



UNITED STATES POSTAL SERVICE
Washington, DC 20260-1571

Administrative Support Manual

Issue 8, August 1991

A. Explanation. Issue 8 is a complete revision that contains all changes published in the *Postal Bulletin* between August 1990 and July 1991 and other changes submitted to the ASM editor. All revisions are described in the *Summary of Changes*.

B: Instructions. Issues 1 through 7 are obsolete. Replace all previous issues of the ASM with Issue 8.

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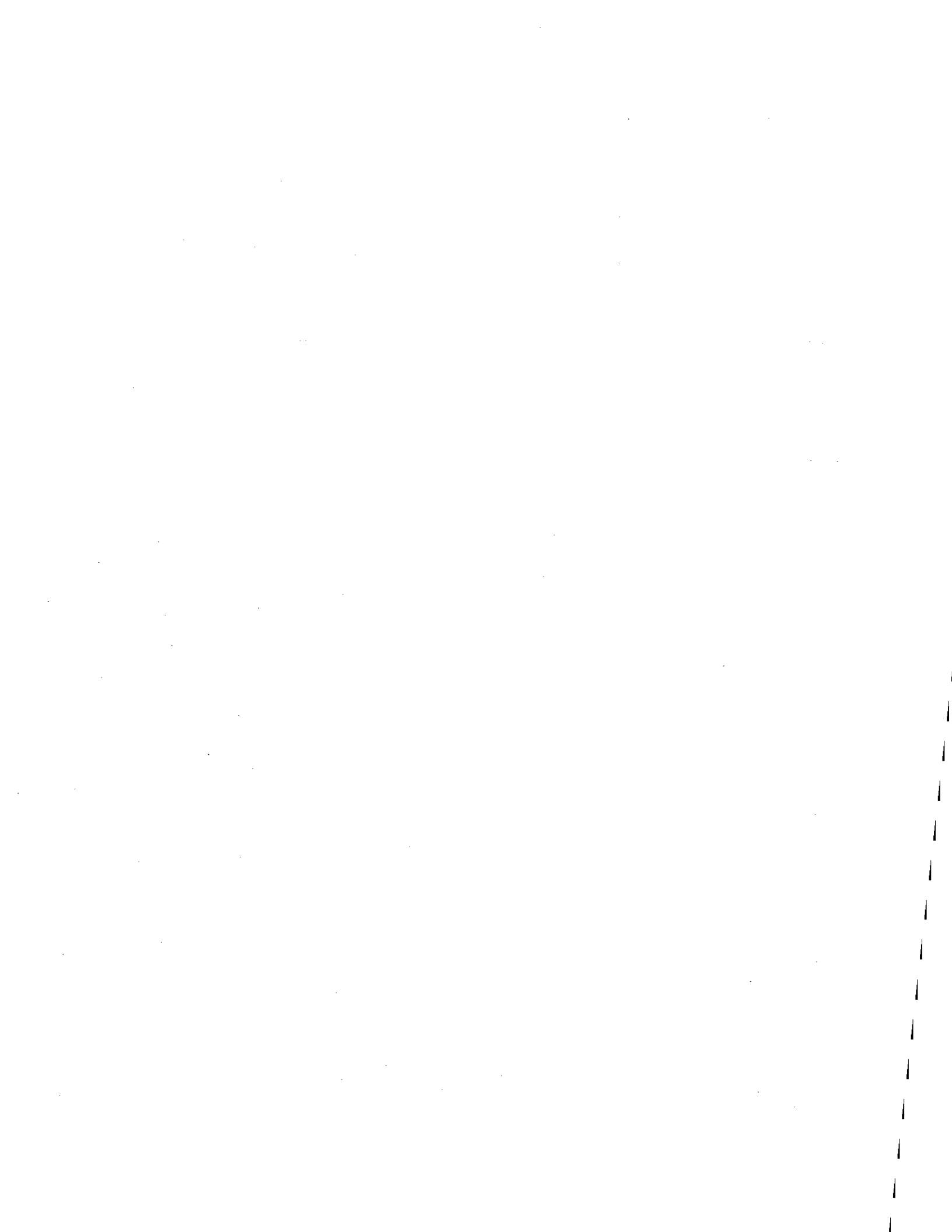
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Assistant Postmaster General
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Summary of Changes

Chapter 1

111.711 and 111.712 were revised to reflect the addition of the Quality Group, which reports directly to the Postmaster General.

111.72 contains minor revisions to clarify references and to delete redundant material.

112.152 was added to authorize the General Counsel to settle federal tort claims up to \$100,000.

121.5 was added to provide a description of the new Quality Group.

123.31 was revised to reflect a change in the reporting relationship for the Office of International Product Coordination.

123.321 was revised to reflect changes in reporting relationships and to reflect the establishment of the Customer and Automation Service Department.

123.322 was revised to reflect the title change of the Marketing Department to the Advertising and Account Services Department, and to provide a revised description of responsibilities for that department.

123.324 (former text) has been merged with 123.321; the new text for this section describes the new Customer and Automation Service Department.

123.325 has been deleted because of a change in the reporting relationship for the Office of Address Information Systems.

123.33 and 123.34 contain minor revisions to clarify references and to delete redundant material.

123.34e was amended to add international mail product coordination and marketing as another function of the International Postal Affairs Department.

123.37 has been deleted to reflect a change in the reporting relationship for the Office of International Product Coordination.

124.26 has been amended to reflect a change in the reporting relationship for the Address Information Center.

141 deletes reference to Handbook P-4, *Standard Position Descriptions*; the handbook is obsolete.

142.1 deletes reference to position of Postal Operations Administrator because the position is obsolete.

143.42 (former) deletes heading Postal Operations Administrator because this position is obsolete.

143.43 was renumbered 143.42 and the text under that heading was renumbered as 143.421. The text from former 143.42 was added under the heading PM Relief Replacement and renumbered as 143.422 to incorporate language pertaining to relief coverage at

an office where career clerk complement is authorized.

Chapter 2

212.1 was revised to clarify text.

214.1 was revised to incorporate the new statutes governing civil administrative forfeitures.

221.11 (exhibit) was revised to update addresses for inspectors-in-charge.

221.13 was revised to add arson as a reportable offense under the category of Postal Losses and Offenses and National Defense Material.

222.25 was added to include carrier carts/satchels and co-op mailing racks under the category of Theft, Burglaries, or Robberies.

222.32 adds the requirement that counterfeit items be submitted by registered mail or hand delivered.

222.93 was revised to correct the reference for this section.

223.31 corrects- the section reference, adds meter indicia to the heading title, and adds the requirement that counterfeit postage stamps be hand delivered or submitted by registered mail.

224.5 was revised to include additional requirements for reporting impersonations of postal inspectors.

226.1g has been revised to add the requirement that postal installations deposit large quantities of cash as a preventive measure for robberies. Text was also amended to change "fixed credits" to "employee credits".

226.24a was revised to include race, sex, hair, eyes, and complexion to the list of descriptions for reporting robbers under the category of Actions During a Robbery.

226.27 was revised to include additional vehicle descriptions when reporting robberies.

226.31 was revised to add postal inspectors to the list of actions under notification actions after the occurrence of a robbery.

226.32 was revised to include the requirement that home and work phone numbers be recorded for witnesses to a robbery when securing the building where the robbery occurred. Also changes reference from "security force" to "Postal Police" to reflect prior change in title.

226.35 was revised to clarify text.

228.2 deletes requirement that other threats covered under 227.1 be reported by memorandum to the inspector-in-charge or local inspector.

244.412 was revised to change the deadline for submitting management responses to reports from 10 days to 20 days.

244.413 revises the requirements for reports to comply with Inspector General Legislation.

245.331 changes "inspection" to "inspector" to correct and clarify text.

271.4 was added to explain that the Inspection Service has the sole responsibility for security-related issues.

272.132 was added to define categories of security clearances.

272.23 was revised to explain the scope of background investigations for sensitive clearances.

272.612 updates form numbers and titles for initiating sensitive clearances.

272.613 updates form numbers for career USPS employees changing to sensitive positions.

273.111 was revised to clarify text.

273.2 adds new text specifying that the Inspection Service determines the need for alarm systems.

273.41 adds Inspection Service locks to postmaster' responsibilities for locks and keys at individual facilities.

273.42 adds text to explain that Sommerville, NJ Materiel Distribution Center is the stocking point for Inspection Service locks.

273.441 updates the requirements for USPS locks.

273.442 adds text that explains the option for providing an electronic strike for Series 86 type locks for employee access.

273.451 adds requirement that management review on a semi annual basis employee key requirements.

273.462 adds text to explain when locks must be replaced or rekeyed.

273.48 adds text to clarify when master keying is not permissible.

273.521 was added to explain when vaults may be used in lieu of security containers.

273.523 was added to explain usage of modular vaults.

Chapter 3

324.13 adds information to define electronic forms (distinguishing between computer resident forms and automated forms). The criteria remains unchanged.

332.412 was deleted because information is obsolete; former 332.411 has been renumbered 332.41.

342.2 heading was changed from "Local Employee Newsletters" to Division Employee Newsletters".

342.22 was revised to reflect the new design criteria (less formal) for field division newsletters.

351.613 (exhibit) was revised to update addresses for Federal Records Centers.

351.31 (exhibit) was revised to update forms list and retention periods for these forms.

Subchapter 360 text was deleted because it is no longer current; it is being reserved pending a complete revision.

Chapter 4

422.1 (exhibit) was revised to change the HQ department responsible for providing services for housing vacancy surveys from Philatelic and Retail Services to Operations.

422.231a was revised to update USPS request for inclusion of new passport acceptance sites.

422.231b was revised to explain that the channel for sending Headquarters notifications has changed from "divisions to Headquarters" to "Field Director, Marketing and Communications to Headquarters".

Chapter 5

511.11 was revised to clarify procedures for conducting business within the Facilities Department.

511.11g was revised to add environmental assessments and related evaluations to the list of Facilities Department functions.

511.13 was revised to include references to and purposes for Publication 59, *Architect-Engineer Project Requirements*, and Handbook RE-15, *Interim Exterior Signs*. It also updates the identifier for Handbook M-4000, *Specification Standards for Drawings, MD-15 Series*.; the new identifier is Handbook M-5000 (same title).

511.22 was revised to add Publication 41, *Procurement Manual* as another reference to be used to support the authority for approving and entering into contracts. Previously, the only directive referenced for this purpose was Handbook RE-14, *Design and Construction Procedures*.

515.21 was revised to explain that the authorized project cost for rearranging or adding new post office boxes in lobbies has been increased from \$2,000 to \$25,000.

516.44 was added to explain the conditions for assigning space in credit unions. The former text for sections 516.44 through 46 was renumbered 516.45 through 47 to allow for this insertion.

516.832 was revised to further clarify procedures for submitting Form 7437, *Facilities Service Request*, when estimating costs for recurring services.

518.1 title was changed to "Identifying Postal Facilities", and text was added to explain that Handbook RE-15, *Interim Exterior Signs*, is to be used for guidelines and design specifications for new and replacement exterior signs.

518.22 was revised to clarify USPS responsibility for energy conservation design standards in accordance with Public Law 94-385.

518.33 was added to address the importance of reviewing seismic provisions as they apply to the construction of USPS-owned or leased buildings.

521.14 deletes reference to Publication 190, *Capital Investment Policies and Procedures* which is obsolete; and to reflect title change for Publication 191, *Policies and Procedures*.

521.221 corrects reference to Publication 191.

521.232 was revised to explain that facility planning concepts are now issued by the Facilities Department.

521.234 deletes reference to Publication 190.

Subchapter 530 contains minor revisions throughout to update references to directives and Maintenance Management Orders (MMOs). The major revision to this subchapter is explained below.

535.26 was revised to reflect changes resulting from the 1990 USPS/APWU-NALC Agreement regarding the Memorandum of Understanding which covers subcontract cleaning services.

Subchapter 550 was added to include federal and state regulations and USPS policy covering environmental management guidelines for USPS facilities, products, personnel, and services.

Chapter 6

611 policy was revised to reflect USPS emphasis on providing quality service.

612 was revised to include Postal Research Centers of Excellence.

612.1a was expanded to include other departments, in addition to the Office of Advanced Technology (OAT), that deploy technology.

612.2a was revised to emphasize the inter-relationship between the Technology Resource Department and the Technology Resource Center.

612.2b was revised to emphasize that in addition to planning, the Office of Operations Research and Systems Requirement is also responsible for technology assessment.

612.3 was deleted because information is obsolete.

612.4 was added to describe and define the role Postal Research Centers of Excellence.

613 was added to describe and define the role of the Technology Advisory Board.

Subchapter 620 was revised throughout to reflect the title change for the Office of Operations Methods and Systems (formerly the Office of Operations Methods, Systems, and Quality).

622.4, .41, and .42 (former) were deleted; these sections were replaced by the new 622.4 which reflects the current responsibilities of the Operations Management Division.

Subchapter 630 was revised throughout to reflect a title change for the Marketing Department; the new title is the Advertising and Account Services Department.

643.11 was revised to clarify text.

643.13 heading was changed from "Education and Field Support" to "Youth Programs".

Chapter 7

Minor. Text was changed throughout the chapter to delete references to materiel management functions at service offices; references to Procurement and Materiel Management Service Offices (P&MMSOs) have been changed to Procurement Service Offices.

721.314a (5) was added to expand OMM's responsibilities for developing and implementing materiel management policies and procedures.

725.243 adds reporting instructions for Mail Transport Equipment (MTE) items.

725.31 was revised to reflect the change in policy for disposal of materiel that is unserviceable, obsolete, or surplus to national needs.

725.32 (chart) updates the authority for disposal of surplus serviceable materiel and unserviceable or obsolete materiel.

725.343 reference was deleted and text was expanded and renumbered as 725.35, .351-352, and .353. These sections were revised/added to provide detailed instructions for the transfer, sale, and donation of permanently marked USPS materiel.

Chapter 8

General. Text was deleted because it is obsolete due to a reorganization of the IRM Department; chapter is being reserved pending future update.

Appendix

General. Revisions were made throughout to the USPS Privacy Act System of Records; other minor revisions were made to update and clarify systems.

Major Revisions. Three new systems of records were added: 040.040, 130.050, and 150.030; and the system of records 080.010 was totally rewritten. In addition, the system purpose, categories of records, and/or categories of individual descriptions in the following systems were amended to reflect expanded coverage of the systems: 120.070, 120.140, 120.153, and 130.040; and two routine uses were added to 050.020.



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Chapter 1

Postal Organization

110 Authority and Responsibilities

111 General Organization

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

111.2 Board of Governors

111.21 The Board of Governors consists of 11 members. Nine members (the Governors) are appointed by the President, 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, may not be representatives of specific interests using the Postal Service, and 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 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 Officers

111.31 The Postmaster General, appointed by the Board of Governors, and the Deputy Postmaster General, appointed by the Governors and the Postmaster General, are officers of the Postal Service.

111.32 The following officers are appointed by and serve at the pleasure of the Postmaster General:

- a. Associate Postmasters General
- b. Senior Assistant Postmasters General
- c. Assistant Postmasters General
- d. The General Counsel
- e. Deputy General Counsel
- f. The Consumer Advocate
- g. The Chief Postal Inspector
- h. The Judicial Officer
- i. The Executive Assistant to the Postmaster General
- j. The Treasurer
- k. The Regional Postmasters General

111.33 The number of officers is set by resolution of the Board of Governors.

111.4 Postmaster General

111.41 The Postmaster General (PMG) is the chief executive officer of the Postal Service and is responsible for its overall operation. The PMG is named and can be removed by a majority of the nine Governors.

111.42 The Postmaster General determines appeals from the actions of staff and department heads, except that in cases where he has delegated authority to make a decision to a subordinate, such subordinate may also determine appeals within the authority delegated.

111.43 The Board of Governors has directed that the Postmaster General exercise 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 PMG's powers as the PMG deems appropriate.

111.5 Deputy Postmaster General

111.51 The Deputy Postmaster General is the alternate chief executive officer of the Postal Service. The Deputy is appointed and can be removed by the Postmaster General and the Governors.

111.52 The Deputy Postmaster General is required to perform all tasks as assigned by the Postmaster General. The Deputy acts as Postmaster General in the Postmaster General's absence or whenever a vacancy exists in the position of Postmaster General.

111.6 Associate Postmasters General

111.61 There are two Associate Postmasters General. They are appointed and can be removed by the Postmaster General.

111.62 The Associate Postmasters General are required to perform all tasks as assigned by the Postmaster General.

111.7 Groups, Departments, and the Senior Management Committee

111.71 Groups

111.711 Postal Service Headquarters is divided into six major groups: Finance, Operations Support, Human Resources, Administrative Services, Marketing and Customer Service, and Quality. Each group is headed by a Senior Assistant Postmaster General (SAPMG). Within their functional areas, SAPMGs are responsible for:

- a. Program planning, direction, and review;
- b. Establishment of policies, procedures, and standards; and

c. Operational determinations not delegated to the field officers.

111.712 The SAPMGs, Finance and Quality report directly to the Postmaster General. The SAPMG, Operations Support, reports directly to the Deputy Postmaster General. The Human Resources and Administrative Services Groups, and the Technology Resource and Consumer Affairs Departments report to one Associate Postmaster General; the Marketing and Customer Service Group, the Government Relations, the International Postal Affairs, the Communications, and the Judicial Officer Departments report to the other Associate Postmaster General.

111.72 Departments. Groups are typically divided into departments or offices headed by either Assistant Postmasters General (APMGs) or Directors. The heads of these departments and offices report to and are responsible for assisting the SAPMGs in carrying out their assigned activities.

111.73 Departments Reporting Directly to the PMG. Certain Headquarters units report directly to the Postmaster General. These include the Inspection Service Department, headed by the Chief Postal Inspector; the Law Department, headed by the General Counsel; and the Planning Department, headed by an Assistant Postmaster General. The Executive Assistant to the Postmaster General also reports to the Postmaster General.

111.74 The Senior Management Committee

111.741 The Senior Management Committee establishes Postal Service direction and policy, initiates and monitors key programs, prioritizes resource utilization, and serves as the review and approval body for all major plans, programs, and projects. It fosters cross-functional cooperation and develops the strategic plans for the Postal Service.

111.742 The Senior Management Committee is made up of the following:

- a. The Postmaster General
- b. The Deputy Postmaster General
- c. Associate Postmasters General
- d. Senior Assistant Postmasters General
- e. General Counsel
- f. Chief Postal Inspector
- g. Assistant Postmaster General, Planning (Secretariat)
- h. Assistant Postmaster General, Communications (Observer)
- i. Assistant Postmaster General, Government Relations (Observer)
- j. Executive Assistant to the Postmaster General (Observer)
- k. Secretary to the Board of Governors (Observer)
- l. Field Executive (Rotational Basis)

111.8 Postal Regions

111.81 General. There are five Postal Regions. Each region is headed by a Regional Postmaster General (RPMG) who reports to the Deputy Postmaster Gen-

eral, and has overall responsibility for operational activities (except those reserved to Headquarters) of the Postal Service within the region.

111.82 Functions. Each RPMG office includes five functions--Operations Support, Marketing and Communications, Finance, Planning, and Human Resources. Each regional function is headed by a Regional Director who reports to the RPMG.

111.83 Field Divisions, Management Sectional Centers, and Bulk Mail Centers

111.831 General. Postal regions are composed of Field Divisions headed by Field Division General Managers/Postmasters whose organizational units are in turn composed of Management Sectional Centers (MSCs) headed by MSC Managers/Postmasters and Bulk Mail Centers (BMCs) headed by BMC Managers.

111.832 Field Divisions. Each Field Division General Manager/Postmaster reports to the RPMG, and has line responsibility for postal activities (except those reserved to Headquarters) in the field division area, the MSCs, associate offices, and BMCs within the field division area.

111.833 MSCs. Each MSC Manager/Postmaster reports to a Field Division General Manager/Postmaster, and has line responsibility for postal operations (except those reserved to Headquarters and Field Divisions) within the MSC area.

111.834 BMCs. Each BMC Manager reports to a Field Division General Manager/Postmaster, and has line responsibility for postal activities (except those reserved to Headquarters and Field Divisions) within the BMC.

112 Delegations of Authority

112.1 Authority for Delegation

112.11 Postmaster General (PMG). 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 PMG, or in any other Postal Service employee.

112.12 Deputy Postmaster General (DPMG). The Deputy Postmaster General is the full alternate to the Postmaster General.

112.13 Delegations During Absence of PMG and DPMG. When, by reason of absence, disability, or vacancy in office, neither the Postmaster General nor the Deputy Postmaster General can act as Postmaster General, the first available official on the following list will do so:

- a. Associate Postmaster General responsible for Human Resources and Administrative Services.
- b. Associate Postmaster General responsible for Marketing and Customer Service.
- c. Senior Assistant Postmaster General, Operations Support.

112.14 Board of Governors. 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.

112.15 Delegations For PMG Assigned Matters.

112.15.1 The Associate Postmasters General; the SAPMGs; the Chief Postal Inspector; the General Counsel; the Assistant Postmaster General, Planning; and the Executive Assistant to the Postmaster General, act for the Postmaster General on assigned matters. These officers are authorized to exercise the powers and functions of the Postal Service under the Postal Reorganization Act, in respect to matters within their area of responsibility, except as limited by law or by the specific terms of their assignment.

112.15.2 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.

112.16 Department/Office Heads. Heads of departments or offices who report to a Senior Assistant Postmaster General are authorized to exercise the powers and functions of that SAPMG within the area of responsibility of their department or office, except as such authority may be reserved or rescinded by the SAPMG or is limited by law or the terms of their specific assignments.

112.17 Media of Delegation

112.17.1 All delegations of authority must be issued through official directives.

112.17.2 Headquarters or regional officials shall not orally authorize postmasters to deviate from published instructions, except in emergencies. An oral authorization must be confirmed by a memorandum or order dated subsequent to the issuance date of the most recently published instructions on the subject. Postal inspectors shall charge as irregularities any improperly authorized deviations observed in the course of office inspections.

112.18 Contents of Delegations

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

112.18.2 When authority is delegated to an officer, the officers above that officer shall have the same authority. Delegated authority does not extend to aides except when an aide serves on an acting basis (see 112.18.1) or unless the aide is specifically authorized by the superior to exercise such authority.

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

112.2 Redelegation Except as otherwise prohibited by law, or by a regulation that expressly prohibits redelegation, or by the terms of the delegation:

- a. Heads of groups, departments, or offices at Headquarters are authorized to redelegate any authority vested in them.
- b. Regional Postmasters General or heads of regional functions are authorized to redelegate any authority vested in them subject to the condition that redelegation to members of a regional staff must be consistent with the current regional organizational structure.
- c. Field Division General Managers/Postmasters are authorized to redelegate, subject to or within guidelines issued by the RPMG, any authority vested in them, provided that the redelegation is consistent with the current organizational structure.
- d. Postal Data Center (PDC) directors are authorized to redelegate any authority vested in them.
- e. Heads of MSCs and other field installations are authorized to redelegate to members of their respective staffs any authority vested in them.

112.3 Authority to Approve Personnel Actions and Administer Oaths

112.31 Delegation. The following are authorized to effect appointments, administer oaths of office for employment, and take other personnel actions:

- a. SAPMG, Human Resources
- b. APMG, Employee Relations
- c. APMG, Labor Relations
- d. Chief Postal Inspector
- e. Regional Chief Postal Inspectors
- f. Postal Inspectors-in-Charge
- g. Regional Postmasters General
- h. Heads of postal field installations, including those reporting directly to specified departments in Headquarters or to Regional Postmasters General.
- i. Officials occupying personnel services positions EAS-16 and above, when their positions include responsibility for functions such as recruitment, appointments, replacements, position changes and separations, and related personnel processing.

112.32 Personnel Actions for Employees of Other Installations. As specifically authorized by either the SAPMG, Human Resources, or an RPMG, officers and employees listed in 112.31 may approve personnel actions for employees in offices or installations other than their own as a cross-service, as a central personnel office, or on a special need basis.

112.33 Transfers of Accountability. In addition to other personnel authorized under this section, associate office coordinators at field divisions and management sectional centers may administer oaths of office for employment at any post office in conjunction with transfers of accountability of postmasters.

112.4 Authority to Administer Oaths Other than for Employment

112.41 Employees Authorized. The following are authorized to administer oaths concerning matters other than employment:

- a. Postal inspectors, with regard to any matter coming before them in the performance of their official duties;
- b. Any member of a board who is assigned to conduct hearings or investigations in which sworn testimony, affidavits, or depositions are required and each officer or employee assigned to conduct such hearings or investigations;
- c. Postmasters.

112.42 Postmasters' Authority. Postmasters are empowered and authorized, when requested, to administer oaths with a like force and effect as officials having a seal, as follows:

- a. *Expense Accounts.* Accounts for travel or other expenses against the United States.
- b. *Customs Documents.* At post offices where custom officers are not stationed, any oath required to be made to statements in customs documents by importers of merchandise by mail, not exceeding \$100 in value.
- c. *Recruitments for Job Training Programs.* Oaths of office to prospective Job Training Program enrollees.

112.43 Fees. Do not collect fees for these services. The United States will not reimburse postal employees for fees paid for administering oaths.

112.44 Postmasters In Alaska as Notaries Public

112.441 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 whenever a certification is necessary to comply with any Act of Congress or of the Legislature of Alaska.

112.442 When executing certificates of oath, affirmation or acknowledgement, add the title Postmaster after your signature and give the name of the post office and date document is executed. Place legible postmark impression of the post office on the document.

112.443 Keep a record of all deeds and other instruments of writing acknowledged, relating to the title to or transfer of property. This record must be available to your successors, and is subject to public inspection.

112.45 Fees for Notarial Service. An officer or employee who is a notary public shall not charge or receive compensation for notarial services for another officer or employee regarding Government business; nor for notarial services for any person during the hours of the notary's services to the Government, including lunch period.

112.5 Authority to Designate Certifying Officers--Headquarters

112.51 Delegation. The following are authorized to designate certifying officers at Headquarters for the items specified:

- a. *Chief Postal Inspector.* Payment from Special Deposit account; disbursements for rewards based on PMG Notices of Reward; payments from confidential funds; salary payments for Special Investigations Division; advances of funds for confidential purposes; Inspection Service travel advances, transportation of things; payments for special analyses and services.
- b. *General Counsel.* Payments relating to tort claims and claims under 39 USC 2603.
- c. *SAPMG, Finance.* All other payments.

112.52 Redelegation. The officials named in 112.51 are authorized to redelegate their authority to designate certifying officers. The redelegation shall be made by letter to the appropriate PDC disbursing officer and must bear the specimen signature of the person to whom the authority is redelegated.

112.53 Designating Certifying Officers

112.531 *Inspection Service and Law Department.* Officials who are authorized to designate certifying officers (see 112.51) complete Standard Form 210, *Signature/Designation Card for Certifying Officer*, in duplicate, for each Postal Data Center officer affected, to show:

- a. Name of department for which vouchers will be certified.
- b. Signature of certifying officer written exactly as vouchers will be signed.
- c. Class of vouchers to be certified.
- d. The official's signature and effective date.

112.532 *Other Departments and Offices.* Other departments and offices requiring certifying officers will complete SF 210 in duplicate as prescribed in 112.531 except for signature and date. Both copies will be sent to the SAPMG, Finance.

112.533 *Submitting SF 210 to Postal Data Center Disbursing Officers.* The Chief Postal Inspector, the General Counsel, and the SAPMG, Finance, or their designees shall send signed originals of SF 210 to each of the disbursing officers affected and retain duplicates. The documents will be the official designations of the employees named on the SF 210 as certifying officers.

112.54 Maintaining Designations. Each group, department, and office must keep current its designation of authorized certifying officers. When new or additional designations are made, the procedures for designating certifying officers contained in 112.5 must be followed.

112.6 Authority to Designate Certifying Officers--Field

112.61 Delegation. The following are authorized to designate certifying officers in Postal Data Centers and Inspection Service regions and divisions:

- a. The Chief Postal Inspector for obligations of the Inspection Service.
- b. The Postal Data Center directors for obligations of all other regional functions.
- c. The New York Postal Data Center Director for obligations for Headquarters functions except those under 112.5\,a and b and those certified by the SAPMG, Finance, or designee.

112.62 Redelegation. The officials named in 112.61 are authorized to redelegate their authority to designated certifying officers. Redesignations shall be by letter to each disbursing officer affected, with the specimen signature to whom authority is redelegated.

112.63 Designating Certifying Officers

112.631 Inspection Service. Regional Chief Postal Inspectors and Postal Inspectors-in-Charge are designated certifying officers, as limited by the Chief Postal Inspector. They are authorized to designate certifying officers for obligations incurred by the Postal Inspection Service. They will complete SF 210 in duplicate to show:

- a. Postal Inspection Service region or division for which vouchers will be certified.
- b. Signatures of certifying officer written in the same manner as vouchers will be signed.
- c. Class of vouchers to be certified.
- d. Signature of the designating official and effective date. Regional Chief Postal Inspectors and Postal Inspectors-in-Charge are not authorized to redelegate their authority to designate authorized certifying officers.

112.632 Postal Data Center Directors. Officers under direction of the PDC directors complete SF 210 in duplicate as in 112.631 except for signature and date. Both copies will be sent to the appropriate PDC director for completion.

112.633 Submitting SF 210 to Disbursing Officer. The Regional Chief Postal Inspector, Postal Inspector-in-Charge, and PDC director (or designees) send the originals of SF 210 to each disbursing officer affected and keep the duplicates. These are the official designations of the employees named on the SF 210 as certifying officers.

112.64 Maintaining Designations. Each office under jurisdiction of the official named in 112.61 must keep current its designation of authorized certifying officers. When new additional designations are made, 112.63 must be followed.

112.7 Delegation of Authority to SAPMG, Finance

112.71 Delegation. The SAPMG, Finance, may take final action on:

- a. Claims for overpayment of pay.
- b. Relief of accountable officers of liability for loss.
- c. Relief of accountable officers of liability for illegal, improper, or incorrect payments.
- d. Certifying officers' accountability.
- e. Deposit to and withdrawal from Postal Service fund.
- f. Collection of debts due the Postal Service with the exception of those falling under the jurisdiction of the Chief Postal Inspector.
- g. Adjustment of claims of postmasters and Armed Forces postal clerks, including the loss of funds or valuable papers from their official custody resulting from burglary, fire, or unavoidable casualty, with concurrence by the General Counsel in cases involving doubtful questions of law or fact.

112.72 Redelegation. The SAPMG, Finance, is authorized to redelegate all or part of the authority vested in him by 112.71 to such other officers or executives as deemed appropriate.

112.8 Delegation to APMG, International Postal Affairs Department. The APMG, International Postal Affairs Department, is authorized to sign Express Mail agreements with foreign postal administrations, and to sign technical agreements for the exchange of postal personnel and property with foreign postal administrations.

113 Relationships and Channels of Communication

113.1 Relationships

113.11 Between Headquarters and Regions. Each Headquarters group, department, and office provides guidance and policy interpretation to regional officials in its area of responsibility.

113.12 Between Regional Offices and Field Divisions. The Regional Postmaster General provides guidance and direction to the respective Field Division General Managers/Postmasters within the region with the assistance of Regional Directors and their staffs in their areas of specialization.

113.13 Between Field Divisions and Management Sectional Centers. Field Division General Managers/Postmasters and staffs provide guidance and direction to their respective MSC Managers/Postmasters.

113.14 Between Field Divisions and Bulk Mail Centers. Field Division General Managers/Postmasters and staffs provide guidance and direction to the Bulk Mail Center managers.

113.2 Channels of Communication

113.21 Headquarters and Regional Offices

113.211 The heads of groups, departments, and offices formulate the necessary directives to provide guidance to regional officials. Direction of regional officials is provided on employee and labor relations matters by the Senior Assistant Postmaster General, Human Resources, and on other matters by the Deputy Postmaster General.

113.212 Policy directives are issued over the signatures of the heads of the groups, departments, and offices covering matters within their responsibility, except when the Postmaster General or Deputy Postmaster General may wish to issue such directives personally. As required, policy directives must be coordinated with other appropriate groups, departments, and offices before issuance; reviewed and disseminated by the Information Resource Management Department and, if within the authority of the issuer, have the same effect as though sent by the Postmaster General or the Deputy Postmaster General.

113.213 Guidelines and program implementation instructions and procedures not involving policy are ordinarily issued over the signature of the group, department, or office head having jurisdiction.

113.214 Regional staff officials may communicate directly with the corresponding functional group, department, or office in Headquarters on matters within their area of jurisdiction. In addition, where autho-

rized, they may also directly contact supporting Headquarters departments such as the Law Department and Inspection Service on technical matters not requiring administrative judgment of the Regional Postmaster General.

113.22 Regional Office and Field Installations. The regular channels of communication are:

- a.* Associate office postmasters, to and from their MSC Manager/Postmaster.
- b.* MSC Managers/Postmasters, to and from their Field Division General Manager/Postmaster.
- c.* BMC managers, to and from their Field Division General Manager/Postmaster.
- d.* Field Division General Managers/Postmasters, to and from their Regional Postmasters General.
- e.* Heads of other postal installations, to and from their designated superiors as appropriate.

113.23 PDCs.

113.231 The Information Resource Management Department provides the necessary directives to the PDCs. The Law Department shall maintain direct contact on matters relating to professional and policy guidance on claims.

113.232 Regional offices and PDCs may communicate directly with each other.

113.233 Other postal installations and PDCs may communicate directly on routine accounting matters.

120 Headquarters Organizations

121 Organizations Reporting Directly to the Postmaster General

121.1 Finance Group

121.11 General. The Finance Group is headed by a Senior Assistant Postmaster General (SAPMG). The group consists of two departments, each headed by an Assistant Postmaster General, and one department headed by the Treasurer.

121.12 Rates and Classification Department. The Rates and Classification Department is responsible for:

- a. Designing and maintaining the rate and mail classification structure.
- b. Developing and administering standards and procedures related to cost analysis and attribution.
- c. Forecasting mail volume.
- d. Developing and supporting rate recommendations to the Postal Rate Commission.

121.13 Controller Department. The Controller Department is responsible for:

- a. Developing financing policy and forecasting long-term financing, capital requirements, and borrowing needs.
- b. Establishing and maintaining a comprehensive controllership program for financial management and activities.
- c. Developing accounting policy and procedures, and operating the financial reporting programs and controls.
- d. Directing budgeting, economic, cost benefit, and payroll functions and systems, and establishing related policies and procedures.
- e. Directing the formulation and presentation of a national budget to the Senior Management Committee, Board of Governors, Office of Management and Budget, and Congress.

121.14 Treasurer Department. The Treasurer is responsible for:

- a. Operating a nationwide network of primary and concentration banks to gather revenue.
- b. Developing cash management initiatives to speed cash flow.
- c. Implementing debt management strategies to meet long-term capital and short-term borrowing needs.
- d. Planning investment strategies to ensure liquidity and to earn a competitive rate of return.
- e. Managing the investment of excess cash.

121.15 Records Officer. The Records Officer has responsibility for the retention, security, and privacy of Postal Service records; authorizes their preservation and disclosure; and orders their disposal by destruction or transfer.

121.2 Inspection Service Department The Inspection Service Department, headed by the Chief Postal Inspector, is responsible for:

- a. Protecting mail matter.
- b. Enforcing postal laws governing facilities and employees.
- c. Carrying out investigations and presenting evidence to the Department of Justice and U.S. Attorneys in investigations of a criminal nature.
- d. Performing internal audits of postal operations.
- e. Providing liaison with law enforcement agencies and all levels of government on all activities related to security and defense coordination.

