

Update Notice

Administrative Support Manual Issue 13 (July 1999)

(Note: The vertical bars adjacent to the text in this online *Administrative Support Manual* indicate *Postal Bulletin* updates have been incorporated.)

This online version of *Administrative Support Manual* (ASM), Issue 13, published in July 1999 is updated through September 27, 2007, 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/ effective date of...
Chapter 1, Postal Organization				
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
Chapter 2, Audits and Investigations				
211.13	Designation of Functions	delete section 211.13.	22196	12-21-2006
Exhibit 211	Designation of Functions	delete exhibit 211.	22196	12-21-2006
211.14	Federal Laws and Postal Regulations	renumber; previously was 211.13.	22196	12-21-2006
211.141		renumber; previously was 211.131.	22196	12-21-2006
211.142		renumber; previously was 211.132.	22196	12-21-2006
213.3	Definitions	<ul style="list-style-type: none"> ■ reflect organizational and technological changes and to ensure that updated cross references are included. ■ delete reference to "mailgram messages". 	22125	4-1-2004
213.6	Exceptions	Update Office of the Inspector General responsibilities.	22208	6-7-2007
224.1, 224.1.d	Nonmailable Matter	revise DMM references.	22196	12-21-2006
224.2	Lotteries	revise DMM references.	22196	12-21-2006
224.3	Procedural Irregularities	revise DMM references.	22196	12-21-2006
213.3	Definitions	delete reference to "mailgram messages".	22192	10-26-2006

This chapter, subchapter, part, or section...	titled...	was updated to...	in <i>Postal Bulletin</i> issue number...	with an issue/ effective date of...
24	Audits	update the responsibility of the Office of Inspector General in conducting and issuing reports, and the process for Postal Service management in responding to and implementing the audit recommendations.	22130	6-10-2004
25, 251.1, 251.2, 251.3, 251.4, 252.11, 252.12, 252.13, 252.14, 252.15, 252.16, 252.17, 252.21, 252.22, 253.1, 253.2, 253.3, 254.1, 254.2, 254.3, and 254.4	Tort Claims, etc.	reflect the current procedures and organizational responsibilities for investigating accidents and adjudicating tort claims under the existing Postal Service' organizational structure.	22170	12-22-2005
271.341	Security Reviews	revise security procedures.	22165	10-13-2005
271.345	Sensitive Clearance	delete items b and c and renumber item d as item b.	22165	10-13-2005
273.12	Workroom and Restricted Area Access	revise title to Workroom and Restricted Area Access.	22165	10-13-2005
273.121	Limitations	revise security procedures.	22165	10-13-2005
273.122	Door Locks	revise security procedures.	22165	10-13-2005
273.123	Compliance	revise security procedures.	22165	10-13-2005
273.444	Access Control Systems	update security procedures.	22165	10-13-2005
273.461	Key and Access Control Device Accountability	revise title to Workroom and Restricted Area Access and update security procedures.	22165	10-13-2005
274.231	Mail Sealed Against Inspection	reflect changes in the procedures for screening and search of international mail.	22138	9-30-2004
		delete reference to "mailgram messages."	22192	10-26-2006
274.232	Mail Not Sealed Against Inspection	revise DMM references.	22196	12-21-2006
274.31.d, e, j	Sealed Mail Generally Not Detained	revise DMM references.	22196	12-21-2006
274.41	Screening of Mail	reflect changes in the procedures for screening and search of international mail.	22138	9-30-2004

This chapter, subchapter, part, or section...	titled...	was updated to...	in <i>Postal Bulletin</i> issue number...	with an issue/ effective date of...
274.5	Disclosure of Information Collected From Mail Sent or Received by Customers	allow the Postal Service to open, read, and respond to mail addressed to Santa Claus or other seasonal characters or destinations.	22160	8-4-2005
		reflect organizational and technological changes and to ensure that updated cross references are included.	22125	4-1-2004
		add two additional circumstances when the Postal Service may collect images of live mail for specified purposes. rewrite the section to make it easier to understand.	22073	4-4-2002
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
274.813	À Découvert Letter Post Item	reflect changes in the procedures for screening and search of international mail.	22138	9-30-2004
274.82	Special Security Rules	reflect changes in the procedures for screening and search of international mail.	22138	9-30-2004
274.91	Customs and Border Protection	reflect changes in the procedures for screening and search of international mail.	22138	9-30-2004
274.93	Military Postal System	revise DMM references.	22196	12-21-2006
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

This chapter, subchapter, part, or section...	titled...	was updated to...	in <i>Postal Bulletin</i> issue number...	with an issue/ effective date of...
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	update the list of persons that succeed the postmaster general if the postmaster general is incapacitated by an emergency.	22154	5-12-2005
		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
Chapter 3, Communications				
333.647	Public Affairs and Communications, Licensing	<ul style="list-style-type: none"> ■ change title to <i>Licensing, Product Development</i>. ■ Reflect change in organizational responsibility for licensing and rights and permissions to Product Development. 	22214	8-30-2007
		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
338.44	Designation of Postal Facilities by Act of Congress	clarify procedures to be followed when a Postal Service facility is designated by an Act of Congress.	22151	3-31-2005
338.45	Effect of Renaming on Signage	clarify procedures to be followed when a Postal Service facility is designated by an Act of Congress.	22151	3-31-2005

This chapter, subchapter, part, or section...	titled...	was updated to...	in <i>Postal Bulletin</i> issue number...	with an issue/ effective 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
		delete current contents and reserve subchapter 35.	22149	3-3-2005
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
36	Web-Based Communications	reflect evolution of the Postal Service Intranet and Internet environments.	22140	10-28-2004
371.52	Copyrighting Postal Service Material	revise DMM references.	22196	12-21-2006
371.531	Registered Marks	revise DMM references.	22196	12-21-2006
371.532	Requirements	revise DMM references.	22196	12-21-2006
374.2	Ordering Cards	include new business card design and new address for ordering cards.	22106	7-10-2003
Chapter 4, Relations With Other Organizations				
422.1	Reimbursable Services for Federal Agencies	revise organizational responsibilities.	N/A	5-26-2005
422.2	Passport Application Acceptance Service at Designated Post Offices	revise the passport acceptance service.	22215	9-13-07
		correct the passport acceptance service.	22216	9-27-07
422.4	Migratory Bird Hunting and Conservation Stamp Program	update functional responsibilities.	N/A	5-26-2005
423	Mutual Cooperation and Support	revise DMM references.	22196	12-21-2006
43	Postal Service Brand Equity	update the procedures for using the Postal Service brand identity.	22099	4-3-2003

This chapter, subchapter, part, or section...	titled...	was updated to...	in <i>Postal Bulletin</i> issue number...	with an issue/ effective date of...
472.231	Specific Days	clarify the days when the flag is flown half-staff.	22162	9-1-2005
		<ul style="list-style-type: none"> ■ clarify the procedures for displaying the U.S. flag at Postal Service facilities on Peace Officers Memorial Day ■ correct the text to note that Memorial Day is observed on the last Monday in May. 	22134	8-5-2004
474.22	Correspondence	<ul style="list-style-type: none"> ■ include reference to Veterans Administration Form 2008, Application for United States Flag for Burial Purposes. 	22052	6-14-2001
Chapter 5, Facilities and Equipment				
517.11	Inventory Review	revise procedures for reporting excess property.	22163	9-15-2005
519.222	Inscription	update plaque inscription for postmaster general.	22052	6-14-2001
519.224	Plaques Honoring an Individual	clarify procedures to be followed when a Postal Service facility is designated by an Act of Congress.	22151	3-31-2005
531.24	Maintenance Operating Plan	<ul style="list-style-type: none"> ■ delete the section on the maintenance operation plan. 	22203	3-29-2007
		<ul style="list-style-type: none"> ■ include policy and procedures for establishing, updating, and using the maintenance operating plan. 	22086	10-3-2002
533.561	Use	clarify who is permitted to use lookout galleries.	22194	11-23-2006
54	Energy Conservation, Utilities, Heating Fuels, and Bulk Vehicle Fuel	revise procedures for energy conservation and procurement.	22184	7-6-2006
55	Environmental Management	delete the subchapter.	22195	12-7-2006
Chapter 6, Support Services				
611	Policy	provide the list of services associated with the Postal Service information technology environment.	22140	10-28-2004
612	Information Technology	provide the list of services associated with the Postal Service information technology environment.	22140	10-28-2004
62	Supporting Operations	reflect organizational changes.	N/A	4-14-2005

This chapter, subchapter, part, or section...	titled...	was updated to...	in <i>Postal Bulletin</i> issue number...	with an issue/ effective date of...
64	Stamp Services	delete section 645.291 - 645.296 and replace with new part 646.	22149	3-3-2005
		revise functional responsibilities for Stamp Services.	22146	1-20-2005
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
645.53	Procedure	revise text of items <i>a</i> and <i>b(1)</i> .	22121	2-5-2004
645.55	Other Costs	<ul style="list-style-type: none"> ■ 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
661	Responsibilities of the Licensing Group	<ul style="list-style-type: none"> ■ change title to <i>Responsibilities of Product Development</i>. ■ reflect change in organizational responsibility from the Licensing Group to Product Development. 	22214	8-30-2007
662	Licensing Program	<ul style="list-style-type: none"> ■ change title to <i>Licensing</i>. ■ reflect change in responsibility from Licensing Group to Product Development. 	22214	8-30-2007
663	Rights and Permissions	<ul style="list-style-type: none"> ■ add sections (663-663.43), which include organizational responsibilities and policies and procedures for rights and permissions. 	22214	8-30-2007
67	Postal Service Corporate Library	add new section.	22140	10-28-2004
68	Postal History	add new section.	22140	10-28-2004

This chapter, subchapter, part, or section...	titled...	was updated to...	in <i>Postal Bulletin</i> issue number...	with an issue/ effective date of...
Chapter 7, Supply Management				
7	Supply Management	reflect organizational changes.	N/A	3-31-2005
	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	allow short-duration vehicle renting.	22192	10-26-2006
		add two new categories to the list of purchases that you can't make using local buying procedures.	22061	10-18-2001
722.631	General	update the procedure for miscellaneous payments.	22136	9-2-2004
Chapter 8, Information Resources				
8	Information Resources	integrate information technology and information privacy policies under the broader heading of Information Resources; identify information technology—related services and responsibilities. (Completely revised)	22140	10-28-2004
842.1	Description	increase the number of items to consider when registering an application.	22199	2-1-2007
842.2	Requirements	increase the number of items that must be registered on EIR.	22199	2-1-2007
842.3	Responsibilities	expand explanation of duties for IT groups	22199	2-1-2007
842.4	Requests for Access	explain the types of access needed and who needs them.	22199	2-1-2007
861.11	Description	delete the handbook reference at the end of the paragraph.	22175	3-2-2006
861.12	Responsibilities	omit references to the Enterprise Architecture Committee.	22175	3-2-2006

This chapter, subchapter, part, or section...	titled...	was updated to...	in <i>Postal Bulletin</i> issue number...	with an issue/ effective date of...
861.22 , item <i>b</i>	Software	insert reference to Handbook AS-508.	22174	2-16-2006
861.3	Compliance	delete the sentence referring to compliance reviews by EAC.	22174	2-16-2006
862.22	Printing and Imaging	notify USPS employees of new policies on print devices.	22177	3-30-2006
87	Information Security	<ul style="list-style-type: none"> ■ change the title from <i>Security Program</i> to <i>Information Security</i>. ■ include the new security policies and organizational responsibilities covering protection of Postal Service information resources. 	22071	3-7-2002
89	Record Retention	delete subchapter and move to Handbook AS-353, <i>Guide to Privacy, the Freedom of Information Act, and Records Management</i> .	22110	9-4-2003
Appendix, Privacy Act System of Records				
Appendix	Privacy Act System of Records	move entire appendix to Handbook AS-353, <i>Guide to Privacy and the Freedom of Information Act</i> .	22110	9-4-2003

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.
 2. **Additional Copies.** Order by using Form 7380, *MDC Supply Requisition*, from your material distribution center.
- D. **Sale to Public.** The ASM is available for sale to the public through:
TOPEKA MATERIAL DISTRIBUTION CENTER
500 SW MONTARA PKWY
TOPEKA KS 66624-9995
TELEPHONE: 1-800-332-0317
- 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.



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Information Systems

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.

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

422.2 Passport Application Acceptance Service at Designated Post Offices is revised to update passport acceptance service.

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.

Summary of Changes

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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Contents

Summary of Changes	iii
1 Postal Organization	1
11 Authority and Responsibilities	1
111 General Organization	1
111.1 The United States Postal Service	1
111.2 Board of Governors	1
111.21 Composition	1
111.22 Responsibilities	1
111.3 Office of Inspector General	1
111.31 Responsibilities	1
111.32 Inspector General	2
111.321 Appointment	2
111.322 Responsibilities	2
111.323 Extent of Powers	2
111.4 Corporate Officers	3
111.5 Headquarters Organization	3
111.51 Postmaster General	3
111.511 Appointment	3
111.512 Responsibilities	3
111.513 Extent of Powers	3
111.52 Deputy Postmaster General	3
111.53 Chief Operating Officer and Executive Vice President	3
111.54 Heads of Headquarters Organizational Units	4
111.541 Reporting Directly to the Postmaster General	4
111.542 Reporting to the Deputy Postmaster General	4
111.543 Reporting to the Chief Operating Officer and Executive Vice President	4
111.544 Reporting to the Senior Vice President of Government Relations and Public Policy	4
111.545 Reporting to the Chief Financial Officer and Executive Vice President of Finance	4
111.546 Reporting to the Senior Vice President of Human Resources	4
111.547 Reporting to the Senior Vice President of Operations	4
111.548 Reporting to the Chief Marketing Officer and Senior Vice President of Marketing	4
111.549 Reporting to the Chief Technology Officer and Senior Vice President of Technology	5
111.55 Responsibilities	5
111.6 Field Organization	5

111.61	General	5
111.62	Area Locations	5
111.63	Area Functions	5
111.631	Functional Units	5
111.632	Reporting Units	5
111.633	Reporting Relationships	6
111.64	Customer Service District Offices	6
111.641	Reporting Relationships	6
111.65	Support	6
111.651	General	6
111.652	Headquarters Field Units	6
112	Delegations of Authority	7
112.1	Authority to Administer Postal Affairs	7
112.11	The Postmaster General	7
112.12	Corporate Officers	7
112.13	General Counsel	7
112.2	Authority to Function as Notaries Public	7
112.3	Other Delegation	8
112.31	Documentation	8
112.32	Position Title	8
112.33	Level	8
112.34	Agreement With Law	8
112.35	Further Delegation	8
112.4	Use of Signature Devices	8
112.41	General	8
112.42	Policy	8
112.43	Scope	8
112.431	Devices Covered	8
112.432	Devices Not Covered	9
112.44	Responsibility	9
112.441	Officers, Executives, and Managers	9
112.442	Corporate Information Security Office	9
112.443	Chief Information Officer	9
112.45	Procedures for Managing Use of Signature Devices	9
112.451	Obtain Approval	9
112.452	Delegate a Signature Solution Authority	9
112.453	Protect the Signature Device	9
112.454	Record the Use of Signature Devices	10
112.46	Record Retention Periods	10
113	Relationships and Communication Channels	10
113.1	Headquarters and Areas	10
113.2	Channels of Communication	10
113.21	Headquarters With Area Offices	10
113.211	General	10
113.212	Policies	10

Contents

113.213	Procedures	11
12	Post Office Functions	11
121	Responsibilities	11
122	Hours of Duty	11
122.1	Full-Time Offices	11
122.2	Part-Time Offices	11
122.21	Normal Schedule	11
122.22	Variations	11
122.3	FLSA-Nonexempt Postmasters	12
123	Absence From Office	12
123.1	More Than Five Days	12
123.2	Five Days or Less	12
123.3	Emergencies	12
123.4	Assignment of Postmaster Relief	12
123.41	Determination	12
123.42	Office Without Career Clerk	12
123.43	Office With Career Clerk	12
2	Audits and Investigations	15
21	General	15
211	Authority	15
211.1	Responsibility	15
211.11	Inspector General	15
211.12	Chief Inspector	15
211.13	Federal Laws and Postal Regulations	15
211.2	Arrest and Subpoena Powers	16
211.21	Authorization	16
211.22	Limitations	16
211.3	Access to Records	16
211.31	Records and Documents	16
211.32	Disclosure	16
211.33	Exceptions	16
212	Circulars and Rewards	17
212.1	Wanted Circulars	17
212.2	Rewards	17
212.21	Criminal Postal Offenses	17
212.22	Other Rewards	17
212.23	Reward Notices	18
213	Mail Covers	18
213.1	Policy	18
213.2	Scope	18
213.3	Definitions	18
213.4	Authorizations	19

213.41	Chief Postal Inspector	19
213.42	Delegation of Authority	19
213.43	ISOSG Managers and Inspectors in Charge	19
213.44	Directives	20
213.5	Ordering Mail Covers	20
213.51	ISOSG Managers	20
213.511	Circumstances	20
213.512	Approvals	20
213.6	Exceptions	21
213.7	Limitations	21
213.8	Records, Reports, and Review	22
213.81	Records	22
213.82	Reporting to Requesting Authority	22
213.83	Review By Inspector General	22
213.9	Military Postal System	22
214	Forfeitures	22
214.1	Authorization	22
214.2	Administration	23
215	Mail Fraud Investigations	23
22	Postal Emergencies, Losses, and Offenses	24
221	General Reporting Requirements	24
221.1	Reports	24
221.11	Postal Inspection Service	24
221.12	Office of Inspector General	25
221.2	Emergencies	25
221.3	Postal Losses and Offenses and National Defense Material	25
221.4	Telephone Reports	25
221.5	Written Reports	26
221.6	Nonemergencies and Routine Losses and Offenses	26
221.7	Prohibition	26
222	Offenses Reported by Telephone	26
222.1	Loss or Damage	26
222.2	Thefts, Burglaries, or Robberies	26
222.3	Accidents	27
222.4	Assaults or Threats	27
222.5	Controlled Substances	27
222.6	Workers' Compensation	27
222.61	Responsibilities	27
222.62	Types of Fraud and Abuse	27
222.63	Warning Signals	28
222.7	Stamp Offenses	28
222.8	Sabotage	29
222.9	Classified National Defense Matter	29

Contents

222.91	Categories	29
222.92	Mailing Criteria	29
222.93	Handling	29
223	Situations Requiring Special Actions	29
223.1	Demonstrations, Riots, or Picketing	29
223.11	Immediate Notification	29
223.12	Information Provided	29
223.13	Further Action	30
223.2	Explosives	30
223.21	Immediate Notification	30
223.22	Letter or Parcel	30
223.3	Counterfeit Material	30
223.31	Postage Stamps and Meter Indicia	30
223.32	Money Orders and Other Items	30
223.4	Hazardous or Poisonous Materials	30
223.5	Suspected Narcotics	31
223.6	Express Mail Labels	31
224	Offenses Reported by Memorandum	31
224.1	Nonmailable Matter	31
224.2	Lotteries	31
224.3	Procedural Irregularities	31
224.4	Losses	32
224.5	Fraud, Forgery, Impersonation	32
225	Other Situations	32
226	Robberies	33
226.1	Preventive Measures	33
226.2	Actions During Robbery	34
226.3	Actions After Robbery	35
226.31	Notifying Police and Inspectors	35
226.32	Securing Building	35
226.33	Protecting Evidence	35
226.34	Recording Witnesses' Descriptions	35
226.35	Comparing Descriptions	35
226.36	Handling Media Inquiries	35
227	Burglaries	36
227.1	Preventive Measures	36
227.2	Actions After Burglary	37
227.21	Before Entry	37
227.22	After Entry	37
228	Assaults	38
228.1	Employees and Customers	38
228.11	Postal Inspection Service Investigations	38
228.12	Prosecution of Assailants	38

228.13	Disciplinary Action of Employees	38
228.2	Reporting Assaults	38
229	Money Laundering and Foreign Asset Controls	38
229.1	Money Laundering Control	38
229.11	Policy	38
229.12	Responsibilities	38
229.121	Compliance Officer	38
229.122	Postal and Contract Employees	39
229.123	Office of Inspector General and Postal Inspection Service	40
229.13	Training	40
229.14	Internal Controls	40
229.2	Foreign Asset Control	40
229.21	Policy	40
229.22	Compliance Officer Responsibilities	41
23	Withdrawal of Mail Privileges	41
231	False Representation and Lottery Orders	41
231.1	Issuance	41
231.2	Enforcement	41
232	Fictitious Name or Address Orders	41
232.1	Issuance	41
232.2	Enforcement	42
24	Audits	42
241	Responsibility	42
241.1	Office of Inspector General	42
241.2	Mission	42
241.3	Role and Function	42
241.4	Authority	42
241.5	Standards	42
241.6	Cooperation	42
241.7	Liaison	43
241.8	Corporate Audit and Response Management	43
242	Overview	43
242.1	Objectives	43
242.2	Project Category Overview	43
242.3	Process Overview	44
243	Reports	45
243.1	Draft Reports	45
243.11	Transmittal Letters	45
243.12	Management Responses	45
243.2	Release and Distribution of Audit Reports	46
243.21	Headquarters	46
243.211	Office of Inspector General	46
243.212	Freedom of Information Act	46
243.22	Levels Below Headquarters	46

Contents

243.221	Performance Audits	46
243.222	Financial Audits	47
243.223	Contract Audits.....	47
243.224	Protective Reviews.....	47
244	Audit Resolution Process — Unresolved Recommendations.....	47
245	Implementation of Audit Recommendations.....	47
245.1	Management Responsibility	47
245.2	Documentation	47
245.3	Audit Follow-Up.....	48
245.4	Periodic Reviews	48
245.5	Coordinating, Tracking, and Reporting	48
245.51	Headquarters	48
245.511	Corporate Audit and Response Management	48
245.512	Vice Presidents.....	48
245.52	Area Office Level	49
245.53	District Level.....	49
246	Requests for Audit Attention.....	49
246.1	All Levels	49
246.2	Management Responsibility	49
25	Tort Claims	49
251	Responsibilities.....	49
251.1	Definition	49
251.2	Authority	50
251.3	Policy.....	50
251.4	General Services Administration (GSA).....	50
252	Accident Investigation.....	50
252.1	Installation Head or Designee	50
252.11	On-Scene Investigations	50
252.12	Duties	50
252.13	Forms Required	51
252.131	Standard Form 91.....	51
252.132	Form 1700	51
252.133	Standard Form 94.....	51
252.14	Accidents Involving GSA-Controlled Buildings	51
252.15	Accidents Involving Non-Postal Service — Owned Vehicles.....	51
252.16	Accidents in Leased Facilities	51
252.17	Other Accident Investigation Responsibilities	51
252.2	Tort Claims Coordinator	52
252.21	Designation.....	52
252.22	Duties	52
253	Administrative Claim Procedures	52
253.1	Assistance	52
253.2	General Instructions.....	52
253.3	Restrictions	53

254	Claims Payment Authority	53
254.1	Local Payment of Personal Injury and Property Damage Claims	53
254.2	Multiple Claims	53
254.3	Unauthorized Payments	53
254.4	Denial of Claims.	53
254.5	Accidents in Leased Quarters	54
26	(Reserved).	54
27	Security.	54
271	General Responsibilities	54
271.1	Chief Inspector	54
271.2	Installation Heads	54
271.3	Security Control Officers	54
271.31	Policy	54
271.32	Responsibilities	54
271.33	Designation.	55
271.34	Duties	55
271.341	Security Reviews	55
271.342	Potential Threat or Assault	55
271.343	Safety and Security	55
271.344	Employee Involvement	55
271.345	Sensitive Clearance	55
271.4	Authorizations	55
271.5	Examination and Inspection of Postal Property (Including Lockers).	56
271.6	Employees	56
271.61	General.	56
271.62	Employee Requests for Mail.	56
271.63	Placing Mail on Person or in Personal Receptacles.	56
271.64	Employees' Personal Mail	56
271.641	Guidelines.	56
271.642	Exceptions	56
272	Personnel Security Clearances	57
272.1	General	57
272.11	Policy	57
272.12	Responsibility	57
272.13	Scope	57
272.2	Security Clearances.	57
272.21	Nonsensitive Clearance	57
272.22	Sensitive Clearance	57
272.221	National Security Positions.	58
272.222	Public Trust Positions.	58
272.223	Determining Need for Sensitive Clearance.	59
272.224	Initiating Sensitive Clearance	59
272.225	Career Postal Service Employees Changing to Sensitive Position	59
272.226	Processing	59
272.227	Granting Sensitive Clearance	59

Contents

272.23	Denial or Revocation	60
272.231	Criteria	60
272.232	Administrative Procedure to Deny Sensitive Clearance	60
272.233	Denial Reconsideration	60
272.234	Action of Operating Unit Official	60
272.24	Interim Sensitive Clearances	61
272.241	Applicants in Private Industry	61
272.242	Federal Government Employees	61
272.243	Expedited Procedures	61
272.244	Final Clearance	61
272.25	Updating Sensitive Clearances	61
272.26	Exceptions	62
272.3	Clearances for Individuals Under Service Contracts	62
272.31	General	62
272.311	Who Must Have Clearances	62
272.312	Exceptions	62
272.313	Temporary Services Companies	62
272.32	Requirements	63
272.321	Levels of Clearance	63
272.322	Citizenship	63
272.33	Responsibilities	63
272.331	Contracting Officer, Requiring Activities, and Contracting Officer's Representative	63
272.332	Postal Inspection Service	64
272.34	Documentation	65
272.341	General	65
272.342	Basic Clearance	65
272.343	Nonsensitive Clearance	65
272.344	Sensitive Clearance	66
272.345	Interim Sensitive Clearance	66
272.35	Grounds for Denial or Revocation	67
272.36	Reconsideration of Denial	67
272.4	Hiring and Accession Requirements	67
272.41	Employees Requiring Sensitive Clearance	67
272.42	Mail Transportation Contractors	67
273	Facility Security	68
273.1	Protection and Access	68
273.11	Requirement	68
273.111	Responsibilities	68
273.112	Facility Planning Concept	68
273.113	Facility Security Surveys	68
273.12	Workroom and Restricted Area Access	68
273.121	Limitations	68
273.122	Door Locks	68
273.123	Compliance	69
273.13	Employee Responsibilities	69
273.131	Unauthorized Individuals	69

273.132	Reporting Conditions or Conduct	69
273.133	Emergency Actions.....	69
273.14	Security Force	69
273.15	Police Protection	69
273.16	Security by Contract.....	69
273.161	Policy	69
273.162	Procedures	70
273.163	Union Notification.....	70
273.17	Closed Circuit Television System Security.....	70
273.171	Scope	70
273.172	Policy	70
273.173	Responsibility	71
273.2	Alarms and Sensors.....	71
273.3	Security Counter Lines	71
273.4	Locks, Keys, and Access Control Cards	71
273.41	Responsibility	71
273.42	Postal Inspection Service Locks	71
273.43	Postal Inspection Service Keys	72
273.431	O Key	72
273.432	J Key.....	72
273.433	Ordering Procedures	73
273.434	Key Log	73
273.44	Postal Service Locks	73
273.441	Exterior	73
273.442	Electronic Strike	73
273.443	Delayed-Exiting Locks	73
273.444	Access Control System	73
273.45	Postal Service Keys and Access Control Cards	74
273.451	Postal Employees.....	74
273.452	Nonpostal Occupants.....	74
273.453	Contractors.....	74
273.46	Key Accountability	74
273.461	Key and Access Control Device Accountability	74
273.462	Return of Keys	74
273.463	Unassigned Keys	74
273.464	Key Survey	74
273.47	Reporting Lost or Stolen Keys or Access Control Cards.....	74
273.471	Procedures	74
273.472	Postal Inspection Service Keys	75
273.48	Master Keys	75
273.5	Security Containers, Safes, and Vaults	75
273.51	Security Containers and Safe Equipment	75
273.511	General	75
273.512	Description	75
273.513	Exception	75
273.52	Vault Equipment	75
273.521	Criteria for Use	75

Contents

273.522	New or Replacement Vault Doors	75
273.523	Modular Vaults	76
273.524	Cash Drawers	76
273.525	Exception	76
273.526	Magnetic Media	76
273.53	Requisitions	76
273.531	Procedure	76
273.532	Justification	76
274	Mail Security	76
274.1	Importance	76
274.2	Opening, Searching, and Reading Mail Generally Prohibited	77
274.21	Mail Sealed Against Inspection	77
274.22	Mail Not Sealed Against Inspection	77
274.23	Definitions	77
274.231	Mail Sealed Against Inspection	77
274.232	Mail Not Sealed Against Inspection	78
274.24	Correspondence in Unsealed Mail	78
274.3	Permissible Detention of Mail	78
274.31	Sealed Mail Generally Not Detained	78
274.32	Unsealed Mail	79
274.4	Mail Reasonably Suspected of Being Dangerous to Persons or Property	79
274.41	Screening of Mail	79
274.42	Threatening Pieces of Mail	80
274.43	Reports	80
274.5	Disclosure of Information Collected From Mail Sent or Received by Customers	80
274.51	Disclosure of Information from Contents of Sealed Mail	82
274.6	Execution of Search Warrants	82
274.61	Warrant Issued by Federal Court or Served by Federal Officer	82
274.62	Search Warrant Execution Procedures	82
274.63	Notice to Sender or Addressee	83
274.7	Cooperation With Federal, State, and Local Agencies	83
274.8	International Transit Mail	83
274.81	Definitions	83
274.811	International Transit Mail	83
274.812	Closed Mail	84
274.813	À Découvert Letter Post Item	84
274.82	Special Security Rules	84
274.9	Mail Security, Law Enforcement, and Other Government Agencies	84
274.91	Customs and Border Protection	84
274.911	Inbound Mail	84
274.912	Outbound Mail	85
274.913	International Transit Mail	86
274.92	U.S. Department of Agriculture	87
274.921	Foreign Origin Mail	87

274.922	Domestic Mail From Hawaii or Puerto Rico	87
274.923	Terminal Inspections	87
274.93	Military Postal System	87
274.94	Customs Inspection in Territories and Possessions	87
274.941	American Samoa	87
274.942	Guam	87
274.943	Northern Mariana Islands	88
274.944	U.S. Virgin Islands	88
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	88
274.96	Mail Addressed to Prisoners	88
275	Physical ADP Security	89
275.1	General	89
275.2	ADP Contingency Planning	89
275.21	General	89
275.22	Backup Principles	89
275.23	Contingency Plans	89
275.3	Periodic Reviews	89
276	Firearms Security	90
276.1	Issuance of Firearms	90
276.2	Violations of Firearms Security	90
276.21	Having Firearms on Postal Property	90
276.22	Carriage of Firearms by Postal Employees	90
277	Identification Security	90
277.1	Purpose	90
277.2	Types of Accredited Identification	90
277.21	Headquarters Only	90
277.211	Top Officials	90
277.212	Form 2041, USPS Building Pass — Headquarters	91
277.213	Form 2041-A, Headquarters Building Pass — Tenant	91
277.22	Headquarters and Field	91
277.221	Form 128, Travel and Admittance Identification Credential Card (Blue)	91
277.222	Form 1823, EEO Credential	91
277.23	Field Only	91
277.231	Form 1375, Employee Identification Card	91
277.232	Form 1375-P, Postmaster's Identification Card	91
277.233	Form 4098-F and Employee Identification	92
277.234	Item O8405A, Temporary Employee Badge	92
277.235	Item O8405B, Visitor Access Control Badge	92
277.236	Item O8405C, Contractor Access Control Badge	92
277.237	Electromechanical Access Control Identification	92
277.24	Highway Contract Route Contractor ID Cards	93
277.241	General	93
277.242	Form 5139, Nonpostal Service Temporary Employee	93
277.243	Form 5140, Nonpostal Service Contractor Employee	93

Contents

277.25	Postal Inspection Service	93
277.26	Office of Inspector General	93
277.3	Displaying Identification	93
277.31	Proper Wearing	93
277.32	Unauthorized Wearing	93
277.33	Special Situations	93
277.4	Requisitioning	94
277.41	Items	94
277.42	Clips	94
277.5	Custody and Protection	94
277.6	Returning Identification	94
277.7	Lost or Unreturned Identification	94
277.71	Precautions	94
277.72	Replacement Fee	94
278	Mail Security During Collection and Delivery	95
278.1	Use of Locks and Keys	95
278.11	Arrow Locks	95
278.12	Modified Arrow Locks	95
278.2	Request for Waiver of Requirements in This Part	96
28	Emergency Preparedness	96
281	Contingency Planning	96
282	Authorities	96
283	Preparedness Planning Objectives	96
284	Planning Responsibilities	97
284.1	Postal Service Emergency Coordinator	97
284.2	Vice President, Area Operations	97
284.3	Emergency Coordinating Committees	97
284.31	Headquarters	97
284.32	Area Office	97
284.4	Postmasters	97
285	Contingency Plans	98
285.1	Domestic Emergencies	98
285.11	Examples	98
285.12	Guidelines	98
285.13	Developing Plans	98
285.131	Contingencies	98
285.132	Advance Information	98
285.2	International Emergencies	98
285.21	Definition	98
285.22	Guidelines	99
285.23	Developing Plans	99
285.3	ADP Contingency Plans	99
286	Emergency Lines of Succession	99

286.1	Postmaster General	99
286.2	Headquarters and Field	99
3	Communications	101
31	Policies and Procedures	101
311	Definition	101
312	Types	101
312.1	Corporate	101
312.2	Local	103
312.21	Areas	103
312.211	Operational Instructions	103
312.212	Internal Instructions	103
312.22	Other Installations	103
313	Responsibilities	103
313.1	Headquarters	103
313.11	Corporate Publishing and Information Management	103
313.12	Originating Organizational Units	103
313.13	Affected Organizational Units	103
313.131	Labor Relations	103
313.132	Other Affected Organizational Units	103
313.2	Field	104
313.21	Areas	104
313.22	Other Installations	104
314	Coordination	104
314.1	Headquarters Policies and Procedures	104
314.2	Field Policies and Procedures	104
314.21	Areas	104
314.22	Other Installations	104
315	Prohibitions	105
316	Action	105
317	Ordering Policy and Procedure Documents	105
318	Public Accessibility and Sale	105
318.1	Availability for Review	105
318.2	Public Sale	105
318.3	Free Publications	106
32	Forms Management	106
321	Policy	106
322	Classes of Forms	106
322.1	Postal Forms	106
322.11	Postal Service (PS) Forms	106
322.12	Temporary (X) Forms	106
322.13	Local Forms	107
322.2	Other Government Forms	107

Contents

322.21	General	107
322.22	Standard Forms (SF)	107
322.23	Optional Forms (OF)	107
322.24	Other Agency Forms	107
322.3	Exception	107
323	Responsibilities	107
323.1	Headquarters Functional Units	107
323.2	Forms Management	107
323.3	Field Management	108
323.4	Material Management	108
324	Development, Coordination, and Clearance	108
324.1	Development	108
324.2	Coordination and Clearance	108
325	Restrictions	109
325.1	Overprinting	109
325.2	Modifying PS Forms	109
326	Ordering Forms	109
327	Retaining Completed Forms	109
328	Suggestions About Forms	109
33	Communications With the Public	110
331	General	110
331.1	Policy	110
331.2	Responsibility	110
331.21	Headquarters	110
331.22	Field Offices	110
331.23	Spokespersons	110
332	Public/Media Relations	110
332.1	Policy	110
332.2	Responsibility	111
332.3	Procedures	111
332.31	Media Inquiries	111
332.32	Advance Copies	111
332.4	Field Managers	111
332.41	Local Media Relations	111
332.42	Exception	111
333	Community Relations	111
333.1	Policy	111
333.2	Responsibility	111
333.3	Procedures	112
333.4	Field Managers	112
333.5	Open Houses, Tours, and Postmaster Installations	112
333.51	Objectives	112
333.52	Implementation	112

333.53	Expenditures	113
333.6	Endorsement of Nonpostal Products, Services, or Businesses	113
333.61	Background	113
333.62	Definitions	113
333.63	Policy	114
333.631	Employee Restrictions	114
333.632	Purchasing Contract Language	115
333.64	Responsibilities	115
333.641	Employee	115
333.642	Manager	115
333.643	Postal Contracting Officer and Representative	116
333.644	Associate Vice President, Sales, and Executive Manager, National Accounts	116
333.645	Law Department Ethics Officials	116
333.646	Public Affairs and Communications, Communications and Brand Equity	116
333.647	Licensing, Product Development	117
333.7	Participation in Community Service Activities	117
333.71	General	117
333.711	Purpose	117
333.712	Definitions	117
333.713	Scope	118
333.714	Responsibility	118
333.72	Criteria	118
333.721	Mandatory Criteria	118
333.722	Suggested Criteria	119
333.73	Employee Activity	119
333.731	On-the-Clock	119
333.732	Off-the-Clock	119
333.74	Postal Service Property and Postal Service Funds	120
333.741	Postal Service Property	120
333.742	Postal Service Funds	120
333.75	Questions and Answers About the Postal Service's Community Service Policy	121
333.751	General	121
333.752	Causes That Can Be Supported	121
333.753	Acceptable Actions by the Postal Service and Employees	121
333.754	Unacceptable Actions by the Postal Service and Employees	122
333.755	Organizations the Postal Service Can and Cannot Work With	123
333.76	Pre-Event Evaluation	125
333.761	Purpose	125
333.762	PS Form 3337-A	125
333.763	Guidance for Completing PS Form 3337-A	125
333.764	Evaluation Assistance	126
333.77	Post-Event Evaluation	129
333.771	Purpose	129
333.772	Procedure	129
334	Postal Exhibits	131

Contents

334.1	Policy	131
334.2	Procedures	131
334.21	General	131
334.22	New Exhibits	131
334.3	Audiovisual Services	131
335	Marketing Communications	131
335.1	Policy	131
335.2	Responsibility	131
335.3	Communications Tools	131
335.4	Advance Copies	131
336	Executive Communications	132
336.1	Policy	132
336.2	Responsibility	132
337	Corporate Communications	132
337.1	Policy	132
337.2	Responsibility	132
338	Legislative, Executive Relations	132
338.1	Scope	132
338.2	Responsibility	132
338.3	Inquiries on Postal Policy	133
338.31	Scope	133
338.32	Headquarters	133
338.33	Field	133
338.4	Field Management	133
338.41	Displays in Postal Facilities	133
338.411	Notices Authorized	133
338.412	Restrictions	133
338.413	Prohibitions	133
338.42	Undeliverable Franked Mail	134
338.43	Mailing Lists	134
338.44	Designation of Postal Facilities by Act of Congress	134
338.45	Effect of Renaming on Signage	136
338.5	Legislation	136
338.6	Release of Information	136
339	Inspection Organizations	136
339.1	Office of Inspector General	136
339.11	Responsibility	136
339.12	Legislative Relations	136
339.13	Spokesperson	136
339.14	Media Inquiries	136
339.2	Postal Inspection Service	137
339.21	Policy	137
339.22	Responsibility	137
339.221	Headquarters	137

339.222	Spokespersons	137
339.223	Media Relations	137
339.23	Procedures	137
339.231	Media Inquiries	137
339.232	Advance Copies	138
339.24	Local Media Relations	138
339.25	Legislative, Executive Relations	138
339.251	Responsibility	138
339.252	Legislation — General	138
339.253	Release of Information	138
34	Employee Communications	139
341	General	139
341.1	Policy	139
341.2	Responsibility	139
342	Publications	139
342.1	National Employee Publications	139
342.2	Area Employee Newsletters	139
342.21	Criteria	139
342.22	Newsletter Design Guidelines	139
342.23	Performance Cluster Newspaper Design Guidelines	140
342.3	Other Employee Communications Vehicles	140
343	Employee and Field Audiovisual Communications	140
343.1	Policy	140
343.2	Responsibility	140
343.3	Procedures	141
343.31	General	141
343.32	Requests	141
343.33	Funding	141
343.4	Focus	141
344	Creative Services	141
344.1	Policy	141
344.2	Responsibility	141
344.3	Workroom Posters	141
344.31	General	141
344.32	Procedures	142
344.4	Graphic Services	142
344.41	Purpose	142
344.411	Graphics and Promotional Material	142
344.412	Presentation Material	142
344.42	Procedures	142
344.421	Services Provided	142
344.422	Funding	142
344.423	Production	142
35	[Reserved]	143
36	Web-Based Communications	143

