

# 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 January 31, 2021, with the following:

<b>This chapter, subchapter, part, or section...</b>	<b>titled...</b>	<b>was updated to...</b>	<b>in <i>Postal Bulletin</i> issue number...</b>	<b>with an issue/ effective date of...</b>
<b>Chapter 1, Postal Organization</b>				
111.652	Headquarters Field Units	include reporting relationships for mail recovery centers and customer Contact Management.	22046	3-22-2001
112.4	Use of Signature Devices	add new section.	22056	8-9-2001
112.41	Use of Signature Devices and Digital Signature Technology	revise title.	22496	6-21-2018
	General	introduce digital signature technology for use in the Postal Service. User accounts for approved digital signature technology are authorized and monitored within eAccess.	22496	6-21-2018
112.42	Policy	introduce digital signature technology and its applicability when a handwritten signature is required to bind the Postal Service for such actions as executing contracts, interagency agreements, strategic initiatives, or sales agreements; and may also be used to denote signature and approval of other types of documents.	22496	6-21-2018
112.431	Signature Devices Covered	revise title.	22496	6-21-2018

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112.432	Digital Signature Technology	define the term “digital signatures” and allows for the use of Postal Service approved digital signature technologies. It also notes that, unlike signature devices, only the authenticated individual may use digital signature technologies for their signature purposes. The last paragraph was moved to 112.42, <i>Policy</i> .	22496	6-21-2018
112.441	Officers, Executives, and Managers	add the responsibility to authorize access for digital signature technology user accounts through eAccess to the officer, executive and manager roles.	22496	6-21-2018
112.443	Chief Information Officer	include the newly titled section 112.432, <i>Digital Signature Technology</i> in the Chief Information Officer’s approval process. Implementation of any digital signature technology for use in the Postal Service must be tested and approved by the CIO organization.	22496	6-21-2018
112.452	Delegate a Signature Device Authority	revise title.	22496	6-21-2018
112.47	Procedures for Managing Use of Digital Signature Technology	add a new section that describes how to obtain a digital signature user account.	22496	6-21-2018
122	Hours of Duty	revise all sections to include provisions to RMPOs and PTPOs relating to changes to the hours of service and staffing of retail units previously classified as EAS Level 16 or below Post Offices.	22344	8-23-2012
122.1	Full-Time Offices	clarify that a postmaster relief/ leave replacement or other designee may be scheduled to provide service during hours of the service week when a postmaster is scheduled to work or is working at another Post Office™, in addition to other circumstances specified in ASM 122.1.	22325	12-1-2011

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<b>Chapter 2, Audits and Investigations</b>				
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	■ reflect organizational and technological changes and to ensure that updated cross references are included. ■ delete reference to "mailgram messages".	22125	4-1-2004
		revise items c and d.	22258	5-7-2009
		to properly identify international mail categories sealed and not sealed against inspection.	22452	10-13-2016
		change the name of Standard Mail service to USPS Marketing Mail service.	22472	7-20-2017
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
24	Audits	revise entire section.	N/A	1-1-2009
		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
241.4	Authority of Office of Inspector General	Clarify where the OIG gets its authority.	N/A	05/02/2013
241.5	Standards of Office of Inspector General	Reflect a change in the name of a council.	N/A	05/02/2013
241.8	Corporate Audit and Response Management	Reflect a change in who CARM reports to.	N/A	05/02/2013
242.2	Organization of Office of Audit	Clarify and revise how the OIG conducts audits.	N/A	05/02/2013

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242.3	Procedures of Office of Inspector General	Add how survey notices are issued.	N/A	05/02/2013
243.12	Response from Management	Reflect a minor change in regards to monetary or non-monetary impacts, instead of findings.	N/A	05/02/2013
244	Audit Resolution Process and Unresolved Recommendations	Reflect audit resolution process.	N/A	05/15/2020
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
271.2	Installation Heads	include information about the Vulnerability and Risk Assessment Tool.	N/A	05-15-2020
271.341	Security Reviews	revise security procedures.	22165	10-13-2005
		provide information about the vulnerability and risk assessment tool for security reviews.	N/A	10-30-2018
271.345	Sensitive Clearance	delete items b and c and renumber item d as item b.	22165	10-13-2005
272	Personnel Security Clearances	revise personnel security policy of the Postal Service in several sections effective October 1, 2012.	N/A	10-1-2012
272.11	Policy	reflect the changes to the wording for "sex" discrimination to be consistent with the Supreme Court Decision issued, June 2020.	N/A	1-31-2021
272.12	Responsibility	remove the "Top Secret" designation for clearance.	N/A	1-22-2015
		reflect current changes in policy for personnel security clearances.	22426	10-15-2015
272.21	(Reserved)	revise the policies for personnel security clearances.	22479	10-26-2017
272.212	Processing Requirements for Single Scope Background Investigations	include PS Form 2181-D, <i>Disclosure and Release for Consumer Reports</i> , in the processing requirements for background investigations.	22451	9-29-2016

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272.221	Public Trust Positions — Background Investigation — High Risk	include PS Form 2181-D, <i>Disclosure and Release for Consumer Reports</i> , in the processing requirements for background investigations.	22451	9-29-2016
272.222	Public Trust Positions — Background Investigation — Moderate Risk	include PS Form 2181-D, <i>Disclosure and Release for Consumer Reports</i> , in the processing requirements for background investigations.	22451	9-29-2016
272.23	Low-Risk Position Investigation Requirements	delete any reference to the Office of Personnel Management.	22391	6-12-2014
272.231	National Agency Check with Inquiries — Low Risk	state how NACI investigations are initiated.		
272.232	Special Agency Check with Inquiries — Low Risk	state how SACI investigations are initiated.		
272.24	Tier 3 (Access National Agency Check with Inquiries) Background Investigation	revise the policies for personnel security clearances.	22479	10-26-2017
272.241	General	revise the policies for personnel security clearances.	22479	10-26-2017
272.242	Positions Requiring Secret Clearance	revise the policies for personnel security clearances.	22479	10-26-2017
272.243	Tier 3 Investigation Components	revise the policies for personnel security clearances.	22479	10-26-2017
272.244	Tier 3 Processing Requirements	revise the policies for personnel security clearances.	22479	10-26-2017
272.245	Tier 3 Reinvestigations	revise the policies for personnel security clearances.	22479	10-26-2017
272.25	Tier 5 (Single Scope) Background Investigation	revise the policies for personnel security clearances.	22479	10-26-2017
272.251	General	revise the policies for personnel security clearances.	22479	10-26-2017
272.252	Positions Requiring Top Secret Clearance	revise the policies for personnel security clearances.	22479	10-26-2017
272.253	Tier 5 Investigation Components	revise the policies for personnel security clearances.	22479	10-26-2017
272.254	Tier 5 Processing Requirements	revise the policies for personnel security clearances.	22479	10-26-2017
272.255	Tier 5 Reinvestigations	revise the policies for personnel security clearances.	22479	10-26-2017
272.26	Continuous Evaluation Investigations	revise the policies for personnel security clearances.	22479	10-26-2017
272.27	Evaluation Criteria for National Security Adjudicative Decisions	revise the policies for personnel security clearances.	22479	10-26-2017
272.28	Clearance or Investigation Requirements	revise the policies for personnel security clearances.	22479	10-26-2017

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272.281	Risk Assessment Determines Clearance or Investigation Requirement	revise the policies for personnel security clearances.	22479	10-26-2017
272.282	Clearance or Investigation Requirement in Qualification Standards	revise the policies for personnel security clearances.	22479	10-26-2017
272.283	Employee Placement in a Position With a Higher Clearance or Investigation Requirement	revise the policies for personnel security clearances.	22479	10-26-2017
272.284	Review and Processing of Clearance or Investigation Request	revise the policies for personnel security clearances.	22479	10-26-2017
272.285	Granting a Suitability Determination (Background Investigation — High Risk or Moderate Risk)	revise the policies for personnel security clearances.	22479	10-26-2017
272.34	Denial Reconsideration for National Security Clearances	revise the policies for personnel security clearances. Add new 272.34 and renumber current sections 272.34 and 272.35 to new 272.35 and 272.36.	22479	10-26-2017
272.35	Reinvestigations of Background Investigations — High Risk, Moderate Risk, and Single Scope Background Investigations	include PS Form 2181-D, <i>Disclosure and Release for Consumer Reports</i> , in the processing requirements for background investigations.	22451	9-29-2016
272.432	Non-Sensitive Background Investigation	include PS Form 2181-D, <i>Disclosure and Release for Consumer Reports</i> , in the processing requirements for background investigations.	22451	9-29-2016
272.433	Sensitive Background Investigation	include PS Form 2181-D, <i>Disclosure and Release for Consumer Reports</i> , in the processing requirements for background investigations.	22451	9-29-2016
273.113	Facility Security Surveys	include information about the Vulnerability and Risk Assessment Tool.	N/A	5-15-2020
273.114	Remediation of Facility Security Surveys	add new information about remediation of facility security surveys.	N/A	5-15-2020
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

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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	identify persons authorized to open, search, and read mail for purposes of enforcing export and assets control laws and update references to the former U.S. Customs Service, which has since been renamed U.S. Customs and Border Protection.	22311	5-19-2011
		revise title to Workroom and Restricted Area Access and update security procedures.	22165	10-13-2005
274.21	Mail Sealed Against Inspection	add OIG special agent.	N/A	3-15-2020
		set out the processes and procedures for the determination of when mail matter coming into the possession and/or control of the Inspection Service may be deemed abandoned or unclaimed, and therefore “dead.”	22428	11-12-2015
		identify persons authorized to open, search, and read mail for purposes of enforcing export and assets control laws and update references to the former U.S. Customs Service, which has since been renamed U.S. Customs and Border Protection.	22311	5-19-2011

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274.231	Mail Sealed Against Inspection	identify persons authorized to open, search, and read mail for purposes of enforcing export and assets control laws and update references to the former U.S. Customs Service, which has since been renamed U.S. Customs and Border Protection.	22311	5-19-2011
		revise item b.	22258	5-7-2009
		delete reference to "mailgram messages."	22192	10-26-2006
		reflect changes in the procedures for screening and search of international mail.	22138	9-30-2004
		to properly identify international mail categories sealed and not sealed against inspection.	22452	10-13-2016
		change the name of Standard Mail service to USPS Marketing Mail service.	22472	7-20-2017
274.232	Mail Not Sealed Against Inspection	revise DMM references.	22196	12-21-2006
		revise item b.	22258	5-7-2009
		to properly identify international mail categories sealed and not sealed against inspection.	22452	10-13-2016
		change the name of Standard Mail service to USPS Marketing Mail service.	22472	7-20-2017
274.31	Sealed Mail Generally Not Detained	add OIG special agent.	N/A	3-15-2020
		set out the processes and procedures for the determination of when mail matter coming into the possession and/or control of the Inspection Service may be deemed abandoned or unclaimed, and therefore "dead."	22428	11-12-2015
		identify persons authorized to open, search, and read mail for purposes of enforcing export and assets control laws and update references to the former U.S. Customs Service, which has since been renamed U.S. Customs and Border Protection.	22311	5-19-2011
		revise DMM references.	22196	12-21-2006

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274.41	Screening of Mail	identify persons authorized to open, search, and read mail for purposes of enforcing export and assets control laws and update references to the former U.S. Customs Service, which has since been renamed U.S. Customs and Border Protection.	22311	5-19-2011
		reflect changes in the procedures for screening and search of international mail.	22138	9-30-2004
274.5	Disclosure of Information Collected From Mail Sent or Received by Customers	specify policies related to the disclosure of information to customers when resolving a complaint or other customer-service inquiry.	22459	1-19-2017
		account for the disclosure of information or data about a piece of mail outside of the Postal Service.	22429	11-26-2015
		identify persons authorized to open, search, and read mail for purposes of enforcing export and assets control laws and update references to the former U.S. Customs Service, which has since been renamed U.S. Customs and Border Protection.	22311	5-19-2011
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
		account for the disclosure of information or data about a piece of mail outside of the Postal Service, by employees, while performing official duties.	22407	1-22-2015

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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	identify persons authorized to open, search, and read mail for purposes of enforcing export and assets control laws and update references to the former U.S. Customs Service, which has since been renamed U.S. Customs and Border Protection.	22311	5-19-2011
		reflect changes in the procedures for screening and search of international mail.	22138	9-30-2004
274.91	Customs and Border Protection	identify persons authorized to open, search, and read mail for purposes of enforcing export and assets control laws and update references to the former U.S. Customs Service, which has since been renamed U.S. Customs and Border Protection.	22311	5-19-2011
		reflect changes in the procedures for screening and search of international mail.	22138	9-30-2004
274.911	Inbound Mail	add OIG special agent.	N/A	3-15-2020
274.93	Military Postal System	revise DMM references.	22196	12-21-2006
274.944	U.S. Virgin Islands	identify persons authorized to open, search, and read mail for purposes of enforcing export and assets control laws and update references to the former U.S. Customs Service, which has since been renamed U.S. Customs and Border Protection.	22311	5-19-2011
276.22	Possession of Firearms by Postal Service Employees	update policy about possession of firearms.	22499	8-2-2018

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277.1	Purpose	require that Postal Service managers ensure that no part of the employee's social security number is displayed on the employee's photo identification card. This requirement applies to all cards issued after May 31, 2002.	22076	5-16-2002
277.233	Form 4098-F and Employee Identification	require that every postal employee; postal contractor; and temporary employee, including casual employees, have a PS Form 4098-F, Employee Identification (face), or an equivalent photo identification card.	22076	5-16-2002
277.72	Replacement Fee	reflect increased costs to replace photo identification cards and increased use of electromechanical access control badges.	22052	6-14-2001
278	Mail Security During Collection and Delivery	add a new part that includes the guidelines for ordering and deploying Arrow locks and modified Arrow locks.	22080	7-11-2002
286.1	Postmaster General	update the list of persons that succeed the Postmaster General if the Postmaster General is incapacitated by an emergency.	22561	12-3-2021
		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.	22306	3-10-2011
			22154	5-12-2005
			22075	5-2-2002
<b>Chapter 3, Communications</b>				
332.41	Local Media Relations	to include guidance on local media relations for field managers and to add Exhibit 332.41, Template: District Guidelines for Local Media Contacts.	N/A	5-8-2017

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333.647	Public Affairs and Communications, Licensing	■ 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	address new issues that have arisen in recent years regarding employee involvement in community activities, to delete obsolete provisions, to clarify covered activities, to provide relevant examples, to include a revised request form, and to outline the specific processes that field and headquarters employees must follow when seeking official approval of covered activities.	22459	1-19-2017
		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
333.713	Scope	update item 10b to include mention of new PS Form 3333b, <i>Postal Vehicle Request</i> .	N/A	7-31-2020
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
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

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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
363	Social Media	add a new part delineating Postal Service policy concerning social media	22322	10-20-2011
363	Social Media Policy	updated and added to Postal Service policy about social media.	N/A	6-29-2018
363.2	Responsible Use of Social Media	revise policies and procedures for Social Media.	22431	12-24-2015
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	add section to: comply with Title 22 CFR 51.22, Passport Agents and Passport Acceptance Agents. update and clarify passport policy and procedures.	22272	11-19-2009
		delete text of 422.2 through 422.292. designate 422.2 as reserved.	22227	2-28-2008
		revise the passport acceptance service.	22215	9-13-07
		correct the passport acceptance service.	22216	9-27-07

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422.21	Applicability	add relevant excerpts from 22 CFR 51.22.	22272	11-19-2009
422.22	Policy and Procedures	describe policy and procedures for acceptance of passport applications at Post Offices.		
422.23	Rates and Fees	list and describe Department of State (DOS) forms used for processing passport applications and collecting fees.		
422.24	Required Postal Service-Department of State Coordination	show changes in the relationships among Postal Service Districts, Post Offices, and DOS Regional Passport Agency offices.		
422.25	Determining Sites and Establishing Passport Application Acceptance Facilities	<ul style="list-style-type: none"> <li>■ provide guidelines for selecting Postal Service sites that will accept passport applications.</li> <li>■ show that Headquarters, instead of local offices, maintains the Facilities Database and notifies the Regional Passport Agency offices of any changes.</li> </ul>	22272	11-19-2009
422.26	Preparation at Newly Authorized Locations	<ul style="list-style-type: none"> <li>■ provide information about:</li> <li>■ procedures for selecting and setting up new passport acceptance locations and selecting employees to provide passport acceptance services.</li> <li>■ required training for passport acceptance personnel.</li> <li>■ availability of the <i>Passport Agent's Reference Guide</i> (PARG).</li> <li>■ requirements for hours and days of service.</li> </ul>	22272	11-19-2009
422.27	Application Acceptance Guidelines	<ul style="list-style-type: none"> <li>■ provide guidelines for accepting passport applications.</li> <li>■ describe procedures for processing passport fees.</li> </ul>		
422.28	End-of-Day and Individual Clerk Closeout Procedures	describe required paperwork and Postal Service coordination with the DOS.		

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422.29	Reports, Records, Discrepancies, Forms, and Supplies	describe new reporting and record-keeping procedures for Regional Passport Agency offices and acceptance Post Offices.	22272	11-19-2009
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
44	Commercial Advertising Policy	add policy on use of commercial advertisements.	22249	1-1-2009
472.231	Specific Days	clarify the days when the flag is flown half-staff.	22162	9-1-2005
		<ul style="list-style-type: none"> <li>■ clarify the procedures for displaying the U.S. flag at Postal Service facilities on Peace Officers Memorial Day</li> <li>■ correct the text to note that Memorial Day is observed on the last Monday in May.</li> </ul>	22134	8-5-2004
474.22	Correspondence	include reference to Veterans Administration Form 2008, Application for United States Flag for Burial Purposes.	22052	6-14-2001
476.1	Policy	revise the policy on displaying the POW-MIA flag.	22534	12-5-2019

#### **Chapter 5, Facilities and Equipment**

511.1	Responsibilities	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
511.11	Overall	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
511.12	Area Offices	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
511.13	References	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016

<b>This chapter, subchapter, part, or section...</b>	<b>titled...</b>	<b>was updated to...</b>	<b>in <i>Postal Bulletin</i> issue number...</b>	<b>with an issue/ effective date of...</b>
511.211	Handbook F-66 Series	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
511.22	Contracting Authority	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
512.11	Policy	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
512.211	Approval Factors	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
512.212	Long-Range Planning	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
512.231	Preparation	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
512.3	Funding Approval	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
512.4	Facility Activation	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
513.111	Documentation and Requests	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
513.12	Continuing Space in Existing Leased Quarters	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
513.13	Emergency Space	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
513.14	Christmas Space Assistance	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016

<b>This chapter, subchapter, part, or section...</b>	<b>titled...</b>	<b>was updated to...</b>	<b>in <i>Postal Bulletin</i> issue number...</b>	<b>with an issue/ effective date of...</b>
513.2	Security and Safety Management	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
513.3	Procedures for Vacating Facility	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
514.11	General	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
514.12	By Postal Service	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
514.13	By Landlord	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
514.2	Vacating Building	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
515.2	Repairs	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
515.3	Emergency Repairs	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
516.11	Minor Repairs and Alterations	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
516.12	Historically Significant Facilities	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
516.131	Asbestos	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
516.132	Lead-Based Paint	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016

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516.133	Mold	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
516.21	Policy	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
516.231	Relocation	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
516.232	Redesign	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
516.241	General Services Administration — Postal Service Agreement	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
516.242	Other Modifications	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
516.251	Panel Replacement	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
516.252	Submissions	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
516.273	Approvals	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.11	Inventory Review	reflect organizational changes for identification of useable excess space in the building inventory.	22309	4-21-2011
		revise procedures for reporting excess property.	22163	9-15-2005
		reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016

<b>This chapter, subchapter, part, or section...</b>	<b>titled...</b>	<b>was updated to...</b>	<b>in <i>Postal Bulletin</i> issue number...</b>	<b>with an issue/ effective date of...</b>
517.121	Approval and Recommendation	reflect organizational changes for identification of useable excess space in the building inventory.	22309	4-21-2011
		reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.122	Funding	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.23	GSA and Postal Service Relationship	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.31	General	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.321	Procedure	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.323	Specific Requirements	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.33	Reporting Underutilized Space, Buildings, and Land	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.34	Reporting Excess Space, Buildings, and Land	revise procedures for reporting excess and undeveloped space in Postal Service-owned and leased sites.	22351	11-29-12
517.34	Lease of Space to Credit Unions (As Applicable Under the National Labor Agreements)	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.41	Requests from Government Agencies	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.42	Procedure	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016

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517.43	Alterations to Vacant Space	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.44	Initial Tenant Alterations	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.45	Monitor Space Assignments	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.51	Procedure	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.52	Initial Tenant Alterations	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.53	Alterations, Improvements, and Services	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.611	Notification	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.612	Returning Space	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.632	Returning Space	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.641	Moving Expenses	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.642	Communication Lines	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.713	Other	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016

<b>This chapter, subchapter, part, or section...</b>	<b>titled...</b>	<b>was updated to...</b>	<b>in <i>Postal Bulletin</i> issue number...</b>	<b>with an issue/ effective date of...</b>
517.72	Building Services	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.82	Definitions	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.832	Submission	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.834	GSA Form 2957	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.841	Procedure	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
517.842	Unauthorized Use of Space	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
518.2	Community Contact	revise policies and procedures for Community Contact.	22430	12-10-2015
518.21	Purpose	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
518.4	Environmental Review	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
518.5	Compliance With Environmental Laws and Regulations	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
518.6	Security Evaluation	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
518.7	Facility Activation	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
519.11	Policy	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016

<b>This chapter, subchapter, part, or section...</b>	<b>titled...</b>	<b>was updated to...</b>	<b>in <i>Postal Bulletin</i> issue number...</b>	<b>with an issue/ effective date of...</b>
519.221	Policy	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
519.222	Inscription	update plaque inscription for postmaster general.	22052	6-14-2001
		reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
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
519.225	Other Plaques	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
519.31	Policy	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
519.32	Background	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
519.41	Accessibility for Persons with Physical Disabilities	reflect current changes in the processes and procedures related to Postal Service Facilities and Equipment.	22451	9-29-2016
531.24	Maintenance Operating Plan	■ delete the section on the maintenance operation plan.	22203	3-29-2007
		■ 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
<b>Chapter 6, Support Services</b>				
611	Policy	provide the list of services associated with the Postal Service information technology environment.	22140	10-28-2004

<b>This chapter, subchapter, part, or section...</b>	<b>titled...</b>	<b>was updated to...</b>	<b>in <i>Postal Bulletin</i> issue number...</b>	<b>with an issue/ effective date of...</b>
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
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 a and b(1).	22121	2-5-2004
645.55	Other Costs	<ul style="list-style-type: none"> <li>■ revise text of introductory paragraph and items a through h.</li> <li>■ Add item c (6).</li> </ul>	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"> <li>■ change title to <i>Responsibilities of Product Development</i>.</li> <li>■ reflect change in organizational responsibility from the Licensing Group to Product Development.</li> </ul>	22214	8-30-2007
662	Licensing Program	<ul style="list-style-type: none"> <li>■ change title to <i>Licensing</i>.</li> <li>■ reflect change in responsibility from Licensing Group to Product Development.</li> </ul>	22214	8-30-2007
663	Rights and Permissions	add sections (663-663.43), which include organizational responsibilities and policies and procedures for rights and permissions.	22214	8-30-2007

<b>This chapter, subchapter, part, or section...</b>	<b>titled...</b>	<b>was updated to...</b>	<b>in <i>Postal Bulletin</i> issue number...</b>	<b>with an issue/ effective date of...</b>
67	Postal Service Corporate Library	add new section.	22140	10-28-2004
		delete item e.	22335	4-19-2012
68	Postal History	add new section.	22140	10-28-2004
69	Environmental Compliance	add new section.	22377	11-28-2013
694.4	Records Management	update policies related to Fleet Management responsibilities, the role of the Environmental Tool Kit, and the distribution of environmental records.	22461	2-16-2017
694.5	Data Management	update policies related to Fleet Management responsibilities, the role of the Environmental Tool Kit, and the distribution of environmental records.	22461	2-16-2017
695.12	Office of Sustainability	update policies related to Fleet Management responsibilities, the role of the Environmental Tool Kit, and the distribution of environmental records.	22461	2-16-2017
695.14	Facilities Department	update policies related to Fleet Management responsibilities, the role of the Environmental Tool Kit, and the distribution of environmental records.	22461	2-16-2017
695.2	Area Offices, Performance Clusters, and Field Units	update policies related to Fleet Management responsibilities, the role of the Environmental Tool Kit, and the distribution of environmental records.	22461	2-16-2017
695.21	Vice Presidents, Area Operations and Vice President, Delivery Operations	update policies related to Fleet Management responsibilities, the role of the Environmental Tool Kit, and the distribution of environmental records.	22461	2-16-2017
695.22	Area Managers, Operations Support and Manager, Fleet Management	update policies related to Fleet Management responsibilities, the role of the Environmental Tool Kit, and the distribution of environmental records.	22461	2-16-2017

<b>This chapter, subchapter, part, or section...</b>	<b>titled...</b>	<b>was updated to...</b>	<b>in <i>Postal Bulletin</i> issue number...</b>	<b>with an issue/ effective date of...</b>
695.23	District Managers and Managers, Fleet Operations (Region)	update policies related to Fleet Management responsibilities, the role of the Environmental Tool Kit, and the distribution of environmental records.	22461	2-16-2017
<b>Chapter 7, Supply Management</b>				
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. reflect Strategic Plan purpose statement.	22105 22243	6-26-2003 10-9-2008
72	Purchasing	reflect the transition of Purchasing and Materials to Supply Management and the revision of Handbook AS-709. reflect local buying and Purchase card policies and training requirements.	22105 22243	6-26-2003 10-9-2008
721	General	move the paragraph under the section title to new section 721.1.	N/A	1-2011
721.1	Regulations, Policies, and Procedures	add new title to paragraph moved from 721 to create new section 721.1.	N/A	1-2011
721.2	Best Value	add a new section to remind all individuals engaged in the purchasing process that they must follow the policies and procedures contained in the <i>Supplying Principles and Practices</i> and other directives such as management instructions related to purchase methods (competitive and noncompetitive) and other business processes.	N/A	1-2011

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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
722.42	Purchases from Postal Service Employees and Other Sources	state that local buys may not be made from Postal Service employees and other prohibited sources.	22351	11-29-12
722.631	General	update the procedure for miscellaneous payments.	22136	9-2-2004
722.7	Cleaning Services Valued at Less Than \$10,000	change the number of days for submittal of cleaning services form.	N/A	1-1-2009

#### **Chapter 8, Information Resources**

8	Information Resources	revise entire chapter and include reference to IT Web site.	N/A	1-1-2009
		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 in 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
861.22, item b	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

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87	Information Security	<ul style="list-style-type: none"> <li>■ change the title from <i>Security Program</i> to <i>Information Security</i>.</li> <li>■ include the new security policies and organizational responsibilities covering protection of Postal Service information resources.</li> </ul>	22071	3-7-2002
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
<b>Appendix, Privacy Act System of Records</b>				
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 4646  
WASHINGTON DC 20260-1540
- G. **Effective Date.** This revision is effective immediately.

A handwritten signature in black ink, appearing to read "Richard D. Weirich".

Richard D. Weirich  
Vice President  
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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# **1 Postal Organization**

## **11 Authority and Responsibilities**

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### **111 General Organization**

#### **111.1 The United States Postal Service**

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

#### **111.2 Board of Governors**

##### **111.21 Composition**

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

##### **111.22 Responsibilities**

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

#### **111.3 Office of Inspector General**

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

##### **111.31 Responsibilities**

The OIG was established to:

- a. Provide an independent and objective unit to conduct and supervise audits and investigations relating to programs and operations of the Postal Service.

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

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

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

**111.322 Responsibilities**

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

**111.323 Extent of Powers**

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

- a. Have unrestricted access to all Postal Service operations, programs, records, and documents, whether in custody of the Postal Service or available by law, contract, or regulation.
- b. Have direct and prompt access to the governors when necessary for any purpose pertaining to the performance of the functions and responsibilities of the OIG.
- c. Administer oaths when necessary in performance of the functions assigned to the OIG.
- d. Require by subpoena the production of all information, documents, reports, answers, records, accounts, papers, and other data and documentary evidence necessary in the performance of the functions of the OIG.
- e. Select, appoint, and employ such officers and employees as may be necessary for carrying out the functions, powers, and duties of the OIG.
- f. Obtain the temporary or intermittent services of experts or consultants in accordance with applicable laws and regulations.

**111.4 Corporate Officers**

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

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

**111.5 Headquarters Organization****111.51 Postmaster General****111.511 Appointment**

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

**111.512 Responsibilities**

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

**111.513 Extent of Powers**

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

**111.52 Deputy Postmaster General**

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

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

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

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

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

**111.542 Reporting to the Deputy Postmaster General**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**111.55 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 and Digital Signature Technology****112.41 General**

This section provides policy and procedures to establish and manage signature devices and digital signature technologies used in the Postal Service. The policy 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. Only Postal Service-approved digital signature technologies and signature devices may be used to provide signatory authority within the Postal Service. Postal Service officers, executives, and managers authorize and monitor user accounts for digital signature technology within eAccess.

**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 signature reproduction devices may be used to sign various documents within the Postal Service with the exception of contracts, interagency agreements, strategic alliances, sales agreements, and documents that commit the Postal Service to any expenditure.

When a handwritten signature is required to bind the Postal Service, only a Postal Service-approved digital signature technology or traditional ink signature is authorized as the means for such an action, to include the execution of contracts, interagency agreements, strategic alliances, and

sales agreements. An approved digital signature technology may also be used to denote signature and approval of other types of documents within the Postal Service.

To use other signature devices not covered in this policy (see [112.431](#)), or integrate a digital signature technology solution, you must send a request to the Corporate Information Security Office for review and the Chief Information Officer for approval. These devices may include solutions based on biometrics or other devices or technologies that generate a signature and apply it electronically to a document.

#### 112.43 **Scope**

##### 112.431 **Signature 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 **Digital Signature Technology**

Digital signatures are an encrypted digital code appended to an electronic document to verify that it was created by a known source and has not been altered. Use of these technologies ensure authentication, data integrity, and non-repudiation of the individual's signature. As stated in [112.42](#), in addition to traditional ink signatures, only Postal Service-approved digital signature technologies are authorized as a means for executing contracts, interagency agreements, strategic alliances, sales agreements, or documents that commit the Postal Service to any expenditures. Only authorized individuals may use these digital signature technologies for signatory purposes.

#### 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 for the use of signature devices and authorizing eAccess accounts for use of an approved digital signature technology.

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

The Corporate Information Security Office or representative is responsible for approving use of any signature devices not covered in [112.431](#) and new digital signature technology solutions described in [112.432](#).

##### 112.443 **Chief Information Officer**

The Chief Information Officer or representative is responsible for approving use of any signature devices not covered in [112.431](#) and new digital signature technology solutions described in [112.432](#).

**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 and the conditions under which each device will be used, and work with the appropriate CISO personnel to determine the necessary 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 device, 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.

**112.47 Procedures for Managing Use of Digital Signature Technology**

Officers, executives, and managers have the authority to implement within their organizations the use of a Postal Service-approved digital signature technology for the purpose of signing documents. User accounts are authorized and managed through eAccess. The user's account may not be used by or delegated to another user. Managers must review access granted to users under their supervision to ensure that the access is still required by users to perform their duties. The minimum acceptable review schedule is on a semiannual basis; more frequent reviews should be scheduled based on information sensitivity (see Handbook AS-805, *Information Security*, 9-3.2.5, Periodic Review of Access Authorization).

**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 and officers-in-charge (OIC) of full-time offices (EAS-18 and above) are scheduled to work a 40-hour workweek. A typical schedule is set at 8 hours, 5 days a week, Monday through Friday. An OIC or other designee may be scheduled to relieve a postmaster or OIC and to provide service as necessary during hours of the service week when the postmaster is not available.

#### 122.2 Administrative Post Offices

Postmasters of Administrative Post Offices are scheduled to work a 40-hour workweek. A typical schedule is set at 8 hours, 5 days a week, Monday through Friday. An Administrative Post Office is a Post Office that has administrative control or responsibility over a contractor-operated retail facility, classified station or branch, or a Post Office. An OIC or other designee may be scheduled to relieve a postmaster or OIC and to provide service as necessary during the service week.

#### 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 Remotely Managed Post Offices

Employees of Remotely Managed Post Offices (RMPOs) work up to a 6-day service week, Monday through Saturday. An RMPO offers part-time window service hours, is staffed by a Postal Service employee, and is managed by a postmaster domiciled at the Administrative Post Office. Daily total hours of

service at RMPOs are determined by the earned workload of the RMPO. Saturday retail window service hours offered at an RMPO are based on the postal needs of a particular community (see Handbook PO-209, and the *Postal Operations Manual* 126.4) as follows:

Level 2 2 hours per day

Level 4 4 hours per day

Level 6 6 hours per day

#### 122.4 **Part-Time Post Offices**

Employees of Part-Time Post Offices (PTPOs) work up to a 6-day service week, Monday through Saturday. A PTPO offers part-time window service hours, is staffed by a Postal Service employee, and reports to a district office. A PTPO offers 6 hours of retail window service daily on Monday through Friday. Saturday retail window service hours offered at a PTPO are based on the postal needs of a particular community (see also Handbook PO-209 and POM 126.4).

### 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.

# **2 Audits and Investigations**

## **21 General**

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### **211 Authority**

#### **211.1 Responsibility**

##### **211.11 Inspector General**

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

##### **211.12 Chief Inspector**

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

##### **211.13 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 mail* is mail that 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. Sealed mail includes the following:
  - (1) First-Class Mail® items.
  - (2) Priority Mail® items.
  - (3) Priority Mail Express® items.
  - (4) Global Express Guaranteed® (GXG®) items that contain only documents.
  - (5) Priority Mail Express International® items.
  - (6) Outbound Single-Piece First-Class Mail International® items.
  - (7) Outbound Single-Piece First-Class Package International Service® items
  - (8) International Priority Airmail® (IPA®) items, excluding IPA M-bags.
  - (9) International Surface Air Lift® (ISAL®) items, excluding ISAL M-bags.
  - (10) Global Bulk Economy (GBE) items, excluding M-bags.
  - (11) International transit mail.
- d. *Unsealed mail* is mail that 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. Unsealed mail includes the following:
  - (1) Periodicals items.
  - (2) USPS Marketing Mail™ (Commercial and Nonprofit) items.
  - (3) Package Services items.
  - (4) Incidental First-Class Mail® attachments or enclosures mailed under DMM 703.9.
  - (5) Parcel Select® items.
  - (6) Parcel Return Service items.
  - (7) First-Class Package Service® items.
  - (8) USPS Retail Ground items.
  - (9) GXG® items that contain nondocuments.
  - (10) Outbound Priority Mail International® items.
  - (11) International Direct Sacks — M-bags.
  - (12) Items sent via “Free Matter for the Blind or Other Physically Handicapped Person” under 39 U.S.C. §§ 3403 and “Free Matter for the Blind” under IMM 270.
- 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><b>Divisions:</b> Mid-Atlantic, Newark, New York Metro, Northeast, Philadelphia Metro, San Juan, Washington Metro, Western Allegheny (Pittsburgh only) Newark ISOSG processes all Foreign/International complaints, Chain Letters, Multi-Level Marketing (MLM) and Publication Monitoring.</p> <p><b>Inclusive ZIP Codes:</b> 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><b>Divisions:</b> Gulf Coast, Miami, Michiana, Midwest, Northern California, Northern Illinois, Northwest, Rocky Mountain, Southeast, Southern California, Southwest, Tampa, Western Allegheny (except Pittsburgh)</p> <p><b>Inclusive ZIP Codes:</b> 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**

<b>1. CINCINNATI DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE 895 CENTRAL AVE STE 400 CINCINNATI OH 45202-5748	<b>13.PHILADELPHIA METRO DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 7500 PHILADELPHIA PA 19101-9000
<b>2. FLORIDA DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE 3400 LAKESIDE DR 6TH FL MIRAMAR FL 33027-3242	<b>14.ROCKY MOUNTAIN DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE 1745 STOUT ST STE 900 DENVER CO 80202-3034
<b>3. GULF COAST DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 1276 HOUSTON TX 77251-1276	<b>15.ST PAUL DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 64558 ST PAUL MN 55164-0558
<b>4. MICHIGAN DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 330119 DETROIT MI 48232-6119	<b>16.SAN JUAN DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 363667 SAN JUAN PR 00936-3667
<b>5. MID-ATLANTIC DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 3000 CHARLOTTE NC 28228-3000	<b>17.SOUTHEAST DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 16489 ATLANTA GA 30321-0489
<b>6. MIDWEST DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE 1106 WALNUT ST ST LOUIS MO 63199-2201	<b>18.SOUTHERN CALIFORNIA DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 2000 PASADENA CA 91102-2000
<b>7. NEWARK DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 509 NEWARK NJ 07101-0509	<b>19.SOUTHWEST DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 162929 FT WORTH TX 76161-2929
<b>8. NEW YORK METRO DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 555 NEW YORK NY 10116-0555	<b>20.TAMPA DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 22526 TAMPA FL 33622-2526
<b>9. BOSTON DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE 495 SUMMER ST STE 600 BOSTON MA 02210-2114	<b>21.WASHINGTON METRO DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 96096 WASHINGTON DC 20066-6096
<b>10.NORTHERN CALIFORNIA DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 882528 SAN FRANCISCO CA 94188-2528	<b>22.WESTERN ALLEGHENY DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE 1001 CALIFORNIA AVE PITTSBURGH PA 15290-9000
<b>11.NORTHERN ILLINOIS DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE 433 W HARRISON ST RM 50190 CHICAGO IL 60669-2201	<b>23.HEADQUARTERS</b> UNITED STATES POSTAL INSPECTION SERVICE 475 L'ENFANT PLAZA SW WASHINGTON DC 20260-2100
<b>12.NORTHWEST DIVISION</b> UNITED STATES POSTAL INSPECTION SERVICE PO BOX 400 SEATTLE WA 98111-4000	

**221.12    Office of Inspector General**

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

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

Telephone: 888-USPS-OIG (888-877-7644)  
Fax: 703-248-2259  
e-mail: [Hotline@uspsoig.gov](mailto:Hotline@uspsoig.gov)

**221.2    Emergencies**

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

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

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

**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      Assualts 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**

<b>Loss or Offense</b>	<b>Action Required</b>
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 <a href="http://www.usps.com/postalinspectors">www.usps.com/postalinspectors</a> .
Military mail — loss or rifling	Call 800-ASK-USPS or enter the information online at <a href="http://www.usps.com/postalinspectors">www.usps.com/postalinspectors</a> .
Parcels — rifling	Submit Form 673, <i>Report of Rifled Parcel</i> .
Customer complaints of mail theft after delivery to mail receptacles	Submit Form 2016, <i>Mail Theft and Vandalism Complaint</i> .
Theft damage (including fire) or destruction of mail receptacles and collection/relay boxes	Submit Form 2016.
Registered, insured, or COD mail found in supposedly empty equipment	Send report by letter to PO of mailing, giving full particulars, for check against index record of claims.
Canal Zone mail — mistreatment	See <i>International Mail Manual</i> (IMM) Chapter 9.
International mail — mistreatment	See IMM Chapter 9.
Accountability discrepancy — shortage or overage of \$100 or more in official accountability of employee or contractor handling Postal Service funds or accountable paper	Submit Form 571, <i>Discrepancy of \$100 or More in Financial Responsibility</i> . Show results of six previous checks of employee's accountability. Notify inspector general if discrepancy is \$100,000 or greater.
Accident claims	See <a href="#">253</a> .
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 do so, station someone outside to wait for the arrival of the police and postal inspectors.*

### 226.32 **Securing Building**

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

### 226.33 **Protecting Evidence**

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

### 226.34 **Recording Witnesses' Descriptions**

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

### 226.35 **Comparing Descriptions**

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

### 226.36 **Handling Media Inquiries**

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

## 227 Burglaries

### 227.1 Preventive Measures

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

- a. Where possible, keep the view of building windows or entrances free from overgrown shrubbery or postal vehicles parked overnight.
- b. Maintain good exterior lighting on the building and parking areas.
- c. Make sure all fencing is in good condition to help prevent unauthorized persons from entering the grounds. Do not store against fences equipment that would make it easier for burglars or vandals to gain entry.
- d. Secure all possible points of entry to offices, including roof openings, air conditioning vents, skylights, and roof access doors.
- e. Look for such items as ladders, poles, trees, fences, dumpsters, and vehicles that a potential burglar might use to gain access to the roof.
- f. Install solid core or metal exterior doors. A good solid door is a primary defense against a burglar; doors with thin wooden or glass panels do not provide adequate protection (see Handbook RE-5, *Building and Site Security Requirements*).
- g. If exterior doors have openings of 1 square foot or more, cover the openings with bars, grating, or burglary-resistant security glass.
- h. Ensure that exterior door hinges are not exposed when the doors are closed so the burglar cannot remove the hinge pins. A simple but effective means of protecting hinges on doors that open outward is to secure the hinges from the inside with a set screw.
- i. Equip all exterior doors, including lookout doors and doors providing access to the workroom, with deadbolt locks, as required by Postal Service regulations.
- j. If your Post Office has swinging vestibule doors, secure the doors with case-hardened steel chains drawn through the holes, and padlock the chains on the inside, if possible. If a Motor Vehicle Service or contract driver delivers mail after closing, the padlock must be placed on the outside. Vestibules with pedestrian doors allow chains to be padlocked on the inside.
- k. Make sure that designated fire exits are not padlocked. Any device or alarm installed to restrict the improper use of egress must be designated and installed so that it cannot, even in case of failure, impede or prevent emergency egress. Consult the National Fire Protection Association (NFPA) Life Safety Code requirements or your safety officer for proper use of locks on exterior doors.
- l. Make sure that keys for retail cabinets or alarm controls are not left in desk drawers or anywhere else a burglar can find them. Issue Postal Service keys to employees only when necessary. Issue building keys only to employees required to open the office in the morning or close the office at night.

