual is \$1,000 to \$5,000, including a claim of an insurance company, submit reports and forms to:

SAN MATEO ACCOUNTING SERVICE CENTER  
UNITED STATES POSTAL SERVICE  
2700 CAMPUS DR  
SAN MATEO CA 94497-9400

**254.34 Narrative Report**

A narrative report, as described in Handbook PO-702, *Accident Investigation — Tort Claims*, must be included when submitting a claim to the chief field counsel.

**254.35 Multiple Claims**

When claims from one accident are received from several claimants, and any one of the claims received or anticipated is for more than \$1,000, forward all reports and related forms under 254.31, 254.32, and 254.33.

**254.36 Accidents With No Claim Received**

Do not forward any accident files before a claim is received.

**254.37 Denial of Claims**

The district manager or postmaster may not deny any tort claim.

**254.38 Assistance**

Contact the San Mateo Accounting Service Center, Postal Inspection Service accident consultant, or chief field counsel for any assistance needed.

**254.4 Reports to GSA****254.41 Accidents Involving GSA-Controlled Buildings**

Do not investigate accidents occurring in post offices quartered in a federal building owned, operated, and maintained by GSA. Advise the GSA building manager or other GSA official of the accident.

**254.42 Accidents Involving GSA Vehicles**

If a postal employee is involved in an accident while operating a GSA vehicle, the initial investigation is conducted as required by 252.

**254.5 Accidents in Leased Quarters**

Investigate all accidents involving private persons that occur in leased or rented facilities just as fully as those occurring on postal-owned premises. In accidents caused or alleged to be the result of structural defect, state if, when, and how notice of the defect and needed repairs was given by the Postal Service to the landlord before the accident occurred. Advise if lease contains a provision requiring the landlord to make repairs. Include a copy of the lease and all available information on the landlord's insurance coverage.

## 26 (Reserved)

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## 27 Security

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**271 General Responsibilities****271.1 Chief Inspector**

The chief inspector is designated as the security officer for the Postal Service. This official issues instructions and regulations on security requirements. Authority for implementation and management of a data security processing program is delegated to the vice president of Information Systems. Authority for directing and administering the internal security program for the OIG is delegated to the inspector general.

**271.2 Installation Heads**

Installation heads are responsible for ensuring the safety of on-duty postal employees, as well as the security and integrity of the mails, and of all postal property entrusted to them.

**271.3 Security Control Officers****271.31 Policy**

The installation head or designated manager or supervisor acts as security control officer (SCO) for each facility, including stations and branches. This policy ensures appropriate attention to security issues and facilitates necessary liaison with the Postal Inspection Service.

**271.32 Responsibilities**

The primary responsibility of the SCO is to ensure the general security of the facility under rules and regulations issued by or concurred in by the chief inspector. This includes the safety of on-duty employees and the security of

mail, postal funds, property, and records entrusted to them. The security control officer is also the liaison with the Postal Inspection Service on all security matters and as the individual responsible for implementing security recommendations reported by the Postal Inspection Service.

271.33 **Designation**

If the security control officer responsibility is delegated by the installation head, the officer must acknowledge, in writing, understanding of the collateral duties of this assignment, as detailed in this chapter. Each Postal Service district maintains a current list of designated SCOs, their alternates, and phone numbers. Send the appropriate postal inspector in charge a copy of this list. (The inspector in charge also ensures that each SCO has a Postal Inspection Service point of contact and alternate.)

271.34 **Duties**

271.341 **Security Reviews**

The SCO or designee conducts annual facility security reviews using the security survey provided by the Postal Inspection Service. Send the completed survey and notes on corrective action taken to the designated Postal Inspection Service liaison. Keep a copy of the survey results at the facility for 2 years.

271.342 **Potential Threat or Assault**

The SCO must remain sensitive to potential employee threat or assault situations. SCOs should encourage employees to report any situation they feel might lead to physical confrontation or that might affect the safety of the work force. Any employee may make reports to the Postal Inspection Service.

271.343 **Safety and Security**

The SCO must notify the Postal Inspection Service of any significant situation impacting employee safety or security. Make reports by telephone or in writing, depending on the degree of urgency. A detailed record of all such Postal Inspection Service contacts must be made and kept at the office for 2 years.

271.344 **Employee Involvement**

The SCO, working with the Postal Inspection Service, ensures that employees are provided appropriate crime prevention and security material and are aware of established security procedures. The need for total employee involvement and participation in the security of their workplace cannot be overemphasized.

271.345 **Sensitive Clearance**

As necessary, the SCO must do the following regarding sensitive clearances:

- a. Ensure that the Postal Inspection Service has granted interim or final sensitive clearance to all employees who require such clearance before allowing them access to the postal areas, documents, or information requiring the clearance.



- b. Maintain an accurate, current roster of all employees holding sensitive clearance within their areas of jurisdiction.
- c. Obtain from the appropriate personnel office all required forms and data necessary for submission to the Postal Inspection Service when an applicant or transferee is being considered for access to sensitive areas, documents, or information.
- d. Ensure that sensitive clearances are updated every 5 years under 272.25.

#### 271.4 **Authorizations**

The Postal Inspection Service evaluates the need for any security-related equipment or personnel. Do not purchase closed circuit television (CCTV) systems, access-control systems, burglar or duress alarms, or fencing without Postal Inspection Service evaluation. The cost of security equipment is a central component of the facility's construction or renovation budget and becomes part of the building's assets. The use of on- or off-duty police (or other law enforcement officers) or guard services to provide security at postal facilities requires the consideration of numerous issues. Proposals should be submitted to the Postal Inspection Service with a detailed justification for review and evaluation.

#### 271.5 **Examination and Inspection of Postal Property (Including Lockers)**

All Postal Service-owned or -furnished property under the custody or control of the Postal Service, including that individually assigned to postal personnel, is for official use only. This property and its contents are at all times subject to examination and inspection by duly authorized postal officials in the discharge of their official duties. The chief postal inspector, officers, and heads of installations or their designated representatives are authorized to examine and inspect, as their duties may require, such Postal Service-owned or -furnished property and its contents.

#### 271.6 **Employees**

##### 271.61 **General**

The following responsibilities pertain to the general integrity and security of the mails and the handling of personal mail in the workplace.

**Note:** Refer to 274 for additional mail security requirements.

##### 271.62 **Employee Requests for Mail**

Mail addressed to a postal employee or an employee's family may not be withdrawn from the mail without approval from a supervisor.

##### 271.63 **Placing Mail on Person or in Personal Receptacles**

Employees must not place mail in their pockets or clothing, in their lockers or desks, or in any other personal receptacles.

**271.64 Employees' Personal Mail****271.641 Guidelines**

Employees must not receive personal mail at their place of employment. Mail that is addressed to an employee at any postal facility's address is generally considered to be addressed to and intended for the Postal Service, rather than the employee. This mail may be opened by the Postal Service, without the employee's knowledge or consent, after it is delivered to that facility. Mail that is addressed to an employee at a postal facility's address and that is known or appears to be intended for the employee personally may be refused, but must not be opened.

**271.642 Exceptions**

Exceptions are as follows:

- a. Official Postal Service mail or circulars and other mail or circulars that appear to relate to postal employment (such as mail or circulars from the employee unions or from postal uniform vendors) and are intended for individual employees must be delivered without being opened.
- b. In the case of an apparent emergency, the Postal Service must accept delivery of personal mail addressed to an employee, and the head of the facility (or designee) must attempt to deliver the mail to the employee.

**272 Personnel Security Clearances****272.1 General****272.11 Policy**

The Postal Service selects and retains in any capacity only those qualified individuals whose employment is consistent with Postal Service security interests and the national security interests of the United States.

**272.12 Responsibility**

The chief inspector or designee — referred to here as the personnel security officer — is responsible for the issuance of security clearances. The inspector general is the designee responsible for the issuance of security clearances for all OIG personnel. The inspector general, or designee, is responsible for maintaining an independent program consistent with Postal Service security requirements (272.221 and 272.231), and conducting independent single-scope background investigations. Sensitive clearances for OIG personnel are adjudicated by the inspector general based on information developed during either the initial investigation or an investigation to update a sensitive clearance.

**272.13 Scope**

Postal Service security interests are activities and matters directly related to the protection of the Postal Service from criminal or other conduct of such a nature as would undermine the safe and efficient movement of the mail or would otherwise undermine Postal Service efficiency or integrity.

## 272.2 Security Clearances

### 272.21 Nonsensitive Clearance

Employees requiring nonsensitive clearances are processed under Handbook EL-311, *Personnel Operations*. On appointment, these employees are the subject of checks conducted by the Postal Inspection Service. These checks are conducted automatically and require no action by the hiring official. Unless disqualifying information is disclosed by the Postal Inspection Service checks, the individual remains in the position and is cleared for access to such areas, documents, and information as required to accomplish the duties and fulfill the responsibilities of the position.

### 272.22 Sensitive Clearance

Sensitive clearances are considered for Postal Service employees who, by virtue of the duties of their position, have access to sensitive information restricted to the highest levels of the federal government or OIG files, Postal Inspection Service files, national security (classified) information, or sensitive information essential to executive decision making. These employees and executives include:

- a. The inspector general, the postmaster general, deputy postmaster general, chief operating officer, the general counsel, the chief inspector, the consumer advocate, the judicial officer, and the vice presidents.
- b. Executive secretaries and special assistants to positions listed in 272.22a.
- c. The deputy general counsel, chief counsels at Headquarters, and chief field counsels.
- d. Any employee required to have knowledge of and access to information or material classified TOP SECRET under Executive Order 12958, Classified National Security Information, dated April 20, 1995, and successive orders.
- e. Any employee assigned duties requiring knowledge of the mission of or access to the Federal Emergency Management Agency's (FEMA) Mt. Weather Emergency Assistance Center (MWEAC) or to FEMA emergency preparedness communications equipment or operational documents.
- f. All employees of the Office of Inspector General.
- g. All employees of the Postal Inspection Service.
- h. All Information Systems Service Center (ISSC) managers, ISSC systems security officers, and ISSC security control officers.
- i. Finance manager, investment specialists, cash management specialists, financing specialists, and treasury services specialists.
- j. District Information Systems manager.
- k. EDP Systems Operations supervisor.
- l. EDP system coordinator and Information Systems coordinator.
- m. Security Control Officers at major plants, offices, and facilities identified by the Postal Inspection Service.

- n. Any other employee who is able, by virtue of the duties of a position, to bring about a material adverse effect on the Postal Service or the national security. (The fact that duties may include access to sensitive information does not in and of itself require an individual to have a sensitive clearance.)

#### 272.221 **National Security Positions**

These positions are those concerned with protection of the nation from foreign aggression or espionage, including development of defense plans or policies, intelligence or counterintelligence activities, and related activities concerned with preservation of the military strength of the United States. When a position requires use of, or access to, classified information, national security considerations are ordinarily present. Candidates applying for national security positions must complete Standard Form 86, *Questionnaire for National Security Positions* (revised September 1995).

#### 272.222 **Public Trust Positions**

Public trust positions require the completion of SF 85-P, *Questionnaire for Public Trust Positions* (revised September 1995). These positions are those whose incumbents:

- a. May affect the integrity, efficiency, and effectiveness of assigned government activities by their action or inaction. The potential for adverse effect includes action or effectiveness of government, whether or not actual damage occurs.
- b. May fulfill certain government activities that by their nature can be adversely affected by the action or inaction of most employees associated with the activity in any responsible capacity. Such activities include law enforcement, public safety and health, collection of revenue, and regulation of business, industry, or finance.
- c. Have the authority to commit government funds through grants, loans, loan guarantees, or contracts.
- d. Are responsible for managing programs or operations that require a high degree of public trust because of their ability to affect the accomplishment of the activity's mission to a significant degree. Included in this category are positions responsible for managing a significant portion of a program, such as a geographic district or area.

#### 272.223 **Determining Need for Sensitive Clearance**

When a question is raised about the need for the incumbent of a new position or a position for which the scope of duties has changed to have sensitive clearance, the appropriate security control officer prepares Form 2015 as soon as possible. The SCO sends this form in duplicate to the chief inspector. The form is usually returned to the security control officer within 10 working days.

**272.224 Initiating Sensitive Clearance**

The SCO, through liaison with the appropriate personnel office, initiates clearance processing of an employee or applicant and provides the following documents:

- a. Standard Form 85-P, *Questionnaire for Public Trust Positions*, or Standard Form 86, *Questionnaire for National Security Positions*.
- b. Standard Form 87, *Fingerprint Chart*.
- c. Form 2181, *Authorization and Release*.
- d. Notice 70, *U.S. Postal Service Privacy Act Notice*.

**272.225 Career Postal Service Employees Changing to Sensitive Position**

SCOs submit Standard Form 85-P or Standard Form 86 and Form 2013, *Sensitive Security Clearance Processing Request*, for career Postal Service employees changing to a sensitive position.

**272.226 Processing**

The SCO instructs the employee or applicant to return the completed form in a sealed envelope. Form 2013 is completed by the officer and attached to the outside of the envelope. The officer then forwards the sealed envelope, with Form 2013, to the Postal Inspection Service for investigation at least 10 days before the appointment is planned.

**272.227 Granting Sensitive Clearance**

On completion of a favorable full-field investigation, the chief inspector or designee issues the final sensitive clearance by endorsing and returning the original Form 2013 to the requesting SCO. Concurrently, a copy of Form 2013 is endorsed and returned to the appropriate personnel office for inclusion in the subject's official personnel folder. Final personnel processing for appointment or assignment of the subject to the position may then be initiated.

**272.23 Denial or Revocation****272.231 Criteria**

A sensitive clearance may be denied or revoked by the chief inspector based on information developed during either the initial investigation or an investigation to update a sensitive clearance. The denial or revocation is based on appraisal of circumstances surrounding serious incidents involving the employee or applicant related to the following:

- a. Intentional falsification, deception, or fraud in connection with application or examination for appointment or in connection with official inquiry.
- b. Refusal to furnish information to the Postal Service requested pursuant to applicable laws, rules, and regulations that would aid in determination of qualification for sensitive clearance.

- c. Intentional, unauthorized disclosure or exposure of national security information, documents, or material classified under Executive Order 12065.
- d. Any of the other suitability-for-service factors (disqualification reasons) in Handbook EL-311, 313.2.

#### 272.232 **Administrative Procedure to Deny Sensitive Clearance**

When the chief inspector determines that derogatory information developed during an investigation for sensitive clearance falls under the criteria in 272.231 and that the circumstances surrounding the involvement of the subject in the incident do not mitigate the seriousness of the incident, the chief postal inspector sends a memo detailing the disqualifying information to the appropriate operating unit official with a statement that the sensitive clearance is denied.

#### 272.233 **Denial Reconsideration**

Employees or applicants may request, through the appointing or operating unit official, reconsideration of the denial and present any new information in their own behalf. The chief inspector considers any new evidence presented and advises the appointing or operating unit official of the decision.

#### 272.234 **Action of Operating Unit Official**

The operating unit official takes the following action:

- a. If the chief inspector denies a sensitive clearance to an employee, the responsible official takes steps to do one of the following:
  - (1) Remove the employee from the Postal Service under the currently applicable regulations of the Postal Service, Office of Personnel Management, or collective bargaining agreement, as appropriate.
  - (2) Reassign the employee to duties that do not require sensitive clearance.
  - (3) Refer the case to the postmaster general for a final determination. Provide a copy of the referral to the chief inspector.
- b. If the individual is to be retained in the Postal Service, the operating unit official furnishes the chief inspector a written statement of the reasons for retention, with copy to the records officer.

#### 272.24 **Interim Sensitive Clearances**

##### 272.241 **Applicants in Private Industry**

When there is a priority need to make a hiring commitment to an individual who requires a sensitive clearance but is not currently employed by any agency or department of the U.S. Government, a request for an interim sensitive clearance may be made. The request is made by checking the appropriate block on Form 2013 and is accompanied by a memorandum signed by the operating unit head. The memorandum must contain full justification for the request and, along with the Form 2013, be accompanied by all completed forms listed in 272.224. All forms must be submitted at least 10 working days before the expected appointment date. If approved, the signed and dated Form 2013 is returned to the appropriate security control

officer within 10 working days with the *Interim Sensitive Clearance Granted* block checked. This endorsement allows the individual to start work. After granting the interim sensitive clearance, the remainder of the investigation is continued without further action required from the security control officer. The final sensitive clearance is granted on favorable completion of the investigation.

**272.242 Federal Government Employees**

An interim sensitive clearance is normally granted within 10 working days after request and receipt of all forms listed in 272.224 to allow hiring of an individual currently employed by any agency or department of the federal government whether or not the individual holds any security clearance with that agency or department. This also applies to individuals in the Postal Service not holding sensitive clearance but being considered for assignment to duties requiring the clearance. The remainder of the investigation is continued without further action required on the part of the security control officer.

**272.243 Expedited Procedures**

To hasten security processing and allow appointment of an individual to a position requiring sensitive clearance, expedited procedures have been established to complete the following critical portions of the background investigation. The following constitute expedited security processing:

- a. Investigative History File (IHF) and National Crime Information Center (NCIC) checks.
- b. Review of employment record and reason for leaving last position.
- c. Police and credit checks in all cities of residence during the previous 5 years.

**272.244 Final Clearance**

A final sensitive clearance is granted on favorable completion of the investigation.

**272.25 Updating Sensitive Clearances**

Five years after the granting of a sensitive clearance, and at least once during each succeeding 5 years, or at the chief inspector's direction, each individual holding a sensitive clearance must complete Form 2066, *Updated Personnel Security Questionnaire*, and Form 2181, *Authorization and Release*. The Postal Inspection Service notifies the appropriate SCO when the updated clearances are due. The SCO makes sure that the employee completes the forms and that the forms are promptly returned to the Postal Inspection Service. On favorable completion of appropriate checks, a copy of Form 2066 is endorsed and returned to the SCO. A copy is also placed in the individual's official personnel folder. The Postal Inspection Service update includes the following:

- a. Review of official personnel folder.
- b. NCIC (wants and warrants).
- c. Criminal history inquiry (cities of residence during past 5 years).



- d. Credit check.
- e. IHF check.

272.26 **Exceptions**

When the postmaster general determines that an exception to the foregoing regulations promotes the efficiency of the Postal Service or serves the best interests of the national security of the United States, the postmaster general may grant such an exception.

272.3 **Clearances for Individuals Under Service Contracts**

272.31 **General**

272.311 **Who Must Have Clearances**

Individuals who provide contract services to the Postal Service, including contractors, contractors' employees, subcontractors, and subcontractors' employees at any tier, who have access to occupied postal facilities and/or to postal information and resources, including postal computer systems must obtain clearance from the Postal Service, as provided in 272, before being provided that access.

272.312 **Exceptions**

This section does not apply to contractors providing services (including repairs and alterations) under local buying authority or to individuals providing mail transportation services under contract. (See MI PO-530-91-8, *Screening Mailhandling Contract Employees*, for screening procedures for mail transportation contracts.) For contractors providing services under local buying authority, the postal manager must take reasonable security precautions before allowing these individuals to enter a postal facility, such as examining their past job performances, local criminal histories, and knowledge of their respective companies. To the extent possible, these individuals should have access to facilities only when postal employees occupy the facility.

272.313 **Temporary Services Companies**

Temporary service company contractors (e.g., Manpower, Kelly) are intended to provide short-term support services (e.g., custodial, secretarial, and administrative services). When emergent support services are required, the contractor must provide certification to the contracting officer, COR, or a designee, that the contractor's employee has met the basic security clearance requirements. If the contractor's employee requires a higher-level security clearance, the contractor's employee may work for 2 weeks under the basic clearance, pending approval of the higher clearance.



272.32 **Requirements**272.321 **Levels of Clearance**

As outlined below, four levels of clearance — basic, nonsensitive, sensitive, and interim sensitive — are available:

- a. Basic clearance — Clearance required for individuals who have access to postal facilities, but who do not require a higher level of clearance as provided herein.

**Exception:** Individuals whose access would otherwise require a basic clearance do not require it if they need to have access for less than 2 weeks. Clearance is required if access is extended beyond 2 weeks.

- b. Nonsensitive clearance — Clearance required for individuals who have access to postal information, that if compromised, would have limited impact on the mission of the Postal Service, or who have restricted access to postal computer systems, such as for word processing or data entry.

- c. Sensitive clearance — Clearance required for individuals who have access to sensitive information that, if compromised, would cause significant financial loss, inconvenience, or delay in the performance of the mission of the Postal Service, or who have physical access to restricted areas in postal facilities such as computer rooms and tape libraries, or who have access to computer systems such as on-site or remote terminals for systems development or accessing sensitive systems or data.

**Exception:** Individuals whose access would otherwise require a sensitive clearance require only a nonsensitive clearance if they are assigned to a contract for 60 days or less.

- d. Interim sensitive clearance — Preliminary clearance granted for individuals for whom there is a priority need to begin work before the completion of a sensitive clearance.

272.322 **Citizenship**

Individuals requiring a nonsensitive clearance, sensitive clearance, or interim sensitive clearance must be United States citizens, except that permanent resident aliens and other citizens of foreign countries may provide services with the prior approval of the Postal Career Executive Service (PCES) manager for whom the services are required.

272.33 **Responsibilities**272.331 **Contracting Officer, Requiring Activities, and Contracting Officer's Representative**

The organizations requiring contract support and the contracting officer review the scope of work to determine whether the nature of the work requires contracted individuals to have a clearance pursuant to these procedures. If so, a provision referencing these requirements and procedures is included in the solicitation documents. At the time of contract award, the contracting officer, the contracting officer's representative (COR), or a

designee provides the contractor with the required clearance forms and receives the forms upon completion.

- a. *Basic clearance* — The contracting officer, the COR, or a designee may allow individuals needed immediately by postal management to have limited access to the postal facility for up to 2 weeks, under the supervision of a postal employee, pending the receipt of the completed certifications for the basic clearance. Upon receipt, the contracting officer, the COR, or a designee reviews them for completeness and adequacy. If the information provided is satisfactory, the contracting officer, the COR, or a designee authorizes the issuance of an identification badge (Form 5140, *Non-Postal Service Contractor Employee*) to the contract employee.
- b. *Nonsensitive, sensitive, and interim sensitive clearances* — Upon receipt of the completed forms for the nonsensitive, sensitive, and interim sensitive clearances, the contracting officer, the COR, or a designee reviews them for completeness and adequacy and forwards them to:

SECURITY CLEARANCES  
US POSTAL INSPECTION SERVICE  
225 N HUMPHRIES BLVD  
4TH FLOOR SOUTH  
MEMPHIS TN 38161-0008

Individuals requiring a nonsensitive clearance, sensitive clearance, or interim sensitive clearance may begin work when they receive notification that the security clearance has been granted. The contracting officer, the COR, or a designee authorizes the issuance of an identification badge (Form 5140) to the contract employee.

#### 272.332 **Postal Inspection Service**

The Postal Inspection Service Operations Support Group (ISOSG) performs the following record checks before granting clearances. The ISOSG notifies the contracting officer, the COR, or a designee by memorandum when an individual has been granted or denied a security clearance. When contractor access to a computer is involved, the computer system security officer is also notified.

- a. Before granting a nonsensitive, sensitive, or interim clearance, the ISOSG searches the Postal Inspection Service's data bases.
- b. Before granting a nonsensitive, sensitive, or interim clearance, the ISOSG searches the National Crime Information Center (NCIC) Wants and Warrants.
- c. Before granting a sensitive clearance, the ISOSG requests a National Agency Check (NAC) from the Office of Personnel Management (OPM) that includes the following:
  - (1) *Security/Suitability Investigation Index (SII)* — Index of background investigations, those that are completed by OPM and those conducted by other federal investigative agencies. OPM file retention is 15 years, or 25 years for an investigation that contains actionable information.

- (2) *FBI Identification Division* — Fingerprint index of arrest records and name file.
- (3) *Defense Clearance and Investigation Index (DCII)* — Index of investigations conducted on Department of Defense civilian and military personnel.

#### 272.34 **Documentation**

##### 272.341 **General**

If an individual has a current security clearance from another federal agency, the contractor should provide documentation from that federal agency describing the clearance granted, the date it was granted, and the name and telephone number of an agency contact person.

##### 272.342 **Basic Clearance**

Contractors employing individuals who require a basic clearance must provide the documentation (see 272.341) to the contracting officer, COR, or a designee, before individuals are authorized to enter a postal facility in connection with contract performance. The contractor must also maintain supporting documentation for drug screening tests and criminal history inquiries subject to review by the Postal Service. Contractors must provide certification that each individual:

- a. Has passed a screening test for cocaine, marijuana, amphetamine/methamphetamine, opiates, and phencyclidine (PCP), which the Substance Abuse and Mental Health Services Administration (SAMHSA) has identified as the five most abused substances. The screening test must be performed by a SAMHSA-approved, certified laboratory and must meet the cut-off levels established by SAMHSA. The certification must include the name of the employee, the name of the institution that performed the test, the name of the agency that certified the laboratory, the date of the test (within 90 days of the submission of the results), and the negative results of the test.
- b. Is not on parole, probation, or under suspended sentence for commission of a felony.
- c. Has not been convicted of a criminal violation during the past 5 years for offenses that involved dishonesty, moral turpitude, financial gain, or assault.
- d. Has not engaged in the illegal use, possession, sale, or transfer of narcotics or other illicit drugs during the past 5 years.
- e. Does not have pending serious criminal charges such as murder, rape, robbery, burglary, physical assaults, sale and distribution of drugs, or weapons violations. If criminal charges are pending, the basic clearance is not to be authorized until the charges have been resolved.

**272.343 Nonsensitive Clearance**

Contractors employing individuals who require a nonsensitive clearance must provide to the contracting officer, the COR, or a designee the following documentation for each individual before these individuals are authorized to enter a postal facility in connection with contract performance:

- a. Form 2181-C, *Authorization and Release — Background Investigations (USPS Contractors and Employees of Contractors)*.
- b. Form 1357, *Request for Computer Access* (if access to postal computer systems is required).
- c. Results from a criminal history inquiry through local agencies (in this preferred order — state, county, city), where the individual has resided and has been employed during the past 5 years.
- d. Results of a credit bureau inquiry to identify any derogatory financial information concerning the individual.
- e. Verification of the individual's employment history for the past 5 years, including a list of reasons for termination or resignation from prior employers.
- f. Verification of the individual's United States citizenship through review of a birth certificate or naturalization document.
- g. Certification that the individual has passed a drug screening test pursuant to procedures for a basic clearance.
- h. Form 2025, *Contract Personnel Questionnaire*.

**272.344 Sensitive Clearance**

Contractors employing individuals who require a sensitive clearance must provide documentation to the contracting officer, the COR, or a designee for each individual before that individual is authorized to enter a postal facility in connection with contract performance.

**Exception:** The initial submission of information required for individuals who had been previously granted a sensitive clearance and who have had a break in service of 6 months or less is to be handled on a case-by-case basis. The complete screening process is required for an individual that has had a break in service of 6 months or more. The documents needed are:

- a. Items 272.343a through 272.343g listed above for the nonsensitive clearance.
- b. Form 2013, *Sensitive Security Clearance Processing Request*.
- c. SF 85-P, *Questionnaire for Public Trust Position*.
- d. FD 258, *Fingerprint Chart — Applicant* (two copies). The fingerprint cards must be signed and dated by someone with experience taking fingerprints.

**272.345 Interim Sensitive Clearance**

When individuals are to begin work under an interim sensitive clearance, contractors must initially provide the contracting officer, the COR, or a designee with items 272.343c through 272.343g required pursuant to procedures for the nonsensitive clearance (discussed in 272.343) for each

individual before authorization can be granted to enter a postal facility in connection with contract performance.

#### 272.35 **Grounds for Denial or Revocation**

A sensitive, nonsensitive, or interim clearance can be denied or revoked based on the information developed during either the initial investigation or an investigation to update a clearance. The denial or revocation can be based on an appraisal of circumstances surrounding serious incidents involving the individual, regardless of the time frame, related to the following:

- a. Refusal to furnish information requested pursuant to applicable laws, rules, and regulations that would aid in the determination of qualifications for a security clearance.
- b. Intentional, unauthorized disclosure or exposure of national security information, documents, or material classified under Executive Order 12065.
- c. Dismissal from prior employment for cause.
- d. Prior criminal conduct that could undermine the efficiency of the Postal Service or the safety of postal employees.
- e. Intentional false statements, deception, or fraud in an application for clearance or in a submission of information furnished incidental to a contract with the Postal Service.
- f. Habitual use of intoxicating beverages to excess.
- g. Use of narcotics or dangerous drugs.
- h. Reasonable doubt as to the loyalty to the government of the United States.
- i. Conviction for theft, embezzlement, or crimes of violence, including assault with a deadly weapon.
- j. Any other circumstance that makes the individual unfit to do business with the Postal Service.

#### 272.36 **Reconsideration of Denial**

An individual employed by a contractor, through the contractor, may request that the denial of a request for a clearance be reconsidered, and may present new information on his or her behalf. The chief inspector considers any new evidence presented and advises the contracting officer of the decision. The contractor's remedies for the failure of the Postal Inspection Service to grant a requested clearance, either initially or following reconsideration, are to be provided in the contract.

#### 272.4 **Hiring and Accession Requirements**

##### 272.41 **Employees Requiring Sensitive Clearance**

Individuals who are required to have a sensitive clearance may not enter on duty nor assume duties requiring sensitive clearance until they have been granted either interim or final sensitive clearance by the chief inspector or designee.

**272.42 Mail Transportation Contractors**

Contractors and their employees engaged in the transport of mail matter or who are allowed access to postal operational areas are not allowed such access unless the proper identification badge is displayed (Form 5139, *Nonpostal Service Temporary Employee*, or Form 5140, *Nonpostal Service Contractor Employee*).

**273 Facility Security****273.1 Protection and Access****273.11 Requirement****273.111 Responsibilities**

Responsibilities are as follows:

- a. The Postal Inspection Service establishes the criteria for security of on-duty employees and the security of mail, postal funds, property, and records entrusted to them.
- b. The installation head is responsible for implementing recommendations and requesting funds for security equipment and building modifications, and maintaining and upgrading, as necessary, all security and criminal investigative equipment.

**273.112 Facility Planning Concept**

To ensure that the Postal Inspection Service has an opportunity to address the specific security requirements for every Postal Service-owned or -leased facility, advise the inspector in charge in writing on implementation of a facility planning concept. Coordination with the Postal Inspection Service is required throughout the planning, design, and construction phases of every facility to ensure that the security requirements are met and that National Fire Protection Association (NFPA) 101 Life Safety Code requirements are not adversely affected.

**273.113 Facility Security Surveys**

The Postal Inspection Service periodically conducts facility security surveys to determine compliance with security requirements. Formal reports with recommendations for necessary security enhancements are submitted to postal management for review and implementation.

**273.12 Workroom Access****273.121 Limitations**

Access to all workroom areas is limited to authorized on-duty postal employees and authorized contractors. All other individuals are excluded unless they have legitimate business on the floor and are properly escorted.

**273.122 Door Locks**

Installation heads are required to carefully evaluate the work-flow cycles of their units to determine when the workroom doors can be locked. This is normally at all times except during heavy traffic periods when employees are reporting to or departing from work.

**273.123 Compliance**

The policy governing the locking of doors should be firmly adhered to. Supervision to ensure compliance is necessary to afford maximum protection of postal employees, funds, and property. Emergency egress is to be provided in accordance with the NFPA 101 Life Safety Code.

**273.13 Employee Responsibilities****273.131 Unauthorized Individuals**

All employees are charged with the responsibility of preventing unauthorized individuals, including off-duty employees, from entering restricted areas. All individuals on the workroom floor who are not properly identified or escorted should be immediately challenged.

**273.132 Reporting Conditions or Conduct**

To assure postal safety, employees report all unsafe building or working conditions. Employees must also report any disturbances or improper conduct on the part of individuals while on postal premises.

**273.133 Emergency Actions**

In emergencies, employees are to take the following necessary actions:

- a. Call for fire or police assistance.
- b. Use fire extinguishing equipment.
- c. Assist with the injured.
- d. Protect postal assets and mail if there is no risk to employee safety.

**273.14 Security Force**

The Postal Inspection Service may authorize a security force to provide security at selected postal installations. Where assigned, security force personnel as members of the Postal Inspection Service, are responsible for perimeter and building security. Appropriate liaison between installation heads, postal police officers in charge, and inspectors in charge should be maintained to ensure full coverage of all proper areas of access control and security.

**273.15 Police Protection**

State and local police agencies are generally willing to assist in protecting postal property. They may inquire about the jurisdictional status of a facility to be sure it allows them access and authority to enforce their laws. Facilities purchased or leased since 1962 are occupied by the Postal Service under proprietary jurisdiction. This term means that state or local police enjoy the same rights there as on any private property, if their activities do not unduly interfere with postal operations. Any police inquiry about status of a facility that came into postal use before 1962 should be forwarded to the inspector in charge.



**273.16 Security by Contract****273.161 Policy**

The chief inspector or designee, in the capacity of security officer for the Postal Service, is responsible for approving all requests for security contractors.

**273.162 Procedures**

Procedures vary as follows:

- a. Normally, facility managers submit all proposals for the use of security contractors to the local inspector in charge with a detailed justification. The inspector in charge reviews, evaluates, and submits proposals to the chief inspector for consideration. The chief inspector notifies the inspector in charge of the decision. The inspector in charge will notify the facility manager of the decision.
- b. In an emergency, facility managers may obtain contract security without prior approval but must notify the local inspector in charge as soon as possible. The inspector in charge must immediately report the emergency hiring of contract security to the chief inspector.

**273.163 Union Notification**

In accordance with the USPS-FOP Agreement, the national FOP-NLC-USPS No. 2 must be notified within 30 days of the decision to place contract security at any postal facility, unless postal police officers are deployed at that postal facility. If a decision is made to contract security work at a postal facility where postal police officers are deployed, the national FOP-NLC-USPS No. 2 should be notified before the deployment of the contract personnel whenever practical. Notice to the national FOP-NLC-USPS No. 2 will be given at the Headquarters level.

**273.17 Closed Circuit Television System Security****273.171 Scope**

This section clarifies the use of closed circuit television (CCTV) in administrative and security applications. It does not affect the manner in which the Postal Inspection Service or OIG utilizes CCTV equipment for criminal investigations.

**273.172 Policy**

The Postal Service uses CCTV systems for the protection of its employees, mail, and postal assets, and to monitor automated mail flow operations. The purpose of CCTV systems is to provide visual verification in conjunction with intrusion detection devices or exit alarms and doors equipped with exit alarms or access control devices. CCTV systems are to function as deterrents, and if a crime occurs in the monitored area, to record evidence of it. The administrative and security uses of CCTV systems are limited to the following:

- a. CCTV systems are installed to view parking lots, building exteriors, employee and visitor entrances, other access controlled entrances, emergency egress only, post office box areas, public access areas, and designated high-value locations, such as registry areas.



- b. CCTV systems are not installed to view work areas to evaluate the performance of employees.
- c. CCTV systems do not utilize “dummy” or nonfunctioning CCTV cameras.
- d. Security in the postal retail store.

#### 273.173 **Responsibility**

The following units have these responsibilities:

- a. *Postal Inspection Service* — The inspector in charge of the division in which the facility is located is responsible for determining the need for, quantity, type, and location of CCTV systems and cameras as described in this section.
- b. *Security Control Officer* — The security control officer (SCO) is responsible for overseeing the procurement, installation, maintenance, and repair of CCTV systems, and for maintaining a minimum of the most recent 32 days of video recording tapes or disks. The SCO also assures that the information from the CCTV camera is monitored and/or properly recorded 24 hours a day. At least once a year, one-third of the tapes must be replaced.

#### 273.2 **Alarms and Sensors**

The Postal Inspection Service determines the need for alarm systems. Alarms and related sensor systems are installed in certain selected postal facilities to prevent burglary and robbery and/or to assist in the apprehension of offenders. The inspector in charge gives the facility head detailed operating instructions for facility alarm systems. These instructions are restricted information and are kept in a secure area. (See Handbook RE-5, *Building and Site Security Requirements*, and Handbook AS-503, *Standard Design Criteria*, for details on design and installation of the systems.) Problems regarding alarm systems should be brought to the attention of the inspector in charge.

#### 273.3 **Security Counter Lines**

Security counter lines are installed in selected facilities for additional protection of employees. Requirements for these bullet resistant screen lines are developed by the Postal Inspection Service. The screen line should provide protection above, below and 10 feet on either side of the counter line. Handbooks AS-503 and RE-5 provide details to design the counter line.

#### 273.4 **Locks, Keys, and Access Control Cards**

##### 273.41 **Responsibility**

Postmasters procure all replacement locks and lock assemblies needed at their facilities, including Postal Inspection Service locks.

**273.42 Postal Inspection Service Locks**

The various locks used only for Postal Inspection Service offices, lookout galleries, and evidence rooms are shown in [Exhibit 273.42](#). These locks are stocked at the Topeka Material Distribution Center. Order Postal Inspection Service locks in accordance with Publication 247, *Supply and Equipment Catalog*.

**273.43 Postal Inspection Service Keys****273.431 O Key**

In buildings with lookout galleries, one O key is assigned to the postmaster or other official in charge, who must personally safeguard the key at all times. Only the postmaster or a designated supervisor may admit cleaners or other authorized persons to the galleries, on the first Monday of the month or by obtaining approval in advance from the responsible inspector in charge.

**273.432 J Key**

A special J key, which operates inspectors' office locks, is provided for other authorized personnel.

**273.433 Ordering Procedures**

Postmasters at facilities having inspectors' offices and observation galleries must order O keys and special J keys by memo from the inspector in charge. If the order involves replacement of a defective key, return the defective key with the request. Send O and special J keys by registered mail. Report the loss of either of these keys promptly to the inspector in charge.

Exhibit 273.42

**Postal Inspection Service Locks**

<b>Item</b>	<b>Description</b>	<b>Federal Spec. Type</b>	<b>Use</b>
912-B	Cylindrical (key-in-knob). Complete kit available in dull stainless steel finish only.	161	In newly constructed buildings, install on corridors opening directly into inspectors' private offices and on evidence storage room doors. Also use to replace defective cylindrical locks on such doors.
912-C	Cylindrical (key-in-handle). Complete kit available in dull stainless steel finish only. Operable by special J key used by cleaners. Lever action lock.	161	In newly constructed buildings, install on one door (usually reception office) of inspectors' office or suite. Also use to replace defective locks of same type on such doors. If inspectors' private offices are not accessible through interconnecting doors from reception area, install on corridor entrance door of private offices to enable cleaners to enter with special J key.
912-D	Cylindrical (key-in-knob). Complete kit available in dull stainless steel finish only. Operated by O key assigned to postmaster or other official in charge of building housing a gallery.	161	Use on all interior gallery doors in new buildings and to replace defective 912-A (obsolete) or 912-D locks on such doors.
0931-AH	Mortise type. Complete kit available in dull stainless steel finish only.	86	In new buildings, use on all exterior doors to inspectors' offices and gallery doors accessible to the general public. Also use to replace defective locks of same type on such doors.
0931CYL	Rim cylinder keyed for inspector key only.	—	Use with all surface-mounted deadbolt locks.
091SP	Threaded cylinder only (mortise type). Available only in brass finish.	86	Use as replacement cylinder for defective locks of Series 86 type on lookout gallery doors and inspectors' private office doors (see also item 912-B).
0931AO	Threaded cylinder only (mortise type). Available only in brass. Operable by special O key used by cleaners for lookout gallery (LOG).	86	Use as replacement cylinder for defective locks of same type on inspectors' office doors.

**273.434 Key Log**

All employees needing access to lookout galleries or Postal Inspection Service space must sign for keys in the key log. The log must show requestor names, dates, and key-out and key-in times. Overnight retention of keys is prohibited. Coordinate access for other than scheduled cleaning with the inspector in charge.

**273.44 Postal Service Locks****273.441 Exterior**

All exterior doors must be equipped with a deadbolt lock. An American National Standards Institute (ANSI) 156.13 Series F15 or F20 lock is required for employee entrance and single (exterior) doors. The deadbolt feature is operated by key (from the outside) and by turning the lever from inside. When the deadbolt is extended, turning the inside lever retracts both latch bolt and deadbolt simultaneously. On store front doors not designated as egress doors, a keyed both-side hook-type deadbolt is required. (See handbooks AS-503 and RE-5 for further information.)

**273.442 Electronic Strike**

If an ANSI 156.13 F15 lock with a permanent rigid outside knob is installed, an electronic strike may be provided for employee access during the normal business day. The strike may be operated by an interior release button or exterior, electronic cipher keypad. The deadbolt portion of the lock is activated to prevent employee access after hours. Install these locks following standards established by the Occupational Safety and Health Administration (OSHA) 1910.36 and the National Fire Protection Association (NFPA) Life Safety Code (LSC) Section 5-2.1.2.1, 1981 edition. No combination of locking mechanisms may impede the orderly exit of people in the event of an emergency, even in complete darkness.

**273.443 Delayed-Exiting Locks**

Delayed-exiting locks are not an authorized method for securing emergency exit doors. For doors requiring the level of security provided by the delayed-exiting devices, plant managers or their designees should install and subsequently monitor a combination of local and remote annunciators and closed circuit television (CCTV) systems.

**273.444 Access Control System**

For facilities of 20 or more employees a simple, single access control system should be installed. See handbooks AS-503 and RE-5 for details of an access control system design.

**273.45 Postal Service Keys and Access Control Cards****273.451 Postal Employees**

Personnel are issued only such keys as their duties require. Entrance lock keys are furnished only to those postal employees who are required to open the office in the morning or close it at night. Management reviews employee key requirements semiannually. They are not on a master key system. Standard locks are not authorized on exterior doors or in high security areas.

**273.452 Nonpostal Occupants**

Nonpostal occupants may be furnished keys to the entrance doors of their offices when necessary. They may not be furnished keys that allow access to the workroom areas. Other types of building keys may be furnished to nonpostal occupants, providing there is an official need.

**273.453 Contractors**

Keys may be furnished to highway contractors for exchange of mail in lobbies, vestibules, or lockers of post offices when those offices are not open. These keys must not permit access to workroom areas.

**273.46 Key Accountability****273.461 Inventory**

Postmasters must keep an accurate inventory (including serial number and brand name of lock, total number of keys available, location of lock by door and/or room number, how and when disposed of) of all building keys and signed receipts for all assigned keys. Signed receipts are obtained using Form 1628, *Individual Key Record*, when keys are assigned.

**273.462 Return of Keys**

When an employee's duties no longer require the use of an assigned key or the employee leaves the service, the key must be returned immediately. The date of return is then entered on Form 1628 as the release of accountability. If keys used to operate exterior doors to the facility are not returned, the locks must be replaced or rekeyed.

**273.463 Unassigned Keys**

Store all unassigned keys in a secure place accessible only to the postmaster or a designated alternate.

**273.464 Key Survey**

Conduct a semiannual physical survey of all building keys. Pay particular attention to master keys, exterior entrance keys, and special keys such as those for registry cages, stamped envelope rooms, employee record rooms, etc.

**273.47 Reporting Lost or Stolen Keys or Access Control Cards****273.471 Procedures**

Immediately report a lost or stolen key or access control card to the inspector in charge. Describe in detail the key or access control card, case, or key chain. If the key is lost to an outside door, immediately exchange the lock cylinder on the entrance door with one from the interior of the building that is not operable by the building master key.

**273.472 Postal Inspection Service Keys**

Also report lost or stolen regulation lookout gallery O keys, as well as J keys, to the inspector in charge.

**273.48 Master Keys**

Only postmasters, installation heads, or their designees may carry a master key. At installations having a Postal Service security force, one or more master keys are issued to the ranking postal police supervisor for use by postal police in emergencies. Master keys are issued to maintenance employees only during their tours of duty and may not be carried from the building. No other occupants of the building are issued master keys, and any such keys in the possession of other occupants must be recalled. Master keying is not permitted for locks opening stamped envelope rooms or other locations requiring individual accountability of contents. This applies to exterior doors in retail and delivery facilities.

**273.5 Security Containers, Safes, and Vaults****273.51 Security Containers and Safe Equipment****273.511 General**

Security containers (Publication 247 items 293 through 299) are furnished to post offices in CAGs A through K and their stations and branches for cash, stamp stock, money orders, food stamps, and other valuable items. Other postal units, including CAG L post offices in quarters furnished by the federal government where the postmaster does not receive an automatic 15 percent of salary for heat, light, and equipment, are furnished surplus fireproof safes or similar appropriate storage equipment consistent with available supplies.

**273.512 Description**

Requisitioned items 293 through 299 should provide space, if possible, for regular window clerks using standard cash drawers (items 216, 217, 218, or 219), unless cash and stamp drawer cabinets (items 220 or 221) are located in a vault. Otherwise, window clerks should use the cash box (item O911) or be furnished a separate locked compartment in the security container.

**273.513 Exception**

When the value of office accountability and registered mail regularly exceeds \$25,000 and security containers, fireproof safes, or vaults are not provided for overnight storage, contact the inspector in charge.

**273.52 Vault Equipment****273.521 Criteria for Use**

Using vaults in place of security containers must be considered based on the volume of security storage needed at the facility. Generally, facilities requiring five or more security containers or bulk storage of accountable items require a vault. This does not preclude stamped envelopes and retail products.

**273.522 New or Replacement Vault Doors**

Vaults built to Postal Service Standard (See Handbook AS-503, *Standard Design Criteria*) provide better protection than other safekeeping equipment. GSA Class 5 vault doors modified with a Sargent and Greenleaf 8400 series mechanical lock are provided for newly constructed vaults or as replacements for defective or damaged vault doors.

**273.523 Modular Vaults**

Modular vaults meeting Underwriter's Laboratories (UL) Standard 608 may be substituted for vaults built to other Postal Service standards. Authorized vaults must meet Class M level of security and doors must meet the requirements in section 273.522. Vaults built to Postal Service standards as detailed in Handbook AS-503 provide better protection than other safekeeping equipment.

**273.524 Cash Drawers**

For storing cash drawers in a vault, use items 220 and/or 221 unless space is available in security containers located within the vault.

**273.525 Exception**

For storing cash, postage stamps, money orders, and food coupons in vaults not meeting specifications of 273.522 and 273.523, use security containers, chests, or fireproof safes inside the vault to the extent equipment is available and interior space of vault is sufficient. Items 222 and/or 223 may be used in vaults meeting 273.522 and 273.523.

**273.526 Magnetic Media**

For storing magnetic media such as diskettes, use certified data storage vaults.

**273.53 Requisitions****273.531 Procedure**

Requisition all safe, security container, and vault equipment on Form 7381, *Requisition for Supplies, Services, or Equipment*. Justification for equipment must accompany the requisition.

**273.532 Justification**

Include the following in the justification:

- a. If standard cash drawers are in use, the number in use and the number that can be stored in existing equipment must be stated.
- b. Requisitions for items 220, 221, and/or 223 must show that a Postal Service standard vault is available and that the equipment is to be used in it.
- c. In leased or rented quarters or mobile post offices, it must be determined that the floor can support at least 1,300 pounds, and this fact must be stated on Form 7381.

**274 Mail Security****274.1 Importance**

The Postal Service must preserve and protect the security of all mail in its custody from unauthorized opening, inspection, or reading of contents or covers; tampering; delay; or other unauthorized acts. Any postal employee committing or allowing any of these unauthorized acts is subject to administrative discipline or criminal prosecution leading to fine, imprisonment, or both. In cases when an employee having a question about proper mail

security procedures cannot consult a supervisor and when the procedures are not clearly and specifically answered by postal regulations or by written direction of the Postal Inspection Service or General Counsel, the employee must resolve the question by protecting the mail in all respects and moving it, or letting it move, without interruption, to its destination.

## 274.2 **Opening, Searching, and Reading Mail Generally Prohibited**

### 274.21 **Mail Sealed Against Inspection**

No person may open mail sealed against inspection; or search, inspect, read, or disclose information obtained from the mail or its contents; or surrender all or any part of such mail, whether or not such is believed to contain criminal or other nonmailable matter; except to the extent one or more of these actions is permitted because the person is:

- a. A postal employee in a mail recovery center acting under the dead mail regulations in *Postal Operations Manual* (POM) 69.
- b. A postal employee acting with the consent of the addressee or sender.
- c. A person executing a search warrant under 274.6.
- d. An authorized U.S. Customs Service or U.S. Department of Agriculture employee acting under 274.91 or 274.92.
- e. A postal inspector acting under 274.91d.
- f. A postal employee disclosing information under 274.5.
- g. An agricultural inspector of a state or territory of the United States, acting under the Terminal Inspection Act (7 U.S.C. 166) and in strict accordance with pertinent procedures in Publication 14, *Restrictions and Prohibitions on Mailing Animals, Plants, and Related Matter*.
- h. Acting as otherwise expressly permitted by federal statutes or postal regulations.

### 274.22 **Mail Not Sealed Against Inspection**

Mail not sealed against inspection may be opened, and its contents searched, inspected, and read, all or any part of it surrendered, and information obtained from it released, but only to the extent a person is permitted to take one or more of these actions under the following conditions:

- a. Under any of the conditions that qualify for an exception under 274.21.
- b. By a postal employee, when authorized to make a determination about the mailability of the contents or the applicable postage for unsealed mail.
- c. As otherwise expressly permitted by federal statutes or postal regulations.

### 274.23 **Definitions**

#### 274.231 **Mail Sealed Against Inspection**

The following terms and definitions apply:

- a. For purposes of this part, the terms “mail sealed against inspection” and “sealed mail” mean mail on which appropriate postage is paid, and



which, under postal laws and regulations, is included within a class of mail maintained by the Postal Service for the transmission of letters sealed against inspection.

- b. The terms include First-Class Mail, Priority Mail, Express Mail (domestic and international), Mailgram messages, and the international letter mail forming part of the LC class of Postal Union mail. See the definition of Postal Union mail in the *International Mail Manual*.
- c. The terms exclude incidental First-Class matter permitted to be enclosed in or attached to certain Periodicals, Standard (A) and Standard (B) mailings (see DMM E070) and international transit mail (see 274.8).
- d. When sealed mail is part of a mixed class mailing (see DMM E070), the sealed mail component of the combination item is treated as sealed mail only if it is contained in its own envelope or other form of sealed container.

#### 274.232 **Mail Not Sealed Against Inspection**

The following terms and definitions apply:

- a. For purposes of this part, the terms “mail not sealed against inspection” and “unsealed mail” mean mail on which appropriate postage for sealed mail is not paid, and which under postal laws or regulations is not included within a class of mail maintained by the Postal Service for the transmission of letters sealed against inspection.
- b. The terms include Periodicals, Standard Mail, incidental First-Class attachments or enclosures mailed under DMM E070, and (as defined in the *International Mail Manual*) international parcel post mail, the AO class of Postal Union mail, and the international post cards and postal cards forming part of the LC class of Postal Union mail.
- c. The terms do not include international transit mail (see 274.8).

#### 274.24 **Correspondence in Unsealed Mail**

The contents of correspondence permitted to be sent by the blind in special or raised characters, or in the form of sound recordings, and by schoolchildren at the international printed matter rate, must not be divulged except to a postal employee acting with the consent of the addressee or sender, or to a person executing a search warrant under 274.6.

#### 274.3 **Permissible Detention of Mail**

##### 274.31 **Sealed Mail Generally Not Detained**

No one may detain mail sealed against inspection (other than a postal employee detaining dead mail), except under the following conditions:

- a. A postal inspector acting diligently and without avoidable delay, upon reasonable suspicion, for a brief period of time, to assemble evidence sufficient to satisfy the probable-cause requirement for a search warrant under 274.6.
- b. A postal inspector acting under 39 U.S.C. 3003 who causes to be withheld from delivery mail that he or she believes is involved in a

scheme described in that statute if prompt written notice is given to the addressee advising the addressee of such action, the reasons for the action, and the addressee's right to have such action reviewed under 39 CFR 964.

- c. A postal inspector acting under 39 U.S.C. 3004 who causes to be withheld from delivery letters or parcels sent in the mail to places not the residence or regular business address of the person to whom they are intended to enable the person to escape identification, if prompt written notice is given to the addressee advising the addressee of such action, the reasons for such actions, and the addressee's right to have such action reviewed under 39 CFR 964.
- d. A postal inspector, OIG personnel, or postal employee upon reasonable suspicion and in strict compliance with postal regulations to determine the mailability of injurious articles and substances proscribed by DMM C021, or the proper payment of postage.
- e. A postal employee acting under postal regulations with the addressee's or sender's express consent (for example, DMM D030).
- f. A postal employee acting under an order issued under 39 U.S.C. 3005, relating to false representations, lotteries, and unlawful matter.
- g. A postal employee acting under 274.62.
- h. A postal employee conducting a mail count by direction of a postmaster or a postal inspector.
- i. A postal employee acting under a federal court order.
- j. A postal employee, during the period required to seek and obtain instructions under DMM D042.6.0 concerning mail whose delivery is in dispute, or under 424.1 of the *Postal Operations Manual* (POM) concerning legal process, other than a search warrant duly issued under Rule 41 of the Federal Rules of Criminal Procedure, purporting to require the surrender of mail matter.
- k. A postal employee or an agricultural inspector of a state or territory of the United States, acting under the Terminal Inspection Act (7 U.S.C. 166) and in strict accordance with pertinent procedures in Publication 14, *Restrictions and Prohibitions on Mailing Animals, Plants, and Related Matter*.

#### 274.32 **Unsealed Mail**

Mail not sealed against inspection may be delayed or detained for the reasons in 274.31, and as otherwise expressly permitted by postal regulations.

#### 274.4 **Mail Reasonably Suspected of Being Dangerous to Persons or Property**

#### 274.41 **Screening of Mail**

When the chief postal inspector determines that there is a credible threat that certain mail may contain a bomb, explosives, or other material that would endanger life or property, the chief postal inspector may, without a search

warrant or sender's or addressee's consent, authorize the screening of such mail by any means capable of identifying explosives, or other dangerous contents in the mails. The screening must be within the limits of this subsection and without opening mail that is sealed against inspection or revealing the contents of correspondence within mail that is sealed against inspection. The screening is conducted according to these requirements:

- a. Screening of mail authorized by this subsection must be limited to the least quantity of mail necessary to respond to the threat.
- b. Such screening must be done in a manner that does not avoidably delay the screened mail.
- c. The chief postal inspector may authorize screening of mail by postal employees and by persons not employed by the Postal Service under such instructions that require compliance with this part and protect the security of the mail. No information obtained from such screening may be disclosed unless authorized by this part.
- d. Mail of insufficient weight to pose a hazard to air or surface transportation and international transit mail must be excluded from such screening.
- e. After screening conducted under this subsection, mail that is reasonably suspected of posing an immediate and substantial danger to life or limb, or an immediate and substantial danger to property, may be treated by postal employees as provided in 274.42.
- f. After screening, mail sealed against inspection that presents doubts about whether its contents are hazardous, that cannot be resolved without opening, must be reported to the Postal Inspection Service. Such mail must be disposed of under instructions promptly furnished by the Postal Inspection Service.

#### 274.42 **Threatening Pieces of Mail**

Mail, sealed or unsealed, reasonably suspected of posing an immediate danger to life or limb or an immediate and substantial danger to property may, without a search warrant, be detained, opened, removed from postal custody, and processed or treated, but only to the extent necessary to determine and eliminate the danger and only if a complete written and sworn statement of the detention, opening, removal, or treatment, and the circumstances that prompted it, signed by the person purporting to act under this subsection, is promptly forwarded to the chief postal inspector.

#### 274.43 **Reports**

Any person purporting to act under this subsection who does not report his or her action to the chief postal inspector under the requirements of this subsection, or whose action is determined after investigation not to have been authorized, is subject to disciplinary action or criminal prosecution, or both.

### 274.5 **Disclosure of Information Collected From Mail Sent or Received by Customers**

As a general rule, Postal Service employees may not disclose information or data from the exterior of a piece of mail, disclose information about the contents of a piece of mail, or disclose other information about a piece of mail, within or outside the Postal Service. Only under the following conditions may an employee disclose information while performing official duties:

- a. To the Postal Inspection Service or Office of the Inspector General (OIG) for its official use, when there is a reasonable basis to suspect that the information is evidence of the commission of a crime.
- b. In accordance with 213, Mail Covers.
- c. As mandated by a search warrant and in accordance with 274.6, Execution of Search Warrants.
- d. As mandated by a federal court order.
- e. To fulfill the request of the sender, addressee, or an authorized agent of the sender or addressee.
- f. For the following Postal Service operations, employees may make, record, or disclose an image of a mailpiece. Any image created for Postal Service operations must be destroyed once the information is no longer necessary for that operational purpose:
  - (1) To resolve or record a service complaint when the complaining customer presents the mail piece or image as evidence.
  - (2) To serve in place of Form 3546, *Forwarding Order Change Notice*, if the image shows nothing but the addressee's prior and current addresses, and does not reveal the sender's name and address, the postmark, or any other information.
  - (3) To serve in place of Form 3547, *Notice to Mailer of Correction in Address*, by showing the cover with an address-correction label affixed in reply to a mailer's request for address correction on mail for which that service is available.
  - (4) To notify a mailer of addressing inaccuracies affecting machine readability if the image is adequately secured, then destroyed as soon as the mailer resolves the inaccuracies.
  - (5) To facilitate internal Postal Service operations under specific authorization and written instructions from the chief privacy officer. Requests for authorization to the chief privacy officer must describe the process for facilitating operations and specify the necessary retention period.
  - (6) To resolve a problem of machine missorting or of miscoded or unreadable mail if the information is disclosed only to the postal employees resolving the problem and the image is destroyed immediately after the problem is resolved.
  - (7) To resolve a complaint from the sender or addressee about Express Mail service; a refund request from the sender; or an internal service report, if the information is disclosed only to the

- postal employees resolving the problem and the image is destroyed immediately after the problem is resolved.
- (8) To provide information to a Postal Service contractor, or its subcontractor, in the performance of a contract with the Postal Service, but only if each disclosure and use of the information is in strict compliance with contract clause 1-1, Privacy Protection (Appendix B of the *Purchasing Manual*, January 2002).
  - (9) To develop, test, and improve the capabilities of recognition and processing technology. Such information may be retained for research purposes, equipment testing, and incentive payment analyses.
- g. Law enforcement officials may not use mail images or associated information that are recorded for Postal Service operations under part 274.5(f), unless they comply with 213, Mail Covers
  - h. If OIG personnel, a postal inspector, or a postal employee acting at the direction of OIG personnel or a postal inspector reasonably suspects that a piece of mail has any improper postage. Custodians of such documentation must destroy it when it is no longer needed for official use.
  - i. To the U.S. Customs Service or the Department of Agriculture in accordance with 274.9, Mail Security, Law Enforcement, and Other Government Agencies.
  - j. The Postal Service may record mail images to ensure the health or safety of Postal Service employees or the public. However, the Postal Service may only keep the images for 60 days or less, unless the Chief Postal Inspector extends the time. Such information may not be used for criminal investigative purposes without following the policy and procedures in part 213 regarding mail covers.
  - k. If otherwise permitted by law or Postal Service regulations.

#### 274.51 **Disclosure of Information from Contents of Sealed Mail**

Information obtained by opening sealed mail in a mail recovery center may only be used to find and identify an address to which the Postal Service can deliver the mail, except:

- a. As mandated by a search warrant and in accordance with 274.6, Execution of Search Warrants.
- b. As mandated by a federal court order.
- c. To fulfill the request of the sender, addressee, or an authorized agent of the sender or addressee.

#### 274.6 **Execution of Search Warrants**

##### 274.61 **Warrant Issued by Federal Court or Served by Federal Officer**

- a. A search warrant duly issued under Rule 41 of the Federal Rules of Criminal Procedure must be executed as provided in 274.62. Usually, a warrant issued by a federal court or served by a federal officer is issued

under Rule 41, and is duly issued if signed and dated within the past 10 days.

- b. No employee may permit the execution of a search warrant issued by a state court and served by a state officer. If in doubt, an employee should temporarily detain the mail in question and promptly call a postal inspector for guidance.

#### 274.62 **Search Warrant Execution Procedures**

Procedures for executing a search warrant follow:

- a. A postal inspector may execute a search warrant.
- b. An OIG special agent may execute a search warrant.
- c. A person other than a postal inspector or OIG special agent executing a search warrant must be accompanied by a postal employee authorized by the head of the postal installation at which the warrant is to be executed.
- d. Mail may be taken from postal custody under the authority of a search warrant only if the person executing the warrant leaves a copy of the warrant and a receipt or inventory, made out in the presence of the postal employee accompanying that person, which particularly describes each piece of mail taken, including all service endorsements on the cover (such as "Return Receipt Requested") and any official postal identity numbers (such as registry, insurance, or certified mail numbers). The receipt or inventory may be attached to the copy of the warrant or written on the reverse side of the copy of the warrant.
- e. The installation head or designee must do the following:
  - (1) Make a copy of the receipt or inventory, and of the copy of the warrant, and send them to the inspector in charge of the division in which the installation is located.
  - (2) Send a report of the seizure of any domestic mail to the addressee's post office and of any seized international mail to the appropriate international claims office.

#### 274.63 **Notice to Sender or Addressee**

If the cover of domestic mail has been endorsed and stamped to show that the sender has requested and paid for a return receipt, the sender must be notified of the seizure of the mail under the warrant by an endorsement to that effect on the return receipt or on a duplicate, if the original receipt is taken. The receipt must be dispatched as soon as possible, unless the officer executing the warrant presents a federal court order to delay the dispatch. In that event, the dispatch must be delayed in accordance with the order.

#### 274.7 **Cooperation With Federal, State, and Local Agencies**

A postal employee receiving a request from a federal, state, or local law enforcement, intelligence, or other government agency, for access to, or information about, particular mail matter of any class in the custody of the Postal Service must refer the request to the Postal Inspection Service. The employee must include an explanation that the Postal Inspection Service is

responsible for liaison with all government agencies with respect to a request of this kind. No employee of the Postal Inspection Service may comply with such a request, unless authorized by postal regulations.

## 274.8 **International Transit Mail**

### 274.81 **Definitions**

#### 274.811 **International Transit Mail**

As used in this part, the term “international transit mail” refers to mail of foreign origin that is passed by a foreign postal administration to the Postal Service for forwarding to a foreign postal administration under a postal treaty or convention. It includes closed mail and *à découvert* letter post items (see 274.813).

#### 274.812 **Closed Mail**

The term “closed mail” refers to any bag, container, or mail passed to the Postal Service by a foreign postal administration, the entire contents of which are required, by applicable postal treaties or conventions, to be passed to a foreign postal administration.

#### 274.813 **À Découvert Letter Post Item**

The term “*à découvert* letter post item” refers to any international letter post item (Postal Union mail, as defined in the *International Mail Manual*) that is addressed for delivery by a foreign postal administration and is passed to the Postal Service by a foreign postal administration in a bag, container, or mail that must be opened by the Postal Service under applicable postal treaties or conventions because it also contains items addressed for delivery by the Postal Service.

### 274.82 **Special Security Rules**

International transit mail is entitled to freedom of transit. It must not be opened, seized, or searched. It is not subject to Customs or Agriculture inspection under 274.91 or 274.92. In accordance with the Universal Postal Convention, any international transit mail consisting of closed mail, *à découvert* letter post items, and airmail correspondence must not be detained, but must instead be forwarded to the next foreign postal administration by the quickest routes that the Postal Service uses for mail sealed against inspection.

## 274.9 **Mail Security, Law Enforcement, and Other Government Agencies**

### 274.91 **Customs Service**

Without a search warrant, but upon reasonable cause to suspect that the mail contains dutiable or prohibited items, designated personnel of the U.S. Customs Service may open or inspect the contents of mail in the customs inspection of mail (including APO and FPO mail) that originated outside the Customs Territory of the United States (CTUS) and is addressed for delivery



either inside the CTUS or inside the customs district of the Virgin Islands, on the following terms and conditions:

- a. *Other Regulations* — Such inspections may be conducted only under the *International Mail Manual* (IMM) relating to cooperation with the U.S. Customs Service on inspection of imports.
- b. *Privacy of Correspondence* — No Customs personnel may read, allow any other person to read, divulge, or transfer to any other person any correspondence contained in sealed mail; nor may Customs personnel divulge, allow any other person to read or listen to, transfer to any other person, or knowingly listen to any paper or recording that is correspondence for the blind contained in unsealed mail; nor may Customs personnel divulge, allow any other person to read, or transfer to any person correspondence of school children permitted transmission in unsealed mail, unless such action is authorized by a search warrant issued under Rule 41 of the Federal Rules of Criminal Procedure.
- c. *Search Warrant Required for Domestic and Certain International Mail* — No Customs personnel may, without a search warrant, open, inspect, read, or seize any mail in postal custody (including APO and FPO mail) that has not originated outside the CTUS, or that has diplomatic or consular immunity from Customs inspection (see IMM 711).
- d. *Controlled Delivery of Drugs in Sealed Mail* — When a postal inspector decides, at the request of a federal, military, state, or local narcotics agent, to make a controlled postal delivery of a sealed mail article that the Customs Service has opened under 274.91, and that the Customs Service has determined through a reliable field test or reliable laboratory examination to contain illegal narcotics or dangerous drugs, the postal inspector may reopen the article without a search warrant. The inspector may reopen the article without a warrant only to prepare the article for such a controlled delivery in such way or ways as lawfully and reasonably aid in the investigation of the crime of importing such substances through the mail. No correspondence inside such an article may be read or divulged without a search warrant as described in 274.6.

## 274.92 U.S. Department of Agriculture

### 274.921 Foreign Origin Mail

Without a search warrant, but with the written consent of the sender, designated personnel of the U.S. Department of Agriculture (USDA) may open and inspect (but not read) the contents of mail (including APO and FPO mail) that has originated outside the Customs Territory of the United States (CTUS) and is addressed for delivery inside the CTUS. Such inspection may be conducted only under IMM 720 relating to cooperation with the USDA on plant quarantine inspections of imports.



**274.922 Domestic Mail From Hawaii or Puerto Rico**

Without a search warrant, designated USDA personnel may open and inspect (but not read) the contents of mail reasonably suspected of containing plant matter or plant pests mailed in Hawaii or Puerto Rico and addressed to the United States mainland, either with the consent of the sender or if the mail is unsealed. Such inspections may take place only in designated areas of the Hawaii or Puerto Rico post office, and only if the federal plant quarantine of Hawaii or Puerto Rico remains in effect.

**274.923 Terminal Inspections**

To implement the Terminal Inspection Act (7 U.S.C. 166), postal employees may cooperate with USDA and state agriculture personnel, provided that such cooperation is in strict accordance with pertinent provisions of section 274 and Publication 14, *Restrictions and Prohibitions on Mailing Animals, Plants and Related Matter*.

**274.93 Military Postal System**

This part does not apply to the military postal system overseas or to persons performing military postal duties overseas (see DMM E010).

**274.94 Customs Inspection in Territories and Possessions****274.941 American Samoa**

Pago Pago postal employees may permit designated American Samoa Customs officials, without a search warrant, to open, inspect, and read the contents of unsealed mail, and to examine the exterior (but not open or read the contents) of sealed mail that originates outside the Territory of American Samoa and is addressed for delivery within the Territory of American Samoa. Upon the request of American Samoa Customs officials, postal employees in the Pago Pago Post Office may ask the addressee of sealed mail that American Samoa Customs officials reasonably suspect contains dutiable or prohibited matter to authorize American Samoa Customs officials to open and inspect the contents of the sealed mail, or to appear at the post office to accept delivery of the sealed mail in the presence of an American Samoa Customs official.

**274.942 Guam**

Postal employees in the Agana Post Office may permit the designated Guam Customs officials, without a search warrant, to open, inspect, and read the contents of unsealed mail, and to examine the exterior (but not open or read the contents) of sealed mail that is addressed for delivery within the Territory of Guam. Upon the request of Guam Customs officials, postal employees in the Agana Post Office may ask the addressee of sealed mail, which Guam Customs officials reasonably suspect of containing dutiable or prohibited matter, to authorize Guam Customs personnel to open and inspect the contents of the sealed mail, or to appear at the post office to accept delivery of the sealed mail in the presence of a Guam Customs official.

**274.943 Northern Mariana Islands**

Postal employees in the Saipan Post Office and the Rota Post Office may permit designated Northern Mariana Islands Customs officials, without a search warrant, to open, inspect, and read the contents of unsealed mail, and to examine the exterior (but not open or read the contents) of sealed mail originating outside the Northern Mariana Islands and addressed for delivery within the Northern Mariana Islands. Upon the request of Northern Mariana Islands Customs officials, postal employees in the Saipan Post Office or the Rota Post Office may ask the addressee of sealed mail that Northern Mariana Islands Customs officials reasonably suspect of containing dutiable or prohibited matter to authorize Northern Mariana Islands Customs officials to open and inspect the contents of the sealed mail, or to appear at the post office to accept delivery of the sealed mail in the presence of a Northern Mariana Islands Customs official.

**274.944 U.S. Virgin Islands**

Postal employees in the U.S. Virgin Islands may permit designated personnel of the U.S. Customs Service, without a search warrant, to examine the exterior (but not open or read the contents) of sealed mail that originated in the CTUS and is addressed for delivery in the customs district of the U.S. Virgin Islands. Upon the request of such Customs personnel, postal employees in the U.S. Virgin Islands may ask the addressee of such sealed mail (which such Customs personnel have reasonable cause to believe contains dutiable or prohibited matter) to authorize such Customs personnel to open and inspect the contents of the sealed mail, or to appear at the post office to accept delivery of the sealed mail in the presence of a Customs official.

**274.95 Excise Tax Collection in Puerto Rico and U.S. Virgin Islands Under 48 U.S.C. 741a and 48 U.S.C. 1574**

Respectively, postal employees in any post office in the Commonwealth of Puerto Rico and the U.S. Virgin Islands are authorized to permit local excise tax officials to record for tax collection purposes the names and addresses that appear on the exterior of all incoming parcels that appear to contain taxable items, except those sent by registered mail. A postal employee must be present during such recording, and no mail may be opened, detained, or delayed for this purpose.

**274.96 Mail Addressed to Prisoners**

Authorized personnel of prisons, jails, or other correctional institutions, under rules and regulations promulgated by the institution, may open, examine, and censor mail sent from or addressed to, an inmate of the institution. An inmate may designate in writing an agent outside the institution to receive his or her mail, either through an authorized address of the agent, if the mail is so addressed, or at the delivery post office serving the institution, if the mail is addressed to the inmate at the institution.

## 275 Physical ADP Security

### 275.1 General

For instructions regarding ADP physical security, see Handbook AS-805, *Information Systems Security*.

### 275.2 ADP Contingency Planning

#### 275.21 General

All contingency planning must follow the unique needs of the organization using ADP equipment.

#### 275.22 Backup Principles

Contingency planning should include reasonable consideration of the principles that follow:

- a. If warranted, provide backup power to handle limited essential processing and support, such as air conditioning and humidification.
- b. For extremely essential processing, provide equipment to monitor and adjust the voltage, current, etc., needed to maintain uninterrupted service.
- c. Determine the location of computer installations that can provide backup processing for essential jobs, and negotiate mutual backup agreements.
- d. Locate off-site storage for backup programs and data sets in a separate location beyond the immediate area of the data processing facility but near enough to be readily accessible in case of emergency. Records must be retrievable round-the-clock.
- e. Consistent with the importance of the data and the cost of reconstruction, establish and follow a periodic (daily, every other day, weekly, etc.) backup schedule for files and programs, including transfer and updates, at the off-site storage facility.

#### 275.23 Contingency Plans

All contingency plans, whether for natural disasters, man-made hazards, or work stoppages, must do the following:

- a. Define essential processing functions to be performed in the event of partial or total shutdown of operations.
- b. Contain specific individual assignments for each type of contingency.  
**Note:** Do not include bargaining unit employees in a work stoppage plan.
- c. Be distributed to all individuals named in the plan, reviewed at least every 6 months, and updated at least annually.

### 275.3 Periodic Reviews

In addition to periodic site visits by the Postal Inspection Service and/or the OIG, the management function responsible for the data processing site conducts its own review of security at least annually and maintains a written record of the results. Management reviews should be comprehensive and cover the guidelines in this section and any other current data protection guidelines.

## 276 Firearms Security

### 276.1 Issuance of Firearms

The issuance of service weapons and firearms authorizations is controlled by the chief postal inspector and inspector general and is limited to postal inspectors, special agents, and uniformed postal police officers.