Contents

361	Intranet	143
362	Internet	143
37	Printing, Copying, and Duplicating	144
371	General	144
371.1	Scope	144
371.2	Policies	144
371.21	Printing, Copying, and Duplicating	144
371.22	Procurement	144
371.23	Production	144
371.3	Responsibilities	144
371.31	Servicewide	144
371.32	Printing Purchasing	144
371.33	Field	145
371.4	Definitions	145
371.41	Processes	145
371.42	Types of Printing	145
371.43	Printing and Duplicating Terms	146
371.5	Copyrights	146
371.51	Reproducing Copyrighted Material	146
371.511	Policy	146
371.512	Procedure	146
371.513	Responsibility	146
371.52	Copyrighting Postal Service Material	146
371.53	Trademarks and Service Marks	147
371.531	Registered Marks	147
371.532	Requirements	147
371.533	Reference	147
371.54	Corporate Identity	147
371.6	Restrictions	147
371.61	Duplicating	147
371.611	Quantities	147
371.612	Prohibited Equipment	147
371.62	Printing Included in Contracts	148
371.621	Contractors	148
371.622	Copy Requirements	148
371.63	Directives and Forms	148
371.64	Paper Standards	148
371.641	General	148
371.642	Recycled Paper	150
371.65	Printing Prohibitions	150
371.651	Greeting Cards	150
371.652	Commercial Advertisements	150
371.653	Private or Commercial Work	150
371.654	Stationery	150
371.66	Artwork and Credits	150

371.661	Art Signatures	150
371.662	Illustrations	150
371.663	Courtesy Credit Lines	150
371.67	Mailing	151
371.671	General	151
372	Copying and Duplicating	151
372.1	General	151
372.11	Use	151
372.12	Equipment Authorized	151
372.13	Standard Size	152
372.2	Acquiring Services	152
372.21	Requests for Duplicating and Microforms	152
372.22	Log — Centralized Duplicating Facility	152
372.23	Sources	152
372.3	Acquiring Equipment	152
372.31	Scope	152
372.32	Transfer	153
372.321	Postal Service Excess Equipment	153
372.322	Other Agency Surplus Equipment	153
372.33	Purchase or Rent	153
372.331	Requests	153
372.332	Approvals	153
372.333	Filling Requests	153
372.4	Replacement Criteria	153
372.41	High-Speed Copying Equipment	153
372.42	Slower Copying Equipment	153
373	Printing	153
373.1	Headquarters Printing	153
373.2	Field Printing	153
373.21	Responsibility	153
373.22	Procurement	154
373.23	Requisitioning	154
373.231	GPO	154
373.232	GPO Requisition Numbering	154
373.233	Billing Address Code	154
373.234	Other Government Agency Orders	155
373.3	Commercial Field Printing	155
374	Business Cards	155
374.1	Policy	155
374.11	Authorized Users	155
374.12	Use	155
374.2	Ordering Cards	155
4	Relations With Other Organizations	157
41	Military Post Offices	157

Contents

411	Description	157
412	Establishment and Discontinuance	157
42	Services	157
421	General	157
421.1	Policy	157
421.11	Conditions	157
421.12	Fees	157
421.2	Approvals	157
421.21	Procedure	157
421.22	Authorization	158
421.3	Prohibition	158
422	Interagency Agreements	158
422.1	Reimbursable Services for Federal Agencies	158
422.2	Passport Application Acceptance Service at Designated Post Offices	158
422.21	Applicability	158
422.22	General Policy and Procedures	158
422.221	General Policy	158
422.222	Procedures	159
422.23	Rates and Fees	159
422.24	Required District Coordination — Acceptance Post Offices and Regional Passport Agency Offices	159
422.241	Coordination	159
422.242	District and Passport Location Designee	159
422.25	Determination of Sites and Establishment of Passport Application Acceptance Facilities	159
422.251	Determination of Sites	159
422.252	Requests for Establishment or Changes to Passport Application Acceptance Facilities	160
422.26	Preparation at Newly Authorized Locations	161
422.261	Instructions	161
422.262	Acceptance Employees	162
422.263	Acceptance Location	162
422.264	Training	162
422.265	Service Hours	162
422.266	Signs	163
422.27	Application Acceptance Guidelines	163
422.271	Passport Agent's Reference Guide	163
422.272	Passport Application Acceptance Procedures	163
422.273	Payment of Passport Fees and Financial Procedures	164
422.274	Express Mail Purchase by the Customer — Procedures	168
422.28	End-of-Day and Individual Clerk Closeout Procedures	169
422.281	Daily Remittance of DS-11, Passport Applications, to the Department of State or Designee	169
422.282	Individual Sales and Service Associates Closing Procedures	171
422.29	Reports, Records, Discrepancies, Forms, and Supplies	172
422.291	Reports, Records, and Discrepancies	172
422.292	Forms and Supplies	173

422.3	(Reserved)	174
422.4	Migratory Bird Hunting and Conservation Stamp Program	174
422.41	Description	174
422.42	Background	174
422.421	Fees	174
422.43	Implementation	174
422.431	Staff Responsibility	174
422.432	Quantities of Stock	174
422.433	Stamp Accountability	174
422.434	Reporting Procedures	174
423	Mutual Cooperation and Support	174
43	Postal Service Brand Equity	175
431	Postal Service Brand	175
432	Brand Identity	175
433	Brand Equity	176
433.1	Responsibility	176
433.2	Review and Approval Process	176
433.21	General	176
433.22	Getting Approval	176
44	Commercial Advertising Policy	177
441	Purpose	177
442	Definition	177
443	Responsibilities	177
443.1	Commercial Advertising Committee	177
443.2	Commercial Advertising Policy Group	177
443.3	Core Business Marketing	178
444	Current Practices and Procedures	178
445	No Local Authority	178
446	Postal Service Property	178
447	Procedures	178
447.1	General	178
447.2	Indecent or Obscene Advertisement	178
447.3	Competing Products or Services	179
447.4	Alcohol, Tobacco, or Weapons	179
448	Clearance	179
45	Postal Rate Commission	181
451	Policy	181
452	Responsibilities	181
452.1	Manager of Activity-Based Management	181
452.2	Chief Counsels	181
452.3	Managers of Field Installations	181
452.31	PRC Requests	181
452.32	Notification of PRC Itineraries	181
453	Inquiries on Postal Policy	182

Contents

46	Relations With Private Agencies	182
461	American Red Cross	182
461.1	General	182
461.2	Responsibilities	182
461.3	Joint Services Provided	182
461.31	General	182
461.32	Address Changes	182
461.321	Form 3575	182
461.322	Disaster Relief	182
461.33	Other Efforts	183
461.331	Disaster Planning	183
461.332	Information Exchange	183
462	Combined Federal Campaign (Reserved)	183
463	Carrier Alert	183
463.1	Policy	183
463.2	Responsibility	183
463.3	Procedures	183
463.31	Notification	183
463.32	Postal Liaison	184
463.321	Employee Designation	184
463.322	Program Organization	184
463.4	Criteria	184
47	Flags	188
471	Flags at Postal Facilities	188
471.1	Which May Be Displayed	188
471.2	Relative Placement	188
471.21	When Displayed on Flagstaffs	188
471.22	When Displayed on Speaker's Platform	188
472	U.S. Flag Display	188
472.1	Regulations for Proper Display	188
472.11	Placement	188
472.12	Respect	188
472.13	Raising and Lowering	189
472.131	Full Staff	189
472.132	Half-Staff	189
472.14	Bad Weather	189
472.2	Postal Display	189
472.21	Where Displayed	189
472.22	When Displayed	190
472.23	When Displayed Half-Staff	190
472.231	Specific Days	190
472.232	Deaths of Prominent Persons	190
472.233	Other Occasions	191
472.3	Requisitioning New Flags	191
473	U.S. Flag Maintenance and Supply	192

473.1 Repairs 192

473.2 Destruction 192

473.3 Requisitioning New Flags 192

474 U.S. Burial Flags 192

474.1 Policy 192

474.11 Deceased Veterans 192

474.12 Disposition of Flag 192

474.2 Cooperation With VA 192

474.21 Post Offices as Depositories 192

474.22 Correspondence 192

475 Postal Service Flag Display 193

475.1 Authorized Use 193

475.2 Display Regulations 193

475.3 Requisitioning New Postal Service Flags 193

476 POW-MIA Flag Display 193

476.1 Policy 193

476.2 Display 194

476.21 Description 194

476.22 Regulations 194

476.23 Placement With the United States Flag 194

476.3 Requisitioning New POW-MIA Flags 194

5 Facilities and Equipment 195

51 Facilities 195

511 General 195

511.1 Responsibilities 195

511.11 Overall 195

511.12 Area Offices 195

511.13 References 196

511.2 Delegation of Authority 196

511.21 Approval Authority 196

511.211 Handbook F-66 Series 196

511.212 Delegation 196

511.22 Contracting Authority 196

512 Facility Requirements 197

512.1 General 197

512.11 Policy 197

512.12 Definitions 197

512.13 Responsibilities 197

512.131 Headquarters 197

512.132 Area Offices 197

512.14 References 197

512.2 Facility Planning and Budgeting 197

Contents

512.21	Project Identification	197
512.211	Approval Factors	197
512.212	Long-Range Planning	198
512.213	Notification of Deficiencies	198
512.22	Project Scheduling	198
512.221	Five-Year Needs	198
512.222	Planning Cycle	198
512.223	Priorities — Area Projects	198
512.224	Priorities — Major Projects	198
512.23	Planning Documentation	198
512.231	Preparation	198
512.232	Facility Planning Concept	199
512.233	Space Requirements	199
512.234	Decision Analysis	199
512.3	Funding Approval	199
512.4	Facility Activation	199
513	Acquiring Space	199
513.1	New or Existing Facilities (Leased or Owned)	199
513.11	Procedures for Acquiring New Space	199
513.111	Documentation and Requests	199
513.112	Request for Service or Project Authorization	199
513.12	Continuing Space in Existing Leased Quarters	199
513.121	When Annual Rate Is \$25,000 or Less	199
513.122	When Annual Rate Is More Than \$25,000	200
513.13	Emergency Space	200
513.14	Christmas Space Assistance	200
513.2	Security and Safety Management	200
514	Changes Affecting Leases	200
514.1	Cancellation	200
514.11	General	200
514.12	By Postal Service	200
514.13	By Lessor	200
514.2	Vacating Building	200
514.3	Notification of Building Acceptance	201
515	Repair of Leased Premises	201
515.1	Preventive Maintenance	201
515.2	Repairs	201
515.3	Emergency Repairs	201
515.4	Change of Ownership	201
516	Repairs and Alterations	201
516.1	Procedures	201
516.11	Minor Repairs and Alterations	201
516.12	Historically Significant Facilities	201
516.13	Avoiding Hazardous Conditions	202
516.131	Asbestos	202

516.132	Lead-Based Paint	202
516.2	Installation of Additional Post Office Boxes	202
516.21	Policy	202
516.22	Scope	202
516.23	Postal-Owned Facilities	202
516.231	Relocation	202
516.232	Redesign	202
516.24	Government Services Administration-Controlled Facilities	202
516.241	GSA-Postal Service Agreement	202
516.242	Other Modifications	203
516.25	Other Leased Facilities	203
516.251	Panel Replacement	203
516.252	Submissions	203
516.26	Contracts	203
516.27	Processing Requests	203
516.271	Request for Services	203
516.272	Denials	203
516.273	Approvals	203
517	Real Property Management	203
517.1	Disposal of Postal Service-Owned Excess Real Property	203
517.11	Inventory Review	203
517.12	Procedure for Disposal	204
517.121	Approval and Recommendation	204
517.122	Funding	204
517.123	Environmental Concerns	204
517.124	Relocation of Artwork	204
517.13	Protection of Vacant Property	204
517.131	Responsibility	204
517.132	Requirements	204
517.133	Day-to-Day Management	205
517.2	Interchange of Space in Postal Service and GSA Buildings	205
517.21	GSA-Postal Service Agreement	205
517.22	Rent	205
517.23	GSA-Postal Service Relationship	205
517.3	Leasing Excess Space and Facilities	206
517.31	General	206
517.32	Assigning Space to GSA	206
517.321	Assignment Rights	206
517.322	Excess Space	206
517.33	Leasing to the Private Sector	206
517.331	Procedure	206
517.332	General Requirements	206
517.333	Specific Requirements	206
517.334	Lease Requirements	206
517.34	Reporting Excess Space, Buildings, and Land	207
517.35	Assignment of Space to Credit Unions (As Applicable Under the	

Contents

National Labor Agreements)	207
517.4 Obtaining Space by GSA in Postal Service-Controlled Buildings	207
517.41 Requests From Government Agencies	207
517.42 Procedure	207
517.43 Assignment of Space to GSA	207
517.44 Alterations to Vacant Space	207
517.45 Initial Tenant Alterations	208
517.46 Monitor Space Assignments	208
517.5 Obtaining Space by Postal Service in GSA-Controlled Buildings	208
517.51 Procedure	208
517.52 Initial Tenant Alterations	208
517.53 Alterations, Improvements, and Services	208
517.6 Preemption by the Postal Service or GSA of Space Occupied by the Other	208
517.61 General	208
517.62 Postal Service-Controlled Buildings	208
517.621 Notification	208
517.622 Returning Space	209
517.63 GSA-Controlled Buildings	209
517.631 Notification	209
517.632 Returning Space	209
517.64 Funding	209
517.641 Moving Expenses	209
517.642 Telephones	209
517.643 Budgeting	209
517.7 Building Operations and Maintenance	209
517.71 Operation of Parking Facilities	209
517.711 Assignment of Postal Spaces	209
517.712 Assignment of Nonpostal Spaces	209
517.713 Other	210
517.72 Building Services	210
517.8 Reimbursable Services in Excess of Rent or Standard Level of Services	210
517.81 Policy	210
517.82 Definitions	210
517.83 GSA Buildings Occupied by Postal Service	210
517.831 Procedure	210
517.832 Submission	210
517.833 Form 4209	211
517.834 GSA Form 2957	211
517.84 Postal Service Buildings Occupied by GSA	211
517.841 Procedure	211
517.842 Unauthorized Use of Space	211
518 Facility Planning	211
518.1 General	211
518.2 Community Contact	211
518.21 Purpose	211

518.22	Application	212
518.221	Notification	212
518.222	Exception	212
518.23	Notification of Local Officials	212
518.231	Coordination	212
518.232	Comments	212
518.233	Discussion	214
518.234	Public Meeting	214
518.235	Decision to Expand Existing Space or Advertise for Sites and Existing Buildings	215
518.236	Site Review by Facilities Personnel	215
518.237	Site Selection by Facilities Personnel	215
518.238	Negative Reaction	215
518.24	Final Project Development	216
518.241	Alternatives	216
518.242	Review Process	216
518.243	Completion	216
518.3	Compliance With Randolph-Sheppard Act Amendments of 1974	216
518.31	Policy	216
518.32	Requirements	216
518.4	Environmental Review	216
518.5	Compliance With Clean Air Act, Clean Water Act, and Safe Drinking Water Act	216
518.6	Security Evaluation	217
518.7	Facility Activation	217
519	Design and Construction	217
519.1	Building Design Standards	217
519.11	Policy	217
519.12	Standard Programs	217
519.2	Identifying Postal Facilities	218
519.21	Interior	218
519.22	Dedicatory Plaques and Memorials	218
519.221	Policy	218
519.222	Inscription	218
519.223	Historic Building Designation	218
519.224	Plaques Honoring an Individual	218
519.3	Energy Conservation Design Standards	219
519.31	Policy	219
519.32	Background	219
519.4	Safety and Health	219
519.41	Accessibility for Persons With Physical Disabilities	219
519.42	Structural Loads	219
519.43	Regulations	219
519.5	Facility Cost Control	219
52	Equipment Requirements for Nonfixed Mechanization	219
521	General	219

Contents

521.1	Policy	219
521.2	Definitions	220
521.3	Responsibility	220
521.31	Headquarters Engineering	220
521.32	Areas	220
521.4	Justification	220
522	New Nonfixed Mechanization	221
522.1	Procedures	221
522.11	Program Management	221
522.12	Basis for Requirements	221
522.13	Budgeting	221
522.14	Identification of Requirements	221
522.15	Justification of Requirements	221
522.2	Procurement	222
522.3	Deployment	222
522.31	Selection	222
522.32	Schedule	223
522.33	Problems	223
522.4	Savings	223
523	Relocation	223
524	Modification	223
525	Development	224
525.1	Development Phase	224
525.11	Initiation	224
525.12	Review	224
525.13	Field Testing	224
525.2	Operational Phase	224
526	Test and Evaluation of Commercially Available Equipment	224
526.1	Purpose	224
526.2	Types of Equipment Tested	224
526.3	Procurement	224
53	Maintenance	225
531	General	225
531.1	Scope	225
531.2	Policy	225
531.21	Definitions	225
531.22	Objectives	225
531.23	Safety	225
531.231	Necessity for Program	225
531.232	Nature of Program	225
531.233	Observance of Safe Practices	225
531.234	Application of Safeguards	226
531.235	Fire Extinguishers	226
531.3	Maintenance Categories	226

531.31	Preventive and Predictive Maintenance	226
531.311	Definition	226
531.312	Establishing Program	226
531.313	Record Keeping	226
531.32	Corrective Maintenance	227
531.321	Definition	227
531.322	Repairs to Postal Equipment	227
531.323	Guidance and Record Keeping	227
531.324	Repair Centers	227
531.33	Operational Maintenance	227
531.4	Computerized Maintenance Management Information System	227
531.41	Description	227
531.42	Information Reported	228
531.421	Program Data	228
531.422	Reports	228
531.43	Reference	228
531.5	Maintenance Capability	228
531.51	Offices With Maintenance Capability	228
531.52	Offices Without Maintenance Capability	228
531.6	Maintenance Documentation	229
531.61	Requirements	229
531.62	Types of Documentation	229
531.621	Maintenance Handbooks	229
531.622	Maintenance Management Orders	229
531.623	Modification Work Orders	229
531.624	Software Modification Orders	230
531.625	Equipment Drawings and Specifications	230
531.626	Maintenance Service Bulletins	230
531.63	Maintenance Recommendations	230
531.7	Staffing Requirements and Authorizations	230
531.71	Authorizations	230
531.711	Custodial and Plant Equipment	230
531.712	References	230
531.72	Postal Equipment	231
531.721	Procedure	231
531.722	Maintenance Recommendations	231
531.73	Maintenance Operations Support	231
531.74	Self-Service Postal Equipment	231
532	Equipment Modifications and Configuration Control	231
532.1	Configuration Control and Management	231
532.11	Purpose	231
532.12	Applicability	231
532.2	Equipment Modifications	232
532.21	Conditions	232
532.211	Plant Equipment	232
532.212	Fixed Mechanization	232

Contents

532.213	Nonfixed Mechanization	232
532.214	Headquarters-Developed Modifications	232
532.22	Installation	232
532.23	Documentation	232
533	Facility and Plant Equipment Maintenance	232
533.1	General	232
533.11	Postal Service-GSA Agreement	232
533.12	Scope	233
533.13	Rent	233
533.2	Building Services and Management	233
533.21	Custodial	233
533.22	Postal Service-Owned Buildings	233
533.221	Building Services	233
533.222	Parking Space	233
533.23	GSA-Owned Buildings	233
533.231	Building Services	233
533.232	Parking Space	233
533.3	Repair and Initial Alteration Responsibilities	233
533.31	Repairs	233
533.32	Initial Space Alterations	233
533.321	General	233
533.322	Office Space	233
533.323	Storage Space	234
533.324	Conference and Training Areas	234
533.325	Other Areas	235
533.33	Special Requirements	235
533.4	Building Maintenance	235
533.41	Postal Service-Owned Buildings	235
533.411	Scope	235
533.412	Maintenance Responsibilities	235
533.413	Field Maintenance Program (FMP) Involvement	235
533.414	Vacant Facilities	235
533.42	Leased or Rented Quarters	236
533.421	Normal Conditions	236
533.422	Postal Actions	236
533.423	Postal-Caused Damage	236
533.424	Emergencies	236
533.425	Funding	236
533.426	Plant Equipment Responsibilities	236
533.427	Claims for Damages	236
533.5	Building and Grounds Cleaning	237
533.51	Responsibility	237
533.511	Postal Service-Owned Buildings	237
533.512	GSA-Owned Buildings	237
533.513	Leased or Rented Buildings	237
533.52	Cleaning Methods	237

533.521	Handbooks	237
533.522	Maintenance Bulletins	237
533.53	Supplies and Equipment	237
533.531	Supplies	237
533.532	Equipment	237
533.533	Tools	237
533.534	Acquisition	238
533.54	Inspection of Detached Units	238
533.55	Employee Housekeeping Committees	238
533.56	Lookout Galleries	238
533.561	Use	238
533.562	Cleaning Requirements	238
533.563	Exterior Door	238
533.564	Access	238
533.565	Glow Lamps	239
533.566	Breakout Doors	239
533.6	Repair and Alteration (R&A) Program	239
534	Postal Equipment Maintenance	239
534.1	Types of Equipment	239
534.11	Mail Processing Equipment	239
534.12	Customer Service Equipment	239
534.13	Delivery Service Equipment	239
534.14	Support Equipment	239
534.2	Repair Parts — Overhaul and Rebuild	240
534.21	Sources	240
534.22	Repair and Rebuild of Assemblies	240
534.23	Equipment Overhaul	240
534.231	Major Equipment	240
534.232	Other Equipment	240
534.24	Repair Parts Stockage	241
534.241	Requirement	241
534.242	Control	241
534.243	Stock Levels	241
534.3	Repair and Replacement Guidelines	241
534.31	General	241
534.32	Field Maintenance	241
535	Maintenance Service Contracts	242
535.1	General	242
535.11	Use	242
535.111	Postal Equipment	242
535.112	Facility and Plant Equipment	242
535.12	Procurement of Contracts	243
535.121	General	243
535.122	Existing Contracts	243
535.13	National Agreement Considerations	243
535.2	Contract Criteria	243

Contents

535.21	Removal of Ashes and Rubbish	243
535.22	Cloth and Laundry Service	243
535.23	Window Cleaning, Lawn and/or Grounds Maintenance, and Snow and Ice Removal.	243
535.24	Air Conditioning Service	243
535.25	Elevator, Escalator, and Dumbwaiter Service	243
535.251	Operation	243
535.252	Maintenance	244
535.26	Cleaning Services	244
535.261	Authorization	244
535.262	Tenant Space	244
535.263	Submitting Requests	244
535.264	Estimating Costs	245
535.27	Other Contract Service	245
536	Field Maintenance Program	245
536.1	General	245
536.11	Policy	245
536.12	Responsibilities	245
536.13	Reference	246
536.2	Field Maintenance Program Responsibility	246
536.21	Headquarters	246
536.22	Area Office	246
536.23	Host Maintenance Management Offices	246
536.3	Program Administration	246
536.31	FMO Staff Scheduling Assignments	247
536.311	Less Demanding Assignments	247
536.312	More Demanding Assignments	247
536.32	Controls and Reports	247
536.4	Requesting FMO Assistance	247
536.41	Routine Work	247
536.42	Emergencies	247
536.5	Requesting Spare Parts	247
536.6	Contracting Authorities	247
54	Energy Conservation, Utilities, Heating Fuels, and Bulk Vehicle Fuel	248
541	Energy Conservation	248
541.1	Routine Operating Plan	248
541.11	General	248
541.12	Use of Gas During Summer	248
541.2	Emergency Contingency Plan	248
542	Utilities	248
542.1	Policy	248
542.11	Definition	248
542.12	New Facilities	249
542.13	Existing Facilities	249

542.2	Acquiring Service	249
542.21	General Services Administration Contract	249
542.22	Local Buying	249
542.3	Requesting Rate Surveys	250
542.4	Processing Changes	250
542.41	Rate Changes	250
542.411	Postal Service Contract	250
542.412	Local Buying	250
542.413	Name and Address Changes	251
542.414	Billing and Payment	251
542.415	Additional Fees	251
543	Purchasing Non-Metered Heating Fuel	251
543.1	Definition	251
543.2	Purchasing Methods	251
543.21	Oil and Gas	251
543.22	Heating Oil Requirements Over 20,000 Gallons a Year	252
543.23	Heating Oil Requirements Under 20,000 Gallons a Year	252
543.24	Non-Petroleum Fuels	252
543.3	Changes in Types of Fuel	252
543.4	Procedures	252
543.41	Heating Oil Requirements Over 20,000 Gallons a Year	252
543.411	Submitting Requirements	252
543.412	Order Limitations	252
543.413	Authorized Orderers	253
543.414	Ordering	253
543.415	Billing and Payment	253
543.42	Heating Oil Requirements Under 20,000 Gallons a Year	253
543.43	Limitations on Heating Oil Used at Headquarters	253
544	Purchasing Vehicle Fuel	253
544.1	General	253
544.2	Types of Requirements	253
544.3	Requirements Over 20,000 Gallons a Year	253
544.4	Requirements Between 2,000 and 20,000 Gallons	254
544.5	Requirements Under 2,000 Gallons a Year	254
544.6	Types of Fuel	254
544.61	Gasoline	254
544.62	Diesel	254
544.63	Compressed Natural Gas	254
544.7	Procedures	254
544.71	Requirements Over 20,000 Gallons a Year	254
544.711	Submitting Requirements	254
544.712	Order Limitations	255
544.713	Contract Quantity	255
544.714	Authorized Orderers	255
544.715	Ordering	255

Contents

544.716	Records	255
544.717	Payment	255
544.72	Requirements Between 2,000 and 20,000 Gallons a Year.....	255
544.721	Contractual Vehicles.....	255
544.722	Authorized Orderers.....	256
544.723	Ordering	256
544.724	Records	256
544.725	Payment	256
544.73	Requirements under 2,000 Gallons a Year.....	256
6	Support Services	257
61	Technology	257
611	Policy.....	257
612	Information Technology	257
612.1	Responsibility	257
612.2	Purpose	257
613	Electronic Commerce	258
613.1	Vision	258
613.2	Strategy	258
613.3	Internet Channel Benefits	258
613.4	E-Commerce Responsibilities	259
614	Quality Role in Technology	259
615	Engineering	260
62	Supporting Operations	260
621	Policy.....	260
622	Operations.....	260
622.1	Deputy Postmaster General and Chief Operating Officer	260
622.2	Senior Vice President, Operations.....	260
622.3	Operations Planning	260
622.4	Delivery and Retail	260
622.5	Network Operations Management.....	260
63	(Reserved).....	261
64	Stamp Services.....	261
641	General	261
641.1	Responsibilities	261
641.2	Functions.....	261
642	Stamp Development	261
642.1	Responsibilities	261
642.2	Functions.....	262
642.21	General.....	262
642.22	Planning	262
642.23	Citizens' Stamp Advisory Committee.....	262
642.231	Description	262
642.232	Authority	262

642.233	Membership	263
642.234	Functional Responsibilities	263
642.235	Subcommittees	263
642.236	Travel Expenses and Compensation Allowances	263
642.24	Right of Publicity	264
642.25	USA Philatelic Catalog	264
643	Stamp Acquisition and Distribution	264
643.1	Responsibilities	264
643.2	Functions	264
643.21	Manufacturing	265
643.22	Distribution	265
643.23	Inventory Management	265
643.24	Accountability	265
644	Stamp Fulfillment Services	265
644.1	Responsibilities	265
644.2	Functions	266
644.21	Order Fulfillment	266
644.22	Postmarking Services	266
644.23	Subscription Programs	266
644.24	Personalized Envelope Program	266
644.25	Technological Support	267
645	Stamp Products and Exhibitions	267
645.1	Responsibilities	267
645.2	Functions	267
645.21	General	267
645.22	Philatelic Products	268
645.23	Subscription Programs	268
645.24	Pictorial Postmarks	268
645.241	Requests	268
645.242	Postal Service Procedure	268
645.243	Sponsor Artwork	268
645.25	Stamp Archives	268
645.26	Stamp Retention Studies	269
645.27	In-Store Messaging/Advertising	269
645.28	Domestic Stamp Shows	269
645.29	Semipostal Stamp Program	269
646	Semipostal Stamps	269
646.1	Definitions	269
646.11	Semipostal Stamps	269
646.12	Differential	269
646.2	Offsets	269
646.3	Payments From the Sale of a Semipostal	270
646.31	Breast Cancer Research Stamp	270
646.32	Heroes Semipostal Stamp	270

Contents

646.33	Domestic Violence Program Semipostal Stamp	270
646.4	Cost Reporting and Estimation	271
646.41	Headquarters Offices	271
646.42	Requirements	271
646.421	When to Report Costs	271
646.422	Separate Reports	272
646.423	Recordkeeping	272
646.424	Local Promotional Events	272
646.5	Policy to Offset Costs for Semipostal Stamps	272
646.51	Responsibility	272
646.52	Policy	272
646.53	Procedure	272
646.54	Differential Maximization	273
646.55	Other Costs	273
646.6	Sales Periods	274
646.61	Breast Cancer Research Semipostal Stamp	274
646.62	Heroes Semipostal Stamp	274
646.63	Domestic Violence Program Semipostal Stamp	274
65	Quality	274
651	Policy	274
652	Responsibility	274
653	Quality	274
653.1	Development and Benchmarking	274
653.2	Core Process Support	275
653.3	Enabling Support	276
653.4	Quality Leadership and Major Programs Support	276
653.5	Sales and Marketing Support	277
653.51	Process Management and Improvement	277
653.52	Involvement of Employees	278
66	Licensing	278
661	Responsibilities of Product Development	278
662	Licensing	278
662.1	Purchase of Postal Service Officially Licensed Merchandise	279
662.2	Definition of Officially Licensed Merchandise	279
662.3	Information on Licensed Merchandise	279
663	Rights and Permissions	279
663.1	Brand Equity and Design	279
663.2	Uses Requiring Permission	279
663.21	Nonprofit and Personal Use	280
663.22	Commercial Use	280
663.23	Requests to Film on Postal Service Premises	280
663.3	Uses That Do Not Require Permission	280
663.31	Fair Use Exceptions	280
663.32	Media Requests	280

663.33	Postal Service Exception for Philatelic Advertising	280
663.4	Permission Requests	281
663.41	Fee Information and Fee Exceptions	281
663.411	Application Fees	281
663.412	Royalty Fees	281
663.413	Reproduction and Administrative Fees	281
663.414	Use of Postal Service Corporate Logo or Other	281
663.415	Postal Service Requested Use	281
663.416	Federal Government Use	282
663.42	Permission to Film and Photograph Postal Property	282
663.421	Written Permission Required	282
663.422	Certificate of Insurance Required	282
663.423	Location Fees	282
663.43	Co-Branding in Established Legal Relationships	282
67	Postal Service Corporate Library	282
68	Postal History	283
7	Supply Management	285
71	General	285
72	Purchasing	285
721	General	285
722	Local Buying Authority	285
722.1	General	285
722.2	Delegations of Authority	286
722.21	General	286
722.22	Authority and Transaction Limit	286
722.23	Approval Authority	286
722.3	Prohibited and Restricted Purchases	286
722.31	Prohibited Purchases	286
722.32	Restricted Purchases	287
722.4	Standards of Ethical Conduct and Purchases from Postal Service Employees and Their Immediate Families	289
722.41	Standards of Ethical Conduct	289
722.42	Purchases from Postal Service Employees and Their Immediate Family Members	289
722.5	Questionable Purchases and Misuse	289
722.6	Procedures	289
722.61	General	289
722.62	Competition and Supplier Identification	290
722.63	Payment	290
722.631	General	290
722.632	Advance Payment	291
722.64	Documentation and Reconciliation	291
722.65	Assistance	291
722.7	Cleaning Services Valued at less than \$10,000.	291

Contents

73	Supply Management Operations	291
731	Policy Authority	291
731.1	Vice President, Supply Management	291
731.2	Manager, Supply Management Operations	292
732	Other Responsibilities	292
732.1	Managers, Materials Service Centers	292
732.2	District Material Management Specialists	292
732.3	Material Accountability Officers	292
732.4	Postal Service Managers and Supervisors	292
732.5	Postal Service Employees	293
733	Policy	293
733.1	Purpose and Scope	293
733.2	Safety and Security	293
733.21	General	293
733.22	Safety	293
733.221	General	293
733.222	Hazardous Commodities	294
733.23	Security	294
733.24	Specialized Security Devices	294
733.3	Asset Management and Investment Recovery	294
733.31	Asset Management	294
733.311	Accountability	294
733.312	Asset Tracking	294
733.313	Maintenance	294
733.32	Investment Recovery	294
733.321	General	294
733.322	Purpose and Value	295
733.323	The Role of Suppliers	295
733.324	Life Cycle Requirements	295
733.325	Excess Reporting	295
733.326	Surplus	295
733.4	Transportation	296
733.41	General	296
733.42	Resources	296
733.5	Inventory Positioning	296
733.6	Stockroom/Warehouse Management	296
734	Organization Overview	297
734.1	National Supply Management Programs	297
734.11	Customer/Supplier Relations does the following:	297
734.12	MSC does the following:	297
734.13	National Program Support does the following:	297
734.2	Production and Distribution	298
734.3	Capital Equipment Material Management and Supplies Material Management	298
734.31	General	298

734.32	Cataloging	299
8	Information Resources	301
81	Policy	301
811	Vice President, Chief Technology Officer	301
812	Installation Heads and Vice Presidents	301
813	Managers	301
814	Headquarters and Field Functional Organizations	302
815	Privacy Office	302
815.1	Chief Privacy Officer	302
815.2	Manager, Records Office	302
82	Information	304
821	Policy	304
822	Description	304
823	Scope	304
824	Information Protection	304
825	Data Stewardship	305
825.1	Description	305
825.2	Requirements	305
826	Ownership	305
827	Information Protection Levels	305
83	Information Technology Infrastructure	305
831	Policy	305
832	Description	305
833	Scope	306
84	Business Solutions	306
841	Business System Design and Development	306
841.1	Description	306
841.2	Requirements	306
842	Enterprise Information Repository	306
842.1	Description	306
842.2	Requirements	307
842.3	Responsibilities	307
842.4	Requests for Access	308
843	Business System Maintenance and Enhancement	308
843.1	Description	308
843.2	Requests for Service	308
85	Customer Support	308
851	Remote Support and Operations	308
851.1	Description	308
851.2	Responsibilities	308
852	IT Help Desk	309
852.1	Description	309

Contents

852.2	Responsibilities	309
86	Planning and Acquisition	309
861	IT Architecture and Standards	309
861.1	Enterprise Architecture	309
861.11	Description	309
861.12	Responsibilities	309
861.2	Standards	309
861.21	Description	309
861.22	Software	310
861.3	Compliance	310
862	Software and Hardware Acquisition	310
862.1	Software Acquisition	310
862.11	Corporate Licenses	310
862.12	Responsibilities	310
862.121	Functional Organizations	310
862.122	Information Technology	310
862.2	Hardware and Services Acquisition	311
862.21	General	311
862.22	Printing and Imaging	311
862.221	Policy	311
862.222	PRIME (PRinting and IMaging Environment) Program	311
862.223	Roles and Responsibilities	312
862.224	Customer Support	312
862.225	Network Print Devices	313
862.226	Personal Desktop Print Devices	313
862.227	Multifunction Peripherals	314
862.228	Special-Purpose Print Devices	314
862.229	Exceptions	314
87	Information Technology Infrastructure	315
871	Application Hosting	315
871.1	Application, Database, and Web Hosting	315
871.11	Platforms and Storage	315
871.12	System Support	315
871.13	Service Support	316
871.131	Description	316
871.132	Requirements	316
871.14	Problem Management	316
871.15	Responsibilities	317
871.151	Information Technology	317
871.152	Portfolio Managers	317
871.153	Application Sponsors	317
871.2	IT Disaster Recovery	318
871.21	Description	318
871.22	Requirement	318
871.23	Responsibilities	318

871.231	Functional Organizations	318
871.232	IT Integrated Business Systems Solutions Center or Systems Development Organizations	318
871.233	IT Disaster Recovery Services	318
872	Data Management.	318
872.1	Data Access.	319
872.2	Data Acquisition.	319
872.21	Description	319
872.22	Responsibilities	319
872.3	Data Warehouse	319
872.31	Description	319
872.32	Responsibilities	319
872.321	Information Technology	319
872.322	Functional Organizations	320
872.4	Data Transfer	320
872.5	Database Support	320
872.51	Description	320
872.52	Requests for Support	320
872.6	Corporate Data Presentation.	320
872.61	Description	320
872.62	Responsibilities	320
872.63	Functional Organizations	320
872.64	Portfolio and Program Managers	320
873	Telecommunications.	320
873.1	Wide Area Network	321
873.11	Description	321
873.12	Funding.	321
873.13	Requests for Service	321
873.2	Local Area Network	321
873.21	Description	321
873.22	Funding.	321
873.23	Requests for Service	321
873.3	Remote Access	321
873.31	Description	321
873.32	Funding.	322
873.33	Requests for Service	322
873.4	Telephony/Voice	322
873.41	Description	322
873.42	Toll-Free Service.	322
873.43	Funding.	322
873.44	Requests for Service	322
873.5	Wireless Devices and Services	323
873.51	Description	323
873.52	Requests for Service	323

Contents

873.6	Radio Frequency	323
873.61	Description	323
873.62	Funding	323
873.7	Responsibilities	323
873.71	Information Technology	323
873.72	District Manager	324
873.73	Information Systems Manager, District Level	324
873.74	Telecommunications Coordinator	324
873.75	Postal Inspection Service	325
873.751	Requests	325
873.752	Postal Inspector-In-Charge	325
873.8	Facility Infrastructure Design and Engineering	325
874	Distributed Systems Management	325
874.1	Description	325
874.2	Enterprise Management	326
874.21	Description	326
874.22	Responsibilities	326
874.3	Distributed Systems Engineering and Management	326
874.31	Configuration Management	326
874.32	Technology Engineering	326
874.321	Description	326
874.322	Responsibilities	326
874.323	Requests for Service	326
875	Electronic Messaging	326
875.1	E-mail Support	327
875.11	Description	327
875.12	Requests for Service	327
875.2	Personal Digital Assistant (Blackberry Services)	327
875.21	Description	327
875.22	Funding and Providing	327
875.221	Officers and Postal Career Executive Service Executives	327
875.222	Executive Administrative Service Employees	327
875.23	Requests for Service	327
88	Information Security	328
881	Description	328
882	Supporting Services	328
882.1	Secure Infrastructure	328
882.2	User Authentication and Access Control	329
882.3	Application Information Security Assurance (ISA)	329
882.4	IT Business Continuity Management	330
882.5	Strategies and Compliance	330
883	Law Enforcement and Audit	331
883.1	Postal Inspection Service	331
883.11	General	331

883.12 Personnel Security 331

883.13 Physical Security 331

883.2 Office of Inspector General 331

Directives and Forms Index 333

Index 341

Exhibits

Exhibit 221.11	
Addresses of Postal Inspectors in Charge	24
Exhibit 225	
Reporting Routine Losses or Offenses	33
Exhibit 273.42	
Postal Inspection Service Locks	72
Exhibit 312	
Standard Headquarters Policy and Procedure Document Types	101
Exhibit 333.76	
PS Form 3337-A, Community Service Participation Pre-event Evaluation	127
PS Form 3337-A, Community Service Participation Pre-event Evaluation	128
Exhibit 333.77	
PS Form 3337-B, Community Service Participation Post-event Evaluation	130
Exhibit 338.44	
Plaque Specifications	135
Exhibit 371.641	
EPA Standards for Paper Products.	149
Exhibit 371.641	
EPA Standards for Paper Products (continued)	149
Exhibit 372.12	
Copying, Duplicating, and Related Equipment Authorized for Field Duplicating Activities	151
Exhibit 374.2	
Standard Design for Business Cards	156
Exhibit 422.1	
Examples of Nonpostal Services Provided by Interagency Agreement	158
Exhibit 448	
Postal Ad Network Standard Clearance Sheet	180
Exhibit 463.4a	
Statement of Understanding and Release of Liability by Registrants in Carrier Alert Program	186
Exhibit 463.4b	
Sample Plan for Local Implementation	187
Exhibit 472.232	
Half-Staff Display on Death of a Prominent Person	190
Exhibit 518.232	
Community Contact Letter	213
Exhibit 81	
References	303

Exhibit 862
Print Device Contact Information 315
Exhibit 873.5
Funding Responsibility for Wireless Services 323

1 Postal Organization

11 Authority and Responsibilities

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.

111.55 **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**

Area Name	Location
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

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**122.21 **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

122.22 **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

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 Federal Laws and Postal Regulations

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.

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, the Freedom of Information Act, and Records Management*).

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, and international letter mail forming part of the LC class of Postal Union mail.

- 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, a special agent of the Office of the Inspector General, or a Postal Service employee acting at the direction of a postal inspector or special agent 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.

A postal inspector or a special agent of the Office of the Inspector General or Postal Service 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 if the mail 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.