- m. Protect windows with grating or wire mesh grills if the windows are less than 10 feet from the ground and are not visible from the street or are in an office susceptible to attack. Install interior locks on operable windows.
- n. Protect parcel drops. Barrel-type parcel drops provide the best defense against unauthorized entry. Steel cages can be built around the inside of the parcel drops, if necessary, to prevent entry by juveniles.
- o. If the Post Office is equipped with an alarm system, make sure it is operational. Periodically check alarm system batteries and replace any that are leaking or corroded. Keep alarm functions and sensor locations on a need-to-know basis and report any alarm malfunctions to the inspector in charge.
- p. Give postal funds maximum protection. Place cash, food coupons, stamp stock, and money order forms in security containers, vaults, burglar resistant chests, or fireproof safes.
- q. If possible, detach wheels from safes so that they cannot be easily removed from the Post Office.
- r. Be sure safes and vaults are fully locked at the end of the day. Give the dial at least two complete turns in each direction.
- s. Do not hide the combination to the safe anywhere in the office such as on calendars or in desk drawers. Only authorized postal employees on a need-to-know basis should have the combination of any security container or safe used to protect postal funds.
- t. Do not leave large amounts of cash in the office overnight. Deposit surplus funds in the bank or prepare a dispatch of the bank deposits as required by current instructions.

## 227.2 **Actions After Burglary**

### 227.21 **Before Entry**

If arriving at work and discovering the Post Office has been burglarized, follow these instructions:

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

### 227.22 **After Entry**

If a burglary is not obvious until after entering the Post Office, follow these instructions:

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

**228 Assaults****228.1 Employees and Customers****228.11 Postal Inspection Service Investigations**

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

**228.12 Prosecution of Assailants**

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

**228.13 Disciplinary Action of Employees**

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

**228.2 Reporting Assaults**

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

**229 Money Laundering and Foreign Asset Controls****229.1 Money Laundering Control****229.11 Policy**

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

**229.12 Responsibilities****229.121 Compliance Officer**

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

- a. Ensuring that postal and contract employees adhere to all aspects of the Bank Secrecy Act.
- b. Implementing and maintaining a national BSA training program.
- c. Ensuring that adequate internal controls and procedures are in place to assist employees in complying with the standard and suspicious

transaction reporting requirements of the law and to detect noncompliance by postal and contract employees.

- d. Referring instances of noncompliance to the appropriate postal manager or supervisor or to the Postal Inspection Service or the OIG for appropriate action.
- e. Reporting instances of postal and contract employee noncompliance and instances of suspicious activity by postal customers to the Department of the Treasury in such format and time frame as the Secretary of the Treasury prescribes.

**229.122 *Postal and Contract Employees***

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

- a. When selling wire transfers and stored value cards for cash equal to or greater than \$1,000 and less than \$3,000 in any combination to the same customer in the same day, completing Form 8105-A, *Funds Transaction/Transfer Report*, with the following information:
  - (1) Purchaser's name.
  - (2) Purchaser's address.
  - (3) Purchaser's photo identification number.
  - (4) Type of photo identification if other than a driver's license.
  - (5) Date of purchase.
  - (6) Dollar amount of purchase.
  - (7) Recipient's name (for wire transfers).
  - (8) Recipient's address (for wire transfers).
  - (9) Transaction number of wire transfer(s) and/or item number of stored value cards purchased.
- b. When selling money orders, wire transfers, and stored value cards for cash equal to or greater than \$3,000 in any combination to the same customer in the same day, completing Form 8105-A with the following information:
  - (1) Items (1) through (8) above.
  - (2) Purchaser's Social Security number (or alien registration or passport number).
  - (3) Purchaser's date of birth.
  - (4) Inclusive serial numbers of money orders purchased, transaction number or wire transfer(s), and/or item number of stored value cards purchased.
- c. Completing a Form 8105-B, *Suspicious Transaction Report (STR)*, for any cash transaction deemed suspicious by the employee, regardless of the dollar amount or type of transaction. Suspicious activity might include frequent and large cash purchases of money orders, wire transfers, or stored value cards or paying for services, such as meter settings and trust funds, with cash rather than company checks.

- d. Never advising customers how to structure purchases in order to avoid having to provide identifying information (photo ID, Social Security number, etc.).
- e. Never selling money orders, wire transfers, and stored value cards for cash totaling \$10,000 or more in any combination to the same customer in the same day, even if the employee completes Form 8105-A for the transaction(s).
- f. Never cashing money orders or paying out wire transfers totaling \$10,000 or more in any combination to the same customer in the same day, even if the employee completes Form 8105-A for the transaction(s).

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

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

**229.13 Training**

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

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

**229.14 Internal Controls**

Supervisors have the following responsibilities:

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

**229.2 Foreign Asset Control**

**229.21 Policy**

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

these laws and regulations. These laws and regulations are found in the following:

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

## 229.22 **Compliance Officer Responsibilities**

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

- a. Ensuring that postal management adheres to all aspects of the laws, including implementing and maintaining program filters for direct service international money order financial transactions and wire transfers, and that adequate internal controls and procedures are in place to ensure compliance by postal and contract employees.
- b. Reporting instances of the freezing of assets to the Office of Foreign Asset Control, Department of the Treasury, in such format and time frame as the Secretary of the Treasury prescribes.

# 23 Withdrawal of Mail Privileges

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## 231 **False Representation and Lottery Orders**

### 231.1 **Issuance**

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

### 231.2 **Enforcement**

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

**232 Fictitious Name or Address Orders****232.1 Issuance**

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

**232.2 Enforcement**

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

## 24 Audits

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**241 Office of Inspector General****241.1 Office of Inspector General Audit Responsibility**

The Office of Inspector General (OIG) is responsible for providing Congress, the Board of Governors (BOG), and Postal Service management with timely, objective, and complete information, analysis, and recommendations to improve Postal Service programs and operations.

**241.2 Mission of the Office of Inspector General**

The OIG's mission is to conduct and supervise objective and independent audits, reviews, and investigations relating to Postal Service programs and operations in order to do the following:

- a. Prevent and detect fraud, waste, and abuse.
- b. Promote economy, efficiency, and effectiveness.
- c. Promote program integrity.
- d. Keep the BOG and Congress informed about problems, deficiencies, and corresponding corrective actions.

**241.3 Role and Function of Office of Inspector General**

OIG audits and reviews are management tools used to evaluate the efficiency, effectiveness, and costliness of operations. OIG personnel do not exercise authority over the Postal Service organizations that they review. The OIG provides its audit and review findings and any potential problems to Postal Service management. The OIG recommends potential workable solutions to the problems cited in its audits and findings.

**241.4 Authority of Office of Inspector General**

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). Other changes resulted from the Inspector General Reform Act of 2008 (Public Law 110–409).

**241.5 Standards of Office of Inspector General**

The OIG's work complies with appropriate standards established by the Comptroller General of the United States, the Council of the Inspectors General on Integrity and Efficiency, the American Institute of Certified Public Accountants, and the Institute of Internal Auditors.

**241.6 Cooperation with Office of Inspector General**

In carrying out the provisions of the Inspector General Act, employees of the OIG have access to all Postal Service employees, records, reports, audits, reviews, documents, papers, recommendations, and 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 must 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 with Office of Inspector General**

Outside organizations such as the Government Accountability Office (GAO) and the independent certified public accountants hired by the BOG also provide selective reviews of Postal Service activities. The OIG maintains a liaison role and coordinates activities with the GAO, BOG, and other external organizations providing audit attention.

**241.8 Corporate Audit and Response Management**

Corporate Audit and Response Management (CARM) reports to the Vice President, Controller, and serves as a focal point for all Postal Service audit activity. CARM assists Postal Service management in all phases of the OIG and the GAO audit process, including the following tasks:

- a. Assisting in arranging and attending entrance and exit conferences.
- b. Assisting in the preparation and delivery of management responses to draft reports.
- c. Gathering documentation for closure.

In addition, CARM reviews submissions requesting closure of all recommendations. CARM coordinates the Postal Service comments for the OIG's Semiannual Report to Congress (SARC) activities and prepares the letter from the Postmaster General to the BOG. CARM and their liaisons use the Audit Tracking System (ATS) for monitoring and tracking all recommendations resulting from OIG and GAO reports.

## 242 **OIG Objectives, Office of Audit, OIG Procedures, and Types of Audits**

### 242.1 **Objectives of Office of Inspector General**

The OIG's objectives are as follows:

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

### 242.2 **Organization of Office of Audit**

Under the leadership of the Inspector General, the Assistant Inspector General for Audit (AIGA) is responsible for the Office of Audit (OA). Deputy Assistant Inspectors General (DAIGAs) report to the AIGA. DAIGAs oversee mission operations, financial and systems accountability, support operations, and revenue and performance.

The OIG audit resources are aligned with the Postal Service vice presidents and major functional areas, thus allowing OA to focus its efforts on areas of greatest potential risks to Postal Service management and operations. The following paragraphs describe these functions.

- a. **Mission Operations.** The OIG conducts audits of core Postal Service operations in the areas of network processing, transportation, delivery, and network optimization. The audits determine if operations are efficient, effective, and reduce costs. The audits also identify opportunities to save money to fulfill the Postal Service's mission of providing universal mail delivery and efficient service to customers in all communities.
- b. **Financial and Systems Accountability.** The OIG conducts audits in support of the BOG's independent certified public accounting firm's overall opinion on the Postal Service's financial statements. These audits determine whether the Postal Service fairly presents the financial statements, whether the statements comply with direct and material laws and regulations, and whether internal controls are in place and effective. Additionally, the OIG evaluates the reliability of the data collection systems used by the Postal Service for preparing its annual report to the Postal Regulatory Commission (PRC) on costs, revenues, rates, and service for market-dominant products. The OIG evaluates the controls and security used to protect the data residing in the Postal Service's information systems.

- c. **Support Operations.** The OIG conducts audits of support operations, including purchasing, facilities, human resources, environmental sustainability, security and oversight of the U.S. Postal Inspection Service. These audits determine the following:
  - If programs and investments are in the best interest of the Postal Service.
  - Whether support operations are efficient and effective practices.
  - If the Postal Service provides a healthy and safe organizational climate.
  - If the Postal Service effectively safeguards its employees, customers, and other critical assets.
- d. **Revenue and Performance.** The OIG conducts audits pertaining to the Postal Service's sales, marketing, commercial and international mail, customer service and rate making programs and systems. As part of this work, the OIG evaluates the reliability of the data collection systems used by the Postal Service for preparing its annual report to the Postal Regulatory Commission (PRC) on costs, revenues, rates, and service for market-dominant products. The OIG also conducts audits related to Postal Service data governance to determine if the Postal Service is ensuring important data assets are formally managed and fully utilized throughout the enterprise. The OIG also reviews Postal Service Decision Analysis Reports for recommended investments.

#### 242.3 **Procedures of Office of Inspector General**

OIG projects generally adhere to the following procedures:

1. Survey notices are issued via email at the start of project survey work. Surveys are conducted to formulate specific project objectives and determine the scope of the project.
2. Entrance conferences are held to brief management on the results of survey work and to ensure that management is provided an opportunity to discuss the project scope and objectives prior to conducting audit fieldwork. The OIG solicits management's input and perspective on the audit at the entrance conference.
3. Fieldwork announcement letters are issued after holding the entrance conference.
4. Fieldwork and data analyses are performed to independently assess the programs and operations within the scope of the project.
5. Draft reports on performance audits are issued to management to communicate findings and recommendations.
6. Exit conferences are required if requested by Postal Service management. Working meetings also help to ensure that management is aware of pertinent issues and provide a forum for discussion.
7. Management responses are requested, evaluated, and included in the final report.

8. Audit reports communicate audit findings, conclusions, and recommendations to management. OIG policy states that managers must respond in writing (see [243.12](#)) to all recommendations made in OIG reports.
9. Final reports are distributed to appropriate levels of management to ensure that issues are adequately addressed.

#### 242.4 **Types of Audits and Process**

The Postal Service OIG's audits are designed to protect assets and revenue, ensure efficient and economical mail delivery, and safeguard the integrity of the postal system. The three types of audits the OIG performs to help prevent and detect fraud, waste, and abuse and keep the BOG and Congress informed of problems, deficiencies, and corresponding corrective actions are as follows:

- a. **Performance Audits.** A performance audit is an objective examination and analysis of information or evidence for the purpose of providing 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 Audits.** There are two types of financial audits:
  - (1) **Financial Statement Audit.** An objective audit designed to assess whether the Postal Service's financial statements present fairly the financial position, results of operations, and cash flows in conformity with generally accepted accounting principles.
  - (2) **Financial Related Audit.** An objective audit designed to determine whether financial information is presented in accordance with established criteria; the entity has adhered to financial compliance requirements; and the internal control structure over financial reporting and safeguarding of assets is implemented and adequate.
- c. **Contract Audits.** Contract audits (generally performed by the Defense Contract Audit Agency on behalf of the OIG) are objective assessments of the reasonableness of a contractor's operations, systems, cost submissions, and compliance with contract terms. The audits include, but are not limited to, the following types:
  - (1) **Accounting system review:** Assesses whether an accounting system is adequate to segregate, accumulate, and report actual contract costs.
  - (2) **Pre-award audits:** Evaluate the allowability, allocability, and reasonableness of the offeror's proposed costs.
  - (3) **Cost-incurred audits:** Assess whether incurred costs are properly allocable to the contract; reasonable in amount; and allowable under applicable laws and regulations, contract terms and conditions, cost principles, and generally accepted accounting principles and practices.

- (4) **Defective pricing audits:** Determine whether costs proposed by a contractor and accepted by the Postal Service are correct, complete, and accurate when the agreement was reached on the contract price. They are conducted after contract award.

## 243 **Reports**

### 243.1 **Draft Reports**

#### 243.11 **Transmittal Letters**

Draft reports are issued only on performance audits. Each draft report is issued with a transmittal letter requesting a written response within a specified time frame, usually within 15 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 [243.12](#). Management is encouraged to provide comments as soon as possible regardless of response deadline. If the OIG does not receive management's comments within the specified timeframe, the OIG may publish the final report without management's comments.

#### 243.12 **Response from Management**

Management's response, when requested, is to include the following:

- a. Whether management agrees or disagrees with each finding or observation. Management's general comments about the audit report/review can address any factual inaccuracies found in the report.
- b. If the audit reports any monetary impacts (questioned costs, unsupported costs, funds put to better use, or other potential savings) and/or nonmonetary impacts, management must explicitly state whether it agrees or disagrees with the premise, the amounts, and the calculations. If management disagrees with the amounts identified in the report or 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. It is preferable, however, that any disputes about these issues be brought up during the exit conference and resolved prior to finalization of the draft audit report.
- c. If there are monetary or non-monetary impacts, state whether management agrees or disagrees.
- 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). If there are no FOIA concerns, management must state that they do not believe there are any portions of the report that are exempt under FOIA.

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

The original signed management response is to be addressed to the Director, Audit Operations and scanned in and electronically sent to the Audit Operations team at [audittracking@uspsolig.gov](mailto:audittracking@uspsolig.gov). In addition, an electronic copy of the signed management response is to be sent to the manager of CARM at [CARMManager@usps.gov](mailto:CARMManager@usps.gov). The original response is to be maintained until the issuance of the final audit report.

The response must be received by the OIG on or before the date specified in the OIG draft report. If additional time is needed to prepare the response, request an extension prior to the suspense date. CARM assists with requests for an extension; however, if the request is made directly to the OIG, then notify CARM of the request. The OIG grants extension requests on a selective basis.

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

Field financial audits are issued in final; the management response is due 30 days after issuance of the report. In the response, management must:

- a. Electronically send the response to the Audit Director. CARM should be copied on the response.
- b. State agreement or disagreement with each finding and recommendation.
- c. If there are monetary or non-monetary findings, state whether management agrees or disagrees. We can have non-monetary findings with field financials also. Please see if this can be incorporated prior to publishing.

## **243.2 Release and Distribution of Audit Reports**

### **243.21 Transmission of Reports to Headquarters and Freedom of Information Act**

#### **243.211 Headquarters Role**

The OIG transmits reports of interest to Headquarters and reports with recommendations for Headquarters' action to the appropriate Headquarters' unit with a copy to CARM. Copies of reports are generally accessible on the OIG Web site and also can be requested from CARM.

#### **243.212 OIG Policy Pursuant to 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 Types of Audits and Role of Offices Under Headquarters****243.221 Performance Audits**

The OIG transmits audit reports that include recommendations to area office management or other levels below Headquarters to the responsible Postal Service manager. Copies of final reports can be requested from CARM or found on [www.uspsoig.gov](http://www.uspsoig.gov).

**243.222 Financial Audits**

At the conclusion of financial audits of Post Offices and facilities, an exit conference is 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 CARM.

**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 Service suppliers. These reports are advisory 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.

**244 Audit Resolution Process and Unresolved Recommendations**

When the Postal Service disagrees with a recommendation or if management comments are not responsive, OIG and the Postal Service will take the following steps:

1. Within **30 days** of final report issuance, the OIG Director and Deputy Assistant Inspector General (DAIG) responsible for the recommendation will meet with Postal Service management to discuss the disagreement and, if possible, reach a resolution, i.e., an agreement on actions the Postal Service will take to address the recommendations and a target implementation date. If they agree on a resolution:
  - a. Postal Service management will submit a revised management response letter to the OIG through CARM reflecting the agreed-upon resolution, actions and target implementation date.
  - b. OIG will reply as follows: "Agree with the actions the Postal Service will take to address the recommendations along with the target implementation date." Both responses will be posted on the OIG website with the final report once cleared by EFOIA.
2. If the Director and DAIG cannot reach a resolution with Postal Service management, the Assistant Inspector General for Audit (AIGA) will discuss the disagreement with the responsible Postal Service Executive

- Vice President (EVP) within **15 days**. Depending upon the result of the discussion, the AIGA and EVP will take one of the following actions:
- a. If the AIGA and responsible EVP agree on a resolution, the Postal Service and OIG will take the actions described above in paragraph 1.
  - b. If the AIGA and responsible EVP agree the recommendation can be closed, Postal Service management will submit a closure request to the OIG through CARM. The recommendation will be closed.
3. If the AIGA and responsible EVP cannot reach a resolution, the Deputy Inspector General (DIG) will discuss the disagreement with the Postal Service General Counsel (GC) within **15 days**. Depending on the results of the discussion, the DIG and GC will take one of the following actions:
    - a. If the DIG and GC agree on a resolution, the Postal Service and OIG will take the actions described above in paragraph 1.
    - b. If the DIG and GC agree the recommendation can be closed, Postal Service management will submit a closure request to the OIG through CARM. The recommendation will be closed.
  4. If the DIG and GC cannot reach a resolution, the Inspector General (IG) or designated representative will discuss the disagreement with the Postmaster General (PMG) or designated representative within **15 days**. Depending on the results of the discussion, the IG and PMG will take one of the following actions:
    - a. If the IG and PMG agree on a resolution, the Postal Service and OIG will take the actions described above in paragraph 1.
    - b. If the IG and PMG agree the recommendation can be closed, Postal Service management will submit a closure request to the OIG through CARM. The recommendation will be closed.
  5. If the IG and PMG cannot reach a resolution, the IG or designated representative will elevate the disagreement to the Governors within **30 days**. The Governors may take one of the following actions:
    - a. If the Governors agree with the IG, the Postal Service and OIG will take the actions described above in paragraph 1.
    - b. If the Governors disagree with the IG, the IG will consider whether to close the recommendation or keep it open and report it in the Semiannual Report to the Congress as required by the IG Act.

**Note:** As legally required, the OIG will report the status and disposition of disagreed recommendations in the Semiannual Report to Congress, and to the Audit and Finance Committee of the Board of Governors (Board), as appropriate.

## 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 identifies 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 are submitted to CARM to accurately track the status of recommendations in the ATS. Upon review and agreement as to the adequacy of the documentation, CARM forwards documentation to the OIG requesting closure of the recommendation. The OIG responds to closure requests within 15 days of submission by CARM.

For those recommendations that the OIG does not consider significant, once CARM has been notified that the corrective actions have been implemented, the recommendation(s) can be closed by CARM.

### 245.3 **Audit Follow-Up**

CARM maintains the ATS and provides status updates on the implementation of management action on recommendations to Postal Service management and the OIG, as appropriate. The Headquarters, area, or district office responsible for the implementation of corrective action must identify any formalized plan to respond to audit recommendations, and periodically report the current status to CARM, as requested.

### 245.4 **Periodic Reviews**

The OIG conducts 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**

CARM reviews implementation of recommendations and tracks the reports in ATS. In addition, in connection with the OIG's *Semiannual Report to Congress*, CARM prepares the letter from the Postmaster General to the BOG with the statistical tables showing questioned and unsupported costs and funds put to better use as required by the Inspector General Act.

##### 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. This date should be provided in the management response and updated as necessary.

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 CARM 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 CARM for transmittal to the OIG.

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

**245.52 Area Office Level**

Each vice president is responsible 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. Target dates should be provided in the management response and updated as necessary.

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 CARM, 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 CARM 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. The district managers provide a written response within the specified timeframe when requested by the OIG. District managers monitor the implementation of recommendations at facilities reporting to their district and provide to the vice president of Area Operations the 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 director, Audit Operations.

**246.2 Management Responsibility**

Management cannot, and must not, completely rely on auditors and/or evaluators to detect problems and recommend solutions. Managers must routinely assess their own operations to ensure 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)

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## 27 Security

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

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

**271.2 Installation Heads**

Installation heads are responsible for ensuring the safety of on-duty Postal Service employees, the security and integrity of the mail, and all Postal Service property entrusted to them. The Vulnerability and Risk Assessment Tool (VRAT) was created to assist installation heads identify and remediate any potential risk areas. Any deficiencies identified through the VRAT must be addressed and resolved.

**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 Security Control Officer (SCO) or designee conducts annual facility security reviews using the online application VRAT (vulnerability and risk assessment tool), found at <https://vrat.usps.gov/VRAT/>.

The SCO performs a VRAT each fiscal year, when newly assigned as SCO, or as a newly assigned officer in charge (OIC), or when there is a change in management. Every SCO is required to take LMS Course 1920269 INSP: Facility Security 1 WBT.

**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 [272.433](#).

**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.

All Postal Service personnel security clearance procedural requirements are followed without regard to an individual's (1) race, color, sex (including pregnancy, sexual orientation, and gender identity, including transgender status, national origin, religion, age (40 or over), genetic information, disability or retaliation for engaging in an EEO-protected activity as provided by law, or (2) other non-meritorious factors such as political affiliation, marital status; status as a parent; and past, present, or future military service.

**272.12 Responsibility**

The Chief Postal Inspector or designee is responsible for the adjudication of all security clearances and suitability background investigations for Postal Service personnel. For personnel of the U.S. Postal Service Office of Inspector General (OIG), the Chief Postal Inspector or designee will consult with the OIG security office before denying or revoking a clearance or suitability determination.

**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    Level of Clearances for Postal Service Employees****272.21    (Reserved)****272.22    Security Clearances for Public Trust Positions**

Public trust positions are positions whose incumbents:

- a. May affect the integrity, efficiency, and effectiveness of assigned Postal Service activities by their action or inaction. The potential for adverse effect includes action or effectiveness of Postal Service, whether or not actual damage occurs.
- b. May perform certain Postal Service 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 may include, but are not limited to, law enforcement, public safety and health, collection of revenue, and regulation of business, industry, or finance.
- c. Have the authority to commit Postal Service 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 or a district or area.

**272.221    Public Trust Positions — Background Investigation — High Risk**

Certain positions that generate a high-risk score using the Position Designation Survey may require a Background Investigation — High Risk (BI) adjudicated by the SISC. The manager, through liaison with the appropriate human resources office, initiates the BI. The BI is initiated upon submission of the following forms and documents to the SISC:

- a. PS Form 2013, *Security Clearance Processing Request*.
- b. SF 85-P, *Questionnaire for Public Trust Positions*.
- c. Two SF 87, *Fingerprint Charts*.
- d. PS Form 2181, *Authorization and Release*.
- e. PS Form 2181-D, *Disclosure and Release for Consumer Reports*.
- f. Negative drug screen result dated within last 90 days (for Inspection Service and OIG employees only).

**272.222    Public Trust Positions — Moderate Background Investigation — Moderate Risk**

Positions that generate a moderate risk score using the Position Designation Survey may require a Moderate Background Investigation — Moderate Risk (MBI). The manager, through liaison with the appropriate human resources office, initiates the MBI. The MBI is initiated upon submission of the following forms and documents to the SISC:

- a. PS Form 2013, *Security Clearance Processing Request*.
- b. SF 85-P, *Questionnaire for Public Trust Positions*.
- c. Two SF 87s, *Fingerprint Charts*.
- d. PS Form 2181, *Authorization and Release*.
- e. PS Form 2181-D, *Disclosure and Release for Consumer Reports*.

- f. Negative drug screen within last 90 days (for Inspection Service and OIG employees only).

**272.23 Low-Risk Position Investigation Requirements**

The majority of positions are classified as low risk. Those employees in low risk positions require an investigation upon hire. The type of investigation depends upon the position into which the individual is being hired (see [272.231](#) and [272.232](#)).

**272.231 National Agency Check with Inquiries – Low Risk**

Career employee positions that generate a low risk score using the Position Designation Survey require a National Agency Check with Inquiries (NACI) investigation upon hire or conversion to a career appointment. NACIs are initiated per guidelines in Handbook EL-312, *Employment and Placement*, part 562.

**272.232 Special Agency Check with Inquiries – Low Risk**

Non-career postal employees require a Special Agency Check with Inquiries (SACI) investigation upon hire. SACIs are initiated per guidelines in Handbook EL-312, *Employment and Placement*, part 563.

**272.24 Tier 3 (Access National Agency Check with Inquiries) Background Investigation**

**272.241 General**

Tier 3 (currently known as Access National Agency Check with Inquiries or ANACI) investigations are required for positions accessing Non-Critical Sensitive and Secret information and have the potential for serious damage to national security. Investigations conducted to this standard are for positions designated as non-critical sensitive, military accessions, or requiring eligibility for "L" access or access to Confidential or Secret information. This is the lowest level of investigation acceptable for access to classified information or assignment to a sensitive position. The level of clearance for these positions is Secret. The subject's manager initiates the investigation.

**272.242 Positions Requiring Secret Clearance**

Positions requiring a security clearance include:

- a. Any position in which the incumbent is required to have knowledge or access to information or material classified as Secret under Executive Order 12968, or
- b. Any other position identified by the Chief Inspector or his designee.

**272.243 Tier 3 Investigation Components**

The Federal Investigative Standards (FIS) establish the Tier 3 investigation components, which include the following checks:

- a. Date and place of birth;
- b. Citizenship or legal status;
- c. The Office of Personnel Management's Security/Suitability Investigations Index (SII);
- d. Department of Defense Clearance and Investigations Index (DCII);

- e. Federal Bureau of Investigation investigative and local law-enforcement agency criminal-history checks (including fingerprint and name checks);
- f. Prior and current investigative records in Department of Defense (DOD), Office of Personnel Management (OPM), and Intelligence Community (IC) databases;
- g. Social Security number verification;
- h. Terrorist and subversive activities, researched through the National Crime Information Center (NCIC), wants/warrants, and related databases;
- i. Selective Service registration;
- j. Military discharge;
- k. Criminal history in locations where the subject resided, worked, and went to school within the past 5 years;
- l. Education verification;
- m. Employment history within the past 5 years;
- n. Credit or financial history;
- o. Optional enhanced subject interview;
- p. Foreign activities; and
- q. Foreign-born immediate family.

**Note:** With regard to U.S. citizens who have not resided in the U.S. for the last 5 years, to the extent practicable and warranted by the investigative findings, investigative standards must be met through use of the best sources and records located within the United States or located within U.S. facilities or installations overseas. Unfavorable information, discrepancies, information of security or suitability significance, or significant time period gaps might be cause for tailored international coverage.

272.244 **Tier 3 Processing Requirements**

For Tier 3 processing, the following items are required:

- PS Form 2013, *Request for Background Investigation*;
- e-Qip version of SF 86, *Questionnaire for National Security Positions*;
- Two SF 87s, *Fingerprint Card*, or Postal Service-approved Livescan prints (if available);
- PS Form 2181, *Authorization and Release* (Postal Service employee);
- PS Form 2181-D, *Disclosure and Authorization for Consumer Reports and Investigative Consumer Reports*;
- Proof of citizenship or legal status; and
- A negative drug screen per the following:

All contractors working for the Postal Service and all career and non-career employees who work for the Postal Inspection Service or the Office of Inspector General must pass a 5-panel drug-screening test for the following:

- Cocaine,

- Marijuana,
- Amphetamine/methamphetamine,
- Opiates, and
- Phencyclidine (PCP).

The Substance Abuse and Mental Health Services Administration (SAMHSA) has identified these as the five most abused substances. The screening test must be performed by a SAMSHA-approved certified laboratory and must meet the cut-off levels established by SAMHSA. The certification must include the following:

- The name of the individual tested;
- The name of the institution or laboratory that performed the test;
- The name of the agency that certified the laboratory;
- The date of the test, which must be within 90 days of the submission of the results; and
- The negative results of the test.

Career and non-career employees, except those who work for the Postal Inspection Service or the Office of Inspector General, are drug screened per postal Human Resources (HR) requirements at the time of hiring.

See Handbook EL-312, *Employment and Placement*.

**272.245 Tier 3 Reinvestigations**

After the initial clearance is granted, a Tier 3 reinvestigation is required every 5 years. The SISC initiates all Tier 3 reinvestigations by notifying the requesting manager that a reinvestigation is due. The requesting manager is responsible for ensuring the proper and timely completion and submission of the required forms. The same forms required for an initial investigation (section [272.244](#)) are required for a 5-year reinvestigation (excluding proof of citizenship and drug screening results).

Upon favorable adjudication of the initial investigation or reinvestigation, the Chief Postal Inspector or designee grants the Secret clearance. An email is sent to the requesting manager along with a copy of the completed Certificate of Investigation (if available) for inclusion in the individual's electronic Official Personnel Folder (eOPF).

**272.25 Tier 5 (Single Scope) Background Investigation**

**272.251 General**

Tier 5 (currently known as Single Scope Background Investigation or SSBI) investigations are required for positions accessing classified material that have the potential for exceptionally grave damage to national security. The level of clearance for these Tier 5 positions is Top Secret.

**272.252 Positions Requiring Top Secret Clearance**

Positions requiring Top Secret clearances include, but are not limited to, the following:

- a. The inspector general, the postmaster general, the deputy postmaster general, the chief operating officer, the general counsel, the chief postal inspector, the associate general counsel and chief ethics officer,

- the consumer advocate, the judicial officer, presidents, and vice presidents;
- b. The deputy general counsels, managing counsels, and chief counsels;
  - c. Designated employees of the Postal Inspection Service;
  - d. Designated employees of the OIG; and
  - e. Any other position in which the incumbent is required to have knowledge of and access to information or material classified Top Secret under Executive Order 12968, Classified National Security Information, dated August 4, 1995, and successive orders, and White House Memorandum, dated December 29, 2005, entitled Adjudicative Guidelines for Determining Eligibility for Access to Classified Information.

Requests for Top Secret clearances for any positions not listed in items [a](#). through [e](#). above require the approval of the Inspector in Charge of the Security Group at Inspection Service Headquarters.

**272.253 Tier 5 Investigation Components**

Tier 5 investigation components are established by Executive Order 12968, as amended, and the FIS, pursuant to Executive Order 13467. Tier 5 components include the Tier 3 checks listed in [272.243](#), as well as the following:

- a. Spouse or cohabitant;
- b. Public records;
- c. Credit or financial history, including Financial Crimes Enforcement Network (FinCEN);
- d. Enhanced employment checks;
- e. Former spouse;
- f. Social references; and
- g. Enhanced Subject Interview (ESI).

**272.254 Tier 5 Processing Requirements**

The following items are required for Tier 5 processing:

- PS Form 2013, *Request for Background Investigation*;
- e-Qip version of SF 86, *Questionnaire for National Security Positions*;
- Two SF-87s, *Fingerprint Cards*, or Postal Service-approved Livescan prints (if available);
- PS Form 2181, *Authorization and Release* (Postal Service employee);
- PS Form 2181-D, *Disclosure and Authorization for Consumer Reports and Investigative Consumer Reports*;
- Proof of citizenship or legal status; and
- Negative drug screen dated within the last 90 days.

**272.255 Tier 5 Reinvestigations**

Tier 5 reinvestigations are required at least once every 5 years after the initial investigation, or more frequently, in accordance with FIS requirements. Upon receipt of notification that the reinvestigation is due, the same forms required for the initial investigation (excluding proof of citizenship and drug screening

results) must be completed and promptly submitted to the Postal Inspection Service.

Upon favorable adjudication of the initial investigation or reinvestigation, the Chief Postal Inspector or designee grants the Top Secret clearance. An email is sent to the requesting manager along with a copy of the completed Certificate of Investigation for inclusion in the individual's eOPF.

**272.26 Continuous Evaluation Investigations**

Continuous Evaluation (CE) is defined as "Review of the background of an individual at any time during the period of eligibility to determine whether that individual continues to meet the requirements for eligibility." (FIS 2.2) Pursuant to guidance provided by the Director of National Intelligence (DNI) as the Security Executive Agent, individuals may be reevaluated on a random or continuous basis between investigative cycles. CE investigations will be initiated on no less than 5 percent of the Top Secret and Secret population only.

For each individual enrolled in CE, the following seven categories of data will be collected from various classified and unclassified databases:

1. Eligibility — Check of CVS, JPAS, Scattered Castles;
2. Terrorism — Check of NCIC and TIDE;
3. Foreign Travel — Check of DHS databases;
4. Suspicious Financial Activity — Check of FinCEN;
5. Criminal Activity — Ongoing checks of Rap Back and NCIC;
6. Credit — Credit bureau reports; and
7. Commercial — Public record checks for civil judgments, liens, bankruptcies, etc.

The checks will be conducted on a frequency schedule established by the DNI.