### 276.2 Violations of Firearms Security

#### 276.21 Having Firearms on Postal Property

Firearms on postal property — other than those legally mailed or those carried by authorized Postal Inspection Service and Inspector General personnel; by persons specifically authorized in writing by the chief postal inspector, inspector in charge, or inspector general; or by recognized law enforcement officers — are in violation of the rules and regulations for conduct on postal property (see the *Postal Operations Manual*; Poster 7, *Rules and Regulations Governing Conduct on Postal Property*; and Poster 158, *Possession of Firearms and Other Dangerous Weapons on Postal Property Is Prohibited by Law*).

#### 276.22 Carriage of Firearms by Postal Employees

Postal employees carrying firearms while on official duty either on or off postal premises — other than those who are authorized by the chief postal inspector or by the inspector general — are in violation of the rules and regulations for the conduct of postal employees.

## 277 Identification Security

### 277.1 Purpose

Identification is issued for security control of access to postal premises and operations and to identify individuals as Postal Service employees. Every postal employee; postal contractor; and temporary employee, including casual employees, must have photo identification. Postal Service managers must ensure that no employee photo identification (i.e., photo identification) card displays any part of the employee's social security number. The Postal Inspection Service provides guidelines for all Postal Service identification programs.

## 277.2 **Types of Accredited Identification**

### 277.21 **Headquarters Only**

#### 277.211 **Top Officials**

The following types of identification are issued exclusively by the deputy chief inspector, Operations Support Group, and are restricted to use by top postal management and distinguished official nonpostal visitors:

- a. *Board of Governors* — A special white photo identification card issued to members of the Board of Governors over the signature of the chairman.
- b. *Form 128-B, Officer's Identification Card (Green Card)* — A special green photo identification card issued over the signature of the postmaster general to Postal Service officers.
- c. *Special Identification Card* — A special white identification card, with expiration date, issued over the signature of the chief inspector. This card is issued to official nonpostal visitors such as members of Congress and Senate subcommittees.

#### 277.212 **Form 2041, USPS Building Pass — Headquarters**

Form 2041 is a photo identification building pass for Headquarters employees issued and controlled by Human Resources.

#### 277.213 **Form 2041-A, Headquarters Building Pass — Tenant**

Form 2041-A, a white photo identification card, is issued to nonpostal occupant employees and tenants at Headquarters. The holder's employer's name is entered on the face of the identification card. This identification is only honored at Headquarters.

### 277.22 **Headquarters and Field**

#### 277.221 **Form 128, Travel and Admittance Identification Credential Card (Blue)**

Form 128, the blue and white photo identification card, is issued over the signature of the chief inspector or inspector in charge to executives and employees required to make frequent visits to postal field installations.

#### 277.222 **Form 1823, EEO Credential**

Form 1823, *Equal Employment Opportunity Program*, a blue identification card, is issued over the signature of the vice president of Labor Relations, district manager, or inspector in charge to designated Equal Employment Opportunity (EEO) counselors, EEO counselors/investigators, or EEO investigators.

### 277.23 **Field Only**

#### 277.231 **Form 1375, Employee Identification Card**

Form 1375, a blue identification card, is issued over the signature of the postmaster to employees at facilities where photo identification (Form 4098-F) is not in effect.

**277.232 Form 1375-P, Postmaster's Identification Card**

Form 1375-P, a green photo identification card, is issued by district managers to all postmasters. The credentials remain valid until such time as a postmaster retires, resigns, is reassigned, or requires a new credential to replace one that is lost or worn out. Districts are responsible for the following:

- a. Entering Social Security numbers in appropriate blocks.
- b. Securing photographs and signatures to the forms and completing lamination of the credentials.
- c. Issuing completed credentials to newly appointed postmasters.
- d. Entering full name, title, office, state, and ZIP+4 above the signature of the district manager.

**277.233 Form 4098-F and Employee Identification**

The responsible district manager issues Form 4098-F, *Employee Identification (face)*, or an equivalent photo identification card, to every postal employee; postal contractor; and temporary employee, including casual employees. All employees must wear and visibly display Form 4098-F or an equivalent photo identification card while officially employed and on duty (see section 277.3). All cards must include, at a minimum, the name of the employee, the facility to which they are assigned, and a photo of the employee. Each district manager is responsible for Form 4098-F or equivalent photo identification cards. Form 4098-F and equivalent photo identification cards provide visible identification of employees while on the workroom floor and serving customers outside of postal facilities. While on duty away from the facilities servicing customers, each employee must wear and display Form 4098-F or an equivalent photo identification card.

**277.234 Item O8405A, Temporary Employee Badge**

Item O8405A is used in the following ways:

- a. The control card portion is properly filled in by the issuing authority and kept in a card file at the installation. The badge portion is marked to indicate the areas to which the employee is authorized access. This is done by deleting those letters that designate areas where the employee is not authorized access. The expiration date is the next date after date of anticipated termination of the employee. On expiration, the control card and the returned badge portion are destroyed.
- b. At larger installations where regular employees are required to wear the photo identification badge (Form 4098-F), the temporary employee badge may, at the discretion of the installation head, be issued in lieu of requiring the employee to return home to obtain a forgotten badge. When a temporary employee badge is issued for this purpose, it is never validated for more than 1 day.

**277.235 Item O8405B, Visitor Access Control Badge**

The format of Item O8405B is similar to the format of Item O8405A (temporary employee badge) and it is completed, issued, and destroyed in the same manner.

**277.236 Item O8405C, Contractor Access Control Badge**

The format of Item O8405C is similar to the format of Item O8405A (temporary employee badge) and it is completed, issued, and destroyed in the same manner.

**277.237 Electromechanical Access Control Identification**

Electromechanical access control identification badges are identification badges procured locally that are needed to gain entrance to a postal facility where access is controlled by electromechanical means. These badges may have a photo identification placed adjacent to a Postal Service emblem on the front side. The reverse side has a statement of penalty for fraudulent use, and may also contain printed instructions indicating a return mailing address. An individual who is assigned this type of badge must surrender the badge on separation from the Postal Service.

**277.24 Highway Contract Route Contractor ID Cards****277.241 General**

Contractors, subcontractors, and their employees are issued accountable identification at the facility where they are employed. This identification must be worn in plain view at all times when the holder is on postal property.

**277.242 Form 5139, Nonpostal Service Temporary Employee**

Form 5139, an accountable yellow card with red lower and right borders, is issued to the above contract personnel for a period of 60 days while security screening is completed.

**277.243 Form 5140, Nonpostal Service Contractor Employee**

Form 5140, an accountable white photo identification card with red lower and right borders, is issued on completion of a favorable security screening.

**277.25 Postal Inspection Service**

The deputy chief for Operations Support Group controls the issuance of all postal inspector credentials and badges and special Postal Inspection Service credentials.

**277.26 Office of Inspector General**

The OIG controls the issuance of all OIG credentials, seals and badges. OIG credentials are issued over the signature of the inspector general.

**277.3 Displaying Identification****277.31 Proper Wearing**

All personnel assigned a Form 4098-F must wear it during official duty hours displayed on the outer garment over the left breast. When this is not practicable, Form 4098 is worn in plain view on the belt or as prescribed by the installation head. In addition, at installations where postal police officers are assigned access control functions, all employees are required to display their identification to the officer on entering the facility or grounds.



**277.32 Unauthorized Wearing**

Unauthorized possession of official identification or other insignia (Postal Service or imitations) is punishable by a fine of not more than \$250 or imprisonment of not more than 6 months, or both. Employees wearing identification other than that issued to them are subject to disciplinary action.

**277.33 Special Situations**

Postal Service identification may not be worn in nonpostal employment or activities without authorization. The postmaster may authorize the wearing of Postal Service identification for activities in which the Postal Service participates or where identification with the Postal Service is beneficial.

**277.4 Requisitioning****277.41 Items**

The temporary employee, visitor access control, and contractor access control items (Items O8405A, O8405B, and O8405C) are available from both material distribution centers (see Publication 247, *Supply and Equipment Catalog*). Requisition of these items is restricted to information support field centers and districts, which may supply the items to smaller offices as needed. Generally these items should not be supplied to small offices where sight recognition is capable of providing the necessary identification. The material distribution centers furnish them as cost items in the following units of issue:

- a. Temporary Employee Badge, packets of 50.
- b. Visitor Access Control Badge, packets of 100.
- c. Contractor Access Control Badge, packets of 50.

**277.42 Clips**

A reusable clip (Item O8404) used with the temporary employee, visitor access control, and contractor access control identification is stocked as a cost item at the South River Material Distribution Center. The clips are issued in packages of 50.

**277.5 Custody and Protection**

Protect identification or access badges by carefully controlling them. Keep supplies of unissued badges secure. Maintain a register that shows the employee's name and title, date of issuance, date of return, and the number, if any, of the identification badge issued. Access control identification badges controlled by a computer must automatically record usage. The computer must also be capable of off-loading the recorded accesses to a device for storage that allows retrieval at a later date. Mutilate and destroy access badges that cannot be reissued or are unserviceable.



**277.6 Returning Identification**

All Postal Service identification is accountable property and must be surrendered when leaving the Postal Service or when a contract is terminated. Employees who are issued identification must return such at the time of separation or transfer.

**277.7 Lost or Unreturned Identification****277.71 Precautions**

Take every precaution to prevent identification from falling into the hands of unauthorized persons. Employees must immediately report to their supervisors a lost or unserviceable identification. Report recovered identification promptly.

**277.72 Replacement Fee**

This replacement fee policy will be evaluated and adjusted accordingly. Replacement fees are as follows:

- a. *Identification or photo identification cards.* When identification or photo identification cards are lost or not returned at separation, local installations should charge a fee of an amount equal to the cost incurred by the Postal Service for their replacement, not to exceed \$5.
- b. *Electromechanical access control badges.* When electromechanical access control badges are lost or not returned at separation, local installations should charge a fee of an amount equal to the cost incurred by the Postal Service for their replacement, not to exceed \$10.
- c. *Electromechanical access control badges that serve as photo identification cards or badges.* When electromechanical access control badges that also serve as photo identification cards or badges are lost or not returned at separation, local installations should charge a fee of an amount equal to the cost incurred by the Postal Service for their replacement, not to exceed \$15.

**278 Mail Security During Collection and Delivery**

The use of appropriate equipment and procedures helps to protect the mail from theft. The Postal Inspection Service provides security guidelines to protect the mail from theft during the collection and delivery of mail.

**278.1 Use of Locks and Keys****278.11 Arrow Locks**

The Postal Service uses Arrow™ locks to secure collection and relay boxes, apartment panels, outdoor parcel lockers, cluster box units (CBU), and neighborhood delivery and collection box units (NDCBU). To order Arrow locks, submit PS Form 4983, *Postal Key and Lock Requisition*, to the Mail Equipment Shop (MES). The MES works with the Inspection Service to ensure that all requests to deploy lock combinations (also referred to as lock series) are based on a need to minimize the risk of mail theft.

**278.12 Modified Arrow Locks**

Modified Arrow locks (MALs) with high security cylinders are available. These locks are for use in areas that sustain or are subject to high incidents of mail attacks or losses. MALs are designed to deter counterfeiting of keys.

To obtain approval to order and deploy these locks, you must make a special request to the Inspection Service, Security Group, and Headquarters Delivery Support. Due to the significant cost of deploying these locks, in your request, you must explain the reason(s) for requesting MALs. The Inspection Service and Delivery Support require postmasters (or their designees) to submit a deployment plan that must address:

- a. Possible use of multiple lock series for each ZIP Code.
- b. Use of three-point locking bars for collection boxes.
- c. A system for key accountability for modified Arrow locks keys. (Note: Regular Arrow locks, MALs, and the keys for those locks are items for which you will be held accountable.)
- d. A system to ensure that MALs on collection boxes and delivery boxes (e.g., CBUs, NDCBUs, outdoor parcel lockers, and apartment panels) are on different lock series in each five-digit ZIP Code. (Note: The Inspection Service limits the number of collection boxes, CBUs, NDCBUs, outdoor parcel lockers, and apartment panels that may be assigned to a MAL series.)

**278.2 Request for Waiver of Requirements in This Part**

A request to waive any requirement in this part must include the reason(s) for the request. The Security Group and Headquarters Delivery Support review each request and have authority to approve or deny the request. To request a waiver, submit your request to the Inspection Service, Security Group, at:

INSPECTION SERVICE SECURITY GROUP  
US POSTAL SERVICE  
475 L'ENFANT PLZ (WEST) SW  
WASHINGTON DC 20260-2186

## 28 Emergency Preparedness

**281 Contingency Planning**

Each federal department and agency, including the Postal Service, is responsible for the development of plans for actions necessary to maintain itself as a viable part of the federal government during any emergency that might occur. Preparedness planning within the Postal Service ranges from domestic emergencies, such as conditions resulting from natural or human-caused disasters, to international emergencies, including nuclear war. These conditions may affect a single postal facility or have a widespread effect on the entire Postal Service.

## 282 **Authorities**

The Postal Service derives authority for participating in emergency preparedness programs primarily from the following:

- a. Title 39 U.S.C.
- b. Executive Order 12656, dated November 18, 1988, which combines the assigned emergency functions of all federal agencies into one document. Parts 1, 2, and 26 of the executive order pertain to the Postal Service.

## 283 **Preparedness Planning Objectives**

The primary objective of postal emergency preparedness planning is to maintain or restore essential postal service in a national emergency, natural disaster, or disruptive domestic crisis. Details of Postal Service preparedness plans can be found in the following documents:

- a. Publication 159 series on contingency planning (A through D).
- b. ASM 28.
- c. *United States Postal Service Emergency Planning Manual* (EPM).
- d. ELM 519.22 and 519.23.

## 284 **Planning Responsibilities**

### 284.1 **Postal Service Emergency Coordinator**

The chief inspector is the emergency coordinator for the Postal Service. The emergency coordinator receives authority directly from the postmaster general and is responsible for coordinating emergency planning and civil preparedness programs applicable to all elements of the Postal Service.

### 284.2 **Vice President, Area Operations**

Vice presidents of Area Operations are responsible for developing, directing, and operating all emergency mail service and related activities in their respective areas and districts under guidelines issued by Headquarters. The vice president of Area Operations may designate a staff member as the area emergency coordinator to directly supervise the overall emergency preparedness planning activities under the manager's jurisdiction. The emergency coordinator works closely with district managers and the inspectors in charge in the development of integrated plans to provide emergency mail service and related activities for the area during emergency situations.

### 284.3 **Emergency Coordinating Committees**

#### 284.31 **Headquarters**

An emergency coordinating committee is established at Headquarters and consists of primary and alternate members from each operating element (see Headquarters Circular 80-10, *USPS Emergency Coordinator; Civil Defense*

*Coordinator; and Headquarters Emergency Coordinating Committee*). The Headquarters committee assists the Postal Service emergency coordinator or others, as appropriate, to develop and implement emergency preparedness plans for Postal Service Headquarters and to prepare guidelines for use by the inspector in charge and vice president of Area Operations to develop emergency preparedness plans. The Postal Service emergency coordinator or designated alternate chairs this committee.

#### 284.32 **Area Office**

An emergency coordinating committee is established in each area office (see Management Instruction AS-280-89-6, *Coordinator of Regional Emergency Preparedness Planning*). The area office emergency coordinating committee assists the inspectors in charge and district managers, as appropriate, in developing and implementing emergency preparedness plans consistent with guidelines issued by Headquarters.

#### 284.4 **Postmasters**

Postmasters do the following:

- a. Carry out emergency preparedness assignments, programs, etc., as directed by the vice president of Area Operations.
- b. Comply with and cooperate in community civil preparedness plans (including exercises) for evacuation, "take cover," and other survival measures prescribed for local populations.
- c. Designate representatives for continuing liaison with local civil preparedness organizations, if such activity does not interfere with normal duties.
- d. Volunteer to serve (at their own option) as members on the staff of the local state emergency management office, if such service does not interfere with their primary postal responsibility in an emergency.
- e. Authorize and encourage their employees to participate voluntarily in nonpostal pre-emergency training programs and exercises in cooperation with states and localities.

### 285 **Contingency Plans**

#### 285.1 **Domestic Emergencies**

#### 285.11 **Examples**

Examples of domestic emergencies are:

- a. Natural disasters.
- b. Strikes and work stoppages by postal employees.
- c. Strikes by nonpostal labor organizations.
- d. Civil disturbances.
- e. Bombs and bomb threats.

- f. Fires.
- g. Accidents involving mail-carrying planes, trains, or highway contract vehicles.

#### 285.12 **Guidelines**

Contingency planning guidelines for maintaining continuity in the Postal Service during domestic emergencies are contained primarily in parts A, B, C, and D of the Publication 159 series on contingency planning. Also see the ELM and the *United States Postal Service Emergency Planning Manual*.

#### 285.13 **Developing Plans**

##### 285.131 **Contingencies**

Each management level throughout the Postal Service develops contingency plans under the Publication 159 series to provide emergency postal services.

##### 285.132 **Advance Information**

The plans must include procedures for providing as much information as possible on potential or actual emergency situations and their possible adverse impact on postal operations. This provision of information includes disseminating advance warnings, suggesting precautionary protective measures, and ensuring that all emergency equipment on hand is in working condition, and that its operation is understood by all personnel concerned.

#### 285.2 **International Emergencies**

##### 285.21 **Definition**

*International emergencies* are conditions resulting from worsening international relations, wartime mobilization activities, or an attack on the United States, including a nuclear attack.

##### 285.22 **Guidelines**

Guidelines for preparing and maintaining plans to ensure continuity of postal operations during international emergencies are in the *United States Postal Service Emergency Planning Manual* (EPM), the basic planning document for the entire Postal Service. It provides the emergency standby guidelines and specifies essential post attack functions of the Postal Service, with instructions and procedures. Also see the *Employee and Labor Relations Manual* (ELM).

##### 285.23 **Developing Plans**

Each Postal Service management level develops and maintains an emergency preparedness plan following its vice president's guidelines and developed from instructions in the EPM.

#### 285.3 **ADP Contingency Plans**

For information about ADP contingency planning, see Handbook AS-805, *Information Systems Security*.

## 286 **Emergency Lines of Succession**

### 286.1 **Postmaster General**

In case the postmaster general is incapacitated from an enemy attack or other national emergency, the following is the line of succession to perform the duties of the postmaster general (see section 112.11):

- a. Deputy postmaster general.
- b. Chief operating officer and executive vice president.
- c. Vice president, area operations, eastern area.

### 286.2 **Headquarters and Field**

Each corporate Headquarters unit and Headquarters field unit establishes its own internal line of succession to provide for continuity under emergency conditions. Vice presidents, district managers, plant managers, inspectors in charge, and postmasters or officers in charge of other field installations, as specified in the EPM, prepare a succession list of officials who are to act in their stead if they are incapacitated or absent in an emergency. Show orders of succession by position titles.

## Audits and Investigations

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# 3 Communications

## 31 Policies and Procedures

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### 311 Definition

Policy and procedure information is used by postal employees to perform their jobs and by the public to do business with the Postal Service. Such information:

- a. Contains policy statements, regulations, guidelines, procedures, and similar material issued by Headquarters.
- b. Is systematically managed by Corporate Information Services to ensure that it is current, accurate, and accessible as appropriate on paper, the Internet, Postal Service Intranet, local area networks, and CD-ROMs.
- c. Is published through the established Postal Service document architecture to enable systematic management.

### 312 Types

#### 312.1 Corporate

Policy and procedure information meant for national or corporate-wide implementation is issued by Headquarters organizational units and published through Corporate Information Services using the standard types of documents listed in [Exhibit 312](#). In emergency situations, mail, electronic mail, or fax may be used to distribute policies and procedures, but the responsible organization must incorporate them into a managed document as soon as possible for appropriate management purposes. In the interim, they should be posted on the Intranet Policies and Procedures home page as Memorandums of Policy.



## Exhibit 312

**Standard Headquarters Policy and Procedure Document Types**

<b>Type of Document</b>	<b>Description</b>	<b>Distribution and Access</b>
<b>Manuals</b>	Contain the basic policy information for the Postal Service.	Distributed as needed. Stocked in material distribution centers (MDCs). Posted on Postal Intranet.
DMM <i>Domestic Mail Manual</i>	Regulations and information about domestic mail services.	Available to public from Government Printing Office.*
IMM <i>International Mail Manual</i>	Regulations and information about international mail services.	Available to public from Government Printing Office.*
POM <i>Postal Operations Manual</i>	Policies for operation of post offices and for mail processing, transportation, and delivery.	Stocked for public in the MDCs.
ASM <i>Administrative Support Manual</i>	Policies for Postal Service administrative and support functions.	Stocked for public in the MDCs.
ELM <i>Employee and Labor Relations Manual</i>	Personnel policies and regulations governing Postal Service employment.	Stocked for public in the MDCs.
FMM <i>Financial Management Manual</i>	Overview of Postal Service financial policies, including accounting, budgeting, planning, and controlling assets.	Suspended.
PM <i>Purchasing Manual</i>	Purchasing and procurement regulations and policies.	Available to public from Government Printing Office.
<b>Handbooks</b>	Operating procedures, including related policies and instructions.	Distributed as needed. Most stocked in MDCs. Posted on Postal Intranet.
<b>Publications</b>	Appear in a variety of formats such as books, brochures, reports, etc. Generally, do not focus on policy as extensively as manuals; nor on task descriptions as extensively as handbooks. Often contain material intended primarily for the public, such as mailing guidelines or marketing information.	Distributed as needed. Most stocked in MDCs. Posted on Postal Intranet.
<b>Management Instructions</b>	Short, permanent instructions and policies for specific employee groups. Contain material too specialized, technical, volatile, or otherwise unsuitable for manuals or handbooks.	Distributed as needed. Most stocked in MDCs. Posted on Postal Intranet.
<b>Memorandums of Policy</b>	Memos for quickly distributing, to a target audience, policy information that may later appear in a more permanent form. Can be written with the use of an electronically stored template.	Distributed as needed. Not stocked. Posted on Postal Intranet.
<b>Posters</b>	Often (though not always) contain policy information that for any reason requires public display.	Distributed as needed. Most stocked in MDCs. Some posted on Postal Intranet.
<b>Labels, Signs, Tags, and Kits</b>	Brief instructions, information, identification, promotional material, safety and energy messages.	Most stocked in material distribution centers.
<b>Postal Bulletin</b>	Published biweekly. Used for temporary and emergency instructions and fast issuance of policies and permanent instructions before printing in permanent documents.	Distributed to all postal installations. Stocked in the MDCs for one year. Posted on Postal Intranet.

\* SUPERINTENDENT OF DOCUMENTS  
 PO BOX 371954  
 PITTSBURGH PA 15250-7954  
 Telephone: (202) 512-1800  
 Fax: (202) 512-2250

**312.2 Local****312.21 Areas****312.211 Operational Instructions**

Following the guidelines in 315, vice presidents of Area Operations may establish a standard document system for publishing policies and procedures to provide guidance to offices and other postal installations within an area's geographical boundaries. Such documents normally contain operating instructions and may supplement policies and procedures issued by Headquarters.

**312.212 Internal Instructions**

Vice presidents of Area Operations may establish a standard document system of local policies and procedures information for use at their respective area offices to disseminate information to the area office staff on operating procedures, office services, and other subjects of concern to the immediate organization.

**312.22 Other Installations**

Other field installations besides the areas may issue their own policy and procedure information to subordinates, following the instructions in 314.2 and 315.

**313 Responsibilities****313.1 Headquarters****313.11 Corporate Publishing and Information Management**

Corporate Publishing and Information Management (CPIM), Corporate Information Services, Information Systems, manages the national policies and procedures system.

**313.12 Originating Organizational Units**

Originating organizational units ensure that their policies and procedures are current, complete, and adequately cleared with affected organizational units following procedures outlined in MI AS-310-96-3, *Management of Policy and Procedure Information — Paper and On-Line*.

**313.13 Affected Organizational Units****313.131 Labor Relations**

The vice president of Labor Relations clears information that contains any of the following:

- a. Material that causes the implementation of any changes involving technology or mechanization.
- b. Material that directly relates to wages, hours, and other terms and conditions of employment.

**313.132 Other Affected Organizational Units**

Officers of other affected functional organizations, including General Counsel and Corporate Relations, clear policies and procedures touching on issues that could have costly, embarrassing, or otherwise hazardous consequences to the Postal Service (see MI AS-310-96-3).

**313.2 Field****313.21 Areas**

Vice presidents of Area Operations ensure that their policies and procedures are current, complete, and available to those who need them. Such information is dated, organized by subject matter so that it can be filed behind or parallel to similar information from Headquarters, and obsoleted when no longer appropriate. A historical file is maintained so it will be possible (e.g., for legal reasons) to determine which instructions were in effect at any given time. Area policies and procedures must comply with Postal Service policy, including any appropriate collective bargaining agreement.

**313.22 Other Installations**

Installation managers ensure that Headquarters and area policies and procedures are current, complete, and available.

**314 Coordination****314.1 Headquarters Policies and Procedures**

Headquarters policies and procedures are coordinated and approved under 313.12 and MI AS-310-96-3, *Management of Policy and Procedure Information — Paper and On-Line*.

**314.2 Field Policies and Procedures****314.21 Areas**

Before issuance, area policies and procedures are coordinated through the vice president of Area Operations with the various area functional areas that have a substantive interest in the subject matter or whose programs or responsibilities are affected. If such information deals with any of the following subjects, it is coordinated with and documented by the appropriate functional areas at Headquarters:

- a. Wages, hours, and working conditions of bargaining unit personnel.
- b. Work methods, work standards, activity analysis, scheduling and staffing, performance objectives, and industrial engineering techniques.
- c. National program directive issued by Headquarters (particularly if it expands significantly on a Headquarters program directive).
- d. Any significant field initiatives not related to an approved national program.

**314.22 Other Installations**

Before issuance, field installation policies and procedures are coordinated with the appropriate functional areas at the installation; if they deal with any of the subjects listed in 314.21, they are also coordinated with the appropriate functional areas of the organizational level to which the installation head reports. That level of organization is responsible for initiating any further coordination.

**315 Prohibitions**

The following prohibitions must be observed:

- a. Do not issue instructions that conflict with any current directives.
- b. Do not repeat instructions that have already been disseminated to the action points by Headquarters or a higher level of field organization. This repetition is wasteful and can be confusing.
- c. Do not issue instructions to subordinate organizational levels “clarifying,” supplementing (except as authorized in MI AS-310-78-3), or rewording policies or procedures from a higher level organization unless the instructions specifically direct or authorize this action. Unauthorized rewording or interpretation can distort the intention of policy and instructions. If a policy or instruction is unclear or inadequate, go back through channels and ask the originator to issue clarifying or supplemental instructions.

**316 Action**

Field managers act directly in response to policies and procedures received from Headquarters and addressed to their level of management. They do not wait for an implementing order from intermediate levels of management.

**317 Ordering Policy and Procedure Documents**

Check Publication 223, *Directives and Forms Catalog*, for lists and sources of documents and for ordering instructions. The *Postal Bulletin* periodically updates the list of current documents issued by Headquarters and stocked in the material distribution centers.

**318 Public Accessibility and Sale****318.1 Availability for Review**

The following documents contain regulations directly affecting the public and are made available to the public for review on request:

- a. *Administrative Support Manual.*
- b. *Domestic Mail Manual.*
- c. *International Mail Manual.*
- d. *Postal Bulletin.*
- e. *Purchasing Manual.*

**318.2 Public Sale**

Most Headquarters policy and procedure documents are available for public sale through either the MDCs or the Superintendent of Documents. Members of the public can obtain information about availability and price by calling 1-800-332-0317. Those documents available only through the Superintendent of Documents can be obtained by contacting the following:

SUPERINTENDENT OF DOCUMENTS  
PO BOX 371954  
PITTSBURGH PA 15250-7954

Telephone: 202-512-1800

Fax: 202-512-2250

**318.3 Free Publications**

The public may obtain certain policy and procedure documents free at local post offices. Postmasters keep supplies of these directives on hand. The list of documents free to the public is in Publication 223. These publications are stocked at the South River and Topeka material distribution centers and may be ordered on Form 7380, *MDC Supply Requisition*.

## 32 Forms Management

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**321 Policy**

A form captures, transmits, and stores data used to support postal business processes. Certain completed forms become official postal records and have legal or contractual implications. Forms must be retained as described in subchapter 35.

Corporate-wide postal forms are managed in order to:

- a. Ensure the ability to track and control official versions of corporate forms.
- b. Eliminate unnecessary forms by simplifying, consolidating, and standardizing existing forms.
- c. Standardize data elements for ease in collecting, processing, and retrieving data.
- d. Reduce and simplify paperwork by developing forms that are user-friendly and economical.

## 322 **Classes of Forms**

### 322.1 **Postal Forms**

#### 322.11 **Postal Service (PS) Forms**

PS forms are forms prescribed and approved by Headquarters functional organizations. These forms are used by one or more elements of the postal organization on a national or Headquarters basis. Publication 223, *Directives and Forms Catalog*, lists PS forms and their supply source.

#### 322.12 **Temporary (X) Forms**

The letter X following a form number indicates that the form is experimental, temporary, or for one-time use. If an X form is revised or reprinted (indicating continuing use), the X designation is dropped.

#### 322.13 **Local Forms**

Local forms are designed by field units for local Postal Service use only. Local forms are neither listed in Publication 223 nor stocked in the material distribution centers.

### 322.2 **Other Government Forms**

#### 322.21 **General**

The Postal Service uses some forms prescribed by other government agencies. These forms are listed in Publication 223.

#### 322.22 **Standard Forms (SF)**

Standard forms are prescribed and printed by a federal government agency and approved by the General Services Administration or prescribed by the General Accounting Office for use by other agencies.

#### 322.23 **Optional Forms (OF)**

Optional forms are approved and prescribed by the General Services Administration for the optional use of two or more government agencies.

#### 322.24 **Other Agency Forms**

Other agency forms are approved and prescribed by other government agencies and used by the Postal Service in matters relating to those specific agencies. The form number usually includes a special designator, for example, SSA (Social Security Administration) Form 35.

### 322.3 **Exception**

Form letters are considered a duplicating method of producing correspondence and are excluded from the forms classification.

## 323 Responsibilities

### 323.1 Headquarters Functional Units

Headquarters functional units are responsible for defining forms requirements based on business needs and processes. Headquarters functional units are also responsible for coordinating and obtaining approval as necessary with other functional units.

### 323.2 Forms Management

The Forms Management group manages the corporate forms process. This includes:

- a. Establishing standards, processes and procedures for the submission, review, approval, and identification of corporate (PS) forms.
- b. Ensuring form version-control by maintaining forms metadata.
- c. Ensuring form integrity by maintaining a digital archive.
- d. Evaluating the need for a form.
- e. Analyzing and designing the form.
- f. Coordinating form use and disposition.
- g. Developing and managing corporate automated forms.

### 323.3 Field Management

Field managers must:

- a. Follow all policies and guidelines in corporate directives (such as *Postal Bulletin* articles, management instructions, and handbooks) when completing or processing a form.
- b. Ensure that the correct forms are used to support business processes.
- c. Ensure that completed forms are retained as described in subchapter 35.
- d. Ensure that local forms do not interfere or conflict with nationally approved forms.

### 323.4 Material Management

Material Management is responsible for managing stocks of postal forms.

## 324 Development, Coordination, and Clearance

### 324.1 Development

Headquarters organizational units approve the requirements for new or revised forms within their functional areas. Forms Management analyzes and designs the form and assigns an identifying number.

## 324.2 Coordination and Clearance

The originating office obtains the necessary clearances from other affected organizational units before a new or revised form is approved. Required clearances include:

Type of Form	Required Clearance
Forms that affect wages, hours, and other terms and conditions of employment, or that concern any work and/or time standards or studies relating to any bargaining unit employees.	<p>PS Through the vice president of Labor Relations using the clearance option 3 memo (see MI AS-310-96-3, <i>Management of Policy and Procedure Information — Paper and On-Line</i>).</p> <p>Local Through the appropriate area Human Resources manager.</p>
PS and local forms that: <ol style="list-style-type: none"> <li>Collect information about individuals (such as name or Social Security number) directly from those individuals.</li> <li>Are completed by a member of the public.</li> </ol>	Through the manager, Records Office, using the clearance option 3 memo (see MI AS-310-96-3) for Privacy Act considerations (for details see Handbook AS-353, <i>Guide to Privacy and the Freedom of Information Act</i> ).
PS forms that are stocked in the material distribution centers.	Through Inventory Management, Purchasing and Materials, Headquarters, on Form 189, <i>Stocking Plan for Directives and Forms</i> .

## 325 Restrictions

### 325.1 Overprinting

Do not overprint slogans, publicity information, trademarks, service marks, or personal identification (e.g., local postmaster's name) on PS forms without Forms Management approval. Overprinting of common fill-in information on forms (such as facility name, address, and telephone number) by tickometer, addressograph, computer, or other duplicating equipment may be approved by the vice presidents of Area Operations or the managers of Computer Operations Service Centers, Information Systems.

### 325.2 Modifying PS Forms

Clear any modifications or revisions to PS forms with Forms Management.

## 326 Ordering Forms

See Publication 223 for ordering information and supply sources.



### 327 **Retaining Completed Forms**

Certain completed forms become official Postal Service records having legal and contractual implications. The creation, maintenance, disposal, disclosure, and protection of Postal Service records are governed by subchapter 35.

ASM [Exhibit 351.11](#) lists the most widely held Postal Service records and their retention periods. Because record retention periods vary, it is not feasible to print retention periods on forms. ASM 35 describes the conditions that can alter record retention periods.

### 328 **Suggestions About Forms**

Submit suggestions that affect policy through the Ideas Program. The Ideas Program does not cover minor changes to forms. Examples of minor changes include rearranging or redefining data elements so that they are clearer to the user; altering the format, such as by changing the size; or simply moving or removing a line to make completion or filing easier. Therefore, submit such suggestions as follows:

- a. Identify the originator of the form. Publication 223 identifies the vice president of the originating organization and provides the ZIP+4 address for the office.
- b. Send recommended changes to the originating organization.
- c. If the change is accepted, the originator makes a request to Forms Management to revise the form.
- d. If you cannot determine the originator of a form, send your recommendation to Forms Management. Forms Management then forwards the recommendation to the originating office for consideration.

## 33 **Communications With the Public**

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### 331 **General**

#### 331.1 **Policy**

The Postal Service is responsible for providing information about the postal system to the public.

#### 331.2 **Responsibility**

##### 331.21 **Headquarters**

The vice president of Corporate Relations is responsible for the Postal Service's public communications policies, programs, and functions. The vice president of Corporate Relations ensures that the staff:

- a. Responds to news media inquiries and provides information about the Postal Service to the public.

- b. Plans, approves, and manages the public affairs effort for the Postal Service.
- c. Advises the postmaster general and officers on actions necessary to keep the public well informed on postal policies and programs.

#### 331.22 **Field Offices**

The Corporate Relations Center managers are responsible for the functional guidance to support national, area, district, plant, and local communications policies and programs. These managers report directly to Corporate Relations at Headquarters. The managers advise the performance clusters, including vice presidents of Area Operations, district managers, plant managers, and postmasters of actions necessary to support postal communications policies and programs by doing the following:

- a. Advising the performance clusters and other field managers of actions necessary to support the postal communications policies and programs.
- b. Ensuring that performance clusters and other field managers support Postal Service public communications.

#### 331.23 **Spokespersons**

Vice presidents of Area Operations, district managers, plant managers, and postmasters are the principal local spokespersons for the Postal Service on all matters of interest to customers and the community. Corporate Relations, through the Corporate Relations Center managers, provides functional communications guidance in the field.

### 332 **Public/Media Relations**

#### 332.1 **Policy**

To provide full and accurate information about the postal system to the public, Corporate Relations initiates and maintains a relationship with the news media.

#### 332.2 **Responsibility**

The Media Relations unit of Corporate Relations is responsible for developing policy and guidance to spokespersons to build relationships with the news media. Media Relations issues announcements and news releases, conducts news conferences, and responds to media inquiries. Information is released consistent with policy in Handbook AS-353.

#### 332.3 **Procedures**

#### 332.31 **Media Inquiries**

All national level inquiries from the news media must be referred to the Media Relations unit of Corporate Relations. When this is not feasible, Media Relations must be informed as soon as possible after the media contact and advised of the response provided. When requested by Corporate Relations, other organizational units must promptly provide information to Corporate Relations to ensure timely responses to the media.

**332.32 Advance Copies**

Advance copies of proposed media announcements and of all material intended to be printed for distribution to the public or for public display must be provided to Corporate Relations for review and approval.

**332.4 Field Managers****332.41 Local Media Relations**

Vice presidents of Area Operations, district managers, postmasters, and other facility managers are responsible for local media relations in their jurisdictions. Postal field managers must contact the Corporate Relations Center manager for guidance in conducting media relations.

**332.42 Exception**

Field units reporting directly to Headquarters or under the functional direction of Headquarters must follow the procedures in 332.3, through the manager of Employee and Field Communications, Corporate Relations, at Headquarters.

**333 Community Relations****333.1 Policy**

As a nationwide service agency of the federal government, the Postal Service must maintain good relations with the communities it serves and seek community understanding and support of postal actions and programs.

**333.2 Responsibility**

The Community Relations unit in Corporate Relations develops policy and provides guidance to field managers with regard to community relations activities in their localities, as well as activities designed to gain community support for postal actions with special local impact.

**333.3 Procedures**

When Postal Service actions have special community impact, Headquarters organizations with responsibility for the action must give advance notice to Corporate Relations. Corporate Relations makes timely announcements of the actions to the public and ensures that necessary local community relations activities are undertaken. Examples of actions that affect communities and require advance notice to Corporate Relations include the following:

- a. Local service changes.
- b. New construction (see 518.2).
- c. Environmental improvements.
- d. Mail processing or mechanization changes.
- e. Publicity for market tests.

**333.4 Field Managers**

Vice presidents of Area Operations, district managers, plant managers, postmasters, and other facility managers are responsible for community relations within their jurisdictions. Postal field managers must call on the Corporate Relations Center manager, or the manager of Community Relations, at Headquarters, for assistance in conducting these programs.

**333.5 Open Houses, Tours, and Postmaster Installations****333.51 Objectives**

Holding an open house or giving a special tour allows the Postal Service to show interested customers (as well as postal employees and their families) modern facilities, new mail processing equipment, and efficient postal operations. Postmaster installations, similarly, provide the opportunity to introduce the new postmaster to the community and to employees. They also create opportunities for open houses and tours.

**333.52 Implementation**

The installation head, postmaster, or manager of a postal facility appoints a committee to plan each open house, special tour, or similar event. Membership includes local representatives from the functional areas of safety, facilities, human resources, customer service and sales; union and management organizations; and the Postal Inspection Service. The installation head, who serves as chairperson, may appoint additional committee members if appropriate. To implement an open house or special tour, the committee and installation head do the following:

- a. The committee prepares a plan.
- b. The installation head notifies appropriate upper level management of the intent to hold an open house or give a special tour.
- c. The installation head also notifies the Postal Inspection Service in writing about any open house or special tour that is not routine. (Routine tours, such as those for school groups, do not require this notification.)
- d. The installation head ensures that the open house or special tour is conducted in a manner consistent with nonpartisan requirements of the Postal Reorganization Act.
- e. The installation head contacts the manager of the area corporate relations center to seek advice and appropriate assistance in planning publicity activities.
- f. The committee coordinates through appropriate channels any requests for area office or Headquarters participation.

**333.53 Expenditures**

Holding an open house, giving a special tour, or installing a postmaster can entail expenditures for providing refreshments, producing signs, printing brochures, developing program elements, and paying employees for acting as guides. In some cases, guest speakers or dignitaries, including postal

officials, may be included. Discretion and judgment should be used to ensure that the expenditures for these types of activities are reasonable. *Any time spent by a nonexempt employee in planning, hosting, or conducting an open house or special tour must be considered time worked for pay purposes.* Expenditures for such events are entered into existing and appropriate budget categories. These expenditures should be included in the annual budget for a facility. Installation heads who are planning active tour programs for schools and business groups should prepare their budgets accordingly.

### 333.6 **Endorsement of Nonpostal Products, Services, or Businesses**

#### 333.61 **Background**

Postal employees are sometimes asked by private sector companies that have or are seeking a business relationship with the Postal Service to make favorable comments or other statements, appear in videos, participate in press releases, or speak at conferences about the products or services of the company. While the Postal Service, as an organization, may choose to, and does, recognize businesses or products it has found particularly worthy of such recognition, certain restrictions apply to individual postal employees making comments or expressing opinions that may be considered or interpreted as endorsements.

Seemingly harmless and even factual remarks made by postal employees can lead to problems because any comment, whether a statement of fact or an opinion, is open to interpretation and misuse by outside businesses or the public. Such comments, when made by postal employees, may appear to be Postal Service endorsements depending on the context in which they are used. Neither postal employees nor the Postal Service has any control over a company's editing process.

#### 333.62 **Definitions**

- a. An *endorsement* occurs when a postal employee, without prior authorization, provides favorable comments (e.g., in writing, on video, in a press release, in a sales presentation, or as a conference speaker) about the services or products of a company with whom he or she has had business interaction.
- b. An *authorized employee*:
  - (1) In the case of a request for a written or verbal statement or personal appearance from a supplier, is the employee designated by the contracting officer and/or the contracting officer's representative; and
  - (2) In the case of such a request from a customer, is the employee designated by the appropriate executive manager, National Accounts, or the appropriate associate vice president, Sales, to make or issue any statement or comment, personally, or in writing.

In either case, the statement or comment must be reviewed and approved by a Law Department ethics official, at headquarters or in the

field, and the manager, Communications and Brand Equity, Public Affairs and Communications, or their designees, as provided in section 333.6.

### 333.63 Policy

#### 333.631 Employee Restrictions

Under the Standards of Ethical Conduct for Employees of the Executive Branch, a postal employee may not use, or permit the use of, his or her postal position, title, or any authority associated with his or her position, to endorse nonpostal products, services, or enterprises. (See 5 CFR 2635.702(c)). However, with prior approval, there are limited circumstances under which an *authorized employee* may provide a statement (in writing, through press release, as a speaker, or on video) about the services or products of a private sector company or a customer.

An *authorized employee* may provide a statement based upon:

- a. Documentation that the product, service, or enterprise complied with postal requirements or standards. For example, after having been tested, a manufacturing company's sortation equipment has met or exceeded postal requirements or standards. In that case, the Postal Service employee authorized to report test results to the public can declare that "the machine has been tested and fully complies with all Postal Service requirements," and the company can be authorized to include the quote in its brochure; or
- b. Previous official recognition that has been given to the product, service, or business, under an official postal program, such as the Quality Supplier Award Program, or the Postal Qualified Wholesaler Program, that recognizes accomplishments in support of the Postal Service mission. For example, a regional bank has been named by the Postal Service as "best small business partner of the year." The bank may use a quote from an authorized employee declaring that specific recognition.

**Note:** No postal employee is permitted to make any favorable comment or other statement, issue press releases, participate in press conferences, give interviews, appear in videos, allow the use of the corporate signature or trademarks, or speak at conferences about the products or services of any private sector company or postal customer without prior authorization as described herein. Prior authorization may be given only under the circumstances described in 333.631a and b.

#### 333.632 Purchasing Contract Language

*Purchasing Manual* clause B-25, Advertising of Contract Awards, is included in all non-commercial contracts (see *Purchasing Manual* B.2.1). This clause:

- a. Limits the use of employee statements about or postal recognition of products or services in commercial advertising; and

- b. Requires the approval of the contracting officer of any use of such statements or postal recognition by postal suppliers.

**Note:** Clause B-25 also requires that suppliers, in their commercial advertising, not refer to the fact that they were awarded a postal contract or imply in any way that the Postal Service endorses their products unless approved by the contracting officer in accordance with the process described herein.

### 333.64 Responsibilities

#### 333.641 Employee

It is the responsibility of any postal employee receiving a request to make a statement about a private sector company's products or services to:

- a. Understand the limitations placed on making statements about a company's products or services; and
- b. Refer any requests for such statements about the products or services to his or her immediate postal manager.

#### 333.642 Manager

It is the responsibility of the manager to:

- a. Ensure that all employees understand postal policy and procedures on endorsements.
- b. Get a clear understanding from the supplier or customer about how he or she intends to use any statements made by postal employees.
- c. In the case of a supplier:
  - (1) Inform the supplier that no comment or statement can be used in any form of commercial advertisement without the express final approval of the contracting officer; and
  - (2) Notify the contracting officer of the request and the supplier's intended use of the statement, before any such statement is made.
- d. In the case of a customer:
  - (1) Inform the customer that no comment or statement can be used in any form of commercial advertisement without the express final approval of the appropriate associate vice president, Sales, or the appropriate executive manager, National Accounts; and
  - (2) Notify the appropriate executive manager, National Accounts, or the appropriate associate vice president, Sales, of the request and the intended use of the statement, before any such statement is made.

#### 333.643 Postal Contracting Officer and Representative

It is the responsibility of the postal contracting officer and the contracting officer's representative to ensure that applicable standard language on endorsements is included in all contracts, in accordance with section

333.632, and to do the following when a request for endorsement or statement about the products or services is received:

- a. Understand how the supplier intends to use the statement.
- b. Obtain necessary approval from:
  - (1) A Law Department ethics official at headquarters or a field law office; and
  - (2) A representative of Communications and Brand Equity in the Public Affairs and Communications organization at headquarters.
- c. Ensure that any statement made about the products or services received is accompanied by appropriate disclaimer language.
- d. Designate the employee who will be permitted to make any statement approved under b above.
- e. Provide final approval for the supplier's use of each statement after completing each of the above items.

**333.644 Associate Vice President, Sales, and Executive Manager, National Accounts**

It is the responsibility of the associate vice president, Sales, and executive manager, National Accounts, to:

- a. Understand how the customer intends to use the statement.
- b. Obtain necessary approval from:
  - (1) A Law Department ethics official at headquarters or a field law office; and
  - (2) A representative of Communications and Brand Equity in the Public Affairs and Communications organization at headquarters.
- c. Ensure that any statement made about the products, services, or business is accompanied by appropriate disclaimer language.
- d. Designate the employee who will be permitted to make any statement approved under b above.
- e. Provide final approval for the customer's use of each statement after completing each of the above items.

**333.645 Law Department Ethics Officials**

A Law Department ethics official at headquarters or a field law office will review and approve or disapprove the making of all statements about products, services, or businesses under the Standards of Ethical Conduct for Employees of the Executive Branch.

**333.646 Public Affairs and Communications, Communications and Brand Equity**

Public Affairs and Communications, Communications and Brand Equity, will review and approve or disapprove the use of all statements by postal customers and suppliers.

**333.647 Public Affairs and Communications, Licensing**

Public Affairs and Communications, Licensing, will ensure that merchandise bearing Postal Service trademarks, symbols, images, and icons are of high quality and present our brand in a way that is consistent with the Postal Service's image. Licensing approves or disapproves permission for others to



produce officially licensed Postal Service merchandise and they determine who is allowed to manufacture products bearing Postal Service trademarks and where these products can be sold. For more information on the licensing policies and the licensing program see ASM subchapter 66.

### 333.7 **Participation in Community Service Activities**

#### 333.71 **General**

##### 333.711 **Purpose**

This policy is designed to assist the Postal Service and its employees in contributing to the health and well-being of the communities it serves, and to maintain and enhance its connection with the community while fulfilling its mission of accepting, processing, and delivering the mail reliably and efficiently.

##### 333.712 **Definitions**

For purposes of this policy, the following definitions apply:

- a. *Accountable manager* means an area vice president, vice president, or higher level officer only.
- b. *Charitable sponsorship* means paying all or part of the entrance fee for an event on behalf of one or more Postal Service employees or customers when such fee exceeds the actual cost of participation and when this excess amount is, in effect, a donation to a non-profit organization. Common examples include the following:
  - (1) A charitable fund raising dinner for which the cost of a seat or table is considerably more than the market value of the food provided.
  - (2) A walk, run, or ride for which entrants are sponsored with donations to the organizer or a designated beneficiary.

**Note:** Advertising and marketing sponsorships intended primarily to promote the sale of Postal Service products and services are not included within this definition.

##### 333.713 **Scope**

The scope of this policy is as follows:

- a. *Activities Covered.* Except as provided in 333.713b, this policy covers all proposed contributions of Postal Service money, property, time, or effort (i.e., work hours) to support a community service event, project, or cause.
- b. *Activities Not Covered.* The following community service activities are authorized by other statutes, regulations, or policies and are therefore not covered by this policy:
  - (1) The Combined Federal Campaign (5 C.F.R. Part 950).
  - (2) The Postal Employees' Relief Fund (a charitable organization).
  - (3) The Employee Social and Recreational Fund (*Employee and Labor Relations Manual* (ELM) 615.4).
  - (4) Blood drives (ELM 519.25).

- (5) Donations of surplus property (Handbook AS-701, *Material Management*, Subpart 647).
- (6) Disposal of dead mail (*Postal Operations Manual* (POM) 691.5).
- (7) Free or reduced rate mailings (39 C.F.R. Part 3001, Subpart C, Appendix A).
- (8) Other programs established by Postal Service regulations or approved by the postmaster general.

#### 333.714 **Responsibility**

Only an area vice president or Headquarters officer may approve participation in a community service activity.

- a. Field personnel must submit a request to the district manager, who upon concurrence will forward it to the area vice president for final approval.
- b. Headquarters personnel must submit a request to the appropriate vice president.

Employees should seek approval only of activities that appear to comply with this policy and may reject proposed activities without seeking higher-level approval.

#### 333.72 **Criteria**

##### 333.721 **Mandatory Criteria**

To be approved, a community service activity must meet the following mandatory criteria:

- a. *Subject Matter.* A community service project, event, or cause must fit within at least one of the following categories:
  - (1) Assisting victims of a disaster.
  - (2) Relieving hunger (including, but not limited to, food drives).
  - (3) Promoting education/literacy.
  - (4) Enhancing the environment (including, but not limited to, community cleanups).
  - (5) Promoting wellness (including, but not limited to, marrow donation, cancer research, and blood drives).
  - (6) Promoting child safety and well-being.
- b. *Avoid Controversy.* A supported project, event, or cause must not be political or religious, and it must not be likely to involve the Postal Service in controversy.
- c. *Increase Brand Value.* Support of a project, event, or cause must reflect favorably on the Postal Service and enhance the value of its brand.
- d. *Obtain Recognition.* An accountable manager or designee must ensure that the Postal Service is suitably recognized for its support. The appropriate steps to follow are set forth in PS Form 3337-A, *Community Service Participation Pre-event Evaluation*. See 333.76 and [Exhibit 333.76](#).

- e. *Have Results Reported.* To measure the value of community services activities, and to allow for publicity of such activities at the area and national levels, an accountable manager or designee must ensure that PS Form 3337-B, *Community Service Participation Post-event Evaluation* (see 333.77 and [Exhibit 333.77](#)), is completed and submitted to the following address:

COMMUNITY RELATIONS  
US POSTAL SERVICE  
475 L'ENFANT PLAZA SW RM 10523  
WASHINGTON DC 20260-3100

#### 333.722 **Suggested Criteria**

In determining whether to support a particular charitable project, event, or cause, it is appropriate to consider whether this support is likely to benefit the Postal Service in some additional manner, such as by improving labor-management relations, enhancing employee development (e.g., managerial, technical, or interpersonal skills), or promoting Postal Service products and services.

#### 333.73 **Employee Activity**

##### 333.731 **On-the-Clock**

An accountable manager may authorize employees to provide community services on-the-clock only if such service meets *all* of the following conditions:

- a. Meets the criteria set forth in 333.721.
- b. Is entirely voluntary on the part of the participating employees.
- c. Will not interfere with, or detract from, the successful completion of Postal Service business.
- d. Is scheduled far enough in advance to avoid disruption of Postal Service business.

##### 333.732 **Off-the-Clock**

The Postal Service encourages its employees to volunteer and to contribute to the charities of their choice. Any employee who wishes to serve a charitable organization in an executive or board capacity should seek advice from a Postal Service ethics official before doing so. The wearing of Postal Service uniforms while off-the-clock is governed by ELM 934.6.

#### 333.74 **Postal Service Property and Postal Service Funds**

##### 333.741 **Postal Service Property**

This policy covers the following Postal Service property:

- a. *Communications Equipment.* An accountable manager may approve incidental use of Postal Service communications equipment (electronic mail, telephones, fax machines, photocopiers, etc.) to disseminate information about a community service event or project for which employee work hours have been authorized under 333.731.
- b. *Vehicles or Facilities.* Where appropriate, an accountable manager may approve incidental use of Postal Service vehicles or facilities in

conjunction with a community service event or project for which employee work hours have been authorized under 333.731. In determining whether to approve such use, officials must consider the following:

- (1) The risk of an accident or injury resulting from such use.
- (2) The possible costs to the Postal Service of such an accident or injury.
- (3) Postal Service policy regarding conduct on Postal Service property (POM 124).
  - Only an appropriately rated Postal Service employee should operate a Postal Service vehicle. The Postal Service does not loan its vehicles to other organizations.
- c. *Postage.* Except as provided by law or regulation, the Postal Service does not supply free or reduced-rate postage for the mailings of a charitable organization.
- d. *Postal Service Mailings.* A mailing sent by the Postal Service under its own name and mailing permit may provide information about a community service event supported by the Postal Service.

#### 333.742 **Postal Service Funds**

This policy covers the following Postal Service funds:

- a. *Donations.* Except as provided in 333.742b, this policy does not authorize the donation of Postal Service money to charities.
- b. *Charitable Sponsorships.* An accountable manager may sponsor the participation of one or more employees or customers in a charitable event if all of the criteria in 333.721 are met and if there is adequate funding in an existing budget to pay for the sponsorship.

#### 333.75 **Questions and Answers About the Postal Service's Community Service Policy**

##### 333.751 **General**

- Q** *The Postal Service serves communities all over the country by delivering mail. Why should it do anything else?*
- A** Community service not only helps others, but it also helps boost employee morale and enhance the Postal Service's public image. The better our employees feel about the organization, the more motivated they will be to make it succeed. And if customers view the Postal Service as a positive force in their community, they will bring us more business.
- Q** *How are our employees and customers going to know about our community service projects?*
- A** This policy includes a pre-event evaluation (see 333.76 and [Exhibit 333.76](#)) that suggests many different ways of securing pre-event and day-of-event publicity. It also includes a post-event evaluation (see 333.77 and [Exhibit 333.77](#)) for submission to the Community Relations manager at Headquarters, who coordinates post-event recognition.

**333.752 Causes That Can Be Supported**

**Q** *Has the Postal Service decided to focus on certain causes?*

**A** The policy lists six approved causes:

1. Assisting disaster victims.
2. Relieving hunger.
3. Promoting education/literacy.
4. Enhancing the environment.
5. Promoting wellness.
6. Promoting child safety and well-being.

**Q** *Suppose the (fictitious) civic association called “Keep Downtown Beautiful” organizes an effort to restore Ye Olde Inne, a local landmark. May the Postal Service assist?*

**A** No. Employees cannot be allowed to help out on official time because preserving history is not an approved cause. There are many worthwhile causes, but the Postal Service can best leverage its limited resources by focusing on just a few of them.

**333.753 Acceptable Actions by the Postal Service and Employees**

The following questions and answers concern acceptable actions by the Postal Service and its employees regarding sponsoring employees, sponsoring customers, donating work hours, and publicizing events.

**Q** *Suppose a (fictitious) organization called “Crisis Care” organizes a 5-mile walk for cancer survivors and their families, and three employees want to participate. The entrance fee is \$500 per person. Can the Postal Service sponsor these employees?*

**A** Yes. Since promoting wellness is an approved cause, the area vice president may sponsor the employees if there is adequate funding in an existing budget. No official below the area vice president may approve a community service sponsorship, or any other community service activity.

**Q** *The policy says that the Postal Service can also sponsor the participation of customers in a charitable event. Who qualifies as a customer?*

**A** A representative of a business mailer or commercial mailer.

**Q** *Suppose “Keep Downtown Beautiful” schedules a clean-up day in the spring and asks all local businesses to help pick up trash, plant flowers, and paint over graffiti. Can the postmaster assign employees to help out?*

**A** Yes. Since enhancing the environment is an approved cause, the postmaster can participate *if* he or she obtains approval from the area vice president, and *if* employee participation is entirely voluntary. The postmaster cannot order or pressure employees to participate in a community service event. If bargaining unit workers might be involved, the postmaster needs to talk to local union officials in advance about their participation. Also, the postmaster must put the needs of the

Postal Service first — work on the clean-up cannot interfere with, or detract from, the successful completion of Postal Service business.

**Q** Suppose “Keep Downtown Beautiful” asks the post office to make copies of a flyer publicizing the clean-up day. Can the Postal Service approve this request?

**A** If the area vice president approves employee participation in the clean-up day, he or she may also allow *incidental* use of Postal Service communications equipment such as a photocopier or fax machine.

333.754 **Unacceptable Actions by the Postal Service and Employees**

The following questions and answers concern unacceptable actions by the Postal Service and its employees regarding loaning vehicles, waiving postage costs, donating money, raising funds from employees and customers, and sponsoring events.

**Q** If “Keep Downtown Beautiful” needs a vehicle to haul painting and gardening equipment, can the postmaster loan one for a day?

**A** No. The Postal Service does not loan its vehicles to other organizations. However, if the area vice president has approved an appropriately rated employee to participate in the clean-up day, this employee may operate the vehicle. In deciding whether to authorize use of a Postal Service vehicle, an area vice president must weigh the risk of an accident or injury resulting from the proposed use and the possible costs to the Postal Service of an accident or injury.

**Q** Suppose “Keep Downtown Beautiful” wants to mail out flyers about the clean-up day. Can the Postal Service waive the cost of postage?

**A** No. The Postal Service may send out a mailing about a community service event that it is supporting, but the Postal Service must do so under its own name and mailing permit. The Postal Service cannot waive or reduce the cost of postage for any customer.

**Q** Suppose “Crisis Care” asks the postmaster for a \$100 donation. Can this request be approved?

**A** No. The postmaster must refuse this request because the policy does not authorize the donation of Postal Service funds, even for an approved cause.

**Q** Suppose “Crisis Care” asks the postmaster to encourage employee contributions to its annual campaign, or to allow someone from “Crisis Care” to attend a stand-up talk and seek donations. Can this request be approved?

**A** No. The postmaster must decline these requests as well. It is unethical for a Postal Service official to solicit donations in the workplace, and it is illegal for an organization to solicit donations from Postal Service employees through any means other than the Combined Federal Campaign (CFC). The postmaster could suggest that “Crisis Care” participate in the CFC if it is not already doing so.

- Q** *Suppose “Crisis Care” asks the postmaster for permission to set up a table in the post office lobby so that it can solicit donations from Postal Service customers. Can this request be approved?*
- A** No. The postmaster must also decline this request. The community service policy permits incidental use of Postal Service facilities in conjunction with an approved project or event, but this use must comply with the rules governing conduct on Postal Service property (POM 124.5). Except in very limited circumstances, it is illegal to solicit contributions on Postal Service premises.
- Q** *Suppose “Crisis Care” is bringing a popular entertainment group to the local civic center for its biggest fund raiser of the year, and it offers the Postal Service the opportunity to be an official sponsor. For \$20,000, the Postal Service could have its name and logo on all promotional materials, souvenirs, banners, etc., to promote its products and services at the event. Can this request be approved?*
- A** No. Since Postal Service employees would not be participating in this event, it would not be a community service activity. However, it might be a worthwhile commercial sponsorship. The invitation should be referred to the Advertising manager at Headquarters.

#### 333.755 **Organizations the Postal Service Can and Cannot Work With**

The following questions and answers concern the acceptability or unacceptability of the Postal Service and its employees working with unions, churches, political groups, and controversial groups.

- Q** *How does this policy affect the annual food drive sponsored by the National Association of Letter Carriers (NALC)?*
- A** The policy allows the food drive to function as it has in the past.
- Q** *Suppose the (fictitious) “First Baptist Church” organizes a campaign to provide clothing to people whose homes were destroyed by a hurricane. The minister asks the postmaster whether letter carriers could pick up donations from people’s homes and bring them to a collection center. Can this request be approved?*
- A** No. Even though assisting disaster victims is an approved cause, the area vice president should not approve this request. Although there is nothing religious about collecting clothing, doing so in conjunction with one particular denomination may be perceived as favoritism toward that denomination, even if no favoritism is intended. Other religious groups within the community may feel that they have been slighted.
- Q** *Suppose a clothing drive similar to the one described above is organized by the (fictitious) “Interfaith Council,” an ecumenical association of churches, temples, and mosques in the local metropolitan area. Could the Postal Service participate?*
- A** If the “Interfaith Council” has a non-religious purpose, such as serving the needs of the disadvantaged, the area vice president could approve the Postal Service’s participation in the clothing drive. However, if the council’s main function is to promote religion, then the Postal Service should not participate in any of the council’s functions.



- Q** *Suppose a clothing drive similar to the one described above is organized by the (fictitious) political association called the “Young Federalists.” Could the Postal Service participate?*
- A** No. The area vice president should not approve this request. Again, although there is nothing political about collecting clothing, doing so in conjunction with one political party may be perceived as favoritism toward that party, even if no favoritism is intended. Members of other political parties may feel that they have been slighted. However, participation in community service activities sponsored by non-partisan organizations is acceptable.
- Q** *Suppose “Crisis Care” organizes a 5-mile walk for gays with cancer, and three openly gay employees request Postal Service sponsorship. Can this request be approved?*
- A** Yes. The area vice president could sponsor the employees’ participation in this walk if there is adequate funding in an existing budget. Although some people may object to a gay lifestyle, the Postal Service prohibits discrimination on the basis of sexual orientation. Therefore, as far as the Postal Service is concerned, supporting an organization’s efforts to assist gays who are victims of cancer is not controversial. However, it is important to remember that the policy prohibits the Postal Service from promoting the *political* agenda of any organization. The event or project must serve an approved cause such as promoting wellness or relieving hunger.
- Q** *Suppose a local health clinic widely known for performing abortions asks the Postal Service to buy a table at a fund-raising dinner. Can this request be approved?*
- A** No. Although abortion is legal, it is very controversial, and the Postal Service has no policy for or against it. The Postal Service’s mission is to help bind the nation together, and appearing to take a position one way or another on an issue of impassioned political debate would detract from this mission.

### 333.76 Pre-Event Evaluation

#### 333.761 Purpose

Sponsorship and event marketing provide the Postal Service with an opportunity to solidify community goodwill by being a participant in recognized community activities. Properly conducted participation can enhance the good name of the Postal Service with exposure outside normal business channels. It also allows the Postal Service to identify new business opportunities.

Sponsorship and events involve a close association with a particular program. In return for this commitment, the Postal Service gains certain rights or entitlements that can be used as part of a comprehensive sales, marketing, promotional, and publicity opportunity. This entitlement should position the best business case for the Postal Service while fostering community/charitable involvement.



A sponsorship/event has a three-fold purpose:

1. To enhance the Postal Service's position in the community as an integral part of daily living.
2. To give employees a chance to be involved as volunteers and make them proud of Postal Service sponsorship.
3. To identify possible new sources of commercial and retail sales.

#### 333.762 **PS Form 3337-A**

The pre-event evaluation is designed to provide you with guidance for making a solid business decision regarding a charitable sponsorship or event. The first and most important task is to gather and research as much information as possible on potential prospects prior to making a decision.

When completing PS Form 3337-A, *Community Service Participation Pre-event Evaluation*, you don't need all "yes" answers to approve a sponsorship or event. However, in the final analysis, you should weigh the cost against the advertising and public relations value, retail sales opportunities, and employee involvement possibilities. A successful sponsorship or event is one that clearly meets or surpasses the criteria for making a good business case based on strong returns in finances, public relations, or employee relations.

In every case, the impact on your budget should be a strong consideration. Money for sponsorships and events should be considered and forecasted when preparing your annual marketing plan.

#### 333.763 **Guidance for Completing PS Form 3337-A**

Complete PS Form 3337-A as follows:

- a. *Section A: Pre-Event Assessment Steps.* Always complete Section A. Then complete Section B through Section F as applicable (as marked in the answer to "Business Case" in the "Sponsorship/Event Information" section at the top of the form).
- b. *Section B: Commercial Sales.* Sponsorship/events can be particularly beneficial in building the Postal Service's commercial business by helping to open new accounts through contracts with the sponsorship/event organizer and other companies that are participating in the program or that have a relationship with the sponsorship/event organizer.
- c. *Section C: Retail Sales.* Sponsorship/events offer three potential sources of retail sales revenue:
  - (1) On-site sales of philatelic and retail merchandise, postage, and shipping services.
  - (2) Merchandise sales through local post offices immediately prior to and during the event.
  - (3) Direct-to-consumer/employee sales.
- d. *Section D: Advertising Value.* Mass media advertising, on-site signs, and other entitlements are vehicles through which the Postal Service can solidify its association with a sponsorship/event and extend the value of its mainline advertising against a key audience segment.

- e. *Section E: Public Relations.* Sponsorships/events provide an opportunity to generate non-paid, positive media impressions for the Postal Service. For example, sponsoring bicycling safety clinics conducted by members of the Cycling Team can generate significant broadcast and print media coverage and enhance the Postal Service's standing in the community. Public Affairs and Communications can assist you in identifying opportunities to obtain favorable publicity for the Postal Service based on participation in the sponsorship/event.
- f. *Section F: Employee Involvement.* Sponsorship/events provide an opportunity to involve a broad range of Postal Service employees and their families in activities associated with the sponsorship/event program. The event can be used to reward extraordinary performance, increase pride in the Postal Service, celebrate the diversity of our workforce, and become involved in community relation programs that are extensions of participating in the sponsorship/event.

333.764 **Evaluation Assistance**

Evaluation assistance for all of the various "business cases" (Sections B through F) is available from Marketing managers and advertising and promotion specialists. Evaluation assistance for a particular "business case" is also available from the following personnel:

- a. For Section B, contact Sales.
- b. For Section C, contact a Retail specialist.
- c. For Section E, contact Public Affairs and Communications.
- d. For Section F, contact a Human Resource specialist.

333.77 **Post-Event Evaluation**

333.771 **Purpose**

It is essential to measure the value received from the sponsorship/event in which the Postal Service participated. The sponsorship/event should measure its performance against the objectives established in the pre-event assessment process. Objectives that were established in evaluating the sponsorship/event marketing opportunity can be compared with actual performance. The results are critical in determining future participation decisions and in strengthening the future negotiating position of the Postal Service regarding sponsorships/events. The Community Relations manager will conduct an annual review of the Postal Service's overall community outreach efforts.

333.772 **Procedure**

PS Form 3337-B, *Community Service Participation Post-event Evaluation*, should be completed within 30 days of the sponsorship/event and forwarded to the following address:

COMMUNITY RELATIONS  
US POSTAL SERVICE  
475 L'ENFANT PLAZA SW RM 10523  
WASHINGTON DC 20260-3100

Exhibit 333.76 (p. 1)

**PS Form 3337-A, Community Service Participation Pre-event Evaluation**

US Postal Service

**Community Service Participation Pre-event Evaluation****Sponsorship/Event Information**

Name of Sponsorship/Event		Sponsorship/Event Owner	
Location	Dates	Proposed Cost to USPS	Featured USPS Product/Service

USPS Sponsorship/Event Coordinator (Name, Address, Phone)

Business Case: Check and complete all applicable sections. See instructions in ASM 333.76. Always complete Section A.

☐ B: Commercial Sales   
 ☐ C: Retail Sales   
 ☐ D: Advertising Value   
 ☐ E: Public Relations   
 ☐ F: Employee Involvement
**A. Pre-Event Assessment Steps**

Steps	Tasks or Opportunities To Consider	Yes	No
A - 1	Review proposal from sponsorship/event organizer.		
A - 2	Request data concerning sponsorship/event details and demographics, commercial and retail sales, advertising exposure, community relations, and employee involvement opportunities.		
A - 3	Review sponsorship/event criteria — does it meet the components of the Postal Service's mandatory criteria?		
A - 4	Is the sponsorship/event image compatible with Postal Service products and services?		
A - 5	Will participation in the sponsorship/event enhance the masterbrand of the U.S. Postal Service?		
A - 6	Does the sponsorship/event provide an obvious and logical fit to support district/area/HQ marketing plans?		
A - 7	Is the sponsorship/event already included in the current district/area/HQ advertising plan?		
A - 8	Will the sponsorship/event provide tangible revenue opportunities against core postal products and services?		
A - 9	Is the sponsorship/event aligned to a postal product or service, thereby making a good business case for participation in the sponsorship/event?		
A - 10	Have you considered why the sponsorship/event owner is soliciting the U.S. Postal Service as a supporting sponsor?		
A - 11	Does the sponsor currently use the U.S. Postal Service?		
A - 12	Is this a regularly scheduled event?		
A - 13	Does this organization or event have a good reputation and track record?		
A - 14	Does our association with other sponsors of this event reflect favorably on the Postal Service?		
A - 15	Is a competitor of the Postal Service also a sponsor?		
A - 16	Will the Postal Service be allowed to cancel at its convenience?		

**B. Commercial Sales**

Steps	Tasks or Opportunities To Consider	Yes	No
B - 1	Are the organizer/owner, partners, suppliers, and co-sponsors of this event current postal customers?		
B - 2	Is there potential commercial sales revenue associated with this sponsorship/event?		
B - 3	Is there a potential to increase commercial sales with current sponsorship partners?		
B - 4	Is there a potential to create commercial sales from this sponsorship/event from new customers?		
B - 5	If you answer "yes" to B-2, B-3, and B-4, have you performed a preliminary benefit-cost analysis to determine potential postal revenues?		

PS Form 3337-A, October 2000 (Page 1 of 2)

Exhibit 333.76 (p. 2)

**PS Form 3337-A, Community Service Participation Pre-event Evaluation****C. Retail Sales**

Steps	Tasks or Opportunities To Consider	Yes	No
C – 1	Is there an opportunity for on-site retail sales?		
C – 2	Is there an opportunity for philatelic sales?		
C – 3	Is there an opportunity for shipping sales (merchandise and philatelic purchasers)?		
C – 4	Is there an opportunity for local post office sales?		

**D. Advertising Value**

Steps	Tasks or Opportunities To Consider	Yes	No
D – 1	Does the sponsorship/event provide a good opportunity for the USPS to place ads in broadcast media?		
D – 2	Does the sponsorship/event provide a good opportunity for the USPS to place ads in print media?"		
D – 3	Does the sponsorship/event provide a good opportunity for the USPS to provide signage, billboards, and posters, or to place ads/logos on tickets, in programs, etc.?		
D – 4	Will the Postal Service be adequately recognized for its involvement?		

**E. Public Relations**

Steps	Tasks or Opportunities To Consider	Yes	No
E – 1	Are broadcast media such as TV and radio likely to provide coverage and stories about this sponsorship/event? Possible ideas include the following: <ul style="list-style-type: none"> <li>• Opening/closing ceremonies.</li> <li>• Awards named after USPS people/products.</li> <li>• Cooperative charitable opportunities.</li> <li>• Use of USPS services for deliveries.</li> <li>• Relevant new stamp introduction.</li> <li>• Community relations opportunities (essay contest, celebrity appearances at postal facilities).</li> <li>• Volunteer opportunities.</li> <li>• Honorary roles.</li> </ul>		
E – 2	Are print media such as newspaper, publications, etc. likely to provide coverage and stories about this sponsorship/event? See E-1 for possible ideas.		

**F. Employee Involvement**

Steps	Tasks or Opportunities To Consider	Yes	No
F – 1	Does the sponsorship/event provide an opportunity for employee involvement? Possibilities include the following: <ul style="list-style-type: none"> <li>• USPS employee/family night.</li> <li>• Employee recognition.</li> <li>• Volunteer opportunities.</li> <li>• Reduced admission prices.</li> <li>• Special seating for employees/families.</li> <li>• Event-related merchandise for employees/families.</li> <li>• Honorary roles for employees during event program.</li> </ul>		
F – 2	Does the sponsorship/event help the Postal Service with diversity goals such as recruitment of minority applicants for employment and advertising for minority contracting?		

Exhibit 333.77

**PS Form 3337-B, Community Service Participation Post-event Evaluation**

US Postal Service

**Community Service Participation Post-event Evaluation****Sponsorship/Event Information**

Name of Sponsorship/Event		Sponsorship/Event Owner	
Location	Dates	Sponsorship/Event Cost to USPS	Featured USPS Product/Service
USPS Sponsorship/Event Coordinator (Name, Address, Phone)			

**Sponsorship/Event Evaluation**

Complete the sponsorship/event evaluation by providing the information requested below for the appropriate "Business Case" as noted during the pre-event evaluation on PS Form 3337-A. Send the completed form to the following address:

COMMUNITY RELATIONS  
 US POSTAL SERVICE  
 475 L'ENFANT PLAZA SW RM 10523  
 WASHINGTON DC 20260-3100

**B. Commercial Sales**

Identify new partners, suppliers, co-sponsors, customers, and new sales opportunities.