121.3 Law Department The Law Department, headed by the General Counsel, is responsible for:

- a. Serving as legal advisor to the entire Postal Service and interpreting laws as they relate to the Postal Service.
- b. Making rulings, giving advisory opinions, drafting or approving legal instruments, instituting and maintaining administrative proceedings, representing the Postal Service in administrative proceedings and in judicial proceedings, as authorized.
- c. Preparing the legislative program of the Postal Service and publishing regulations in the Federal Register.
Administering activities under the Tort Claims Act, and other personal injury and physical loss claims.
- e. Acting as agent for the receipt of legal process on behalf of the Postal Service and the Postmaster General and other officials resulting from the performance of their official functions.
- f. Administering the Ethical Conduct Program.

121.4 Planning Department The Planning Department, headed by an APMG, is responsible for:

- a. Forecasting trends and developments, both external and internal, which may have an impact on the Postal Service environment.
- b. Assisting departments in developing plans in accordance with goals and objectives set by the Postmaster General and the Board of Governors.
- c. Establishing and maintaining the planning calendar.
- d. Coordinating the USPS strategic planning process.
- e. Assisting in the development of comprehensive and effective plans.
- f. Identifying and evaluating economic, political, social, technical, and market trends and events impacting the USPS.
- g. Developing a projection of long-range business targets as a basis for setting goals and objectives.
- h. Formulating alternative business strategies.
- i. Conducting special economic studies.

121.5 Quality Group The Quality Group, headed by a SAPMG, is responsible for:

- a. Directing the development of policies and procedures to install a national quality improvement

program for all functional areas of the Postal Service.

- b. Directing the development of policies to encourage management commitment to quality improvement and quality awareness.
- c. Directing the development of policies required to implement quality improvement programs to reduce errors.
- d. Directing the development of policies to support training for supervisors in the use of quality programs, goal setting methodologies, and methods to measure and evaluate quality programs.
- e. Directing the development and implementation of policies and programs to ensure long-term commitment to quality improvement throughout the organization.

122 Organizations Reporting Directly to the Deputy Postmaster General

122.1 Operations Support Group

122.11 General. The Operations Support Group is headed by an SAPMG. The group consists of three departments, each headed by an APMG.

122.12 Delivery, Distribution, and Transportation Department. The Delivery, Distribution, and Transportation Department is responsible for:

- a. Developing and implementing national policies, procedures, and short- and long-range operational plans for the collection, distribution, transportation, and delivery of all classes of domestic, international, and military mail.
- b. Developing and implementing national policies, procedures, and short- and long-range operational plans for field retail operations.
- c. Establishing and controlling national (inter-regional) distribution and transportation networks.
- d. Establishing requirements and managing the acquisition and deployment of mail transport equipment.
- e. Developing procurement policies for the transportation of mail.
- f. Managing the development of policies and procedures to ensure the optimum use and benefits of automated equipment.

122.13 Operations Systems and Performance Department. The Operations Systems and Performance Department is responsible for:

- a. Defining, operating, and maintaining the major operating performance management systems.
- b. Setting goals, analyzing trends, and assessing performance in key operations areas.
- c. Identifying and resolving operating problems.
- d. Developing operating management systems, computer models, and new methods for distribution and delivery.
- e. Directing the acquisition, deployment, maintenance, and disposal of postal vehicles.

122.14 Engineering and Technical Support Department. The Engineering and Technical Support Department is responsible for:

- a. Planning and approving all operating requirements and standards for mechanized and automated facilities.
- b. Establishing national policy and programs for the maintenance of facilities and mail processing, customer services, and delivery services related mechanization.
- c. Maintaining a technical and field support capacity for new and modified equipment and providing for the overhaul of major mail processing equipment.

122.2 Automation Implementation Management Department. This department, headed by an APMG, is responsible for:

- a. Formulating and reviewing policy on complex issues affecting the development and implementation of automation strategies.
- b. Developing, implementing, and communicating national plans, policies, procedures, and reporting requirements for administering and coordinating field automation implementation programs.
- c. Coordinating the development and integration of automation implementation strategies, as outlined in the Corporate Automation Plan, and monitoring program achievements.

122.3 Regions. The Regional Postmasters General report to the Deputy Postmaster General.

123 Organizations Reporting Directly to the Associate Postmasters General

123.1 Overview. There are two Associate Postmasters General; each reports directly to the Postmaster General.

123.2 Associate Postmaster General

123.21 General. One Associate Postmaster General is responsible for the Administrative Services Group, Human Resources Group, Technology Resource Department, and Consumer Affairs Department.

123.22 Administrative Services Group

123.221 General. This group consists of three departments, each headed by an Assistant Postmaster General.

123.222 Facilities Department. This department is responsible for:

- a. Designing, constructing, modifying, and repairing facilities.
- b. Leasing, purchasing, managing, and disposing of real estate.
- c. Developing policies, procedures, and new technology in support of facilities programs.
- d. Maximizing the use of real estate assets.

- e. Directing the day-to-day maintenance and repair of the Headquarters building.

123.223 Procurement and Supply Department. The Procurement and Supply Department is responsible for:

- a. Developing, implementing, and reviewing procurement and contracting policies, procedures, and systems
- b. Developing, implementing, and reviewing policies, procedures, and systems for the warehousing, inventory and distribution of equipment and supplies.

123.224 Information Resource Management Department. This department is responsible for:

- a. Providing data processing support services, including systems analysis and programming.
- b. Establishing policy and procedures on the use of computers and telecommunications.
- c. Guiding the development of information systems.
- d. Managing a national data and voice communications system.
- e. Providing payroll processing and distribution services and general accounting services.
- f. Providing technical solutions to information requirements.

123.23 Human Resources Group

123.231 General. The Human Resources Group consists of three departments, each headed by an APMG.

123.232 Employee Relations Department. This department is responsible for:

- a. Establishing programs and policies for new and revised organization structures, staffing patterns, and job descriptions.
- b. Establishing outside recruitment and selection and internal promotion procedures.
- c. Establishing all employee compensation and benefits programs and policies.
- d. Administering all equal employment opportunity programs and establishing affirmative action programs.
- e. Establishing medical, safety, and injury compensation programs and policies.

123.233 Labor Relations Department. This department is responsible for:

- a. Negotiating and interpreting collective bargaining agreements.
- b. Coordinating programs that affect bargaining unit employees.
- c. Developing policies and procedures for administering the national grievance and arbitration programs.
- d. Administering programs to improve the quality of working life in the Postal Service.

123.234 Training and Development Department. The Training and Development Department is responsible for:

- a. Establishing training policies.

- b. Developing all course materials for craft, supervisory, and management employee training.
- c. Providing training for employees at the Technical Training Center and the William F. Bolger Management Academy, and at other training centers.
- d. Designing employee development programs.

123.24 Technology Resource Department. The Technology Resource Department is headed by an APMG and reports to the Associate Postmaster General. It is responsible for:

- a. Developing long-term technology development plans to meet changing technological trends and developments.
- b. Managing research and development directed to the application of new concepts to Postal Service functions.
- c. Monitoring the technological interaction between the Postal Service and the outside environment.

123.25 Consumer Affairs Department. The Consumer Affairs Department is headed by the Consumer Advocate who reports to the Associate Postmaster General, and is responsible for:

- a. Responding to customer inquiries and complaints regarding postal products and services.
- b. Developing, with the Communications Department, programs to inform the public on mailing programs, procedures, and policies.
- c. Tracking service problems and identifying trends to resolve operating programs.

123.3 Associate Postmaster General

123.31 General. The other Associate Postmaster General is responsible for the Marketing and Customer Service Group, Government Relations Department, International Postal Affairs Department, Communications Department, and the Judicial Officer Department.

123.32 Marketing and Customer Service Group

123.321 General. This group, headed by an SAPMG, consists of three departments, each headed by an APMG. In addition, functions reporting directly to the SAPMG are responsible for strategic services integration, product management, classification and rates administration, and market research and performance analysis.

123.322 Advertising and Account Services Department. This department is responsible for:

- a. Developing and managing all commercial marketing programs; determining customer requirements; developing promotion and advertising policies and objectives; and implementing and managing promotion and advertising programs.
- b. Managing commercial marketing and sales programs for national, corporate, and federal accounts, including support to the field marketing organizations.
- c. Managing the National Postal Forum.

123J23 Philatelic and Retail Services Department. This department is responsible for:

- a. Designing, manufacturing, and distributing postage stamps and stationary items.
- b. Establishing and implementing philatelic marketing programs.
- c. Managing domestic and international telephone and mail order services for philatelic products.
- d. Managing special programs to promote philately and philatelic products and services.
- e. Establishing policy, business strategy, and programs for the retail sale of postal services, products, and postage; and directing the development and implementation of cost-effective retail facility designs.

123.324 Customer and Automation Service Department. This department is responsible for:

- a. Developing technical materials and sales tools to support the practical application of the automation policies and programs.
- b. Developing, implementing, and managing automated systems to support mail classification, acceptance, verification, postage payment, and special services programs.
- c. Directing the maintenance and improvement of address information and related systems.

123.33 Government Relations Department. The Government Relations Department is responsible for:

- a. Maintaining cooperative relationships with Congress, federal agencies within the Executive Branch, the White House, and state and local government officials.
- b. Advising postal officials on legislative or other policy matters in public areas involving congressional committees or individual members of Congress.
- c. Maintaining liaison with Members of Congress and their staffs to exchange information on specific legislation and Postal Service policies and operations.
- d. Developing legislative strategies.

123.34 International Postal Affairs Department. This department is responsible for:

- a. Representing the United States in the Universal Postal Union (UPU) and the Postal Union of the Americas and Spain (PUAS).
- b. Providing liaison with all foreign postal administrations.
- c. Negotiating bilateral and multilateral postal treaties and agreements with foreign governments
- d. Providing policy guidance on all aspects of international postal affairs.
- e. Developing and implementing marketing strategies and programs to increase international mail volumes, sales, revenues, products, and services.

123.35 Communications Department. This department is responsible for:

- a. Planning, approving, and managing public communications programs.

- b. Providing information to employees through in-house publication of newsletters, posters, films, videotapes, and other periodicals.
- c. Providing senior management with assistance in the development and production of presentations and speeches.
- d. Developing, planning, and implementing national Olympic policies and programs to support Olympic sponsorship and corporate strategic goals.

123.36 Judicial Officer Department

123.361 Judicial Officer. The Judicial Officer is responsible for:

- a. The performance of quasi-judicial duties and the issuance of final decisions and orders.
- b. Serving as the agency for the purposes of the requirements of the Administrative Procedure Act.
- c. Presiding at the reception of evidence as provided in rules of practice.
- d. Revising or amending the rules governing eligibility to practice before the Postal Service, revising or amending Postal Service rules of practice governing proceedings conducted under the Administrative Procedure Act, and issuing and revising rules of practice for other proceedings.
- e. Serving as Chairperson of the Board of Contract Appeals and performing the functions of the agency head under the Contract Disputes Act of 1978, as amended.
- f. Administratively supervising Administrative Law Judges and hearing appeals from their decisions.

123J62 Board of Contract Appeals. The Board of Contract Appeals is responsible for processing, hearing, and issuing final agency decisions in connection with contract disputes.

123.363 Office of Administrative Law Judges. Administrative Law Judges are responsible for presiding at administrative hearings as delegated by the Judicial Officer.

124 Headquarters Field Units

124.1 Overview Headquarters Field Units (HFUs) are typically single-function organizations that report directly to Headquarters and serve the entire Postal Service.

124.2 National Units

124.21 Inspection Service HFUs

124.211 General. The Inspection Service is divided into regional and divisional entities.

124.212 Inspection Service-Region. The Inspection Service at the regional level is responsible for:

- a. Protecting the mails, enforcement of Postal laws, facility and employee security, and internal auditing.
- b. Managing the accomplishment of national programs and policies.

- c. Coordinating with other law enforcement organizations on security, audit, and other law enforcement matters.

114.213 Inspection Service-Division. The Inspection Service at the division level is responsible for all inspection and investigation activities within the division area served.

124.22 Procurement and Supply Department HFUs

124.221 Materiel Distribution Centers. There are two materiel distribution centers (MDCs), one at Somerville, NJ and one at Topeka, KS. MDCs are responsible for:

- a. Procuring, storing, and issuing basic supplies for use in all postal facilities.
- b. Arranging for the transportation of supplies to facilities.

114.222 Mail Equipment Shop. The Mail Equipment Shop, located in Washington, DC, is responsible for:

- a. Manufacturing mail bags, sacks, and pouches.
- b. Manufacturing locks and keys.
- c. Manufacturing hardware items used for mail security and for customer service lobby equipment.

124.23 Human Resources Group HFUs

124.231 National Test Administration Center (NTAC). The National Test Administration Center, located in Alexandria, VA, reports to the Employee Relations Department and is responsible for:

- a. Receipt and processing of requests to give examinations.
- b. Preparing and distributing registers of eligible applicants and notices of ratings.

114.232 Technical Training Center. The Technical Training Center, located in Norman, OK, reports to the Training and Development Department and is responsible for:

- a. Developing training materials for craft employees in maintenance and related crafts.
- b. Performing training for technical employees.

124.233 William F. Bolger Management Academy. The William F. Bolger Management Academy, located in Potomac, MD, reports to the Training and Development Department and is responsible for:

- a. Developing training materials for supervisors, postmasters, and other managerial employees.
- b. Performing training for managerial employees.

124.24 Information Resource Management Department HFUs

124.241 National Information Systems Support Center. The National Information Systems Support Center, located in Raleigh, NC, is responsible for:

- a. Designing new large-scale automated systems and writing the supporting program code.
- b. Managing the nationwide voice and data communications system.

124.242 Postal Data Centers. The Postal Data Centers, located in Minneapolis, MN, New York, NY, St.

Louis, MO, San Mateo, CA, and Wilkes-Barre, PA, are responsible for:

- a. Systems analysis, computer programming, and other systems development activities.
- b. Accounting, accounts payable, payroll, money order disbursing, claims and loss settlement, and other financial services.
- c. Data processing and related computer services.

124.25 Operations Support Group HFUs

124.251 Maintenance Technical Support Center (MTSC). The Maintenance Technical Support Center, located in Norman, OK, reports to the Engineering and Technical Support Department and is responsible for:

- a. Developing policies, programs, methods, and standards for the maintenance of mail processing equipment.
- b. Issuing guidelines to field managers on building systems and mail processing equipment maintenance procedures.

124.252 Engineering and Development Center. The Engineering and Development Center, located in Merrifield, VA, reports to the Engineering and Technical Support Department and is responsible for:

- a. Providing engineering and near-term development support for letter mail equipment, packaged mail equipment, delivery and retail equipment, and associated systems and software.
- b. Directing near-term development and modifications to equipment and components to increase efficiency and reliability, and to improve safety.
- c. Conducting tests to evaluate new equipment for Postal Service use; performing failure analyses on equipment and components.
- d. Providing applied engineering to customize commercial technology and equipment for postal use.

124.26 Address Information Center. The Address Information Center, located in Memphis, TN, reports to the Customer and Automation Service Department and is responsible for:

- a. Developing policies for and providing technical guidance and computer support to field Address Information System units and field Computerized Forwarding System units.
- b. Providing nationwide service and technical guidance for postal customers requiring support related to address information systems.

124.27 Chief Field Counsels. The Chief Field Counsels report to the General Counsel and are responsible for providing legal representation services within a regional geographic area, including representation before the Board of Contract Appeals, liaison with U.S. Attorneys on contract, real estate, and tort litigation, as well as personnel related matters, such as labor/management relations, Equal Employment Opportunity, Merit Systems Protection Board, National Labor Relations Board, and district court actions.

124.28 International Accounts Center. The International Accounts Center, located in New York, NY, reports to the Department of the Controller and is

responsible for reviewing, approving, settling, and auditing international mail handling and transportation accounts for contracts and agreements entered into by the Postal Service.

124.29 Philatelic and Retail Services Department HFUs

124.291 Philatelic Units. The Philatelic Sales Division, located in Kansas City, MO, is a large mail and telephone order sales operation for stamps and other philatelic products; it includes an order fulfillment unit which is responsible for the filling and shipping of domestic and international mail orders for philatelic products.

124.292 Stamped Envelope Unit. The Stamped Envelope Unit, located in Williamsburg, PA, processes, distributes, and certifies billing or postmaster accountability for direct orders of all stamped envelope products marketed by the Postal Service.

124.3 Service Centers

124.31 General Service Centers typically serve a regional area only and report to Headquarters, providing technical guidance and support to field division employees and carrying out the day-to-day responsibilities of a function.

124.32 Maintenance Overhaul and Technical Service Centers (MOTSC). Maintenance Overhaul and Technical Service Centers, reporting to the Engineering and Technical Support Department, are responsible for:

- a. Refurbishing mail processing equipment such as letter sorting machines, facer cancellers, and related equipment.
- b. Providing technical advice and guidance to field maintenance employees on procedures and practices to follow.

124.33 Transportation Management Service Centers (TMSC). Transportation Management Service Centers, reporting to the Delivery, Distribution, and Transportation Department, are responsible for:

- a. Procuring mail transportation services between mail processing centers.
- b. Controlling the inventory of empty mail equipment.
- c. Coordinating the movement of mail between Mail Processing Centers, Bulk Mail Centers (BMCs), Management Sectional Centers (MSCs), and Field Divisions.

124.34 Facilities Service Centers. Facilities Service Centers, reporting to the Facilities Department, are responsible for:

- a. Developing functional design specifications for new or altered facilities.
- b. Investigating and evaluating sites for proposed postal facilities.
- c. Purchasing, leasing, disposing of, and managing real estate and facilities.
- d. Contracting for the design and construction of facilities.

124.35 Procurement and Materiel Management Service Centers. Procurement and Materiel Management Service Centers, reporting to the Procurement and Supply Department, are responsible for:

- a. Contracting for supplies, services and equipment;
- b. Maintaining systems for inventorying equipment and supplies.

124.36 Rates and Classification Service Centers. Rates and Classification Service Centers, reporting to the Office of Classification and Rates Administration, Marketing and Customer Service Group, are responsible for:

- a. Managing, for a geographic area, the rates and classification activities related to rates schedules, mail classification and statistical systems, including guiding and monitoring bulk mail acceptance, mailing requirements, data collection programs in divisions, and providing classification rulings.
- b. Providing decisions on authorizations and rulings that enable customers to exercise mailing privileges for various classes of mail and service.

124.37 Human Resources Service Centers. Human Resources Service Centers, reporting to the Human Resources Group, are responsible for:

- a. Processing personnel actions and maintaining personnel records for the regional office and the service centers.
- b. Implementing the Human Resources Information System (HRIS) in the field and training all users.
- c. Providing administrative support, technical guidance, and case processing for Equal Employment Opportunity (EEO), Merit Systems Protection Board (MSPB), and nonbargaining appeals.
- d. Overseeing all safety and health programs and issues, and responding to incidents or inquiries involving industrial hygiene.
- e. Coordinating the scheduling of all arbitration cases with arbitrators, union representatives, and field employees.

130 Field Organizations

131 Regions

131.1 General The regions are responsible for monitoring the performance of postal operations; assessing long-term solutions to operating problems; and performing long-range operational planning.

131.2 Functional Units Each region, headed by a Regional Postmaster General who reports to the Deputy Postmaster General, is organized into five functions: Finance, Human Resources, Marketing and Communications, Operations Support, and Planning, as follows:

- a. Finance is responsible for all accounting, budgeting, financial analysis, and management information programs.
- b. Human Resources is responsible for all employee relations, labor relations, and training and development programs.
- c. Marketing and Communications is responsible for commercial accounts and merchandising programs, market and product analysis, and for providing information to the public and employees.
- d. Operations Support is responsible for operations planning and monitoring the performance of the mail processing network.
- e. Planning is responsible for long-range planning for the region, -including planning, supporting, and monitoring field site automation implementation; and for support services to the regional building.

131.3 Regional Areas

131.31 Central Region. The headquarters for the Central Region is in Chicago, IL. The regional area is made up of the states of Colorado, Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, North Dakota, South Dakota, Wisconsin, and Wyoming.

131.32 Eastern Region. The headquarters for the Eastern Region is in Philadelphia, PA. The regional area is made of the states of Delaware, Kentucky, Maryland, New Jersey (ZIP Code areas 080-084, 189, 193 and 194), North Carolina, Ohio, Pennsylvania, South Carolina (except ZIP Code areas 298 and 299), Virginia, West Virginia, and Washington D.C.

131.33 Northeast Region. The headquarters for the Northeast Region is in Windsor, CT. The regional area is made up of the states of Connecticut, Maine, Massachusetts, New Hampshire, New Jersey (ZIP Code areas 074-079 and 085-089), New York, Rhode Island, Vermont, and Puerto Rico.

131.34 Southern Region. The headquarters for the Southern Region is in Memphis, TN. The regional area is made up of the states of Alabama, Arkansas, Florida, Georgia, Louisiana, Mississippi, Oklahoma, South Carolina (ZIP Code areas 298 and 299), Tennessee, and Texas (except ZIP Code areas 797-799).

131.35 Western Region. The headquarters for the Western Region is in San Bruno, CA. The regional area is made up of the states of Alaska, Arizona, California, Hawaii, Idaho, Montana, Nevada, New Mexico, Oregon, Texas (ZIP areas 797-799), Utah, and Washington.

132 Field Divisions

132.1 General The field divisions are responsible for the day-to-day management of all operations and facilities within a geographic area. Each Field Division is headed by a Field Division General Manager/Postmaster who reports to a Regional Postmaster General.

132.2 Functional Units Each Field Division is organized into seven functions: Controller, City Operations, Operations Support, Marketing and Communications, Human Resources, Support Services, and Field Operations. Responsibilities are as follows:

- a. The Controller is responsible for the operation of all management information systems, accounting services, budget and financial analysis, systems compliance, and statistical programs.
- b. City Operations is responsible for all mail processing within the host Field Division facility, including stations and air mail operations.
- c. Operations Support is responsible for providing staff support to operational functions, including logistics and distribution systems management, quality control, industrial engineering, address programs support, delivery programs, maintenance engineering and operations, and vehicle programs.
- d. Marketing and Communications plans and implements Postal Service marketing strategies, account management, technical sales support, retail marketing, communications programs, merchandising and sales information systems, and employee communications and community relations. It directs the consumer affairs program, provides marketing data to operations and other functional areas on customer demand, and recommends locations of retail facilities, hours of operation, collection boxes, and similar retail and delivery programs.
- e. Human Resources is responsible for labor relations, EEO complaint processing, employment and development, training, compensation and staffing, affirmative action, and safety and health.
- f. Support Services is responsible for office services; procurement; materiel management; purchase, lease, and management of facilities; and design and construction of new and altered facilities.
- g. Field Operations is responsible for the management and evaluation of grade 24 and below associate offices that report to the host division. This includes the development of operating budgets and disbursement of funds; investigation and correction of operational, service, budget, productivity, and efficiency problems; and providing technical assistance.

132.3 Field Division Areas The Field Division areas of responsibility and subordinate reporting offices are published periodically in the Postal Bulletin.

133 Management Sectional Centers (MSCs)

133.1 General Each Management Sectional Center is headed by an MSC Manager/Postmaster who reports to a Field Division General Manager/Postmaster.

133.2 Functional Units Each Management Sectional Center is organized into six functions: Finance, City Operations, Operations Services, Marketing, Human Resources, and Field Operations, as follows:

- a. Finance is responsible for the operation of all management information systems, accounting and budget, timekeeping, financial analysis, statistical programs, procurement and office services, and systems compliance.
- b. City Operations is responsible for all mail processing within the MSC facility, including stations and air mail operations, and plant and equipment engineering.
- c. Operations Services is responsible for providing staff support to operational functions, including quality control, logistics, address information systems, delivery services, industrial engineering, and vehicle services.
- d. Marketing plans and implements Postal Service marketing strategies, account management, technical sales support, retail marketing, merchandising and sales information systems. It provides marketing data to operations and other functional areas on customer demand, and recommends locations of retail facilities, hours of operation, collection boxes, and similar retail and delivery programs.

- e. Human Resources is responsible for labor relations, equal employment opportunity, employment and placement, training, compensation and staffing, affirmative action, and safety and health.
- f. Field Operations is responsible for the management and evaluation of associate offices that report to the Management Sectional Center. This includes the development of operating budgets and disbursement of funds; investigation and correction of operational, service, budget, productivity, and efficiency problems; and providing technical assistance.

133.3 MSC Areas Larger associate offices report to the MSC Manager/Postmaster as follows:

- a. MSC V--Associate Office, level 22 and above.
- b. MSC !V--Associate Office, level 21 and above.
- c. MSC [---Associate Office, level 20 and above.

134 Other Field Organizations

134.1 Bulk Mail Centers (BMCs) Bulk mail centers serve a specific geographic area and are headed by a manager who reports to the Field Division General Manager/Postmaster. BMCs are responsible for processing certain types of second- and third-class mail in bulk form and parcel post mail, normally in bulk or piece form.

134.2 Associate Offices Associate offices are headed by a postmaster who reports to a Director, Field Operations, in an MSC or a Field Division. Associate offices are responsible for the receipt, delivery and dispatch of all classes of mail for geographic areas normally encompassing the boundaries of a city or town.

140 Post Office Functions

141 Responsibilities

Postmasters are responsible for complying with the general and specific responsibilities prescribed in their standard position description.

142 Hours of Duty

142.1 Full-Time Offices Postmasters of full-time offices (EAS-11 and above) are scheduled to work a 40-hour workweek. Normally, this schedule is set at 8 hours a day and 5 days a week, Monday through Friday. A Postmaster Relief/Replacement or Superintendent, Postal Operations, is scheduled to relieve the postmaster and to provide service as necessary on the sixth day. However, these postmasters may request of their RPMG, Field Division General Manager/Postmaster, or Sectional Center Manager/Postmaster, as appropriate, that they be assigned to a permanent schedule which includes not less than 4 hours on Saturday with equivalent time off on one of the Monday through Friday workdays in the same service week.

142.2 Part-Time Offices

142.21 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-6	3 hours per day
EAS-C	4 hours per day
EAS-D	5 hours per day
EAS-E	6 hours per day

142.22 However, EAS C, D, and E postmasters, with the approval of their Field Division General Manager/Postmaster or Management Sectional Center Manager/Postmaster, may alter their regularly scheduled hours of service on Saturdays, provided there is no additional expense to the Postal Service and the principal mail is received and dispatched.

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

143 Absence from Office

143.1 More Than 5 Days For periods of absence longer than five days, postmasters must obtain advance approval from their Regional Postmaster General, Field Division General Manager/Postmaster, or Management Sectional Center Manager/Postmaster, as ap-

propriate, unless such approval authority has been delegated.

143.2 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. However, on an individual basis, RPMGs may require that a postmaster obtain advance approval of all absences from the Management Sectional Center Manager/Postmaster or Field Division General Manager/Postmaster, as appropriate, when the postmaster's previous performance warrants such action.

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

143.4 Assignment of Relief for Postmaster Postmasters are responsible for determining 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 only a short time or if the postmaster is off duty during a period when window service is not available, it may not be necessary to provide relief coverage of these responsibilities.

143.41 Superintendent, Postal Operations. The established duties for a Superintendent, Postal Operations, as defined in the official position description, include being in charge of the office during the postmaster's absence. Additional postmaster relief normally is not authorized in offices with a Superintendent, Postal Operations.

143.42 Postmaster Relief/Leave Replacement

143.421 In those offices without an assigned career clerk, a temporary Postmaster Relief/Leave Replacement may be utilized for a limited term in relief of the postmaster during all hours the post office is open to the public. The postmaster can be either in a duty status or off duty during the period of absence.

143.422 In those 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 is not in a duty status--that is, on the postmaster's regular day off or when the postmaster is 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 at the MSC, relief is not authorized. In these cases, the postmaster continues to retain responsibility for the operation of the office even though not physically present.

Chapter 2

Inspection Service

210 General

211 Authority

211.1 Responsibility

211.11 The Inspection Service is headed by the Chief Postal Inspector, who reports directly to the Postmaster General. The Chief Postal 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. The Chief Postal Inspector also serves as the Inspector General of the Postal Service.

211.12 The Inspection Service is responsible for protection of the mails, enforcement of postal laws, plant and personnel security, inspection of postal matters, internal audits, and coordinating USPS emergency preparedness planning of both a wartime and a natural disaster nature. The Inspection Service, in accordance with 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. It also undertakes operating inspections and audits for the Postal Service.

211.2 Arrest and Subpoena Powers

211.21 Authorization. Postal inspectors are authorized to perform the following functions in connection with any matter within their respective official duties as established by the Chief Postal 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; and
- 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 shall be 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 Except as provided by 211.33, the Inspection Service is authorized to have access to all records and documents of possible relevance to an official investigation or audit 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 concerning mail sent or received by a particular customer.

211.32 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 which has a need for such information in exercising its responsibility for enforcing civil, administrative, or criminal laws. Any such disclosure must be consistent with Postal Service privacy regulations. (See ASM 353.)

211.33 Exceptions to this policy are as follows. Note, there are no exceptions when the Inspection Service is conducting an audit or investigation under the Inspector General Act of 1978.

- a. For information from the covers of mail, see ASM 213. For dead mail information, see *Domestic Mail Manual* (DMM) 115 and 159.
- b. For access to employee restricted medical records and Employee Assistance Program records, see chapter 2 of Handbook EL-806, *Health and Medical Service*, and *Employee and Labor Relations Manual* 870.
- c. For access to an employee's Form 2417, *Confidential Statement of Employment and Financial Interests*, see respectively *Employee and Labor Relations Manual* 662.4 or 39 *Code of Federal Regulations* section 447.42(e)(2).

212 Circulars and Rewards

212.1 **Wanted Circulars** The Inspection Service issues wanted circulars to assist in locating and arresting fugitive postal offenders. Post these circulars in the most conspicuous place in the post office lobby and in other prominent places. Post near the Notice of Reward sign. Telephone immediately the postal inspector-in-charge 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 Rewards will be paid in the amounts and under the conditions stated in Notice 96, *Notice of Reward*, for the arrest and conviction of persons for the following postal offenses:

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

212.22 The postmaster or a designated employee should personally 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 USPS maintains rigid controls and supervision with respect to the use of mail covers as an investigative or law enforcement technique.

213.2 Scope These regulations constitute the sole authority and procedure for initiating, processing, placing, and using mail covers.

213.3 Definitions

213.31 Mail Cover. The process by which a record is made of any data appearing on the outside cover of any class of mail matter, including checking the contents of any second-, third-, or fourth-class mail matter as now sanctioned by law, in order to obtain information in the interest of (a) protecting the national security, (b) locating a fugitive, or (c) obtaining evidence of commission or attempted commission of a crime.

213.32 Fugitive. Any person who has fled from the United States or any state, territory, the District of Columbia, or a 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.

213.33 Crime. For purposes of these regulations, any commission of an act or the attempted commission of an act that is punishable by law by imprisonment for a term exceeding 1 year.

213.34 Law Enforcement Agency. 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.

213.35 Protect the National Security. To protect the United States from any of the following actual or potential threats to its security by a foreign power or its agents:

- a. An attack or other grave hostile act;
- b. Sabotage or international terrorism; or
- c. Clandestine intelligence activities.

213.4 Authorizations

213.41 Chief Postal Inspector

213.411 The Chief Postal Inspector is the principal officer of the Postal Service in the administration of all matters governing mail covers. The Chief Postal Inspector may delegate any or all of this authority to not more than two designees at Inspection Service Headquarters, and, except for national security covers, may also delegate any or all such authority to the Regional Chief Postal Inspectors. In emergencies, local inspectors-in-charge also may approve cover request. All such delegations of authority must be issued through official directives.

213.412 The Chief Postal Inspector or designee may order mail covers under the following circumstances:

- a. When there is reason to believe that the subject or subjects of the mail cover are engaged in any activity violating any postal statute;
- b. When written request is received from any law enforcement agency wherein the requesting authority stipulates and specifies the reasonable grounds that exist which demonstrate the mail cover is necessary to (1) protect the national security, (2) locate a fugitive, or (3) obtain information regarding the commission or attempted commission of a crime; or
- c. When time is critical, the Chief Postal Inspector or designee may act upon an oral request, to be confirmed by the requesting authority in writing within 2 business days. However, no information may be released until an appropriate written request is received.

213.42 Regional Chief Postal Inspectors

213.421 All Regional Chief Postal Inspectors, and not more than three designees pursuant to delegations in writing, may order mail covers within their regions under the following circumstances:

- a. When there is reason to believe the subject or subjects are engaged in an activity violating any postal statute; or
- 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 exist which demonstrate that the mail cover (1) would aid in locating a fugitive, or (2) would assist in obtaining information concerning the commission or attempted commission of a crime.

213.422 Except when ordered by the Chief Postal Inspector or designee, requests for mail covers must be approved by the Regional Chief Postal Inspector or designee, in each region in which the mail cover is to operate.

213.423 When time is critical, the Regional Chief Postal Inspector or designee may act upon an oral request to be confirmed by the requesting authority in writing within 2 business days. However, no information may be released until an appropriate written order is received.

213.5 Limitations

213.51 No persons in the Postal Service, except those employed for that purpose in dead mail offices, may break or permit breaking without a search warrant of the seal of any mail sealed against federal inspection, even though it may contain criminal or otherwise unmailable matter or may furnish evidence of the commission of a crime.

213.52 No mail covers may include matter mailed between mail cover subjects and their known attorneys-at-law.

213.53 No officer or employee of the Postal Service other than the Chief Postal Inspector or Regional Chief Postal Inspectors and their designees are authorized to order mail covers. Under no circumstances shall a postmaster or postal employee furnish information as defined in 213.31 to any person except as authorized by the Chief Postal Inspector, a Regional Chief Postal Inspector, or their designees.

213.54 Except for mail covers ordered upon subjects engaged, or suspected to be engaged, in any activity against the national security, or activity violating any postal law, no mail cover order shall remain in force and effect for more than 30 days. At the expiration of such 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.

213.55 No mail cover shall remain in force longer than 120 days unless personally approved for further extension by the Chief Postal Inspector.

213.56 Except for fugitive cases, no mail cover shall remain in force when the subject has been indicted for any cause. If the subject is under investigation for further criminal violations, a new mail cover order must be requested, consistent with these regulations.

213.57 Any national security mail cover request must be approved personally by the head of the law enforcement agency requesting the cover.

213.6 Records

213.61 All requests for mail covers, with records of action ordered thereon, and all reports issued pursuant to them, are deemed to be within the custody of the Chief Postal Inspector. However, the physical location of this data shall be at the discretion of the Chief Postal Inspector.

213.62 The Regional Chief Postal Inspectors must promptly submit copies of all requests for mail covers and the determination made of them to the Chief Postal Inspector or designee for review.

213.63 If the Chief Postal Inspector or designee determines a mail cover was improperly ordered by a Regional Chief Postal Inspector or designee, all data acquired while the cover was in force must be destroyed, and the requesting authority notified of the mail cover discontinuance and the reasons therefor.

213.64 Any data concerning mail covers must be made available to any mail cover subject in any legal proceeding through appropriate discovery procedures.

213.65 The retention period for files and records pertaining to mail covers is 8 years.

213.7 Reporting to Requesting Authority Once a mail cover has been duly ordered, authorization may be delegated to any officer in the Postal Service to transmit mail cover reports directly to the requesting authority. If at all possible, the transmitting officer should be a postal inspector.

213.8 Review

213.81 The Chief Postal Inspector or designee shall review all actions taken by Regional Chief Postal Inspectors or their designees, upon initial submission of a report on a request for mail cover.

213.82 The Chief Postal Inspector's determination in all matters concerning mail covers is final and conclusive and not subject to further administrative review.