<p>Divisions: 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. Inclusive ZIP Codes: 00001-29999, 37620-37625</p>	<p>FRAUD COMPLAINT SUPERVISOR INSPECTION SERVICE OPERATIONS SUPPORT GROUP 2 GATEWAY CENTER FLOOR 9 NEWARK NJ 07175-0003</p>
<p>Divisions: Gulf Coast, Miami, Michiana, Midwest, Northern California, Northern Illinois, Northwest, Rocky Mountain, Southeast, Southern California, Southwest, Tampa, Western Allegheny (except Pittsburgh) Inclusive ZIP Codes: 30001-37619, 37626-99999</p>	<p>FRAUD COMPLAINT SUPERVISOR INSPECTION SERVICE OPERATIONS SUPPORT GROUP 222 S RIVERSIDE PLAZA STE 1250 CHICAGO IL 60606-6100</p>

22 Postal Emergencies, Losses, and Offenses

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](#)

Exhibit 221.11

Addresses of Postal Inspectors in Charge

<p>1. CINCINNATI DIVISION UNITED STATES POSTAL INSPECTION SERVICE 895 CENTRAL AVE STE 400 CINCINNATI OH 45202-5748</p> <p>2. FLORIDA DIVISION UNITED STATES POSTAL INSPECTION SERVICE 3400 LAKESIDE DR 6TH FL MIRAMAR FL 33027-3242</p> <p>3. GULF COAST DIVISION UNITED STATES POSTAL INSPECTION SERVICE PO BOX 1276 HOUSTON TX 77251-1276</p> <p>4. MICHIANA DIVISION UNITED STATES POSTAL INSPECTION SERVICE PO BOX 330119 DETROIT MI 48232-6119</p> <p>5. MID-ATLANTIC DIVISION UNITED STATES POSTAL INSPECTION SERVICE PO BOX 3000 CHARLOTTE NC 28228-3000</p> <p>6. MIDWEST DIVISION UNITED STATES POSTAL INSPECTION SERVICE 1106 WALNUT ST ST LOUIS MO 63199-2201</p> <p>7. NEWARK DIVISION UNITED STATES POSTAL INSPECTION SERVICE PO BOX 509 NEWARK NJ 07101-0509</p> <p>8. NEW YORK METRO DIVISION UNITED STATES POSTAL INSPECTION SERVICE PO BOX 555 NEW YORK NY 10116-0555</p> <p>9. NORTHEAST DIVISION UNITED STATES POSTAL INSPECTION SERVICE 425 SUMMER ST 7TH FLOOR BOSTON MA 02210-1736</p>	<p>13. PHILADELPHIA METRO DIVISION UNITED STATES POSTAL INSPECTION SERVICE PO BOX 7500 PHILADELPHIA PA 19101-9000</p> <p>14. ROCKY MOUNTAIN DIVISION UNITED STATES POSTAL INSPECTION SERVICE 1745 STOUT ST STE 900 DENVER CO 80202-3034</p> <p>15. ST PAUL DIVISION UNITED STATES POSTAL INSPECTION SERVICE PO BOX 64558 ST PAUL MN 55164-0558</p> <p>16. SAN JUAN DIVISION UNITED STATES POSTAL INSPECTION SERVICE PO BOX 363667 SAN JUAN PR 00936-3667</p> <p>17. SOUTHEAST DIVISION UNITED STATES POSTAL INSPECTION SERVICE PO BOX 16489 ATLANTA GA 30321-0489</p> <p>18. SOUTHERN CALIFORNIA DIVISION UNITED STATES POSTAL INSPECTION SERVICE PO BOX 2000 PASADENA CA 91102-2000</p> <p>19. SOUTHWEST DIVISION UNITED STATES POSTAL INSPECTION SERVICE PO BOX 162929 FT WORTH TX 76161-2929</p> <p>20. TAMPA DIVISION UNITED STATES POSTAL INSPECTION SERVICE PO BOX 22526 TAMPA FL 33622-2526</p> <p>21. WASHINGTON METRO DIVISION UNITED STATES POSTAL INSPECTION SERVICE PO BOX 96096 WASHINGTON DC 20066-6096</p>
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Exhibit 221.11

Addresses of Postal Inspectors in Charge

<p>10.NORTHERN CALIFORNIA DIVISION UNITED STATES POSTAL INSPECTION SERVICE PO BOX 882528 SAN FRANCISCO CA 94188-2528</p> <p>11.NORTHERN ILLINOIS DIVISION UNITED STATES POSTAL INSPECTION SERVICE 433 W HARRISON ST RM 50190 CHICAGO IL 60669-2201</p> <p>12.NORTHWEST DIVISION UNITED STATES POSTAL INSPECTION SERVICE PO BOX 400 SEATTLE WA 98111-4000</p>	<p>22.WESTERN ALLEGHENY DIVISION UNITED STATES POSTAL INSPECTION SERVICE 1001 CALIFORNIA AVE PITTSBURGH PA 15290-9000</p> <p>23.HEADQUARTERS UNITED STATES POSTAL INSPECTION SERVICE 475 L'ENFANT PLAZA SW WASHINGTON DC 20260-2100</p>
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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@uspsaig.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.

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 601.8) 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 601.11, 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 601.12).

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 608.5).
- 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

Loss or Offense	Action Required
Domestic mail — loss or rifling (including stamp stock and printed envelopes shipped by ordinary mail)	Call 800-ASK-USPS or enter the information online at www.usps.com/postalinspectors .
Military mail — loss or rifling	Call 800-ASK-USPS or enter the information online at www.usps.com/postalinspectors .
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 (IMM)</i> 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

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

241 **Responsibility**

241.1 **Office of Inspector General**

The OIG is responsible for providing Congress, the Governors, and Postal Service management with timely, objective, and complete information on, and analysis and recommendations to improve, Postal Service programs and operations.

241.2 **Mission**

The OIG's mission is to conduct and supervise objective and independent audits, reviews, and investigations relating to Postal Service programs and operations to promote economy, efficiency, and effectiveness, and to prevent and detect fraud, waste, abuse, and mismanagement. The OIG is also responsible for providing oversight of the Postal Inspection Service.

241.3 **Role and Function**

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

241.4 **Authority**

The Inspector General Act of 1978, amended in September 1996 (Public Law 104-208), created an independent OIG for the Postal Service (5 U.S.C. App. 3).

241.5 **Standards**

OIG 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.

241.6 **Cooperation**

In carrying out the provisions of the Inspector General Act, employees of the OIG have reasonable access to all Postal Service employees, records, reports, audits, reviews, documents, papers, recommendations, or other

material available that relate to Postal Service programs and operations with respect to which the OIG has responsibilities under the Act. Postal Service officials and employees should cooperate fully to provide employee interviews and such information and assistance to the auditors, evaluators and authorized representatives of the OIG as may be necessary for them to carry out their duties and responsibilities under the Act.

241.7 **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.

241.8 **Corporate Audit and Response Management**

Corporate Audit and Response Management reports to the manager of Internal Control under the Chief Financial Officer and Executive Vice President and serves as a focal point for all postal audit activity. Corporate Audit and Response Management will assist Postal Service management in all phases of the audit process, including arranging and attending entrance and exit conferences, assisting in the preparation and delivery of management responses to OIG draft reports, and gathering documentation to close out significant recommendations for submittal to the OIG. Corporate Audit and Response Management is responsible for maintaining the Audit Tracking System (ATS) and tracking all recommendations resulting from OIG reports in the system.

242 **Overview**

242.1 **Objectives**

The OIG's objectives are as follows:

- 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.

242.2 **Project Category Overview**

- a. *Performance.* The OIG is responsible for conducting performance audits and reviews of the Postal Service. The OIG conducts audits and evaluations to test systems and/or internal controls. The OIG provides

an independent assessment of the performance of an organization, program, activity, or function in order to provide information to improve public accountability and facilitate decision-making.

- b. *Financial.* The OIG directs financial audit activity, installation and district financial audits, and other financially related audits of the Postal Service. The Postal Service's financial statements however, are audited by an independent certified public accounting firm pursuant to 39 U.S.C. Section 2008(e).
- c. *Protective Reviews.* The OIG performs protective reviews at local Postal Service facilities to identify systemic issues related to financial and operational functions. These limited-scope, short-duration reviews generally test internal controls and compliance with Postal Service policy applicable to these functions and are intended to provide valuable and timely feedback regarding office and program management to local and Headquarters officials.
- d. *Contract.* The OIG is responsible for pre- and post-award contract audits requested by supply management officials. The OIG also conducts self-initiated reviews of significant contracts and various elements of the supply chain management processes. The OIG analyzes results of this audit work to identify trends, patterns, and issues relating to Postal Service suppliers, contract administration, and the postal supply chain process.
- e. *Developmental.* The OIG performs developmental audit work 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.

242.3 **Process Overview**

OIG 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 and are required if requested by postal management.
- 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 and operations within the scope of the project.
- e. Draft reports or memoranda are issued to management to communicate findings and recommendations.
- f. Exit conferences and working meetings ensure that management is aware of pertinent issues and provides a forum for discussion. An exit conference is required if requested by postal management.

- g. Management responses are requested, evaluated, and included in the final report.
- h. Audit reports communicate audit findings, conclusions, and recommendations to management. It is Postal Service policy that the responsible managers respond in writing (see Section [243.12](#)) to all recommendations made in these reports.
- i. Final reports are distributed to appropriate levels of management to ensure that issues are adequately addressed.

243 Reports

243.1 Draft Reports

243.11 Transmittal Letters

Each draft report is issued with a transmittal letter requesting a written response within a specified time frame, usually within 30 calendar days after the draft report is issued. Management is required to respond to reports by addressing each finding, recommendation, and identified savings as detailed in Section [243.12](#). Management is encouraged to provide comments as soon as possible regardless of time allocated. If the OIG does not receive management's comments within the specified time frame, the OIG may publish the final report without management's comments.

243.12 Management Responses

Management's response when requested should include the following:

- a. Whether management agrees with each finding or observation. (Management's general comments regarding the audit report/review can address any factual inaccuracies found in the report.)
- b. If the audit lists any questioned costs, unsupported costs, funds put to better use or other potential savings, management must explicitly state whether it agrees or disagrees with the calculations. If management disagrees with the calculations, then management, if possible, should specify any alternative dollar amounts that it believes are more accurate and then describe how these amounts were calculated.
- c. For each recommendation/suggestion, indicate whether management agrees, disagrees, or agrees in part, and include the reasons or justification.
- d. If management agrees with the recommendation, list the specific course(s) of action that will be taken along with the estimated completion date(s).
- e. For each corrective action, state who in the organization will be responsible for the implementation of the agreed upon actions.
- f. An identification of any portion(s) of the draft report, including a short justification for such assertion(s), which management believes may contain proprietary or other business information that may be exempt from disclosure under the Freedom of Information Act (FOIA).

Management should not include comments that are not related to the audit in the written reply.

Management comments should be *addressed* to the signer of the report; however, comments should be *delivered* to the director, Audit Operations and Follow-up, who serves as focal point for all management responses at the OIG.

The original signed management response should either be mailed, hand delivered to the OIG (when applicable), deposited in the OIG mail slot located in the Postal Service Headquarters building, or delivered to Corporate Audit and Response Management, which will arrange for delivery to the OIG. A copy of the signed management response should be sent to the manager of Corporate Audit and Response Management.

The response must be received by the OIG on or before the date specified in the OIG report. If additional time is needed to prepare the response, an extension should be requested prior to the suspense date. Corporate Audit and Response Management will assist with requests for an extension; however, if the request is made directly to the OIG, Corporate Audit and Response Management should be notified of the request.

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

243.2 **Release and Distribution of Audit Reports**

243.21 **Headquarters**

243.211 **Office of Inspector General**

The inspector general, assistant inspector general for audit, or the appropriate deputy assistant inspector general transmits reports of Headquarters interest and those reports containing recommendations for Headquarters action, to the appropriate Headquarters unit with a copy to Corporate Audit and Response Management. Copies of reports are generally accessible at the OIG Web site, and also can be requested from Postal Service Corporate and Audit Response Management.

243.212 **Freedom of Information Act**

The OIG's policy is to disclose all final audit and management advisory reports when requested pursuant to the FOIA unless an exemption under the FOIA applies. In addition, the Electronic FOIA (e-FOIA) Amendments require the OIG to post certain reports on the e-FOIA Web page unless an exemption under the FOIA applies.

243.22 **Levels Below Headquarters**

243.221 **Performance Audits**

When audit reports include recommendations to area office management or other levels below Headquarters, a report is submitted to the manager of the installation or activity audited. Draft reports issued by the OIG are transmitted to the responsible Postal Service manager under the signature of the appropriate deputy assistant inspector general. Copies of reports can be requested from Corporate Audit and Response Management.

243.222 Financial Audits

At the conclusion of financial audits of Post Offices and facilities, an exit conference will be held with the facility head to discuss the findings and any recommendations. The manager must review the report and will usually have 30 calendar days after the report is issued to respond with management comments addressing the findings and any recommendations. Copies of reports can be requested from Corporate Audit and Response Management.

243.223 Contract Audits

Contract audit reports issued by the OIG provide an opinion, typically covering the adequacy of cost or pricing data submitted by postal suppliers. These reports are advisory in nature and are issued in final form directly to the requesting official. The OIG also issues self-initiated audit reports addressing issues within the supply chain management processes. These reports include findings and recommendations for corrective actions by management officials. Report copies are generally accessible at the OIG web site, and also can be requested from Postal Service Corporate Audit and Response Management.

243.224 Protective Reviews

At the conclusion of protective reviews of Postal Service facilities, an exit conference will be held with the facility head to discuss the findings and any recommendations. The manager must review the report and will usually have 30 calendar days after the report is issued to respond with management comments addressing the findings and any recommendations. Copies of reports can be requested from Corporate Audit and Response Management.

244 Audit Resolution Process – Unresolved Recommendations

When the OIG determines that a response by management to a significant recommendation is “not responsive,” an audit resolution process for resolving the disagreement is followed. Part of the process may include taking the disagreement to the Governors.

Copies of the *Resolution Process for Disagreements Involving Office of Inspector General Reports*, approved by the Board of Governors, can be obtained from Corporate Audit and Response Management.

245 Implementation of Audit Recommendations**245.1 Management Responsibility**

Management must ensure the implementation of audit recommendations to which it has agreed.

245.2 Documentation

In the audit report, the OIG will identify any recommendations that it considers as significant and as such, would require the OIG’s concurrence before closing. The OIG requests written confirmation and/or documentation when the agreed upon corrective actions have been completed.

Documentation and requests to close a significant recommendation or an audit should be submitted to Corporate Audit and Response Management in

order to accurately track the status of recommendations in the Audit Tracking System (ATS). Corporate Audit and Response Management will forward documentation to the OIG with the request to close the recommendation or audit.

For those recommendations that the OIG does not consider as significant, once Corporate Audit and Response Management has been notified that the corrective actions have been implemented, the recommendation(s) can be closed.

245.3 **Audit Follow-Up**

Corporate Audit and Response Management is responsible for maintaining management's audit tracking and reporting system and will provide periodic status updates on the implementation of management action on recommendations to postal management and the OIG, as appropriate. 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 in ATS and to Corporate Audit and Response Management, as requested.

245.4 **Periodic Reviews**

The OIG will conduct periodic follow-up reviews to assess the effectiveness of management's actions.

245.5 **Coordinating, Tracking, and Reporting**

245.51 **Headquarters**

245.511 **Corporate Audit and Response Management**

Corporate Audit and Response Management reviews implementation of recommendations and tracks the reports in ATS. In addition, Corporate Audit and Response Management prepares the statistical tables showing disallowed costs and funds put to better use as required by the Inspector General Act, in connection with the OIG semiannual report to Congress.

245.512 **Vice Presidents**

Each vice president has overall responsibility for the implementation of audit recommendations made to his or her organization and to ensure that audit recommendations are carried out as soon as practical. A target date must be established for full implementation and to monitor follow-up action.

Each vice president designates a person responsible for tracking and documenting the implementation of audit recommendations within that organization. The designee also furnishes status updates to Corporate Audit and Response Management who reviews the implementation of recommendations and tracks the reports in ATS.

Documentation of implementation or completion of agreed upon actions should be submitted to Corporate Audit and Response Management for transmittal to the OIG.

The vice president and/or designee reviews audit reports, findings and recommendations on matters within their area and takes appropriate action.

245.52 Area Office Level

Each vice president has the overall responsibility for the implementation of audit recommendations made to his or her organization and to ensure that audit recommendations are carried out as soon as practical. A target date must be established for full implementation and to monitor follow-up action.

Each vice president designates a person responsible for tracking and documenting the implementation of the agreed upon actions and recommendations within that organization. The designee also furnishes results and status updates to Corporate Audit and Response Management who reviews the implementation of recommendations and tracks the reports in ATS.

Documentation of implementation or completion of agreed upon actions should be submitted to Corporate Audit and Response Management for transmittal to the OIG.

The vice president and/or designee reviews audit reports, findings and recommendations on matters within their area and takes appropriate action.

245.53 District Level

District managers review each audit report on facilities within their organization. They provide a written response within the specified time frame when requested by the OIG. They monitor the implementation of recommendations at facilities reporting to their district and provide to the vice president of Area Operations, the results of status updates.

246 Requests for Audit Attention**246.1 All Levels**

All requests for audit attention, including installation and district compliance audits, should be directed to the inspector general.

246.2 Management Responsibility

Management cannot, and should not, completely rely on auditors and/or evaluators 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.

25 Tort Claims

251 Responsibilities**251.1 Definition**

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

251.2 Authority

The Postal Service is authorized to settle tort claims pursuant to the provisions of the Federal Tort Claims Act and related regulations. 39 U.S.C. Section 409(c); 28 U.S.C. Section 2672; 28 C.F.R. Section 14.

251.3 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.

251.4 General Services Administration (GSA)

General Services Administration is responsible for tort claims arising from accidents at facilities under GSA control, when the accident is not caused by postal employee negligence.

252 Accident Investigation**252.1 Installation Head or Designee****252.11 On-Scene Investigations**

Prompt on-scene investigations are required for both vehicular and nonvehicular accidents that involve damage to private property or personal injury to a private party, or for those that involve damage to postal property caused by the actions of a private party. District tort claims coordinators do not generally conduct on-scene investigations. The initial investigation is the responsibility of the installation head or employees that have been designated by the installation head as on-scene investigators. The on-scene investigator should contact his or her district tort claims coordinator at the time of an investigation or immediately after returning from the accident scene. Further investigation may be required based on the advice of the tort claims coordinator.

252.12 Duties

The on-scene investigator has the following responsibilities:

- a. Conduct both an on-scene and a follow-up investigation of all postal-related accidents that involve damage to private property or personal injury to private parties. Investigations must include the completion of required investigation forms and photographs of the accident scene, as well as photographs of any vehicles involved in the accident and any other objects relevant to the accident (make sure to record on the photographs, or on an attached form, the photographer's name, the date the photograph was taken, and a description of the subject of each photograph). Detailed investigation instructions are located in Handbook PO-702, *Accident Investigations — Tort Claims*.
- b. Submit a report of each accident to the district tort claims coordinator and include all required investigation forms and photographs. Keep a file (copies of all forms and photographs) in the installation files.

252.13 Forms Required**252.131 Standard Form 91**

Standard Form 91 (SF 91), *Motor Vehicle Accident Report*, 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 or not the parties involved state that a claim will be filed. Vehicle operators should not give any statements, written or oral, at the scene of the accident, except information required by law to be furnished to a police officer, other drivers, or parties involved. The driver's supervisor should complete SF 91 Section X, *Details of Trip during Which Accident Occurred*. This section should include the supervisor's certification as to whether the postal employee was acting in the scope of his or her employment at the time of the accident.

252.132 Form 1700

Form 1700, *Accident Investigation Worksheet*, must be completed for both vehicle and nonvehicle accidents by the on-scene investigator.

252.133 Standard Form 94

Standard Form 94, *Statement of Witness*, must be provided to 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.

252.14 Accidents Involving GSA-Controlled Buildings

Advise the GSA building manager or other GSA official, as soon as practical, of the accident. Conduct a normal investigation whenever the accident involves a postal customer or the area of the building where the accident occurred is used by the Postal Service.

252.15 Accidents Involving Non-Postal Service – Owned Vehicles

A normal investigation should be conducted if a postal employee acting within the scope of his or her duties is involved in an accident while operating a leased or rented vehicle, a GSA vehicle, or his or her own private vehicle. An investigation should also be conducted when a rural letter carrier is involved in an accident on the way to or from work in the vehicle he or she uses to carry the mail on his or her route.

252.16 Accidents in Leased Facilities

Investigate all accidents involving private persons that occur in leased or rented postal facilities just as fully as those occurring on postal-owned premises. In accidents caused by 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 whether or not the lease contains a provision requiring the landlord to make repairs.

252.17 Other Accident Investigation Responsibilities

Tort claim investigation procedures do not replace or otherwise reduce a manager's or supervisor's investigation obligations under the Postal Service's

Safety Program, which are set forth in detail in parts 821 and 822 of the *Employee and Labor Relations Manual*.

252.2 **Tort Claims Coordinator**

252.21 **Designation**

Each district designates a customer service analyst (or on occasion some other appropriate employee) to serve as the district tort claims coordinator. The individual assigned must be properly trained to perform this function.

252.22 **Duties**

The district tort claims coordinator has the following responsibilities (Handbook PO-702, *Accident Investigations — Tort Claims*, fully details the tort claims coordinator function):

- a. Advises Post Office personnel and promotes their accident investigation proficiency.
- b. Makes sure that all information, exhibits, and documentation about accidents involving personal injury to private persons or damage to private property are gathered and forwarded in a timely manner for their evaluation.
- c. When a claim is received, determines if any necessary follow-up action is required.
- d. Ensures that, when applicable, claims are settled and payments made within the tort claims coordinator's authority (see 254.1).
- e. Promptly forwards the completed investigative file to the adjudicating authority (see 254) when a tort claims coordinator cannot resolve the matter locally.
- f. Decides whether personal assistance is necessary at the scene or if guidance to the local investigator suffices when notified of the accident.
- g. Makes and negotiates affirmative claims on behalf of the Postal Service for damages to Postal Service vehicles and/or real property resulting from the negligence of others.

253 **Administrative Claim Procedures**

253.1 **Assistance**

Any person who inquires about how to file a claim should be advised to contact the district tort claims coordinator, who will provide a full explanation of the claim procedures and an SF 95, *Claim for Damage, Injury, or Death*. However, written tort claims can be filed and must be accepted at any Post Office or other postal facility.

253.2 **General Instructions**

Any postal employee who receives a completed tort claim form or other writing indicating that it is a claim should immediately stamp or write the date received on the claim and on any copies of the claim, and sign his or her name next to the date. The claim should then be forwarded to the district tort claims coordinator.

253.3 Restrictions

Except as required by law, Postal Service management employees should not provide information to any nonpostal personnel (including lawyers, private investigators, insurance adjusters, etc.) regarding a postal accident or tort claim without prior approval from the tort claims coordinator or the Postal Service Law Department.

254 Claims Payment Authority**254.1 Local Payment of Personal Injury and Property Damage Claims**

District managers, or their designees, are authorized to expend up to \$5,000 to resolve tort claims. District tort claims coordinators are designated to exercise that authority by negotiating with tort claimants, though the approval of an intermediate manager may be required prior to payment. When it is in the interests of the Postal Service, tort claim coordinators can on occasion resolve claims for an amount greater than \$5,000, but only when receiving prior authorization from a Law Department attorney. Any such authorization is provided after Law Department review of the claim and it must be in writing (correspondence, facsimile, or electronic mail).

254.2 Multiple Claims

If more than one claim arises out of a single accident, the district manager's designee may resolve each claim presented, if none of the claims received or anticipated exceed the delegated authority of \$5,000.

254.3 Unauthorized Payments

Tort payments should not be made by tort claims coordinators on any of the following types of claims:

- 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 personal injury claim submitted by a postal or other federal employee acting in the scope of their employment.
- e. Any claim for damage caused in an accident where the motor vehicle involved was operated by an independent contractor, such as a highway contract route carrier.

254.4 Denial of Claims

Local postal officials are not authorized to deny tort claims. Claims that are recommended for denial by the tort claims coordinator must be forwarded to the appropriate adjudicating authority.

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)

27 Security

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 within the Facility Security Database. Upon completing the security survey, input the results into the database. Keep a copy of the survey 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. 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.

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 and Restricted Area Access**

273.121 **Limitations**

Access to all workroom and restricted areas is limited to authorized on-duty Postal Service employees and authorized contractors. All other individuals are restricted 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 should be locked. Normally, the doors should be locked at all times, however, exceptions may be granted during heavy traffic periods when employees are reporting to or departing from work. To avoid keeping the doors unlocked during heavy traffic periods, consider upgrading the locking mechanism to a simple, single access control system (electromechanical system) or to electronic card access control.

- 273.123 **Compliance**
All employees must comply with the policy governing access to workroom and restricted areas. Supervisory personnel must ensure compliance with the policy in order to afford maximum protection of Postal Service employees, funds, and property. Provide access to emergency exits 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*.

Exhibit 273.42

Postal Inspection Service Locks

Item	Description	Federal Spec. Type	Use
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.

273.43 **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.

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

When entry is controlled by a card access system, employees must always use their card access device to gain entry. Employees must not allow tailgating or piggybacking into the controlled area. 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 Key and Access Control Device Accountability**

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. When keys are assigned, personnel receiving the keys must sign a copy of PS Form 1628, *Individual Key Record*. If the facility has a card access control system, postmasters must maintain an accurate inventory of assigned access control devices.

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), Global Express Guaranteed[™] Document service, Global Priority Mail[®] service, International Priority Airmail[™] service, international Letter Post Mail other than International Surface Airlift[®] service and Publishers' Periodicals, and international transit mail. See the definition of Letter Post in the *International Mail Manual*.
- c. The terms exclude incidental First-Class Mail matter permitted to be enclosed in or attached to certain Periodicals, Standard Mail, and Package Services mailing (see DMM 703.9).

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, Package Services, incidental First-Class attachments or enclosures mailed under DMM 703.9, and (as defined in the *International Mail Manual*) Global Express Guaranteed Non-Document service, international parcel post mail, International Surface Airlift service, and Publishers' Periodicals.

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 601.8, 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 507.4).
- 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 508.1.8 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 *U.S. Postal Service Interim Internal Purchasing Guidelines*, May 2005).
 - (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 [274.5f](#), 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. The Postal Service or authorized third party may open, read, and respond to mail, or contact the sender, regarding correspondence that is addressed to “Santa Claus,” “the North Pole,” or similar seasonal characters or destinations and which would otherwise be undeliverable as addressed.
- l. If otherwise permitted by law.

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 découverte letter post item” refers to any international letter post item 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 or 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 Agriculture inspection under [274.92](#), but is subject to screening by Customs and Border Protection officers under [274.913](#). 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 and Border Protection****274.911 Inbound Mail**

Without a search warrant, but upon reasonable cause to suspect that the mail contains dutiable or prohibited items, designated Customs and Border Protection personnel 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 Customs and Border Protection on inspection of imports.
- b. *Privacy of Correspondence.* No Customs and Border Protection 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 and Border Protection 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 and Border Protection 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 and Border Protection personnel have opened under [274.91](#), and that the Customs and Border Protection has determined through a reliable field test or reliable laboratory examination to contain il-legal 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](#).

274.912 **Outbound Mail**

- a. Designated Customs and Border Protection personnel may, as authorized by this section and without a search warrant, open and inspect the contents of mail originating inside the Customs Territory of the United States and addressed for delivery at a place outside the United States, its territories or possessions (“outbound international mail”) for the purpose of ensuring compliance with the customs laws of the United States and other laws enforced by Customs and Border Protection.
- b. Designated Customs and Border Protection personnel may search outbound international mail that is not sealed against inspection under the postal laws and regulations of the United States, outbound international mail which bears a customs declaration, and outbound international mail with respect to which the sender or addressee has consented in writing to search.
- c. Designated Customs and Border Protection personnel may, without a search warrant, search outbound international mail that weighs more than 16 ounces and is sealed against inspection if there is reasonable cause to suspect that the mail contains one or more of the items listed in 19 U.S.C. 1583(c)(1). No one acting under the authority of this section shall read or authorize any other person to read any correspondence contained in mail sealed against inspection without a search warrant or the written consent of the sender or addressee.
- d. Outbound international mail that weighs less than 16 ounces and is sealed against inspection may not be searched by Customs and Border Protection personnel without a search warrant.

274.913 International Transit Mail

- a. Designated Customs and Border Protection personnel may, without a search warrant, screen international transit mail to detect materials that pose a physical threat to persons or property, such as explosives, flammables, and other dangerous materials. Such screening must be done by non-intrusive means such as canines trained to detect explosives, radiation detection equipment, x-rays, explosive swabs, or other characteristics of the mail that can be sensed from the examination of the mail, including seeing or feeling exposed wires or leaking fluids, hearing ticking sounds, or smelling black powder.
- b. Screening of international transit mail may not disrupt the processing of that mail. Customs and Border Protection personnel will have a reasonable opportunity to perform screening of specifically identified mail, but may not prevent the Postal Service from forwarding the mail without delay by the quickest means it uses for United States mail unless the mail has been screened and the screening has detected, or appears to have detected, materials that pose a physical threat to persons or property including explosives, flammables, or other dangerous materials. International transit mail that has been screened and found to be free of materials that pose a physical threat to persons or property shall be returned to the Postal Service immediately.
- c. Other than in cases of (1) exigent circumstances where the screening of the mail has disclosed the presence of materials that pose a physical threat to persons or property, (2) consent of the sender or addressee, or (3) waiver, no correspondence or other written or printed matter may be read, nor recorded matter listened to without a search warrant.
- d. In the event that non-intrusive screening detects, or appears to detect, materials that pose a physical threat to persons or property, Customs and Border Protection personnel may open or take other actions with respect to the specific suspected mail to confirm the presence of material that poses a physical threat to persons or property and to eliminate or negate the danger, including seizure of the dangerous material. All such actions shall be coordinated with the Postal Inspection Service.
- e. Paragraphs a through d above also apply to international transit mail that is handled by airlines or other carriers without the direct intervention by the Postal Service. Customs and Border Protection personnel shall have a reasonable opportunity to perform screening of specifically identified mail, but may not prevent the airlines or other carriers involved from forwarding the mail without delay unless the mail has been screened, and the screening has detected, materials that pose a physical threat to persons or property. International transit mail that has been screened and found to be free of materials that pose a physical threat to persons or property shall be returned to the carriers immediately, with no involvement by the Postal Service.

- 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 703.2).
- 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**

276.2.1 **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*).

276.2.2 **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**

277.2.1 **Headquarters Only**

277.2.1.1 **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 and chief operating officer.
- b. Vice president, area operations, eastern area.
- c. Vice president, area operations, western 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.

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3 Communications

31 Policies and Procedures

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

Type of Document	Description	Distribution and Access
Manuals	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.*

Exhibit 312

Standard Headquarters Policy and Procedure Document Types

Type of Document	Description	Distribution and Access
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.
Handbooks	Operating procedures, including related policies and instructions.	Distributed as needed. Most stocked in MDCs. Posted on Postal Intranet.
Publications	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.
Management Instructions	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.
Memorandums of Policy	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.
Posters	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.
Labels, Signs, Tags, and Kits	Brief instructions, information, identification, promotional material, safety and energy messages.	Most stocked in material distribution centers.
Postal Bulletin	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

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 Chapter 6 of Handbook AS-353, *Guide to Privacy, the Freedom of Information Act, and Records Management*. Record retention schedules can also be found in the electronic Records Information Management System (eRIMS).

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 managed, retained, and disposed of as described in Handbook AS-353, *Guide to Privacy, the Freedom of Information Act, and Records Management*.
- 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.	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>). Local: Through the appropriate area Human Resources manager.
PS and local forms that: <ol style="list-style-type: none"> a. Collect personally identifiable information about a customer, employee, or other individual (such as name or Social Security number) directly from those individuals. b. Are completed by a customer, employee, or other individuals. 	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, the Freedom of Information Act, and Records Management</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 Handbook AS-353, *Guide to Privacy, the Freedom of Information Act, and Records Management*. A list of the most widely held Postal Service forms and their retention periods can be found in eRIMS. Because record retention periods vary, it is not feasible to print retention periods on forms.

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

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 Licensing, Product Development

Licensing, Product Development:

- a. Ensures that merchandise bearing Postal Service trademarks, symbols, images, and icons not sold in Postal Service Retail is of high quality, consistent with the Postal Service brand, and in accordance with brand guidelines set forth by Brand Equity and Design within Public Affairs and Communications.
- b. Approves or disapproves requests for product licensing, and determines who is allowed to manufacture products bearing Postal Service intellectual property and where the products can be sold commercially.
- c. Uses Brand Equity and Design guidelines and established program, style guides to determine if products being submitted for approval are consistent with the Postal Service brand.

For more information on licensing policies and the licensing program see subchapter [66](#), Licensing.

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.

Exhibit 333.76

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.

q B: Commercial Sales q C: Retail Sales q D: Advertising Value q E: Public Relations q 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)

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"> • Opening/closing ceremonies. • Awards named after USPS people/products. • Cooperative charitable opportunities. • Use of USPS services for deliveries. • Relevant new stamp introduction. • Community relations opportunities (essay contest, celebrity appearances at postal facilities). • Volunteer opportunities. • Honorary roles. 		
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"> • USPS employee/family night. • Employee recognition. • Volunteer opportunities. • Reduced admission prices. • Special seating for employees/families. • Event-related merchandise for employees/families. • Honorary roles for employees during event program. 		
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?		

PS Form **3337-A**, October 2000 (Page 2 of 2)

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 333.77

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.

PS Form 3337-B, October 2000

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 **Designation of Postal Facilities by Act of Congress**

When a Postal Service building is designated by an act of Congress to honor a person(s), Government Relations will notify the district manager and provide a copy of the legislation.

As part of the Post Office designation process, the district must obtain the dedicatory plaque by following local procurement procedures. It is the responsibility of the district manager to obtain a supplier for the plaque. The delivery date is crucial for planning the dedication ceremony. See [Exhibit 338.44](#) for a diagram containing the specifications for the plaque.

The district manager, in conjunction with Government Relations and the local Public Affairs and Communications office, develops and implements plans for a dedication ceremony, if applicable. In general, schedule the ceremony at least 6 weeks after ordering the plaque to allow enough time for delivery before the ceremony. The district manager will notify Government Relations once the plaque is delivered to the postmaster or installation head. Mounting the plaque in the facility generally will take place after the dedication ceremony.

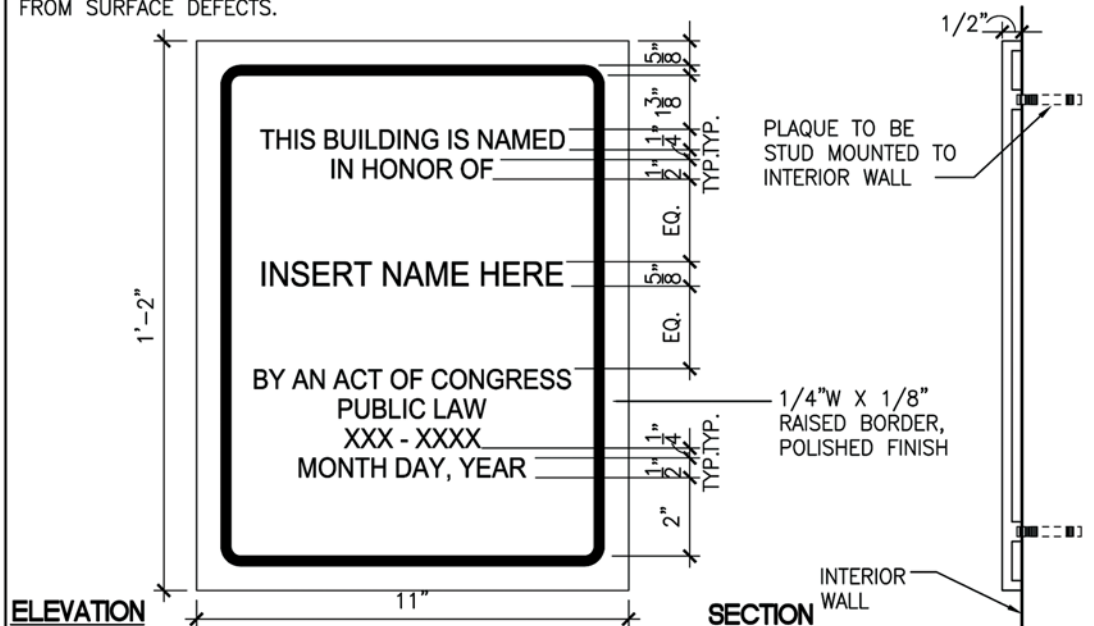
The plaque must be displayed in a prominent, well-secured place within the lobby of the building, for example, immediately inside the front entrance. The plaque must never be placed outside the building. See ASM [519.224](#).

Exhibit 338.44
Plaque Specifications

NOTES TO A/E:

NOTES:

1. CASTING MATERIAL: ALUMINUM ALLOY INGOT (VIRGIN METAL), FEDERAL SPECIFICATION QQ-A-601E, CLASS 5M (ALLOY NUMBER 214), CONDITION F.
2. FASTENERS: CONCEALED STUDS, 1/4" DIAMETER 18-8 STAINLESS STEEL.
3. FABRICATION: FINISH EDGES SQUARE AND STRAIGHT. PROVIDE MOUNTINGS NEAR CORNERS ON BACK FOR FOUR CONCEALED THREADED STUDS.
4. LETTERING: HELVETICA BOLD LETTERS IN UPPER CASE. EDGES STRAIGHT AND FREE FROM PITS, BURRS, AND UNGROUND SURFACES. LETTERS MUST BE HORIZONTALLY ALIGNED AND EVENLY SPACED.
5. FINISHES: FINISH CASTINGS IN ACCORDANCE WITH THE ALUMINUM ASSOCIATION STANDARDS. BACKGROUND TO BE LEATHER TEXTURE WITH LACQUER COATING AND RELIEF FINISH TO BE AA M 32A341.
6. PROTECTIVE COATINGS: APPLY TO EXPOSED SURFACES TWO COATS OF METHACRYLATE LACQUER WITH INTERIM DRYING TIME FOR A TOTAL THICKNESS OF 0.6 MILS. COATING SHALL REMAIN INTACT IN ALL TEMPERATURES ANTICIPATED PRIOR TO INSTALLATION. COATING SHALL BE EASILY REMOVABLE WITH A SOLVENT, WHICH WILL NOT DAMAGE THE ALUMINUM OR THE BACKGROUND FINISH.
7. WORKMANSHIP: PRODUCE CASTINGS WITH FINE EVEN TEXTURE, NOT WARPED, SOUND AND FREE FROM SURFACE DEFECTS.



Detail: BUILDING IDENTIFICATION- CONGRESSIONAL PLAQUE	Fac. Ch. Sect. Para. Detail G2-7-5 d4
	CAD File: ..\\usps\\library\\details\\G2-7-5d4.dwg Scale: 3" = 1'-0" USPS SDL Issued: 3/17/2005 Last Revised: 3/17/2005



STANDARD DETAIL LIBRARY

338.45 Effect of Renaming on Signage

The enactment of legislation designating a Postal Service facility does not require the Postal Service to change the signage on the outside of the building. The renamed facility does not reorder or replace stationery or make other changes to incorporate the new name.

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

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 [Reserved]

36 Web-Based Communications

361 **Intranet**

The 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 Service events, current Postal Service news, human resource information, electronic recordkeeping via Track & Confirm, 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. (See MI AS-885-2002-15, *Managing Web Sites on the Corporate Intranet.*)

362 **Internet**

The Postal Service Internet Web presence (www.usps.com) provides the single, authorized Web domain for external customer access to electronic Postal Service products, services, and information. The *usps.com* site provides service for both the household and business customers under several categories structured to provide easy access to the desired service(s). Interactive pages include lookups for ZIP Codes, Post Offices, postage, and product/tracking information. Products sold online include stamps, stamp merchandise, and mailing labels with postage. Customers may create and post mail online, as well as change their addresses, hold mail, and schedule a pickup or redelivery. Other key pages include the latest rate and rate case information, job postings, print-on-demand forms, a wide range of Postal Service publications, and consumer information including frequently asked questions. The *usps.com* site provides news releases, features, and speeches. The site also provides a comprehensive search capability. The Internet Channel, under the chief marketing officer, provides the overall content and site navigation coordination, while Information Technology provides development, maintenance, and infrastructure support. (See Handbook AS-885, *usps.com Development Process and Standards.*)

37 Printing, Copying, and Duplicating

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.