**C. Retail Sales**

List on-site sales such as retail merchandise, philatelic, local sales, direct to consumer/employees sales, and TOTAL retail sales and profit.

**D. Advertising**

List print, TV, or on-site media associated with sponsorship/event.

**E. Community Relations**

Identify the actual number of print and broadcast stories attributed to the sponsorship/event. Send copies with the evaluation.

**F. Employee Involvement**

Identify the actual employee activities attributed to the sponsorship/event.

## 334 **Postal Exhibits**

### 334.1 **Policy**

It is Postal Service policy to use exhibits to explain and promote postal policies, programs, products, and services to the general public and specific groups of mail users.

### 334.2 **Procedures**

#### 334.21 **General**

Corporate Relations provides advice to other Headquarters departments, area offices, district offices, and field facilities in developing marketing strategies, planning, producing, and using postal exhibits. With the exception of postmaster general events, functions wishing an exhibit must plan to contract with a vendor.

#### 334.22 **New Exhibits**

When an exhibit is needed, managers should confer with the manager, Corporate Identity, to be sure a planned exhibit conforms to corporate identity guidelines.

### 334.3 **Audiovisual Services**

See 343 for audiovisual instructions.

## 335 **Marketing Communications**

### 335.1 **Policy**

The Postal Service must use aggressive media placement, product publicity, and constituency building to foster market conditions favorable to the use of postal products and services and to enhance its overall image.

### 335.2 **Responsibility**

Marketing Communications, Corporate Relations, develops policy and implements publicity campaigns at the national level. It serves as a consultant to the other functional areas of the Postal Service, working with them to develop and implement publicity plans. The Corporate Relations Center manager is a consultant who assists field managers with implementing local publicity events. Any major events, including stamp ceremonies, involving the postmaster general are managed by Corporate Relations.

### 335.3 **Communications Tools**

Communications tools used to condition the market include news releases, media placement, media education, news conferences, media events, and exhibits.

**335.4 Advance Copies**

Materials produced for retail promotions and displays must be reviewed by Corporate Relations to ensure that they meet the guidelines issued by Corporate Identity.

**336 Executive Communications****336.1 Policy**

It is Postal Service policy to impart accurate and consistent information about key postal issues to the public, Congress, customers, and employees through speeches and written materials.

**336.2 Responsibility**

Corporate Relations is responsible for developing and disseminating messages and information on key postal issues. The manager of Executive Communications works with senior officers and governors to:

- a. Identify postal issues.
- b. Define postal messages about those issues.
- c. Develop strategies for conveying those messages to a variety of audiences.
- d. Prepare speeches and other written messages as called for in those strategies.

**337 Corporate Communications****337.1 Policy**

It is Postal Service policy to convey accurate, consistent, and timely messages and information about postal issues, goals, and performance.

**337.2 Responsibility**

Corporate Relations is responsible for preparing speeches, testimony, statements, and other materials for the postmaster general. Corporate Relations also identifies and coordinates speaking opportunities for the postmaster general. Other support is provided to the postmaster general as needed.

**338 Legislative, Executive Relations****338.1 Scope**

As an agency of the federal government operating a nationwide service network, the Postal Service has frequent contact with government officials at every level.

**338.2 Responsibility**

The senior vice president of Government Relations is responsible for the Postal Service's government liaison, and has the following duties:

- a. Monitors legislation and other government rule making and advises management on impacts and corporate positions on these actions.
- b. Keeps legislative and executive branch officials informed of developments within the Postal Service and responds to their inquiries.
- c. Advises management how Postal Service decisions might affect other governmental entities.
- d. Briefs management on government reaction to postal policies and developments.

**338.3 Inquiries on Postal Policy****338.31 Scope**

Policy matters include but are not limited to rate making, mail classification, contracting and procurement, real estate, arbitration, interpreting collective bargaining agreements, appointments, promotions, and personnel policies.

**338.32 Headquarters**

All governmental inquiries about postal policy matters (as opposed to service matters) must be forwarded to:

SENIOR VICE PRESIDENT GOVERNMENT RELATIONS  
UNITED STATES POSTAL SERVICE  
475 L'ENFANT PLAZA SW  
WASHINGTON DC 20260-3500

**338.33 Field**

Field managers are authorized to respond directly to governmental inquiries related to services provided to customers of their offices or geographic areas. These inquiries must receive prompt and conscientious attention.

**338.4 Field Management****338.41 Displays in Postal Facilities****338.411 Notices Authorized**

Bulletin board notices by members of Congress are limited to public announcements of pending competitive civil service examinations and pertinent information for applicants for appointments to the U.S. service academies. See also the *Postal Operations Manual*.

**338.412 Restrictions**

The following display restrictions apply to these authorized notices:

- a. Display only as long as the notices are current.
- b. Display only within the district of the sponsoring congressperson or the state of the sponsoring senator.



- c. Notices that include the member's picture must be returned to the member with an explanation.
- d. Notices must follow these specifications:
  - (1) Size: 9 by 12 inches or less.
  - (2) Size of signature or printed name of member of Congress: 48-point (1/2-inch) type or smaller.
  - (3) Deadline: Closing date for submission of applications.
  - (4) Location specification: Address and correct ZIP+4.

#### 338.413 **Prohibitions**

Field management must ensure that the following are not displayed on public bulletin boards in postal facilities:

- a. Private business advertisements, placards, cards, or notices.
- b. Photographs or likenesses of any member of a state legislature or member of Congress.
- c. Any political picture, cartoon, or other matter designed to influence an election.

#### 338.42 **Undeliverable Franked Mail**

Procedures for handling undeliverable bulk third-class congressional mailings are in the *Postal Operations Manual*.

#### 338.43 **Mailing Lists**

Mailing lists submitted by members of Congress and governmental entities must be updated as frequently as requested. (For information on mailing list correction, see the *Domestic Mail Manual*.)

#### 338.44 **Dedictory Plaques**

When a Postal Service building is designated by an Act of Congress to honor a person, Government Relations notifies the postmaster. The postmaster should obtain the desired plaque by following local procurement procedures. If the purchase price exceeds the local procurement limit, the requirement should be forwarded to the District for procurement. When the plaque is delivered, the postmaster must advise Government Relations and receive instructions for a ceremony. Ultimately, the plaque must be displayed in a prominent place in the lobby of the building, preferably above the post office boxes.

#### 338.5 **Legislation**

All inquiries about the status of legislation pending before the U.S. Congress, the official Postal Service position on a given bill, or the impact of a bill on postal policies and procedures must be referred to the senior vice president of Government Relations.

#### 338.6 **Release of Information**

The release of information to government officials must be consistent with the policies in Handbook AS-353 and the *Domestic Mail Manual*.

## 339 **Inspection Organizations**

### 339.1 **Office of Inspector General**

#### 339.11 **Responsibility**

The director of Congressional Relations, Office of Inspector General (OIG), monitors and evaluates legislative and regulatory activities, provides comment to Congress, and maintains liaison with Postal Service Government Relations and Postal Inspection Service Congressional and Public Affairs.

#### 339.12 **Legislative Relations**

The OIG maintains a separate internal public and media relations program. The director of Communications, OIG, is responsible for the OIG's public communications policies, programs, and functions. Reporting to the assistant inspector general for Strategic Planning and Quality, the director ensures that staff members:

- a. Respond to news media inquiries and provide information about the OIG to the public.
- b. Plan, approve, and manage the OIG public affairs effort.
- c. Advise the inspector general and assistant inspectors general on actions necessary to keep the public well informed on OIG policies and programs.
- d. Coordinate with Postal Service Corporate Relations and Postal Inspection Service Congressional and Public Affairs to avoid unnecessary duplication of effort.

#### 339.13 **Spokesperson**

The director of Communications is the designated public information officer and spokesperson for all matters involving and/or affecting the OIG.

#### 339.14 **Media Inquiries**

All inquiries about OIG operations from the news media should be referred to the director of Communications of the OIG when feasible. On occasions when this is not feasible, the OIG must be informed immediately after the media contact as to the nature of the inquiry and the response provided.

### 339.2 **Postal Inspection Service**

#### 339.21 **Policy**

The Postal Inspection Service has a responsibility to provide information about the enforcement of postal laws to the public.

#### 339.22 **Responsibility**

#### 339.221 **Headquarters**

The manager of Congressional and Public Affairs, Postal Inspection Service, is responsible for the Postal Inspection Service's public communications policies, programs, and functions. Reporting to the deputy chief inspector of

Operations Support, and in coordination with Postal Service Corporate Relations, the manager of Congressional and Public Affairs ensures that staff members:

- a. Respond to news media inquiries and provide information about the Postal Inspection Service to the public.
- b. Plan, approve, and manage the Postal Inspection Service public affairs effort.
- c. Advise the chief postal inspector and deputy chiefs on actions necessary to keep the public well informed on Postal Inspection Service policies and programs.

#### 339.222 **Spokespersons**

The inspector in charge or designated public information officer is the principal spokesperson in matters of law enforcement. When situations arise that involve law enforcement and corporate issues, the Postal Inspection Service spokesperson is to coordinate with the manager of the Corporate Relations center and the postmaster or other facility manager. Postal Inspection Service Congressional and Public Affairs coordinates with Postal Service Corporate Relations to provide functional communications guidance to the field.

#### 339.223 **Media Relations**

Headquarters Congressional and Public Affairs is responsible for developing media relations policy and guidance to Postal Inspection Service spokespersons to build relationships with the news media. Media relations include, but are not limited to, issuing announcements and news releases, conducting news conferences, and responding to media inquiries. Information is released consistent with policy in Handbook AS-353 and U.S. Department of Justice guidelines.

#### 339.23 **Procedures**

##### 339.231 **Media Inquiries**

All inquiries about Postal Inspection Service Headquarters operations from the news media should be referred to the Congressional and Public Affairs office of the Postal Inspection Service when feasible. On occasions when this is not feasible, Congressional and Public Affairs must be informed immediately after the media contact as to the nature of the inquiry and the response provided. Additionally, when responses are made to national news organizations, specifically broadcast networks and major newspapers that may lead to subsequent national news coverage, Congressional and Public Affairs must inform Media Relations in Corporate Relations in a timely manner so that follow-up coordination is in place. When requested by Congressional and Public Affairs, other Postal Inspection Service offices and divisions must promptly provide information to ensure timely responses to the media.

**339.232 Advance Copies**

Advance copies of proposed public announcements and of all material intended to be printed for distribution to the public or for public display must be provided to Congressional and Public Affairs for review and approval in coordination with Corporate Relations.

**339.24 Local Media Relations**

Inspectors in charge and other facility managers are responsible for local media relations in their jurisdictions. Postal Inspection Service field managers should contact Congressional and Public Affairs for guidance in conducting media relations.

**339.25 Legislative, Executive Relations****339.251 Responsibility**

The manager of Congressional and Public Affairs is responsible for the Postal Inspection Service's government liaison in matters of law enforcement. The manager of Congressional and Public Affairs:

- a. Monitors legislation and other government rule making and advises management on impacts and agency positions on these actions.
- b. Keeps Legislative and Executive Branch officials informed of developments within the Postal Inspection Service and responds to their inquiries.
- c. Advises management how Postal Inspection Service decisions might affect other government entities.
- d. Briefs management on government reaction to Postal Inspection Service policies and developments.
- e. Keeps Legislative Affairs apprised of significant Postal Inspection Service government relations efforts.

**339.252 Legislation — General**

Refer to Congressional and Public Affairs all inquiries about status of law enforcement legislation pending before the U.S. Congress, the official Postal Inspection Service position on a given bill, or the impact of the enforcement of postal laws and regulations.

**339.253 Release of Information**

The release of information to government officials must be consistent with policies in Handbook AS-353, the *Domestic Mail Manual*, and U.S. Department of Justice guidelines.

## 34 Employee Communications

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### 341 General

#### 341.1 Policy

It is Postal Service policy to communicate postal information and management objectives to employees to promote understanding and cooperation.

#### 341.2 Responsibility

The vice president of Corporate Relations is responsible for communicating information, management policies, and objectives to employees through direct mail, official publications, workroom posters, news announcements, video programs, and graphic displays. The vice president advises the postmaster general on actions necessary to keep postal employees well informed of postal policies and programs.

### 342 Publications

#### 342.1 National Employee Publications

Corporate Relations communicates with employees on a regular basis in *Postal Life*, a service-wide publication. Other print material such as *Leadership*, *Newsbreak*, *Direct Line*, letters, postcards, brochures, newsletters, and posters may be used to convey special messages or support specific postal goals and objectives. *Postal Link*, an electronic newsletter for managers and supervisors, is distributed twice weekly via cc:mail. *Straight Talk*, an electronic newsletter for line supervisors and postmasters, is distributed weekly via cc:Mail.

#### 342.2 Area Employee Newsletters

##### 342.21 Criteria

As the most economical and effective means of communicating with employees, Corporate Relations Centers publish for each area a monthly employee newsletter titled *Area Update*. A four-page insert of national news, policy, and management information is prepared for each issue by Corporate Relations, Headquarters. An alternative format for performance cluster tabloid newspapers is also available.

##### 342.22 Newsletter Design Guidelines

The following design guidelines are used for *Area Update*:

- a. *Size*. Approximately 8-1/2 by 11 inches.
- b. *Number of Pages*. From 8 to 32 pages.

- c. *Ink.* Black only recommended for text. Pantone Matching System (PMS) 485 (red) and PMS 294 (blue) may be used for spot color according to guidelines provided by Headquarters Creative Services.
- d. *Frequency.* Monthly.
- e. *Distribution.* All area employees, mailed to their homes. The Minneapolis Information Systems Service Center provides mailing address labels in desired format each month.
- f. *Printing.* See 37 for printing instructions and restrictions.
- g. *Writing Style.* *The Associated Press Stylebook and Libel Manual* or similar guide.

### 342.23 **Performance Cluster Newspaper Design Guidelines**

Creative Services at Headquarters provides design guidelines for performance cluster newspapers. A wire service with story ideas and other information is provided to editors by Employee and Field Communications.

### 342.3 **Other Employee Communications Vehicles**

Four additional vehicles are provided for field managers to share information with employees:

- a. *Direct Line* letterhead is used to communicate with employees in a format similar to a memo.
- b. *Local Newsbreak* letterhead is used to share important breaking news with employees and is intended for posting on bulletin boards.
- c. *Postal Vision* is a video bulletin board network located in more than 500 postal facilities. International and national news, sports, weather, health and wellness information, and business news are combined with national and local postal information. Field managers are encouraged to place local performance and operating information on their *Postal Vision* systems through their site editors.
- d. An approved format for locally produced newsletters or performance cluster newspapers is available through the Corporate Relations Centers. Such publications are produced solely with local funds and workhours and always at the discretion of the installation head.

Information concerning the use of these formats is available from the Corporate Relations Center managers with guidance from Headquarters Employee and Field Communications and Creative Services.

## 343 **Employee and Field Audiovisual Communications**

### 343.1 **Policy**

It is Postal Service policy to use audiovisual aids to assist in promoting postal policies, programs, services, and products.

**343.2 Responsibility**

The manager of Employee and Field Communications (EFC), Corporate Relations, is responsible for managing Postal Service activities related to public and employee communications, which include videotape productions, satellite broadcasts, and print and electronic publications.

**343.3 Procedures****343.31 General**

Corporate Relations provides guidance to other Headquarters functions, area offices, and field offices in planning, producing, and using audiovisual aids.

**343.32 Requests**

Requests for audiovisual services must be submitted to Corporate Relations sufficiently in advance of the date needed to determine whether the work may be done in-house or must be referred to a contractor. Because production requirements vary, appropriate due dates are determined by consulting with the manager of EFC, who approves requests and provides the services or recommends contact with Purchasing so that services can be procured from sources outside the Postal Service.

**343.33 Funding**

All audiovisual services performed for other postal units by Corporate Relations are provided on a reimbursable basis at the discretion of Corporate Relations.

**343.4 Focus**

Corporate Relations provides a monthly 10-minute video news program called *Focus* for viewing by any employee. Stories focus on groups and individuals who are helping to achieve corporate goals. Postmasters, supervisors, and other managers may subscribe free to *Focus* by calling 1-800-654-1905.

**344 Creative Services****344.1 Policy**

It is Postal Service policy to use graphic materials and photography to assist in promoting postal policies, programs, services, and products.

**344.2 Responsibility**

The manager of Creative Services, Corporate Relations, is responsible for managing graphic design and photography activities in support of postal programs and also oversees the Headquarters television production facility.

### 344.3 **Workroom Posters**

#### 344.31 **General**

Workroom posters are used for communicating management objectives, policies, and programs to employees. Corporate Relations plans, designs, and produces workroom posters, and coordinates all such posters except those initiated locally for local display. Any posters proposed for wider than local use must be reviewed and approved by Corporate Relations to ensure that they meet the guidelines issued by Corporate Identity.

#### 344.32 **Procedures**

The originating Headquarters function provides posters to field installations for display in workroom areas, including swing rooms and cafeterias. Posters are dated for time of display and shipped sufficiently in advance of the display date for local distribution to appropriate post offices, stations, and branches. The posters must be displayed as directed.

### 344.4 **Graphic Services**

#### 344.41 **Purpose**

Graphic materials are used for communications and to promote policies, programs, services, and products.

#### 344.411 **Graphics and Promotional Material**

Creative Services acts as a consultant and/or designs and produces Postal Service graphics, including promotional material, publications, displays, literature (except directives and technical manuals), and posters.

#### 344.412 **Presentation Material**

Creative Services acts as a consultant and/or produces presentational material such as slides and charts for Headquarters.

#### 344.42 **Procedures**

#### 344.421 **Services Provided**

Creative Services provides guidance in planning, designing, and producing literature, displays, promotional material, publications, slide presentations, and other graphics. Review is recommended to ensure that the guidelines issued by Corporate Identity are followed.

#### 344.422 **Funding**

If design services are provided by Corporate Relations, the requesting office provides a Form 7381, *Requisition for Supplies, Services, or Equipment*, to Creative Services, with enough funds to design and produce its project through contractors, plus all figures, information, and material pertinent to the project. Funds appropriated for these services can be expended only when properly authorized by Purchasing at Headquarters or appropriate area purchasing office.



**344.423 Production**

Creative Services may direct the project, refer it entirely for completion by an outside contractor, or produce the work by its staff or contractors with guidance from its staff.

## 35 Records and Release of Information

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**351 Records****351.1 Retention****351.11 Records Control Schedules**

The most widely held Postal Service records series are listed in Handbook AS-305, *Records Control*. See also [Exhibit 351.11](#) (located at the end of 35) for the retention periods for most forms used at post offices. Keep records for the periods shown in Handbook AS-305 or [Exhibit 351.11](#) and then dispose of them as specified in 351.4.

**351.12 Other Records**

For information about the retention of records not covered by Handbook AS-305 or [Exhibit 351.11](#), contact the manager of the Records Office at (202) 268-2608.

**351.13 Extension of Retention Periods**

The retention periods published in Handbook AS-305, *Records Control*, and [Exhibit 351.11](#) are mandatory. Records must not be maintained for periods longer than those specified in these schedules. However, retention periods may be extended in response to a court order, or if the records are needed for a special use. Only the Postal Service Records Office may authorize these extensions. On expiration of such an extension of retention period, that office notifies concerned custodians to observe normal records retention requirements.

**351.2 Information Caveats**

A caveat is a phrase typed or stamped on a record (usually at the top or bottom) indicating that the information in the record must be protected or handled in a special way. Officials who wish to use a *Restricted Information* caveat but are unsure about the proper application may request guidance from the Freedom of Information/Privacy Acts Officer. When placing caveats on information or records, use the following guidelines:

- a. *Restricted Information*. The term *Restricted Information* may be used to indicate records or information that is restricted based on Postal Service regulations in this subchapter (see Handbook AS-353, *Guide to Privacy and the Freedom of Information Act*). Included is information about individuals, certain types of business information, and other information such as customer mailing lists. This information has

limitations placed on its access within the Postal Service and its disclosure outside the Postal Service.

- b. *National Security Information.* The terms *CONFIDENTIAL*, *SECRET*, and *TOP SECRET* (also referred to as *Classified Information*) are used only to refer to national security information under Executive Order 12356. Only designated senior officials may apply these caveats.
- c. *Other Caveats. Limited Official Use, For Confidential Use Only*, and other similar terms are inappropriate for use at any time within the Postal Service.

### 351.3 **Transfer**

#### 351.31 **Storage**

##### 351.311 **Requirement**

Records no longer required for active reference but not yet eligible for destruction must be transferred by the cutoff period (e.g., period of time such as a quarter or fiscal year) to local storage or a Federal Records Center (FRC).

##### 351.312 **Local Storage**

Transfer to local Postal Service storage must be accompanied by a Form 773, *Records Transmittal and Receipt*.

##### 351.313 **Federal Records Centers**

The following apply:

- a. *Conditions.* Forward to FRCs only:
  - (1) Records series approved by the National Archives and Records Administration (NARA) and having a remaining life of more than 1 year.
  - (2) Volumes of records consisting of 1 cubic foot or more. (Quantities less than 1 cubic foot must be kept by the installation and destroyed in-house when the retention period expires.)
- b. *Procedures.* Procedures for sending employee personnel and medical records to the National Personnel Records Center (NPRC) are provided in Handbook EL-301 section 131.5 and *Postal Bulletin* number 21803, dated 11/28/91, page 6. For shipment to a Federal Records Center other than the National Personnel Records Center at St. Louis, MO:
  - (1) Assemble records to be shipped and pack (to capacity) in 1 cubic foot boxes, obtained for this purpose from the General Services Administration. Prepare a box list, identifying the folders in each box, in duplicate. Insert one copy of the box list in the first box of the accession, to be shipped with the records, and retain one copy locally.
  - (2) Complete two copies of SF 135, *Records Transmittal and Receipt*. This form may be ordered from the material distribution centers (MDCs). Send both copies to the receiving FRC at least 2 weeks before the intended shipping date.

- (3) FRC shows approval by returning one annotated copy of SF 135 to the requesting installation.
  - (4) Place a copy of SF 135 in the first box of the shipment and ship. Hold a copy as suspense.
  - (5) FRC then returns a receipted copy of SF 135.
- c. *Location.* See [Exhibit 351.313](#) for FRC addresses and areas served.
- d. *Retrieval.* Retrieval of all records is handled by the installation from which the records were sent. Requests for retrievals are made on Optional Form (OF) 11, *Reference Request — Federal Records Centers*. FEDSTRIP ordering offices order this form directly from GSA; non-FEDSTRIP ordering offices order this form from their supporting supply section, or from their GSA Customer Supply Center. Retrievals are made at the Federal Records Centers by the accession number and the box location number recorded on the SF 135 when the records were approved for transfer.

Exhibit 351.313

**Federal Records Centers**

<b>Location</b>	<b>Areas Served</b>
CIVILIAN PERSONNEL RECORDS NATL PERSONNEL RECORDS CTR 111 WINNEBAGO STREET ST LOUIS MO 63118-4199 (314) 425-5722	Entire federal government for personnel records of separated federal employees; pay and medical records of all federal employees; medical records of civilian employees of the Army, Navy, and Air Force; records of agencies in greater St. Louis, Missouri area
FEDERAL RECORDS CENTER 380 TRAPELO ROAD WALTHAM MA 02154-6399 (617) 647-8745	Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island
FEDERAL RECORDS CENTER MILITARY OCEAN TERMINAL BLDG 22 BAYONNE NJ 07002-5388 (201) 823-7161	New York, New Jersey, Puerto Rico, the Virgin Islands, and the Panama Canal Zone
FEDERAL RECORDS CENTER 5000 WISSAHICKON AVENUE GATE 8 PHILADELPHIA PA 19144-4898 (215) 951-5928	Delaware and Pennsylvania
WASHINGTON NATL RECORDS CTR 4205 SUITLAND ROAD SUITLAND MD 20409-0001 (301) 763-7000	District of Columbia, Maryland, Virginia, and West Virginia
FEDERAL RECORDS CENTER 1557 ST JOSEPH AVENUE EAST POINT GA 30344-2533 (404) 763-7438	North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, and Kentucky
FEDERAL RECORDS CENTER 7358 SOUTH PULASKI ROAD CHICAGO IL 60629-5898 (312) 353-0164	Illinois, Wisconsin, and Minnesota
FEDERAL RECORDS CENTER 3150 SPRINGBORO ROAD DAYTON OH 45439-1883 (513) 225-2878	Indiana, Michigan, and Ohio
FEDERAL RECORDS CENTER 2312 EAST BANNISTER ROAD KANSAS CITY MO 64131-3011 (816) 926-7271	Kansas, Iowa, Nebraska, and Missouri except greater St. Louis area
FEDERAL RECORDS CENTER 4900 HEMPHILL ST BLDG 1 DOCK 1 FORT WORTH TX 76115-0216 (817) 334-5515	Texas, Oklahoma, Arkansas, Louisiana, and New Mexico
FEDERAL RECORDS CENTER DENVER FEDERAL CTR BLDG 48 DENVER CO 80225-0307 (303) 236-0804	Colorado, Wyoming, Utah, Montana, North Dakota, and South Dakota
FEDERAL RECORDS CENTER 1000 COMMODORE DR SAN BRUNO CA 94066-2350 (415) 876-9015	Nevada (except Clark County), California (except Southern California), and American Samoa
FEDERAL RECORDS CENTER 24000 AVILA ROAD LAGUNA NIGUEL CA 92656-3497 (714) 643-4220	Arizona; Clark County, Nevada; Southern California (counties of: San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Los Angeles, Riverside, Orange, Imperial, Inyo, and San Diego)
FEDERAL RECORDS CENTER 6125 SAND POINT WAY NE SEATTLE WA 98115-7999 (206) 526-6501	Washington, Oregon, Idaho, Alaska, Hawaii, and Pacific Ocean area (except American Samoa)

**351.32 Control**

Records transferred to local or FRC storage remain under Postal Service control.

**351.4 Disposal****351.41 Definition**

*Disposal* is the permanent removal of records or information from Postal Service custody using these methods:

- a. Transferring to the National Archives.
- b. Donating to the Smithsonian Institution, local museums, or historical societies.
- c. Selling as waste material (see 351.42).
- d. Discarding.
- e. Physically destroying.

**351.42 Sale**

Paper records whose retention periods have expired may be sold as waste paper, if they do not include information that cannot be disclosed to the general public, such as personal information. (Those records must be destroyed.) The contract for sale must prohibit the resale of the records as records or documents. Film or plastic records may be sold under the same conditions and in the same manner.

**351.43 Destruction**

Records that cannot be sold may be destroyed by shredding, pulping, or burning.

**352 Micrographics****352.1 Definitions****352.11 Micrographics**

*Micrographics* is a technology that reduces any form of information to a microform medium.

**352.12 Microform**

*Microform* is a generic term for any form, either film or paper, that contains microimages; a unit of information, such as a page of text or drawing, too small to be read without magnification.

**352.2 Policy**

Micrographics may be used for the following purposes, if the applications are supported by enough documentation to prove cost-effectiveness and provide maximum compatibility with other micrographic applications, systems, and equipment:

- a. Preservation of deteriorating records.
- b. Production of archival or intermediate records.
- c. Duplication of information for dissemination to other locations.
- d. Increased efficiency in searching records.
- e. Greater security for sensitive records.
- f. Reduction of paper record holdings or use of space.

**352.3 Requirements****352.31 Legal**

Federal statutes provide for the legality and admissibility of microforms that accurately reproduce or form a durable medium for reproducing the original record (28 U.S.C. 1732). To meet the requirements of these statutes, microform records must be produced in the regular course of business and be able to be satisfactorily identified and certified (e.g., by Form 6550, *Declaration of Intent, and Certification of Authenticity*).

- a. Retention of original documents may sometimes be necessary to resolve questions of document authenticity.
- b. If authenticity of documents having legal significance could be subject to question, obtain the advice of the chief field counsel (or for Headquarters organizations, the managing counsel, civil practice) before disposing the original.

**352.32 Archival**

Only original silver halide microfilm has sufficient archival quality to be substituted for documents requiring permanent retention or to produce microforms of permanent retention value.

**352.33 Maintenance and Disposal**

Microforms are subject to all regulations on retention, disclosure, privacy, and security of Postal Service records and information.

**353 Automated Information Processing Security****353.1 General****353.11 Definition**

*Information protection* is the securing of information against unauthorized modification, destruction, or disclosure (intentional or accidental) from collection throughout its intended useful life.

**353.12 Scope**

This policy covers protection of automated information and related resources at all postal facilities. It encompasses protection of information maintained on any equipment or system with automated information processing, storage and/or retrieval capabilities, as well as the related resources that allow processing, storage, and retrieval of the information. These automated systems/equipment can be referred to as any of the following: personal computers (PCs); data processing equipment; minicomputers; microcomputers; microprocessors; office automation systems; stand-alone, shared-logic, or shared-resource systems; process control systems. Related resources include hardware (central processing units (CPUs), terminals, modems, printers, etc.), software (programs and associated documentation), and media (magnetic tapes, disks, diskettes, etc.).

**353.13 Information Life Cycle**

Information must be protected during the information life cycle. This includes information creation/collection, information processing, information use, information maintenance, and information disposal.

**353.2 Policy**

It is Postal Service policy to protect its automated information systems from the hazards described below consistent with the value of the information:

- a. Theft, fraud, or other abuse of information, equipment, or funds.
- b. Unauthorized access to or disclosure of information.
- c. Accidental or unauthorized destruction or modification of information.
- d. Interruption of information processing capability due to equipment malfunction/damage, facility damage, power outage, etc.

**353.3 Responsibility****353.31 Specific****353.311 Management**

Management at all levels must recognize the need for information protection and enforce security policies and procedures.

**353.312 Installation Heads and Vice Presidents**

As records custodians, installation heads and vice presidents are accountable for information, equipment, and systems within their custody including:

- a. Making staff aware of the need for security and developing necessary guidelines and procedures for staff to follow.
- b. Determining whether the level of security provided for a system is appropriate for the value of the information.
- c. Ensuring that Postal Service security policy, guidelines, and procedures are followed in all system activities, including procurement, development, and operation.

- d. Providing the resources to enable employees to carry out their responsibilities for securing information and related resources.
- e. Assigning overall information protection responsibility to a specific individual (e.g., a computer systems security officer).

#### 353.313 **Users**

Individual users of information processing equipment are responsible for:

- a. Following permissible uses of systems, equipment, and information as well as the information disclosure prohibitions under the Postal Service Rules of Conduct (see ELM 668.3).
- b. Protecting systems, equipment, and information assigned to them or in their custody and use.
- c. Using the equipment only for activities approved by management.
- d. Protecting any user IDs and passwords assigned to them.
- e. Notifying management of any security violations of which they are aware.

#### 353.32 **Advisory**

Security assistance to vice presidents, installation heads, and other managers is available from:

- a. *Corporate Information Security Office (CISO)*. The CISO can provide guidance on technical (hardware, software) issues, risk analysis, and contingency planning.
- b. *Postal Inspection Service*. The local postal inspector can provide assistance on physical and personnel security. Consult the deputy chief auditor at Headquarters about audit trails.
- c. *Records Office*. The Records Office can assist with information evaluation and retention issues. Contacts the Records Office at 202-268-2608.
- d. *Supply Management*. Supply Management at Headquarters and purchasing organizations in the field can help with purchase requests for security hardware, software, or services. They can also conduct market surveys of security features available commercially.

#### 353.4 **FLSA Considerations (Reserved)**

#### 353.5 **Information Evaluation**

##### 353.51 **General**

All information maintained on information processing equipment requires some protection. Sensitive information requires a greater degree of protection. Installation heads must evaluate the information they intend to maintain on information processing equipment for its sensitivity and develop security measures consistent with its sensitivity.



**353.52 Sensitive Information**

Sensitive information is information identified by the Postal Service as “restricted” or “critical.” *Restricted information* has limitations on its internal or external disclosure. *Critical information* is information that must be available for the Postal Service to perform its mission and meet legally assigned responsibilities, and for which special precautions are taken to ensure its accuracy, relevance, timeliness, and completeness. (This information, if unavailable, can cause significant financial loss, inconvenience, or delay in performance of the Postal Service mission.)

**353.6 Security Considerations**

The type and degree of security needed varies by the value and sensitivity of the information, the type of equipment used, and the size and general nature of an installation. Installation heads must evaluate their individual situations to determine the degree of security that is practicable without being cost prohibitive. The following issues must be considered when determining security needs:

- a. Procurement.
- b. Risk analysis.
- c. Physical security.
- d. Personnel security.
- e. Hardware operations.
- f. Software.
- g. Audit trails.
- h. Contingency planning.
- i. Training.

**353.7 Information Retention**

Information must be retained as follows:

- a. Retention of information in automated information processing systems must be consistent with official Postal Service records retention schedules.
- b. Procedures must be established for routine purging/disposition of information maintained on diskettes and other storage media.
- c. Retention of information on information processing equipment must be according to Preservation Orders (e.g., as a result of FLSA litigation).

Exhibit 351.11 (p. 1)

**Retention Periods for Post Office Forms**

Form/ Label No.	Title	Retention Period	Cutoff
4	Employee's City or County Withholding Certificate	*3*	
	If superseded	4 yrs	*2*
W 4	Employee's Withholding Allowance Certificate	*3*	
	If superseded	4 yrs	*2*
7	Service Record	3 yrs	*2*
Label 11-A	Express Mail Post Office to Post Office Service	6 mos	*1*
	Corporate Accounts	3 yrs	*1*
Label 11-B	Express Mail Next Day Service Post Office to Addressee	6 mos	*1*
	Corporate Accounts	3 yrs	*1*
Label 11-C	Express Mail Airport to Airport	6 mos	*1*
	Corporate Accounts	3 yrs	*1*
Label 11-E	Express Mail Post Office to Post Office	6 mos	*1*
Label 11-F	Express Mail Post Office to Addressee	6 mos	*1*
Label 11-H	Express Mail Airport to Airport Service	6 mos	*1*
V 11P	Application for Safe Driver Awards (National Safety Council)	4 yrs	*2*
W 15	State Withholding Tax Exemption Certificate	*3*	
	If superseded	4 yrs	*2*
OF 15	Government Property Sales Announcement and Poster Combined	*10*	*1*
OF 16	Sales Slip — Sale of Government Personal Property	*10*	*1*
OF 17	Stamp Requisition:		
	Accounting Unit Copies	4 yrs	*1*
	Stamp Distribution Office Copies	2 yrs	*1*
17-A	Accountable Items Requisition From Stamp Distribution Office:		
	Accounting Unit Copies	4 yrs	*1*
	Stamp Distribution Office Copies	2 yrs	*1*
17-R	Recapitulation Sheet	2 yrs	
25	Trust Fund Account	1 yr	*2*
SF 94	Statement of Witness	3 yrs	*2*
SF 95	Claim For Damage, Injury, or Death	3 yrs	*2*
SF 97	The United States Government Certificate of Release of a Motor Vehicle	3 yrs	*2*
SF 120	Report of Excess Personal Property	*10*	*1*
SF 122	Transfer Order — Excess Personal Property	*10*	*1*
SF 123	Transfer Order — Surplus Personal Property	*10*	*1*
SF 135	Records Transmittal and Receipt	2 yrs	*2*
178	Specific Travel Order — Relocation & Relocation Agreement	1 yr	*1*
FNS 250	Food Coupon Accountability Report	4 yrs	*1*
SF 258	Request to Transfer, Approval and Receipt of Records to the National Archives of the United States	2 yrs	*2*
FNS 260	Requisition for Food Coupon Books	4 yrs	*1*
296	Custody Receipt	*4*	
SF 344	Multiuse Standard Requisitioning/Issue System Document:		
	Vehicle Parts and Fuel Requisitions	3 yrs	*1*
	Other Supply Requisitions	*10*	*1*
OF 346	U.S. Government Motor Vehicle Operator's Identification (Card)	4 yrs	*2*

## Exhibit 351.11 Communications

Exhibit 351.11 (p. 2)

**Retention Periods for Post Office Forms**

Form/ Label No.	Title	Retention Period	Cutoff
542	Inquiry About a Registered Article or an Insured Parcel or an Ordinary Parcel	2 yrs	*5*
571	Discrepancy of \$100 or More in Financial Responsibility	2 yrs	*5*
697	Extension of City Delivery Service	2 yrs	
773	Records Transmittal and Receipt	2 yrs	*2*
835	Quarterly Report of Originating Registered and COD Transactions	1 yr	
961-A	Post Office Property Record:		
	Interim	*6*	
	Permanent	*7*	
969	Material Recycling and Disposal	*10*	*1*
991	Application for Promotion or Assignment	2 yrs	*2*
1000	Domestic Claim or Registered Mail Inquiry	3 yrs	*5*
1011	Travel Advance Request and Itinerary Schedule	1 yr	*1*
1012	Travel Voucher	1 yr	*1*
1017-A	Time Disallowance Record	3 yrs	*1*
1017-B	Unauthorized Overtime Record	3 yrs	*1*
1091-A	Post Office Box Fee Register ( <b>Note:</b> If automated, delete customer record upon termination of service).	2 yrs	*2*
1091-B	Register for Caller Service Fees ( <b>Note:</b> If automated, delete customer record upon termination of service).	2 yrs	*2*
1093	Application for Post Office Box or Caller Service	2 yrs	*2*
1094	Request for Post Office Box Key or Lock Service	2 yrs	*2*
1096	Cash Receipt	4 yrs	*1*
SF 1164	Claim for Reimbursement for Expenditures on Official Business	4 yrs	*1*
SF 1187	Request for Payroll Deduction for Labor Organization Dues	*3*	
1188	Cancellation of Organization Dues from Payroll Withholdings	*3*	
1192	U.S. Savings Bond Authorization for Purchase and Request for Change	13 PPs	*1*
1199A	Direct Deposit	13 PPs	*1*
1216	Employee's Current Mailing Address	*8*	
1221	Advanced Sick Leave Authorization	3 yrs	*1*
1224	Court Duty Leave — Statement of Service	3 yrs	*1*
1230-A	Time Card — Week 1	3 yrs	*1*
1230-B	Time Card — Week 2	3 yrs	*1*
1230-C	Time Card — Other Service	3 yrs	*1*
1234	Utility Card	3 yrs	*1*
1236-A	Weekly Loan, Transfer, and Training Hours	3 yrs	*1*
1242	Court Ordered Child Care or Alimony Payment	3 yrs	*1*
1242-A	Commercial Garnishment Withholding Notice or Wage Earner Plan Allotment Request	3 yrs	*1*
1260	Nontransactor Card		
	Corrections	1 AP	
	Time Card Supporting Documentation	3 yrs	
1261	Nontransactor Report		
	Corrections	1 AP	
	Time Card Supporting Documentation	3 yrs	
1262	PSDS Loaned Employee Non-Transactor Card	1 AP	*1*

Exhibit 351.11 (p. 3)

**Retention Periods for Post Office Forms**

Form/ Label No.	Title	Retention Period	Cutoff
1268	Employee Suggestion Control Record	2 yrs	
1269	Employee Suggestion	2 yrs	*2*
1311	Carrier Transportation Agreement	2 yrs	*2*
1312	Local Transportation Payments:		
	Accounting Unit Copies	4 yrs	*1*
	Carrier Drive-out Agreement Copies	2 yrs	*2*
1314	Regular Rural Carrier Time Certificate	3 yrs	
1314-A	Auxiliary Rural Carrier Time Certificate	3 yrs	*1*
1377	Request for Payment of Postmaster Replacement and/or RSC F. Postmaster Overtime	3 yrs	*1*
1412-A/B	Daily Financial Report:		
	Window Clerk's Forms	2 yrs	
	Station/Branch Copies	2 yrs	
	Accounting Unit Copies (Consolidated with supporting documentation)	4 yrs	*1*
1476	PSDS EMR Items Transcript	*8*	
1481	Register of Checks Drawn on Symbol 9500	4 yrs	*1*
1483	Accounting Copy — 9500 Form	4 yrs	
1508	Statement by Shipper of Firearms	1 yr	*1*
1509	Sender's Application for Recall of Mail	2 APs	
1510	Mail Loss/Rifling Report	1 yr	*5*
1532	Semiannual Check of Overflow Mail	1 yr	
1538	Receipt for Post Office Box/Caller Service Fees:		
	Accounting Unit Copies	4 yrs	*1*
	Post Office Copies	1 yr	*1*
1542	Service Point Delivery Requirements	1 yr	*1*
1551	Accountbook for CAGs A–J	5 yrs	*1*
1552	Accountbook for CAGs K & L	5 yrs	*1*
1553	Statement of Account CAGs K & L	4 yrs	*1*
1554	Statement of Account CAGs H & J	4 yrs	*1*
1555	Statement of Account CAGs A–G	4 yrs	*1*
1555-A	Statement of Account Continuation Sheet	4 yrs	*1*
1556	Suspense Items — Support Information	4 yrs	*1*
1564	Address Change Sheet	1 yr	
1564-A	Delivery Instructions	*6*	
1564-B	Special Orders	1 yr	*2*
1567	Requisition for Rubber Stamps Only	*10*	
1571	Undelivered Mail Report	2 yrs	
1578-B	Requisition for Facing Slips or Labels	1 yr	
1583	Application for Delivery of Mail Through Agent	2 yrs	*1*
1586	Supply Record	*10*	
1597	Work Assignment and Mail Count (Messenger Operations)	1 yr	*1*
1604	Confirmation of Trust Fund Balance	1 PQ	
1608	Emergency Salary Authorization and Receipt	3 yrs	
1621	Delivery Management Report	1 yr	*2*
1627	General Purpose Ruled Form	2 yrs	

## Exhibit 351.11 Communications

Exhibit 351.11 (p. 4)

**Retention Periods for Post Office Forms**

Form/ Label No.	Title	Retention Period	Cutoff
1700	Accident Investigation Worksheet	3 yrs	*2*
1717	Bid for Preferred Assignment	6 mos	*2*
1723	Assignment Order	3 yrs	*1*
1724	Suggestion Log	2 yrs	
1725	Employee Suggestion Evaluation:		
	Adopted Suggestions	4 yrs	*2*
	Disapproved Suggestions	2 yrs	*2*
1726	Employee Suggestion Acknowledgment/Advice:		
	Adopted Suggestions	4 yrs	*2*
	Disapproved Suggestions	2 yrs	*2*
1727	Award Recommendation/Authorization	4 yrs	*2*
1764	Accident Analysis Summary	5 yrs	*1*
1767	Report of Hazard, Unsafe Condition or Practice	5 yrs	*1*
1768	Safe Driver Award Committee Decision	4 yrs	*2*
1769	Accident Report	5 yrs	*1*
1770	Hazardous Materials Incident Report	5 yrs	*1*
1772	Accident Log	5 yrs	*1*
1773	Report of Hazard Log	5 yrs	*1*
1783	On-the-Job Safety Review/Analysis	5 yrs	*1*
1784-A	Safety and Health Inspection Checklist (for Postal Facilities Over 10,000 Square Feet)	5 yrs	*1*
1784-B	Safety and Health Inspection Checklist (for Postal Facilities Less Than 10,000 Square Feet)	5 yrs	*1*
1784-C	Safety and Health Deficiency Report	5 yrs	*1*
1804-C	Postmaster's Certification of SDM Equipment Maintenance	2 yrs	*2*
1813	Late Leaving and Returning Report — First Carrier Delivery Trip	2 yrs	
1838	Carrier's Count of Mail — Letter Carrier Routes	1 yr	*13*
1838-A	Carrier's Count of Mail — Parcel Post and Combination Services Worksheet/Management Summary	1 yr	*13*
1838-B	Parcel Post Firm Delivery Worksheet	1 yr	*13*
1838-C	Carrier's Count of Mail — Letter Carrier Routes Worksheet	1 yr	*13*
1839	Payment Record for Carrier Drive-Out Agreements	4 yrs	*1*
1840	Summary of Count and Inspection — Letter Carrier Route	1 yr	*13*
1840-B	Carrier Timecard Analysis	1 yr	*13*
1846	Quarterly List of Money Orders Issued	2 yrs	
1902	Justification for Billing Accounts Receivable:		
	Local Office Copies — Property Damage	1 yr	*2*
	Local Office Copies — Personal Injury	30 yrs	*2*
	VMF Copies — Over \$10.00	3 yrs	*2*
	VMF Copies — Under \$10.00	2 yrs	*1*
1903-DZ	Invoice and Statement (computer generated)	3 yrs	*2*
1908	Financial Adjustment Memorandum:		
	Clerk/Station/Branch Copies	*9*	
	Accounting Unit Copies	1 yr	
1915	Authorization to Flag Employee's Accounts	3 yrs	
1994	Employee's Work Schedule	3 yrs	

Exhibit 351.11 (p. 5)

**Retention Periods for Post Office Forms**

<b>Form/ Label No.</b>	<b>Title</b>	<b>Retention Period</b>	<b>Cutoff</b>
2007-A	Window Transaction Record	1 yr	
2007-B	Window Transaction Conversion	1 yr	
2007-C	Window Transaction Survey	1 yr	
2016	Mail Theft and Vandalism Complaint	1 yr	*5*
2025	Contract Personnel Questionnaire	1 yr	*2*
2028	Travel Advance Request (Relocation Worksheet)	1 yr	*1*
2081	Contractor Employee Assignment Notification	1 yr	*2*
2106	Adjudication — Tort Claims	3 yrs	*2*
2130	Claim for Loss — Initial Letter:		
	Adjudicating Office Copies	4 yrs	*1*
	Post Office Copies	2 yrs	*1*
2132	Claim for Accountable Financial Loss:		
	Adjudicating Office Copies	4 yrs	*1*
	Post Office Copies	2 yrs	*1*
2146	Employee's Claim for Personal Property	3 yrs	*1*
2198	Accident Report — Tort Claim	3 yrs	*2*
2202	Daily Time Record	3 yrs	
2240	Pay, Leave, or Other Hours Adjustment Request	3 yrs	*1*
2240-R	Rural Pay or Leave Adjustment Request	3 yrs	*1*
2243	PSDS Hours Adjustment Record	3 yrs	*1*
2371-A	MOD 2 Performance Summary — Mail Volume	2 yrs	
2371-B	MOD 2 Performance Summary (Clerk/Mailhandler Workhours)	2 yrs	
2452-A	Performance Evaluation for EAS Employees — General Form	5 yrs	*1*
2452-B	Performance Evaluation for EAS Employees — Supervisors and Managers EAS-19 and Below	5 yrs	*1*
2452-C	Performance Evaluation for EAS Employees — Postmasters EAS-15 and Below	5 yrs	*1*
2456	Narrative of Work Accomplishments	5 yrs	*1*
2480	Driving Record — For Positions That Require Driving	3 yrs	
2548	Individual Training Record — Supplement Sheet	*3*	
2550	Interview Notice	5 yrs	
2591	Application for Employment	2 yrs	*2*
SF 2809	Health Benefits Registration Form:		
	OPF Copies	*3*	
	DDE/DR Site Copies	2 PPs	*8*
SF 2810	Notice of Change in Health Benefits Enrollment:		
	OPF Copies	*3*	
	DDE/DR Site Copies	2 PPs	*8*
2858-C	City Carrier Cost System — FY92	5 yrs	*1*
2858-R	Rural Carrier Cost System — FY92	5 yrs	*1*
2866	Presort Verification Record	1 yr	*1*
2866-IP	In-Plant Verification for Second- and Fourth-Class Matter	1 yr	*2*
2932	Customs Collections Summary	2 yrs	
2933	Register of Uncollected Customs Charges	2 yrs	
2944	Receipt for Customs Duty Mail	4 yrs	

## Exhibit 351.11 Communications

Exhibit 351.11 (p. 6)

**Retention Periods for Post Office Forms**

Form/ Label No.	Title	Retention Period	Cutoff
2960	Inventory Record	2 yrs	
3018	Affidavit of Applicant for Issuance of a Duplicate Postal Check Without the Execution of an Undertaking of Indemnity	3 yrs	*2*
3036	Record of Stamp Stock Requisitions	2 yrs	*1*
3083	Trust Accounts Receipts and Withdrawals	1 yr	*1*
3176	Bank Transaction Record	4 yrs	
3189	Request for Temporary Schedule Change for Personal Convenience	3 yrs	*1*
3205	Requisition for Plain Stamped Envelopes	2 yrs	*1*
3210	Interim Receipt for Stamp Stock Submitted for Redemption	1 yr	*1*
3216	Requisition for Postal Cards — Bulk Quantities	2 yrs	*1*
3217	Order for Forms 3216	2 yrs	*1*
3220	Claim for Stamped Envelope Discount	4 yrs	*1*
3227	Stamps by Mail	*9*	
3227-R	Stamp Purchase Order (Rural)	*9*	
3236	Uniform Allowance Cap Disbursements	4 yrs	*1*
3238	Stamps & Stamped Paper Destruction Certificate: Postmaster's Statement of Account Copies	4 yrs	*1*
	Stamp Distribution Office Copies	2 yrs	*1*
3239	Payroll Deduction Authorization To Liquidate Postal Service Indebtedness	3 yrs	*2*
3239-A	Payroll Deduction Authorization To Liquidate Other Government Agency Indebtedness	3 yrs	*2*
3240	Uniform Allowance Inquiry	1 yr	*5*
3294	Cash and Stamp Stock Count and Summary: Employees' Copies	*9*	*2*
	Postmaster's Copies	2 yrs	*6*
3295	Daily Record of Stamps, Stamped Paper, and Nonpostal Stamps on Hand	1 yr	*1*
3309	Advice of Shipment/Stamp Invoice	2 yrs	*1*
3317-A	Retail and Philatelic Products — Clerks Daily Sales Record: Clerk/Station/Branch Copies	*9*	
	Accounting Unit Copies	1 yr	
3356	Stamp Requisition — Bulk Quantities	2 yrs	*1*
3368	Stamp Credit Examination Record	3 yrs	*2*
3369	Consigned Credit Receipt	3 yrs	*2*
3499	Operations Analysis Report	2 yrs	
3501	Application for Second-Class Mail Privileges	3 yrs	*2*
3501-A	Application to Mail Publications at Second-Class Rates	3 yrs	*2*
3502	Application for Second-Class Mail Privileges	3 yrs	*2*
3503	Record of Deposits Made While Second-Class Application Is Pending	2 yrs	*2*
3508	Requisition for Saleable Items (Other Than Stamps)	4 yrs	*1*
3510	Application for Additional Entry, Reentry, or Special Rate Request for Second-Class Publication	1 yr	*2*
3511	Application for Second-Class (Requester) Mail Privileges	3 yrs	*2*
3526	Statement of Ownership, Management, and Circulation	5 yrs	*1*
3533	Application and Voucher for Refund of Postage and Fees	4 yrs	*1*
3538	Irregular Handling of Undeliverable Second-Class Publication	2 yrs	*5*

Exhibit 351.11 (p. 7)

**Retention Periods for Post Office Forms**

Form/ Label No.	Title	Retention Period	Cutoff
3541-C	Second-Class Certification for Multiple Issues (On the Same Day)	3 yrs	*1*
3541-E	Second-Class Certification for Multiple Issues (Not on the Same Day)	3 yrs	*1*
3541-N	Statement of Mailing — Second-Class Special and Classroom Rates	4 yrs	*2*
3541-R	Statement of Mailing — Second-Class Regular and Science-of-Agriculture Rates	4 yrs	*2*
3543	Record of Second-Class Postage	1 yr	*2*
3544	Post Office Receipt for Money:		
	Accounting Unit Copies	4 yrs	*1*
	Local Office Copies	1 yr	*1*
	VMF Copies	3 yrs	*2*
3548	Review and Verification of Circulation	*6*	
3555	Report of Returned Mail	2 yrs	
3575	Change of Address Order	18 mos	*1*
3575-WWW	Change of Address Order	18 mos	*1*
3582-A	Postage Due Bill	1 yr	
3582-C	Postage Due Invoice:		
	Accounting Unit Copies	4 yrs	*1*
	Local Office Copies	1 yr	*1*
3584	Postage Due Log	4 yrs	*1*
3600-PC	Statement of Mailing with Meter or Precanceled Postage Affixed — First-Class Mail	4 yrs	*1*
3600-R	Statement of Mailing with Permit Imprints — First-Class Mail	4 yrs	*1*
3601	Application to Mail Without Affixing Postage Stamps	3 yrs	*2*
3601-A	License to Use Postage Meter	1 yr	*2*
3602-N	Statement of Mailing with Permit Imprints — Third-Class Mail (Nonprofit Rates Only)	4 yrs	*1*
3602-PC	Statement of Mailing with Meter or Precanceled Postage Affixed — Bulk Third-Class Mail (Regular or Nonprofit Rates)	4 yrs	*1*
3602-PO	Postage Collected Through Post Office Meter:		
	Accounting Unit Copies	4 yrs	*1*
	Local Office Copies	1 yr	*1*
3602-R	Statement of Mailing with Permit Imprints — Third-Class Mail (Regular Rates Only)	4 yrs	*1*
3603	Receipt for Postage Meter Settings:		
	Accounting Unit Copies	4 yrs	*1*
	Local Office Copies	1 yr	*1*
3604	Nonuse Revocation of Mailing Permit or Meter License	1 yr	*2*
3605-PC	Statement of Mailing with Meter Postage Affixed — Priority Mail and Zone-Rated Fourth-Class Mail	4 yrs	
3605-R	Statement of Mailing with Permit Imprints — Priority Mail and Zone-Rated Fourth-Class Mail	4 yrs	
3607	Weighing and Dispatch Certificate	2 yrs	
3608-PC	Statement of Mailing with Meter Postage Affixed Presorted Special Fourth-Class Rate Mail	4 yrs	
3608-R	Statement of Mailing with Permit Imprints Special Fourth-Class and Library Fourth-Class Mail	4 yrs	
3609	Record of Permit Imprint Mailings	1 yr	*2*
3609-PO	Control for Post Office Meter	2 yrs	*2*



## Exhibit 351.11 Communications

Exhibit 351.11 (p. 8)

**Retention Periods for Post Office Forms**

Form/ Label No.	Title	Retention Period	Cutoff
3610	Record of Postage Meter Settings	3 yrs	*2*
3613	Cancellation of Permit	4 yrs	*1*
3616	Report of Quarterly Verification of Metered Mail	2 yrs	
3618	Local Setting of Postage Meter Licensed at Another Office	3 yrs	*2*
3619	Permit Number Record	1 yr	*2*
3620	Permit to Use Precanceled Stamps or Government Precanceled Stamped Envelopes Application	3 yrs	*2*
3623	Application for Special Bulk Third-Class Rates at Additional Mailing Office	3 yrs	*2*
3624	Application to Mail at Special Bulk Third-Class Rates	3 yrs	*2*
3625	Merchandise Return Permit Application	3 yrs	*2*
3650	Statement of Mailing — International Surface Air Lift	4 yrs	
3651	International Statement of Mailing (With Permit Imprints and Bulk Letters to Canada with Postage Meter Affixed)	4 yrs	
3652	Statement of Mailing — International Priority Airmail	4 yrs	
3701	Delivery Survey	2 yrs	
3702	Test Mailing Record	1 yr	
3721	Publication Watch	1 yr	*5*
3743	Delayed Mail Report — All Post Offices	2 yrs	*5*
3749	Irregularities in the Preparation of Mail Matter	1 yr	
3801	Standing Delivery Order	1 yr	*2*
3801-A	Agreement by a Hotel, Apartment House, or the Like	1 yr	*2*
3806	Receipt for Registered Mail	2 yrs	*1*
3815	Plant-Load Authorization, Application, Worksheet and Agreement	3 yrs	*2*
3816	COD Mailing and Delivery Receipt	2 yrs	*1*
3821	Clearance Receipt	2 yrs	
3822	COD Tag Transmittal	2 yrs	
3826	Registry Irregularity Report	1 yr	
3827	Irregularity Report of Insured and COD Mail	1 yr	
3830-A	Registry Dispatch Record	2 yrs	*1*
3841	Post Office Record of Claim	2 yrs	*5*
3845	Annual Verification of Circulation	2 yrs	
3849	Delivery Notice/Reminder/Receipt	2 yrs	
3854	Manifold Registry Dispatch Book	2 yrs	*1*
3854-A	Registered Mail Dispatch Bill	2 yrs	*1*
3861	COD Loss Claim Filed by Sender	*11*	
3861-A	Loss Claim	*11*	
3862	Damage Claim Filed by Sender	*11*	
3863	Damage Claim Filed by Addressee	*11*	
3867	Accountable Mail Matter Received for Delivery	2 yrs	
3871	Receipt Verification — Insured and Returned COD Mail	1 yr	
3877	Firm Mailing Book for Accountable Mail:		
	EMS — Corporate Account Records	3 yrs	*1*
	EMS — Receipts/Mailing Statements	6 mos	*1*
	Domestic Mail Acceptance Receipts	2 yrs	*1*

Exhibit 351.11 (p. 9)

**Retention Periods for Post Office Forms**

Form/ Label No.	Title	Retention Period	Cutoff
3883	Firm Delivery Book for Accountable Mail	2 yrs	*1*
3883-A	Firm Delivery Receipt	2 yrs	*1*
3921	Daily Delivery Unit Volume Recording Worksheet	2 yrs	
3922	Daily Customer Services Unit Volume Recording Worksheet	2 yrs	
3925	Daily Address Information Operations Analysis	2 yrs	
3930	Operations Analysis	2 yrs	
3932	CSMDS Plan Input Sheet	2 yrs	
3956	Authorization for Medical Attention	2 yrs	*1*
3958	Main Stock (or Unit Reserve Stock) Transaction Record:		
	Accounting Unit Copies	4 yrs	*1*
	Stamp Distribution Office Copies	2 yrs	*1*
3959	Daily Recap — Stamp Stock Transactions	2 yrs	*1*
3968	Daily Mail Collection Record	2 yrs	
3971	Request For or Notification of Absence	3 yrs	*1*
3972	Absence Analysis	3 yrs	
3973	Military Leave Control	3 yrs	*1*
3977	Duplicate Key Inventory:		
	Employee's Copy	*9*	
	Postmaster's Copy	2 yrs	*2*
3978-A	Letters and Flats Distribution	1 yr	
3978-B	Parcel Distribution	1 yr	
3978-D	Accountable Mail	1 yr	
3996	Carrier — Auxiliary Control	2 yrs	
3997	Unit Daily Record	2 yrs	
3998	Unit Summary of City Delivery Routes	2 yrs	
3999	Inspection of Letter Carrier Route	1 yr	*1*
3999-A	Deliveries/Inspection Record — Worksheet	2 yrs	
3999-B	Inspection of Collection Route	2 yrs	
4003	Official Rural Route Description	*12*	
4003-A	Official Rural Route Description (Continuation Sheet)	*12*	
4015-A	Rural Carrier Agreement to Use Annual Leave Pursuant to Election of Higher Route Classification	3 yrs	
4015-B	Rural Carrier Agreement to Terminate Guarantee	3 yrs	
4015-C	Rural Carrier Agreement to Terminate Guarantee (Exercising Retreat or Bidding Rights)	3 yrs	
4015-D	Rural Carrier Agreement to Terminate Guarantee	3 yrs	
4015-E	Rural Carrier Agreement to Use Annual Leave Earned to Reduce Actual Work Hours	3 yrs	
4015-F	Rural Carrier Agreement to Use Annual Leave Earned to Obtain Protected Salary	3 yrs	
4024	Request to Repair Roads	1 yr	
4027	Petition for Change In Rural Delivery	1 yr	
4239	Rural Route Count of Mail	*6*	
4240	Rural Carrier Trip Report	3 yrs	*1*
4241	Rural Delivery Statistics Report	*14*	
4241-A	Rural Route Evaluation	*14*	

## Exhibit 351.11 Communications

Exhibit 351.11 (p. 10)

**Retention Periods for Post Office Forms**

Form/ Label No.	Title	Retention Period	Cutoff
4248	Rural Route Inspection Report	2 yrs	*1*
4314-A	Consumer Service Card (Spanish)	1 yr	*5*
4314-C	Consumer Service Card	1 yr	
4315	Evaluation of Routes for Motorization	2 yrs	
4460	Vehicle Record/Trip Ticket	3 yrs	
4503	Vehicle Delivery Control Sheet	1 yr	*2*
4508	Vehicle Maintenance Facility Inventory Order	3 yrs	*1*
4509	VMF Inventory Purchase	3 yrs	*1*
4513	Scheduled/Unscheduled Maintenance Record	3 APs	*1*
4513-A	Scheduled/Unscheduled Shop Maintenance Record	3 APs	*1*
4515	Vehicle Assignment Justification and Request	1 yr	*2*
4516	Emergency Vehicle Hire Use	2 yrs	*2*
4523	Damage Claim Certification — Hired Vehicle:		
	VMF Accident Case File Records	3 yrs	*2*
	Vehicle Hire Records	2 yrs	*2*
4527	Mail Hauling Vehicle Requirements	1 yr	*2*
4529	Perpetual Inventory Parts	3 yrs	
4533	MVS Schedule	1 yr	*1*
4534	Inventory Adjustment Record and Parts Transferred Between VMFs	3 yrs	*1*
4539	Railroad Van Movement Log	6 mos	*1*
4541	Order-Invoice for Vehicle Repair (Commercial Work Order)	3 yrs	*2*
4551	Projected Fleet Requirements	1 yr	*2*
4565	Vehicle Repair Tag	on completion of work order	*2*
4567	Commercial Service Station Procurement Record	1 yr	*1*
4569	Vehicle Use Plan	*6*	
4570	Vehicle Time Record:		
	Accident Records	3 yrs	*2*
	Vehicle Hire Records	2 yrs	*2*
	Vehicle Time Records	3 APs	*1*
4572	Tractor Log	6 mos	*1*
4574	Daily Record of Gasoline, Diesel Fuel, and Motor Oil Issued	1 yr	
4575	MVS Vehicle Survey	*6*	
4575-A	Five Day Summary — Motor Vehicle Service Vehicle Utilization	*6*	
4577	Leased Vehicle Condition Report:		
	Requirements Survey Records	1 yr	*1*
	Vehicle Hire Records	2 yrs	*2*
4582	Operator's Record	4 yrs	*2*
4584	Observation of Driving Practices	4 yrs	*2*
4586	Accident Information:		
	Over \$10.00	3 yrs	*2*
	Under \$10.00	2 yrs	*2*

Exhibit 351.11 (p. 11)

**Retention Periods for Post Office Forms**

Form/ Label No.	Title	Retention Period	Cutoff
4587	Request to Repair, Replace, or Dispose of Postal-Owned Vehicle	1 yr after sale of vehicle	
4594	Vehicle Sales Request and Report	1 yr after sale of vehicle	
4595	Sale-Purchase Agreement (Vehicles)	3 yrs	*2*
4597-A	Issuance and Inventory of Supplemental Metric Tool Kit — Auto Mechanic	*4*	
4625	Mounted Tires and Batteries Authorized for Fleet Use	*6*	
4626	Vehicle Fuel and Motor Oil Purchase Record	3 yrs	*1*
4686	Shipping Order	3 yrs	*1*
4686-A	Shipping Order	*10*	*1*
4703	Out of Order (Trailer Tag)	1 AP	*1*
4707	Out-of-Order Tag:		
	VMF Copies	1 AP	*1*
	All Other Copies	*10*	*1*
4805	Maintenance Work Order Request	2 yrs	
4835	Repair and Alteration Inspection Report	2 yrs	
4841	Fuel and Utilities Record	2 yrs	
4851	Housekeeping Inspection	1 yr	
4852	Workload Analysis and Summary	2 yrs	
4871	Relocation — Miscellaneous Expense Allowance Claim	1 yr	*1*
4872	Claim for Subsistence Expenses — Temporary Quarters	1 yr	*1*
4877	Reimbursement of Real Estate Expenses — Change of Official Station	1 yr	*1*
4984	Repair Parts Requisition:		
	Parts and Fuel Inventory Records	3 yrs	*1*
	Vehicle Maintenance Agreement Records	1 yr	*2*
5201	Mail Van Inspection	2 yrs	*2*
5397	Contract Route Extra Trip Authorization	1 yr	*2*
5398	Transportation Performance Record	2 yrs	*2*
5399	Contract Routes Performance Record	2 yrs	*2*
5406	Box Delivery Contract Route Survey	7 yrs	*2*
5407	Highway Contract Route Survey/Service Change	7 yrs	*2*
5420	Certification of Insurance	7 yrs	*2*
5427	Express Mail Corporate Account/Custom Designated Form	7 yrs	*2*
5429	Certification of Exceptional Contract Service Performed	7 yrs	*2*
5431	Contract Route Box Customer Notice	3 yrs	*2*
5443	Summary of Passport Applications Accepted	7 yrs	*2*
5461	Amount Due Deceased Contractor	3 yrs	*2*
5463	Highway Mail Transportation Performance Report	7 yrs	*2*
5466	Late Slip	15 days	*2*
5479	Contract Adjustments	7 yrs	*2*
5496	Adjustment Analysis and Report	7 yrs	*2*
5500	Contract Route Irregularity Report	1 yr	*2*
5500-A	Contract Route Irregularity Report	1 yr	*2*
5505	Cost Evaluation — Postal Vehicle Service vs. Contract Service	1 yr	*2*

## Exhibit 351.11 Communications

Exhibit 351.11 (p. 12)

**Retention Periods for Post Office Forms**

Form/ Label No.	Title	Retention Period	Cutoff
5625	Express Mail Custom Designed Service Receipt	6 mos	*1*
	Corporate Accounts	3 yrs	*1*
5625-C	Express Mail Custom Designed Service	6 mos	*1*
	Corporate Accounts	3 yrs	*1*
5631	Express Mail Service Agreement	4 mos	*2*
5637	Express Mail Corporate Account/Custom Designed Form	4 mos	*2*
5639	Express Mail Corporate Account Application	3 yrs	*2*
5659	Passport Application Transmittal	3 mos	*1*
5660	Summary of Passport Applications Accepted	3 mos	*1*
5674	EMS — Express Mail International Service Manifest:		
	Suspense Copies	*11*	
	Signed Copies	6 mos	*1*
5908	Driver Instructor/Examiner Certificate	4 yrs	*2*
5909	Road Test Examiner's Certificate	4 yrs	*2*
5932	Initial Road Test Checklist	4 yrs	*2*
5942	Evaluation for Initial-Level Supervisor Position	2 yrs	
6349	Issued Money Order Sales Record	2 yrs	
—	Money Order Tapes	4 yrs	*1*
6387	Rural Money Order Transaction	1 yr	
6401	Domestic Money Order Inquiry	2 yrs	*5*
6990	Invoice — Money Order Forms	4 yrs	
7020	Authorized Absence from Workroom Floor	3 yrs	*1*
7340	Shipping Instructions for Excess Property	*10*	*1*
7340-A	Shipping Instructions for Excess Property — Vehicles	1 yr	*2*
7345	GBL Certification	1 yr	*2*
7364	Serviceable Property Tag	*10*	*1*
7364-A	Property Tag (Restricted Use)	*10*	*1*
7376	Abstract of Bids Received	1 yr	*2*
7380	MDC Supply Requisition	*10*	*1*
7381	Requisition for Supplies, Services, or Equipment:		
	VMF Copies (Fuel)	3 yrs	*1*
	All Other Copies	*10*	*1*
7382	Additional General Provisions for Service Contracts	7 yrs	*2*
7405	Transportation Services Bid or Proposal and Contract for Regular Service	7 yrs	*2*
7406	Amendment to Transportation Services Contract	7 yrs	*2*
7407	Basic Surface Transportation Services Contract — General Provisions	7 yrs	*2*
7435	Solicitation for Transportation Services Contract	7 yrs	*2*
7438	Purchase Order Register	3 yrs	
7439	Solicitation Record — Emergency Highway Contract	7 yrs	*2*
7440	Contract Route Service Order	7 yrs	*2*
7440-A	Change in Schedule Notice	7 yrs	*2*
7440-B	Continuation Sheet for Forms 7440 and 7440-A	7 yrs	*2*
7444	Local Purchase Order	3 yrs	
7445	Inquiry Concerning Renewal of Transportation Services Contract	7 yrs	*2*

Exhibit 351.11 (p. 13)

**Retention Periods for Post Office Forms**

Form/ Label No.	Title	Retention Period	Cutoff
7447	Transportation Services Renewal Contract for Regular Services	7 yrs	*2*
7448	Notice of Renewal of Transportation Services Contract for Regular Services	7 yrs	*2*
9528 OC	Advice of Shipment — Stamp Invoice	4 yrs	

\*1\* The cutoff point is based on a point in time, e.g., at the end of a Pay Period, Calendar Month, Accounting Period, Postal Quarter, Fiscal Year, Calendar Year, etc.

\*2\* The cutoff point is based on the occurrence of an event, e.g., such as when selection has occurred, when the equipment is disposed, on revocation/cancellation of a permit/license, expiration of a contract/agreement, closing of an account, closing of a Post Office Box/Caller Service, or when the form is completely filled.

\*3\* Maintain on the permanent (right-hand) side of the employee's official personnel file.

\*4\* Return to individual or destroy when accountability is terminated.

\*5\* Destroy after problem resolution.

\*6\* Destroy when updated/superseded or a subsequent review is completed.

\*7\* Retain until equipment is transferred/disposed, then forward to the information service.

\*8\* Destroy after computer processing is verified.

\*9\* Dispose after audit of accountability/next stamp credit examination, or resolution of differences, whichever is longer.

\*10\* Dispose of in not less than 1 year, and not more than 2 years.

\*11\* Discard on receipt/receipt of signed copy.

\*12\* Retain the most recent complete copy of PS Form 4003 and 4003-A. Forms 4003 and 4003-A showing only the lines changed may be removed when complete Forms 4003 and 4003-A are prepared that include these changes. Form 4003, OPF copy, must be retained permanently.

\*13\* Retain the most recent forms for the carrier holding the bid assignment. Dispose of forms 1 year after new mail counts and inspection date supersedes previous data.

\*14\* Retain latest copy. All others may be destroyed after 3 years.

## 36 World Wide Web-Based Communications

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### 361 Intranet

The U.S. Postal Service Intranet home page (<http://blue.usps.gov>) provides a common access point to corporate-wide information intended for employee use. It provides access to internal policies and procedures, postal events, current postal news, human resource information, and electronic tools. It also provides direct access to various administrative web pages that provide detailed information about Postal Service functional groups, including both Headquarters organizations and field units at the area and district levels. This web site is indexed so that users can search for specific information. The functional areas participating are responsible for keeping their information accurate and up-to-date.

### 362 Internet

The U.S. Postal Service Internet web site (<http://www.usps.com>) provides a full set of services for Postal Service customers. There are four primary categories of information on the site: Post Office, Store, Business, and Inside the Postal Service. Interactive pages include lookups for ZIP codes, post offices, and other specialized postal facilities; stamp purchasing; Express Mail tracking and Delivery Confirmation; domestic and international rate calculators; Java-based postage statements; and an online change of address form. Other key pages include rates in a variety of formats, rate case information, national job postings, print-on-demand Portable Document Format forms, a wide range of postal publications, and complete consumer information. The site also provides news releases and speeches and special news features. The site is indexed so that users can search for specific information. The functional areas participating are responsible for keeping their information accurate and up-to-date.

## 37 Printing, Copying, and Duplicating

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### 371 General

#### 371.1 Scope

Postal installations producing or purchasing conventional and/or electronic printing, duplicating, or related services must follow regulations and procedures in this subchapter; the *Purchasing Manual* (PM); and other applicable policy documents.

**371.2 Policies****371.21 Printing, Copying, and Duplicating**

All printing, copying, and duplicating produced by or purchased for postal installations must pertain to the mission of the Postal Service. Requesters review material to ensure that nonessential printing and duplicating are eliminated and that printed and duplicated material is planned, edited, produced, and distributed economically.

**371.22 Procurement**

The *Purchasing Manual* and Handbook AS-707, *Procurement Handbook*, include policy and procedures for purchasing services, including printing and duplicating.

**371.23 Production**

The printing function (including personnel and related equipment) should be centralized if more than one postal facility is in the same building or vicinity. To the maximum extent practicable, use centralized printing, copying, and duplicating centers to meet the needs of field facilities.

**371.3 Responsibilities****371.31 Servicewide**

Printing, copying, and duplicating costs must be managed to ensure adequate planning, administrative control, and use of standard production economies and compliance with the environmental policies in 553.