214 Civil Forfeiture Authority

214.1 Authorization The Postal Service is authorized to seize property and conduct civil administrative forfeitures under:

- a. 18 U.S.C. 2251 Et Seq. (Child Protection Act);

- b.* 18 U.S.C. 1956-1957 (Money Laundering);
- c.* 31 U.S.C. 5313 (a) and 5324 (Currency Transaction Violations), **Financial Institutions Reform, Recovery, and Enforcement Act of 1989 (FIRREA)** (11 Banking-related Crimes);
- c.* 21 U.S.C. 333 (Federal Food, Drug and Cosmetic **and Human Growth Hormones**); **and**
- d.* 21 U.S.C. 801 Et Seq. (Controlled Substance Act **(includes anabolic steroid and drug paraphernalia)**).

214.2 Delegation The Chief Postal Inspector is **authorized to exercise the authority of the Postal Service** described in 214.1 and to delegate all or any part of **this authority to any or all postal inspectors.**

220 Postal Emergencies, Losses, and Offenses

221 Reporting

221.1 General Requirements

221.11 Reports. Postmasters are required to report emergencies, postal losses, and offenses to the Inspection Service. Address reports to the inspector-in-charge of the division in which the loss or offense took place. (See Exhibit 221.11 for addresses of inspectors-in-charge.)

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

221.13 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.

221.14 Telephone Reports. Include 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 an emergency caused by hazardous matter;
- g. Whether local police were contacted; and
- h. Security category, mailer of classified material found loose, and action taken to secure it.

221.15 Written Reports. The written confirmation should include the same information furnished by phone, plus:

- 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 USPS 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; and
- g. Additional information discovered after the initial report was made.

221.16 Nonemergencies and Routine Losses and Offenses. Less serious losses and offenses may be reported by memorandum or by standard USPS forms. (See 221.4 and 225.)

221.17 Prohibition. Do not discuss information concerning offenses or suspected offenses of postal employees with anyone outside the Inspection Service.

222 Emergencies, Losses, and Offenses Reported by Telephone

222.1 Loss or Damage

222.11 Damage to a postal unit by fire, hurricane, flood, or other catastrophe.

222.12 Loss of a significant amount of USPS funds, accountable paper, or property.

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

222.2 Thefts, Burglaries or Robberies

222.21 Postal Unit or Employee Robbed

222.22 Postal unit or vehicle broken into, burglarized, or robbed. (See 227.)

222.23 Post office locks and keys (including keys and locks for mail boxes and mailbags) stolen, missing, or found under suspicious circumstances, including improper possession.

222.24 Indicated or suspected embezzlement. (*Note:* Make no further investigation or inquiry after telephone call and foUowup report.)

222.25 Thefts, fires, and willful damage to mailboxes or contents, including customer mail receptacles, post office boxes, collection, relay boxes, carrier carts/satchels, and co-op mailing racks.

222.26 Theft or mistreatment of mail. (*Note:* If a postal employee, mail contractor, or employee of a contractor is suspected of theft, abandonment, or other mistreatment of mail, report all known facts and make no further investigation or inquiry.)

222.3 Accidents

222.31 Accidents that kill or injure private persons.

222.32 Accidents that kill or seriously injure a postal employee.

222.4 Assaults or Threats

222.41 Postmaster or postal employee physically assaulted or robbed while on duty, or while in possession of mail, postal funds, or property. (See 223.)

222.42 Postal employee threatened with death or bodily injury. (See 223.)

- | | | |
|-----------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|
| 1. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 16489
ATLANTA GA 30302-0489 | 13. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 162929
FT WORTH TX 76161-2929 | 26. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 7500
PHILADELPHIA PA 19101-7500 |
| 2. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 1856
BALTIMORE MD 21203-1856 | 14. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 3535
HARRISBURG PA 17105-3535 | 27. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 20666
PHOENIX AZ 85036-0666 |
| 3. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 2767
BIRMINGHAM AL 35202-2767 | 15. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 1269
HARTFORD CT 06145-2169 | 28. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
1001 CALIFORNIA AVE
PIITSBURGH PA 15290-9000 |
| 4. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 2217
BOSTON MA 02205-2217 | 16. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 1276
HOUSTON TX 77251-1276 | 29. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
912 SW WASHINGTON SUITE 790
PORTLAND OR 97205-2898 |
| 5. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
685 ELUCOIT SQUARE BLDG
BUFFALO NY 14203-2545 | 17. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
7188 LAKEVIEW PKWY W DR
INDIANAPOLIS IN 46268-4104 | 30. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 25009
RICHMOND VA 23260-5009 |
| 6. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
2901 I 85 SOUTH GMF
CHARLOITE NC 28228-3000 | 18. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
3101 BROADWAY SUITE 850
KANSASCIY MO 64111-2416 | 31. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
1106 WALNUT ST
STLOUIS MO 63199-2201 |
| 7. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
433 W VAN BUREN ST
RM642
MAIN POST OFFICE BLDG
CHICAGO IL 60669-2201 | 19. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 2000
PASADENA CA 91102-2000 | 32. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 64558
ST PAUL MN 55164-2201 |
| 8. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 14487
CINCINNATION OH 45250-0487 | 20. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 3180
MEMPHIS TN 38173-0180 | 33. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 2110
SAN DIEGO CA 92112-2110 |
| 9. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 5726
CLEVELAND OH 44101-0726 | 21. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 520772
MIAMI FL 33152-0772 | 34. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 882000
SAN FRANCISCO CA 94188-2000 |
| 10. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 329
DENVER CO 80201-0329 | 22. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 788
MILWAUKEE WI 53201-0788 | 35. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 363667 GPO
SAN JUAN PR 00936-3667 |
| 11. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 566
DES MOINES IA 50302-0566 | 23. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 509
NEWARK NJ 07101-0509 | 36. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 400
SEATILE WA 98111-4000 |
| 12. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 330119
DETROIT MI48232-6119 | 24. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 51690
NEW ORLEANS LA 70151-1690 | 37. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 22526
TAMPA FL 33622-2526 |
| | 25. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 555
NEW YORK NY 10116-0555 | 38. INSPECTOR-IN-CHARGE
UNITED STATES POSTAL SERVICE
PO BOX 96096
WASHINGTON DC 20666-6096 |

222.43 Postal customer physically assaulted or threatened with death or bodily injury by a postal employee. (See 223.)

222.44 libel, threats, extortion.

222.45 Bomb threats.

222.5 Sale or Use of Controlled Substances In the event drug usage or sales are suspected on postal property or by a postal employee (s) on duty, notify the inspector-in-charge immediately. Do not confront the person (s) or make further inquiry.

222.6 Worker's Compensation Indicated or suspected Worker's Compensation fraud or abuse.

222.7 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. Over- or undercharges of postage;
- g. Alteration of meter stamps;
- h. Tampering with meters, etc.

222.8 Sabotage 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. (*Note: 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 should 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

- 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 in accordance with 222.93.
- b. SECRET material may be sent by registered mail.
- c. CONFIDENTIAL material may be sent by certified mail.

222.93 Handling

- 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 limited to as few people as possible.

- b. Immediately notify a postal inspector by telephone.

223 Emergencies, Losses, and Offenses Requiring Special Actions

223.1 Demonstrations, Riots, or Picketing

223.11 If demonstrations, riots, or picketing are imminent or in progress at any postal installation, immediately notify the Regional Postmaster General (RPMG), the local postal inspector (or inspector-in-charge), and the police department or other local law enforcement body.

223.12 Advise the RPMG and postal inspector of the following, if known:

- a. Approximate number of persons involved and their cause;
- b. Interference with movement of mail;
- c. Damage to postal property;
- d. Blocking of entrances and exits;
- e. Inconvenience or criticism of customers;
- f. Newspaper or other media publicity;
- g. Any action taken or contemplated by local, state, or federal law enforcement officials;
- h. Whether or not postal employees are involved and, if so, whether on or off duty;
- i. Whether or not postal employee organizations are involved; and
- j. If there is picketing, the exact messages on the picket signs.

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

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

223.3 Counterfeit Material

223.31 Counterfeit 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 followup statement of facts.

223.32 Counterfeit Money Orders and Other Items. Report by telephone any knowledge of counterfeit money orders, mail locks, badges, identification cards, postmarking stamps, or postage meter impressions; and submit the counterfeit, if available, by registered mail or hand deliver.

223.4 Hazardous Materials; Poison; Poisonous Animals Insects, or Reptiles Attempt to contain and isolate the hazardous or poisonous article and evacuate the immediate area if necessary. Report immediately by telephone if the situation presents a threat to life or property.

223.5 Suspected Narcotics Hold mail, report immediately, and await disposition instructions.

224 Serious Offenses Reported by Memorandum

224.1 Nonmailable Matter (See *Domestic Mail Manual* (DMM) 123 and 124.)

224.11 Intoxicating Liquors. Withdraw from the mail and await disposition instructions.

224.12 Obscene and Indecent Matter. Submit complaints with a statement of facts.

224.13 Subversive Matter. Submit complaints with a statement of facts.

224.14 Concealable Firearms. Withdraw concealed firearms mailed contrary to DMM 124.4, pending instructions from the postal inspector-in-charge.

224.15 Matter Promoting Animal-Fighting Ventures. Submit complaints with a statement of facts.

224.16 Matter Inciting to Violence

224.2 Lottery Activity Involving the Mails (See DMM 123.) 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 such lotteries are authorized by state law.

224.3 Procedural Irregularities

- a. COD irregularities.
- b. Illegal transportation of letters in violation of the Private Express Statutes. (See DMM 112.)
- 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

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

224.5 Fraud, Forgery, Impersonation

- a. Fraud, including fraud in postal contracts, and employee conflict of interest. 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 report.
- b. Forgery or falsification of postal records or securities.
- 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.

225 Other

- 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.
- e. Routine loss or offense. See Exhibit 225 for instructions on reporting these.

226 Robberies

226.1 Preventive Measures

- 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. Doors leading from post office box or service lobbies to workroom areas should be locked. Other entrances to the workroom area are to be locked when not in use.
- d. Safes, vaults, and fixed credit drawers and containers are to be locked when not in use.
- e. Where holdup alarms or cameras are installed, employees are to be trained in the proper methods of activating the equipment. Holdup alarms or cameras are to be maintained and tested according to instructions furnished with the equipment.
- f. Do not discuss money or valuable mail on hand or their transportation methods with anyone except authorized postal officials who have a need to know. Notify postal inspectors if anyone makes

unusual inquiries about such items or about post office security.

- g. Do not retain excessive cash. 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, *Financial Handbook for Post Offices*. If at all possible, do not count or otherwise display cash in public view.
- h. Do not respond to an "emergency" request to open the post office without requesting the presence of police, a postal inspector, or a postal police officer at the post office.
- i. Do not respond to a call from the police to come to your office after hours before calling back and verifying the call with the police dispatcher.
- j. Mail must not be left 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 are after cash or jewelry and often only an employee's personal cash or property is stolen. Employees should avoid wearing expensive jewelry and carry only the minimum necessary personal funds in order to reduce personal loss if robbed.

226.2 Actions During a Robbery

226.21 The first concern of the USPS is the safety of its employees. Remain calm. The slightest provocation may jeopardize your safety.

226.22 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 followup investigation by the postal inspectors and/or local police.

226.23 Do not attempt to disarm an armed robber.

226.24 Observe the robbers and notice details which will later assist in providing a detailed description:

- a. To determine race, sex, age, height, weight, hair, eyes, complexion, and appearance, make comparisons between the robber(s) and yourself or people you know;
- b. Remember peculiarities such as tattoos, scars, and prominent features.
- c. Remember the type and color of clothing worn by the robber(s) (often clothing worn by a robber may be recovered and used as evidence); and whether or not gloves are worn.
- d. Remember the size, type, and color of weapons used by the robber(s), and how many of the robber(s) were armed.

226.25 Make a mental note of everything said by the robber(s), especially comments that are threatening in nature. These comments may be useful in court proceedings.

226.26 Notice if the robber(s) touch anything--the counterline, door, postal equipment, or other items.

226.27 If possible without endangering your safety, observe the direction taken when the robber(s) leave and obtain the description and license tag number(s) of any vehicle(s) used. Remember the color, year, make, body, and license number and state, as well as any body damage.

Loss or Offense	Action Required
Domestic Mail--loss or rifling (including stamp stock and printed envelopes shipped by ordinary mail)	Submit Form 1510, <i>Mail Loss/Rifling</i> .
Military mail--loss or rifling	Submit Form 1510.
Parcels--rifling	Submit Form 673, <i>Report of Rifled Parcel</i> .
Customer complaints of mail theft after delivery to mail receptacles	Submit Form 2016, <i>Mail Theft and Vandalism Complaint</i> .
	or
Theft damage (including fire) or destruction of mail receptacles and collection/relay	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	International Mail Manual, Chapter 9
International Mail--mistreatment	See International Mail Manual, Chapter 9
Accountability discrepancy--shortage or overage of \$100 or more in official accountability of employee or contractor handling USPS funds or accountable paper	Submit Form 571, <i>Discrepancy of \$100 or More in Financial Responsibility</i> . Show results of 6 previous checks of employee's accountability.
Accident claims	See ASM 253.

226.3 Actions After a Robbery

226.31 Notification. 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 and description of any vehicle(s) used, the number of occupants per vehicle, and the direction taken after the robbery. *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 Protection of Evidence. Protect anything that was touched or might have been touched by the robber(s). Do not touch the items yourself and prevent others from doing so.

226.34 Witnesses' Descriptions. Write down your recollection of the crime and a description of the robber(s). Use Form 5302, *Description Sheet*, to assist in preparing your description of the robber(s). All employees who witnessed the holdup should be furnished these forms and begin completing them immediately after the robber(s) leave.

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

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

- a. Where possible, do not obstruct the view of building windows with overgrown shrubbery or of building entrances with 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 which would make it easier for burglars or vandals to gain entry.

- d. Secure all possible points of entry to offices (such as roof openings, air conditioning vents, skylights, or roof access doors).
- e. Look for such items as ladders, poles, trees, fences, dumpsters, and vehicles which a potential burglar might use to gain access to the roof.
- f. Install solid core exterior or metal doors. (A good solid door is a primary defense against a burglar; doors with thin wooden or glass panels do not provide adequate protection).
- g. If exterior doors have openings of 1 square foot or more, cover the openings with bars or grating.
- h. Ensure that exterior door hinges are not exposed when the doors are closed. (Burglars have entered post offices by removing the hinge pins. A simple but effective means of protecting hinges on doors which 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 an MVS or contract driver delivers mail after closing, the padlock must be placed on the outside).
- k. Do not padlock designated fire exits. (Any device or alarm installed to restrict the improper use of a means of egress must be designated and installed so it cannot, even in case of failure, impede or prevent emergency egress. Consult the life safety code or your safety officer for proper use of locks on exterior doors.)
- l. Do not leave keys for retail cabinets or alarm controls 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 with grating or wire mesh grills windows that are not visible from the street or are in an office that is susceptible to attack, and install interior locks on operable windows in your post office.
- 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 your office is equipped with an alarm system, make sure it is used properly (your alarm system is of no value to anyone if it is not 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, and fireproof safes.

- q.* If possible, detach wheels from security equipment so it 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. (Some burglars have been successful because they found the combinations to post office safes 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 safeguard 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 a Burglary

227.21 If you arrive at work and discover your post office has been burglarized:

- a.* Do not go in;
- b.* Immediately telephone local police and postal inspectors;
- c.* Stay a safe distance away and observe points of entry;
- d.* Only observe and write down any descriptions, license numbers, or other information; and
- e.* Wait for police and/or postal inspectors to arrive.

227.22 If a burglary is not obvious until after you enter the post office:

- a.* Immediately telephone local police and postal inspectors;

- b.* Protect the crime scene;
- c.* Lock doors if necessary; and
- d.* Do not touch anything and keep others away from the area.

228 Assaults

228.1 Assaults on Employees and Customers

228.11 The Inspection Service investigates employment-related assaults and threats against postal employees and similar acts against postal customers occurring on postal premises, or committed by postal employees while on duty or because of the employee's official employment.

228.12 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 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 Promptly notify local police and the inspector-in-charge or local inspector by telephone when an employee or customer is physically assaulted or threatened with death or bodily harm. The telephone report to the Inspection Service should be followed by a memorandum or other written report concerning the assault.



230 Withdrawal of Mail Privileges

231 False Representation and Lottery Orders

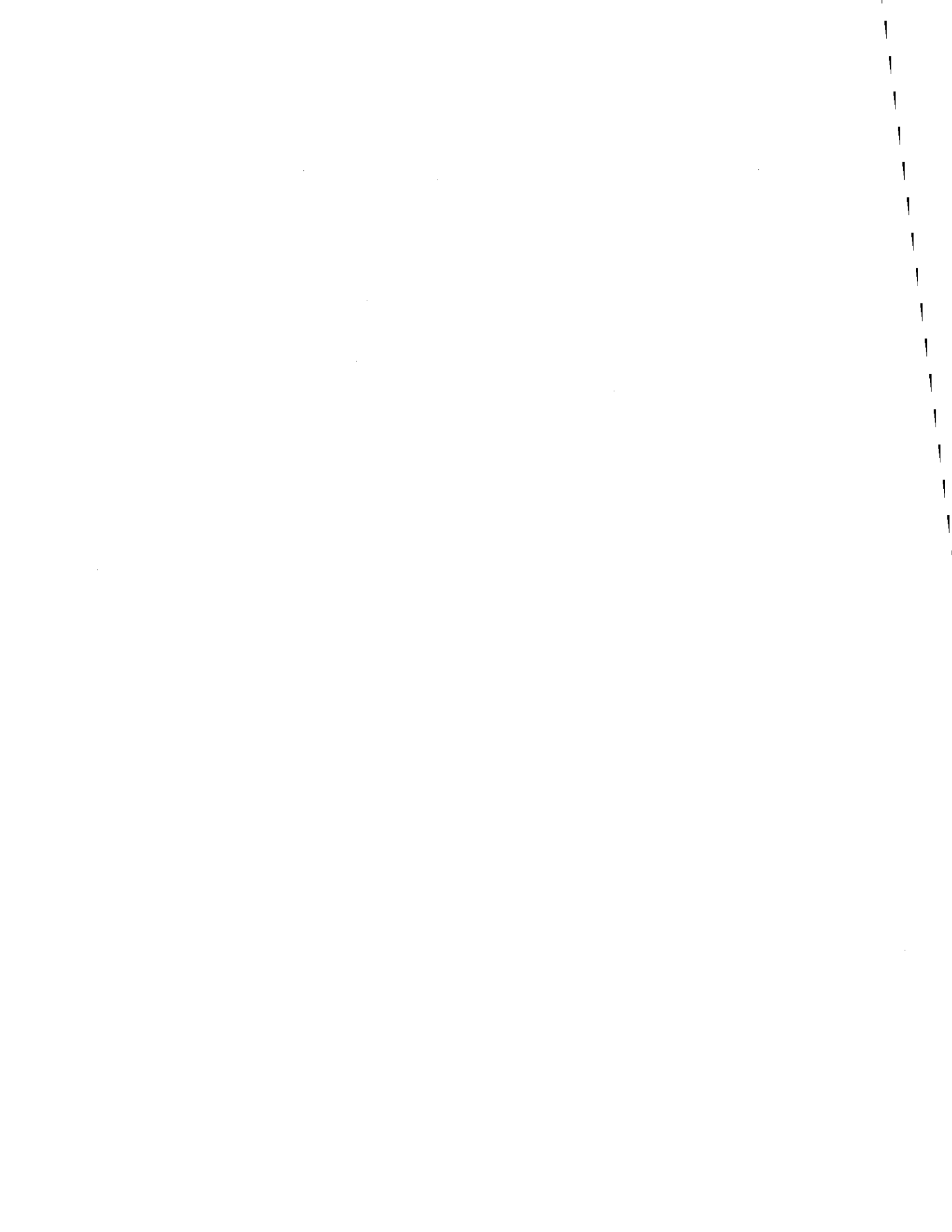
231.1 Issuance By law (39 U.S.C. 3005), acting upon satisfactory evidence, the Judicial Officer may issue a mail-stop order against anyone seeking mailed remittance of money or property by means of a false representation or lottery scheme. Such orders provide for return of the mail and refund to senders 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 such 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 (a) 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 (b) 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*.



240 Audits

241 Responsibility

241.1 Chief Postal Inspector The responsibility for internal auditing in the Postal Service is assigned to the Inspection Service. The Chief Postal Inspector, through the Assistant Chief Inspector, Audit, directs the development of policies, plans, and procedures governing all internal audits and related service investigations. The implementation of these activities has, for the most part, been decentralized to the five Regional Chief Inspectors.

241.2 Role and Function Internal auditing is a staff rather than a line function. Audit personnel do not exercise authority over persons in the organizations audited. Audit findings and recommendations are advisory, while line managers retain the decision-making responsibilities for implementing recommendations made in audit reports. Auditing plays an important role as a management tool for evaluating whether operations are executed economically, efficiently, and effectively. While internal audit has the responsibility to evaluate operations, management cannot and should not completely rely on inspectors to detect problems and recommend solutions. Managers, as part of their management responsibility, must routinely assess their own operations to assure themselves and their superiors that operations are well controlled and meet high expectations. If problems are found by the inspectors or by management, it is management's responsibility to promptly and properly initiate corrective action.

242 Background

242.1 Authority The authority for internal auditing within the Postal Service is stated in 39 U.S.C. section 2008. Furthermore, the 1988 amendment to the 1978 Inspector General legislation (Public Law 100-504) enacted in October 1988, included the USPS as a "Federal Entity" under the Act. The Chief Postal Inspector is designated as the Inspector General (IG) of the Postal Service. Within these legal requirements, it is the policy of the Postal Service to maintain a single audit unit, providing constructive and protective service to management. The audit program provides independent examinations and evaluations of postal activities at all levels of organization.

242.2 Standards The *Standards for Audits of Governmental Organizations, Programs, Activities, and Functions*, issued by the Comptroller General of the United States, will govern the conduct of internal audits. These standards provide for full scope reviews to include:

- a. Financial and compliance matters;
- b. Economy and efficiency of operations; and
- c. Program planning and reporting.

243 Mission

243.1 Objective The objectives of internal audit are to:

- a. Provide an independent check on the adequacy and effectiveness of systems of control;
- b. Determine compliance with Postal Service policies and procedures and public laws;
- c. Verify the existence of assets and assure that proper safeguards are maintained to detect failures which may lead to fraud, waste, and abuse.
- d. Audit the reliability and operation of accounting and reporting systems.
- e. Review operations for economy and efficiency.
- f. Maintain a tracking system to monitor management's response to audit recommendations.

243.2 Cooperation Postal officials and employees are expected to extend maximum assistance to inspectors so that audit objectives are achieved.

243.3 Liaison Outside organizations such as the General Accounting Office and the external auditors hired by the Board of Governors also provide selective reviews of Postal Service activities. The Inspection Service will maintain liaison with these and other external organizations providing audit attention.

244 Audit Reports

244.1 Definition The audit report is a medium through which audit findings, conclusions, and recommendations are communicated to management. Each manager must be responsive to all recommendations made in these reports, and it is Postal Service policy to prepare a written response to audit reports when requested.

244.2 Distribution of Reports

244.21 Headquarters Level

244.211 The Chief Postal Inspector transmits: (a) Regional reports of Headquarters interest, and (b) those reports containing recommendations for Headquarters action, to the appropriate Headquarters Department. Copies of audit reports directed to field management may be provided to officials at Headquarters who have an interest in the activity or function audited.

244.212 For tracking purposes, a copy of all final audit reports that are directed to Headquarters management will be furnished by the Chief Postal Inspector to the Deputy Postmaster General and to the official designated by the SAPMG or department head.

244.22 Region, Division, and MSC Levels. Audit reports are addressed to the next higher level of management over the installation or activity audited. Copies of the reports are also sent to the managers of the facilities or entities audited. This distribution is made by the regional chief inspector or the inspector-in-charge.

244.23 Special Reports. Special audit reports and reports on studies made at the request of Headquarters or field officials are distributed as required.

244.3 Exit Conference Postal Inspectors conduct exit conferences at the conclusion of an audit with the management level responsible for the entity being audited. This conference is held to discuss the findings and recommendations and obtain management's responses to them.

244.4 Management Response to Reports

244.41 Headquarters Level

244.411 The Chief Postal Inspector transmits draft copies of audit reports to the appropriate Headquarters official with a request to establish an exit conference date. When the report is received, the Headquarters official contacts the program manager responsible for the audit in the office of the Chief Postal Inspector to arrange for the exit conference. If possible, this conference should be held no later than 10 days from the date the draft report was submitted to the Headquarters official.

244.412 At the exit conference, postal inspectors will discuss the findings and recommendations with the appropriate Headquarters managers. These Headquarters officials will, within 20 days, submit to the Chief Postal Inspector written responses on the recommendations.

244.413 To assure compliance with Inspector General Legislation, responses should indicate whether you agree with the recommendations and include (a) who will accomplish the corrective action, (2) what specifically will be done, and (3) when the corrective action will be implemented.

244.42 Region, Division, and MSC Levels

244.421 At the conclusion of audits of post offices and facilities reporting to division managers, postal inspectors will discuss the findings and recommendations with the MSC manager or other facility head during an exit conference. This official's comments are then included in the final report that is sent to the division manager by the inspector-in-charge.

244.422 At the conclusion of regional operational audits and audits of post offices or facilities reporting to a region, postal inspectors will discuss the findings and recommendations with the appropriate post office, facility, or regional managers at an exit conference. The comments of these officials then will be included in the final report and sent to the RPMG by the Regional Chief Inspector.

244.423 The division manager or RPMG reviews the final report and submits a written response (if requested by the Inspection Service) within 30 days. The reply should include management's response to: (a) each of the recommendations and (b) actions that have been or will be taken. When recommendations are accepted but action to implement them is deferred, the reason for delay should be included in the reply. The reply should also contain an examination

of any special assistance needed in carrying out the recommendation.

244.424 Each RPMG establishes procedures to ensure a prompt response to audit reports. If replies are not received within the prescribed time limit, the Regional Chief Inspector initiates follow-up action with the RPMG.

245 Implementation of Audit Recommendations

245.1 Headquarters Level

245.11 Deputy Postmaster General and Associate Postmaster General. The DPMG coordinates all follow-up reviews on the implementation of audit recommendations made to groups for which the DPMG is responsible. In addition, the DPMG will also coordinate follow-up reviews of those groups answering to the PMG. The APMG will coordinate all follow-up reviews for those groups for which the APMG is responsible. The Inspection Service will review implementation of recommendations and generate exception reports.

245.12 Senior Assistant Postmaster General. Each SAPMG designates a person responsible for tracking the implementation of audit recommendations for all departments within that group. Within 10 days after the end of a postal quarter, the SAPMG's designee furnishes a brief summary report to the DPMG reflecting the status of implementing the audit recommendations.

245.13 Units Reporting Directly to the Postmaster General. Each department head who reports directly to the PMG designates a person responsible for tracking the implementing of audit recommendations within that department. The designee furnishes the results to the DPMG within 10 working days after the end of a postal quarter.

245.14 Departments. Department heads will ensure that audit recommendations are carried out as soon as practical. They must establish a target date for full implementation and monitor follow-up action. They are responsible for documenting the status of implementation for subsequent review by the SAPMG's designee, if applicable, and the Inspection Service.

245.2 Regional Level

245.21 Regional Postmaster General. The RPMG is responsible for overall control of the follow-up on implementing audit recommendations within the region. Each RPMG designates a position responsible for reviewing the status reports on the implementation of audit recommendations directed to the region, division, and MSC levels. The RPMG's designee: (a) evaluates the action taken by regional directors and division managers to ensure implementation of audit recommendations and (b) personally advises the RPMG of the results.

245.22 Regional Directors. Regional directors monitor the implementation of recommendations directed to their functional area of responsibility and document any action taken. They report to the RPMG's designee within 10 days after the end of a postal quarter on the status of implementing the recommendations, including the reason any implementation is behind targeted dates.

245.23 Division Manager. The Inspection Service furnishes to the RPMG's designee a copy of all final audit reports directed to the division manager when the host facility for that division is being audited.

245.3 Division Level

245.31 Division Review. Division managers review each audit report on facilities within their jurisdiction and (a) provide a written response within 30 days of the report's receipt, when requested by the Inspection Service; (b) monitor the implementation of recommendations at MSCs and other facilities reporting to the division office; (c) require quarterly status reports from the installation head of the audited facility to ensure action has been taken to implement audit findings and recommendations; and (d) ascertain that corresponding service and budget objectives have been achieved. The final status report submitted must clearly demonstrate that audit findings have been implemented and reported savings realized.

245.32 Status Report. Division managers must report to the RPMG within 10 days following the end of the postal quarter regarding the steps taken to carry out the recommendations or the reasons for delay in implementation.

245.33 Inspection Service Audit Follow-up Status Requests.

245.331 The Inspection Service will request periodic (generally quarterly) status updates on the implementation of management action. This follow-up process is

a requirement under the Inspector General legislation and must be responded to.

245.332 The appropriate Headquarters, Regional or Divisional office responsible for implementation of corrective action must indicate the current status of management action, and identify any formalized plan to respond to audit recommendations.

245.333 Status requests will be directed to the Special Assistant to the Associate Postmaster General for audit recommendations directed to Headquarters groups, and to the Regional Postmaster General for audit recommendations directed to region and division offices.

246 Application of Audit Findings by Divisions and MSCs

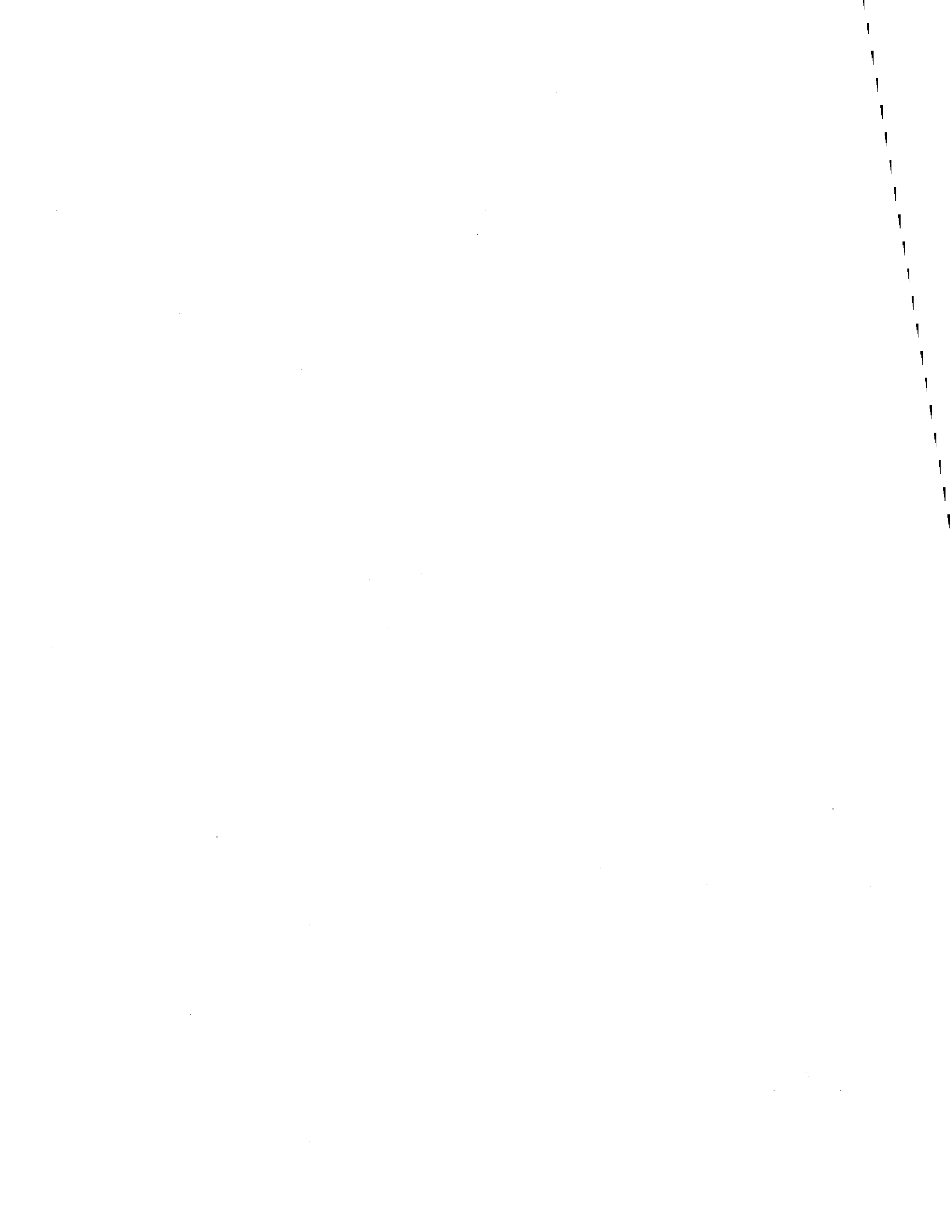
246.1 Division Manager Division managers will review audit reports bearing on matters within their division and semiannually summarize significant findings and recommendations for distribution to all MSC managers within their division.

246.2 MSC Manager

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

246.22 Within 30 days after receipt of the summary, each MSC manager reports the results of the self-review to the appropriate division manager. Where similar conditions are found to exist, the date corrective action was taken or is estimated to begin is included in the report. Improvements in service or reductions in cost should be documented.

246.23 When implementation depends on some other action occurring, such as training or acquisition of equipment, MSC managers must include target dates for each step of the implementation.



250 Tort Claims

251 Responsibilities

251.1 U.S. Postal Service

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

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

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

251.2 General Services Administration (GSA) GSA is responsible for investigating and settling tort claims for damages due to accidents at facilities under GSA control.

252 Investigation of Accidents

252.1 Accidents to Be Investigated Investigate both vehicular and non vehicular accidents of all types involving personal injury or property damage to private persons where the Postal Service or an employee is involved.

252.2 Responsibility for Investigation

252.21 Reference. Detailed instructions are in Handbook, M-19, *Accident Investigations-Tort Claims*.

252.22 Installation Head or Designee

252.221 Conduct prompt on-the-scene investigations of all accidents involving damage to private property or personal injury to private persons, in accordance with instructions in Handbook, M-19.

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

252.23 MSC Accident Investigator

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

252.232 Duties. The MSC accident investigator:

- a. Conducts both on-the-scene and followup investigations of all accidents within the city where the MSC is located involving damage to private property or personal injury to private parties.
- b. Serves as a consultant and adviser to associate office personnel designated in accordance with section 252.221 to investigate accidents.
- c. Trains associate office personnel and ensures their accident investigation proficiency.
- d. Ensures that all information, exhibits, and documentation pertaining to accidents involving personal injury to private persons or damage to private property in excess of \$1,000 are forwarded promptly for evaluation.
- e. When a claim is received, determines if any necessary follow-up action is required.
- f. Forwards the completed investigative file promptly to the adjudicating authority. (See 254.)
- g. Decides if personal assistance is necessary at the scene or if guidance to the local investigator will suffice, when notified of the accident.
- h. Promptly contacts the chief field counsel upon learning of an accident involving Inspection Service employees. (See 254.1.)

252.24 Accident Investigator and Claims Coordinator The Accident Investigator and Claims Coordinator (Occupational Code 0992-5002) plays a vital role in accident investigations and tort claims processing.

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

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

253 Preparing Reports and Claims

253.1 Postal Official in Charge

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

253.12 Forms Required

153.121 Form 2198. Submit the requested information on Form 2198, *Accident Report-Tort Claim*, with particular emphasis on your opinion as to the negligence of the postal employee involved; whether the bills or

estimates supporting the claim are accurate and represent a reasonable charge for the damage involved; and recommendation for action to be taken.