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 608.7).

371.53 Trademarks and Service Marks**371.531 Registered Marks**

The registered Postal Service trademarks and service marks are published in DMM 608.7.

371.532 Requirements

Proper use of these registered marks and marks proposed or pending registration are prescribed in DMM 608.7.

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. *Multunit 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.

Exhibit 371.641

EPA Standards for Paper Products

Table 1
EPA-Recommended Minimum-Content Standards for Selected Papers and Paper Products

Paper and Paper Products	Minimum Percent of Waste Paper
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.*

Exhibit 371.641

EPA Standards for Paper Products (continued)

Table 2

Paper and Paper Products	Minimum Percent of Postconsumer Recovered Material
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

371.642 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.

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 **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

Equipment	Description	Approved by HQ (1)	Approved by Districts (2)
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	

Exhibit 372.12

Copying, Duplicating, and Related Equipment Authorized for Field Duplicating Activities

Equipment	Description	Approved by HQ (1)	Approved by Districts (2)
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

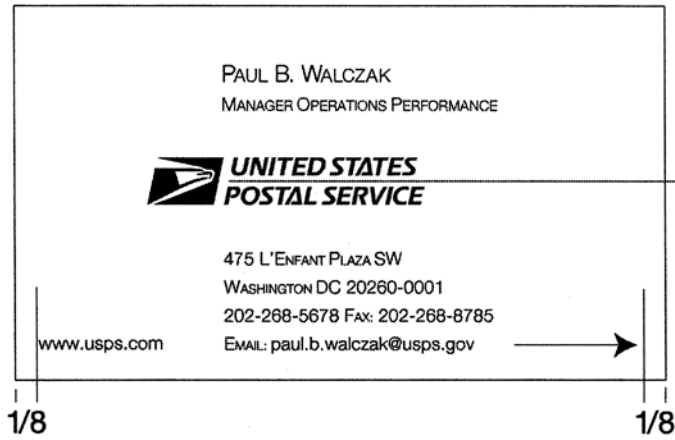
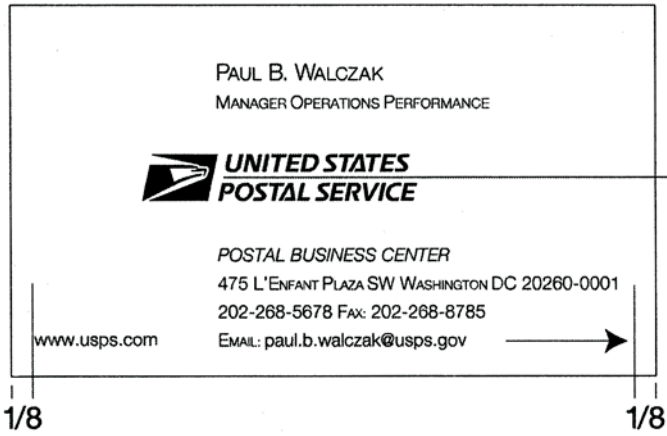
This policy is not intended to stimulate any widespread authorization of business cards. Before approving procurement of business cards, authorizing officials must consider carefully the nature, frequency, level, and circumstances of outside contacts assigned by a position.

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



4 Relations With Other Organizations

41 Military Post Offices

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

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 **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

Service Provided	Reference	Agency	Responsible HQ Office
Sale of Migratory Bird Stamps	Periodic Postal Bulletin Notices; see also 422.4	Interior Dept., National Fish & Wildlife Service	Retail Operations
Selective Service Registration	Guidelines Distributed Through Channels	Selective Service System	Retail Marketing
Acceptance of Passport Applications	See 422.2	Department of State, Consular Affairs	Retail Marketing

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 Service 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. All passport acceptance agents must be U.S. citizens or U.S. nationals.

422.22 **General Policy and Procedures**

422.221 **General Policy**

The Postal Service, in agreement with the Department of State, Passport Services, assists regional passport agency offices by accepting passport applications, where operationally feasible, given overall customer service and revenue generation considerations.

422.222 Procedures

The Department of State establishes the procedures for passport application acceptance and passport issuance. Postal Service headquarters, coordinating with the Department of State headquarters, 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 Department of State, upon legislative approval. Postal Service Headquarters and the Department of State headquarters mutually agree on the acceptance fee which the Postal Service receives for providing passport application acceptance at Post Offices. The acceptance fee is collected from the customer as part of the total passport fees for the Form DS-11, *Passport Application*. This fee reimburses passport acceptance agents for the performance of the required acceptance procedures as outlined in the *Passport Agent's Reference Guide* (PARG). The Postal Service receives no acceptance fee for other types of passport applications, such as renewal Form DS-82, *Application for Passport by Mail*, Form DS-5504, *Passport Re-Application Form*, or Form DS-4085, *Application for Additional Visa Pages*.

422.24 Required District Coordination – Acceptance Post Offices and Regional Passport Agency Offices**422.241 Coordination**

Department of State headquarters and Postal Service Headquarters work together to determine and reach agreement on the number and location of postal facilities which will accept passport applications. Postal Service Headquarters coordination with the Department of State headquarters 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 retail manager will have a designee to serve as a contact to coordinate passport activity with the Department of State, 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 to include current information in the Facilities Database (FDB). In addition, each passport application acceptance Post Office will have a designated contact to coordinate with the regional 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. Regional passport agency offices and the Department of State headquarters 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. 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.
- c. In addition to Post Offices, clerks of the court are also traditional sources of assistance to the passport agency offices and to the public in acceptance of passport applications. 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 the 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 Headquarters for New Passport Sites.* When regional passport agency offices identify a need for an additional passport application acceptance Post Office location, the regional passport agency office will prepare a written request to the Retail Marketing, Postal Service Headquarters. Generally, this request should be received 90 days in advance of the requested startup of passport application acceptance. Regional 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 the 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 Passport Program, Retail Marketing, Headquarters. 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 Department of State coordinate with

Retail Marketing, Postal Service Headquarters, 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 Department of State.

- 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 Retail Marketing, Postal Service Headquarters, for concurrence 30 days prior to the location change. Changes to passport service hours should also be reported to the regional passport agency office through the district designee 30 days prior to the hours change. Notification should also include Retail Marketing and Customer Service Operations, Postal Service Headquarters.
- 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 Retail office to Retail Marketing and Customer Service Operations Marketing, Postal Service Headquarters, 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. Retail Marketing, Postal Service Headquarters, will coordinate the proposed discontinuance with the Department of State headquarters office.
 - (1) The regional passport agency office may respond with a letter of concurrence or a request for reconsideration to Retail Marketing, Postal Service Headquarters. Retail Marketing, Postal Service Headquarters, working with the area/district, will make a determination within 30 days of the Department of State request and send notification to both the area/district and the Department of State regarding the decision reached.
 - (2) When an area/district is notified that the regional passport agency office is submitting a request for reconsideration, the passport acceptance facility will continue passport application acceptance until a decision has been reached.
- d. *Discontinuing Service — by Department of State.* The Department of State 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 area/district 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 Service guidelines in accordance with these procedures. The required Department of State passport application acceptance procedures are provided in the *Passport Agent's Reference Guide*.

422.262 Acceptance Employees

The following applies:

Postmasters/station managers select and designate employees to provide the service. The number of designated employees is determined to provide sufficient staffing during all advertised hours and to prevent excessive customer waiting time during peak periods.

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, 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 a telephone for the acceptance employee to use in answering inquiries.

422.264 Training

The following will apply:

- a. Passport application acceptance training is accessible through Postal Service Intranet Web-based training (WBT) which is available through Automated Enrollment System (AES); e-Learning course #41201-18 Passport Application Acceptance; and at <https://aes.usps.gov/index.php>. All employees must successfully complete the authorized passport training course before accepting passport applications. The postmaster/station manager at the passport application acceptance facility will coordinate and schedule training for designated employees at new passport sites and when refresher training is necessary.
- b. Designated Postal Service employees must be provided on-the-clock time to take the online 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 the Department of State, must be printed and placed in a binder for reference. The guide is available on the intranet at <http://blue.usps.gov/marketing/retail/passportdocs.htm> and provides the required procedures and technical guidance for acceptance of passport applications by designated employees. Section [422.2](#) provides the Postal Service's 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 5 hours daily, Monday through Friday, if the service cannot be provided during all normal business hours. Saturday acceptance hours are highly recommended.

422.266 Signs

Authorized signage (only) should be posted in the lobby clearly stating the hours that passport service is available. Contact district Retail to order customized passport cling or poster advertising passport acceptance hours from Message Maker. The postmaster will coordinate with the district Retail office to ensure adequate signage is being used. Signs prepared by hand or computer generated must not be used.

422.27 Application Acceptance Guidelines**422.271 Passport Agent's Reference Guide**

The Passport Agent's Reference Guide is used for daily reference and has a list of regional passport agencies serving each geographic area, with a specific telephone number only for acceptance employees to call for additional guidance. Changes to the manual and other passport information issued by the Department of State are sent periodically to participating Post Offices and should be placed in the binder with your PARG.

422.272 Passport Application Acceptance Procedures

The following apply:

- a. *Form DS-11, Passport Applications.* Acceptance employees should make available blank Forms DS-11, *Passport Applications*, to applicants. 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 the forms in person to an authorized passport acceptance employee(s) for review and acceptance. The Postal Service receives a fee for the acceptance and handling of each Form DS-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 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 applications not sent to the Department of State to the applicants without completing the procedures in [422.272c](#).
- f. *Passport Photograph Information.* Postal acceptance locations may offer photo services.

- 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 877-487-2778 to request blank forms. The following applies to acceptance:
- (1) Form DS-82, *Application for Passport by Mail*. Customers may purchase postage to mail Form DS-82, *Application for Passport by Mail*, which the customer has fully completed. The Postal Service does not receive an acceptance fee for handling Form DS-82, because no acceptance is required.
 - (2) Form DS-5504, *Passport Re-Application*. Customers may purchase postage to mail Form DS-5504, *Passport Re-Application by Mail*, which the customer has fully completed. The Postal Service does not receive an acceptance fee for handling Form DS-5504, because no acceptance 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 Department of State has authorized sponsoring government offices to execute no-fee passport applications. The Department of State provides authorization for those who are exempt by law to execute their own passport applications. Customers requiring additional information should contact the Department of State at 877-487-2778 or via the Department of State Web site.

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:

Check/Card Type	To Postal Service	To DOS	M.O. Types	To Postal Service	To DOS
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	Credit card	Yes	No
Debit card	Yes	No	–	–	–
Credit Car	Yes	No	–	–	–

*. Canadian and foreign money orders can be made payable only to the U.S. Postal Service.

- b. *Payment by Check.* Customers paying by check must write two checks as follows:
- (1) *Check to the U.S. Department of State for Department of State Fees.* One check must be payable to U.S. Department of State

- for the total Department of State fees for the customer visit. The check must be marked with the applicant's name and date of birth. The Department of State 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 Department of State fee; write the total Department of State fee amount in the bottom right corner of the Form DS-11, and initial. The Department of State 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 for Postal Service Fees.* A separate check must be payable to the U.S. Postal Service for the acceptance fee amount and for any other products and services which the customer chooses to purchase during that customer visit, such as purchase of Postal Service products or services unrelated to the passport application acceptance transaction.
 - (3) *Financial Procedures and Accounting Entries*
 - (a) Verify the accuracy of the total Department of State fees and U.S. Postal Service fees.
 - (b) For the Postal Service acceptance fee portion, for each Form DS-11, *Passport Application*, accepted, enter the acceptance 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 U.S. Department of State fee in cash, a money order for each customer transaction will be the method of payment to U.S. Department of State for the Department of State fees. Customers will make the money order payable to U.S. Department of State.
- (1) *Department of State Fees.* For payment by cash, a regular (fee) domestic postal money order must be purchased by the customer and made payable to U.S. Department of State for the Department of State portion of the fees. The money order must be marked with the applicant's name and date of birth. The Department of State 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 Department of State fees due for the entire customer visit when multiple passport applications are presented (a family, for example). Verify accuracy of totals; write the total Department of State fee amount in the bottom right corner of the Form DS-11, and initial. The money order payable to U.S. Department of State is stapled to

- the application during the customer visit. For multiple applications (a family, for example) attach the forms 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 acceptance fee, the money order fee (if Department of State 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 a PS Form 1096, *Receipt*, an IRT receipt, or a POS ONE system-generated receipt.
 - (3) *Financial Procedures — Accounting Entries.* The following will apply:
 - (a) Verify the accuracy of the total Department of State fees and U.S. Postal Service fees.
 - (b) Enter in AIC 100 the money order amount of total Department of State fees payable to U.S. Department of State.
 - (c) Enter money order fee in AIC 101.
 - (d) For each Form DS-11, *Passport Application*, accepted, enter the Postal Service passport acceptance 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 U.S. Department of State in the amount of the total Department of State fee portion of the passport total fee.
- (1) *Customers Presenting a Money Order in the Amount of the Department of State Fees.* The following will apply:
 - (a) *Department of State Fees.* Customers will make the postal or U.S. currency nonpostal money order payable to the U.S. Department of State. Canadian or other foreign money orders are not a valid payment type (see section [422.273a](#)) for payment to the U.S. Department of State. (Canadian or other foreign money orders must be payable to the 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 [422.273d2b](#). The Department of State 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

Department of State fee amount in the bottom right corner of the Form DS-11, and initial. The money order payable to the U.S. Department of State 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, credit card, debit card or separate money order payable to the U.S. Postal Service. The postal fees include the acceptance fee amount for acceptance of each Form DS-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 Department of State fee total). The customer must also purchase a postal domestic money order as part of the transaction, made payable to the U.S. Department of State, for the total Department of State 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 money order is purchased 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 will apply:
- (a) *Nonpostal U.S. Currency Money Orders.* Non-postal U.S. currency money orders presented for payment in an amount greater than the total Department of State 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 will apply:
- (a) Verify the accuracy of the fee totals for Department of State 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 acceptance fee amount for each Form DS-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 acceptance fees by debit card, use a money order for each customer transaction as the method of payment to the U.S. Department of State for the Department of State fees. Customers will make the money order payable to the U.S. Department of State. See section [422.273d](#) for the specifics for money order payments.
- (1) *Department of State Fees.* For payment by debit card, a regular (fee) domestic postal money order must be purchased by the customer and made payable to the U.S. Department of State for the Department of State portion of the fees. The money order must be marked with the applicant's name and date of birth. The Department of State 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 Department of State fees due for the entire customer visit when multiple passport applications are presented (a family, for example). The money order payable to the U.S. Department of State 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) *U.S. Postal Service Fees.* Debit card payments for the Postal Service fees may be accepted, which include the acceptance fee, the money order fee (if Department of State 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 will apply:
 - (a) Verify the accuracy of the Department of State fees and the U.S. Postal Service fees.
 - (b) Enter in AIC 100, Domestic Money Order — Value, the money order amount of total Department of State fees payable to the U.S. Department of State.
 - (c) Enter the money order fee in AIC 101, Domestic Money Order — Fee.
 - (d) For each Form DS-11, *Passport Application*, accepted, enter the Postal Service passport acceptance 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 delivery of their application(s) to the Department of State,

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 that their passport application has arrived. The following will apply:

- a. The payment for Express Mail return service of passports must be included with the passport fee payable to the Department of State. 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). Indicate the Express Mail amount on PS Form 5659, Daily Passport Application (DS-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 PS Form 5659.

422.28 **End-of-Day and Individual Clerk Closeout Procedures**

422.281 **Daily Remittance of DS-11, Passport Applications, to the Department of State or Designee**

Passport applications must be remitted daily with supporting documents, corresponding payment, and PS Form(s) 5659, *Daily Passport Application (DS-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 regional passport agency office or designee.
 - (1) *Routine Service Passport Applications.* Customers will typically receive passports issued from routine applications within 6 to 8 weeks from the date they submitted the application, in accordance with *Passport Agent's Reference Guide, Handling, Assembling and Mailing of Applications*. For travel-related information, refer to the Department of State Web site at www.state.gov Routine passport applications are grouped together and mailed in bundled groupings with accompanying PS 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.
For the most current passport processing times, refer to the Department of State Web site at www.state.gov.
 - (2) *Expedited Service Passport Application.* Expedited service passport applications (with payment of the Expedite Fee and two-way overnight delivery) will be processed within 2 weeks

from the date the application was submitted in accordance with the *Passport Agent's Reference Guide, Handling, Assembling and Mailing of Applications*. When the customer purchases Express Mail to the Department of State, the application (whether routine or expedited) will be sent individually via Express Mail with its own PS Form 5659 and payment. Multiple applications in one customer visit (a family, for example) may be sent in one Express Mail envelope. For the most current passport processing times refer to the Department of State Web site at www.state.gov.

- (3) *Express Mail Purchased 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 service to the Department of State, the application (whether routine or expedited) will be sent individually via Express Mail with its own PS Form 5659 and payment. Multiple applications in one customer visit (a family, for example) may be sent in one Express Mail envelope. For the most current passport processing times refer to the Department of State Web site at www.state.gov.
- b. *PS Form 5659, Daily Passport Application (DS-11) Transmittal*. The completed transmittal is the first page for each grouping of routine or expedited passport applications, with supporting documentation and accompanying payment. It is required by the Department of State. It also is the top sheet on passport applications for which the customer has purchased individual Express Mail from the retail unit to the Department of State designee. It is the log of individual passport application activity for both the Department of State 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, Handling, Assembling and Mailing of Applications*.
 - (2) Use PS Form 5659, *Daily Passport Application (DS-11) Transmittal*, form available on the Postal Service Intranet Web site (<http://blue.usps.gov/formmgmt/forms.htm>) or available at the Material Distribution Center. The original accompanies the passport applications. Make one copy of the completed PS Form 5659, made by an office copier. This copy is the office copy of the transmittal form which should be retained for 1 year in a secure filing place.
 - (3) Complete PS Form 5659, making a separate line entry for each application with associated total Department of State fees, accepted during the day. Also indicate any Express Mail purchased for delivery of the passport from the Department of State to the customer. If an application was sealed after acceptance for the customer to hand carry, list the application on

- PS Form 5659 and note in Remarks to whom the application was hand carried.
- (4) Enter the Total Fees to Department of State for each application. For multiple applications in a customer visit when one check or money order is prepared (a family), write the total Department of State fees (money order or check amount) on the line for the first application of the group entered on PS Form 5659. Indicate with a bracket which applications are included in the group or family.
 - (5) Enter the USPS Acceptance Fee (AIC 264) amount total for the entire transmittal on the bottom of PS Form 5659.
 - (6) The *Sales & Service Associate'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 PS Form 5659, and verify the accuracy of all entries.
 - (8) Before mailing, a supervisor or other employee should review the completed PS Forms 5659 and related applications for accuracy. Then the reviewer initials the *Reviewer Initials* line to indicate concurrence.
 - (9) Retain a copy of the completed PS Form 5659 at the acceptance unit for 1 year in a secure filing place, and then destroy them.
- c. *Daily Mailing of Passport Applications to the Department of State or Designee.* On the day of acceptance, mail all passport applications with attached checks and money orders, supporting documents, and PS Form(s) 5659 to the passport agency office designated location for processing. The following will apply:
- (1) Follow procedures as outlined in the *Passport Agent's Reference Guide*.
 - (2) Mail groupings of routine passport applications by Priority Mail with Delivery Confirmation service from the acceptance unit to the Department of State, to provide a record of delivery. Attach the finance copy of the Express Mail label or the customer copy of the Delivery Confirmation receipt to the PS 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 Department of State.
 - (4) Ensure that critical entry times for Express Mail and Priority Mail are met.
 - (5) For applications received after the cut-off time and expedited passport applications by Express Mail service, advise the customer of the service time for delivery.

422.282 **Individual Sales and Service Associates Closing Procedures**

At closing, the following will apply:

- a. Generate PS Form 1412.

- b. Verify for accuracy, ensuring that the PS Form 1412 amount for AIC 264 and the PS Form 5659 total AIC 264 amounts match.
- c. Retain a copy of PS Form 1412, at the acceptance unit supported by the copy of PS 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 will apply:
 - (1) For quality control, each regional 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 regional passport agency office discovers that the Postal Service transmitted an underpayment or overpayment to the Department of State, contact will be made between the two offices to resolve the discrepancy.
 - (5) Since the Department of State has all the necessary customer information and passport application, when customer contact is required, the Department of State will handle any resolution which is required with the customer, for either overpayment or underpayment. The Department of State 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 regional passport agency office, then the discrepancy will be directed to the Postal Service district finance manager for resolution with the regional 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 PS Form 5659 match the AIC 264 amounts on PS 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 Department of State, 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 the Department of State.
 - (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 Department of State, with input from Retail at Headquarters as required.

422.292 **Forms and Supplies**

- a. *Items Used.* In addition to these procedures, PS Form 5659, *Daily Passport Application Transmittal Form*, is available on the intranet at <http://blue.usps.gov/formmgmt/5999.htm>, and the *Passport Agent's Reference Guide* must be printed and placed in a binder for reference. The guide is available on the intranet at <http://blue.usps.gov/marketing/retail/passportdocs.htm>. The following supplies are used for the passport application acceptance program:

Item Number	Title
DS-10	Birth Affidavit
DS-11	Passport Application
DS-60	Affidavit Regarding Change of Name
DS-64	Statement Regarding Lost or Stolen Passport
DS-71	Affidavit of Identifying Witness
DS-82	Application for Passport by Mail
DS-86	Statement of Non-receipt of Passport
DS-3053	Statement of Consent: Issuance of a Passport to a Minor Under Age 14
DS-4085	Application for Additional Visa Pages
DS-5504	Passport Re-Application Form
M-300	Documentation of U.S. Citizens Born Abroad Who Acquire Citizenship at Birth
M-349	Evidence of Citizenship for Persons Born in the United States
Sticker	"Expedite"
Handout	2-Parent Consent Requirement

- b. *Requisitioning Procedures.* Requisition all items from the Material Distribution Center. Use touch tone order entry (TTOE); call 800-273-1509. All blank forms and related materials are described in the *Passport Agent's Reference Guide*. Do not requisition forms or supplies from Passport Services.

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. Stamps are made available to all Post Offices where there is a demand for them. Duck stamps are sold at nearly, 18,000 Post Offices and may also be purchased on USPS Internet (www.usps.com) and through the *USA Philatelic* catalog.

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.

422.43 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. Follow stamp accountability 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 FWS provides the Postal Service with the artwork and copy for the coming year’s duck stamps.

422.433 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.

422.434 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.

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 507.6
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

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

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 AS 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 days)

Circulate to:

Title Room Approve/Disapprove/Signature/Date

Senior Vice President,

Government Relations

And Public Policy

(Chairperson)

Senior Vice President,

Corporate and Business

Development

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 St, Room 4015

Arlington, VA 22209-6043

45 Postal Rate Commission

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

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:

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.

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.

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.

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.

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

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 (see note 1 below)
Last Monday in May	Memorial Day Observed (see note 2 below)
December 7	National Pearl Harbor Remembrance Day

Note 1: When May 15, which is the date for Peace Officers Memorial Day, falls on the third Saturday in May, which is the date for Armed Forces Day, the Postal Service follows the regulations in the United States Code (36 U.S.C. 175) and flies the U.S. flag in the full-staff position, *not* at half-staff.

Note 2: On the last 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](#).

Exhibit 472.232

Half-Staff Display on Death of a Prominent Person

On Death Of:	Flag Displayed Half-Staff::	On All Federal Buildings In:
President or former President	For 30 days from date of death	District of Columbia;
Vice President	For 10 days from date of death	throughout the U.S., and its territories and possessions
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		

Exhibit 472.232

Half-Staff Display on Death of a Prominent Person

On Death Of:	Flag Displayed Half-Staff::	On All Federal Buildings In:
U.S. Senator U.S. Representative Delegate	On date of death and following day	Metropolitan area of District of Columbia; the state, congressional district, territory, or commonwealth
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.	

472.233 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.

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

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**

Installation heads must review 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. Report excess property through the Facilities Database System program.

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.

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

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.
- 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.

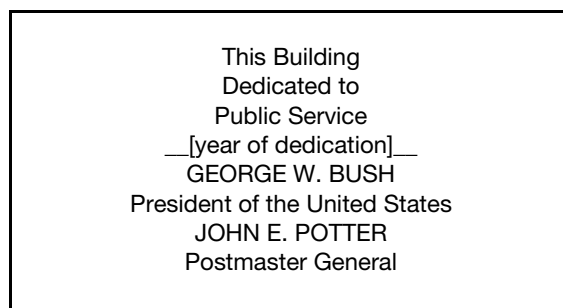
519.22 Dedicatory Plaques and Memorials

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 a person(s), Government Relations will notify the district manager and provide a copy of the legislation. The district must obtain the dedicatory plaque by following local procurement procedures. The district manager, in conjunction with Government Relations and the local Public Affairs and Communications office, develops and implements plans for a dedication ceremony, if applicable. In general, schedule the ceremony at least 6 weeks after ordering the plaque to allow enough time for delivery before the ceremony. The district manager will notify Government Relations once the plaque is delivered to the postmaster or installation head. Mounting the plaque in the facility generally will take place after the dedication ceremony. The plaque must be displayed in a prominent, well-secured place within the lobby of the building, for example, immediately inside the front entrance. The plaque must never be displayed outside the building. See ASM [338.44–338.45](#).

- 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

- 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.
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

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.

531.3 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

Telephone: 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.

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 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 and Office of Inspector General 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 [722.31](#) 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

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 in Handbook MS-49, *Energy Conservation and Maintenance Contingency Planning*.

541.12 Use of Gas During Summer

When gas is not needed, pay the minimum charges for service 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 the decisions made in this area are most efficient and cost-effective.

541.2 Emergency Contingency Plan

Installation managers must prepare contingency plans to reduce electrical, gas, oil, or other fuel consumption, or to change completely to an alternate energy source, if backup fuel service is available. In the event of a critical energy shortage or power outage, follow the instructions in Handbook MS-49.

542 Utilities

542.1 Policy

542.11 Definition

Utility service refers primarily to electricity, natural gas, water, steam, sewerage, and regulated telecommunications services available to the general public and performed by governmental agencies (federal, municipal, cooperatives, special authorities) or by Investor Owned Utilities (IOU) ordinarily subject to state or federal regulation. Other services, such as trash removal, may also be considered utility services when governmental agencies or private companies subject to regulation perform them. For the purposes of the ASM, the utilities discussed in part 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 after reasonable attempts to negotiate a no-charge connection have failed or when such charge is directed under the servicing utility tariff.
- b. A termination liability is ordinarily preferred over a connection charge when a charge is necessary to secure the required connection.
- c. When the utility requires payment of an unrefundable fee for connection, the fee may be paid in addition to or in place of a connection charge.

542.13 Existing Facilities

All Postal Service—owned buildings and Postal Service—leased facilities where the Postal Service pays the cost of utilities must maintain PS Form 4841, *Fuel and Utilities Record*. The facility must retain the completed form for the record with copies of its utility bills for the most recent 12-month period.

542.2 Acquiring Service**542.21 General Services Administration Contract**

Contact the Utilities Category Management Team (CMT) at the Office Products and Utilities Category Management Center (CMC) to arrange for the purchase of utility supply. This supply includes electricity generation and natural gas commodity and transportation. This supply may be solicited competitively in those states that are deregulated, or negotiated with the local servicing utility in those states that are not deregulated. General Services Administration (GSA) area-wide contracts may be used at the sole discretion of the Utilities CMT if doing so is more efficient and cost effective. For more information contact the Utilities CMT at the following address:

UTILITIES CATEGORY MANAGEMENT TEAM
SUPPLY MANAGEMENT
8 GRIFFIN RD N
WINDSOR CT 06095-1572

Telephone: 860-285-7200
Fax: 860-285-7272

542.22 Local Buying

Lease contracts and rental agreements (copies of which are on file in the local facility) specify the services that the building owner is obligated to furnish. No funds may be authorized or expended in leased or rented buildings for any service that the owner is obligated to provide. However, when required for operation of Postal Service—owned buildings, or for Postal Service—leased or —rented space where 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. This policy applies only in those cases where the utility supply is not currently purchased through a contract managed by the Utilities CMT. Upon request, send copies of PS Form 4841 to the Utilities CMT. Arrangements for payment for such services should be in accordance with the payment method hierarchy provided in section [722.63](#).

542.3 **Requesting Rate Surveys**

In Postal Service—owned or —leased facilities (if the Postal Service is responsible for acquiring service), the installation head must 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 conduct an electric rate survey not later than 6 months after the change.
- b. Unless service is provided under a Postal Service contract, the utility company or municipality furnishing service must be contacted on a semi-annual basis to determine whether the Postal Service is being charged the lowest rates available. Generally, if there is a choice of rates available, the utility can furnish comparative cost data upon request and charge the Postal Service the lowest rate. The installation head may contact the Utilities CMT for assistance in requesting these comparative rate studies, and executing and administering these rate adjustments. Rate adjustments may also be identified through a utility bill audit conducted by an independent third party bill auditor under contract with the Postal Service and administered by the Utilities CMT. For information on these audit services, contact the Utilities CMT.
- c. Study the data on PS Form 4841 after each 12-month period of operation. If the data shows a significant increase in consumption, ask the utility to make a rate survey. When in doubt on any question concerning utility rates, forward all information (copies of the different rates, effective dates, statement showing 12 months' consumption and cost, etc.) to the Utilities CMT and the area maintenance office for review and resolution.

542.4 **Processing Changes**

542.41 **Rate Changes**

542.411 **Postal Service Contract**

When utility services are acquired through a Postal Service contract, the installation head must send a copy of the contract and any proposed rate change to the Utilities CMT, which will review the proposed rate change and, if approved, modify the contract.

542.412 **Local Buying**

If the utility service is purchased locally and a public utility regulatory agency approves a rate change, send the utility contract to the Utilities CMT for review and execution.

542.413 Name and Address Changes

Report any name, address, or account number/meter changes, including those of the supplier and the Postal Service installation being serviced, as well as any facility closures to the Utilities CMT. Submit supplier name and address changes, as well as changes to the supplier's EFT setup, to the Supplier Maintenance Group at the San Mateo Accounting Service Center (ASC).

542.414 Billing and Payment

The preferred payment method is the eBuy utility invoice certification process, followed by the other payment methods in the hierarchy provided in section [722.63](#).

542.415 Additional Fees

If utility bills include extra charges (e.g. 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. Amortization charges may be paid in invoices.
- c. Membership fees may be paid if the supplier insists. A deposit may be paid if the utility states in writing that the deposit will be refunded when the service is no longer needed.
- d. Submit tax-related questions to the field counsel and the Utilities CMT for resolution. Pay charges indicated as taxes until advised that payment is not necessary. Refunds may be claimed for improperly paid amounts.

543 Purchasing Non-Metered Heating Fuel**543.1 Definition**

Non-metered heating fuel is fuel obtained by bulk delivery for storage at either above ground (AST) or underground (UST) storage tanks at the installation. This includes fuel oil, butane, propane, coal, and wood. See part 542 for information about the purchase of metered heating fuel.

543.2 Purchasing Methods**543.21 Oil and Gas**

Transportation Asset Management (TAM) CMC handles heating oil (diesel) requirements. The Utilities CMT handles Supply Management responsibilities for the acquisition of natural gas and compressed natural gas (CNG) products. The purchasing method used to obtain heating oil depends on annual requirements. Generally, requirements are categorized into two distinct limitations, each of which calls for a distinct purchasing method. The categories are as follows:

- a. Requirements over 20,000 gallons a year.
- b. Requirements under 20,000 gallons a year.

543.22 Heating Oil Requirements Over 20,000 Gallons a Year

Under an interagency agreement between the Postal Service and the Defense Energy Support Center (DESC), Postal Service installations should first look to purchase non-metered heating oil (diesel) from DESC contractors if the annual requirement is over 20,000 gallons per product at any given location. Use delivery order agreements to order this amount of heating fuel against a DESC contract. The TAM CMC issues delivery order agreements, and designated ordering individuals must place written orders for the heating fuel they require. Orders are made in terms of tank capacity.

543.23 Heating Oil Requirements Under 20,000 Gallons a Year

Non-metered fuel requirements estimated to be under 20,000 gallons a year should be purchased using local buying procedures within ebuy, or they may be aggregated on a state basis with contracts issued by the TAM CMC.

543.24 Non-Petroleum Fuels

Meet all non-petroleum fuel requirements (e.g., for coal or wood) through local buying procedures. Postmasters may purchase and pay for wood and coal locally in accordance with the payment method hierarchy in section [722.631](#).

543.3 Changes in Types of Fuel

Local installation heads must obtain prior approval for changes in the types of fuel used. For Postal Service-owned or -leased buildings, submit a request to the manager of Operations Program Support at the district office, providing estimated costs of the present and proposed types of fuels and the reason(s) 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 Heating Oil Requirements Over 20,000 Gallons a Year****543.411 Submitting Requirements**

Annual requirements exceeding 20,000 gallons a year must be submitted through the TAM CMC to the DESC for procurement, unless the DESC authorizes TAM to purchase the product. A DESC Requirements Work Sheet, provided by TAM to the requirements organization, is used to establish annual fuel requirements by line item. TAM establishes 5-year delivery order agreements for each line item requested. If the DESC cannot place a contract for the requested items immediately, the ordering installation may use local buying procedures until a contract is in place. Additionally, upon notification by TAM of any contractual problems, the DESC contracting officer is the only individual authorized to negotiate with the supplier to resolve the issue or terminate the contract.

543.412 Order Limitations

Orders placed through DESC contracts are authorized at the maximum tank capacity (specified in gallons, not dollars) as listed in the applicable DESC 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 must place orders from the delivery order agreement in writing. Each order the DESC contractor accepts becomes an individual contract. Orders are assigned a sequential number that must be provided to the contractor when the written order is placed.

543.415 Billing and Payment

Notification of contract award and billing and payment instructions are sent to the appropriate offices by TAM CMC. Payments are to be made in accordance with prices listed at the following Web site: <http://www.desc.dla.mil>.

543.42 Heating Oil 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 utilizing eBay or through the TAM CMC under aggregated state contracts. Payment must be made in accordance with the hierarchy at Section [722.631](#).

543.43 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.

544 Purchasing Vehicle Fuel**544.1 General**

The Postal Service operates a Fuel Management Program. Fuel for Postal Service—owned vehicles is purchased primarily either from commercial retail service stations or in bulk. Purchasing fuel in bulk is the preference of the Postal Service. When bulk fuel is not available, then retail purchases are the second option. The following procedures apply to bulk purchases of vehicle fuel. Procedures for purchasing from retail service stations via the Postal Service Voyager Fleet Card are found at: <http://blue.usps.gov/purchase/voyager/index.shtml>.

544.2 Types of Requirements

The purchasing method for vehicle fuel depends on the annual requirements. Generally, requirements are categorized into the following three categories, each of which calls for a different purchasing method.

- 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.

544.3 Requirements Over 20,000 Gallons a Year

Under an interagency agreement between the Postal Service and the DESC, postal installations should first look to purchase fuel (gasoline, gasohol,

kerosene, diesel fuel, biodiesel, and ethanol) from DESC suppliers if the annual requirement is over 20,000 gallons per product at any given location. Delivery Order agreements are used to order bulk fuel against a DESC contract. The TAM CMC issues delivery order agreements against the DESC contract, and designated ordering individuals must place written orders for the fuel their installations require. Orders are made in terms of tank capacity. If problems arise with securing a DESC contract, consider other purchasing methods, such as temporary indefinite-delivery contracts or individual purchase orders issued by the TAM CMC, until a contract is awarded by DESC. If a facility is contemplating the permanent removal of bulk tanks, TAM CMC must be notified in order to take appropriate action.

544.4 **Requirements Between 2,000 and 20,000 Gallons**

The TAM CMC issues indefinite-quantity, indefinite-delivery contracts or basic pricing agreements (BPAs) for annual vehicle fuel requirements between 2,000 and 20,000 gallons.

544.5 **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 (see subchapter [72](#)).

544.6 **Types of Fuel**

544.61 **Gasoline**

DESC contracts call for the delivery of gasohol (product code 24) or unleaded regular gasoline (product code 28). If, when the DESC awards the contract against which the Postal Service delivery agreement will be placed, the price of gasohol is equal to or lower than that of unleaded regular, the contract will be awarded to the firm offering gasohol. Postal Service organizations wishing to use only unleaded regular may request deviations to this requirement. The DESC must approve the deviation.

544.62 **Diesel**

Postal Service organizations wishing to use diesel gasoline must specify No. 1 diesel (product code 67) or No. 2 diesel (product code 68) as well as whether low sulfur or high sulfur is desired. Additionally, if dyed diesel is requested for off-road operation, specify this information in the initial request.

544.63 **Compressed Natural Gas**

The Utilities CMT manages purchases of Compressed Natural Gas (CNG) for vehicles (see [542.2](#)). Contact the Utilities CMT for guidance.

544.7 **Procedures**

544.71 **Requirements Over 20,000 Gallons a Year**

544.711 **Submitting Requirements**

Annual requirements exceeding 20,000 gallons a year must be submitted through the TAM CMC to the DESC for procurement unless the DESC authorizes TAM to purchase the product. A DESC Requirements Work Sheet,

provided by TAM to the requirements organization, is used to establish annual fuel requirements by line item. TAM establishes 5-year delivery order agreements for each line item requested. If the DESC cannot place a contract for the requested items immediately, the ordering installation may use local buying procedures until a contract is in place. Additionally, upon notification by TAM of any contractual problems, the DESC contracting officer is the only individual authorized to negotiate with the supplier to resolve the issue or terminate the contract.

544.712 **Order Limitations**

Orders placed through DESC contracts are authorized at the maximum tank capacity (specified in gallons, not dollars) as listed in the applicable DESC Contract Bulletin for the requiring installation.

544.713 **Contract Quantity**

Contract maximum and minimum are as follows:

- a. The annual maximum contract quantity that the Postal Service may order or the supplier may deliver of any item is double the estimated DESC contract quantity plus 30,000 gallons, whichever is less. Do not order quantities exceeding this annual maximum.
- b. The Postal Service guarantees to purchase an annual minimum quantity of \$100 from the DESC contract.

544.714 **Authorized Orderers**

Individuals designated to place orders against the delivery agreement must be identified by name or position title within the delivery agreement document issued by TAM CMC. The contracting officer will identify those individuals authorized to place orders against the delivery agreement.

544.715 **Ordering**

Authorized persons must place orders against the delivery order agreement in writing. When circumstances require that a verbal order be placed, it must be followed by written notification to the supplier. Each order the DESC supplier accepts becomes an individual contract. Each order is assigned a sequential number which must be provided to the supplier when the order is placed.

544.716 **Records**

All orders must be recorded on PS Form 4626, *Vehicle Fuel and Motor Oil Purchase Record*, following instructions on the reverse of the form. Fill out the forms completely. Submit a copy of PS Form 4626 to TAM CMC annually and within 30 days of the contract end date.

544.717 **Payment**

Billing and payment instructions are included in each delivery agreement. Make payments in accordance with prices listed at the following Web site: <http://www.desc.dla.mil>.

544.72 **Requirements Between 2,000 and 20,000 Gallons a Year**

544.721 **Contractual Vehicles**

TAM establishes contractual vehicles (indefinite delivery, indefinite quantity contracts, or basic pricing agreements) for requirements between 2,000 and 20,000 gallons a year. Contact TAM for guidance.

544.722 Authorized Orderers

Individuals designated to place orders against the contract must be identified by name or position title within the contract document issued by TAM CMC. The contracting officer will identify those individuals authorized to place orders against the contract.

544.723 Ordering

Authorized orderers may place orders with the supplier either orally or in writing.

544.724 Records

Record all orders on PS Form 4626, following instructions on the reverse side of the form. Fill out each form completely.

544.725 Payment

Billing and payment instructions are included in each contract.

544.73 Requirements under 2,000 Gallons a Year

These requirements should be met using local buying procedures (see [722](#)).

6 Support Services

61 Technology

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 Information Technology

612.1 Responsibility

Information Technology provides and supports products and services that use computers, telephones, and wireless devices. These services include the following:

- a. Business solutions.
- b. Business data management.
- c. Information security service.
- d. Electronic messaging.
- e. Corporate software and hardware acquisition and support — Blackberry and wireless personal digital assistants (PDAs).
- f. Back office processes (such as payroll processing).
- g. Distributed computing environment.
- h. Host computing services.

612.2 Purpose

The Postal Service information technology infrastructure provides the means to:

- a. Share information electronically as follows:

- (1) Between Postal Service personnel and customers regarding customer mailings and postal services.
 - (2) Among Postal Service managers for operational and cost management.
 - (3) Among employees so they can be more successful in their jobs.
- b. Conduct Postal Service business transactions electronically.
 - c. Learn more about customers and their needs.