**371.32 Printing Purchasing**

Printing Purchasing is the Postal Service central printing authority and is responsible for:

- a. Providing policy promoting the effective and economical use of printing, copying, duplicating, and related processes within the Postal Service.
- b. Supervising and making policy for the Headquarters Print Shop.
- c. Maintaining liaison with the Congressional Joint Committee on Printing, the Government Printing Office, and federal executive agencies on printing and duplicating matters.
- d. Approving (or disapproving) requests for Headquarters printing, copying, and duplicating equipment, and requests for equipment that exceed field approval authority (see 372.12).
- e. Providing technical assistance to Headquarters and the field on all printing matters (including the consolidation and centralization of duplicating facilities).
- f. Purchasing Hypertext Mark-up Language (HTML) coded composition of approved documents (MI AS-840-98-2, *Dissemination of Postal Information, Products, and Services via the World Wide Web*) and repurposing of printed material for online access.



**371.33 Field**

Area and/or district offices should each designate an administrative manager to approve requests for printing, copying, and duplicating. The designated administrative manager:

- a. Reviews requests to ensure that the request is necessary, up-to-date and accurate, and follows Postal Service policies and procedures.
- b. Studies existing equipment systems to assess the need for improvements and to demonstrate, using cost comparison, efficiency paybacks or other techniques, the economic worth of any proposed investment in equipment systems.
- c. Makes sure that duplicating and copying are done properly and economically.
- d. Centralizes printing, copying, and duplicating work, where practicable (see 371.23).
- e. Maintains an inventory of duplicating equipment and cost and production data related to that equipment.
- f. Reviews and ensures the adequacy of duplicating procedures and record keeping.

**371.4 Definitions****371.41 Processes**

Definitions of processes follow:

- a. *Printing (Duplicating)* — a production process that includes composition, platemaking, presswork, binding, and microfilming.
- b. *Copying* — reproduction of documents by processes such as diazo, electrostatic copying processes, or laser printing.

**371.42 Types of Printing**

Definitions of types of printing follow:

- a. *Headquarters printing* — printing produced at or purchased through Headquarters for use anywhere in the Postal Service.
- b. *Field printing* — all printing produced at or purchased through field facilities or the Purchasing and Materials Service Centers (PMSCs) primarily for area use.

**371.43 Printing and Duplicating Terms**

Definitions of printing and duplicating terms follow:

- a. *Camera copy* — any furnished material (including text copy, pictures, and artwork) ready to be photographed for subsequent printing.
- b. *Manuscript* — any material (text output, handwritten, electronic, or excerpts from previously printed material) to be composed in type or scanned and electronically manipulated into page format before printing and/or output to disk for multimedia purposes.

- c. *Composition* — data capture and arrangement with specific type fonts and formats. The end product may be camera copy or various types of disks to be used for platemaking in conventional printing and/or for multimedia publishing, such as CD-ROM and Internet.
- d. *Hypertext Mark-up Language (HTML)* — a special software language used to create hypertext and hyperlinks so that implementation can be easily viewed on the Internet or Web.
- e. *Presswork* — reproduction of printed matter by an offset duplicator or printing press.

## 371.5 Copyrights

### 371.51 Reproducing Copyrighted Material

#### 371.511 Policy

The rights of the copyright owner must be recognized, and permission should be sought, when reproduction of copyrighted material exceeds fair use (see 17 U.S.C. 107). Under the law, the Postal Service may not be enjoined from using copyrighted material. Should it be necessary to reproduce copyrighted material, and the parties cannot agree on the terms for that reproduction, the copyright owner's sole remedy is a suit for reasonable compensation in the United States Claims Court (see 28 U.S.C. 1498b).

#### 371.512 Procedure

On each piece or portion of copyrighted material reproduced, the following information must appear: the word *Copyright* or the abbreviation *Copr.* or the symbol ©, followed by the date of copyright and the name of the copyright proprietor. For example, *Copyright 1988 John Doe*. This information protects the work against infringement by persons who otherwise would be unaware that the material is copyrighted.

#### 371.513 Responsibility

The office requesting reproduction is responsible for ensuring that the copyright notice is on all reproduced copyrighted work.

### 371.52 Copyrighting Postal Service Material

Consider copyrighting in the name of the Postal Service any publications (including pamphlets and newsletters) intended for public distribution, if they are considered important enough to warrant control by the Postal Service now or in the future. Information about copyrights can be obtained from the general counsel at Headquarters (see DMM G013).

## 371.53 Trademarks and Service Marks

#### 371.531 Registered Marks

The registered Postal Service trademarks and service marks are published in DMM G013.

#### 371.532 Requirements

Proper use of these registered marks and marks proposed or pending registration are prescribed in DMM G013.

**371.533 Reference**

Additions to the list of Postal Service trademarks are announced in the *Postal Bulletin*. Specific questions about proper use of the Postal Service's trademarks and service marks and concerns over their apparent misuse by others may be directed to the general counsel at Headquarters.

**371.54 Corporate Identity**

All printing must adhere to the guidelines set forth in Publications 500 A–F.

**371.6 Restrictions****371.61 Duplicating****371.611 Quantities**

No more than 5,000 production units of any one page or 25,000-page units of multiple-page jobs may be produced in-house, unless a cost comparison shows that the work can be produced in-house at a lower cost than it can be purchased from outside sources. Jobs that cannot be produced cost effectively in-house must be procured.

**371.612 Prohibited Equipment**

[Exhibit 372.12](#) lists equipment authorized for field duplicating activities. To clarify the specific types of equipment prohibited from use, the following list is provided:

- a. *Process cameras* — cameras used in the printing process for enlarging, reducing, same-size copying, and color separation. Typical end products are negatives, positives, photostats, and halftones.
- b. *Automatic film processors* — machines that develop, fix, and dry negatives, positives, or photostats automatically.
- c. *Platemakers* — devices that use film negatives or positives to expose sensitized paper or metal plates; also machines that automatically develop plates exposed from film negatives and/or positives for similar image carriers.
- d. *Offset duplicators/presses* — Machines with an image area larger than 10 3/4 x 14 1/4 inches.
- e. *Multiunit office duplicators/presses* — machines that print more than one unit (up to 10 3/4 x 14 1/2 inches is a unit) with 1 pass through. Examples are machines that have an image area larger than 10 3/4 x 14 1/4 inches, print both sides of the sheet simultaneously, or a combination of large image and multiside printing.
- f. *Multicolor offset duplicators/presses* — machines that print in more than one color.
- g. *Letterpress* — machines using raised surfaces that are inked and pressed against paper. Examples include sign machines, numbering and imprinting machines, and foil-stamping equipment.
- h. *Flexographic presses* — machines that print from engraved plates.
- i. *Gravure presses* — machines that print from engraved plates.

- j. *Automatic screen printing presses* — machines that use screen materials as image carriers and automatically print and cycle paper or substrates.
- k. *Paper cutters* — power-operated machines over 31 inches wide.
- l. *Drilling machines* — machines with more than three spindles.
- m. *Folding machines* — machines with sheet capacity larger than 14 x 24 inches.
- n. *Power-operated book trimmers* — machines that cut the edges of a book to trim square.
- o. *Plate coaters* — machines that coat the surface of printing plates with photographic emulsions or special effects.

### 371.62 **Printing Included in Contracts**

#### 371.621 **Contractors**

Do not use contractors as a primary or substantial source of printing. Contracts for supplies or services may not provide for printing unless Printing Purchasing determines that such work is nonroutine and can be properly justified.

#### 371.622 **Copy Requirements**

This section does not apply to contract requirements for duplication of fewer than 5,000 copies of one page or fewer than 25,000 copies total of multiple pages.

### 371.63 **Directives and Forms**

Headquarters directives and other official issuances may not be reprinted unless approved by Corporate Publishing and Information Management (CPIM), Information Systems.

### 371.64 **Paper Standards**

#### 371.641 **General**

Government Paper Specification Standards or commercially available commodity-line papers must be used in specifying paper stocks for printing or duplicating use. See [Exhibit 371.641](#) for EPA standards for this material.

#### 371.642 **Recycled Paper**

Organizations must use recycled paper for all printed products produced in-house or purchased from commercial sources where recycled paper is available within a reasonable time period, for a reasonable price, and is within performance requirements. See [Exhibit 371.641](#) for EPA standards for this material.

Exhibit 371.641

**EPA Standards for Paper Products****Table 1**

EPA-Recommended Minimum-Content Standards for Selected Papers and Paper Products

<b>Paper and Paper Products</b>	<b>Minimum Percent of Waste Paper</b>
Offset Printing	50
Mimeo and duplicator paper	50
Writing paper (stationery)	50
Office paper (e.g., note pads)	50
Paper for high-speed copiers	50*
Envelopes	50
Forms bond, including computer paper and carbonless	50*
Bond papers	50
Book papers	50
Ledger paper	50
Cover paper	50
Cotton fiber paper	25 percent recovered cotton or linen fiber, plus 50 percent waste paper

\*The percentage is obtained from Procurement Guidelines Advisory #2; the paper guideline does not recommend a percentage.

**Table 2**

<b>Paper and Paper Products</b>	<b>Minimum Percent of Postconsumer Recovered Material</b>
Newsprint	40
Tissue Products:	
Toilet tissue	20
Paper napkins	30
Paper towels	40
Facial tissue	5
Doilies	40
Unbleached Packaging:	
Corrugated boxes	35
Fiber boxes	35
Brown papers (e.g., bags)	5
Paperboard products, including folding cartons	80
Pad backing	90

371.65 **Printing Prohibitions**371.651 **Greeting Cards**

Printing or engraving of greeting cards at Postal Service expense is prohibited.

371.652 **Commercial Advertisements**

Printed material may not include any advertisements by or for any private individual, firm, or corporation; or any material that implies that the Postal Service endorses or favors a specific commercial project, commodity, or service.

**371.653 Private or Commercial Work**

No printing or duplicating of a private or commercial nature may be done at any Postal Service installation. This rule applies even if the Postal Service is to be reimbursed.

**371.654 Stationery**

- a. *Embossed.* Do not print embossed or thermographic stationery.
- b. *Personalized.* Do not print or overprint names of officials or telephone numbers on official stationery unless authorized by the manager of Corporate Identity.

**371.66 Artwork and Credits****371.661 Art Signatures**

Signatures on artwork must be in proportion and relation to the design. Signatures of technical illustrators, designers, typographers, or layout artists are not printed.

**371.662 Illustrations**

If illustrations are used, they must:

- a. Relate to the subject to explain the text.
- b. Not serve to aggrandize any individual.
- c. Be in good taste.
- d. Be restricted to the minimum size necessary to accomplish their purpose.

**371.663 Courtesy Credit Lines**

Courtesy credit lines are treated as follows:

- a. When uncopyrighted material is contributed or lent, courtesy credit lines are permitted. They must be in the smallest practical type face, subordinate to both text and illustration.
- b. No credit is given when material is purchased.
- c. When material comes from a single nongovernmental source, credit is given in an undisplayed preliminary paragraph, rather than on individual pages.
- d. Employee bylines in Postal Service publications are printed next to the article or picture created by the employee.
- e. Authors' names are not printed on the covers of publications. This restriction does not apply to backstrips (spines), self-covers, or title pages.
- f. Printed mastheads of Postal Service newsletters or bulletins must include the legend *U.S. Postal Service* and the name of the issuing office. Names of the office head, managing editor, sports editor, photo editor, and art director, or their editorial equivalents, are the only additional names that may be included.

371.67

## Communications

371.67 **Mailing**371.671 **General**

The Postal Service expects all official mail to be automation-compatible to take full advantage of automated mail processing equipment. *Automation-compatible* means the mail is machinable and the address, ZIP+4, delivery point barcode, facing identification mark, and permit indicia are correct.

372 **Copying and Duplicating**372.1 **General**372.11 **Use**

Copying, duplicating, and related equipment is furnished to field offices for short-run administrative work (see 371.61 for restrictions).

372.12 **Equipment Authorized**

[Exhibit 372.12](#) shows copying, duplicating, and related equipment authorized for field duplicating. Procurement is not automatic. Justify each item on a demonstrable need basis. Prepare documentation for all capital and expense projects using Publication 191, *Capital Investment Policies and Procedures*.

Exhibit 372.12

**Copying, Duplicating, and Related Equipment Authorized for Field Duplicating Activities**

<b>Equipment</b>	<b>Description</b>	<b>Approved by HQ (1)</b>	<b>Approved by Districts (2)</b>
Offset Presses	Small sheet-fed offset press used for fast reproduction of copies in sizes from 3" x 5" up to 14" x 20". Web offset press in 11" and 17" roll width.	X	
Computerized Offset System	Automated in-line system that includes platemaker, offset press, and collating module.	X	
Electronic Publishing System	Stand-alone and in-line computerized publishing system used for printing production and preparation of camera copy for printing or publishing purposes.	X	
Laser & Digital Printers	In-line computer printers used for production of printed materials; e.g., manuals, handbooks, brochures, etc., and other non-ADP type printed documents.	X	
Copier Duplicators	Electrostatic copying equipment that produces copies at more than 85 copies per minute and color copiers.	X	
Copy Machines	Electrostatic copying machines that produce copies up to 85 copies per minute.		X
Offset Platemaker	Machines that produce offset printing plates through a photographic process not requiring use of negatives.	X	
Bindery Equipment	Power-operated collating, folding, drilling, cutting, inserting, stapling, and other related finishing equipment.	X	

**Note:** All lithographic cameras and platemaking systems requiring use of reusable metal plates and negatives are not authorized for field duplicating centers.

**372.13 Standard Size**

The standard production page unit for offset printing, photocopying, and other duplicating equipment is 8 1/2 by 11 inches.

**372.2 Acquiring Services****372.21 Requests for Duplicating and Microforms**

Use Form 1576, *Requisition for Duplicating Service*, or Form 7381, *Requisition for Supplies, Services, or Equipment*, to request duplicating and related services. The designated administrative official reviews and approves the request and retains one copy of the form for 1 year.

**372.22 Log — Centralized Duplicating Facility**

Use Form 1858, *Duplicating Control Register*, to log duplicating jobs. Keep these logs for 1 year.



**372.23 Sources**

Copying and duplicating may be purchased from:

- a. Government sources such as:
  - (1) Government Printing Office (GPO) and satellite facilities.
  - (2) Federal Prison Industries (UNICOR).
  - (3) Other federal agencies authorized to provide in-house production on a reimbursable basis.
  - (4) General Services Administration (GSA).
- b. Direct purchase from commercial sources up to the authority delegated for supplies and services.

**372.3 Acquiring Equipment****372.31 Scope**

These procedures apply to the purchase, rental, or transfer of copying, duplicating, and related equipment.

**372.32 Transfer****372.321 Postal Service Excess Equipment**

The PMSCs maintain an inventory of all excess equipment in area and are authorized to transfer those items from one installation to another.

**372.322 Other Agency Surplus Equipment**

With appropriate approval, as in [Exhibit 372.12](#), field facilities may obtain surplus equipment from other federal agencies.

**372.33 Purchase or Rent****372.331 Requests**

Requisition purchase or rental of items on Form 7381, *Requisition for Supplies, Services, or Equipment*. Justify each item on a demonstrable need basis and obtain approvals as required by [Exhibit 372.12](#). Provide a decision analysis and cost benefit analysis using Publication 191, *Capital Investment Policies and Procedures*.

**372.332 Approvals**

The following apply:

- a. *Field*. Forward requests for items in column 2 ([Exhibit 372.12](#)) to the appropriate district for final approval.
- b. *Headquarters*. Forward requests for items in column 1 of [Exhibit 372.12](#) to the manager of Printing Purchasing for final approval.

**372.333 Filling Requests**

Requests that cannot be filled from excess or surplus equipment are purchased or rented by the PMSCs.

#### 372.4 **Replacement Criteria**

##### 372.41 **High-Speed Copying Equipment**

Normal depreciation for high-speed copying equipment (more than 85 copies per minute) is 5 years.

##### 372.42 **Slower Copying Equipment**

Normal depreciation for slower copying equipment (fewer than 85 copies per minute) is 4 years.

### 373 **Printing**

#### 373.1 **Headquarters Printing**

Printing Purchasing is responsible for all Headquarters printing. Printing Purchasing determines how Headquarters printing requirements are filled (i.e., in-house, by the Government Printing Office, or by direct contract with commercial sources).

#### 373.2 **Field Printing**

##### 373.21 **Responsibility**

Printing, binding, and related services are procured by the PMSCs.

##### 373.22 **Procurement**

The servicing PMSC is responsible for determining the procurement method for each printing requirement. Field printing may be procured from several sources as follows:

- a. Government sources such as:
  - (1) Government Printing Office (GPO) and satellite facilities.
  - (2) Federal Prison Industries (UNICOR).
  - (3) Other government agencies authorized to provide in-house production on a reimbursable basis.

**Note:** Printing cannot be purchased from the General Services Administration.
- b. Direct purchase from commercial sources up to the authority delegated for supplies and services.

##### 373.23 **Requisitioning**

##### 373.231 **GPO**

These procedures are to be used for requisitioning through the GPO:

- a. No orders to GPO can be accepted on Postal Service purchase orders. Requisitions for printing and binding services must be made on the following forms:
  - (1) For individual jobs: Standard Form 1, *Printing and Binding Requisition to the Public Printer*, or SF 1C, *Printing and Binding Requisition for Specialty Items*.

(2) For term contracts: GPO Form 2511, *Memorandum Order and Supplementary Specifications*.

- b. GPO prefers that all orders for requirements on term contracts be submitted through their regional printing procurement offices (RPPOs). If schedule requirements do not permit time for processing through the RPPOs, arrangements may be made between the ordering office and the RPPO manager for the ordering office to place its orders directly with the GPO contractor.

#### 373.232 **GPO Requisition Numbering**

Requisitions are numbered uniformly with no more than 12 characters consisting of fiscal year, sequential requisition number, and finance number. The following example illustrates this system:

4-00049-102710

4 = Fiscal Year.

00049 = Sequential requisition number (starting with 00001 each FY).

102710 = Finance number of the facility/office that initiated the requisition (Form 7381). This finance number is not the procurement office shown in a purchase order number but the office paying for the printing.

#### 373.233 **Billing Address Code**

Include the GPO-supplied, 6-digit billing address code on all requisitions for GPO services. Call GPO at (202) 512-1189 for application instructions.

#### 373.234 **Other Government Agency Orders**

Offices with contracting authority place all interagency requisitions on a purchase order.

### 373.3 **Commercial Field Printing**

Process printing purchased directly from commercial sources following the *Purchasing Manual* and Handbook AS-707, *Procurement Handbook*. Execute all orders on a Postal Service purchase order or other approved contract document.

## 374 **Business Cards**

### 374.1 **Policy**

#### 374.11 **Authorized Users**

Printing business cards at Postal Service expense is authorized for Postal Service personnel only:

- a. If their duties require them to meet with persons outside the Postal Service in circumstances where business cards would facilitate the conduct of postal business.
- b. When the procurement of cards is approved by an authorized official.

374.12 **Use**

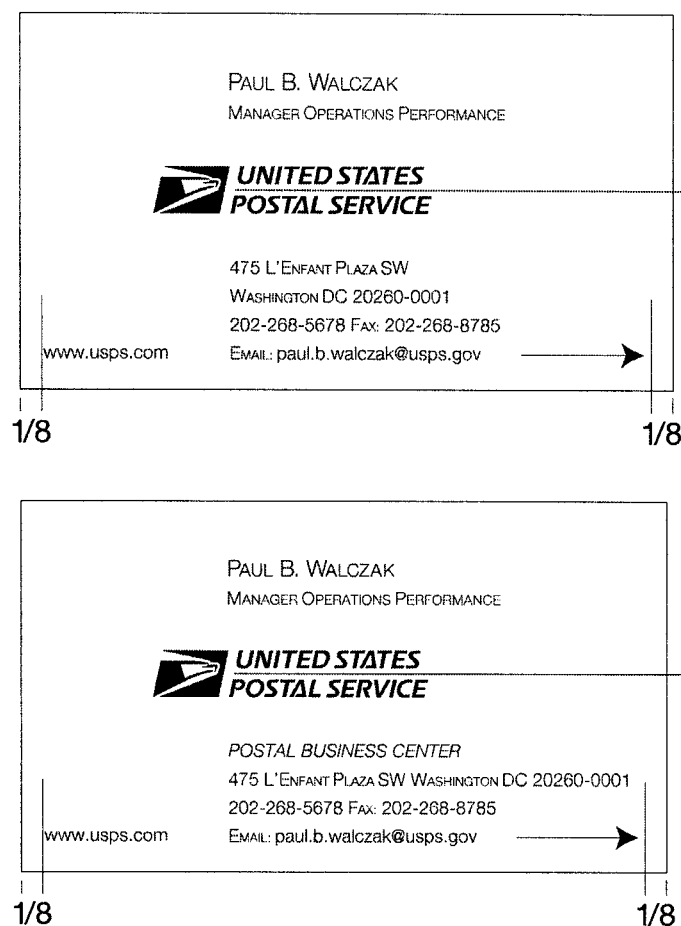
This policy is not intended to stimulate any widespread authorization of business cards. Before approving procurement of business cards, authorizing officials must consider carefully the nature, frequency, level, and circumstances of outside contacts assigned by a position.

374.2 **Ordering Cards**

Ordering organizations may purchase cards through a Headquarters or area office contract. [Exhibit 374.2](#) shows the standard design. Only officers, governors, and 10 vice presidents of area operations are entitled to the three-color engraved format. Send orders for engraved cards to:

PROFESSIONAL PRINTING AND CREATIVE SERVICES CMC  
UNITED STATES POSTAL SERVICE  
475 L'ENFANT PLAZA SW RM 4541  
WASHINGTON DC 20260-6237

Exhibit 374.2

**Standard Design for Business Cards**

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# 4 Relations With Other Organizations

## 41 Military Post Offices

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### 411 Description

A military post office is a branch of a designated Postal Service post office that is operated by the Army, Navy, Air Force, or Marine Corps to serve military personnel afloat or overseas. The term includes Army and Air Force post offices (APOs) and Navy and Marine Corps post offices (FPOs). Military post offices provide postal service for military personnel in areas where the Postal Service does not operate and in other places where the military situation requires it.

### 412 Establishment and Discontinuance

A military post office is established or discontinued only on request of the Department of Defense or the military department that will operate it. The Postal Service authorizes and discontinues these units, and the changes are published in the *Postal Bulletin*.

## 42 Services

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### 421 General

#### 421.1 Policy

#### 421.11 Conditions

The Postal Service cooperates with federal agencies by providing facilities and nonpostal services if the overall costs to Government are reduced and there is no interference with postal operations.

#### 421.12 Fees

Except as provided by law, it is Postal Service policy to charge compensatory fees for services performed in behalf of other agencies when these services involve significant or ongoing cost to the Postal Service.

## 421.2 Relations With Other Organizations

421.2 **Approvals**421.21 **Procedure**

Interagency agreements and similar formal arrangements for Postal Service participation in special surveys and other activities must be made between the national headquarters of the requesting agency and Postal Service Headquarters. See POM 221 for special regulations, terms, and conditions applying to requests for use of postal lobbies for display and other activities. Refer all requests from area offices of federal agencies to the vice president of Area Operations for forwarding with recommendations to the appropriate organizational unit at Headquarters (see 12).

421.22 **Authorization**

Authority to perform services for other Government agencies is announced in the *Postal Bulletin* or by letters to the offices involved.

421.3 **Prohibition**

Do not conduct special surveys or participate in any other special projects without the authorization described in 421.22.

422 **Interagency Agreements**422.1 **Reimbursable Services for Federal Agencies**

The Postal Service provides certain reimbursable services to other federal agencies under formal agreements. [Exhibit 422.1](#) summarizes currently provided services.

Exhibit 422.1

**Examples of Nonpostal Services Provided by Interagency Agreement**

<b>Service Provided</b>	<b>Reference</b>	<b>Agency</b>	<b>Responsible HQ Office</b>
Sale of Migratory Bird Stamps and Cooperation in Hunting Survey	Periodic Postal Bulletin Notices; see also 422.4	Interior Dept., National Fish & Wildlife Service	Retail Support
Selective Service Registration	Guidelines Distributed Through Channels	Selective Service System	Retail Support
Acceptance of Passport Applications	See 422.2	State Dept., Passport Office	Retail Support
Housing Vacancy Surveys	See 422.5	Federal Home Loan Bank Board	Retail Support

## 422.2 **Passport Application Acceptance Service at Designated Post Offices**

### 422.21 **Applicability**

The Secretary of State, on authority delegated by the President, has designated certain categories of persons who may accept passport applications (22 CFR 51.21), including postal employees designated by the postmaster at a post office authorized by the Postal Service and the U.S. Department of State to accept passport applications.

### 422.22 **General Policy and Procedures**

#### 422.221 **General Policy**

The Postal Service, in agreement with the Department of State, Passport Services, assists field passport agency offices by accepting passport applications, where operationally feasible, given overall customer service and revenue generation considerations.

#### 422.222 **Procedures**

The State Department establishes the procedures for passport application acceptance and passport issuance. Postal Service Headquarters, coordinating with the Department of State, establishes the postal operational, accounting, and other procedures for passport application acceptance at designated post offices nationwide.

### 422.23 **Rates and Fees**

Passport application fees are established by the State Department, upon legislative approval. Postal Service Headquarters and the Department of State mutually agree on the execution fee which the Postal Service receives for providing passport application acceptance at post offices. The execution fee is collected from the customer as part of the total passport fees for the Form DSP-11, *Passport Application*. This fee reimburses passport acceptance agents for the performance of the required execution and acceptance procedures as outlined in the *Passport Agent's Reference Guide*. The Postal Service receives no execution fee for other types of passport applications, such as renewal Form DSP-82, *Application for Passport by Mail* or DSP-19, *Passport Amendment/Validation Application*.

### 422.24 **Required District Coordination — Acceptance Post Offices and Field Passport Agency Offices**

#### 422.241 **Coordination**

Passport agency offices and postal districts work together to determine and reach agreement on the number and location of postal facilities which will accept passport applications. Postal coordination with the field passport agency office is necessary in managing the passport program to establish sites, coordinate training, provide the necessary postal management and oversight, and discontinue sites, when necessary.



**422.242 District and Passport Location Designee**

Each district manager of Customer Service and Sales will have a designee to serve as a contact to coordinate passport activity with the field passport agency office, with other functions at the district and with post offices accepting passport applications. Coordination should include input from impacted functions in the consideration and establishment of new sites and scheduling of training. The district designee will also coordinate with post offices and other functions to ensure that there is adequate signage and communication to the customer regarding passport service locations and hours. In addition, each passport application acceptance post office will have a designated contact to coordinate with the passport agency office and the district designee.

**422.25 Determination of Sites and Establishment of Passport Application Acceptance Facilities****422.251 Determination of Sites**

The following apply:

- a. Passport agency offices and Passport Services determine the areas (city, county, or state) where the public needs additional service, considering the customer need and the post offices, clerk of court, county, college and other acceptance locations available.
- b. When post offices receive requests for passport service, this information should be provided to the district, which will coordinate with the passport agency office to consider a suitable passport application acceptance site.
- c. The district determines whether the postal facility(ies) can provide passport application acceptance without adversely affecting service to postal customers. The district will review customer need, operational capability, service issues and revenue in its determination. Factors to consider are other nearby passport acceptance locations, customer travel time from the nearest passport acceptance location, estimated volume of passport applications, demographics, and the city/urban/rural nature of the community.
- d. In addition to post offices, clerks of court are also traditional sources of assistance to the passport agency offices and to the public in acceptance of passport applications. The Postal Service does not want to compete in providing services for other government agencies. Therefore, the passport agency office, working with the district to establish a postal acceptance location, should ensure that existing or planned application acceptance by clerks of court, local government, or other entities are considered in any request for establishment of services.

**422.252 Requests for Establishment or Changes to Passport Application Acceptance Facilities**

The following apply:

- a. *Requests to Postal Districts For New Passport Sites.* When field passport agency offices identify a need for an additional passport

application acceptance post office location, the field passport agency office will prepare a written request to the district manager of Customer Service and Sales, or his or her district passport designee. Generally, this request should be received 90 days in advance of requested start-up of passport application acceptance. Passport agency requests should include pertinent information about the anticipated number of customers requesting passports and the location, distance and status of nearby nonpostal passport application acceptance sites, such as clerks of court, libraries, colleges, etc. Passport agency office requests for additional service require concurrence by the postmaster, Post Office Operations, Consumer Affairs, and Retail, as necessary. In addition, the Postal Service may also request the passport agency office consider authorizing a new passport site.

- (1) *Passport Site Requests.* When a request for a new site is reviewed, the district will consider customer need, revenue generation (including associated Express Mail revenue generation), service conditions, and operational issues before a decision is reached.
  - (2) *Approval or Disapproval.* The passport agency office will receive either a passport application acceptance site approval or disapproval from the district manager, or his or her designee. Should the passport agency office receive disapproval from the district and feel strongly that a postal location is needed, the passport agency office may request that Passport Services at the State Department coordinate with Postal Service Headquarters, Retail Operations Support, to reconsider the disapproved request. A decision should be reached within 30 days of receipt of the request, and Headquarters will notify both the district and the State Department.
- b. *Relocation or Changes of Passport Service Hours.* When a district finds it necessary to relocate a postal facility serving as an authorized location for passport application acceptance, the district will notify the passport agency office 30 days prior to the location change. Changes to passport service hours should also be reported to the passport agency office through the district designee. Likewise, the passport agency office will coordinate with the district designee regarding the service hours of any nearby non-postal passport application acceptance locations.
- c. *Discontinuing Service — by Postal Service.* When a district finds it necessary to discontinue a passport application acceptance location, or reduce the number of participating facilities when other nearby acceptance agencies or postal facilities can meet the community needs for service, a letter will be sent from the district to the passport agency office at least 60 days prior to the planned date to stop passport application acceptance. The letter will provide an explanation of reasons for the planned discontinuance. The proposed discontinuance should be coordinated with the passport agency office.
- (1) The passport agency office may respond with a letter of concurrence or a request for reconsideration to the district.

Should agreement not be reached, the passport agency office can request reconsideration through Passport Services, Department of State, which will coordinate with the Retail Department at Postal Service Headquarters. Generally, Headquarters, working with districts, will make a determination within 30 days of the State Department request and send notification to both the district and the Department of State regarding the decision reached.

- (2) When a district is notified that the passport agency office is submitting a request for reconsideration, the district will continue passport application acceptance until a decision has been reached.
- d. *Discontinuing Service — by Passport Services.* Passport Services makes periodic reviews and recommends removal of participating postal facilities where there no longer appears to be a need for the service. The Postal Service agrees unless the district manager involved determines that the action would shift an unmanageable workload onto a nearby postal facility remaining in the program.

#### 422.26 **Preparation at Newly Authorized Locations**

##### 422.261 **Instructions**

The district designee/coordinator will provide authorized offices specific instruction on postal guidelines in accordance with these procedures. The required State Department passport application acceptance procedures are provided in the *Passport Agent's Reference Guide*.

##### 422.262 **Acceptance Employees**

The following apply:

- a. Postmasters select and designate employees to provide the service. These are normally limited to one principal employee and only enough alternatives to ensure that the service is available during all advertised hours and to prevent excessive customer waiting time during peak periods. This reduces training requirements and enhances the expertise of the principal acceptance clerks.
- b. Employees other than retail window clerks may be designated; however, cash accountability must be established.
- c. Supervisory personnel should be designated only for emergency situations.

##### 422.263 **Acceptance Location**

Postmasters select the locations within the facility where the service is provided. This may be one or all window positions, depending on volume of business. Consider the following:

- a. Ensuring accessibility and customer convenience.
- b. Providing acceptance at special window positions established for philatelic products, meter settings, bulk mailings, etc.
- c. Diverting all applicants to the principal acceptance employee at offices with a speedy line and multipurpose windows.

- d. Ensuring availability of telephone for acceptance employee to use in answering inquiries.

#### 422.264 **Training**

The following will apply:

- a. Passport application acceptance training is generally provided to the new passport application acceptance post office by the passport agency office. The district designee/coordinator, passport application acceptance post office contact, and passport agency office will coordinate to schedule training for designated employees at new passport sites and when refresher training is necessary.
- b. Designated postal employees must be provided on-the-clock time to attend training. In addition to the training, a reasonable amount of official, on-the-clock time will be provided to study the manuals carefully. They are expected to be familiar with the contents and comply fully with the procedures.
- c. The *Passport Agent's Reference Guide*, issued by Passport Services, State Department, provides required procedures and technical guidance for acceptance of passport applications by designated employees. Passport agency offices provide each newly authorized office two copies of the manual. The *Administrative Support Manual* section 422.2 provides the postal passport application acceptance policy and procedures.

#### 422.265 **Service Hours**

Postmasters establish the hours for offering the service based on local resources and capabilities. The minimum should be 10:00 a.m. to 3:00 p.m., Monday through Friday, if the service cannot be provided during all normal business hours.

#### 422.266 **Signs**

Post signs in the lobby clearly stating the hours passport service is available. Nearby postal units that do not accept applications should display a lobby sign informing customers of the postal and nonpostal locations where the service is available. District coordination with the passport agency office is required to identify the non-postal locations to include on signage at locations which do not accept passport applications. The district designee will coordinate with Marketing/Retail to ensure adequate signage is being used. Signs prepared by hand must not be used.

#### 422.27 **Application Acceptance Guidelines**

#### 422.271 **Passport Agent's Reference Guide**

The manual is used for daily reference and has a list of passport agencies serving each geographic area, with a special telephone number for acceptance employees to call for additional guidance. Changes to the manual and other passport information issued by Passport Services are sent periodically to participating post offices.

**422.272 Passport Application Acceptance Procedures**

The following apply:

- a. *Form DSP-11, Passport Applications.* Acceptance employees make available blank Forms DSP-11, *Passport Applications*, to applicants or mail them when requested by telephone. Customers can also download passport forms via the Internet at <http://travel.state.gov>. Applicants complete the forms according to instructions printed on them and return them in person to acceptance employees for review and execution. The Postal Service receives a fee for the execution and handling of each Form DSP-11.
- b. *Verifying Applicant Identity.* Acceptance employees must take measures to verify the identity of the applicant. The acceptance employee is the one who can most readily seek verification from the applicant that the applicant is the person he or she claims to be. The acceptance employee must annotate the application form to show the document or procedure used for verifying the applicant's identification.
- c. *Witnessing Applicant Signature.* Acceptance employees administer the oath, witness the applicant's signature on the application, and then sign it and affix an imprint of the postal unit's round dating stamp.
- d. *Supporting Documents.* Acceptance employees should do their utmost to ensure that the application is properly completed and accompanied by the correct supporting documents. However, to avoid arguments with the applicants, they should accept any questionable item and attach an explanatory note to the application, so that Passport Services may resolve the problem directly with the applicant.
- e. *Applications Which Cannot Be Accepted.* Do not hold any applications for additional documentation; return those not sent to the passport agency to the applicants without completing the procedures in 422.272c.
- f. *Passport Photograph Information.* Do not recommend to applicants a particular photographer or studio for passport photographs. Refer applicants either to a locally prepared listing of all qualified establishments in the immediate area or to the classified pages of the telephone directory.
- g. *Other Passport Application Forms and Acceptance Activity Authorized.* Other passport forms should be made available to customers. Customers may also download passport forms via the Internet at <http://travel.state.gov>, or call the National Passport Information Center at 1-900-225-5674 to request blank forms. The following applies to acceptance:
  - (1) *Form DSP-82, Application for Passport by Mail.* Customers may purchase postage to mail Form DSP-82, *Application for Passport by Mail*, which the customer has fully completed. The Postal Service does not receive an execution fee for handling Form DSP-82, because no execution is required.
  - (2) *Form DSP-19, Passport Amendment/Validation Application.* Customers may purchase postage to mail Form DSP-19, *Application for Passport by Mail*, which the customer has fully

completed. The Postal Service does not receive an execution fee for handling Form DSP-19, because no execution is required.

- h. *No-Fee Passports.* The Postal Service no longer handles or accepts no-fee passport applications. No-fee passport applications are requests for government-sponsored travel or for others who are exempt by law from payment of the passport fee (such as Peace Corps employees, for example). The State Department has authorized sponsoring government offices to execute no-fee passport applications. The State Department provides authorization for those who are exempt by law to execute their own passport applications. Postal employees should provide the name and phone number of the passport agency office, customer service manager, or designee to those customers needing assistance for no-fee passport applications.
- i. *Short-Paid Passport Applications.* The Postal Service no longer handles or accepts applications for which partial payment of fees is now required, due to erroneous submission of Form DSP-82, *Application for Passport by Mail*, to Passport Services, by customers who are required to submit Form DSP-11. In this situation, customers should be advised to contact the local passport agency office, customer service manager or designee.

#### 422.273 **Payment of Passport Fees and Financial Procedures**

The following apply to payment of passport fees:

- a. *Types of Payment.* The passport fee must be collected at the time the application is rendered. Payment may be made in cash, check, money order, or debit card. Valid payment or tender types are as follows:
  - (1) *Valid Payment Types*

Check/ Card Type	To Postal Service	To State	M.O. Types	To Postal Service	To State
Personal check	Yes	Yes	Postal Service money order	Yes	Yes
Business check	Yes	Yes	Nonpostal U.S. money order	Yes	Yes
Cashier's check	Yes	Yes	Canadian postal money order*	Yes	No
Travelers check	Yes	Yes	Other foreign money order*	Yes	No
Treasury check	Yes	Yes			
Debit card	Yes	No			

\* Canadian and foreign money orders can be made payable only to the U.S. Postal Service.

- (2) *Invalid Payment Types.* Unacceptable payment types are:
  - Credit card
  - LibertyCash
  - Postal payment card
- b. *Payment by Check.* Customers paying by check must write two checks as follows:
  - (1) *Check to Passport Services for State Department Fees.* One check must be payable to Passport Services for the total State Department fees for the customer visit. The check must be marked with the applicant's name and date of birth. The State Department fees include either a minor (age 15 and under) or adult (age 16 and over) application fee, and may include an expedited and/or complex case fee for each application. Refer to the *Passport Agent's Reference Guide* for fees and fee descriptions. Verify accuracy of the total State Department fee, write the total State Department fee amount in the bottom right corner of the Form DSP-11, and initial. The Passport Services check is stapled to the application during the customer visit. If one check is written for multiple applications (a family, for example), attach applications together, and staple the check to the top application.
  - (2) *Check to the U.S. Postal Service.* A separate check must be payable to the U.S. Postal Service for the execution fee amount and for any other products and services which the customer chooses to purchase during that customer visit, such as postage for return of the issued passport via Express Mail or purchase of postal products or services unrelated to the passport application acceptance transaction. (When the customer pays by check, the customer is not required to purchase a money order.)
  - (3) *Financial Procedures and Accounting Entries*
    - (a) Verify the accuracy of the total State Department fees and U.S. Postal Service fees.
    - (b) For the Postal Service execution fee portion, for each DSP-11, *Passport Application*, accepted, enter the execution fee amount in AIC 264, USPS Passport Fees.
    - (c) If other products or services are purchased (such as postage for Express Mail, for example), enter the fees in the appropriate AIC.
- c. *Cash Payments.* When a customer wishes to pay the State Department fee in cash, a money order for each customer transaction will be the method of payment to Passport Services for the State Department fees. Customers will make the money order payable to Passport Services.
  - (1) *State Department Fees.* For payment by cash, a regular (fee) domestic postal money order must be purchased by the customer and made payable to Passport Services for the State Department portion of the fees. The money order must be marked with the applicant's name and date of birth. The State Department fees



include either a minor (age 15 and under) or adult (age 16 and over) application fee, and may include an expedited and/or complex case fee for each application. The customer may purchase one money order for all State Department fees due for the entire customer visit when multiple passport applications are presented (a family, for example). Verify accuracy of totals, write the total State Department fee amount in the bottom right corner of the Form DSP-11, and initial. The money order payable to Passport Services is stapled to the application during the customer visit. For multiple applications (a family, for example) attach them together and staple the money order to the top passport application.

- (2) *Fees to U.S. Postal Service.* Cash payments for the Postal Service fees may be accepted, which include the execution fee, the money order fee (if State Department fees are being paid via money order), and fees for any other products and services which the customer chooses to purchase (such as Express Mail, for example). Issue Form 1096, *Cash Receipt for Money*, or a POS ONE system-generated receipt.
- (3) *Financial Procedures — Accounting Entries.* The following shall apply:
  - (a) Verify the accuracy of the total State Department fees and U.S. Postal Service fees.
  - (b) Enter in AIC 100 the money order amount of total State Department fees payable to Passport Services.
  - (c) Enter money order fee in AIC 101.
  - (d) For each DSP-11, *Passport Application*, accepted, enter the Postal Service passport execution fee in AIC 264, USPS Passport Fees.
  - (e) If other products or services are purchased (such as postage for Express Mail, for example), enter the fees in the appropriate AIC.
  - (f) The total amount of cash accepted will post to AIC 752.
- d. *Customers Presenting Payment by Money Order.* As a general procedure, postal money orders or nonpostal U.S. currency money orders will be made payable to Passport Services in the amount of the total State Department fee portion of the passport total fee.
  - (1) *Customers Presenting a Money Order in the Amount of the State Department Fees.* The following shall apply:
    - (a) *State Department Fees.* Customers shall make the postal or U.S. currency nonpostal money order payable to Passport Services. Canadian or other foreign money orders are not a valid payment type (see section 422.273a) for payment to Passport Services. (Canadian or other foreign money orders must be payable to U.S. Postal Service, and the customer will have to purchase a postal money order. The money order must be marked with the applicant's



name and date of birth. See Section 422.273d(2b) below.) The State Department fees include either a minor (age 15 and under) or adult (age 16 and over) application fee, and may include an expedited and/or complex case fee for each application. The customer may purchase one money order in a customer visit, when multiple passport applications are presented (a family, for example). Verify accuracy of totals, write the total State Department fee amount in the bottom right corner of the Form DSP-11, and initial. The money order payable to Passport Services is stapled to the application during the customer visit. For multiple applications, attach the money order to the top application and attach them together.

- (b) *U.S. Postal Service Fees.* Customers will remit payment for the U.S. Postal Service portion of the total fees by check, cash, or separate money order payable to the U.S. Postal Service. The postal fees include the execution fee amount for acceptance of each DSP-11, *Passport Application*, and the amount owed for any other products and services which the customer chooses to purchase (such as Express Mail, for example).
- (2) *Nonpostal Money Orders.* While this is not the general procedure, accept money orders payable to the U.S. Postal Service in the amount of the total passport transaction (or money orders in amounts greater than the State Department fee total). The customer must also purchase a postal domestic money order as part of the transaction, made payable to Passport Services, for the total State Department fee. The money order must be marked with the applicant's name and date of birth. The money order will be stapled to the application during the customer visit. If one check is written for multiple applications (a family, for example), attach applications together, and staple the money order to the top application. In addition to the above, the following shall apply:
  - (a) *Nonpostal U.S. Currency Money Orders.* Nonpostal U.S. currency money orders presented for payment in an amount greater than the total State Department fees will be payable to the U.S. Postal Service.
  - (b) *Canadian and Other Foreign Money Orders.* Canadian postal money orders and other foreign postal money orders, to be acceptable, must be made payable to the U.S. Postal Service. (These are not valid for payment to Passport Services.)
- (3) *Financial Procedures — Accounting Entries.* The following shall apply:
  - (a) Verify the accuracy of the fee totals for State Department fees and U.S. Postal Service fees.
  - (b) Enter the dollar amount of the postal domestic money order purchased in AIC 100.

- (c) Enter the money order fee in AIC 101.
  - (d) Enter the execution fee amount for each DSP-11, *Passport Application*, accepted, in AIC 264, USPS Passport Fees.
  - (e) The cash portion of the transaction will post to AIC 752.
- e. *Customer Presenting Payment by Debit Card.* When a customer pays for passport and execution fees by debit card, use a money order for each customer transaction as the method of payment to Passport Services for the State Department fees. Customers will make the money order payable to Passport Services. See section 422.273(d) for the specifics for money order payments.
  - (1) *State Department Fees.* For payment by debit card, a regular (fee) domestic postal money order must be purchased by the customer and made payable to Passport Services for the State Department portion of the fees. The money order must be marked with the applicant's name and date of birth. The State Department fees include either a minor (age 15 and under) or adult (age 16 and over) application fee, and may include an expedited and/or complex case fee for each application. The customer may purchase one money order for all State Department fees due for the entire customer visit when multiple passport applications are presented (a family, for example). Verify accuracy of totals, write the total State Department fee amount in the bottom right-hand corner of Form DSP-11, and initial. The money order payable to Passport Services is stapled to the application during the customer visit. For multiple applications (a family, for example), attach them together and staple the money order to the top passport application.
  - (2) *Fees to U.S. Postal Service.* Debit card payments for the Postal Service fees may be accepted, which include the execution fee, the money order fee (if State Department fees are being paid via money order), and fees for any other products and services which the customer chooses to purchase (such as Express Mail, for example).
  - (3) *Financial Procedures — Accounting Entries.* The following shall apply.
    - (a) Verify the accuracy of State Department fees and U.S. Postal Service fees.
    - (b) Enter in AIC 100, Domestic Money Order — Value, the money order amount of total department fees payable to Passport Services.
    - (c) Enter money fee in AIC 101, Domestic Money Order — Fee.
    - (d) For each Form DSP-11, *Passport Application*, accepted, enter the Postal Service passport execution fee in AIC 264, USPS Passport Fees.

- (e) If other products or services are purchased (such as postage for Express Mail), enter the fees in the appropriate AIC.
- (f) The total amount of the debit card transaction must be entered into AIC 772, Debit Cards Remitted.

#### 422.274 **Express Mail Purchase by the Customer — Procedures**

Acceptance employees are encouraged to sell customers Express Mail Service to expedite service for transmittal of their application(s) to the passport agency office, return delivery of their passport to them, or both. In addition to expediting delivery, Express Mail provides the customer a method of documenting delivery, with the benefits of tracking. Use of Express Mail for sending the application provides customers assurance their passport application has arrived. The following shall apply:

- a. For Express Mail purchased by the customer for delivery of the passport from the passport agency office to the customer, staple a labeled Express Mail envelope to the passport application. The Express Mail envelope must be prepaid (stamped), addressed by the customer. The customer must purchase Express Mail for each application for which Express Mail return service is desired. (For example, a family cannot have their passports delivered to them in one Express Mail envelope). Express Mail cannot be prepaid with a meter strip or PVI label, for service reasons. Indicate the Express Mail amount on Form 5659, *Daily Passport Application (DSP-11) Transmittal*, in the column headed USPS Fee Express Mail Amount.
- b. For Express Mail purchased by the customer for mailing of the application(s) from the acceptance location to the passport agency office designee, follow Express Mail procedures. This provides individual Express Mail Service for a passport application or multiple applications rendered for one customer visit (for example, a family need only pay for one Express Mail transaction, to mail the family's applications) to the passport agency office. Ensure these Express Mail pieces are dispatched daily to meet Express Mail critical entry times. Do not include these Express Mail pieces on Form 5659.

#### 422.28 **End-of-Day and Individual Clerk Closeout Procedures**

#### 422.281 **Daily Remittance of DSP-11, Passport Applications, to the State Department or Designee**

Passport applications must be remitted daily, with supporting documents, corresponding payment and Form(s) 5659, *Daily Passport Application (DSP-11) Transmittal*.

- a. *Separation of Applications According to Handling.* The following types of passport applications are required to be queued and mailed separately by postal acceptance locations and are handled in different ways by the passport agency office or designee.
  - (1) *Routine Service Passport Applications.* Routine Service passport applications are for passport agency office delivery to the customer in 25 days of receipt of the application by the passport

- agency office, in accordance with *Passport Agent's Reference Guide*. These passport applications are grouped together and mailed in bundled groupings with accompanying Form(s) 5659. Included in this grouping may be routine service applications for which the customer has paid Express Mail for delivery of the passport to the customer.
- (2) *Expedited Service Passport Application*. Expedited service passport applications require payment of an additional State Department fee, and are processed within 3 days of receipt of the passport application by the passport agency office in accordance with the *Passport Agent's Reference Guide*. These passport applications are grouped together and mailed in bundled groupings with accompanying Form(s) 5659. Included in this grouping may be applications for which the customer has paid Express Mail for delivery of the passport to the customer.
  - (3) *Express Mail Purchase by the Customer*. Customers desiring fast service may purchase Express Mail to the passport agency office and/or Express Mail service for delivery of the passport to the customer. When the customer purchases Express Mail to the passport agency office, the application (whether routine or expedited, for service in 3 days) will be sent individually via Express Mail with its own Form 5659 and payment. Multiple applications in one customer visit (a family, for example) may be sent in one Express Mail envelope.
- b. *Form 5659, Daily Passport Application (DSP-11) Transmittal*. The completed transmittal is the facing page for each grouping of routine or expedited passport applications, with supporting documentation and accompanying payment. It is required by the State Department. It also is the top sheet on passport applications for which the customer has purchased individual Express Mail from the retail unit to the passport agency office designee. It is the log of individual passport application activity for both the State Department and the U.S. Postal Service. Accuracy must be ensured during preparation. The following apply:
- (1) Assemble applications in accordance with the *Passport Agent's Reference Guide*.
  - (2) Use Form 5659, *Daily Passport Application (DSP-11) Transmittal*, 1-page form available from the Postal Service Intranet web site (<http://blue.usps.gov/formmgmt/forms.htm>) or the 2-part form. The original accompanies the passport applications, copy 2 stays at the retail unit. When the 1-page Form 5659 is used, make 1 copy of the completed Form 5659, made by an office copier. Retain the copy at the retail unit.
  - (3) Complete Form 5659, making a separate line entry for each application with associated total State Department fees, accepted during the day. Also indicate any Express Mail purchased for delivery of the passport from the passport agency office to the customer. (Ensure that the stamped and labeled Express Mail envelope is attached to the application.) If an application was

- sealed after execution for the customer to hand carry, list the application on Form 5659 and note in Remarks to whom the application was hand carried.
- (4) Enter the Total Fees to State Department for each application. For multiple applications in a customer visit when one check or money order is prepared (a family), write the total State Department fees (money order or check amount) on the line for the first application of the group entered on Form 5659. Indicate with a bracket which applications are included in the group or family.
  - (5) Enter the USPS Execution Fee (AIC 264) amount total for the entire transmittal on the bottom of Form 5659.
  - (6) The *Clerk's Initials* column identifies the employee who actually accepted the application when more than one employee is involved.
  - (7) Before mailing, verify that all passport applications have been logged on the appropriate Form 5659, and verify the accuracy of all entries.
  - (8) Before mailing, a supervisor or other employee should review the completed Forms 5659 and related applications for accuracy. Then the reviewer initials the *Reviewer Initials* line to indicate concurrence.
  - (9) Retain one copy of the completed Form 5659 at the acceptance unit for 4 months, then destroy it.
- c. *Daily Mailing of Passport Applications to the Passport Agency Office or Designee.* On the day of acceptance, mail all passport applications with attached checks and money orders, supporting documents, and Form(s) 5659 to the passport agency office designated location for processing. The following shall apply:
- (1) Follow procedures as outlined in the *Passport Agent's Reference Guide*.
  - (2) Mail groupings of routine and expedited passport applications by Express Mail or by Priority Mail with delivery confirmation from the acceptance unit to the passport agency office designee, to provide a record of delivery. Attach the finance copy of the Express Mail label to the Form 5659 retained at the acceptance location.
  - (3) Mail applications separately for each customer purchasing Express Mail service for mailing from the acceptance location to the passport agency office designee.
  - (4) Ensure that critical entry times for Express and Priority Mail are met.
  - (5) For applications received after the cut-off time, advise the customer of the service time for delivery.

**422.282 Individual Clerk Closing Procedures**

At closing, the following shall apply:

- a. Generate Form 1412.
- b. Verify for accuracy, ensuring that the Form 1412 amount for AIC 264 and the Form 5659 total AIC 264 amounts match.
- c. Retain a copy of Form 1412, at the acceptance unit supported by the copy of Form 5659.

**422.29 Reports, Records, Discrepancies, Forms, and Supplies****422.291 Reports, Records, and Discrepancies**

- a. *Acceptance Post Office Contact and/or Postmaster.* The following shall apply:
  - (1) For quality control, each passport agency office maintains an informal log of the number and type of errors on applications.
  - (2) Errors must be discussed with the responsible employee for immediate corrective action.
  - (3) Customer complaints about the passport application service received from any source should be analyzed and considered with the error reports to determine additional training requirements.
  - (4) If either the acceptance office or the passport agency office discovers that the Postal Service transmitted an underpayment or overpayment to the State Department, contact will be made between the two offices to resolve the discrepancy.
  - (5) Since the State Department has all the necessary customer information and passport application, when customer contact is required, the State Department will handle any resolution which is required with the customer, for either overpayment or underpayment. The State Department will notify the acceptance office when resolution is reached with the customer.
  - (6) For other administrative discrepancies, when the correct amount was collected from the customer, if the discrepancy cannot be resolved between the passport application acceptance post office and the passport agency office, then the discrepancy will be directed to the Postal Service district finance manager for resolution with the passport agency office. The discrepancy will generally be resolved within 60 days.
- b. *District Finance.* The following applies.
  - (1) *Accuracy of Acceptance Unit Accounting Data.* District Finance has responsibility for verification of accuracy of AIC 264 amounts. Verify that the amounts on Form 5659 match the AIC 264 amounts on Form 1412 during random verification of supporting documentation. Differences must be resolved with the passport acceptance office. If not, contact the acceptance post office for resolution.

- (2) *Discrepancy Resolution.* District finance will handle resolution of other administrative discrepancies regarding payment to the passport agency offices, when the correct amount was collected from the customer. Other functions will provide input and participation as required. The discrepancy will generally be resolved within 60 days.
- c. *Area and Headquarters Finance — Resolving Administrative Discrepancies.* The following will apply:
  - (1) In the event that the discrepancy cannot be resolved by district finance, it is then directed to the manager, finance, area office, for resolution with Passport Services, State Department.
  - (2) If the discrepancy cannot be resolved at the area level, then it is directed to the manager of Post Office Accounting, Headquarters for resolution with the State Department, with input from Retail at Headquarters as required.

#### 422.292 Forms and Supplies

- a. *Items Used.* In addition to these procedures, Form 5659, and the *Passport Agent's Reference Guide*, the following supplies are used for the passport application acceptance program:

Item Number	Descriptive Title
DSP-10A	Birth Affidavit
DSP-11	Passport Application
DSP-19	Passport Amendment/Validation Application
DSP-60	Affidavit Regarding Lost or Stolen Passport
DSP-64	Statement Regarding Lost or Stolen Passport
DSP-71	Affidavit of Identifying Witness
DSP-82	Application for Passport by Mail
M-264	Foreign Entry Requirements
M-343	Notice to Applicants Concerning Birth Records
(no number)	Passports, the Easy Way Brochure

- b. *Requisitioning Procedures.* Requisition all items from the Topeka Material Distribution Center (MDC) on Form 7380, *MDC Supply Requisition*. All blank forms and related materials are described in the *Passport Agent's Reference Guide*. *Do not* requisition forms or supplies from passport services, except for the *Passport Agent's Reference Guide*, which is provided by the passport agency offices.

#### 422.3 (Reserved)

#### 422.4 Migratory Bird Hunting and Conservation Stamp Program

##### 422.41 Description

Federal law requires persons ages 16 and older who hunt migratory birds (i.e., ducks and geese) to obtain migratory bird hunting and conservation



stamps, commonly known as “duck stamps.” Post offices act as agents of the U.S. Fish and Wildlife Service (FWS) by selling these stamps. Duck stamps are sold at nearly 10,000 post offices, including all CAGs A–G post offices and at CAG K and L offices where there is a demand for them.

422.42 **Background**

422.421 **Fees**

The federal government levies a user’s fee on waterfowl hunters to finance the preservation of nearly 4 million acres of marshes and wetlands used as migratory bird habitats. Because of the extensive demand for duck stamps, the Postal Service has agreed to become agents of FWS in selling these stamps.

422.422 **Survey Post Offices**

The Postal Service assists FWS in conducting a survey of waterfowl hunters. The survey is designed to estimate the annual hunting kill. Window clerks at post offices selected by FWS distribute a card to each duck stamp purchaser. The customer completes the card and returns it to the clerk, who postmarks and mails the cards to FWS daily. FWS is responsible for selecting survey post offices and distributing survey cards to them.

422.43 **Implementation**

422.431 **Staff Responsibility**

Postmasters are responsible for implementing the program. The following steps are to be used:

- a. Determine quantities to order.
- b. Display posters in the lobby.
- c. Follow stamp accountability procedures.
- d. Follow reporting procedures.

422.432 **Quantities of Stock**

Determine the number of duck stamps required each year from an analysis of actual sales in prior years. Postal Service Headquarters and FWS work together to print and distribute duck stamps. Each year by December 5, FWS provides the Postal Service with the artwork and copy for the coming year’s duck stamps.

422.433 **Displays**

Postal Service Headquarters assists FWS with the printing and distribution of a lobby poster promoting duck stamps. Refer to the schedule of lobby displays and promotions published monthly in the *Postal Bulletin* for information on display of the poster.

422.434 **Stamp Accountability**

Duck stamps are treated in the same manner as Postal Service postage stock; however, they are classified as “nonpostal” stamps. Refer to Chapter 4 of Handbook F-1, *Post Office Accounting Procedures*, for detailed information.



**422.435 Reporting Procedures**

A year-end report on the number of duck stamps sold by each post office in the state is furnished to FWS. The Postal Service also provides FWS with quarterly reports on the number of duck stamps sold in each state.

**422.5 Housing Vacancy Surveys****422.51 General**

An interagency agreement between the Postal Service and the Federal Home Loan Bank Board (FHLBB) establishes the terms, conditions, and reimbursement rates under which the Postal Service will conduct Housing Vacancy surveys in City Delivery offices when requested by the FHLBB.

**422.52 Restrictions**

The agreement only authorizes the disclosure of aggregate statistical data (see 4-5 of Handbook AS-353, *Guide to Privacy and the Freedom of Information Act*).

**422.53 Postmaster's Responsibility**

The following apply:

- a. The FHLBB notifies a postmaster when his or her office is selected to conduct a Housing Vacancy Survey. Normally, the postmaster receives written notification 30 days before the date FHLBB would like the Postal Service to conduct the survey. The Service is under no obligation to use overtime or auxiliary assistance to conduct these surveys. The postmaster or designee will schedule the survey on or near the date requested and advise the FHLBB so that the necessary forms may be provided on time.
- b. All necessary forms and instructions must be supplied directly to each post office to be surveyed. Postmasters must designate a manager in each delivery unit to coordinate the survey within the unit and to review completed survey forms for accuracy.
- c. FHLBB may request the Postal Service to perform special or emergency surveys with less than 30 days advance notice. Every reasonable effort should be made to accommodate such requests.
- d. Housing Vacancy Surveys must not be conducted during December of any year.
- e. To notify Headquarters of the offices that conducted surveys, postmasters must send the original copy of the Postmaster's Summary Report to:

MANAGER RETAIL SUPPORT  
UNITED STATES POSTAL SERVICE  
475 L'ENFANT PLAZA SW  
WASHINGTON DC 20260-6809

A copy of that form as well as the original survey form are sent to the Federal Home Loan Bank, which then remits payment directly to Postal

Service Headquarters. The address to send the completed forms and the copy of the Summary Report is:

FEDERAL HOME LOAN BANK BOARD  
PO BOX 60  
INDIANAPOLIS IN 46206-0060

- f. The Postal Service must not release or publish any survey results except in response to a court order, subpoena, or as required by the Freedom of Information Act.

## 423 Mutual Cooperation and Support

The Postal Service makes arrangements with other agencies for cooperation and support when it will be mutually advantageous. A partial list of such arrangements and references to further details is shown below:

Activity	Agency	Reference
Mailing list correction	Government agencies and Members of Congress	DMM A910
Lend mail equipment	Government agencies (generally)	POM 58
Unscheduled public bulletin board displays in lobbies	Government agencies (generally)	POM 125.361
Sales of U.S. Savings Bonds through postal payroll deductions	Treasury Department	ELM 616
Storage of burial flags for veterans	Department of Veterans Affairs	ASM 474
Interchange of space in buildings	General Services Administration	ASM 517
Maintenance of interchanged buildings	General Services Administration	ASM 533
Purchase of supplies through GSA stores and depots	General Services Administration	None available
Decennial and other censuses	Census Bureau or Commerce Department	None; interagency agreements as necessary

## 43 Postal Service Brand Equity

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### 431 Postal Service Brand

The United States Postal Service brand is the sum of all the characteristics that are tangible and intangible, in its verbal and visual messaging, that make its products and services unique to consumers, employees, and other stakeholders. The Postal Service brand is the essence of a customer's perception of the Postal Service. It includes the logo, the look, the feel, the sound, the image, and the "face" that the Postal Service presents to the customer.

### 432 Brand Identity

The Postal Service's brand identity is a unique set of attributes that defines the Postal Service based on the experiences, impressions, and emotions of our customers, employees, and stakeholders when they have contact with Postal Service products, services, employees, images, and communications.

The combination of the Eagle symbol and the corporate logotype are the main brand identity elements used to advertise, promote, and communicate the Postal Service in all of its corporate and marketing communications and across all business channels — customer- to-customer, customer-to-business, business-to-business, and business-to-customer. From corporate stationery to packaging materials, the consistent use of the Eagle symbol and the corporate logotype are recognized as the Postal Service brand.

### 433 Brand Equity

#### 433.1 Responsibility

It is the responsibility of the vice president of Public Affairs and Communications to develop, disseminate, and maintain policies, procedures, and practices that preserve and build the value of the brand by facilitating and coordinating all brand-related activities with, to, and for all stakeholders throughout the United States Postal Service (see 113.21).

#### 433.2 Review and Approval Process

##### 433.21 General

The Postal Service brand must be presented clearly and consistently in all applications from advertising to signs. The brand defines the Postal Service for its customers and employees. To protect the brand, the manager of Brand Equity and Design must approve all uses of the brand and brand identity. This includes the following:

- a. Advertising (print, radio, TV, Web audio, video, etc).
- b. Visual (print or video) and verbal (radio, TV, Web audio, etc.) messaging that is produced for internal and external audiences.

- c. Web pages on both the Internet and the Postal Service Intranet.
- d. New ventures that require naming and/or the use of a logo, symbols, or graphics.
- e. Film.
- f. Packaging.
- g. Presentations.
- h. Printed materials (stationery, directives, forms, reports, etc.).
- i. Signs.

#### 433.22 **Getting Approval**

Employees or customers who wish to use the Postal Service brand in any of the applications listed in 433.21 or any other application must first obtain the approval of the manager of Brand Equity and Design, Public Affairs and Communications. Submit all materials for approval prior to their release. To obtain approval, use the Postal Service corporate clearance procedures outlined in Management Instruction AS-310-96-3, *Management of Policy and Procedure Information — Paper and On-Line*. To eliminate improper use of the brand, develop each conceptual use of the brand with the manager of Brand Equity and Design whenever possible. However, if you have prepared products, presentations, books, marketing materials, or advertisements that use the brand in any of the applications listed in 433.21 without consulting the manager of Brand Equity and Design, you must obtain review and approval before releasing them.

## 44 **Commercial Advertising Policy**

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### 441 **Purpose**

The purpose of this policy is to use specified postal property and media to generate additional revenue for the Postal Service, which helps to minimize the need for postage rate increases.

### 442 **Definition**

A *commercial advertisement* is an advertisement purchased pursuant to contract that promotes nothing other than a product or service available in commerce. Specifically excluded from this definition are advertisements that take a position, explicitly or implicitly, on government, public policy, morality, politics, or religion (whether or not they also convey a commercial message).

### 443 **Responsibilities**

#### 443.1 **Commercial Advertising Committee**

The postmaster general has established a Commercial Advertising Committee and a Commercial Advertising Policy Group to ensure that the Commercial Advertising Policy is properly implemented and administered.

The Commercial Advertising Committee will be responsible for final review and approval of all proposed advertisers and advertisements to be placed on any Postal Service property. This committee is composed of the following members:

- a. Senior Vice President, Government Relations and Public Policy (Chairperson).
- b. Senior Vice President, Corporate and Business Development.
- c. Senior Vice President, Sales.
- d. Vice President, Core Business Marketing.
- e. Vice President, General Counsel.
- f. Vice President, Public Affairs and Communications.

#### 443.2 **Commercial Advertising Policy Group**

The Commercial Advertising Policy Group will be responsible for:

- a. Amending the policy as needed.
- b. Determining which Postal Service property will be available for commercial advertising.
- c. Meeting on a biannual basis to address policy issues and review Postal Service property for advertising purposes.
- d. Developing additional criteria for the acceptance of commercial advertising unrelated to content.

This group is composed of the following members:

- a. Senior Vice President, Corporate and Business Development.
- b. Senior Vice President, Sales.
- c. Vice President, Core Business Marketing.
- d. Vice President, Delivery.
- e. Vice President, Facilities.
- f. Vice President, Retail, Consumer and Small Business.
- g. Vice President, Purchasing and Materials.
- h. Chief Counsel, Marketing.
- i. Manager, Communications and Brand Equity.
- j. Manager, Legislative Policy and Strategy Development, Government Relations.

#### 443.3 **Core Business Marketing**

The vice president, Core Business Marketing, is responsible for developing new business opportunities to expand the media space available to commercial advertisers on Postal Service property. These opportunities allow the Postal Service to maximize the value of its property to generate new revenues.

**444 Current Practices and Procedures**

This policy does not alter, or apply to, current practices and procedures involving:

- a. Lobby management (see *Postal Operations Manual*, part 125).
- b. Advertising of Postal Service products, services, or brands alone, or in combination with, the products, services, or brands of another government or business entity.

**445 No Local Authority**

Field managers do not have local authority to enter into joint marketing, co-branded, or commercial advertising agreements.

**446 Postal Service Property**

This policy applies to all Postal Service property, including all real property, and all tangible and intangible personal property.

**447 Procedures****447.1 General**

Except as provided in 447.2–447.4 the Postal Service may accept a commercial advertisement for display on Postal Service property.

**447.2 Indecent or Obscene Advertisement**

The Postal Service will *not* accept a commercial advertisement that is indecent or obscene, that depicts violent or sexual material that would be harmful to minors, or that is unlawful or legally actionable. The terms “obscene,” “indecent,” and “harmful to minors” shall have the broadest meaning permissible under United States Supreme Court decisions and other applicable judicial decisions.

**447.3 Competing Products or Services**

The Postal Service will *not* accept a commercial advertisement for a product or service that competes with a Postal Service product or service.

**447.4 Alcohol, Tobacco, or Weapons**

The Postal Service will *not* accept a commercial advertisement for alcohol, tobacco, or weapons.

**448 Clearance**

[Exhibit 448](#), *Postal Ad Network Standard Clearance Sheet*, illustrates the clearance procedure required for commercial advertising.

Exhibit 448

**Postal Ad Network Standard Clearance Sheet****POSTAL AD NETWORK**  
Standard Clearance Sheet**Date:****Advertising Company:****Company Description:****Advertising Campaign Time Frame:****National/Regional:****SIMULTANEOUS CLEARANCE**(Provide approval or comments on why ad is **not** approved in Comments section).**DUE BY** \_\_\_\_\_ (insert month and day)

Circulate to:

<u>Title</u>	<u>Room</u>	<u>Approve</u>	<u>Disapprove</u>	<u>Signature/Date</u>
Senior Vice President, Government Relations And Public Policy (Chairperson)				
Senior Vice President, Corporate and Business Development				
Senior Vice President, Sales				
Vice President, Core Business Marketing				
Vice President, General Counsel				
Vice President, Public Affairs and Communications				

**COMMENTS****RETURN CLEARANCE TO:**Manager, Postal Ad Network  
1735 N. Lynn Street, Room 4015  
Arlington, VA 22209-6043

## 45 Postal Rate Commission

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### 451 Policy

The Postal Service cooperates with the Postal Rate Commission (PRC) by responding to its requests for information and facility visits. Policies governing requests for information and facility visits by the PRC are established with the agreement of the postmaster general, the chief operating officer, the chief financial officer, the chief marketing officer, the general counsel, and other appropriate officials.

### 452 Responsibilities

#### 452.1 Manager of Activity-Based Management

The manager of Activity-Based Management or designee is designated by the postmaster general as the liaison to the PRC and does the following:

- a. Directs the coordination and review of all proposed responses to requests from the PRC for information, and ensures that the Law Department and other affected organizations approve all responses before they are provided to the PRC.
- b. Coordinates requests for PRC visits to postal installations with the appropriate operations officials, the general counsel, the heads of the organizations to be visited, and other appropriate postal officials, as necessary.
- c. Prepares notification of visits to the postmaster general, the chief operating officer, the chief financial officer, the chief marketing officer, the general counsel, and other postal officials, as necessary.

#### 452.2 Chief Counsels

The chief counsel of Ratemaking or a designee receives, according to the rules of the PRC in 39 CFR 3001.12(e), requests for information about docketed cases before the PRC. These requests are made by delivering six copies of the request to:

CHIEF COUNSEL RATEMAKING  
UNITED STATES POSTAL SERVICE  
475 L'ENFANT PLAZA SW  
WASHINGTON DC 20260-1137

#### 452.3 Managers of Field Installations

##### 452.31 PRC Requests

Immediately forward any written or oral requests from PRC personnel directed to field installations to the manager of Product Finance.

##### 452.32 Notification of PRC Itineraries

Postal field managers will be given advance notice of PRC itineraries.



**453   Inquiries on Postal Policy**

Refer all PRC inquiries about postal policy matters to the general counsel. Policy matters include, but are not limited to, ratemaking, mail classification, contracting and procurement, real estate, arbitration, the interpretation of collective bargaining agreements, appointments, promotions, personnel policies, and post office closings.

## 46   Relations With Private Agencies

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**461   American Red Cross****461.1   General**

The Postal Service and the American Red Cross cooperate to maintain communications between the individual and the community during times of disaster. This applies only to natural disasters caused by floods, tornadoes, hurricanes, earthquakes, fires, or explosions, but not to those caused by enemy action.

**461.2   Responsibilities**

Vice presidents of Area Operations and inspectors in charge must ensure that post offices implement these cooperative arrangements in disaster situations.

**461.3   Joint Services Provided****461.31   General**

The Postal Service and the American Red Cross share information on the whereabouts of persons displaced by disasters and otherwise cooperate with each other. These instructions are a broad framework within which field officials of both agencies may coordinate their facilities and resources. However, postal officials must cooperate with American Red Cross officials as much as possible during times of natural disasters.

**461.32   Address Changes****461.321   Form 3575**

The Red Cross uses Form 3575, *Change of Address Order*, as a standard item in Red Cross disaster relief. The Postal Service provides the blank forms to the Red Cross. The American Red Cross urges disaster victims displaced from their homes to obtain and complete the form, distributes the forms to those who need them, collects any completed forms, and turns them over to the Postal Service.

**461.322   Disaster Relief**

During each disaster and subsequent disaster relief efforts, the Postal Service establishes a separate file of Forms 3575 completed by disaster victims, and makes information in the file available to the American Red

Cross. The Red Cross uses this information only to locate individuals and families, to answer inquiries from relatives and friends concerning the whereabouts and welfare of the disaster victims, or to make contact with disaster victims who have applied for assistance from the Red Cross but cannot be located because of an address change.

461.33 **Other Efforts**

461.331 **Disaster Planning**

The Postal Service and the American Red Cross encourage local postal officials and Red Cross chapters to maintain contact with each other and to participate in local and community planning for disasters.

461.332 **Information Exchange**

When appropriate, the Postal Service and the Red Cross meet and exchange information at the national Headquarters level about the effectiveness of their joint efforts for disaster relief.

462 **Combined Federal Campaign (Reserved)**

463 **Carrier Alert**

463.1 **Policy**

The Postal Service, the National Association of Letter Carriers (NALC), and the National Rural Letter Carriers' Association (NRLCA), recognizing their unique presence in America's neighborhoods and further recognizing the needs of a special segment of postal customers — the homebound, the elderly, and people with disabilities — have resolved to promote joint support of the Carrier Alert program with local community social service agencies in the Carrier Alert program.

463.2 **Responsibility**

Corporate Relations is responsible for Carrier Alert activities that include:

- a. Providing advice to field managers when needed.
- b. Responding to media inquiries and providing information about Carrier Alert to the public.
- c. Advising the postmaster general on actions necessary to keep the public well informed of postal policy regarding Carrier Alert.