153.121 Standard Form 91. SF 91, *Operator's Report of Motor Vehicle Accident*, is carried in each government motor vehicle, privately owned government-operated motor vehicle, and by each employee using a bicycle or light vehicle. It 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 no claim will be filed. Vehicle operators must not give any statements, written or oral, at the scene of the accident, except information required by law to be furnished to other drivers or parties involved.

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

253.13 Standard Form (SF) 94. SF 94, *Statement of Witness*, is filled out by all available witnesses to an accident. Instruct vehicle operators and other employees to obtain the names and addresses of any persons who may have witnessed the accident. This form need not be filled out by a claimant.

253.2 Claims Procedures

253.21 General

253.211 Assistance. Any person who indicates in any way a desire to file a claim should be given a full explanation of claims procedures and an SF 95, *Claim for Damage, Injury, or Death*. When necessary, desirable, and considered in the best interest of the Postal Service, the person should be assisted in preparing the form and assembling evidence.

253.212 Restrictions. Postal Service personnel are prohibited from:

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

253.22 Administrative Claims

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

153.111 Insurance Information. Every claimant will state in writing, as part of a claim for property damage:

- a. Whether collision insurance is carried and, if so, the name and address of the insurance company, policy number, and type of coverage (full or deductible);

- b. Whether a claim has been filed with the insurance company;
- c. If a claim has been filed, the action the insurer has taken or proposes to take with reference to the claim; and
- d. Whether public liability and property damage coverage is carried by the claimant, and if so, the name of the insurance carrier.

153.113 Who May File

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

253.23 Processing Administrative Claims

153.131 General Instructions. Stamp or write the date, and sign the original and copies of any claim forms *immediately upon receipt*. Do not return any forms or papers received from a claimant or representative; copies may be provided.

253.231 Incomplete or Indefinite Claims

- a. A claim is incomplete -or indefinite if it does not provide all necessary information, such as if it:
 - (1) Lacks the answers to the questions on insurance as required by 253.222;
 - (2) Does not contain a demand in a specific amount;
 - (3) Is not properly signed; or
 - (4) Is deficient in some other way.
- b. Upon receipt of an incomplete or indefinite claim, furnish the claimant or representative a blank SF 95 and request that it be filled out completely.
- c. If a claim is not filed on an SF 95, but is a claim as defined in 253.221, furnish the claimant an SF 95 and request that it be filled out completely.
- d. If a reply to a request to complete an SF 95 is not received within 15 days, do not hold the investigative file, but forward it as directed in 254.3.
- e. If a reply is received that resolves the deficiency by a document other than SF 95, do not insist on the

completion of an SF 95, but forward the investigative file as soon as possible as directed in 254.3.

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

254 Processing Reports and Claims

254.1 Serious Accidents

254.11 Definition. Immediately notify the chief field counsel when:

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

254.12 Complete Report Still Required. This preliminary report is not a substitute for a complete investigation and the preparation of other required reports.

254.2 Field Division General Manager/Postmaster Authority to Pay Claims

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

254.22 Claims--Payment Not Authorized. The field division general manager/postmaster is not authorized to pay:

- a. Any claim arising out of the loss, miscarriage, or negligent transmission of letters or postal matter;
- b. Arty claim arising out of assault, battery, false imprisonment, false arrest, malicious prosecution, abuse of process, libel, slander, misrepresentation, deceit, or interference with contract rights;
- c. Any claim submitted by a federal agency;
- d. Any claim submitted by a federal employee; or

- e. Any claim arising out of an accident in which the postal employee involved received workers' compensation or continuation of pay. The above listed claims, which the field division general managers/postmasters are not authorized to pay, and all tort claims that are recommended for denial must be forwarded to the Chief Field General Counsel's office or the Postal Data Center (PDC), as indicated in 254.31, .32, and .33.

254.23 Multiple Claims. If more than one claim arises, or may arise, out of a single accident, the field division general manager/postmaster may pay each claim presented, provided none of the claims or anticipated claims exceeds the delegated authority of \$1,000.

254.24 Payment of Claims. Payment of claims by the MSC manager or manager/postmaster must be entered to AIC 597, Tort Claims--\$500 or Less (MSC only), in the accountbook. A summary report, together with all supporting documents and exhibits, should be retained to support the accountbook entry. (See Handbook M-19, *Accident Investigation--Tort Claims*.)

254.25 Advising Claimants. Prior to paying a claim in accordance with 254.31, .32, and .33, do not advise a claimant or a claimant's representative that the USPS accepts liability, or that the USPS will pay for any expenses incurred, such as rental of a replacement vehicle.

254.3 Processing Claims

254.31 Property Damage Claims Over \$5,000. When the claim of one individual, including a claim of an insurance company, is over \$5,000, submit reports and forms immediately to the Chief Field Counsel.

254.32 Personal injury Claims Over \$1,000. When the amount of the personal injury claim of an individual is over \$1,000, submit reports and forms immediately to the Chief Field Counsel.

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

CLAIMS SECTION
SAN MATEO PDC
UNITED STATES POSTAL SERVICE
2700 CAMPUS DR
SAN MATEO CA 94497-9153.

254.34 Narrative Report. A narrative report, as described in Handbook M-19, *Accident investigation--Tort Claims*, must be included when submitting a claim to the Chief Field Counsel.

254.35 Multiple Claims. When claims from one accident are received from several claimants, and any one of the claims received or anticipated is for more than \$1,000, forward all reports and forms relating to the same in accordance with 254.31, .32, and .33.

254.36 Accidents with No Claim Received. Do not forward any accident files until a claim is received.

254.37 Denial of Claims. The field division general manager/postmaster is not authorized to deny any tort claim.

254.38 Assistance. Contact the claims section of the San Mateo PDC, the Inspection Service accident consultant, or the Chief Field Counsel for any assistance needed.

254.4 Reports to GSA

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

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

254.5 Accidents in Leased Quarters Investigate all accidents involving private persons that occur in leased or rented facilities just as fully as those occurring on postal-owned premises. In accidents caused or alleged to be the result of structural defect, state if, when, and how notice of the defect and needed repairs was given by the USPS 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.

260 (Reserved)

270 Security

271 General Responsibilities

271.1 Chief Postal Inspector The Chief Postal Inspector is designated as the Security Officer for the U.S. Postal Service. This official is responsible for the issuance of instructions and regulations pertaining to security requirements within the Postal Service. Authority for implementation and management of a data security processing program is delegated to the APMG, Information Resource Management Department.

271.2 Installation Heads Installation heads retain the responsibility for assuring the safety of on-duty postal employees, as well as the security and integrity of the mails and of all postal property entrusted to them. This includes guarding against mail operation interruptions resulting from property loss or damage. The installation head or a designated supervisor shall act as security control officer for each facility.

271.3 Security Control Officers The security control officer is responsible for the general security of the facility, including stations and branches, in accordance with rules and regulations issued or concurred in by the Chief Postal Inspector, for the protection of mail, postal funds, records, and other property.

271.4 Authorizations The Inspection Service has the sole responsibility for evaluating the need for any security-related equipment and/or personnel. Expenditures, without Inspection Service evaluation, are prohibited for security-related closed circuit television (CCTV) systems, access-control systems, burglar and/or duress alarms, and/or fencing without Inspection Service evaluation. Employment and assignment of postal employees, on or off duty police (or other law enforcement officers), or guard services to provide security at postal facilities is prohibited, unless such employment or assignment is authorized in writing by the Chief Postal Inspector or his designee.

272 Personnel Security Clearances

272.1 General

272.11 Policy. It is the policy of the Postal Service to select and retain in any capacity only those qualified individuals whose employment is clearly consistent with the security interests of the Postal Service and the national security interests of the United States.

272.12 Responsibility. The Chief Postal Inspector or designee--referred to here as the Personnel Security Officer--is responsible for the issuance of security clearances.

272.13 Definitions

272.131 Security Clearance. *Security interests of the Postal Service* refers to those activities and matters which are 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 the efficiency or integrity of the Postal Service.

272.132 Categories of Security Clearances. There are two categories of security clearances in the Postal Service: (a) Nonsensitive and (b) Sensitive. Sensitive positions are designated as either National Security or Public Trust positions which are described below:

a. National Security Positions. The term "national security positions" as used in this subchapter means those positions that involve activities of the government that are concerned with protection of the nation from foreign aggression or espionage, including development of defense plans or policies, intelligence or counter intelligence activities, and related activities concerned with preservation of the military strength of the United States. Whenever a position requires use of, or access to, classified information, national security considerations are ordinarily present.

b. Public Trust Positions

1. Public trust positions are those which have the potential for action or inaction by their incumbents to affect the integrity, efficiency, and effectiveness of assigned government activities. The potential for adverse effect includes action or effectiveness of government, whether or not actual damage occurs.
2. Certain government activities by their nature can be adversely affected by the action or inaction of most employees associated with the activity in any responsible capacity. Such activities include law enforcement, public safety and health, collection of revenue, and regulation of business, industry or finance. Other government activities having the authority to commit government funds through grants, loans, loan guarantees, or contracts, are public trust positions. Finally, positions in any activity that 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 are positions of public trust. Included in this category are positions responsible for managing a significant portion of a program, such as a geographic district or area. Public trust positions require the completion of SF-85 P, *Questionnaire for Public Trust Positions*.

272.2 General Provisions

272.21 Methods. Security clearance for career selection or retention in the Postal Service is accomplished in two ways, depending upon the nature of the duties of the position, or the degree of access the incumbent has to certain physical areas, documents, or information.

272.22 Nonsensitive Clearance. When employees do not meet the criteria set forth in 272.3, they are processed under the provisions of Chapter 3 of Handbook EL-311, *Personnel Operations*. These individuals are the subject of checks conducted by the Inspection Service. The processing is initiated by the hiring personnel office within 3 days after the official appointment of the individual. Unless disqualifying information is disclosed by the Inspection Service checks, the individual remains in the position and is regarded as security cleared for access to such areas, documents, and information as required to accomplish the duties and fulfill the responsibilities of the position.

272.23 Sensitive Clearance. Employees who meet the criteria set forth in 272.3 must be granted a security clearance known as a *Sensitive* clearance, which will be granted only upon final completion of a favorable background investigation conducted by the Postal Inspection Service. The scope of the background investigation depends on whether the sensitive position is designated a Public Trust position or a National Security position.

272.24 Mail Transportation Contractor Clearance. Contractors and their employees to be engaged in the transport of mail matter, or to be allowed access to postal operational areas, are processed in accordance with procedures described in Chapter 12, Section 5 of Publication 41, *Procurement Manual*.

272.25 Service Contractor Clearance

172.151 Policy

- a. A security screening is required for contractors and their personnel under either of the following conditions:
 - (1) The proposed work will require that the contractor employees have physical access to such restricted areas in postal facilities as mail processing areas, tape libraries, computer terminal rooms, or computer rooms; or
 - (2) The proposed work will require that the contractor and/or employees have access, either onsite or via remote terminal, to any USPS computer for the purpose of system development or accessing sensitive systems and/or data.
- b. Contractors or their employees may be eligible for , or granted an equivalent to sensitive clearance based on their employment duration, access to sensitive material, etc. These will be acted upon on a case-by-case basis. Submission of completed Form 2015, *Determination of Need for Sensitive Clearance*, is required. The contracting officer and/or designated representative are responsible for notifying the site security officer when contractor employees are removed from a contract so that access to data and/or the facility can be revoked.
- c. The contracting officer and customer must ensure that security requirements are addressed in all contracts prepared. They must advise the contractor of the security screening time constraints and paperwork necessary for completion of the screening.

272.252 *Need for Security Screening*. The customer (organization requesting contract support) and contracting officer will analyze the contract scope of the work. If the conditions require contractor screening, the contracting officer will contact the Inspection Service and/or Regional Headquarters prior to issuance of the solicitation. The Inspection Service will verify the analysis.

171.153 Initiating Screening Request

- a. If it is agreed that security screening is needed, contractors or their employees who require security screenings must complete and submit Form 2025, *Contract Personnel Questionnaire*, and Form 2181, *Authorization and Release*, to the contracting officer representative (COR) or an appointed representative. The COR will submit the completed forms to the Regional Chief Inspector. The COR must also submit copies of the forms to the affected postal facility's security officer.
- b. Contractor personnel will receive a security screening within 30 working days after the Regional Inspection Service or Special Investigations Division receives completed Form 2025 and Form 2181.

272.254 Interim Arrangements

- a. Until a security screening is favorably completed, contractor personnel will be issued a temporary pass, USPS Item 0-8405-C (Temporary Badge). Temporary badges must be used until the screening is favorably completed. This applies to all contractors. Wearers of temporary badges must be escorted while working in sensitive areas.
- b. Data processing contractors may start work on an ADP contract if one of the following conditions is met:
 - (1) Contractor personnel may be allowed access to necessary files and data under the TRACE option (TRACE or any other audit-type options that record system events as they are initiated), if the option is supported by the resident internal computer security software, or with close supervision by the COR or designated representative; or
 - (2) The Regional Inspection Service or Special Investigations Division may perform an interim screening within 10 working days of receipt of the completed Form 2025 and Form 2181. The Regional Inspection Service or Special Investigations Division will also notify the COR by memorandum when the interim screening is completed. The TRACE or any other audit-type options that record system events as they are initiated, will remain enabled until the contract employee receives a final and favorable screening from the Inspection Service.

172.155 *Security Screening*. The Inspection Service will notify the contracting officer or representative by memorandum of the results of the screening. The representative will send copies to the site security officer. Upon notification of a favorable full screening, the contracting officer's representative will ensure that contractor personnel are issued a photo identification

badge (Form 5140, *Non Postal Service Contractor Employee*) overstamped in red "PDC ONLY" or other designation in the *assigned to* block. Access must be restricted to the primary area in which the contractor is working.

272.256 Unfavorable Screening. If the investigation is unfavorable, the Inspection Service will recommend in a memo to the contracting officer and site security officer that access be denied to contractor personnel. These employees will then be denied access to the facility. When contractor access to a computer is involved, the Inspection Service will also notify the Computer System Security Officer (CSSO), ADP Security Branch, IRM, and the Records Office. Contractor employees will be denied access to the computer and data.

272.3 Employees Requiring Sensitive Clearance

In most cases, Sensitive clearance will be considered only for those USPS employees or Officers who, by virtue of the duties of their position, have access to (a) sensitive information restricted to the highest levels of the federal government; (b) Inspection Service files, national security (classified) information, or sensitive information essential to Postal Service executive level decisionmaking. Such employees and Officers include:

- a. The Postmaster General, Deputy Postmaster General, Associate Postmaster General, Senior Assistant Postmasters General, General Counsel, Chief Postal Inspector, Assistant Postmasters General, Consumer Advocate, Judicial Officer, Comptroller, Treasurer, all Regional Postmasters General, and the Executive Assistant to the Postmaster General;
- b. The Confidential, Private, and Executive Secretaries and the Special Assistants to those positions listed in 272.3a;
- c. The Deputy General Counsel, Associate General Counsels, and Assistant General Counsels at Headquarters; the Chief Administrative Law Judge and all Administrative Law Judges; and the five Chief Field Counsels;
- d. Any employee required to have knowledge of and access to information, documents, or material classified TOP SECRET in accordance with Executive Order 12065;
- e. Any employee assigned duties requiring knowledge of the mission, or access to the Federal Emergency Management Agency's (FEMA) Western Virginia Operations Office (WVOO), or to FEMA emergency preparedness communications equipment or operational documents;
- f. All employees of the Postal Inspection Service;
- g. All postal data centers and IRM Headquarters directors, assistant directors, general managers, branch managers, systems security officers, Security control officers, and teleconcentrator site chiefs;
- h. The general managers of the Financial Planning Division, the Banking Division, and the Investment Division; the Banking Officer; and the Investment Officer at USPS Headquarters; and
- i. Any other employee who is able, by virtue of the duties of a position, to bring about a material

adverse effect upon the Postal Service or the national security. The Chief Postal Inspector or designee makes such determination, after review of Form 2015, *Determination of Need for Sensitive Clearance*, as presented by the appropriate security control officer. (*Note:* The fact that duties may include access to sensitive information does not in and of itself require an individual to have a Sensitive clearance.)

272.4 Hiring and Accession Requirements

272.41 Employees Requiring Sensitive Clearance. Individuals who will be required to have a Sensitive clearance are not to be entered on duty nor permitted to assume duties requiring Sensitive clearance until they have been granted either interim or final Sensitive clearance by the Chief Postal Inspector or Regional designee.

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

272.5 Security Control Officers

272.51 Appointment. The head of each Headquarters group and separate department, postal data center, regional office, and field division must appoint a security control officer.

272.52 Responsibilities

272.521 Ensure that the Inspection Service has granted either interim or final Sensitive clearance to all employees who require such clearance prior to allowing them access to the postal areas, documents, or information requiring the clearance.

272.522 Maintain an accurate, current roster of all employees holding Sensitive clearance within their areas of jurisdiction.

272.523 Obtain through liaison with the appropriate personnel office authority all required forms and data necessary for submission to the Postal Inspection Service when an applicant or transferee is being considered for access to sensitive areas, documents, or information.

272.524 Ensure that Sensitive clearances are updated every 5 years under procedures contained in 272.8.

272.525 Serve as the focal point for all matters dealing with security between his area of jurisdiction and the Postal Inspection Service.

272.526 Reports of security reviews conducted and actions taken must be retained for two years. They will be of specific audit interest.

272.6 Sensitive Security Clearance

272.61 Procedures

272.611 Determining Need for Sensitive Clearance. When a new position, or a change in scope of duties of an established position, raises a question as to the need for the incumbent to have Sensitive clearance, the appropriate security control officer will prepare Form 2015 as soon as possible. This form must be submitted in duplicate to the Chief Postal Inspector. The form will be returned to the security control officer, normally within 10 working days. If the form indicates that Sensitive clearance processing is approved, the security control officer then institutes the procedures in 272.612.

272.612 Initiating Sensitive Clearance. The security control officer, through liaison with the appropriate personnel office, initiates clearance processing of a Postal Service employee or applicant. The security control officer provides the following forms to the employee or applicant:

- a. Standard Form 85-P, *Questionnaire for Public Trust positions*.
- b. Standard Form 86, *Questionnaire for Sensitive Positions (for National Security)*.
- c. Standard Form 87, *Fingerprint Chart*.
- d. Form 2181, *Authorization and Release*.
- e. Notice 70, *Privacy Act Notice*.

272.613 Career USPS Employees Changing to a Sensitive Position. Security control officers are to submit Standard Form 85-P or 86 (see .612a and b) and Form 2013, *Sensitive Security Clearance Processing Request*, for career USPS employees changing to a sensitive position.

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

272.615 Granting Sensitive Clearance. Upon completion of a favorable full-field investigation, the Chief Postal Inspector or designee issues the final Sensitive clearance by endorsing and returning the original Form 2013 to the requesting security control officer. Concurrently, a copy of Form 2013 is endorsed and returned to the appropriate personnel office for inclusion in the subject's Official Personnel Folder. Final personnel processing for appointment or assignment of the subject to the position may then be initiated.

272.62 Denial or Revocation

272.621 Criteria. A Sensitive clearance may be denied or revoked by the Chief Postal Inspector based on information developed during either the initial investigation or an investigation to update a Sensitive clearance. The denial or revocation is based upon appraisal of circumstances surrounding serious incidents involv-

ing the employee or applicant, related to the following:

- a. Intentional falsification, deception, or fraud in connection with application or examination for appointment, or in connection with official inquiry;
- b. Refusal to furnish information to the Postal Service requested pursuant to applicable laws, rules, and regulations, which would aid in determination of qualification for Sensitive clearance
- c. Intentional, unauthorized disclosure or exposure of national security information, documents, or material classified under Executive Order 12065; or
- d. Any of the other suitability for service factors (disqualification reasons) in Handbook EL-311, section 313.2.

272.622 Administrative Procedure to Deny Sensitive Clearance. When the Chief Postal Inspector has determined that derogatory information developed during an investigation for Sensitive clearance falls under the criteria in 272.621, and that the circumstances surrounding the involvement of the subject in the incident do not mitigate the seriousness of the incident, an Investigative Memorandum setting forth in detail the nature of the disqualifying information will be sent to the appropriate operating unit official with a statement that the Sensitive clearance has been denied.

272.623 Reconsideration of Sensitive Clearance Denial. Employees or applicants may request, through the appointing or operating unit official, reconsideration of the denial and present any new information in their own behalf. The Chief Postal Inspector will consider any new evidence presented and advise the appointing or operating unit official of the decision.

272.624 Action of Operating Unit Official

- a. If the Chief Postal Inspector has denied a Sensitive clearance to an employee, the responsible official will take steps to:
 - (1) Remove the employee from the Postal Service under the currently applicable regulations of the Postal Service or Office of Personnel Management, or collective bargaining agreement, as appropriate; or
 - (2) Reassign the employee to duties that do not require Sensitive clearance; or
 - (3) Refer the case to the Postmaster General for a final determination.
- b. If the individual is to be retained in the Postal Service, the operating unit official furnishes the Chief Postal Inspector a written statement of the reasons for retention, with copy to the Records Officer.

272.7 Interim Sensitive Clearances

272.71 Applicants in Private Industry

272.711 Whenever there is a priority need to make a hiring commitment to an individual who will require a Sensitive clearance but is not currently employed by any agency or department of the U.S. Government, a

request for an interim Sensitive clearance may & made. The request is made by checking the appropriate block on Form 2013 and is accompanied by a memorandum signed by the operating unit head. The memorandum will contain full justification for the request and, along with the Form 2013, will be accompanied by all forms listed in 272.612. All forms must be submitted at least 10 working days before the anticipated date of appointment.

272.712 If approved, the Form 2013 is returned to the appropriate security control officer within 10 working days endorsed with the *Interim Sensitive Clearance Granted* block checked, dated, and signed. This endorsement allows the individual to start work. After granting the interim Sensitive clearance, the remainder of the investigation is instituted without further action required of the security control officer. The final Sensitive clearance is granted upon favorable completion of the investigation.

272.72 Federal Government Employees

272.721 An interim Sensitive clearance is normally granted within 10 working days after request and receipt of all forms listed in 272.612, to allow hiring of an individual currently employed by any agency or department of the federal government, whether or not the individual holds any security clearance with that agency or department. This also applies to individuals in the Postal Service not holding Sensitive clearance but being considered for assignment to duties requiring the clearance. The remainder of the investigation will be instituted without further action required on the part of the security control officer.

272.722 A final Sensitive clearance is granted upon favorable completion of the investigation.

272.8 Updating Sensitive Clearances

272.81 Five years after the granting of a Sensitive clearance, and at least once during each succeeding 5 years, or at the direction of the Chief Postal Inspector, each individual holding a Sensitive clearance is required to complete Form 2066, *Updated Personnel Security Questionnaire*, and Form 2181, *Authorization and Release*. The appropriate Security Control Officer will be notified by the Inspection Service when the updating is due on each clearance. The security control officer will assure that the employee completes the forms and that they are promptly returned to the Inspection Service.

272.82 Upon favorable completion of appropriate checks, a copy of Form 2066 will be endorsed and returned to the security control officer. A copy is also placed in the individual's Official Personnel Folder.

272.9 Exceptions Whenever the Postmaster General determines that an exception to the foregoing regulations would promote the efficiency of the Postal Service, or serve the best interests of the national security of the United States, the PMG may grant such an exception.

273 Facility Security

273.1 Protection and Access

273.11 Requirement

273.111 The Inspection Service establishes the criteria for security of personnel, both customers and employees, within the confines of the site and the security of mail and postal property (equipment) on or as it arrives or leaves the site.

273.112 To ensure that the Inspection Service has an opportunity to address the specific security requirements for every USPS-owned or-leased facility, it is mandatory that each inspector-in-charge be advised in writing immediately on implementation of a facility-planning concept. Coordination with the Inspection Service is required throughout the planning, design, and construction phases of every facility to ensure that the security requirements are met.

273.113 The Inspection Service will periodically conduct facility security surveys to determine compliance with security requirements. Formal reports with recommendations for necessary security enhancements are submitted to postal management.

273.12 Workroom Access

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

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

273.123 A firm control on policy governing the locking of doors is required. Positive supervision to ensure compliance is necessary to afford maximum protection of postal employees, funds, and property.

273.13 Employee Responsibilities

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

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

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

- a. Call for fire or police assistance;
- b. Use fire extinguishing equipment; and
- c. Assist with the injured.

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 Inspection Service, are responsible for perimeter and building security. Appropriate liaison between installation heads, security supervisors, and inspectors-in-charge is maintained to ensure full coverage of all proper areas of access control and security. Security force office space requirements are covered in Publication 37, *USPS Postal Facilities Planning Data and Equipment Layouts*.

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

273.2 Alarms and Sensors The 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. Detailed instructions pertaining to the alarm system installed at a facility will be furnished to the facility head by the inspector-in-charge. These instructions are considered "Restricted Information" and should be kept in a secure area. Problems regarding alarm systems should be brought to the attention of the inspector-in-charge.

273.3 Bullet Resistant Counterlines Bullet resistant security counterlines are installed in selected facilities for additional protection of postal employees. Requirements for bullet resistant screenlines are developed by the Inspection Service.

273.4 Locks and Keys

273.41 Responsibility. Postmasters are responsible for procuring all replacement locks and lock assemblies needed at their facilities, including Inspection Service locks.

273.42 Inspection Service Locks. The various locks used only for Inspection Service offices, lookout galleries, and evidence rooms are shown in Exhibit 273.42. These locks are stocked at the Somerville, NJ Materiel Distribution Center.

273.43 Inspection Service Keys

173.431 In buildings with an observation gallery, one O key is assigned to the postmaster or other official in charge, who is personally responsible for giving the key maximum protection at all times. Only the postmaster or a designated supervisor should admit cleaners or other authorized persons to the galleries.

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

273.433 Postmasters at facilities having inspectors' offices and observation galleries must order O keys and special J keys by memorandum, from the inspector-in-charge. If the order involves replacement of a defective key, return the 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.

273.44 USPS Locks

273.441 All exterior doors must be equipped with a deadbolt lock. The Federal Specification FF-H-106C Series 86 F lock is required for employee entrance and single (exterior) doors. The deadbolt is operated by key (from the outside) and by turning the lever from inside. When deadbolt is extended, turning the inside knob retracts both latch bolt and deadbolt simultaneously. The installation head of carrier service facilities located in high crime areas should consider installing a Series 86 type lock with the outside knob rigid at all times.

173.441 If a Series 86 F type 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 cipher key pad. At the close of business and when the building is vacated, the tubular deadbolt lock is activated to prevent employee access after hours. Install these locks in accordance with 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. Whatever combination of locking mechanisms is installed, it must not impede the orderly exit of people in the event of an emergency, even in complete darkness.

273.45 USPS Keys

173.451 *Postal Employees.* Postal personnel are issued only such keys as their duties require. Accountable deadbolt keys are furnished only to those postal employees who are required to open the office in the morning or close it at night. Management should review employee key requirements semi-annually.

173.451 *Nonpostal Occupants.* Nonpostal occupants may be furnished keys to the entrance doors of their offices, when necessary. They should 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 high-way contractors for exchange of mail in lobbies, vestibules, or lockers of post offices when those offices are not open. These keys must not permit access to workroom areas.

273.46 Key Accountability

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

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

273.463 *Unassigned Keys.* All unassigned keys are stored in a secure place, accessible only to the postmaster or a designated alternate.

273.47 Lost or Stolen Keys

273.471 If a key is lost or stolen, report the situation to the inspector-in-charge immediately, indicating whether the key itself, key case, or chain bore any identifying marks. If the key is to an outside door, immediately exchange the lock cylinder on the entrance door with one from the interior of the building which is not operable by the building master key.

273.472 Also report lost or stolen regulation *lookout*, *O*, and *J* keys to the inspector-in-charge.

273.48 *Master Keys.* Only postmasters, installation heads, and specifically authorized officials may carry a master key on their persons. Such officials are limited to the superintendent of postal operations or operations director. At installations having a USPS security force, one or more master keys are issued to the ranking security supervisor for use by security officers 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

Item	Description	Federal Spec. Type	Use
912-8	Cylindrical (key-in-knob). Complete kit available in dull stainless steel finish only	161	In newly constructed buildings, install on corridors opening directly into inspector's private offices and on evidence storage room doors. Also use to replace defective cylindrical locks on such doors
912-C	Cylindrical (key-in-knob). Complete kit available in dull stainless steel finish only. Operable by special J key used by cleaners.	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 inter connecting doors from reception area, install on corridor entrance door of private offices to enable cleaners to enter with special J key.
912-0	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 or 912-0 locks on such doors.
931	Nightlatch type, surface mounted. Complete kit available only with brass finish cylinder.		Use only as replacement lock for defective locks of same type (generally located on break-out doors.)
931-A	Threaded cylinder only (mortise type). Available only in brass finish.	86	Use as replacement cylinder for defective locks of 86 Series type on observation gallery doors and inspectors' private office doors. (See also item 912-B.)
931-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.
Special 91	Threaded cylinder only (mortise type). Available only in brass. Operable by special J key used by cleaners.	86	Use as replacement cylinder for defective locks of same type on inspectors' office doors.

Exhibit 273.42, Inspection Service Locks

recalled. Master keying is not permitted for stamped envelope rooms or other locations requiring individual accountability of contents.

273.5 Security Containers, Safes, and Vaults

273.51 Security Containers and Safe Equipment

273.511 Security containers (items 293 through 299) are furnished to post offices in CAG A through K and their stations and branches when needs are established by the Inspection Service. Other postal units, including CAG L post offices located 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 When requisitioning items 293 through 299, equipment selected 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 0-911) or be furnished a separate locked compartment in the security container.

273.513 When the value of office accountability and registered mail regularly exceeds \$25,000 and neither security containers, fireproof safes, nor vaults have been provided for overnight storage, contact the inspector-in-charge.

273.52 Vault Equipment

273.521 The use of vaults in lieu of security containers will be considered based on the volume of security storage needed at the facility. Generally, facilities with 5 or more service counter positions requiring bulk storage of accountable will require a vault.

273.522 Vaults built to USPS Standard 13-80-1 provide better protection than other safekeeping equipment. GSA Class 5 vault doors are provided for newly constructed vaults or as replacements for defective or damaged vault doors.

273.523 Modular vaults meeting UL Standard 608 may be substituted for vaults built to other USPS standards.

273.524 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 For storing cash, postage stamps, and food coupons in vaults, use security containers, chests, or fireproof safes inside the vault to the extent equipment is available and interior space of vault is sufficient. Otherwise, use items 222 and/or 223 in steel shelving.

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

273.53 Requisitions

273.531 Requisition all safe, security container, and vault equipment on Form 7381. *Requisition for Sup-*

plies, Services, or Equipment. Justification for equipment must accompany the requisition.

273.532 If standard cash drawers are in use, state the number in use and the number that can be stored in existing equipment.

273.533 Requisitions for items 220, 221, and/or 223 must show that a USPS standard vault is available and that the equipment will be used in it.

273.534 In leased or rented quarters or mobile post offices, it must be determined that the floor will support at least 1,300 pounds, and this fact must be stated on Form 7381.

274 Mail Security

For instructions regarding mail security as it relates to unauthorized opening, inspection, tampering, or delay of mail, see DMM IIS.

275 Physical ADP Security

275.1 General For instructions regarding ADP physical security, see Handbook AS-805, *ADP Security*, Chapter 3.

275.2 Contingency Planning

275.21 General. All contingency planning must be in accordance with the unique needs of the organization using ADP equipment. Contingency planning should include reasonable consideration of the principles that follow.

275.22 Backup Principles

- a. If economically 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. Backup installations should not be subject to the same hazards (natural, man-made, or work stoppage) as the data processing facility.
- d. Locate offsite storage for backup programs and data sets in a separate, preferably postal-owned building 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 offsite storage facility.

275.23 Contingency Plans. All contingency plans, whether for natural disasters, man-made hazards, or work stoppages, must:

- 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*); and
- 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 Inspection Service, 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 contained in this section and any other current data protection guidelines.

276 Firearms

276.1 Issuance The issuance of service weapons and firearms permits is controlled by the Chief Postal Inspector, and is limited to inspectors and postal police officers.

276.2 Violation Firearms on postal property, other than those carried by authorized Inspection Service personnel and recognized law enforcement officers or those legally mailed, are in violation of the rules and regulations for conduct on postal property. (See POM 221.658, *Poster 7, Conduct on Postal Property*, and Notice 58, *Possession of Firearms and Other Dangerous Weapons on Postal Property is Prohibited by Law.*)

277 Postal Service Identification

277.1 Purpose Identification is issued for security control of access to postal premises and operations and to identify individuals as employees of the U.S. Postal Service. The Inspection Service provides guidelines for all USPS identification programs.

277.2 Types of Accredited Identification

277.21 Headquarters Only

277.211 Top Officials. The following types of identification are controlled exclusively by Headquarters, Office of Criminal Investigations, and are restricted to use by top postal management and distinguished official nonpostal visitors:

- a. *Board of Governors.* A special white photoidentification card issued to members of the Board of Governors over the signature of the Chairman, Board of Governors, U.S. Postal Service.
- b. *Form 128-B, Identification Card (PMG), Officers.* A special green photoidentification card issued over the signature of the Postmaster General to officers of the Postal Service such as Deputy Postmaster General, Senior Assistant Postmasters General, As-

sistant Postmasters General, and Regional Postmasters General.

- c. *Special Identification Card.* A special white identification card, with expiration date, issued over the signature of the Chief Postal Inspector and controlled exclusively by Headquarters, Office of Criminal Investigations. This card is issued to official nonpostal visitors to postal installations, such as members of Congress and Senate subcommittee members.

277.212 Form 2041, USPS Building Pass--Headquarters. A photoidentification building pass for National Headquarters employees, with expiration date, issued and controlled by the Administration Group, Office of Headquarters Personnel.

277.22 Headquarters and Field

277.221 Form 128, Travel and Admittance Identification Credential Card (blue), Executives and Employees. This blue and white photoidentification card is issued over the signature of the Chief Postal Inspector or Regional Chief Postal Inspector to executives and employees of the Postal Service required to make frequent visits to postal field installations.

277.222 Form 2041-A, Headquarters Building Pass--Tenant. This white photoidentification card is issued over the signature of the postmaster or other installation head to nonpostal occupant employees and tenants in postal installations. The holder's employer's name is entered on the face of the identification card. This identification is not honored at any Postal Service facility other than where issued.

277.213 Form 1823, EEO Counselor ID Card. This blue identification card is issued over the signature of the Assistant Postmaster General for Employee Relations, Field Division General Manager/Postmaster, or the Regional Chief Postal Inspector; to designated EEO counselors, EEO Counselors/Investigators or EEO Investigators.

277.23 Field Only

277.231 Form 1375, Employee Identification Card. This blue identification card is issued over the signature of the postmaster or other installation head to employees at postal facilities where photoidentification (Form 4098) is not in effect.

277.232 Form 1375-P, Postmaster or Sectional Center Manager/Postmaster, or Official Identification Credentials. This green photoidentification card is issued by the authority of the field division general manager/postmaster, to all management sectional center/postmasters, and 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. Divisions/MSCs are responsible for:

- a. Using the most expeditious method for obtaining photos and signatures of postmasters, taking into consideration the possibility of: securing photos and signatures at scheduled postmaster meetings using USPS camera/laminating equipment available at MSCs; sending USPS camera/laminating

equipment and qualified personnel to the field for photos and signatures or, when alternatives are not feasible, using the imprest fund to commercially procure a photo, sending the completed Form 1375-P with photo and signature to the Division/MS for laminating and return to the individual postmaster. (Photos must not be larger than 1-118 x 1-118 inches.)

- b. Entering social security numbers in appropriate blocks.
- c. Securing photographs and signatures to the forms and completing lamination of the credentials.
- d. Issuing completed credentials to newly appointed postmasters.
- e. Entering full name, title, office, state, and ZIP Code above the signature of the field division general manager/postmaster.