**272.27 Evaluation Criteria for National Security Adjudicative Decisions**

The adjudication of Tier 3 and Tier 5 national-security background investigations includes the criteria outlined in Executive Order 12968, as amended, and White House Memorandum, dated December 29, 2005, entitled Adjudicative Guidelines for Determining Eligibility for Access to Classified Information. The Chief Postal Inspector or designee determines whether or not to grant or continue eligibility for Secret or Top Secret security clearance based upon careful consideration of the following:

- a. The adjudicative process is an examination of a sufficient period of a person's life to make an affirmative determination that the person is eligible for a security clearance. The individual must meet these personnel-security guidelines to be eligible for access to classified information. The adjudicative process is the careful weighing of a number of variables known as the whole-person concept. The adjudicator must consider available, reliable information about the person, past and present, favorable and unfavorable, in reaching a determination. In evaluating the relevance of an individual's conduct, the adjudicator considers the following factors:
  - (1) The nature, extent, and seriousness of the conduct;

- (2) The circumstances surrounding the conduct, to include knowledgeable participation;
  - (3) The frequency and timing of the conduct;
  - (4) The individual's age and maturity at the time of the conduct;
  - (5) The voluntariness of participation;
  - (6) The presence or absence of rehabilitation and other pertinent behavioral changes;
  - (7) The motivation for the conduct;
  - (8) The potential for pressure, coercion, exploitation, or duress; and
  - (9) The likelihood of continuation of recurrence.
- b. The Chief Postal Inspector or designee must judge each case on its own merits, and the final determination remains the responsibility of the Postal Inspection Service. Any doubt as to whether an individual should be allowed access to classified information will be resolved in favor of national security.
  - c. The determination of the granting of or continuing eligibility for a Top Secret clearance must be consistent with the interests of national security. The determination is based upon consideration of the following criteria, each of which is to be evaluated by the totality of the circumstances:
    - (1) Guideline A: Allegiance to the United States;
    - (2) Guideline B: Foreign influence;
    - (3) Guideline C: Foreign preference;
    - (4) Guideline D: Sexual behavior;
    - (5) Guideline E: Personal conduct;
    - (6) Guideline F: Financial considerations;
    - (7) Guideline G: Alcohol consumption;
    - (8) Guideline H: Drug involvement;
    - (9) Guideline I: Emotional, mental, and personality disorders;
    - (10) Guideline J: Criminal conduct;
    - (11) Guideline K: Security violations;
    - (12) Guideline L: Outside activities; and
    - (13) Guideline M: Misuse of information technology systems.

**272.28 Clearance or Investigation Requirements****272.281 Risk Assessment Determines Clearance or Investigation Requirement**

The Chief Postal Inspector or his designee makes risk assessments for postal positions. A Position Designation Survey completed by a postal manager knowledgeable of the position is one element of this assessment. The risk assessment determines the level of risk and type of clearance or investigation required. The occupation codes of certain higher risk level positions state the MBI, BI, or SSBI security clearance requirement in the position's Qualification Standards. If an MBI, BI, or SSBI is required for a position, that requirement will display on the Qualification Standards included in the position's vacancy announcement. This alerts a potential

applicant that he or she is subject to meeting the clearance or investigation requirement.

Unless noted otherwise on the Qualification Standards for the position, a NACI investigation is required for career employees and a SACI investigation is required for non-career employees.

**272.282 Clearance or Investigation Requirement in Qualification Standards**

When the Postal Service creates a new occupation code, a manager from the organization that requires the new position and who is familiar with the requirements of the position in question, completes a Position Designation Survey for that position. This Position Designation Survey is submitted to the Chief Postal Inspector or his designee. Upon receipt of the clearance or investigation requirement from the Chief Postal Inspector or designee, Employee Resource Management (ERM) assigns the background investigation level to the newly created position's Qualification Standard in the Human Capital Enterprise System.

Additionally, ERM, in conjunction with functional and area managers, conducts a cyclical review of occupation codes to delimit obsolete occupation codes and update existing occupation codes as needed with the required background investigation level. The cyclical review allows the Postal Service to manage the security risk associated with Postal Service positions.

**272.283 Employee Placement in a Position With a Higher Clearance or Investigation Requirement**

If an employee within the Postal Service is selected for a position with a higher clearance or investigative requirement than the clearance or investigative requirements required by their prior position, the manager of the affected position works with Human Resources to initiate the investigation immediately upon the employee's placement in the new position. See [272.25](#) to request an SSBI for Top Secret clearance, [272.21](#) to request a BI, and [272.22](#) to request an MBI. The requesting manager is responsible for ensuring proper and timely completion and submission of the required documents.

**272.284 Review and Processing of Clearance or Investigation Request**

The manager reviews the forms required by each clearance or investigative requirement to ensure completion, then initiates and signs the PS Form 2013. The manager then submits the packet to the SISC for processing within 15 days of the Postal Service employee or potential hire's placement effective date.

**272.285 Granting a Suitability Determination (Background Investigation – High Risk or Moderate Risk)**

Upon favorable adjudication, the SISC issues the final suitability determination via email notification to the requesting manager.

**272.3 Denial or Revocation of a Suitability Determination (Background Investigation – High Risk or Moderate Risk)**

**272.31 Criteria**

A BI or MBI clearance may be denied or revoked by the Chief Postal Inspector or designee based on information developed during either the

initial investigation or a reinvestigation. A BI or MBI clearance may also be revoked between reinvestigations upon receipt of validated information meeting criteria contained herein.

The denial or revocation is based on an appraisal of circumstances surrounding serious incidents involving the employee or applicant related to the following:

- a. Intentional falsification, deception, or fraud in connection with an application or examination for appointment or in connection with an official inquiry.
- b. Refusal to furnish information to the Postal Service requested pursuant to applicable laws, rules, and regulations that would aid in making a determination of qualification for the clearance in question.
- c. Intentional, unauthorized disclosure or exposure of sensitive information.
- d. Any of the reasons in Handbook EL-312, *Employment and Placement*, Chapter 5, found at <http://about.usps.com/handbooks/el312/welcome.htm>.

**272.32      Administrative Procedure to Deny Clearance (Background Investigation – High Risk or Moderate Risk)**

When the Chief Postal Inspector or designee determines that information developed during a BI or MBI investigation falls under the criteria in [272.31](#), 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 or designee sends a letter detailing the disqualifying information to the appropriate appointing manager with a statement that the BI or MBI clearance is denied.

**272.33      Denial Reconsideration**

Employees or applicants may request reconsideration of the denial of a clearance by sending a letter with supporting documentation to the Inspector in Charge Security and Crime Prevention Group. The Chief Postal Inspector considers any new evidence presented and advises the SISC and employee or applicant of the decision.

**272.34      Denial Reconsideration for National Security Clearances**

Pursuant to Executive Order 12968, part 5, section 5.2, individuals, their representatives, or both must have a reasonable opportunity to reply in writing to, and to request a review of, the determination made to revoke or deny a security clearance. An individual seeking reconsideration has the right to counsel or other representation at the individual's expense.

An individual may request any documents, records, and reports as described in section 5.2(a)(2) of the Executive Order. An individual may also request the entire investigative file, as described in section 5.2(a)(3).

Send written replies and requests for a review of documentation to the level-one appeal authority, who will be identified in the initial denial letter. The level-one appeal authority will issue a written decision either upholding or reversing the decision to deny access. If the denial is upheld, the individual

may appeal the decision in writing, within 10 days, to a panel that will act as the level-two appeal authority.

The Chief Postal Inspector appoints the level-two appeal panel and it must be composed of at least three members, two of whom will be from outside the security field. The appellant may appear personally and present relevant documents, materials, and information before the panel. The panel's decision must be in writing and is final. The review proceedings will be accomplished in accordance with Executive Order 12968.

When the information and procedures contained in this section and in section [272.27](#), Evaluation Criteria for National Security Adjudicative Decisions, conflict with Executive Order 12968 or other applicable executive orders related to adjudication of security clearances, the executive orders will take precedence.

#### 272.35 **Action of Appointing Manager After Denial**

The appointing manager takes the following action:

- a. If the Chief Postal Inspector denies a clearance for an employee, the employee's manager 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 of agreement, as appropriate.
  - (2) Reassign the employee to duties that do not require a BI, MBI, or Top Secret clearance.
- b. If the individual is to be retained in the Postal Service, the appointing manager furnishes the Chief Postal Inspector a written statement of the reasons for retention of the employee as well as the position, to which the employee will be assigned.

#### 272.36 **Reinvestigations of Background Investigations — High Risk, Moderate Risk, and Single Scope Background Investigations**

Reinvestigations for the BI, MBI, and SSBI must be initiated every succeeding 5 years after the previous investigation. There is no reinvestigation requirement for NACI or SACI investigations. Upon receipt of notification that the reinvestigation is due, the following forms should be completed and promptly submitted to the Postal Inspection Service:

- a. IS Form 2066, *Updated Personnel Security Questionnaire*.
- b. PS Form 2181, *Authorization and Release*.
- c. PS Form 2181-D, *Disclosure and Release for Consumer Reports*.
- d. SF 85-P, *Questionnaire for Public Trust Position*.

When the investigation is completed, the Chief Postal Inspector or designee adjudicates findings. Notification of the adjudication is sent via email to the requesting manager.

272.4 **Individuals Under Service Contracts: Clearances, Roles, Background Investigations, and Denial**

272.41 **Clearances**

272.411 **Individuals Requiring 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 or to postal information and resources, including postal computer systems, must undergo a background investigation from the Postal Service before being provided that access.

272.412 **Exceptions to Clearance Requirements**

ASM [272.4](#) 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-530-2009-4, Screening Highway Transportation Contractor Personnel). 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 be allowed to access facilities only when postal employees occupy the facility.

272.413 **Levels of Background Investigations**

Three levels of background investigations are available as follows:

- a. *Sensitive Background Investigation* — A background investigation is 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.
- b. *Non-Sensitive Background Investigation* — A background investigation is 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 facilities.
- c. *Basic Background Investigation* — A background investigation is required for individuals who have access to postal facilities, but who do not require a higher level.

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

272.414 **Citizenship and Work Authorization**

Individuals requiring a Sensitive, Non-Sensitive, or Basic background investigation must be United States citizens, except that permanent resident aliens and other citizens of foreign countries may provide services if they have proper work authorization documentation (e.g., work visa and all necessary employment authorization documents).

272.42 **Contracting Officer and Contracting Officer Representative Role and Postal Inspection Service Role for Security Requirements of Contractors**

272.421 **Role of Contracting Officer 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 background investigation 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 forms and receives the forms upon completion.

- a. *Basic Background Investigation* — 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 background investigation. Upon receipt of the completed certifications, 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 (PS Form 5140, *Non-Postal Service Contract Employee*) to the contractor.
- b. *Non-Sensitive and Sensitive Background Investigation* — Upon receipt of the completed forms (see [272.432](#) and [272.433](#)) for the Non-Sensitive and Sensitive background investigation, the contracting officer, the COR, or a designee reviews them for completeness and adequacy and forwards them to:

SECURITY INVESTIGATIONS SERVICE CENTER  
U.S. POSTAL INSPECTION SERVICE  
225 N HUMPHREYS BLVD  
4TH FLOOR SOUTH  
MEMPHIS TN 38161-0008

Individuals requiring a Non-Sensitive or Sensitive background investigation may begin work when they receive notification that the background investigation was successfully completed. The contracting officer, the COR, or a designee authorizes the issuance of an identification badge (PS Form 5140, *Non-Postal Service Contract Employee*) to the contractor.

272.422 **Role of Postal Inspection Service**

The Security Investigations Service Center (SISC) performs the following record checks before granting Non-Sensitive and Sensitive clearances for Non-Sensitive and Sensitive background investigations:

- a. U.S. Postal Inspection Service databases.
- b. National Crime Information Center (NCIC) Wants and Warrants.
- c. National Agency Check (NAC) that includes the following:
  - (1) *Security/Suitability Investigations 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 Investigations Index (DCII)* — Index of investigations conducted on Department of Defense civilian and military personnel.
- d. Five-year criminal history check.
- e. Credit check (for Sensitive Background Investigation only).

The SISC notifies the contracting officer, the COR, or a designee when an individual has been granted or denied a security background investigation level.

#### **272.43 *Background Investigation (Basic, Non-Sensitive, and Sensitive)***

##### **272.431 *Basic Background Investigation***

Contractors employing individuals who require a Basic background investigation must provide the documentation 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 assault, sale and distribution of drugs, or weapons violations. If criminal charges are pending, the Basic background investigation is not to be authorized by the contracting officer, the COR, or designee until the charges have been resolved.

**272.432 Non-Sensitive Background Investigation**

Contractors employing individuals who require a Non-Sensitive background investigation must provide to the contracting officer, the COR, or a designee the following documentation for each individual:

- a. PS Form 2025, *Contract Personnel Questionnaire*.
- b. PS Form 2181-C, *Authorization and Release — Background Investigations (USPS Contractors and Employees of Contractors)*.
- c. PS Form 2181-D, *Disclosure and Release for Consumer Reports*.
- d. PS Form 2013, *Security Clearance Processing Request*.
- e. FD 258 *Fingerprint Chart — Applicant (two copies)*.
- f. Results from a county criminal history inquiry through local agencies, based on where the individual has resided and has been employed during the past 5 years.
- g. Results of a credit bureau inquiry.
- h. Verification of the individual's employment history for the past 5 years, including a list of reasons for termination or resignation from prior employers.
- i. Verification of the individual's citizenship or status through review of birth certificate, naturalization document, passport, or work authorization.
- j. Certification that the individual has passed a drug screening test pursuant to procedures for a Basic background investigation.

Except for particular excepted circumstances noted elsewhere in these regulations, prior to receiving a Non-Sensitive background investigation, contractors are not to enter a postal facility in connection with contract performance.

**272.433 Sensitive Background Investigation**

Contractors employing individuals who require a Sensitive background investigation must provide to the contracting officer, the COR, or a designee the following documentation for each individual:

- a. Items [272.432b](#) through [272.432j](#) listed above for the Non-Sensitive background investigation.
- b. SF 85-P, *Questionnaire for Public Trust Position*.

Except for particular excepted circumstances noted elsewhere in these regulations, prior to receiving a Sensitive background investigation level, contractors are not 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 background investigation level 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 Sensitive background investigation level requires a 5-year reinvestigation. There is no reinvestigation requirement for the Non-Sensitive background investigation level. Upon receipt of notification that the reinvestigation is due, the contractor must complete the following forms and

within 5 business days submit to the Postal Inspection Service (see [272.421](#) for address):

- a. IS Form 2066, *Updated Personnel Security Questionnaire*.
- b. PS Form 2181-C, *Authorization and Release — Background Investigations (USPS Contractors and Employees of Contractors)*.
- c. PS Form 2181-D, *Disclosure and Release for Consumer Reports*.

Upon completion of a favorable investigation, the Chief Postal Inspector or designee issues the updated Sensitive background investigation level.

Notification of the determination is provided via email to the requestor.

**272.44 Grounds for Denial or Revocation and Reconsideration of Denial**

A Sensitive or Non-Sensitive background investigation level may be denied or revoked by the Chief Postal Inspector or designee based on the information developed during either the initial investigation or an investigation to update an existing suitability determination. A Sensitive or Non-Sensitive background investigation level may be revoked in the interim/contract period upon receipt of validated information meeting the following criteria contained in items a through j of [272.44](#).

- a. Refusal to furnish information requested pursuant to applicable laws, rules, and regulations that would help determine qualifications for a 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 contractor's 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 a security risk to the Postal Service.

A contractor may request reconsideration of the denial by sending a letter with supporting documentation to the Inspector in Charge Security and Crime Prevention Group. The Chief Inspector considers any new evidence presented and advises the SISC and contractor of the decision. A contract must provide the contractor's remedies for the failure of the Postal Inspection Service to grant a requested background investigation level, either initially or following reconsideration.

**272.5 Additional Considerations for Contractor Personnel****272.51 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 (PS Form 5139, *Non-Postal Service Temporary Employee*, or PS Form 5140, *Non-Postal Service Contract Employee*).

**272.52 Retention of Documentation for Service Providers**

Documentation for all contractor personnel must be retained for the length of their service and for 1 year after separation.

**272.6 Reciprocity for Postal Service Employees and Contractors**

A clearance can be granted via reciprocity when the applicant currently holds a Top Secret or Secret clearance granted or updated within the past 5 years by another federal agency. Supporting documentation must be provided as follows:

- a. PS Form 2013, *Security Clearance Processing Request*.
- b. PS 2181, *Authorization and Release (employee)* or PS 2181-C, *Pre-Employment Screening — Background Investigation (contractor)*.
- c. PS 2025, *Contract Personnel Questionnaire*.
- d. Drug screen (contractor only).
- e. Documentation verifying existing clearance.

**272.7 Exceptions**

The Chief Postal Inspector may waive certain provisions of the foregoing regulations if it is determined such action promotes the efficiency of the Postal Service or serves the best interests of the national security of the United States.

**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 and Security Control Officers periodically conduct facility security surveys to determine compliance with security requirements. The Postal Inspection Service submits formal reports with recommendations for necessary security enhancements via the VRAT to the installation head for his or her review and remediation.

**273.114 Remediation of Facility Security Surveys**

The installation head or his or her designee must remediate deficiencies identified within 30 working days and record as complete in the VRAT. Unresolved deficiencies will be escalated as appropriate using the VRAT escalation process.

**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.

Item	Description	Federal Spec. Type	Use
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 0911) 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 and Border Protection or U.S. Department of Agriculture employee acting under [274.91](#) or [274.92](#).
- e. An authorized employee of a U.S. government agency charged with investigating and enforcing compliance with U.S. export and assets control laws, to the extent permitted by law and pursuant to [274.914](#).
- f. A postal inspector or OIG Special Agent acting under 274.911d.
- g. A postal inspector to examine the contents of abandoned or unclaimed mail reasonably suspected of containing narcotics or other non-mailable matter as proscribed by POM 691.584.
- h. A postal employee disclosing information under [274.5](#).
- i. 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*.
- j. 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 the following:
  - (1) First-Class Mail® items.
  - (2) Priority Mail® items.
  - (3) Priority Mail Express® items.
  - (4) GXG® items that contain only documents.
  - (5) Priority Mail Express International® items.
  - (6) Outbound Single-Piece First-Class Package International Service® items.
  - (7) Outbound Single-Piece First-Class Mail International® items.
  - (8) IPA® items, excluding IPA M-bags.
  - (9) ISAL® items, excluding ISAL M-bags.
  - (10) GBE items, excluding M-bags.
  - (11) International transit mail.
- c. The terms exclude incidental First-Class Mail matter permitted to be enclosed in or attached to certain Periodicals, USPS Marketing 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 the following:
  - (1) Periodicals items.
  - (2) USPS Marketing Mail™ (Commercial and Nonprofit) items.
  - (3) Package Services items.
  - (4) Incidental First-Class Mail® attachments or enclosures mailed under DMM 703.9.
  - (5) Parcel Select® items.
  - (6) Parcel Return Service items.
  - (7) First-Class Package Service® items.
  - (8) USPS Retail Ground items.
  - (9) GXG® items that contain nondocuments.
  - (10) Outbound Priority Mail International® items.
  - (11) International Direct Sacks — M-bags.
  - (12) Items sent via “Free Matter for the Blind or Other Physically Handicapped Persons” under 39 U.S.C. §§ 3403 and “Free Matter for the Blind” under IMM 270.

**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 or OIG Special Agent 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 contents proscribed by Publication 52, *Hazardous, Restricted, and Perishable Mail*, 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*.
- l. A postal employee or postal inspector with respect to any mailpiece identified as potentially violating the U.S. government's export or assets control laws and regulations, as described in IMM 510 through 540, for a limited period necessary to arrange with U.S. Customs and Border Protection and other responsible agencies for a determination as to whether further examination is required and, if so, during such further examination.
- m. Employees of U.S. Customs and Border Protection and other U.S. government agencies responsible for investigating and enforcing compliance with U.S. export or assets controls (such as the U.S. Departments of Commerce, State, and Treasury), during the pendency of any investigation authorized by U.S. law.

**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.
- (10) To provide <http://www.usps.com> account holders who are enrolled in the Informed Delivery service with images of mailpieces that are intended for delivery to the account holder addressee.
- (11) To resolve a complaint or other customer-service inquiry from a sender or recipient of a mailpiece, an image of the front of the mailpiece may be disclosed to such sender or recipient by a USPS employee, provided that the sender or recipient expressly requests the mail image (or provides express consent for its disclosure). The USPS employee must be able to verify that the person or entity is the actual sender or recipient of the mailpiece through proof that is either provided at the time of the inquiry or that already exists within the confines of a preexisting relationship, before the disclosure request is fulfilled.

- 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 and Border Protection or the Department of Agriculture in accordance with [274.9, Mail Security, Law Enforcement, and Other Government Agencies](#).
- j. To law enforcement personnel charged with investigating and enforcing compliance with U.S. export or assets controls, with respect to mailpieces identified as potentially violating U.S. export control or assets control laws.
- k. 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.
- l. 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.
- m. If otherwise permitted by law.
- n. Within the Postal Service and directly to eVS customers, or through third-party software providers (including meter and PC Postage providers) for the purpose of enabling responsible administration of revenue assurance and other postage evidencing system activities, facilitating remediation of postage disparities, and meeting SOX compliance requirements, in accordance with 39 CFR Part 501.

274.51

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

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

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

**274.6 Execution of Search Warrants****274.61 Warrant Issued by Federal Court or Served by Federal Officer**

- a. A search warrant duly issued under Rule 41 of the Federal Rules of Criminal Procedure must be executed as provided in [274.62](#). Usually, a warrant issued by a federal court or served by a federal officer is issued under Rule 41, and is duly issued if signed and dated within the past 10 days.
- b. No employee may permit the execution of a search warrant issued by a state court and served by a state officer. If in doubt, an employee should temporarily detain the mail in question and promptly call a postal inspector for guidance.

**274.62 Search Warrant Execution Procedures**

Procedures for executing a search warrant follow:

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

**274.63 Notice to Sender or Addressee**

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

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

A postal employee receiving a request from a federal, state, or local law enforcement, intelligence, or other government agency, for access to, or information about, particular mail matter of any class in the custody of the Postal Service must refer the request to the Postal Inspection Service. The employee must include an explanation that the Postal Inspection Service is responsible for liaison with all government agencies with respect to a request of this kind. No employee of the Postal Inspection Service may comply with such a request, unless authorized by postal regulations.

**274.8 International Transit Mail****274.81 Definitions****274.811 International Transit Mail**

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

**274.812 Closed Mail**

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

**274.813 À Découvert Letter Post Item**

The term “*à découvert* letter post item” refers to any international letter post item 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 or OIG Special Agent 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 illegal narcotics or dangerous drugs, the postal inspector may reopen the article without a search warrant. The inspector may reopen the article without a warrant only to prepare the article for such a controlled delivery in such way or ways as lawfully and reasonably aid in the investigation of the crime of importing such substances through the mail. No correspondence inside such an article may be read or divulged without a search warrant as described in [274.6](#).

274.912 **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.

**274.914 Export and Assets Control Authorities**

Where an outbound or inbound international mailpiece is reasonably suspected of violating U.S. export control or assets control laws (see IMM 510 through 540), Customs and Border Protection personnel may, upon consultation with the Postal Service and Postal Inspection Service, allow personnel from other agencies responsible for U.S. export and assets controls, such as the Departments of State, Treasury, and Commerce, to be present during Customs and Border Protection's inspection, to conduct inspections jointly, and to receive custody of the items for any further examination or investigation that may be deemed necessary by such agencies.

**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 and Border Protection, without a search warrant, to examine the exterior (but not open or read the contents) of sealed mail that originated in the Customs Territory of the United States (CTUS) and is addressed for delivery in the customs district of the U.S. Virgin Islands. Upon

the request of such Customs personnel, postal employees in the U.S. Virgin Islands may ask the addressee of such sealed mail (which such Customs personnel have reasonable cause to believe contains dutiable or prohibited matter) to authorize such Customs personnel to open and inspect the contents of the sealed mail, or to appear at the Post Office to accept delivery of the sealed mail in the presence of a Customs official.

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

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

**274.96 Mail Addressed to Prisoners**

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

**275 Physical ADP Security**

**275.1 General**

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

**275.2 ADP Contingency Planning**

**275.21 General**

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

**275.22 Backup Principles**

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

- a. If warranted, provide backup power to handle limited essential processing and support, such as air conditioning and humidification.
- b. For extremely essential processing, provide equipment to monitor and adjust the voltage, current, etc., needed to maintain uninterrupted service.
- c. Determine the location of computer installations that can provide backup processing for essential jobs, and negotiate mutual backup agreements.

- d. Locate off-site storage for backup programs and data sets in a separate location beyond the immediate area of the data processing facility but near enough to be readily accessible in case of emergency. Records must be retrievable round-the-clock.
- e. Consistent with the importance of the data and the cost of reconstruction, establish and follow a periodic (daily, every other day, weekly, etc.) backup schedule for files and programs, including transfer and updates, at the off-site storage facility.

#### 275.23 **Contingency Plans**

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

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

#### 275.3 **Periodic Reviews**

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

### 276 **Firearms Security**

#### 276.1 **Issuance of Firearms**

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

#### 276.2 **Violations of Firearms Security**

##### 276.21 **Having Firearms on Postal Property**

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

**276.22 Possession of Firearms by Postal Service Employees**

Except for Postal Service employees who are authorized by the chief postal inspector or by the inspector general, Postal Service employees are prohibited from possessing firearms in the following instances:

- a. While on official duty, either on or off Postal Service property.
- b. While on or within Postal Service property at any time.

The term "possessing" includes carrying or storing of firearms.

**277 Identification Security****277.1 Purpose**

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

**277.2 Types of Accredited Identification****277.21 Headquarters Only****277.211 Top Officials**

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

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

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

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

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

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

**277.22 Headquarters and Field****277.221 Form 128, Travel and Admittance Identification Credential Card (Blue)**

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

**277.222 Form 1823, EEO Credential**

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

**277.23 Field Only****277.231 Form 1375, Employee Identification Card**

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

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

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

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

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

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

**277.234 Item 08405A, Temporary Employee Badge**

Item 08405A 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 08405B, Visitor Access Control Badge**

The format of Item 08405B is similar to the format of Item 08405A (temporary employee badge) and it is completed, issued, and destroyed in the same manner.

**277.236 Item 08405C, Contractor Access Control Badge**

The format of Item 08405C is similar to the format of Item 08405A (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

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#### 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 are the lines of succession to perform the duties of the Postmaster General (see section [112.11](#)):

- a. Chief retail and delivery officer and executive vice president.
- b. Chief logistics and processing operations officer and executive vice president.
- c. Vice president, area retail and delivery operations, western pacific.

**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

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### 311 Definition

Policy and procedure information is used by postal employees to perform their jobs and by the public to do business with the Postal Service. Such information:

- a. Contains policy statements, regulations, guidelines, procedures, and similar material issued by Headquarters.
- b. Is systematically managed by Corporate Information Services to ensure that it is current, accurate, and accessible as appropriate on paper, the Internet, Postal Service Intranet, local area networks, and CD-ROMs.
- c. Is published through the established Postal Service document architecture to enable systematic management.

### 312 Types

#### 312.1 Corporate

Policy and procedure information meant for national or corporate-wide implementation is issued by Headquarters organizational units and published through Corporate Information Services using the standard types of documents listed in [Exhibit 312](#). In emergency situations, mail, electronic mail, or fax may be used to distribute policies and procedures, but the responsible organization must incorporate them into a managed document as soon as possible for appropriate management purposes. In the interim, they should be posted on the Intranet Policies and Procedures home page as Memorandums of Policy.

## Exhibit 312

**Standard Headquarters Policy and Procedure Document Types**

Type of Document	Description	Distribution and Access
<b>Manuals</b>	Contain the basic policy information for the Postal Service.	Distributed as needed. Stocked in material distribution centers (MDCs). Posted on Postal Intranet.
DMM <i>Domestic Mail Manual</i>	Regulations and information about domestic mail services.	Available to public from Government Printing Office.*
IMM <i>International Mail Manual</i>	Regulations and information about international mail services.	Available to public from Government Printing Office.*
POM <i>Postal Operations Manual</i>	Policies for operation of post offices and for mail processing, transportation, and delivery.	Stocked for public in the MDCs.
ASM <i>Administrative Support Manual</i>	Policies for Postal Service administrative and support functions.	Stocked for public in the MDCs.
ELM <i>Employee and Labor Relations Manual</i>	Personnel policies and regulations governing Postal Service employment.	Stocked for public in the MDCs.
FMM <i>Financial Management Manual</i>	Overview of Postal Service financial policies, including accounting, budgeting, planning, and controlling assets.	Suspended.
PM <i>Purchasing Manual</i>	Purchasing and procurement regulations and policies.	Available to public from Government Printing Office.
<b>Handbooks</b>	Operating procedures, including related policies and instructions.	Distributed as needed. Most stocked in MDCs. Posted on Postal Intranet.
<b>Publications</b>	Appear in a variety of formats such as books, brochures, reports, etc. Generally, do not focus on policy as extensively as manuals; nor on task descriptions as extensively as handbooks. Often contain material intended primarily for the public, such as mailing guidelines or marketing information.	Distributed as needed. Most stocked in MDCs. Posted on Postal Intranet.
<b>Management Instructions</b>	Short, permanent instructions and policies for specific employee groups. Contain material too specialized, technical, volatile, or otherwise unsuitable for manuals or handbooks.	Distributed as needed. Most stocked in MDCs. Posted on Postal Intranet.
<b>Memorandums of Policy</b>	Memos for quickly distributing, to a target audience, policy information that may later appear in a more permanent form. Can be written with the use of an electronically stored template.	Distributed as needed. Not stocked. Posted on Postal Intranet.
<b>Posters</b>	Often (though not always) contain policy information that for any reason requires public display.	Distributed as needed. Most stocked in MDCs. Some posted on Postal Intranet.
<b>Labels, Signs, Tags, and Kits</b>	Brief instructions, information, identification, promotional material, safety and energy messages.	Most stocked in material distribution centers.
<b>Postal Bulletin</b>	Published biweekly. Used for temporary and emergency instructions and fast issuance of policies and permanent instructions before printing in permanent documents.	Distributed to all postal installations. Stocked in the MDCs for one year. Posted on Postal Intranet.

SUPERINTENDENT OF DOCUMENTS  
PO BOX 371954  
PITTSBURGH PA 15250-7954  
Telephone: (202) 512-1800  
Fax: (202) 512-2250

### 312.2 **Local**

#### 312.21 **Areas**

##### 312.211 **Operational Instructions**

Following the guidelines in [315](#), vice presidents of Area Operations may establish a standard document system for publishing policies and procedures to provide guidance to offices and other postal installations within an area's geographical boundaries. Such documents normally contain operating instructions and may supplement policies and procedures issued by Headquarters.

##### 312.212 **Internal Instructions**

Vice presidents of Area Operations may establish a standard document system of local policies and procedures information for use at their respective area offices to disseminate information to the area office staff on operating procedures, office services, and other subjects of concern to the immediate organization.

#### 312.22 **Other Installations**

Other field installations besides the areas may issue their own policy and procedure information to subordinates, following the instructions in [314.2](#) and [315](#).

### 313 **Responsibilities**

#### 313.1 **Headquarters**

##### 313.11 **Corporate Publishing and Information Management**

Corporate Publishing and Information Management (CPIM), Corporate Information Services, Information Systems, manages the national policies and procedures system.

##### 313.12 **Originating Organizational Units**

Originating organizational units ensure that their policies and procedures are current, complete, and adequately cleared with affected organizational units following procedures outlined in MI AS-310-96-3, *Management of Policy and Procedure Information — Paper and On-Line*.

##### 313.13 **Affected Organizational Units**

###### 313.131 **Labor Relations**

The vice president of Labor Relations clears information that contains any of the following:

- a. Material that causes the implementation of any changes involving technology or mechanization.

- b. Material that directly relates to wages, hours, and other terms and conditions of employment.

313.132 **Other Affected Organizational Units**

Officers of other affected functional organizations, including General Counsel and Corporate Relations, clear policies and procedures touching on issues that could have costly, embarrassing, or otherwise hazardous consequences to the Postal Service (see MI AS-310-96-3).

313.2 **Field**

313.21 **Areas**

Vice presidents of Area Operations ensure that their policies and procedures are current, complete, and available to those who need them. Such information is dated, organized by subject matter so that it can be filed behind or parallel to similar information from Headquarters, and obsoleted when no longer appropriate. A historical file is maintained so it will be possible (e.g., for legal reasons) to determine which instructions were in effect at any given time. Area policies and procedures must comply with Postal Service policy, including any appropriate collective bargaining agreement.

313.22 **Other Installations**

Installation managers ensure that Headquarters and area policies and procedures are current, complete, and available.

314 **Coordination**

314.1 **Headquarters Policies and Procedures**

Headquarters policies and procedures are coordinated and approved under [313.12](#) and MI AS-310-96-3, *Management of Policy and Procedure Information — Paper and On-Line*.

314.2 **Field Policies and Procedures**

314.21 **Areas**

Before issuance, area policies and procedures are coordinated through the vice president of Area Operations with the various area functional areas that have a substantive interest in the subject matter or whose programs or responsibilities are affected. If such information deals with any of the following subjects, it is coordinated with and documented by the appropriate functional areas at Headquarters:

- a. Wages, hours, and working conditions of bargaining unit personnel.
- b. Work methods, work standards, activity analysis, scheduling and staffing, performance objectives, and industrial engineering techniques.
- c. National program directive issued by Headquarters (particularly if it expands significantly on a Headquarters program directive).
- d. Any significant field initiatives not related to an approved national program.

**314.22 Other Installations**

Before issuance, field installation policies and procedures are coordinated with the appropriate functional areas at the installation; if they deal with any of the subjects listed in [314.21](#), they are also coordinated with the appropriate functional areas of the organizational level to which the installation head reports. That level of organization is responsible for initiating any further coordination.

**315 Prohibitions**

The following prohibitions must be observed:

- a. Do not issue instructions that conflict with any current directives.
- b. Do not repeat instructions that have already been disseminated to the action points by Headquarters or a higher level of field organization. This repetition is wasteful and can be confusing.
- c. Do not issue instructions to subordinate organizational levels “clarifying,” supplementing (except as authorized in MI AS-310-78-3), or rewording policies or procedures from a higher level organization unless the instructions specifically direct or authorize this action. Unauthorized rewording or interpretation can distort the intention of policy and instructions. If a policy or instruction is unclear or inadequate, go back through channels and ask the originator to issue clarifying or supplemental instructions.

**316 Action**

Field managers act directly in response to policies and procedures received from Headquarters and addressed to their level of management. They do not wait for an implementing order from intermediate levels of management.

**317 Ordering Policy and Procedure Documents**

Check Publication 223, *Directives and Forms Catalog*, for lists and sources of documents and for ordering instructions. The *Postal Bulletin* periodically updates the list of current documents issued by Headquarters and stocked in the material distribution centers.

**318 Public Accessibility and Sale****318.1 Availability for Review**

The following documents contain regulations directly affecting the public and are made available to the public for review on request:

- a. *Administrative Support Manual*.
- b. *Domestic Mail Manual*.
- c. *International Mail Manual*.
- d. *Postal Bulletin*.
- e. *Purchasing Manual*.

**318.2 Public Sale**

Most Headquarters policy and procedure documents are available for public sale through either the MDCs or the Superintendent of Documents. Members of the public can obtain information about availability and price by calling 1-800-332-0317. Those documents available only through the Superintendent of Documents can be obtained by contacting the following:

SUPERINTENDENT OF DOCUMENTS  
PO BOX 371954  
PITTSBURGH PA 15250-7954  
  
TELEPHONE: 202-512-1800  
FAX: 202-512-2250

**318.3 Free Publications**

The public may obtain certain policy and procedure documents free at local post offices. Postmasters keep supplies of these directives on hand. The list of documents free to the public is in Publication 223. These publications are stocked at the South River and Topeka material distribution centers and may be ordered on Form 7380, *MDC Supply Requisition*.

## 32 Forms Management

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**321 Policy**

A form captures, transmits, and stores data used to support postal business processes. Certain completed forms become official postal records and have legal or contractual implications. Forms must be retained as described in 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: <ul style="list-style-type: none"> <li>a. Collect personally identifiable information about a customer, employee, or other individual (such as name or Social Security number) directly from those individuals.</li> <li>b. Are completed by a customer, employee, or other individuals.</li> </ul>	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, Head-quarters, 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

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### 331 General

#### 331.1 Policy

The Postal Service is responsible for providing information about the postal system to the public.

#### 331.2 Responsibility

##### 331.21 Headquarters

The vice president of Corporate Relations is responsible for the Postal Service's public communications policies, programs, and functions. The vice president of Corporate Relations ensures that the staff:

- a. Responds to news media inquiries and provides information about the Postal Service to the public.
- b. Plans, approves, and manages the public affairs effort for the Postal Service.
- c. Advises the postmaster general and officers on actions necessary to keep the public well informed on postal policies and programs.

##### 331.22 Field Offices

The Corporate Relations Center managers are responsible for the functional guidance to support national, area, district, plant, and local communications policies and programs. These managers report directly to Corporate Relations at Headquarters. The managers advise the performance clusters, including vice presidents of Area Operations, district managers, plant managers, and postmasters of actions necessary to support postal communications policies and programs by doing the following:

- a. Advising the performance clusters and other field managers of actions necessary to support the postal communications policies and programs.
- b. Ensuring that performance clusters and other field managers support Postal Service public communications.

##### 331.23 Spokespersons

Vice presidents of Area Operations, district managers, plant managers, and postmasters are the principal local spokespersons for the Postal Service on all matters of interest to customers and the community. Corporate Relations, through the Corporate Relations Center managers, provides functional communications guidance in the field.

### 332 Public/Media Relations

#### 332.1 Policy

To provide full and accurate information about the postal system to the public, Corporate Relations initiates and maintains a relationship with the news media.

**332.2 Responsibility**

The Media Relations unit of Corporate Relations is responsible for developing policy and guidance to spokespersons to build relationships with the news media. Media Relations issues announcements and news releases, conducts news conferences, and responds to media inquiries. Information is released consistent with policy in Handbook AS-353.

**332.3 Procedures****332.31 Media Inquiries**

All national level inquiries from the news media must be referred to the Media Relations unit of Corporate Relations. When this is not feasible, Media Relations must be informed as soon as possible after the media contact and advised of the response provided. When requested by Corporate Relations, other organizational units must promptly provide information to Corporate Relations to ensure timely responses to the media.

**332.32 Advance Copies**

Advance copies of proposed media announcements and of all material intended to be printed for distribution to the public or for public display must be provided to Corporate Relations for review and approval.

**332.4 Field Managers****332.41 Local Media Relations**

Vice presidents of Area Operations, district managers, postmasters, and other facility managers are responsible for local media relations in their jurisdictions. Postal Service field managers must:

- a. Contact the Corporate Communications strategic communications manager for guidance on conducting media relations.
- b. See [Exhibit 332.41](#), Template: District Guidelines for Local Media Contacts.