463.3 **Procedures**

463.31 **Notification**

Under Carrier Alert, a local sponsoring agency, enlisted through cooperation of the local NALC or NRLCA representative and the postmaster's representative, notifies the local post office of customers who want to participate in Carrier Alert. A decal placed in the registrant's mailbox notifies the letter carrier serving the route that the customer is a program participant. The carrier then will note any accumulation of mail, which might signify a

sudden illness or accident. Through procedures developed locally, the accumulation will be reported to the social service agency for follow-up.

#### 463.32 **Postal Liaison**

##### 463.321 **Employee Designation**

In local post offices that have a Carrier Alert program, postmasters must have an employee serve as liaison with the local NALC or NRLCA representative for the Carrier Alert program. Together they will work with the local social service sponsor, the Corporate Relations Center or other designated public communications representative, and the postmaster to promote the voluntary program. Postmasters should ensure that a card giving the sponsoring agency's telephone number is posted beside all telephones receiving calls from the public. Callers inquiring about the Carrier Alert program should receive the sponsoring agency's telephone number and a courteous explanation that the sponsoring agency keeps all records and then notifies the Postal Service of the names and addresses of participants.

##### 463.322 **Program Organization**

In local post offices that do not have a Carrier Alert program, postmasters should name an employee to serve as liaison with the local NALC or NRLCA representative. Together, they should contact local service agencies to identify a sponsoring agency. As a sponsor may require time to organize the program, postmasters may place a note beside all telephones receiving public calls, instructing employees to explain courteously that efforts are under way to find a sponsor. As soon as a sponsor is found, a public announcement should be made telling people how they can register. Callers to the post office also should receive that information. The public announcement must include a press release. Assistance is available through the Corporate Relations Centers.

#### 463.4 **Criteria**

The following criteria apply to Carrier Alert:

- a. The local sponsoring community agency performs Carrier Alert program administration, including soliciting and accepting applications and record keeping. The Postal Service cannot participate until the sponsoring agency fulfills its responsibilities. The sponsoring agency makes the Carrier Alert files it maintains (with the exception of confidential medical information) available to the Postal Service upon request, particularly the applications and statements of release.
- b. Participation in Carrier Alert is voluntary, and there will be no additional compensation for Carrier Alert activities.
- c. Postal participation in Carrier Alert should be directed jointly by local postal management and local NALC branch and/or NRLCA branch leadership.
- d. The local sponsoring agency must bear the costs, such as printing, promotion, and record keeping, of administering Carrier Alert at the local level.

- e. The application form used to register for Carrier Alert service must include the statement on [Exhibit 463.4a](#).
- f. Any publicity or promotional material used is subject to the review and approval of the Postal Service. Registrants and social service agencies should understand the limitations of Carrier Alert and avoid using phrases in promotional material that indicate that “life-saving or rescue services are provided.” References that imply an obligation to “look after,” “protect,” or “rescue” a customer denote a degree of involvement not contemplated by Carrier Alert. Also, statements that letter carriers make “daily” checks for mail accumulation should not be used since no delivery is provided on Sundays or holidays. Also, carriers check for mail accumulation only on days when a customer receives mail.
- g. Carrier Alert is a reassurance and notification service and should not be confused or substituted for any community crime prevention programs.
- h. A registrant must have a mailbox to be eligible for Carrier Alert.
- i. Registrants served by letter carriers who do not want to participate in Carrier Alert are not eligible for Carrier Alert.
- j. Local procedures should be developed for the following:
  - (1) Notification to the post office and carrier of new registrants.
  - (2) Procedures for affixing the identification decal inside a registrant’s mailbox.
  - (3) What constitutes an accumulation of mail that would prompt a call to the social service agency for follow-up.
  - (4) Method for reporting mail accumulation to the local social service agency.

A sample plan for local implementation is shown in [Exhibit 463.4b](#).

Exhibit 463.4a

**Statement of Understanding and Release of Liability by Registrants in Carrier Alert Program**

I, \_\_[NAME]\_\_, acknowledge that I have registered to participate in the Carrier Alert Program (the program) under the direction of the \_\_[sponsoring social service agency]\_\_ jointly endorsed by the United States Postal Service and the National Association of Letter Carriers and the National Rural Letter Carriers' Association. I understand that my participation in the program will at all times be subject to the following terms and conditions:

1. All information furnished by me may be used by the \_\_[sponsoring social service agency]\_\_, including its agents, employees, members, and other representatives, as they deem necessary to carry out the purposes of the program.
2. The United States Postal Service, including its agents, employees, and other representatives, may, when there appears to be an undue accumulation of mail in my mailbox, inform the \_\_[sponsoring social service agency]\_\_ for such action as the latter may consider to be appropriate under the program.
3. Whenever I expect to be away during one or more days on which mail is delivered, I will inform the Postal Service by means of written notification in my mailbox, and I will cover the Carrier Alert decal inside my mailbox (with tape or by other means) during my absence.
4. Participation in the program by Postal Service employees is a voluntary activity that is undertaken on my behalf and at my request. I understand that there cannot be, and that there is not, a guarantee, warranty, promise, or implication that any Postal Service employee (including but not limited to the carrier who normally delivers my mail and any substitute or replacement) will necessarily take a specific course of action under any portion of the program. I also understand that the program is not intended, directly or indirectly, to give me legal rights of any nature or description against any organization or party specified, named, or described elsewhere in this *Statement of Understandings and Release of Liability by Registrants in Carrier Alert Program*. In consideration of these factors, I hereby release and discharge all such organizations and parties from all actions, suits, judgments, executions, debts, claims, or demands of every kind and nature based on any acts, omissions, or other factors based on, or related to, or arising out of, the program.
5. I may end my participation in the program by providing a written notification in my mailbox at least 30 days prior to termination.

\_\_[Signature of Registrant]\_\_

\_\_[Date]\_\_

Exhibit 463.4b

**Sample Plan for Local Implementation**

**I. PURPOSE** The purpose of Carrier Alert is to provide reassurance to participating individuals that a responsible agency will be alert to check on their well-being when an accumulation of mail might signify the possibility of accident or illness.

**II. SPONSORSHIP**

- A. Branch \_\_\_\_\_, National Association of Letter Carriers and/or  
Branch \_\_\_\_\_, National Rural Letter Carriers' Association.
- B. \_\_\_\_\_ Post Office.
- C. \_\_\_\_\_ Social Service Agency.

**III. DIVISION OF RESPONSIBILITY**

- A. Registrant
  - 1. Uses the forms supplied by the social service agency to register for Carrier Alert.
  - 2. Promptly notifies the letter carrier if he or she plans to be away from home and not pick up mail. (*See Statement of Understanding and Release of Liability by Registrants in Carrier Alert Program.*)
- B. Social Service Agency
  - 1. Maintains a roster of registrants.
  - 2. Sends an acknowledgment letter to each registrant.
  - 3. Notifies the post office weekly of the name and address of persons who register for Carrier Alert.
  - 4. Initiates follow-up action when notified of mail accumulation at a registrant's home.
    - (a) Telephones registrant. If no answer,
    - (b) Telephones the person listed on the registration form designated as the person to contact in case of emergency. If no answer,
    - (c) Sends a staff person to the registrant's home or apartment. If no answer,
    - (d) Contacts the police, explains the situation, and asks that the home be entered.
- C. Letter Carrier
  - 1. Watches for the accumulation of mail in a registrant's mailbox.
  - 2. Notifies a supervisor or other designated individual of the name and address where a mail accumulation is observed.
- D. Postal Supervisor or Designated Individual
  - 1. Notifies the social service agency of information provided by the letter carrier.
  - 2. Contacts the chief field counsel for further legal guidance as necessary during the implementation or administration of this plan.

**IV. EVALUATION** An evaluation plan will be developed locally and used to track the performance and effectiveness of the program.

## 47 Flags

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### 471 Flags at Postal Facilities

#### 471.1 Which May Be Displayed

Except as governed by host facilities as noted in 472.21, the only flags to be displayed at postal facilities are the flag of the United States of America, the Postal Service flag, the POW-MIA flag, and, when authorized by the vice president of Corporate Relations, flags directly related to the programs, missions, and activities of the United States Postal Service. Flags of states, commonwealths, or local governments must not be displayed.

#### 471.2 Relative Placement

##### 471.21 When Displayed on Flagstuffs

Other flags are flown below the U.S. flag if displayed on the same flagstaff and at the same level or lower if displayed on a separate flagstaff. When the U.S. flag is flown at half-staff, all other flags are to be at half-staff also.

##### 471.22 When Displayed on Speaker's Platform

When the United States flag and the Postal Service flag are displayed on a speaker's platform in an auditorium, the United States flag must occupy the position of honor and be placed at the speaker's right as the speaker faces the audience, with the Postal Service flag at the speaker's left.

### 472 U.S. Flag Display

#### 472.1 Regulations for Proper Display

##### 472.11 Placement

If the flag of the United States is not flown from a vertical flagstaff, the following regulations apply:

- a. When the flag is displayed from a staff projecting horizontally or at an angle from the window sill, balcony, or front of a building, the union of the flag (blue field and stars) must be placed at the peak of the staff unless the flag is at half-staff.
- b. When the flag is suspended over a sidewalk from a rope extending from a building to a pole at the edge of the sidewalk, the flag must be hoisted out, union first, from the building.
- c. When the flag is displayed otherwise than by being flown from a staff, it must be displayed flat, whether indoors or out, or so suspended that its folds fall as free as though the flag were staffed.

**472.12 Respect**

No disrespect may be shown to the flag of the United States of America. It must never:

- a. Be dipped to any person or thing.
- b. Be displayed with the union down save as a signal of dire distress.
- c. Be used as drapery of any sort whatsoever, never festooned, drawn back, nor up in folds, but always allowed to fall free.
- d. Touch anything beneath it, such as the ground, the floor, water, or merchandise.
- e. Be fastened, displayed, used, or stored in such a manner as will permit it to be easily torn, soiled, or damaged in any way.
- f. Be used as a covering for a ceiling.
- g. Have placed upon it, nor on any part of it, nor attached to it any mark, insignia, letter, word, figure, design, picture, or drawing of any nature.
- h. Be used as a receptacle for receiving, holding, carrying, or delivering anything.

**472.13 Raising and Lowering****472.131 Full Staff**

As soon after sunrise as practicable, the flag must be hoisted briskly to the peak of the staff. Care must be taken that it not touch the ground. The flag must always be displayed with the union (blue field) at the peak of the staff (unless the flag is at half-staff). No later than sunset the flag must be lowered ceremoniously and not allowed to touch the ground. It must be folded or rolled carefully and stored where it will not be soiled or otherwise damaged. If the flag is wet when taken down, it must be carefully spread out and allowed to dry thoroughly before being stored.

**472.132 Half-Staff**

Displaying the flag at *half-staff* means lowering the flag to half the distance between the top and bottom of the staff. The flag must first be hoisted to the peak of the staff and then slowly lowered to half-staff. When the flag is lowered for the day, it must be raised again to the peak and then lowered slowly before being stored for the night. When the flag is displayed at half-staff during a period of mourning, it must be so displayed on all days included in such period.

**472.14 Bad Weather**

During severe weather when it is probable that the flag will be damaged, it should not be flown.

**472.2 Postal Display****472.21 Where Displayed**

The flag of the United States must be displayed on stationary flagstaffs at all post offices, branches, stations, terminals, garages, and postal facilities, including leased and rented premises. If the post office unit is located in a



facility operated by the General Services Administration, that agency's regulations on the display of the flag govern. If the post office unit is located on a military reservation, the military regulations on the display of the flag on the reservation govern.

#### 472.22 **When Displayed**

When employees are on duty in a postal facility, the flag must be displayed except in severe weather as noted in 472.14. It is raised as soon after sunrise as practicable and lowered at the time of closing or no later than sunset.

#### 472.23 **When Displayed Half-Staff**

##### 472.231 **Specific Days**

When the flag is being displayed, it must be flown at half-staff (see 472.132) on the following dates:

May 15	Peace Officers Memorial Day
Fourth Monday in May	Memorial Day Observed (see note below)
July 27	National Korean War Veterans Armistice Day
December 7	National Pearl Harbor Remembrance Day

**Note:** On the fourth Monday in May when Memorial Day is observed, the flag must be flown at half-staff from sunrise, or the hour at which it is raised, *until 12 noon*, and then hoisted to the peak of the staff, where it must be flown until the time of closing or no later than sunset.

##### 472.232 **Deaths of Prominent Persons**

When the flag is being displayed, it must be flown at half-staff on the death of any person as indicated in [Exhibit 472.232](#).

##### 472.233 **Other Occasions**

Other occasions on which the flag may be displayed at half-staff include the following:

- a. On days proclaimed by the president of the United States.
- b. The heads of government departments and agencies may direct that the flag be flown at half-staff on buildings, grounds, etc., under their jurisdiction on occasions other than those specified which they consider proper. The vice president of Corporate Relations notifies area, district, and plant managers by either broadcast fax or electronic mail of such an order. They, in turn, notify the heads of all postal facilities reporting to them.
- c. The flag may be displayed at half staff on days when funerals of returned war dead are being held locally, when the flags on municipal, county, or state buildings and business establishments generally are being displayed in that manner.

Exhibit 472.232

**Half-Staff Display on Death of a Prominent Person**

<b>On Death Of:</b>	<b>Flag Displayed Half-Staff:</b>	<b>On All Federal Buildings In:</b>
President or former President	For 30 days from date of death	District of Columbia; throughout the U.S., and its territories and possessions
Vice President	For 10 days from date of death	
U.S. Chief Justice or retired Chief Justice		
Speaker of the House of Representatives		
Associate Justice of Supreme Court	From date of death until interment	
Cabinet member		
Former Vice President		
President Pro Tempore of the Senate		
Majority Leader of House		
Minority Leader of House		
U.S. Senator	On date of death and following day	Metropolitan area of District of Columbia; the state, congressional district, territory, or commonwealth
U.S. Representative Delegate		
Resident Commissioner from Commonwealth of Puerto Rico	From date of death until interment	Commonwealth of Puerto Rico
Governor of a state, territory, or possession	From date of death until interment	The state, territory, or possession
Prominent local citizen	From date of death until immediately after funeral	Locally
Other official, former official, or foreign dignitary	The flag is displayed half-staff under orders or instructions issued by or at the direction of the President, or according to recognized customs or practices not inconsistent with law.	

**472.3 Requisitioning New Flags**

Requisitions for new flags must be submitted by field officials to the General Services Administration (GSA).

**473 U.S. Flag Maintenance and Supply****473.1 Repairs**

Flags that are frayed or torn must be neatly hemmed and continued in use.

**473.2 Destruction**

When a flag is badly worn and is no longer a fitting emblem for display, it may not be cast aside or used in any way that might be viewed as disrespectful to the national colors, but it must be destroyed as a whole, privately, in a dignified manner and preferably by burning.

**473.3 Requisitioning New Flags**

Requisitions for new flags must be submitted by field officials to their designated material distribution centers.

**474 U.S. Burial Flags****474.1 Policy****474.11 Deceased Veterans**

It is provided in 38 U.S.C. 901, as amended by Public Law 89–358, that a flag be furnished to drape the casket of each deceased veteran who:

- a. Was a veteran of any war, of Mexican border service, or of service after January 31, 1955.
- b. Had served at least one enlistment.
- c. Had been honorably discharged or released from the active military, naval, or air service for a disability incurred or aggravated in the line of duty.

**474.12 Disposition of Flag**

The law further provides that after burial of the veteran, the flag furnished must be given to the next of kin; or, if not claimed by next of kin, to a close friend or associate of the deceased veteran on request.

**474.2 Cooperation With VA****474.21 Post Offices as Depositories**

Postmasters at CAG A–J offices and at CAG K offices at county seats must cooperate with the Department of Veterans Affairs (VA) when requested to act as depositories for burial flags. On the death of a veteran and in compliance with rules and regulations issued by the VA, a depository must issue a flag to drape the casket.

**474.22 Correspondence**

VA supplies burial flags, application forms, and the rules and regulations governing flag issue. Postmasters must address all correspondence about the supply and issuance of the flags to the VA regional offices that use their office as a depository. When completing Veterans Administration Form 2008, *Application for United States Flag for Burial Purposes*, postmasters or issuing officials must do the following:

- a. Endorse VA Form 2008 by filling in the block at the bottom of the form.
- b. Include an address on VA Form 2008.

**475 Postal Service Flag Display****475.1 Authorized Use**

The Postal Service flag is authorized for use as follows:

- a. On or in front of Postal Service installations.
- b. At Postal Service ceremonies.
- c. At conferences in which the Postal Service is participating (including display in Postal Service conference rooms).
- d. At governmental or public appearances of Postal Service officers and/or executives.
- e. In the offices of Postal Service officers.
- f. By all Postal Service vice presidents of Area Operations, district managers, and all field units reporting directly to Headquarters.
- g. On the approval of a vice president, when judged to be in the best interest of the Postal Service.
- h. As otherwise authorized by the postmaster general or designee.

**475.2 Display Regulations**

The Postal Service flag is displayed only in conjunction with the United States flag. The same regulations for proper display of the United States flag described in 471 and 472 must also be followed when displaying the Postal Service flag.

**475.3 Requisitioning New Postal Service Flags**

Postal Service flags are no longer stocked in the material distribution centers. Requisitions for new flags are submitted by field officials through channels to one of the currently approved vendors. Authorization for issuance of the new flags is based on the policy in 475.1.

## 476 POW-MIA Flag Display

### 476.1 Policy

The Defense Authorization Act, Public Law 105-85, section 1082, requires that postal facilities display the POW-MIA flag on six specified days each year:

Armed Forces Day	Third Saturday in May
Memorial Day	Last Monday in May
Flag Day	June 14
Independence Day	July 4
National POW-MIA Recognition Day	Third Friday in September
Veterans Day	November 11

**Note:** If any of these days fall on a non-business day, postal facilities are required to display the POW-MIA flag on the last business day before the designated day.

### 476.2 Display

#### 476.21 Description

The POW-MIA flag that may be flown at postal facilities is the National League of Families POW-MIA flag that is recognized officially and designated by Public Law 101-355, section 2.

#### 476.22 Regulations

The POW-MIA flag must be displayed in a manner designed to ensure visibility to the public.

#### 476.23 Placement With the United States Flag

No other flag should be placed above or, if on the same level, to the right of United States flag.

### 476.3 Requisitioning New POW-MIA Flags

To order, use the FEDSTRIP Activity Address Code as for any normal supply requisition on PS Form 7380, *MDC Supply Requisition*, to the following address:

MATERIAL DISTRIBUTION CENTER  
ATTENTION: SUPPLY REQUISITIONS  
UNITED STATES POSTAL SERVICE  
500 SW GARY ORMSBY DRIVE  
TOPEKA KS 66624-9607

# 5 Facilities and Equipment

## 51 Facilities

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### 511 General

#### 511.1 Responsibilities

Facilities is an enabling organization whose primary mission is to provide quality real estate, facilities products, and services to meet the present and future needs of Postal Service operations.

#### 511.11 Overall

The Facilities organization is responsible for:

- a. Facility requirements and planning, including: facility space planning, real estate, design and construction, and decision analysis report preparation.
- b. Providing continued occupancy of leased facilities.
- c. Providing new and/or improved facilities.
- d. Outleasing, subleasing, and/or developing excess or underutilized space in existing owned and leased facilities that is not currently required or is being held for future operational requirements or disposing of those facilities.
- e. Contracting for facility projects valued at less than \$10 million. (Those over \$10 million are contracted for by Major Facilities Purchasing in Purchasing and Materials.)
- f. Providing environmental assessments and related evaluations.
- g. Coordinating the development of material handling systems with Engineering.
- h. Coordinating the security and safety requirements with the Postal Inspection Service, the security control officer, and the Office of Safety and Risk Management.

**511.12 Area Offices**

All area offices have responsibility within prescribed limits for:

- a. Facility requirements and planning.
- b. Building inspections.
- c. Facility repairs and alterations.
- d. Supply management, supplies, and services.

**511.13 References**

Handbook AS-504, *Space Requirements*, has instructions to carry out facility requirements and space planning. Handbook RE-1, *Realty Acquisition and Management*, has policy and procedures to carry out acquisition, disposal, leasing, historic preservation, fine arts, and management of real property. Handbook AS-503, *Standard Design Criteria*, provides designs, criteria, and specifications for new buildings and repair and alteration of existing structures. Handbook RE-6, *Facilities Environmental Guide*, provides procedures and guidelines governing the environmental aspects of leasing, acquiring, managing, developing, and disposing of real property. Handbooks RE-12, *Repair and Alteration Surveys*, and RE-13, *Repair and Alteration of Real Property Facilities*, provide criteria to districts and plants for conducting building inspections and initiating repair and alteration projects. Handbook P-2, *Design and Construction Purchasing Practices*, has policies and procedures to carry out design, construction, and support contracts under the Purchasing Manual. Other reference materials include Handbook AS-505, *Mechanization Design Specifications*; Specification USPS M-5000, *Specification Standards for Mechanized Mail Processing Systems*; MD-15 Series, *Fixed Mechanization Standard Drawings*; Handbook RE-4, *Standards for Facility Accessibility by the Physically Handicapped*; Handbook RE-5, *Building and Site Security Requirements*; Handbook AS-707-H, *Contracting for Food Services*; and Handbook EL-602, *Food Service Operations*. Facilities publication 59, *Architect-Engineer Project Management*, has guidelines and procedures related to architect-engineer professional services contracts.

**511.2 Delegation of Authority****511.21 Approval Authority****511.211 Handbook F-66 Series**

The handbook F-66 series on investment policies and procedures contains policy information and provides for approval authority for:

- a. The purchase, construction, lease, alteration, maintenance, and repair of postal land, facilities, and equipment.
- b. The disposal of equipment, leased land, leased facilities, and Postal Service-owned land and buildings.

**511.212 Delegation**

Delegation of this authority for some items is granted to the vice presidents of Area Operations, district managers, processing and distribution (P&D) center managers, bulk mail center managers, and Postal Career Executive Service (PCES) postmasters. For some items, these managers have the option to redelegate portions of this to managers within their organizations.

**511.22 Contracting Authority**

Authority for approving and entering into design and construction contracts is provided in the *Purchasing Manual*, Chapter 1 (Authority, Responsibility, and Policy); and is subject to the procedures in Handbook P-2, *Design and Construction Purchasing Practices*. Contracting authority for Real Estate and its related services is found in Handbook RE-1, *Realty Acquisition and Management*.

**512 Facility Requirements****512.1 General****512.11 Policy**

Before reaching decisions on new or improved facilities, every effort must be made to continue occupancy of the present facility, as long as there is capability to meet expected future requirements in capacity and service standards. The criterion for adding to or replacing facilities is improvement of postal service at least cost. New construction is authorized only when the use of an existing building cannot be justified from a service, environmental, employee, space constraint, or economic standpoint.

**512.12 Definitions**

The following definitions apply:

- a. *Major facility projects* — all projects costing \$5 million or more.
- b. *Area facility projects* — all projects costing less than \$5 million.

**512.13 Responsibilities****512.131 Headquarters**

Facilities has overall responsibility for preparing, analyzing, and obtaining requirements for postal facilities.

**512.132 Area Offices**

Vice presidents of Area Operations develop and implement short- and long-range facilities requirements.

**512.14 References**

The primary documents used in planning for capital investment in facilities are the handbook F-66 series on investment policies and procedures. Handbook AS-504, *Space Requirements*, is the document used for space planning.



## 512.2 **Facility Planning and Budgeting**

### 512.21 **Project Identification**

#### 512.211 **Approval Factors**

Requirements for new or improved facilities may be approved on the basis of one or more of the following types of factors:

- a. Employee factors such as providing safe and healthful working conditions.
- b. Service factors considering severe capacity deficiencies, growth, lease preemption, and condemnation.
- c. Economic factors such as providing a positive return on investment (ROI) (see handbook F-66 series).

#### 512.212 **Long-Range Planning**

Long-range facility planning at the district, plant, and area office levels usually identifies problem facilities and provides adequate lead time for all alternatives to be considered and for proper action to be initiated.

#### 512.213 **Notification of Deficiencies**

The postmaster or plant manager is responsible for notifying next higher management of specific facility deficiencies.

### 512.22 **Project Scheduling**

#### 512.221 **Five-Year Needs**

When developing area office budget submissions, district and Processing and Distribution Center (P&DC) managers prepare a list of facilities within their jurisdiction that should be considered for action within the next 5 years (see handbook F-66 series on investment policies and procedures). The Postal Service maintains the *5-Year Capital Investment Plan* and reviews it annually.

#### 512.222 **Planning Cycle**

The planning cycle schedule for individual facility projects includes only projects requiring planning or budgeting action for the first 2 years of the 5-year budget.

#### 512.223 **Priorities — Area Projects**

Priorities for area facilities considered for replacement are determined by using Form 2282, *Facility Evaluation Sheet (Space & Condition)*, with on-site reviews. The form is prepared by the district Administrative Support office for customer service facilities or the In-Plant Support office for P&D facilities.

#### 512.224 **Priorities — Major Projects**

Priorities for major projects are determined by the chief operating officer and executive vice president, using the recommendations and justifications submitted by the area offices, in conjunction with on-site reviews.

## 512.23 Planning Documentation

### 512.231 Preparation

Responsibility for developing planning documentation is based on the facility category:

Facility Category	Facility Planning Concept	Space Requirement	Decision Analysis Report
Customer Service Under \$5 Million	AS	AS	AS
Customer Service \$5 Million and Over	AS	AS	FSO
Processing & Distribution Under \$10 Million	IPS	IPS	IPS
Processing & Distribution \$10 Million and Over	IPS	FP&A	FP&A

AS = Administrative Support Office    FP&A = Headquarters Facilities Planning & Approval  
 IPS = In-Plant Support  
 FSO = Facilities Service Office

### 512.232 Facility Planning Concept

A facility planning concept is a document showing the operational functions to be performed in a new facility and how these will affect other units in the service area. Detailed instructions for preparation of facility planning concepts issued by Facilities are available in Management Instruction AS-520-96-9, *Facility Planning Concept*.

### 512.233 Space Requirements

Space requirements are developed under Handbook AS-504 using Form 919, *Facility Planning Data*, and Form 929, *Major Facility Planning Data*.

### 512.234 Decision Analysis

A decision analysis is prepared for each project following instructions in handbook F-66 series on investment policies and procedures.

## 512.3 Funding Approval

All projects must be approved within the delegations of approval authority specified by the vice president, Finance, Controller.

## 512.4 Facility Activation

Guidelines for activating new facilities are specified in Handbook AS-501, *Postal Facility Activation*, and Handbook AS-502, *Activation of Non-Mail-Processing Postal Facilities*. This function is Area responsibility.

## 513 **Acquiring Space**

### 513.1 **New or Existing Facilities (Leased or Owned)**

#### 513.11 **Procedures for Acquiring New Space**

##### 513.111 **Documentation and Requests**

The requiring organization forwards requests for acquiring new or existing buildings or land through channels to the official with approval authority for funding, as specified in handbook F-66 series on investment policies and procedures.

##### 513.112 **Request for Service or Project Authorization**

On final approval of a project, the requiring organization submits a Form 7437, *Facilities Services Request*, and a Form 4209, *Project Authorization*, to the facilities service office (FSO) or major facilities office (MFO) having authority to execute the project.

#### 513.12 **Continuing Space in Existing Leased Quarters**

To continue occupancy of a leased facility, each successive month the FSO generates and submits a new 24-month expiring lease report to its respective administrative support office (ASO).

##### 513.121 **When Annual Rate Is \$25,000 or Less**

For all leases or renewal options with rental rates of \$25,000 or less per year, the FSO sends a report with a cover letter stating that the leases will be renewed. The new lease will provide for a maximum fixed term of 5 years, at a rate not to exceed fair market value. If the district approving official does not want to extend a lease under these conditions, the official must advise the FSO or ASO in writing within 30 days of the date of the cover letter.

##### 513.122 **When Annual Rate Is More Than \$25,000**

For leases over \$25,000 per year, the requiring organization must submit a Form 7437, *Facilities Services Request*, to the FSO or MFO as appropriate at least 24 months in advance of the expiring lease term.

#### 513.13 **Emergency Space**

Upon contact from the postmaster, the responsible service organization will immediately arrange for suitable temporary quarters, finalize the negotiations, and prepare an agreement for the space. If the postmaster is unable to make contact with the responsible service organization, the postmaster may obtain temporary quarters that meet requirements, when emergency space is needed to protect the mail and postal equipment.

#### 513.14 **Christmas Space Assistance**

The responsible service organization can provide assistance in obtaining temporary space.

## 513.2 **Security and Safety Management**

Before submitting requests for acquisition of new or existing buildings or Christmas space, notify the inspector in charge and the servicing safety office so that security and safety arrangements can be coordinated. Any property selected, including that for temporary use, must be examined to ensure that adequate security and safety can be provided to employees, the mail, and postal property.

## 514 **Changes Affecting Leases**

### 514.1 **Cancellation**

#### 514.11 **General**

The lease agreement between the Postal Service and lessor may have provisions for cancellation of the lease on written notice.

#### 514.12 **By Postal Service**

When the requiring organization no longer needs a leased facility, it must submit a Form 7437, *Facilities Services Request*, to notify the responsible service organization. Available options may involve termination of the existing lease, sale of the leasehold interest, renewal of the lease, or outleasing of the space. The Facilities Services Request must be submitted in a timely manner to allow action by the responsible service organization in accordance with provisions of the lease.

#### 514.13 **By Lessor**

Postmasters must immediately forward to the responsible service organization any notification received from a lessor that purports to terminate or cancel a lease on a leased building.

### 514.2 **Vacating Building**

When a lease is terminated, canceled, or expires, and the property is to be vacated, the Facilities contracting officer coordinates with the postmaster to ensure that the premises are vacated and keys are delivered to the lessor by the date specified. Postmasters should remove Postal Service identification from the building and post a sign advising the public of the new location.

### 514.3 **Notification of Building Acceptance**

The contracting officer issues a letter to the district with a copy to the installation head indicating that the building is ready for occupancy.

## 515 **Repair of Leased Premises**

### 515.1 **Preventive Maintenance**

Many postal leases have provisions making the lessor responsible for maintaining the premises in good repair and tenantable condition (except for repair of damage caused by Postal Service agents or employees, which is

Postal Service responsibility). A lessor with maintenance responsibilities cannot be required to perform certain work that may be viewed as preventive maintenance, although such work is advisable and should be encouraged.

### 515.2 Repairs

When repairs are needed for which the lessor is responsible, the postmaster submits in writing a request to the lessor to make the needed repairs, establishing a reasonable time period for compliance. Handbook MS-110, *Associate Office Postmaster's Facilities Maintenance Guidelines*, provides guidance to postmasters on maintaining and repairing post office buildings.

### 515.3 Emergency Repairs

Procedures for emergency situations requiring immediate repair are set forth in Chapter 4 of Handbook MS-110, *Associate Office Postmaster's Facilities Maintenance Guidelines*.

An emergency repair is action taken to correct a situation that constitutes a threat to the safety or health of postal employees or customers or threatens the security of the mail.

### 515.4 Change of Ownership

When a change of ownership on a leased building takes place the FSO or MFO sends a Form 7426, *Designation of Emergency Repair Personnel*, to the new owner for completion of the form.

## 516 Repairs and Alterations

### 516.1 Procedures

#### 516.11 Minor Repairs and Alterations

Procedures for accomplishing repair and alteration projects are in Handbooks MS-110, RE-13, and P-2.

#### 516.12 Historically Significant Facilities

Any proposed modification to an owned or leased postal facility listed or eligible for listing on the National Register of Historic Places must be submitted to the responsible service organization.

### 516.13 Avoiding Hazardous Conditions

#### 516.131 Asbestos

Asbestos is a hazardous, regulated material, and any project that can disturb actual or suspected asbestos must be referred to the responsible service organization (see MI EL-810-98-1, *Asbestos-Containing Building Materials Control Program*).

#### 516.132 Lead-Based Paint

Lead-based paint is a potentially hazardous and regulated material. Any project that may produce dust or fumes from suspected or known lead-based

paint must be referred to the responsible service organization (see 29 CFR 1926.62; Maintenance Management Order (MMO) 031-94, *Lead Exposure in Construction (Lead-based Paint)*; and MI EL-810-1999-1, *Lead Hazard Management*).

## 516.2 **Installation of Additional Post Office Boxes**

### 516.21 **Policy**

Postmasters have limited authority to rearrange or insert additional post office boxes in existing lobbies without going through higher management.

### 516.22 **Scope**

These procedures are established to expedite local modifications of post office boxes. They apply only to general mail facilities, associate post offices, branches, and stations.

### 516.23 **Postal-Owned Facilities**

#### 516.231 **Relocation**

The postmaster is authorized only to replace blank panels with post office boxes or to relocate post office boxes within a panel if no rearrangement of the box lobby is required. This work can be performed either by the local maintenance staff or by contract.

#### 516.232 **Redesign**

In cases where rearrangement or extensive modification of the post office box lobby is required, the project must be forwarded to the responsible service organization. That organization is responsible for the redesign of the lobby to ensure satisfactory changes in the heating, ventilating, air conditioning, and lighting systems; floor and/or ceiling structure; safety; and security. It is also responsible for ensuring compliance with requirements for persons with disabilities (see Handbook RE-4, *Standards for Facility Accessibility by the Physically Handicapped*).

### 516.24 **Government Services Administration-Controlled Facilities**

#### 516.241 **GSA-Postal Service Agreement**

The Government Services Administration-Postal Service Agreement does not permit the Postal Service to make building modifications without prior approval from the General Services Administration (GSA). However, the postmaster can without prior GSA approval replace blank panels with post office boxes or relocate boxes within a panel. This work can be performed either by the local maintenance staff, GSA, or contract.

#### 516.242 **Other Modifications**

All other post office box lobby modifications must be submitted to the responsible service organization for prior approval by GSA.

**516.25 Other Leased Facilities****516.251 Panel Replacement**

When blank panels are to be replaced by post office boxes, or boxes are to be rearranged in a panel without modifying the box lobby, the postmaster is authorized to perform the work. This work can be performed either by the local maintenance staff or by contract.

**516.252 Submissions**

All other box lobby modifications must be submitted to the responsible service organization.

**516.26 Contracts**

Contracts to replace blank panels with post office boxes, or to relocate boxes within a panel if no rearrangement of box lobby is required, are accomplished as follows:

- a. By the postmaster using existing local buying authority.
- b. By submission to the responsible service organization for entry and tracking in the Facility Management System Windows (FMSWIN). The responsible service organization awards the contract.

**516.27 Processing Requests****516.271 Request for Services**

The request for services for lobby modification is initiated by the postmaster or installation head through the district manager or plant manager.

**516.272 Denials**

If the request is disapproved or must be budgeted for a future year, the postmaster is notified promptly of the decision.

**516.273 Approvals**

If the request is approved, the district manager or plant manager advises the postmaster of the project schedule within 30 calendar days if the project can be accomplished at the district or plant level. Larger projects may require the assistance of the FSO or MFO.

**517 Real Property Management****517.1 Disposal of Postal Service-Owned Excess Real Property****517.11 Inventory Review**

The requiring organization, with the responsible service organization, reviews the inventory of Postal Service-owned property at least annually to determine whether there are any properties for which the Postal Service has no foreseeable need. Other interested area or Headquarters units also review the inventory.

**517.12 Procedure for Disposal****517.121 Approval and Recommendation**

After the inventory is reviewed, if the area office or other office with such authority approves a property as being excess to Postal Service needs, that office submits a written recommendation to Realty Asset Management to dispose of the property. This must be done no later than 720 days before the estimated date of occupancy of the replacement facility if the Postal Service occupies the property that will be excessed and disposed.

**517.122 Funding**

The requiring organization must provide the funding for disposal support.

**517.123 Environmental Concerns**

Any environmental issues need to be addressed before disposition takes place.

**517.124 Relocation of Artwork**

Artwork, located in the lobbies of postal-owned facilities, forms a vital part of America's national heritage and every effort is made by the Postal Service to preserve and safeguard this collection for future generations.

If a facility that contains artwork is to be declared surplus, the area office needs to assure the artwork is incorporated into the design criteria for relocation of the artwork into the replacement facility if the new facility is postal-owned.

If the replacement facility is leased, other disposition possibilities include:

- a. Relocation to another postal-owned facility.
- b. Relocation to a Federal facility.
- c. Retention in the existing surplus facility if the facility is sold or transferred to the General Services Administration or another Federal agency that will assume responsibility for the care and maintenance of the artwork.
- d. Relocation under a loan agreement to (in the following order) a local museum, historical society, university, or public building such as a library, city hall, or similar public meeting place, providing that the artwork remains the property of the Postal Service and will be maintained properly by the borrowing organization. For additional information or guidance, contact the Federal Preservation Officer at Facilities, Headquarters.

**517.13 Protection of Vacant Property****517.131 Responsibility**

Unoccupied buildings, improvements, or undeveloped sites must be protected against unauthorized use, vandalism, or damage. In addition to the minimum requirements listed below for protecting and maintaining this property, other requirements may be issued by Facilities.



**517.132 Requirements**

To protect unoccupied buildings, the district administrative support office does the following:

- a. Drains water pipes and radiators.
- b. Locks and boards windows, doors, and other exterior openings.
- c. Posts signs where necessary with the notice: *No Trespassing — U.S. Postal Service Property*. If these signs are not readily available, similar signs are stocked by the GSA.
- d. Cuts weeds and grass to reduce fire hazards and to eliminate possible complaints from city and municipal authorities.
- e. Removes snow and ice from sidewalks (as required) for safe pedestrian cross-traffic.
- f. Notifies local law enforcement authority and the Postal Inspection Service.
- g. Removes all postal equipment and property at the time the building is vacated.
- h. Removes all trash from the building at the time it is vacated. The interior must be clean for marketing purposes.

**517.133 Day-to-Day Management**

The ranking postal official in the community or area where the unoccupied building, improvement, or undeveloped site is located is responsible for day-to-day management of the property. This official is notified by the responsible service organization of this responsibility, which includes the following:

- a. Advise the responsible service organization of any problems encountered at the site.
- b. Make periodic and unscheduled visits to the site as needed, but not less than once a month.
- c. Refer any problem that cannot be resolved at the local level to the responsible service organization.

**517.2 Interchange of Space in Postal Service and GSA Buildings****517.21 GSA-Postal Service Agreement**

Occupancy of space by the Postal Service in GSA-controlled buildings, and by the GSA and other federal agencies in Postal Service-controlled buildings, is governed by the *Agreement Between General Services Administration and the United States Postal Service Covering Real and Personal Property Relationships and Associated Services* (GSA-Postal Service Agreement).

**517.22 Rent**

Rent is the payment by which each agency compensates the other for space occupancy and for standard levels of building operation, utilities, cleaning, and security.

**517.23 GSA-Postal Service Relationship**

The relationship between GSA and the Postal Service is on an owner agency-tenant agency basis. Other federal agencies (including the U.S. courts and members of Congress) occupying space in Postal Service buildings are considered subtenants of the GSA.

**517.3 Leasing Excess Space and Facilities****517.31 General**

The Postal Service owns and leases numerous properties throughout the United States. It is important to have an effective and successful asset management program and to consider leasing excess space and facilities when possible and in the best interest of the Postal Service.

**517.32 Assigning Space to GSA****517.321 Assignment Rights**

GSA is the leasing agency for most federal agencies. Most federal agencies occupying space in Postal Service-owned properties are assigned the space by GSA. GSA reimburses the Postal Service for space assigned by payment of rent.

**517.322 Excess Space**

Keeping federal agencies as tenants is desired. However, leasing all excess space to federal agencies may not be possible. If the GSA has no requirement for the excess space, the Postal Service should seek other public and private tenants.

**517.33 Leasing to the Private Sector****517.331 Procedure**

Excess space not required by the GSA is offered to state, county, and municipal government agencies. Such excess space also can be offered to the private sector.

**517.332 General Requirements**

Care and good judgment must be exercised in leasing to nongovernment tenants to ensure that activities of the tenants do not adversely affect postal operations or reflect negatively on the Postal Service.

**517.333 Specific Requirements**

The following requirements must be met for leases to the private sector:

- a. The prospective tenant must be financially reliable.
- b. The space leased to nonpostal tenants must be accessible by private entrance or public hallways that do not violate postal security regulations.
- c. The normal operating hours of the tenant should not conflict with the operating hours of the building.

- d. The building maintenance, repairs, utilities, and custodial services normally are Postal Service responsibility, but subject to the terms of the tenant's lease with the Postal Service.
- e. The tenant contracts with the appropriate telephone company for telephone installation and service, at no expense to the Postal Service.
- f. The Postal Service is responsible for basic security of the building and common areas, as determined by the Postal Inspection Service.

#### 517.334 **Lease Requirements**

Postal managers have an obligation to provide tenant services detailed in the lease agreement, including janitorial and maintenance services, if applicable.

#### 517.34 **Reporting Excess Space, Buildings, and Land**

Postmasters, district managers, plant managers, and vice presidents of Area Operations should report all excess space in Postal Service-owned or -leased buildings or undeveloped Postal Service-owned and leased sites. Submit a Form 7437, *Facilities Services Request*, through regular channels to Realty Asset Management, requesting that excess space be leased. The facility finance number is credited for the rental income for leasing of excess property or space to federal and nonfederal tenants.

#### 517.35 **Assignment of Space to Credit Unions (As Applicable Under the National Labor Agreements)**

In the event that unions or their local unions (whether called branches or by other names) presently operate and charter credit unions, the employer may, if space is available, provide limited non-workroom space, without charge, for the operation of such credit unions in postal buildings. Requests for future space for union credit unions are to be sent to the responsible service office for review and consideration.

#### 517.4 **Obtaining Space by GSA in Postal Service-Controlled Buildings**

##### 517.41 **Requests From Government Agencies**

All requests for space in Postal Service buildings received by the Postal Service from federal agencies (including U.S. courts and members of Congress) must be referred to Realty Asset Management personnel. When an agency desires additional space in a Postal Service building, GSA notifies Realty Asset Management. Postal managers must not authorize the use of unassigned space without the concurrence of Realty Asset Management.

##### 517.42 **Procedure**

Arrangements for assigning space in Postal Service buildings for federal agency use are made by GSA with the concurrence of Realty Asset Management. Space in Postal Service buildings already assigned to GSA for GSA or agency use may be reassigned by GSA, provided reasonable advance notice is given to Realty Asset Management.

**517.43 Assignment of Space to GSA**

Realty Asset Management notifies GSA when excess space in Postal Service buildings is available to GSA for assignment to federal agencies. The space is normally held available for GSA for 30 days. If GSA advises there is no requirement for the space, or if the period of availability expires without reply, Realty Asset Management takes other action to lease the space.

**517.44 Alterations to Vacant Space**

If excess space is not leasable without alterations, a study is conducted to determine whether these required alterations are structurally and architecturally feasible. An economic analysis is also made to determine whether this action is in the best interest of the Postal Service, based on anticipated rental.

**517.45 Initial Tenant Alterations**

The Postal Service is responsible for initial tenant alterations to the space assigned to GSA in Postal Service-owned or -leased buildings, as required by the GSA-Postal Service Agreement.

**517.46 Monitor Space Assignments**

Postmasters are responsible for monitoring space assigned to GSA, including relocations, transfers, expansions, reduction and vacation of space. These changes should be reported to Realty Asset Management.

**517.5 Obtaining Space by Postal Service in GSA-Controlled Buildings****517.51 Procedure**

When the Postal Service requires space in a GSA-controlled building, or additional space in one it already occupies, Realty Asset Management notifies GSA. The requirements organization submits a Form 7437, *Facilities Services Request*, or a written request through proper channels to Realty Asset Management.

**517.52 Initial Tenant Alterations**

GSA is responsible for initial tenant alterations to space assigned to the Postal Service in GSA-controlled buildings, as required by the GSA-Postal Service Agreement.

**517.53 Alterations, Improvements, and Services**

The GSA-Postal Service Agreement provides that GSA is primarily responsible for work involving alterations, improvements, and service in GSA-controlled buildings. If the Postal Service requests, and GSA provides, work or services that exceed those provided under the standard levels established in the GSA-Postal Service-Agreement (for example, evenings, weekends, and holidays) the costs are paid separately to GSA by the Postal Service. Approvals and arrangements for funding must be made prior to

commencement of the work or service. Contract documents with GSA are prepared and executed by Realty Asset Management personnel.

517.6 **Preemption by the Postal Service or GSA of Space Occupied by the Other**

517.61 **General**

The GSA-Postal Service Agreement provides that either owner agency can preempt the tenant agency by giving the proper written notice, as explained below.

517.62 **Postal Service-Controlled Buildings**

517.621 **Notification**

The Postal Service notifies GSA in writing at least 180 days in advance when space is required in Postal Service buildings occupied by federal agencies.

**Exception:** If the Postal Service needs space used as a courtroom in a postal building, at least 1 year advance written notice must be given to GSA.

517.622 **Returning Space**

When the Postal Service plans to dispose of a facility in which federal agencies (including U.S. courts or members of Congress) occupy space, Realty Asset Management notifies the appropriate GSA regional office, according to the above schedule.

517.63 **GSA-Controlled Buildings**

517.631 **Notification**

When GSA notifies the Postal Service that space is required in GSA-controlled buildings occupied by the Postal Service, GSA must give the Postal Service at least 1 year advance written notice when postal workroom, post office box or screenline lobby, postal swing room, locker room, mailing vestibule, or platform space is required. General office space requires 180 days' written notice for the Postal Service to vacate the space.

517.632 **Returning Space**

When GSA plans to dispose of a facility in which the Postal Service occupies space, GSA notifies Realty Asset Management, according to the above schedule.

517.64 **Funding**

517.641 **Moving Expenses**

When either GSA or the Postal Service preempts, for its own use, space assigned to the other, the preempting agency funds only the moving expenses, including reasonable costs incidental to the move (such as reinstalling telephones) of the agency required to relocate.

**517.642 Telephones**

- a. *Relocation costs* — Costs for relocating telephones cannot exceed costs of duplicating the telephones existing before moving. *Duplicating existing telephones* is defined as replacing like telephone equipment, including color, number and type of instruments, number of circuits, buttons, lights, and buzzers.
- b. *Exception* — The cost of moving and reinstalling telephones is not payable by the Postal Service to agencies required to relocate from a building being abandoned and excessed by the Postal Service.

**517.643 Budgeting**

The postal organization requesting preemption of space for its use is responsible for budgeting and payment of these moving expenses.

**517.7 Building Operations and Maintenance****517.71 Operation of Parking Facilities****517.711 Assignment of Postal Spaces**

In buildings operated by GSA, GSA assigns parking spaces to the Postal Service.

**517.712 Assignment of Nonpostal Spaces**

In buildings operated by the Postal Service, the Postal Service assigns nonpostal spaces to GSA, and GSA assigns and reassigns nonpostal parking spaces for tenant agency use.

**517.713 Other**

Physical protection, maintenance, and policing of all parking areas is provided by the owner agency of the building.

**517.72 Building Services**

The owner agency furnishes space, building services, and utilities, specified as standard level in the GSA-Postal Service Agreement. Complaints and requests relating to required building services are made or referred to the owner agency's building manager or postmaster. If the building manager or postmaster does not provide a satisfactory solution to the complaint or request, refer the matter to Realty Asset Management or the GSA regional office.

**517.8 Reimbursable Services in Excess of Rent or Standard Level of Services****517.81 Policy**

The GSA-Postal Service Agreement requires the Postal Service and GSA to reimburse each other for additional recurring and nonrecurring services each agency provides in excess of standard levels of service or initial tenant buildout.

**517.82 Definitions**

The following definitions apply:

- a. *Recurring services* — Any additional utility, custodial, or security services required by a tenant agency on a continuing basis to maintain a building operation in excess of one shift per day (10 hours, which includes 1/2-hour start-up and 1/2-hour shutdown time) 5 days per week.
- b. *Nonrecurring services* — Any one-time improvement, alteration, or service required for a specified scope of work in a tenant space.

**517.83 GSA Buildings Occupied by Postal Service****517.831 Procedure**

When recurring or nonrecurring services are required by a postal manager (postmaster or officer in charge) in a GSA-controlled building, a Form 7437, *Facilities Services Request*, is completed and forwarded through channels to the district manager or plant manager. The form should provide a clear and concise description of the recurring or nonrecurring service required. The district manager or plant manager reviews and modifies, cancels, or approves the form.

**517.832 Submission**

In the case of recurring services, a Form 7437 must be submitted to Realty Asset Management 120 days before the start of the fiscal year or date the service is required. The district manager, plant manager, or postal manager will certify that the cost estimate provided by GSA is fair and reasonable and will ensure that the estimated cost of the recurring service has been budgeted.

**517.833 Form 4209**

Form 7437 for nonrecurring services must be accompanied by a Form 4209, *Project Authorization*, based on the estimated cost of the service.

**517.834 GSA Form 2957**

On receipt of a Form 7437, Realty Asset Management completes GSA Form 2957, *Reimbursable Work Authorization*, and forwards it to GSA.

**517.84 Postal Service Buildings Occupied by GSA****517.841 Procedure**

Federal tenant agencies that occupy space in Postal Service buildings and require recurring or nonrecurring services beyond standard levels specified in the GSA-Postal Service Agreement must complete GSA Form 2957 and forward the form to the GSA regional office. GSA submits copies of GSA Form 2957 to Realty Asset Management.

**517.842 Unauthorized Use of Space**

If a postal manager becomes aware that a federal tenant agency is using unauthorized space other than what is reflected on the rent bill, using unauthorized recurring or nonrecurring services, and/or making improvements or alterations to Postal Service space without a GSA Form

2957 on file in the postal manager's office, the postal manager is to notify Realty Asset Management immediately. Realty Asset Management investigates the service being used by the federal tenant agency and notifies GSA that such services, if recurring in nature, are to be discontinued within 10 days if GSA Form 2957 is not submitted. If the service is nonrecurring in nature, GSA should be advised to cease work immediately. If the Postal Service has incurred cost or substantial damage as a result of the federal tenant agency actions, GSA is to be advised accordingly and the Postal Service will seek payment.

## 518 **Facility Planning**

### 518.1 **General**

The process of providing new postal quarters is subject to the requirements of a number of laws, executive orders, and other regulations. It is imperative to consider these various requirements during project development. This part outlines these requirements and the procedures that must be followed in the planning process.

### 518.2 **Community Contact**

#### 518.21 **Purpose**

It is important to know and consider the views of local public officials and interested citizens at an early stage in the facility planning process. However, it is imperative that district or plant managers review all alternatives and establish the requirement for new space *before* community contact is initiated.

#### 518.22 **Application**

##### 518.221 **Notification**

Notification procedures apply to the following retail or customer service facilities:

- a. New facility construction, owned or leased.
- b. Expansion of an existing building.
- c. Purchase or lease of a previously nonpostal occupied existing building.
- d. Any alterations that increase the exterior size of the building or site.

##### 518.222 **Exception**

Procedures do not apply to non-customer service facilities such as Processing & Distribution Centers, Air Mail Center facilities, carrier annexes, or office space.

#### 518.23 **Notification of Local Officials**

##### 518.231 **Coordination**

Facilities representatives, i.e., the real estate specialist and architect-engineer assigned to the project, schedule an appointment with the highest elected official. They then meet with that official, accompanied by other



appropriate postal representatives, i.e., district manager, plant manager and/or postmaster, to:

- a. Discuss the project and process the Postal Service will follow.
- b. Solicit the official's input.

This initial meeting helps to maintain positive community relations concerning projects that otherwise may develop into problem cases. It also improves the Postal Service image in communities where expansion or relocation will be accomplished without controversy.

#### 518.232 **Comments**

After scheduling an advance appointment, representatives meet with the official and/or designee to hand deliver a community contact letter (see [Exhibit 518.232](#)) dated for that day. To ensure that the Postal Service is sending a uniform message across the country, representatives use this standard letter. Copies of the letter must be provided to Headquarters Government Relations and Corporate Relations at least 2 days before the meeting. All information concerning this project must be kept in the strictest confidence until the meeting is held with the official.

#### 518.233 **Discussion**

Facilities representatives:

- a. Discuss the purpose of the meeting, noting that community input is being solicited.
- b. Discuss the existing conditions and deficiencies.
- c. Explain Postal Service requirements and information used to forecast future needs. Include in this discussion the benefits to citizens of the community (e.g., more service windows and post office boxes, improved parking, architectural-barrier accessibility), and how this will benefit the Postal Service.
- d. Elicit the official's input on the economic climate of the community and growth projections. This should provide a good test for the Postal Service's forecast to determine whether needs have been over- or understated.
- e. If known, explain why the facility cannot be expanded and what will be done with the present post office (lease is expiring, Postal Service is selling, etc.).
- f. Discuss the expansion possibilities, alternate quarters, new construction-leased, or new construction-owned process. Discuss what will happen with a flexible schedule. If there is a portfolio of building elevations, show and discuss which may be the most appropriate for the area.
- g. Discuss the preferred area, welcoming community input, and offer a possible tour with elected officials. Be careful to avoid specific recommendations at this time. Instead, discuss the central business district, historic district, commercial zones, master plans, town complex or infrastructure, and the likelihood of finding sites.

Exhibit 518.232

**Community Contact Letter**

Dear \_\_[officials name: Mayor/First Selectman/Supervisor, etc.]\_\_:

The Postal Service has determined that the present postal facility located on \_\_[street address]\_\_ is inadequate to serve future postal needs of \_\_[community name]\_\_. We need to expand operations to enhance both the quality of postal services we provide to your community and our employees' working conditions. After consulting with Postmaster \_\_[postmaster's name]\_\_, we find that we need, ideally, approximately \_\_[number]\_\_ square feet of net interior space.

To meet these new requirements, our first consideration is to expand the existing postal facility. If this is not feasible, we will then consider relocating to another building or construct a new building on a site that is, ideally, approximately \_\_[number]\_\_ \_\_[square feet/acres]\_\_. In the event another building or site must be identified, every effort will be made to maintain it within the downtown business area of \_\_[community name]\_\_.

The Postal Service wishes to work in partnership with your community. Therefore, we ask for your assistance and cooperation in having this project scheduled for the next available town meeting so that the general public may express its opinions and offer constructive comments on the project.

We welcome your timely suggestions and comments, both as we initiate this project and as it proceeds. Please address any questions, suggestions, or concerns to \_\_[name, mailing address, and telephone number of appropriate Facilities representative, to be provided by Facilities office]\_\_.

Thank you for your participation in this process. We look forward to continuing to work with you and your staff as this project develops.

Sincerely,

\_\_[signature]\_\_  
\_\_[title of operational unit manager]\_\_

bcc:

\_\_[postmaster]\_\_  
\_\_[Facilities representative]\_\_  
\_\_[Government Relations representative]\_\_  
\_\_[Corporate Relations representative]\_\_

475 L'ENFANT PLAZA SW RM 10022  
WASHINGTON DC 20260-0010

- h. Elicit the community's and official's opinion, concerns, and comments about the project, requirements, and the preferred area. Also, determine from the official any other agencies with which the Postal Service should be holding discussions (planning departments, zoning boards, historic commissions, etc.), as the Postal Service goes through the planning process. Discuss as appropriate.
- i. Request that the project be placed on the agenda of the next available town meeting for appropriate discussion and comments with the general community. This meeting should not be scheduled for at least 7 days after meeting with local officials. If time is of the essence or it is more advantageous to hold a separate public meeting, such a meeting may be conducted using the same format as a regular town meeting. All public meetings are to be advertised in a local newspaper.
- j. If leased, advise the lessor of the planned meeting.

#### 518.234 **Public Meeting**

Facilities and District personnel:

- a. Explain the purpose of the project (additional space, larger parking areas, reconfigured space, etc.).
- b. Provide an operational overview of existing conditions and what needs to be changed or modified.
- c. Discuss the timetable for completing the project.
- d. Emphasize that the first consideration is expansion of present space, next is another existing building in the downtown area, and last is new construction.
- e. Describe the need for community input, comment periods, deadlines, and where comments may be sent.

#### 518.235 **Decision to Expand Existing Space or Advertise for Sites and Existing Buildings**

The decision to expand existing space or to advertise for sites and existing buildings is made by Facilities and District personnel as follows:

- a. *Expansion.* After evaluating comments from the public meeting and the decision is to expand the existing space, wait a minimum of 15 days to notify local officials in writing of the decision and post a copy of the letter at the elected post office. The expansion project may then proceed as planned.
- b. *Advertising for alternate quarters and sites for new construction.* If after evaluating comments from the public meeting and the decision is to advertise for site and existing buildings, wait a minimum of 15 days before notifying local officials in writing of the decision and post a copy of the letter at the local post office for a 30 day comment period. At the end of this period, place an advertisement in the local newspaper. In all cases, the downtown area will be included in the preferred area. A copy of this notice will be provided to the local Corporate Relations Center and Government Relations.

**518.236 Site Review by Facilities Personnel**

Once the Site Review Committee has reviewed and ranked all sites, advise local officials in writing of the contending sites and non-contending sites with reasons why non-contending sites were not given further consideration. Post a copy of this letter at the local post office and wait a minimum of 30 days before a final decision is made to select a site.

**518.237 Site Selection by Facilities Personnel**

After waiting the necessary time periods for local officials and community comments before selecting a final site, advise local officials in writing of the selected site and wait a minimum of 30 days for final comments. Provide a copy of this letter to the local Corporate Relations Center and Government Relations.

**518.238 Negative Reaction**

If there is a negative reaction by elected officials, civic groups, or members of a congressional delegation after these discussions, the real estate specialist will advise the district manager. The district manager or plant manager must immediately inform the vice president of Area Operations.

**518.24 Final Project Development****518.241 Alternatives**

Evaluate the alternatives according to the National Environmental Policy Act (NEPA), using Handbook RE-6, *Facilities Environmental Guide*. This requires consideration of all alternative courses of action and development of all necessary environmental information for evaluating them.

**Note:** Keep the vice president of Corporate Relations and the consumer advocate informed on the status of the project development.

**518.242 Review Process**

Ensure that the appropriate intergovernmental review process has been followed for the ranked sites.

**518.243 Completion**

Once it is determined that the project complies with the requirements of NEPA and the Office of Management and Budget (OMB) (Executive Order 12372), complete site acquisition procedures.

**518.3 Compliance With Randolph-Sheppard Act Amendments of 1974****518.31 Policy**

Facility planning must comply with the Randolph-Sheppard Act (20 U.S.C., et seq, as amended), which requires that the visually handicapped receive priority consideration in the operation of vending facilities on federal property. Contact the manager of Corporate Personnel Management, Human Resources, to coordinate compliance with the Randolph-Sheppard Act.

**518.32 Requirements**

The basic requirement is for the inclusion of a service area in buildings larger than 15,000 net square feet or with an employee complement of at least 100 persons during normal working hours (8 a.m. to 6 p.m.) that can serve as a satisfactory location for a visually impaired vending facility. The area must have no less than 250 square feet of space, together with sufficient electrical, plumbing, heating, and ventilation for a vending facility, under applicable codes. (There can be more than one satisfactory site at a location.)

**518.4 Environmental Review**

The Postal Service examines the environmental issues of all postal projects during facility planning to avoid or mitigate any substantial adverse impacts on the environment, according to the procedures in Handbook RE-6, *Facilities Environmental Guide*.

**518.5 Compliance With Clean Air Act, Clean Water Act, and Safe Drinking Water Act**

The Postal Service complies with the Clean Air Act (PL 95–95 as amended), the Clean Water Act of 1977 (PL 95–217), and the Safe Drinking Water Act (PL 93–523 as amended by PL 95–190 (42 U.S.C. 300 j-6)).

**518.6 Security Evaluation**

Contact should be made with the local inspector in charge to request a security survey and risk analysis of the potential location to determine if the site's security requirements will have an unacceptable cost impact on the facility.

**518.7 Facility Activation**

Management must begin planning to activate a new facility at about the time a design contract is awarded. See Handbook AS-501, *Postal Facility Activation*, for major processing and distribution facilities; and Handbook AS-502, *Activation of Non-Mail Processing Postal Facilities*, for non-processing and distribution facilities, stations, and branches under 30,000 square feet, for the detailed activities essential to an effective activation. This function is area responsibility.

**519 Design and Construction****519.1 Building Design Standards****519.11 Policy**

The Building Design Standards are updated annually by Headquarters Facilities and issued to the FSOs, the MFO, and ASOs for implementation. They are to be used on all facility-related projects, using the appropriate documents based on facility size and type. This policy applies equally to all design and construction related activities regardless of size, whether new construction or repair and alteration, owned or leased. Where any

requirement is specified by a particular program name, i.e., Small Standard Building Design, Medium Standard Building Design, or Processing and Distribution Center, such requirements shall be constructed as applicable to any facility of that size range.

#### 519.12 **Standard Programs**

Various standard programs have been established within the Postal Service Building Design Standards to address the particular needs of different facility and project types. These components are as follows:

- a. *Standard Design Criteria* — This document acts as an umbrella and establishes the overall performance criteria for all facility types, including site adapt standard designs for alternate quarters and repair and alterations projects.
- b. *Standard Designs* — These documents provide 10 percent to 90 percent complete design of various facility types.
- c. *Standard Details* — These drawings form a library of Postal specific construction details for use on all facility types.
- d. *USPS Master Specification* — This document provides a single unified source for guideline construction specifications for small and medium standard design projects as well as alternate quarters and repair and alterations projects.

Together, these components establish the design standards for all Postal facilities.

#### 519.2 **Identifying Postal Facilities**

All postal installations must be clearly identified to ensure customer recognition of the facility. Refer to Handbook AS-503, *Standard Design Criteria*, for specific guidance on signage appearance and placement.

#### 519.21 **Interior**

Post offices located in federal buildings where GSA regulations do not permit outside postal identification must display appropriate interior signs.

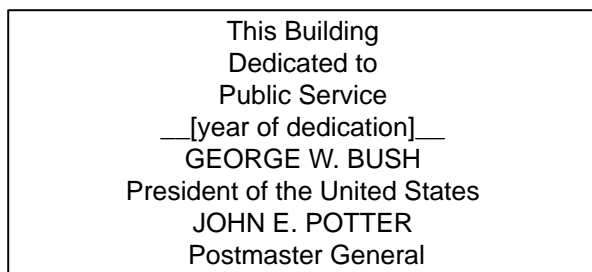
#### 519.22 **Dedicatory Plaques and Memorials**

##### 519.221 **Policy**

When the Postal Service acquires property by construction, purchase or donation, the acquisition is normally acknowledged by installing a dedication plaque in the building.

**519.222 Inscription**

The following inscription is used on plaques installed in all newly acquired postal-owned buildings:

**519.223 Historic Building Designation**

The placement of such plaques and memorials on postal-owned property is limited to those buildings listed in the National Register of Historic Places.

**519.224 Plaques Honoring an Individual**

When a Postal Service building is designated by an Act of Congress to honor an individual, the district manager is notified by Government Relations. The postal district or postmaster should obtain the desired plaque by following local procurement procedures. If the purchase price exceeds the local procurement limit, the requirement should be forwarded to the district for procurement. When received, the plaque must be displayed in a prominent place in the facility's lobby, preferably above the post office boxes.

**519.3 Energy Conservation Design Standards****519.31 Policy**

All new postal facilities should be designed for maximum energy conservation, according to the national energy policy. It is required by federal statute and by Postal Service policy.

**519.32 Background**

In August 1992, Congress enacted the Energy Policy Act. This Act requires the Postal Service to reduce its energy consumption 20 percent by the year 2000.

**519.4 Safety and Health****519.41 Accessibility for Persons With Physical Disabilities**

It is required by federal statute and by Postal Service policy, when designing, constructing, leasing, or altering facilities, to provide facility access for persons with physical disabilities (see Handbook RE-4, *Standards for Facility Accessibility by the Physically Handicapped*).

**519.42 Structural Loads**

All new construction of owned and leased facilities, at a minimum, must comply with the structural loads provisions of the latest issue of one of the

national model building codes (Uniform Building Code, Standard Building Code, or the Building Officials and Code Administrators' National Building Code). This includes, but is not limited to, floor and roof live loads, roof snow loads, wind loads, and earthquake loads.

#### 519.43 **Regulations**

All space obtained by the Postal Service must, at a minimum, meet the safety and health standards specified in the National Fire Code (by NFPA), the Occupational Safety and Health Act (OSHA) of 1970 (PL 91-596, 84 Stat. 1590, 29 U.S.C. 667), and requirements in OSHA Standards 29 CFR 1910.

#### 519.5 **Facility Cost Control**

The design and construction of Postal Service-owned and -leased buildings must be functional and cost-effective. Cost-conscious architectural and engineering design and value engineering principles must be applied to all postal design and construction projects.

## 52 **Equipment Requirements for Nonfixed Mechanization**

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### 521 **General**

#### 521.1 **Policy**

It is Postal Service policy to improve the efficiency and effectiveness of mail processing activities through mechanization and/or automation, when practical and beneficial.

#### 521.2 **Definitions**

The following definitions apply:

- a. *Nonfixed mechanization* — equipment used in mail processing activities exclusive of mail transport conveyor systems. Generally deployed in a standard configuration, it is not designed to conform to the shape of any specific postal facility. Nonfixed, as opposed to fixed, mechanization may be installed in or removed from buildings without structural changes to the building, in most instances. The following is a partial list of equipment that is generally classified as nonfixed mail processing mechanization:
  - (1) Dual pass rough cull machines.
  - (2) Advanced facer canceler systems (AFCSs).
  - (3) Optical character readers (OCRs).
  - (4) Barcode readers and sorters.
  - (5) Flat sorting machines.
  - (6) Small parcel and bundle sorters (SPBSs).



- b. *Centrally funded and procured* — nonfixed mechanization funded after approval through the corporate review process and procured by Purchasing and Materials at Headquarters.
- c. *Area office funded and procured* — nonfixed mechanization that the area offices have been delegated authority to fund and procure.

### 521.3 **Responsibility**

#### 521.31 **Headquarters Engineering**

Equipment Requirements and Economic Analysis and Technology Acquisition Management have overall responsibility for the Postal Service nonfixed mechanization program. Equipment Requirements and Economic Analysis controls relocation while Acquisition Management is responsible for the deployment of centrally funded and procured equipment.

#### 521.32 **Areas**

The area In-Plant Support Office has responsibility for the area nonfixed mechanization program, including assignment, deployment, and relocation of area funded and procured equipment.

### 521.4 **Justification**

Procurement, deployment, or relocation of nonfixed mechanization must be supported by an economic justification specifying savings and/or improvements in service to be expected. The handbook F-66 series gives guidance for preparing justification.

## 522 **New Nonfixed Mechanization**

### 522.1 **Procedures**

#### 522.11 **Program Management**

Before procurement can be initiated, specifications, drawings, and documentation must be developed to accurately describe the desired item. Technology Acquisition Management organizes the necessary expertise for this activity. After award of contract, Technology Acquisition Management continues program management through which problems are resolved.

#### 522.12 **Basis for Requirements**

New nonfixed mechanization is justified by either or both of the following:

- a. *Economic considerations.* Workhour savings resulting from capital investment in mechanization must provide a positive return on investment (see 522.15).
- b. *Service considerations.* Mechanization is required to correct deficiencies.

**522.13 Budgeting**

Engineering compiles and submits annually a 5-year forecast of all centrally procured nonfixed mechanization requirements based on input from the area offices. This document is used to establish the nonfixed mechanization 5-year capital budget and 2-year expense budget, to initiate procurement actions, and to project savings associated with deployment of new mechanization.

**522.14 Identification of Requirements**

Requirements are identified as follows:

- a. When necessary, Equipment Requirements and Economic Analysis issues to all area offices a requirements call for nonfixed mechanization programs. This document has basic information on cost, size, performance, availability, and procedures for justifying the equipment.
- b. Based on these guidelines, area In-Plant Support, coordinating with the district offices, processing sites, and post offices, submits the area nonfixed mechanization requirements to Headquarters. Requirements must be fully supported using the procedures defined in the requirements calls.

**522.15 Justification of Requirements**

Procurement and deployment of nonfixed mechanization must be justified by an adequate return on investment (see the handbook F-66 series for instruction). The steps involved in justifying a requirement for procurement are listed next. This is one scenario. In some cases, Equipment Requirements and Economic Analysis will calculate the return on investment (ROI) and have the areas concur with the savings.

Step	Responsible Organization	Action
1	Area	Computes an ROI (see handbook F-66 series) reflecting anticipated savings in operating expense expected to result from deployment and installation of a particular type machine in a specific post office or processing site.
2	Area Finance	Validates ROI to ensure that it has been computed properly.
3	Area In-Plant Support	Certifies that savings are reasonably correct and operationally obtainable. Submits validated requirements and ROIs to Headquarters Equipment Requirements and Economic Analysis.
4	Engineering, Equipment Requirements and Economic Analysis	Prepares economic justification supporting procurement of machines meeting national requirements. Submits justification to Headquarters Finance.

Step	Responsible Organization	Action
5	Finance	Validates economic justification and coordinates the review and approval process with the Capital Investment Committee and Board of Governors.
6	Engineering, Equipment Requirements and Economic Analysis	Submits proposal to senior management and, if appropriate, to the Board of Governors, to procure a certain quantity of a particular type of machine.
7	Engineering, Technology Acquisition Management	If approved, requests procurement action and manages deployment.

### 522.2 Procurement

After requirements are established and approved, Purchasing and Materials initiates action to purchase nonfixed mechanization. The contracting officer assigned is the only person authorized to commit the Postal Service. All actions and interfaces between the manufacturer and the Postal Service are controlled by the contracting officer.

### 522.3 Deployment

#### 522.31 Selection

Equipment Requirements and Economic Analysis, in cooperation with area In-Plant Support, controls deployment of nonfixed mechanization. Machines are sent to post offices and/or processing sites on the basis of potential savings and/or service considerations.

#### 522.32 Schedule

Technology Acquisition Management determines the delivery and installation schedule for new mechanization. The sequence of delivery can be based on many factors, including:

- a. Local conditions.
- b. Deployment manageability.
- c. Deployment cost.
- d. Desired concentration or dispersion of initial experience.
- e. Coordination with other deployment programs.
- f. Specific characteristics desired of early sites.

#### 522.33 Problems

Problems must be handled as follows:

- a. When problems occur during installation of nonfixed mechanization at a post office or processing facility, the area In-Plant Support should be informed immediately. They inform the assigned program manager at Headquarters, who — *through the contracting officer* — resolves the problem with the contractor.

- b. Local and area officials should not attempt to resolve problems directly with the contractor's site representative. Not being aware of the specific contents of the contract, local officials could unknowingly jeopardize other installation schedules or increase Postal Service liability. Only the contracting officer is authorized to make changes in the contract or otherwise direct actions of the contractor.

#### 522.4 **Savings**

After new mechanization is installed, cost studies are conducted to ensure that the savings used to justify the mechanization are actually being obtained.

#### 523 **Relocation**

Relocation of centrally procured nonfixed mechanization requires formal approval of area In-Plant Support and Headquarters Equipment Requirements and Economic Analysis.

#### 524 **Modification**

Certain types of nonfixed mechanization may not be modified without formal approval of the Engineering Change Board (ECB) at Headquarters. Publication 101, *Engineering Change Board Organization and Operation*, describes the authority, organization, and functions of the ECB, and specifies procedures for approval of proposed modifications to mechanization that the ECB controls.

#### 525 **Development**

##### 525.1 **Development Phase**

##### 525.11 **Initiation**

Engineering is responsible for the development and design of new and advanced nonfixed mechanization systems.

##### 525.12 **Review**

Equipment Requirements and Economic Analysis, along with Technology Acquisition Management, provides Engineering with operational requirements for desired staffing, production price, size, machine throughput, and configuration that should be considered when developing the machine.

##### 525.13 **Field Testing**

Test and Evaluation, along with Technology Acquisition Management, coordinates and tests the first article. Quality Assurance, Purchasing and Materials, coordinates acceptance testing of all production equipment after the first article test.

**525.2 Operational Phase**

If the equipment meets performance specifications and return on investment (ROI) criteria, the project moves from the developmental phase to the operational phase. Engineering provides necessary technical documentation so that Technology Acquisition Management can initiate procurement action. Technology Acquisition Management assigns a program manager.

**526 Test and Evaluation of Commercially Available Equipment****526.1 Purpose**

To lessen the need for expensive and time-consuming development programs, Technology Acquisition Management periodically conducts operational tests of commercially available equipment to assess potential application for the Postal Service. Other Headquarters and field organizations may be assigned tasks for technical support.

**526.2 Types of Equipment Tested**

This may involve evaluation of equipment used by foreign postal administrations as well as equipment produced in the United States for commercial applications.

**526.3 Procurement**

If a particular piece of equipment works well in its operational test and analysis shows it is economically advantageous to the Postal Service, action is initiated to procure the item.