277.233 Form 4098-F, Employee Identification. This is a photoidentification in use at larger postal facilities to provide visible identification of employees having a need to be on the workroom floor. Form 4098 is issued and controlled by the postmaster or other installation head to all employees at that facility, including letter carriers, special delivery messengers, and motor vehicle drivers. This identification must be displayed at all times while on duty inside the facility, in accordance with ASM 273.23. While on duty away from the facility, letter carriers, special delivery messengers, and MVS drivers should carry Form 4098 in their wallet, pocket, or purse, and display when identification is needed.

277.234 Item 0-8405-A, Temporary Employee Badge

- 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 which designate areas where the employee is not authorized access. The expiration date is the next date after date of anticipated termination of the employee. Upon expiration, the control card and the returned badge portion are destroyed.
- b. At larger installations, where regular employees are required to wear the photoidentification badge (Form 4098), 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 0-8405-B, Visitor Access Control Badge.

The format is similar to the temporary employee badge, and it is completed, issued, and destroyed in the same manner.

277.236 Item 0-8405-C, Contractor Access Control Badge. The format is similar to the temporary employee badge, and it is completed, issued, and destroyed in the same manner.

277.237 Electromechanical Access Control Identification. These 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 picture placed adjacent to a Postal Service emblem on the front side. The reverse side will have 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 upon 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 cards by the Post Office Administrative Officer 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, Non Postal Service Temporary Employee. An accountable yellow card with red lower-and-right border is issued to the above contract personnel for a period of 60 days while security screening is completed.

277.243 Form 5140, Non Postal Service Contractor Employee. An accountable white photoidentification card with red lower-and-right border is issued upon completion of a favorable security screening.

277.25 Inspection Service. Headquarters, Office of Criminal Investigations, controls the issuance of all postal inspector credentials and badges and special Inspection Service credentials.

277.3 Wearing Identification

277.31 Proper Wearing. All personnel assigned a Form 4098-F must wear it during their official duty hours. All photoidentifications are displayed on the outer garment, over the left breast. When this is not practicable, they are 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, both regular and temporary employees are required to display their identification to the officer upon entering the facility or grounds.

277.32 Unauthorized Wearing. Unauthorized possession of official identification or other insignia (USPS or imitations) is punishable by a fine of not more than \$250 or imprisonment of not more than 6 months, or both. An employee wearing identification prescribed for an employee in any other branch of the Postal Service is 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 USPS identification for activities in which the Postal Service participates or where identification with the USPS is beneficial. In all other situations, obtain specific authorization through administrative channels from the APMG, Communications Department.

277.4 Requisitioning

277.41 Items. The temporary employee, visitor access control, and contractor access control items (Items 0-8405-A, 0-8405-B, and 0-8405-C) are available from both area supply centers. (See Pub. 24, *Supply Catalog*.) Requisition of these items is restricted to postal data centers, the National Information Systems Development Center, and MSCs, 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 supply 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 SO.

277.42 Clips. A reusable clip (Item 8404e), used with the temporary employee visitor access control and contractor access control identification, is stocked as a cost item at the Eastern Area Supply Center. The clips are issued in packages of SO.

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

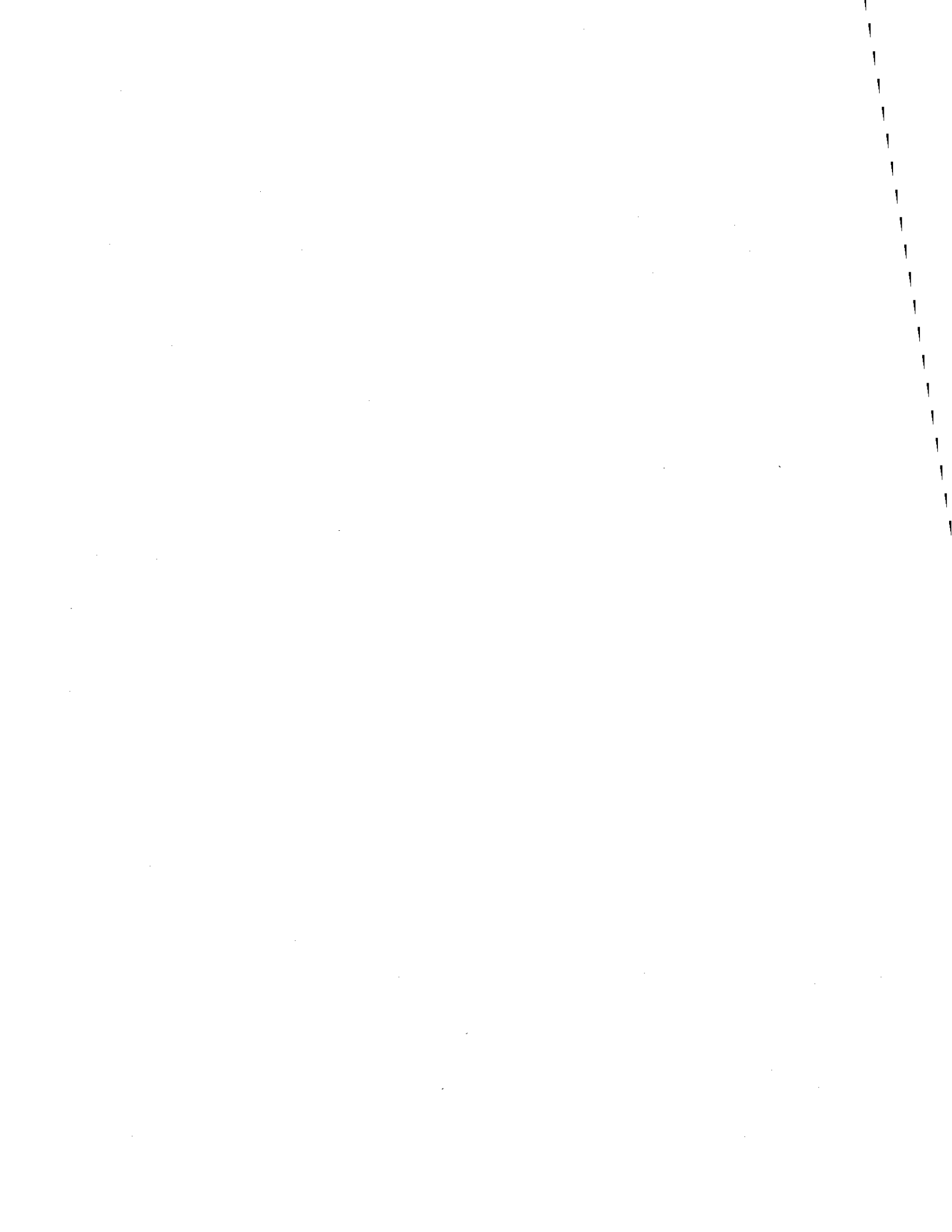
the identification badge issued. Electromechanical access control identification badges controlled by a computer must automatically record accesses. The computer must also be capable of off-loading the recorded accesses to a device for storage which may be retrieved at a later date. Mutilate and destroy 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 will 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. Charge \$1 for each replacement of a lost identification or for failure to return such upon separation. This does not apply to Christmas-temporary employees.



280 Emergency Preparedness

281 Contingency Planning

Each federal department and agency, including the U.S. 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 USPS 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 upon the entire Postal Service.

282 Authorities

The USPS derives authority for participating in emergency preparedness programs primarily from:

- a. Title 39, United States Code; and
- b. Executive Order 11490, which combines the assigned emergency functions of all federal agencies into one document. Parts 1, 6, and 30 of the Executive Order pertain to the Postal Service.

283 Planning Objectives and Guidance

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. Planning guidance is outlined in the *U.S. Postal Service Emergency Planning Manual*.

284 Planning Responsibilities

284.1 USPS Emergency Coordinator The Chief Postal Inspector is the Emergency Coordinator for the USPS. The Emergency Coordinator receives authority directly from the PMG (note 112.115), and is responsible for coordinating emergency planning and civil preparedness programs applicable to all elements of the Postal Service. The Civil Defense Coordinator assists in carrying out these assigned responsibilities.

284.2 Regional Emergency Coordinators The Chief Postal Inspector, as the Postal Service Emergency Coordinator, has designated the Regional Chief Inspectors as the regional emergency coordinators within their respective regions. The regional emergency coordinators have primary responsibility for general monitoring, reviewing, and reporting on emergency preparedness programs within the region. They may designate an alternate to assist in developing and maintaining current Inspection Service emergency preparedness plans, in accordance with guidelines furnished by Headquarters; and to work with the RPMG, or designated alternate, on emergency preparedness and readiness activities for which they are responsible.

284.3 Regional Postmasters General RPMGs are responsible for the development of plans for, and the direction and operation of, all emergency Postal Service and related activities in their respective regions, in accordance with guidelines issued by Headquarters.

The RPMG may designate a staff member as the regional emergency coordination officer, to directly supervise the overall emergency preparedness planning activities under the RPMG's jurisdiction. The emergency coordination officer will work closely with the Regional Chief Inspector (RCI) or designated alternate in the development of integrated plans to provide emergency Postal Service and related activities for the region during emergency situations.

284.4 Emergency Coordinating Committees An emergency Coordinating Committee is established at Headquarters (note HQ Circular 80-10, file VII-A-1), and consists of members (primary and alternate) from each operating element. The Headquarters Committee assists the USPS Emergency Coordinator, or others as appropriate, in developing and implementing emergency preparedness plans for USPS Headquarters and in the preparation of guidelines for use by the RCI and RPMG in developing regional preparedness plans. The USPS Emergency Coordinator, or designated alternate, chairs this committee, and the relationship to committee members is based on staff liaison and coordination. A similar committee is established in each region (note Management Instruction AS-280-80-6), and is chaired by the RCI or designated alternate. The regional emergency coordinating committee assists the RCI and RPMG, as appropriate, in developing and implementing emergency preparedness plans, consistent with guidelines issued by Headquarters, for the region.

284.5 Postmasters/Installation Heads

284.51 Carry out emergency preparedness assignments, programs, etc. as directed by regional officials.

284.52 Comply with and cooperate in community civil preparedness plans (including exercises) for evacuation, "take cover," and other survival measures prescribed for local populations.

284.53 Designate representatives for continuing liaison with local civil preparedness organizations where such activity will not interfere with normal duties.

284.54 Endeavor to serve (at their own option) as members on the staff of the local civil preparedness director, provided such service will not interfere with their primary postal responsibility in an emergency.

284.55 Authorize and encourage their employees to participate voluntarily in nonpostal preemergency training programs and exercises in cooperation with states and localities.

285 Contingency Plans

285.1 Domestic Emergencies

285.11 Examples

- a. Major storms, such as hurricanes, tornadoes, and floods.
- b. Strikes and work stoppages by postal employees.

- c. Strikes by nonpostal labor organizations.
- d. Civil disturbances.
- e. Bombings, bomb threats, and bomb scares.
- 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 the three parts (A, B, and C) of Publication 159, *Contingency Planning*. Also note section 519.22 of the ELM.

285.13 Developing Plans

285.131 Each management level throughout the Postal Service develops contingency plans, in accordance with guidelines in Pub. 159, for providing emergency postal services.

285.132 The plans must include procedures for providing as much advance information as possible on impending or actual emergency situations and their possible adverse impact on postal operations. This includes the dissemination of advance warnings, suggested precautionary protective measures, and assuring 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 assure continuity of postal operations during international emergencies are contained

in the *USPS Emergency Planning Manual (EPM)*. The EPM is the basic planning document for the entire Postal Service. It provides the emergency standby guidelines and specifies essential postattack functions of the Postal Service, with instructions and procedures. Also note section 519.22 of the ELM.

285.23 Developing Plans. Each management level throughout the Postal Service develops and maintains an emergency preparedness plan in accordance with RPMG guidelines and developed from instructions in the EPM.

285.3 ADP Contingency Plans For information regarding ADP contingency planning, see Handbook ADP-2, *Operating Standards*.

286 Emergency Lines of Succession

286.1 Postmaster General In case the Postmaster General is incapacitated as a result of an enemy attack or other national emergency, the following is the line of succession to perform the duties of the Office of the Postmaster General (note section 112.113):

- a. Deputy Postmaster General
- b. Associate Postmaster General
- c. SAPMG, Administrative Services
- d. SAPMG, Operations Support

286.2 Headquarters and Field Each Headquarters organizational unit establishes its own internal line of succession to provide for continuity under emergency conditions. RPMGs, Regional Chief Inspectors, PDC directors, 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 will act in their stead if they are incapacitated or absent in an emergency. Orders of succession are shown by position titles.

Chapter 3 Communications

310 Directives System

311 Definition

Directives are policy statements, regulations, guidelines, procedures, standards, reference works, and similar material issued by appropriate Postal Service authorities to direct or guide Headquarters, field organizations, or the public. Directives are codified for ease of reference, filing, revision, and rescission, and so that employees can readily locate and maintain required material.

312 Types

31Z.1 Headquarters Directives The standard Headquarters directives are listed in Exhibit 312. In emergency situations, Headquarters directives may be issued by Mailgram, or memo. If permanent instructions are issued by these means, they must be incorporated in a standard directive as soon as possible.

31Z.Z Regional Directives

312.21 Regional Issuances. Regional Issuances provide guidance to Regional offices and other postal installations. They usually contain operating instructions and may supplement directives issued by Headquarters. Regional Issuances supersede and replace Regional Office Instructions, Regional Office Administrative Memorandums, and Regional Circulars. Management Instruction (MI) AS-310-78-3, *Regional Directives*, contains preparation instructions. Regional Issuances must not violate prohibitions listed in 315.

312.22 Handbooks and Other Publications. Handbooks and publications must be coordinated, through the Regional Manager, Support Services, with the originator's functional counterpart at Headquarters.

312.23 Regional Office Internal Directives. The RPMG may establish a system of directives for use at the Regional office to disseminate information to the Regional office staff on operating procedures, office services, and other subjects of concern to the immediate organization.

312.24 Regional Bulletins. The RPMG establishes guidelines for issuance of Regional Bulletins.

31Z.3 Other Field Directives

312.31 Other field installations besides the Regions may issue their own directives to subordinates, provided they follow the instructions in 314.3 and 315.

312.32 Field installation directives must be dated and, where practical, organized by subject matter so that they can be filed behind or parallel to similar directives from Headquarters and the Regions.

312.33 Field installation directives that are no longer appropriate must be obsolete.

312.34 A historical file of all directives issued by the installation must be maintained so it will be possible (e.g., for legal reasons) to determine what instructions were in effect at any given time.

313 Responsibilities

313.1 Headquarters

313.11 The Document Control Division, Office of Information Services, IRM Department, manages the directives system.

313.12 Groups and Departments are responsible for ensuring that their directives are current, complete, and adequately cleared. Any directive that (a) will cause the implementation of any technological and mechanization changes; (b) directly relates to wages, hours, and other terms and conditions of employment; or (c) concerns any work and/or time standards or studies relating to any bargaining unit employees must be cleared through the Assistant Postmaster General, Labor Relations Department.

313.Z Regions

313.21 The Regional Manager, Support Services, manages the Region's directives system.

313.22 The RPMG and the functional managers are responsible for ensuring that the Region's directives (a) are current and complete and (b) comply with USPS policy, including any appropriate collective bargaining agreement.

313.3 Field Installation Managers

313.31 Distribution. Heads of MSCs and other postal installations are responsible for ensuring that Headquarters and Regional directives and revisions are readily accessible to those who need to consult them, and kept up to date.

313.32 Document Coordinators. A document coordinator must be designated at each installation to ensure that these regulations are carried out and to serve as a contact person on directives matters.

313.33 Originating Directives. Field installation managers must ensure that their own directives do not violate the prohibitions in 315.

Directive and Characteristics	Distribution and Stock
<p>Manuals. Basic policies and instructions of the Postal Service.</p> <p><i>OMM--Domestic Mail.</i> Regulations and information about domestic mail services.</p> <p><i>IMM--International Mail.</i> Conditions for preparation of mail sent from the U.S. to other countries, and for treatment of mail sent to and from other countries.</p> <p><i>POM--Postal Operations.</i> Policies for operation of post offices and for mail processing, transportation, and delivery.</p> <p><i>ASM--Admin. Support.</i> Policies for USPS administrative and support functions.</p> <p><i>ELM--Employee and Labor Relations.</i> Personnel policies and regulations governing USPS employment.</p> <p><i>FMMMMFinancial Mgt.</i> Overview of USPS financial policies, including accounting, budgeting planning, and controlling assets.</p>	<p>All post offices; other installations as needed. Stocked in materiel distribution centers (MDCs). Sold to public by SUPERINTENDENT OF DOCUMENTS, GOVERNMENT PRINTING OFFICE, 710 N CAPITAL ST NW, WASHINGTON DC 20402-9371.</p>
<p>Postal Bulletin. Published biweekly, effective for 1 year unless article changes the text of permanent directives, or unless otherwise specified. For (a) temporary and emergency instructions and (b) fast issuance of permanent instructions prior to printing in permanent directives.</p>	<p>All postal installations. Stocked in MDCs for a year. Sold to public by Sup. Docs. (see address above).</p>
<p>Handbooks, Publications. Specialized instructions, reference works, training materials, and brochures too detailed, too specialized or technical, or otherwise inappropriate for inclusion in manuals. For example, operating procedures and user guides are handbooks; £ talogs !i"d bro_ hure re general!¥ p blicat -</p>	<p>Varies with subject. Most stocked in MDCs. Some sold to public by Sup. Docs. (see address above).</p>
<p>Labels, Notices, Posters, Signs, Tags, and Kits. Brief instructions, information, identification stickers, promotional material, and safety and energy messages, designated by numeric series, such as Label 156, Notice 59, Poster 15, Sign 141Me, or Tag 11. Kits are folders containing other directives, used as information packets for customers. Posters are intended for display in lobbies or workrooms, or may be designated for workrooms only.</p>	<p>Varies with subject. Stocked in MDCs.</p>
<p>Management Instructions (MIS). Short, permanent instructions for specific groups of employees. Material too specialized or technical, too limited, or otherwise unsuitable for manuals or handbooks.</p>	<p>HO, Regions, Field Divisions, and MSCs; other offices depending on need to know. Stocked in MDCs.</p>
<p>Headquarters Circulars (HCs). Permanent instructions to Headquarters units only.</p>	<p>All HQ Divisions and above. Stocked in HQ Supply Unit.</p>
<p>Headquarters Announcements (HAs). Informational notices and oneMtime instructions for HQ employees !!! sequentially numbered but uncodified; HAs do not have to be retained or formally filed.</p>	<p>All HQ personnel.</p>
<p>Departmental Issuances, e.g.: Maintenance Bulletins, RE&B Bulletins, Modification Work Orders. Technical instructions that (a) are entirely within the responsibility of the issuing organization; (b) are of no substantive interest to other groups; and (c) do not revoke, amend, or conflict with other directives.</p>	<p>Originating departments distribute to their personnel and maintain stock.</p>

Exhibit 312, Standard Headquarters Directives

314 Coordination

314.1 Headquarters Directives Headquarters directives are coordinated and approved in accordance with ASM 113.212 and Headquarters Circular (HC) 89-2, *Directives System* (filed as IV-A-1).

314.2 Regional Directives Before issuance, Regional directives must be coordinated, through the Regional Manager, Support Services, with the various Regional functional areas that have a substantive interest in the subject matter or whose programs or responsibilities will be affected. If a directive deals with any of the following subjects, it must be coordinated with 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 directives issued by Headquarters (particularly if it expands significantly upon a Headquarters program directive); or
- d. Any significant field initiatives that are not related to an approved national program.

314.3 Field Installation Directives Before issuance, field installation directives must be coordinated with the appropriate functional areas at the installation; if they deal with any of the subjects listed in 314.2, they must also be coordinated with the appropriate functional areas of the organizational level to which the installation head reports. That level of organization will be responsible for initiating any further coordination.

315 Prohibitions

- 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. Such repetition is wasteful and may be confusing.
- c. Do not issue instructions to subordinate organizational levels "clarifying," supplementing, or rewording a directive from a higher level organization unless the directive specifically directs or authorizes such action. Unauthorized rewording or interpretation may distort inadvertently the intention of policy and instructions. If a directive is unclear or inadequate, go back through channels and ask the originator to issue clarifying or supplemental instructions.

316 Action

Field managers must act directly in response to directives received from Headquarters and addressed to their level of management. Do not wait for an implementing order from intermediate levels of management.

317 Ordering Directives

Consult Pub. 223, *Directives and Forms Catalog*, for lists and sources of directives and for ordering instructions. The *Postal Bulletin* periodically updates current directives issued by Headquarters and stocked in the material distribution centers. Do not order directives that your organization is not authorized to receive. Do not order more copies of a directive than are absolutely necessary. Use the proper forms and procedures for ordering. Order through your document coordinator (see 313.32).

318 Public Accessibility and Sale

318.1 Availability for Review The following directives contain regulations directly affecting the public and must be made available to the public for review upon request:

- a. *Administrative Support Manual*.
- b. *Domestic Mail Manual*.
- c. *International Mail Manual*.
- d. *Postal Bulletin*.
- e. Publication 41, *Procurement Manual* (where it is available).

318.2 Public Sale Most Headquarters directives of possible interest to the public are available for public sale through the Superintendent of Documents. Advise the public to obtain such directives by writing to the Superintendent of Documents, not to the Postal Service, at the following address:

SUPERINTENDENT OF DOCUMENTS
GOVERNMENT PRINTING OFFICE
710 N CAPITAL ST NW
WASHINGTON DC 20420-0001.

318.3 Free Publications The public may obtain certain directives free at local post offices. Postmasters should keep supplies of these directives on hand. The list of directives free to the public is in Pub. 223. These publications are stocked at the Somerville and Topeka material distribution centers, and may be ordered on Form 7380, *MDC Supply Requisition*.



320 Forms Management

321 Definition

For purposes of Postal Service forms management, a form is a fixed arrangement of captioned spaces designed for entering prescribed data either directly on paper or in preparation for output on paper. A form is used for collecting, storing, or transmitting data to support managerial, administrative, and operational business processes. Forms may be either (a) preprinted and completed by manual, mechanical, or automated means or (b) printed on automated equipment after data has been entered and formatted. Therefore, in addition to the traditional paper version of a form, this definition includes those electronic screen displays and screen overlays that represent forms.

322 Classes of Forms

322.1 Postal Forms

322.11 Postal Service (PS) Forms. PS forms are officially prescribed and approved by Headquarters and are used by one or more elements of the postal organization on a nationwide or Headquarters basis. These forms are listed in Pub. 223, *Directives and Forms Catalog*, which also gives 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 (thereby indicating continuing use), the *X* designation is dropped.

322.13 Local Forms. Local forms are designed by field units for local USPS use only. Local forms are not listed in Publication 223 nor are they stocked in the materiel distribution centers. See 324.12 for development and coordination of local forms.

322.14 Automated Forms

311.141 *Form Facsimile*. This is an exact copy of the preprinted form. This output may or may not have variable data merged with it when it is printed.

322.142 *Form Mock-up*. This is a close representation of the preprinted version, having the same language and data elements but different typefaces. This output may or may not have variable data merged with it when it is printed.

322.143 *Formatted Data*. This category deals only with the variable data output which is arranged to be printed by the computer printer, word processor printer, etc., in the correct layout to fill in a preprinted form, facsimile, or mock-up.

322.2 Other Government Forms

322.21 Postal Service Use. The Postal Service uses some forms prescribed by other government agencies. These are listed in Pub. 223.

322.22 Standard Forms (SF). Standard forms are prescribed and printed by a federal government agency and approved by the General Services Administration (GSA) or prescribed by the General Accounting Office (GAO) for use by other agencies.

322.23 Optional Forms (OF). Optional forms are approved and prescribed by GSA for the optional use of two or more government agencies.

322.24 Other Agency Forms. These 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 contains a special designator to identify it; 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 Document Control Division The Document Control Division (DCD), Office of Information Services, Information Resource Management Department, manages the forms system. This includes establishing standards for the submission, review, approval, and identification of PS forms. In addition, DCD evaluates the need for a form, analyzes and designs it, and coordinates its use and disposition. DCD's objectives for the forms management system include:

- a. Analyzing requirements to ensure that proposed forms support appropriate programs.
- b. Reducing or simplifying paperwork to support specific objectives by developing forms (new or revised) which are *user friendly* and economical.
- c. Eliminating unnecessary forms by simplifying, consolidating, and standardizing existing forms.
- d. Standardizing data elements for ease in collection, processing, and retrieval of data.
- e. Facilitating forms automation to eliminate unnecessary generation of paper records.

323.2 Headquarters Headquarters groups and departments are responsible for defining requirements for their forms and clearing the drafts. They must also ensure that their forms are stocked in sufficient quantity to meet the needs of the preScribed users.

323.3 Regions The individual field divisions are the designated forms liaison offices for coordinating forms management policy for each Division. DCD will provide assistance and guidance in the performance of this function. See 324.123 for further instructions for numbering local forms.

323.4 Data Centers The directors (or designees) of the Minneapolis, New York, San Mateo, St. Louis, and Wilkes-Barre Postal Data Centers; Washington Data Support Site; and National Information Systems Development Center are the designated forms liaisons and are responsible for coordinating forms management policy for their centers. DCD will provide assis-

tance and guidance in the performance of this function. See 324.12(c) for further instructions for numbering data center forms.

323.5 All Headquarters and Field Installations

All installations must act directly in response to Headquarters-initiated instructions or directives (*Postal Bulletin* articles, Management Instructions, handbooks, etc.) concerning completing or processing a form.

324 Development, Coordination, and Clearance

324.1 Development

324.11 PS Forms. Headquarters approves the requirement for and the design of new or revised PS forms. DCD analyzes and designs the form and assigns the number identifying the form.

324.12 Local Forms

324.121 *Submissim of Requests.* All requests for local forms must be submitted to the Field Division General Manager/Postmaster or data center director using Form 794-A, *Field Request for New or Revised Form*, with a sketch of the proposed new form (or a marked copy of the existing form to be revised).

324.122 *Disapproval.* If the request for the form is not approved, the Field Division General Manager/Postmaster or data center director will return it to the originator with appropriate notations.

324.123 *Approvals and Numbering--Field Installations.* If the form is approved, a local form number will be assigned. Form numbers must be printed in the lower left corner of the form and must indicate (a) the budget authorization (BA) code (i.e., 4D = Chicago) of the Division approving the form; (b) the local number, in chronological order, assigned to the form; (c) the issue date; and (d) optionally, the ZIP + 4 Code of the organization that is prescribing the use of the form. For example: *JC-42, June /986 (60607-9995).* BA codes may be obtained from the Field Division's finance unit. They are also listed in MI AS-320-86-4, *Local Forms Management*.

324.124 *Approvals and Numbering--Data Centers.* If request is approved, a local form number is assigned. Data centers follow similar procedures in assigning form numbers. Form numbers must be printed in the lower left corner of the form and must indicate (a) the data center approving the form, (b) the local number assigned to the form, and (c) the issue date. For example: *SLPDC-56, May /984.* (d) Use the following acronyms when creating new or revising existing forms:

- a. Minneapolis PDC (MNPDC)
- b. New York PDC (NYPDC)
- c. San Mateo PDC (SMPDC)
- d. St. Louis PDC (SLPDC)
- e. Wilkes-Barre PDC (WBPDC)
- f. Washington Data Support Site (WDSS)

- g. National Information Systems Support Center (NISSC)

324.125 *Criteria for National Form.* If a local form affects more than one Region or data center, the form must be developed through DCD as a national form and given a PS number.

324.13 Electronic PS Forms

324.131 Local offices and individuals may produce and use printed versions of electronic forms but must coordinate their efforts with DCD to ensure that:

- a. Organizations do not needlessly duplicate efforts to generate electronic forms;
- b. Electronic forms are available to all users. A future edition of Pub. 223, *Directives and Forms Catalog*, will provide information on how to access programs for individual electronic forms.
- c. The current version of a form is not being revised, which might result in lost effort while preparing the electronic version.

324.132 Electronic forms fall into two categories:

- a. Computer-resident forms that are merely computer-generated versions of published forms; and
- b. Automated forms that are computer-generated forms possessing internal intelligence.

324.133 The following criteria apply to all electronic forms:

- a. They must contain the exact data elements as the officially-published form.
- b. Each data element on an electronic form must appear in the same position as on the published form.
- c. Electronic forms must have the same form number and date as the published form, and the ZIP + 4 of the creating organization must be added after the form number and date. For example, "Form 1012, October 1990, 10099-9500" would indicate that the Management Services Division at the New York PDC had developed the electronic version.
- d. Electronic forms are processed as official postal forms. Therefore, all signatures must be originals when processing printed versions of electronic forms.
- e. Electronic forms must be the most current version of published forms. Check Publication 223 to determine the latest edition.
- f. Electronic forms must comply with the guidelines issued by the Records Officer. (See 353.232.)
- g. Exceptions to this policy may be approved, on an individual basis, by DCD and the originating organization.

Note: Local management is responsible for insuring that computerized forms produced by their offices meet these requirements.

324.2 Coordination and Clearance The originating office must obtain the necessary clearances from other affected departments before a new or revised form can be approved by DCD. Examples of required clearances follow:

- a. Forms that will 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, must be cleared (1) for PS forms, through the Assistant Postmaster General, Labor Relations Department, or (2) for local forms, through the appropriate Regional Director of Human Resources.
- b. Forms that (1) collect information about individuals (such as name or social security number) directly from those individuals, (2) are completed by a member of the public, or (3) require the public to retain copies of them for a specific period of time must be reviewed and approved by the Records Officer, USPS Headquarters, for Privacy Act considerations (see ASM 353.232 for details).
- c. Forms that will be stocked in the MDCs must be approved by the Operations Branch, Office of Materiel Management, Procurement and Supply Dept., on Form 794, *Request for New or Revised Form*.
- d. Forms that contain a return address must be approved by the Customer and Field Support Division, Rates and Classification Department, for the appropriate address format (including FIM bars).

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 prior approval from DCD. 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 Field Division General Manager/Postmaster or data center director.

325.2 Field Printing Do not print or otherwise reproduce PS forms locally without prior approval from DCD and the Printing Division, Office of Headquarters Services, Procurement and Supply Department, Headquarters. (See ASM 370.)

325.3 Modifying PS Forms Do not make local modifications or revisions to PS forms without prior approval from DCD.

326 Ordering Forms

Do not order forms your organization is not required to use. Do not order more copies of required forms than necessary. Refer to Pub. 223 for ordering information and supply sources.

327 Retaining Completed Forms

327.1 General A completed form becomes an official Postal Service record. The creation, maintenance, disposal, disclosure, and protection of Postal Service records are governed by ASM 350 and its supporting handbooks.

327.2 Retention Periods ASM 351 describes the various conditions which can alter record retention times. Exhibit 351.31, *Records Retention Schedule*, lists the most widely held Postal Service records and their retention periods. The retention period for forms is based upon the related records under consideration and not necessarily upon the data collected on the form. Because the conditions for record retention vary, it is not feasible to print retention periods on forms.

328 Suggestions about Forms

The employee suggestion program does not cover minor changes to forms. (Minor changes might include rearranging or redefining data elements so 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.) Such modifications may improve a form significantly; therefore, forms users who have ideas for minor alterations are urged to submit them as follows:

- a. Identify the originator of the form. Pub. 223 identifies the originating office by its Organization Correspondence Code (OCC) and provides the ZIP + 4 address for the office.
- b. Send recommended form changes to the originating organization, with a copy of your correspondence to:

DOCUMENT CONTROL DIVISION
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW 2800
WASHINGTON DC 20260-1571
- c. If that originator agrees to make the change, it is responsible for asking DCD to revise the form.
- d. **Only** if you are unable to determine the originator of a form, send your recommendation to DCD; DCD will forward it to the originating office for action.

330 Communications with the Public

331 General

331.1 Policy The USPS has a responsibility to provide information about the postal system to the public.

331.2 Responsibility

331.21 Headquarters. The Assistant Postmaster General, Communications, is responsible for the Postal Service's public communications policies, programs, and functions. Reporting to the Associate Postmaster General, the APMG, Communications, ensures that staff:

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

331.22 Regions. The Regional Communications Administrator (RCA) is responsible for the functional guidance in support of national and regional communications policies and programs. RCAs report to the Regional Directors of Marketing and Communications. The RCA:

- a. Advises the Regional Postmaster General and Regional Directors of actions necessary to support the postal communications policies and programs.
- b. Ensures Field General Managers and Communication Managers support Postal Service public affairs efforts.

331.23 Field Divisions. Field Division General Managers/Postmasters and, through their direction, Management Sectional Center Managers and Associate Office Postmasters are the principal local representatives of the Postal Service on all matters of interest to the community, the customer or the work force. The Field Division Director of Marketing and Communications, the Field Division Communications Manager, and the MSC Director of Marketing and Communications provide functional communications support in the field.

332 Public/Media Relations

332.1 Policy To provide full and accurate information about the postal system to the public, the Postal Service initiates and maintains a relationship with the news media.

332.2 Responsibility The Communications Department is responsible for Postal Service relations with the news media. Media relations includes, but is not limited to, issuing announcements and news releases, conducting news conferences, and responding to media inquiries. Information is released consistent with policy in 350.

332.3 Procedures

332.31 Media Inquiries. All inquiries concerning Headquarters operations from the news media should be referred to the Communications Department when feasible to do so. On occasions when this is not feasible, the Communications Department must be informed immediately after the media contact as to the nature of the inquiry and the response provided. When requested by Communications, other Departments must promptly provide information to Communications to ensure timely responses to the media.

332.32 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 the Communications Department for review.

332.4 Field Managers

332.41 Local Media Relations Division general managers, postmasters, and other facility managers are responsible for local media relations in their jurisdictions. Postal field managers should call on the Regional Communications Administrator or the General Manager, Media Relations Division at Headquarters, for assistance in conducting media relations.

332.42 Exception. Field units reporting directly to Headquarters or under the functional direction of Headquarters should comply with the procedures in 332.3, through their respective Regional Communications Administrators.

333 Community Relations

333.1 Policy As a nationwide service agency of the federal government, the USPS must maintain good relations with the various communities it serves, and seek community understanding and support of postal actions and programs.

333.2 Responsibility The Communications Department is responsible for USPS community relations, which includes:

- a. Assisting field managers in community relations activities in their localities;
- b. Conducting activities to gain community support for postal actions with special local impact.

333.3 Procedures When USPS actions have special community impact, Headquarters departments with responsibility for the action must give advance notice to the Communications Department. The Communications Department will make timely announcements of the actions to the public, and ensure that necessary local community relations activities are undertaken. Examples of actions that impact on communities and require advance notice to the Communications Department are:

- a. Local service changes.
- b. New construction. (See 517.2.)
- c. Environmental improvements.

- d. Mail processing or mechanization changes.
- e. Publicity for market tests. (See 633.37.)

333.4 Field Managers Division general managers, postmasters, and other facility managers are responsible for community relations in their jurisdictions. Postal field managers should call on the Regional Communications Administrators or the General Manager, Community Relations Division, at Headquarters for assistance in conducting these programs.

334 Postal Exhibits

334.1 Policy It is USPS 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. The Communications Department develops and directs the postal exhibits program, and provides assistance to other Headquarters departments,

Regional offices, and field facilities in developing marketing strategies, planning, producing, and using postal exhibits.

334.22 New Exhibits. When a new exhibit is needed, managers must submit a written request to the Communications Department sufficiently in advance of the display date (at least 10 weeks for major exhibits) to permit time for planning and production. The requesting department provides subject guidance in producing exhibits. All exhibits produced by Headquarters remain under the Communications Department's control.