Exhibit 332.41

### Template: District Guidelines for Local Media Inquiries

ALL DISTRICT EMPLOYEES, PLANT MANAGERS, POSTMASTERS  
[INSERT] DISTRICT

SUBJECT: Guidelines for Handling Local Media Inquiries

The Postal Service continuously strives to project a positive image, protect its brand, and present a unified message to the customers and communities it serves. So it is imperative that one person speaks on behalf of the Postal Service to deliver an appropriate message and to avoid giving misinformation to the media. Here are our district guidelines for how to handle media requests for official comment, including newspapers, radio, television, and social media such as Twitter and Facebook.

The most important step when receiving a media inquiry, request for information, or request for comment is to refer the media representative to the proper person. All media requests for official comment should be referred to [CONTACT JOB TITLE] [CONTACT NAME], at [CONTACT PHONE NUMBER] (work), [CONTACT PHONE NUMBER] (cell), or [CONTACT E-MAIL ADDRESS]. (If you are a craft employee, you should contact your supervisor or manager, who will refer the request to the appropriate communications specialist.) If you are unable to reach [CONTACT NAME] or the designated back-up person, contact [ALTERNATE NAME] at [ALTERNATE PHONE] or [ALTERNATE E-MAIL ADDRESS]. All offices are encouraged to keep this contact information close at hand for quick reference.

If you are contacted by a media representative, please respond politely that you are not authorized to respond on the Postal Service's behalf, but you will have an authorized person contact the representative. To that end, please ask the representative for this information:

- The name of the media representative;
- The name of the media organization;
- The representative's contact information (phone number and e-mail address); and
- A brief summary of the information requested.

After you have gathered that information, contact [CONTACT NAME] by phone or e-mail so an appropriate response can be developed (again, craft employees should first contact their supervisors or managers). Avoid the temptation to "answer a few questions." Keep in mind that, while most media representatives will identify themselves up front, sometimes they do not. If you are dealing with a customer, especially one who asks a series of questions, it is perfectly appropriate to ask, "Are you a member of the media?" Asking this specific question will help ensure your interaction is not used as the basis for any kind of "official" Postal Service statement or position.

Where a media inquiry could result in negative or controversial coverage, it is crucial that the Postal Service provide an official response as quickly as possible. So that such a response can be prepared, employees should contact [CONTACT NAME] immediately. [CONTACT NAME] will work with the appropriate functional areas to develop a response. I or a designee will review and approve the response before [CONTACT NAME] responds to the media.

Please make sure that all employees understand this policy.

[DISTRICT MANAGER NAME]  
District Manager

**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**

The community service activities policy (CSAP) 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 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 (charitable organization; [www.postalrelief.com](http://www.postalrelief.com)).
  - (3) The Employee Social and Recreational Fund (*Employee and Labor Relations Manual* (ELM) 615.4).
  - (4) Blood drives and marrow, stem cell, platelet and organ donation (ELM 519.51 and 519.52).
  - (5) Donations of surplus property (Handbook AS-701, *Material Management*, Subpart 647).
  - (6) Disposal of undeliverable mail (*Postal Operations Manual* (POM) 691.5).
  - (7) Free or reduced rate mailings (39 C.F.R. Part 3001, Subpart C, Appendix A).
  - (8) The National Association of Letter Carriers (NALC) Food Drive.
  - (9) Wearing a postal uniform for a non-operations purpose or in connection with an unofficial event (ELM 931.263 and 934.6).
  - (10) Use of an official Postal Service vehicle for non-operations purposes, e.g., Touch-A-Truck, parades, funerals, community displays, etc., that do not fall within the CSAP. (Such use requires approval by the vice president, Delivery and Retail Operations, and appropriate area vice president. If the event will take place during work hours or if employees will attend the event in uniform, the event must be approved by the postmaster, District manager, the vice president, Delivery and Retail Operations, and the appropriate area vice president. See PS Form 3337b, *Postal Vehicle Request*).

- (11) Use of postal funds and/or postal time for purposes that do not fall within the CSAP.
- (12) Operation Santa programs (Corporate Communications).
- (13) Other programs established by Postal Service regulations or approved by the Postmaster General.

**Note:** Postal Customer Council (PCC) postal and industry members interested in PCC participation in charitable and/or community service activities should check Publication 286, *Postal Customer Council Program Policies & Rules* (March 2007 or updated version, if any), and contact the Ethics Office for guidance.

#### 333.714 **Approval and Responsibility**

Only an Area vice president or HQ officer may approve participation in a community service activity. Employees should seek approval only for activities that appear to comply with this policy and that they are willing to sponsor. District managers may reject proposed activities without seeking higher-level approval for requests.

- a. Field personnel must follow these steps:
  - (1) Submit a PS Form 3337-A requesting preliminary approval for the activity to the district manager.
  - (2) If the district manager denies the request, the activity is not eligible for approval by the Area vice president.
  - (3) If the district manager approves the request, he/she forwards it to both the Area vice president and the managing counsel of the appropriate Field Law Office.
  - (4) Participation in the activity is permitted only if the Area vice president provides final written approval.
- b. Headquarters personnel must follow these steps:
  - (1) Submit a PS Form 3337-A requesting approval for the activity to the appropriate headquarters officer, and a copy of the request to the Ethics Office.
  - (2) Participation in the activity is permitted only after the headquarters officer provides final written approval.

#### 333.715 **Questions and Guidance**

Questions and requests for guidance on this policy should be directed to the Ethics Office at 202-268-6346 or [ethics.help@usps.gov](mailto:ethics.help@usps.gov), or to the appropriate Field Law Office.

#### 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, activities related to medical research, physical fitness, mental health).
  - (6) Promoting child safety and well-being.
- b. *Existing activity.* An eligible community service project, event, or cause is one that existed prior to any postal involvement. It must not have been created wholly by the postal employees who seek approval to participate in it. For example, employees may seek approval to participate in a clothing drive sponsored by a community homeless shelter, but not to create their own “freestanding” clothing drive unrelated to an existing community drive.
- c. *Avoid Controversy.* A supported project, event, or cause must not be political or religious, or likely to involve the Postal Service in controversy. Supported activities should not be sponsored by a political or religious organization.
- d. *Increase Brand Value.* Support of a project, event, or cause must reflect favorably on the Postal Service and enhance the value of its brand.

**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 enhancing labor-management relations, employee engagement, and 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 on their own time and in their personal capacities for the charities and causes of their choice, and to voluntarily contribute to the charities of their choice on their own or through the annual Combined Federal Campaign.

Any employee who wishes to serve a charitable organization as one of its executives or board members should seek advice from the Ethics Office before doing so.

The wearing of Postal Service uniforms while off-the-clock is governed by section 934.6 of the *Employee and Labor Relations Manual* (ELM).

**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 (computers, phones, iPads, fax machines, photocopiers, etc.) and resources (email, wireless, 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 regulations regarding Conduct on Postal Service Property (39 C.F.R. Part 232.1). *[Note: COPP prohibits the solicitation/collection of charitable donations anywhere on postal property (except as authorized by the Combined Federal Campaign). However, in non-public (generally, employee-only) areas of postal facilities, employees may solicit for and collect nonmonetary donations from employees for activities that have been specifically approved under the CSAP.]*
  - (4) Management Instruction FM 530-2013-5, *General Policy Regarding the Use of Government or Postal Owned or Leased Vehicles*, states the following:
    - (a) Only an appropriately-rated Postal Service employee may operate a Postal Service vehicle.
    - (b) 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 expenditure of Postal Service funds as follows:

- a. *Donations.* Except as provided in [333.742b](#), this policy does not authorize the donation of Postal Service money to charities.

- b. *Charitable Sponsorships [see definition at 333.712(b)].* An accountable manager may sponsor the participation of one or more employees in a community service event requiring a participation fee 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. Accountable managers should consult with Finance before approving, under this policy, the use of postal funds related to a community service activity.
- c. Any other use of Postal Service funds to support community service activities will not be approved.

**333.75 Questions and Answers About the Postal Service's Community Service Policy**

**333.751 General**

- Q1 *The Postal Service serves communities all over the country by delivering mail. Why should it do anything else?*
- A1 Community service not only helps others, it also helps boost employee morale and enhance the Postal Service's public image. The better our employees feel about the organization, the more engaged and motivated they will be to make it succeed. Further, our business and reputation benefit when customers view the Postal Service as a positive force in their community.
- Q2 *How should we publicize our successful community service projects?*
- A2 Contact communications specialists to assist with efforts to place information about approved community service projects in internal and/or external publications and venues, consistent with the Postal Service's corporate communications policies.

**333.752 Causes That Can Be Supported**

- Q3 *Does the Postal Service focus on certain causes?*
- A3 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.
- Q4 *The (fictitious) "Community Closet" organization is sponsoring a toys and coats drive for children. A postal employee requests approval to set up a collection bin in the employee break room so employees can participate in the drive. May this request be approved?*

- A4 Yes. If the employee's district manager concurs with the request, the Area vice president (AVP) may approve it. The coats and toys drive is an existing and approved cause ("Promoting child safety and well-being"), is being conducted in an employee-only area of the office, and involves soliciting/collecting only from employees. If a headquarters employee had made this request, the headquarters officer could approve setting up a collection bin for employee donations in a nonpublic headquarters location (i.e., an area accessible only after passing through security, not including the onsite coffee shop or the snack bar).
- Q5 Suppose the (fictitious) civic association named "Keep Downtown Beautiful" organizes an effort to restore Ye Olde Inn, a local landmark in Centertown. May postal employees be authorized under CSAP to assist with restoration efforts?
- A5 No, because "preserving history" is not a CSAP-approved cause. The Postal Service can best leverage its limited resources by focusing on just a few worthwhile causes. Postal Service employees may participate in such activities in their personal capacities, on their own time.

**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, donating work hours, and publicizing events.

- Q6 Employees at the Pleasantville Post Office want to take part in a back-to-school collection sponsored by a local television station. The activity will involve collecting backpacks and school supplies from employees, and then delivering the items to the television station while on the clock and using a postal vehicle. May the AVP approve the activity?
- A6 Yes. This is an appropriate cause ("Promoting child safety and well-being"), and the AVP may approve not only the collection of these items from employees, but also the on-the-clock use of a postal vehicle to deliver them (with an authorized postal driver).
- Q7 Suppose a (fictitious) organization called "Crisis Care" organizes a 5-mile walk for cancer survivors and their families, and three postal employees want to participate. The registration fee is \$500 per person. May the AVP or headquarters (HQ) officer approve Postal Service sponsorship of these employees?
- A7 It depends. The amount of the registration fee, \$500, indicates that the fee is largely a straight charitable donation (i.e., beyond the amount necessary to cover the cost of participating in a 5-mile walk). Although "promoting wellness" is an approved cause, consider whether using \$1,500 in postal funds to sponsor three employees' participation in this event is likely to raise appearance and "special treatment" concerns. A lower registration fee, for example an amount under \$50, would be less likely to raise these concerns. No official below the vice president/officer level may approve a charitable sponsorship, or any other community service activity.

- Q8 *Centertown's "Keep Downtown Beautiful" organization schedules a clean-up day in the spring, and asks all local businesses to help pick up trash, plant flowers, and paint over graffiti. Employees at the Centertown Post Office want to help out. Is this an eligible activity under the policy?*
- A8 Yes. Enhancing the environment is an approved cause, so the employees may *voluntarily* participate if approval is obtained from their AVP (employees must never be directed or pressured to participate in a community service event). And, of course, the Postmaster must put the needs of the Postal Service first — employee participation in the clean-up cannot interfere with, or detract from, the successful completion of Postal Service business.
- Q9 *Suppose "Keep Downtown Beautiful" asks the Postal Service's participants to make copies of a flyer to publicize the clean-up day. May the AVP approve this request?*
- A9 Yes, if the AVP approves employee participation in the clean-up day under the CSAP, he or she may also allow employees' incidental use of Postal Service resources (for example: paper, copier, computer) to create and/or make copies of a flyer.

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 collections of non-monetary items, loaning vehicles, waiving postage costs, donating money, raising funds from employees and customers, and sponsoring events.

- Q10 *The Nicetown Chamber of Commerce is sponsoring a toiletries drive to benefit local shelters. A group of Nicetown Post Office employees have asked if they may participate in the drive by encouraging community members and employees to leave donations of shampoo, toothpaste, combs, and other items in collection bins set up in the Post Office lobby. May the AVP approve this request?*
- A10 No, not if the employees intend to solicit donations from the public and place collection bins in the lobby. Employees may not solicit donations — monetary or non-monetary — from customers and members of the public. In addition, collection boxes for charitable donations *may not* be set up by anyone in any area open to the public at any postal location. However, the Nicetown employees *may* participate in the toiletries drive if they solicit *donations only from postal employees*, and collect the employee donations in an *employee-only* area of their facility.
- Q11 *Carriers at the Pleasantville Post Office want to participate in a back-to-school drive to collect school supplies. The drive is organized by a local postal union and television station in Pleasantville, and will solicit donations from the public. The carriers would like to park their postal vehicles during their lunch breaks at various drop-off points throughout the city so members of the public can come by with donations. May the AVP approve this?*

- A11 Only if the carriers are not involved in *soliciting* the public for donations. If the *solicitation* for donations is conducted by the union and/or television station, and the carriers' only involvement will be to collect the donations at drop-off points, the AVP may approve the activity.
- Q12 *Suppose the Centertown Postmaster seeks approval under this policy to allow Centertown Post Office employees to participate in a "Keep Downtown Beautiful" event. The Postmaster plans to assign employees to participate with specific tasks, such as picking up trash, planting flowers, painting over graffiti, etc. May the Postmaster **assign** employees to help out?*
- A12 No. The Postmaster may not direct, order, or pressure employees to participate in a community service event, even if it has been approved by the AVP. Employee participation in CSAP activities must be voluntary. Unless there is employee interest in voluntarily participating in this activity, the Postmaster should not seek approval for it under the CSAP.
- Q13 *If the "Keep Downtown Beautiful" organization needs a vehicle to haul painting and gardening equipment for Spring Clean Up Day (see Q8), may the Postmaster loan one out to the organization for a day?*
- A13 No. The Postal Service does not loan its vehicles to other organizations. However, the AVP *may* authorize an appropriately-rated employee to operate a vehicle in connection with an approved community service activity. In deciding whether to authorize use of a Postal Service vehicle, the AVP 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.
- Q14 *Suppose "Keep Downtown Beautiful" wants to mail out flyers about Spring Clean Up Day. May the Postal Service waive the cost of postage?*
- A14 No. The Postal Service may send out a mailing about an approved community service event only if the mailing is done under the Postal Service's own name and using its own mailing permit. The Postal Service will not waive or reduce the cost of postage for *any* customer.
- Q15 *Suppose "Crisis Care" asks the Postmaster for a \$100 donation, and the Postmaster requests approval for the donation through the CSAP. May the AVP approve the request?*
- A15 No. The AVP must deny the request because the policy does not authorize the outright donation of Postal Service funds, even for an approved cause. Requests under the CSAP must be made by a postal employee or employees, and involve some level of employee participation.
- Q16 *Suppose "Crisis Care" asks the Postmaster to encourage employee contributions to its annual fundraising campaign, or to allow someone from "Crisis Care" to attend a stand-up talk and seek donations. May this request be approved?*

- A16 No. Federal and postal regulations prohibit the solicitation of charitable donations in the workplace and on postal owned or controlled property. Postal employees may only be solicited for charitable donations in the workplace through the Combined Federal Campaign (CFC). This request should not be submitted through the CSAP process. Instead, the Postmaster must deny Crisis Care's request, but may suggest that the organization contact the local CFC agency to find out how to apply to become an approved CFC charity.
- Q17 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. May this request be approved?
- A17 No, the Postmaster must also decline this request. Although the CSAP permits the incidental use of Postal Service facilities in conjunction with an approved project or event, the use must comply with the Conduct on Postal Property regulations (COPP). The COPP regulations prohibit the solicitation and/or collection of monetary donations on property owned or leased by the Postal Service, other than through the CFC. Non-monetary items may be solicited for and collected from postal employees when authorized under this policy, but only in employee-only areas of a facility.
- Q18 Suppose "Crisis Care" is bringing a popular entertainment group to the local civic center for its biggest fundraiser 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. May this request be approved?
- A18 No. This request may not be considered under the CSAP because it is a sponsorship request from an outside organization, not an employee request for approval of employee participation in a community service activity. Refer Crisis Care's sponsorship request to the director, Brand Marketing (Marketing); manager, Brand and Policy (Corporate Communications), and chief counsel, Procurement/Intellectual Property Law (Legal).

333.755 **Organizations the Postal Service Can and Cannot Work With on Community Service Activities**

The following questions and answers concern the acceptability or unacceptability of the Postal Service and its employees working on community service activities with unions and management associations, religious organizations, political groups, and controversial groups.

- Q19 How does this policy affect the annual food drive sponsored by the National Association of Letter Carriers (NALC)?
- A19 The policy does not cover or affect the annual NALC food drive, which is governed by a longstanding agreement between the NALC and the Postal Service. The food drive is a postal-approved activity managed separately from the CSAP.
- Q20 Suppose the (fictitious) "First Baptist Church" organizes a campaign to provide clothing to people whose homes were destroyed by a hurricane. Its 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?

- A20 No. While assisting disaster victims is an approved cause, the AVP should not approve this request, for two reasons. First, under this policy, a request for the Postal Service to sponsor employee participation *should be generated by an interested employee or group of employees*, not by the representative of an outside group (in this case, the minister). Second, even though there is nothing religious about collecting clothing, the Postal Service's participation in an activity sponsored by a particular religious denomination may be perceived as favoring that denomination, even if no favoritism is intended.
- Q21 *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. The Council's chairman contacts the Postmaster to ask if the Post Office will help. Could the Postal Service participate?*
- A21 No, for the reasons provided in the previous answer. Even if this request was made by a postal employee interested in participating in the Interfaith Council's clothing drive (and not by a member of the Interfaith Council), the Interfaith Council is considered a religious organization, despite the fact that it is non-denominational, because it is comprised of religious entities.
- Q22 *Suppose a clothing drive similar to the one described above is organized by the (fictitious) political association called the "Green Party Millennials." May postal employees participate under this policy?*
- A22 No, the HQ Officer or AVP must not approve this request. Again, although there is nothing inherently political about collecting clothing, participating in a clothing drive sponsored by a political association that is affiliated, or widely perceived as affiliated, with a specific political party may appear to be an endorsement of or favoritism toward that party, even if none is intended. However, employee participation in eligible community service activities sponsored by *non-partisan* organizations may be approved.
- Q23 *Suppose the (fictitious) "LGBT Crisis Care Center" organizes a 5-mile walk to benefit cancer victims in the community, and three postal employees have requested Postal Service sponsorship of their participation in the walk. The registration fee is \$30 per person. May the HQ Officer or AVP approve this request?*
- A23 Yes, the HQ Officer or AVP may approve the employees' request to participate in this walk if there is adequate funding in an existing budget. The amount of the per person registration fee — \$30 — indicates that it is intended to cover the actual cost of participating in the walk, not to serve as a direct charitable donation. And, because the Postal Service prohibits discrimination on the basis of sexual orientation, supporting an LGBT organization's efforts to assist all cancer victims is not considered controversial under [333.721c](#). It is important to remember, however, that the CSAP prohibits the Postal Service from promoting the political agenda of *any* organization. An event or project must serve an approved cause, such as promoting wellness or relieving hunger, and not be designed to further a particular political agenda.

- Q24 *Suppose a local health clinic widely known for performing abortions asks the Postal Service to buy a table at its fundraising dinner. May this request be approved under the CSAP?*
- A24 No. Although abortion is legal, it continues to be an issue of impassioned political debate. While the Postal Service has no policy for or against abortion, its mission is to help bind the nation together, and appearing to take a position one way or another on such an issue would detract from this mission. In addition, this is not an appropriate CSAP request because it is not a request seeking approval for employee participation in a community service activity.
- Q25 *The Bigtown Community Library sponsors an ongoing book drive for which donations can be made at collection boxes in locations across town. A postal employee submits a request to place a book drive collection box in the Bigtown Post Office's customer parking lot. May the AVP approve this request?*
- A25 No. Participation in a book drive may only be approved under CSAP when solicitations for donations are only made to postal employees, and when the collection of donated books will be conducted in an employee-only area of the postal facility, not in an area open to the public.

### 333.76 **Requesting Approval for an Activity Under This Policy**

#### 333.761 **PS Form 3337-A**

PS Form 3337-A, *Community Service Activity Participation Request*, must be completed and submitted far enough in advance of the event/activity to provide sufficient time for the DM and AVP or HQ Officer to fully consider the community service activity request. It is recommended that requests be submitted to the DM and AVP or HQ Officer **at least 30 days prior to the event/activity**. The process for requesting approval is set forth in 333.714, and repeated in the “Instructions” portion of PS Form 3337-A. **Participation in community service activities must be approved through this process.**

**Note:** PS Form 3337-A (January 2017) replaces PS Form 3337-A (July 1999; updated through July 2014). The form is available on the Postal Service Intranet at <http://blue.usps.gov/cpim>. PS Form 3337-B has been made obsolete.

#### 333.762 **Sample Completed PS Form 3337-A**

A sample completed PS Form 3337-A is provided as [Exhibit 333.762](#). Direct questions about the information requested on the form to the Ethics Office at 202-268-6346 or [ethics.help@usps.gov](mailto:ethics.help@usps.gov).

Exhibit 333.762

**Sample of Completed PS Form 3337-A, Community Service Activity Participation Request**
**Community Service Activity  
Participation Request**
**READ THESE INSTRUCTIONS!*****Eligibility:***

The community service activity must fit in at least one of the following categories:

1. Assisting victims of a disaster.
2. Relieving hunger.
3. Promoting education/literacy.
4. Enhancing the environment.
5. Promoting wellness.
6. Promoting child safety and well-being.

If the activity does not fall under one or more of these categories, it is not eligible for approval.

***Field Personnel:***

1. Complete Parts A and B of this form, then submit it to the District Manager (DM) to request preliminary approval (Part C).
2. If the DM denies the request, it is not eligible for approval by the Area Vice President (AVP).
3. If the DM approves the request, it is forwarded to the AVP (to complete Part D), with a copy to the Managing Counsel of the appropriate Field Law Office.
4. Participation in the activity is permitted only if the AVP provides final written approval (Part D).

***Headquarters Personnel:***

1. Complete Parts A and B, then submit the request to the appropriate headquarters officer (**copy the Ethics Office**).
2. Participation in the activity is permitted only if the officer provides final written approval (Part D).

**QUESTIONS?** Contact the Ethics Office at 202-268-6346 or Ethics.Help@usps.gov.

**A. Requester and Activity Information (to be completed by requester)**

Requester's Name <b>Pat Postal</b>	Position <b>Postmaster</b>
Work Location <b>Mytown, AK</b>	Work Phone <b>(305) 555-5555</b>
USPS® Email Address <b>pat.q.postal@usps.gov</b>	Manager's Name <b>Mel Maniger</b>

Requester's Signature and Date  
**Pat Q. Postal 9/15/2016**

1. Name of Proposed Community Service Activity <b>Mytown Community Holiday Drive</b>						
a. Which of the six mandatory eligibility categories apply? (circle all that apply)	1	2	3	4	<input checked="" type="radio"/> 5	<input type="radio"/> 6
b. Is this an <b>existing</b> activity (one that existed prior to Postal Service™ involvement)?	<input checked="" type="checkbox"/> Yes		<input type="checkbox"/> No			
2. Description of the Proposed Community Service Activity (provide details):						
a. Description of the community service activity:  <b>The Mytown Holiday Drive is a community event that benefits local residents in need. People can make donations of warm winter clothing, unused toiletries, and children's toys, which are distributed to local shelters.</b>						
b. Name and description of the community organization(s) or group(s) hosting/sponsoring the activity:  <b>The Holiday Drive is an annual event sponsored and organized by the Mytown Coalition of Community Charities (MCCC).</b>						
c. Date(s) of the activity: <b>The drive starts 11/1/2016 and ends 12/15/2016.</b>						

**Sample of Completed PS Form 3337-A, Community Service Activity Participation Request**

d. What is the Postal Service's role in this activity?

The Postal Service would allow a collection bin in the employee break room during this period and then take all donated items to the MCCC office at COB on December 15.

e. Describe how Postal Service employees will participate (*participation is always entirely voluntary*):

I will coordinate our participation with MCCC and provide a collection bin. Other employees can volunteer in any or all of the following ways: make signs for the break room explaining the collection, donate items, and help transport items to MCCC.

**B. Postal Operations and Budget (to be completed by requester)****Impact of the proposed activity on Postal Service operations and budget**

1. How many postal employees are expected to voluntarily participate? Approximately 20

2. Will any employee participation take place on the clock?  \*Yes  No

a. \*If yes, approximately how many employee work hours will be used in each of the following categories?

3 Initial coordination and planning

2 Messaging about the activity (*internal and external*)

2 Hands-on participation in the activity (see examples on PS Form 3337-B)

1 Driving a postal vehicle(s)

  Other (*please describe:* \_\_\_\_\_ )

8 TOTAL

b. Will employees' on-the-clock participation affect official Postal Service business in any way on the date(s) of the activity?

Yes  No If yes, describe why and how:

3. What types of postal equipment and resources are required by this activity? (*describe types and proposed use in detail*):

a. Vehicles

I would like to use an administrative vehicle to deliver donations.

b. Facilities

We need a small space in the break room for the collection bin.

c. Office/communications equipment Computer to create signs about the drive and a copier and paper to print out the signs for the break room.

d. Funds (*specify amount and proposed use*)

No funds are necessary or requested.

4. If use of a vehicle(s) is requested, provide the name/title of the employee(s) who would operate the vehicle(s):

I would drive the vehicle to deliver the collected items

(Pat Postal, Postmaster).

5. Use this space to provide any additional information you would like the DM, AVP, or HQ officer to consider. This activity is easy for employees to participate in and will make them feel good about helping the less fortunate community members stay warm in the winter and be remembered at the holidays. This activity is of interest to the employees in our office.

**Sample of Completed PS Form 3337-A, Community Service Activity Participation Request****C. Determination by District Manager (Field Only)**

District Manager's Name / District

Dale Dee Em

 I have denied the request and notified the requester. I have approved the request and forwarded it to the AVP and Managing Counsel, Field Law Office.

DM Signature

Dale Dee Em

Date

9/20/2016

**D. Determinations by AVP or HQ Officer**

Is the proposed community service activity:

- |  |   |  |
|--|---|--|
| 1. Within one of the mandatory categories?                               | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No            |
| 2. Part of an existing community service activity?                       | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No            |
| 3. Political or religious, or likely to involve the USPS in controversy? | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> No |
| 4. Likely to reflect favorably on USPS and enhance the brand?            | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No            |
| 5. Likely to enhance employee engagement, morale and development?        | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No            |
| 6. Appropriate to use to promote USPS products or services?              | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> No |

**Determinations on specific requests related to this activity:**

- |   |   |                             |   |
|---|---|-----------------------------|---|
| 7. May employees who choose to participate do so on the clock?  | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |   |
| 8. Amount of postal funding requested: <u>\$0</u> Approved?   | <input type="checkbox"/> Yes            | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A |
| a. Who is responsible for ensuring that funds are used for this purpose?<br><u>N/A</u>  |   |                             |   |
| 9. If use of a vehicle has been requested, is it approved?  | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A            |
| a. Please provide here any special instructions regarding the vehicle use:<br><u>Only the postmaster or another authorized employee may drive the vehicle to deliver the donations to the MCCC.</u> |   |                             |   |

**Overall determination**In accordance with the Community Service Activities Policy, I approve (approve/deny) this request.

Special instructions, if any:

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AVP or HQ Officer Signature

Val Veip

Date

10/1/2016

Area or HQ Organization

Northern Area Office

**Check to confirm that notice of this determination will be provided to:**

- Requester  
 DM or HQ manager  
 Managing Counsel, Field Law Office or HQ Ethics Office
-

## 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.

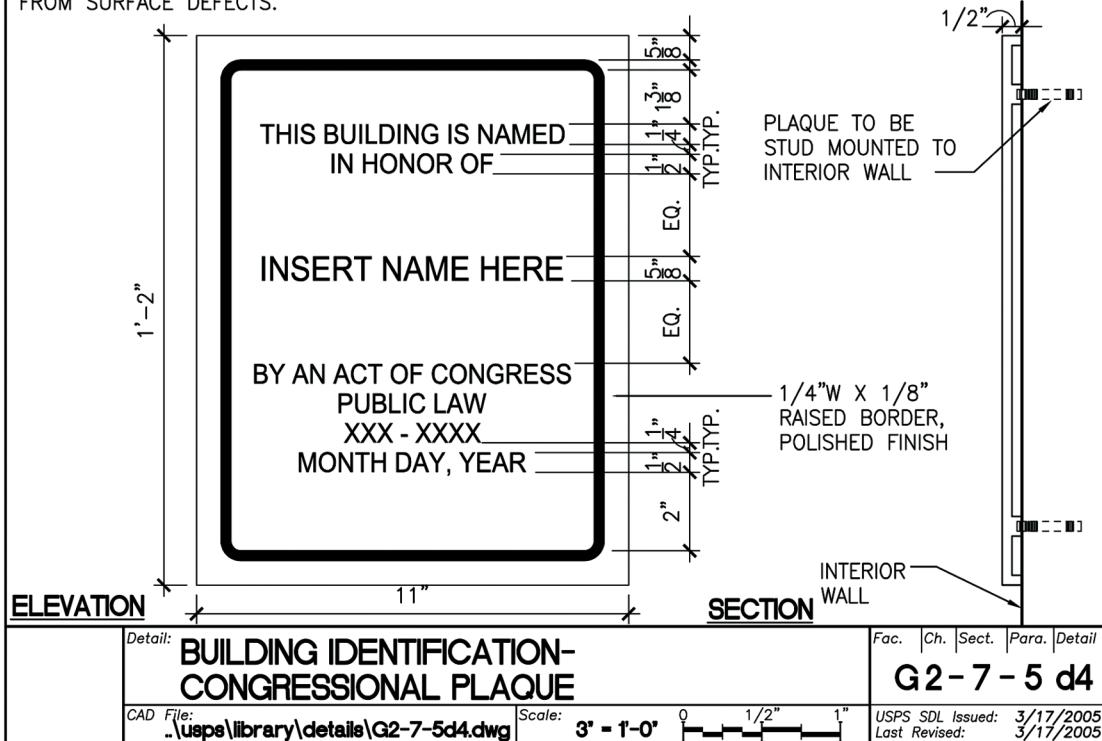
The district manager, in conjunction with Government Relations and the local Public Affairs and Communications office, develops and implements plans for a dedication ceremony, if applicable. In general, schedule the ceremony at least 6 weeks after ordering the plaque to allow enough time for delivery 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.



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

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### 341 General

#### 341.1 Policy

It is Postal Service policy to communicate postal information and management objectives to employees to promote understanding and cooperation.

#### 341.2 Responsibility

The vice president of Corporate Relations is responsible for communicating information, management policies, and objectives to employees through direct mail, official publications, workroom posters, news announcements, video programs, and graphic displays. The vice president advises the postmaster general on actions necessary to keep postal employees well informed of postal policies and programs.

### 342 Publications

#### 342.1 National Employee Publications

Corporate Relations communicates with employees on a regular basis in *Postal Life*, a service-wide publication. Other print material such as *Leadership*, *Newsbreak*, *Direct Line*, letters, postcards, brochures, newsletters, and posters may be used to convey special messages or support specific postal goals and objectives. *Postal Link*, an electronic newsletter for managers and supervisors, is distributed twice weekly via cc:mail. *Straight Talk*, an electronic newsletter for line supervisors and postmasters, is distributed weekly via cc:Mail.

#### 342.2 Area Employee Newsletters

##### 342.21 Criteria

As the most economical and effective means of communicating with employees, Corporate Relations Centers publish for each area a monthly employee newsletter titled *Area Update*. A four-page insert of national news, policy, and management information is prepared for each issue by Corporate Relations, Headquarters. An alternative format for performance cluster tabloid newspapers is also available.

##### 342.22 Newsletter Design Guidelines

The following design guidelines are used for *Area Update*:

- a. *Size*. Approximately 8-1/2 by 11 inches.
- b. *Number of Pages*. From 8 to 32 pages.
- c. *Ink*. Black only recommended for text. Pantone Matching System (PMS) 485 (red) and PMS 294 (blue) may be used for spot color according to guidelines provided by Headquarters Creative Services.
- d. *Frequency*. Monthly.

- e. *Distribution.* All area employees, mailed to their homes. The Minneapolis Information Systems Service Center provides mailing address labels in desired format each month.
- f. *Printing.* See [363](#) 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]

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# 36 Web-Based Communications

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### 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](http://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*.)

## 363 **Social Media Policy**

### 363.1 **Background & Policy**

This policy applies to:

1. All USPS employees; and
2. All USPS contractors, consultants, agents and other Related Parties (as defined in [Section 363.7](#) below).

Capitalized terms, unless otherwise defined herein, have the meaning set forth in [Section 363.7](#) below. Unless otherwise specified, references to "you" and "your" in this policy refer to all Postal Service employees and Related Parties.

This [Section 363](#) of the Administrative Support Manual (**ASM**) sets forth official policies regarding (i) the use of Social Media on Postal Service issued equipment (see [Section 363.3](#)), (ii) the creation and oversight of official Postal Service Social Media accounts (see [Section 363.4](#)), (iii) Professional and Official Use of Social Media on behalf of the Postal Service, including the creation of Official and Sponsored Content (see [Section 363.5](#)), and (iv) Personal Use of Social Media by USPS employees and Related Parties (see [Section 363.6](#)).

If you use Social Media in an Official or Professional Capacity, or if you create, obtain, share or post Official Content or Sponsored Content, you must adhere to the requirements set forth in this policy. If you use Social Media in a Personal Capacity, this policy sets forth both rules and recommended guidelines for such use.

### 363.2 **Compliance**

#### **Compliance Measurement**

Failure to follow this policy, except for the guidelines set forth in [Section 363.6\(1\)](#) (Recommended Guidelines), could result in corrective action up to, and including, removal from the Postal Service. Any Related Party that does not comply with the requirements of this policy may be required to post a remedial disclosure, correction or retraction at USPS's request, and/or have its USPS sponsorship and/or contract terminated.

#### **Compliance with Legal Requirements**

This [Section 363](#) of the ASM (Social Media) replaces the former [Section 363](#), but otherwise is not intended to and does not nullify or modify any existing Legal Requirements (as defined in [Section 363.7](#)) that apply to Postal Service employees and/or Related Parties, including, but not limited to, Postal Service policies that govern conduct, ethics, privacy, and the use of Postal Service equipment, including the requirement that no employee will be disciplined except for just cause or to promote the efficiency of the service, as applicable. Notwithstanding the foregoing, while other Postal Service policies may impose additional and/or stricter requirements regarding Social Media use, in the event of a direct conflict between the terms of this policy and the terms of another Postal Service policy regarding Official, Professional or Personal Use of Social Media, the terms of this policy shall control.

**363.3 Social Media Access on Postal Service Issued Equipment**

Employee use of Postal Service equipment for the purpose of participating in Social Media may subject the Postal Service to legal and information security risks. The Postal Service restricts access through certain equipment to Restricted Social Media Sites.

If you require access to one or more Restricted Social Media Sites on your Postal Service issued equipment for work-related purposes, you must submit an application through eAccess. When submitting an application, you must include:

1. a business case justification for your access that describes the work-related purpose to be served;
2. a list of the Social Media sites you intend to use or visit;
3. the average amount of time per week that you intend to use Social Media;
4. the approximate length of time during which you require Social Media access; and
5. an affirmation that you have reviewed and will comply with this Social Media Policy.

The Postal Service may, in its sole discretion, deny your request for access for any business reason, including, without limitation, if it determines that:

1. your application is incomplete;
2. your job responsibilities do not require you to have access to Social Media;
3. granting you access to Social Media is not an efficient use of Postal Service resources; or
4. the potential legal and information security risks associated with granting you access outweigh the benefits to the Postal Service of granting such access.

If your request for access is granted, you should only use Postal Service equipment for accessing Restricted Social Media Sites for the purpose of fulfilling Official Duties and furthering organizational goals and objectives. The Postal Service in its sole discretion may revoke your access at any time and for any reason whatsoever.

If you are a designated eAccess approver, when you approve a request for access to Restricted Social Media Sites, you are confirming that the employee's Official Duties require that the employee have access to one or more Restricted Social Media Sites.

**363.4 Social Media Account Management****1. Account Establishment.**

- a. Platform Terms. When you open a Social Media account for the Postal Service, you are entering into a contract on behalf of the Postal Service and subjecting the Postal Service to legal risks and responsibilities, such as indemnification obligations.

Therefore, subject to the below requirements including approval of the Social Media Management Team, each official Social

Media account must be established by (i) an “**Authorized Officer**” of the Postal Service, meaning someone with authority to bind the Postal Service pursuant to a written delegation of authority prepared by the Law Department and signed by the Postmaster General, or (ii) another USPS employee to whom the Authorized Officer has re-delegated his or her authority in writing (an **Authorized Delegate**). All other individuals are prohibited from establishing accounts on behalf of the Postal Service.

Before establishing a new Social Media account, an Authorized Officer (or his or her Authorized Delegate) must:

- (1) establish (or ensure the existence of) Social Media Guidelines for the account,
- (2) review the platform’s terms of use (the **Platform Terms**) and determine that they do not expose the Postal Service to undue risk,
- (3) obtain the written approval from a representative of the Social Media Management Team and the authorized Vice President managing USPS’s social media activities, and
- (4) coordinate with the Law Department and the Privacy and Records Office in order to minimize risks and ensure compliance with laws.

The Social Media Management Team and/or the authorized Vice President, at their discretion, may deny a request to open a new Social Media account for any business reason. All decisions made regarding a request to open a new Social Media account are final. The Social Media Management Team will maintain a list of the Postal Service’s official Social Media accounts. Each Authorized Officer (or his or her Authorized Delegate) shall maintain a list of all Social Media accounts that he or she has established on behalf of the Postal Service, as well as the user names, passwords and Account Administrators (defined below) for each account, and shall be responsible for safeguarding such information (such as by storing it in a locked drawer or in an encrypted file that is password-protected). In addition, the Authorized Officer (or his or her Authorized Delegate) shall provide to the Social Media Management Team upon request the password and user name for any account established by such Authorized Officer. The Authorized Officer for an account is responsible for registering that account with the Social Media Registry at <https://www.digitalgov.gov/services/u-s-digital-registry/>.