## 53 Maintenance

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**531 General****531.1 Scope**

This subchapter covers policies and requirements for maintenance of facilities, plant equipment, and postal equipment. Vehicle maintenance is covered in *Postal Operations Manual* (POM), Chapter 7.

**531.2 Policy****531.21 Definitions**

The following definitions apply:

- a. *Building and building equipment* — the building's physical structure, utilities, and environmental systems.
- b. *Postal equipment* — a broad range of equipment used either directly or indirectly in moving the mail and for providing customer services

(includes scales, stamp vending machines, collection boxes, letter and flat sorting and canceling machines, containers; and fixed mechanization, such as, but not limited to, conveyors, parcel sorters, and sack sorters).

#### 531.22 **Objectives**

The primary objectives of maintenance management are:

- a. To maintain a safe, pleasant, and healthy working environment.
- b. To maintain all plant and postal equipment in good operating condition.
- c. To minimize total operating costs.
- d. To protect postal investment in buildings and equipment.

#### 531.23 **Safety**

##### 531.231 **Necessity for Program**

Safety is an area of major concern to all maintenance management personnel. The senior maintenance management official in a facility is responsible for a maintenance safety program. The program should be updated frequently and include each maintenance employee to achieve maximum protection of personnel and property.

##### 531.232 **Nature of Program**

Maintenance supervisors must include safety as a part of all maintenance programs. They should display a personal interest in the program and set an example of following it. The overall maintenance program must include sections on safety; lockout/tagout; fire prevention and control; evacuation plans; and utility failure (e.g., electricity, water).

##### 531.233 **Observance of Safe Practices**

Maintenance supervisors or other personnel overseeing work of others are responsible for ensuring observance of all applicable safety rules, regulations, and specifications. Enforcement, when required, must be carried out quickly, directly, and individually.

##### 531.234 **Application of Safeguards**

Area office approval is required for local fabrication and installation of mechanical and electrical safeguards on postal equipment. This includes replacement of electrical wiring to provide safety grounding for equipment.

##### 531.235 **Fire Extinguishers**

Operating fire extinguishers of the type and number specified in Handbook MS-56, *Fire Prevention and Control*, must be provided for each postal facility. This equipment must be inspected according to requirements of Handbook MS-56.

#### 531.24 **Maintenance Operating Plan**

##### 531.241 **Definition**

The *maintenance operating plan* is a structured database of information that provides details about operating processes and procedures integral to the maintenance organization. The Maintenance Technical Support Center

(MTSC) provides the software tool that enables each site to build and maintain the database. Each locally identified process and procedure is developed by the Maintenance staff to provide information on the tasks, responsible parties, methods, best practices, standard operating procedures, suppliers, customers, associated contracts, critical contacts, supporting documentation, frequency, goals, and results.

**531.242 Purpose of the Maintenance Operating Plan**

The primary objectives of the maintenance operating plan are to:

- a. Identify and define tasks that Maintenance organizations at the local level use.
- b. Assign responsibilities for the identified process and its attendant procedures.
- c. Assess each process to determine the appropriate procedures and methods needed to accomplish each task and define its relationship to supporting the local facility.
- d. Incorporate and share best practices and standard operating procedures from other facilities and locations.
- e. Make available and share accumulated data from the plan with the entire maintenance workforce in the facility.

**531.243 Requirements for Developing the Plan**

Maintenance managers or senior Maintenance officials are responsible for developing the maintenance operating plan and must develop the plan as follows:

- a. Use the format and tool (i.e., software application), which MTSC provides, to develop the maintenance operating plan.
- b. Consider including in the plan, all tasks that personnel or contractors perform for the site.
- c. Develop a plan that includes at least the processes and procedures that MTSC has identified and included in the plan template, which is available on the MTSC Web site.
- d. Identify other processes and procedures that are local or specific to a site and use the plan to continue to develop and improve those processes and procedures.

**531.244 Requirements to Update the Plan**

Once established, the maintenance operating plan must be kept current by the local maintenance manager. When procedures, tasks, or personnel change, the responsible manager must:

- a. Update the plan to keep it current.
- b. Make the changes available to everyone on the Maintenance staff.

**531.245 Use of Information in the Plan**

Information (in print or soft form) in the maintenance operating plan defines and quantifies the maintenance function on a local facility level. This information must be up-to-date and readily available to the management

(within and outside of the Maintenance organization) and Maintenance staff in the facility to facilitate actions covered by the plan.

The report features of the maintenance operating plan allow review of tasks assigned to individuals for accountability, workload balancing, and transition when responsible parties leave the department. New members of the Maintenance staff or Facility Management can use the information to develop an understanding of the tasks performed by maintenance and the processes and procedures used to accomplish those tasks.

#### 531.246 **Types of Reports**

The reports available in the plan include:

- a. *Alert report.* A list of scheduled tasks in advance of the required time or tasks that are due.
- b. *Contract report.* Specific information about contracts that support tasks within the plan.
- c. *Customer report.* A list of customers (individuals and groups) that are defined by the user.
- d. *Detailed report.* One-page summaries of all information entered about a specific task.
- e. *Task report.* One-line listings covering all tasks defined in the plan.
- f. *Responsibility report.* A list of tasks by primary responsibility assignments.
- g. *Trigger report.* A list of every task performed or required as the result of some activity (e.g., new manuals, subcontractor on site, or relocation).

#### 531.247 **References**

For more information about the maintenance operating plan, refer to the current Master Index Maintenance Management Order (MMO) on the subject *Maintenance Operating Plan*.

### 531.3 **Maintenance Categories**

#### 531.31 **Preventive and Predictive Maintenance**

##### 531.311 **Definition**

- a. *Preventive maintenance* is the scheduled, systematic inspection, examination, cleaning, lubricating, adjusting, and servicing of equipment to maintain it in top operating condition. Preventive maintenance and follow-up repair work (scheduled repair or parts replacement) are scheduled in advance.
- b. *Predictive maintenance* is the timely adjustment, repair, or replacement of a part, assembly, or subassembly before a failure or malfunction occurs. It is applicable to plant and postal systems and equipment. Predictive maintenance is based on condition data that have been collected and developed into trends and analyzed to determine optimum maintenance periods, warn of impending failure, and identify maladjusted or defective parts.



**531.312 Establishing Program**

Programs are established by the following organizations:

- a. Offices with maintenance management and large quantities of postal equipment establish maintenance programs according to procedures in the appropriate maintenance documentation (see 531.6). These procedures may be modified based on local operating conditions and approval by the area office.
- b. Offices with limited maintenance capability and small quantities of equipment maintain that equipment according to applicable equipment handbooks. The senior maintenance official ensures that preventive maintenance schedules are developed and the work is performed.

**531.313 Record Keeping**

Records are kept by the following organizations:

- a. Offices utilizing a national deployed computerized maintenance management information system (CMMIS) will maintain and report on preventive maintenance as prescribed in the appropriate maintenance series handbook or other maintenance documentation.
- b. Other offices will maintain records in any convenient format for all postal equipment. The senior maintenance official maintains these records, in accordance with applicable maintenance handbooks. The following information must be included:
  - (1) Name, type, and size of equipment.
  - (2) Descriptions of preventive maintenance required, including frequency of performance.
  - (3) Record of work actually performed.
  - (4) Name of person performing work.

**531.32 Corrective Maintenance****531.321 Definition**

*Corrective maintenance* is repair or replacement of a failed or defective part, subassembly, or assembly of an equipment item, or portion of a building or facility, which returns the equipment or unit to operating condition. Corrective maintenance may be *scheduled* (when the imminent failure of a part is detected) or *reactive* (when the failure occurs without warning).

**531.322 Repairs to Postal Equipment**

Repairs to postal equipment are made by properly trained employees, when it is most economical and beneficial to the Postal Service.

**531.323 Guidance and Record Keeping**

Appropriate resources are as follows:

- a. Operating procedures for corrective maintenance and record keeping in offices utilizing a CMMIS are in the appropriate maintenance documentation.

- b. Offices that do not operate under a CMMIS use Form 4805, *Maintenance Work Order Request*, to maintain records of maintenance requested and performed.
- c. Troubleshooting procedures and guidelines to assist maintenance employees to find and repair failures can be found in maintenance handbooks and manufacturers' publications on specific equipment.

531.324 **Repair Centers**

Specific instructions must sometimes be issued for using specialized repair centers to provide repair support to local offices. These instructions take precedence over other general guidelines.

531.33 **Operational Maintenance**

*Operational maintenance* is the use of maintenance or other postal personnel available in the vicinity of operationally critical mechanized and automated equipment to ensure minimum downtime from equipment failure. Refer to the appropriate maintenance management order (MMO) for operational maintenance staffing recommendations.

531.4 **Computerized Maintenance Management Information System**

531.41 **Description**

Maintenance program cost and performance are measured and controlled through a computerized national data collection and processing system. The system provides uniform reporting of all information necessary for maintenance and material management control at the local, area, and national levels.

531.42 **Information Reported**

531.421 **Program Data**

Maintenance program data accrued and reported include labor utilization information, work hour and dollar expenditures, equipment performance, preventive and corrective maintenance, inventory control, automatic spare parts reordering, and work hour backlog.

531.422 **Reports**

Reports are generated as necessary for local, area, and national maintenance task assessments and actions. Equipment performance information, including parts failure data, is provided to organizations responsible for design, procurement, and modification of equipment, so that parts and/or equipment can be upgraded or modified to improve performance.

531.43 **Reference**

General information on the computerized maintenance management information system is in Handbook MS-63, *Maintenance Operations Support*.

**531.5 Maintenance Capability****531.51 Offices With Maintenance Capability**

A *maintenance-capable office* is an office that has assigned maintenance personnel qualified to maintain a facility and the equipment installed in that facility. In addition, the office must maintain a maintenance stockroom and be authorized to requisition repair parts from the material distribution centers.

**531.52 Offices Without Maintenance Capability**

These are small offices with very small maintenance staffs. Basic maintenance functions in these offices are:

- a. *Cleaning.* Depending on Postal Service economic analysis, size of office and cleaning workload, cleaning is performed:
  - (1) Under contract.
  - (2) By classified Postal Service custodian.
  - (3) According to established allowances for offices CAGs H, J, and K.
- b. *Building and Building Equipment Maintenance.* Postmasters are responsible for enforcing maintenance responsibilities imposed on lessors of leased facilities. They are also responsible for ensuring that any maintenance responsibilities imposed on the Postal Service by a lease are fulfilled. When the Postal Service is responsible for maintenance of an associate office and corrective maintenance is required, the field maintenance office (FMO) should be contacted (see 536). The FMO decides whether to have postal personnel perform the maintenance or to contract locally for the service.
- c. *Postal Equipment Maintenance.* Field maintenance offices are responsible for repairing postal equipment on-site when repairs cannot be made by exchanging parts or equipment, and when contracting for the work is either impractical or not economically feasible.

**531.6 Maintenance Documentation****531.61 Requirements**

All offices with maintenance management must follow applicable standards and requirements in the listed documents. Any deviations must have prior approval from the area office.

**531.62 Types of Documentation****531.621 Maintenance Handbooks**

Postal Service maintenance series (MS) handbooks include policies and procedures for conducting maintenance operations for automation, mechanization, and building equipment. These handbooks generally provide the best technical data on how a particular piece of equipment operates; include instructions and data necessary to adjust, troubleshoot, repair, and maintain the equipment; and have parts lists. MS handbooks are prepared according to Postal Service standards and published with an MS number. Others are prepared by equipment manufacturers or contractors. For

off-the-shelf equipment (not specifically designed for Postal Service use), the manufacturer's standard commercial manual may be provided. MS handbooks are issued to offices with specific requirements for them. Offices receiving maintenance handbooks should keep a record of issuances to ensure that all holders receive the revisions. The Maintenance Technical Support Center (MTSC) maintains a record of issuances to offices. To order, complete Form 7380, *MDC Supply Requisition*, and send it to the appropriate material distribution center. Bulk mail centers also use interim BMC staffing guidelines and criteria as issued by memorandum dated August 16, 1979.

531.622 **Maintenance Management Orders**

Maintenance management orders (MMOs) contain special maintenance procedures, information on special problems that have developed, new parts procurement data, and corrections to other documents. The MTSC prepares and distributes maintenance management orders. They are normally addressed to the senior maintenance official, who is responsible for ensuring that the bulletin is delivered to the proper personnel for action. Request any necessary additional copies from:

HELP DESK  
MAINTENANCE TECHNICAL SUPPORT CENTER  
UNITED STATES POSTAL SERVICE  
PO BOX 1600  
NORMAN OK 73070-6708  
800-366-4123

531.623 **Modification Work Orders**

Headquarters develops any wide-impact modifications to Postal Service equipment. Installation instructions are communicated to field offices through modification work orders (MWOs), after approval by the Engineering Change Board and issuance of an engineering change directive. This document gives all data required to implement the modification on local equipment, along with necessary changes to other documents and procedures. The MTSC prepares and distributes modification work orders. Back copies may be obtained from the MTSC, when available.

531.624 **Software Modification Orders**

Software modification orders (SMOs) provide installation and modification procedures for changes to software in computer-controlled Postal Service field equipment. Software modification orders have instructions necessary to install, check out, and use new or modified software programs. These documents are developed and distributed by the MTSC. Back copies are available from the MTSC.

531.625 **Equipment Drawings and Specifications**

Headquarters maintains data packages of postal equipment, including design drawings, technical specifications, master drawing lists, and parts lists. These are not normally provided to field offices. However, when they are required for particular maintenance action, Headquarters supplies them.

**531.626 Maintenance Service Bulletins**

Maintenance service bulletins are vendor-directed information that cover procedures, modifications, and information issued when systems are in the deployment stage.

**531.63 Maintenance Recommendations**

Unless otherwise directed, Headquarters instructions on methods, standards, tools, parts, supplies, and frequencies of attention for maintenance of facilities, plant equipment, and postal equipment take precedence over instructions of manufacturers, contractors, lessors, or other government agencies.

**Exception:** Equipment covered by a manufacturer's warranty. When manufacturer's requirements differ from Postal Service instructions, follow warranty requirements for duration of the warranty period.

**531.7 Staffing Requirements and Authorizations****531.71 Authorizations**

Either Headquarters or the area office authorizes maintenance positions and staffing allowances using current staffing recommendations in appropriate handbooks and maintenance documentation.

**531.711 Custodial and Plant Equipment**

The determination to use contract maintenance and/or Postal Service personnel is based on 535.261 for custodial cleaning. For plant equipment maintenance, the determination is based on economic justification.

**531.712 References**

Appropriate information can be found as follows:

- a. *Custodial Requirements.* Use Handbook MS-47, *Housekeeping — Postal Facilities*, for estimating custodial staffing.
- b. *Building and Building Equipment Staffing Recommendations.* Use procedures in Handbook MS-1, *Operation and Maintenance of Real Property*, to estimate building and building equipment maintenance (Postal Service or contract) staffing.

**531.72 Postal Equipment****531.721 Procedure**

Calculate maintenance staffing for postal equipment using recommendations in the applicable maintenance handbooks and maintenance management orders. Begin with preparing an inventory of all equipment to be maintained and listing tasks required of the maintenance workforce. Workhour estimates that have been developed for specific postal equipment are used to estimate total workload and numbers of different skill-level technicians and maintenance personnel recommended to properly support the equipment.

**531.722 Maintenance Recommendations**

Headquarters Maintenance Policies and Programs (MPP) prepares performance checklists, detailing preventive maintenance tasks and

estimated times required by Postal Service personnel or contractors to perform the tasks for most postal equipment. These recommendations are published in maintenance handbooks and maintenance management orders. Total workhours per year recommended to maintain an item of equipment include:

- a. Preventive maintenance time.
- b. Allowance for estimated corrective maintenance time.
- c. Nonproductive time.
- d. Time allowance for special access problems.

#### 531.73 **Maintenance Operations Support**

Recommendations for establishing and calculating workload are in the appropriate maintenance handbooks and maintenance management orders. Calculations to determine the number of positions needed for maintenance operations support depend on the workforce supported.

#### 531.74 **Self-Service Postal Equipment**

District management determines self-service postal center technician staffing, following the recommendations in Handbook PO-102, *Self-Service Vending Operational and Marketing Program*.

### 532 **Equipment Modifications and Configuration Control**

#### 532.1 **Configuration Control and Management**

##### 532.11 **Purpose**

The Postal Service configuration control and management system ensures that effective Headquarters maintenance support is provided to field offices. This system controls and documents all changes to Engineering Change Board (ECB) controlled equipment. The ECB is located at Headquarters and maintains master files of engineering drawings and specifications of all equipment under ECB control.

##### 532.12 **Applicability**

The ECB has designated the equipment to be placed under configuration control. Generally this is limited to nonfixed mechanization items and other postal equipment of standard design, of which relatively large quantities are in use in many postal facilities. Equipment unique to one facility has not been placed under this control system. All modifications to ECB-controlled equipment must conform to requirements of Publication 101, *Engineering Change Board Organization and Operation*.

**532.2 Equipment Modifications****532.21 Conditions****532.211 Plant Equipment**

Modifications and improvements to plant equipment and facilities are normally authorized and approved by the facility manager, subject to limitations imposed on budget costs and staffing by area authority.

**532.212 Fixed Mechanization**

Modifications to fixed mechanization equipment and to equipment unique to one or two sites may be installed on the approval of the facility manager, subject to specific restrictions imposed by areas or Headquarters.

**532.213 Nonfixed Mechanization**

Tests of locally proposed modifications to nonfixed, standard design, mechanization equipment must be approved by the facility manager before implementation (see Publication 101, *Engineering Change Board Organization and Operation*, Appendix A, for a list of controlled equipment).

**532.214 Headquarters-Developed Modifications**

Modifications approved by the ECB are authorized by the distribution of modification work orders to all affected field offices (see 531.623).

**532.22 Installation**

Approved modifications are installed on field equipment by Postal Service personnel when feasible. When personnel, time, special equipment, or cost limitations preclude using Postal Service personnel, contract services may be used (see procurement policies and regulations in the *Purchasing Manual*).

**532.23 Documentation**

Incorporation of modification work orders are recorded and records are forwarded to MTSC. These records are essential to an effective configuration control program.

**533 Facility and Plant Equipment Maintenance****533.1 General****533.11 Postal Service-GSA Agreement**

Certain building services, utilities, and maintenance functions for facilities interchanged between the Postal Service and GSA are specified in the Postal Service-GSA Agreement, *Agreement Between General Services Administration and the United States Postal Service Covering Real and Personal Property Relationships and Associated Services* (see 517.3). Copies of the agreement are on file in area offices.

**533.12 Scope**

Maintenance functions covered by the Postal Service-GSA Agreement include cleaning, utilities, and initial building alterations. The owner agency is responsible for providing services specified as standard level.

**533.13 Rent**

The Postal Service-GSA Agreement provides for a standard level of building services and utilities, with reimbursement for those in excess of the rental charges (see 517.8).

**533.2 Building Services and Management****533.21 Custodial**

See Handbook MS-47, *Housekeeping — Postal Facilities*, for standard level tasks and frequencies of custodial services.

**533.22 Postal Service-Owned Buildings****533.221 Building Services**

Agencies occupying space in Postal Service buildings should request building services not included as standard from GSA on GSA Form 2957, *Reimbursable Work Authorization* (see 517.834).

**533.222 Parking Space**

GSA is responsible for assigning nonpostal parking spaces allocated by the Postal Service for other agency use.

**533.23 GSA-Owned Buildings****533.231 Building Services**

Postal Service requests for building services not included as standard level should be sent to the facilities service center on Form 7437, *Facilities Services Request* (see 517.831).

**533.232 Parking Space**

The Postal Service is responsible for assigning parking spaces allocated by the General Services Administration for Postal Service use.

**533.3 Repair and Initial Alteration Responsibilities****533.31 Repairs**

The owner agency is responsible for making all building repairs.

**533.32 Initial Space Alterations****533.321 General**

Initial alterations are provided without charge by the owner agency, and are comparable to what is normally provided by the commercial sector for new occupants in buildings. Included are alterations to office and storage space conference and training areas, etc.



**533.322 Office Space**

Owners provide:

- a. *Floors.* Adequate resilient flooring, such as vinyl composition tile.
- b. *Ceilings.* Structurally sound and newly painted, if not acoustically treated.
- c. *Partitions and Walls.* One linear foot of permanent structurally sound, newly painted, floor-to-ceiling partitioning for each 10 square feet of floor area that could be occupied. For open space planning, permanent partitions will be provided to a maximum of one linear foot for each 20 square feet of floor area that could be occupied.
- d. *Window Treatment.* Standard window covering is venetian blinds.
- e. *Heating, Ventilating, and Air Conditioning.* Capable of maintaining an operating environment in conformance with current Postal Service standards (see Handbook RE-13, *Repair and Alteration of Real Property Facilities*).
- f. *Lighting.* Adequate lighting will be provided to maintain levels of illumination in conformance with current Postal Service standards (see Handbook MS-49, *Energy Conservation and Maintenance Contingency Planning*).
- g. *Electrical and Telephone Distribution.* One duplex electrical outlet and one telephone outlet will be provided to a maximum of one per 12 linear feet of wall.
- h. *Accident and Fire Prevention.* Features are provided according to current Postal Service policy.

**533.323 Storage Space**

Owners provide:

- a. *Floors.* Concrete, wood block or similar material adequate for warehousing service.
- b. *Ceilings.* Unfinished.
- c. *Partitions and Walls.* With the exception of fire walls, no partitioning or wall finish will be provided.
- d. *Window Treatment.* None.
- e. *Heating, Ventilating, and Air Conditioning.* Capable of maintaining an operable environment in conformance with current Postal Service standards (see Handbook RE-13).
- f. *Lighting.* Adequate to maintain levels of illumination in conformance with current Postal Service standards (see Handbook MS-49).
- g. *Electrical and Telephone Distribution.* None provided.
- h. *Accident and Fire Prevention.* In accordance with current Postal Service policy.

**533.324 Conference and Training Areas**

Owners provide:

- a. *Floors.* Carpeted.

- b. *Ceilings.* If required, ceilings will be acoustically treated.
- c. *Partitions and Walls.* If required, perimeter walls must be sound conditioned to provide a minimum sound transmission class of 40.
- d. *Heating, Ventilating, and Air Conditioning.* Boosted HVAC facilities normally must provide for high-density occupancy and are furnished where required.

#### 533.325 **Other Areas**

Contact the area office for details on special use space, such as laboratory and clinic areas, vending areas, ADP space, and postal workrooms.

#### 533.33 **Special Requirements**

If a tenant agency requires building alterations or improvements for which the owner agency is not responsible and funding is not available to the owner agency, GSA and the Postal Service agree on conditions under which the work may be initially funded by the tenant agency.

### 533.4 **Building Maintenance**

#### 533.41 **Postal Service-Owned Buildings**

##### 533.411 **Scope**

The Postal Service is responsible for ensuring the cleaning and maintenance of all postal-owned facilities, including maintenance of plant equipment. The postmaster or other installation head has jurisdiction over the facility, grounds, and appurtenances, and is responsible for their operation and maintenance.

##### 533.412 **Maintenance Responsibilities**

The Postal Service is responsible for:

- a. Accomplishing preventive maintenance, that is, keeping facility, grounds, and plant equipment in operational condition through scheduled inspections, adjustments, lubrication, and repairs.
- b. Replacing expendable component parts of building and equipment units (such as switches, starters, flush valves) that can reasonably be expected to wear out repeatedly.
- c. Replacing complete plant equipment units when necessary or economically desirable.
- d. Providing expendable supplies and materials such as gaskets, seals, filters, electronic components, and supplemental refrigerants.
- e. Making necessary changes, modifications, repairs, and improvements to facilities (see Handbook F-66 series on investment policies and procedures).
- f. Maintaining suitable working conditions for all interior and exterior areas for the type of work being performed.

##### 533.413 **Field Maintenance Program (FMP) Involvement**

In offices without maintenance management, the resources assigned to the FMP may be used for repair work or may have it done, as authorized in

Handbook MS-45, *Field Maintenance Program*. Requests should be routed through the responsible office (see 536.22).

**533.414 Vacant Facilities**

When the Postal Service relocates postal operations and vacates postal-owned buildings, the postmaster is responsible for maintenance of the vacant building and grounds until final disposition of the real property. Tenants occupying space in these facilities must be provided full support and custodial services until disposition of the property.

**533.42 Leased or Rented Quarters**

**533.421 Normal Conditions**

Leases or rental agreements specify the lessor's obligations for repairs and maintenance. The agreements customarily require the owners to keep the premises and all equipment furnished by them in good tenantable condition, except when damage occurs by an act of negligence by a Postal Service agent or employee.

**533.422 Postal Actions**

The Postal Service follows these requirements:

- a. Postal Service personnel must not undertake any preventive maintenance in leased facilities unless specifically authorized or directed to take such action by the facilities service center.
- b. The lessor is advised promptly of any equipment malfunction or needed repairs to avoid extensive damage that might be caused by failure to correct deficiencies (see 515.1 for procedure).
- c. Postmasters or other installation heads should obtain a copy of the lease and ensure that they understand the maintenance section.

**533.423 Postal-Caused Damage**

When damage is caused by postal employees and the lessor is not responsible under the lease for correcting it, the postmaster makes the necessary repairs if there is in-house capability. If this cannot be done, proceed as follows:

- a. If the estimated cost of repair is \$100,000 or less, procure the necessary services under contract according to the *Purchasing Manual*, providing no engineering design work is necessary.
- b. If the estimated cost of repair exceeds \$100,000 or if engineering design work is necessary, process the repair through appropriate facilities channels.

**533.424 Emergencies**

See the *Purchasing Manual*.

**533.425 Funding**

Except in emergencies, the postmaster must ensure that funds are available before contracting for any maintenance or repair work that is not the lessor's responsibility.

#### 533.426 **Plant Equipment Responsibilities**

The Postal Service is responsible for testing and recharging of portable fire extinguishers, Postal Service-furnished portable battery-powered emergency lighting units, and all postal equipment used in the facility. Postal Service personnel must use good equipment operating practices on all plant equipment.

#### 533.427 **Claims for Damages**

An owner's claim for damages due to acts or negligence of Postal Service personnel, and not the result of ordinary usage, must:

- a. Include a brief statement on the cause of the damage and other relevant facts.
- b. Be submitted, in writing, to the area office through proper channels, with the postmaster's recommendation on the validity and reasonableness of the claim and the recommended action.

### 533.5 **Building and Grounds Cleaning**

#### 533.51 **Responsibility**

##### 533.511 **Postal Service-Owned Buildings**

The Postal Service is responsible for ensuring the cleaning of all Postal Service-owned buildings.

##### 533.512 **GSA-Owned Buildings**

GSA is responsible for cleaning Postal Service-occupied space in GSA-owned buildings.

##### 533.513 **Leased or Rented Buildings**

The Postal Service is responsible for ensuring the cleaning of leased or rented buildings, unless otherwise stated in the lease or rental agreement.

#### 533.52 **Cleaning Methods**

##### 533.521 **Handbooks**

The following handbooks have methods for custodial work:

- a. Handbook MS-10, *Floors, Care, and Maintenance*.
- b. Handbook MS-47, *Housekeeping — Postal Facilities*.

##### 533.522 **Maintenance Bulletins**

Methods are also updated and issued in maintenance bulletins.

#### 533.53 **Supplies and Equipment**

##### 533.531 **Supplies**

Publication 247, *Supply and Equipment Catalog*, lists cleaning and maintenance supplies and requisitioning procedures. The *Material Logistics Bulletin* (MLB) also has information regarding vendors of select commercial commodities who have established national ordering agreements (NOAs). When it is cost-effective, GSA sources may be used; however, GSA use is not mandatory.

**533.532 Equipment**

Publication 247, *Supply and Equipment Catalog*, lists equipment available for efficient custodial and plant equipment maintenance. The MLB also lists information regarding vendors of select equipment who have established national ordering agreements. This equipment is requisitioned on Form 7381, *Requisition for Supplies, Services, or Equipment*. Any required equipment not listed in Publication 247, the use of which would reduce custodial workhours or other operation cost, should be requisitioned on Form 7381, with a detailed justification attached.

**533.533 Tools**

Maintenance tools are listed in the GSA Federal Supply Catalog and stocked at GSA stores depots. Authorized postal installations may requisition tools from GSA following instructions in Handbook AS-701, *Material Management*. When it is cost-effective, GSA sources may be used; however, GSA use is not mandatory. In the future, the *Material Logistics Bulletin* will also have information on suppliers of tools who have established national ordering agreements.

**533.534 Acquisition**

See 722 and 733 for guidelines for procurement and requisition of supplies and equipment.

**533.54 Inspection of Detached Units**

The postmaster, officer in charge, or other designated supervisory employees of the main post office must conduct semiannual maintenance inspections of all detached Postal Service units. Use procedures in chapter 3, Handbook MS-110, *Associate Office Postmaster's Facilities Maintenance Guidelines*. Discuss the results with the manager of Field Maintenance Operations. Report any major problems noted to the responsible field maintenance office.

**533.55 Employee Housekeeping Committees**

Postal facilities with 100 or more employees must appoint an employee committee to generate and encourage good housekeeping habits. In facilities with fewer than 100 employees, committees may be appointed at the discretion of the postmaster or officer in charge. A maintenance supervisor should be a member of the committee. The committee must formally inspect the facility at least quarterly, and submit a written summary of findings to the postmaster or officer in charge.

**533.56 Lookout Galleries****533.561 Use**

Lookout galleries are for the exclusive use of Postal Inspection Service personnel. They are to be used for criminal investigations only.

**533.562 Cleaning Requirements**

Galleries are to be cleaned on the first Monday of each month or on the next business day if Monday is a holiday. If cleaning cannot be performed on the regular day, for any reason, the gallery may not be entered for cleaning on

any other day without permission from the local inspector or inspector in charge.

533.563 **Exterior Door**

At the time of cleaning, check whether the outside entrance door leading to the observation gallery operates freely. Open the door from inside and determine that the latch bolt operates freely. If the door does not operate freely and quietly, make arrangements to have the deficiency promptly corrected.

533.564 **Access**

The galleries may be entered without prior permission only for cleaning purposes on the scheduled day or for emergencies involving the galleries. If contractors, technicians, or Postal Service personnel must have access to the galleries in connection with new construction, alterations, or repairs, the installation head must clear such access beforehand with the local inspector or the inspector in charge.

533.565 **Glow Lamps**

Duplex convenience outlets are provided in most galleries to permit use of electrical equipment for cleaning and to provide receptacles for glow lamps that mark obstructions and changes in direction. Postmasters may order glow lamps from material distribution centers (Item C-1864). Only one glow lamp should be installed in a duplex outlet. Usually an outlet is provided at the top and bottom of each ladder in the gallery. Glow lamps should not be installed in the outlets at the bottoms of ladders located in a breakout door well. Glow lamps should be burned 24 hours a day.

533.566 **Breakout Doors**

Exit doors from the galleries to the workroom or other areas must not be blocked by equipment at any time. An area 2 feet wide from the door to an aisle must be kept clear. The floor area to be kept clear must be marked. To identify such doors, use Label 1, *Do Not Block Door*, stocked in material distribution centers. *No other use of the label is authorized.*

533.6 **Repair and Alteration (R&A) Program**

Area office personnel are responsible for administering the repair and alteration program. Handbooks RE-12, *Repair and Alteration Surveys*, and RE-13, *Repair and Alteration of Real Property Facilities*, have been prepared to assist area office personnel with this program.

534 **Postal Equipment Maintenance**

534.1 **Types of Equipment**

534.11 **Mail Processing Equipment**

This consists of all mechanization and automation used to convey, face, cancel, sort, or otherwise process for delivery all classes of letter and bulk mail. *Examples:* optical character readers, facer-cancelers, parcel and

sack-sorting machines, bulk belt and portable powered conveyors, canceling machines, and flat-sorting machines.

#### 534.12 **Customer Service Equipment**

This consists of equipment such as stamp and commodity vending machines, scales, bill changers, self-service postal center equipment, and money order machines.

#### 534.13 **Delivery Service Equipment**

This consists of equipment such as label imprinters for central markup, label makers, letter boxes, and centralized forwarding systems.

#### 534.14 **Support Equipment**

This consists of equipment such as Postal Source Data System (PSDS) equipment, electronic time clocks, and maintenance working equipment such as fork-lift trucks, vertical-lift equipment, powered shop equipment, and containers.

### 534.2 **Repair Parts — Overhaul and Rebuild**

#### 534.21 **Sources**

Repair parts and tools, supplies, and test equipment required to perform corrective and preventive maintenance are obtained from one or more of the following sources: Topeka Material Distribution Center, GSA Supply Center, other U.S. Government supply centers, and commercial parts supply houses. Follow procedures in the *Purchasing Manual* (PM) and other procurement documents.

#### 534.22 **Repair and Rebuild of Assemblies**

Many items of postal equipment are efficiently placed back into service following a failure by replacing a defective assembly or subassembly. For small equipment, the entire unit is sometimes replaced. The replaced assembly, subassembly, or unit must then be repaired or disposed of. Several alternatives may be considered when this situation occurs in the absence of stated policy:

- a. *Local Repair.* If a local office has trained technicians, required replacement parts, tools, and test equipment available, and the item is judged to be technically and economically repairable, repair the item locally and return to stock.
- b. *Material Distribution Center Rebuilding.* If a local office does not have all the required capabilities (in 534.22a), and the item is stocked at the material distribution center, requisition a new unit and send the defective one to the material distribution center for rebuild. A repair facility under management of Maintenance Policies and Programs rebuilds the item. Maintenance Policies and Programs issues policy for certain cases where uniform national procedures are clearly advantageous.



- c. *Warranty Replacement.* If the item is under warranty, follow warranty replacement procedures for that particular item of equipment. Warranty procedures are specified in operation and maintenance manuals, maintenance series (MS) handbooks, maintenance management orders, and specific warranty documents.
- d. *Manufacturer's Repair.* In certain cases, the item must be returned to the original manufacturer for repair or rebuild. These cases normally involve small quantities of prototype or field test equipment, or equipment for which no specific internal repair or rebuild system has been established.

#### 534.23 **Equipment Overhaul**

##### 534.231 **Major Equipment**

Certain extensively used major items of equipment require a major overhaul some time during their operating life. The Maintenance Technical Support Center (MTSC) issues instructions for major overhaul programs.

##### 534.232 **Other Equipment**

Overhaul of other equipment is normally handled by instructions from the area office, MPP, or as directed by the MTSC.

#### 534.24 **Repair Parts Stockage**

##### 534.241 **Requirement**

Offices with internal maintenance workforce operations must maintain local stockage of spare parts, tools, and supplies necessary to support maintenance performed in their office. The particular operating procedures depend on the maintenance management system used at the office.

##### 534.242 **Control**

The following controls must be established:

- a. Whatever system is used, some control must be established for receipt, issue, stockage, and reordering of spare parts. When stockrooms must be operated without clerks in attendance during one or more tours, ensure that maintenance personnel using parts and supplies record the items issued and received. During these times, the senior maintenance official on duty, or designee, is responsible for this operation.
- b. Also, when satellite storerooms are set up near specific equipment to provide quick access to repair parts, the issue and receipt of parts to and from the satellite storeroom must be carefully controlled.
- c. When there are no maintenance management or supervisory personnel on duty, the senior operations official is responsible for the tool and parts operation.

##### 534.243 **Stock Levels**

Local stockage levels of spare parts and supplies have been established for many items of equipment and are published in repair parts catalogs and other documents. Follow these levels except when specific local conditions require some deviation.



### 534.3 Repair and Replacement Guidelines

#### 534.31 General

Guidelines for deciding whether to repair or replace postal equipment depend on such factors as the type of equipment, availability of replacements, cost of repair and replacement, and age and anticipated life of the item. Maintenance Policies and Programs establishes guidelines for deciding whether to repair or replace equipment, assemblies, and subassemblies.

#### 534.32 Field Maintenance

To decide whether to repair or replace equipment, assemblies, or subassemblies by field maintenance activities, use the following guidelines:

- a. Estimate one-time costs of repairs or overhaul necessary to place the item in good operable condition. Include current price of all parts to be replaced as listed in the repair parts catalog or the exchange charge for complete assemblies or subassemblies, plus all shop labor hours. Use the midpoint of the hourly rate for PS-7 to estimate labor costs.
- b. Use the formula below to make a decision. One-time expenditure for repair or overhaul is authorized when estimated cost is within the percentage limits of the respective replacement cost, and repairs are not available by qualified maintenance personnel.

Life Expectancy of Equipment (Age in Years)					Percentage of replacement cost authorized for repair/overhaul costs
15 years	12 years	10 years	8 years	5 years	
0–3	0–2	0–1	0–1	0–1	50
4–6	3–4	2	2	.....	45
7–8	5–6	3	3	2	40
9–10	7	4	4	.....	35
11	8	5	5	3	30
12	9	6	.....	.....	25
13	10	7	6	4	20
14	11	8	7	.....	15
15	12	9–10	8	5	10

**Example:** A hamper dumper has a life expectancy of 15 years and a replacement cost of \$800. If the unit to be repaired is 12 years old, then 25 percent of \$800, or \$200, is authorized to be spent in returning the item to good operable condition.

- c. Local repair of items such as electric motors is authorized when needed service is minor. Minor repairs must not exceed 50 percent of the replacement cost of the motor.
- d. If the estimated costs exceed the dollar amount of the repair limit, requisition a replacement item and dispose of the unserviceable unit.

- e. Criticality of equipment and/or operational requirements may dictate the repairing of an item, even though the cost of repairs exceeds the economic limits.

## 535 Maintenance Service Contracts

### 535.1 General

#### 535.11 Use

##### 535.111 Postal Equipment

Maintenance of postal equipment should be performed by Postal Service personnel, whenever possible. Exceptions are:

- a. Where capable personnel are not available.
- b. When maintenance can be performed by contract and it is economically advantageous.
- c. When a piece of equipment is a prototype or experimental model or unusually complex, so that a commercial firm is the only practical source of required maintenance expertise.

##### 535.112 Facility and Plant Equipment

Contract service is encouraged for Postal Service-operated facility and plant equipment maintenance, when economically advantageous.

### 535.12 Procurement of Contracts

#### 535.121 General

See 72 for guidance and restrictions concerning the purchase of required services.

#### 535.122 Existing Contracts

When proposing a major revision to provisions of an existing contract, consider submitting the proposal to the purchasing and materials service center (PMSC).

### 535.13 National Agreement Considerations

Installation heads must be knowledgeable about Article 32, Subcontracting, of the National Agreement with the postal unions, before considering contract maintenance service.

### 535.2 Contract Criteria

#### 535.21 Removal of Ashes and Rubbish

Contract service may be authorized when the municipality or lessor is not obligated to provide removal services. When contractors are required to use Postal Service-owned equipment, such as crane hoists or elevators to remove ashes and rubbish from the premises, they must use the equipment according to safety rules established by the postmaster. The postmaster must have this equipment inspected periodically to ensure its safe operating condition.

**535.22 Cloth and Laundry Service**

Contract service may be authorized when necessary.

**535.23 Window Cleaning, Lawn and/or Grounds Maintenance, and Snow and Ice Removal**

Contract service may be authorized when it is economically advantageous.

**535.24 Air Conditioning Service**

Contract service may be authorized for facilities in which the Postal Service is responsible for operating and maintaining certain types of air conditioning equipment. Handbook MS-24, *Heating, Cooling, and Ventilating*, specifies instructions for use of air conditioning contract maintenance service. This handbook:

- a. Must be followed by post offices with central air conditioning systems using chillers, water cooling towers, and air handlers.
- b. Is available to offices with self-contained units with compressors rated at 5 tons or above, if the Postal Service is responsible for maintenance of the air conditioning equipment.

**535.25 Elevator, Escalator, and Dumbwaiter Service****535.251 Operation**

Contract service may be authorized for facilities in which the Postal Service is responsible for operating and maintaining elevators, escalators, or dumbwaiters. The Postal Service has this responsibility in all Postal Service–owned facilities. In leased facilities, the Postal Service generally has routine maintenance responsibility and sometimes has repair and replacement responsibility. In questionable cases, review the lease (see 535.111). Use Handbook AS-707-G, *Contracting for Elevator Repair and Maintenance*, as a reference when developing a contract.

**535.252 Maintenance**

Routine maintenance of this equipment (inspection, adjusting, cleaning, oiling, and greasing) requires highly technical skills. Post offices that do not have employees with these skills should request authority to procure the necessary maintenance service under contract with a qualified elevator maintenance company.

**535.26 Cleaning Services****535.261 Authorization**

Authorization is secured as follows:

- a. In a new facility or when a vacancy as a result of an employee's voluntary attrition is identified in an independent installation or in a station and/or branch of an independent installation, the following sequential steps will be taken to determine whether or not a contract cleaning service may be utilized:
  - (1) Measure the square footage of the interior area, using procedures identified in Handbook MS-47, *Housekeeping — Postal Facilities*.

Then divide that measurement by 18,000 and round off the resulting number to four decimal places.

- (2) Measure the square footage of the exterior paved and unpaved area to be serviced, using the procedures identified in Handbook MS-47. Then divide that measurement by 500,000 and round off the resulting number to four decimal places.
  - (3) Add the numbers obtained in steps 1 and 2 together. If the resulting number is less than one, a contract cleaning service may be used to perform the required work.
- b. If the determination is made to utilize a contract cleaning service, the local APWU president will be provided a copy of the above computations.
  - c. The formula applies to replacement facilities or existing facilities with extensions or modifications.
  - d. Post offices, stations, and/or branches that contract cleaning services under previous criteria may continue to do so.

#### 535.262 **Tenant Space**

Contracts may be authorized for cleaning buildings or portions of buildings occupied by nonpostal tenants. This includes office space adjacent to or above or below postal operating space; identifiable sections of buildings that are separated from postal space and outleased to nonpostal functions; and buildings that have been vacated by the Postal Service and are awaiting final disposition.

#### 535.263 **Submitting Requests**

When submitting a request for approval (see 535.122), show the following:

- a. Location and size of building to be cleaned.
- b. Hours building is normally occupied.
- c. Classified cleaning workhours required, based on completed Form 4852, *Workload Analysis and Summary*.
- d. Estimated cost of contract services.
- e. How the building is presently cleaned.

#### 535.264 **Estimating Costs**

Use the following procedures to estimate requirements and costs:

- a. Handbook MS-47 provides guidelines for cleaning requirements and estimates for determining the necessary workforce allowance. It is mandatory that postmasters:
  - (1) Maintain an up-to-date Form 4852.
  - (2) Encircle in columns F and N on Form 4852 the minutes required for the operations for which contract service is being proposed.
- b. The biweekly cost of cleaning services contracts can be estimated by extracting from Form 4852 the encircled items in columns F and N, converting them to weekly hours and minutes, and multiplying such time by the minimum or prevailing local wage rates for this type of custodial occupation. Do not use the *weekly workhours* column of Form

4852 for this estimate unless all operations listed on the form are to be provided under contract.

#### 535.27 **Other Contract Service**

If another type of contract service is needed, forward a complete description of the service desired, the need for it, and the estimated cost and duration of the contract to the purchasing and materials service center (PMSC).

### 536 **Field Maintenance Program**

#### 536.1 **General**

#### 536.11 **Policy**

Field maintenance offices (FMOs) support those associate offices that do not have maintenance management capability. FMOs perform maintenance in these cases:

- a. Maintenance capability does not exist at the associate office.
- b. Repairs cannot be made by exchange of parts or equipment items.
- c. A local contract for the required services is not possible or economical.

#### 536.12 **Responsibilities**

The FMOs are responsible for a wide variety of relatively complex plant and postal equipment maintenance, such as:

- a. Installation of stamp vending machines.
- b. Installation of portable conveyors.
- c. Installation and alteration of screenlines.
- d. Repair of scales, stamp vending machines, twine-tying machines, canceling machines, money order machines, postage meter bases, lock boxes, self-service postal centers, time recorders, portable conveyors, and other postal equipment, according to existing instructions.
- e. Installation, repair, and removal of alarm systems provided by the Postal Service for safes and vaults.
- f. Repair of safe and vault combinations, including lockouts.
- g. Preventive maintenance inspection of postal and plant equipment, including heating, ventilation, and air conditioning equipment, if required, during visits to a post office to make a repair.

#### 536.13 **Reference**

FMOs follow instructions in Handbook MS-45, *Field Maintenance Program*.

**536.2 Field Maintenance Program Responsibility****536.21 Headquarters**

Maintenance Policies and Programs is responsible for:

- a. Developing new or revised policy guidance on the role and functions of field maintenance offices, and acquisition, maintenance, and disposal of equipment.
- b. Issuing technical guidance in maintenance handbooks and other publications.
- c. Developing effective training programs.
- d. Maintaining a technical support activity for field maintenance installations.

**536.22 Area Office**

Area offices are responsible for:

- a. Defining geographic areas to be served by individual field maintenance offices (FMOs) and designating the responsible host maintenance management office.
- b. Approving FMO staffing levels based upon factors such as geographic area, number of facilities, and availability of contract services.
- c. Auditing the FMOs periodically to ensure that the FMOs are correctly managing the program; reviewing the general performance of FMOs.
- d. Coordinating FMO training.
- e. Authorizing selected FMOs to perform facilities maintenance.

**536.23 Host Maintenance Management Offices**

These offices, designated by the area office, are responsible for:

- a. Providing the needed repair service through exchange of parts or equipment items, using mail transportation services, when possible.
- b. Verifying that repairs cannot be made, or economically secured by local contract, at the office of the requesting postmaster.
- c. Administration of the field maintenance program.

**536.3 Program Administration**

The field maintenance program is administered by the Manager, Field Maintenance Operations (MFMO).

**536.31 FMO Staff Scheduling Assignments****536.311 Less Demanding Assignments**

When work requested by an associate office is relatively simple and does not require the technical skills of field maintenance personnel, lower level qualified maintenance employees may be assigned to the job.

**536.312 More Demanding Assignments**

When the field maintenance office workload or technical capabilities are exceeded, additional maintenance employees may be assigned to assist in work in areas in which they have training, unless all members of the staff are engaged in work of equal importance.

**536.32 Controls and Reports**

Maintenance planning and scheduling personnel are responsible for maintaining work order summaries, showing field maintenance office work at the home office and associate offices, and non-FMO work. All FMO work activities are to be entered, planned, and scheduled using the nationally deployed CMMIS.

**536.4 Requesting FMO Assistance****536.41 Routine Work**

When FMO assistance is required, the postmaster of the requesting associate office completes Form 4805, *Maintenance Work Order Request*, and mails it to the FMO, Attention: Manager, Field Maintenance Operation. The request is processed and work is scheduled as described in Handbook MS-110, *Associate Office Postmaster's Facilities Maintenance Guidelines*.

**536.42 Emergencies**

In emergencies, the associate office postmaster uses the designated repair services, selected in advance (according to Handbook MS-110), or telephones the manager of field maintenance operations or maintenance support clerk and requests that the necessary work be performed.

**536.5 Requesting Spare Parts**

Associate office postmasters who require spare parts for their postal equipment should requisition them from their FMO, using Form 4805, *Maintenance Work Order Request*, or a written request. In an emergency, the postmaster may contact the FMO by telephone.

**536.6 Contracting Authorities**

See section 72 of this manual for delegated work buying authorities. For requirements exceeding these authorities, contact your area purchasing and materials service center (PMSC).

## 54 Energy Conservation, Utilities, Heating Fuels, and Bulk Vehicle Fuel

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### 541 Energy Conservation

#### 541.1 Routine Operating Plan

##### 541.11 General

All installation heads must follow these energy conservation measures:

- a. Switch off any lighting, indoor or outdoor, whenever it is not needed. However, do not shut off power to computers (such as IRTs) that transmit data overnight or when an installation is closed.
- b. Maintain a maximum heating temperature of 65 degrees Fahrenheit during working hours and 55 degrees Fahrenheit during nonworking hours.
- c. Maintain a minimum cooling temperature of 78 degrees Fahrenheit during working hours and no cooling during nonworking hours.
- d. Follow all guidelines prescribed in Handbook MS-49, *Energy Conservation and Maintenance Contingency Planning*.

##### 541.12 Use of Gas During Summer

When gas is not needed, minimum charges for service should be paid if this reduces the annual cost. In many areas, high reconnection costs preclude having the gas shut off completely. If the gas is left on, consider leaving pilot flames on during the summer to reduce corrosion. Installation heads must ensure that decisions made in this area are the most efficient and cost-effective.

#### 541.2 Emergency Contingency Plan

Installation heads must prepare a contingency plan to reduce electrical, gas, oil, or other fuel consumption, or to change completely to an alternate energy source in the event of a critical energy shortage or power outage. Follow the instructions in Handbook MS-49, Chapter 5.

### 542 Utilities

#### 542.1 Policy

##### 542.11 Definition

*Utility service* refers primarily to electricity, gas, water, steam, sewerage, and regulated telecommunications services available to the general public and performed by governmental agencies or by private companies ordinarily subject to regulation. Other services, such as trash removal, may also be considered utility services when performed by governmental agencies or by



private companies subject to regulation. For the purposes of the ASM, the utilities discussed in 542 are considered “metered” utilities.

#### 542.12 **New Facilities**

The type of utility service to be used is determined when a new facility is first erected or occupied under a lease or rental agreement. A connection charge (a payment for making a connection with a point of supply that is installed and owned by the utility supplier) may also be required for new facilities when the Postal Service is responsible for the cost of service. Consider the following regarding connection charges:

- a. A connection charge may be paid only after reasonable attempts to negotiate a no-charge connection have failed.
- b. When a charge is necessary to secure the required connection, a termination liability is ordinarily preferred over a connection charge.
- c. When the supplier requires payment of an unrefundable fee for connection, in addition to or in place of a connection charge, the fee may be paid.

#### 542.13 **Existing Facilities**

Form 4841, *Fuel and Utilities Record*, must be maintained at all Postal Service-owned buildings and Postal Service-leased facilities where the Postal Service pays the cost of utilities. The facility must retain the completed form for the record.

#### 542.2 **Acquiring Service**

##### 542.21 **General Services Administration Contract**

Utility services should be obtained under available General Services Administration (GSA) areawide contracts, unless they can be obtained more efficiently or at a lower cost under Postal Service contract or through local buying procedures.

##### 542.22 **Postal Service Contract**

If GSA service is not available, or if service cannot be acquired as described in 542.23, contact the servicing Purchasing and Materials Service Center (P&MSC).

##### 542.23 **Local Buying**

Lease contracts and rental agreements, copies of which are on file in the local facility, specify the services that the owner of the building is obligated to furnish. No funds may be authorized or expended in leased or rented buildings for any service for which the owner is obligated to provide. However, when required for operation of Postal Service-owned buildings, or for Postal Service-leased or -rented space for which the owner is not required to furnish those items or services (including vehicle service garages), metered and flat-rate utility service may be bought and paid for using local buying procedures (see 72).

**Note:** Postal Service-GSA credit cards may not be used to make these purchases (see Chapter 7).

### 542.3 Requesting Rate Surveys

In Postal Service-owned or -leased facilities (if the Postal Service is responsible for acquiring service), request the utility company to perform periodic rate surveys to decrease expenses. Follow these guidelines:

- a. When a building has been remodeled, rewired, relighted, air conditioned, or mechanized, request the utility supplier to make an electric rate survey not later than 6 months after the change.
- b. Unless service is provided under a General Services Administration contract, contact the utility company or municipality furnishing service semiannually and request them to advise if the rates used are the lowest available to the Postal Service and whether there is a choice of rates. Generally, if there is a choice of rates available, and if so requested, the utility can furnish comparative costs data and give the Postal Service the benefit of the lowest rate.
- c. Study the data on Forms 4841 after each 12-month period of operation. If the data show an appreciative increase in consumption, request the utility to make a rate survey. When in doubt on any question concerning utility rates, forward full information (copies of the different rates, effective dates, statement showing 12 months' consumption and cost, etc.) to the area maintenance office for review and resolution.

### 542.4 Processing Changes

#### 542.41 Rate Changes

##### 542.411 Through GSA Contract

When services are acquired through General Services Administration contract and a rate change is approved, the installation head must send a copy of the notice announcing the change to the appropriate Information Systems field center. The installation head must also state whether the change represents any increase or decrease in the cost.

##### 542.412 Through Postal Service Contract

When services are acquired through a Postal Service contract, the installation head must send a copy of any rate change to the servicing P&MSC. The P&MSC manager decides on any actions to take.

##### 542.413 Through Local Buying

If service was bought locally and a public utility regulatory agency approves a rate change, the new cost may be paid locally.

#### 542.42 Name and Address Changes

Unless services are acquired through the General Services Administration or are acquired and paid through local buying procedures, any name or address changes, including those of the supplier and the Postal Service installation being serviced, must be reported to the P&MSC manager or the servicing Information Systems field center, as appropriate.

**542.5 Billing and Payment****542.51 Revenue-Generating Units**

Revenue-generating units pay all utilities bills through local buying procedures, regardless of the amount of the bill and the installation's local buying authority. All bills must be reviewed and certified before they are paid.

**542.52 Non-Revenue-Generating Units**

Non-revenue-generating units must review, certify, and promptly pay through established procedures. Contact the manager of Finance at the district if more information is needed.

**Note:** Do not use the Postal Service-GSA credit card to make these purchases.

**542.53 Additional Fees**

If bills are received that include extra charges (i.e., for amortization or membership fees, deposits, or taxes), note the following:

- a. Amortization charges or membership fees are usually applicable to cooperative or municipally owned utilities.
- b. Payment of amortization charges in bills is permissible.
- c. Payment of membership fees may be paid if the supplier insists.
- d. Payment of deposits may be paid if a statement is obtained that the deposit will be refunded when the service is no longer needed.
- e. Submit questions relating to taxes to the field counsel or the servicing P&MSC manager for resolution. Charges indicated as taxes must be paid until advice that payment is not necessary is obtained. Refunds may be claimed for amounts found to be paid improperly.

**543 Purchasing Nonmetered Heating Fuel****543.1 Definition**

*Nonmetered heating fuel* is fuel obtained by bulk delivery for storage at the installation, such as fuel oil, butane, propane, coal, and wood (see 542 for information about the purchase of metered heating fuel).

**543.2 Purchasing Methods****543.21 Oil and Gas**

The purchasing method used to obtain heating oil or gas (including butane and propane) depends on annual requirements. Generally, requirements are categorized into two distinct limitations, each of which calls for a distinct purchasing method. The categories are:

- a. Requirements over 20,000 gallons a year.
- b. Requirements under 20,000 gallons a year.

**543.22 Requirements Over 20,000 Gallons a Year**

Under an interagency agreement between the Postal Service and the Defense Fuel Supply Center (DFSC), postal installations must purchase nonmetered heating oil and gas from DFSC contractors if the annual requirement is over 20,000 gallons per product at any given location. Delivery agreements are used to order this amount of heating fuel against a DFSC contract. Delivery agreements are issued by the servicing P&MSC, and individuals so designated may place orders for the heating fuel they require. Orders are made in terms of tank capacity.

**543.23 Requirements Under 20,000 Gallons a Year**

Nonmetered fuel requirements estimated to be under 20,000 gallons a year should be purchased using local buying procedures.

**Note:** Postal Service or GSA credit cards may not be used to make these purchases (see Chapter 7).

**543.24 Nonpetroleum Fuels**

All requirements for nonpetroleum fuels like coal, wood, etc., should be met through local buying procedures.

**543.3 Changes in Types of Fuel**

Changes in the fuel used must have prior approval. For Postal Service-owned or -leased buildings, submit a request to the manager of Operations Program Support at the district office, giving estimated costs of the present and proposed fuels and the reasons for making the change. Include comments on the kind and amount of fuel currently provided and any complaints of objectionable smoke conditions.

**543.4 Procedures****543.41 Requirements Over 20,000 Gallons a Year****543.411 Submitting Requirements**

Annual requests for requirements exceeding 20,000 gallons a year must be submitted through the servicing P&MSC to the Defense Fuel Supply Center (DFSC). A DFSC requirements work sheet, provided by the P&MSC to the requirements organization, is used to establish annual requirements by line item. A delivery agreement with the DFSC is established by the P&MSC for each line item requested. If a delivery agreement cannot be established, the P&MSC provides some other contractual vehicle.

**543.412 Order Limitations**

Orders from DFSC contracts are authorized to the maximum tank capacity as listed in the applicable DFSC contract Bulletin for the installation.

**543.413 Authorized Orderers**

Individuals designated to place orders against the delivery agreement must be identified by name or position title.

**543.414 Ordering**

Authorized orderers may place orders from the delivery agreement in writing or orally. Each order accepted by the DFSC contractor becomes an individual contract. Orders are assigned a sequential number that must be provided to the contractor when the order is placed.

**543.415 Billing and Payment**

Invoices are sent to the ordering installation, which verifies accuracy, certifies the invoice, and forwards it to the Information Systems field center for payment.

**543.42 Requirements Under 20,000 Gallons a Year**

For all installations other than leased facilities for which the Postal Service pays for fuel, these requirements are met through local buying procedures. The Postal Service or GSA credit card may not be used to purchase any of the fuels discussed in this section. Payment is made for each delivery and charged to the appropriate account identifier code (AIC) on the Statement of Account and Form 1412-A/B, *Daily Financial Report*:

Fuel Categories	AIC No.	
	CAGs A–K	VMF
Heating oil	561	565
Gas (propane, liquid, natural)	566	570
Other heating material (wood, coal, etc.)	576	580

**Note:** For wood or coal, postmasters purchase and pay for locally unless annual cost is over \$500 at CAGs A–J or \$100 at CAGs K and L, in which case the Information Systems field center pays.

**544 Purchasing Vehicle Fuel****544.1 General**

The purchase method for vehicle fuel depends on annual requirements. Generally, requirements are categorized into three categories, each of which calls for a different purchasing method. The categories are:

- a. Requirements over 20,000 gallons a year.
- b. Requirements between 2,000 and 20,000 gallons a year.
- c. Requirements under 2,000 gallons a year.

**544.2 Requirements Over 20,000 Gallons a Year**

Under an interagency agreement between the Postal Service and the DFSC, postal installations must purchase fuel (gasoline, gasohol, kerosene, diesel fuel and burner fuel oil) from DFSC contractors if the annual requirement is over 20,000 gallons per product at any given location. Delivery agreements are used to order bulk fuel against a DFSC contract. Delivery agreements are issued by the servicing P&MSC, and individuals so designated may place orders for the fuel they require. Orders are made in terms of tank capacity.

**544.3 Requirements Between 2,000 and 20,000 Gallons**

The servicing P&MSC issues indefinite-quantity, indefinite delivery contracts or basic pricing agreements (BPAs) for annual vehicle fuel requirements between 2,000 and 20,000 gallons.

**544.4 Requirements Under 2,000 Gallons a Year**

Annual vehicle fuel requirements amounting to under 2,000 gallons a year should be purchased locally using local buying procedures.

**544.5 Types of Fuel****544.51 Gasoline**

DFSC contracts call for the delivery of gasohol (product code 25) or unleaded regular gasoline (product code 29). If, at the time the DFSC awards the contract against which the Postal Service delivery agreement will be placed, the price of gasohol is equal to or lower than the price of unleaded regular, the contract will be awarded to the firm offering gasohol. Postal organizations wishing to use only unleaded regular may request deviations to this requirement. The deviation must be approved by the DFSC.

**544.52 Diesel**

Postal organizations wishing to use diesel gasoline must specify Number 2 diesel (product code 34).

**544.6 Procedures****544.61 Requirements Over 20,000 Gallons a Year****544.611 Submitting Requirements**

Annual requirements exceeding 20,000 gallons a year must be submitted through the P&MSC to the Defense Fuel Supply Center (DFSC) for procurement unless the DFSC authorizes the P&MSC to purchase the product. A DFSC Requirements Work Sheet, provided by the P&MSC to the requirements organization, is used to establish annual fuel requirements by line item. A delivery agreement with DFSC is established by the P&MSC for each line item requested. If DFSC cannot place a contract for the requested items immediately, the ordering installation may use local buying procedures until a contract is in place. Additionally, if any contractual problems arise, the DFSC contracting officer is the only individual authorized to negotiate with the contractor or to terminate the contract.

**544.612 Order Limitations**

Orders off Defense Fuel Supply Center contracts are authorized at the maximum tank capacity (specified in gallons, not dollars) as listed in the applicable DFSC Contract Bulletin for the requiring installation.

**544.613 Contract Quantity**

Contract maximum and minimum are as follows:

- a. The annual maximum contract quantity that may be ordered by the Postal Service, or that the contractor may deliver under any item, is double the estimated Defense Fuel Supply Center contract quantity plus 30,000 gallons, whichever is less. Quantities exceeding this annual maximum may not be ordered.
- b. The annual minimum quantity that Postal Service guarantees to purchase from the DFSC contract is \$100.

**544.614 Authorized Orderers**

Individuals designated to place orders against the delivery agreement must be identified by name or position title.

**544.615 Ordering**

Authorized orderers may place orders against the delivery agreement either verbally or in writing. Each order accepted by the DFSC contractor becomes an individual contract. Orders are assigned a sequential number, and this number must be provided to the contractor when the order is placed.

**544.616 Records**

All orders must be recorded on Form 4626, *Vehicle Fuel and Motor Oil Purchase Record*, following instructions on the reverse of the form. Forms should be filled out completely.

**544.617 Payment**

Invoices are sent to the ordering installation, which verifies accuracy, certifies the invoice, and forwards it to the Information Systems field center for payment.

**544.62 Requirements Between 2,000 and 20,000 Gallons a Year****544.621 Indefinite Delivery Contracts**

The P&MSC establishes contractual vehicles (either indefinite delivery, indefinite quantity contracts, or basic pricing agreements) for requirements between 2,000 and 20,000 gallons a year. Contact your PSC for guidance.

**544.622 Authorized Orderers**

Individuals designated to place orders against the contractual vehicle must be identified by name or position title.

**544.623 Ordering**

Authorized orderers may place orders with the contractor either orally or in writing.

**544.624 Records**

All orders must be recorded on Form 4626, following instructions on the reverse of the form. Forms should be filled out completely.

**544.625 Payment**

Invoices are sent to the ordering installation, which verifies accuracy, certifies the invoice, and forwards it to the Information Systems field center for payment.

**544.63 Requirements Under 2,000 Gallons a Year**

These requirements should be met using local buying procedures. The Postal Service or GSA credit card may not be used to effect these purchases.

**545 Limitations on Heating Oil Used at Headquarters**

To ensure compliance with Title V of the Clean Air Act Amendments of 1990, the Headquarters facility at L'Enfant Plaza must use only No. 2 fuel oil with a sulfur content of 0.3 percent or less by weight when the primary fuel of natural gas is not available.

## 55 Environmental Management

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**551 Introduction**

The Postal Service is committed to sound environmental management and practices. Its primary concern is for the well-being of its employees, customers, and the communities it serves. In the performance of its mission to provide prompt, reliable, and efficient postal services to all communities, the Postal Service will conduct its activities in a manner protecting human health and the environment.

**552 Regulations****552.1 General**

There are more than 50,000 local, state, and federal environmental regulations. Important among these are the following:

- a. The Pollution Prevention Act (PPA) of 1990.
- b. The National Environmental Policy Act (NEPA).
- c. The Toxic Substance Control Act (TSCA).
- d. The Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA).
- e. The Resource Conservation and Recovery Act (RCRA).
- f. The Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA, also known as Superfund).
- g. The Clean Water Act (CWA).
- h. The Clean Air Act (CAA).
- i. The Safe Drinking Water Act (SDWA).
- j. The Superfund Amendment and Reauthorization Act (SARA).
- k. National Pollutant Discharge Elimination System (NPDES).



- I. Federal Facilities Compliance Act.
- m. Energy Policy Act of 1992.

## 552.2 State and Local Regulations

Provisions of the Resource Conservation and Recovery Act, Clean Air Act, Clean Water Act, Safe Drinking Water Act, and others are delegated to the states for compliance, monitoring, and enforcement. In many instances, state and local programs authorized under these federal acts present complex compliance requirements and can vary geographically.

## 553 Postal Service Environmental Policy

### 553.1 Compliance

The Postal Service must comply with all applicable environmental laws and regulations governing its activities, and does not hesitate to exceed legal requirements when, in its judgment, it is in order.

### 553.2 Policy

The Postal Service is committed to provide employees and customers with a safe and healthy environment. Environmental protection is the responsible thing to do and makes for sound business practices.

### 553.3 Guiding Principles

The Postal Service will:

- a. Meet or exceed all applicable environmental laws and regulations in a cost-effective manner.
- b. Incorporate environmental considerations into our business planning processes.
- c. Foster the sustainable use of natural resources by promoting pollution prevention, reducing waste, recycling, and reusing materials.
- d. Expect every employee to take ownership and responsibility for our environmental objectives.
- e. Work with customers to address mutual environmental concerns.
- f. Measure our progress in protecting the environment.
- g. Encourage suppliers, vendors, and contractors to comply with similar environmental protection policies.

### 553.4 Scope

These policies apply to all postal employees, facilities programs, projects, operations, products, and services.

## 554 Implementation

### 554.1 General

In October 1990 Congress passed the Pollution Prevention Act, establishing a nationwide policy "...that pollution should be prevented or reduced at the source whenever feasible; pollution that cannot be prevented should be recycled in an environmentally safe manner, whenever feasible; pollution that cannot be prevented or recycled should be treated in an environmentally safe manner, whenever feasible; and disposal or other release into the environment should be employed as a last resort...."

### 554.2 Programs

To date, the Postal Service has initiated a number of environmental programs including the following:

- a. Recycling (see MI AS-550-91-10, *Pollution Prevention Program*, and Handbook AS-550, *Recycling Guide*).
- b. Clean Air (see MI AS-550-95-18, *Clean Air Act Compliance*, and Handbook AS-551, *Clean Air Act Compliance*).
- c. Waste Reduction (see MI AS-550-92-2, *Waste Reduction*, and Handbook AS-552, *Waste Reduction Guide*).
- d. Environmental Compliance (see "Managing an Environmental Inspection," *Postal Bulletin* 21801, dated 10-31-91).
- e. Stormwater Management (see MI AS-550-92-7, *Stormwater Management*, and Handbook AS-554, *NPDES/Stormwater Guide*).
- f. Hazardous Waste Management (see MI AS-550-92-8, *Hazardous Waste Management*, and Handbook AS-553, *Hazardous Waste Guide*).
- g. Underground Storage Tank Management (see MI AS-550-95-9, *Underground Storage Tank Management*, and Handbook AS-503, *Minimum Requirements for Specifications of Underground Storage Tank Systems*, Module 4-C).
- h. Asbestos (see MI EL-810-98-1, *Asbestos-Containing Building Materials Control Program*).
- i. Hazardous Waste Reduction Program (see *Postal Bulletin* 21883, dated 12-22-94).
- j. Environmental Awareness (see *Postal Bulletin* 21878, dated 10-13-94).
- k. Radon Testing in Postal-Owned Facilities (Indoor Radon Abatement Act of 1988).
- l. Quality Assurance Reviews to Assist Local Management in Meeting All Required Environmental Regulations.
- m. Integrated Pest Management (see MI AS-550-95-10).

**555 Responsibilities****555.1 General****555.11 Legal and Social**

The Postal Service is legally and socially responsible for safely managing the materials used in its operations and the waste it produces. Environmental programs are mandatory where required by law and recommended elsewhere. Since these programs may apply to all facilities, all administrative and operational activities must, to the maximum extent possible, participate in sound environmental management and practices to conserve energy and natural resources.

**555.12 Development and Implementation**

The following sections describe the overall responsibilities of various postal organizations regarding the development and implementation of all environmental programs. Specific responsibilities of these organizations with regard to individual postal environmental programs can be found in the directives listed in 554.2.

**555.2 Headquarters****555.21 Program Direction and Implementation**

The vice president of Engineering is the chief environmental officer for the Postal Service and is responsible for the overall development of policies for the implementation of environmental management programs.

**555.22 Development of Policies and Methods**

Environmental Management Policy, Engineering, is responsible for developing policies, programs, national training, and strategies for compliance with applicable environmental laws and regulations.

**555.3 Areas****555.31 Vice Presidents, Area Operations**

Vice presidents of Area Operations are responsible for ensuring that all facilities under their jurisdiction comply with all applicable environmental laws. Coordinators are responsible for monitoring environmental programs already initiated and for ensuring implementation of new programs in all applicable areas of Postal Service operations. Reports, records, and other environmental data will be collected for development of an automated system for use in monitoring compliance with environmental regulations, identifying potential violations, and tracking the progress of required remedial actions.

**555.32 District and Plant Managers**

District and plant managers are responsible for ensuring that all facilities under their jurisdiction comply with all applicable environmental laws. Managers must designate an environmental coordinator to develop, track, and monitor individual environmental programs at all levels of their

organization. The programs include those listed in 554.2 and those planned to address other ongoing or future environmental compliance issues.

**555.33 Associate Offices, VMFs, Stations, and Branches**

Postmasters, facility managers, and supervisors must form environmental teams, establish environmental programs, and encourage employee participation. The facility manager must operate under applicable laws and ordinances and should participate in municipal programs. If there are no local programs, managers should explore other ways to protect the safety and health of employees, general public, and the environment. They are also encouraged to conserve energy and natural resources.

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# 6 Support Services

## 61 Technology

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### 611 Policy

The Postal Service uses technology as a tool to achieve its business objectives. Technology programs cover a wide range of areas and are intended to make it easier for customers to do business with us. These programs allow the Postal Service to:

- a. Process, track, and distribute mail faster and more effectively.
- b. Protect the environment.
- c. Provide tools for our employees to improve job effectiveness.

A broad definition of technology includes computer systems hardware and software, Internet and Intranet development and systems, mail processing, handling and transport equipment, mail tracking systems hardware and software, retail and self-service equipment, telecommunications, and the effective use of the information available in these systems.

### 612 Strategic Technology Planning

#### 612.1 Responsibility

Strategic Technology Planning is responsible for the development of an integrated and comprehensive strategic plan for technology including information technology and systems, and mail processing and mail handling equipment. Technology planning occurs within the framework set by the Business Operations Planning process and will result in a 5-year Technology Plan for the Postal Service. The overall Technology Plan will follow directly from the Marketing and Operating Plans, which in turn are based on the marketplace and the Postal Service role in the marketplace.

#### 612.2 Information Platform

The Information Platform is one part of the overall Technology Plan. It includes a set of specific initiatives intended to increase and improve the

usage of information as a basis for decisions and operational actions. The goals of the Information Platform are to:

- a. Improve connections with customers.
- b. Provide information:
  - (1) To customers about their mailings.
  - (2) To managers for operational and cost management.
  - (3) To employees so they can be more successful at their jobs.
- c. Allow joint Postal Service and customer control of products.
- d. Learn more about customers and their needs.

## 613 Electronic Commerce

### 613.1 Vision

The Internet is a rapidly changing communications medium that presents challenges, as well as untapped opportunities to serve customers and conduct business electronically. The Postal Service vision for e-commerce is as follows:

*The Postal Service will bring the power of the Internet to the U.S. Mail and the trust in the U.S. Mail to the Internet. In so doing, we will transform the way we do business with all our customers, help those customers evolve the way they do business with each other, and continue our role as an enabler of business through trusted correspondence and package services.*

### 613.2 Strategy

Three key strategies have been identified to take the Postal Service into the 21st century e-commerce world. They are:

- a. Build the channel so that it provides easy-to-use postal web pages that have a common look and feel, and creates an integrated, common platform to support our varied business needs.
- b. Grow the mail by leveraging the Internet to make it easier for customers to access and pay for core Postal Service products and services.
- c. Facilitate e-business by creating logical electronic extensions of traditional services and by building on the Postal Service's reputation for trust, security, and reliability to safeguard online business.

### 613.3 Internet Channel Benefits

The Postal Service uses the Internet to add service value for our customers, 24 hours a day, 7 days a week. The Postal Service Internet home page (<http://www.usps.com>):

- a. Provides customers quick and easy access to Postal Service information, products, and services.
- b. Offers individualized information and services tailored to meet each customer's business or personal needs.

- c. Allows customers to purchase Postal Service products and services conveniently from their homes or offices.
- d. Provides traditional hard-copy Postal Service brand assurances, including trust and security, online.