334.23 Existing Exhibits. Requests for existing exhibits should be submitted at least four weeks in advance to avoid scheduling difficulties.

334.24 Regional Exhibits. With the exception of standard modular exhibits provided to the Regions, Regional exhibits are under the control of the Regional Communications Administrators.

335 Audiovisual Services

See 343.1 for audiovisual instructions.

340 Employee Communications

341 General

341.1 Policy It is USPS policy to communicate postal information and management objectives to employees in order to promote understanding and cooperation.

341.2 Responsibility The Assistant Postmaster General, Communications Department, is responsible for communicating information, management policies, and objectives to employees through official publications, workroom posters, news announcements, films and video programs, and graphic displays. The APMG, Communications, 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 The Communications Department communicates news, policy, and management objectives and goals to employees on a regular basis in three service-wide publications: *Postal Leader*, *Postal Life*, and the Postmaster General's newsletter *Frank Talk*. Other print materials such as letters brochures, newsletters, and posters may be used to convey special messages or support specific postal goals and objectives.

342.2 Division Employee Newsletters

342.21 Criteria. As the most economical and effective means of communicating with employees, each field division is encouraged to publish a regularly issued employee newsletter.

342.22 Newsletter Design Recommendations. The following design recommendations are based on readability and economy and suggested for all field division newsletters.

- a. *Size:* Approximately 8 1/2 inches x 11 inches.
- b. *Number of pages:* From 8 to 24 pages.
- c. *Ink:* Black only is recommended for text, although other colors may be added as a design element to emphasize a special section or issue.
- d. *Frequency of publication:* Monthly.
- e. *Distribution:* All division employees, mailed to their homes. The Minneapolis PDC will provide mailing address labels in desired format, on a monthly basis.
- f. *Printing:* See 372 for printing instructions and restrictions.
- g. *Writing style:* The Associated Press Style Manual, or similar guide, should be consulted for style guidance.

343 Communications Support

343.1 Audiovisual Services

343.11 Policy. It is USPS policy to use audiovisual aids to assist in promoting postal policies, programs, services, and products.

343.12 Responsibility. The Communications Department is responsible for managing USPS audiovisual activities related to public and employee communications, which include motion picture and videotape productions, still photography, and slide presentations.

343.13 Procedures

343.131 General. The Communications Department provides assistance to other Headquarters departments, Regional offices, and field facilities in planning, producing, and using audiovisual aids.

343.132 Requests. Requests for audiovisual services must be submitted to the Communications Department sufficiently in advance of the date needed to permit adequate scheduling of personnel and equipment for the work. Since production requirements vary, appropriate due dates are determined in consultation with the Communications Support Division. The Communications Department approves requests and provides the services or recommends they be procured from sources outside the Postal Service.

343.133 Funding. Cost estimates for outside services must be submitted to the Communications Department for approval. All audiovisual services performed for other postal units by the Communications Department are provided on a reimbursable basis at the discretion of the Communications Department.

343.2 Workroom Posters

343.21 General. Workroom posters are used for communicating management objectives, policies, and programs to employees. In response to requests from the departments, the Communications Department 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 cleared with the Communications Department.

343.22 Procedures. The originating department 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. They must be displayed as directed.

343.3 Graphic Services

343.31 Purpose. Graphic materials are used for communications and to promote policies, programs, services, and products.

343.32 Communications Support Division Responsibilities

343 J21 Designing and producing USPS graphics, including promotional material, publications, displays, literature (except directives and technical manuals), and posters.

343.322 Producing presentational material such as slides and charts for Headquarters management.

343.33 Procedures

343.331 Services Provided. The Communications Department provides assistance to other Headquarters departments in planning, designing, and producing literature, displays, promotional material, publications, slide presentations, and other graphics.

343J32 Funding. The requesting office provides a Form 7381, *Requisition for Supplies, Services, or Equipment*, to the Communications Support Division, with sufficient funds to design and produce its project through contractors, plus all figures, information, and material pertinent to the project. Funds appropriated for such services can only be expended when properly authorized by the Procurement and Supply Department at Headquarters, or, as the case may be, by the appropriate Regional procurement division.

343.333 Production. The Communications Support Division directs the project and, optionally, produces the work through its staff or through contractors with guidance by its staff.

350 Records and Release of Information

351 Records

351.1 General

351.11 Definition. Recorded information, regardless of media or physical characteristics, developed or received by the U.S. Postal Service in connection with the transaction of its business and retained in its custody.

351.12 Ownership. Records created in the course of USPS business activities are the property of the USPS and not of any individual.

351.13 Responsibility

351.131 Custodian. The postmaster or other head of a facility such as a postal data center, mailbag depository, management sectional center, or Regional Headquarters who maintains USPS records and information. Department heads are the custodians of records and information maintained at Headquarters. Senior medical personnel are the custodians of restricted medical records maintained within postal facilities. Employee Assistance Program counselors are the custodians of records pertaining to program participants. Custodians are responsible for seeing that records within their post offices, installations, or organizations are managed in accordance with USPS directives.

351.132 Records Officer. The USPS Records Officer is located at Headquarters and administers the USPS records program.

351.133 Headquarters Department Heads. Department heads are responsible for establishing specific guidelines and procedures with regard to Postal Service-wide records and information that are created and maintained in support of the programs, functions, and systems under their jurisdiction.

351.2 (Reserved)

351.3 Retention

351.31 Records Control Schedules. The most widely held Postal Service records series are listed in AS-305, *USPS Records Control Handbook*. See also Exhibit 351.31 for the retention periods for most forms used at post offices. Retain records for the periods indicated in Handbook AS-305 or Exhibit 351.31 and then dispose of them as specified in 351.7.

351.32 Other Records. For information about the retention of records not covered by Handbook AS-305 or Exhibit 351.31, contact the USPS Records Officer at Headquarters.

351.33 Extension of Retention Periods. The retention periods published in AS-305, *USPS Records Control Handbook* and Exhibit 351.31 are mandatory. Records should not be maintained for periods longer than those specified in these schedules. However, retention periods may be extended in response to a court order,

or if the records are needed for a special use. Only the USPS Records Officer can authorize such extensions. Upon expiration of such an extension of retention period, the Records Officer will notify concerned custodians to observe normal records retention requirements.

351.4 Protection

351.41 Safeguards. Appropriate safeguards, such as access restrictions, records controls, lockable cabinets, or lockable rooms, must be provided to protect records that contain information needed to protect the interests of the Postal Service, its employees, contractors, or the general public, and to ensure the security and privacy of records that contain personal information about individuals (353.51).

351.42 Instructions. Custodians must ensure that persons who have any access to records or who are engaged in development of procedures or systems for handling records are adequately instructed about the provisions of this subchapter and about local procedures for collecting, maintaining, disclosing, and safeguarding information to effect compliance with the *Freedom of Information Act* (352), the *Privacy Act* (353), and Postal Service regulations.

351.43 Information Caveats. A caveat is a phrase typed or stamped on a record (usually at the top or bottom) indicating that the information in the record must be protected or handled in a special way. Officials who wish to use a *Restricted Information* caveat but are unsure about the proper application may request guidance from the Records Office. When placing caveats on information or records, use the following guidelines:

- a. *Restricted Information.* The term *Restricted Information* may be used to indicate records or information that is restricted based upon Postal Service regulations in this subchapter. (See 352 and 353.) Included would be information about individuals, certain types of business information, and other information such as customer mailing lists. Information of this nature has limitations placed upon both its access within the Postal Service and its disclosure outside the Postal Service.
- b. *National Security Information.* The terms *Confidential*, *Secret*, and *Top Secret* (also referred to as *Classified Information*) are used only to refer to national security information in accordance with Executive Order 12356. Only designated senior officials may apply these caveats.
- c. *Other Caveats.* *Limited Official Use*, *For Confidential Use Only*, and other such terms are inappropriate for use at any time within the Postal Service.

351.5 Disclosure It is the policy of the Postal Service to make its official records available to the public to the maximum extent, subject only to the exceptions required or authorized by law, as described in 352 and 353.

351.6 Transfer

351.61 Storage

351.611 Requirement. Records no longer required for active reference but not yet eligible for destruction should be transferred by the cutoff period. e.g. periods of time such as a quarter or a fiscal year, to either local storage or to a Federal Records Center.

351.612 Local Storage. Transfers to local USPS storage must be accompanied by a Form 773, *Records Transmittal and Receipt*.

351.613 Federal Records Centers

- a. Conditions.** Forward to Federal Records Centers (FRCs) only:
- (1) Records series that have been approved by National Archives and Records Administration (NARA) and that have a remaining life of more than 1 year.
 - (2) Volumes of records consisting of 1 cubic foot or more. (Quantities less than 1 cubic foot should be retained by the installation and destroyed in house when the established retention period expires.)
- b. Procedures.** For shipment to an FRC other than the National Personnel Records Center at St. Louis, MO:
- (1) Assemble records to be shipped and pack (to capacity) in 1 cubic foot boxes, obtained for this purpose from the General Services Administration.
 - (2) Complete two copies of SF 135, *Records Transmittal and Receipt*. This form may be ordered from the Materiel Distribution Centers (MDCs). Submit both copies to the receiving FRC at least 2 weeks before the intended shipping date.
 - (3) FRC will indicate approval by returning one annotated copy of SF 135 to the requesting installation.
 - (4) Place a copy of SF 135 in the first box of the shipment and ship. Retain a copy as suspense.
 - (5) FRC will return a receipted copy of SF 135.
- c. Location.** See Exhibit 351.613 for FRC addresses and areas served.
- d. Retrieval.** Retrieval of all records is handled by the installation from which the records were sent. Requests for retrievals are made on Optional Form (OF) 11, *Reference Request-Federal Records Centers*. FEDSTRIP ordering offices order this form directly from GSA; non-FEDSTRIP ordering offices order this form from their supporting MSC supply section, or from their GSA Customer Supply Center. Retrievals are made at the FRCs by the accession number and the box location number recorded on the SF 135 when the records were transferred.

351.62 Control. Records transferred to local or FRC storage remain under USPS control.

351.7 Disposal

351.71 Definition. The permanent removal of records or information from Postal Service custody; methods include:

- a. Transfer to the National Archives.
- b. Donation to the Smithsonian Institution, local, museums, or historical societies.
- c. Sale as waste material. (See 351.72.)
- d. Discarding.
- e. Physical destruction.

351.72 Sale. Paper records whose retention periods have expired may be sold as waste paper, providing they do not contain information that cannot be disclosed to the general public, such as personal information (see Appendix). (Such records must be destroyed.) The contract for sale must prohibit the resale of the records as records or documents. Film or plastic records may be sold under the same conditions in the same manner.

351.73 Destruction. Records that cannot be sold may be destroyed by shredding, pulping, or burning.

352 Freedom of Information Act

352.1 General

352.11 Purpose and Scope. This part contains USPS regulations relating to the availability to the public of Postal Service records. Included are regulations that implement section 552 of title 5, U.S.C., the *Freedom of Information Act*, as it applies to the Postal Service. Official records of the Postal Service made available under the requirements of the Act must be furnished to members of the public as prescribed in this part.

352.12 Policy

352.121 It is the policy of the Postal Service to make its official records available to the public to the maximum extent consistent with the public interest. This policy requires a practice of full disclosure subject only to the specific exemptions required or authorized by law.

352.122 Exemptions from mandatory disclosure provided by section 552(b) of title 5, and section 410(c) of title 39, U.S.C. for various types of records, reflect the fact that under some circumstances the public interest may be better served by leaving the disclosure of particular records to the discretion of the Postal Service than by requiring their disclosure. As to those records the disclosure of which is not prohibited by statute, Executive Order, or regulation, the discretion vested in the Postal Service is exercised after giving consideration to the following:

- a. The effect of nondisclosure on the public's right to know about a particular matter;
- b. The effect of disclosure on the right of privacy of any affected individuals;
- c. The effect of disclosure on the public interest in the economical, efficient, and orderly operation of the nation's mail system; and

Location	Areas Served
MILITARY PERSONNEL RECORDS NATL PERSONNEL RECORDS CTR 9700 PAGE BOULEVARD STLOUIS MO 63132-5100	Designated records of the Department of Defense
CIVILIAN PERSONNEL RECORDS NATL PERSONNEL RECORDS CTR 111 WINNEBAGO STREET STLOUIS MO 63118-4199	Entire federal government for personnel records of separated federal employees; pay records of all federal employees; medical records of civilian employees of the Army, Navy, and Air Force; records of agencies in greater St. Louis, Missouri area.
FEDERAL RECORDS CENTER 380 TRAPELO ROAD WALTHAM MA 02154-6399	Maine, Vermont, New Hampshire, Massachusetts, Connecticut and Rhode Island
FEDERAL RECORDS CENTER MILITARY OCEAN TERMINAL BLDG 22 BAYONNE NJ 07002-5388	New York, New Jersey, Puerto Rico, and the Virgin Islands
FEDERAL RECORDS CENTER 5000 WISSAHICKON AVENUE PHILADELPHIA PA 19144-4898	Delaware and Pennsylvania east of Lancaster
WASHINGTON NATL RECORDS CTR WASHINGTON DC 20409-0001	District of Columbia, Maryland, Virginia, and West Virginia
FEDERAL RECORDS CENTER 1557 ST JOSEPH AVENUE EAST POINT GA 30344-2533	North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, and Kentucky
FEDERAL RECORDS CENTER 7358 SOUTH PULASKI ROAD CHICAGO IL 60629-5898	Illinois, Wisconsin, and Minnesota
FEDERAL RECORDS CENTER 3150 SPRINGBORO ROAD DAYTON OH 45439-1883	Indiana, Michigan, and Ohio
FEDERAL RECORDS CENTER 2312 EAST BANNISTER ROAD KANSAS CITY MO 64131-3011	Kansas, Iowa, Nebraska, and Missouri except greater St. Louis area
FEDERAL RECORDS CENTER PO BOX 6216 FORT WORTH TX 76115-0216	Texas, Oklahoma, Arkansas, Louisiana, and New Mexico
FEDERAL RECORDS CENTER PO BOX 25307 DENVER CO 80225-0307	Colorado, Wyoming, Utah, Montana, North Dakota, and South Dakota
FEDERAL RECORDS CENTER 1000 COMMODORE DR SAN BRUNO CA 94066-2350	Nevada (except Clark County), California (except Southern California), and American Samoa
FEDERAL RECORDS CENTER 24000 AVILA ROAD LAGUNA NIGUEL CA 92656-3497	Clark County, Nevada; Southern California (counties of: San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Los Angeles, Riverside, Orange, Imperial, Inyo, and San Diego); and Arizona
FEDERAL RECORDS CENTER 6125 SAND POINT WAYNE SEATTLE WA 98115-7999	Washington, Oregon, Idaho, Alaska, Hawaii, and Pacific Ocean area (except American Samoa)

Exhibit 351.613, Federal Records Centers

d. Any other factors that may be relevant under the circumstances.

352.13 Responsibility

351.131 Custodian. See 351.131. Custodians are responsible for responding in the first instance to requests from members of the public for USPS records.

351.131 Records Officer. The USPS Records Officer is responsible for the overall administration of these regulations, including the issuance of detailed instructions to custodians.

351.133 General Counsel. The General Counsel decides timely appeals authorized herein.

352.2 Inquiries Inquiries regarding the availability of Postal Service records should be directed to the appropriate records custodian. If the appropriate custodian is not known, contact the USPS Records Officer at: (202) 268-2924, or write to:

RECORDS OFFICER
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5010

352.3 Public Reading Room The USPS Headquarters Library serves as public reading room for the materials listed in 352.412 and .414 as available for public inspection and copying. The address for the library follows:

LIBRARY
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-1641

352-4 Availability of Records

352-41 Records Available to Public

352.411 General. USPS records are available for inspection or copying at the request of any person, in accordance with these provisions, except as otherwise provided by law or regulation. Certain categories of records of particular interest are available on a continuous basis (352.412 and .413) and are listed in a public index. (See 352.414.) Access to other records may be requested on an individual basis according to procedures in 352.5. Official records that are maintained on an electronic storage medium are normally made available as exact duplicates of the requested original in a form readable by the human eye, such as a computer printout.

351-411 Opinions. All final opinions and orders made in the adjudication of cases by the Judicial Officer, Administrative Law Judges, and Board of Contract Appeals, all final determinations pursuant to DMM 113.2 to close or consolidate a post office, or to disapprove a proposed closing or consolidation, and all advisory opinions concerning the private express statutes issued pursuant to 310.6 of title 39, CFR, all bid protest decisions, and all decisions on appeals under this part rendered by the Law Department are on file and available for inspection and copying in USPS Headquarters Library.

351-413 Administrative Manuals and Instructions- Manuals, instructions, and other USPS publications that affect members of the public are available through USPS Headquarters Library and at many postal facilities, and may be inspected there. Copies of these publications that are not available free of charge may be obtained by paying a fee. (See 352.6.)

351.414 Public Index

- a. A public index is maintained in the Headquarters Library of all final opinions and orders made by the Postal Service in the adjudication of cases; USPS policy statements that may be relied on as precedents in disposition of cases; administrative staff manuals and instructions that affect the public; and other materials that the Postal Service elects to index and make available to the public on request. (See 352.411.)
- b. The index contains references to matters issued after July 4, 1967, and may reference matters issued prior to that date.
- c. Any person may arrange for the inspection of any record referenced in the public index in accordance with 352.5.
- d. Copies of the public index and of records listed in the public index may be purchased through the Headquarters Library upon payment of fees provided in 352.6.

351.415 Listings of Employees' Names- Upon written request, the Postal Service will provide, to the extent required by law, a listing of postal employees working at a particular postal facility (but not their home addresses or social security numbers). In all instances of requests for a listing of postal employees, the USPS Records Officer is deemed to be the custodian.

351.416 Congressional Requests. If the request is:

- a. *On behalf of Congress through a committee or subcommittee.* Disclosure is the general rule. In most cases, only the interposition of Executive privilege could justify nondisclosure. Seek advice of counsel.
- b. *Not on behalf of an official committee or subcommittee of Congress.* Process as a request from any person under the regulations set forth in this subchapter. (*Note:* Forward all requests from individual members of Congress, not acting on behalf of a committee or subcommittee, requesting records nonpublic in nature, to the ASSISTANT POSTMASTER GENERAL, GOVERNMENT RELATIONS DEPARTMENT, UNITED STATES POSTAL SERVICE, 475 L'ENFANT PLAZA SW, WASHINGTON DC 20260-3500.)

352-42 Records Not Subject to Mandatory Public Disclosure. Certain classes of records are exempt from mandatory disclosure under exemptions contained in the *Freedom of Information Act* and in section 410(c) of title 39 U.S.C. The Postal Service will exercise its discretion, in accordance with the policy stated in 352.12, as implemented by instructions issued by the Records Officer with the approval of the General Counsel, in determining whether the public interest is served by the inspection or copying of records that are:

- a. Related solely to the internal personnel rules and practices of the Postal Service;
- b. Trade secrets, or privileged or confidential commercial or financial information, obtained from any person (see also 352.453);
- c. Information of a commercial nature, including trade secrets, whether or not obtained from a person outside the Postal Service, which under good business practice would not be publicly disclosed. This class includes, but is not limited to:
 - (1) Information pertaining to methods of handling valuable registered mail.
 - (2) Records of money orders, except as provided in 940 of the DMM.
 - (3) Technical information concerning postage meters and prototypes submitted for Postal Service approval prior to leasing to mailers.
 - (4) Reports of the market surveys conducted by or under contract for the Postal Service.
 - (5) Records indicating rural carrier lines of travel. (*Note:* Upon request, information of a general nature (for instance, an outline of the geographic area served by a particular rural route; route numbers and number of boxholders or families on each rural route and highway contract route; and the number of families or businesses served within the total delivery area) may be disclosed. Do not disclose detailed information or use Postal Service route maps for this purpose. A map provided by the requester may be marked with the general information. Disclosure is a matter of local discretion when it is determined that to do so would not interfere with postal operations.)
 - (6) Records compiled within the Postal Service that would be of potential benefit to persons or firms in economic competition with the Postal Service.
 - (7) Information that, if publicly disclosed, could materially increase procurement costs.
 - (8) Information within records that might compromise testing or examination materials.
- d. Interagency or internal memorandums or letters that would not be available by law to a private party in litigation with the Postal Service.
- e. Reports and memorandums of consultants or independent contractors, except to the extent they would be required to be disclosed if prepared within the Postal Service.
- f. Files personal in nature, including medical and personnel files, the disclosure of which would constitute a clearly unwarranted invasion of personal privacy.
- g. Information prepared for use in connection with proceedings under chapter 36 of title 39, U.S.C., relating to rate, classification, and service changes.
- h. Information prepared for use in connection with negotiation of collective bargaining agreements under chapter 12 of title 39, U.S.C., or minutes of or notes kept during negotiating sessions conducted under that chapter.

- i. Other matter specifically exempted by statute from disclosure.

352.43 Records or Information Compiled for Law Enforcement Purposes

352.431 Investigatory files compiled for law enforcement purposes, whether or not considered closed, are exempt by statute from mandatory disclosure to a party other than the Postal Service except to the extent otherwise available by law (39 U.S.C. 410(c)(6)). As a matter of policy, however, the Postal Service normally will make records or information compiled for law enforcement purposes available upon request unless the provision of these records:

- a. Could reasonably be expected to interfere with enforcement proceedings.
- b. Would deprive a person of a right to a fair trial or an impartial adjudication.
- c. Could reasonably be expected to constitute an unwarranted invasion of personal privacy.
- d. Could reasonably be expected to disclose the identity of a confidential source, including a state, local, foreign agency or authority, or any private institution that furnished information on a confidential basis. This also applies to records or information furnished by a confidential source and compiled by (1) a criminal law enforcement authority (such as the Postal Inspection Service) in the course of a criminal investigation or (2) an agency conducting a lawful national security intelligence investigation.
- e. Would disclose techniques and procedures of law enforcement investigations or prosecutions or would disclose guidelines for law enforcement investigations or prosecutions, if such disclosure could reasonably be expected to risk circumvention of the law.
- f. Could reasonably be expected to endanger the life or physical safety of any individual.

352.432 Whenever a request is made that involves access to records described in 352.431a and (a) the investigation or proceeding involves a possible violation of criminal law and (b) there is reason to believe that (1) the subject of the investigation or proceeding is not aware of it and (2) disclosure of the existence of the records could reasonably be expected to interfere with enforcement proceedings, the Postal Service may, *during only such time as that circumstance continues*, treat the records as not subject to the requirements of the Freedom of Information Act (FOIA).

352.433 Whenever informant records maintained by a criminal law enforcement agency (such as the Postal Inspection Service) under an informant's name or personal identifier are requested by a third party according to the informant's name or personal identifier, the records may be treated as not subject to the requirements of FOIA unless the informant's status as an informant has been officially confirmed.

352.434 Authority to disclose records or information compiled for law enforcement purposes to persons outside the Postal Service must be obtained by writing

the Chief Postal Inspector, or his designee, at the following address:

CHIEF POSTAL INSPECTOR
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-2100

352.44 Disclosure of Names and Addresses of Customers. Upon request, the addresses of specifically identified postal customers will be made available only as follows:

- a. *Permanent change of address.* The new address of any specific customer who has filed a permanent *Change of Address Order* (Form 3575 or handwritten order) will be furnished to any person upon payment of the prescribed fee. See ASM 352.653, 352.675, and 353.321c. Disclosure will be limited to the address of the specifically identified individual about whom the information is requested (that is, not those of other individuals or family members whose names may also appear on the change of address order). Other information on Form 3575 or copies of the form will not be furnished except in those circumstances stated in 352.44f(1), f(3), or f(4). The fee is waived for providing information under the circumstances at 352.44f(1) through 352.44f(4). (See ASM 352.675.)
- b. *Temporary change of address.* Address information from temporary change of address orders will be furnished only under those circumstances stated in 352.44f(i) through f(4). Other information on the temporary change of address form or copies of the form will be furnished only in those circumstances stated at 352.44f(1), f(3), or f(4). The fee is waived for providing information under the circumstances at 352.44f(1) through 352.44f(4). (See ASM 352.675.)
- c. *Name and address of permit holder.* The name and address of the holder of a particular bulk mail permit, permit imprint or similar permit, or postage meter permit, and the name of any person applying for a permit on behalf of a holder, will be furnished to any person upon the payment of any fees authorized by 352.6. (Lists of permit holders may not be disclosed to members of the public. See 352.451.)
- d. *Post office box address.* The recorded post office box address of a customer whose mail is redirected to a post office box will be furnished, in accordance with 352.44a, upon payment of the prescribed fee. The fee is waived for providing information under the circumstances at 352.44f(1) through 352.44f(4). (See ASM 352.675.)
- e. *Post office boxholder information.* There is no charge for processing requests for information from Form 1093, *Application for Post Office Box or Caller Service*. Information from Form 1093 will be provided only as follows:
 - (1) *Business use.* The recorded name, address, and telephone number of the holder of a post office box being used for the purpose of doing or soliciting business with the public, or any person applying for a box on behalf of a holder, will be furnished to any person. Post-

masters may furnish this information from Form 1093 when they are satisfied from the entries appearing on it *ot* from evidence furnished by the requester (such as an advertising circular) that the box is being used for such a business purpose. A postmaster who is unable to determine whether business use is involved must refer the request to the Chief Field Counsel for advice.

- (2) *Nonbusiness use.* Information from Form 1093 about the holder of a post office box that is not being used for the purpose of doing or soliciting business with the public will not be furnished except in those circumstances stated in 352.44f(1) through f(4) below.
 - (3) *Copies of Form 1093.* Copies of Form 1093 will not be furnished except in those circumstances stated in 352.44f(1), f(3), or f(4) below.
- f. *Exceptions.* Except as otherwise provided in these regulations, names or addresses of postal customers will be furnished only as follows:
- (1) To a federal, state, or local government agency upon prior written certification that the information is required for the performance of its duties.
 - (2) To a person empowered by law to serve legal process, or the attorney for a party on whose behalf service will be made, or a party who is acting *pro se*, upon receipt of written information that specifically includes all of the following: (a) a certification that the name or address is needed and will be used solely for service of legal process in connection with actual or prospective litigation; (b) a citation of the statute or regulation which empowers the requester to serve process, if the requester is anyone other than an attorney for a party in whose behalf service will be made, or a party who is acting *pro se*; (c) the names of all known parties to the litigation; (d) the court in which the case has been or will be commenced; (e) the docket or other identifying number, if one has been issued; (f) the capacity in which the boxholder is to be served, e.g., defendant or witness; and (g) a brief description of the nature of the litigation, e.g., domestic relations, personal injury, property damage, or indebtedness. By submitting such information, the requester certifies that it is true. The Postal Service suggests use of the standard format at Exhibit 352.44a when requesting boxholder information under this section. If the request lacks any of the required information or a proper signature, the postmaster will return it to the requester specifying the deficiency. (*Note:* The term *pro se* means that a party is not represented by an attorney, but is self-represented.)
 - (3) In compliance with a subpoena or other court order.
 - (4) To a law enforcement agency, for oral requests made through the Inspection Service, but only after the Inspection Service has confirmed

that the information is needed in the course of a criminal investigation. {All other requests from law enforcement agencies should be submitted in writing to the postmaster as in 352.44f(1).}

- g. Jury service.* The mailing address of any customer sought in connection with jury service, if known, will be furnished, without charge upon prior written request, to a court official, such as a judge, court clerk, or jury commissioner.
- h. Address verification.* The address of a postal customer will be verified at the request of a federal, state, or local government agency upon written certification that the information is required for the performance of the agency's duties. "Verification" means advising such an agency whether or not its address for a postal customer is one at which mail for that customer is currently being delivered. "Verification" neither means nor implies knowledge on the part of the Postal Service as to the actual residence of the customer or actual receipt by the customer of mail delivered to that address. The Postal Service requires government agencies to use a standard format when requesting verification of a customer's current address or a customer's new mailing address. (See Exhibit 352.44b.) If the request lacks any of the required information or a proper signature, or if the request has been sent to the wrong post office, the postmaster will return the request to the agency, specifying the deficiency in the space marked "OTHER."
- i. Business/Residence Location.* If the location of a residence or a place of business is known to a Postal Service employee, whether as a result of official duties or otherwise, the employee may, but need not, disclose the location or give directions thereto. No fee is charged for such information.
- j. Form 1583, Application for Delivery of Mail Through Agent.* Information contained in Form 1583 will not be made available to the public.

352.45 Information Not Available for Public Disclosure

352.451 Mailing Lists. Except as provided by 352.415, the Postal Service and its officers and employees must not make available to the public by any means or for any purpose any *mailing list* or other list of names or addresses (past or present) of postal customers or other persons.

352.452 Classified Documents. Records or other documents that are classified or otherwise specifically authorized by Executive Order 12356 and implementing regulations to be kept secret in the interest of the national defense or foreign policy are not subject to disclosure.

352.453 Trade Secrets. Records consisting of trade secrets or certain confidential financial data, the disclosure of which is prohibited by section 1905 of title 18, U.S.C., are not subject to disclosure.

352.454 Statutory Prohibitions. Other records, the disclosure of which is prohibited by statute, are not subject to disclosure.

352.46 Protection of Right of Privacy. If any record required or permitted to be disclosed contains the name of, or other identifying details concerning any person, including an employee of the Postal Service, the disclosure of which would constitute a clearly unwarranted invasion of personal privacy, the name or other identifying details must be deleted before the record is disclosed, and the requester so informed. (See also 353.)

352.47 Disclosure in Part of Otherwise Exempt Record. Any reasonably segregable portion of a record must be provided after deleting the information that is neither subject to mandatory disclosure nor available as a matter of discretion.

352.48 Compliance With Subpoena or Court Order

352.481 Postal Service records may be disclosed, upon the advice of the Chief Field Counsel, in compliance with a subpoena *duces tecum* or appropriate court order.

352.482 Time, leave, and payroll records of postal employees are subject to production when a subpoena *duces tecum* or appropriate court order has been properly served. The custodian of the records may designate a postal employee to present the records. The presentation by a designee rather than the employee named in the subpoena or court order must meet with the approval of the attorneys for each side. In addition, such records may be released if authorized in writing by the employee.

352.483 If the subpoena involves a job-connected injury, the records are under the exclusive jurisdiction of the Bureau of Employees' Compensation, Department of Labor. Notify the attorney responsible for the issuance of the subpoena or court order and address requests for authorization to produce these records to:

BUREAU OF EMPLOYEES COMPENSATION
U S DEPARTMENT OF LABOR
200 CONSTITUTION AVE NW
WASHINGTON OC 20210-0001

352.484 Do not release any records containing information as to the employee's security or loyalty.

352.485 Honor subpoenas or court orders only when disclosure is authorized.

352.486 When authorized to comply with a subpoena *duces tecum*, do not leave the original records with the court.

352.49 Compliance with Summons

352.491 Comply with a summons requiring an appearance in court. Do not testify as to any matters for which an exemption under 352.4 may be claimed. Call the Chief Field Counsel for instructions relating to exemptions.

352.492 Do not present inspectors' reports or Inspection Service records in either state or federal courts in which the United States is not a party in interest, unless authorized by the Regional Chief Inspector, who will make a decision after consulting with the Chief Field Counsel. If an attempt is made to compel

To: Postmaster

Date: _____

Request for Boxholder Information

Please furnish the name and/or street address of the following boxholder:

Name (if known) — — — — —
P.O. Box _____
City, State, ZIP Code _____

The following information is provided in accordance with 39 CFR 265.6(d)(6)(ii):

- 1. Capacity of requester (e.g., process server, attorney, party representing himself):

- 2. Statute or regulation that empowers me to serve process (not required when requester is an attorney or a party representing himself):

- 3. The names of all known parties to the litigation:

- 4. The court in which the case has been or will be heard:

- 5. The docket or other identifying number if one has been issued:

- 6. The capacity in which the boxholder is to be served (e.g., defendant or witness):

- 7. A brief description of the nature of the litigation (e.g., domestic relations, personal injury, property damage, indebtedness):

I certify that the above information is true and that the name and/or street address of the boxholder is needed and will be used solely for service of legal process in connection with actual or prospective litigation.

Signature

Address

Printed Name

City, State, ZIP Code

FOR POST OFFICE USE ONLY

The name and/or street address as recorded on the boxholder's application (Form 1093):

Name _____

Postmark

Street Address — — — — —

City, State, ZIP Code — — — — —

Exhibit 352.44a, Boxholder Information (to serve legal process) Request Format (Suggested)

(Agency Letterhead)

To: Postmaster

Agency Control No. _____

Date: _____

Address Information Request

Please furnish this agency with the new address, if available, for the following individual or verify whether or not the address given below is one at which mail for this individual is currently being delivered. *If the following address is a post office box, please furnish the street address as recorded on the boxholder's application form.*

Name: _____

Last Known Address: -----

I certify that the address information for this individual is required for the performance of this agency's official duties.

(Signature of Agency Official)

(Title)

FOR POST OFFICE USE ONLY

MAIL IS DELIVERED TO ADDRESS GIVEN

NEW ADDRESS

NOT KNOWN AT ADDRESS GIVEN

MOVED, LEFT NO FORWARDING ADDRESS

NO SUCH ADDRESS

OTHER (SPECIFY):

BOXHOLDER'S STREET ADDRESS

Agency Return Address

Postmark/Date Stamp

Exhibit 352.44b, Address Information Request (Required Format)

the production of records, decline to produce the information or record and state that it may be exempted and cannot be disclosed or produced without specific approval of the Regional Chief Inspector, who will make a decision after consulting with the Chief Field Counsel. The Postal Service will offer every possible assistance to the courts, but disclosing information for which an exemption may be claimed is a matter of discretion.

352.5 Inspection and Copying of Records

352.51 Submission of Requests

352.511 Form and Content. To permit expeditious handling and timely response, a request to inspect or to obtain a copy of an identifiable Postal Service record must be in writing and bear the caption *Freedom of Information Act Request* or otherwise be clearly and prominently identified as a request for records under the Freedom of Information Act. A formal request must be clearly and prominently identified as such on the envelope or other cover. Other requests for information are considered informal requests and must be handled as expeditiously as practicable but not necessarily within the time limitations in 352.52. An informal request is granted or denied according to the substantive rules in 352.4, if found to be a request for a record. A *Freedom of Information Act Request* must identify the record sought as completely as possible, by name, description, or subject matter, and be sufficient to permit the custodian to locate it with a reasonable amount of effort. The request may state the maximum amount of fees for which the requester is willing to accept liability without prior notice. (See 352.662.) If no amount is stated, the requester will be deemed willing to accept liability for fees not to exceed \$25.

352.512 To Whom Submitted. A request is submitted to the custodian of the requested record. For purposes of this section, all requests for postal employee listings should be directed to the USPS Records Officer for handling. (See 352.415.) If the location of the record is not known, inquiry should be directed to the USPS Records Officer. If a request is submitted to a facility other than that at which the record is maintained, promptly transmit it to the appropriate custodian and furnish a copy to the requester. A request that is not initially submitted to the appropriate custodian is deemed to have been received by the Postal Service for computing the time for response at the time that it is actually received by the appropriate custodian. If a request seeks records maintained at two or more facilities, the custodian is deemed to be the next senior common supervisor of the heads of the facilities; for example, sectional center manager or RPMG.

352.513 Reasons for Request. In view of the possibility that some or all of the records may be exempt from mandatory disclosure, the requester may state any reasons why the record should nevertheless be made available even if exempt.

352.514 Request for Waiver of Fees. The requester may ask that fees or the advance payment of fees be waived in whole or in part. A fee waiver request shall indicate

how the information will be used; to whom it will be provided; whether the requester intends to use the information for resale at a fee above actual cost; any personal or commercial benefit that the requester expects as a result of disclosure; in what manner the general public will benefit from disclosure; and information as to the intended user's identity, qualifications, expertise in the subject area, and ability and intention to disseminate the information to the public. (See 352.673.)