See Chapter 8, Information Resources, for policies and services related to the Postal Service information technology infrastructure.

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

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 **Deputy Postmaster General and Chief Operating Officer**

The deputy postmaster general and 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 **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.

622.3 **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.

622.4 **Delivery and Retail**

Delivery and Retail is responsible for national program management in the areas of delivery and retail operations.

622.5 **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)

64 Stamp Services

641 **General**

641.1 **Responsibilities**

Stamp Services is responsible for creating, producing, distributing, and maintaining adequate quantities of postage stamps, stationery products, and philatelic products for nationwide sales. By developing an annual stamp program that is diverse and meets the needs of business and household customers, as well as the stamp-collecting community, Stamp Services supports the Postal Service's overall corporate goals to satisfy customers and generate revenue.

641.2 **Functions**

Stamp Services consists of the following functional areas:

- a. *Stamp Development.* Manages stamp subject and design, manages the Citizens' Stamp Advisory Committee, develops and designs the annual stamp program, and produces the *USA Philatelic* catalog.
- b. *Stamp Acquisition and Distribution.* Produces and distributes stamps and stationery products nationwide through the Stamp Distribution Network.
- c. *Stamp Fulfillment Services.* Oversees national order processing center that fulfills mail orders, telephone orders, and Internet orders for stamps, stationery, philatelic products, cancellation services, and other retail merchandise.
- d. *Stamp Products and Exhibitions.* Develops philatelic products and subscription programs; and manages the national pictorial postmark program, the national Stamp Archives, stamp retention studies, domestic stamp shows, in-store messaging and advertising support, and the mandated semipostal stamp program.

642 **Stamp Development**

642.1 **Responsibilities**

Stamp Development is responsible for the management of stamp planning; the Citizens' Stamp Advisory Committee (CSAC); stamp subject selection; stamp design; rights of publicity; and the development and production of the quarterly *USA Philatelic* catalog. Stamp Development maintains regular contact with customers through stamp subject correspondence and catalog concerns and questions, and through negotiations in obtaining rights to stamp images.

642.2 **Functions**

642.21 **General**

Stamp Development has four principal functions:

- a. *Planning.* The Stamp Development staff develops the annual stamp program (i.e., the list of stamp subjects for 1 year) and coordinates stamp-related activities with Advertising, Public Affairs and Communications, Retail, and Stamp Acquisition to make sure that each organization's contribution to the program is maximized.
- b. *Citizens' Stamp Advisory Committee.* The Stamp Development staff coordinates the activities of the Citizens' Stamp Advisory Committee (CSAC) to ensure that the stamp program is developed on time. CSAC includes the following activities:
 - *Stamp Subject Selection.* Coordinating, receiving, processing, and responding to an average of 50,000 letters and petitions annually from the public, which are then prepared for the committee's review.
 - *Stamp Design.* Coordinating development of all stamp designs. At any time, the committee is developing stamp designs for a 3-year period.
- c. *Right of Publicity.* The Stamp Development staff works with estate holders to secure right of publicity agreements for stamp subjects.
- d. *USA Philatelic Catalog.* The Stamp Development staff coordinates design and production of a quarterly, 24-page catalog promoting all stamps available by the Postal Service.

642.22 **Planning**

The annual stamp program is developed from customer and employee ideas that the CSAC reviews and the postmaster general approves. 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 Development coordinates with Advertising, Public Affairs and Communications, and Stamp Acquisition to maximize each organization's contribution to the program. This is accomplished by developing and implementing a coordinated plan for each stamp subject. This plan includes elements from functional areas such as marketing, advertising, publicity, events, and licensing as appropriate, all coordinated to maximize the recognition of and revenues from the individual subjects.

642.23 **Citizens' Stamp Advisory Committee**

642.231 **Description**

Stamp Development coordinates and supports the CSAC in its continuing activities to achieve the contributory goals of the Postal Service.

642.232 **Authority**

The CSAC was established by the U.S. Post Office Department on March 26, 1957 (see 22 FR 1996; March 26, 1957).

642.233 Membership

The committee consists of a maximum of 15 members whose backgrounds reflect a wide range of educational, artistic, historical, and professional knowledge. Members are appointed and serve at the discretion of the postmaster general. The postmaster general appoints one member to serve as chairperson and another as vice chairperson.

642.234 Functional Responsibilities

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 and stationery items.
- d. Establishing criteria for selecting stamp subjects.
- e. Providing technical expertise, advice, and recommendations to the Postal Service on stamp designs.

642.235 Subcommittees

CSAC meetings 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. The 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 in achieving its corporate goals and strategies. The 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.

642.236 Travel Expenses and Compensation Allowances

CSAC members are eligible for travel reimbursement in accordance with current Postal Service travel regulations.

- a. *Travel Expenses:* Members are allowed reimbursement on an actual expense basis for transportation and 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, DC, 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.

- b. *Compensation Allowance*: Compensation for CSAC members is calculated as follows:
- (1) CSAC members who are not employed by the U.S. government are paid at a daily rate based on the maximum EAS pay scale.
 - (2) Compensation obligations as set forth in [642.236a](#), incurred because of the members' employment, are chargeable to the assigned finance number for CSAC, account number 56301.
 - (3) CSAC members may not receive payment for designing U.S. postage stamps or stationery items.

642.24 **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 products, 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 agent works with the signatories to obtain approval of a licensing agreement.

642.25 **USA Philatelic Catalog**

Stamp Development is responsible for coordinating all stamp-related material included in its quarterly, 24-page, full-color catalog. Stamp Development coordinates the latest information on new stamps, prices, item numbers, and images; oversees design and production of the catalog by outside contractors; and approves color or printing. Approximately 1.2 million copies are produced and a majority of those copies are mailed to regular subscribers. These subscribers use this catalog to order stamps, primarily for collecting purposes, from Stamp Fulfillment Services in Kansas City, MO.

643 **Stamp Acquisition and Distribution**

643.1 **Responsibilities**

Stamp Acquisition and Distribution manages acquisition and distribution of postage stamps and stationery products nationally. Through the field Stamp Distribution Network, stamps are provided to retail sales units, associated retail/revenue generating outlets and venues, and to individual consumers. Stamp Acquisition and Distribution is responsible for forecasting the national supply demand for postage stamps and stationery products, and assists in providing financial accountability and national inventory management.

643.2 **Functions**

Stamp Acquisition and Distribution has four principal functions:

- a. *Manufacturing.* Manages the national acquisition of United States postage stamps and stationery products.
- b. *Distribution.* Manages the national distribution of United States postage stamps and stationery products through the Stamp Distribution Network.
- c. *Inventory Management.* Maintains oversight of national inventory levels.
- d. *Accountability.* Assists in managing national accountability of stamps, stamped stationery, and philatelic products.

643.21 **Manufacturing**

Stamp Acquisition and Distribution is responsible for the development and implementation of new and revised national programs, policies, procedures, methods, and standards for the acquisition of postage stamps and postal stationery products.

Stamp Acquisition and Development establishes stamp and stationery production schedules and determines quantities, physical characteristics, and material requirements. It manages contractual agreements with Security Printers and provides security and quality assurance standards.

643.22 **Distribution**

Stamp Acquisition and Distribution coordinates stamp and stationery distribution activities and the management of a logistical network through which postage stamps, postal stationery, and stamp products are ordered and shipped from manufacturers to the Stamp Distribution Network. Stamp Acquisition and Distribution assists in the establishment, activation, and conversion of new and existing distribution locations.

643.23 **Inventory Management**

Stamp Acquisition and Distribution provides national oversight of stamps and stationery inventory levels by monitoring Stamp Distribution Network inventory levels.

643.24 **Accountability**

Stamp Acquisition and Distribution assists in managing national accountability through the use of a software application, which tracks products from the point of receipt to ultimate withdrawal from sale.

644 **Stamp Fulfillment Services**

644.1 **Responsibilities**

Stamp Fulfillment Services (SFS) is responsible for the management of a national order processing center. This facility fulfills and ships national orders for stamps, stationery items, philatelic products, and other retail merchandise. SFS receives and fulfills orders from individual purchasers, large-volume customers, international agents, and subscription customers, and provides requests for cancellation services for philatelists and philatelic dealers (see chapter 2, POM). Customer orders are received by mail order, telephone, and through the Internet.

644.2 Functions

SFS has five primary functions:

- a. *Order Fulfillment.* Manages the nationwide fulfillment of stamps, stationery items, philatelic products, and retail merchandise orders received over the telephone through 800-STAMP-24, online through www.usps.com, and through the *USA Philatelic* catalog.
- b. *Postmarking Services.* Provides commemorative postmarking services for stamp collectors, stamp dealers, special events, and Postal Service personnel.
- c. *Subscription Programs.* Supports the production and automatic distribution of subscription programs to customers.
- d. *Personalized Envelope Program.* Provides customer support and banking activities for the Personalized Envelope Program (PEP).
- e. *Technological Support.* Provides technology and computer support for Postal Service programs.

644.21 Order Fulfillment

SFS is a national fulfillment center for the Postal Service. SFS manages order fulfillment of stamps, stationery, philatelic products, and retail merchandise orders to customers worldwide. Customer orders are received from the *USA Philatelic* catalog, which is mailed to selected customers on a quarterly basis through the 800-STAMP-24 telephone number, and through the www.usps.com Web site.

644.22 Postmarking Services

SFS provides national support to Post Offices by managing all mail order first day of issue postmark requests from customers nationwide. Post Offices designated as the official first day issue city forward all mail order postmark requests to SFS. Additionally, SFS supports cachet manufacturers and cover servicers who consistently request that a large number of collectible items be postmarked. This service is done for a fee. SFS also provides pictorial postmarking support, digital color postmarks, and postmarking for philatelic products produced and sold by the Postal Service.

644.23 Subscription Programs

SFS produces products and provides fulfillment, banking, and data collection activities for the American Commemorative Collectibles subscription programs. Program segments include the following: American Commemorative Panels, American Commemorative Cancellations, American Commemorative Collection, First Day Ceremony Programs, and the Standing Order Program.

644.24 Personalized Envelope Program

SFS provides data entry, customer service, and banking services support for all personalized envelopes national orders. Personalized envelopes consist of the customer's return name and address preprinted on prestamped envelopes. SFS manages the fulfillment of orders through a Postal Service contracted vendor.

644.25 Technological Support

SFS provides technology and computer system support for Postal Service business drivers. This support includes providing and tracking financial transactions, generating reports, warehousing data, and banking. The National Customer Management System (NCMS) enables SFS to partner with internal Postal Service organizations to implement national programs in support of corporate initiatives.

645 Stamp Products and Exhibitions**645.1 Responsibilities**

Stamp Products and Exhibitions is responsible for designing, printing, and distributing philatelic products and subscription programs; managing the national pictorial postmark program, in-store messaging and advertising support, domestic stamp shows, and the mandated semipostal stamp program; and maintaining the national stamp archives and the national stamp retention revenue studies.

645.2 Functions**645.21 General**

Stamp Products and Exhibitions has eight principal functions:

- a. *Philatelic Products*. Manages the product planning, development, and nationwide distribution of philatelic products.
- b. *Subscription Programs*. Manages the product planning, design, production, and automatic distribution of subscription programs to customers.
- c. *Pictorial Postmarks*. Manages the national pictorial postmark policy and coordinates the publication of approved postmarks in the *Postal Bulletin*.
- d. *Stamp Archives*. Manages the national archive that houses original stamp art, stamp printing models, and samples of stamps and philatelic products for historical purposes.
- e. *Stamp Retention Studies*. Manages a research contract that projects the annual national retention of revenues.
- f. *In-Store Messaging/Advertising*. Coordinates Stamp Services' marketing initiatives with Retail Marketing and Advertising to ensure stamps and philatelic products are promoted to customers and employees.
- g. *Domestic Stamp Shows*. Maintains partnerships with philatelic organizations and manages the sponsorship of three Mega Stamp Shows annually.
- h. *Semipostal Stamp Program*. Coordinates and manages the implementation, re-pricing, and retail integration of the mandated semipostal stamp program.

645.22 Philatelic Products

Stamp Products and Exhibitions plans and manages the design, production, and the nationwide distribution of philatelic products. Stamp Products and Exhibitions conducts cost benefit/breakeven analysis to ensure proper pricing. Core philatelic products include the annual *Commemorative Stamp Yearbooks*, annual *Postal Service Guide to U.S. Stamps*, stamped cards, and uncut stamp press sheets.

645.23 Subscription Programs

Stamp Products and Exhibitions manages the design and coordinates the production and automatic distribution of subscription programs to customers. Stamp Products and Exhibitions conducts cost benefit/breakeven analysis to ensure proper pricing. Under the umbrella name of American Commemorative Collectibles, the subscription programs include the following: American Commemorative Panels, American Commemorative Cancellations, American Commemorative Collection, First Day of Issue Ceremony Programs, and the Gift Collection for Kids.

645.24 Pictorial Postmarks

Pictorial postmarks are managed by Stamp Products and Exhibitions/Stamp Services.

645.241 Requests

Field office requests are forwarded to Stamp Services for approval and placement in the *Postal Bulletin*. Sponsors or organizers who want to use a pictorial postmark must submit a request at least 10 weeks before the event to the postmaster of the city where the event is scheduled 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.

645.242 Postal Service Procedure

Postmasters must submit pictorial postmark requests to their district manager or designee. The manager makes the final approval and arranges for procurement of the hand stamp. The district manager or designee submits to Stamp Services all authorized pictorial postmarks using the Pictorial Postmark Announcement form at least 4 weeks prior to the event so that national publicity can be arranged.

645.243 Sponsor Artwork

Once the postmark is approved, the sponsor must provide camera-ready artwork.

645.25 Stamp Archives

Stamp Products and Exhibitions maintains in archival condition the original stamp art for all stamps and stationery items developed for the U.S. Postal Service stamp program. This material must be inventoried and maintained in an archival form. Additionally, the archives houses file copies of all stamp printing models, philatelic products, first day ceremony programs, and first day covers produced over the past 25 years. The archives uses a tracking system to monitor loan of original art to museums and galleries nationwide.

The Postal Service loans original art to museums and galleries to help promote awareness of the stamp program.

645.26 **Stamp Retention Studies**

Stamp Products and Exhibitions manages a research contract that conducts quarterly stamp retention research studies and forecasts national retention revenues. The research study projects the quantity of postage stamps being sold to collectors and the dollar amount of postage not being used for mailing services.

645.27 **In-Store Messaging/Advertising**

Stamp Products and Exhibitions coordinates with Retail Marketing and Advertising to ensure that Stamp Services' marketing initiatives are promoted to customers and employees. Advertising and promotional initiatives include in-store messaging signage in Post Offices, print ads, direct mail, promotional brochures, payroll stuffers, and product sell sheets. Stamp Products and Exhibitions also develops and distributes educational kits to over 250,000 teachers and classrooms nationwide.

645.28 **Domestic Stamp Shows**

Stamp Products and Exhibitions maintains partnerships with philatelic organizations such as the American Stamp Dealers Association and the American Philatelic Society, and manages Postal Service sponsorship of three Mega Stamp Shows annually.

645.29 **Semipostal Stamp Program**

Stamp Products and Exhibitions coordinates and manages the implementation, re-pricing, and retail integration of the mandated semipostal stamp program. Mandated semipostals include *Breast Cancer Research* (1998–2005), *Heroes of 2001* (2002–2004) and *Domestic Violence* (2004–2006).

646 **Semipostal Stamps**

646.1 **Definitions**

646.11 **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.

646.12 **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.

646.2 **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 [646.5](#). 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.

646.3 **Payments From the Sale of a Semipostal**

646.31 **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* semipostal stamp, and the amount to recover any reasonable costs to the Postal Service (see section [646.5](#) 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* semipostal stamp, and the amount to recover any reasonable costs to the Postal Service (see section [646.5](#) to determine reasonable costs).

Note: We specify how often we make payments in Memoranda of Understanding with the NIH and DOD.

646.32 **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 [646.5](#). Before transferring to FEMA any amount becoming available from the sale of the 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. The Postal Service and FEMA execute a Memorandum of Understanding that specifies the frequency of payment terms. The *Heroes* semipostal stamp was withdrawn from nationwide sale on December 31, 2004.

646.33 **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 [646.5](#). 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.

646.4 **Cost Reporting and Estimation**646.41 **Headquarters Offices**

The following offices at Postal Service Headquarters are responsible for tracking or, as appropriate, estimating costs related to semipostal stamps:

Item	Office
Development, Shipping, and Manufacturing	
Design	Stamp Services
Shipping to Stamp Distribution Offices/ Stamp Distribution Networks	Stamp Services
Printing and Manufacturing	Stamp Services
Administrative and Recordkeeping	
Sales and Services Associate Training	Customer Service Operations*
Rural Carrier Training	Delivery Operations
Programming Window Automation Devices	Retail Service Network and Access Management*
Inventory Costs	Stamp Services
Destruction Costs	Stamp Services
Market Research (if applicable)	Stamp Services
Flyer Cost	Advertising
Promotional Event Costs	Stamp Services
Advertising	Advertising
Distribution	
Postage to Post Offices	Stamp Services
Retail	
Customer Receipt Printing Costs	Accounting
Packaging for Self Service	Retail Service Network and Access Management*
Vending Machine Training Costs	Retail Service Network and Access Management*
Vending Machine Reconfiguration	Retail Service Network and Access Management*
Packaging for Postal Stores	Retail Marketing
Revaluation Costs (if applicable)	Retail Service Network and Access Management*

*. *These organizations are part of the new Delivery and Retail organization.*

646.42 **Requirements**646.421 **When to Report Costs**

All offices listed in section [646.41](#) must report the cost information each month to the office of Accounting, Finance, Controller. Send the report no later than 4 weeks after the close of the period in which the costs were incurred. The report should be sent via e-mail if possible.

646.422 Separate Reports

The report should identify the semipostal stamp to which the costs incurred apply. Report the costs for each semipostal stamp separately.

646.423 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.

646.424 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 [646.53b\(1\)](#).

646.5 Policy to Offset Costs for Semipostal Stamps

The Postal Service's policy to offset costs for all semipostal stamps, including the *Breast Cancer Research* semipostal stamp, is set forth in sections [646.51](#) through [646.55](#).

646.51 Responsibility

Overall responsibility for tracking costs associated with semipostal stamps will rest with the office of Accounting, Finance, Controller. Individual organizational units incurring costs will provide supporting documentation to the office of Accounting, Finance, Controller.

646.52 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").

646.53 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 inconsequential, 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 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 [646.55](#) that materially exceed those that would normally have been incurred for comparable stamps.

646.54 **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.

646.55 **Other Costs**

Other costs attributable to semipostal stamps but which would normally 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.

646.6 **Sales Periods**

646.61 **Breast Cancer Research Semipostal Stamp**

The *Breast Cancer Research* semipostal stamp will be sold through December 31, 2005.

646.62 **Heroes Semipostal Stamp**

The *Heroes* semipostal stamp was withdrawn from sale on December 31, 2004.

646.63 **Domestic Violence Program Semipostal Stamp**

The *Domestic Violence Program* semipostal stamp 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

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

661 **Responsibilities of Product Development**

Product Development at Headquarters (HQ) manages the licensing program and is authorized to grant permission to persons to:

- a. Produce officially licensed merchandise for commercial use,
- b. Use Postal Service trademarks and copyrighted materials, and
- c. Grant rights of access to Postal Service facilities and vehicles for film, photography, and other media purposes. Such permission is managed through Licensing and Integration and Planning. Brand Equity and Design, Public Affairs and Communications, also reviews requests to use trademarks. Use the following table to determine which organization you need to contact:

For...	for this use...	contact this organization...
Permission to produce officially licensed merchandise	Limited	(No approval granted)
	Commercial	Licensing, Product Development, Marketing
Permission to use trademarks and copyrighted materials	Limited	Integration and Planning, Product Development, Marketing
	Commercial	Licensing, Product Development, Marketing
Permission for access to Postal Service facilities and vehicles for film, photography, and other media purposes	Limited	Integration and Planning, Product Development, Marketing
	Commercial	
Reviews to determine if products being submitted for approval are consistent with the Postal Service brand	Limited	Brand Equity and Design, Public Affairs and Communications (requests are directed to Product Development and forwarded to Brand Equity and Design for review)
	Commercial	

662 **Licensing**

Licensing, Product Development, determines which persons are allowed to develop products bearing Postal Service trademarks and copyrighted materials and where those products can be sold commercially.

662.1 Purchase of Postal Service Officially Licensed Merchandise

When employees purchase merchandise for use in their office or otherwise as part of their employment and the merchandise has a trademark, stamp design, or other image owned by the Postal Service, the employee must confirm that the merchandise is the Postal Service's "officially licensed merchandise." If an employee determines that a particular vendor is not a Postal Service licensee, he or she should notify Licensing, Product Development, at the address, e-mail, or fax number in 662.3.

662.2 Definition of Officially Licensed Merchandise

Officially licensed merchandise is any product purchased by or licensed from the Postal Service that displays or incorporates trademarks or copyrighted materials such as: stamps, photographs, or other images. The product, its packaging, or both must carry a hang-tag or label or a statement that the item is "officially licensed merchandise" or is under license from the Postal Service.

662.3 Information on Licensed Merchandise

Direct questions about the Licensing program to:

LICENSING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW RM 1P801
WASHINGTON DC 20260-0801

e-mail: licensing@usps.com

Fax: 202-268-2207

663 Rights and Permissions

Integration and Planning, Product Development, manages:

- a. The use of Postal Service trademarks and copyrighted materials by businesses, individuals, nonprofits, the media, and the entertainment industry when the materials are to be sold or otherwise distributed or used on a limited basis.
- b. Permission to film and take still photographs on Postal Service property (this includes granting access to the property and granting permission to film or take photographs on the premises).
- c. Permission for the commercial filming and photography of Postal Service vehicles and other items bearing a trademark or copyrighted material owned by the Postal Service not located on Postal Service premises.

663.1 Brand Equity and Design

The manager, Brand Equity and Design, reviews proposed Postal Service trademark use to determine if the proposed use is consistent with the Postal Service brand.

663.2 Uses Requiring Permission

The following uses of a Postal Service trademark or copyrighted material require prior approval from Integration and Planning, Product Development.

663.21 Nonprofit and Personal Use

Nonprofit and personal publication, distribution, display, or reproduction of a Postal Service trademark or copyrighted material(s) that does not generate income or is not used to promote the generation of income.

663.22 Commercial Use

Commercial use includes any publication, distribution, display, or reproduction of a Postal Service trademark or copyrighted material(s) by an entity or individual for profitmaking, commercial purposes.

663.23 Requests to Film on Postal Service Premises

Filming and still photography on Postal Service premises requires a location agreement with the Postal Service, even if the use is noncommercial.

663.3 Uses That Do Not Require Permission

The following uses of copyrighted material generally do not require prior approval from Integration and Planning:

663.31 Fair Use Exceptions

The use of stamp images, brochures, print advertisements, or other copyrighted materials for educational and news reporting purposes generally do not require prior approval from Integration and Planning. The Postal Service does not require a license for an educational use that is noncommercial and limited to teaching, scholarship, and research. Likewise, it does not require one for the reporting of current news in newspapers, news magazines, news journals, and other media.

For the aforementioned uses, users must cite the source of the image, the United States Postal Service, and include language crediting the Postal Service and noting its rights, such as: "© United States Postal Service. All rights reserved."

All aforementioned uses must consist of the unaltered, original image or text as issued or published by the Postal Service. Any modification or alteration to an image or to text constitutes an unauthorized use.

663.32 Media Requests

Direct media requests to use Postal Service trademarks and copyrighted materials in reporting current news in newspapers, news magazines and news journals to Media Relations, Public Affairs and Communications.

663.33 Postal Service Exception for Philatelic Advertising

The use of stamp images and other copyrighted philatelic materials in philatelic advertising does not require prior approval from Integration and Planning. Philatelic advertising use is use of stamp images and other copyrighted philatelic materials in advertising matter, circulars, or price lists to illustrate the postage stamps being sold or the postage stamps in the philatelic items being sold.

Users must cite the source of the image, the United States Postal Service, and include language crediting the Postal Service and noting its rights, such as: "© United States Postal Service. All rights reserved."

All uses must consist of the unaltered, original image or text as issued or published by the Postal Service. Any modification or alteration to an image or to text constitutes an unauthorized use.

663.4 **Permission Requests**

Any Postal Service employee receiving a request from an individual, business, or other organization to publish, distribute, display, or reproduce Postal Service trademarks and copyrighted materials such as photographs, stamps, or other images, or a request to create images of Postal Service structures, employees, operations, or murals or the like must direct the request to Integration and Planning for consideration and handling. Information about the program can be found at www.usps.com/rightsandpermissions. All requests for permission must be submitted using the Rights and Permissions application found at www.usps.com/rightsandpermissions.

Direct questions to:

INTEGRATION AND PLANNING RIGHTS AND PERMISSIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW RM 3300
WASHINGTON DC 20260-3300

e-mail: permissions@usps.gov

Fax: 202-268-8861

663.41 **Fee Information and Fee Exceptions**

663.411 **Application Fees**

Unless otherwise specified in this section, a nonrefundable application fee must accompany each application. The application fee can be found at www.usps.com/rightsandpermissions.

663.412 **Royalty Fees**

A royalty fee may be charged for the use of Postal Service intellectual property for commercial uses or large-scale projects by a nonprofit organization. The royalty fee amount is based on the number of images or trademarks, intended application, medium of use, and production scale. The minimum royalty fee can be found at www.usps.com/rightsandpermissions.

663.413 **Reproduction and Administrative Fees**

The Postal Service may charge reproduction and administrative fees to recover costs associated with creating digital images, copying images, reproducing video, shipping and handling, and retrieving images. Reproduction and administrative fees, if any, will be assessed at the time the application is processed.

663.414 **Use of Postal Service Corporate Logo or Other**

Trademark to Indicate Shipping Option Requests to use the Postal Service corporate logo for the sole purpose of indicating a mailing or shipping method must be made using the Rights and Permissions application; however, no application or royalty fee is required.

663.415 **Postal Service Requested Use**

If the Postal Service requests that an individual or entity use trademarks or copyrighted materials, no application or royalty fee will be required.

- 663.416 **Federal Government Use**
No application or royalty fee is required for requests submitted by any entity of the government of the United States.
- 663.42 **Permission to Film and Photograph Postal Property**
- 663.421 **Written Permission Required**
Before giving individuals, businesses, media entities, or other entities access to Postal Service vehicles or Postal Service premises to film or take photographs, an employee must confirm that Integration and Planning has granted written permission to do so.
- 663.422 **Certificate of Insurance Required**
Filming approval requires the coordination of local Postal Service officials. In addition, at their own cost and expense, approved applicants will be required to present a Certificate of Insurance at least 3 days before filming, naming the Postal Service as an additional insured party. The insurance must include: (a) General Liability; (b) Automobile Liability; (c) Property All Risks Insurance, which shall contain a waiver of subrogation in favor of the Postal Service; and (d) Workers' Compensation, as required by law.
- 663.423 **Location Fees**
The Postal Service charges an hourly or a daily fee for filming on Postal Service premises or using Postal Service property. We base the fee on the location of the Post Office, size of the production, and the amount of disruption that may be caused to the Postal Service. While only Postal Service employees are allowed to drive Postal Service vehicles, location fees are also charged for the use of Postal Service trucks and other vehicles in filming. The minimum fee can be found at www.usps.com/rightsandpermissions.
- 663.43 **Co-Branding in Established Legal Relationships**
Entities that already have existing legal relationships or alliances with the Postal Service must still get approval for trademark usage. The terms of the contract or agreement with the Postal Service should contain licensing terms that set out the parameters of Postal Service trademark use. If the contract or agreement does not contain such licensing terms, an amendment containing such permission must be added. Brand Equity and Design must review all use of Postal Service trademarks.

67 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 Postal Service managers with decision making. Corporate library services include the following:

- a. Providing research and reference services to support Postal Service business needs through in-house and commercial databases, networks, and print materials.

- b. Providing library loan services for Postal Service personnel and user access to commercial electronic subscription services for Postal Service personnel.
- c. Providing orientation and training to Postal Service staff on effective search and retrieval of content from the Internet, Postal Service Intranet, and commercial electronic subscription services that the Corporate Library manages.
- d. Providing support for content management, information monitoring, intelligence gathering, and the integration of commercial business information to meet customer information needs.
- e. Serving as a cost control center in the acquisition, organization, and maintenance of print publications and the facilitation of access to electronically formatted commercial information required for Postal Service management and staff.

68 Postal History

Postal History serves as the institutional memory for the Postal Service. Members of the Postal History staff research, maintain, and analyze historical information on Postal Service policies, services, organizational structure, and artifacts. The historian prepares papers on Postal Service history and tradition; is responsible for the Postal Service's artifacts and fine arts collection, with the exception of New Deal murals and sculpture; maintains a collection of historic records; and develops and maintains histories of local Post Offices, including lists of postmasters. The office maintains Web sites for Postal Service staff and the public on historical postal topics and Postmaster Finder, which provides information on local Post Offices.

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7 Supply Management

71 General

Supply Management is responsible for maximizing the Postal Service's use of supply chain management business practices, continually improving customer service, and reducing costs. This includes combining strategic and tactical buying and supplying processes 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

721 General

The *Purchasing Manual (PM)*, issued and maintained by the vice president of Supply Management, establishes Postal Service policies and procedures for the purchasing aspects of supply management.

722 Local Buying Authority

722.1 General

Local buying authority is the right 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 eBuy, visit the eBuy home page at <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 who are 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:

- a. Building or land rental, lease, or purchase.
- b. 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 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) that 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 credit cards to purchase vehicle washing, polishing, repair, and maintenance services. (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.
- f. Services or products for which more formal contracting procedures apply. Contact the appropriate Supply Management organization for information concerning contract postal units (CPUs), food services, and vehicle leasing. For CPUs, contact the Category Management Center (CMC) in Denver. For food services, contact the Eastern Services Category Management Center in Memphis. For long-term (89 days or longer) leasing of delivery and PVS vehicles, contact the Philadelphia CMC. For policies concerning all short-duration (less than 90 days) vehicle rentals, long-term delivery and PVS vehicle leasing, and GSA vehicle leases, refer to: http://blue.usps.gov/purchase/supplies/sup_veh_leasing.htm.
Note: Short-duration vehicle renting required for special events, administrative and delivery purposes, not exceeding 89 days in duration and under \$10,000, is allowed under local buying authority and use of the I.M.P.A.C. purchase expense credit card for payment is authorized.
- g. Professional/technical, consultant, or personal services. (Contact your servicing PSC or the Professional Services [CMC] and see the *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 following list 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) 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 the following source:

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 by 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 for these by 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 for these by using local buying authority, subject to the requirements of ELM, subchapter 470. Also see Management Instruction FM-640-2000-1, *Employer Tax Reporting Responsibilities — Conference, Meeting, and Training Session Mementos or Gifts*.
- g. Meals and refreshments. You may purchase these by 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 or 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 subchapter [37](#). Before buying these types of products and services, be sure that all policies in this section 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.) Employees who are 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 "Ethics Help" (internal) or ethicshelp@email.usps.gov (external) or by telefax at 202-268-6279.

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* refers to 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 and rural carrier reliefs. *Immediate family members* refers to spouse, minor child or children, and individuals related to an employee by blood and who are residents of the employee's household.

722.5 **Questionable Purchases and Misuse**

The appropriate authority must review and approve all local buys. 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 the following 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 factors 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 for guidance on identifying local small, minority-, and woman-owned business suppliers.

722.63 **Payment**

722.631 **General**

The approved payment method hierarchy is as follows:

- a. Electronic data interchange (EDI) via eBuy.
- b. I.M.P.A.C. credit cards.
- c. Payment by the ASC through PS Form 8230, *Authorization for Payment*.
- d. No-fee money order (one-time emergency only, up to \$500).
- e. Cash (one-time emergency only, up to \$100).
- f. Imprest fund check.

When operational needs cannot be satisfied through eBuy or other consolidated payment processes approved by Finance, the I.M.P.A.C. 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 I.M.P.A.C. card, you may pay by any of the following methods (preference is listed in descending order):

- a. Submitting the invoice with PS Form 8230, *Authorization for Payment*, to the Scanning and Imaging Center.
- b. No-fee money orders (for one-time emergency payments less than \$500).
- c. Cash (for one-time emergency payments less than \$100). If payment must be made 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 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 the item or service ordered was received and 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 AS-709, *Credit Card Policies and Procedures for Local Buying*; AS-701, *Material Management*; and Handbook AS-353, *Guide to Privacy, the Freedom of Information Act, and Records Management*, and, when applicable, in *Material Logistics Bulletins (MLBs)*.

722.65 **Assistance**

Contact 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 a 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 is used and a copy of the form and the original invoice are sent to the Scanning and Invoice Center, PO Box 9000, Sioux Falls, SD, 57117-9000, which processes the form and invoice for payment by the relevant ASC.

73 Supply Management Operations

731 **Policy Authority**

731.1 **Vice President, Supply Management**

The vice president of Supply Management is responsible for establishing and maintaining national material management policies, programs, and procedures issued in this subchapter; Handbook AS-701, *Material Management*; and other Headquarters purchasing and materials directives.

731.2 Manager, Supply Management Operations

The manager of Supply Management Operations develops the following:

- a. Policies and procedures for controlling and managing Postal Service supplies, equipment, parts, and inventories listed under 39 CFR 226.2 and Handbook AS-701.
- b. Postal Service warehousing, freight transportation, and distribution policies and procedures, which are in 39 CFR 226.2 and Handbook AS-701.
- c. Fiscal policy and maintains fiscal responsibility of the Supply Management Operations budget activities.

732 Other Responsibilities**732.1 Managers, Materials Service Centers**

The managers of Material Service Centers (MSC) 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. Monitor and provide guidance on the Excess Item Catalog (EIC) in eBay.
- d. Manage data gathering, reporting, and analysis for performance measurement.
- e. Provide employee development training in material management functions.

732.2 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.

732.3 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 Service property under their jurisdiction. This authority may be delegated, in writing, to other Postal Service employees, but the responsibility remains with the manager.

732.4 Postal Service Managers and Supervisors

Postal Service 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 Supply Management Operations, implementation of all material management

matters is vested in those with material management responsibility at each facility and level.

732.5 **Postal Service Employees**

All Postal Service 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 Postal Service property.

733 **Policy**

733.1 **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 Postal Service-owned material, other than buildings, real estate, mail transport equipment, and mail movement vehicles (i.e., all supplies, repair parts, administrative vehicles, and equipment). Thus, the objective of material management is to provide materials to all Postal Service elements when they are needed and at the lowest total costs of ownership (TCO). Implementation of the material management aspects of Supply Management policy (i.e., business processes and procedures) is found in Handbook AS-701. The functions of Supply Management Operations are also described in this chapter.

733.2 **Safety and Security**

733.21 **General**

Sound and efficient material management involves protecting personnel safety and health and Postal Service property. Two other major prerequisites are 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 caused by temperature extremes, humidity, dust, insects, 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.

733.22 **Safety**

733.221 **General**

A safety program must be developed and supported at all levels to control hazardous acts and to eliminate unsafe conditions. Identify and correct unsafe practices and conditions before they cause accidents.

- 733.222 **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 Occupational Safety and Health Administration (OSHA) standards and Postal Service regulations. Material Data Safety Sheets (MDSS) are available at www.msdssearch.com.
- 733.23 **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*.
- 733.24 **Specialized Security Devices**
The Mail Equipment Shops (MES) are the sole authorized source for Post Office box locks and keys and high-security locks used in mail transport. Questions regarding orders for these devices should be directed to the National Material Customer Service Center in Topeka.
- 733.3 **Asset Management and Investment Recovery**
- 733.31 **Asset Management**
- 733.311 **Accountability**
The user is responsible for the safe and proper use of assigned Postal Service-owned supplies and equipment. Part 732 lists formal accountability assignment and procedures.
- 733.312 **Asset Tracking**
The Postal Service does not try to track all supplies and equipment in use at any one time because this is too complex; however, the following are tracked:
- a. Capital equipment (over \$3,000) and selected sensitive items. These items are tracked by the Property and Equipment Accounting System (PEAS). PEAS procedures and guidelines can be found in Handbooks AS-701, *Material Management*; and F-8, *General Classification of Accounts*. Assets that are no longer required at a specific Postal Service site are tracked via the Excess Item Catalog in eBuy (see section [733.322](#)).
 - b. Repairable and warranted parts using Handbook AS-701 procedures.
- 733.313 **Maintenance**
Maintenance policies and procedures are coordinated with Supply Management Operations and can be found in subchapter 53, Chapter 7 of the *Postal Operations Manual (POM)*, and the F-66 Investment Policies and Procedures series of handbooks.
- 733.32 **Investment Recovery**
- 733.321 **General**
Investment recovery is a systematic, centralized organization effort to manage excess equipment or material and scrap recovery, marketing, and disposition activities in a manner that recovers as much of the original capital investment as possible.

733.322 Purpose and Value

It is critical for the Postal Service to execute an effective and efficient Investment Recovery Plan for the products and supplies it acquires. A well-managed plan will complement the profit margin that is achieved in the up-front process of the Supply Chain Management (SCM) plan. By maximizing the return on these assets after they become excess, the Postal Service can realize significant cost savings and additional revenue and avoid costs, while providing for environmentally safe disposal. Information is available at blue.usps.gov/purchase/operations/ops_recovery_home.htm.

Investment recovery can be accomplished by increasing the visibility of available assets, avoiding the costs of purchasing new material, and a reducing storage and holding costs of inactive assets. Investment recovery includes recycling programs, hazardous material programs, obsolete equipment disposition, asset recovery, excess inventory, recalls, salvage, seasonal inventory, and acquisition planning.

733.323 The Role of Suppliers

Postal Service suppliers can provide contract-specific investment recovery processes and procedures to include environmental issues and laws, and ensure the plan takes an approach which measures and attempts to minimize the ecological impact of Postal Service activities. They can also help ensure that any product or supplies decomposition, recycling, and material disposal methods used are consistent with environmental requirements. SCM teams must add end-of-life considerations into all material acquisition plans and work with suppliers to identify ways to reduce the amount of assets needing disposal (e.g., by using modularity or take-back options when initially acquiring and upgrading equipment).

733.324 Life Cycle Requirements

Effective and efficient investment recovery starts during the conceptual planning phase. All requiring offices must consider materials to be used and their potential environmental impact during use, repair, and eventual disposition. Planning documentation and budgets must reflect this. Disposition of the replaced supplies or equipment must also be included in the planning and budgetary actions. Through its market research and partnerships with high-quality suppliers, the SCM team will provide suggestions and alternatives to reduce concerns and obtain the best TCO.

733.325 Excess Reporting

Material no longer required for a Postal Service activity is considered excess. Serviceable material should be reported in the EIC portion of eBuy for possible reutilization within the Postal Service. Non-serviceable material should be reported to the local material management specialist or responsible MSC for disposition assistance. See Handbook AS-701 for specific processes and reporting requirements.

733.326 Surplus

Material exceeding the Postal Service's foreseeable needs is considered surplus. While the Postal Service strives to eliminate or minimize sending materials to landfills, this is not always achievable today. Therefore, the Postal Service has identified and used several processes that can minimize

environmental impact. Handbook AS-701 lists disposal processes and reporting requirements.

733.4 **Transportation**

733.41 **General**

Transportation costs are often “hidden” (i.e., they are often buried in the cost of the product itself). However, transportation and distribution can represent significant costs that can be reduced by analyzing and selecting the best TCO means. Therefore, Postal Service policy is as follows:

- a. Postal services or transportation are the primary means of moving material unless precluded because of the nature of the product (such as hazardous material) or the material is needed urgently.
- b. When necessary and cost-effective, assigned carriers are used to move material of Free on Board (F.O.B.) origin using the Postal Service’s purchasing power to obtain best prices and services. At other times, suppliers may arrange transportation and retain material custody until delivery at the using site (F.O.B. destination).

733.42 **Resources**

The Freight Traffic Management System (FTMS) provides an automated means for Headquarters and field users to access available carriers and prices and to arrange for the actual transportation. Handbook AS-701 provides specific instructions on how to get access to and use FTMS. In addition, the Non-Mail Freight Transportation Team under Supplies Material Management will provide transportation planning, coordinate co-utilization opportunities with Mail Transportation, and provide comparative evaluation assistance to major programs and initiatives. This team can also help implement and manage approved plans.