- b. Appointment and Oversight of Account Administrators. When seeking to open a new official account, the Authorized Officer must select one or more Postal Service employees, or, subject to the requirements specified below, Related Parties, to administer and monitor the account (the **Account Administrators**). The Social Media Management Team along with the Authorized Officer is responsible for supervising the Account Administrators

- to ensure that they perform their responsibilities under this policy. Related Parties may be designated as Account Administrators by the Authorized Officer only with the approval of the Social Media Management Team and under the supervision of both the Authorized Officer and the Social Media Management Team. Contractors, consultants, or agents would operate under the authority of the Social Media Management Team and Authorized Officer as well as possess agreements in their contracts with Supply Management that cover this area of business.
- c. Community Guidelines and Account Notices. Before a new official account is established, the Account Administrators must coordinate with the Law Department to ensure that Community Guidelines, a statement of purpose, a link to the Postal Service's Privacy Policy, and other important information will be displayed on the account or made clearly available through a link on the account (collectively, **Account Notices**). The Account Notices are intended to protect the Postal Service by governing the activity of individuals who visit official Postal Service accounts.
  - d. Grandfathered Official Accounts. The requirements set forth in Section 363.4(1) shall not apply to Social Media accounts that were established by USPS Headquarters employees (including, without limitation, members of the U.S. Postal Inspection Service) for the purpose of conducting official USPS business prior to the adoption of these requirements (collectively, **Grandfathered Official Accounts**). The USPS employee responsible for administering the Grandfathered Official Accounts (which are subject to review by the Social Media Management Team), pursuant to his or her Official Duties, shall be deemed to be the Account Administrator for such accounts for purposes of this policy. The employee is required to display Account Notices on, and adopt Social Media Guidelines for, the Grandfathered Official Accounts that he or she oversees to ensure compliance with all USPS social media policies. Additionally, the Account Administrators for each Grandfathered Official Account must submit to the Social Media Management Team (i) the url for the account, (ii) the name and contact information of each Account Administrator, and (iii) such other information related to the account as the Social Media Management Team shall request.

## 2. **Account Administration.**

- a. Legal Compliance. The Account Administrators, supervised by the Social Media Management Team, for a particular account are responsible for:
  - (1) ensuring that the account and all Official Content for that account comply with (A) all Legal Requirements, (B) the Account Notices, (C) the Social Media Guidelines, and (D) the Platform Terms;

- (2) maintaining the look and feel of the USPS account branding; and,
- (3) coordinating with the Law Department to ensure that the Account Notices are up-to-date and the current version is on file or posted.

If the Social Media Management Team and the Authorized Officer (or designee) have a disagreement on account activity, the Social Media Advisory Panel will have the opportunity to review and issue a final decision.

The Account Administrators shall periodically (and promptly upon receipt of any notice from the platform that the Platform Terms have changed) review the Platform Terms. In addition, the USPS Account Administrators are required to monitor the use of that account and to notify the Law Department if the account becomes a major entry point for usps.com. If you are not sure whether an Official Account is a major entry point for usps.com, consult the Law Department.

- b. Content and Comments. Except as otherwise provided in this clause (b) of [Section 363.4\(2\)](#), only the Account Administrators for an account may post Official Content to that account on behalf of the Postal Service. Before adding any Official Content to an account (or instructing another employee or Related Party to do so), the Account Administrators must ensure that all approvals and clearances required hereunder have been obtained. Notwithstanding the foregoing, another USPS employee or a Related Party may post Official Content to an Official Account if an Account Administrator has approved that Content in writing and specifically instructed the employee or Related Party to post that Content to that account. However, in order for a Related Party or another USPS employee to post Official Content to an Official Account, he or she must first be properly trained through the official Social Media Training Program as defined in the Learning Management System (LMS) and receive written permission from a member of the Social Media Management Team. In addition, employees and Related Parties may respond to user comments on Official Accounts in accordance with [Section 363.5](#) below. The Account Administrators and/or the Social Media Management Team must monitor user posts and comments and endeavor to hide comments that include infringing materials, disclose Personally Identifiable Information (PII), or otherwise violate the Community Guidelines.

### 363.5 **Official and Professional Use of Social Media; Official Content; Sponsored Content**

The following rules apply to USPS Account Administrators and all other Postal Service employees and Related Parties when using Social Media in an Official or Professional Capacity, and when creating, obtaining, sharing or posting Official Content or Sponsored Content.

Except as otherwise specifically provided in this policy, Related Parties and other third parties are prohibited from (i) establishing or maintaining Official Accounts or posting Official Content on behalf of the Postal Service, or (ii) representing, or communicating on behalf of or for, the Postal Service through Social Media. Related Parties may (i) post Official Content in accordance with clause (b) of [Section 363.4\(2\)](#), (ii) serve as Account Administrators in accordance with [Section 363.4\(1\)](#), and (iii) monitor and/or respond to user comments, create or obtain Official Content, and create or post Sponsored Content, on behalf of the Postal Service, if expressly authorized pursuant to a supply-management or other agreement with USPS and if such action is approved by the Social Media Management Team. Related Parties must comply with all official instructions, guidelines, contract terms, scripts and training materials provided by the Postal Service with respect to such conduct in addition to the terms of this policy.

Except as provided in [Section 363.4](#), USPS employees are prohibited from establishing or maintaining Official Accounts. Furthermore, USPS employees (i) must obtain prior authorization from an Account Administrator, an Authorized Officer or the Social Media Management Team, as applicable, before using Social Media in an Official or Professional Capacity, creating, obtaining, sharing or posting Official Content or Sponsored Content, or authorizing other employees or Related Parties to do so, and (ii) must comply with all official instructions, guidelines, scripts and training materials provided by the Authorized Officer, Account Administrator or the Social Media Management Team, as applicable, with respect to such conduct in addition to the terms of this policy.

***The rules under this [Section 363.5](#) do not apply to, and do not restrict, your Personal Use of Social Media (for rules and guidelines that apply to employees' Personal Use of Social Media, see [Section 363.6](#) below).***

1. **Goals.** Official Accounts are to be used to promote the Postal Service's brand, products, and services; to create a community of Postal Service customers and fans; to further the Postal Service's mission of providing efficient, reliable, and universal postal products and services; to provide useful notices and information to the public in accordance with the Postal Service's governmental authority; and for law enforcement purposes by the U.S. Postal Inspection Service. Use of an Official Account for any other purpose is prohibited, unless permitted by the Social Media Management Team and the Law Department expressly in writing.
2. **Protect the Postal Service and your reputation.** The web is not anonymous. Generally, everything that you post is accessible to anyone with a browser. Assume that everything you post can be traced back to the Postal Service and to you personally. Avoid any statement or comment that might harm the Postal Service's reputation or brand. When using Social Media in a Professional Capacity, be transparent about your role at the Postal Service and disclose that your views are your own and do not necessarily represent the views of the Postal Service.

3. **Refer any media inquiries to Corporate Communications.** If your official blog or other Official Account receives a media inquiry about the Postal Service or its products, services, or employees, you must call Corporate Communications at (202) 268-2155. Do not respond to any inquiries from the media.
4. **Intellectual Property.** Comply with intellectual property laws. Before you post, share, display, or otherwise make publicly available any Content that contains any logo, slogan, name, likeness, stamp image, design, idea, art, photo, video, application, sound, music, software, functionality, or other intellectual property, submit the Content to the Ad Review Team at [KN8ZD0@usa.dce.usps.gov](mailto:KN8ZD0@usa.dce.usps.gov), unless (i) such use is allowed by U.S. law for criminal law enforcement purposes or (ii) the Ad Review Team has advised that such Content need not be reviewed. **Do not assume that materials used in other USPS publications, online channels, events, or other communications venues are available for use on Social Media; the Postal Service may not have permission to use those materials elsewhere.**
5. **Accessibility.** Section 508 of the Rehabilitation Act of 1973 requires that electronic and information technologies purchased, maintained, or used by the Federal Government meet certain accessibility standards. If you are responsible for creating, procuring, or posting any Official Content, you should endeavor to ensure that such content satisfies the requirements set forth in Section 508. For multimedia content, use the following checklist to ensure it is accessible: <http://www.hhs.gov/web/508/accessiblefiles/checklistmulti.html>.
6. **Sponsored Content (such as testimonials, celebrity or tastemaker blogs and tweets, and brand ambassador posts).** If you are a celebrity, blogger, tastemaker, brand ambassador, or other party preparing, posting, or contributing to any Sponsored Content at the direction or for the benefit of the Postal Service or pursuant to a Postal Service sponsored initiative, you must:
  - a. Prominently disclose in each post any Material Connection that you have with USPS, such as an employment or contractual relationship or any consideration you have received directly or indirectly from USPS or a Related Party acting on USPS's behalf;
  - b. Currently use any product or service discussed in any Sponsored Content;
  - c. Ensure that all Sponsored Content is truthful and based on your actual experience, does not contain any misleading or unsubstantiated claims about USPS products or services or those of any USPS competitor, and does not make any claims about achieving untypical results;
  - d. Disclose that the Content constitutes your own views and opinions and not those of the Postal Service; and
  - e. Fully comply with all the terms of this policy and any releases, contracts, instructions or guidelines governing such Content or initiative.

If you work with third-party bloggers, celebrities, tastemakers, brand ambassadors or others on Sponsored Content initiatives as part of your Official Duties, you must (i) require such third parties who prepare, contribute to, and/or post Sponsored Content to fully comply with the terms of this policy, (ii) review their Sponsored Content to ensure compliance, and (iii) ensure that the Sponsored Content is submitted to the Ad Review Team at [KN8ZD0@usa.dce.usps.gov](mailto:KN8ZD0@usa.dce.usps.gov) before it is posted, unless the Ad Review Team has advised that such Content need not be reviewed. For instance, if you are working on an initiative that involves sending free merchandise to bloggers as an incentive to get them to blog about USPS, require the bloggers to disclose that they have a Material Connection with USPS and monitor their blog for compliance. Consult with the Law Department before initiating or engaging in a Sponsored Content initiative.

## 7. Promotional Content.

- a. Claims. All claims about the Postal Service and the Postal Service's services, products, brand, customers, and competitors must be:

- (1) truthful and not misleading;
- (2) substantiated by reliable evidence; and
- (3) not likely to cause harm to consumers.

Before you post any Content that includes such a claim, submit such Content to the Ad Review Team at [KN8ZD0@usa.dce.usps.gov](mailto:KN8ZD0@usa.dce.usps.gov), unless the Ad Review Team has advised that such Content need not be reviewed.

- b. Endorsements by the Postal Service. Do not post any Official Content or share any other information that could give the impression that the Postal Service endorses any product, service, private interest, or enterprise unless the Content has been reviewed by the Ad Review Team and the Ethics Office. See also [Section 333.6](#) of the Administrative Services Manual (ASM), "Endorsement of Nonpostal Products, Services or Businesses."

- c. Surveys, Contests, Sweepstakes, Chain Letters, and Promotions. Do not use Social Media to conduct any survey, contest, sweepstakes, chain letter, or promotion unless it has been approved by the Law Department, Labor Relations and the Privacy and Records Office. Notwithstanding the foregoing, you may conduct a survey or quiz provided that:

- (1) you do not collect, capture, store, or disseminate any information provided by participants (including, without limitation, the name of any participant),
- (2) you do not award a prize,
- (3) the survey is conducted in-house,
- (4) you do not in any way use or reference names, logos, or other intellectual property owned by a party other than the Postal Service, and
- (5) the purpose of the poll is not to gauge employees' support for their union.

8. **Responding to Customer Inquiries and Complaints on Official USPS Social Media Accounts; Service Announcements.** When responding to comments by and/or questions from customers, or issuing a simple hiring, service disruption or similar operational announcement, whether as a Postal employee or Related Party on Postal Service social channels, strictly follow any guides, instructions, scripts, training materials or other materials that have been provided to you by the Social Media Management Team, the Account Administrator or an Authorized Officer. Such guides, instructions, scripts and training materials must be reviewed by the Law Department prior to use.
9. **Linking.** Only the applicable Account Administrators may post external links on an Official Account. In order to post an external link on an Official Account, Account Administrators must comply with the rules and standards that apply to links on usps.com as set forth in the Management Instruction on the Web Site Affiliation Program (AS-610-2012-3 or any update thereto or replacement thereof). If the link and the surrounding text constitute an endorsement, then, in addition to complying with the Management Instruction, you must get approval for the endorsement from the Law Department and the Ethics Office.
10. **Privacy Policy and Requirements.** The Postal Service has an official Privacy Policy (available at [www.usps.com/privacypolicy](http://www.usps.com/privacypolicy)) and a handbook of regulations (Handbook AS-353, *Guide to Privacy, the FOIA, and Records Management*). Employees must be familiar and comply with these policies when engaging with customers via Social Media. Additionally:
  - a. **Respect privacy; never ask for personal social networking passwords.** While making a “friend” request to an employee or coworker is permitted, a request to obtain his or her password is not. To ensure that the privacy of employees’ and applicants’ personal blogs and social networking sites is preserved, do not ask employees, coworkers, or Postal Service job applicants for their personal login passwords. However, if you manage an Official Account for the Postal Service and leave your job, you must provide your manager with the login information to that Official Account before leaving the Postal Service or that role.
  - b. **Modifications.** Before adding any new application or functionality to a Social Media account, site, or presence, consult with the Law Department and the Privacy and Records Office in order to minimize risks and ensure legal compliance.
  - c. **Confidentiality.** Maintain confidentiality of files and materials that are marked “confidential,” “internal only,” “restricted information,” “sensitive” or “sensitive-enhanced information.” Do not publicly share any information marked “For Internal Use Only.”
  - d. **Personally Identifiable Information (PII).** Notwithstanding anything to the contrary set forth herein, do not create, post, share, disclose, display, or otherwise make publicly available

Personally Identifiable Information (PII), unless an exception is obtained. All requests for potential exceptions sought for external disclosure of Personally Identifiable Information (PII) through Social Media must be vetted through the Ad Review process to ensure compliance with the Privacy Act of 1974, USPS Privacy Policy and other applicable Federal laws, and are subject to final approval by the Chief Privacy and Records Management Officer.

11. **Legal Requirements.** You must comply with all Legal Requirements and Platform Terms. **Do not commit the Postal Service to any action unless you have authority to do so and the Postal Service is legally able to comply with such commitment.**
12. **Content Restrictions.** Do not create, post, share, disclose, display, or otherwise make publicly available any content included in the below-listed categories:
  - a. Content that violates another individual's rights, such as privacy or publicity rights, including but not limited to an individual's name, likeness, or voice, except as allowed by U.S. law for criminal law enforcement purposes.
  - b. Personal attacks, libelous statements, hate speech, defamation, fraud, accusations, threats, harassment, discriminatory comments targeting specific individuals or groups or other unlawful or legally actionable material.
  - c. Content about the Postal Service, USPS products or services, USPS management, coworkers, customers, vendors, or others that is vulgar, obscene, disparaging, threatening, intimidating, defamatory, discriminatory, harassing, or a violation of the Postal Service's policies.
  - d. Endorsements of political parties, candidates, or groups.
  - e. Discussions of topics unrelated to the Postal Service's mission or the goals listed above.
  - f. Content that is generally considered obscene, violent, profane, deceptive, or defamatory or that could be harmful to minors.
  - g. Content advocating unlawful action.
  - h. Content that violates copyright, trademark, trade secret, patent, or other intellectual-property laws.
  - i. Content that violates or is inconsistent with the applicable Platform Terms.
  - j. Content that is inaccurate, unsubstantiated, misleading, deceptive, or dishonest.
  - k. Content that could subject USPS to liability or a security risk.
  - l. Any software, program or file that could damage the operation of another person's computer, such as a file containing a virus.

If you are unsure whether certain Content falls into one of the categories listed above, consult with the Law Department and the Privacy and Records Office before posting the Content.

**13. Third-Party Content; Brand Ambassadors.**

- a. Use. Before posting, sharing or otherwise using third-party Content (such as Sponsored Content, a statement endorsing USPS's brand or products, user-generated Content or Content created by another USPS employee or customer) unless you are using such Content for criminal law enforcement purposes and permission to use such Content is not required under U.S. law:
  - (1) Obtain written permission from the individual who created the Content to use the Content, which permission should include a certification from the individual that: (1) he or she independently created the Content and did not use any third-party logos, names, slogans, images, text or designs, and (2) if applicable, the Content is truthful, honest, and reflects the speaker's current opinion based on his or her personal experience (the Law Department can help you prepare the permission and can advise as to whether an executed release is advisable or whether a less formal permission is sufficient);
  - (2) Submit the Content to the Ad Review Team at [KN8ZD0@usa.dce.usps.gov](mailto:KN8ZD0@usa.dce.usps.gov) for review, unless the Ad Review Team has advised that such Content need not be reviewed;
  - (3) If the Postal Service has paid for or sponsored the Content or there is a Material Connection between the Postal Service and the third party who created the Content, disclose that information, such as through a statement that the Content has been "Sponsored by USPS;" and
  - (4) Comply with, and ensure the Content complies with, the requirements set forth in [Section 363.5](#).
- b. Solicitation. Consult with the Law Department before engaging in a campaign or initiative to solicit Content from third parties (including, but not limited to, Postal Service employees).

**363.6 Personal Use of Social Media**

The following rules and recommended guidelines apply to all Postal Service employees and Related Parties who use Social Media in an unofficial or Personal Capacity. As an independent establishment of the Executive Branch of the United States Government, the Postal Service is responsible for ensuring that the public has access to accurate and trustworthy information regarding the Postal Service and the services that it provides. In addition, in certain instances, the Postal Service may be held liable for the conduct of its employees and Related Parties even if the employees and Related Parties were not acting in their Official Capacities. The purpose of this section is to protect the public, promote transparency, and protect the Postal Service from liability. **Employees and Related Parties will not be subject to discipline for failure to comply with the recommended guidelines in [Section 363.6\(1\)](#).**

1. **Recommended guidelines**

- a. Transparency. The Federal Trade Commission (**FTC**), the agency responsible for interpreting and enforcing the Federal Trade Commission Act (**FTCA**) (15 USC § 45), which prohibits deceptive acts and practices in or affecting commerce, has issued Guides Concerning the Use of Endorsements and Testimonials in Advertising (the **Guides**) to shed light on how the FTC interprets the FTCA in the context of endorsements. The Guides state that when there is a relationship between an individual and the brand or product the individual is endorsing, the individual must disclose his or her relationship with the brand or product if the relationship might materially affect the weight or credibility of the endorsement. If the individual fails to disclose the relationship, both the individual and the company being endorsed could be subject to liability under the FTCA. For illustrative purposes, the Guides explain that an employee who promotes his employer's product on an online message board should disclose his relationship with the manufacturer if knowledge of the relationship would materially affect the weight or credibility of the employee's statement. Accordingly, when promoting USPS products or services, please disclose your relationship with the Postal Service if that information would materially affect the weight or credibility of your statement from the perspective of a consumer.
- b. USPS Marks. Do not use USPS trademarks and logos when using Social Media in a Personal Capacity if such use is likely to confuse consumers as to whether your personal use is sanctioned by or affiliated with the Postal Service. For example, do not place the USPS logo on your personal vehicle and post a picture of that vehicle if others will assume that your vehicle is an official USPS vehicle when it is not being used as a USPS vehicle. Further, for the Postal Service's protection as well as your own, please respect the laws that govern copyrights, trademarks, and other intellectual property.

2. **Rules**

- a. Unofficial Use. Unless you are an Account Administrator or have received prior authorization from an Account Administrator or the Social Media Management Team, do not use Social Media to speak for or act on behalf of the Postal Service or suggest that you have the authority to do so. However, you may disclose your official title or position in the biographical section of your personal Social Media account, as such disclosure alone will not create the impression that you are authorized to speak on behalf of the Postal Service. In addition, do not create, maintain, or administer any Social Media account that purports to be an official Postal Service account unless the account has been approved by the Social Media Management Team and is established and administered in accordance with [Section 363.4](#). If you think there may be confusion regarding whether your

Content or account represents the Postal Service, a clear and conspicuous disclaimer that your views are your own and do not necessarily represent the views of the Postal Service can be used to provide clarity.

- b. Behavior and Personal Conduct - Employees. Harassment, bullying, discrimination, or retaliation on Social Media: (1) between coworkers; or (2) by employees who identify themselves as Postal Service employees on Social Media that would be impermissible in the workplace is not permissible online, even if it is done after hours, from home, and on a personal computer, smartphone, laptop or tablet device. Employees are expected to conduct themselves during and outside of working hours in a manner that reflects favorably upon the Postal Service. Although it is not the policy of the Postal Service to interfere with the private lives of employees, it does require that Postal Service employees be honest, reliable, trustworthy, courteous, and of good character and reputation. The Federal Standards of Ethical Conduct referenced in Section 662.1 of the Employee and Labor Relations Manual also contain regulations governing the off-duty behavior of Postal Service employees. Employees must not engage in criminal, dishonest, notoriously disgraceful, immoral, or other conduct prejudicial to the Postal Service, whether done online using a personal computer, smartphone, laptop or tablet device or otherwise. Conviction for a violation of any criminal statute may be grounds for disciplinary action against an employee, including removal of the employee, in addition to any other penalty imposed pursuant to statute. **This rule does not in any way restrict or prohibit Postal Service employees' rights under the law or a collective bargaining agreement or restrict employees from engaging in concerted protected activity as provided for in the National Labor Relations Act (29 U.S.C. 151 et seq.), including the right to discuss wages, hours, benefits, and other terms and conditions of employment.**
- c. Behavior and Personal Conduct – Related Parties. Related Parties are expected to conduct themselves during and outside of working hours in a manner that reflects favorably upon the Postal Service. Although it is not the policy of the Postal Service to interfere with the private lives of Related Parties, it does require that Related Parties who represent the Postal Service brand be honest, reliable, trustworthy, courteous, and of good character and reputation. Related Parties must not engage in criminal, dishonest, notoriously disgraceful, immoral, or other conduct prejudicial to the Postal Service, whether done online using a personal computer, smartphone, laptop or tablet device or otherwise. Conviction for a violation of any criminal statute may be grounds for action against a Related Party, including termination of the Related Party's contract, in addition to any other penalty imposed pursuant to statute or contract, as applicable.

**363.7 Definitions**

The following definitions apply to this Social Media Policy:

1. **“Account Administrators”** is defined in [Section 363.4](#).
2. **“Account Notices”** is defined in [Section 363.4](#).
3. **“Ad Review Team”** is the cross-functional group of USPS employees who review advertisements. Content can be submitted by email to [KN8ZD0@usps.gov](mailto:KN8ZD0@usps.gov).
4. **“Authorized Delegate”** is defined in [Section 363.4](#).
5. **“Authorized Officer”** is defined in [Section 363.4](#).
6. **“Content”** is all content, including, without limitation, all information, text, comments, logos, slogans, designs, ideas, art, photos, videos, applications, sounds, music, software, functionality, contests, sweepstakes, promotions and similar materials that is or will be posted, displayed, shared or otherwise made available on Social Media.
7. **“Community Guidelines”** are guidelines drafted by the USPS Law Department that govern users’ use of an Official Account. Community Guidelines are individually tailored for each account.
8. **“Endorse”** is the act of giving one’s public approval or support to someone or something, such as a brand, product or service.
9. **“Grandfathered Official Accounts”** is defined in [Section 363.4\(1\)](#).
10. **“Legal Requirements”** are all laws, rules, regulations, guidance (including but not limited to guidance issued by the FTC under the FTCA), and Postal Service policies, enacted or adopted from time to time.
11. **“Material Connection”** is, in accordance with 16 CFR § 255.5, a connection between a company or individual and the USPS, which if disclosed, might materially affect the weight or credibility of a statement made by the company or individual (i.e., the connection is not reasonably expected by the audience). For example, if the USPS were to pay a celebrity to tweet about the USPS, there would be a Material Connection between the USPS and the celebrity, as the weight of the tweet may be materially affected by the unexpected relationship between the USPS and the celebrity. In addition, an employment or contractual relationship could be considered a Material Connection.
12. **“Official Account”** is any Social Media account, site, or presence that (1) was established on behalf of the USPS in accordance with [Section 363.4](#) (or was established on behalf of the USPS prior to the adoption of this policy and is a Grandfathered Official Account), and (2) is currently administered by one or more Account Administrators in accordance with this policy.
13. **“Official Content”** is all Content that is or will be posted, displayed, shared or otherwise made publicly available for, by or on behalf of the Postal Service on any Official Account or any Unofficial Account by any USPS employee or Related Party in accordance with that employee’s

- or Related Party's Official Duties. Official Content expresses the Postal Service's official voice. Unless you are acting pursuant to your Official Duties and with prior approval as specified herein, any Content that you create, post, display, or share is not Official Content.
14. "**Official Duties**" are those actions and/or responsibilities that have been sponsored, fostered, approved or authorized (whether by law, policy, contract, or otherwise) by a Postal Service manager with the authority to sponsor, foster, approve or authorize such actions and/or responsibilities on behalf of the Postal Service. For clarity, the term "Official Duties" for purposes of this policy excludes all actions and/or responsibilities that are performed by USPS employees solely in their capacities as officers, stewards, or representatives of their labor organizations or management organizations.
  15. "**Official Use**" or "**Official Capacity**" is an employee's or Related Party's use of Social Media for the purpose of communicating (internally or externally) the official views of the USPS as part of the employee's or Related Party's Official Duties. Supervisors and contracting officers, when instructing an employee or Related Party to use Social Media in an Official Capacity, must clearly explain the scope of the assignment and authority and what Social Media tools can be used. Official Use can include communications on the USPS's Official Accounts as well as communications on Unofficial Accounts. Official Use also includes the creation, procurement, and posting of Official Content for or on behalf of the Postal Service. As a general matter, when an employee or Related Party uses Social Media for an "Official Use," he or she is expressing the official views of the USPS pursuant to his or her Official Duties.
  16. "**Personal Use**" or "**Personal Capacity**" is an employee's or Related Party's use of Social Media to express his or her own views and excludes any use that constitutes Professional Use or Official Use. Unless you are acting pursuant to your Official Duties and with prior approval as specified herein, you are using Social Media in a Personal Capacity.
  17. "**Personally Identifiable Information**" or "**(PII)**" is, in accordance with the definition of "PII" set forth in OMB Memorandum M-07-1616, any information that can be used to distinguish or trace an individual's identity, either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual. The definition of PII is not anchored to any single category of information or technology. Rather, it requires a case-by-case assessment of the specific risk that an individual can be identified. In performing this assessment, it is important for an agency to recognize that non-PII can become PII whenever additional information is made publicly available — in any medium and from any source — that, when combined with other available information, could be used to identify an individual.
  18. "**Platform Terms**" is defined in [Section 363.4](#).

19. **“Privacy and Records Office”** is the USPS office that provides guidance on the proper and consistent collection, processing, communication, use, and disposition of sensitive information, such as private information about individuals and confidential business information, along with sensitive-enhanced information, including PII throughout its lifecycle.
20. **“Professional Use” or “Professional Capacity”** is an employee’s or Related Party’s use of Social Media for the purpose of performing his or her Official Duties, but excludes any use that constitutes an Official Use. An employee or Related Party who is using Social Media for a Professional Use is not acting as the official voice of the Postal Service. For example, an employee who uses Social Media to communicate his or her own views on or to conduct research for an official USPS initiative as part of that employee’s Official Duties and with prior approval as specified herein is using Social Media in a Professional Capacity.
21. **“Related Parties”** are all USPS contractors, consultants, and agents, as well as other companies and individuals with a Material Connection to the USPS or who are otherwise acting at the direction, on behalf, or for the benefit of the USPS, but excludes all USPS employees, labor unions, management organizations, and the representatives of such labor unions or management organizations (though all current USPS employees are subject to this policy pursuant to clause (1) of [Section 363.1](#)). For example, the term “Related Parties” includes advertising agencies acting on the Postal Service’s behalf and third-party bloggers who have been compensated to blog about the Postal Service.
22. **“Restricted Social Media Site”** is any Social Media platform or site that is not freely accessible from Postal Service equipment because the Postal Service generally blocks access to such platform or site.
23. **“Social Media”** is any form of electronic communication (i.e., websites for social networking and microblogging) through which users create online communities to share information, ideas, messages, and other content. Social Media includes, without limitation: blogs, wikis, YouTube, podcasts, social-networking sites (e.g. Facebook, Twitter, Pinterest, Instagram, and LinkedIn), microblogs, and Web 2.0 and Gov 2.0 sites. Notwithstanding the foregoing, “Social Media” does not include nonpublic online communities established for law-enforcement purposes.
24. **“Social Media Management Team”** is the Social Media Director and his/her team that runs the day-to-day operations of the USPS Social Media function. The Social Media Management Team shall recommend and review content for Official Accounts, approve any changes and/or additions to current Official Accounts, review and approve requests to open new accounts or to terminate or consolidate existing accounts, and provide timely responses.

25. “**Social Media Advisory Panel**” is the panel responsible for governance and major overall strategic decisions. It consists of USPS employees from the following stakeholder groups: Corporate Communications, Consumer and Industry Affairs, Marketing, the Law Department, Human Resources, Information Technology, Government Relations, and Operations and works with the Social Media Management Team for input, feedback, social media account actions, crisis advisory processes, and policy decisions. The Panel members include an officer or the officer’s designee.
26. “**Social Media Guidelines**” are guidelines established and maintained by the Social Media Management Team, which govern the use and depiction of the Postal Service brand, voice and logos on Social Media accounts. The Social Media Guidelines may also be referred to as a “Playbook”.
27. “**Sponsored Content**” is Content prepared and/or posted by a Related Party or a USPS employee pursuant to his or her Official Duties that promotes the Postal Service, or Postal Service products, services, or customers, or discusses the USPS’s competitors. Sponsored Content expresses the personal views of the Related Party or USPS employee, and not the official views of the USPS. For example, if an influential person received consideration in exchange for endorsing a USPS product on his or her personal Social Media account, that endorsement would constitute Sponsored Content. In addition, if a USPS officer or brand ambassador in his or her Professional Capacity and with prior approval as specified herein communicates about the Postal Service on his or her personal account, those communications would constitute Sponsored Content.
28. “**Unofficial Account**” is any Social Media account, site, or presence that is not an Official Account.
29. “**USPS**” or “**Postal Service**” is the United States Postal Service.

### 363.8 Additional Resources

For information on pre-negotiated amendments to Platform Terms, go to:

<http://digital.gov/resources/negotiated-terms-of-service-agreements/>.

To learn more about Section 508 and web content go to:

<https://digital.gov/2015/06/05/using-section-508-guidance-to-improve-the-accessibility-of-government-services/>.

For more information regarding the USPS Privacy Policy, go to:

<http://www.usps.com/privacypolicy>.

To obtain guidance on issues related to ethical conduct, the Hatch Act, endorsements, and the limited use of government office equipment and information technology, contact the USPS Ethics Office at *Ethics.Help@usps.gov* or 202-268-6346.

To obtain guidance and clearance on content through the Ad Review process, email: *KN8ZD0@usps.gov*.

## 37 Printing, Copying, and Duplicating

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### 371 General

#### 371.1 Scope

Postal installations producing or purchasing conventional and/or electronic printing, duplicating, or related services must follow regulations and procedures in this subchapter; the *Purchasing Manual* (PM); and other applicable policy documents.

#### 371.2 Policies

##### 371.21 Printing, Copying, and Duplicating

All printing, copying, and duplicating produced by or purchased for postal installations must pertain to the mission of the Postal Service. Requesters review material to ensure that nonessential printing and duplicating are eliminated and that printed and duplicated material is planned, edited, produced, and distributed economically.

##### 371.22 Procurement

The *Purchasing Manual* and Handbook AS-707, *Procurement Handbook*, include policy and procedures for purchasing services, including printing and duplicating.

##### 371.23 Production

The printing function (including personnel and related equipment) should be centralized if more than one postal facility is in the same building or vicinity. To the maximum extent practicable, use centralized printing, copying, and duplicating centers to meet the needs of field facilities.

### 371.3 Responsibilities

#### 371.31 Servicewide

Printing, copying, and duplicating costs must be managed to ensure adequate planning, administrative control, and use of standard production economies.

#### 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 file negatives and/or positives for similar image carriers.
- d. *Offset duplicators/presses* — Machines with an image area larger than 10 3/4 x 14 1/4 inches.
- e. *Multiunit office duplicators/presses* — machines that print more than one unit (up to 10 3/4 x 14 1/2 inches is a unit) with 1 pass through. Examples are machines that have an image area larger than 10 3/4 x 14 1/4 inches, print both sides of the sheet simultaneously, or a combination of large image and multiside printing.
- f. *Multicolor offset duplicators/presses* — machines that print in more than one color.

- g. *Letterpress* — machines using raised surfaces that are inked and pressed against paper. Examples include sign machines, numbering and imprinting machines, and foil-stamping equipment.
- h. *Flexographic presses* — machines that print from engraved plates.
- i. *Gravure presses* — machines that print from engraved plates.
- j. *Automatic screen printing presses* — machines that use screen materials as image carriers and automatically print and cycle paper or substrates.
- k. *Paper cutters* — power-operated machines over 31 inches wide.
- l. *Drilling machines* — machines with more than three spindles.
- m. *Folding machines* — machines with sheet capacity larger than 14 x 24 inches.
- n. *Power-operated book trimmers* — machines that cut the edges of a book to trim square.
- o. *Plate coaters* — machines that coat the surface of printing plates with photographic emulsions or special effects.

**371.62    Printing Included in Contracts**

**371.621    Contractors**

Do not use contractors as a primary or substantial source of printing. Contracts for supplies or services may not provide for printing unless Printing Purchasing determines that such work is nonroutine and can be properly justified.

**371.622    Copy Requirements**

This section does not apply to contract requirements for duplication of fewer than 5,000 copies of one page or fewer than 25,000 copies total of multiple pages.

**371.63    Directives and Forms**

Headquarters directives and other official issuances may not be reprinted unless approved by Corporate Publishing and Information Management (CPIM), Information Systems.

**371.64    Paper Standards**

**371.641    General**

Government Paper Specification Standards or commercially available commodity-line papers must be used in specifying paper stocks for printing or duplicating use. See [Exhibit 371.641](#) for EPA standards for this material.

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 uncopied 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**

<b>Equipment</b>	<b>Description</b>	<b>Approved by HQ (1)</b>	<b>Approved by Districts (2)</b>
Offset Presses	Small sheet-fed offset press used for fast reproduction of copies in sizes from 3" x 5" up to 14" x 20". Web offset press in 11" and 17" roll width.	X	
Computerized Offset System	Automated in-line system that includes platemaker, offset press, and collating module.	X	
Electronic Publishing System	Stand-alone and in-line computerized publishing system used for printing production and preparation of camera copy for printing or publishing purposes.	X	
Laser & Digital Printers	In-line computer printers used for production of printed materials; e.g., manuals, handbooks, brochures, etc., and other non-ADP type printed documents.	X	
Copier Duplicators	Electrostatic copying equipment that produces copies at more than 85 copies per minute and color copiers.	X	
Copy Machines	Electrostatic copying machines that produce copies up to 85 copies per minute.		X
Offset Platemaker	Machines that produce offset printing plates through a photographic process not requiring use of negatives.	X	
Bindery Equipment	Power-operated collating, folding, drilling, cutting, inserting, stapling, and other related finishing equipment.	X	

**Note:** All lithographic cameras and platemaking systems requiring use of reusable metal plates and negatives are not authorized for field duplicating centers.

**372.13 Standard Size**

The standard production page unit for offset printing, photocopying, and other duplicating equipment is 8-1/2 by 11 inches.

**372.2 Acquiring Services****372.21 Requests for Duplicating and Microforms**

Use Form 1576, *Requisition for Duplicating Service*, or Form 7381, *Requisition for Supplies, Services, or Equipment*, to request duplicating and related services. The designated administrative official reviews and approves the request and retains one copy of the form for 1 year.

**372.22 Log – Centralized Duplicating Facility**

Use Form 1858, *Duplicating Control Register*, to log duplicating jobs. Keep these logs for 1 year.

**372.23 Sources**

Copying and duplicating may be purchased from:

a. Government sources such as:

- (1) Government Printing Office (GPO) and satellite facilities.
- (2) Federal Prison Industries (UNICOR).
- (3) Other federal agencies authorized to provide in-house production on a reimbursable basis.
- (4) General Services Administration (GSA).

- b. Direct purchase from commercial sources up to the authority delegated for supplies and services.

### **372.3 Acquiring Equipment**

#### **372.31 Scope**

These procedures apply to the purchase, rental, or transfer of copying, duplicating, and related equipment.

#### **372.32 Transfer**

##### **372.321 Postal Service Excess Equipment**

The PMSCs maintain an inventory of all excess equipment in area and are authorized to transfer those items from one installation to another.

##### **372.322 Other Agency Surplus Equipment**

With appropriate approval, as in [Exhibit 372.12](#), field facilities may obtain surplus equipment from other federal agencies.

#### **372.33 Purchase or Rent**

##### **372.331 Requests**

Requisition purchase or rental of items on Form 7381, *Requisition for Supplies, Services, or Equipment*. Justify each item on a demonstrable need basis and obtain approvals as required by [Exhibit 372.12](#). Provide a decision analysis and cost benefit analysis using Publication 191, *Capital Investment Policies and Procedures*.

##### **372.332 Approvals**

The following apply:

- a. *Field.* Forward requests for items in column 2 ([Exhibit 372.12](#)) to the appropriate district for final approval.
- b. *Headquarters.* Forward requests for items in column 1 of [Exhibit 372.12](#) to the manager of Printing Purchasing for final approval.

##### **372.333 Filling Requests**

Requests that cannot be filled from excess or surplus equipment are purchased or rented by the PMSCs.

### **372.4 Replacement Criteria**

#### **372.41 High-Speed Copying Equipment**

Normal depreciation for high-speed copying equipment (more than 85 copies per minute) is 5 years.

#### **372.42 Slower Copying Equipment**

Normal depreciation for slower copying equipment (fewer than 85 copies per minute) is 4 years.