352.515 Categorical Requests. A request for all or substantially all of the records within a specific category will be deemed a reasonable description of those records only if it is possible, without further information, to determine which particular records are sought. (See 352.523 on providing additional information.)

352.516 Records Located at Numerous Facilities. A request for records which are, or may be, located at all or a substantial number of post offices or other postal facilities will be deemed to be a reasonable description only of such of those records as are maintained at the post office or other facility to which the request is submitted, and of those records maintained at any other post offices or facilities specifically identified in the request. (See 352.512 concerning the custodian of records of two or more facilities.)

352.52 Responsibilities of Custodian

352.521 The custodian of the requested record is the person responsible for determining whether to comply with or deny the request. A custodian who is not an officer as defined in 111.7, however, should not deny a request for a copy of a record until after obtaining the advice of the Chief Field Counsel. If denial of a request appears necessary, the custodian should seek advice as soon as possible after receipt of the request so as to provide adequate time for legal review. Special care, as follows, is required when handling a request for records regarding a matter that is in litigation or likely to become the subject of litigation:

- a. Upon receipt of the request, the custodian must immediately advise appropriate counsel, if known, or advise the CHIEF FIELD COUNSEL or ASSISTANT GENERAL COUNSEL, GENERAL ADMINISTRATIVE LAW DIVISION, UNITED STATES POSTAL SERVICE, 475 L'ENFANT PLAZA SW, WASHINGTON DC 20260-1113. (202) 268-2971. This will permit counsel to inform the custodian of the significance of the documents requested and assist in preparing a response.
- b. If the custodian learns that a legal action has been brought after documents have been furnished in response to a request, the custodian must notify appropriate counsel as soon as possible.

352.522 The custodian makes the determination of whether to comply with or to deny the request within 10 working days (that is, exclusive of Saturdays, Sundays, and holidays) of receiving the request, more rapidly if feasible. By mutual agreement, the custodian and the requester may establish, preferably in writing, a different response period.

352.523 If a requested record cannot be located from the information supplied, the requester should be given an opportunity to supply additional information and, if feasible, to confer with the custodian or representative, in an attempt to provide a reasonable description of the records sought. If additional information is furnished, the request will be deemed to have been received by the custodian when sufficient additional information to identify and locate the record with a reasonable amount of effort has been received.

352.524 The allowed 10-working-day response period may be extended by the custodian, after consultation with the Chief Field Counsel (or with the General Counsel if the custodian is at Headquarters) for a period not to exceed an additional 10 working days as reasonably necessary to permit the proper processing of a particular request, under one or more of the following unusual circumstances:

- a. The request requires a search for and collection of records from a facility other than that processing the request;
- b. The request requires the search for, and collection and appropriate examination of, a voluminous amount of separate and distinct records; or
- c. The request requires consultation (1) with another agency having a substantial interest in the determination of whether to comply with the request, or (2) among two or more components of the Postal Service having substantial subject matter interest in the determination of whether to comply with the request.

352.525 If additional time is required, the custodian must acknowledge the request in writing within the initial 10-day response period, state the reason for the delay, and indicate the date on which a decision as to the disclosure is expected.

352.526 The custodian unable to comply with the applicable time limit provisions, in spite of the exercise of due diligence, must make a determination as promptly as possible, and shall notify the requester of the exceptional circumstances preventing timely compliance and of the date by which it is expected that the determination will be made. A copy of this notification must be sent to the General Counsel, U.S. Postal Service, Washington, DC 20260-1100.

352.527 If a requested record is known to have been destroyed, disposed of, or otherwise not to exist, the requester shall be so notified. (*Note:* The nonexistence of records does not constitute a denial; therefore, 352.55, Appeal Procedure, should not be cited when responding to the requester.)

352.528 The custodian must keep a record of all documents furnished or denied in response to a request, preferably by photocopying them, particularly when only portions of a document are furnished and other portions are deleted or withheld. These records must be retained for 6 years to coincide with the general statute of limitations applicable to the government.

352.53 Compliance With Approved Request

352.531 When a requested record has been identified and is to be disclosed in whole or in part, the custodian must ensure that the record is made available promptly, and immediately notify the requester where and when and upon what reasonable conditions, if any, including the payment of fees, the record will be available for inspection or copies will be available. Postal Service records will normally be available for inspection and copying during regular business hours at the postal facilities at which they are maintained. The custodian may, however, designate other reasonable locations and times for inspection and copying of some or all of the records within custody.

352.532 Any fees authorized or required to be paid in advance according to 352.663 must be paid by the requester before the record is made available or a copy is furnished, unless payment is waived or deferred, pursuant to 352.67. (See also 352.662 concerning advance notice of fees.)

352.533 A custodian complying with a request may designate a representative to monitor any inspection or copying.

352.54 Denial

352.541 A reply denying a request in whole or in part must be in writing, signed by the custodian or designee, and include:

- a. A statement of the reason for, or justification of, the denial (e.g., records personal in nature) including, if applicable, a reference to the provision or provisions of 352.4 authorizing the withholding of the record and a brief explanation of how each provision applies to the records requested;
- b. The name and title or position of the person responsible for the denial of the request (see 352.542); and
- c. A statement of the right to appeal and of the appeal procedure within the Postal Service. (See 352.55.)

352.542 The custodian is ordinarily the person responsible for the denial of the request. If the denial of a particular request has been directed by a higher authority, however, the name and title or position of the person directing the denial must be given in the reply to the requester in place of the custodian as the person responsible for the denial, and a copy of the denial must be sent to that person.

352.55 Appeal Procedure

352.551 If the following three conditions are met, the requester may appeal to the address listed below.

- a. A request to inspect or to copy a record is denied, in whole or in part;
- b. No determination is made within the period prescribed; or
- c. A request for waiver of fees is not granted.

GENERAL COUNSEL
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-1100

352.552 The requester must submit the appeal in writing within 30 days of the date of the denial or of the other action complained of, or within a reasonable time if the appeal is from a failure of the custodian to act. The General Counsel may, in his discretion, consider late appeals.

352.553 A letter of appeal should include, as applicable:

- a. A copy of the request, of any notification of denial or other action, and of any other related correspondence;
- b. A statement of the action, or failure to act, from which the appeal is taken;
- c. A statement of the reasons why the requester believes the action or failure to act is erroneous; and
- d. A statement of the relief sought.

352.554 Even if a request is denied or a custodian's act or failure to act is not appealed, the General Counsel may review the case as though an appeal had been made, if he considers there is doubt as to correctness of the custodian's action or failure to act.

352.56 Action on Appeals

352.561 The decision of the General Counsel or his designee constitutes the final decision of the Postal Service on the right of the requester to inspect or copy a record. The decision is normally made within 20 working days from the time of receipt by the General Counsel. The 20-day response period may be extended by the General Counsel or his designee for a period not to exceed an additional 10 working days when reasonably necessary to permit the proper consideration of an appeal, under one or more of the unusual circumstances in 352.524. The total number of additional working days used, however, may not exceed 10.

352.562 The decision on the appeal must be in writing. If the decision sustains a denial of a record, in whole or in part, it must state the justification and specify any exemption or exemptions relied on and the manner in which they apply to the record withheld, and must inform the requester of the right to judicial review. An indexed file of decisions on appeals is maintained by the Headquarters Library and is made available to the public.

352.563 If not prohibited by or under law, the General Counsel or designee may direct the disclosure of a record even though its disclosure is not required by law or regulation.

352.6 Schedule of Fees

352.61 Purpose. Fair and equitable fees are established to permit the furnishing of records to members of the public while recovering the full allowable direct costs incurred by the Postal Service. The Postal Service will use the most efficient and least costly methods available to it when complying with requests for records. The term "direct costs" is defined at exhibit 352.61.

352.62 Standard Rates

352.621 *Record Retrieval.* Searches may be done manually or by computer using existing programming.

- a. *Manual Search.* The fee for each quarter hour spent by clerical personnel in searching for records is \$4.40. When a search cannot be performed by clerical personnel and must be performed by professional or managerial personnel, the fee for each quarter hour spent in searching for records is \$5.35. *Exception: see 352.671.*
- b. *Computer Search.* The fee for retrieving data by computer is the actual direct cost of the retrieval, including computer search time, runs, and operator salary, as calculated in accordance with the information services price list in effect at the time that the retrieval services are performed. The list is subject to periodic revision. (See exhibit 352.621.)

352.622 Duplication

- a. *Fee.* Except where otherwise specifically provided in postal regulations, the fee for duplicating any record or publication is 15 cents per page. (See also 352.622d.)
- b. *Offsite Copying.* The USPS may at its discretion make coin-operated copy machines available at any location or otherwise give requesters the opportunity to make copies of USPS records at their own expense. Unless authorized by the Records Officer, however, no offsite copying is permitted of records which, if lost, could not be replaced without inconvenience to the Postal Service.
- c. *Copies.* The Postal Service normally furnishes only one copy of any record. If duplicate copies are furnished at the request of the requester, the per page fee is charged for each copy of each duplicate page without regard to whether the requester is eligible for free copies pursuant to 352.63 or 352.67. At the custodian's discretion, when it is reasonably necessary because of a lack of adequate copying facilities or other circumstances, the custodian may make the requested record available to the requester for inspection under reasonable conditions and need not furnish a copy.

d. Special Copying Charges

- (1) *Photocopy of Money Order.* Photocopy of a paid money order upon payment of fee in accordance with DMM 941.4.
- (2) *Return Receipt After Mailing.* Copy of return receipt requested after mailing for mail that is sent COD, certified, registered, or insured, upon payment of fee in accordance with DMM 932.2 and .3.
- (3) *Domestic Delivery Record.* Copy of domestic delivery record for an article sent registered, insured, certified, COD, or Express Mail, upon payment of the fee for a return receipt after mailing, as set forth in DMM 932.2.
- (4) *International Mail Record.* Inquiries on international registered or insured mail, upon payment of fee in accordance with *International Mail Manual(IMM)*.
- (5) *Sexually Oriented Advertising (SOA).* List of those persons who do not desire to receive

1. **Direct Costs.** Expenditures actually incurred in searching for and duplicating (and in the case of commercial requesters reviewing) documents to respond to a Freedom of Information Act (FOIA) request. Direct costs include, for example, the salary of the employee performing work (the basic rate of pay for the employee plus a factor to cover benefits) and the cost of operating duplicating machinery. Not included in direct costs are overhead expenses such as costs of space and heating or lighting the facility in which the records are stored.
2. **Search.** All time spent looking for material that is responsive to a request, including page-by-page or line-by-line identification of material within documents. Searches may be done manually or by computer using existing programming. A line-by-line search will be conducted only when necessary to determine whether the document contains responsive information and will not be employed in those instances in which duplication of the entire document would be the less expensive and quicker method of complying with a request. "Search" does not include review of material to determine whether the material is exempt from disclosure (see definition 4).
3. **Duplication.** The process of making a copy of a document necessary to respond to a FOIA request. Such copies can take the form of paper copy, microform, audiovisual materials, or machine-readable documentation (e.g., magnetic tape or disk), among others. The copy provided must be in a form that is reasonably usable by requesters.
4. **Review.** The process of examining documents located in response to a request that is for a commercial use (see definition 5) to determine whether any portion of any document located is exempt from mandatory disclosure. It also includes processing any documents for disclosure (e.g., doing all that is necessary to excise them and otherwise prepare them for release). Review does not include time spent resolving general legal or policy issues regarding the application of exemptions. Charges may be assessed only for the initial review (i.e., the first time the applicability of a specific exemption is analyzed). Costs for a subsequent review are properly assessable only when a record or portion of a record that is withheld solely on the basis of an exemption later determined not to apply must be reviewed again to determine the applicability of other exemptions not previously considered.
5. **Commercial use request.** A request from or on behalf of one who seeks information for a use or purpose that furthers the commercial, trade, or profit interests of the requester or the person on whose behalf the request is made. In determining whether a request properly belongs in this category, the Postal Service will look to the use to which the requester will put the documents requested. If the use is not clear from the request itself or if there is reasonable cause to doubt the requester's stated use, the custodian will seek additional clarification from the requester before assigning the request to this category.
6. **Educational Institution.** A preschool, a public or private elementary or secondary school, an institution of undergraduate higher education, an institution of graduate higher education, an institution of professional education, or an institution of vocational education that operates a program or programs of scholarly research.
7. **Noncommercial scientific institution.** An institution that is not operated on a "commercial" basis as that term is defined in definition 5 and which is operated solely for the purpose of conducting scientific research, the results of which are not intended to promote any particular product or industry.
8. **Representative of the news media.** Any person actively gathering news for an entity that is organized and operated to publish or broadcast news to the public. The term "news" means information that is about current events or that would be of current interest to the public. Requests by news organizations for information that will be used for the furtherance of the organization's commercial interests, rather than for the dissemination of news to the public, will be considered commercial use requests. Examples of news media entities include television or radio stations broadcasting to the public at large and publishers of periodicals (but only in those instances when they can qualify as disseminators of "news") who make their products available for purchase or subscription by the general public. These examples are not intended to be all-inclusive. A freelance journalist will be regarded as a representative of the news media by demonstrating a solid basis for expecting publication through a news organization, even though not actually employed by it. This may be demonstrated either by a publication contract with the news organization or by the past publication record of the requester.

SOA, upon payment of fee in accordance with DMM 123.54.

352.623 Review. The fee for each quarter hour spent by clerical personnel in reviewing records located in response to a commercial use request is \$4.40. When review cannot be performed by clerical personnel and must be performed by professional or managerial personnel, the fee for each quarter hour is \$5.35. Only requesters who are seeking documents for commercial use may be charged for review. "Review," and "commercial use request" are defined in exhibit 352.61.

352.624 Micrographics. ASM 352.621, .622, and .623 also apply to information stored within micrographic systems.

352.63 Four Categories of Requesters and Fees to Be Charged. For the purpose of assessing fees under this section, a requester will be classified into one of four categories as set forth in the following. Requesters in each category must reasonably describe the records sought. Fees are charged requesters in each category in accordance with the following.

352.631 Commercial Use Requesters. Fees will be charged to recover the full direct costs of search, review, and duplication in accordance with the rates prescribed in 352.621, .622, and .623, subject only to

the general waiver set out in 352.671. The term "commercial use request" is defined in exhibit 352.61.

352.632 Educational and Noncommercial Scientific Institutions. Fees will be charged only for duplication in accordance with 352.622, except that the first 100 pages furnished in response to a particular request will be furnished without charge. (See also the general waiver provision at 352.671.) To be eligible for the reduction of fees applicable to this category, the requester must show that the request is being made as authorized by and under the auspices of a qualifying institution and that the records are not sought for a commercial use, but are sought in furtherance of scholarly or scientific research. These institutions are defined in exhibit 352.61.

352.633 Representatives of the News Media. Fees will be charged only for duplication in accordance with 352.622, except that the first 100 pages furnished in response to a particular request will be furnished without charge. (See also the general waiver provision at 352.671.) To be eligible for the reduction of fees applicable to this category, the requester must meet the criteria governing representatives of the news media as set forth in exhibit 352.61 and the request must not be made for a commercial use.

352.634 All Other Requesters. Fees will be charged for search and duplication in accordance with 352.621 and .622, except that the first 100 pages of duplication

INFORMATION SERVICES PRICE LIST

Whenever an individual requests information that must be retrieved by computer, standard charges will be incurred based upon resources required to furnish this information. Estimates are provided to the requester in advance and are based on the following standard price list.

Description of Services	Price	Unit
A. System Utilization Services:		
Central Processor Unit (CPU) Based upon IBM 3090-200 Performance Standard Batch Processing	\$3,000.00	hour
Time Sharing Option (TSO)	3,400.00	hour
Customer Information Control System (CICS)	3,400.00	hour
Integrated Data Base Management System (IDMS)	3,400.00	hour
Direct Access Storage Device (DASD) Channel Utilization (EXCPs--execution of channel programs)	.45	1,000 EXCPs
Tape Channel Utilization (EXCPs)	.50	1,000 EXCPs
Local Printing (LINES)	.95	1,000 lines
B. Personnel Charges:		
Manual Unit Personnel	30.00	hour
Systems & Programming Personnel	42.00	hour

Exhibit 352.621, Fees for Retrieval by Computer

and the first 2 hours of search time will be furnished without charge. (See also ASM 352.671 and .672.)

352.64 Aggregating Requests. When the custodian reasonably believes that a requester is attempting to break a request down into a series of requests in order to evade the assessment of fees, the custodian may aggregate the requests and charge accordingly. The custodian will not aggregate multiple requests when the requests pertain to unrelated subject matter. Requests made by more than one requester may be aggregated only when the custodian has a concrete basis on which to conclude that the requesters are acting in concert specifically to avoid payment of fees.

352.65 Other Costs

352.651 Publications. Publications and other printed materials may, to the extent that they are available in sufficient quantity, be made available at the established price, if any, or at cost to the Postal Service. Fees established for printed materials pursuant to laws, other than FOIA, are not subject to waiver or reduction under 352.6.

352.652 Other Charges. When a response to a request requires services or materials other than the common ones listed in 352.621, .622, and .623, the direct cost of such services or materials to the Postal Service may be charged, but only if the requester has been notified of the nature and estimated amount of such cost before it is incurred.

352.653 Change of Address Orders. Although change of address information is not required by FOIA to be made available to the public, the fee for obtaining this information in accordance with 352.44a is included in this section as a matter of convenience. The fee for searching for a change of address order is \$1. This fee is charged regardless of whether a permanent change of address is found on file. (See 352.675)

352.654 Search and Photocopying of Records at the National Personnel Records Center. Fees for these services are established by the National Archives and Record Administration. The current fees are search, \$8 per hour (with a minimum of \$4 per half hour), \$2 for the first six photocopies, and 5 cents for each additional photocopy. (Note: These prices are subject to change.)

352.66 Advance Notice and Payment of Fees

352.661 Liability and Payment. The requester is responsible, subject to limitations on liability provided by this section, for the payment of all fees for services resulting from the request, even if responsive records are not located or are determined to be exempt from disclosure. Checks in payment of fees must be made payable to the United States Postal Service.

352.662 Advance Notice. To protect members of the public from unwittingly incurring liability for unexpectedly large fees, the custodian will notify the requester if the estimated cost is expected to exceed \$25. When search fees are expected to exceed \$25, but it cannot be determined in advance whether any records will be located or made available, the custodian will notify the requester of the estimated amount

and of the responsibility to pay search fees even though records are not located or are determined to be exempt from disclosure. The notification must be transmitted as soon as possible after physical receipt of the request, giving the best estimate then available. Include a brief explanatory statement of the nature and extent of the services upon which the estimate is based and offer the requester an opportunity to confer with the custodian or representative in an attempt to reformulate the request so as to meet the requester's needs at lower cost. The time period for responding to the request will not run during the interval between the date such notification is transmitted and the date of receipt of the requester's agreement to bear the cost. No notification is required if:

- a. The request specifically states that whatever cost is involved is acceptable or is acceptable up to a specified amount that covers estimated costs; or
- b. Payment of all fees in excess of \$25 has been waived.

352.663 Advance Payment. Advance payment of fees will not be required, except:

- a. When it is estimated that the fees chargeable under this section are likely to exceed \$250. If the requester has a history of prompt payment of FOIA fees, the custodian will notify the requester of the likely cost and obtain satisfactory assurance of full payment before commencing work on the request. If the requester has no history of payment, the custodian may require an advance payment of an amount up to the full estimated charge before commencing work on the request.
- b. When a requester has previously failed to pay a fee in a timely fashion (i.e., within 30 days of the date of the billing), the requester will be required to pay the full amount owed and to make an advance payment of the full amount of the estimated fee before processing will begin on a new or pending request.
- c. When advance payment is required under *a* or *b*, the time periods for responding to the initial request or to an appeal will not run during the interval between the date that notice of the requirement is transmitted and the date that the required payment or assurance of payment is received.

352.67 Restrictions on Assessing Fees

352.671 General Waiver. Fees will not be charged to any requester if they would amount, in the aggregate, for a request or a series of related requests, to \$10 or less. When the fees for the first 100 pages or the first 2 hours of search time are excludable under 352.63, additional costs will not be assessed unless they exceed \$10. This general waiver does not apply to the fee for providing change of address information or for the other services described in 352.622d.

352.672 Certain Fees Not Charged

- a. **All Requests Except Those for Commercial Use.** Fees will not be charged for the first 100 pages of duplication and the first 2 hours of search time except when the request is for a commercial use as defined in exhibit 352.61. When search is done by

computer, the fees to be excluded for the first 2 hours of search time will be determined on the basis of the standard rates set out in the information services price list then in effect. (See exhibit 352.621.) Assessment of search fees will begin at the point when the cost of the search (including the cost of equipment use and operator's time) reaches the equivalent dollar amount of the operator's hourly rate specified in the information services price list.

- b. Requests of Educational and Noncommercial Scientific Institutions and Representatives of the News Media.* Fees will not be charged for time spent searching for records in response to requests submitted by educational and noncommercial scientific institutions or representatives of the news media.

352.673 Public Interest Waiver. The custodian will waive a fee, in whole or in part, and any requirement for advance payment of such a fee, when he determines that furnishing the records is deemed to be in the public interest because it (a) is likely to contribute significantly to public understanding of the operations or activities of the federal government and (b) is not primarily in the commercial interest of the requester. This waiver may be granted notwithstanding the applicability of other fee reductions prescribed by this section for requesters in certain categories. In determining whether disclosure is in the public interest for the purposes of this waiver, the following factors may be considered:

- a. The relation of the records to the operations or activities of the Postal Service;
- b. The informative value of the information to be disclosed;
- c. Any contribution to an understanding of the subject by the general public likely to result from disclosure;
- d. The significance of that contribution to the public understanding of the subject;
- e. The nature of the requester's personal interest, if any, in the disclosure requested; and
- f. Whether the disclosure would be primarily in the requester's commercial interest.

352.674 Waiver by Officer. Any USPS officer or designee or the USPS Records Officer may waive in whole or in part any fee required by this part or the requirement for advance payment of any fee.

352.675 Waiver of Fee for Changes of Address. The fee prescribed by 352.653 is waived when change of address information is provided:

- a. To a federal, state, or local government agency upon prior written certification that the information is required for the performance of its duties;
- b. To persons requesting the information for the purpose of serving legal process in accordance with 352.44f(2);
- c. In compliance with a subpoena or other court order;
- d. To a law enforcement agency for oral requests made through the Inspection Service in accordance with 352.44f(4); or

- e. To postage meter manufacturers when they are attempting to locate a missing meter. This waiver does not apply to fees for services performed in accordance with DMM 945.

352.68 Accounting for Fees. Custodians must account for fees paid as follows:

- a. Deposit fees received as postal funds. Record the amounts collected by entries to Account Identifier Code (AIC) 198. Freedom of Information Fees, in the accountbook and on the statement of account. Record the manner paid, the amount received, and the number of hours used to compile lists or prepare copies of other records released on the request for this information. Attach written replies to the customer's request stating the number of hours required to prepare information and the amount to be charged in lieu of the above notation. File materials chronologically.
- b. Forward fees received for information furnished by PDCs, regional offices, and other non-post office installations to the disbursing officer at the appropriate PDC for deposit. Specify the proper account number to be used for recording the amounts collected. PDCs and Headquarters offices providing record retrieval as described in 352.621 enter those fees, plus fees covered in 352.622, .623, and .65. in AIC 43388. Freedom of Information Fees.

352.7 Annual Report A report on the administration of the Freedom of Information Act for the preceding calendar year is to be submitted to Congress by March 1 of each year. The Records Officer prescribes the form and content of the report and may vary the time for the submission of reports by individual custodians, to avoid undue duplication or frequency of submissions.

352.8 Reprisal for Release of Information Although restrictions govern the release of information from the Postal Service, employees who release information contrary to regulations in this section may not be subject to reprisals in certain instances (as referenced in ELM 668.118).

353 Privacy Act

353.1 General

353.11 Requirements

353.111 This part contains instructions for applying the Privacy Act of 1974 and the Postal Service regulations that implement it. These regulations are parts 266 and 268 of title 39, CFR. In the event of a conflict between these instructions and the Act or regulations, the latter govern.

353.112 Under the Privacy Act of 1974, the Postal Service must:

- a. Publish in the *Federal Register* and forward to Congress and the Office of Management and Budget adequate advance notice of any proposal to establish or modify, or alter the uses of, any sys-

tern of records containing information about individuals.

- b. Comply with certain requirements regarding the collection, use, disclosure, and safeguarding of information about individuals.
- c. Permit an individual to determine what records the Postal Service has filed or cross-indexed under that individual's name; gain access to and have a copy made of the pertinent information in those records, amend or correct the records; and determine the use and disclosures made of the records.

353.12 Definitions

353.121 A System of Records that contains information about individuals means any group of records under the control of the Postal Service, including mailing lists, from which information is retrieved by the name of an individual or by some personal identifier assigned to the individual, such as a social security number.

353.122 Individual in this context does not include proprietorships, businesses, or corporations, which are not covered by the Privacy Act.

353.13 Penalties

353.131 *Postal Employees.* The *Privacy Act* provides criminal penalties, in the form of fines of up to \$5,000, for any officer or employee of a federal agency, including the Postal Service, who:

- a. Knowing that disclosure of specific material containing information about a person is prohibited, willfully discloses that material in any manner to any person or agency not entitled to receive it; or
- b. Willfully maintains a system of records containing information about individuals without giving appropriate notice in the *Federal Register*.

353.132 *False Pretenses.* The *Privacy Act* also provides criminal penalties, in the form of fines of up to \$5,000, for any person who knowingly and willfully requests or obtains under false pretenses any record concerning another individual.

353.14 Responsibilities of Records Custodians. Records custodians are responsible for ensuring compliance with the *Privacy Act* in respect to records in their custody.

353.2 Collecting and Using Information About Individuals

353.21 Approved Systems. Notice concerning the systems of records listed in the Appendix has been published in the *Federal Register*. At the present time, these are the only systems of records in which information about individuals may be maintained in the Postal Service. New systems may be established only as provided in 353.24.

353.22 Restriction. No information describing how individuals exercise rights guaranteed by the First Amendment may be collected or maintained unless

the Postmaster General determines that such information is relevant and necessary to carry out a statutory purpose of the Postal Service.

353.23 Informing the Individual

353.231 *Written Request.* Upon written request, the Postal Service will notify any individual whether a specific system of records named by that person contains a record pertaining to him or her.

353.232 *Forms and Notices.* The Privacy Act requires that, to the greatest extent practicable, information about an individual is to be collected from the individual. It also requires that when individuals are asked to furnish information about themselves, they must be informed of the following in one of two ways:

- a. The form used to collect the information must contain a privacy notice telling the individual:
 - (1) What statute or Executive Order authorizes the solicitation of the information;
 - (2) Whether the disclosure is mandatory;
 - (3) The purposes for which the information is intended;
 - (4) The routine uses which may be made of it; and
 - (5) The effects of not providing the information; or
- b. The individual must be given a separate notice with such information, e.g., Notice 70, 7-J.C, or 70-D, *Privacy Act Notice*.

353.233 Interviews

- a. When information about an individual is being collected in an interview, the interviewer should provide the individual with a privacy notice as in 353.232b, if the answer to all of the following questions is yes:
 - (1) Is the information that is to be collected *and* maintained likely to (a) be used in making a determination about an individual; or (b) directly affect an individual?
 - (2) If there is a Postal Service form that collects the same kind of information, does that form contain a Privacy Act statement (e.g., Form 2591, *Application for Employment*)?
 - (3) Is this the first time within the last 2 years that the Postal Service has collected this kind of information from the individual either through the use of a form or a previous interview?
- b. The interviewer should also orally summarize the information in the privacy notice before the interview begins.

353.24 New or Changed Systems of Records

353.241 Approval

- a. *Headquarters/Field.* Any Headquarters or field organization that wishes to establish a new system of records containing information about individuals, change an existing system, or introduce new forms to collect personal information from an individual, must first obtain approval from the USPS Records Officer.

- b. Limitation.* The Postal Service may collect and maintain in its records only such information about an individual as is both necessary and relevant to accomplish a purpose which the Postal Service is required to accomplish by statute or by Executive Order of the President.
- c. Lead Time.* Allow 75 days to give notice in the *Federal Register* and review comments on new or changed systems.

353.242 Changes Requiring Approval. The following types of changes to systems of records containing information about individuals must be published in the *Federal Register* and must be approved before implementation:

- a.* Changing the types of individuals or the scope of the population on whom the records are maintained.
- b.* Expanding the types or categories of information maintained.
- c.* Altering the manner in which the records are organized, indexed, or retrieved so as to change the nature or scope of these records. *Examples:*
- (1) A change from retrieval by social security number to retrieval by name.
 - (2) A change from a manual to an automated system.
- d.* Altering the purpose for which the information is used.
- e.* Changing an established disclosure practice.

353.243 Consultation. Consult with the Records Officer at Headquarters about the procedures for reporting a new or changed system of records containing information about individuals.

353.244 Special Consideration for Contract Solicitation. A Request For Proposal, Invitation To Bid, or similar solicitation will not be issued before reporting the solicitation to the Records Officer, if the solicitation is for contract services to design, develop, operate, or use a new or existing system of records containing information about individuals.

353.25 Abolishing Systems of Records. Whenever a need for maintaining some or all of the records in a system of records no longer exists, the information system executive must inform the Records Officer. The Records Officer will provide advice on abolishing the records system and will delete the system from the Appendix. (Each information system executive is identified under *system manager* in the system description appearing in the Appendix.)

353.3 Disclosing Information About Individuals

353.31 Accounting Requirements

353.311 Exceptions. Custodians must keep an accurate accounting of every disclosure of information from a system of records containing information about an individual (even if the disclosure is made at the individual's request), *except* for:

- a.* Certain public information (see 353.321);

- b.* Information disclosed to USPS employees for use in the performance of their duties (see 353.322); or
- c.* Information disclosed to the individual to whom the information pertains (see 353.324), except that disclosures of OPF information to the subject individual must be accounted for. (See 353.313.)

353.312 Media and Content. Use the appropriate disclosure accounting form, if applicable. (See 353.313.) Otherwise, the accounting of the disclosure may be in the form of a memo to the file (see suggested format in exhibit 353.312), a copy of correspondence transmitting the disclosed information, a log, or other listing, and must indicate:

- a.* The date of the disclosure, its nature (such as *employee accident records folder review*), and its purpose (such as *legal proceeding*).
- b.* The name and address of the agency or person to whom the disclosure was made.

Record of Disclosure from System of Records in
compliance with 5 U.S.C. 552a(c)

Pertaining to: (Name of individual) Date:

Information disclosed: (State, summarize, or otherwise identify)

Source: No. and name of system of records, identification of document(s), etc.

To: Individual, organization if any, and address

Purpose:

Authority for disclosure: Sec. of Act; # of routine use; identification of written request or consent

Exhibit 353.312, Suggested Format For Memo on Disclosure

353.313 Disclosure Accounting Forms

- a.* For Disclosures from Official Personnel Folders {OPFs):
- (1) *General.* For all disclosures of OPF information, except as noted in (2) below, use Form 6100-A, *OPF Disclosure Accounting Form* to account for the disclosure.
 - (2) *To Law Enforcement Officials.* Use Form 6100-B, *OPF Disclosure Accounting Form (for law enforcement officials)*.
- b.* For Disclosures to Union Representatives. Except for disclosures of OPF information (see 353.313a), use Form 6105, *Disclosure of Information About Employees to Collective Bargaining Agents* to account for disclosures to collective bargaining agents. (See also 353.326.)

353.314 Filing and Retention. The accounting of the disclosure must be filed, cross-indexed, or otherwise associated with the record that was disclosed, so that a complete accounting of disclosures can be constructed. The accounting must be retained for 5 years or for the life of the record disclosed, whichever is longer.

353.32 Rules of Disclosure

353.321 Public Information. The following information is available to the public and may be disclosed to any person:

- a. **Employment Data.** The name, job title, grade, salary, duty status, and dates of postal employment of any current or former postal employee.
- b. **Business Boxholder Data.** The recorded name and address of a post office boxholder, when the box is being used for the purpose of doing or soliciting business with the public, and any person applying for a box in behalf of the holder. (No fee is charged for this information.) A postmaster may furnish this information when satisfied (from the entries appearing on Form 1093, or from evidence such as an advertising circular furnished by the requester) that a box is being used for a business purpose. When a postmaster is unable to determine whether a business use is involved, refer the request to the Chief Field Counsel.
- c. **Change of Address Notices.** The new address of any person who has filed a permanent change of address notice. A fee of \$1.00 is charged for each address requested. An accounting must be kept for each disclosure made to a requester except for those made in response to an *Address Correction Request*.
- d. **Redirected Box Mail.** The recorded post office box address of a customer whose mail is redirected to a post office box. A fee of \$1.00 will be charged for this information. An accounting must be kept for each disclosure.
- e. **Permit Holder Data.** The name and address of the holder of a particular bulk mail permit, permit imprint or similar permit, or postage meter permit, and the name of any person applying for a permit in behalf of a holder. (*Lists of permit holders may not be furnished to members of the public.*) Fees will be charged. (See 352.6.) An accounting must be kept for each disclosure.

353.322 To Postal Employees

- a. **General.** Information pertaining to an individual may be disclosed to any postal employee, or employee of a contractor operating a Postal Service system of records, who needs the information in the performance of postal duties. No accounting of these disclosures is required.
- b. **To Postal Inspectors for External Disclosure.** Law enforcement agencies routinely request postal inspectors to obtain boxholder and change of address information from the post office of record. In such cases, the inspector is acting as a liaison with that agency, and except for information obtained on boxes being used for business purposes (the release of which does not require a disclosure accounting—see 353.321b), must inform the post office official that the information is to be disclosed outside the Postal Service. The inspector will orally furnish the information required for the disclosure accounting to be maintained by the postmaster.

353.323 For Governmental and Legal Purposes. Information pertaining to an individual may be

disclosed from any pertinent system of records under the following conditions (an accounting must be kept of each disclosure):

- a. **Law Enforcement.** To a federal, state, or local government agency for a civil or criminal law enforcement activity if:
 - (1) The activity is authorized by law; and
 - (2) The head or other senior official of the agency requests in writing the disclosure of a particular record and specifies the law enforcement activity for which it is sought. (*Note: The Inspection Service must be consulted before information other than boxholder or address information is released.*)
- b. **Specific Government Agency Uses.** To various federal, state, and local agencies when the system of records, as described in the Appendix, permits the disclosure as one of the system's *routine uses*. If in doubt as to the applicability of a routine use, obtain the advice of the Chief Field Counsel.
- c. **Census.** To the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity.
- d. **Congress.** To either House of Congress, to a congressional committee, subcommittee, or joint committee, or to representatives of the Comptroller General or the General Accounting Office. (*Note: All inquiries from an individual member of Congress, not acting on behalf of a committee or subcommittee, requesting records or information, other than public information, pertaining to an individual must be forwarded to:*

ASSISTANT POSTMASTER GENERAL
GOVERNMENT RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA
WASHINGTON DC 20260-3500.)

- e. **Court Order.** In response to a subpoena or other court order. (The Chief Field Counsel must be notified before the information is released. The Chief Field Counsel will advise the custodian about the appropriate procedure for giving required notice to the individual to whom the record pertains.)
- f. **Jury Service.** To a court official, such as a judge, court clerk, or jury commissioner, upon written request and at no cost, of a customer's address, if known, and if it is sought in connection with jury service.
- g. **Process Servers.** The name or address of an individual post office boxholder may be furnished to a person empowered by law to serve legal process, upon written certification that the information is required to effect service in a currently pending proceeding. (See 352.44f(2) for details.)