733.5 **Inventory Positioning**

Inventories are an essential part of doing business. The Postal Service uses a variety of decision-making systems and appropriate processes to determine where to place inventory and in what quantity to maximize operating efficiencies and service while minimizing total costs. There are also opportunities to accomplish this using a combination of internal and supplier resources. Handbook AS-701 provides the processes and procedures to order, track, accept delivery, and account for needed material.

733.6 **Stockroom/Warehouse Management**

Supply Management Operations Production and Distribution must approve 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 space is used to the fullest extent (see Handbook AS-701 for reporting procedures).

Managers must plan and lay out all warehouse and storage space to support the receiving, storing, and packing of material; planning for shipment; and for performing the administrative functions necessary for smooth, quick, and cost-effective material handling (see Handbook AS-701).

734 Organization Overview

The Supply Management Operations process consists of the management, movement, and disposal of all Postal Service supplies, repair parts, equipment and related services. It includes production capabilities for specialized printing, Post Office locks and keys, and high-security mail locks. Handbook AS-701 contains detailed responsibilities and processes of Supply Management Operation's organization.

The following are Supply Management Operations' major activities:

- a. National Supply Management programs.
- b. Production and distribution.
- c. Capital equipment material management.
- d. Supplies material management.

734.1 National Supply Management Programs

National Supply Management Programs has the following responsibilities:

734.11 Customer/Supplier Relations does the following:

- a. Enters routine and emergency orders.
- b. Operates call center.
- c. Manages customer feedback (complaint resolution and reporting and survey preparation and analysis).
- d. Maintain Supply Management Operations Web page.
- e. Maintains customer address database (i.e., FEDSTRIPS, We Deliver, and LPC customer addresses).
- f. Acts as a field liaison for Supply Management Operations activities.
- g. Sponsors and operates Customer Councils.
- h. Coordinates Material Logistics Bulletins and Repair Parts Bulletins.
- i. Collects and analyzes data.

734.12 MSC does the following:

- a. Represent supply chain management field relations.
- b. Provides field inventory management assistance.
- c. Provides freight transportation assistance/FTMS.
- d. Manages investment recovery.
- e. Manages storage space for assigned geographic areas.
- f. Provides distribution services.
- g. Provides property accountability assistance.

734.13 National Program Support does the following:

- a. Manages national credit card program (I.M.P.A.C.).
- b. Acts as liaison for eBuy implementation.
- c. Provides new program support (statement of work/decision analysis report (SOW/DAR) review, new program evaluations, inventory positioning, investment recovery plans, policies, and procedures).

734.2 Production and Distribution

Production and Distribution (P and D) does the following:

- a. Ensures order fulfillment.
- b. Arranges material distribution.
- c. Achieves and sustains service-level agreements for delivery time and inventory accuracy.
- d. Provides and operates warehousing and distribution facilities and services.
- e. Oversees asset accountability.
- f. Oversees electronic ordering interfaces.
- g. Helps resolve due-in discrepancies.
- h. Identifies and coordinates special distributions.
- i. Provides notice of delivery of large shipments.
- j. Coordinates changes in issue increment and unit of measure.
- k. Serves as Contracting Officer Representative for contract storage, packaging, and services contracts.
- l. Provides shipping alternatives.

In addition, P and D oversees the following four operations that support specialized requirements for the entire Postal Service:

- a. Mail Equipment Shops, which provides expertise on keys and locks.
- b. Label Print Center, which provides manufacturing expertise on labels and other printed material.
- c. MDC, which:
 - (1) Receives and ships material.
 - (2) Coordinates repackaging.
 - (3) Provides support for special projects.
 - (4) Processes warehouse requests.
 - (5) Conducts disposals.
 - (6) Reviews SOWs for warehousing and distribution requirements.
 - (7) Performs special distribution functions (kitting).
- d. Critical Parts Center, which:
 - (1) Provides expedited delivery of critical parts.
 - (2) Processes repairable items.
 - (3) Interacts with contract repair facilities.
 - (4) Provides shipping alternatives.

734.3 Capital Equipment Material Management and Supplies Material Management**734.31 General**

Capital Equipment Material Management and Supply Management support Supply Management Category Teams and Category Management Centers.

While supporting different Portfolio organizations, the two offices have the following similar responsibilities:

- a. Understanding basic support policies.
- b. Performing strategic planning and demand management for new systems.
- c. Understanding budgetary analysis to support funding requirements.
- d. Providing input to DAR.
- e. Providing input to SOW.
- f. Planning and provisioning requirements.
- g. Determining the range and depth of spares.
- h. Directing and controlling all phases of material support.
- i. Managing material requirements for optimum availability.
- j. Supporting operational systems and sites.
- k. Recommending management of customer inventory of spares.
- l. Analyzing and approving return authorizations.
- m. Developing and analyzing material support plans.
- n. Screening requisitions.
- o. Supporting the end of life-cycle issues (i.e., disposals).

734.32 **Cataloging**

In addition, Cataloging does the following:

- a. Provides technical data support/cataloging functions.
- b. Assigns stock numbers.
- c. Reviews purchase requests for technical data requirements solicitation.
- d. Acts as liaison with engineering on technical issues.
- e. Publishes Publication 112, *National Electronic Catalog*, and Publication 247, *Supply and Equipment Catalog Supply Price List*.

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8 Information Resources

81 Policy

Information resources, as they relate to this chapter, consist of Postal Service information (not including financial records) and the enabling information technologies. The Postal Service is committed to protecting its information resources; providing an information technology infrastructure that supports customer, corporate, and business needs; and staying abreast of developing legal and policy frameworks, new technologies, and best-in-class business models and practices.

811 **Vice President, Chief Technology Officer**

The vice president, Chief Technology Officer (VP/CTO), in consultation with key Engineering and other Postal Service functional organizations, provides the following:

- a. Leadership in establishing a Postal Service information technology infrastructure that takes full advantage of new technology and better business processes.
- b. Governance and management such that Postal Service information technology can respond to business needs today and into the future.
- c. Investments that result in an integrated, supportable, secure, and efficient information technology infrastructure.

The VP/CTO is also the Postal Service chief information officer.

812 **Installation Heads and Vice Presidents**

Installation heads and vice presidents are responsible for information resources within their custody as follows:

- a. Determining whether a system is appropriately protected for the value of the information it contains.
- b. Ensuring that Postal Service policies, guidelines, and procedures for protecting information resources are followed in all system activities, including procurement, development, and operation.

813 **Managers**

Managers at all levels are responsible for protecting information and enforcing applicable policies and procedures.

814 Headquarters and Field Functional Organizations

Postal Service headquarters and field functional organizations are responsible for working with their portfolio managers, who will coordinate with the Information Technology (IT) service managers to do the following:

- a. Identify business services and solutions compatible with the Postal Service technical architecture and IT policies.
- b. Coordinate development, implementation, and support of business solutions with the appropriate IT service group.
- c. Help enhance existing business services and solutions.
- d. Ensure that business solutions conform to all federal and Postal Service information security rules and regulations.
- e. Coordinate requirements to protect information in accordance with Privacy Act, Freedom of Information Act (FOIA), and Postal Service privacy policies.

815 Privacy Office**815.1 Chief Privacy Officer**

The chief privacy officer is responsible for the following:

- a. Developing and implementing policies, processes, and procedures related to privacy, records, and the FOIA.
- b. Determining privacy compliance and information sensitivity during the application business impact assessment (BIA) process.
- c. Directing the activities of the Privacy Office and the Records Office and reporting to the Consumer Advocate.

815.2 Manager, Records Office

The manager, Records Office, is responsible for compliance with policies and procedures related to the Privacy Act, FOIA, and records management.

Exhibit 81

References**Handbooks**

AS-353, Guide to Privacy, the Freedom of Information Act, and Records Management
AS-508, Section 508
AS-802, Postal Computing Operations Standards
AS-805, Information Security
AS-805-A, Application Information Security Assurance (ISA) Process
AS-805-C, Information Security for General Users
AS-805-D, Information Security Network Connectivity Process
AS-805-G, Information Security for Mail Process Equipment/Mail Handling Equipment (MPE/MHE)
AS-812, Relational Database Management System (RDMS) Naming Standards and Guidelines
AS-820, Postal Computing Environment
EL-301, Guidelines for Processing Personnel Actions
RE-5, Building and Site Security Requirements

Management Instructions

MI-AS-810-2003-1, Information Technology Governance
MI-AS-860-2002-6, Obtaining and Evaluating Information Technology Software and Hardware Products for a Trial Period
MI-AS-850-2002-10, Information Technology Change and Configuration Management
MI-AS-860-2003-2, Data Stewardship: Data Sharing Roles and Responsibilities
MI-AS-840-2004-2, Electronic Messaging (e-mail)
MI-AS-860-2003-11, Securing Wireless Local Area Networks

Web Locations

<http://blue.usps.gov/caweb/privacy/welcome.htm> for privacy information
<http://it.usps.gov> for IT organization and services information
<http://eir.usps.gov> for the Postal Service Enterprise Information Repository
<http://itk.usps.gov> for the Postal Service Infrastructure Toolkit
<http://it.usps.gov>; click Support, then Corporate Information Security, then Corporate Information Security Organization for the Network Connectivity Review Board
<http://ism> for the Integrated Solutions Methodology
<http://blue.usps.gov/cpim> for Postal Service policies and procedures
<http://eaccess.usps.gov> for requesting computer access
<http://it.usps.gov> under "Resource Tool Box," select Forms and Templates, then Form 3037 for requesting new or changing existing telecommunications services
<http://esla.usps.gov> for a listing of Service Level Agreements

82 Information

821 Policy

It is the intent of the Postal Service to appropriately protect its information against unauthorized disclosure, use, modification, or destruction of information; to ensure its availability; and to comply with business requirements for the creation or collection, processing, storage, maintenance, retirement, and disposal of information. The Postal Service is mandated by law to protect the privacy of its customers, employees, individuals, and suppliers, and has adopted policies to do so. The Postal Service is also required to make its records available to the public consistent with FOIA and good business practices. (See Handbook AS-353, *Guide to Privacy, the Freedom of Information Act, and Records Management*, for Postal Service policies and procedures about the privacy of information relating to customers, employees, or other individuals, and the release and protection of Postal Service records.)

822 Description

Information consists of data in any form related to Postal Service business activities, employees, or customers that has been created, acquired, or disseminated using Postal Service resources, brand, or funding.

823 Scope

This policy applies to information at all Postal Service facilities that is maintained on any equipment or system with information processing, storage, or retrieval capabilities, as well as the related resources that allow data (i.e., numbers, characters, images) to be input, processed, stored, and retrieved, and to Postal Service personnel, contractors, vendors, and business partners, as applicable.

824 Information Protection

Information is often confidential or proprietary, and its inappropriate use or disclosure could result in brand or financial damage, unfair advantage to competitors, or negative impact to our customers or employees. Such data may only be disclosed outside the Postal Service in accordance with privacy policies described in Handbook AS-353, chapter 3. The following are the high-level requirements for the types of information indicated:

- a. *Business Data.* Non-public business data may relate to either the Postal Service or its customers. Such data, whether developed or maintained by the Postal Service, must be protected in accordance with good business practices, Postal Service policies, and customer or Postal Service data markings or practices. Customers may only receive non-public information about other customers pursuant to a FOIA request after any exempt material has been identified and redacted.

- b. *Employee Data.* Employee data must be collected, managed, used, disclosed, and stored in accordance with Privacy Act requirements and Postal Service policies.

825 **Data Stewardship**

825.1 **Description**

Data stewardship is the management of data from collection through disposition to ensure it is accurate, available, usable, and consistent with Postal Service policies on privacy, security, disclosure, and retention. (See MI AS-860-2003-2, *Data Stewardship: Data Sharing Roles and Responsibilities.*)

825.2 **Requirements**

Each functional organization that collects or processes data that is shared with other systems or databases must identify a data steward responsible for developing standards to support data integrity and to comply with applicable privacy and security policies.

826 **Ownership**

Systems, media, and all data and information maintained on them are Postal Service property and are not the property of any single person or organization. Their use is dictated by the business requirements of the Postal Service, irrespective of organizational boundaries.

827 **Information Protection Levels**

All information maintained on information processing equipment requires some protection. Information that the Postal Service has designated as *sensitive, business-controlled sensitivity, critical, or business-controlled criticality* requires a greater degree of protection and controls.

83 **Information Technology Infrastructure**

831 **Policy**

It is the intent of the Postal Service to provide a technological infrastructure that delivers cost-effective electronic communications, data availability, and automated environments consistent with corporate, legal, and federal requirements and to offer affordable business solutions that keep pace with a rapidly changing and competitive marketplace.

832 **Description**

The Postal Service information technology infrastructure consists of all computer-based technologies and related processes associated with the creation, collection, processing, storage, transmission, analysis, and disposal of information. It includes the information systems, infrastructure, applications, products, services, telecommunications networks,

computer-controlled mail processing equipment, and related resources sponsored by, operated on behalf of, or developed for the benefit of the Postal Service. Information technology-based resources are described in subchapters [84](#) through [86](#).

833 **Scope**

The policies apply to all components that comprise the Postal Service information technology infrastructure and to all Postal Service personnel, including contractors, vendors, and business partners, as applicable.

84 Business Solutions

Business solution services consist of application development, enhancement, and maintenance of Postal Service systems.

841 **Business System Design and Development**

841.1 **Description**

Business system design and development follows the Postal Service Integrated Solutions Methodology (ISM) system development life cycle. The ISM is the Postal Service standard for the planning, analysis, design, development, testing, implementation, operation, maintenance, and disposition of information systems required for IT-based business solutions. The ISM also mandates and supports the management of technology funding in accordance with the General Accounting Office's Information Technology Investment Management methodology.

841.2 **Requirements**

All IT-based application solutions built by or for the Postal Service must comply with the ISM requirements. If system development is outsourced, suppliers may use their own system development life cycle methodologies provided that the deliverables required by the ISM are provided to the Postal Service and are stored in the ISM.

842 **Enterprise Information Repository**

842.1 **Description**

The Enterprise Information Repository (EIR) at <http://eir> is the official central repository of information about Postal Service software applications and application modules. The EIR is used to monitor application status; review applications and infrastructure by their components; identify existing applications that may enhance, or be affected by, proposed applications or infrastructure; and avoid redundancies. When registering an application, you must consider the following: system registration/general information (e.g., name, description, stakeholders, etc.); implementation (e.g., implementation dates, primary user groups, hosting location, desktop components); infrastructure (e.g., network components, infrastructure items); interfaces (internal and external); Web sites (URL(s) for the system); security (sensitivity

and criticality classifications and risk mitigation plans); business continuity management, including but not limited to disaster recovery planning and test information; and standards (e.g., section 508, information tool kit, and related factors).

842.2 Requirements

All Postal Service applications, systems, and modules procured, developed, or used by the Postal Service must be registered in the EIR during the planning phase of the Integrated Solutions Methodology (ISM) lifecycle, once funding has been secured. Included in the registration process are all applications, Web applications, and Web sites, regardless of the operating environment (mainframe or server/ client, stand-alone PC, or Web), origin (commercial off-the-shelf (COTS) software, outsourced, or in-house development), or status (pilot, development, production, retired, replaced, future, or suspended). You must continually update all information in the EIR so it is current and accurate as long as the application is in use.

842.3 Responsibilities

Functional organization vice presidents must ensure that their applications and modules are registered in the EIR as soon as funding has been approved. Vice presidents can delegate the responsibility for registration to a portfolio manager, the designated IT point of contact, who may in turn assign responsibility for maintaining EIR information to the program manager, business project leader, or project manager. The portfolio manager must notify the IT manager or designee responsible for each EIR component when the application has been registered. The chart below shows how responsibilities are divided among the IT groups. Requests for Access Anyone with access to the Postal Service Intranet may view (browse) the information contained on the EIR Web site.

Segment	Component	Responsible IT Group
System Registration/ General Information and Implementation	N/A	Portfolio
Infrastructure	Hardware and System Information	Computing Services
	Network Information	IT Service Center
Interfaces and Web sites	Development managed by Business Solutions Center	Integrated Business Systems Solutions Centers (IBSSCs)
	Development managed by Portfolio	Portfolio
Information Security and Business Continuity Management	N/A	Corporate Information Security
Standards	N/A	IT Technology Support

Note: When an application is retired, portfolio managers must ensure the retirement process is followed and the General Information portion of the EIR shows the application has been retired.

842.4 Requests for Access

Anyone with access to the Postal Service Intranet may view (browse) the information contained on the EIR Web site at <http://eir>. If you would like read or write access to the EIR, you may apply through eAccess. General access is necessary for registering, editing, and removing systems. Restrictive access is reserved for user groups and administrators responsible for entering and editing data on information security assurance; Business Continuity Management, including disaster recovery planning and testing; and other subjects.

843 Business System Maintenance and Enhancement**843.1 Description**

Business system maintenance and enhancement focuses on maintaining, correcting, and enhancing the performance or functionality of existing production systems to sustain and extend their value and usefulness.

843.2 Requests for Service

Headquarters and field functional organizations should initiate requests through their respective portfolio managers. IT Customer Support and the Help Desk will determine the type of remedial maintenance needed and forward the request to the appropriate development organization for action.

85 Customer Support

Customer support service makes sure that authorized users can access the tools, applications, and information they need on the Postal Service IT infrastructure to do their jobs and that applications and technology are kept up-to-date.

851 Remote Support and Operations**851.1 Description**

Remote support and operations is a centralized service through which IT provides, configures, installs, and supports hardware and software for the computer desktops of functional organizations. This service includes background tasks, such as account administration, maintenance of backups, disk space management, e-mail, database management, and hardware monitoring.

851.2 Responsibilities

Responsibilities related to remote support and operations are published in Handbooks AS-802 and AS-805.

852 IT Help Desk**852.1 Description**

The IT Help Desk provides support 24 hours a day, 7 days a week to resolve or escalate application and technical problems. Users of Postal Service systems can call 1-800-USPS-HELP and say the name of the system or application they are calling about.

852.2 Responsibilities

To have their applications supported by the IT Help Desk, functional organizations are responsible for the following:

- a. Completing the Help Desk New Business Process form provided by the IT Help Desk during application activation.
- b. Providing training and documentation to application users.
- c. Providing support documentation and training to IT Help Desk personnel.
- d. Ensuring that a Service Level Agreement is signed by all stakeholders.
- e. Complying with the requirements relating to placement of applications in the Postal Service centrally hosted environment.

86 Planning and Acquisition

861 IT Architecture and Standards

The Postal Service manages and maintains an information technology architecture and standards in a manner to ensure that the IT infrastructure can respond to Postal Service business requirements.

861.1 Enterprise Architecture**861.11 Description**

The enterprise architecture is a conceptual framework for designing, developing, and operating business solutions to ensure that they are closely aligned to Postal Service business goals. It also provides the foundation for reviews of proposed systems architectures and the basis for proposing new IT services.

861.12 Responsibilities

All Postal Service functional organizations, employees, suppliers, and partners must comply with the Postal Service enterprise architecture requirements regarding the acquisition, design, deployment, operation, and replacement or retirement of information technology.

861.2 Standards**861.21 Description**

IT provides guidance and standards for integrating applications into the IT infrastructure and provides the frameworks for developing and delivering systems to support functional organization requirements.

861.22 Software

Selection of software products for use in the Postal Service infrastructure must comply with the following:

- a. Products must be listed in the Postal Service Infrastructure Tool Kit (ITK). (See <http://itk>.)
- b. Products must comply with Postal Service Section 508 policy. (See Handbook AS-508.)
- c. Products must comply with Postal Service Section 508 policy. (See Handbook AS-508.)
- d. COTS products must be implemented with little or no customization.
- e. COTS products, freeware, and shareware must be evaluated for security functionality.
- f. Functional organizations must fund certification or testing costs.

861.3 Compliance

All systems and services must align with the Postal Service Enterprise Architecture and use standards to leverage the benefits of faster deployment and cheaper development and operation.

862 Software and Hardware Acquisition

The acquisition of software and hardware is designed to provide the products and services that meet IT standards for the development, implementation, and maintenance of the Postal Service technological infrastructure. Acquisition activities also ensure that the Postal Service can negotiate the most beneficial agreements possible by consolidating requirements into advantageous solicitations.

862.1 Software Acquisition**862.11 Corporate Licenses**

The Postal Service acquires software by establishing corporate licenses.

862.12 Responsibilities**862.121 Functional Organizations**

Functional organizations working in conjunction with their assigned portfolio manager or district IT manager are responsible for the following:

- a. Identifying the business, functional, and technical requirements.
- b. Identifying the software products to be considered.
- c. Once a supplier is selected, initiating the ITK change process, which establishes compatibility of the software with the postal computing environment. (See <http://itk>.)
- d. Collecting Section 508 documentation from the supplier.
- e. If the software complies with Section 508 requirements and is acceptable in the postal computing environment, preparing an eBuy requisition and funding the purchase.

862.122 Information Technology

IT is responsible for the following:

- a. Initiating discussions with Supply Management, representing the customer requirements and business needs.
- b. Working with Supply Management to develop a purchase strategy and to complete the purchase action. (This generally involves a review of the terms and conditions of the supplier's license agreement, a competition among potential suppliers, and a negotiation with the selected supplier.)
- c. Funding software identified as *Enterprise Desktop Software*.
- d. Obtaining software on a free trial basis if it supports the customer's need to evaluate a product before committing to a purchase. (See MI AS-860-2002-6.)

862.2 **Hardware and Services Acquisition**

862.21 **General**

Information technology hardware and professional services are acquired to support Postal Service business needs.

862.22 **Printing and Imaging**

This section establishes policy and requirements for acquiring and supporting print devices in the Postal Service.

862.221 **Policy**

The Postal Service is committed to reducing printing costs by acquiring, deploying, and managing its print devices in accordance with the following objectives:

- a. Reducing the number of available print device vendors and models.
- b. Limiting support of print devices to those listed on the following Web pages (hereafter called supported devices).
ACE-Supported Printers: Go to <http://it.usps.gov>. A longer URL will appear; add the number 930 at the end.
Windows-Based Printers: Go to <http://it.usps.gov>. A longer URL will appear; add the number 341 at the end.
- c. Encouraging the use of centrally managed network print devices and multifunction peripheral (MFP) devices where possible. See MFP Guidelines and Criteria.
Go to <http://it.usps.gov>. A longer URL will appear; add the number 1038 at the end.
- d. Reducing the number of stand-alone personal desktop print devices.

This policy applies to all Postal Service organizations, employees, and contractors, and any business partners who are provided with Postal Service—owned printing equipment.

862.222 **PRIME (PRinting and IMaging Environment) Program**

PRIME is the nationwide Postal Service program that standardizes printing capabilities and resources so both are more practical and economically efficient. Through the ADEPT II contract, available online at <http://wadchq2ksts01.usps.gov>; click on *Adept II*, PRIME provides Postal Service personnel with access to the following:

- a. Printing devices (hardware) for 4 years.
- b. Consumables, including toner, staples, and imaging drums.

862.223 **Roles and Responsibilities**

a. Information Technology

The Information Technology organization is responsible for the following:

- (1) Establishing and enforcing standards for the acquisition and use of print devices.
- (2) Providing program management for PRIME.
- (3) Providing IT Help Desk (IT/CHD) support for supported devices as stated in section [862.224](#).
- (4) Serving as the approval authority for:
 - Adding or deleting print devices to the ADEPT II or MFP contract.
 - Acquiring “Off Catalog” print devices.

b. Engineering

The Engineering organization is responsible for the following:

- (1) Defining requirements for all print devices purchased and deployed for use in Engineering-managed programs.
- (2) Considering economies available through the PRIME program via ADEPT II and using these print devices whenever possible.
- (3) Following Engineering’s approval process for acquiring print devices used in Engineering-managed programs.
- (4) Providing support for print devices deployed as part of Engineering-managed programs.
- (5) Following Engineering Configuration Management and Engineering Change Board (ECB) processes for print devices deployed as part of Engineering-managed systems.

c. All Functional Organizations

Application program sponsors are responsible for the following:

- (1) Complying with print device purchasing policies.
- (2) Following IT Change/Configuration Management Support processes for deploying print devices. Go to <http://cto.usps.go>. A longer URL will appear; add the number 694 at the end.
- (3) Ensuring that all print devices are registered in the Postal Service Asset Inventory Management System. See MI AS-850-2002-13.

862.224 **Customer Support**

The IT Corporate Help Desk (IT/CHD) provides the following for supported devices:

Supported Devices	IT/CHD Provided Support
<p><i>ACE-Supported Printers:</i> A list of these can be found by going to http://cto.usps.gov. A longer URL will appear; add the number 930 at the end.</p>	Driver, application, and hardware troubleshooting.
<p><i>Windows-Based Printers:</i> A list of these can be found by going to http://it.usps.gov. A longer URL will appear; add the number 341 at the end.</p>	Driver support if the drivers are posted on the noted Web page or if the driver is part of the ACE image. (Local IT is responsible for hardware support.)

862.225 **Network Print Devices**

a. General

Network print devices will be:

- (1) Provided via ADEPT II.
- (2) Replaced by IT as needed or as they become obsolete.
- (3) Used on a workstation-to-print device ratio of approximately 9:1, when possible.

b. Acquisition of Additional or Expansion Print Devices

The acquisition of additional or expansion devices must be:

- (1) Approved by the ACE Program Management Office (see [Exhibit 862](#), Print Device Contact Information).
- (2) Included on the list of ACE-supported printers. Go to <http://cto.usps.gov>. A longer URL will appear; add the number 930 at the end.
- (3) Funded locally for both acquisition and ongoing support if not provided through a centrally funded program. (Acquire through the eBuy process (<http://ebuy>) from the ADEPT II contract. Go to <http://wadchq2ksts01.usps.gov> and click on *Adept II*.)

862.226 **Personal Desktop Print Devices**

Personal desktop print devices will be:

- a. Supported by IT/CHD, local IT, or both, as long as they are supported devices.
- b. Normally used at non-LAN sites and LAN sites without a file and print server.
- c. Connected to the network where possible.
- d. Permitted for:
 - (1) Postal Career Executive Service (PCES)-level management.
 - (2) Users who routinely work with sensitive and secure data only with the written approval of the local PCES manager.
- e. On the list of ACE-supported printers and purchased locally through the eBuy process (<http://ebuy>) and from the ADEPT II or MFP contracts. Go to <http://wadchq2ksts01.usps.gov> and click on *Adept II*.

Note: As multifunction peripherals (MFPs) and other print devices with private print features are deployed, the need for personal desktop print

devices for non-PCES level management will be reduced and eventually eliminated.

862.227 **Multifunction Peripherals**

Multifunction peripherals (MFPs) will be supported by IT as long as they remain on the current list of ACE-supported printers. Go to <http://cto.usps.gov>. A longer URL will appear; add the number 930 at the end. MFPs must be:

- a. ACE-compliant.
- b. Available through the PRIME program or acquired locally through the eBuy process (<http://ebuy>) and from the ADEPT II or MFP contracts. Go to <http://wadchq2ksts01.usps.gov> and click on *Adept II*.

862.228 **Special-Purpose Print Devices**

Special-purpose print devices will not be available through PRIME. Special-purpose print devices must be:

- a. ACE-compliant.
- b. Approved by the ACE Program Management Office (see [Exhibit 862](#), Print Device Contact Information).
- c. Supported for special programs by a service-level agreement as long as they remain on the current list of ACE-supported printers. Go to <http://cto.usps.gov>. A longer URL will appear; add the number 930 at the end.
- d. Funded by local purchases or by the program sponsor through the eBuy process (<http://ebuy>) from the ADEPT II contract. Go to <http://wadchq2ksts01.usps> and click on *Adept II*.

862.229 **Exceptions**

a. Purchase of Off-Catalog Print Devices

If ADEPT II does not provide a device that meets your requirements, contact the ADEPT II contracting officer representative (COR) for assistance (see [Exhibit 862](#), Print Device Contact Information).

b. Engineering-Managed Print Devices

The following exceptions apply to Engineering-managed print devices:

- (1) Engineering determines the requirements for print devices used in mail processing, material handling, retail and delivery systems, and other Engineering-managed programs.
- (2) The manager in the Engineering organization sponsoring the system in which a print device will be used is responsible for the approval, purchase, use, support, and maintenance of the device.
- (3) The Depot Repair Operations (DRO) at Maintenance Technical Support Center (MTSC) manages the repair of Engineering/Mail Processing print devices. Go to <http://cto.usps.gov>. A longer URL will appear; add the number 929 at the end. This support is provided by the Central Repair Facility (CRF) in Topeka, KS, and the Indianapolis Repair Facility (IRF) in Indianapolis, IN.

Exhibit 862

Print Device Contact Information

User	Address
Advanced Computing Environment (ACE)	MANAGER DISTRIBUTED COMPUTING ENVIRONMENT INFORMATION TECHNOLOGY 4200 WAKE FOREST ROAD RALEIGH NC 27668-9300 e-mail Address: ace@usps.gov
Engineering	MANAGER MAINTENANCE POLICIES AND PROGRAMS ENGINEERING 8403 LEE HIGHWAY MERRIFIELD VA 22082-8101 e-mail Address: MTSC-DL-Helpdesk@usps.gov
ADEPT II Contracting Officer Representative (COR)	CONTRACT OFFICE REPRESENTATIVE TECHNOLOGY SUPPORT INFORMATION TECHNOLOGY 475 L'ENFANT PLAZA SW WASHINGTON DC 20260-0660 e-mail Address: john.s.larsen@usps.gov

87 Information Technology Infrastructure

871 Application Hosting

Application hosting provides computing services for Postal Service business units. These services are provided on a broad range of operating platforms in various locations to ensure that business applications are optimally deployed, operated, and supported. (See Handbooks AS-508, AS-802, and AS-805 for policies governing the placement of applications in the Postal Service computing environment.) The components of application hosting are discussed in the following sections.

871.1 Application, Database, and Web Hosting

871.11 Platforms and Storage

The hosting environment for business applications consists of mainframe, midrange (Unix), and Wintel platforms and a variety of storage solutions. All server solutions that support Postal Service enterprise and Web applications and their databases must comply with IT standards before being placed into production.

871.12 System Support

System support for applications in the centrally hosted environment includes the following activities:

- a. Developing interfaces to integrate vendor software.
- b. Installing and maintaining system software (i.e., with timely patch management).

- c. Hardening servers before production to ensure a secure computing environment.
- d. Installing and maintaining programs that aid application development and implementation.
- e. Working with hardware and software vendors and application developers to resolve problems.
- f. Monitoring performance and planning for changes in capacity.
- g. Managing configurations.
- h. Performing system administration tasks such as file backups.

871.13 **Service Support**

871.131 **Description**

The Service Level Agreement (SLA) is an agreement between the sponsor of an information system/application and IT that specifies system objectives such as the hours of system availability; hours of help desk support; and system update, backup, and maintenance windows. The Technology Framework and Host Computing Services Application Hosting Activation Process documents include the technical specifications necessary for installing and operating the application and are completed prior to drafting the SLA. For more information, visit http://it.usps.gov/pls/itprodnp/page?psite_id=10&pnode_id=33; from the "IT Spotlight" drop-down menu, click on *SLA*.

871.132 **Requirements**

All information systems or applications hosted in the IT environment must have a valid SLA completed and approved prior to the application's being installed in production in the IT Host Computing Environment. SLAs are effective for 1 year, unless the customer changes service-level objectives, at which time the SLA must be revised. If the SLA is not renewed each year, IT will not commit to previously stated service levels after the agreement expires. The responsible IT Business System Portfolio (BSP) Program Manager completes the following steps in establishing and renewing an SLA:

- a. Works with the sponsor to determine the sponsor's service objectives.
- b. Documents the service objectives in the SLA.
- c. Forwards the SLA to the service providers to obtain their signatures, amending the document as needed.
- d. Provides the signed SLA to the sponsor for final approval and acceptance.
- e. Forwards the final SLA signed by the service providers and the sponsor to the Manager, Host Computing Services, Eagan, MN.
- f. Conducts an annual review and renewal process prior to the end of the fiscal year, repeating steps a-e.

871.14 **Problem Management**

Problem management consists of resolving information technology problems, both nationwide and locally. These services are based on a centralized approach for reporting, handling, and escalating problems to

minimize the time and resources needed to resolve them, keeping any outages within predetermined acceptable service levels.

871.15 **Responsibilities**

871.151 **Information Technology**

IT is responsible for the following:

- a. Hosting facilities, support staff and processing, and storage capacity to operate and maintain databases, business applications, and Web sites.
- b. Providing system support.
- c. Providing service support based on an active SLA.
 - (1) Performing an annual review of each SLA.
 - (2) Reminding the portfolio or functional manager about renewal requirements 2 months before the SLA expires.
- d. Providing problem management.

871.152 **Portfolio Managers**

Portfolio managers are responsible for the following:

- a. Registering applications in the EIR and eAccess.
- b. Ensuring that the Application Information Security Assurance (ISA) process has been completed before an application is hosted.
- c. Developing an SLA with the stakeholders; ensuring that all appropriate signatures are obtained before the application is activated; or working with them to determine whether an SLA should be renewed as is, renewed with changes, or not renewed.
- d. Ensuring that an Application Disaster Recovery Plan (ADRP) is developed, maintained, and provided to Disaster Recovery Services.
- e. Ensuring that a technical architectural diagram and detailed architectural description showing a technical architecture that is compatible with the hosting environment is available at the beginning of the application hosting activation process.
- f. Ensuring that all jobs, scripts, and operations and support documentation are available to the hosting organization before production.

871.153 **Application Sponsors**

Application sponsors are responsible for the following:

- a. Ensuring that applications are browser-accessible, browser-independent, and server-based, and that they use the Enterprise Directory Service for user authentication and authorization.
- b. Funding application hosting, including facilities, hardware, software, and ongoing support required to meet the level of service negotiated in the SLA.

871.2 IT Disaster Recovery

871.21 Description

IT disaster recovery testing and recovery services ensure that an application can be recovered at an alternate location if a significant interruption of computing services occurs. Disaster recovery requirements are based on the outcome of the application Business Impact Assessment (BIA), the component of the process that determines the potential consequences of system unavailability or loss and the related development of an ADRP. (See [882.3](#).)

871.22 Requirement

Federal mandate and Postal Service policy require that disaster recovery capabilities and plans be in place and tested for all business applications and systems designated as *critical* or *business-controlled criticality*. (See Handbooks AS-805, AS-805-A, and AS-802.)

871.23 Responsibilities

871.231 Functional Organizations

To ensure that appropriate disaster recovery plans are implemented, functional organizations should do the following:

- a. Review their applications with their assigned portfolio managers.
- b. Ensure that application BIAs are complete and maintained for every system.
- c. Identify the recovery time objective (RTO) and data currency needed to minimize the impact of business recovery.
- d. Ensure that funding and requirements are reflected in the client funding agreements system and SLA.

871.232 IT Integrated Business Systems Solutions Center or Systems Development Organizations

For applications classified as *business-controlled criticality* or *critical*, Integrated Business Systems Solutions Centers or system development organizations are responsible for developing and maintaining ADRPs to document specifications for recovering them at alternate locations.

871.233 IT Disaster Recovery Services

IT Disaster Recovery Services is responsible for the following:

- a. Providing technical and procedural information to assist in the completion of the application BIA and ADRP before disaster recovery testing.
- b. Reviewing and approving the ADRP.
- c. Providing the environment and guidance for executing application recovery testing conducted by the application owner to verify that the application can be recovered within the RTO determined during the BIA.

872 Data Management

The technical infrastructure for data management provides the Postal Service gateway to secure corporate information. Data management

consists of acquiring data from disparate sources and positioning it for appropriate access by business applications and authorized users and is based on the development, use, and maintenance of an enterprise architecture. Data management activities must comply with applicable federal and Postal Service information security rules and regulations and with Privacy Act, FOIA, and Postal Service privacy and records policies.

872.1 **Data Access**

Functional organizations that require data from existing or planned information systems must do the following:

- a. Inform the data steward (see [825](#)).
- b. Fund new development or modifications to achieve data sharing.
- c. Comply with data integrity rules.
- d. Comply with applicable Postal Service privacy and security requirements.

872.2 **Data Acquisition**

872.21 **Description**

Postal Service corporate data acquisition service (CDAS) activities enable the “collect once, use many” approach to ensuring that data is a shared corporate resource. CDAS collects data from operational systems and makes it sharable corporate-wide to target systems such as the Postal Service enterprise data warehouse and other data stores.

872.22 **Responsibilities**

Portfolio managers are responsible for the following:

- a. Overall management of the project using CDAS.
- b. Funding the development and production support for CDAS-related efforts.
- c. Providing requirements for transformation of source data to target systems.

872.3 **Data Warehouse**

872.31 **Description**

The Postal Service data warehouse is the authoritative source for corporate data and reporting. It is a centralized resource that provides an integrated database and report and query infrastructure for the Postal Service as a whole, consolidating data from many systems and making it sharable to support accurate and consistent reporting throughout the Postal Service.

872.32 **Responsibilities**

872.321 **Information Technology**

IT is responsible for managing the data warehouse, operating the warehouse infrastructure, providing tools for ad hoc reports, and building predefined reports.

872.322 Functional Organizations

Functional organizations are responsible for working with their portfolio managers to identify reporting and storage requirements for the data warehouse.

872.4 Data Transfer

The Postal Service provides the capabilities to move data securely both internally and externally. Internally, it moves data between applications, databases, or file systems. Externally, it supports the transfer of electronic business documents between the Postal Service and its suppliers and customers. (See Handbook AS-805 for data transfer security requirements.)

872.5 Database Support**872.51 Description**

Database support provides a stable production database environment across standard platforms to ensure that corporate information stored there has maximum availability.

872.52 Requests for Support

IT and functional organizations negotiate SLAs and budgetary support for each project. Requirements related to database support are published in corporate directives including, but not limited to the following: Handbooks AS-802, AS-805, AS-805-A and AS-812.

872.6 Corporate Data Presentation**872.61 Description**

The Postal Service provides and supports a centralized set of data presentation tools to enable customized views of standard corporate reports and ad hoc report generation.

872.62 Responsibilities**872.63 Functional Organizations**

Functional organizations are responsible for using the corporate data presentation tools for reporting the state of the corporation for presentation internally and externally.

872.64 Portfolio and Program Managers

Portfolio and program managers are responsible for the following:

- a. Managing the overall project that is using corporate data presentation tools.
- b. Funding development and production support for the corporate data presentation services related to their particular efforts.
- c. Providing reporting requirements.

873 Telecommunications

Telecommunications capabilities provide the technological underpinnings for data and voice communication among employees, customers, partners, and suppliers in a content-neutral approach implemented in accordance with

security and privacy policies and guidelines. The components of the Postal Service telecommunications environment and related responsibilities are listed below.

873.1 **Wide Area Network**

873.11 **Description**

The Wide Area Network (WAN) provides network connectivity for Postal Service locations and business partners. It consists of computer-to-computer or facility-to-facility data communications across the Postal Service through a private, secure network and secure gateways to the Internet. This service is provided through a contract known as the Managed Network Service (MNS). Types of service provided under this contract include the following:

- a. New WAN service.
- b. Data rate changes (upgrading or downgrading of existing service).
- c. Modifications and relocation of existing service, including disconnecting.
- d. Small area office to large area office conversions.

873.12 **Funding**

Functional organizations are responsible for funding the installation and recurring network service costs for the facility or application for which the service is provided.

873.13 **Requests for Service**

To request or change service, submit Form 3037, *Request for Service*, available at <http://it> under *Resource Tool Box, Forms and Templates*, Form 3037.

873.2 **Local Area Network**

873.21 **Description**

Local area networks (LANs) provide data communications connectivity within Postal Service facilities using wire-line and wireless technologies and designs.

873.22 **Funding**

Functional organizations are responsible for funding the fixed service installation costs at the facility they are responsible for.

873.23 **Requests for Service**

To request new or change existing service, submit Form 3037, *Request for Service*, available at <http://it> under *Resource Tool Box, Forms and Templates*, Form 3037.

873.3 **Remote Access**

873.31 **Description**

Remote access is the capability for authorized users (generally employees, selected contractors, vendors, and business partners) to access the Postal Service network. Types of service include the following:

- a. Point-to-Point Protocol for communication between two computers, typically a personal computer connected via telephone line to a server.
- b. Virtual Private Network (VPN) for use of a public telecommunication infrastructure that maintains privacy through tunneling, encryption, authentication, access control, and auditing.
- c. Business partner connectivity for a secure connection, via either leased lines or VPN, for business entities requiring access to the Postal Service routed network.

873.32 **Funding**

Postal Service executive sponsors are responsible for funding secure connectivity for business partners related to their areas.