## 373 **Printing**

### 373.1 **Headquarters Printing**

Printing Purchasing is responsible for all Headquarters printing. Printing Purchasing determines how Headquarters printing requirements are filled (i.e., in-house, by the Government Printing Office, or by direct contract with commercial sources).

### 373.2 **Field Printing**

#### 373.21 **Responsibility**

Printing, binding, and related services are procured by the PMSCs.

#### 373.22 **Procurement**

The servicing PMSC is responsible for determining the procurement method for each printing requirement. Field printing may be procured from several sources as follows:

- a. Government sources such as:
  - (1) Government Printing Office (GPO) and satellite facilities.
  - (2) Federal Prison Industries (UNICOR).
  - (3) Other government agencies authorized to provide in-house production on a reimbursable basis.

**Note:** Printing cannot be purchased from the General Services Administration.

- b. Direct purchase from commercial sources up to the authority delegated for supplies and services.

#### 373.23 **Requisitioning**

##### 373.231 **GPO**

These procedures are to be used for requisitioning through the GPO:

- a. No orders to GPO can be accepted on Postal Service purchase orders. Requisitions for printing and binding services must be made on the following forms:
  - (1) For individual jobs: Standard Form 1, *Printing and Binding Requisition to the Public Printer*, or SF 1C, *Printing and Binding Requisition for Specialty Items*.
  - (2) For term contracts: GPO Form 2511, *Memorandum Order and Supplementary Specifications*.
- b. GPO prefers that all orders for requirements on term contracts be submitted through their regional printing procurement offices (RPOOs). If schedule requirements do not permit time for processing through the RPOOs, arrangements may be made between the ordering office and the RPOO manager for the ordering office to place its orders directly with the GPO contractor.

##### 373.232 **GPO Requisition Numbering**

Requisitions are numbered uniformly with no more than 12 characters consisting of fiscal year, sequential requisition number, and finance number.

The following example illustrates this system:

4-00049-102710

4 = Fiscal Year.

00049 = Sequential requisition number (starting with 00001 each FY).

102710 = Finance number of the facility/office that initiated the requisition (Form 7381). This finance number is not the procurement office shown in a purchase order number but the office paying for the printing.

**373.233 Billing Address Code**

Include the GPO-supplied, 6-digit billing address code on all requisitions for GPO services. Call GPO at (202) 512-1189 for application instructions.

**373.234 Other Government Agency Orders**

Offices with contracting authority place all interagency requisitions on a purchase order.

**373.3 Commercial Field Printing**

Process printing purchased directly from commercial sources following the *Purchasing Manual* and Handbook AS-707, *Procurement Handbook*. Execute all orders on a Postal Service purchase order or other approved contract document.

**374 Business Cards**

**374.1 Policy**

**374.11 Authorized Users**

Printing business cards at Postal Service expense is authorized for Postal Service personnel only:

- a. If their duties require them to meet with persons outside the Postal Service in circumstances where business cards would facilitate the conduct of postal business.
- b. When the procurement of cards is approved by an authorized official.

**374.12 Use**

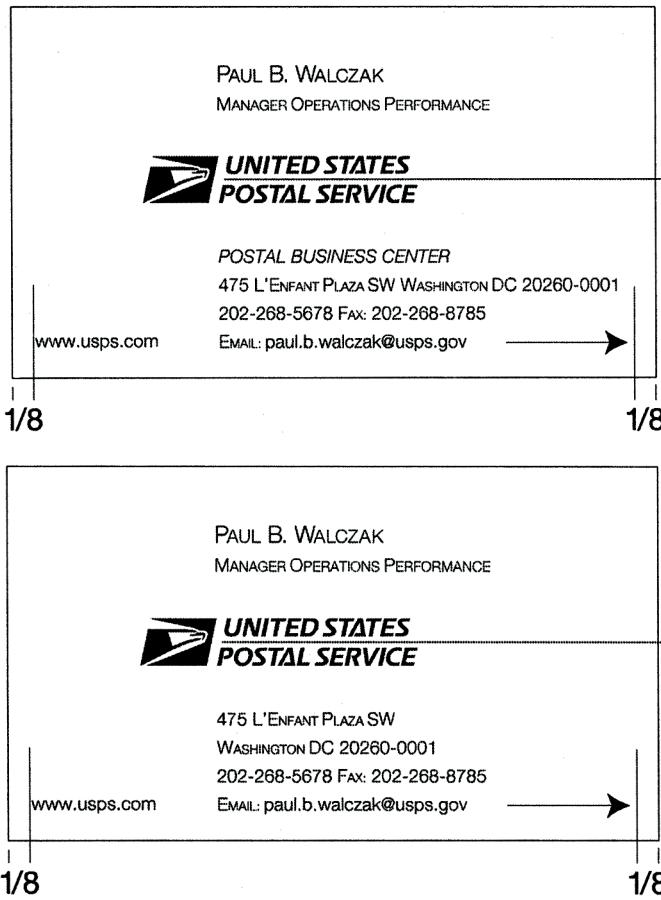
This policy is not intended to stimulate any widespread authorization of business cards. Before approving procurement of business cards, authorizing officials must consider carefully the nature, frequency, level, and circumstances of outside contacts assigned by a position.

**374.2 Ordering Cards**

Ordering organizations may purchase cards through a Headquarters or area office contract. [Exhibit 374.2](#) shows the standard design. Only officers, governors, and 10 vice presidents of area operations are entitled to the three-color engraved format. Send orders for engraved cards to:

PROFESSIONAL PRINTING AND CREATIVE SERVICES CMC  
UNITED STATES POSTAL SERVICE  
475 L'ENFANT PLAZA SW RM 4541  
WASHINGTON DC 20260-6237

Exhibit 374.2  
**Standard Design for Business Cards**



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# **4 Relations With Other Organizations**

## **41 Military Post Offices**

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### **411 Description**

A military Post Office is a branch of a designated Postal Service Post Office that is operated by the Army, Navy, Air Force, or Marine Corps to serve military personnel afloat or overseas. The term includes Army and Air Force post offices (APOs) and Navy and Marine Corps post offices (FPOs). Military post offices provide postal service for military personnel in areas where the Postal Service does not operate and in other places where the military situation requires it.

### **412 Establishment and Discontinuance**

A military Post Office is established or discontinued only on request of the Department of Defense or the military department that will operate it. The Postal Service authorizes and discontinues these units, and the changes are published in the *Postal Bulletin*.

## **42 Services**

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### **421 General**

#### **421.1 Policy**

##### **421.11 Conditions**

The Postal Service cooperates with federal agencies by providing facilities and nonpostal services if the overall costs to Government are reduced and there is no interference with postal operations.

##### **421.12 Fees**

Except as provided by law, it is Postal Service policy to charge compensatory fees for services performed in behalf of other agencies when these services involve significant or ongoing cost to the Postal Service.

#### **421.2 Approvals**

##### **421.21 Procedure**

Interagency agreements and similar formal arrangements for Postal Service participation in special surveys and other activities must be made between

the national headquarters of the requesting agency and Postal Service Headquarters. See POM 221 for special regulations, terms, and conditions applying to requests for use of postal lobbies for display and other activities. Refer all requests from area offices of federal agencies to the vice president of Area Operations for forwarding with recommendations to the appropriate organizational unit at Headquarters (see [12](#)).

#### **421.22 Authorization**

Authority to perform services for other Government agencies is announced in the *Postal Bulletin* or by letters to the offices involved.

#### **421.3 Prohibition**

Do not conduct special surveys or participate in any other special projects without the authorization described in [421.22](#).

### **422 Interagency Agreements**

#### **422.1 Reimbursable Services for Federal Agencies**

The Postal Service provides certain reimbursable services to other federal agencies under formal agreements. Exhibit 422.1 summarizes currently provided services.

Exhibit 422.1

#### **Examples of Nonpostal Services Provided by Interagency Agreement**

<b>Service Provided</b>	<b>Reference</b>	<b>Agency</b>	<b>Responsible HQ Office</b>
Sale of Migratory Bird Stamps	Periodic Postal Bulletin Notices; see also <a href="#">422.4</a>	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 <a href="#">422.2</a>	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, including postal employees designated by the postmaster at a Post Office authorized by the Postal Service and the U.S. Department of State to accept passport applications. The following excerpts from 22 CFR 51.22 describe policy and procedures for Postal Service acceptance of passport applications:

**22 CFR 51.22 Passport agents and passport acceptance agents**

- \* \* \* \* \*
- (b) *Persons designated by the Department to serve as passport acceptance agents.* When designated by the Department, the following persons are authorized to serve as passport acceptance agents unless the Department in an individual case withdraws authorization.
- \* \* \* \* \*
- (3) A postal employee at a United States post office that has been selected to accept passport applications;
- \* \* \* \* \*
- (c) *Qualifications of persons designated by the Department to serve as passport acceptance agents.* Before the Department will designate a person described in 51.22(b) as a passport acceptance agent, his or her employer must certify that the person:
- (1) Is a U.S. citizen or a U.S. non-citizen national;
- (2) Is 18 years of age or older;
- (3) Is a permanent employee, excluding ad hoc, contractual, and volunteer employees; and
- (4) Does not have a record of either:
- (i) A Federal or State felony conviction; or
- (ii) A misdemeanor conviction for crimes involving moral turpitude or breach of trust, including but not limited to embezzlement, identity theft, misappropriation, document fraud, drug offenses, or dishonesty in carrying out a responsibility involving public trust.
- (d) *Training.* A passport acceptance agent described in 51.22(b) must be trained to apply procedures and practices as detailed in guidance provided by the Department. Training must be successfully completed before accepting passport applications.
- (e) *Responsibilities.* The responsibilities of a passport acceptance agent described in 51.22 (b) include but are not limited to the following:
- (1) *Certifying the identity of each applicant.* Passport acceptance agents must certify that they have personally witnessed the applicant signing his or her application, and that the applicant has:
- (i) Personally appeared;
- (ii) Presented proper identification, as documented on the application;
- (iii) Submitted photographs that are a true likeness; and
- (iv) Taken the oath administered by the acceptance agent.

- (2) *Safeguarding passport application information under the Privacy Act of 1974.* Passport acceptance agents described in 51.22(b) must not retain copies of executed applications, nor release application information to anyone other than the applicant and the Department.
- (3) *Avoiding conflict of interest.* Passport acceptance agents described in 51.22(b) must not participate in any relations that could be perceived as a conflict of interest, including but not limited to providing commercial services related to the passport process.
- (f) *Documentation.* Passport acceptance facilities within the United States must maintain a current listing of all passport acceptance agents designated under 51.22(b) working at its facility. This list must be updated at least annually and a copy provided to the officer specified by the Department at the appropriate passport issuing office.
- (1) The current listing of all designated passport acceptance agents must include the passport acceptance agents':
- (i) Names, and
- (ii) Signatures.
- (2) Any addition to or deletion from the current listing of designated passport acceptance agents is subject to prior approval by the Department.

422.22

**Policy and Procedures**

422.221

**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, 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 mutually agree on the acceptance fee that 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 submitted with Form DS-11, *Application for a U.S. Passport*. This fee reimburses passport acceptance agents for the performance of the required acceptance procedure as outlined in the Department of State manual, *Passport Agent's Reference Guide* (PARG).

The Postal Service receives no acceptance fee for other types of passport applications, including the following forms:

- DS-82, *Application for a U.S. Passport by Mail*.
- DS-5504, *Application for a U.S. Passport Name Change, Data Correction, and Limited Passport Book Replacement*.
- DS-4085, *Application for Additional Visa Pages or Miscellaneous Passport Services*.

**422.24 Required Postal Service-Department of State Coordination**

**422.241 Coordination**

Department of State Headquarters (DOS HQ) and Postal Service Headquarters (USPS HQ) work together to reach agreement on the number and location of postal facilities that will accept passport applications. In managing the passport program, USPS HQ coordinates with DOS HQ to (a) establish sites and, when necessary, discontinue sites; (b) provide Postal Service management and oversight; and (c) coordinate training.

**422.242 District and Passport Location Designees**

Each District Retail Manager will have a designee to coordinate passport activity with (a) the Regional Passport Agency Customer Service Manager; (b) other district functions; and (c) post offices that accept passport applications. The district designee will coordinate with post offices and other functions to ensure adequate signage and communication with customers about passport service locations and hours.

In addition, each Post Office that accepts passport applications will have a designated contact to coordinate with the Regional Passport Agency office and the district designee.

**422.25 Determining Sites and Establishing Passport Application Acceptance Facilities**

**422.251 Determining Sites**

The following guidelines apply:

- a. Regional Passport Agency offices and DOS HQ determine the areas (city, county, or state) where the public needs additional service, considering customer need and acceptance locations available (post offices, clerks of court, county offices, and colleges).
- b. Post offices that receive requests for passport service should contact the District Retail Office, which will coordinate with the Area Retail Office and USPS HQ Retail Operations to consider a suitable passport application acceptance site.
- c. The district determines whether a postal facility can provide passport application acceptance without adversely affecting service to postal customers. In making its determination, the district will review customer need, operational capability, service issues, and revenue. The district will consider factors such as (1) nearby passport acceptance locations; (2) customer travel time from the nearest passport acceptance location, (3) estimated volume of passport applications; (4) district demographics; and (5) the nature of the community (urban, suburban, or rural).

**Note:** In addition to post offices, clerks of court assist passport agency offices and the public by accepting passport applications.

422.252 **Requests to Establish or Change Passport Application Acceptance Facilities**

The following guidelines apply:

- a. *Request for a new passport site.* When a Regional Passport Agency office identifies the need for a passport application acceptance location at a Post Office, the following steps will be taken:
  - (1) The Regional Passport Agency office will:
    - (a) Send a written request to USPS HQ Retail Operations that includes the following information:
      - (i) Number of customers expected.
      - (ii) Location, distance, and status of nearby nonpostal passport application acceptance sites (such as clerks of court, libraries, and colleges).
    - (b) Send the request with enough lead time to give Retail Operations at least 90 days for review before the anticipated date of initiating passport acceptance operations.
  - (2) When reviewing a request for a new site, the district will:
    - (a) Consider customer need, revenue generation opportunities (such as postage for Express Mail® service), service conditions, and operational issues before reaching a decision.
    - (b) Obtain concurrence from the District Retail office, Post Office Operations Manager, and the postmaster, as applicable.

**Note:** Although Regional Passport Agency offices generally initiate requests for new passport acceptance sites, the Postal Service may also initiate such requests.

- b. *Disapproval of a request.* If USPS HQ disapproves a request for a passport application acceptance site and the Regional Passport Agency office feels strongly that a postal location is needed, then the agency may ask DOS Passport Services to coordinate with USPS HQ Retail Operations to reconsider the request. USPS HQ should reach a decision within 30 days of receiving the request and notify the district and DOS Passport Services of the decision.
- c. *Relocation of sites and changes in passport service hours.* When a district relocates a postal facility that serves as an authorized location for passport application acceptance, the district will: (1) notify the Area Retail Office and USPS HQ Retail Operations 30 days before relocating; (2) update the Facilities Database; and (3) notify the Regional Passport Agency of the changes.
- d. *Request to discontinue service — Postal Service.* When a district needs 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 need for service, the following steps will be taken:

- (1) At least 60 days before the facility plans to stop accepting passport applications (a) the District Retail office will send a letter to the Area Retail office explaining the reason for the planned discontinuance; (b) the Area Retail office will notify USPS HQ; and (c) USPS HQ will notify DOS HQ Passport Services.
  - (2) The Regional Passport Agency office may respond to the district with a letter of concurrence or a request for reconsideration. Working with the district, USPS HQ will make a determination within 30 days of the request and send notification to the area/district and the Department of State regarding the decision reached.
  - (3) When an area/district is notified that the Regional Passport Agency office is submitting a request for reconsideration, the passport acceptance facility will continue to accept passport applications until a decision has been reached.
- e. *Request to discontinue service — Department of State.* DOS makes periodic reviews and recommends removal of participating postal facilities when the service is no longer needed. The Postal Service will agree 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 with specific instruction on postal guidelines in accordance with the procedures set forth herein. DOS passport application acceptance procedures are provided in the PARG.

##### 422.262 **Acceptance Employees**

The following guidelines apply:

- a. Postmasters/managers select and designate employees to provide passport acceptance services. They determine the number of designated employees needed to: (1) provide sufficient staffing during advertised hours; and (2) prevent excessive customer waiting time during peak periods.
- b. Employees other than Sales and Service Associates may be designated to accept passport applications.
- c. Supervisory personnel should be designated only for emergency situations.

##### 422.263 **Acceptance Locations**

Postmasters select locations within the facility where passport acceptance services will be provided. Depending on the volume of business, they may select one or more window positions. Postmasters should consider the following when selecting window positions:

- a. Ensuring accessibility and customer convenience.

- b. Providing acceptance at window positions established for special services such as selling philatelic products or processing bulk mailings.
- c. Implementing a means of directing passport applicants to the appropriate window at offices with multipurpose windows and a speedy line.
- d. Ensuring availability of a telephone for acceptance employees to use in answering inquiries.

**422.264 Training**

The following guidelines apply:

- a. *Web-based passport application acceptance training:*
  - (1) Passport Application Acceptance (Course 41201-18) is available through the Postal Service Automated Enrollment System.
  - (2) Designated postal employees must be given on-the-clock time to take course 41201-18, and they must complete this course successfully before accepting passport applications.
  - (3) The postmaster/manager at the passport application acceptance facility will coordinate and schedule training for designated employees at new passport sites and/or when refresher training is necessary for employees.
- b. *Passport Agent's Reference Guide (PARG):*
  - (1) This Department of State manual sets forth required procedures and provides technical guidance for acceptance of passport applications by designated employees.
  - (2) Designated employees will be given a reasonable amount of official, on-the-clock time to study the PARG carefully. They are expected to be familiar with and comply fully with PARG procedures.
- c. *Department of State classroom instruction.* DOS classroom instruction is the only acceptable alternative to the required Web-based training cited in 422.264a.

**Note:** Place the most current version of the PARG in a binder for reference; it is available on the Retail Marketing Web page at [http://blue.usps.gov/retail/L3ProdServ\\_PARG.htm](http://blue.usps.gov/retail/L3ProdServ_PARG.htm).

**422.265 Service Hours**

Postmasters establish the hours for offering passport acceptance services based on local resources and capabilities. If service cannot be provided during all normal business hours, then service must be provided at least 5 hours a day, Monday through Friday. For customer convenience, passport application service on weekends can—and should—be offered.

**422.266 Signs**

Post authorized signage clearly stating the hours for passport services in the lobby of your facility. Contact the District Retail office to order customized posters advertising passport acceptance hours from MessageMaker. The postmaster will coordinate with the District Retail office to ensure that adequate signage is being used.

**Important!** Signs prepared by hand and local computer-generated signs are not authorized.

422.27 **Application Acceptance Guidelines**

422.271 **Passport Agent's Reference Guide**

The PARG, which is used for daily reference, provides a list of Regional Passport Agencies serving each geographic area and a telephone number solely for use by acceptance employees seeking additional guidance. Changes to the PARG and other passport information issued by the Department of State are sent periodically to participating post offices; place these items in the PARG binder.

422.272 **Passport Application Acceptance Procedures**

The following guidelines apply:

- a. *Obtaining Form DS-11, Application for a U.S. Passport.* Customers can obtain Form DS-11 from passport acceptance employees, or they can download the forms via the Internet at <http://travel.state.gov>. Applicants complete the forms according to instructions printed on them and return them in person to passport acceptance employees for review and acceptance. The Postal Service receives a fee for each Form DS-11 processed.
- b. *Verifying applicant's identity.* Acceptance employees are in the best position to seek verification that an applicant is the person he or she claims to be. Acceptance employees must: (1) verify the identity of each applicant, and (2) annotate the application form to show the document or procedure used to verify the applicant's identity.
- c. *Witnessing applicant's signature.* Acceptance employees: (1) administer the required oath; (2) witness the applicant's signature on the application; (3) sign the application; and (4) affix an imprint of the postal unit's round dating stamp.
- d. *Processing supporting documents.* Acceptance employees must ensure that each application is properly completed and accompanied by the correct supporting documents. However, to avoid arguments with applicants, employees will accept questionable items and attach an explanatory note to the application so that Passport Services may resolve the problem directly with the applicant.
- e. *Handling applications that cannot be accepted.* Acceptance employees should not hold applications for additional documentation. If an application is not sent to the Department of State, return it to the applicant without completing the procedures listed in 422.272c.
- f. *Providing passport photograph services.* Postal acceptance locations may offer photo services; these services are recorded in AIC 241, Passport Photo Services.
- g. *Providing other passport application forms.* Customers can obtain other passport forms as follows: (1) from acceptance employees; (2) via the Internet at <http://travel.state.gov>; or (3) from the National Passport Information Center (see PARG for telephone number).
- h. *Providing other acceptance services.* Passport acceptance employees may provide assistance with the following forms:

- (1) *DS-82, Application for a U.S. Passport by Mail.* A customer may purchase postage to mail a Form DS-82 that he or she has fully completed. Because no acceptance is required, the Postal Service does not receive a handling fee.
- (2) *DS-5504, Passport Re-Application by Mail.* A customer may purchase postage to mail a Form DS-5504 that he or she has fully completed. Because no acceptance is required, the Postal Service does not receive a handling fee.
- i. *Handling no-fee passports.* The Postal Service accepts no-fee passport applications, which are requests for government-sponsored travel or requests for those who are exempt by law from payment of the passport fee (such as Peace Corps employees). The following guidelines apply:
  - (1) *The Department of State* has authorized sponsoring government offices to accept no-fee passport applications. DOS authorizes individuals who are exempt by law to execute their own passport applications.
  - (2) *The Postal Service* collects the acceptance fee payable to the Postal Service, but does not collect fees payable to the Department of State.

**Note:** Customers who need more information can contact the National Passport Information Center (using PARG to obtain the telephone number) or go to <http://travel.state.gov>.

#### 422.273 Payment of Passport Fees and Financial Procedures

The following guidelines 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:

Type of Check or Card	To USPS	To DOS	Type of Money Order or Card	To USPS	To DOS
Personal check	Yes	Yes	Postal Service money order	Yes	Yes
Business check	Yes	Yes	Nonpostal U.S. money order	No	Yes
Cashier's check	Yes	Yes	Foreign postal money order	Refer to IMM*	No
Traveler's check	Yes	Yes	Credit card	Yes	No
Treasury check	Yes	Yes			
Debit card	Yes	No			

\*International Mail Manual (IMM) 371.5, Procedures for Cashing Money Orders Issued by Foreign Countries

- b. *Payment by check.* Customers paying by check must write two checks as follows:

- (1) *Check to the Department of State.* The customer must write one check, payable to the U.S. Department of State, for total DOS fees for the customer visit. Process as follows:

- (a) Mark the applicant's name and date of birth on the check. (Department of State fees differ for minors (age 15 and under) and adults (age 16 and over)).
  - (b) Include DOS fees for expedited and complex cases (if applicable) for each application. Refer to the PARG for fees and fee descriptions.
  - (c) Verify the accuracy of the total DOS fee; write the total fee amount in the bottom right corner of Form DS-11; and initial.
  - (d) Staple the check to the application during the customer visit. If the customer writes one check for multiple applications (e.g., for members of a family), attach the applications together, and staple the check to the top passport application.
- (2) *Check to the Postal Service.* The customer must write a separate check, payable to the U.S. Postal Service, for the acceptance fee. The check must also include fees for products and services purchased at the same time that are not related to the passport transaction.
  - (3) *Financial procedures and accounting entries.* The following procedures apply:
    - (a) Verify the accuracy of DOS fees and USPS fees.
    - (b) Enter the Postal Service fee for each DS-11 accepted in AIC 264, USPS Passport Acceptance Fees.
    - (c) Enter the fees for other products or services (such as postage for Express Mail service) in the appropriate AIC.
- c. *Cash payments.* The following procedures apply:
    - (1) *Department of State fees:*
      - (a) The customer will purchase a regular (fee) domestic postal money order payable to the U.S. Department of State for the DOS portion of the fees. When multiple passport applications are presented (e.g., for members of a family), the customer may purchase one money order for all DOS fees due for the entire transaction.
      - (b) The passport acceptance employee will process as follows:
        - (i) Mark the applicant's name and date of birth on the check. (Department of State fees differ for minors (age 15 and under) and adults (age 16 and over)).
        - (ii) Include DOS fees for expedited and complex cases (if applicable) for each application. Refer to the PARG for fees and fee descriptions.
        - (iii) Verify the accuracy of the total DOS fee; write the total fee amount in the bottom right corner of the Form DS-11; and initial.
        - (iv) Staple the money order to the application during the customer visit. For multiple applications (e.g., for members of a family), attach the applications

together and staple the money order to the top passport application.

- (2) *Postal Service fees.* The passport acceptance employee will:
  - (a) Accept cash payments for Postal Service fees, including the acceptance fee, fees for other products and services, and the money order fee (if DOS fees are paid by money order).
  - (b) Issue one of the following: PS Form 3544, *USPS Receipt for Money or Services*; an IRT receipt; or a POS ONE system-generated receipt.
- (3) *Financial procedures — Accounting entries for PS Form 1412, Daily Financial Report.* Verify the accuracy of total DOS fees and USPS fees and enter in the appropriate AIC, as follows:

AIC #	Title	Fees to Be Entered
AIC 100	Domestic Money Order – Value	Total DOS fees payable to the U.S. Department of State by money order.
AIC 101	Domestic Money Order – Fee	Money order fee.
AIC 241	Photo Services	Fee for each Passport photo.
AIC 264	USPS Passport Acceptance Fees	Total USPS passport acceptance fee for each DS-11 accepted.
AIC 752	Cash Remitted Final	The total amount of cash accepted
Select appropriate AIC	N/A	Other USPS products and services (such as postage for Express Mail service).

- d. *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 DOS portion of the passport fee. Process as follows:

- (1) *Department of State fees.* Customers will make their postal or U.S. currency nonpostal money orders payable to the U.S. Department of State. Canadian and other foreign money orders are not accepted for payment to DOS (see 422.273a and 422.723d(3)). Process as follows:
  - (a) Mark the applicant's name and date of birth on the money order. (Department of State fees differ for minors (age 15 and under) and adults (age 16 and over)).
  - (b) Include DOS fees for expedited and complex cases (if applicable) for each application. Refer to the PARG for fees and fee descriptions.
  - (c) Verify the accuracy of the total DOS fee; write the total fee amount in the bottom right corner of the Form DS-11; and initial.
  - (d) Staple the money order to the application during the customer visit. For multiple applications (e.g., for members of a family), attach the applications together and staple the money order to the top passport application.

- (2) *Postal Service fees.* The passport acceptance employee will accept payment for USPS total fees by (a) cash, credit card, or debit card; or (b) check or money order payable to the U.S. Postal Service. Postal fees include the fee for acceptance of each DS-11 and the fees for other products and services purchased (such as postage for Express Mail service).
- (3) *Foreign money orders.* Foreign postal money orders must be paid to the Postal Service; they are not valid for payment to Passport Services. The customer will make the foreign money order payable to the U.S. Postal Service and purchase a Postal Service money order payable to the U.S. Department of State (IMM 371.5). Process as follows:
  - (a) Mark the applicant's name and date of birth on the USPS money order. (Department of State fees differ for minors (age 15 and under) and adults (age 16 and over)).
  - (b) Include DOS fees for expedited and complex cases (if applicable) for each application. Refer to the PARG for fees and fee descriptions.
  - (c) Verify the accuracy of the total DOS fee; write the total fee amount in the bottom right corner of the Form DS-11; and initial.
  - (d) Staple the money order to the application during the customer visit. For multiple applications (e.g., for members of a family), attach the applications together and staple the money order to the top passport application.
- (4) *Financial procedures — Accounting entries for PS Form 1412.* Verify the accuracy of total DOS fees and USPS fees and enter in the appropriate AIC, as follows:

AIC #	Title	Fees to Be Entered
AIC 100	Domestic Money Order – Value	Total dollar amount of the domestic money order.
AIC 101	Domestic Money Order – Fee	Money order fee.
AIC 241	Photo Services	Fee for each Passport photo.
AIC 264	USPS Passport Acceptance Fees	Acceptance fee amount for each DS-11 accepted.
AIC 752	Cash Remitted Final	The total amount of cash accepted

- e. *Payment by debit card.* When a customer pays passport acceptance fees by debit card, use a money order for each customer transaction to pay DOS fees. Customers will make the money order payable to the U.S. Department of State. See 422.273(d) for specific guidance on processing money order payments.
  - (1) *Department of State fees.* To pay DOS fees by debit card, the customer must purchase a regular (fee) domestic postal money order payable to the U.S. Department of State. Process as follows:

- (a) Mark the applicant's name and date of birth on the USPS money order. (Department of State fees differ for minors (age 15 and under) and adults (age 16 and over)).
  - (b) Include DOS fees for expedited and complex cases (if applicable) for each application. Refer to the PARG for fees and fee descriptions.
  - (c) Verify the accuracy of the total DOS fee; write the total fee amount in the bottom right corner of the Form DS-11; and initial.
  - (d) Staple the money order to the application during the customer visit. For multiple applications (e.g., for members of a family), attach the applications together and staple the money order to the top passport application.
- (2) *Postal Service fees.* The Postal Service may accept debit card payments for USPS fees, including the (a) acceptance fee; (b) fees for other products and services purchased (such as postage for Express Mail service); and (c) money order fee (if DOS fees are being paid by money order).
- (3) *Financial procedures — Accounting entries.* Verify the accuracy of total DOS fees and USPS fees and enter in the appropriate AIC, as follows:

AIC #	Title	Fees to Be Entered
AIC 100	Domestic Money Order – Value	Total DOS fees payable to the U.S. Department of State by money order.
AIC 101	Domestic Money Order – Fee	Money order fee.
AIC 241	Photo Services	Fee for each Passport photo.
AIC 264	USPS Passport Acceptance Fees	Total USPS passport acceptance fee for each DS-11 accepted.
AIC 772	Debit Cards Remitted	Total amount of debit card transaction.
Select appropriate AIC	N/A	Other USPS products and services (such as postage for Express Mail service).

#### **Express Mail Service — Procedures**

Acceptance employees are encouraged to sell customers Express Mail service to expedite: (a) delivery of their applications to the Department of State; and/or (b) return delivery of their passports. Express Mail service not only expedites delivery, but also gives the customer a way to document delivery, with the benefits of tracking. By using Express Mail service to send a passport application, the customer will be assured that his or her passport application has arrived. The following procedures apply:

- a. *Express Mail service to expedite delivery of passport applications.* Process as follows:
  - (1) Use Express Mail service procedures, which allow for individual Express Mail service for one or more passport applications for one customer visit to the passport agency office (for example, a family will pay for just one Express Mail transaction to mail all of the family's applications).

- (2) Ensure that these Express Mail pieces are dispatched daily to meet critical entry times. Do not include these Express Mail fees on PS Form 5659, *Daily Passport Application (DS-11) Transmittal*.
- b. *Express Mail service to expedite return delivery of passports.* The following procedures apply:
- (1) Customers who want Express Mail return service must include the Express Mail fees with the passport fees payable to DOS.
  - (2) Customers must purchase Express Mail return service for **each** application for which the service is desired. (For example, the members of a family cannot have their passports delivered to them in one Express Mail envelope).
  - (3) Passport acceptance personnel will follow the instructions for recording Express Mail service on PS Form 5659 in the "USPS Fee Express Mail Amount" column.

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

**422.281 Daily Remittance of Passport Applications**

Passport applications must be remitted daily to the Department of State with supporting documents, corresponding payment, and copies of PS Form 5659.

- a. *Sorting passport applications by type.* Postal acceptance personnel must sort and mail certain types of passport applications separately because they are handled in different ways by the Regional Passport Agency office or designee.
- (1) *Routine service:*
- (a) Routine service passport applications are grouped together and bundled for mailing with the accompanying PS Forms 5659. These bundled groups may include routine service applications for which the customer has paid for Express Mail return service.
  - (b) Customers will receive passports issued by routine service within 6 weeks\* from the date they submitted the application (in accordance with PARG Chapter 10, Handling, Assembling and Mailing of Applications).  
**\*Note:** The most current passport processing times are available at the Department of State Web site at <http://travel.state.gov>.
- (2) *Expedited service:*
- (a) Customers who request expedited service must pay the expedite fee and pay for two-way overnight delivery.
  - (b) Customers will receive passports issued by expedited service within 2-3 weeks\* from the date they submitted the application (in accordance with the PARG Chapter 10).  
**\*Note:** The most current passport processing times are available at the Department of State Web site at <http://travel.state.gov>.

- (3) *Express Mail service:*
- (a) Customers desiring fast service may purchase Express Mail service to the Passport Agency office and/or Express Mail return service for delivery of the passport. When the customer purchases Express Mail service to DOS, the application (routine or expedited) will be sent individually by Express Mail service with its own PS Form 5659 and payment.
  - (b) Multiple applications generated by one customer visit (e.g., for members of a family) may be sent in one Express Mail envelope.
- b. *Processing PS Forms 5659, Daily Passport Application (DS-11) Transmittal.* The Department of State requires the Postal Service to submit completed copies of PS Form 5659, which serves as the log of individual passport application activity for both DOS and USPS. The form is available from the Postal Service Intranet at <http://blue.usps.gov/formmgmt/forms.htm> or the Material Distribution Center. PS Form 5659, with supporting documents and fee payments, is attached as the first page for (a) each group of routine or expedited passport applications; and (b) individual passport applications for which a customer has purchased Express Mail service.
- Assemble applications in accordance with PARG Chapter 10. Accuracy must be ensured during preparation. Complete PS Form 5659 as follows:
- (1) Make a separate line entry for each application; include the associated DOS fees accepted.
  - (2) Indicate any Express Mail services purchased for delivery of the passport from DOS to the customer.
  - (3) If an application was sealed after acceptance for the customer to hand carry, list the application and note in "Remarks" to whom the application was hand carried.
  - (4) Enter total fees to DOS for each application. For multiple applications in a customer visit when one check or money order is prepared (e.g., for members of a family), write total DOS fees (money order or check amount) on the line for the first member of the group. Then enter each member of the group on a separate line, indicating with a bracket which applications are included in the group.
  - (5) Enter the USPS Acceptance Fee (AIC 264) amount total for the entire transmittal on the bottom of PS Form 5659.
  - (6) When more than one employee is involved in processing, use the "Sales and Service Associate's Initials" column to identify the employee who accepted the application.
  - (7) Verify that all passport applications have been logged on the appropriate PS Form 5659, and verify the accuracy of all entries.
  - (8) Ask a supervisor or another employee to review the completed PS Forms 5659 and related applications for accuracy. The

- reviewer must initial the “Reviewer Initials” line to indicate concurrence.
- (9) Make one copy of the completed PS Form 5659 on an office copier. Attach the original PS Form 5659 to the passport applications listed on the form.
- (10) Retain a copy of the completed PS Form 5659 in a secure filing place at the acceptance unit for 2 years.
- c. *Mailing 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 Forms 5659 to the Regional Passport Agency office designated for processing. Passport acceptance unit personnel will follow procedures outlined in the PARG and process as follows:
- (1) Mail groupings of routine passport applications to DOS by Priority Mail® with Delivery Confirmation™ 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 copy of PS Form 5659 retained at the acceptance location. PS Form 5659 provides supporting documentation for PS Form 1412, *Daily Financial Report*.
- (2) Use Express Mail service to mail expedited passport applications from the acceptance unit to DOS. Do not send routine and expedited applications in the same envelope.
- (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 service and Priority Mail are met.
- (5) For applications received after the cut-off time and expedited passport applications sent by Express Mail service, advise the customer of the service time for delivery.

#### 422.282 Acceptance Unit Closing Procedures

When the acceptance unit closes for the day, the following guidelines apply:

- a. Generate PS Form 1412.
- b. Verify for accuracy, ensuring that the total AIC 264 amounts on PS Form 1412 and PS Form 5659 match.
- c. Retain a copy of PS Form 1412 at the acceptance unit, supported by the copy of PS Form 5659. File PS Form 5659 in a secure place to protect the sensitivity of the information and destroy after the 2-year retention period.

#### 422.29 Reports, Records, Discrepancies, Forms, and Supplies

##### 422.291 Reports, Records, and Discrepancies

- a. *Regional Passport Agency office:*

- (1) Maintains, for quality control purposes, an informal log of the number and types of errors on applications.

- (2) Analyzes customer complaints about the passport application service received from any source, along with the error reports, to identify requirements for additional training.
- (3) If the agency discovers that the customer made an underpayment or overpayment to DOS, the agency contacts the customer to resolve the discrepancy.
- b. *Acceptance Post Office contact or postmaster:*
  - (1) Receives error reports from the Regional Passport Agency.
  - (2) Ensures that errors are discussed with the responsible employee for immediate corrective action.
  - (3) Analyzes customer complaints about the passport application service received from any source, along with the error reports, to identify requirements for additional training.
  - (4) If the acceptance office discovers that the customer made an underpayment or overpayment to DOS, the acceptance office notifies the Regional Passport Office, which will resolve the discrepancy.

**422.292 Forms and Supplies**

Forms and other supplies required by Postal Service passport acceptance units and the procedures for obtaining them are as follows:

- a. PS Form 5659, *Daily Passport Application (DS-11) Transmittal Form*, is available on the web at <http://blue.usps.gov/formmgmt/5999.htm>.
- b. The *Passport Agent's Reference Guide* (PARG) is available on the Retail Marketing Web page at [http://blue.usps.gov/retail/L3ProdServ\\_PARG.htm](http://blue.usps.gov/retail/L3ProdServ_PARG.htm). The most current version of the PARG must be printed and placed in a binder for reference.
- c. Additional forms and related materials used for the passport application acceptance program are described in the PARG and listed in the table below:

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 16
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

**Important!** Do not requisition forms or supplies from Passport Services at the Department of State. Requisition all items from the Material Distribution Center (MDC) by using touch-tone entry (TTOE) at 1-800-273-1509.

**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](http://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 <a href="#">474</a>
Interchange of space in buildings	General Services Administration	ASM <a href="#">517</a>
Maintenance of interchanged buildings	General Services Administration	ASM <a href="#">533</a>
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 allow the Postal Service, in the exercise of its business judgment, to maximize the value of its property through the display of commercial advertisements. This policy is not intended to create a public forum for the dissemination, discussion, or debate of issues or ideas.