#### 613.4 **E-Commerce Responsibilities**

For the Postal Service to take full advantage of the Internet, online activities must be fully coordinated and managed. There are eight key functional groups with responsibilities relating to the Internet channel:

- a. *E-Business Strategy Group*. Composed of senior officers, this group drives the establishment of strategic Internet goals for the Postal Service.
- b. *Internet Business Group*. Ensures that the Postal Service web presence provides integrated messaging and marketing, develops e-commerce applications, and defines and creates cohesive measurement, customer service, and other infrastructure components for the Internet channel.
- c. *Internet Services*. Manages web site content including registering initial requests for postal Internet sites and helping content owners with web site development, and provides technological and maintenance support for the Postal Service on the web.
- d. *Postal Service Content Owners*. Stakeholders or managers from areas within the Postal Service who have a business or functional requirement to use the Internet to achieve customer solutions and generate revenue for the Postal Service, and who have the responsibility for web content relating to their products and services and for the business evaluation of proposed Internet initiatives.
- e. *Corporate Relations*. Assures web site compliance by Postal Service content owners with corporate identity standards and manages the content of the *Inside the Postal Service* section on the home page (<http://www.usps.com>).
- f. *Advertising and Promotions*. Manages the Postal Service advertising messaging on the web and provides assistance to business drivers who want to market postal products and services on the web.
- g. *Office of the General Counsel*. Reviews web site content and Internet partnership proposals to ensure compliance with postal policies and public law.
- h. *Computing and Telecommunication Services*. Provides operations support for the Postal Service on the web.

#### 614 **Quality Role in Technology**

As the Information Platform is built, along with other parts of the Technology Plan, it becomes more critical for managers and employees to effectively use the information that will be available. As we move to this information-rich environment, Quality brings the “knowledge tools” to help managers and employees make use of the information in their decisions and actions. These



tools include such things as statistical process control, process flow charting, process maturity analyses, standard documentation, and customer-supplier agreements. (See subchapter 65 for additional information on Quality.)

## 615 **Engineering**

Engineering focuses on processing and material handling systems; retail and delivery equipment; vehicle support; and the integration of equipment, systems, and human resources. It is responsible for distribution technology, technology planning and analysis, acquisition management, maintenance policies and programs, delivery and customer services equipment development, the management of software required to support engineering-deployed systems, environmental policy, and administrative services.

# 62 **Supporting Operations**

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## 621 **Policy**

The Postal Service supplies corporate strategy and support services for the core operations processes that provide postal services to customers. These core processes include: collecting and accepting; sorting and distributing; delivering; transporting; and selling.

## 622 **Operations**

### 622.1 **Chief Operating Officer and Executive Vice President**

The chief operating officer and executive vice president is responsible for the national collection, sorting and distribution, transportation, and delivery of all mail under the control of the Postal Service through area vice presidents, field managers, and postmasters.

### 622.2 **Customer Relations**

Customer Relations seeks to leverage business relationships with commercial accounts to retain and develop their postal business through higher levels of customer satisfaction. The primary focus of Customer Relations, both at HQ and in the field, is on the customer satisfaction and revenue of Postal Service commercial accounts.

### 622.3 **Senior Vice President, Operations**

The senior vice president, Operations, is responsible for providing corporate strategic direction and program support in operations planning, field operations support, network operations management, and labor relations.

**622.4 Operations Planning**

Operations Planning focuses on service management policies and programs, service analysis and assessment, address management, operations process support, operations process development, operations process redesign, staffing and scheduling policies, and workforce planning and analysis.

**622.5 Field Operations Support**

Field Operations Support is responsible for national program management in the areas of delivery and processing operations.

**622.6 Network Operations Management**

Network Operations Management is responsible for national program management in the areas of logistics, aviation mail security, international operations, and the Priority Mail network.

## 63 (Reserved)

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## 64 Stamp Services

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**641 Policy**

It is Postal Service policy to develop, implement, maintain, and monitor programs to promote the sale and retention of stamps and allied philatelic products through stamp subject selection and product development that meets customer needs, through merchandising, licensing, product research, sales reporting, and strategic alliances that offer channels of new distribution to stamp-collecting customers.

**642 Stamp Marketing****642.1 Responsibilities**

The Stamp Marketing function in Stamp Services develops and manages all philatelic products and related philatelic programs and develops new markets for stamps and products. This responsibility is coordinated with the other functional managers within Stamp Services. Advertising and promotion for philatelic products is coordinated by Advertising and Promotion.

**642.2 Commemorative Stamps**

Commemorative stamp marketing builds awareness for new commemorative issues and encourages individuals to collect stamps. All new commemoratives are promoted in postal retail lobbies using point-of-purchase merchandising material. Selected commemoratives are used as subjects for television news features and advertisement, and for broadcast

and print advertising. Commemorative stamp retention revenue is determined by independently conducted retention surveys.

#### 642.3 **Philatelic Merchandising**

Philatelic merchandising is the management of activities for developing and selling the philatelic product line at selected retail postal facilities. These activities include development of:

- a. Point-of-purchase display material.
- b. Seasonal advertising and merchandising.
- c. New philatelic products.
- d. Methods to expand retail business opportunities.
- e. Lobby promotions for increase of short-term sales of specific philatelic products.

#### 642.4 **Youth Programs**

Postal Headquarters encourages youth stamp collecting by providing guidance to postal personnel and by preparing educational and informative materials for distribution. Each postal facility promotes and maintains this interest in philately through nationally supported programs.

#### 642.5 **Philatelic Centers**

The philatelic center program involves a network of special sales outlets in postal retail facilities. These outlets, called philatelic centers, meet the requirements of 20 million U.S. stamp-collecting customers, and provide a high-quality, personalized service to this market. Outlets are located in major post offices. They range from a self-contained facility or retail area in or near the customer lobby, to a window clerk position designated to operate as a philatelic center. Each designated outlet offers the same specialized products and services and is identifiable by special signs and merchandising displays. Operational guidelines and establishment criteria for philatelic centers are in Handbook PO-201, *Philatelic Center Operations Guide*.

### 643 **Stamp Acquisition and Stamp Distribution**

#### 643.1 **Description**

These operations manage stamp product acquisition and distribution to stamp sales units and to individual consumers to make sure that stamp stock supply matches the demand for postage stamps, postal stationery, and philatelic items, and that it supports postal revenue objectives.

#### 643.2 **Stamp Acquisition**

Stamp Acquisition manages the development and implementation of new or revised national programs, policies, procedures, methods, and standards for the acquisition of postage stamps, postal stationery, and philatelic items, including procurement of product designs and manufacturing services;

establishing production schedules and quantities, and physical characteristic, material, and quality assurance standards; packaging; and taking inventory.

#### 643.3 **Stamp Distribution**

There must be suitable management of a logistical network through which postage stamps, postal stationery, and stamp products are ordered and shipped from manufacturers to points of sale, including establishment, activation, and conversion to use of new distribution sites.

#### 643.4 **Sales**

National philatelic sales are managed through mail order processing for individual purchase and large-volume customers, subscription and cancellation services, telephone sales, and counter sales.

#### 643.5 **Planning**

There are strategic planning efforts related to stamp programs.

#### 643.6 **Mail Order Marketing**

The Philatelic Fulfillment Service Center fulfills mail order requests and subscriptions for stamps and philatelic products. The center also provides cancellation services for philatelists and philatelic dealers (see POM 243.4).

#### 643.7 **Subscriptions**

Subscription marketing is the sale of stamps or philatelic products by automatic scheduled distribution to customers. The four subscription programs include Souvenir Pages, Commemorative Panels, Commemorative Stamp Club, and Standing Order Service.

#### 643.8 **International**

International marketing consists of the following:

- a. Participating in international philatelic exhibitions, where the Postal Service offers mint stamps and philatelic products for sale to visitors who attend these exhibitions.
- b. Managing all Postal Service marketing agents in foreign countries to sell Postal Service stamps and philatelic products of customers in foreign countries and territories.

### 644 **Stamp Development**

#### 644.1 **Purpose**

Stamp Development has functional responsibility for the management of stamp planning, the Citizens' Stamp Advisory Committee, stamp subject selection, stamp design licensing, stamp events, and special cancellations. Stamp Development maintains regular contact with customers through stamp subject correspondence and conversations and through functional activities such as events and licensing.

## 644.2 Functions

Stamp Development has six principal functions:

- a. *Planning*. Developing annual stamp program (list of subjects for 1 year) and coordinating the activities of Advertising and Promotion, Corporate Relations, Market Research and Analysis, Stamp Marketing, and Stamp Acquisition to make sure that contribution is maximized for the program.
- b. *Events*. Ensuring that each subject in the stamp program is introduced to customers with maximum visibility.
- c. *Citizens' Stamp Advisory Committee*. Coordinating the activities of the Citizens' Stamp Advisory Committee to ensure the timely development of the stamp program.
- d. *Licensing*. Maximizing contributions from royalty payments for current and past stamp programs.
- e. *Pictorial Cancellations*. Coordinating pictorial cancellations nationally.
- f. *Right of Publicity*. Securing right of publicity agreements with the estate holders for stamp subjects.

## 644.3 Planning

The annual stamp program is developed from customer and employee ideas that are reviewed by the Citizens' Stamp Advisory Committee and finally approved by the postmaster general. There is substantial input to this process from all involved areas. Once a stamp program is completed (subjects for a given year can be added or deleted at any time), Stamp Management coordinates the activities of Advertising and Promotion, Corporate Relations, Market Research and Analysis, Stamp Marketing, and Stamp Acquisition to ensure that contribution is maximized for the program. This is accomplished by developing and implementing a coordinated plan for each subject. This plan includes elements from functional areas such as marketing, advertising, publicity, events, and licensing as appropriate, all coordinated to maximize revenues from the individual subject.

## 644.4 Events

Each of the subjects in the annual stamp program must be introduced to the public. These introductions, known as first day of issue or stamp ceremonies, must be coordinated with functional areas in Headquarters and the field. Typically, the date, time, and place for each event must be identified. The speakers must be selected and dignitaries, including family members, invited. Support such as press releases, stamp design transparencies, and a design enlargement (for the event itself) must be coordinated. Finally, on-site coordination is necessary to make sure that the event takes place without any problems.

## 644.5 **Citizens' Stamp Advisory Committee**

### 644.51 **Description**

Stamp Development coordinates and supports the Citizens' Stamp Advisory Committee (CSAC) in its continuing activities to achieve the contributory goals of the Postal Service.

### 644.52 **Authority**

The CSAC was established by the U.S. Post Office Department on March 26, 1957 (see 22 FR 1996, March 26, 1957).

### 644.53 **Membership**

The committee consists of 15 members whose backgrounds reflect a wide range of educational, artistic, historical, and professional knowledge. Members are appointed and serve at the pleasure of the postmaster general. Each member serves a 5-year term, and no member may serve more than three terms. The postmaster general appoints one member to serve as chairperson and another as vice chairperson. Each serves for a 2-year term.

### 644.54 **Function**

The committee has the following principal functions:

- a. Providing technical information, advice, and recommendations to the Postal Service on stamp-related subjects.
- b. Assisting and supporting the Postal Service in achieving its corporate goals and strategies.
- c. Providing broad judgment and experience on various factors that lead to the issuance of stamps.
- d. Establishing criteria for selecting stamp subjects.

### 644.55 **Subcommittees**

Meetings of the committee are scheduled four times yearly or at the call of the chairperson. Each meeting includes subcommittee meetings and a general committee meeting. The subcommittees and their duties are:

- a. *Design Subcommittee.* This subcommittee provides professional guidance to design coordinators and stamp design staff in the development of stamp and stationery designs. This subcommittee also provides guidance to the committee on the visual potential of subjects.
- b. *Subject Subcommittee.* This subcommittee provides stamp subject recommendations that support the Postal Service to achieve its corporate goals and strategies. This subcommittee also provides educational, historical, and professional expertise in the subject selection.
- c. *Ad Hoc Subcommittees.* These subcommittees provide educational, historical, and professional expertise to the committee and the Postal Service. An ad hoc subcommittee may be created by the committee or the Postal Service when special needs arise.

## 644.56 **Travel and Compensation Allowances**

### 644.561 **Travel Expenses**

CSAC members are eligible for travel reimbursement in accordance with current Postal Service travel regulations. Members are allowed reimbursement on an actual expense basis for transportation and for subsistence (per diem and lodging) for time spent away from their homes or regular places of business while performing their duties as limited by Handbook F-15, *Travel and Relocation*, and provided that their address is not within the Washington metropolitan area or a customary and reasonable commuting distance of the meeting site. The maximum amount of subsistence may not exceed the daily rate for subsistence established in Handbook F-15 for each calendar day or fraction of a day.

### 644.562 **Compensation**

Compensation for CSAC members is calculated as follows:

- a. CSAC members who are not employed by the U.S. Government are paid at a daily rate based on the maximum EAS pay scale.
- b. Compensation obligations as set forth in 644.562a, incurred because of the members' employment, are chargeable to the assigned finance number for CSAC, account number 56301.
- c. CSAC members may not receive payment for designing U.S. postage stamps or stationery items.

## 644.6 **Licensing**

Stamp Development maximizes contributions from royalty payments for the current and past stamp programs by securing agreements with potential licensees and maximizing revenues from existing licensees. In general, these licenses are for stamp designs. Stamp Development has direct contact with potential licensees and a contractor who develops licensing agreements. Agreements are developed that stipulate the stamp design involved, the item being produced, the geographic area in which the item is to be sold, the royalty rate, and the advanced royalty payment amount.

## 644.7 **Museum**

Stamp Services Operations coordinates the activities of the National Postal Museum with all postal functional areas including Facilities, Corporate Relations, and Stamp Services to ensure that these activities are consistent with postal objectives and strategies. These activities help ensure that postal revenues from the Museum equal postal costs. The basis for this coordination is the National Postal and Philatelic Museum Operation Agreement, jointly signed November 6, 1990, by the secretary of the Smithsonian Institution and the postmaster general.

## 644.8 **Pictorial Cancellations**

### 644.81 **Requests**

Requests for pictorial cancellations are coordinated by Stamp Development. These requests are forwarded from the field to Stamp Development for

approval. Sponsors or organizers who want to use a pictorial cancellation must submit a request at least 10 weeks before the event to the postmaster of the city where the event is to take place. The request must provide the following information:

- a. Complete description and schedule of the event to be observed.
- b. Proposed artwork for the cancellation.

#### 644.82 **Postal Service Procedure**

The postmaster submits the request to the appropriate manager of Customer Service Support. The manager makes the final approval and arranges for procurement of the handstamp. The manager also reports all authorized pictorial cancellations on the Pictorial Cancellation Announcement form to Stamp Development at least 4 weeks before the event so that national publicity can be arranged.

#### 644.83 **Sponsor Artwork**

Once the cancellation is approved, the sponsor must provide camera-ready artwork.

#### 644.9 **Right of Publicity**

Stamp Development is responsible for securing right-of-publicity agreements with the estate holders for all stamp subjects. This arrangement allows reproduction of the image and name of the selected subjects on stamp designs, in philatelic items, and frequently on cachets. Typically, nonstamp items such as T-shirts and coffee cups require a separate agreement developed through the licensing process. The Postal Service obtains right-of-publicity agreements by identifying the holders of the estates either through the public domain or through a contracted estate search firm. Stamp Development writes to the holder using a standard form so that rights can be received. Stamp Development works with the estate holder to reach an agreement if the standard form is not agreeable. Once a final agreement is achieved, the licensing contractor works with the signatories to obtain approval of a licensing agreement.

### 645 **Semipostal Stamps**

#### 645.1 **Definitions**

#### 645.11 **Semipostal Stamps**

The term *Semipostal Stamp* means a postage stamp that is issued and sold by the Postal Service at a price that exceeds the postage value of the stamp. The stamp helps provide funding for a particular cause.

#### 645.12 **Differential**

The term *differential* means the difference between the sales price of a semipostal stamp (as determined by the Governors of the United States Postal Service) and the First-Class Mail single-piece first-ounce rate in effect at the time of purchase.



**645.2 Offsets**

The Postal Service determines its reasonable costs to implement statutes that authorize the Postal Service to issue semipostal stamps. To the extent permitted by authorizing statutes, the reasonable costs of the Postal Service are offset against the differential associated with each semipostal stamp. The Postal Service retains any reasonable costs it offsets under section 645. The Postal Service also retains revenue from the sale of semipostal stamps that represents the First-Class Mail single-piece first-ounce rate in effect at the time of purchase.

**645.3 Payments From the Sale of a Semipostal****645.31 Breast Cancer Research Stamp**

The Postal Service pays the following agencies as follows:

- a. National Institutes of Health (NIH). At least twice a year, we pay NIH 70 percent of the difference between the amount of the differential associated with the Breast Cancer Research Stamp, and the amount to recover any reasonable costs to the Postal Service (see section 645 to determine reasonable costs).
- b. Department of Defense (DOD). At least twice a year, we pay DOD 30 percent of the difference between the amount of differential associated with the Breast Cancer Research Stamp, and the amount to recover any reasonable costs to the Postal Service (see section 645.52 to determine reasonable costs).

**Note:** We specify how often we make payments in Memoranda of Understanding with the NIH and DOD.

**645.32 Heroes Semipostal Stamp**

The Postal Service pays the Federal Emergency Management Agency (FEMA) the differential associated with the Heroes Semipostal Stamp less an amount to recover the reasonable costs of the Postal Service as determined by it under section 645.52. Before transferring to FEMA any amount becoming available from the sale of the semipostal over any period, the Postal Service ensures that it has recovered the full cost incurred by the Postal Service in connection with such semipostal stamp through the end of such period. The Postal Service and FEMA execute a Memorandum of Understanding that specifies the frequency of payment terms.

**645.33 Domestic Violence Program Semipostal Stamp**

The Postal Service pays the U.S. Department of Health and Human Services (DHHS) the differential associated with the Domestic Violence Program Semipostal Stamp less an amount to recover the reasonable costs of the Postal Service as determined by it under section 645. Before transferring to DHHS any amount becoming available from the sale of the Domestic Violence Program Semipostal Stamp over any period, the Postal Service ensures that it has recovered the full cost incurred by the Postal Service in connection with such semipostal stamp through the end of such period.

Frequency of payment shall be specified according to the terms of a Memorandum of Understanding executed with DHHS.

#### 645.4 **Cost Reporting and Estimation**

##### 645.41 **Headquarters Offices**

The following offices at Postal Service Headquarters are responsible for tracking or, as appropriate, estimating costs related to semipostal stamps:

Item	Office
<b>Development, Shipping, and Manufacturing</b>	
Design	Stamp Services
Shipping to Stamp Distribution Offices/Stamp Distribution Networks	Stamp Services
Printing and Manufacturing	Stamp Services
<b>Administrative and Recordkeeping</b>	
Sales and Services Associate Training	Retail Operations*
Rural Carrier Training	Delivery Operations
Programming Window Automation Devices	Customer Service System Support*
Inventory Costs	Stamp Services
Destruction Costs	Stamp Services
Market Research (if applicable)	Stamp Services
Flyer Cost	Advertising
Promotional Event Costs	Stamp Services
Advertising	Advertising
<b>Distribution</b>	
Postage to Post Offices	Stamp Services
<b>Retail</b>	
Customer Receipt Printing Costs	Accounting
Packaging for Self Service	Self Service and Access Management*
Vending Machine Training Costs	Self Service and Access Management*
Vending Machine Reconfiguration	Self Service and Access Management*
Packaging for Postal Stores	Retail Marketing
Revaluation Costs (if applicable)	Self Service & Access Management, Customer Service System Support, Retail Operations
* These organizations are part of the Customer Service Operations segment of the new Delivery and Retail organization.	

**645.42 Requirements****645.421 When to Report Costs**

All offices listed in Section 645.41 must report the cost information each accounting period (AP) to the office of Accounting, Finance, Controller. Send the report no later than 4 weeks after the close of the accounting period in which the costs were incurred. The report should be sent via e-mail if possible.

**645.422 Separate Reports**

The report should identify the semipostal stamp to which the costs incurred apply. Report the costs for each semipostal stamp separately.

**645.423 Recordkeeping**

Each office must maintain cost records for 1 year after the date that sales end for the semipostal stamp to which the costs incurred apply.

**645.424 Local Promotional Events**

Unless the office of Stamp Services grants an exception, costs for promotional events of field offices must not exceed \$3,000 and must be funded locally. Field promotional expenses not exceeding \$3,000 need not be reported pursuant to ASM 645.52(b)(1).

**645.5 Policy to Offset Costs for Semipostal Stamps**

The Postal Service's policy to offset costs for all semipostal stamps, including the Breast Cancer Research Stamp, is set forth in sections 645.51 through 645.63.

**645.51 Responsibility**

Overall responsibility for tracking costs associated with semipostal stamps rests with the office of Accounting, Finance, Controller. Individual organizational units incurring costs will provide supporting documentation to the office of Accounting, Finance, Controller.

**645.52 Policy**

Postal Service policy is to recover from the differential revenue for each semipostal stamp those costs that are determined to be attributable to the semipostal stamp and that would not normally be incurred for stamps having similar sales; physical characteristics; and marketing, promotional, and public relations activities (hereinafter "comparable stamps").

**645.53 Procedure**

- a. For each semipostal stamp, the Office of Stamp Services, in coordination with the Office of Accounting, Finance, Controller, shall, based on judgment and available information, identify the comparable stamp(s) and create a profile of the typical cost characteristics of the comparable stamp(s) (e.g., manufacturing process, gum type), thereby establishing a baseline for cost comparison purposes. The determination of comparable stamps may change during or after the

sales period, and different comparable stamp(s) may be used for specific cost comparisons.

- b. Except as specified, all costs associated with semipostal stamps will be tracked by the Office of Accounting, Finance, Controller. Costs that will not be tracked include:
  - (1) Costs that the Postal Service determines to be inconsequentially small, which include those cost items that are less than \$3,000 per invoice and are not specifically charged to a semipostal finance number.
  - (2) Costs for which the cost of tracking or estimation would be burdensome (e.g., costs for which the cost of tracking exceeds the cost to be tracked).
  - (3) Costs attributable to mail to which semipostal stamps are affixed (which are attributable to the appropriate class and/or subclass of mail).
  - (4) Administrative and support costs that the Postal Service would have incurred whether or not the Semipostal Stamp Program had been established.
- c. Cost items recoverable from the differential revenue may include, but are not limited to, the following:
  - (1) Packaging costs in excess of the cost to package comparable stamps.
  - (2) Printing costs of flyers and special receipts.
  - (3) Costs of changes to equipment.
  - (4) Costs of developing and executing marketing and promotional plans in excess of the cost for comparable stamps.
  - (5) Other costs specific to the semipostal stamp that would not normally have been incurred for comparable stamps.
  - (6) Costs in section 645.55 that materially exceed those that would normally have been incurred for comparable stamps.

#### 645.54 Differential Maximization

The Semipostal Stamp Program incorporates the following provisions that are intended to maximize differential revenues available to the selected causes. These include, but are not limited to, the following:

- a. Avoiding, to the extent practicable, promotional costs that exceed those of comparable stamps.
- b. Establishing restrictions on the number of concurrently issued semipostal stamps.
- c. Making financial and retail system changes in conjunction with regularly scheduled revisions.

**645.55 Other Costs**

Other costs attributable to semipostal stamps but that normally would be incurred for comparable stamps, would be recovered through the postage component of the semipostal stamp price. Such costs are not recovered, unless they materially exceed the costs of comparable stamps. These include, but are not limited to, the following:

- a. Costs of stamp design (including market research).
- b. Costs of stamp production and printing.
- c. Costs of stamp shipping and distribution.
- d. Estimated training costs for field staff, except for special training associated with semipostal stamps.
- e. Costs of stamp sales (including employee salaries and benefits).
- f. Costs associated with the withdrawal of the stamp issue from sale.
- g. Costs associated with the destruction of unsold stamps.
- h. Costs associated with the incorporation of semipostal stamp images into advertising for the Postal Service as an entity.

**645.6 Sales Periods****645.61 Breast Cancer Research Stamp**

The Breast Cancer Research stamp will be sold through December 31, 2003.

**645.62 Heroes Semipostal Stamp**

The Heroes Semipostal Stamp will be issued as soon as practicable and sold to the public for a period ending on or before December 31, 2004. The office of Stamp Services determines the dates of the sales period.

**645.63 Domestic Violence Program Semipostal Stamp**

The Domestic Violence Program Semipostal Stamp will be issued no later than January 1, 2004, and may be sold to the public for a period ending on or before December 31, 2006. The office of Stamp Services determines the dates of the sales period.

## 65 Quality

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**651 Policy**

It is the policy of the Postal Service, consistent with its vision and guiding principles, to provide products and services that meet or exceed customers' expectations. To accomplish this, the Postal Service has implemented a Baldrige-based management system called *CustomerPerfect!*, designed to achieve performance excellence and to continuously improve quality, productivity, and competitive position.

## 652 Responsibility

Quality is responsible for designing, maintaining, and effectively supporting the implementation of the *CustomerPerfect!* system that will significantly improve customer satisfaction, financial performance, and employee and organizational effectiveness.

## 653 Quality

Quality comprises five Headquarters groups and direct support for field Quality organizations:

- a. Development and Benchmarking.
- b. Core Process Support.
- c. Enabling Support.
- d. Quality Leadership and Major Programs Support.
- e. Sales and Marketing Support.

### 653.1 Development and Benchmarking

Development and Benchmarking provides support in the following areas:

- a. *Education and Training.* Includes identification and acquisition of new quality-related courses, development of materials, and oversight of the trainer certification processes. Support in this area also includes design, coordination, and review of the Quality Practitioner program, and facilitating the incorporation of quality methods and tools in other training courses and materials.
- b. *Quality Systems and Tools Research.* Includes investigating quality management methods and techniques not currently in use in the Postal Service, examining the application potential for identified methods, reviewing of training and software support needs, and developing or piloting of initial applications.
- c. *Benchmarking and Best Practices.* Involves identification, acquisition, and deployment of the national approach to external benchmarking. This group acquires and implements benchmarking training courses for Postal Service teams. This group has responsibility for design, coordination, testing, and implementation of a database to collect and communicate internal best practices. It also supports the replication of internal best practices and findings from external benchmarking studies.
- d. *External Relations Within the Professional Quality Community.* Involves managing the ongoing relationships with professional quality organizations and other business groups and consortia to facilitate the development and implementation of the above identified responsibilities. These external relationships provide a forum for the Postal Service to convey the learnings from its quality journey while gathering insights into the knowledge of others.

### 653.2 Core Process Support

The strategic role of this group includes the following five elements:

- a. *Enterprise Map and Process Ownership.* Includes development of the Postal Service Enterprise Map, maintaining the Map and providing support to the process sponsors, owners, and operators through training and consulting services. Involves the systematic improvement of those processes in support of business goals and supporting the effective application of process management and quality improvement to improve quality, cost, and cycle time.
- b. *Headquarters Operations Support.* Includes responsibility for supporting the Operations Support groups including Network Operations, Operations Planning, Engineering, and International Business Unit (IBU) Operations.
- c. *Field Support.* Includes providing active support to the area quality managers and field quality specialists, developing field quality effectiveness measures, and working with area quality managers to evaluate variation and capability levels. Includes providing support to improve the skills of quality specialists and practitioners to improve business results through effective application of quality tools.
- d. *Process Management and Improvement Support.* Comprises the management of all processes within the Postal Service Enterprise Map, and the systematic improvement of those processes to improve quality, cost, and cycle time in support of business goals.
- e. *Involvement of Employees.* Involvement of employees includes teams for process management and process improvement, and the development of quality practitioners within each department who have sufficient knowledge of process documentation, measurement, and improvement techniques to support the ongoing maintenance and improvement of the process management system.

### 653.3 Enabling Support

Provides internal consultant support and manages external consultant support to Postal Service leadership and managers throughout the Headquarters enabling organizations. This support is focused on the effective implementation of the management system through the areas of:

- a. *Process Management and Improvement.* Comprises the management of all processes within the Postal Service Enterprise Map, and the systematic improvement of those processes to improve quality, cost, and cycle time in support of business goals. Management includes the execution of business reviews to ensure the stability and capability of enabling processes.
- b. *Involvement of Employees.* Includes teams for process management and process improvement, and the development of quality practitioners within each department who have sufficient knowledge of process documentation, measurement, and improvement techniques to support the ongoing maintenance and improvement of the process management system.



#### 653.4 **Quality Leadership and Major Programs Support**

This group comprises two areas:

- a. *Quality Leadership Support.* This group supports the operation and improvement of the *CustomerPerfect!* management cycle and related planning processes. The management cycle consists of these four phases:
  - (1) *Establish.* Establish is the setting of overall direction by the senior leadership of the organization. It includes the analysis of the external environment and internal organizational capabilities, and the setting of improvement targets to meet changing customer, employee, and business needs. Support includes the developing processes for integrated target-setting and strategic planning.
  - (2) *Deploy.* Deploy involves the development of plans to achieve the improvement targets and the overall strategic direction of the organization, and the allocation of resources to implement those plans. Support includes the development of approaches for communicating plans and resource requirements and support for the catchball process, a cooperative engagement in setting targets and plans based on data.
  - (3) *Implement.* Implement is the follow-through phase in which action plans to achieve improvement targets are carried out.
  - (4) *Review.* Business reviews are the method by which progress toward targets are assessed, adjustments to plans are made, and successful plans are identified for replication. Support includes the development of approaches to business reviews, and assistance in conducting those reviews.

This area also includes *CustomerPerfect!* Support. This includes designing and conducting assessments of *CustomerPerfect!*, the Postal Service management system using the Malcolm Baldrige National Quality Award criteria. These assessments are initiated at the direction of the Postmaster General (formal Baldrige assessments were conducted in FY 1995 and FY 1998). Following the assessment, the group assists the Integration Team in the development and tracking of action plans to address the “opportunities for improvement” documented in the feedback report.

- b. *Major Programs Support.* This group facilitates the establishment of a strategic corporate competency in the area of Program and Project Management, focusing on the conduct of major program initiatives:
  - (1) *Standardized Program Management Processes.* Provide a complete set of program management processes taking efforts from initial concept through prototyping, adoption, and enterprise-wide implementation.
  - (2) *Integrated Program Tracking, Reporting, and Review.* Provide senior management with a centralized, global view of major initiatives by establishing standardized processes for reporting and review and establishing an integrated multiproject reporting and analysis across all major initiatives.



- (3) *Project Management Training.* Roll out training in basic project management skills for program managers and directors, their staffs, and supporting organizations.
- (4) *Internal Project Management Consulting and Support.* Provide ongoing guidance and expertise to program managers and directors in the areas of program organization, planning, tracking, reporting, and analysis and to project leaders whose efforts may evolve into enterprise-wide programs.

#### 653.5 **Sales and Marketing Support**

Manages the development, implementation, and review of systems, activities, skills, and methods to continuously improve Sales and Marketing processes and overall Postal Service organizational performance. Provides internal consultant support and manages external consultant support to leadership and managers throughout the Sales and Marketing department.

#### 653.51 **Process Management and Improvement**

Comprises the management of all Sales and Marketing processes within the Postal Service Enterprise Map, and the systematic improvement of those processes to improve quality, cost, and cycle time in support of business goals. Management includes the execution of business reviews to ensure the stability and capability of Sales and Marketing processes.

#### 653.52 **Involvement of Employees**

Involvement of employees includes teams for process management and process improvement, and the development of quality practitioners within each department who have sufficient knowledge of process documentation, measurement, and improvement techniques to support the ongoing maintenance and improvement of the process management system.

## 66 **Licensing**

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### 661 **Responsibilities of the Licensing Group**

The Licensing group, under the direction of the Headquarters Public Affairs and Communications office, manages the licensing program and is the only Postal Service group authorized to grant permission to others to produce officially licensed merchandise. This group:

- a. Makes the final determination on who is allowed to manufacture products bearing Postal Service trademarks and other images and where those products can be sold.
- b. Manages the use of the Postal Service's pictorial and other intellectual property rights by nonprofit organizations, the media, and the entertainment industry.

## 662 **Licensing Program**

### 662.1 **Purchase of Postal Service-Licensed Merchandise**

To make an official purchase of merchandise displaying a trademark, stamp design, or other pictorial or graphic image owned or used by the Postal Service, employees must ensure that the merchandise is officially licensed by the Postal Service.

### 662.2 **Definition of Officially Licensed Merchandise**

*Officially licensed merchandise* is merchandise that displays Postal Service trademarks, stamps, and images with the Postal Service's granted permission for reproduction. Such merchandise or its packaging displays a hang-tag or label or otherwise states that the item is under license from the Postal Service.

### 662.3 **How to Get More Information**

Direct questions about the Licensing program to:

POSTAL SERVICE LICENSING GROUP  
475 L'ENFANT PLAZA SW RM 10523  
WASHINGTON DC 20260-3100

E-MAIL: [licensing@usps.com](mailto:licensing@usps.com)

FAX: 202-268-5685

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# 7 Supply Management

## 71 General

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Supply Management is responsible for maximizing the Postal Service's use of supply chain management business practices and continually improving customer service and reducing costs. This includes combining strategic and tactical buying and supplying processes to best effect, and managing customer and supplier relations so that they further the business and competitive interests of the Postal Service. Supply Management is organized around a group of portfolios made up of category management centers (CMCs), an Operations organization focused on supply matters, and several strategic support organizations.

## 72 Purchasing

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### 721 General

The *Purchasing Manual* (PM), issued and maintained by the vice president of Supply Management, establishes the Postal Service policies and procedures for the purchasing aspects of supply management.

### 722 Local Buying Authority

#### 722.1 General

Local buying authority is the authority to buy and pay for day-to-day operational needs. Do not use local buying authority when sound fiscal management principles make another form of purchasing more advantageous to the Postal Service. These priority sources include satisfying operational needs from Postal Service excess, the Material Distribution Center (MDC), and mail equipment shops or from servicewide or area contracts and ordering agreements. Many of these contracts are included in eBuy and their use is mandatory. To learn more about servicewide and area contracts, visit the Supply Management home page accessible from the USPS® Intranet, and to learn more about eBuy, visit the eBuy homepage (<http://ebuy.usps.gov>). If you have questions regarding servicewide and area contracts, contact your servicing Purchasing Service Center (PSC), the

appropriate CMC, or the National Materials Customer Service (NMCS) in Topeka at 800-332-0317.

## 722.2 Delegations of Authority

### 722.21 General

Delegations of local buying authority, per transaction (which may be redelegated as necessary) are shown below. All redelegations must be in writing.

Amount	Position	Commodity
\$10,000	Officers/Vice Presidents	Supplies, Services, and Capital Equipment
\$10,000	Plant Managers, Processing and Distribution	Supplies, Services, and Capital Equipment
\$10,000	District Managers, Customer Services	Supplies, Services, and Capital Equipment
\$10,000	PCES Postmasters, Supplies and Services	Supplies and Services
\$10,000	Inspectors in Charge	Supplies and Services
\$ 2,000	Postmasters, CAGs A–J, and Vehicle Managers	Supplies and Services
\$ 1,000	Postmasters, CAGs K–L	Supplies and Services

### 722.22 Authority and Transaction Limit

Only individuals delegated local buying authority in writing may make local buys. Unauthorized local buys are subject to the procedures contained in Management Instruction AS-710-1999-2, *Unauthorized Contractual Commitments*. In addition, a single transaction may not exceed an individual's delegated authority. A single transaction may comprise the purchase of a single item or multiple items from a merchant, and is the total of the items being purchased.

### 722.23 Approval Authority

Information on requirements approval authority is contained in instructions updated and issued periodically by the vice president and controller, Finance. Direct your questions regarding this authority to that organization.

## 722.3 Prohibited and Restricted Purchases

### 722.31 Prohibited Purchases

Do not use local buying authority to obtain the following:

- Building or land rental, lease, or purchase.
- Construction services, including facility repairs and alterations (such as repair of elevators, HVAC, switch gear, and other plant systems) valued at \$2,000 or more. Contact Administrative Services at the district or your Facilities Service Office (FSO) for assistance.

- c. Services covered by the Service Contract Act when the requirement exceeds \$2,500 per one-time expenditure or when an office estimates that a particular service provided by the same supplier will exceed \$2,500 per year. Examples are ash, trash, and rubbish removal; snow and ice removal; lawn and grounds maintenance; vehicle washing, polishing, repair, and maintenance; maintenance of elevators, HVAC, and switch gear; window cleaning; and cloth and laundry service. Certain types of maintenance (e.g., calibration and repair of automated data and word processing equipment and office business machines) which are exempt from the Service Contract Act may be purchased from the manufacturer or supplier up to the limits of delegated buying authority. Contact the assigned PSC or applicable CMC for guidance.  
**Note:** Do not use Postal Service purchase credit cards to purchase vehicle washing, polishing, repair, and maintenance. (Reference U.S. Bank/Voyager Fleet Card program.) For more information visit the Supply Management Web site at <http://blue.usps.gov/purchase>, click on *Credit Card User*, and then *eFleet Card System*.
- d. Medical services. Contact the area medical director.
- e. Mail transportation services (includes mail-hauling vehicles).
- f. Requirements for which formal contracting procedures apply. Contact the appropriate Supply Management organization for ordering details. For contract postal units contact the Category Management Center in Denver, for leasing of administrative (non-mail hauling) vehicles contact the Category Management Center in Philadelphia (1–2 day vehicle rentals for special events is allowed), and for food services contact the servicing Purchasing Service Center (PSC).
- g. Professional/technical, consultant, or personal services (contact your servicing PSC or the Professional Services Category Management Team (CMC) and see *Purchasing Manual*, sections 4.5.3 and 4.5.4).
- h. The services of former Postal Service employees (contact your area Human Resources office, your servicing PSC, or the Professional Services CMC).

#### 722.32 Restricted Purchases

Some goods and services are controlled by specific functional areas and may require prior special management approvals before they can be bought under local buying authority. These controls are communicated in manuals, handbooks, management instructions, and memorandums. Carefully review requests for restricted purchases to ensure that appropriate management approvals have been obtained and other policy and procedural issues are addressed. The list below is not all-inclusive but provides some guidelines. (Also see section 722.42 for a discussion of purchases from Postal Service employees and their immediate family members.)

- a. Capital equipment (equipment with a service life of over 1 year, costing \$3,000 or more). You may purchase capital equipment only when authorized by officers, vice presidents, plant managers, and district managers and their direct reports (if delegated local buying authority).

The Postal Service capital purchase card is the only local buying means of purchasing capital equipment. Always check for supplemental capital commitment policies issued by the vice president/controller prior to using the capital credit card.

- b. Hazardous waste clean-up and disposal services. You may obtain these using local buying authority only under one of the following circumstances:
  - (1) Use of local buying has been approved by the area or district environmental coordinator in writing.
  - (2) Use of the Postal Service purchase card is an authorized means of placing delivery orders under a contract or agreement issued by a Supply Management organization. These records must be retained in accordance with federal regulations or contract requirements, whichever is longer. For additional information and guidance, contact:  
  
ENVIRONMENTAL AND MRO CMC  
7800 N STEMMONS FREEWAY STE  
DALLAS TX 75247-4223  
  
TELEPHONE: 800-241-6927
- c. Supplies containing hazardous substances. You may purchase these as approved in Handbook AS-553, *Hazardous Waste Management*.
- d. Computer hardware and software. You may purchase these using local buying authority, but you must check with Information Technology or area contracts and/or local policy governing the items being purchased.
- e. Training/membership fees and dues. You may buy or pay these using local buying authority, subject to the requirements of *Employee and Labor Relations Manual* (ELM), chapter 7.
- f. Employee awards. You may buy or pay these using local buying authority, subject to the requirements of *Employee and Labor Relations Manual* (ELM), section 470. Also see Management Instruction FM-640-2001-1, *Employer Tax Reporting Responsibilities — Conference, Meeting, and Training Session Mementos or Gifts*.
- g. Meals and refreshments. You may purchase these using local buying authority, subject to the guidelines in Management Instruction FM-640-2001-4, *Payment for Meals and Refreshments*.
- h. Employee Personal Events. The purchase and payment of flowers, gifts, and food/refreshments for the purpose of celebrating personal events, retirements, changes in work assignments, and holiday gatherings is generally prohibited. In most instances, these events are not considered to be official Postal Service functions. Limited exceptions to this policy are covered in Management Instruction FM-640-2001-4, *Payment for Meals and Refreshments*. Any other requests for exceptions not covered by this policy must be approved by the responsible requesting officer with concurrence from the vice president/controller; or by the postmaster general, deputy postmaster general, or chief operating officer.

- i. Electrically operated convenience items. Check with your maintenance or building services personnel before buying personal electrically operated convenience items. There are specific electrical and wiring codes and safety standards that must be met.
- j. Printing, copying, and duplicating. Printing, copying, and duplicating policies and procedures are covered in section 37. Before buying these types of products and services, be sure that all policies in this section of the ASM are followed.

#### 722.4 **Standards of Ethical Conduct and Purchases from Postal Service Employees and Their Immediate Families**

##### 722.41 **Standards of Ethical Conduct**

The ethical standards published in Part 2635 of Title 5, *Code of Federal Regulations*, and restated in the booklet *Standards of Ethical Conduct for Employees of the Executive Branch*, apply to all employees of the Postal Service. (This booklet is available from Human Resources offices and Law Department offices, and on the Internet at [www.usoge.gov](http://www.usoge.gov)). Employees delegated local buying authority may seek ethics advice by calling the Law Department's Ethics Helpline at 202-268-6346 or sending an e-mail message to "GC ETHICS INQUIRY" (internal) or [gethics@email.usps.gov](mailto:gethics@email.usps.gov) (external).

##### 722.42 **Purchases From Postal Service Employees and Their Immediate Family Members**

Local buys may not be made from Postal Service employees, their immediate family members, or business organizations substantially owned or controlled by Postal Service employees or their immediate family members. *Postal Service employees* means all Postal Service officers and employees, whether in full-time, part-time, career, or noncareer positions, including specifically persons in temporary positions such as postmaster replacements and rural carrier reliefs. *Immediate family members* means spouse, minor child or children, and individuals related to an employee by blood who are residents of the employee's household.

##### 722.5 **Questionable Purchases and Misuse**

All local buys must be reviewed and approved by the appropriate authority. See Handbook AS-709, *Credit Card Policies and Procedures for Local Buying*, regarding actions to take when a purchase is deemed questionable or misuse is suspected.

##### 722.6 **Procedures**

###### 722.61 **General**

Local buys may be made only under these conditions:

- a. By employees delegated local buying authority in writing.
- b. When requirements cannot be satisfied by other priority sources, including Postal Service excess and eBuy (see section 722.1 for additional information).



- c. With a properly approved purchase request. All employees who have Web access must use eBuy for all requisitions in lieu of a hard copy PS Form 7381, *Requisition for Supplies, Services, or Equipment*.
- d. At the best value for the Postal Service. Best value is obtained by evaluating the price, quality, and any other factor necessary to meet the requester's needs. When prices and other factors are equal, rotate your buys among different merchants when making recurring purchases.

#### 722.62 **Competition and Supplier Identification**

Local buys are not subject to the same regulations as contracts. However, when doing so is cost-effective, solicit suppliers, including small, minority-, and woman-owned businesses, and compare prices before making a local buy. Contact the assigned PSC or area diversity development specialist for sourcing assistance, or see section 333.42 of Handbook AS-709, *Credit Card Policies and Procedures for Local Buying*, for guidance on identifying local small, minority-, and woman-owned business suppliers.

#### 722.63 **Payment**

##### 722.631 **General**

The approved payment hierarchy includes electronic data interchange (EDI) via eBuy, consolidated invoices, and credit cards; payment by the ASC through PS Form 8230, *Authorization for Payment*, or pursuant to Management Instruction FM-640-1999-1, *Payments for Supplies and Services Using the Miscellaneous Disbursement Payment Process Under Local Buying Authority*; and local payment through money orders, cash, and imprest funds.

When operational needs cannot be satisfied through eBuy or other consolidated payment processes approved by Finance, the IMPAC credit card serves as the primary means of buying and paying for day-to-day operational needs under local buying authority.

For noncapital items, when you cannot use eBuy, consolidated payment processes, or the IMPAC card, you may pay by any of the following (preference is listed in descending order):

- a. Submitting an invoice to San Mateo ASC with Form 8230, *Authorization for Payment*; or if at Headquarters or a Headquarters field unit, submitting an invoice to San Mateo ASC in accordance with Management Instruction FM-640-1999-1, *Payments for Supplies and Services Using the Miscellaneous Disbursement Payment Process Under Local Buying Authority*.
- b. No-fee money orders.
- c. Cash. If payment is from the imprest fund, see Handbook F-19, *Accountability of Disbursing Officers*. If a cash-fixed credit is used, see Handbook F-1, *Post Office Accounting Procedures*.
- d. Imprest fund check (if less than \$2,000). For more information on these means of payment see Handbook F-1, *Post Office Accounting Procedures*, and other related finance documents.

**722.632 Advance Payment**

Do not make advance payment under local buying authority, except as described in Management Instruction FM-610-96-1, *Advance Payments*, and Handbook AS-709, *Credit Card Policies and Procedures for Local Buying*.

**722.64 Documentation and Reconciliation**

In accordance with applicable policies and procedures, maintain appropriate documentation to reconcile all local buys. Reconciliation requires verifying that what was ordered was received and was paid at the agreed upon price. You must retain proper documentation (electronic or hard copy) to support this reconciliation process. This typically includes sales and credit receipts, delivery tickets or packing slips, buying logs, capital property records, dispute documentation, and payment records. When capital property is bought with the Postal Service capital purchase card, you must complete PS Form 8162, *Capital Property Record*, and forward it to the San Mateo ASC. Document retention requirements are available in Handbooks AS-709, *Credit Card Policies and Procedures for Local Buying*; AS-701, *Material Management*; and AS-305, *Records Control*; and, when applicable, in *Material Logistics Bulletins* (MLBs).

**722.65 Assistance**

Contact Administrative Services at the district, the assigned PSC, or the Topeka NMCS for guidance on local buying authority or the Postal Service purchase card program. Direct questions about approval authority or non-credit card payment methods to district Finance.

**722.7 Cleaning Services Valued at less than \$10,000**

Local agreements for janitorial services up to \$10,000 per year may be made utilizing a self-employed individual. If the agreement will be for longer than 1 year, PS Form 7355, *Cleaning Agreement*, is used, and a one-page payment agreement is made directly with the St. Louis ASC. If the agreement is for a shorter period, PS Form 8230, *Authorization for Payment*, is used and a copy of the form and the original invoice are sent to the Scanning and Invoice Center, Sioux Falls, SD, ZIP+4, which processes the form and invoice for payment by the relevant ASC.

## 73 Material Management

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**731 Policy****731.1 Purpose and Scope**

Material management is the process of directing and controlling personnel or procedures to accomplish the organizational objectives of providing quality supplies, parts, and equipment in a responsive, cost-effective manner through requirements development, acquisition or repair, property control and disposal, warehousing, distribution, and transportation. In this context,

*material* refers to all material, other than buildings, real estate, mail transport equipment, and mail movement vehicles, owned by the Postal Service — that is, all supplies, repair parts, administrative vehicles, and equipment. Thus, the objective of material management is to provide needed materials to all Postal Service elements at the time of need and at the most reasonable cost. Postal Service material management policy falls under the purview of Inventory Management and Material Distribution and is in Handbook AS-701, *Material Management*, issued by the vice president of Purchasing and Materials. The functions of Inventory Management and Material Distribution are described in 74 and 75.

## 731.2 **Safety and Security**

### 731.21 **General**

A program for the safety and health of personnel and the security of Postal Service property against loss and damage are major prerequisites of sound and efficient material management, in addition to good housekeeping and fire prevention practices. See the *Employee and Labor Relations Manual*; Handbook EL-801, *Supervisor's Safety Handbook*; and current management instructions on these subjects. The safety and security of most items depends on proper storage and handling. Protect material against deterioration from temperature extremes, humidity, dust, insect pests, and other natural phenomena. Conduct periodic inspections to detect deterioration and ensure that proper safety and security measures, including sound care and preservation practices, are being enforced.

**731.22 Safety****731.221 General**

A safety program must be developed and supported at all levels to control hazardous acts and to eliminate unsafe conditions. The objective of this program is to identify and correct unsafe practices and conditions before they cause accidents.

**731.222 Hazardous Commodities**

Hazardous commodities, such as grease, paints, oils, thinners, kerosene, and other flammable liquids require special handling and storage. Make adequate provisions to handle and store these items following OSHA standards and Postal Service regulations.

**731.23 Security**

Enforcement of good security practices is essential to an efficient and economical operation. All material management operations must follow the security instructions in Handbook EL-801, *Supervisor's Safety Handbook*.

**732 Policy Authority****732.1 Vice President of Purchasing and Materials**

The vice president of Purchasing and Materials is responsible for establishing and maintaining national material management policies, programs, and procedures issued in this subchapter, Handbook AS-701, and other Headquarters Purchasing and Materials directives.

**732.2 Manager of Materials**

The manager of Materials, Purchasing and Materials, develops policies and procedures for controlling and managing Postal Service supplies, equipment, parts, administrative vehicles, and inventories under 39 CFR 226.2 and Handbook AS-701. The manager develops and maintains fiscal responsibility of Materials budget activities.

**732.3 Manager of Material Distribution**

The manager of Material Distribution, Purchasing and Materials, develops Postal Service warehousing, freight transportation, and distribution policies and procedures, which are in 39 CFR 226.2 and Handbook AS-701.

**733 Other Responsibilities****733.1 Manager of Field Customer Support**

The manager of Field Customer Support, Purchasing and Materials, provides technical guidance and support to 10 area purchasing and materials service centers to promote the consistent application of material management policies and procedures in all field sites. The manager of Field Customer Support also serves as liaison between field offices and Headquarters Materials activities.

**733.2 Managers of Purchasing and Materials Service Centers**

The managers of purchasing and materials service centers provide technical guidance and support to the district, Headquarters field units, and other field material management personnel in their respective geographic areas. They also perform the following material management functions:

- a. Provide support to systems implementation.
- b. Perform customer assistance visits.
- c. Maintain inventory management and Excess Serviceable Equipment List (EXSEL).
- d. Manage data gathering, reporting, and analysis for performance measurement.
- e. Schedule, identify, and forecast requirements.
- f. Provide employee development training in material management functions.

**733.3 District Material Management Specialists**

District material management specialists implement material management policies and procedures in customer service offices, processing and distribution plants, stations, branches, and post offices within their respective geographic areas.

**734 Other Postal Personnel Responsibilities****734.1 Material Accountability Officers**

All facility and activity managers have material accountability for all assets within their facility. As such, they are designated as material accountability officers responsible for the security and proper use of postal property under their jurisdiction. This authority may be delegated, in writing, to other postal employees, but the responsibility remains with the manager.

**734.2 Postal Managers and Supervisors**

Postal managers and supervisors at all levels must actively support and promote the Postal Service material management program. Although technical direction and coordination of material management flows from Headquarters Inventory Management and Material Distribution, implementation of all material management matters is vested in the person having material management responsibility at each facility and level.

**734.3 Postal Employees**

All postal employees must protect and maintain Postal Service material. This individual responsibility applies to material for which the employee has direct functional responsibility and includes all material recognized as Postal Service property.

## 74 Inventory Management

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### 741 Purpose and Scope

The Postal Service uses a 2-level material management system to provide life-cycle support to postal equipment and operations:

- a. *Wholesale*. This system includes inventory management, distribution, transportation of inventories, and direct distribution supporting the entire Postal Service customer community.
- b. *Retail*. This system includes inventory management, distribution, and transportation of inventories held to support users' operations, sales, and/or to resupply specific activities in specific geographic areas.

### 742 Wholesale Inventory Management

#### 742.1 General

The wholesale inventory management process consists of the management of all Postal Service supplies, repair parts, equipment assets, and related services. The wholesale inventory management function is centrally controlled by Materials. Six inventory management functions develop and carry out national inventory management policies and procedures. They are described in the following sections and listed below:

- a. Inventory Control.
- b. Inventory Support.
- c. Automation Programs.
- d. Supplies and Equipment Programs.
- e. Inventory Management Plans and Programs.
- f. Logistics Programs.

#### 742.2 Inventory Control

Inventory Control has the following responsibilities:

- a. Overall responsibility for managing life-cycle support of all items of supply in direct support of area offices.
- b. Meets customer goals and expectations while optimizing inventory investment and support alternatives.
- c. Maintains responsibility for material availability in all phases of the Life-Cycle Planning Process to support nationally fielded systems and equipment.
- d. Sets authorized stockage limitations for supplies, repair parts, and equipment and monitors the development of authorized allowance quantities of postal material, in coordination with the office of primary responsibility (OPR) for various Postal Service functions. This responsibility extends to the wholesale and retail (material distribution centers and field) inventories.

- e. Plans for and implements strategies for the phase down and disposal of nationally fielded systems.
- f. Identifies and manages assets for Direct Vendor Delivery (DVD).

### 742.3 **Inventory Support**

Inventory Support has the following responsibilities:

- a. Provides technical services and systems in support of inventory management to internal and external customers.
- b. Models the provisioning process, working closely with Inventory Control, other postal organizations, and equipment manufacturers to provision new systems and spares support in an accurate and timely manner at the best cost to the Postal Service.
- c. Reviews usage data to provide accurate forecasting data to Inventory Management.
- d. Establishes and maintains a central technical data management system. Assigns national postal stock numbers (PSNs) for the control and standardization of supplies, repair parts, and equipment in national catalogs. Coordinates with Defense Logistics Supply Center to get national stock number (NSN) identification.
- e. Serves as the focal point and interface for the integration of technical data to other postal organizations, government agencies, and suppliers.
- f. Ensures the technical adequacy of replenishment and packaging specifications.
- g. Ensures that contractual requirements are met on replenishments. Performs preaward and postaward surveys, quality audits, and first article and source inspections.
- h. Ensures compliance with inspection, calibration, and sampling procedures.
- i. Provides internal customer support through analysis of operational needs and the development of cost-effective, systematic solutions to communication and/or information systems-related problems. Provides operational data and analysis for decision making. Develops and implements new internal applications.
- j. Publishes national catalogs in multimedia format for ease of use by all customers.
- k. Conducts a National Review Board (NRB) to determine disposition of nonfunctional material.

### 742.4 **Automation Programs**

Automation Programs has the following responsibilities:

- a. Supports Inventory Management logistics functions during the acquisition phase of major equipment to ensure the highest possible availability of that equipment.

- b. Works with the inventory control and support teams to plan for material support through active participation in the Modification and Test Agreement (MTA), the Decision Analysis Report (DAR), and the Statement of Work (SOW) process.
- c. Identifies and tracks all new postal automation programs under consideration at Headquarters that might require repair parts support.
- d. Provides general Inventory Management program overview for automation programs from concept definition phase through the preparation of the SOW.
- e. Establishes initial support program plans for repair parts support for automation programs.
- f. Develops and manages studies and programs directed at improving the overall inventory investment, accountability, and control of Postal Service items of repair parts.
- g. Ensures that all statements of work are developed with maximum supportability in mind.
- h. Serves as liaison between other Headquarters functions and the logistics teams (Inventory Control and Support) in Topeka.

#### 742.5 **Supplies and Equipment Programs**

Supplies and Equipment Programs has the following responsibilities:

- a. Coordinates among the requiring organizations and Purchasing and Materials in the development of support strategies to best satisfy customer requirements for each approved program and project. Assists customer organizations in introducing new items into postal use.
- b. Researches and implements alternative support methods to provide responsive cost-effective customer support while reducing inventory holdings.
- c. Reviews new and existing postal-unique equipment and supplies and seeks alternative commercial items acceptable to the user.
- d. Assists Inventory Control and customer organizations in developing phase out and disposal procedures for items of supply and equipment that are obsoleted by the implementation of new programs.
- e. Establishes liaison with the General Services Administration (GSA) and Defense Logistics Agency (DLA) to improve wholesale and retail inventory support.
- f. Develops and manages studies and projects directed at improving the overall inventory investment, accountability, and control of Postal Service items of supply and equipment. Applies value chain approaches to optimize customer support.
- g. In support of *CustomerPerfect!*, implements postal direction to reduce overhead costs through electronic commerce.
- h. Works with Material Management at the purchasing and materials service centers and field levels to develop and execute process which ensures national requirements are satisfied in a timely manner.



- i. Coordinates Purchasing and Materials support to field retail operations.

#### 742.6 **Inventory Management Plans and Programs**

Inventory Management Plans and Programs has the following responsibilities:

- a. Develops, maintains, and interprets material management directives. Designs and manages special programs and studies to support inventory management objectives.
- b. Develops material management plans and coordinates the implementation of near-, mid-, and long-term inventory management plans and programs.
- c. Develops directives, particularly policy statements in Handbook AS-701, *Material Management*.
- d. Serves as focal point for interpreting Postal Service material management policy and implementing the procedural constraints reduction program.
- e. Guides the development of mid- and long-term inventory management goals and objectives so that they are supportive of the overall Postal Service's 5-year planning.
- f. Reports on material management planning process and advises when goal changes are necessary to respond to functional business changes.

#### 742.7 **Logistics Programs**

Logistics Programs has the following responsibilities:

- a. Issues and maintains management instructions, circulars, material logistics bulletins, and other publications and directives in support of the Inventory Management function.
- b. Coordinates the development and management of training courses and manages a career development program for material managers throughout the Postal Service.
- c. Coordinates activities that support the entire Inventory Management system.
- d. Assists Inventory Management functional areas to develop customer-driven performance measurement standards to establish baseline for benchmarking to private and government material management functions.
- e. Measures performance of functional groups and provides feedback to management.
- f. Develops FEDSTRIP policy and procedures and processes Headquarters and Headquarters Field Unit FEDSTRIP requests. Coordinates new or revised FEDSTRIPs with Material Distribution and with GSA for military postal units.
- g. Coordinates the integration of asset control and accountability into existing MIS support programs.

- h. Establishes the criteria and administers the Material Management Professional Certification Program.
- i. Manages the Materials Intranet home page and the Materials presence on the Internet.

## 743 Retail Inventory Management

### 743.1 General

All Postal Service installation heads and activity managers are accountable for the material that they stock, sell, and use to carry out their assigned duties. Therefore, they must maintain accurate and auditable accountable material records that reflect the quantity, location, and other specified descriptive data for each item. The installation head or activity manager may delegate this duty in writing to a material accountability officer. This employee must follow all material management principles and practices to eliminate numerous requisitions to the same source of supply. Installations and activities may not establish material distribution functions that parallel or duplicate the role of the material distribution centers; that is, receiving, storing, and shipping supplies, repair parts, or equipment for other installations, except as described in Handbook AS-701 or as approved by the appropriate supervisor or manager.

### 743.2 Centralization of Facilities

#### 743.21 General

To the extent possible, establish central supply rooms, repair parts stockrooms, and equipment storage areas at postal facilities to store commonly used supplies, repair parts, and equipment. When establishment of a central facility is impractical, control supplies, repair parts, and equipment in one location to prevent overordering and fragmentation of available supplies, repair parts, and equipment.

#### 743.22 Supply Rooms

Supply rooms maintain stocks of commonly used supplies, including copies of the appropriate directives and forms listed in postal and federal catalogs. Minimum stock levels for these items must be adequate to support all administrative and operational functions.

#### 743.23 Repair Parts Stockroom

Repair parts stockrooms maintain reparable, repair parts, tools, bench stock, and supply items. Repairable and repair part items are listed in Publication 112, *National Electronic Catalog*, on CD-ROM. Some items are locally procured and assigned a local catalog number. Locate the parts room to provide a readily available source of parts to the maintenance activity supported.

**743.24 Equipment Storage Areas**

Equipment not currently installed or in regular use is stored in selected areas that provide maximum control and security. These areas also provide protection from theft, damage, or other loss. Do not place equipment in storage without first determining its serviceability. Never place unserviceable equipment in storage. Repair as soon as possible any unserviceable equipment that can be restored. Dispose of unserviceable equipment that cannot be economically restored.

**743.3 Inventory Management**

The Inventory Management function develops guidelines and procedures governing the receipt, custody, use, and disposal of inventory items for retail use. These guidelines require all Postal Service activities to maintain records documenting on-hand quantities, use, and disposition of accountable material and all supplies, repair parts, and equipment. These procedures must reflect a separation of duties, i.e., personnel that receive and issue stock may not be the same employees that certify invoices for payment or conduct inventory counts. If accurately maintained, these records can be used effectively to manage the inventory and easily determine stock on hand and usage patterns. Designated personnel at each installation are accountable for these records. Material management personnel are accountable for controlling the supplies, repair parts, and equipment stored in these areas. Material must not be placed in, or removed from, these areas without the approval of the responsible person.

**743.4 Physical Inventories**

Store assets in use to ensure accountability, ease of access, and physical security.

**743.41 Supply Rooms and Repair Parts Stockrooms**

Inventories of Postal Service material must be conducted so that physical on-hand quantities are accurately recorded and reflected in inventory records. Schedule inventory counts so that inventory counting teams can easily and accurately count the items. Post the results of the counts to the appropriate inventory and financial records immediately after the counting or after the reconciliation of any differences. Follow the frequency schedules in Handbook AS-701.

**743.42 Equipment Storage Areas**

To ensure appropriate accountability of Postal Service equipment, Postal Service activities must maintain records documenting its assignment, use, maintenance, and eventual disposition. Central records also must be maintained for the entire Postal Service capital property inventory. Each installation must conduct a complete physical inventory of its capital property every 3 years (see Handbook AS-701 for schedule). Location audits are conducted as separate audits under the overall physical inventory program before any physical inventory activity.

**743.5 Stock Operating Levels****743.51 General**

Inventory operating levels must be determined to support targeted service level requirements (i.e., the cost to provide the service versus the cost of not providing service).

**743.52 Supply Rooms**

See Handbook AS-701 to determine required stock levels for the various types of facilities.

**743.53 Repair Parts Stockrooms**

Plant maintenance offices, bulk mail centers, and vehicle maintenance facilities maintain inventory levels according to repair parts catalogs; Handbooks AS-701, *Material Management*; PO-701, *Fleet Management*; and MS-63, *Maintenance Operations Support*.

**743.54 Equipment**

See Handbook AS-701 to determine required stock levels for the various types of facilities.

**743.55 Exceptions****743.551 General**

The only exceptions to the maximum stock levels established in Handbook AS-701 are insurance items (i.e., components, subassemblies, or assemblies not normally considered repairable, but stocked as insurance against a lengthy shutdown of equipment).

**743.552 Repairables**

Repairables are repair parts that are more time- and cost-effective to repair than to dispose of and replenish. Inventory Management is responsible for the approval and management of repairables. Field managers are responsible for local management of repairables and for timely delivery to designated repair sites. Timely actions, including repairs, are essential to minimize the number of assets in the support process.

## 75 Material Distribution

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**751 Purpose and Scope**

The manager of Material Distribution is responsible for developing overall material warehousing, distribution, and transportation policy. Material Distribution consists of planning and implementing warehousing and freight transportation policy for the entire Postal Service distribution network. Material Distribution negotiates tender rates, maintains tenders, and provides technical direction to Headquarters and field personnel regarding freight traffic management. In addition, Material Distribution mandates the systems

and procedures that must be used for warehousing and freight transportation of Postal Service material.

## 752 **Material Distribution**

Material Distribution is responsible for warehousing and transportation of material throughout the Postal Service. These responsibilities include:

- a. Determining the best mix of private and for-hire modal services to support optimization of distribution network costs.
- b. Exercising control of the entire material distribution channel from vendor to ultimate user, delegating authority for specific transportation and warehousing functions to other organizations where appropriate.
- c. Protecting Postal Service in-transit and in-warehouse assets from loss, theft, or damage and insuring their full capacity until received by users.
- d. Planning and implementing national distribution networks for all material, periodically evaluating Postal Service material distribution requirements, and realigning networks to satisfy needs cost-effectively.
- e. Overseeing national, area, and local freight transportation and warehousing functions and providing field staff with training and planning support.

### 752.1 **General**

Seven functions within Material Distribution develop and carry out national material distribution policies and procedures. They are described in the following sections and listed below:

- a. Material Distribution Systems (MDS).
- b. Warehousing Systems.
- c. Material Distribution Centers (MDCs).
- d. Label Printing Center (LPC).
- e. Non-Mail Handling Vehicles (NMHVs).
- f. Materials Customer Service (MCS).
- g. Mail Equipment Shops (MES).

### 752.2 **Material Distribution Systems**

Material Distribution Systems (MDS) is responsible for developing and monitoring transportation policy for the overall distribution network. MDS is responsible for national freight transportation policy, including negotiating rates, maintaining tenders, and providing technical direction to Headquarters and field personnel. All individuals responsible for shipping Postal Service material must follow procedures contained in Handbook AS-701, *Material Management*. MDS also establishes materials freight traffic management policies, which includes the following responsibilities:

- a. Acts as liaison with the General Services Administration (GSA) for procedures governing the issuance of Government Bills of Lading (GBLs) and the use of the GSA Standard Tender Service.
- b. Establishes policies and guidelines for satisfying Postal Service internal freight and small parcels transportation service requirements.
- c. Defines traffic management processing system functional requirements and supports implementation and use of standardized systems.
- d. Manages freight carrier selection and establishes appropriate performance standards.
- e. Ensures cost-effectiveness of contracts through FOB origin analysis.
- f. Monitors payment processing and auditing of freight transportation invoices.
- g. Facilitates transition from paper-based to electronic freight information exchanges between USPS, suppliers, and carriers.

### 752.3 Warehousing Systems

Warehousing Systems has the following responsibilities:

- a. Developing plans, policies, and programs to support national warehousing needs.
- b. Recommending sites for distribution centers and warehouses.
- c. Managing the development and implementation of the national material distribution network.
- d. Recommending material handling equipment and storage aids to improve warehousing operations.
- e. Controlling the distribution channel from vendor to user, delegating warehousing functions to other organizations as appropriate.
- f. Maintaining inventory of national warehousing space for supplies, parts, and equipment.
- g. Developing warehousing requirements for management information systems.
- h. Approving stockroom design and layout with Headquarters Facilities for new and modified facilities.

### 752.4 Material Distribution Centers

The Postal Service operates warehouses, called *material distribution centers* (MDCs), in established geographical areas. Inventory assets are positioned in the MDCs according to the demand created by response time, cost of distribution, and the need to meet assigned customer service levels (see Handbook AS-701).

**752.5 Label Printing Center**

The Label Printing Center (LPC) prints and distributes tray, sack and pouch labels, facing slips, and other printed materials used in mail processing operations of the Postal Service and for government agencies and commercial mailers (see Handbook PO-423, *Requisitioning Labels*). The LPC is not part of the wholesale material inventory system and does not stock supplies, repair parts, or equipment. Its specific functions include:

- a. Filling of customer requisitions.
- b. Preparing pressure-sensitive and non-pressure-sensitive labels for mail processing requirements.
- c. Distributing printed labels.

**752.6 Non-Mail Handling Vehicles**

It is Postal Service policy to centrally acquire all non-mail handling vehicles (NMHV). Requisitions for all postal requirements are centrally submitted to Material Distribution (MD) at Headquarters for processing with the central acquisition office, currently the General Services Administration (GSA). MD processes all requirements, develops standardized specifications, and arranges the order filling process through receipt and payment. MD is also responsible for:

- a. Coordinating the ordering, procurement, receipt, and payment of all postal NMHVs.
- b. Standardizing NMHV requirements to obtain best value.
- c. Developing and coordinating specifications on NMHVs.
- d. Serving as central point of contact with field, Headquarters, and GSA for acquisition of NMHVs.
- e. Maintaining oversight of the NMHV budget.

**752.7 Materials Customer Service**

Centralized customer service is a national function performed under administration of the Manager of the Topeka Material Distribution Center (MDC). The Topeka MDC operates a call center for customer inquiries and concerns and provides support to Process Management by providing data on National Indicators. It responds to customer support concerns and analyzes and evaluates issues for appropriate action.

**752.8 Mail Equipment Shops**

Mail Equipment Shops (MESs) manufacture Postal Service sacks, pouches, keys, and locks used servicewide in support of mail processing and customer service activities.

## 753 **Storeroom Management**

### 753.1 **Leased or Rented Space or Services**

Material Distribution must approve the requirements before warehouse facilities are leased or rented from contractors for the storage of supplies, repair parts, or equipment held in Postal Service inventories anywhere in the Postal Service distribution system. This ensures that unused space is used to the fullest extent possible (see Handbook AS-701 for reporting procedures). Managers must plan and lay out all warehouse and storage space to support the activities of receiving, storing, and packing material; planning for shipment; and for doing the administrative functions necessary for the smooth, quick, and cost-effective handling of material (see Handbook AS-701).

### 753.2 **Receiving, Storing, and Issuing**

#### 753.21 **General**

Receiving, storing, and issuing of material are the primary functions of any storeroom or warehouse operation, such as Postal Service supply rooms, repair parts stockrooms, and equipment storage areas. These functions are common to local facility functions as well as the MDCs. All Postal Service storeroom and warehouse activities must have designated receiving, storing, and issuing points staffed and operated by trained, designated receiving personnel. Responsibility is exercised through Material Distribution and implemented through inventory management channels. Facility managers are responsible for implementing and administering the policies and procedures in this section.

#### 753.22 **Material Acquisition Management**

It is Postal Service policy to make available high usage and critical material through MDCs, GSA Customer Service Centers or depots, Federal Supply Schedule Contracts, other federal wholesale systems, Postal Service contracts and agreements, and other acquisition methods such as credit cards and system/EDI contracts.

#### 753.23 **Due-In Management**

Supply room, stockroom, and storage area managers must establish and maintain an active program for monitoring stock replenishment due-ins.

#### 753.24 **Back-Order Management**

Requisitions that cannot be filled from on-hand stocks must be back ordered. Information on these orders must be established and maintained for all items that are normally carried in stock and for which a requisition quantity cannot be filled from material on hand.



**753.25 Excess Serviceable Material Management**

It is Postal Service policy to use excess serviceable material, when cost-effective, as a first source of supply in meeting Postal Service needs. (Procedures for reporting excess material are in Handbook AS-701.)

**753.26 Disposal Management**

It is Postal Service policy to promptly dispose of material that is unserviceable, obsolete, or surplus to national needs. Procedures, including authorities and methods, are in Handbook AS-701. In determining the methods of disposal, responsible personnel must consider all the facts of the particular situation, including, but not limited to, the nature, quantity, environmental impact, and condition of the material. Whenever possible, consider recycling items that can no longer serve their original purpose. All disposal actions must serve the best interest of the Postal Service (see Handbook AS-701).

**753.3 Processing Requisitions****753.31 General**

Issue supplies, repair parts, and equipment by signed written requests. Provide supply clerks with a list of persons authorized by the facility head to sign these requests.

**753.32 Exceptions**

Except for certain commonly used and inexpensive items, all repair parts issued must be charged to a specific work order, route sheet, or shop function (e.g., general repair shop or custodial). Items must be issued and returned by a signed request from the mechanic.

**753.4 Locator Systems**

Employ a stock locator system in each type of storeroom to enable employees to locate items without personal knowledge of the storeroom layout. Use the locator system for all receiving, stocking, inventory, and issues.

**753.5 Emergency Issues**

Establish provisions for emergency issues to ensure that postal operations are not hampered by a lack of materials.

**753.6 Shelf Life**

Pay particular care to items that have a specific shelf life (e.g., rubber bands, ink, rubber stamps). Issue older items in this category first to avoid spoilage or deterioration.

**753.7 Primary Source**

Order all repair parts that are available through the MDCs as instructed in Publication 247, *Supply and Equipment Catalog* (for supplies and equipment); and Publication 112, *National Electronic Catalog*, on CD-ROM (for mail processing and customer services equipment).

**753.8 Hours****753.81 General**

Supply rooms and equipment storage areas must maintain a schedule of hours when materials are issued. Establish provisions for emergency withdrawals during nonoperating hours to ensure that postal operations are not hampered by lack of supplies.

**753.82 Repair Parts Stockroom**

Repair parts stockrooms must maintain a schedule of hours consistent with support of operations in the facility.

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# 8 Information Resources

## 81 Policy

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The Postal Service information and information technology infrastructure are designed and maintained as shared corporate resources.

Information Systems, in consultation with key Engineering and Technology groups and sponsors, manages these assets and develops the standard specifications and processes that define the postal computing environment and allow it to be shared. Sharing and reuse of the technology and information infrastructures accomplish the following:

- a. Lowers overall costs.
- b. Enhances interoperability of applications.
- c. Facilitates rapid deployment of business applications.
- d. Facilitates reengineering of older processes.
- e. Ensures consistent levels of technical support.

## 82 Enterprise Architecture

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### 821 Definition

Enterprise Architecture (EA) is a high-level or general view of an enterprise that conveys an overall understanding of its various components and how these components interrelate. It describes the logical business, application, and data reference points for planning and developing global business solutions. This framework is integrated with the technical infrastructure of the postal computing environment (see Handbook AS-820, *Postal Computing Environment*). EA guides initiatives for the most effective storage, access, management, and control of information resources to:

- a. Collect information once and use it often.
- b. Deliver the right information to the right person at the right time.
- c. Prevent the collection of unnecessary information.