873.33 **Requests for Service**

To request service, submit the appropriate form to the Network Connectivity Review Board at ncrb@email.usps.gov. Forms are available at <http://it>. Click *Support*, then under "Corporate Information Security," click *CISO Organization Information*, then *Network Connectivity Review Board*, then *Request Forms*. Postal Service executive sponsors must initiate any business partner requests related to their areas of responsibility.

873.4 **Telephony/Voice**

873.41 **Description**

This service provides technical direction, specification development, and guidance for the acquisition of large and small telephone systems; upgrades and long distance and local service support; technical support in the design and implementation of infrastructure cabling for both inside and outside plant applications; public address (paging) systems; and guidance on equipment maintenance coverage.

873.42 **Toll-Free Service**

The Postal Service uses toll-free services to cover the continental United States, Alaska, Hawaii, Puerto Rico, all U.S. territories, and international toll-free services, when required, and has established standardized processes for acquiring them.

873.43 **Funding**

Functional organizations are responsible for funding the installation and recurring network service costs for the facility or application for which the service is provided.

873.44 **Requests for Service**

To request service, submit Form 3037, *Request for Service*, available at <http://it> under *Resource Tool Box, Forms and Templates*, Form 3037. Business support vendors and telecommunications companies can be reached directly by field users under contracts established for the Postal Service.

873.5 **Wireless Devices and Services**

873.51 **Description**

The Postal Service provides for the acquisition, deployment, and support of wireless devices and services to support its business activities. Such devices include pagers, personal digital assistants (PDAs), and cellular telephones. Wireless devices and services, as described here, do not include devices and services integrated with operational mail processing equipment. Supported services, providers, and funding responsibilities are shown in [Exhibit 873.5](#).

873.52 **Requests for Service**

Personnel should select service from providers that are approved for their respective locations. If more than one provider is available, local IT personnel, with IT Telecommunications Services oversight, will guide managers on the choice of provider based on the expected patterns of use.

Exhibit 873.5

Funding Responsibility for Wireless Services

Service	Providers	Funding Responsibility
Cellular Telephone	AT&T Wireless Cingular Wireless Nextel Wireless Sprint Wireless Verizon Wireless	Local
Pager	Skytel	Local
PDA	Compaq Blackberry	Local

873.6 **Radio Frequency**

873.61 **Description**

The Postal Service provides radio frequencies spectrum support for wireless devices used to support its business activities, including acquisition and deletions, radio device inventory, and operational assurance.

873.62 **Funding**

The local facility requiring radio frequency service is responsible for funding.

873.7 **Responsibilities**

873.71 **Information Technology**

IT is responsible for the following:

- a. *Overall.* Engineering, managing, and operating the Postal Service national telecommunications voice, video, data, satellite, and wireless communications networks in partnership with various contractors.
- b. *Wireless Devices and Services.* Administration and fiscal oversight, including monitoring and auditing; working with Supply Management

to select service providers nationwide and to establish service provider agreements.

- c. *Toll-Free Services.* Approval and ordering of service; program administration; fiscal oversight, including rate monitoring and auditing; and overall invoice review.
- d. *Radio Frequency.* Developing policies and procedures for managing the technology; providing guidance, contractual vehicles, and regulatory support to ensure that wireless programs within the districts are operating within regulations; and designing and developing solutions for the districts.

873.72 **District Manager**

The district manager, through the information systems (IS) manager at the district level, manages voice, video, facsimile, and data telecommunications systems within a geographic boundary, including processing and distribution installations.

873.73 **Information Systems Manager, District Level**

The IS manager at the district level is responsible for the following:

- a. Overall.
 - (1) Managing operation and implementation of voice, video, facsimile, and data telecommunications systems within a geographic boundary.
 - (2) Requesting IT Telecommunications Services for installation, modification, or removal of:
 - (a) Private Branch Exchange (PBX) telephone systems.
 - (b) Electric key telephone systems of seven or more lines.
 - (c) Automatic call distribution and voice response systems, station message detail recorders, and public address systems.
 - (d) Walkie-talkie-type radio systems, beepers/ pagers, speaker phones, stand-alone single answering or recording devices, special hearing and seeing devices, and automatic dialing devices.
 - (e) Off-premises extensions or foreign exchange circuits.
 - (f) Coordinating one to six telephone lines and one or two telephone instruments with the local IS manager.
- b. *Local Area Networks.* Documenting and managing LANs within a geographic boundary.
- c. *Radio Frequency.* Working with IT Telecommunications Services for the engineering of wireless devices, systems, and programs and for managing commercial service accounts and cellular and paging service accounts.

873.74 **Telecommunications Coordinator**

The telecommunications coordinator is designated 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 in an installation (can be one or more buildings in a limited geographic area).
- b. Coordinating implementation and integration of universal wiring systems.
- c. Managing the cable plant and maintaining cable records.
- d. Requesting changes to Federal Technology Service (FTS) through IT.
- e. Submitting changes or requests for access to Postal Service networks to Telecommunication Services.
- f. Complying with telecommunications systems security policies. (See Handbook AS-805.)

873.75 **Postal Inspection Service**

873.751 **Requests**

The Postal Inspection Service (Information Technology Division) processes telecommunications requests from Postal Inspection Service (Information Technology) organizations. Forward requests to:

MANAGER INFRASTRUCTURE SUPPORT
US POSTAL INSPECTION SERVICE
INFORMATION TECHNOLOGY DIVISION
2111 WILSON BLVD STE 500
ARLINGTON VA 22201-3036

873.752 **Postal Inspector-In-Charge**

Each Postal Inspection Service division postal inspector-in-charge approves installations of, or changes to, telephone equipment, such as the relocation or addition of telephone instruments for that division.

873.8 **Facility Infrastructure Design and Engineering**

Communication systems and services are designed and engineered based on Postal Service structured wiring requirements for Postal Service facilities nationwide and include voice and data communications, PBXs, and LANs. Implementation and installation of these designs are closely coordinated to comply with applicable requirements.

874 **Distributed Systems Management**

874.1 **Description**

Distributed systems management is the centralized, standardized approach to managing computers distributed throughout the postal computing environment that allows the Postal Service to enhance the performance of its applications, systems, and services. The approach includes system and network management disciplines that enhance technology integration, implementation, and support, yielding better business value and productivity improvement. The components of distributed systems management are listed in the following sections.

874.2 Enterprise Management

874.21 Description

Enterprise management activities ensure the maximum availability of Postal Service operating systems and databases. Those activities include: tuning, troubleshooting, backup and recovery, distribution of software changes, and coordination of disaster recovery procedures; remote system management and support for distributed systems and applications; nationwide support for distributed IT infrastructure; support services, including management of performance, files and directories, problem faults, software distributions, tape backups and restores, deployments, and Novell Directory Services; and disaster recoveries, reports, and changes.

874.22 Responsibilities

Responsibilities related to enterprise management are published in Handbooks AS-802 and AS-805.

874.3 Distributed Systems Engineering and Management

874.31 Configuration Management

All technology components in the postal computing environment are managed under the change and configuration management (C/CM) process. C/CM is a required part of every technology project, and the associated costs must be included in project funding. (See MI AS-850-2002-10.)

874.32 Technology Engineering

874.321 Description

Technology engineering consists of server and workstation design, engineering, and integration services for COTS software products on the Advanced Computing Environment platform.

874.322 Responsibilities

IT can provide the following:

- a. Engineering, integration, and packaging, which includes server installation scripts, application launching scripts, and associated documentation.
- b. Certification and beta testing.
- c. Initial deployment, if the functional organization does not install the applications and supporting hardware and infrastructure or the support of the sites during initial rollout.
- d. Ongoing Level 3 support and infrastructure updates and testing.

874.323 Requests for Service

To request service, submit Form 3037, *Request for Service*, available at <http://it> under *Resource Tool Box, Forms and Templates*, Form 3037.

875 Electronic Messaging

The Postal Service electronic messaging environment enables communication in a manner that ensures security and integrity of the environment, complies with monitoring and other applicable policies, and streamlines the development and support of electronic messaging

applications throughout the organization. This environment provides the means for users to send text messages and data files electronically to other employees, suppliers, partners, and customer organizations through the gateway to the Internet to almost anyone in the world who has an e-mail address. The service is available around the clock.

875.1 **E-mail Support**

875.11 **Description**

E-mail support provides the backbone that supports the Postal Service electronic messaging service. This support entails distribution of the messaging client (the e-mail application that runs on the personal computer), user support, engineering of the messaging servers, and administration. (See MI-AS-840-2004-2.)

875.12 **Requests for Service**

Submit requests for a Postal Service e-mail account at <http://eAccess>. If necessary, contact your local IT manager to configure your computer for e-mail.

875.2 **Personal Digital Assistant (Blackberry Services)**

875.21 **Description**

Personal digital assistants (PDAs), including wireless Blackberry-style units, are handheld devices that combine a variety of computing and communication features. The Postal Service will allocate PDAs as described below to support selected business activities.

875.22 **Funding and Providing**

875.221 **Officers and Postal Career Executive Service Executives**

Headquarters IT will fund and provide Blackberry PDAs (or successor units) to Postal Service officers and Postal Career Executive Service (PCES) employees.

875.222 **Executive Administrative Service Employees**

PCES executives must approve and fund Blackberry PDAs (or successor units) for Executive Administrative Service (EAS) employees, and Headquarters IT will provide the equipment.

Note: No wireless PDA technology may be issued to Fair Labor Standards Act (FLSA) nonexempt EAS personnel or bargaining unit employees outside of normal working hours due to FLSA constraints.

875.23 **Requests for Service**

To request information about ordering and activating wireless PDA service, contact the Headquarters IT Help Desk at 202-268-5588 or 800-268-5588 from outside the Washington, DC, Metropolitan Area. The Headquarters IT Help Desk is also available via e-mail at [##IT Help Desk](#).

88 Information Security

881 Description

Information security activities enable the Postal Service's capability to ensure the integrity, availability, and confidentiality of its information resources. These IT activities develop the strategies and policies to support information security and comply with federal and legal requirements. Information security policies are published in Handbook AS-805 and related documents. The key policy service components are described in the following sections.

882 Supporting Services

882.1 Secure Infrastructure

This IT service provides activities that develop, implement, and operate technologies and methods to protect the Postal Service infrastructure and includes the following components:

- a. *Enterprise Information Security Architecture*. Defines the Postal Service information security services, vehicles, tools, mechanisms, and procedures that reflect security policy, business objectives, and available technology.
- b. *Technology Assessment*. Evaluates and recommends security products for inclusion in the ITK and evaluates infrastructure and COTS products for common vulnerabilities and exposures.
- c. *Computer Incident Response Team (CIRT)*. Responds to computer incidents and provides threat and vulnerability reconnaissance. To report a suspected computer security violation, please call 1-866-USPS-CIR(T) (1-866-877-7247) or send an e-mail message to USPSCIRT@email.usps.gov.
- d. *Network Vulnerability Testing*. Performs network and modem vulnerability testing, onsite testing of critical sites, and remote testing of high-risk sites to identify exploitable vulnerabilities and then provides recommendations to mitigate those vulnerabilities.
- e. *Network Connectivity Review Board*. Establishes the standards and process for connecting to the Postal Service network. (See Handbook AS-805-D.)
- f. *Intrusion Detection*. Provides security for systems with critical business applications, including intrusion detection, host vulnerabilities analysis, security trend analysis, unauthorized-use-attempt forensics, and response to attacks.
- g. *Penetration Testing and Vulnerability Scans*. Evaluates the effectiveness of an implemented network segment or information resource by scanning for vulnerabilities and compliance with hardening requirements and attempts to bypass implemented controls.
- h. *Server Hardening*. Provides hardening requirements and standards to ensure that nonessential system services are shut down, responsible administrative practices are followed, and security updates are applied.

IT will work with functional organizations to customize server hardening for systems in development, for systems in use that have vendor support, and for legacy systems that have limited support resources.

- i. *Secure Enclaves*. Provides network areas where special protections and access controls, such as firewalls and routers, are used to secure information resources.
- j. *Wireless Access Security*. Ensures that distributed wireless LANs comply with IT wireless standards. Provides onsite and remote testing of facilities to locate and identify wireless access points and wireless ad hoc networks, identifies wireless hardware configured without appropriate encryption and authentication mechanisms enabled, and provides recommendations for mitigating wireless vulnerabilities.
- k. *Personnel Security*. Works with the Postal Inspection Service to identify sensitive positions and ensure that individuals assigned to those positions have the appropriate background investigation and level of personnel clearance before they obtain physical access to Postal Service information resources or access to sensitive, business-controlled sensitivity, critical, or business-controlled criticality information. Works with Human Resources to include information security responsibilities in job descriptions and in personnel performance appraisals.
- l. *Physical and Environmental Security*. Provides a coordinated IT and Inspection Service approach to protect information resources in the areas of physical access controls to facilities and work areas, controlled areas inside facilities, and environmental security.

882.2 **User Authentication and Access Control**

This service provides user accountability by managing access to and use of Postal Service information resources based on user registration, authorization, identification, verification, and authentication. Management is enabled via eAccess at <http://eaccess>, the Postal Service centralized application for requesting and approving access to Postal Service information resources.

882.3 **Application Information Security Assurance (ISA)**

This service identifies the sensitivity and criticality of a Postal Service information resource and the corresponding security requirements, ensures that appropriate protection controls and processes are implemented, manages residual risk, and culminates with the certification, accreditation, and approval to deploy. It includes the following components:

- a. *Application Business Impact Assessment*. The application BIA determines compliance with privacy requirements, the sensitivity, criticality, and recovery time objective of the information resource, and the appropriate security requirements to protect the information resource based on its sensitivity and criticality.
- b. *Application Risk Management*. This component defines the methods for ensuring cost-effective protection of information resources through risk assessment, risk mitigation, and risk acceptance processes.

- c. *Application Disaster Recovery Plan (ADRP)*. The ADRP documents the specifications for recovering an application based on the RTO.
- d. *Security Plan*. A security plan describes information security controls (safeguards) and processes in place or planned for meeting the information security requirements.
- e. *Security Testing and Evaluation*. This component defines a test plan and process for testing the information security controls implemented for the information resource.

882.4 **IT Business Continuity Management**

Business continuity management (BCM) is comprised of business continuity planning and disaster recovery planning. BCM must be implemented for Postal Service information resources and facilities designated by the VP/CTO as major information technology sites to meet its business continuity and contingency planning commitments, to protect Postal Service personnel and assets, and to reduce the likelihood and impact of a disruption to essential business functions of the Postal Service and its customers. BCM requires the following:

- a. A comprehensive business continuity plan for each major IT facility to provide for incident management, facility recovery, and workgroup recovery.
- b. An ADRP for each information resource designated as *critical* or *business-controlled criticality*.

882.5 **Strategies and Compliance**

This IT service emphasizes the significance of information security requirements for maintaining public trust, continuing business operations, and protecting Postal Service investments and includes the following components:

- a. *Policies, Procedures, and Standards*. Creating and evaluating information security policies, procedures, and standards to support an enterprise information security program that meets federal requirements and incorporates prudent industry practices.
- b. *Training and Awareness*. Providing training and awareness products that leverage techniques to communicate policies, procedures, and standards and ensure all employees and contractors are aware of their information security responsibilities and the appropriate, secure use of information resources.
- c. *Monitoring*. Monitoring information resources as required to ensure compliance with Postal Service policies, procedures, and standards.
- d. *Compliance*. Providing consulting support for inspections and evaluations to the Postal Inspection Service and the Office of the Inspector General (OIG) and recommending remedial action to address significant deficiencies. This may involve conducting administrative investigations for the purpose of maintaining effective information security and confiscating information resources as requested by the Postal Inspection Service or OIG.

883 Law Enforcement and Audit**883.1 Postal Inspection Service****883.11 General**

The Postal Inspection Service is a federal law enforcement agency within the Postal Service mandated to protect the Postal Service and its employees and customers from criminal attack and to protect the nation's mail system from criminal misuse. The Inspection Service's overall goals of safety, security, and integrity are based on its mission 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 Service customers and employees; increase the security of Postal Service products, services, and assets; and maintain the public trust in the integrity of the postal system. The responsibilities of the Inspection Service include the following:

- a. The chief postal inspector is designated as the security officer for the Postal Service and is the Postal Service point of contact for receiving notices concerning an assignment of a threat condition under the Homeland Security Advisory System.
- b. The chief postal inspector will have the specific responsibility for liaison with federal, state, and local law enforcement when implementing protective measures.
- c. The Postal Inspection Service is responsible for conducting criminal investigations when Postal Service networks and computers are used to facilitate an attack or crime against Postal Service partners, employees, or customers. Complete descriptions of Postal Inspection Service responsibilities relating to security can be found in ASM [27](#).

883.12 Personnel Security

Clearance must be obtained for persons in sensitive positions. Management is responsible for ensuring 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 [272](#).)

883.13 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, and Handbook AS-805, *Information Security*. The security control officer (SCO), is responsible for both physical and personnel security. The SCO is not to be confused with the Corporate Information Security Office information systems security officer (ISSO).

883.2 Office of Inspector General

The Office of Inspector General (OIG) audits Postal Service 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 on postal networks and computers.

Directives and Forms Index

Forms		
Forms Number	Title	Section
128	Travel and Admittance Identification Credential Card	277.221
128-B	Officer's Identification Card (Green Card)	277.211
189	Stocking Plan for New Directives and Forms	324.2
571	Discrepancy of \$100 or More in Financial Responsibility	Exhibit 225
604	Credit Card Non-Receipt Report	Exhibit 225
673	Report of Rifled Parcel	Exhibit 225
919	Facility Planning Data	512.233
929	Major Facility Planning Data	512.233
1096	Cash Receipt	422.273
1357	Request for Computer Access	272.343
1375	Employee Identification Card	277.231
1375-P	Postmaster's Identification Card	277.232
1412-A	Daily Financial Form	422.282 , 422.291
1412-B	Daily Financial Report	422.282 , 422.291
1576	Requisition for Duplicating Service	372.21
1628	Individual Key Record	273.461 , 273.462
1700	Accident Investigation Worksheet	252.132
1823	Equal Employment Opportunity Program	277.222
1858	Duplicating Control Register	372.22
2013	Sensitive Security Clearance Processing Request	272.225 , 272.226 , 272.227 , 272.241 , 272.344
2016	Mail Theft and Vandalism Complaint	Exhibit 225
2025	Contract Personnel Questionnaire	272.343
2041	USPS Building Pass — Headquarters	277.212
2041-A	USPS Building Pass — Tenant	277.213
2066	Updated Personnel Security Questionnaire	272.25
2181	Authorization and Release	272.224
2181-C	Authorization and Release — Background Investigation (USPS Contractors & Employees of Contractors)	272.343
2282	Facility Evaluation Sheet (Space & Condition)	512.223

Forms

Forms Number	Title	Section
2417	Confidential Statement of Employment and Financial Interests (For Use by Postal Service Employees))	211.33
3546	Forwarding Order Change Notice)	274.5
3547	Notice to Mailer of Correction in Address)	274.5
3575	Change-of-Address Order)	461.321 , 461.322
4098-F	Employee Identification (Face))	277.233 , 277.234 , 277.31
4209	Project Authorization)	513.112 , 517.833
4626	Vehicle Fuel and Motor Oil Purchase Record)	544.716 , 544.724
4805	Maintenance Work Order Request)	531.323 , 536.41 , 536.5
4841	Fuel and Utilities Record)	542.13 , 542.22 , 542.3
4852	Workload Analysis and Summary)	535.263 , 535.264
5139	Nonpostal Service Temporary Employee)	272.42 , 277.242
5140	Non-Postal Service Contractor Employee)	272.331 , 272.42 , 277.243
5659	Passport Application Transmittal)	422.274 , 422.281 , 422.282 , 422.291 , 422.292
7355	Cleaning Agreement)	722.7
7380	MDC Supply Requisition)	318.3 , 422.292 , 476.3 , 531.621
7381	Requisition for Supplies, Services, or Equipment)	273.531 , 273.532 , 344.422 , 372.21 , 372.331 , 533.532 , 722.61
7426	Designation of Emergency Repair Personnel)	515.4
7437	Facilities Service Request)	513.112 , 513.122 , 514.12 , 517.34 , 517.51 , 517.831 , 517.832 , 517.833 , 517.834 , 533.231
8105-A	Funds Transaction/Transfer Report)	225 , 229.122 , 229.123 , 229.13
8105-B	Suspicious Transaction Report (STR))	225 , 229.122 , 229.123 , 229.13
8162	Capital Property Record)	722.64
8230	Authorization for Payment)	722.631

Handbooks

Number	Title	Section
AS-305	Records Control	722.64
AS-501	Postal Facility ActivationI	512.4 , 518.7
AS-502	Activation of Non-Mail-Processing Postal FacilitiesI	512.4 , 518.7

Handbooks		
Number	Title	Section
AS-503	Standard Design Criteria	273.2 , 273.3 , 273.441 , 273.444 , 273.522 , 273.523 , 511.13 , 519.2
AS-504	Space Requirements	511.13 , 512.14 , 512.233
AS-505	Mechanization Design Specifications	511.13
AS-553	Hazardous Waste Management	722.32
AS-701	Material Management	533.533 , 722.64 , 733.312
AS-707	Procurement Handbook	371.22 , 373.3
AS-707-H	Contracting for Food Services	511.13
AS-709	Credit Card Policies and Procedures for Local Buying	722.5 , 722.632 , 722.64
AS-805	Information Systems Security	275.1 , 285.3
AS-819	Universal Wiring Standards	873.74
AS-820	Postal Computing Environment	Exhibit 81
EL-301	Guidelines for Processing Personnel Actions	Exhibit 81
EL-311	Personnel Operations	272.21 , 272.231
EL-602	Food Service Operations	511.13
EL-801	Supervisor's Safety Handbook	733.21 , 733.23
EL-806	Health and Medical Service (plus supplement: CPR Booklet)	211.33
F-1	Post Office Accounting Procedures	226.1 , 422.433 , 722.631
F-8	General Classification of Accounts	733.312
F-19	Accountability of Disbursing Officers	722.631
F-66	Series on Investment Policies and Procedures	511.211 , 512.14 , 512.211 , 512.221 , 512.234 , 513.111 , 521.4 , 522.15
MS-1	Operation and Maintenance of Real Property	531.712
MS-10	Floors, Care, and Maintenance	533.521
MS-24	Heating, Cooling, and Ventilating	535.24
MS-45	Field Maintenance Program	533.413 , 536.13
MS-47	Housekeeping — Postal Facilities	531.712 , 533.21 , 533.521 , 535.261 , 535.264
MS-49	Energy Conservation and Maintenance Contingency Planning	533.322 , 533.323 , 541.11 , 541.2
MS-56	Fire Prevention and Control	531.235
MS-63	Maintenance Operations Support	531.43
MS-110	Associate Office Postmaster's Facilities Maintenance Guidelines	515.2 , 515.3 , 516.11 , 533.54 , 536.41 , 536.42
P-2	Design and Construction Purchasing Practices	511.13 , 511.22 , 516.11
PO-102	Retail Vending Operational and Marketing Program	531.74
PO-702	Accident Investigations — Tort Claims	252.12 , 252.22

Handbooks		
Number	Title	Section
RE-1	Realty Acquisition and Management	511.13 , 511.22
RE-4	Standards for Facility Accessibility by the Physically Handicapped	511.13 , 516.232 , 519.41
RE-5	Building and Site Security Requirements	227.1 , 273.2 , 273.3 , 273.441 , 273.444 , 511.13 , 883.13 , Exhibit 81
RE-6	Facilities Environmental Guide	511.13 , 518.241 , 518.4
RE-12	Repair and Alteration Surveys	511.13 , 533.6
RE-13	Repair and Alteration of Real Property Facilities	511.13 , 516.11 , 533.322 , 533.323 , 533.6
Headquarters Circulars		
Number	Title	Section
80-10	USPS Emergency Coordinator, Civil Defense Coordinator, and HQ Emergency Coordinating Committee	284.31
Management Instructions		
Number	Title	Section
AS-280-89-6	Coordination of Regional Emergency Preparedness Planning	284.32
AS-310-78-3	Regional Directives	315
AS-310-96-3	Management of Policy and Procedure Information – Paper and On-Line	313.12 , 313.132 , 314.1 , 324.2
AS-520-96-9	Facility Planning Concept	512.232
AS-710-1999-1	Unauthorized Contractual Commitments	722.22
AS-860-2003-2	Data Stewardship: Data Sharing Roles and Responsibilities	Exhibit 81 , 825.1
AS-840-98-2	Dissemination of Postal Information, Products, and Services via the World Wide Web	371.32
EL-810-98-1	Asbestos-Containing Building Materials Control Program	516.131
EL-810-1999-1	Lead Hazard Management	516.132
FM-610-96-1	Advance Payments	722.632
FM-640-2000-1	Employer Tax Reporting Responsibilities – Conference, Meeting, and Training Session Mementos or Gifts	722.32
FM-640-1999-2	Payment for Meals and Refreshments	722.32
FM-640-2001-4	Payment for Meals and Refreshments	722.32
PO-530-91-8	Screening Mailhandling Contract Employees	272.312

Manuals		
Manual	Title	Section
ASM	Administrative Support Manual	283 , Exhibit 312 , 318.1 , 422.264 , 423 , 883.11 , 883.12
DMM	Domestic Mail Manual	211.33 , 224.1 , 224.2 , 224.3 , 274.231 , 274.232 , 274.31 , Exhibit 312 , 318.1 , 338.43 , 338.6 , 339.253 , 371.52 , 371.531 , 371.532 , 423
ELM	Employee and Labor Relations Manual	122.3 , 211.33 , 285.22 , 283 , 285.12 , Exhibit 312 , 423 , 722.32
FMM	Financial Management Manual	Exhibit 312
IMM	International Mail Manual	Exhibit 225 , 274.231 , 274.232 , 274.813 , 274.91 , 274.921 , Exhibit 312 , 318.1
PM	Purchasing Manual	274.5 , Exhibit 312 , 318.1 , 371.1 , 371.22 , 373.3 , 511.22 , 532.22 , 533.423 , 533.424 , 534.21 , 721 , 722.31
POM	Postal Operations Manual	274.21 , 274.31 , 276.21 , Exhibit 312 , 338.411 , 338.42 , 421.21 , 423 , 531.1 , 733.313

Notices		
Number	Title	Section
70	U.S. Postal Service Privacy Act Notice	272.224

Posters		
Number	Title	Section
7	Rules and Regulations Governing Conduct on Postal Property	276.21
158	Possession of Firearms and Other Dangerous Weapons on Postal Property Is Prohibited by Law	276.21
296	Notice of Reward	212.1

Publications		
Number	Title	Section
14	Prohibitions and Restrictions on Mailing Animals, Plants, and Related Matter	274.21 , 274.31 , 274.923

Publications		
Number	Title	Section
101	Engineering Change Board Organization and Operation	524 , 532.213
112	National Electronic Catalog	734.32
159 Series (A-D)	Contingency Planning	283 , 285.12 , 285.131
159-C	Contingency Planning for Bombs and Bomb Threats	223.21
176	Carrier Robbery/Assault	226.34
191	Investment Policies and Procedures	372.12 , 372.331 , 533.412
223	Directives and Forms Catalog	317 , 318.3 , 322.11 , 322.13 , 322.21 , 326 , 328
247	Supply and Equipment Catalog	277.41 , 533.531 , 533.532 , 734.32
275	Post Office Robbery	226.34
500 Series (A-F)	Corporate Graphic Guidelines	371.54
Other References		
Number	Title	Section
DSP-10A	Birth Affidavit	422.292
DSP-11	Passport Application	422.23 , 422.272 , 422.273 , 422.281 , 422.292
DSP-19	Passport Amendment/Validation Application	422.23 , 422.272 , 422.292
DSP-60	Affidavit Regarding Lost or Stolen Passport	422.292
DSP-64	Statement Regarding Lost or Stolen Passport	422.292
DSP-71	Affidavit of Identifying Witness	422.292
DSP-82	Application for Passport by Mail	422.23 , 422.272 , 422.292
EPM	Postal Service Emergency Planning Manual	283 , 285.12 , 285.22 , 285.23 , 286.2
Facilities Publication 59	Architect-Engineer Project Management	511.13
FD 258	Fingerprint Chart — Applicant (card)	272.344
GPO 2511	Memorandum Order and Supplementary Specifications	373.231
M-264	Foreign Entry Requirements	422.292
M-343	Notice to Applicants Concerning Birth Records	422.292
GSA Form 2957	Reimbursable Work Authorization	517.834 , 517.841 , 517.842 , 533.221
OMB Circular A-50	Passport Agent's Reference Guide	422.23 , 422.261 , 422.264 , 422.273 , 422.281 , 422.292
	Passports, the Easy Way Brochure	422.292
SF1	Printing and Binding Requisition to the Public Printer	373.231

Other References

Number	Title	Section
SF 85-P	Questionnaire for Public Trust Positions	272.222 , 272.224 , 272.225 , 272.344
SF 86	Questionnaire for National Security Positions	272.221 , 272.224 , 272.225
SF 87	Fingerprint Chart (card)	272.224
SF 91	Motor Vehicle Accident Report	252.131
SF 94	Statement of Witness	252.133
SF 95	Claim for Damage, Injury, or Death	253.1
SF-1C	Printing and Binding Requisition for Specialty Items	373.231
Maintenance Management Order (MMO) 031-94	Lead Exposure in Construction (Lead-based Paint)	516.132
MD-15 Series	Fixed Mechanization Standard Drawings	511.13
Specification USPS-M5000	Specification Standards for Mechanized Mail Processing Systems	511.13

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Index

A

Absence from office, Postmasters, [123](#)

Access control badges

Contractors, [277.236](#)

Electromechanical, [277.237](#)

Visitors, [277.235](#)

Access control cards

Facility security, [273.4](#)

Reporting lost or stolen cards, [273.47](#)

Accident investigators, [252.11](#), [252.12](#)

Accidents

Accidents to be investigated, [252.1](#)

Reporting, [222.3](#)

Scope of investigations, [252.12](#)

Serious accidents, [254.1](#)

Tort claims, [25](#)

Verification of damages, [252.12](#)

Accountability

Key accountability, [273.46](#)

Material accountability officers, [732.3](#)

Acquisitions

Copying and duplicating equipment, [372.3](#)

Facility space, [513](#)

Stamp Services, [643](#)

Activity-Based Management, [452.1](#)

Address changes

American Red Cross disaster relief, [461.32](#)

Utilities services, [542.413](#)

Address orders, Withdrawal of mail privileges, [232](#)

Administrative claims

Assistance, [253.1](#)

General instructions, [253.2](#)

Restrictions, [253.3](#)

ADP. See [Automatic data processing \(ADP\) security](#)

Advertisements, Printing prohibitions, [371.65](#)

Air conditioning service, [535.24](#)

Alarm systems, [273.2](#)

American Red Cross, [461](#)

Address changes, [461.32](#)

Disaster planning, [461.331](#)

Disaster relief, [461.322](#)

Information exchange, [461.332](#)

Joint services provided, [461.3](#)

Relations with Postal Services, [461.1](#)

Responsibilities, [461.2](#)

American Samoa, Customs inspection, [274.941](#)

Area functions, [111.63](#)

Area locations, [111.62](#)

Area offices

Communications with headquarters, [113.21](#)

Emergency coordinating committees, [284.32](#)

Facilities responsibilities, [511.12](#)

Area operations

Environmental management

Policies and procedures, [314.21](#)

Arrest and subpoena powers, [211.2](#)

Artwork

Relocation of, [517.124](#)

Asbestos, [516.131](#)

Ash removal, [535.21](#)

Assaults

Employees and customers, [228.1](#)

Reporting, [222.4](#), [228.2](#)

Security control officer duties, [271.342](#)

Asset Management, [733.31](#)

Audiovisual aids, [343](#)

Audits, [24](#). See also [Investigations](#). See also [Audits](#)

Background, [242](#)

Implementation of audit recommendations, [245](#)

Mission, [241.2](#)

Reports, [243](#)

- Requests for audit attention, [246](#)
- Responsibility, [241](#)
- Authority and Responsibilities
 - Agreement with law, [112.34](#)
 - Authority to administer postal affairs, [112.1](#)
 - Board of Governors, [111.2](#)
 - Corporate officers, [111.4](#)
 - Documentation, [112.31](#)
 - Field organization, [111.6](#)
 - Headquarters organization, [111.5](#)
 - Level, [112.33](#)
 - Notaries public, [112.2](#)
 - Office of Inspector General, [111.3](#)
 - Position title, [112.32](#)
 - Relationships and communication channels, [113](#)
 - United States Postal Service, [111.1](#)
- Automatic data processing (ADP) security
 - Backup principles, [275.22](#)
 - Contingency planning, [275.2](#)
 - Periodic reviews, [275.3](#)
- B**
 - Backup principles
 - ADP security, [275.22](#)
 - Benchmarking, Quality, [653.1](#)
 - Board of Governors
 - Composition, [111.21](#)
 - Identification security, [277.211](#)
 - Responsibilities, [111.22](#)
 - Breakout doors, [533.566](#)
 - Budgeting
 - For facilities, [512.2](#)
 - For new nonfixed mechanization, [522.13](#)
 - Building and grounds cleaning
 - Cleaning methods, [533.52](#)
 - Employee housekeeping committees, [533.55](#)
 - Inspection of detached units, [533.54](#)
 - Lawn maintenance, [535.23](#)
 - Lookout galleries, [533.56](#)
 - Responsibility, [533.51](#)
 - Supplies and equipment, [533.53](#)
 - Building design standards, [519.1](#)
 - Building operations and maintenance, [517.7](#). See also [Facilities, 51](#). See also [Equipment](#)
 - Burglaries
 - Actions after burglary, [227.2](#)
 - Preventive measures, [227.1](#)
 - Reporting, [222.2](#)
 - Burial flags, [474](#)
 - Business cards
 - Authorized users, [374.11](#)
 - Ordering, [374.2](#)
 - Standard design, [374.2](#)
 - Use, [374.12](#)
 - Business solutions
 - Design and development, [841](#)
 - Enterprise information repository, [842](#)
 - General, [84](#)
 - Maintenance and enhancement, [843](#)
- C**
 - Capital Equipment Material Management, [734.3](#)
 - Carrier Alert program, [463](#)
 - Criteria, [463.4](#)
 - Policy, [463.1](#)
 - Procedures, [463.3](#)
 - Responsibility, [463.2](#)
 - Sample plan for local implementation, [Exhibit 463.4b](#)
 - Statement of understanding and release of liability, [Exhibit 463.4a](#)
 - Cash drawers, [273.524](#)
 - Cataloging, [734.32](#)
 - Change of address. See [Address changes](#)
 - Chief counsels, [452.2](#)
 - Chief inspector
 - Responsibility, [211.12](#)
 - Security responsibilities, [271.1](#)
 - Chief operating officer, [622.1](#)
 - Chief privacy office, [815.1](#)
 - Christmas space assistance, [513.14](#)
 - Circulars and rewards, [212.2](#)
 - Citizens' Stamp Advisory Committee
 - Authority, [642.232](#)
 - Description, [642.231](#)
 - Function, [642.234](#)
 - Membership, [642.233](#)
 - Subcommittees, [642.235](#)
 - Travel and compensation allowances, [642.236](#)
 - Claims. See [Tort claims](#)
 - Claims coordinators, [252.2](#)
 - Classified national defense material
 - Categories, [222.91](#)
 - Handling, [222.93](#)

Index

- Mailing criteria, [222.92](#)
 - Reporting losses, [221.3](#)
 - Clean Air Act, Compliance with, [518.5](#)
 - Clean Water Act, Compliance with, [518.5](#)
 - Cleaning services, [535.26](#)
 - Closed circuit television, [273.17](#)
 - Cloth service, [535.22](#)
 - Commercial advertisements, Printing prohibitions, [371.65](#)
 - Commercial field printing, [373.3](#)
 - Communications
 - Corporate communications, [337](#)
 - With employees, [34](#)
 - Executive communications, [336](#)
 - Forms management, [32](#)
 - Headquarters with area offices, [113.21](#)
 - Marketing communications, [335](#)
 - Policies and procedures, [31](#)
 - Printing, copying, and duplicating, [37](#)
 - With the public, [33](#)
 - Records and release of information, [35](#)
 - World Wide Web-based communications, [36](#)
 - Community contact letters, [518.232](#)
 - Community relations, [333](#)
 - Computerized maintenance management information system, [531.4](#)
 - Conference areas, [533.324](#)
 - Configuration control and management system, [532.1](#)
 - Conservation stamp program. See [Migratory bird hunting and conservation stamp program](#)
 - Contract audits, Release and distribution, [243.223](#)
 - Contractor access control badge, [277.236](#)
 - Contractor ID cards, [277.24](#), [277.24](#), [277.41](#)
 - Contracts, Printing, copying, and duplicating, [371.62](#)
 - Controlled substances, Reporting, [222.5](#)
 - Copying. See [Printing, copying, and duplicating](#)
 - Copyrights
 - Copyrighting Postal Service material, [371.52](#)
 - Corporate identity, [371.54](#)
 - Reproducing copyrighted material, [371.51](#)
 - Trademarks and service marks, [371.53](#)
 - Core process support, [653.2](#)
 - Corporate officers, [111.4](#), [112.12](#)
 - Corporate policies and procedures, [312.1](#)
 - Corporate Publishing and Information Management, [313.11](#)
 - Corrective maintenance for equipment, [531.32](#)
 - Cost control for facilities, [519.5](#)
 - Counterfeit material, [223.3](#), [223.32](#)
 - Courtesy credit lines, Printing, [371.663](#)
 - Creative services, [344](#)
 - Credit Unions, Assignment of space, [517.35](#)
 - Credits, Printing, [371.66](#)
 - Customer service, Materials customer service, [722.1](#)
 - Customer service district offices, [111.64](#)
 - Customer service equipment, Maintenance, [534.12](#)
 - Customer Support, Service
 - CustomerPerfect! Support, [653.4](#)
 - Customs inspection
 - American Samoa, [274.941](#)
 - Guam, [274.942](#)
 - Northern Mariana Islands, [274.943](#)
 - U.S. Virgin Islands, [274.944](#)
 - Customs service, Mail security, [274.91](#)
- ## D
- Damage
 - Accidents, [252.12](#)
 - Claims, [533.427](#)
 - Postal-caused, [533.423](#)
 - Property damage, [252.14](#), [252.15](#), [252.16](#)
 - Reporting, [222.1](#)
 - Data stewardship, [825](#)
 - Dedicatory plaques, [338.44](#), [519.22](#)
 - Delivery service equipment, Maintenance, [534.13](#)
 - Demonstrations, riots, or picketing, [223.1](#)
 - Department of Agriculture, Mail security, [274.92](#)
 - Deputy postmaster general, Appointment, [111.52](#)
 - Deputy postmaster general and chief operating officer, [622.1](#)
 - Development, Quality, [653.1](#)
 - Diesel fuel, [544.62](#)
 - Directives, Printing, copying, and duplicating restrictions, [371.63](#)
 - Disabilities, persons with, Accessibility, [519.41](#)
 - Disaster relief, American Red Cross, [461.322](#)
 - Disclosure of information collected from mail, [274.5](#)