### 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 Scope

#### 443.1 What the Policy Covers

This policy applies to all Postal Service property, including all real property and all tangible and intangible personal property.

#### 443.2 What the Policy Does Not Cover

This policy does not alter, or apply to, current practices and procedures involving the following:

- a. Lobby management as prescribed in all applicable Postal Service policies and regulations (including, without limitation, manuals, handbooks, and management instructions).
- 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.

### 444 Guidelines

#### 444.1 General

Except as prohibited by this policy, the Postal Service may accept a commercial advertisement for display on Postal Service property.

#### 444.2 Indecent or Obscene Advertisement

The Postal Service will *not* accept a commercial advertisement that:

- a. Is indecent or obscene.
- b. Depicts violent or sexual material that would be harmful to minors.
- c. Is unlawful or legally actionable.

The terms “obscene,” “indecent,” and “harmful to minors” have the broadest meaning permissible under United States Supreme Court decisions and other applicable judicial decisions.

**444.3 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.

**444.4 Alcohol, Tobacco, Weapons, or Gambling**

The Postal Service will *not* accept a commercial advertisement for alcohol, tobacco, weapons, or gambling.

**445 Administration****445.1 Vice Presidents of the Sponsoring Organization**

The vice president of the organization within the Postal Service requesting to display commercial advertisements on Postal Service property (the “sponsoring organization”) is responsible for ensuring that this policy is properly administered. Each vice president may delegate this responsibility to a representative within his or her organization who is familiar with this policy and its requirements.

**445.2 Clearance Committee**

Before implementing the display of any commercial advertisement, the sponsoring organization must submit a written proposal for the advertisement, accompanied by a *Commercial Advertisement Standard Clearance Form* (see [Exhibit 445.2](#)), to the clearance committee, comprised of the following individuals:

- a. Senior vice president, General Counsel, or designee.
- b. President, Shipping and Mailing Services, or designee.
- c. Vice president, Corporate Communications, or designee.

Within thirty (30) days of receipt, the clearance committee will review the proposal and complete and return the *Commercial Advertisement Standard Clearance Form* to the sponsoring organization. The clearance committee may, at its discretion, notify the executive committee of the proposed advertisement.

Exhibit 445.2

**Commercial Advertisement Standard Clearance Form**

<b>TO BE COMPLETED BY SPONSORING ORGANIZATION:</b>	
Date—	
Product/Service to be advertised—	
Advertiser/Contractor business contact —	
Proposed content/copy of advertisement —	
Proposed location(s) of advertisement (regional/national)—	
Proposed duration of advertisement—	
ATTACH TO WRITTEN PRESENTATION (INCLUDING ANY CREATIVES) BEFORE SUBMITTING TO CLEARANCE COMMITTEE.	
 <b>TO BE COMPLETED BY CLEARANCE COMMITTEE MEMBERS BEFORE RETURNING TO SPONSORING ORGANIZATION:</b>	
(Circle One)	
<b>Cleared</b>	<b>Not Cleared</b>
COMMENTS:	
 CLEARANCE COMMITTEE MEMBER:	
SIGNATURE:	
DATE:	

**445.3 Authority to Contract**

Before implementing the display of any commercial advertisement that the clearance committee has approved, the sponsoring organization must secure an appropriate delegation of authority from the vice president of Supply Management.

**445.4 No Local Authority**

Field managers do not have local authority to enter into joint marketing, co-branded, or commercial advertising agreements.

**445.5 Policy Review**

The General Counsel has authority for reviewing and amending this policy as needed. The General Counsel may delegate this responsibility to individuals in the Law Department who are familiar with this policy and its requirements.

## 45 Postal Rate Commission

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**451 Policy**

The Postal Service cooperates with the Postal Rate Commission (PRC) by responding to its requests for information and facility visits. Policies governing requests for information and facility visits by the PRC are established with the agreement of the postmaster general, the chief

operating officer, the chief financial officer, the chief marketing officer, the general counsel, and other appropriate officials.

## 452 **Responsibilities**

### 452.1 **Manager of Activity-Based Management**

The manager of Activity-Based Management or designee is designated by the postmaster general as the liaison to the PRC and does the following:

- a. Directs the coordination and review of all proposed responses to requests from the PRC for information, and ensures that the Law Department and other affected organizations approve all responses before they are provided to the PRC.
- b. Coordinates requests for PRC visits to postal installations with the appropriate operations officials, the general counsel, the heads of the organizations to be visited, and other appropriate postal officials, as necessary.
- c. Prepares notification of visits to the postmaster general, the chief operating officer, the chief financial officer, the chief marketing officer, the general counsel, and other postal officials, as necessary.

### 452.2 **Chief Counsels**

The chief counsel of Ratemaking or a designee receives, according to the rules of the PRC in 39 CFR 3001.12(e), requests for information about docketed cases before the PRC. These requests are made by delivering six copies of the request to:

CHIEF COUNSEL RATEMAKING  
UNITED STATES POSTAL SERVICE  
475 L'ENFANT PLAZA SW  
WASHINGTON DC 20260-1137

### 452.3 **Managers of Field Installations**

#### 452.31 **PRC Requests**

Immediately forward any written or oral requests from PRC personnel directed to field installations to the manager of Product Finance.

#### 452.32 **Notification of PRC Itineraries**

Postal field managers will be given advance notice of PRC itineraries.

## 453 **Inquiries on Postal Policy**

Refer all PRC inquiries about postal policy matters to the general counsel. Policy matters include, but are not limited to, ratemaking, mail classification, contracting and procurement, real estate, arbitration, the interpretation of collective bargaining agreements, appointments, promotions, personnel policies, and Post Office closings.

## 46 Relations With Private Agencies

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### 461 American Red Cross

#### 461.1 General

The Postal Service and the American Red Cross cooperate to maintain communications between the individual and the community during times of disaster. This applies only to natural disasters caused by floods, tornadoes, hurricanes, earthquakes, fires, or explosions, but not to those caused by enemy action.

#### 461.2 Responsibilities

Vice presidents of Area Operations and inspectors in charge must ensure that post offices implement these cooperative arrangements in disaster situations.

#### 461.3 Joint Services Provided

##### 461.31 General

The Postal Service and the American Red Cross share information on the whereabouts of persons displaced by disasters and otherwise cooperate with each other. These instructions are a broad framework within which field officials of both agencies may coordinate their facilities and resources. However, postal officials must cooperate with American Red Cross officials as much as possible during times of natural disasters.

##### 461.32 Address Changes

###### 461.321 Form 3575

The Red Cross uses Form 3575, *Change of Address Order*, as a standard item in Red Cross disaster relief. The Postal Service provides the blank forms to the Red Cross. The American Red Cross urges disaster victims displaced from their homes to obtain and complete the form, distributes the forms to those who need them, collects any completed forms, and turns them over to the Postal Service.

###### 461.322 Disaster Relief

During each disaster and subsequent disaster relief efforts, the Postal Service establishes a separate file of Forms 3575 completed by disaster victims, and makes information in the file available to the American Red Cross. The Red Cross uses this information only to locate individuals and families, to answer inquiries from relatives and friends concerning the whereabouts and welfare of the disaster victims, or to make contact with disaster victims who have applied for assistance from the Red Cross but cannot be located because of an address change.

###### 461.33 Other Efforts

###### 461.331 Disaster Planning

The Postal Service and the American Red Cross encourage local postal officials and Red Cross chapters to maintain contact with each other and to participate in local and community planning for disasters.

**461.332 Information Exchange**

When appropriate, the Postal Service and the Red Cross meet and exchange information at the national Headquarters level about the effectiveness of their joint efforts for disaster relief.

**462 Combined Federal Campaign (Reserved)****463 Carrier Alert****463.1 Policy**

The Postal Service, the National Association of Letter Carriers (NALC), and the National Rural Letter Carriers' Association (NRLCA), recognizing their unique presence in America's neighborhoods and further recognizing the needs of a special segment of postal customers — the homebound, the elderly, and people with disabilities — have resolved to promote joint support of the Carrier Alert program with local community social service agencies in the Carrier Alert program.

**463.2 Responsibility**

Corporate Relations is responsible for Carrier Alert activities that include:

- a. Providing advice to field managers when needed.
- b. Responding to media inquiries and providing information about Carrier Alert to the public.
- c. Advising the postmaster general on actions necessary to keep the public well informed of postal policy regarding Carrier Alert.

**463.3 Procedures****463.31 Notification**

Under Carrier Alert, a local sponsoring agency, enlisted through cooperation of the local NALC or NRLCA representative and the postmaster's representative, notifies the local Post Office of customers who want to participate in Carrier Alert. A decal placed in the registrant's mailbox notifies the letter carrier serving the route that the customer is a program participant. The carrier then will note any accumulation of mail, which might signify a sudden illness or accident. Through procedures developed locally, the accumulation will be reported to the social service agency for follow-up.

**463.32 Postal Liaison****463.321 Employee Designation**

In local post offices that have a Carrier Alert program, postmasters must have an employee serve as liaison with the local NALC or NRLCA representative for the Carrier Alert program. Together they will work with the local social service sponsor, the Corporate Relations Center or other designated public communications representative, and the postmaster to promote the voluntary program. Postmasters should ensure that a card giving the sponsoring agency's telephone number is posted beside all telephones receiving calls from the public. Callers inquiring about the Carrier Alert program should receive the sponsoring agency's telephone number

and a courteous explanation that the sponsoring agency keeps all records and then notifies the Postal Service of the names and addresses of participants.

463.322 **Program Organization**

In local post offices that do not have a Carrier Alert program, postmasters should name an employee to serve as liaison with the local NALC or NRLCA representative. Together, they should contact local service agencies to identify a sponsoring agency. As a sponsor may require time to organize the program, postmasters may place a note beside all telephones receiving public calls, instructing employees to explain courteously that efforts are under way to find a sponsor. As soon as a sponsor is found, a public announcement should be made telling people how they can register. Callers to the Post Office also should receive that information. The public announcement must include a press release. Assistance is available through the Corporate Relations Centers.

463.4 **Criteria**

The following criteria apply to Carrier Alert:

- a. The local sponsoring community agency performs Carrier Alert program administration, including soliciting and accepting applications and record keeping. The Postal Service cannot participate until the sponsoring agency fulfills its responsibilities. The sponsoring agency makes the Carrier Alert files it maintains (with the exception of confidential medical information) available to the Postal Service upon request, particularly the applications and statements of release.
- b. Participation in Carrier Alert is voluntary, and there will be no additional compensation for Carrier Alert activities.
- c. Postal participation in Carrier Alert should be directed jointly by local postal management and local NALC branch and/or NRLCA branch leadership.
- d. The local sponsoring agency must bear the costs, such as printing, promotion, and record keeping, of administering Carrier Alert at the local level.
- e. The application form used to register for Carrier Alert service must include the statement on [Exhibit 463.4a](#).
- f. Any publicity or promotional material used is subject to the review and approval of the Postal Service. Registrants and social service agencies should understand the limitations of Carrier Alert and avoid using phrases in promotional material that indicate that "life-saving or rescue services are provided." References that imply an obligation to "look after," "protect," or "rescue" a customer denote a degree of involvement not contemplated by Carrier Alert. Also, statements that letter carriers make "daily" checks for mail accumulation should not be used since no delivery is provided on Sundays or holidays. Also, carriers check for mail accumulation only on days when a customer receives mail.
- g. Carrier Alert is a reassurance and notification service and should not be confused or substituted for any community crime prevention programs.

- h. A registrant must have a mailbox to be eligible for Carrier Alert.
- i. Registrants served by letter carriers who do not want to participate in Carrier Alert are not eligible for Carrier Alert.
- j. Local procedures should be developed for the following:
  - (1) Notification to the Post Office and carrier of new registrants.
  - (2) Procedures for affixing the identification decal inside a registrant's mailbox.
  - (3) What constitutes an accumulation of mail that would prompt a call to the social service agency for follow-up.
  - (4) Method for reporting mail accumulation to the local social service agency.

A sample plan for local implementation is shown in [Exhibit 463.4b](#).

## Exhibit 463.4a

**Statement of Understanding and Release of Liability by Registrants in Carrier Alert Program**

I, \_\_[NAME]\_\_, acknowledge that I have registered to participate in the Carrier Alert Program (the program) under the direction of the \_\_[sponsoring social service agency]\_\_ jointly endorsed by the United States Postal Service and the National Association of Letter Carriers and the National Rural Letter Carriers' Association. I understand that my participation in the program will at all times be subject to the following terms and conditions:

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

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### 471 Flags at Postal Facilities

#### 471.1 Which May Be Displayed

Except as governed by host facilities as noted in [472.21](#), the only flags to be displayed at postal facilities are the flag of the United States of America, the Postal Service flag, the POW-MIA flag, and, when authorized by the vice president of Corporate Relations, flags directly related to the programs, missions, and activities of the United States Postal Service. Flags of states, commonwealths, or local governments must not be displayed.

#### 471.2 Relative Placement

##### 471.21 When Displayed on Flagstaffs

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; throughout the U.S., and its territories and possessions
Vice President U.S. Chief Justice or retired Chief Justice	For 10 days from date of death	
Speaker of the House of Representatives		
Associate Justice of Supreme Court Cabinet member	From date of death until interment	
Former Vice President President Pro Tempore of the Senate		
Majority Leader of House Minority Leader of House		

<b>On Death Of:</b>	<b>Flag Displayed Half-Staff:</b>	<b>On All Federal Buildings In:</b>
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**

Pursuant to Title 36 of the United States Code, Section 902, postal facilities must display the POW-MIA flag each day on which the flag of the United States is displayed.

### 476.2 **Display**

#### 476.21 **Description**

The POW-MIA flag that may be flown at postal facilities is the National League of Families POW-MIA flag that is recognized officially and designated by Public Law 101-355, section 2.

#### 476.22 **Regulations**

The POW-MIA flag must be displayed in a manner designed to ensure visibility to the public.

**476.23 Placement With the United States Flag**

No other flag should be placed above or, if on the same level, to the right of United States flag.

**476.3 Requisitioning New POW-MIA Flags**

To order, use the FEDSTRIP Activity Address Code as for any normal supply requisition on PS Form 7380, *MDC Supply Requisition*, to the following address:

MATERIAL DISTRIBUTION CENTER  
ATTENTION: SUPPLY REQUISITIONS  
UNITED STATES POSTAL SERVICE  
500 SW GARY ORMSBY DRIVE  
TOPEKA KS 66624-9607

# **5 Facilities and Equipment**

## **51 Facilities**

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### **511 General**

#### **511.1 Responsibilities**

Facilities is an organization whose primary mission is to provide quality real estate facilities and related services to meet the present and future needs of Postal Service operations.

#### **511.11 Overall**

The Facilities organization is responsible for the following:

- a. Determining facility requirements and planning, including: facility space planning, design and construction, and decision analysis report preparation.
- b. Providing opportunities for occupancy of leased facilities, including continued occupancy of existing leased facilities.
- c. Providing new and/or improved owned facilities.
- d. Outleasing, subleasing, and/or developing underutilized space.
- e. Providing repairs and alterations for continued operational use.
- f. Providing requirements to Supply Management for the design and construction of all building-related project work at \$10,000 or more.
- g. Following applicable regulations and policies, including the Davis Bacon Act for applicable project work at \$2,000 or more and the Service Contract Act at \$2,500 or more.
- h. Providing environmental assessments, historic assessments, and other real estate-related evaluations.
- i. Coordinating the development of material handling systems with Engineering.
- j. Coordinating with the Postal Inspection Service and the Office of Safety and Risk Management regarding the security and safety requirements at facilities owned or leased by the Postal Service.

#### **511.12 Area Offices**

All Area offices have responsibility within prescribed limits for the following:

- a. Facility requirements and planning.
- b. Building inspections.

- c. Facility maintenance and minor repairs. Facility repairs that are declined by maintenance will be the responsibility of the Facilities organization.

### 511.13 **References**

References include the following handbooks:

- AS-504, *Space Requirements*, has instructions to carry out facility requirements and space planning.
- 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.
- AS-503, *Standard Design Criteria*, provides designs, criteria, and specifications for new buildings and repair and alteration of existing structures.
- RE-6, *Facilities Environmental Guide*, provides policy and procedures governing the environmental aspects of leasing, acquiring, managing, developing, and disposing of real property.
- RE-4, *Standards for Facility Accessibility by the Physically Handicapped*.
- RE-5, *Building and Site Security Requirements*.
- EL-602, *Food Service Operations*.

## 511.2 **Delegation of Authority**

### 511.21 **Approval Authority**

#### 511.211 **Handbook F-66 Series**

Handbook F-66 series on investment policies and procedures provides processes for obtaining approval of:

- 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 owned facilities.

#### 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 defined in the *USPS Supplying Principles and Practices* (<http://blue.usps.gov/policy/>), part 7-1, Appointment and Selection of Contracting Officers. 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 deciding to acquire new facilities or expand existing facilities, Facilities will review the opportunity for continued occupancy of the present facility, including a review of the facility's capability to meet expected future requirements in capacity and service standards. The criterion for adding to existing facilities or replacing facilities is improvement of the Postal Service at least cost. New construction is authorized only when the current use of an existing building as is 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 expanded facilities may be approved on the basis of one or more of the following factors:

- a. Employee factors such as providing safe and healthful working conditions.
- b. Service factors such as current or future capacity deficiencies, future expected growth, lease preemption, and condemnation.
- c. Economic factors such as providing a positive return on investment (ROI) (see the Handbook F-66 series).

#### 512.212 **Long-Range Planning**

Long-range facility planning at the District, Plant, and Area Office levels is intended to identify problem facilities and provide 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**

Facilities Planning is responsible for developing planning documentation for Customer Service and Processing and Distribution Facilities with appropriate input from respective operational functions (i.e. Retail and Customer Service Operations, Delivery, etc.).

**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 and Planning.

**512.4 Facility Activation**

Facility Activation is an Area responsibility. Facilities will provide assistance as needed to the Area in the facility activation process. 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*, that are in effect at the time of the activation.

**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 a new facility, whether an existing building or land upon which to construct a building through channels to the official with approval authority for funding, as specified in the 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 ensure that continued occupancy of a leased facility is a feasible alternative, each successive month the Customer Relations Manager (CRM) submits an expiring lease report to its respective Districts and Area.

**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**

The Postmaster may proceed to contact local brokers/property owners to secure emergency space, but must submit any contractual documents to the leasing team for review, approval, or disapproval and subsequent execution of an approved document.

**513.14 Christmas Space Assistance**

The responsible operational unit 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 determine the adequacy of the security and safety arrangements.

**513.3 Procedures for Vacating Facility**

There are times when a facility must be vacated on a temporary or permanent basis as a result of operational constraints (i.e., staffing) or as a result of necessary repairs required prior to continued occupancy. In these non-Facilities-driven circumstances where an existing facility is vacated, the District Operations is responsible for notifying Facilities that a facility is vacated. District Operations must complete the *Notification of Vacated Facility* Form and submit it to the appropriate customer relations manager with the district manager's signature. Upon receipt, the customer relations manager will submit the *Notification of Vacated Facility* Form to the Facilities planning program analyst who will coordinate the appropriate actions based on the standard operating procedures defined under the Notification of Vacated Facilities process.

**514 Changes Affecting Leases****514.1 Cancellation****514.11 General**

The lease agreement between the Postal Service and landlord may have provisions for cancellation of the lease prior to the end of the lease term upon written notice.

**514.12 By Postal Service**

When the requiring organization no longer needs a leased facility, it must notify its CRM. Available options may involve termination of the existing lease, assignment of the leasehold interest, or if other options are not available subleasing of the space. The request must be submitted in a timely manner to allow action by the responsible service organization in accordance with the provisions of the lease.

**514.13 By Landlord**

Postmasters must immediately forward to the CRM any notification received from a landlord 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 Implementation or Property Management RES coordinates with the Postmaster to ensure that the premises are vacated and keys are delivered to the lessor, if possible. Postmasters must 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 contacts the National Facilities Response Line and reports the problem that needs repair.

**515.3 Emergency Repairs**

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. The Postmaster contacts the National Facilities Response Line and reports the problem that needs repair.

**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**

All requests for facility repair and alteration projects are to be reported to the National Facilities Response Line.

**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 Facilities preservation officer.

**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-890-2007-2, *Asbestos-Containing Building Materials Control Program*, and Handbook AS-556).

**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 MI EL-890-2007-4, *Lead Hazard Management*).

**516.133 Mold**

Mold is a potential health and safety issue when not properly managed (see MI AS-516-2008-1, *Mold Prevention, Assessment, and Remediation*).

**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 appropriate higher management. Any proposed modification of Post Office boxes that would require a change to lobbies located in an owned or leased postal facility listed or eligible for listing on the National Register of Historic Places must be submitted to the Facilities preservation officer.

**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 by the local maintenance staff.

**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 Facilities CRM. Facilities 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*) and for compliance with section 106 of the National Historic Preservation Act.

**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 may without prior GSA approval replace blank panels with Post Office boxes or relocate boxes within a panel unless the area of the boxes is historic. This work can be performed either by the local maintenance staff or GSA.

**516.242 Other Modifications**

All other Post Office box lobby modifications must be submitted to the Facilities CRM 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 may be performed by the local maintenance staff. If local maintenance is not going to perform the work, then it should be called into the National Response Line.

**516.252 Submissions**

Submit all other box lobby modifications to the Facilities CRM.

**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 Facilities CRM advises the Postmaster of the project schedule within 30 calendar days.

**517 Real Property Management****517.1 Disposal of Postal Service-Owned Excess Real Property****517.11 Inventory Review**

Identification and tracking of useable underutilized space in the USPS building inventory is the responsibility of the following organizations:

1. HQ Network Operations identifies useable underutilized space in mail processing facilities and provides the information to Facilities.
2. District Operations identifies useable underutilized space in Customer Service facilities and provides the information to Facilities.
3. Facilities is responsible for tracking identified useable underutilized space in the USPS inventory. All building information including such space is tracked in the Facilities eFMS system.

**517.12    Procedure for Disposal****517.121    Approval and Recommendation**

Facilities is responsible for coordinating with the local District and Area office for the disposal of excess property.

**517.122    Funding**

Facilities provides the funding for disposal support with appropriate project approval.

**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 the GSA and the Postal Service is on a landlord-tenant 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 underutilized space and facilities to the extent practical and in the best interest of the Postal Service.

**517.32 Assigning Space to GSA****517.321 Procedure**

Available underutilized space is offered to the marketplace.

**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.

**517.323 Specific Requirements**

The following requirements must be met for leases to the private sector:

- a. The prospective tenant must be financially reliable as determined by the Postal Service.
- 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 communication services 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.

**517.33 Reporting Underutilized Space, Buildings, and Land**

Provided that District Operations notifies Facilities, Facilities Planning will identify and report all underutilized space in Postal Service-owned and Postal Service-leased buildings and in undeveloped Postal Service-owned and -leased sites. In turn, Facilities Planning will notify, through regular channels, Facilities Real Estate Assets that excess space exists and the space should be either sold or leased. Facilities' finance number is credited for the gross proceeds or rental income generated by the respective sale or outlease/sublease for leasing of underutilized property or space to federal and non-federal tenants.

**517.34 Lease 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 USPS 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 Facilities Real Estate Assets for review and consideration.

**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 at Postal Service facilities received by the Postal Service from federal agencies (including U.S. courts and members of Congress) must be referred to Facilities Real Estate Assets personnel. When an agency wants additional space at a Postal Service property, GSA notifies Facilities Real Estate Assets. Postal managers must not authorize the use of unassigned space without the concurrence of Facilities Real Estate Assets.

**517.42 Procedure**

Arrangements for assigning space in Postal Service buildings for federal agency use are made by GSA with the concurrence of Facilities Real Estate Assets. 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 Facilities Real Estate Assets.

**517.43 Alterations to Vacant Space**

If underutilized 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.

**517.44 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.

**517.45 Monitor Space Assignments**

Postmasters are responsible for monitoring space assigned to GSA, including relocations, transfers, expansions, reduction, and vacation of space. These changes must be reported to Facilities Real Estate Assets.

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, Facilities Real Estate Leasing notifies GSA. The requirements organization submits a PS 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 Postal Service pays these costs separately to the GSA by the Postal GSA. Make arrangements and secure approvals for funding prior to commencement of the work or service. Facilities Real Estate Leasing personnel prepare and execute contract documents with GSA.

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.

517.611 **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 one year advance written notice must be given to GSA.

517.612 **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, Facilities Real Estate Assets notifies the appropriate GSA regional office, according to the above schedule in section [517.611](#).

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 Facilities Real Estate Leasing, 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 communication lines) of the agency required to relocate.

**517.642 Communication Lines**

a. **Relocation costs** — Costs for relocating communication lines cannot exceed costs of duplicating the lines existing before moving.

*Duplicating existing lines* is defined as replacing like equipment, including color, number, and type of instruments, number of circuits, buttons, lights, and buzzers.

b. **Exception** — The cost of moving and reinstalling communication lines 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 are provided by the owner of the building.

**517.72 Building Services**

The owner 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'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 Facilities Real Estate Assets 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, security, maintenance, or similar services required by a tenant agency on a continuing basis to maintain a building operation in excess of the hours provided for in the GSA-Postal Service agreement or as applicable building hours.
- 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 PS Form 7437 must be submitted to Facilities Real Estate Leasing 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 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 PS Form 7437, Facilities Real Estate Leasing completes GSA Form 2957, *Reimbursable Work Authorization*, and forwards it to GSA.

**517.84 Postal Service Buildings Occupied by GSA****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 Facilities Real Estate Assets.

**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 must notify Facilities Real Estate Assets immediately. Facilities Real Estate Assets 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 must 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**

The Postal Service follows the process in 39 CFR 241.4 whenever the Postal Service makes a tentative decision to do any of the following:

- a. Relocate all retail services from a retail service facility to a separate, existing physical building.
- b. Add a new retail service facility for a community.
- c. Temporarily add retail service facilities.
- d. Relocate retail services on a temporary or emergency basis.
- e. Undertake a provisional relocation of retail services.

**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 managers review all alternatives and establish the requirement for new space *before* community contact is initiated.

Community contact process will adhere to processes established in Handbook RE-1, *Realty Acquisitions and Management*.

**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*, and ASM, Chapter 69, Environmental Compliance. 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 managers review all alternatives and establish the requirement for new space before community contact is initiated. Community contact process will adhere to processes established in Handbook RE-1, *Realty Acquisitions and Management*.

**518.5 Compliance With Environmental Laws and Regulations**

The Postal Service complies with all applicable federal, state, and local environmental laws and regulations. It proactively seeks to develop innovative and cost-effective solutions to provide its customers, employees, suppliers, and communities with a safe and healthy environment through the implementation of a compliance management system. For more information, refer to ASM, subchapter 69, Environmental Compliance.

**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. This function is an Area responsibility. Facilities will provide assistance as needed in the process. The guidelines for facility activation will be as stated in Handbook AS-501, *Postal Facility Activation*, for major processing and distribution facilities and in Handbook AS-502, *Activation of Non-Mail Processing Postal Facilities*, for non-processing and distribution facilities, stations, and branches under 30,000 square feet that are in effect at the time of the activation.

**519 Design and Construction****519.1 Building Design Standards****519.11 Policy**

Facilities periodically updates the Building Design Standards. 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 must 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 or purchase, 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:

This Building Dedicated  
to Public Service  
[year of dedication]  
“Current President”,  
President of the United States  
“CURRENT PMG”  
Postmaster General

**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](#).

**519.225 Other Plaques**

Except as provided in 519.224, no other plaques are permitted to be installed within or outside Postal Service buildings.

**519.3 Energy Conservation Design Standards****519.31 Policy**

All new postal facilities must be designed for maximum energy conservation, according to the national energy policy.

**519.32 Background**

In December 2007, Congress enacted the Independence and Security Act. This Act required the Postal Service to reduce its energy consumption 30 percent by the end of fiscal year 2015. In March 2015, President Obama signed Executive Order 13693, Planning for Federal Sustainability in the Next Decade, requiring federal agencies to, among other things, reduce building energy intensity by 2.5 percent annually through the end of fiscal year 2025, relative to their 2015 baselines. While the Postal Service is not required to comply with EO 13693, the Postal Service may seek to comply with EO 13693's goals as a matter of policy and may be subject to future laws and executive orders requiring further energy consumption reductions.

In addition, under the Energy Conservation and Production Act, the Postal Service is required to construct new buildings in accordance with building efficiency standards established by the Department of Energy. In November 2015, the Department of Energy issued a final rule adopting the American Society of Heating, Refrigerating, and Air-Conditioning Engineers' (ASHRAE) standard 90.1-2013 as the energy efficiency standard for all federal buildings for which design for construction began on or after November 6, 2016. It is assumed that the Department of Energy will adopt future ASHRAE standards as they are developed.

**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*, and regulation 39 CFR 255.8).

**519.42 Structural Loads**

All new construction of owned and leased facilities, at a minimum, must comply with the structural loads provisions of the latest issue of one of the national model building codes (Uniform Building Code, Standard Building Code, or the Building Officials and Code Administrators' National Building Code). This includes, but is not limited to, floor and roof live loads, roof snow loads, wind loads, and earthquake loads.

**519.43 Regulations**

All space obtained by the Postal Service must, at a minimum, meet the safety and health standards specified in the National Fire Code (by NFPA), the Occupational Safety and Health Act (OSHA) of 1970 (PL 91-596, 84 Stat. 1590, 29 U.S.C. 667), and requirements in OSHA Standards 29 CFR 1910.

**519.5 Facility Cost Control**

The design and construction of Postal Service-owned and -leased buildings must be functional and cost-effective. Cost-conscious architectural and engineering design and value engineering principles must be applied to all postal design and construction projects.

## 52 Equipment Requirements for Nonfixed Mechanization

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**521 General****521.1 Policy**

It is Postal Service policy to improve the efficiency and effectiveness of mail processing activities through mechanization and/or automation, when practical and beneficial.

**521.2 Definitions**

The following definitions apply:

- a. *Nonfixed mechanization* — equipment used in mail processing activities exclusive of mail transport conveyor systems. Generally deployed in a standard configuration, it is not designed to conform to the shape of any specific postal facility. Nonfixed, as opposed to fixed, mechanization may be installed in or removed from buildings without structural changes to the building, in most instances. The following is a partial list of equipment that is generally classified as nonfixed mail processing mechanization:
  - (1) Dual pass rough cull machines.
  - (2) Advanced facer canceler systems (AFCSSs).
  - (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.

<b>Step</b>	<b>Responsible Organization</b>	<b>Action</b>
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

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**531 General****531.1 Scope**

This subchapter covers policies and requirements for maintenance of facilities, plant equipment, and postal equipment. Vehicle maintenance is covered in *Postal Operations Manual* (POM), Chapter 7.

**531.2 Policy****531.21 Definitions**

The following definitions apply:

- a. *Building and building equipment* — the building's physical structure, utilities, and environmental systems.
- b. *Postal equipment* — a broad range of equipment used either directly or indirectly in moving the mail and for providing customer services (includes scales, stamp vending machines, collection boxes, letter and flat sorting and canceling machines, containers; and fixed mechanization, such as, but not limited to, conveyors, parcel sorters, and sack sorters).

**531.22 Objectives**

The primary objectives of maintenance management are:

- a. To maintain a safe, pleasant, and healthy working environment.
- b. To maintain all plant and postal equipment in good operating condition.
- c. To minimize total operating costs.
- d. To protect postal investment in buildings and equipment.

**531.23 Safety****531.231 Necessity for Program**

Safety is an area of major concern to all maintenance management personnel. The senior maintenance management official in a facility is responsible for a maintenance safety program. The program should be updated frequently and include each maintenance employee to achieve maximum protection of personnel and property.

**531.232 Nature of Program**

Maintenance supervisors must include safety as a part of all maintenance programs. They should display a personal interest in the program and set an example of following it. The overall maintenance program must include sections on safety; lockout/tagout; fire prevention and control; evacuation plans; and utility failure (e.g., electricity, water).

**531.233 Observance of Safe Practices**

Maintenance supervisors or other personnel overseeing work of others are responsible for ensuring observance of all applicable safety rules, regulations, and specifications. Enforcement, when required, must be carried out quickly, directly, and individually.

**531.234 Application of Safeguards**

Area office approval is required for local fabrication and installation of mechanical and electrical safeguards on postal equipment. This includes replacement of electrical wiring to provide safety grounding for equipment.

**531.235 Fire Extinguishers**

Operating fire extinguishers of the type and number specified in Handbook MS-56, *Fire Prevention and Control*, must be provided for each postal facility. This equipment must be inspected according to requirements of Handbook MS-56.

**531.3 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****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.

<b>Life Expectancy of Equipment (Age in Years)</b>					<b>Percentage of replacement cost authorized for repair/ overhaul costs</b>
<b>15 years</b>	<b>12 years</b>	<b>10 years</b>	<b>8 years</b>	<b>5 years</b>	
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

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**541 Energy Conservation****541.1 Routine Operating Plan****541.11 General**

All installation heads must follow these energy conservation measures:

- a. Switch off any lighting, indoor or outdoor, whenever it is not needed. However, do not shut off power to computers (such as IRTs) that transmit data overnight or when an installation is closed.
- b. Maintain a maximum heating temperature of 65 degrees Fahrenheit during working hours and 55 degrees Fahrenheit during nonworking hours.
- c. Maintain a minimum cooling temperature of 78 degrees Fahrenheit during working hours and no cooling during nonworking hours.
- d. Follow all guidelines 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 eBuy 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**

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### **611 Policy**

The Postal Service uses technology as a tool to achieve its business objectives. Technology programs cover a wide range of areas and are intended to make it easier for customers to do business with us. These programs allow the Postal Service to:

- a. Process, track, and distribute mail faster and more effectively.
- b. Protect the environment.
- c. Provide tools for our employees to improve job effectiveness.

A broad definition of technology includes computer systems hardware and software, Internet and intranet development and systems, mail processing, handling and transport equipment, mail tracking systems hardware and software, retail and self-service equipment, telecommunications, and the effective use of the information available in these systems.

### **612 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

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### 621 **Policy**

The Postal Service supplies corporate strategy and support services for the core operations processes that provide postal services to customers. These core processes include: collecting and accepting; sorting and distributing; delivering; transporting; and selling.

### 622 **Operations**

#### 622.1 **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)

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## 64 Stamp Services

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**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](http://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](http://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
<b>Development, Shipping, and Manufacturing</b>	
Design	Stamp Services
Shipping to Stamp Distribution Offices/ Stamp Distribution Networks	Stamp Services
Printing and Manufacturing	Stamp Services
<b>Administrative and Recordkeeping</b>	
Sales and Services Associate Training	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
<b>Distribution</b>	
Postage to Post Offices	Stamp Services
<b>Retail</b>	
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 inconsequentially small, which include those cost items that are less than \$3,000 per invoice and are not specifically charged to a semipostal finance number.

- (2) Costs for which the cost of tracking or estimation would be burdensome (e.g., costs for which the cost of tracking exceeds the cost to be tracked).
  - (3) Costs attributable to mail to which semipostal stamps are affixed (which are attributable to the appropriate class and/or subclass of mail).
  - (4) Administrative and support costs that the Postal Service would have incurred whether or not the Semipostal Stamp Program had been established.
- c. Cost items recoverable from the differential revenue 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

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### 651 **Policy**

It is the policy of the Postal Service, consistent with its vision and guiding principles, to provide products and services that meet or exceed customers' expectations. To accomplish this, the Postal Service has implemented a Baldrige-based management system called *CustomerPerfect!*, designed to achieve performance excellence and to continuously improve quality, productivity, and competitive position.

### 652 **Responsibility**

Quality is responsible for designing, maintaining, and effectively supporting the implementation of the *CustomerPerfect!* system that will significantly improve customer satisfaction, financial performance, and employee and organizational effectiveness.

### 653 **Quality**

Quality comprises five Headquarters groups and direct support for field Quality organizations:

- a. Development and Benchmarking.
- b. Core Process Support.
- c. Enabling Support.
- d. Quality Leadership and Major Programs Support.
- e. Sales and Marketing Support.

**653.1 Development and Benchmarking**

Development and Benchmarking provides support in the following areas:

- a. *Education and Training.* Includes identification and acquisition of new quality-related courses, development of materials, and oversight of the trainer certification processes. Support in this area also includes design, coordination, and review of the Quality Practitioner program, and facilitating the incorporation of quality methods and tools in other training courses and materials.
- b. *Quality Systems and Tools Research.* Includes investigating quality management methods and techniques not currently in use in the Postal Service, examining the application potential for identified methods, reviewing of training and software support needs, and developing or piloting of initial applications.
- c. *Benchmarking and Best Practices.* Involves identification, acquisition, and deployment of the national approach to external benchmarking. This group acquires and implements benchmarking training courses for Postal Service teams. This group has responsibility for design, coordination, testing, and implementation of a database to collect and communicate internal best practices. It also supports the replication of internal best practices and findings from external benchmarking studies.
- d. *External Relations Within the Professional Quality Community.* Involves managing the ongoing relationships with professional quality organizations and other business groups and consortia to facilitate the development and implementation of the above identified responsibilities. These external relationships provide a forum for the Postal Service to convey the learnings from its quality journey while gathering insights into the knowledge of others.

**653.2 Core Process Support**

The strategic role of this group includes the following five elements:

- a. *Enterprise Map and Process Ownership.* Includes development of the Postal Service Enterprise Map, maintaining the Map and providing support to the process sponsors, owners, and operators through training and consulting services. Involves the systematic improvement of those processes in support of business goals and supporting the effective application of process management and quality improvement to improve quality, cost, and cycle time.
- b. *Headquarters Operations Support.* Includes responsibility for supporting the Operations Support groups including Network Operations, Operations Planning, Engineering, and International Business Unit (IBU) Operations.
- c. *Field Support.* Includes providing active support to the area quality managers and field quality specialists, developing field quality effectiveness measures, and working with area quality managers to evaluate variation and capability levels. Includes providing support to improve the skills of quality specialists and practitioners to improve business results through effective application of quality tools.

- d. *Process Management and Improvement Support.* Comprises the management of all processes within the Postal Service Enterprise Map, and the systematic improvement of those processes to improve quality, cost, and cycle time in support of business goals.
- e. *Involvement of Employees.* Involvement of employees includes teams for process management and process improvement, and the development of quality practitioners within each department who have sufficient knowledge of process documentation, measurement, and improvement techniques to support the ongoing maintenance and improvement of the process management system.