## 822 **Components**

EA includes the following:

- a. *Business Architecture* is defined as the core business procedures and processes of the enterprise at any level necessary to provide the requirements for a business solution supporting the Postal Service mission. Included within this domain are the necessary business drivers such as vision, guiding principles, mission, goals, objectives, and indicators.
- b. *Data Architecture* models a high-level view of the postal data resources, including the Enterprise Data Warehouse.
- c. *Application Framework* describes the logical application framework serving as the corporate model for developing global technical solutions. See subchapter 83, Application Development, for implementation of this concept.
- d. *Technology Architecture* describes the supporting infrastructure of the EA business solution, including the Infrastructure Tool Kit (see web site <http://itk.usps.gov> and Handbook AS-820, *Postal Computing Environment*). The enterprise architecture provides the means to integrate the business, data, and application architectures with the technology infrastructure base.

## 83 **Application Development**

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### 831 **Integrated Business Systems Solutions**

Integrated Business Systems Solutions (IBSS) in Information Systems:

- a. Manages the business systems investment analysis, business strategy determination, and independent review and assessment of new business systems solutions.
- b. Coordinates the national management of information technology development and maintenance resources and recommends program resourcing options.
- c. Provides operational day-to-day oversight to the IBSS centers and portfolio management functions.
- d. Manages enterprise-wide information technology projects.

### 832 **Business Organizations**

Postal Service business organizations proposing technological solutions to business problems should:

- a. Consult with IBSS during the planning stage to determine:
  - (1) The possibilities offered by the current shared computing environment, both information technology and data.
  - (2) The impact on the evolving shared computing environment of added equipment, capacity, software, or data.

- (3) The standard specifications and processes within which to operate to ensure a workable and common solution.
  - (4) The requirements for operation and support of the fully implemented system.
  - (5) The best allocation of Headquarters, field, and/or contractor resources.
- b. Develop and implement applications, either with or without contract assistance, and coordinate integration testing with IBSS.
- c. Develop and coordinate with IBSS the plans to deploy, operate, and support new applications until deployed and running routinely.

## 84 Business Information

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### 841 General

The definition, collection, and storage of data and text are managed so that they can be integrated for use in a variety of business applications. The business information infrastructure forms the information base that supplies data for Postal Service applications, products, and services.

### 842 Data Policy

Data is managed as a key corporate resource to maintain data integrity, standardization, accessibility, and security throughout the Postal Service. The following are basic components of the postal data policy:

- a. *Applicability of Data Policy.* This data policy encompasses all Postal Service systems of records, information systems (both automated and manual), and forms, and applies to all field and Headquarters organizations.
- b. *Definition of Data.* The Postal Service has adopted the American National Standard Institute definition of data, which is: "Data is a representation of facts, concepts, and instructions in a formalized manner suitable for communication, interpretation, or processing by human or automatic means."
- c. *Data Management.* The vice president of Information Systems is the Postal Service chief information officer and assigns data stewardship. The enterprise architect, Integrated Business Systems Solutions (IBSS), is responsible for ensuring effective data management within the Postal Service.
- d. *Data Ownership and Stewardship.* Data is managed as a shared resource among Postal Service organizations. While data is not owned by any one organization, a particular organization (e.g., Customer Relations) exercises stewardship of specific data. Data is assigned to an organizational entity (called primary data organization) for stewardship. For further information on data stewardship, refer to MI AS-830-93-4, *Data Stewardship*. This stewardship entails

responsibility and accountability for ensuring the clear definition of the data and compliance with established directives. Responsibility and accountability require that:

- (1) Relevant data for reporting, planning, controlling, and operating Postal Service activities is captured.
  - (2) Stored data is complete, current, and accurate.
  - (3) Maximum availability and reusability of the data are attained consistent with data location, economic justification issues and Postal Service policies of privacy, security, disclosure, retention, and audit.
- e. *Secondary Users.* Organizations that use another organization's data are called secondary user organizations, or secondary users. Secondary users may use existing data when access is approved, but may not alter or delete primary data unless specifically authorized to do so by the primary data organization (see MI AS-830-93-4). Information Systems or the primary data organization will notify secondary users of changes to primary data that may affect secondary data use.
- f. *Security Administration.* Refer to ASM section 872 for information on data security responsibilities.

## 843 **Text Policy (reserved)**

# 85 **Information Technology Management**

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## 851 **General**

The Information Technology (IT) organization is responsible for the overall management within the Postal Service of plans and standards to create applications, run computing operations, offer shared services in a common IT infrastructure, and exchange information with customers, suppliers, and other business partners.

## 852 **Information Technology Architecture and Engineering**

Information Technology Architecture and Engineering (ITAE) is responsible for translating business strategies and requirements into an IT vision, strategies, and an integrated architecture. The combined vision, strategy, and architecture drive the policies and procedures required to realize the Postal Service's business goals. Specific ITAE responsibilities include:

- a. Developing and evolving a vision that supports postal business strategies.
- b. Developing corporate plans and strategies to realize the vision.
- c. Evolving and maintaining an integrated architecture for postal business, applications, data, security, and technology.

- d. Developing and managing multi-year corporate investment plans.
- e. Developing, updating, and maintaining design rules and standards.
- f. Developing, updating, and maintaining policies, procedures, processes, and practices.
- g. Defining specifications and requirements for new and enhanced services and infrastructure components.
- h. Managing an active assessment program.
- i. Managing the IT Lab.

### 853 **Application Technology Engineering**

The responsibilities of Application Technology Engineering include:

- a. Translating business strategies and requirements into appropriately engineered technology.
- b. Maintaining an enterprise view in technology infrastructure that enables applications to be consistently designed, built, deployed, and maintained while achieving superior customer satisfaction.
- c. Ensuring interoperability within the Postal Service and between the Postal Service and customers' and suppliers' enterprises.

### 854 **Information Technology Provisioning**

The responsibilities of Information Technology Provisioning include:

- a. Developing provisioning strategies for postal services, components, and products.
- b. Coordinating the award of national sourcing agreements for postal services, components, and products.
- c. Managing corporate licenses and corporate-wide IT accounts, including disbursement of funds to provisioning contracts, such as Acquisition of Desktop Extended Processing (ADEPT), Microcomputer Software Acquisition Project (MCSWAP), or Managed Network Services (MNS).

## 86 **Computing and Telecommunications Systems**

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### 861 **General**

Information Systems provides operational services and support including:

- a. Providing centralized support for certifying and deploying distributed systems.
- b. Providing centralized telecommunications planning, engineering, provisioning, and managing services required by postal business.
- c. Operating large computing centers.



## 862 **Distributed Systems Certification and Deployment**

Distributed Systems Certification and Deployment (DSCD) facilitates the integration of commercial-off-the-shelf (COTS) products and national postal applications in NT, Netware, UNIX, and stand-alone environments. This is accomplished through:

- a. Testing, certifying, and piloting hardware; COTS; and national postal applications.
- b. Deploying COTS and national postal applications.
- c. Providing ongoing support for hardware and COTS software.
- d. Providing interoperability testing to ensure the application is compatible with currently deployed applications.
- e. Coordinating an implementation plan with field Information Systems staff.
- f. Ensuring timely distribution and implementation of systems to the field.
- g. Preventing unintentional distribution of incompatible or corrupted software.

### 862.1 **Development and Support**

When requested by sponsoring organizations, DSCD — through the development and support process — also assumes responsibility for user-developed systems to:

- a. Bring user-developed systems into conformance with the necessary technical and documentation standards.
- b. Clarify funding and support processes.
- c. Perform necessary maintenance and future enhancements.

### 862.2 **Certification Process**

In most cases, the certification process is completed within 2 weeks for stand-alone PC applications and 4 weeks for PC/LAN applications.

### 862.3 **Development and Related Services**

DSCD provides services related to development including:

- a. Planning.
- b. Budgeting.
- c. Technical and network support.
- d. Initiating development.
- e. Testing.

### 862.4 **Existing Information Systems**

In support of existing Postal Service information systems, DSCD provides:

- a. Evaluation services.
- b. Enhancements.

- c. Support planning.
- d. Maintenance.

#### 862.5 **Implementation Services**

In support of information systems implementation, DSCD provides:

- a. Cost analysis of deployment options.
- b. Procurement requirements, strategy consultation, and assistance.
- c. Site surveys.
- d. Coordination of telecommunications requirements.
- e. Site preparation.
- f. Staging of hardware.
- g. Preloading of software.
- h. Assembly of all components.
- i. Lab testing of final configurations.
- j. Certification of application configuration and performance.
- k. Physical deployment or implementation.
- l. Property accounting and inventory management.
- m. Integration testing.

#### 862.6 **Electronic Messaging Network**

The Electronic Messaging Network (EMN) provides a vital link between the Postal Service and the public business community. It allows distribution and dissemination of postal information to support private sector business information requirements through:

- a. Engineering and integration of products as they relate to electronic messaging.
- b. Developing, testing, and maintaining a national message platform for the Postal Service.
- c. Developing and maintaining a national directory for the Postal Service and private sector end users.
- d. Developing, testing, and maintaining the mobile platform to support the Postal Service remote management requirements.
- e. Monitoring the national hub volume throughput and availability to end users.
- f. Maintaining an interface or bridge to various messaging switch platforms in support of the national infrastructure.
- g. Providing a technical liaison, problem analysis and resolution in support of the national user community.
- h. Providing Internet electronic messaging access.

**862.7 UNIX Engineering**

UNIX Engineering supports internal postal organizations by supplying services ranging from engineering platform architectures to process solutions. The services are provided as:

- a. Engineering, integrating, and maintaining hardware and system software products for a national UNIX computing infrastructure.
- b. Engineering and integrating UNIX architecture solutions for national applications and operations.
- c. Developing, testing, and maintaining processes for centralized and remote management of UNIX operations.
- d. Developing and implementing certification processes for hardware, system software, COTS, and custom applications deployed in the national UNIX infrastructure.
- e. Providing a technical liaison, problem analysis, and resolution in support of the national UNIX infrastructure.
- f. Providing a technical liaison for UNIX engineering analysis in support of postal organizations responsible for business solution architectures.
- g. Working with Computer Operations Service Centers (COSC) to maintain consistency within the national UNIX infrastructure.

**863 Telecommunications****863.1 Telecommunication Services**

Telecommunication Services (TS) located in Raleigh, North Carolina, is responsible for engineering, managing, and operating — in partnership with various contractors — the Postal Service national telecommunications voice, video, data, satellite, and wireless communications networks.

**863.11 Service Providers****863.111 Managed Network Services**

The primary service provider for all corporate data communications is MCI/Worldcom (MCIW), through the award of the Managed Network Services (MNS) contract. The MNS contract supports data communications and will initially connect 7,000 of the largest postal sites via a dedicated TCP/IP Intranet, joining retail and delivery offices. TS and MCIW are currently expanding the Intranet, called the Postal Routed Network (PRN). When this network is complete, it will be one of the largest intranets ever built. This Intranet is managed by the MCIW Network Operations Center (NOC) in Raleigh, North Carolina.

**863.112 Voice Communications**

Voice communications service for as many as 350 large postal facilities is supported by the FTS2000 contract. An optional voice contract with Sprint One supports smaller postal facilities.

**863.12 Responsibilities**

Responsibilities include:

- a. Identifying and implementing telecommunications programs in the field.
- b. Administering the national telephone system acquisition program.
- c. Providing technical support on telecommunications matters nationally and to the field for the acquisition of telephone systems (including ancillary components, voice response, and paging systems), connectivity to national networks, and assistance in identifying and implementing telecommunications solutions.
- d. Maintaining a centralized registration service for network devices requiring telecommunications identifiers.
- e. Acquiring satellite, wireless, or microwave telecommunications systems.
- f. Providing approval and logon IDs for postal dial-up connectivity to PRN (via the MNS contract).
- g. Preparing nationwide provisioning agreements for acquisition of equipment and services.
- h. Managing Postal Service radio frequency usage.
- i. Providing access to FAXbroadcast service.
- j. Providing audio conferencing service.
- k. Approving the installation, modification, or removal of the following:
  - (1) Telephone systems involving one or more instruments.
  - (2) Video-teleconferencing or other teleconferencing systems, satellite, or microwave systems and equipment.
  - (3) Network access circuits, PRN connectivity (via the MNS contract), FTS2000 circuits, interstate or intrastate 800 numbers.
  - (4) Radio systems or subsystems and new frequency assignment or change of existing frequency assignments.
  - (5) Universal wiring projects.

**863.2 District Manager**

The district manager, through the information systems manager at the district, manages voice, video, facsimile, and data telecommunications systems within a geographic boundary including processing and distribution installations.

**863.21 Information Systems Manager, District**

The information systems manager at the district is responsible for:

- a. Managing the operation and implementation of voice, video, facsimile, and data telecommunications systems within a geographic boundary.
- b. Requesting the installation, modification, or removal of the following
  - (1) Telephone systems involving one or more instruments.
  - (2) Automatic call distribution (ACD) and voice response systems, station message detail recorders (SMDR), and public address systems.
- c. Approving the installation, modification, or removal of the following:
  - (1) Walkie-talkie-type radio systems, facsimile services, beepers/pagers, internal/external modems for PC desktops and laptops, speakerphones, stand-alone single answering or recording devices, special hearing and seeing devices, automatic dialing devices, one to six telephone lines, and one or two telephone instruments.
  - (2) Off-premise extensions (OPX) or foreign exchange (FX) circuits and seven or more telephone lines.
- d. Documenting and managing local area networks within a geographic boundary.

**863.22 Telecommunications Coordinator**

The telecommunications coordinator is designated on a permanent or ad hoc basis by the IS manager to coordinate voice, video, facsimile, and data telecommunications activities within an installation. The telecommunications coordinator has the following responsibilities:

- a. Operating voice, video, facsimile, and data telecommunications systems within an installation (an installation can be one or more buildings in a limited geographic area).
- b. Coordinating the implementation and integration of universal wiring systems.
- c. Managing the cable plant and maintaining cable records.
- d. Requesting, through Telecommunication Services, any changes to FTS2000 service.
- e. Submitting changes or requests for access to postal networks to Telecommunication Services, using Form 3037, *Telecommunications Service Request*. For funding, the requesting organization may be required to submit Form 7381, *Requisition for Supplies, Services or Equipment*.
- f. Implementing a telecommunications systems security program in accordance with the guidelines provided in Section 87, Security Program.

### 863.3 **Postal Inspection Service**

#### 863.31 **Requests**

The Postal Inspection Service (Information Technology Division) processes telecommunications requests from Postal Inspection Service (Information Technology) organizations. Forward requests to:

MANAGER, NETWORK OPERATIONS  
US POSTAL INSPECTION SERVICE  
INFORMATION TECHNOLOGY DIVISION  
2111 WILSON BLVD STE 500  
ARLINGTON VA 22201-3036

#### 863.32 **Postal Inspector in Charge**

Each Postal Inspection Service division postal inspector in charge approves minor installations of, or changes to, telephone equipment, such as the relocation or addition of telephone instruments for that division.

### 863.4 **Postal Employee**

Postal employees are responsible for:

- a. Ensuring that their use of postal telecommunications equipment and services is for official business only.
- b. Protecting telecommunications equipment.

### 863.5 **Systems, Equipment, and Services**

#### 863.51 **Installations With Employees EAS-11 and Above**

All postal installations EAS-11 and above are authorized to have telephone systems and associated services.

#### 863.52 **Installations With Employees Below EAS-11**

For installations below EAS-11, one telephone instrument and line may be approved by district managers on an individual basis if warranted and if approval does not violate contractual arrangements.

#### 863.53 **Nonpostal Organizations**

Telephone service may be furnished on a reimbursable basis to organizations such as credit unions, canteens, and employee organizations. These organizations may not use Postal Service long-distance services.

#### 863.54 **Collocated Organizations**

Support and services will be provided to collocated postal organizations based on a mutually acceptable decision.

**863.55 Telephone Services**

Telephone services are provided as indicated below under approved circumstances to Postal Service facilities and personnel.

- a. *Long Distance.* FTS2000, a government long-distance network, is provided at large Postal Service installations as determined by Telecommunication Services. At locations where FTS2000 is unavailable, long-distance services can be obtained through the national primary interexchange carrier (PIC) contract.
- b. *Off-Premise Extensions and Foreign Exchange Service.* Because of their high cost, the use of off-premise extensions and foreign exchange service should be held to a minimum.
- c. *Directory Information.* Where telephone service is authorized, the main telephone number must be listed in the official local exchange carrier (LEC) directory. Additional information may be listed as necessary.
- d. *Private Residence.* Official telephone service may, with approval by the employee's immediate PCES manager, be installed in private residences of postal employees. Designated postal employees must follow the instructions and evaluation criteria in Management Instruction AS-840-96-9, *Home-Based Postal-Provided Telephone Line for Business Use*.
- e. *Cellular Telephone.* Cellular telephone service may be authorized, with approval by the employee's immediate PCES manager. Because of the cost of cellular telephone service and concern for the safety of postal employees who might use the cellular telephone while driving, this service should be approved only for those with an essential need. Management Instruction is pending.
- f. *Beeper/Pager.* Beeper/pager service may be authorized, with approval by the employee's immediate PCES manager, for those Postal Service employees with a demonstrated need for the service.

**863.56 Data Telecommunications****863.561 Node Name and Address Assignment**

Equipment connected to Postal Service networks must follow Postal Service node naming and addressing conventions as specified in Management Instruction AS-840-97-2, *Naming Standards for Devices and Domains on the Postal Routed Network*.

**863.562 Data Transmission**

Data transmission through a Private Branch Exchange (PBX) is permitted if it is the most economical method available. Data transmission should make use of the Private Branch Exchange (PBX) when possible. Use of business lines will incur an additional expense for the field location. The PBX must have the equipment available to facilitate use of the data transmission. The Telecommunications Coordinator determines the most economical method available (see 863.22).

### 863.6 Standards

The following telecommunications standards must be adhered to:

- a. The Postal Service data network protocol is IP (Internet Protocol) and must be used when implementing telecommunications systems. There are no exceptions.
- b. All radio systems and equipment must comply with the technical standard requirements and objectives of chapters 4 and 5 of the *Manual of Regulations and Procedures for Federal Radio Frequency Management* of the National Telecommunications Information Administration (NTIA).
- c. The Postal Service universal wiring standard (a single, integrated wiring system for voice, data, video, and sensor signaling requirements) must be followed when building a new postal installation or conducting a major renovation. Reference Handbook AS-819, *Universal Wiring Standards*.

### 863.7 Funding

Technical and budgetary approvals are required for the acquisition of telecommunications equipment and services. Some capital funding for larger systems is centrally funded by Headquarters. See the handbook F-66 series on investment policies and procedures for a more detailed explanation of levels and delegation of approval authority.

### 863.8 Contracts

Contract award is made to the best value alternative meeting Postal Service requirements specified in the procurement documents regardless of the type of funding available. Mandatory contracts must be used as the source of supply for voice, data, and video telecommunications equipment and services. Where they exist, optional contracts may be used to obtain voice, data, and video telecommunications equipment and services, with due consideration for least cost, timeliness, and ease of use.

### 863.9 Financial Management

Field IS management staff exercise certain basic financial management functions including:

- a. Certifying bills for correct and prompt payment.
- b. Preparing inventories of on-site telecommunications hardware, circuits, and peripheral equipment.
- c. Reconciling inventories.
- d. Preventing fraud, waste, and abuse in the use of telecommunication systems, equipment, and services.



## 864 **Distributed Systems Central Management Facility**

### 864.1 **Responsibilities**

The Distributed Systems Central Management Facility (DSCMF) is a major operational support facility responsible for providing IS customers, nationwide, with a full range of remote IT infrastructure support services.

### 864.2 **Services**

A major cornerstone of DSCMF support is the execution of the Associate Office Infrastructure (AOI) Program extending IT infrastructure to 8,000 associate office facilities. DSCMF services include:

- a. AOI program management, including management of deployment and program financials, coordination with business applications, and support coordination.
- b. Customer support services for the distributed infrastructure and applications.
- c. Database support services for distributed database applications.
- d. Operations support services for distributed LAN and VAX systems.
- e. Quality assurance.
- f. Customer satisfaction management including service-level agreements and service-delivery monitoring.

### 864.3 **Staff**

The DSCMF currently provides a staff of more than 500 trained and technically experienced personnel. It offers a 24-hour, 7-days-a-week service and operates on a multiple program-funded budget of approximately \$200 million. The DCSMF operating units are described in 864.4.

### 864.4 **Operating Units**

#### 864.41 **Associate Office Infrastructure Program Office**

##### 864.411 **Definition**

The Associate Office Infrastructure (AOI) is defined as a common information technology capability to support retail, delivery, and administrative operations in post offices, branches, and stations. It includes local area network (LAN) wiring and services, a computer server, telecommunications, and a robust support structure. Funding provided through two AOI Decision Analysis Reports (DARs) is providing for the expansion of IT infrastructure to these facilities including the Telecommunications Services. Additionally, AOI provided for the original establishment of the DSCMF.

##### 864.412 **Benefits**

The benefits of AOI include:

- a. Reduced cost and easier deployment of future business applications.
- b. Reduced cost for technical and administrative support and telecommunications.

- c. Ensured interoperability among Postal Service applications.
- d. Remote access to corporate databases.

#### 864.413 **Deployment and Management**

The AOI Program Management Office (AOI-PMO) is overseeing the deployment to approximately 8,000 associate offices, with implementation completing in FY 1999. Additionally, the AOI-PMO manages contracts for many of the services the DSCMF provides as part of AOI, managing the AOI program financials, and facilitating the use of AOI by Postal Service business applications.

#### 864.414 **Administrative Responsibilities**

- a. *Information Technology (IT).* Information Technology is responsible for ensuring that the deployed AOI infrastructure is properly maintained. The current standard is for IT representatives to provide training to associate office personnel (one primary and one backup).
- b. *Associate Office Personnel.* Associate office personnel trained by IT representatives are responsible for day-to-day administration of the equipment and data associated with the AOI. Procedural problem resolution is available from the Postal Service Help Desk at 800-USPSHELP (1-800-877-7435). Routine administration needed from local AO site personnel is limited to:
  - (1) Labeling of backup tapes.
  - (2) Performing tape backups and storing (securely) backup tapes.
  - (3) Maintaining a reasonably clean environment for the AOI server, including the removal of accumulated dust and dirt from filter vents, covers, and the floor space near the server.
- c. Detailed procedures for performing these tasks are in the AOI Server Tape Maintenance manual located on the AOI Web page at <http://AOI/ResourceCenter/doclib/welcome.htm>.

**Note:** No software or hardware repair is required of local AO site personnel. The AOI Program Office underwrites the software or hardware repair of all AOI equipment in a facility. Associate office personnel should contact the Postal Service Help Desk (1-800-877-7435) for software or hardware repair support.

#### 864.42 **Quality Assurance**

The DSCMF Quality Assurance (QA) Program is grounded on the philosophy of working together with both the Postal Service and contractor program management to meet the goals and objectives of the DSCMF. QA is focused on the development and maintenance of business processes that provide for the execution of the Distributed Systems Operational Support (DSOS) contract. The majority of the DSCMF functions are executed under the DSOS contract. Likewise, QA is focused on the development of metrics, their values and the efficiencies that ensure a measurable outcome relative to DSOS contract requirements.

Specific QA unit functions include:

- a. Determination and implementation of DSOS management efficiencies.
- b. Change management.
- c. Identification and definition of performance requirements.
- d. Performance measurement processes which validate and improve on those requirements.

#### 864.43 **Customer Support Services**

The Customer Support Services (CSS) unit mission is to ensure the establishment and ongoing availability of nationwide technology-based infrastructure support to Associate Office facilities by offering superior deployment, help desk, and associated customer support services.

DSCMF-CSS unit services include:

- a. Tier 1 help desk service across all distributed applications.
- b. Tier 2 and 3 advanced help desk support for distributed infrastructure and selected application-specific problems.
- c. Escalation and coordination of Tier 2 and 3 network and application-specific problem resolution among outboard service providers.
- d. Help desk support systems operations and maintenance.
- e. Application deployment and integration support.
- f. Distributed system and application change management.
- g. Unit-level process management and quality assurance.

#### 864.44 **Database Support Services**

Database Support Services (DBSS) provides remote production database administration and management services. The objective of DBSS is to provide a stable production database environment across the range of Postal Service standard hardware platforms to meet the functional requirements of Postal Service applications. DBSS offers remote production database support services for both Oracle and DB2 relational databases. Support services are available for Oracle on mainframe MVS, UNIX, and NT-based systems. DB2 services are specific to the sysplex mainframe environment.

DBSS services include:

- a. Monitoring the database performance.
- b. Tuning the database.
- c. Recovering corrupted databases.
- d. Troubleshooting database problems.
- e. Controlling access to the production database.
- f. Managing schema/structural to the database.
- g. Managing Oracle Replication Services (where appropriate).

**864.45 Operations and Support Services****864.451 Mission**

The Operations and Support Services (OSS) unit mission is to deliver consistent and effective computing services to Postal Service customers and employees through professional system management and support practices. OSS provides the following types of support:

- a. Continuous monitoring of remote systems and service delivery.
- b. Proactive detection of faults and resolution of problems.
- c. Software distribution management.
- d. Remote backup management and restoration.
- e. System performance monitoring and tuning.
- f. System configuration monitoring and management.
- g. Call handling and incident tracking, including diagnosis and resolution for district VAX systems.
- h. Security management of VAX systems, including overseeing system access privileges and user account maintenance.
- i. DSCMF and district VAX business continuity planning, including development of risk-mitigation strategy, development of contingency plans, and the exercise and maintenance of those plans.

**864.452 Support Functions**

Support functions are divided into two major areas:

- a. *Remote LAN Management.* The remote LAN management mission is to operate a world-class remote LAN management facility for the benefit of Postal Service Information Systems customers by proactive management of remote LANs to predict and resolve problems before they impact end-users' productivity. This includes the LANs at Gold-Tape installations, AOI facilities, and within the DSCMF itself.
- b. *District VAX Systems.* This team provides daily operation and management of the 85 district VAX computers and peripherals, and technical support for the users of those systems. Support is provided remotely using the telephone and VSS internal support computer systems over the wide area network.

**864.46 Customer Satisfaction**

To promote customer satisfaction with DSCMF services, the Customer Satisfaction (CS) unit coordinates, establishes, and monitors the performance of Service Level Agreements (SLAs) with each of the customers of the DSCMF as well as the CATS organization. In addition, the Information Systems Customer Satisfaction Team will provide the following services:

- a. Coordination of national help desk surveys and national quality assurance.
- b. Review and analysis of national help desk process management metrics for problem and change management.

**865 Computer Operations Service Centers (TBD)****87 Information Security**

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**871 Introduction****871.1 Purpose**

The purpose of information security in the Postal Service is to protect the organization's business interests, personnel, and the public, and to ensure the confidentiality, integrity, and availability of Postal Service information resources. *Confidentiality* is the characteristic that refers to the privacy of information, making sure that unauthorized personnel do not gain access. *Integrity* is the characteristic that refers to the accuracy and completeness of the information. *Availability* is the characteristic that refers to authorized users being able to access the information whenever it is needed.

**871.2 Policy**

The Postal Service is committed to creating and maintaining an environment that protects its information resources from accidental or intentional unauthorized use, modification, disclosure, destruction, or denial of service resulting from internal failure, human error, attack, or natural catastrophe. To meet this commitment, information security policies and practices will be developed that reflect business and industry prudent practices, support compliance with applicable Federal regulations, and hold executives and managers accountable.

**871.3 Guiding Principles**

The following principles guide the development and implementation of Postal Service information security policies and practices:

- a. Information is:
  - (1) A critical asset that must be protected.
  - (2) (Restricted to authorized personnel for authorized use.
- b. Information security is:
  - (1) A cornerstone of maintaining public trust.
  - (2) A business issue — not a technology issue.
  - (3) Risk-based and cost effective.
  - (4) Aligned with Postal Service priorities, industry prudent practices, and government requirements.
  - (5) Directed by policy but implemented by business owners.
  - (6) Everyone's business.

**871.4 Scope****871.41 Information Resources**

These policies apply to all information, in any form, related to Postal Service business activities, employees, or customers, that has been created, acquired, or disseminated using the Postal Service's resources, brand, or funding. These policies apply to all technologies associated with the creation, collection, processing, storage, transmission, analysis, and disposal of information. These policies also apply to all information systems, applications, products, services, telecommunications networks, computer-controlled mail processing equipment, and related resources, which are sponsored by, operated on behalf of, or developed for the benefit of the Postal Service.

**871.42 Organizations and Personnel**

These policies apply to all Postal Service functional organizations and personnel, which includes Postal Service employees, contractors, vendors, business partners, and any other authorized users of Postal Service information systems, applications, telecommunication networks, data, and related resources.

**871.5 Importance of Compliance****871.51 Maintaining Public Trust**

The public entrusts vast amounts of information to the Postal Service every day — information that the Postal Service is required by law and prudent business practice to protect. Compliance with information security policies will help protect information resources and enhance the reputation of the Postal Service as an institution deserving of public trust.

**871.52 Continuing Business Operations**

The Postal Service is committed to delivering superior customer service in an increasingly competitive marketplace through the effective use of technology, information, and automation. Compliance with information security policies will help ensure the continuous availability and integrity of the technological infrastructure critical to the Postal Service's ability to perform its mission.

**871.53 Protecting Postal Service Investment**

Postal Service information resources represent a sizable financial investment in technologies and in information that can never be replicated. These information resources are of paramount importance to the mission of the Postal Service and to the country, and must be protected.

**871.54 Abiding by Federal Regulations**

Postal Service information security policies are designed to ensure compliance with the following government requirements, some of which are not statutorily required but are considered to be prudent business practice:

- a. Title 39, CFR, Section 267, *Protection of Information*, revised July 1, 2000.
- b. Freedom of Information Act of 1966.
- c. Privacy Act of 1974, as amended.
- d. Office of Management and Budget, Circular No. A-130, *Management of Federal Information Resources*, December 1985, as amended.
- e. Public Law 100-235, Computer Security Act of 1987.
- f. Paperwork Reduction Act of 1995.
- g. Information Technology Management Reform Act (Clinger-Cohen Act), February 10, 1996.
- h. Presidential Decision Directive 63, *Protecting America's Critical Infrastructures*, May 22, 1998.
- i. Presidential Decision Directive 67, *Ensuring Constitutional Government and Continuity of Government*, October 21, 1998.
- j. Government Information Security Reform Act, November 29, 2000.

**872 Responsibility**

The Postal Service security program is divided into several areas of responsibility as described in the following subsections.

**872.1 Corporate Information Security Office**

The manager, Corporate Information Security Office (CISO), is responsible for setting the overall strategic direction for the Postal Service information security program.

**872.11 Information Security Program**

The Information security program includes the following subprograms:

- a. *Information Security Policies, Procedures, and Standards*. Creates and evaluates computer security policies, procedures, and standards to support a Postal Service-wide information security program that incorporates prudent practices from industry and government.
- b. *Risk Management*. Provides overall policy and consulting support on the identification and assessment of known security risk factors and their successful mitigation.
- c. *Information Security Awareness*. Provides management and guidance to ensure that all employees are aware of their security responsibilities and the secure use of information resources.
- d. *Information Security Assurance (ISA)*. Provides the business impact assessment (BIA) process by which the sensitivity and criticality of each information resource is determined and the security requirements are



identified. For information resources determined to be sensitive, critical, and business-controlled, provides a formal security evaluation and management approval process to ensure the information resource is secure at a level appropriate to its criticality and sensitivity designation. Determines the associated protection mechanisms and controls as well as the plans for their acquisition and implementation. Determines the residual risk before the information resource is put into production and periodically over the life of the information resource. Provides requirements for periodic testing and evaluation of the effectiveness of protection mechanisms.

- e. *Information Security Technology Assessment.* Evaluates and recommends security products for implementation. Makes recommendations for the deployment of new security products in a responsible manner.
- f. *Security Architecture.* Manages and develops the security architecture to ensure the confidentiality, integrity, and availability of Postal Service information resources, including review, evaluation, and recommendation of advanced security technologies.
- g. *Network Security.* Provides overall policy and consulting support for the Postal Service network and penetration testing. Determines criteria for the evaluation of firewalls, recommends encryption solutions, and reviews servers and business partner connectivity.
- h. *Business Continuity and Contingency Planning.* Provides overall policy and consulting support on effective planning for continued business operations under all conditions and situations.
- i. *Information Security Incident Management.* Provides overall policy and consulting support for detecting, responding to, and reporting information security incidents. Receives and tracks information security incident reports through resolution, escalates serious incidents, and incorporates “lessons-learned” into ongoing security awareness and training programs. Provides support to the Office of Inspector General (OIG), OIG Computer Intrusion Team; Inspection Service, Computer Incident Response Team (CIRT); and the Virus Response Team (VRT) as requested in response to any information security incident.
- j. *Compliance.* Provides consulting support on industry and government prudent practices concerning inspections and evaluations, and recommends remedial action to address any significant deficiencies. Conducts administrative investigations for the purpose of maintaining information security.

#### 872.12 Requirements

Information security in the Postal Service will be cost-effective and aligned with postal business goals and objectives. Postal Service functional organizations are responsible for the following:

- a. Identifying their information resources.
- b. Determining the value of the information resource to the organization.



- c. Determining how long the Postal Service can tolerate unavailability of the information resource and how quickly it must be returned to normal operations.
- d. Identifying threats to information resources.
- e. Identifying the business impact of a security incident and appropriate countermeasures commensurate with the value of the resource.
- f. Completing step-by-step methodologies to ensure that security countermeasures identified and implemented will protect resources at the level necessary to continue business operations.

**Note:** Security requirements defining how the Postal Service protects these resources and assets are defined in Handbook AS-805, *Information Security*.

### 872.13 Information Security Services

The information security program has defined information security services, consisting of concepts, properties, and processes that guide development of policies and processes needed to protect information resources. Security services function as follows:

- a. *Authorization*. Determines whether, and to what extent, personnel should have access to computer resources.
- b. *Accountability*. Associates each user ID or logon ID with one and only one user or process to enable tracking of all actions of that user or process on the information resource.
- c. *Identification*. Associates a user with an unambiguous identifier (e.g., user ID or logon ID) by which that user is held accountable for the actions and events initiated by that user.
- d. *Authentication*. Verifies the claimed identity of an individual, station, or originator.
- e. *Confidentiality*. Ensures that information is not made available or disclosed to unauthorized individuals, entities, or processes.
- f. *Integrity*. Ensures the correct operation of information resources, consistency of data structures, and accuracy of the stored information.
- g. *Availability*. Ensures information resources will be accessible by authorized personnel or other information resources when required.
- h. *Security administration*. Implements management constraints, operational procedures, and supplemental controls to ensure adequate protection of an information resource.
- i. *Audit logging*. Records operational and security-related events.
- j. *Security compliance reviews*. Reviews operational security compliance of computer systems and/or computer sites. Provides audit and other support to Office of Inspector General (OIG).

### 872.2 Postal Inspection Service

The Postal Inspection Service is a Federal law enforcement agency within the United States Postal Service. The mission of the Postal Inspection

Service is to protect the Postal Service and its employees and customers from criminal attack and protect the nation's mail system from criminal misuse.

The Postal Inspection Service's three operational imperatives, or overall goals, of safety, security, and integrity are based on the mission of the Inspection Service and relate to all aspects of its jurisdiction and responsibilities. Through its criminal, investigative, preventive, and security programs, the Inspection Service strives to ensure the safety of postal customers and employees, increase the security of postal products, services, and assets, and maintain the public trust in the integrity of the postal system.

Today, over 200 federal statutes help define the law enforcement mission of the Postal Inspection Service. The chief postal inspector is designated as the Security Officer for the Postal Service. Complete descriptions of Postal Inspection Service responsibilities relating to security are provided in ASM subchapter 27, Security. These responsibilities include:

- a. *Personnel Security.* Clearance must be obtained for persons in sensitive positions. Management's responsibility is to ensure that data processing-related positions meet the security guidelines established by the Postal Inspection Service, and that all information systems-related positions requiring sensitive clearances are identified and clearances are kept current (see ASM part 272).
- b. *Physical Security.* Computer equipment, data, facilities, and information must be safeguarded at a level appropriate to their value to the Postal Service, or because of statutory requirements. The minimum security requirements are found in Handbook RE-5, *Building and Site Security Requirements*, which is not all-inclusive. The security control officer, who is not to be confused with an information systems security officer (see ASM section 271.3), is responsible for both physical security and personnel security. Due to a potential conflict of interest, an individual cannot be assigned both duties.

### 872.3 Office of Inspector General

The Office of Inspector General (OIG) is responsible for auditing postal information systems and performs developmental audits of automated systems, audits of operational and financial systems, and environmental audits. The OIG is also responsible for conducting criminal investigations of attacks upon postal networks and computers.

### 872.4 Chief Privacy Officer (CPO)

The CPO assists executive sponsors and records custodians to determine the sensitivity of their information and to comply with the privacy statute and policies (e.g., legal notice in the *Federal Register*, if required). Security measures must then be developed to protect all information appropriate to its sensitivity designation.

## 88 Information Services

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### 881 General

Corporate Information Services (CIS) establishes standards, procedures, processes, and policies for managing, publishing, and providing access to information via the Intranet, Internet, and paper. CIS publishes, collects, organizes, generates, and makes available historical, policy, procedural, governmental, and commercial information.

### 882 Corporate Publishing and Information Management

Corporate Publishing and Information Management is responsible for publishing, managing, and providing access to postal policy and procedures, regulations, instructions, and guidelines. Publishing and information management services include:

- a. Managing the development, production, and hard copy and electronic distribution of postal directives.
- b. Maintaining the Postal Service directives infrastructure, managing the flow of corporate directives, and managing information within and among the directives.
- c. Publishing the biweekly *Postal Bulletin*.

### 883 Postal Service Corporate Library

The Postal Service Corporate Library is responsible for providing commonly used business and legal reference materials and information services required to assist with postal management decision-making. Corporate library services include:

- a. Providing reference and research services to support Postal Service business needs through in-house and commercial databases, networks, and print materials.
- b. Serving as a cost control center in the acquisition, organization, and maintenance of publications and for commercial electronic information required for postal personnel.
- c. Providing library loan services for postal personnel and end-user access to commercial electronic subscription services for postal personnel.
- d. Providing orientation and training to postal staff on effective search and retrieval of content from the Internet, Postal Service Intranet, and commercial electronic subscription services managed by the Library.

## 884 **Postal History**

Postal History researches and prepares papers on postal history and tradition. It manages the preservation and loan of historical artifacts and fine arts, maintains a collection of historic records for research purposes, and develops and maintains histories of local post offices, including lists of postmasters.

## 885 **Internet Services**

Internet Services is responsible for establishing standards, procedures, and policies for the dissemination of information via the World Wide Web (web), including information to the public over the global Internet and information to postal personnel over the Postal Service Intranet. Internet Services functions include:

- a. Developing and maintaining the organizational structure for Postal Service web presences. Developing and publishing standards for web site technical considerations, access requirements, and style. Standards are documented and updated in Publication 147, *Web Standards Guide*.
- b. Maintaining web home pages and common menu pages, ensuring the conformity of those pages to the Postal Service standards, and integrating them for maximum accessibility and business effectiveness. Providing an overall integrated structure to optimize usability across individual web pages.
- c. Coordinating the implementation of services common to all web sites, including content management, searches, and usage statistics.
- d. Acting as a registry for other postal web presences.
- e. Serving as a liaison with other Information Systems and postal organizations to ensure that their web sites meet all technical, legal, and identity requirements.
- f. Coordinating the development of web sites to ensure proper content and functionality integration, which includes performing quality assurance reviews, managing the review of new sites by the appropriate web oversight organizations, and activating sites upon completion of the review process.
- g. Coordinating the use of the corporate information sharing systems.

## 886 **Forms Management**

Forms Management manages the corporate forms system. This includes establishing standards for the submission, review, and approval of forms, both paper and electronic. In addition, Forms Management evaluates the need for a form, analyzes data requirements, develops the form, and coordinates its availability with Material Distribution. The objectives for forms management include:

- a. Analyzing requirements to ensure that proposed forms support appropriate programs.
- b. Simplifying paperwork by developing easy-to-use forms.
- c. Eliminating unnecessary forms by simplifying, consolidating, and standardizing existing forms.
- d. Standardizing data elements for ease in collecting, processing, and retrieving data.
- e. Facilitating forms automation in order to support streamlined business processes.

# Directives and Forms Index

## Forms

**Note:** All forms listed with the citation “Exhibit 351.11” are those listed in [Exhibit 351.11](#), *Retention Periods for Post Office Forms*, which begins on page 161.

Forms Number	Title	Section
4	Employee’s City or County Withholding Certificate	Exhibit 351.11
7	Service Record	Exhibit 351.11
17-A	Accountable Items Requisition from Stamp Distribution Office	Exhibit 351.11
17-R	Recapitulation Sheet	Exhibit 351.11
25	Trust Fund Account	Exhibit 351.11
128	Travel and Admittance Identification Credential Card	277.221
128-B	Officer’s Identification Card (Green Card)	277.211
178	Specific Travel Order — Relocation & Relocation Agreement	Exhibit 351.11
189	Stocking Plan for New Directives and Forms	324.2
542	Inquiry — Registered Article or Insured Parcel or Ordinary Parcel	Exhibit 351.11
571	Discrepancy of \$100 or More in Financial Responsibility	<a href="#">Exhibit 225</a> , Exhibit 351.11
604	Credit Card Non-Receipt Report	<a href="#">Exhibit 225</a>
673	Report of Rifled Parcel	<a href="#">Exhibit 225</a>
697	Extension of City Delivery Service	Exhibit 351.11
773	Records Transmittal and Receipt	Exhibit 351.11, 351.312
835	Quarterly Report of Originating Registered and COD Transactions	Exhibit 351.11
919	Facility Planning Data	512.233
929	Major Facility Planning Data	512.233
961-A	Post Office Property Record	Exhibit 351.11
969	Material Recycling and Disposal	Exhibit 351.11
991	Application for Promotion or Reassignment	Exhibit 351.11
1000	Domestic Claim or Registered Mail Inquiry	Exhibit 351.11
1011	Travel Advance Request and Itinerary Schedule	Exhibit 351.11
1012	Travel Voucher	Exhibit 351.11
1017-A	Time Disallowance Record	Exhibit 351.11
1017-B	Unauthorized Overtime Record	Exhibit 351.11
1091-A	Post Office Box Fee Register	Exhibit 351.11
1091-B	Register for Caller Service Fees	Exhibit 351.11

**Forms (cont'd)**

**Note:** All forms listed with the citation “Exhibit 351.11” are those listed in [Exhibit 351.11](#), *Retention Periods for Post Office Forms*, which begins on page 161.

<b>Forms Number</b>	<b>Title</b>	<b>Section</b>
1093	Application for Post Office Box or Caller Service	Exhibit 351.11
1094	Request for Post Office Box Key or Lock Service	Exhibit 351.11
1096	Cash Receipt	Exhibit 351.11, 422.273
1188	Cancellation of Organization Dues from Payroll Withholdings	Exhibit 351.11
1192	US Savings Bond Authorization for Purchase and Request for Change	Exhibit 351.11
1199-A	Direct Deposit	Exhibit 351.11
1216	Employee's Current Mailing Address	Exhibit 351.11
1221	Advanced Sick Leave Authorization	Exhibit 351.11
1224	Court Duty Leave — Statement of Service	Exhibit 351.11
1230-A	Time Card — Week 1	Exhibit 351.11
1230-B	Time Card — Week 2	Exhibit 351.11
1230-C	Time Card — Other Service	Exhibit 351.11
1234	Utility Card	Exhibit 351.11
1236-A	Weekly Loan, Transfer, and Training Hours	Exhibit 351.11
1242	Court Ordered Child Care or Alimony Payment	Exhibit 351.11
1242-A	Commercial Garnishment Withholding Notice or Wage Earner Plan Allotment Request	Exhibit 351.11
1260	Nontransactor Card	Exhibit 351.11
1261	Nontransactor Report	Exhibit 351.11
1262	PSDS Loaned Employee Nontransactor Card	Exhibit 351.11
1268	Employee Suggestion Control Record	Exhibit 351.11
1269	Employee Suggestion	Exhibit 351.11
1311	Carrier Transportation Agreement	Exhibit 351.11
1312	Local Transportation Payments	Exhibit 351.11
1314	Regular Rural Carrier Time Certificate	Exhibit 351.11
1314-A	Auxiliary Rural Carrier Time Certificate	Exhibit 351.11
1357	Request for Computer Access	272.343
1375	Employee Identification Card	277.231
1375-P	Postmaster's Identification Card	277.232
1377	Request for Payment of Postmaster Replacement and/or RSC Postmaster Changes	Exhibit 351.11
1412-A	Daily Financial Form	Exhibit 351.11, 422.282, 422.291, 543.42

**Forms (cont'd)**

**Note:** All forms listed with the citation "Exhibit 351.11" are those listed in [Exhibit 351.11](#), *Retention Periods for Post Office Forms*, which begins on page 161.

<b>Forms Number</b>	<b>Title</b>	<b>Section</b>
1412-B	Daily Financial Report	Exhibit 351.11, 422.282, 422.291, 543.42
1476	PSDS EMR Items Transcript	Exhibit 351.11
1481	Register of Checks Drawn on Symbol 9500	Exhibit 351.11
1483	Accounting Copy — 9500 Form	Exhibit 351.11
1508	Statement by Shipper of Firearms	Exhibit 351.11
1509	Sender's Application for Recall of Mail	Exhibit 351.11
1510	Mail Loss/Rifling Report	<a href="#">Exhibit 225</a> , Exhibit 351.11
1532	Semiannual Check of Overflow Mail	Exhibit 351.11
1538	Receipts for Post Office Box/Caller Service Fees	Exhibit 351.11
1542	Service Point Delivery Requirements	Exhibit 351.11
1551	Accountbook for Post Offices and Financial Reporting Units — CAGs A - L	Exhibit 351.11
1552	Accountbook for CAGs K - L (Looseleaf)	Exhibit 351.11
1553	Statement of Account (CAGs K - L)	Exhibit 351.11
1554	Statement of Account (CAGs H - J)	Exhibit 351.11
1555	Statement of Account	Exhibit 351.11
1556	Suspense Items — Support Information	Exhibit 351.11
1564	Address Change Sheet	Exhibit 351.11
1564-A	Delivery Instructions	Exhibit 351.11
1564-B	Special Orders	Exhibit 351.11
1567	Requisition for Rubber and Steel Hand Canceling Stamps	Exhibit 351.11
1571	Undelivered Mail Report	Exhibit 351.11
1576	Requisition for Duplicating Service	372.21
1578-B	Requisition for Facing Slips or Labels	Exhibit 351.11
1583	Application for Delivery of Mail Through Agent	Exhibit 351.11
1586	Supply Record	Exhibit 351.11
1597	Work Assignment and Mail Count (Messenger Operations)	Exhibit 351.11
1604	Confirmation of Trust Fund Balance	Exhibit 351.11
1608	Emergency Salary Authorization and Receipt	Exhibit 351.11
1621	Delivery Management Report	Exhibit 351.11
1627	General Purpose Ruled Form	Exhibit 351.11
1628	Individual Key Record	273.461, 273.462



**Forms (cont'd)**

**Note:** All forms listed with the citation “Exhibit 351.11” are those listed in [Exhibit 351.11](#), *Retention Periods for Post Office Forms*, which begins on page 161.

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1700	Accident Investigation Worksheet	253.123, Exhibit 351.11
1717	Bid for Preferred Assignment	Exhibit 351.11
1723	Assignment Order	Exhibit 351.11
1724	Suggestion Log	Exhibit 351.11
1725	Employee Suggestion Evaluation	Exhibit 351.11
1726	Suggestion Acknowledgment/Advice	Exhibit 351.11
1727	Award Recommendation/Authorization	Exhibit 351.11
1764	Accident Analysis Summary	Exhibit 351.11
1767	Report of Hazard, Unsafe Condition or Practice	Exhibit 351.11
1768	Safe Driver Award Committee Decision	Exhibit 351.11
1769	Accident Report (3-part snap-out w/13-part instruction book)	Exhibit 351.11
1770	Hazardous Materials Incident Report	Exhibit 351.11
1772	Accident Log	Exhibit 351.11
1773	Report of Hazard Log	Exhibit 351.11
1783	On-the-Job Safety Review/Analysis	Exhibit 351.11
1784-A	Safety and Health Inspection Checklist (Facilities over 10,000 sq ft)	Exhibit 351.11
1784-B	Safety and Health Inspection Checklist (for Facilities less than 10,000 sq ft)	Exhibit 351.11
1784-C	Safety and Health Deficiency Report	Exhibit 351.11
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1813	Late Leaving and Returning Report — First Carrier Delivery Trip	Exhibit 351.11
1823	Equal Employment Opportunity Program	277.222
1838	Carrier's Count of Mail — Letter Carrier Routes (Mgmt. Summary)	Exhibit 351.11
1838-A	Carrier's Count of Parcel Post & Combination Services Worksheet/Management Summary	Exhibit 351.11
1838-B	Parcel Post Firm Delivery Worksheet	Exhibit 351.11
1838-C	Carrier's Count of Mail — Letter Carrier Routes Worksheet	Exhibit 351.11
1839	Payment Record for Carrier Drive-Out Agreements	Exhibit 351.11
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1840-B	Carrier Timecard Analysis	Exhibit 351.11

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**Note:** All forms listed with the citation “Exhibit 351.11” are those listed in [Exhibit 351.11](#), *Retention Periods for Post Office Forms*, which begins on page 161.

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1846	Quarterly List of Money Orders Issued	Exhibit 351.11
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1902	Justification for Billing Accounts Receivable	Exhibit 351.11
1903-DZ	Invoice and Statement	Exhibit 351.11
1908	Financial Adjustment Memorandum	Exhibit 351.11
1915	Authorization to Flag Employee's Accounts	Exhibit 351.11
1994	Employee's Work Schedule	Exhibit 351.11
2007-A	Window Transaction Record	Exhibit 351.11
2007-B	Window Transaction Conversion	Exhibit 351.11
2007-C	Window Transaction Survey	Exhibit 351.11
2013	Sensitive Security Clearance Processing Request	272.225, 272.226, 272.227, 272.241, 272.344
2016	Mail Theft and Vandalism Complaint	<a href="#">Exhibit 225</a> , Exhibit 351.11
2025	Contract Personnel Questionnaire	272.343, Exhibit 351.11
2028	Travel Advance Request (Relocation Worksheet)	Exhibit 351.11
2041	USPS Building Pass — Headquarters	277.212
2041-A	USPS Building Pass — Tenant	277.213
2066	Updated Personnel Security Questionnaire	272.25
2081	Contractor Employee Assignment Notification	Exhibit 351.11
2106	Adjudication — Tort Claims	Exhibit 351.11
2130	Claim for Loss — Initial Letter	Exhibit 351.11
2132	Claim for Accountable Financial Loss	Exhibit 351.11
2146	Employee's Claim for Personal Property	Exhibit 351.11
2181	Authorization and Release	272.224
2181-C	Authorization and Release — Background Investigation (USPS Contractors & Employees of Contractors)	272.343
2188	Subrogation Receipt	253.24
2198	Accident Report — Tort Claim	253.121, Exhibit 351.11
2202	Daily Time Record	Exhibit 351.11
2240	Pay, Leave, or Other Hours Adjustment Request	Exhibit 351.11
2240-R	Rural Pay or Leave Adjustment Request	Exhibit 351.11
2243	PSDS Hours Adjustment Record	Exhibit 351.11
2282	Facility Evaluation Sheet (Space & Condition)	512.223
2371-A	MOD 2 Performance Summary — Mail Volume	Exhibit 351.11

**Forms (cont'd)**

**Note:** All forms listed with the citation "Exhibit 351.11" are those listed in [Exhibit 351.11](#), *Retention Periods for Post Office Forms*, which begins on page 161.

<b>Forms Number</b>	<b>Title</b>	<b>Section</b>
2371-B	MOD 2 Performance Summary (Clerk Mailhandler Work Hours)	Exhibit 351.11
2417	Confidential Statement of Employment and Financial Interests (For Use by Postal Service Employees)	211.33
2452-A	Performance Evaluation for EAS Employees — General Form	Exhibit 351.11
2452-B	Performance Evaluation for EAS Employees — Supervisors and Managers EAS-19 and Below	Exhibit 351.11
2452-C	Performance Evaluation for EAS Employees — Postmasters EAS-15 and Below	Exhibit 351.11
2456	Narrative of Work Accomplishments	Exhibit 351.11
2480	Driving Record	Exhibit 351.11
2548	Individual Training Record — Supplement Sheet	Exhibit 351.11
2550	Interview Notice	Exhibit 351.11
2591	Application for Employment	Exhibit 351.11
2858-C	Worksheet for Multidelivery Stop	Exhibit 351.11
2858-R	Rural Carrier Cost System FY 1991	Exhibit 351.11
2866	Presort Verification Record	Exhibit 351.11
2866-IP	In-Plant Verification for Second- and Fourth-Class Matter	Exhibit 351.11
2932	Customs Collections Summary	Exhibit 351.11
2933	Register of Uncollected Customs Charges	Exhibit 351.11
2944	Receipt for Customs Duty Mail	Exhibit 351.11
2960	Inventory Record	Exhibit 351.11
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3036	Record of Stamp Stock Requisitions	Exhibit 351.11
3037	Telecommunications Service Request	863.22
3083	Trust Accounts Receipts and Withdrawals	Exhibit 351.11
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3189	Request for Temporary Schedule Change for Personal Convenience	Exhibit 351.11
3205	Requisition for Plain Stamped Envelopes	Exhibit 351.11
3210	Interim Receipt for Stamp Stock Submitted for Redemption	Exhibit 351.11
3216	Requisition for Postal Cards — Bulk Quantities	Exhibit 351.11

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**Note:** All forms listed with the citation “Exhibit 351.11” are those listed in [Exhibit 351.11](#), *Retention Periods for Post Office Forms*, which begins on page 161.

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3217	Order for Forms 3216 (Requisition for Postal Cards — Bulk Quantities)	Exhibit 351.11
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3227	Stamps by Mail	Exhibit 351.11
3227-R	Stamp Purchase Order	Exhibit 351.11
3236	Uniform Allowance Cap Disbursement	Exhibit 351.11
3238	Stamps & Stamped Paper Destruction Certificate	Exhibit 351.11
3239	Payroll Deduction Authorization to Liquidate Postal Service Indebtedness	Exhibit 351.11
3239-A	Payroll Deduction Authorization to Liquidate Other Government Agency Indebtedness	Exhibit 351.11
3240	Uniform Allowance Inquiry	Exhibit 351.11
3294	Cash and Stamp Stock Count and Summary	Exhibit 351.11
3295	Daily Record of Stamps, Stamped Paper, and Nonpostal Stamps on Hand	Exhibit 351.11
3309	Advice of Shipment/Stamp Invoice	Exhibit 351.11
3317-A	Retail and Philatelic Products — Clerks Daily Sales Record	Exhibit 351.11
3356	Stamp Requisition — Bulk Quantities	Exhibit 351.11
3368	Stamp Credit Examination Record	Exhibit 351.11
3369	Consigned Credit Receipt	Exhibit 351.11
3499	Operations Analysis Report	Exhibit 351.11
3501	Application for Periodicals Mailing Privileges (General)	Exhibit 351.11
3501-A	Application for Periodicals Mailing Privileges (News Agents or Foreign)	Exhibit 351.11
3502	Application for Periodicals Mailing Privileges (Institutions and Societies)	Exhibit 351.11
3503	Record of Deposits Made While Second-Class Application Is Pending	Exhibit 351.11
3508	Requisition for Saleable Items (Other than Stamps)	Exhibit 351.11
3510	Application for Additional Entry, Reentry, or Special Rate Request for Periodicals Publication	Exhibit 351.11
3511	Application for Periodicals Mailing Privileges (Requestor)	Exhibit 351.11
3526	Statement of Ownership, Management and Circulation	Exhibit 351.11
3533	Application and Voucher for Refund of Postage and Fees	Exhibit 351.11

**Forms (cont'd)**

**Note:** All forms listed with the citation “Exhibit 351.11” are those listed in [Exhibit 351.11](#), *Retention Periods for Post Office Forms*, which begins on page 161.

<b>Forms Number</b>	<b>Title</b>	<b>Section</b>
3538	Irregular Handling of Undeliverable Periodicals Publication	Exhibit 351.11
3541-C	Periodicals Certification for Multiple Issues (On the Same Day)	Exhibit 351.11
3541-E	Periodicals Certification for Multiple Issues (Not on the Same Day)	Exhibit 351.11
3541-N	Postage Statement — Periodicals — Nonprofit Rates	Exhibit 351.11
3541-R	Postage Statement — Periodicals — Regular and Science of Agriculture Rates	Exhibit 351.11
3543	(Special) Record of Periodicals Postage	Exhibit 351.11
3544	Post Office Receipt for Money	Exhibit 351.11
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3547	Notice to Mailer of Correction in Address	274.5
3548	Review and Verification of Circulation	Exhibit 351.11
3555	Report of Returned Mail	Exhibit 351.11
3575	Change-of-Address Order	Exhibit 351.11, 461.321, 461.322
3575-WWW	Change-of-Address Order — World Wide Web	Exhibit 351.11
3582-A	Postage Due Bill	Exhibit 351.11
3582-C	Postage Due Invoice	Exhibit 351.11
3584	Postage Due Log	Exhibit 351.11
3600-PC	Statement of Mailing with Metered or Precanceled Postage Affixed — First Class Mail	Exhibit 351.11
3600-R	Postage Statement — First-Class Mail — Permit Imprint	Exhibit 351.11
3601	Application to Mail Without Affixing Postage Stamps	Exhibit 351.11
3601-A	Application or Update for a License to Lease and Use Postage Meters	Exhibit 351.11
3602-N	Postage Statement — Nonprofit Standard Mail — Permit Imprint	Exhibit 351.11
3602-PC	Statement of Mailing — Bulk Rates	Exhibit 351.11
3602-PO	Postage Collected Through Post Office Meter	Exhibit 351.11
3602-R	Postage Statement — Regular Standard Mail — Permit Imprint	Exhibit 351.11
3603	Receipt for Postage Meter Settings	Exhibit 351.11
3604	Nonuse Revocation of Mailing Permit or Meter License	Exhibit 351.11

## Forms (cont'd)

**Note:** All forms listed with the citation “Exhibit 351.11” are those listed in [Exhibit 351.11](#), *Retention Periods for Post Office Forms*, which begins on page 161.

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3609	Record of Permit Imprint Mailings	Exhibit 351.11
3609-PO	Control for Post Office Meter	Exhibit 351.11
3610	Record of Postage Meter Settings	Exhibit 351.11
3613	Cancellation of Permit	Exhibit 351.11
3616	Report of Quarterly Verification of Metered Mail	Exhibit 351.11
3618	Local Setting of Postage Meter Licensed at Another Office	Exhibit 351.11
3619	Permit Number Record	Exhibit 351.11
3620	Permit to Use Precanceled Stamps or Government Precanceled Stamped Envelopes Application	Exhibit 351.11
3623	Application for Nonprofit Standard Mail Rates at Additional Mailing Office	Exhibit 351.11
3624	Application to Mail at Special Bulk Third-Class Rates	Exhibit 351.11
3625	Merchandise Return Permit Application	Exhibit 351.11
3650	Postage Statement — International Surface Air Lift	Exhibit 351.11
3651	Postage Statement — International Permit Imprint Mail or Bulk Letters to Canada with Permit Imprint	Exhibit 351.11
3652	Postage Statement — International Priority Airmail	Exhibit 351.11
3701	Delivery Survey	Exhibit 351.11
3702	Test Mailing Record (Collection and Special Test Mailings)	Exhibit 351.11
3721	Publication Watch	Exhibit 351.11
3743	Delayed Mail Report — All Post Offices	Exhibit 351.11
3749	Irregularities in the Preparation of Mail Matter	Exhibit 351.11
3801	Standing Delivery Order	Exhibit 351.11
3801-A	Agreement by a Hotel, Apartment House, or the Like to Assume Responsibility for Registered Mail	Exhibit 351.11
3806	Receipt for Registered Mail	Exhibit 351.11
3815	Plant-Load Authorization, Application, Worksheet, and Agreement	Exhibit 351.11
3816	COD Mailing and Delivery Receipt	Exhibit 351.11
3821	Clearance Receipt	Exhibit 351.11
3822	COD Tag Transmittal	Exhibit 351.11

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**Note:** All forms listed with the citation “Exhibit 351.11” are those listed in [Exhibit 351.11](#), *Retention Periods for Post Office Forms*, which begins on page 161.

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3826	Registry Irregularity Report	Exhibit 351.11
3827	Irregularity Report of Insured and COD Mail	Exhibit 351.11
3830-A	Registry Dispatch Record	Exhibit 351.11
3841	Post Office Record of Claim	Exhibit 351.11
3845	Annual Verification of Circulation	Exhibit 351.11
3849	Delivery Notification/Reminder/Receipt	Exhibit 351.11
3854	Manifold Registry Dispatch Book	Exhibit 351.11
3854-A	Registered Mail Dispatch Bill (1850/carton)	Exhibit 351.11
3861	COD Loss Claim Filed by Sender	Exhibit 351.11
3861-A	Loss Claim	Exhibit 351.11
3862	Damage Claim Filed by Sender	Exhibit 351.11
3863	Damage Claim Filed by Addressee	Exhibit 351.11
3867	Accountable Mail Matter Received for Delivery	Exhibit 351.11
3871	Receipt Verification — Insured and Returned COD Mail	Exhibit 351.11
3877	Firm Mailing Book for Accountable Mail	Exhibit 351.11
3883	Firm Delivery Book	Exhibit 351.11
3883-A	Firm Delivery Receipt (1600/carton)	Exhibit 351.11
3921	Volume Recording Worksheet	Exhibit 351.11
3922	Customer Services Volume Recording Worksheet	Exhibit 351.11
3925	Daily Address Information Operations Analysis	Exhibit 351.11
3930	Operations Analysis	Exhibit 351.11
3932	CSMDS Plan Input Sheet	Exhibit 351.11
3956	Authorization for Medical Attention	Exhibit 351.11
3958	Main Stock (or Unit Reserve Stock) Transaction Record	Exhibit 351.11
3959	Daily Recap — Stamp Stock Transactions	Exhibit 351.11
3968	Daily Mail Collection Record	Exhibit 351.11
3971	Request for or Notification of Absence	Exhibit 351.11
3972	Absence Analysis	Exhibit 351.11
3973	Military Leave Control	Exhibit 351.11
3977	Duplicate Key Inventory	Exhibit 351.11
3978-A	Letters and Flats Distribution	Exhibit 351.11
3978-B	Parcel Distribution	Exhibit 351.11
3978-D	Accountable Mail	Exhibit 351.11



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**Note:** All forms listed with the citation "Exhibit 351.11" are those listed in [Exhibit 351.11](#), *Retention Periods for Post Office Forms*, which begins on page 161.

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3996	Carrier — Auxiliary Control	Exhibit 351.11
3997	Unit Daily Record	Exhibit 351.11
3998	Unit Summary of City Delivery Assignments	Exhibit 351.11
3999	Inspection of Letter Carrier Route	Exhibit 351.11
3999-A	Deliveries/Inspection Record — Worksheet	Exhibit 351.11
3999-B	Collection Route Inspection	Exhibit 351.11
4003	Official Rural Route Description	Exhibit 351.11
4003-A	Official Rural Route Description Continuation Sheet	Exhibit 351.11
4015-A	Rural Carrier Agreement to Use Annual Leave Pursuant to Election of Higher Route Classification	Exhibit 351.11
4015-B	Rural Carrier Agreement to Terminate Guarantee	Exhibit 351.11
4015-C	Rural Carrier Agreement to Terminate Guarantee (Exercising Retreat or Bidding Rights)	Exhibit 351.11
4015-D	Rural Carrier Agreement to Terminate Guarantee	Exhibit 351.11
4015-E	Rural Carrier Agreement to Use Annual Leave Earned to Reduce Actual Work Hours	Exhibit 351.11
4015-F	Rural Carrier Agreement to Use Annual Leave Earned to Obtain Protected Salary	Exhibit 351.11
4024	Request to Repair Roads	Exhibit 351.11
4027	Petition for Change in Rural Delivery	Exhibit 351.11
4098-F	Employee Identification (Face)	277.233, 277.234, 277.31
4209	Project Authorization	513.112, 517.833
4239	Rural Route Count of Mail	Exhibit 351.11
4240	Rural Carrier Trip Report	Exhibit 351.11
4241	Rural Delivery Statistics Report	Exhibit 351.11
4241-A	Rural Route Evaluation	Exhibit 351.11
4248	Rural Route Inspection Report	Exhibit 351.11
4314-A	Consumer Service Card (Spanish)	Exhibit 351.11
4314-C	Consumer Service Card	Exhibit 351.11
4315	Evaluation of Routes for Motorization	Exhibit 351.11
4460	Vehicle Record/Trip Ticket	Exhibit 351.11
4503	Vehicle Delivery Control Sheet	Exhibit 351.11
4508	Vehicle Maintenance Facility Inventory Order	Exhibit 351.11
4509	VMF Inventory Purchase	Exhibit 351.11
4513	Scheduled/Unscheduled Maintenance Record	Exhibit 351.11



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**Note:** All forms listed with the citation “Exhibit 351.11” are those listed in [Exhibit 351.11](#), *Retention Periods for Post Office Forms*, which begins on page 161.

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4513-A	Scheduled/Unscheduled Shop Maintenance Record	Exhibit 351.11
4515	Vehicle Assignment Justification and Request	Exhibit 351.11
4516	Emergency Vehicle Hire Use	Exhibit 351.11
4523	Damage Claim Certification for Hired Vehicles	Exhibit 351.11
4527	Mail Hauling Vehicle Requirements	Exhibit 351.11
4529	Inventory/Parts Tools	Exhibit 351.11
4533	MVS Schedule	Exhibit 351.11
4534	Inventory Adjustment Record and Parts Transferred Between VMFs	Exhibit 351.11
4539	Railroad Van Movement Log	Exhibit 351.11
4541	Order-Invoice for Vehicle Repair (Commercial Work Order)	Exhibit 351.11
4551	Projected Fleet Requirements	Exhibit 351.11
4565	Vehicle Repair Tag	Exhibit 351.11
4567	Commercial Service Station Procurement Record	Exhibit 351.11
4569	Vehicle Use Plan	Exhibit 351.11
4570	Vehicle Time Record	Exhibit 351.11
4572	Tractor Log	Exhibit 351.11
4574	Daily Record of Gasoline, Diesel Fuel, and Motor Oil Issued	Exhibit 351.11
4575	MVS Vehicle Survey	Exhibit 351.11
4575-A	Five Day Summary — Motor Vehicle Service Vehicle Utilization	Exhibit 351.11
4577	Leased Vehicle Condition Report	Exhibit 351.11
4582	Operator's Record	Exhibit 351.11
4584	Observation of Driving Practices	Exhibit 351.11
4586	Accident Information	Exhibit 351.11
4587	Request to Repair, Replace, or Dispose of Postal-Owned Vehicle	Exhibit 351.11
4594	Vehicle Sales Request and Report	Exhibit 351.11
4595	Sale-Purchase Agreement (Vehicles)	Exhibit 351.11
4597-A	Issuance and Inventory of Supplemental Metric Tool Kit — Auto Mechanic	Exhibit 351.11
4625	Mounted Tires and Batteries Authorized for Fleet Use	Exhibit 351.11
4626	Vehicle Fuel and Motor Oil Purchase Record	Exhibit 351.11, 544.616, 544.624

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**Note:** All forms listed with the citation "Exhibit 351.11" are those listed in [Exhibit 351.11](#), *Retention Periods for Post Office Forms*, which begins on page 161.

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4686	Shipping Order	Exhibit 351.11
4686-A	Shipping Order	Exhibit 351.11
4703	Out of Order	Exhibit 351.11
4707	Out of Order Tag	Exhibit 351.11
4805	Maintenance Work Order Request	Exhibit 351.11, 531.323, 536.41, 536.5
4835	Repair and Alteration Inspection Report	Exhibit 351.11
4841	Fuel and Utilities Record	Exhibit 351.11, 542.13, 542.3
4851	Housekeeping Inspection	Exhibit 351.11
4852	Workload Analysis and Summary	Exhibit 351.11, 535.263, 535.264
4871	Relocation Miscellaneous Expense Allowance Claim	Exhibit 351.11
4872	Claim for Subsistence Expenses — Temporary Quarters	Exhibit 351.11
4877	Reimbursement of Real Estate Expenses — Change of Official Station	Exhibit 351.11
4984	Repair Parts Requisition	Exhibit 351.11
5139	Nonpostal Service Temporary Employee	272.42, 277.242
5140	Non-Postal Service Contractor Employee	272.331, 272.42, 277.243
5201	Mail Van Inspection	Exhibit 351.11
5397	Contract Route Extra Trip Authorization	Exhibit 351.11
5398	Transportation Performance Record	Exhibit 351.11
5399	Contract Routes Performance Record	Exhibit 351.11
5406	Box Delivery Contract Route Survey	Exhibit 351.11
5407	Highway Contract Route Survey/Service Charge	Exhibit 351.11
5420	Certification of Insurance	Exhibit 351.11
5427	Contract Route Review and Award	Exhibit 351.11
5429	Certification of Exceptional Contract Service Performed	Exhibit 351.11
5431	Contract Route Box Customer Notice	Exhibit 351.11
5443	Contract Route Statement, Schedule and Specifications	Exhibit 351.11
5461	Account Due Deceased Contractor	Exhibit 351.11
5463	Highway Mail Transportation Performance Report	Exhibit 351.11
5466	Late Slip	Exhibit 351.11
5479	Contract Adjustments	Exhibit 351.11

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**Note:** All forms listed with the citation “Exhibit 351.11” are those listed in [Exhibit 351.11](#), *Retention Periods for Post Office Forms*, which begins on page 161.

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5500	Contract Route Irregularity Report	Exhibit 351.11
5500-A	Contract Route Irregularity Report	Exhibit 351.11
5505	Cost Evaluation — Postal Vehicle Service versus Contract Service	Exhibit 351.11
5625	Express Mail Custom Designed Service Receipt	Exhibit 351.11
5625-C	Express Mail Custom Designed Service Receipt	Exhibit 351.11
5631	Express Mail Custom Designed Service Agreement	Exhibit 351.11
5637	Express Mail Corporate Account/Custom Designed	Exhibit 351.11
5639	Express Mail Corporate Account Application	Exhibit 351.11
5659	Passport Application Transmittal	Exhibit 351.11, 422.274, 422.281, 422.282, 422.291, 422.292
5660	Summary of Passport Applications Accepted	Exhibit 351.11
5674	EMS Express Mail International Service Manifest	Exhibit 351.11
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6401	Money Order Inquiry	Exhibit 351.11
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7020	Authorized Absence From Workroom Floor	Exhibit 351.11
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7380	MDC Supply Requisition	318.3, Exhibit 351.11, 422.292, 476.3, 531.621
7381	Requisition for Supplies, Services, or Equipment	273.531, 273.532, 344.422, Exhibit 351.11, 372.21, 372.331, 533.532, 863.22

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7407	Basic Surface Transportation Services Contract — General Provisions	Exhibit 351.11
7426	Designation of Emergency Repair Personnel	515.4
7435	Solicitation for Transportation Services Contract	Exhibit 351.11
7437	Facilities Service Request	513.112, 513.122, 514.12, 517.34, 517.51, 517.831, 517.832, 517.833, 517.834, 533.231
7438	Purchase Order Register	Exhibit 351.11
7439	Solicitation Record — Emergency Highway Contract	Exhibit 351.11
7440	Contract Route Service Order	Exhibit 351.11
7440-A	Notice of Change in Schedule	Exhibit 351.11
7440-B	Continuation Sheet for Forms 7440 and 7440-A	Exhibit 351.11
7444	Local Purchase Order	Exhibit 351.11
7445	Inquiry Concerning Renewal of Transportation Services Contract	Exhibit 351.11
7447	Transportation Services Renewal Contract for Regular Service	Exhibit 351.11
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FMM	Financial Management Manual	<a href="#">Exhibit 312</a>
IMM	International Mail Manual	<a href="#">Exhibit 225</a> , 274.231, 274.232, 274.813, 274.91, 274.921, <a href="#">Exhibit 312</a> , 318.1
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