- From mail sent or received by customers, [274.5](#)
- From the contents of sealed mail, [274.51](#)
- Distributed Systems Management
 - Configuration management, [874.31](#)
 - Enterprise management, [874.2](#)
 - Technology engineering, [874.32](#)
- District managers
 - Application of audit findings, [246.2](#)
- District material management specialists, [732.2](#)
- Documents
 - Availability for review, [318.1](#)
 - Free publications, [318.3](#)
 - Ordering, [317](#)
 - For public sale, [318.2](#)
 - Types of, [312](#)
- Domestic emergencies
 - Advance information, [285.132](#)
 - Contingencies, [285.131](#)
 - Developing plans, [285.13](#)
 - Examples, [285.11](#)
 - Guidelines, [285.12](#)
- Door locks, Workroom access, [273.122](#)
- Duck stamps, [422.41](#)
- Dumbwaiter service, [535.25](#)
- Duplicating. See [Printing, copying, and duplicating](#)
- E**
- EEO credential, [277.222](#)
- Electromechanical access control identification, [277.237](#)
- Electronic commerce
 - Internet channel benefits, [613.3](#)
 - Responsibilities, [613.4](#)
 - Strategy, [613.2](#)
 - Vision, [613.1](#)
- Electronic Messaging Network, see [Information resources](#)
- Elevator service, [535.25](#)
- Emergencies. See also [Postal emergencies, losses and offenses, 22](#)
 - Facility security, [273.133](#)
- Emergency coordinating committees, [284.3](#)
- Emergency facility space, [513.13](#)
- Emergency preparedness
 - Authorities, [282](#)
 - Contingency plans, [281](#), [285](#)
- Domestic emergencies, [285.1](#)
- Emergency coordinating committees, [284.3](#)
- Emergency lines of succession, [286.1](#), [286.2](#)
- International emergencies, [285.2](#)
- Planning responsibilities, [284](#)
- Preparedness planning objectives, [283](#)
- Employee communications
 - Creative services, [344](#)
 - Field audiovisual communications, [343](#)
 - Policy, [341.1](#)
 - Publications, [342](#)
 - Responsibility, [341.2](#)
- Employees. See also [Personnel security clearances](#)
 - Carriage of firearms, [276.22](#)
 - Employee identification, [277.231](#), [277.233](#)
 - Facility security responsibilities, [273.13](#)
 - Hiring and accession requirements, [272.4](#)
 - Housekeeping committees, [533.55](#)
 - Material management, [732.4](#)
 - Nonpostal service contractor employees, [277.243](#)
 - Nonpostal service temporary employee, [277.242](#)
 - Purchases from, [722.4](#)
 - Security, [271.6](#)
 - Temporary employee badge, [277.234](#)
- Energy conservation
 - Facility design standards, [519.3](#)
 - Routine operating plan, [541.1](#)
- Engineering, [615](#)
- Enterprise Architecture, see also [Information resources](#)
 - Description, [861.11](#)
 - Responsibilities, [861.12](#)
- Environmental review for facilities, [518.4](#)
- Equipment. See also Facilities
 - Computerized maintenance management information system, [531.4](#)
 - Configuration control and management system, [532.1](#)
 - Corrective maintenance, [531.32](#)
 - Facility and plant equipment maintenance, [533](#)
 - Field maintenance program, [536](#)
 - Maintenance capability, [531.5](#)
 - Maintenance documentation, [531.6](#)
 - Maintenance service contracts, [535](#)

Index

- Modifications, [532.2](#)
- Operational maintenance, [531.33](#)
- Postal equipment maintenance, [534](#)
- Preventive maintenance, [531.31](#)
- Requirements for nonfixed mechanization, [52](#)
- Staffing requirements and authorizations, [531.7](#)
- Test and evaluation of commercially available equipment, [526](#)
- Escalator service, [535.25](#)
- Ethical conduct, Standards, [722.41](#)
- Excess reporting, [733.325](#)
- Excise tax collection, Puerto Rico and U.S. Virgin Islands, [274.95](#)
- Executive communications, [336](#)
- Executive vice president, [622.1](#)
- Explosives, Reporting, [223.2](#)
- Express Mail labels, [223.6](#)
- F**
- Facilities, [51](#). See also Equipment
 - Accessibility for the physically handicapped, [519.41](#)
 - Acquiring space, [513](#)
 - Area offices, [511.12](#)
 - Building and grounds cleaning, [533.5](#)
 - Building operations and maintenance, [517.7](#), [533.4](#)
 - Changes affecting leases, [514](#)
 - Clean Air, Clean Water, and Safe Drinking Water Acts compliance, [518.5](#)
 - Community contact, [518.2](#), [518.232](#)
 - Cost control, [519.5](#)
 - Delegation of authority, [511.2](#)
 - Design and construction, [519](#)
 - Disposal of excess real property, [517.1](#)
 - Energy conservation, [519.3](#), [541](#)
 - Environmental review, [518.4](#)
 - Facility activation, [512.4](#), [518.7](#)
 - Facility planning, [518](#)
 - Field maintenance program, [536](#)
 - Funding approval, [512.3](#)
 - Identifying, [519.2](#)
 - Initial space alterations, [533.32](#)
 - Installation of additional Post Office boxes, [516.2](#)
 - Interchange of space in Postal Service and GSA buildings, [517.2](#)
 - Leased or rented quarters, [533.42](#)
 - Leasing excess space and facilities, [517.3](#)
 - Maintenance, [533](#)
 - Maintenance service contracts, [535](#)
 - Obtaining space by GSA in Postal Service-controlled buildings, [517.4](#)
 - Obtaining space by Postal Service in GSA-controlled buildings, [517.5](#)
 - Planning and budgeting, [512.2](#)
 - Preemption by the Postal Service or GSA of space, [517.6](#)
 - Purchasing nonmetered heating fuel, [543](#)
 - Randolph-Sheppard Act Amendments compliance, [518.3](#)
 - Real property management, [517](#)
 - References, [511.13](#)
 - Reimbursable services, [517.8](#)
 - Repair of leased premises, [515](#)
 - Repairs and alterations, [516](#), [533.6](#)
 - Requirements, [512](#)
 - Responsibilities, [511.1](#)
 - Safety and health, [519.4](#)
 - Security and safety management, [513.2](#)
 - Security evaluation, [518.6](#)
 - Structural loads, [519.42](#)
 - Utilities, [542](#)
 - Vacant facilities, [533.414](#)
- Facility security, [273](#)
 - Alarms and sensors, [273.2](#)
 - Closed circuit television system security, [273.17](#)
 - Employee responsibilities, [273.13](#)
 - Locks, keys, and access control cards, [273.4](#)
 - Protection and access, [273.1](#)
 - Requisitions, [273.53](#)
 - Security by contract, [273.16](#)
 - Security containers and safe equipment, [273.51](#)
 - Security counter lines, [273.3](#)
 - Vault equipment, [273.52](#)
 - Workroom access, [273.12](#)
- False representation, Withdrawal of mail privileges, [231](#)
- Federal agencies
 - Cooperation and support, [423](#)
 - Nonpostal services, [422.1](#)
 - Postal services, [42](#)
- Fees
 - Passport application, [422.23](#)

- Fictitious names, Withdrawal of mail privileges, [232](#)
- Field maintenance program, [533.413](#), [536](#)
- Field managers
 - Application of audit findings, [243.22](#), [245.52](#), [245.53](#)
 - PRC requests, [452.31](#)
- Field offices
 - Policies and procedures, [313.2](#), [314.2](#)
 - Printing, copying, and duplicating, [371.33](#)
- Field Operations Support, [622.4](#)
- Field organization
 - Area functions, [111.63](#)
 - Area locations, [111.62](#)
 - Customer service district offices, [111.64](#)
 - Support, [111.65](#)
- Financial audits, Release and distribution, [243.2](#)
- Fire extinguishers, [531.235](#)
- Firearms security
 - Issuance of firearms, [276.1](#)
 - Violations of firearms security, [276.2](#)
- Fixed mechanization equipment, [532.212](#)
- Flags, [47](#)
 - Half-staff display, [472.23](#), [472.232](#)
 - At postal facilities, [471](#)
 - Postal Service flag display, [475](#)
 - POW-MIA flag display, [476](#)
 - Requisitioning new flags, [472.3](#)
 - U.S. burial flags, [474](#)
 - U.S. flag display, [472](#)
 - U.S. flag maintenance and supply, [473](#)
- Foreign asset control, [229.2](#)
- Forfeitures, [214](#)
- Forgery. See [Fraud, forgery, impersonation, 224.5](#)
- Forms
 - EEO credential, [277.222](#)
 - Employee identification card, [277.231](#)
 - Employee photo identification, [277.233](#)
 - Headquarters Building Pass, [277.213](#)
 - Nonpostal service contractor employee, [277.243](#)
 - Nonpostal service temporary employee, [277.242](#)
 - Postmaster's identification card, [277.232](#)
 - Printing, copying, and duplicating restrictions, [371.63](#)
 - Travel and Admittance Identification Credential Card, [277.221](#)
 - USPS Building Pass, [277.212](#)
- Forms management
 - Classes of forms, [322](#)
 - Coordination and clearance, [324.2](#)
 - Development, [324](#)
 - Ordering forms, [326](#)
 - Policy, [321](#)
 - Responsibilities, [323](#)
 - Restrictions, [325](#)
 - Retaining completed forms, [321](#), [327](#)
 - Suggestions about forms, [328](#)
- Fraud, forgery, impersonation, [224.5](#)
- G**
- Gas for heating
 - Purchasing, [543.21](#)
 - Use during summer, [541.12](#)
- Gasoline
 - Purchasing, [544.61](#)
- General counsel, Authority of, [112.13](#)
- General Services Administration
 - Facilities controlled by, [516.24](#), [517.2](#)
 - Obtaining space by Postal Service in GSA-controlled buildings, [517.5](#)
 - Obtaining space in Postal Service-controlled buildings, [517.4](#)
 - Postal Services maintenance agreement, [533.11](#)
 - Preemption of space occupied by Postal Services, [517.6](#)
 - Reimbursable services, [517.8](#)
 - Tort claims, [251.4](#)
 - Utilities contract, [542.21](#)
- Glow lamps, [533.565](#)
- Government agencies. See [Federal agencies](#)
- Government Services Administration. See also [General Services Administration](#)
 - Facilities controlled by, [516.24](#), [517.2](#)
 - Obtaining space by Postal Service in GSA-controlled buildings, [517.5](#)
 - Obtaining space in Postal Service-controlled buildings, [517.4](#)
 - Postal Services maintenance agreement, [533.11](#)
 - Preemption of space occupied by Postal Services, [517.6](#)
 - Reimbursable services, [517.8](#)

Index

- Graphic services, [344.4](#)
- Greeting cards, Printing prohibitions, [371.65](#)
- Grounds maintenance, [535.23](#)
- GSA. See [General Services Administration](#); [Government Services Administration](#). See also [General Services Administration](#)
- Guam, Customs inspection, [274.942](#)
- H**
- Half-staff flag display, [472.23](#)
- Hawaii, Mail security, [274.922](#)
- Hazardous conditions, Facilities and, [516.13](#)
- Hazardous materials, [223.4](#)
- Headquarters
 - Policies and procedures, [314.1](#)
- Headquarters Building Pass, [277.213](#)
- Headquarters field units, [111.652](#)
- Headquarters organization
 - Deputy postmaster general, [111.52](#)
 - Executive vice president, [111.53](#)
 - Heads of headquarters organizational units, [111.54](#)
 - Postmaster general, [111.51](#)
- Heating fuel, Nonmetered, [543](#)
- Heating oil, Limitations on use, [543.43](#)
- Help desk, [852](#)
- Highway contract route, Contractor ID cards, [277.24](#)
- Historic building designation, [516.12](#), [519.223](#)
- Housekeeping committees, [533.55](#)
- I**
- Ice removal, [535.23](#)
- Identification security
 - Custody and protection, [277.5](#)
 - Displaying identification, [277.3](#)
 - Highway contract route contractor ID cards, [277.24](#)
 - Lost or unreturned identification, [277.7](#)
 - Purpose, [277.1](#)
 - Requisitioning, [277.4](#)
 - Returning identification, [277.6](#)
 - Types of accredited identification, [277.2](#)
- Illustrations, Printing, [371.662](#)
- Impersonation. See [Fraud, forgery, impersonation](#), [224.5](#)
- Information Platform, [612.2](#)
- Information protection, [824](#), [827](#)
- Information resources
 - Business solutions, [84](#)
 - Customer support, [85](#)
 - Data Management, [872](#)
 - Electronic messaging, [875](#)
 - Enterprise Architecture, [861.1](#)
 - Information disclosure, [82](#)
 - Information Technology infrastructure, [83](#)
 - Planning and acquisition, [86](#)
 - Policy, [81](#)
- Information security
 - Application Information Security Assurance, [882.3](#)
 - Description, [881](#)
 - IT business continuance management, [882.4](#)
 - Law enforcement and audit, [883](#)
 - Secure infrastructure, [882.1](#)
 - Strategies, compliance, [882.5](#)
 - User authentication, access control, [882.2](#)
- Information Technology Architecture and Standards, [861](#)
- Information Technology infrastructure
 - Application hosting, [871](#)
 - Description, [832](#)
 - Disaster recovery, [871.2](#)
 - Platforms and storage, [871.11](#)
 - Policy, [831](#)
 - Problem management, [871.14](#)
 - Responsibilities, [871.15](#)
 - Scope, [833](#)
 - Service support, [871.13](#)
 - System support, [871.12](#)
- Information Technology management
 - Chief Technology Officer, [811](#)
 - District, [873.72](#)
 - Managers, [813](#)
 - Headquarters, [814](#)
 - Information systems, [87](#)
 - Installation heads and vice presidents, [812](#)
 - Portfolio, [842.3](#), [862.121](#)
 - Privacy Office, [815](#)
- Injuries
 - Tort claims, [252.12](#), [252.22](#)
- Inspection Service Operations Support Group, Mail covers, [213.43](#), [213.51](#)
- Inspector general
 - Appointment, [111.321](#)
 - Audits, [241.1](#)

Extent of powers, [111.323](#)
 Responsibilities, [111.322](#), [211.11](#)
 Installation heads, Security responsibilities, [271.2](#)
 Integrated Business Systems Solutions, [871.232](#)
 Interagency agreements, Nonpostal services, [422.1](#)
 International emergencies
 Definition, [285.21](#)
 Developing plans, [285.23](#)
 Guidelines, [285.22](#)
 International transit mail
 Closed mail, [274.812](#)
 Definitions, [274.81](#)
 Special security rules, [274.82](#)
 Internet
 Benefits, [613.3](#)
 Postal Service web site, [362](#), [613.3](#)
 Intranet, [361](#)
 Inventory review, [517.11](#)
 Inventory Positioning, [733.5](#)
 Investigations. See also Audits
 Access to records, [211.3](#)
 Arrest and subpoena powers, [211.2](#)
 Authority, [211](#)
 Circulars and rewards, [212](#)
 Emergency preparedness, [28](#)
 Forfeitures, [214](#)
 Mail covers, [213](#)
 Mail fraud investigations, [215](#)
 Postal emergencies, losses, and offenses, [22](#)
 Responsibility, [211.1](#)
 Security, [27](#)
 Tort claims, [251](#), [252](#), [253](#), [254](#)
 Withdrawal of mail privileges, [23](#)
 Investment Recovery, [733.32](#)

J

J keys, [273.432](#)

K

Keys

Accountability, [273.46](#)
 Contractors, [273.453](#)
 Facility security, [273.4](#)
 J key, [273.432](#)
 Key log, [273.434](#)
 Nonpostal occupants, [273.452](#)
 O key, [273.431](#)

Ordering procedures, [273.433](#)
 Postal employees, [273.451](#)
 Postal Inspection Service keys, [273.43](#),
[273.472](#)
 Reporting lost or stolen keys, [273.47](#)

L

Labor Relations, Policies and procedures, [313.131](#)

Laundry service, [535.22](#)

Lawn maintenance, [535.23](#)

Lead-based paint, [516.132](#)

Leased facilities

Acquiring space, [513.12](#)

Building maintenance, [533.42](#)

Changes affecting leases, [514](#)

Repair of leased premises, [515](#)

Storeroom management, [733.6](#)

Leasing excess facilities, [517.3](#)

Legislation inquiries, [338.5](#)

Letter carriers. See Carrier Alert program

Licensing

product development, [333.647](#), [662](#)

Responsibilities of group, [333.647](#), [661](#)

Local forms, [322.13](#)

Local policies and procedures, [312.2](#)

Locks

Access control system, [273.444](#)

Arrow locks, [278.11](#)

Delayed-exiting locks, [273.443](#)

Electronic strike, [273.442](#)

Exterior, [273.441](#)

Facility security, [273.4](#)

Modified Arrow locks, [278.12](#)

Postal Inspection Service locks, [273.42](#)

Requirements, [278](#)

Use of locks and keys, [278.1](#)

Lookout galleries, [533.56](#)

Losses and offenses. See Postal emergencies, losses and offenses

Lotteries, Reporting, [224.2](#)

Lottery orders, Withdrawal of mail privileges, [231](#)

M

Magnetic media, [273.526](#)

Mail

Automation-compatibility, [371.671](#)

Fraud investigations, [215](#)

Processing equipment maintenance, [534.11](#)

Index

Mail covers

- Authorizations, [213.4](#)
- Definitions, [213.3](#)
- Disclosing information collected from mail cover, [274.5](#)
- Exceptions, [213.6](#)
- Limitations, [213.7](#)
- Military postal system, [213.9](#)
- Ordering mail covers, [213.5](#)
- Policy, [213.1](#)
- Records, [213.81](#)
- Reporting to requesting authority, [213.82](#)
- Review by inspector general, [213.83](#)
- Scope, [213.2](#)

Mail Equipment Shops, [733.24](#)

Mail security

- Customs service, [274.91](#), [274.94](#)
- Department of Agriculture, [274.92](#)
- Disclosure of information, [274.5](#)
- During collection and delivery, [278](#)
- Excise tax collection, [274.95](#)
- Execution of search warrants, [274.6](#)
- Importance, [274.1](#)
- International transit mail, [274.8](#)
- Law enforcement and other government agencies, [274.7](#), [274.9](#)
- Mail addressed to prisoners, [274.96](#)
- Mail reasonably suspected of being dangerous to persons or property, [274.4](#)
- Military postal system, [274.93](#)
- Opening, searching, and reading mail, [274.2](#)
- Permissible detention of mail, [274.3](#)

Mail transportation contractors, Hiring and accession requirements, [272.42](#)

Mailing lists

Management of, [338.43](#)

Maintenance

- Capability, [531.5](#)
- Documentation, [531.6](#)
- Equipment, [53](#)
- Facilities, [517.7](#)
- Guidelines, [531.63](#)
- Handbooks, [531.621](#)
- Operational support, [531.73](#)
- Postal equipment, [534](#)

Maintenance management information system, [531.4](#)

Maintenance management orders, [531.622](#)

Maintenance service contracts

- Air conditioning service, [535.24](#)
- Cleaning services, [535.26](#)
- Contract criteria, [535.2](#)
- Elevator, escalator, and dumbwaiter service, [535.25](#)
- Facility and plant equipment, [535.112](#)
- National Agreement considerations, [535.13](#)
- Postal equipment, [535.111](#)
- Procurement of contracts, [535.12](#)

Marketing communications, [335](#)

Marketing support, [653.5](#)

Master keys, [273.48](#)

Material accountability officers, [732.3](#)

Material Distribution

- Mail Equipment Shops, [733.24](#)
- Material distribution centers, [722.1](#)
- Material Distribution Systems, [722.1](#)
- Materials customer service, [722.1](#)
- Non-mail handling vehicles, [733.42](#)

Material Distribution manager, [732.3](#)

Material management. See also [Purchasing](#) and Materials

- Policy, [733](#)
- Postal personnel responsibilities, [732.5](#)
- Purpose and scope, [733.1](#)
- Safety and security, [733.2](#)

Materials. See [Purchasing](#) and Materials

Media relations, [332](#), [339.14](#), [339.223](#), [339.24](#), [339.231](#)

Memorials, [519.22](#)

Merchandise, officially licensed

- Definition of, [662.2](#)
- Purchase of, [662.1](#)
- Questions about, [662.3](#)

Microforms, [372.21](#)

Migratory bird hunting and conservation stamp program

- Background, [422.42](#)
- Description, [422.41](#)
- Implementation, [422.43](#)

Military postal system

- Mail security, [274.93](#)
- Post offices, [41](#)

Modification work orders, [531.623](#)

Modular vaults, [273.523](#)

Money laundering control, [229.1](#)

N

Narcotics, Reporting, [223.5](#)
 National Agreements, [535.13](#)
 National defense material. See [Classified national defense material](#)
 National security, Security clearances, [272.221](#)
 National Supply Management Programs, [734.1](#)
 Network Operations Management, [622.5](#)
 Newsletters, Employee, [342.2](#)
 Nonfixed mechanization
 Deployment, [522.3](#)
 Development, [525](#)
 Equipment requirements, [52](#)
 Modification, [524](#)
 New equipment, [522](#)
 Procurement, [522.2](#)
 Relocation, [523](#)
 Savings, [522.4](#)
 Test and evaluation of commercially available equipment, [526](#)
 Non-mail Freight Transportation Team, [733.42](#)
 Nonmailable matter, Reporting, [224.1](#)
 Nonmetered heating fuel
 Changes in types of fuel, [543.3](#)
 Definition, [543.1](#)
 Procedures, [543.4](#)
 Purchasing methods, [543.2](#)
 Nonpetroleum fuels, Purchasing, [543.24](#)
 Nonpostal service contractor employees, [277.243](#)
 Nonpostal service temporary employees, [277.242](#)
 Northern Mariana Islands, Customs inspection, [274.943](#)
 Notaries public, Authority, [112.2](#)

O

O keys, [273.431](#)
 Offenses. See [Postal emergencies, losses and offenses, 22](#)
 Office of Inspector General
 Establishment of, [111.3](#)
 Identification security, [277.26](#)
 Inspector general appointment and responsibilities, [111.32](#)
 Legislative relations, [339.12](#)
 Media inquiries, [339.14](#)
 Release and distribution of audit reports, [243.211](#)

Responsibilities, [111.31](#), [339.11](#)

Spokespersons, [339.13](#)

Office space, Alterations, [533.322](#)

Oil

Limitations on heating oil used at headquarters, [543.43](#)

Purchasing, [543.21](#)

Open houses, [333.5](#)

Operational maintenance for equipment, [531.33](#)

Operations. See [Supporting operations](#)

Optional forms (OF), [322.23](#)

Ordering forms, [326](#)

Overprinting, Forms management, [325.1](#)

Ownership, [826](#)

P

Paper standards, [371.641](#)

Parking, [517.71](#), [533.222](#), [533.232](#)

Passport application acceptance program

 Acceptance procedures, [422.272](#)

 Applicability, [422.21](#)

 Changes to service, [422.252](#)

 Closeout procedures, [422.28](#)

 Determination of sites, [422.251](#)

 District coordination, [422.24](#)

 Establishment of service, [422.252](#)

 Express Mail purchase, [422.274](#)

 Forms and supplies, [422.292](#)

 Guidelines, [422.27](#)

 Payment of fees, [422.273](#)

 Policy and procedures, [422.22](#)

 Preparation at newly authorized locations, [422.26](#)

 Rates and fees, [422.23](#)

 Reference guide, [422.271](#)

 Reports, records, and discrepancies, [422.291](#)

Performance audits, Release and distribution, [243.221](#)

Personal injury, Tort claims, [254.3](#)

Personnel security clearances

 Career employees changing to sensitive position, [272.225](#)

 Clearances for individuals under service contracts, [272.3](#)

 Denial or revocation, [272.23](#)

 Exceptions, [272.26](#)

 Granting sensitive clearance, [272.227](#)

 Hiring and accession requirements, [272.4](#)

Index

- Interim sensitive clearances, [272.24](#)
- Nonsensitive clearance, [272.21](#)
- Policy, [272.11](#)
- Processing sensitive clearance, [272.226](#)
- Responsibility, [272.12](#)
- Scope, [272.13](#)
- Sensitive clearance, [272.22](#)
- Updating sensitive clearances, [272.25](#)
- Philatelic products, [645.22](#)
- Physical disability, persons with, Facility accessibility, [519.41](#)
- Picketing. See [Demonstrations, riots, or picketing, 223.1](#)
- Pictorial postmarks, Stamp Development, [645.24](#)
- Plant equipment. See [Equipment. See also Facilities](#)
- Plaques, Dedicatory, [338.44](#), [519.22](#)
- Poisonous materials, [223.4](#)
- Police protection, Facility security, [273.15](#)
- Policies and procedures
 - Action, [316](#)
 - Coordination, [314](#)
 - Definition, [311](#)
 - Document types, [312](#)
 - Ordering documents, [317](#)
 - Passport application acceptance service, [422.22](#)
 - Prohibitions, [315](#)
 - Public accessibility and sale, [318](#)
 - Responsibilities, [313](#)
 - Types, [312](#)
- Post office boxes, Installation of additional boxes, [516.2](#)
- Post office functions, [12](#)
- Postal emergencies, losses and offenses, [22](#)
 - Assaults, [228](#)
 - Burglaries, [227](#)
 - Foreign asset control, [229.2](#)
 - General reporting requirements, [221](#)
 - Money laundering control, [229.1](#)
 - Nonemergencies and routine losses and offenses, [221.6](#)
 - Offenses reported by memorandum, [224](#)
 - Offenses reported by telephone, [222](#)
 - Other situations, [225](#)
 - Robberies, [226](#)
 - Situations requiring special actions, [223](#)
- Postal equipment. See [Equipment. See also Facilities](#)
- Postal equipment maintenance
 - Equipment overhaul, [534.23](#)
 - Repair and rebuild of assemblies, [534.22](#)
 - Repair and replacement guidelines, [534.3](#)
 - Repair parts, [534.2](#)
 - Repair parts stockage, [534.24](#)
 - Types of equipment, [534.1](#)
- Postal exhibits, [334](#)
- Postal History, [68](#)
- Postal Inspection Service
 - Identification security, [277.25](#)
 - Keys, [273.43](#)
 - Legislative, executive relations, [339.25](#)
 - Local media relations, [339.24](#)
 - Locks, [273.42](#)
 - Policy, [339.21](#)
 - Procedures, [339.23](#)
 - Responsibility, [339.22](#)
 - Security clearances, [272.332](#)
 - Telecommunications, [873](#)
- Postal managers, Material management, [732.4](#)
- Postal organization
 - Authority and responsibilities, [11](#)
 - Post office functions, [12](#)
- Postal policy inquiries, [338.3](#)
- Postal Rate Commission, [45](#)
 - Inquiries about postal policy, [453](#)
 - Policy, [451](#)
 - Responsibilities, [452](#)
- Postal Service
 - American Red Cross and, [461](#)
 - Carrier Alert program, [463](#)
 - Cooperation and support with federal agencies, [423](#)
 - Disposal of excess real property, [517.1](#)
 - Emergency coordinator, [284.1](#)
 - Flags, [47](#)
 - GSA facility agreement, [516.24](#), [517.2](#), [517.5](#), [517.6](#)
 - GSA maintenance agreement, [533.11](#)
 - GSA space in Postal Service-controlled buildings, [517.4](#)
 - Migratory bird hunting and conservation stamp program, [422.4](#)
 - Passport application acceptance program, [422.2](#)

- Postal Rate Commission, [45](#)
 - Quality, [65](#)
 - Reimbursable services, [517.8](#)
 - Relations with private agencies, [46](#)
 - Services provided, [42](#)
 - Stamp Services, [64](#)
 - Supporting operations, [62](#)
 - Technology, [61](#)
 - Utilities contract, [542.22](#)
 - Web site, [362](#), [613.3](#)
 - Postal Service Corporate Library, [67](#)
 - Posters, Workroom, [344.3](#)
 - Postmaster general
 - Appointment, [111.511](#)
 - Authority of, [112.11](#)
 - Emergency preparedness, [286.1](#)
 - Extent of powers, [111.513](#)
 - Responsibilities, [111.512](#)
 - Postmasters
 - Absence from office, [123](#)
 - Emergency preparedness planning responsibilities, [284.4](#)
 - Hours of duty, [122](#)
 - Identification card, [277.232](#)
 - Responsibilities, [121](#)
 - POW-MIA flag display, [476](#)
 - Predictive maintenance for equipment, [531.31](#)
 - Preventive maintenance for equipment, [531.31](#)
 - Printing, copying, and duplicating
 - Acquiring equipment, [372.3](#)
 - Acquiring services, [372.2](#)
 - Business cards, [374](#)
 - Commercial field printing, [373.3](#)
 - Copyrights, [371.5](#)
 - Definitions, [371.4](#)
 - Equipment authorized, [372.12](#)
 - Equipment replacement criteria, [372.4](#)
 - Paper standards, [371.641](#)
 - Policies, [371.2](#)
 - Procurement, [373.22](#)
 - Requisitioning, [373.23](#)
 - Responsibilities, [371.3](#)
 - Restrictions, [371.6](#)
 - Scope, [371.1](#)
 - Printing Purchasing, [371.32](#)
 - Prisoners, Mail security, [274.96](#)
 - Private agencies, Relations with Postal Service, [46](#)
 - Private property. See [Property damage](#)
 - Procedural irregularities, Reporting, [224.3](#)
 - Production and Distributing, [734.2](#)
 - Property damage
 - Accident investigations, [252.11](#)
 - Processing reports and claims, [254.1](#), [254.2](#)
 - Public communication
 - Community relations, [333](#)
 - Corporate communications, [337](#)
 - Executive communications, [336](#)
 - Inspection organizations, [339](#)
 - Legislative, executive relations, [338](#)
 - Marketing communications, [335](#)
 - Policy, [331.1](#)
 - Postal exhibits, [334](#)
 - Public/media relations, [332](#)
 - Responsibility, [331.2](#)
 - Public meetings, [518.234](#)
 - Publications
 - Area employee newsletters, [342.2](#)
 - Free publications, [318.3](#)
 - National employee publications, [342.1](#)
 - Policy and procedure documents, [317](#)
 - Public/media relations, [332](#)
 - Puerto Rico
 - Excise tax collection, [274.95](#)
 - Mail security, [274.922](#)
 - Purchasing
 - Approval Authority, [722.23](#)
 - Authority and Transaction Limit, [722.22](#)
 - Delegations of Authority, [722.2](#)
 - From Employees and Their Immediate Families, [722.4](#)
 - Local Buying Authority, [722](#)
 - Prohibited Purchases, [722.31](#)
 - Restricted Purchases, [722.32](#)
- Q**
- Quality
 - Core process support, [653.2](#)
 - Development and benchmarking, [653.1](#)
 - Enabling support, [653.3](#)
 - Leadership and major programs support, [653.4](#)
 - Policy, [651](#)
 - Responsibility, [652](#)
 - Sales and marketing support, [653.5](#)
- R**

Index

- Randolph-Sheppard Act Amendments of 1974, Compliance with, [518.3](#)
- Real property management, [517](#)
- Recycled paper, [371.642](#)
- Registered marks, [371.531](#)
- Release of information, [338.6](#), [339.253](#)
- Rent for facilities, [517.22](#)
- Rental agreements, [533.42](#)
- Rented facilities. See [Leased facilities](#)
- Repair and alteration programs, [516](#), [533.6](#)
- Requisitions
 - Justification, [273.532](#)
 - Procedure, [273.531](#)
- Responsibilities. See [Authority and Responsibilities](#)
- Rewards, [212.2](#)
- Riots. See [Demonstrations, riots, or picketing, 223.1](#)
- Robberies
 - Actions after robbery, [226.3](#)
 - Actions during robbery, [226.2](#)
 - Preventive measures, [226.1](#)
 - Reporting, [222.2](#)
- Rubbish, Removal, [535.21](#)
- S**
- Safety. See also [Security](#)
 - Equipment maintenance, [531.23](#)
 - Facilities management, [513.2](#)
 - Facility design standards, [519.4](#)
 - General, [733.21](#)
 - Hazardous commodities, [733.22](#)
 - Security, [733.23](#)
 - Specialized Security Devices, [733.24](#)
- Sales support, [653.5](#)
- Security
 - Authorizations, [271.4](#)
 - Employees, [271.6](#)
 - Employees' personal mail, [271.64](#)
 - Examination and inspection of postal property, [271.5](#)
 - Facilities evaluation, [518.6](#)
 - Facility security, [273](#), [513.2](#)
 - Firearms security, [276](#)
 - General responsibilities, [271](#)
 - Identification security, [277](#)
 - Mail security, [274](#)
 - Personnel security clearances, [272](#)
 - Physical ADP security, [275](#)
 - Storage and Handling, [733.21](#)
- Security clearances
 - Clearances for individuals under service contracts, [272.3](#)
 - Denial or revocation, [272.23](#)
 - Exceptions, [272.26](#)
 - Hiring and accession requirements, [272.4](#)
 - Interim sensitive clearances, [272.24](#)
 - National security positions, [272.221](#)
 - Nonsensitive clearance, [272.21](#)
 - Public trust positions, [272.222](#)
 - Sensitive clearance, [272.22](#)
 - Updating sensitive clearances, [272.25](#)
- Security containers and safe equipment
 - Description, [273.512](#)
 - Exception, [273.513](#)
 - General, [273.511](#)
- Security control officers
 - Designation, [271.33](#)
 - Duties, [271.34](#)
 - Policy, [271.31](#)
 - Responsibilities, [271.32](#)
- Security counter lines, [273.3](#)
- Security force, [273.14](#)
- Security reviews, [271.341](#)
- Self-service postal equipment, [531.74](#)
- Semipostal stamps, [646](#)
 - Breast cancer research stamp, [646.31](#), [646.61](#)
 - Definitions, [646.1](#)
 - Domestic Violence Program stamp, [646.33](#), [646.63](#)
 - Heroes stamp, [646.32](#), [646.62](#)
 - Offset of costs, [646.2](#)
 - Payments from sales, [646.3](#)
 - Reporting and estimating costs, [646.4](#)
 - Sales periods, [646.6](#)
- Senior vice president, Operations, [622.2](#)
- Sensitive clearances, [271.345](#)
- Sensitive information, Security, [827](#)
- Sensors, Facility security, [273.2](#)
- Service contracts, Security clearances, [272.3](#)
- Service marks, [371.53](#)
- Site Review Committee, [518.236](#)
- Snow removal, [535.23](#)

- Software, hardware acquisition
 - Corporate licenses, [862.11](#)
 - Responsibilities, [862.12](#)
 - Software modification orders, [531.624](#)
 - Space. See [Facilities, 51](#). See also [Equipment](#)
 - Stamp Development
 - Citizens' Stamp Advisory Committee, [642.23](#)
 - Functions, [641.2](#)
 - Licensing, [642.24](#)
 - Pictorial postmarks, [645.24](#)
 - Planning, [642.22](#)
 - Right of publicity, [642.24](#)
 - Stamp Services
 - Semipostal stamps, [645.29](#)
 - Stamp Acquisition and Distribution, [643](#)
 - Stamp Development, [642](#)
 - Stamp Fulfillment Services, [644](#)
 - Stamp Products and Exhibitions, [645](#)
 - Stamps
 - Acquisition, [643](#)
 - Commemorative, [644.2](#), [644.23](#), [645.22](#)
 - Distribution, [643.22](#)
 - Duck stamps, [422.4](#)
 - Planning, [642.22](#)
 - Reporting offenses, [222.7](#)
 - Sales, [644644](#)
 - Semipostal stamps, [646](#)
 - Stamp archives, [645.25](#)
 - Stamp services, [64](#)
 - Subscription programs, [645.23](#)
 - Standard forms (SF), [322.22](#)
 - Stationery, Printing prohibitions, [371.654](#)
 - Storage space, Alterations, [533.323](#)
 - Strategic Technology Planning
 - Information Platform, [612.2](#)
 - Responsibility, [612.1](#)
 - Subscription programs, Stamps, [645.23](#)
 - Supplies Material Management, [734.3](#)
 - Supply Management
 - Assistance, [722.65](#)
 - Cleaning services, [722.7](#)
 - Competition, [722.62](#)
 - Documentation and Reconciliation, [722.64](#)
 - Local buying authority, [722](#)
 - Payment, [722.63](#)
 - Procedures, [722.6](#)
 - Prohibited purchases, [722.31](#)
 - Purchases from employees and their family members, [722.42](#)
 - Purchasing Manual*, [721](#)
 - Questionable purchases and misuse, [722.5](#)
 - Restricted purchases, [722.32](#)
 - Service Centers managers, [732.1](#)
 - Standards of ethical conduct, [722.41](#)
 - Supply Management Operations
 - Asset Management, [733.31](#)
 - Asset Tracking, [733.312](#)
 - Capital Equipment Material Management, [734.3](#)
 - Cataloging, [734.32](#)
 - District Material Management Specialists, [732.2](#)
 - Hazardous Commodities, [733.222](#)
 - Investment Recovery, [733.32](#)
 - Inventory Positioning, [733.5](#)
 - Manager, [731.2](#)
 - Material Accountability Officers, [732.3](#)
 - Materials Service Centers, Managers, [732.1](#)
 - National Supply Management Programs, [734.1](#)
 - Policy Authority, [731](#)
 - Production and Distribution, [734.2](#)
 - Safety, [733.22](#)
 - Security, [733.23](#)
 - Stockroom Management, [733.6](#)
 - Supplies Material Management, [734.3](#)
 - Transportation, [733.4](#)
 - Support equipment, Maintenance, [534.14](#)
 - Support services
 - Quality, [65](#)
 - Stamp services, [64](#)
 - Supporting operations, [62](#)
 - Technology, [61](#)
 - Supporting operations
 - Delivery and Retail, [622.4](#)
 - Network Operations Management, [622.5](#)
 - Operations, [622](#)
 - Operations planning, [622.3](#)
 - Policy, [621](#)
- T**
- Technology
 - Electronic commerce, [613](#)
 - Engineering, [615](#)
 - Policy, [611](#)

Index

- Quality role, [614](#)
- Strategic Technology Planning, [612](#)
- Telecommunications
 - District manager, [873.72](#)
 - Funding, [873.12](#), [873.22](#), [873.32](#), [873.43](#), [873.62](#)
 - Information systems manager, [873.73](#)
 - Local area network, [873.2](#)
 - Postal Inspection Service, [873.75](#)
 - Remote access, [873.3](#)
 - Telecommunications coordinator, [873.74](#)
 - Telephony/voice, [873.4](#)
 - Wide area network, [873.1](#)
 - Wireless devices and services, [873.5](#)
- Telephones
 - Relocation costs, [517.642](#)
- Temporary employee badge, [277.234](#)
- Temporary (X) forms, [322.12](#)
- Terminal inspections, Mail security, [274.923](#)
- Thefts, Reporting, [222.2](#)
- Threats
 - Reporting, [222.4](#)
 - Security control officers, duties, [271.342](#)
- Tort claims
 - Accident investigation, [252](#)
 - Accident investigators, [252.2](#)
 - Accidents in leased quarters, [254.5](#)
 - Administrative claims, [253.1](#)
 - Claims procedures, [253.2](#)
 - General Services Administration, [251.4](#)
 - Preparing reports and claims, [253.1](#), [253.2](#)
 - Processing administrative claims, [253](#)
 - Processing reports and claims, [254](#)
 - Responsibilities, [251.1](#)
 - Serious accidents, [254.1](#)
- Tours, [333.5](#)
- Trademarks, [371.53](#)
- Trademarks and copyrights, [333.647](#), [661](#), [662](#)
 - Commercial use, [663.22](#)
 - Consistent with branding, [333.647](#), [661](#), [663.1](#)
 - Fair use, [663.31](#)
 - Federal government use, [663.416](#)
 - Fees and Fee exceptions, [663.41](#)
 - Filming, [663.23](#)
 - Nonprofit and personal use, [663.21](#)
 - Uses requiring permission, [663.2](#)
 - Uses that do not require permission, [663.3](#)
- Training areas, [533.324](#)
- Transmittal letters, Audits reports, [243.11](#)
- Transportation costs, [733.41](#)
- Travel and Admittance Identification Credential Card, [277.221](#)
- Travel expenses, Citizens' Stamp Advisory Committee, [642.236](#)
- U**
 - Unauthorized individuals, Facility security, [273.131](#)
 - Undeliverable mail, [338.42](#)
 - United States Postal Service, Establishment of, [111.1](#)
 - U.S. flags
 - For burial, [474](#)
 - Display, [472](#)
 - Maintenance and supply, [473](#)
 - U.S. Virgin Islands
 - Customs inspection, [274.944](#)
 - Excise tax collection, [274.95](#)
 - USPS Building Pass, [277.212](#)
 - Utilities
 - Acquiring service, [542.2](#)
 - Billing and payment, [542.414](#)
 - Definition, [542.11](#)
 - Existing facilities, [542.13](#)
 - GSA contract, [542.21](#)
 - Local buying, [542.22](#)
 - New facilities, [542.12](#)
 - Postal Service contract, [542.411](#)
 - Processing changes, [542.4](#)
 - Requesting rate surveys, [542.3](#)
- V**
 - Vacant facilities, [533.414](#)
 - Protection of, [517.13](#)
 - Vault equipment, [273.5](#)
 - Vehicle fuel, Purchasing, [544](#)
 - Veterans, U.S. burial flags, [474.11](#)
 - Vice presidents
 - Area Operations, [246.1](#), [284.2](#)
 - Operations, [622.2](#)
 - Supply Management, [731.1](#)
 - Visitor access control badge, [277.235](#)
- W**
 - Warehouse Management, [733.6](#)
 - Web-based communications, [36](#)
 - Window cleaning, [535.23](#)

Withdrawal of mail privileges

False representation and lottery orders, [231](#)

Fictitious name or address orders, [232](#)

Workers' compensation

Reporting offenses, [222.6](#)

Responsibilities, [222.61](#)

Types of fraud and abuse, [222.62](#)

Warning signals, [222.63](#)

Workroom access

Compliance, [273.123](#)

Door locks, [273.122](#)

Limitations, [273.121](#)

Workroom posters, [344.3](#)

World Wide Web-based communications, [36](#)