### 653.3 **Enabling Support**

Provides internal consultant support and manages external consultant support to Postal Service leadership and managers throughout the Headquarters enabling organizations. This support is focused on the effective implementation of the management system through the areas of:

- a. *Process Management and Improvement.* Comprises the management of all processes within the Postal Service Enterprise Map, and the systematic improvement of those processes to improve quality, cost, and cycle time in support of business goals. Management includes the execution of business reviews to ensure the stability and capability of enabling processes.
- b. *Involvement of Employees.* Includes teams for process management and process improvement, and the development of quality practitioners within each department who have sufficient knowledge of process documentation, measurement, and improvement techniques to support the ongoing maintenance and improvement of the process management system.

### 653.4 **Quality Leadership and Major Programs Support**

This group comprises two areas:

- a. *Quality Leadership Support.* This group supports the operation and improvement of the *CustomerPerfect!* management cycle and related planning processes. The management cycle consists of these four phases:
  - (1) *Establish.* Establish is the setting of overall direction by the senior leadership of the organization. It includes the analysis of the external environment and internal organizational capabilities, and the setting of improvement targets to meet changing customer, employee, and business needs. Support includes the developing processes for integrated target-setting and strategic planning.
  - (2) *Deploy.* Deploy involves the development of plans to achieve the improvement targets and the overall strategic direction of the organization, and the allocation of resources to implement those plans. Support includes the development of approaches for communicating plans and resource requirements and support for the catchball process, a cooperative engagement in setting targets and plans based on data.

- (3) *Implement.* Implement is the follow-through phase in which action plans to achieve improvement targets are carried out.
- (4) *Review.* Business reviews are the method by which progress toward targets are assessed, adjustments to plans are made, and successful plans are identified for replication. Support includes the development of approaches to business reviews, and assistance in conducting those reviews.

This area also includes *CustomerPerfect!* Support. This includes designing and conducting assessments of *CustomerPerfect!*, the Postal Service management system using the Malcolm Baldrige National Quality Award criteria. These assessments are initiated at the direction of the Postmaster General (formal Baldrige assessments were conducted in FY 1995 and FY 1998). Following the assessment, the group assists the Integration Team in the development and tracking of action plans to address the “opportunities for improvement” documented in the feedback report.

- b. *Major Programs Support.* This group facilitates the establishment of a strategic corporate competency in the area of Program and Project Management, focusing on the conduct of major program initiatives:
  - (1) *Standardized Program Management Processes.* Provide a complete set of program management processes taking efforts from initial concept through prototyping, adoption, and enterprise-wide implementation.
  - (2) *Integrated Program Tracking, Reporting, and Review.* Provide senior management with a centralized, global view of major initiatives by establishing standardized processes for reporting and review and establishing an integrated multiproject reporting and analysis across all major initiatives.
  - (3) *Project Management Training.* Roll out training in basic project management skills for program managers and directors, their staffs, and supporting organizations.
  - (4) *Internal Project Management Consulting and Support.* Provide ongoing guidance and expertise to program managers and directors in the areas of program organization, planning, tracking, reporting, and analysis and to project leaders whose efforts may evolve into enterprise-wide programs.

#### 653.5 **Sales and Marketing Support**

Manages the development, implementation, and review of systems, activities, skills, and methods to continuously improve Sales and Marketing processes and overall Postal Service organizational performance. Provides internal consultant support and manages external consultant support to leadership and managers throughout the Sales and Marketing department.

#### 653.51 **Process Management and Improvement**

Comprises the management of all Sales and Marketing processes within the Postal Service Enterprise Map, and the systematic improvement of those processes to improve quality, cost, and cycle time in support of business

goals. Management includes the execution of business reviews to ensure the stability and capability of Sales and Marketing processes.

#### 653.52 **Involvement of Employees**

Involvement of employees includes teams for process management and process improvement, and the development of quality practitioners within each department who have sufficient knowledge of process documentation, measurement, and improvement techniques to support the ongoing maintenance and improvement of the process management system.

## 66 Licensing

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### 661 **Responsibilities of 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:

<b>For...</b>	<b>for this use...</b>	<b>contact this organization...</b>
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](http://www.usps.com/rightsandpermissions). All requests for permission must be submitted using the Rights and Permissions application found at [www.usps.com/  
rightsandpermissions](http://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](mailto: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](http://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](http://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](http://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

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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.

## 68 Postal History

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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.

## 69 Environmental Compliance

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### 691 Policy

The Postal Service complies with all applicable federal, state, and local environmental laws and regulations and proactively seeks to develop innovative and cost-effective solutions to provide its customers, employees, suppliers, and communities with a safe and healthy environment through the implementation of a compliance management system.

**692 Scope**

These policies apply to all Postal Service facilities, managers and employees, programs, projects, operations, products, and services.

**693 Regulations and Authority****693.1 General**

The Postal Service is subject to numerous federal, state, and local environmental laws and regulations. Certain Executive Orders and Environmental Protection Agency policies are recognized by the Postal Service as guidance.

**693.2 Federal Laws and Regulations**

Federal environmental laws are codified in Title 40 of the Code of Federal Regulations. The following federal laws apply to the Postal Service:

- a. National Environmental Policy Act (NEPA)
- b. Toxic Substances Control Act (TSCA)
- c. Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA)
- d. Resource Conservation and Recovery Act (RCRA)
- e. Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA, also known as Superfund)
- f. Clean Air Act (CAA)
- g. Clean Water Act (CWA)
- h. Emergency Planning and Community Right-to-Know Act (EPCRA)
- i. Safe Drinking Water Act (SDWA)
- j. Energy Policy Act of 2005

**693.3 State and Local Laws and Regulations**

Provisions of certain federal laws may be delegated to the states for compliance, monitoring, and enforcement. In many instances, the regulations so delegated present complex compliance requirements that vary by locality. To add to the complexity, states, cities, municipalities, and counties may enact their own environmental laws and regulations.

**694 Environmental Compliance Program****694.1 Description**

The Postal Service's environmental compliance program establishes strategies, evaluates activities, and administers programs and projects to ensure that federal, state, and local environmental considerations are integrated into all Postal Service operations.

**694.2 Compliance****694.21 Management System**

The Postal Service utilizes an environmental compliance management system for continual improvement that includes systems to manage information, allocate resources, and identify emerging Postal Service and regulatory issues. As part of the management system, the Postal Service identifies environmental aspects, their associated impacts and determines their significance and risk.

**694.22 Review**

The Postal Service conducts periodic reviews of its activities and operations to ensure compliance with applicable Postal Service requirements and federal, state, and local environmental laws and regulations.

**694.3 Program Evaluation and Management Review**

The Postal Service conducts periodic evaluations of environmental compliance policies and programs at all levels of the organization to review the effectiveness of its compliance management system and national environmental policies and programs, based on established metrics.

**694.4 Records Management**

The Postal Service maintains standardized retention schedules for required environmental records in the corporate-wide records information management system. Environmental compliance records, reports, and documents must be maintained electronically in the corporate-wide environmental information system and distributed to internal stakeholders to ensure transparency and compliance.

**694.5 Data Management**

The Postal Service utilizes a corporate-wide environmental information system to manage and track environmental data. The system also serves as the mandatory central repository for electronic copies of required environmental compliance records, reports, and documents.

**694.6 Training and Awareness**

The Postal Service ensures that employees are competent to perform tasks that have or can have significant impact on the environment. This includes providing general awareness and other environmental compliance training required by applicable federal, state, and local environmental laws and regulations and environmental programs. Environmental compliance training courses are maintained in the corporate-wide learning management information system.

**694.7 Preventive and Corrective Action**

The Postal Service takes preventive measures and initiates corrective actions for non-conformance and non-compliance identified during the program evaluation and compliance review processes. The Postal Service records the results of preventive and corrective actions taken and reviews the effectiveness of these actions.

**694.8 Communication and Outreach**

The Postal Service communicates to employees and customers its environmental policies and commitment to implementing environmentally responsible business initiatives and seeks opportunities to partner with public and private organizations to further its environmental objectives.

**694.9 Budget and Resource Allocation**

The Postal Service establishes a comprehensive fiscal strategy and corresponding annual operating budget to ensure compliance with applicable Postal Service requirements and federal, state, and local environmental laws and regulations. The strategy includes cost-effective compliance solutions that provide a safe and healthy environment for Postal Service employees, customers, and communities. In addition, the Postal Service assigns adequate resources to implement environmental compliance policies, programs, and the compliance management system.

**695 Responsibilities****695.1 Headquarters****695.11 Chief Sustainability Officer, Office of Sustainability**

The Chief Sustainability Officer (CSO), Office of Sustainability, performs the following environmental compliance program management functions:

- a. Serves as the Chief Environmental Officer for the Postal Service.
- b. Communicates environmental policies.
- c. Allocates budget and resources for the development, implementation, and assessment of environmental compliance policies, programs, and the compliance management system.
- d. Serves as chief liaison with the Environmental Protection Agency (EPA).
- e. Establishes the strategic direction for the environmental compliance program.

**695.12 Office of Sustainability**

The Office of Sustainability, consisting of teams of specialized staff under direction of the CSO, performs the following environmental compliance and risk management functions:

- a. Develops the Postal Service's environmental compliance policies, programs, and strategies.
- b. Develops and implements the Postal Service's environmental compliance management system.
- c. Identifies environmental aspects and impacts associated with Postal Service operations and determines their significance and risk.
- d. Establishes national environmental compliance performance objectives with measurable targets and tracks progress towards established targets.

- e. Manages the identification of federal, state, and local environmental laws, regulations, and guidelines, and incorporates them into Postal Service policy and requirements.
- f. Develops and conducts periodic program-level environmental management reviews to ensure alignment with organizational objectives and management systems.
- g. Develops and conducts periodic environmental compliance reviews that:
  - (1) Assess risks and liabilities;
  - (2) Evaluate facility activities and operations for compliance with federal, state, and local environmental laws and regulations; and
  - (3) Recommends corrective actions, if necessary.
- h. Analyzes and reports on corporate-wide environmental compliance performance and risk, trends, management and compliance review results and emerging issues.
- i. Develops and manages the corporate-level environmental compliance budget for the development, implementation, and assessment of environmental compliance policies, programs and the compliance management system.
- j. Establishes and manages the corporate-wide environmental data information system.
- k. Coordinates and deploys a national environmental training program based on regulatory and operational requirements.
- l. Tracks EPA, state, and local regulatory developments, and comments on proposed regulations.
- m. Coordinates with other federal, state, and local agencies, trade associations, and professional stakeholders on matters of environmental management.
- n. Provides environmental assistance during the prevention, preparedness, response, and recovery phases of emergencies.
- o. Provides direction and assistance to area and district stakeholders to ensure consistent and standardized implementation of the Postal Service's environmental compliance policies, programs, and management system.

#### 695.13 **Vice President, Facilities**

The vice president, Facilities, performs the following environmental program management functions:

- a. Ensures that environmental policies are incorporated into all aspects of facility management, including real estate transactions and design, construction, alteration, repair, and excessing activities.
- b. Directs the Facilities Department to follow Postal Service environmental policies and all applicable federal, state, and local regulations when managing projects.

**695.14 Facilities Department**

When managing projects, the Facilities Department performs the following environmental program management functions:

- a. Maintains the reports and records required by environmental regulations.
- b. Ensures that the reports, records, and other environmental compliance documents are distributed to the appropriate installation heads and internal stakeholders, including the Corporate Sustainability Office. Copies must be retained in the Facilities Department's project records and the corporate-wide environmental information system.
- c. Obtains necessary permits and approvals required by environmental regulations.

**695.15 Other Headquarters Functions**

All Headquarters functions (especially Engineering, Delivery and Post Office Operations, Network Operations, Information Technology, National Preparedness, New Products and Innovation, and Supply Management) must ensure that environmental policies are incorporated into policies, programs, and projects under their control.

**695.2 Area Offices, Performance Clusters, and Field Units****695.21 Vice Presidents, Area Operations and Vice President, Delivery Operations**

The vice presidents for Area Operations and vice president for Delivery Operations perform the following environmental compliance program management functions:

- a. Ensure adequate resources to support area activities that directly align with national environmental policies and programs.
- b. Support the efforts of the Office of Sustainability, area managers of Operations Support, manager, Fleet Management, the district managers, managers, Fleet Operations (Region), and installation heads to ensure that facilities are in compliance with environmental laws and regulations.
- c. Provide the support and resources necessary to implement environmental reviews of facility activities and operations, and to see any necessary corrective actions to successful completion.

**695.22 Area Managers, Operations Support and Manager, Fleet Management**

The area managers of Operations Support and the manager of Fleet Management coordinate with the Office of Sustainability to:

- a. Identify resource requirements to support area activities that directly align with national environmental policies and programs, and facilitate compliance with environmental laws and regulations.
- b. Provide the support and resources necessary to implement environmental reviews of facility activities and operations, and to see any necessary corrective actions to successful completion.

**695.23 District Managers and Managers, Fleet Operations (Region)**

The district managers and managers, Fleet Operations (Region):

- a. Provide the support and resources necessary for facilities under their jurisdiction to comply with federal, state, and local environmental laws and regulations, and Postal Service environmental policies and programs.
- b. Ensure the timely completion of environmental corrective actions within their management control.
- c. Ensure that installation heads retain environmental records required by Postal Service policy and federal, state, and local environmental laws and regulations.

**695.24 Installation Heads**

The installation heads:

- a. Ensure their facility's compliance with federal, state, and local environmental laws and regulations and Postal Service environmental policies and programs.
- b. Ensure that facility personnel are properly trained, as applicable, and that such training is documented.
- c. Ensure that *only* trained personnel manage tasks that trigger Postal Service policy and federal, state, and local environmental laws and regulations.
- d. Maintain complete and up-to-date records pursuant to Postal Service policy and federal, state, and local environmental laws and regulations. Such records include operating permits, asbestos surveys, hazardous waste manifests, training certifications, and records of inspections.
- e. Perform related tasks necessary to comply with applicable federal, state, and local environmental laws and regulations.
- f. Report visits and site inspections by federal, state, and local environmental regulatory agencies and any environmental Notice of Violation or similarly entitled notification of non-compliance to the Office of Sustainability.

**695.25 Middle-Level Managers and Supervisors**

Middle-level managers and supervisors ensure compliance with Postal Service policy and applicable environmental laws and regulations within their respective areas of responsibility.

**695.3 All Employees**

All employees must follow Postal Service policy and applicable federal, state, and local environmental laws and regulations in the conduct of their duties for the Postal Service.

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# 7 Supply Management

## 71 General

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The purpose of Supply Management is to work proactively with internal and external business partners to deliver best value solutions and integrated supply chains that are timely, cost effective, and operationally efficient to further the business and competitive needs of the Postal Service. Supply Management is organized around a group of portfolios made up of category management centers (CMCs), an Operations organization focused on supply matters, and several strategic support organizations.

## 72 Purchasing

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### 721 General

#### 721.1 Regulations, Policies, and Procedures

The Vice President of Supply Management establishes Postal Service policies and procedures for the purchasing aspects of supply management. The Postal Service's purchasing regulations can be found at 39 CFR Part 601. *The Supplying Principles and Practices* (SPs and Ps) provide internal advice and guidance to Postal Service professionals on approaches to performing supply chain management (SCM) functions. They are intended to be used by Postal Service professionals, as required and as appropriate to perform their job functions, throughout the SCM life-cycle. The SPs and Ps are not binding regulations of the Postal Service. They are intended for internal use only to assist the Postal Service in obtaining best value and efficiently conducting its supply chain functions.

#### 721.2 Best Value

As stated in the Supplying Principles: "The Postal Service bases sourcing and material management decisions on best value. Best value is defined as the outcome that provides the optimal combination of elements such as lowest total cost of ownership, technology, innovation and efficiency, assurance of supply, and quality relative to the Postal Service's needs. In the sourcing area, best value is generally achieved through competition, which brings market forces to bear and allows the direct comparison of proposals and life-cycle costs, although market conditions may dictate that a single- or sole-source strategy will be the best business approach."

All individuals engaged in the purchasing process must follow the policies and procedures contained in the SPs and Ps and other directives such as management instructions related to purchase method (competitive or noncompetitive) and other business processes.

## 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 national/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 accessible on Blue, the Postal Service intranet. If you have questions regarding national/servicewide and area contracts, contact the appropriate CMC, or the National Materials Customer Service (NMCS) in Topeka at 800-332-0317. To learn more about these contracts, visit the Supply Management home page accessible on Blue.

### 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	P&D Center, BMC, and District Managers	Supplies, Services, and Capital Equipment
\$10,000	PCES Postmasters	Supplies, Services, and Capital Equipment
\$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

#### 722.211 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 SP-G4-2006-2, *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.

**722.22 Approval Authority**

Information on requirements approval authority (e.g., authority to approve eBuy requisitions) is contained in instructions updated and issued periodically by the Vice President and Controller, Finance. Direct your questions regarding this authority to that organization.

**722.23 Deviations**

Requests for deviations from policy contained in [722](#) must be submitted to the manager of Supply Management Infrastructure in Supply Management.

**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 include, but are not limited to, ash, trash, and rubbish removal; snow and ice removal; lawn and grounds maintenance, window cleaning, maintenance of elevators, HVAC, and switch gear; 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.

**Note:** Do not use Postal Service purchase or travel credit cards to purchase vehicle-related service expenses (e.g., maintenance, repair, towing, shuttling, servicing, cleaning, washing, and polishing). All Postal Service vehicles are assigned a Postal Fleet Card, which is the intended payment method for these services. For more information, refer to the Postal Fleet Card web site on Blue. Contact your servicing Vehicle Maintenance Facility or the Vehicles Category Management Center in Supply Management regarding questions about the applicability of and meeting the requirements of the Service Contract Act for vehicle-related service expenses.

- d. Medical services. Contact the area medical director. Limited exceptions for local buying and purchase card use for medical services are granted pursuant to the Supply Management Vice President's formal delegation of authority to the National Medical Director, who has limited redelegation rights to select area medical and human resources personnel.
- e. Mail transportation services.

- f. Requirements 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 Travel, Retail, & Temporary Services Category Management Center (CMC). For food services, contact the Eastern Services CMC. For long-term (over 89 days) leasing of delivery and PVS vehicles, contact the Vehicles CMC. For policies concerning long-term delivery and PVS vehicle leasing, GSA vehicle leases, and all short-duration (see below) vehicle rentals, refer to: [http://blue.usps.gov/purchase/\\_pdf/sup\\_veh\\_natl\\_lease.pdf](http://blue.usps.gov/purchase/_pdf/sup_veh_natl_lease.pdf)  
**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 Expense purchase card for payment is authorized.
- g. Professional/technical, consultant, or personal services. (Contact the applicable Category Management Center in Supply Management, and see the Supplying Principles and Practices, Commodity Specific Practices.)
- h. The services of former Postal Service employees. (Contact your area Human Resources office, your servicing Eastern or Western Services CMC, or the Professional, Printing, & Creative Services CMC.)

#### 722.32 **Restricted Purchases**

Some goods and services are controlled by specific functional areas. 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, P&D Center managers, BMC managers, district managers, PCES Postmasters 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 and Controller prior to using the capital credit card.
- b. Hazardous waste clean-up and disposal services. For the latest management instructions in this area (e.g., waste, asbestos, and lead management) and for other environmental and safety policy directives always check the ERM Safety and Environmental Performance Management web site on Blue. Any policy or procedure issued by this functional organization that conflicts with the following policy will take precedence.

Generally, you may not obtain these services under local buying authority because services are provided under national and/or regional contracts and agreements issued or managed by a Supply Management and/or Facilities organization. However, in limited circumstances, local buying may be authorized as outlined below. Always remember that your records related to any purchase must be retained in accordance with Postal policies, Federal regulations or Postal contract requirements, whichever is longer.

- (1) When use of the purchase card is an authorized means of paying for delivery orders under a national or regional contract/agreement issued or managed by a Supply Management and/or Facilities organization. Contact information is provided on Blue. (If you are not sure who to contact, check with your area environmental specialist or district purchasing personnel.)
  - (2) When a national or regional contract/agreement is not available and you have first checked with and received approval in writing from your area environmental specialist or district purchasing specialist to obtain services with a purchase card under local buy authority. Retain a copy of the approval with your purchase card records.
- c. Chemicals or products that contain targeted chemicals. To define targeted chemicals and before making any local buy, always check for the latest Postal Service listing of targeted chemicals and for specific alternates to these chemicals or products that contain these chemicals. To access the most current listing and related policies and procedures, go to the ERM Safety and Environmental Performance Management (SEPM) web site on Blue.
  - d. Computer hardware and software. You may only purchase through local buying authority when not available in eBuy, and Information Technology is consulted and their governing policies and procedures are followed.
  - 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 and recognition. You may buy or pay for these by using local buying authority, subject to the requirements of ELM, section 470 and eAwards. Also see Management Instruction FM-640-2000-1, *Employer Tax Reporting Responsibilities - Conference, Meeting, and Training Session Mementos or Gifts*, and FM-640-2008-1, *Expenses for Internal and External Events*.
  - g. Meals and refreshments. You may purchase these by using local buying authority, subject to the guidelines in Management Instruction FM-640-2008-1, *Expenses for Internal and External Events*.
  - h. Employee personal events. The purchase and payment of flowers, gifts, cards, food/refreshments, and other related items for the purpose of celebrating personal events is generally prohibited. Personal events include, but are not limited to, holiday celebrations, birthdays, anniversaries, births, weddings, funerals, promotions, changing work

assignments, retirements, and Secretary's Day. 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-640-2008-1, *Expenses for Internal and External Events*. 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 and chief executive officer, or deputy postmaster general and chief operating officer.

- i. Electrically operated convenience items. Check with your maintenance or building services personnel before buying personal electrically operated convenience items. There are specific electrical and wiring codes and safety standards that must be met.
- j. Printing, copying, and duplicating. Printing, copying, and duplicating policies and procedures are covered in section [363](#). Before buying these types of products and services, be sure that all policies in this section are followed.
- k. Utilities. Subject to the requirements of ASM, sections [542](#) and [543](#), and local payment method used.
- l. Tools or hardware supplies. Check with maintenance or building services personnel before buying these items. Examples are light bulbs, small hand tools, locks, keys, door stops, desk and wall signs, paint, curtains, blinds, solar window coverings, carpets or floor mats, plants or plant-hanging devices.

#### **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 reference publication is available from Human Resources offices and Law Department offices, and on the Internet at [www.usoge.gov](http://www.usoge.gov), under OGE Forms, Publications & Other Ethics Documents.) 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](mailto:ethicshelp@email.usps.gov) (external) or by fax at 202-268-6279. Ethics resources and contacts are also available on Blue, click on "Inside USPS" tab, and on "Law Department" under General Counsel.

##### **722.42 Purchases from Postal Service Employees and Their Immediate Family Members**

Local buys may not be made from (1) Postal Service employees, (2) the spouse of a Postal Service employee, (3) another family member of a Postal Service employee, (4) an individual residing in the same household as a Postal Service employee, or (5) a business organization substantially owned or controlled by any of the above. A Postal Service employee is any Postal

Service officer or employee working on a full-time or part-time basis in a career or noncareer position, including specifically persons in temporary positions such as Postmaster replacements, rural carrier reliefs, and postal support employees. See Handbook AS-709, 313.1, *Ethics and Business Practices*, for more information.

#### 722.5 **Questionable Purchases and Misuse**

The appropriate authority must review and approve all local buys. See Handbook AS-709, *Purchase 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 from eBuy. eBuy use is mandatory for all employees with intranet web access and following receipt of goods ordered through eBuy catalogs, each ordering office must reconcile the eBuy Billing Summary Report against orders received during the specified month. PS Form 7381, *Requisition for Supplies, Services, or Equipment*, is only to be used when employees do not have access to Blue/intranet.
- 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 suppliers 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, search the marketplace to identify diverse suppliers and compare prices before making a local buy. Contact the applicable Supply Management CMC or district 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.

##### 722.621 **Environmentally Preferable Purchasing**

Environmentally preferable purchasing, an effective means to prevent pollution from being generated, is a preferred policy under Executive Order 13423. Installation heads, supervisors at facilities, and other personnel with local buy authority should consider environmental impacts and, when appropriate, purchase and use environmentally preferable products. For more information, see Management Instruction EL-890-2007-5, *Integrated Waste Management*, and the ERM Safety and Environmental Performance Management web site on Blue. You may also direct questions to your area

environmental specialist, district purchasing personnel, or the Environmental & MRO CMC in Supply Management.

722.63 **Payment**

722.631 **General**

The approved payment method hierarchy is as follows in preferred order of use. For specific information on these payment methods refer to the governing Finance and/or Supply Management handbooks and supporting policies and procedures.

- a. eBuy.
- b. Purchase cards under the Postal Service's SmartPay Purchase Card Program.
- c. PS Form 8230, *Authorization for Payment*.
- d. Local Payments.
  - (1) Cash for an emergency one-time expense, not to exceed \$25.
  - (2) No-Fee Money Order for an emergency one-time local expense, not to exceed \$500.
- e. Impress fund check (if less than \$2,000).

When operational needs cannot be satisfied through eBuy, the purchase card serves as the next preferred method for buying and paying for day-to-day operational needs under local buying authority. (eBuy is the Postal Service's electronic purchasing tool and its web-based electronic requisitioning and approval workflow replaces PS Form 7381, *Requisition for Supplies, Services, or Equipment*. eBuy also provides online ordering from national mandatory and priority source contracts with order status checking, reconciliation, reporting, and payment capabilities. eBuy also includes the ability to certify utility invoices electronically for payment. Utilities are defined in ASM [542.11](#).)

For noncapital items, when you cannot use eBuy, or the purchase card, you may pay by any of the other above outlined methods, following the order listed.

722.632 **Advance Payment**

Do not make advance payment under local buying authority, except as described in Management Instruction FM-610-2003-1, *Advance Payments*, and Handbook AS-709, *Purchase Card Policies and Procedures for Local Buying*.

722.633 **Exceeding Approved Purchase Request (eBuy) Funding**

When local buy payments are made based on a properly approved eBuy requisition and the final payment amount is within 10% up to a maximum of \$200.00 over the original eBuy approved/funded amount, an additional eBuy requisition is not required. If the \$200 limit will be exceeded with the final payment, a new eBuy requisition for the difference between the original eBuy amount and final invoice amount must be processed for approval. The eBuy requisition justification must include the reason for the price difference.

**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 Accounting Service Center (ASC). Document retention requirements are available in AS-709, *Purchase Card Policies and Procedures for Local Buying*; AS-701, *Material Management*; and Handbook AS-305, *Records Control* and, when applicable, in *Material Logistics Bulletins* (MLBs).

**722.65 Assistance**

Contact the assigned Eastern or Western Services CMC, or the Topeka NMCS for guidance on local buying authority or the Postal Service purchase card program. Direct questions about approval authority or non-purchase 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 using a self-employed individual. If the agreement will be for one year or longer, PS Form 7355, *Cleaning Agreement*, and required attachments, are used. When renewal is required, a new PS Form 7355 is executed with a new agreement number included on the *Clearing Services Agreement and Payment Authorization Form* that must be received at the Contract Clearing Unit of the Contractual Payables Branch at the San Mateo ASC 15 working days prior to term expiration.

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. Go to the Accounting web site (under Finance) on Blue to access the most current Cleaning Services Local Buying Agreement Guidelines.

**Note:** Local agreements not exceeding \$2,500 per year for cleaning services with a service company may also be made under local buying authority (reference [722.31c](#)).

## 73 Supply Management Operations

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**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 eBuy.
- 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](http://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](http://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

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Information resources, as they relate to this chapter, consist of Postal Service information and the enabling information technologies. The Postal Service is committed to:

- a. Protecting its information resources.
- b. Providing an information technology infrastructure that supports customer, corporate, and business needs.
- c. Staying ahead of developing legal and policy frameworks, new technologies, and best-in-class business models and practices.

### 811 Definition of Information

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

### 812 Access to Information

Information must be protected against unauthorized disclosure, use, modification, or destruction. Information must be available when needed, and information technology must 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.

### 813 Compliance with Freedom of Information Act

The Postal Service is also required to make its records available to the public consistent with the Freedom of Information Act (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.)

The policy stated here applies to information at all Postal Service facilities and contractor sites that are operated on behalf of the Postal Service and any equipment or system with information processing, storage, or retrieval

capabilities, and related resources that allow data (e.g., numbers, characters, and images) to be input, processed, stored, and retrieved by Postal Service employees, contractors, vendors, business partners, and customers.

## 814 **Information Technology and Corporate Information Security Office**

Additionally, all activities performed to develop and support Postal Service information resource enabling technologies must adhere to the Information Technology (IT) and Corporate Information Security Office (CISO) policies, processes, standards, and services posted on the Corporate Technology Web site at <http://itwebshare.usps.gov/sites/itweb/default.aspx>, which is accessible from the Postal Service intranet.

# 82 Responsibilities

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## 821 **Data Stewardship**

Data stewardship is a line of business responsibility. Each functional business area that has to manage source data must identify a data steward, an individual responsible for developing the standards and usage rules required to ensure data integrity. The data steward must ensure that data is accurate and available and usable as possible, consistent with data location, sensitivity, criticality, competitive value, and other business considerations. These standards and rules must also comply with Postal Service policies on privacy, security, disclosure, retention, and audit.

Data stewards are responsible for the following:

- a. Developing standard definitions for data entries and related data elements.
- b. Establishing requirements for data collection and maintenance, including data validation, storage, retention, disposal, and security, and for ensuring that data is accurate and up to date.
- c. Developing guidelines, including conditions and constraints, to help organizations use data.
- d. Providing maximum availability and use of the data by other organizations consistent with data integrity and security and the cost and benefits of accessing the data.
- e. Notifying organizations of changes to data that may affect their use of the data.
- f. Authorizing user access to the data.

## 822 **Data Custodian**

The role of a data custodian is usually a role with IT responsibility. The data custodian manages electronic data processing and storage to ensure it is protected in accordance with Postal Service information security policies and data steward direction.

Each functional IT organization that processes or stores data must comply with Postal Service information security policies.

### 823 **Data Ownership**

All data and information 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.

**Note:** Other information security roles and responsibilities are published in Handbook AS-805, *Information Security*.

## 83 Information Security References

Information security references are in [Exhibit 83](#).

### Exhibit 83

#### **Information Security References**

##### **Handbooks**

AS-303, *Classified National Security Information Program*

AS-353, *Guide to Privacy, the Freedom of Information Act, and Records Management*

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*

RE-5, *Building and Site Security Requirements*

##### **Management Instructions**

MI-AS-870-2007-7, *Electronic Messaging*

##### **Web Site Locations**

For privacy information, go to: <http://blue.usps.gov/caweb/privacy/welcome.htm>.

For the Postal Service infrastructure toolkit, go to: <http://itk.usps.gov>.

For the Network Connectivity Review Board, go to: <http://it.usps.gov>; click Support, then Corporate Information Security, then Corporate Information Security Organization.

For requesting computer access, go to <http://eaccess.usps.gov>.

## 84 Information Protection

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Information that is business data and personnel data is often sensitive and its inappropriate use or disclosure could result in brand or financial damage, unfair advantage to competitors, or negative impact to Postal Service customers, employees, or contractors. Such data may only be disclosed outside the Postal Service in accordance with privacy policies described in Handbook AS-353 and must be protected in accordance with security policies described in Handbook AS-805. The following are the high-level requirements for different types of information:

- a. *Business Data.* Nonpublic business data may relate to the Postal Service, its vendors, or its customers. Such data, whether developed or maintained by the Postal Service, must be protected in accordance with Postal Service policies, media data markings, or good business practices. Customers may only receive nonpublic information about other customers pursuant to a FOIA request after any exempt material has been identified and redacted.
- b. *Personnel Data.* Employee, contractor, and customer data must be collected, managed, used, disclosed, and stored in accordance with the Privacy Act requirements and Postal Service policies.

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

## 85 Information Security Architecture

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### 851 Policy

An information security architecture must be developed and maintained to ensure the protection of the Postal Service information and the IT infrastructure.

### 852 Description

The information security architecture is a conceptual framework for integrating security within and across all the technologies to maintain the integrity of the operations and public trust. This security and integrity are achieved by identifying and managing risks associated with Postal Service information resources, new information technologies, and the ever-changing threat/vulnerability environment.

The information security architecture provides guidance on how to analyze, develop, and implement a logical and effective information security program that achieves the security objectives of the Postal Service and describes the information security services, vehicles, tools, mechanisms, and procedures that guide the development of information security policies, business objectives, and technologies to be deployed at the Postal Service.

**853 Responsibilities**

The Corporate Information Security Office develops and maintains the information security architecture. All Postal Service functional organizations, personnel, vendors, suppliers, and partners must comply with the Postal Service information security architecture requirements for the acquisition, design, deployment, operation, and replacement or retirement of information technology.

## 86 Information Security Program

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**861 Policy**

Information security activities enable the Postal Service to ensure the integrity, availability, and confidentiality of its information resources. These activities develop the information security strategies and policies to comply with federal, legal, and industry requirements. Information security policies are published in Handbook AS-805 and related documents.

**862 Components of Information Security Program**

The components of the information security program are described in [862.1](#) through [862.16](#).

**862.1 Technology Assessment**

Technology assessments are conducted to evaluate and recommend security products for inclusion in the infrastructure tool kit and to evaluate infrastructure and commercial-off-the-shelf products for common vulnerabilities and exposures.

**862.2 Computer Incident Response Team**

The computer incident response team (CIRT) responds to computer incidents and provides threat and vulnerability reconnaissance. To report a suspected computer security violation, users should call 1-866-USPS-CIR(T) (1-866-877-7247) or send an e-mail message to *USPSCIRT@email.usps.gov*.

**862.3 Network Vulnerability Testing**

Network vulnerability testing is conducted on site and remotely to identify exploitable vulnerabilities and then provide recommendations to mitigate those vulnerabilities.

**862.4 Network Connectivity Review Board**

The Network Connectivity Review Board (NCRB) establishes the standards and process for connecting to the Postal Service network. The NCRB reviews and approves/denies connectivity requests. (See Handbook AS-805-D.)

**862.5 Intrusion Detection and Intrusion Prevention**

Intrusion detection and intrusion prevention hardware and software are deployed to identify and respond to attacks, collect event history, and conduct trend analysis.

**862.6 Penetration Testing and Vulnerability Scans**

Penetration testing and vulnerability scans are conducted to evaluate the effectiveness of an implemented network segment or information resource by scanning for vulnerabilities and compliance with hardening requirements and by attempting to bypass the implemented security controls.

**862.7 Server Hardening**

Hardening requirements and standards are developed to ensure that nonessential system services are shut down, default vendor passwords are removed, responsible administrative practices are followed, and security updates are applied.

**862.8 Secure Enclaves**

Secure enclaves are established to provide network security zones where special protections and access controls, such as firewalls and routers, are used to secure information resources.

**862.9 Wireless Access Security**

Wireless requirements and standards are developed to:

- a. Provide requirements for onsite and remote testing of facilities to locate and identify wireless access points and wireless ad hoc networks.
- b. Identify wireless hardware configured without appropriate encryption and authentication mechanisms enabled.
- c. Provide recommendations for mitigating wireless vulnerabilities.

**862.10 Personnel Security**

Information technology specialists work 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, sensitive enhanced, or critical information. Information technology specialists also work with Human Resources to include information security responsibilities in job descriptions and in personnel performance appraisals.

**862.11 Physical and Environmental Security**

Information technology specialists work with the Postal Inspection Service to protect information resources in the areas of physical access controls to facilities, work areas, and controlled areas; and environmental security.

**862.12 Information Resource Certification and Accreditation**

The certification and accreditation (C&A) process and associated documents and templates are developed to identify the sensitivity and criticality of a

Postal Service information resource and the corresponding information security requirements; ensure that appropriate protection controls and processes are implemented; manage residual risk; and culminate with the certification, accreditation, and approval to deploy. The C&A process includes the following components:

- a. *Information Resource Business Impact Assessment (BIA)* determines compliance with privacy requirements, the sensitivity and criticality of the information resource, and the appropriate information security requirements to protect the information resource based on its sensitivity and criticality.
- b. *Information Resource Risk Management* defines the methods for ensuring cost-effective protection of information resources through risk assessment, risk mitigation, and risk acceptance processes.
- c. *Information Resource Contingency Planning* documents the specifications and plans for recovering an information resource based on its criticality, recovery time objective (RTO), and recovery point objective (RPO); and tests the plans periodically.
- d. *Information Resource Security Plan* describes information security controls (i.e., countermeasures and safeguards) and processes in place or planned for meeting the information security requirements.
- e. *Information Resource Security Testing and Evaluation* defines a test plan and process for testing the information security controls implemented for the information resource.

#### 862.13 **Business Continuance Management**

Business continuance management (BCM) is comprised of business continuity planning and disaster recovery planning. BCM must be implemented for Postal Service information resources and facilities 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.

#### 862.14 **Information Security Policies, Procedures, and Standards**

Information security policies, procedures, and standards are developed to support an enterprise information security program that meets federal requirements and incorporates prudent industry practices.

#### 862.15 **Information Security Training and Awareness**

Information security training and awareness products are developed 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.

#### 862.16 **Information Security Compliance and Monitoring**

Information resources are monitored to ensure compliance with Postal Service policies, procedures, and standards.

Inspections and evaluations are conducted to measure compliance with Postal Service policies, procedures, and standards and to recommend remedial action to address significant deficiencies.

Consulting support is provided to the Postal Inspection Service and the Office of the Inspector General (OIG) for their inspections and evaluations.

## 87 Law Enforcement and Audit

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### 871 Postal Inspection Service

#### 871.1 Overview

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 is responsible for establishing liaisons 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](#).

#### 871.2 Personnel Security

A 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](#)).

#### 871.3 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. 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).

## 872 **Office of Inspector General**

The 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 Service networks and computers.

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FMM	Financial Management Manual	<a href="#">Exhibit 312</a>
IMM	International Mail Manual	<a href="#">Exhibit 225, 274.231, 274.232, 274.813, 274.91, 274.921, Exhibit 312, 318.1, 422.273</a>
PM	Purchasing Manual	<a href="#">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</a>
POM	Postal Operations Manual	<a href="#">274.21, 274.31, 276.21, Exhibit 312, 338.411, 338.42, 421.21, 423, 531.1, 733.313</a>

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275	Post Office Robbery	<a href="#">226.34</a>
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<b>Other References</b>		
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