353.324 To the Individual Concerned. Individuals may review and have copies of any information pertaining to themselves that is contained in a record filed or cross-indexed under their name or other identifier, *except* the following:

- a. **Confidential Sources.** The name or information identifying an individual who has requested and has been expressly promised anonymity in provid-

ing information to the Postal Service. This exception applies only to Postal Inspection Service records (which may be disclosed only on the authority of the Chief Postal Inspector); preemployment investigation records; recruiting, examining, training, and placement records; equal employment opportunity discrimination complaint investigations and counseling records; and post-master selection records. (The information must be excised from a copy of the record before that record can be reviewed or copied by the individual.)

- b. *Civil Actions.* Records compiled in reasonable anticipation of a civil action or proceeding, such as a lawsuit or administrative hearing.
- c. *Law Enforcement.* Records of the disclosure of information to law enforcement agencies under 353.323a.
- d. *Testing Material.* Information within records that might compromise testing or examination materials.
- e. *Registers.* Registers for positions to be filled. (Upon written request, an individual may be told whether prospects for appointment are good, fair, or unfavorable.)
- f. *Medical Records.* Medical or psychological records, including those received from the Veterans Administration, Public Health Service, or Office of Workers' Compensation, when the medical officer determines that disclosure could have an adverse effect upon the subject individual. Such records may be made available to a physician designated in writing by the individual, in which case a disclosure accounting must be filed.
- g. *Uncirculated Supervisors' Notes.* Information pertaining to individuals in the form of *uncirculated personal notes* kept by USPS employees, supervisors, counselors, investigators, etc., which are not circulated to other persons. (*Note:* If they are circulated, they become official records in a system of records and must be shown upon request to the employee to whom they pertain. Official evaluations, appraisals, estimates of potential, etc., must be made available to the employee to whom they pertain.)
- h. *National Agency Checks.* Results of national agency checks and written inquiry investigations (NACI) conducted by the Office of Personnel Management. Advise individuals requesting NACI records to send their requests to the DIRECTOR, BUREAU OF PERSONNEL INVESTIGATIONS, OFFICE OF PERSONNEL MANAGEMENT, NACI CENTER, BOYERS PA 16018-0001.

353.325 To Third Parties. Information available to individuals about their own records may only be made available to another person, including a spouse, under certain circumstances. An accounting must be kept of each such disclosure. The circumstances are:

- a. *With Permission.* When the third party has a signed statement of permission from the individual to obtain the information. Such authorizations must be dated no earlier than 1 year from the date the Postal Service receives the third party request.

- b. *On Invitation.* When individuals invite third parties to be present when reviewing records, providing individuals submit a written statement authorizing disclosure of information in that person's presence.
- c. *Compelling Circumstances.* Upon a showing of compelling circumstances affecting the health or safety of an individual, if notification of such disclosure is transmitted to the last known address of the person to whom the record pertains.
- d. *Routine Use.* To persons and organizations when the system of records, as described in the Appendix, permits the disclosure to that person or organization as one of the system's routine uses. If in doubt as to applicability of a routine use, obtain the advice of the Chief Field Counsel.
- e. *Freedom of Information Act Requests.* When disclosure of the requested record is required by the *Freedom of Information Act*. (See 352.4, especially .42-.47. If in doubt as to effect of the Act, obtain the advice of the Chief Field Counsel.)

353.326 To Collective Bargaining Agents. Information about individual employees is released to certified collective bargaining agents, consistent with appropriate provisions of applicable collective bargaining agreements and other statutory obligations, when permitted as a routine use of the system of records. If in doubt as to the obligation or the permissibility of a disclosure, obtain the advice of the Office of the Chief Field Counsel. (See also 353.313b.)

353.327 For Credit and Job References

- a. *Credit References.* Credit bureaus, banks, federal credit unions, and other commercial firms from which an employee is seeking credit may be given public information about the grade, salary, duty status, employment dates, and job titles of a present or former employee, with no accounting of the disclosure. However, if a firm requests additional information, it should submit a release form signed by the individual; an accounting of the disclosure must be kept.
- b. *Job References.* Prospective employers may be furnished public information listed in 353.327a. In addition, the date and reason for separation of a former employee as shown on Form 50, *Notification of Personnel Action*, may be given if the identity of the requester is verified. A record of the disclosure must be maintained. If additional information is desired, the requester should submit a release form signed by the employee; an accounting of the disclosure must be kept.

353.328 For Statistical Purposes. Information pertaining to an individual may be disclosed to a requester who has given the Postal service written assurance that the information will be used solely for statistical research or reporting purposes. Information disclosed under this provision must be transferred in a form that is not individually identifiable. An accounting must be kept of each disclosure.

353.33 Restrictions on Disclosing List of Names or Addresses. Mailing lists or other lists of names or addresses, past or present, of postal customers and

other persons are not generally made available to the public. The Chief Field Counsel must approve the release of name or address lists. (This does not include actions involved in providing mailing list services under DMM 945 or postal employee listings under 352.415.) No accounting is required.

353.34 Photocopying or Filming Covers of Mail. To ensure that customers' privacy, federal law, and postal regulations are not violated, photocopying or filming the covers of live mail for postal operations purposes and disclosure of such copies or film are prohibited, except as follows:

- a. The cover of a piece of mail submitted by a customer as an example of a service complaint may be copied if needed to resolve or keep a record of the complaint.
- b. In lieu of completing Form 3546, *Forwarding Order Change Notice*, the cover of a piece of mail may be copied *only if* the copy will show *only* the addressee's old and new addresses. The sender's name and address, the postmark, and other information from the cover must not be copied or recorded.
- c. In lieu of completing Form 3547, *Notice to Mailer of Correction in Address*, in reply to a mailer's request for address correction on First-, third-, or fourth-class mail, a cover of a piece of mail may be copied after an address correction label has been affixed to the cover, and the copy may be sent to the mailer.
- d. A cover of a piece of mail may be copied under the OCR Readability Assessment program for the purpose of notifying mailers of addressing inaccuracies, if the copy is retained in accordance with Section VII of the Quality Control Officer Assessment Procedures and Guidelines.
- e. A cover of a piece of mail may be copied, but not divulged outside the Postal Service, by a postal employee acting in accordance with the authorization of the Chief Postal Inspector and specific written instructions issued by the USPS Records Officer for the sole purpose and with the sole practical effect of facilitating internal postal operations. Such instructions will provide for the destruction of the copy after a specified retention period.
- f. A cover of a piece of mail may be copied for the purpose of either resolving a machine missorting problem or for correcting OCR miscoded or OCR unreadable mail. The copy may be maintained, read, or used only by the postal employees responsible for resolving the missort, miscode, or readability problem. The copy must be destroyed upon resolution of the problem.
- g. An Express Mail label may be copied, but not divulged outside the Postal Service, only for the purpose of resolving a service performance problem identified by (1) a complaint from the sender or addressee, (2) a sender's request for a refund, or (3) an internal service report. The copy may be maintained, read, or used only by the postal employees responsible for resolving the service performance problem. The copy must be destroyed

upon resolution of the problem. Express Mail return receipt regulations (DMM 932) are affected by this section.

353.4 Processing Requests

353.41 General

353.41I Information to Identify and Locate Record

- a. Inquiries for notification as to whether the Postal Service has a record about a particular individual, and requests for the disclosure or amendment of a record, or for an accounting of disclosures made from a record, should be in writing and be directed to the custodian, if known, or to the USPS Records Officer. Any inquiry or request concerning a specific system of records should follow the *Notification procedure* for that system as listed in the Appendix. If this information is not known, the inquiry or request should:
 - (1) Specify the system of records by name or number, as shown in the Appendix, or otherwise reasonably identify the system of records involved; and,
 - (2) Provide sufficient information to clearly identify the individual and identify and locate the record.
- b. If insufficient information is supplied to clearly identify and locate the record, the requester should be advised of the kind of information that is needed.

353.412 *Right to Know.* Before a custodian discloses any information about an individual's record, including whether a record exists, the requester's identity and right to have the information must first be established (353.3 and .421-.423).

353.413 Fees.

- a. *Purpose.* Fees are established to permit duplication of records for subject individuals (or authorized representatives), while allowing the Postal Service to recover its allowable direct costs.
- b. *Duplication.*
 - (1) For duplicating any paper or micrographic record or publication or computer report, the fee is \$.15 per page, except that the first 100 pages furnished in response to a particular request are furnished without charge. See paragraph (d) of this section for fee limitations.
 - (2) The Postal Service, at its discretion, may make coin-operated copy machines available at any location. In that event, requesters are given the opportunity to make copies at their own expense.
 - (3) The Postal Service normally will not furnish more than one copy of any record. If duplicate copies are requested, the per page fee is charged for each copy of each duplicate page without regard to whether the requester is eligible for free copies pursuant to 353.413(b)(1).
- c. *Aggregating Requests.* When the custodian reasonably believes that a requester is attempting to

break down a request for similar types of records into a series of requests in order to evade the assessment of fees, the custodian may aggregate the requests and charge accordingly.

- d. *Limitations.* No fee will be charged an individual for the process of retrieving, reviewing, or amending a record pertaining to that individual.
- e. Copying fees collected as a result of *Privacy Act* requests are deposited in Account Identifier Code (AIC) 127.

353.414 Availability. Requests to review or copy a record must be made to the installation where the record is kept, except for retired Official Personnel Records. (See 353.424a.) Records are normally made available for inspection and copying during regular business hours at the installation where the record is to be reviewed. The custodian may, however, designate other reasonable locations and times for inspection and copying of some or all of the records in custody. Employees who wish to review or copy any of their own records must do so on their own time, except as provided for under current collective bargaining agreements.

353.415 Validating Records and Noting Disputes. Before disclosing a record, make reasonable efforts to ensure that it is as accurate, relevant, timely, and complete as would reasonably be necessary to ensure fairness in any determination that might be made on the basis of the record. It may, for example, be appropriate to advise recipients that the information was accurate as of a certain date. Clearly note any part of the record which is disputed (353.433b(3)) and provide copies of the statement disputing the record.

353.42 Requests for Information or Access

353.421 By Telephone. Requests for information about an individual available to the public under 353.321a and b, or for credit or job reference information which may be given without a release statement (353.327) may be accepted and answered by telephone. Other requests for information about individuals must be made in person or in writing.

353.422 In Person

- a. *Qualification.* Before any information about an individual other than information listed in 353.421 may be released to a requester who applies in person, the custodian must:
 - (1) Establish the requester's identity by means of official credentials, driver's license, medicare card, or similar identification;
 - (2) Establish that the request meets the criteria in 353.32.
- b. *Control.* The custodian may permit the requester to copy the record manually or with a copying machine, but must retain control over the official record.
- c. *Signature.* In cases where a disclosure accounting must be kept the requester must sign a statement that he or she has reviewed the specific record or records.

353.423 By Mail

- a. *Signature and Letterhead.* Individuals who apply in writing for information about themselves or about some other individual must send a signed request to the appropriate postal installation. An organization that wishes such information should request it on letterhead stationery, if available.
- b. *Response.* As soon as any required fees or statements of release are received, the custodian may send the requested information or copies of records to the requester. A copy of the transmittal may be used as an accounting of the disclosure. Copies of requested records must be sent by certified mail, return receipt requested.
- c. *Forwarding.* If a request is received that should have been sent to some other location, the request must be forwarded to the appropriate location, with a copy of the transmittal to the requester.

353.424 Review of Nonlocal Records

- a. *OPFs.* A request may be made at any postal installation to review an Official Personnel Folder that has been retired to the National Personnel Records Center. The requester should specify the installation at which review is desired. The request must be immediately forwarded to that installation, if other than the installation initially receiving the request, for processing. If the request meets the criteria in 353.32, the installation where review is to take place sends an SF 127, *Request for Official Personnel Folder*, to the NATIONAL PERSONNEL RECORDS CENTER, 9700 PAGE BOULEVARD, ST. LOUIS MO 63118-4199. Upon receiving the folder, the installation notifies the requester that the record is available for review. After the review, the installation retains the folder for 30 days and then, if there is no further need for its retention, returns it by registered mail to the National Personnel Records Center.
- b. *Other Records.* A requester who wishes to review a record that is not available locally must send the request directly to the custodian of the records, with full particulars, and state at which postal installation the requester wishes to review the record. If the request meets the criteria in 353.32, the custodian duplicates the requested record and sends the copies in a sealed envelope with covering instructions to the selected postal installation. The installation:
 - (1) Notifies the requester when the envelope is available for review;
 - (2) Opens the envelope in the requester's presence after establishing the reviewer's identity; and
 - (3) After the review, destroys the copies or provides the copies to the requester after payment of the required fees, and sends an accounting of the disclosure to the custodian.

353.425 Freedom of Information Act Requests. If a request made under the *Freedom of Information Act* includes a request for information about an individual, the custodian must follow all of the rules on accounting and disclosure in 353.3. If information requested under the *Freedom of Information Act* is

denied, the denial letter must state the requester's right to appeal to the USPS General Counsel.

353.426 Questionable Requests. If custodians question the correctness of releasing requested information or the procedure to be followed, they should contact the USPS Records Officer at Headquarters before releasing the information.

353.427 Responding to Requests. Custodians will acknowledge Privacy Act requests within 10 days (excluding Saturdays, Sundays, and legal public holidays). When the record requested has been identified and will be disclosed, the custodian should notify the requester when and where the record will be available for inspection and copying. If the record requested is not immediately available, the custodian should tell the requester when it will be. If no record can be found or if the record has been destroyed, the custodian should so advise the requester.

353.428 Denial of a Request

- a. **Consultation with Counsel.** Except as provided in 353.324 and 353.412, individuals may not be denied permission to review a record pertaining to themselves. The custodian must consult with the Chief Field Counsel before notifying the requester that the request has been denied.
- b. **Written Explanation.** A denial of a written request for notification as to whether the Postal Service has a record pertaining to an individual, or for the review or copying of a record, must be in writing. Also, the denial must be signed by the custodian or designee, must state the reasons for the denial, and must advise the requester of appeal rights.
- c. **Advice of Appeal Rights.** When denying a written request, advise that the requester has the right to submit an appeal to the General Counsel at Headquarters.

353.43 Requests to Amend a Record

353.431 General. An individual may request the correction or amendment of a Postal Service record pertaining to himself or herself. The individual must make the request in writing to the installation responsible for the record, clearly identify himself or herself and the record, state the change desired (such as the wording or data to be added, changed, or deleted), and state the reasons for the change, which normally will relate to such characteristics as relevance, accuracy, timeliness, or completeness.

353.432 Oral Requests. If the change requested is unlikely to be disputed (for example, correcting a misspelling, misprint, mistake in computation, or other obvious error), the individual may make the request orally and the custodian may have the record changed without formally notifying the requester that the change has been made. However, if the request may result in a dispute, the custodian should require that the request be made in writing.

353.433 Written Requests

- a. **Acknowledgment.** Within 10 days (excluding Saturdays, Sundays, and legal public holidays) of any written request to change or amend a record, the

custodian of the record must acknowledge the request in writing and ask for any additional information necessary for action on the request.

- b. **Action.** Within 30 days (excluding Saturdays, Sundays, and legal public holidays), the custodian must do the following:
 - (1) **Inquiry.** Make such inquiry as is necessary to determine whether the change is appropriate.
 - (2) **Amendment.** Correct or eliminate any information found incomplete, inaccurate, or irrelevant to the purpose of the system of records, or not timely.
 - (3) **Notification.** Advise the requester of the change, supplying a courtesy copy of the revised record where practicable, and send a revised record to any person or agency to which accounted disclosure of the record has been made.
 - (4) **Denial and Advice of Appeal Rights.** Advise the requester in writing if any requested changes are refused in whole or in part, give the reasons, and advise that the requester may appeal or submit a statement of disagreement to be filed with the disputed record.
- c. **Appeal Procedures.** The requester who wishes to file an appeal should do so in writing within 30 days (excluding Saturdays, Sundays, and legal public holidays) with the GENERAL COUNSEL, UNITED STATES POSTAL SERVICE, 475 L'ENFANT PLAZA, WASHINGTON DC 20260-1100, giving full particulars. The General Counsel must give a final decision within 30 days (excluding Saturdays, Sundays, and legal public holidays). The letter of appeal should include:
 - (1) Reasonable identification of the record access to or amendment of was sought;
 - (2) A statement of the action that is appealed and of the relief sought;
 - (3) Copies of the request, of notification of denial, and of any other related correspondence.

353.44 Request for Accounting of Disclosures

353.441 Application. An individual may request notification from the Postal Service of any disclosure of a personal record from a specific system of records to any person, organization, or agency outside of the Postal Service. Such a request must be made to the facility where the record is located and must clearly identify the requester and the system of records. (See 353.41.)

353.441 Response. The custodian should notify the requester within 30 days (excluding Saturdays, Sundays, and legal public holidays) whether a disclosure record exists. If such a record does exist, the custodian must give the requester the disclosure information except as provided in 353.324c.

353.5 Safeguarding Information About Individuals

353.51 Safeguards. Records containing information about individuals must be safeguarded and disposed of as indicated in 351.4, 351.7, and under the appropriate systems descriptions in the Appendix.

353.52 Training. See 351.42.

354 Micrographics

354.1 Policy Micrographics may be used for the following purposes, whenever the applications are supported by sufficient documentation to prove cost-effectiveness and provide maximum compatibility with other micrographic applications, systems, and equipment:

- a. Preservation of deteriorating records;
- b. Production of archival or intermediate records;
- c. Duplication of information for dissemination to other locations
- d. Increased efficiency in searching records;
- e. Greater security for sensitive records; and
- f. Reduction of paper record holdings or use of space.

354.2 Definitions

354.21 Micrographics. The technology that reduces any form of information to a microform medium.

354.22 Microform. A generic term for any form, either film or paper, that contains microimages; a unit of information, such as a page of text or drawing, too small to be read without magnification.

354.3 Requirements

354.31 Legal. Federal statutes provide for the legality and admissibility of microforms which accurately reproduce or form a durable medium for reproducing the original record (28 U.S.C. 1732). To comply with requirements of these statutes, microform records must be produced in the regular course of business and be able to be satisfactorily identified and certified, for example, through use of Form 6550, *Declaration of Intent, and Certification of Authenticity*.

- a. Retention of original documents may sometimes be necessary to resolve questions of authenticity of the documents.
- b. If authenticity of documents having legal significance could be subject to question, obtain the advice of the Chief Field Counsel (or for Headquarters offices, the General Administrative Law Division) before disposal of the original.

354.32 Archival. Only original silver halide microfilm is of sufficient archival quality (a) to be substituted for documents requiring permanent retention or (b) to produce microforms of permanent retention value.

354.33 Maintenance and Disposal. Microforms are subject to all regulations pertaining to retention, disclosure, privacy, and security of Postal Service records and information.

355 Automated Information Processing Security

355.1 General

355.11 Definition. Information protection is the securing of information against unauthorized modification, destruction, or disclosure--either intentional or accidental--from the point of its collection throughout its intended useful life.

355.12 Scope. This policy covers protection of automated information *and* related resources at all postal facilities. It encompasses protection of information maintained on any equipment or system with automated information processing, storage and/or retrieval capabilities, as well as the related resources that allow processing, storage, and retrieval of the information. These automated systems/equipment may be commonly referred to as any of the following: personal computers (PCs), data processing equipment, minicomputers, microcomputers, microprocessors, office automation systems, stand-alone, shared-logic, or shared-resource systems, process control systems. Related resources include hardware (central processing unit (CPUs), terminals, modems, printers, etc.), software (programs and associated documentation), and media (magnetic tapes, disks, diskettes, etc.).

355.13 Information Life Cycle. Information must be protected throughout the information life cycle. This includes: information creation/collection, information processing, information use, information maintenance, and information disposal.

355.2 Policy It is the policy of the Postal Service to protect its automated information systems from the following hazards. Protection against these hazards will be provided to the degree consistent with the value of the information contained in a system.

- a. Theft, fraud, or other abuse of information, equipment, or funds;
- b. Unauthorized access to or disclosure of information;
- c. Accidental or unauthorized destruction or modification of information; and
- d. Interruption of information processing capability due to equipment malfunction/damage, facility damage, power outage, etc.

355.3 Responsibility

355.31 Specific

355.311 *Management*. Management at all levels must recognize the need for information protection and actively enforce security policies and procedures.

355.311 *Installation and Department Heads*. As records custodians, installation and department heads are ac-

countable for information, equipment, and systems within their custody. This includes responsibility for:

- a. Making staff aware of the need for security and developing necessary guidelines and procedures for staff to follow;
- b. Determining if the level of security provided for a system is appropriate for the value of the information;
- c. Ensuring that USPS security policy, guidelines, and procedures are followed in all system activities, including procurement, development, and operation;
- d. Providing the necessary resources to enable employees to carry out their responsibilities for securing information and related resources; and
- e. Assigning overall information protection responsibility to a specific individual, e.g., the Security Control Officer.

355.313 *Users.* Individual users of information processing equipment are responsible for:

- a. Adhering to the permissible uses of systems, equipment, and information as well as the information disclosure prohibitions set forth in the USPS Rules of Conduct, ELM 668.3;
- b. Protecting systems, equipment, and information either assigned to them or in their custody or use;
- c. Using the equipment only for management approved activities;
- d. Protecting any Logon IDs and passwords assigned to them; and
- e. Notifying management of any security violations of which they are aware.

355.32 *Advisory.* Security assistance to installation heads and other managers is available from the following sources:

- a. *Information Resources Management (IRM).* The ADP Security Branch, Office of Data Processing, IRM, can provide guidance on technical (hardware, software) issues, risk analysis, and contingency planning.
- b. *Inspection Service.* The local postal inspector can provide assistance on issues of physical and personnel security. Consult the Financial Audits Division in Headquarters on questions related to audit trails.
- c. *Records Office.* The Records Office can assist with information evaluation and retention of information.
- d. *Procurement Offices.* The Office of Procurement at Headquarters and the Procurement and Materiel Management Service Centers located in the regions can help with purchase requests for hardware, software, or services that address security needs. If necessary, they can also conduct market surveys of security features available commercially.

355.4 FLSA Considerations (Reserved)

355.5 *Ownership.* Automated systems, media, and all information maintained on them are the property of the Postal Service and are not to be viewed as an employee's private property.

355.6 Information Evaluation

355.61 *General.* All information maintained on information processing equipment requires some protection. Sensitive information requires a greater degree of protection. Installation heads must evaluate the information they intend to maintain on information processing equipment to determine its sensitivity and develop security measures and procedures that are consistent with its sensitivity.

355.62 *Sensitive Information.* Information that has been identified by the Postal Service as either "Restricted" or "Critical" in nature. *Restricted information* has limitations upon its internal or external disclosure. (See 352.4 for examples.) *Critical information* is that information that must be available in order for the Postal Service to effectively perform its mission and meet legally assigned responsibilities, and for which special precautions are taken to ensure its accuracy, relevance, timeliness, and completeness. (This information, if unavailable, would cause *significant* financial loss, inconvenience, or delay in performance of the USPS mission.)

355.7 *Security Considerations.* The type and degree of security needed will vary depending on the value and sensitivity of the information, the type of equipment being used, and the size and general nature of an installation. Installation heads must evaluate their individual situations to determine the degree of security that is practicable without being cost prohibitive. However, the following areas must be considered when addressing security needs:

- a. Procurement;
- b. Risk analysis;
- c. Physical security;
- d. Personnel security;
- e. Hardware operations;
- f. Software;
- g. Audit trails;
- h. Contingency planning; and
- i. Training.

355.8 Retention of Information

- a. Retention of information in automated information processing systems must be consistent with official Postal Service records retention schedules.
- b. Procedures for routine purging/disposition of information maintained on diskettes and other storage media must be established.
- c. Retention of information on information processing equipment must be in accordance with Preservation Orders (e.g., as a result of FLSA litigation).

356 (Reserved)

357 (Reserved)

358 (Reserved)

359 Correspondence Management

359.1 General

359.11 Policy. It is USPS policy to establish standards and procedures for the management and preparation of its correspondence.

359.12 Scope. Correspondence is an essential part of the successful operation of the Postal Service. The quality and timeliness of correspondence are visible indications of service and therefore directly affect public image.

359.13 Responsibilities. The USPS Records Officer has overall responsibility for correspondence management, as an integral part of the USPS records program. All USPS personnel whose duties involve the preparation or handling of correspondence are responsible for complying with this part and with the standards and procedures described in Handbook AS-302, *Correspondence Management*.

359.2 Stationery

359.21 Paper Size. The USPS uses a standard paper size of 8-1/2 by 11 inches for stationery and related correspondence material.

359.22 Letterhead

359.221 Types. The USPS uses two types of letterhead stationery--formal and memorandum. See 131 of Handbook AS-302 or chapter 2 of Publication 24, *Supply Catalog*, for more details.

359.222 Descriptions

a. *General*. Formal letterhead carries the USPS emblem and is printed in red and blue ink. Memorandum letterhead does not carry the USPS emblem, is printed in black ink, and includes the captions: DATE, OUR REF., SUBJECT, and TO.

b. *Preprinted Return Address*

(1) *Formal*. See authorized listing in Exhibit 131.3 of Handbook AS-302. It is not planned to deviate from this list, which was developed based on a Postal Service-wide review.

(2) *Memorandum*. See 131.422 of Handbook AS-302 for authorizations and limitations. Send requests for special preprinted return addresses to:

RECORDS OFFICER
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW RM 10670
WASHINGTON DC 20260-5010

359.23 Use Criteria

359.231 *Formal*. Used for letters to addressees outside the USPS. *Exception*: The Postmaster General, the Deputy Postmaster General, and other members of the

Executive Committee may use formal letterhead for in-house correspondence.

359.231 *Memorandum*. Used for day-to-day intra-Postal Service correspondence.

359.24 Envelopes

359.241 Size Standards

a. A mail piece must be at least 3.5 inches high, 5 inches long, .007 inch thick, and rectangular in shape to be mailable.

b. Avoid unnecessary use of envelopes larger than 6-1/8 inches high by 11-1/2 inches long for mailing correspondence.

359.241 Types. See 133 of Handbook AS-302 and Publication 24 for more details.

359.25 Official File Copy (Yellow). In order to facilitate reference to and retrievals of file materials in audit and records disposition matters, it is necessary to establish uniformity in the color used for official file purposes. The Postal Service uses yellow tissue as the official file copy.

359.3 Organization Correspondence Codes

359.31 Requirement. Headquarters, Headquarters administrative supporting facilities, regions, and field divisions use assigned Organization Correspondence Codes (OCCs), and the originator's first initial and last name on all correspondence in order to identify its source. This information is placed on the *OUR REF*: line on memorandum letterhead stationery and on the official yellow file copy of formal letters.

359.32 Scope. Each organizational entity down to branch level in the locations listed in 359.31 has a unique correspondence code. The code indicates not only the organization's level but also its placement in the organizational hierarchy.

359.33 Reference. Implementing instructions for the use of USPS Organization Correspondence Codes are published in Handbook AS-302, *Correspondence Management*.

359.34 Responsibilities

359.341 Policy. The USPS Records Officer has overall responsibility for the OCC system. Proposed modifications to, or deviations from, the *basic design* of OCCs must be submitted to the USPS RECORDS OFFICER, RECORDS OFFICE, UNITED STATES POSTAL SERVICE, 475 L'ENFANT PLAZA SW RM 10670, WASHINGTON DC 20260-5010, for approval prior to implementation.

359.342 Administration. The Office of Headquarters Services (OHS), Administrative Services Group, is responsible for the administration and maintenance of OCCs, including Headquarters publication. Requests for assignment of a new OCC should be sent to OHS.

359.35 Publication

359.351 *By Headquarters*. OCCs are published in the Headquarters telephone directory. All additions, dele-

tions, or changes that are in compliance with the basic design of OCCs must be submitted to OHS for publication.

359.352 *By Regional Offices.* To provide consistency throughout the Postal Service, Regional offices must adapt their telephone directories to the **ACE** system.

359.36 *Organizational Changes.* OCCs assigned to units that are abolished or moved to another organization will not be reused for at least 2 years. Any exceptions to this policy must be authorized by OHS. For reference purposes, old telephone directories will be kept on file in the Headquarters Library and in OHS.

359.4 Controls

359.41 *Requirements.* All correspondence that requires action must be controlled (see 359.42) at the following levels:

- a. Headquarters group and department level; and
- b. Regional postmasters general and Regional directors (department) level. (*Note:* Exceptions to this requirement are limited to the Headquarters Government Relations Department and to the internal systems of the Office of the Consumer Advocate.)

359.42 *Forms.* Form 132, *Correspondence Control System*§ or Form 1806, *Communication Log*, is used to control action correspondence. These forms are available from area supply centers and Headquarters supply unit. See 123 of Handbook AS-302 for details concerning their use.

359.5 Preparation

359.51 *Timeliness.* All correspondence must be responded to within 10 working days from the date of receipt by the responding office. By law, *Freedom of Information Act* and *Privacy Act* requests must be responded to within this time period.

359.52 *Style.* Two styles are used in typing correspondence: full block for memorandums, and full or modified block for formal letters. See 211 of Handbook AS-302.

359.53 *Reference.* Chapter 2 of Handbook AS-302 contains standard procedures and detailed guidelines for preparing and assembling correspondence for signature.

359.6 Authority to Sign

359.61 Letters going outside the Postal Service are signed by (a) managers having official responsibility for the subject matter, or for dealing with the originating source of the inquiry; or (b) a staff member to whom the manager has delegated the responsibility.

359.62 The following restrictions apply:

- a. No one may sign the name of another person;
- b. Signing "for" an authorized manager is limited to *one* organizational level below the authorized level.

Note: These restrictions do not apply to certain designated Postal Inspection Service correspondence for which written delegation authority exists for a lower level official to sign the manager's name.)

359.7 *Mailing Correspondence* Reference 232 of Handbook AS-302 for detailed instructions.

359.8 *Records.* See 116 of Handbook AS-302. See also part 351 in this subchapter.

Form! Label No.	Title	Retention Period	Cut- il
4	Employee's City or County Withholding Certificate	"3"	
	If superseded	4 yrs	
W4	Employee's Withholding Allowance Certificate	"3"	
	If superseded	4 yrs	"2"
7	Service Record	3 yrs	"2"
Label 11-A	Express Mail Post Office to Post Office Service	6 mas	"1"
	Corporate Accounts	3 yrs	"1"
Label 11-B	Express Mail Next Day Service Post Office to Addressee	6 mas	"1"
	Corporate Accounts	3 yrs	"1"
Label 11-C	Express Mail Airport to Airport	6 mas	"1"
	Corporate Accounts	3 yrs	"1"
Label 11-E	Express Mail Post Office to Post Office	6 mas	"1"
Label 11-F	Express Mail Post Office to Addressee	6 mas	"1"
Label 11-H	Express Mail Airport to Airport Service	6 mas	"1"
V 11P	Application for Safe Driver Awards (National Safety Council)	4 yrs	"2"
W 15	State Withholding Tax Exemption Certificate	"3"	
	If superseded	4 yrs	"2"
OF 15	Government Property Sales Announcement and Poster Combined	*10"	"1"
OF 16	Sales Slip -Sale of Government Personal Property	*10"	"1"
OF 17	Stamp Requisition:		
	Accounting Unit Copies	4 yrs	"1"
	Stamp Distribution Office Copies	2 yrs	"1"
17-A	Accountable Items Requisition From Stamp Distribution Office:		
	Accounting Unit Copies	4 yrs	"1"
	Stamp Distribution Office Copies	2 yrs	"1"
17-R	Recapitulation Sheet	2 yrs	
25	Trust Fund Account	1 yr	"2"
SF 94	Statement of Witness	3 yrs	"2"
SF 95	Claim For Damage, Injury, or Death	3 yrs	"2"
SF 97	The United States Government Certificate of Release of a Motor Vehicle	3 yrs	"2"
SF 120	Report of Excess Personal Property	*10*	"1"
SF 122	Transfer Order--Excess Personal Property	*10*	"1"
SF 123	Transfer Order--Surplus Personal Property	"10"	"1"
SF 135	Records Transmittal and Receipt	2 yrs	"2"
178	Specific Travel Order-- Relocation & Relocation Agreement	1 yr	"1"
FNS 250	Food Coupon Accountability Report	4 yrs	"1"
FNS 260	Requisition for Food Coupon Books	4 yrs	"1"
SF 258	Request to Transfer, Approval and Receipt of Records to the National Archives of the United States	2 yrs	"2"
296	Custody Receipt	"4"	
SF 344	Multiuse Standard Requisitioning/Issue System Document:		
	Vehicle Parts and Fuel Requisitions	3 yrs	"1"
	Other Supply Requisitions	"10"	"1"
OF 346	U.S. Government Motor Vehicle Operator's Identification (Card)	4 yrs	"2"
542	Inquiry About a Registered Article or an Insured Parcel or an Ordinary Parcel	2 yrs	"5"
565	Registered Mail Application for Indemnity/Inquiry	2 yrs	"5"
571	Discrepancy of \$100 or More in Financial Responsibility	2 yrs	"5"
697	Extension of City Delivery Service	2 yrs	
773	Records Transmittal and Receipt	2 yrs	"2"
835	Quarterly Report of Originating Registered and COD Transactions	1 yr	
961-A	Post Office Property Record:		
	Interim	"6"	
	Permanent	"7"	

Form/ Label No.	Title	Retention Period	Cut-011
969	Disposal of Postal Materiel	"1a-	"1"
991	Application for Promotion or Assignment	2 yrs	"Z"
1011	Travel Advance Request and Itinerary Schedule	1 yr	"1"
1012	Travel Voucher	1 yr	"1"
1017-A	Time Disallowance Record	3 yrs	"1"
1017-B	Unauthorized Overtime Record	3 yrs	"1"
1079	Philatelic Product Physical Inventory Recap	2 PO's	"9"
1091-A	Post Office Box Fee Register Note: If automated, delete customer record upon termination of service.	2 yrs	"Z"
1091-B	Register for Caller Service Fees Note: If automated, delete customer record upon termination of service.	2 yrs	"Z"
1093	Application for Post Office Box or Caller Service	2 yrs	"Z"
1094	Application for Additional Keys to Post Office Box	2 yrs	"2"
1096	Cash Receipt	4 yrs	"1"
SF 1164	Claim for Reimbursement for Expenditures on Official Business	4 yrs	"1"
SF 1187	Authorization for Deduction of Dues	"3"	
1188	Cancellation of Organization Dues from Payroll Withholding	"3"	
1192	U.S. Savings Bond Authorization for Purchase and Request for Change	13 PP's	"1"
1199A	Direct Deposit	13 PP's	"1"
1216	Employee's Current Mailing Address	"a"	
1221	Advanced Sick Leave Authorization	3 yrs	"1"
1224	Court Duty Leave-Statement of Service	3 yrs	"1"
1230-A	Time Card--Week 1	3 yrs	"1"
1230-B	Time Card--Week 2	3 yrs	"1"
1230-C	Time Card--Other Service	3 yrs	"1"
1234	Utility Card	3 yrs	"1"
t236-A	Weekly Loan, Transfer, and Training Hours	3 yrs	"1"
1242	Court Ordered Child Care or Alimony Payment	3 yrs	"1"
1242-A	Commercial Garnishment Withholding Notice or Wage Earner Plan Allotment Request	3 yrs	"1"
1260	Non-Transacter Card		
	Corrections	1 AP	
	Time Card Supporting Documentation	3 yrs	
1261	Non-Transacter Report		
	Corrections	1 AP	
	Time Card Supporting Documentation	3 yrs	
t262	PSDS Loaned Employee Non-Transacter Card	1 AP	"1"
1268	Employee Suggestion Control Record	2 yrs	
1269	Employee Suggestion	2 yrs	"Z"
1311	Carrier Transportation Agreement	2 yrs	"Z"
1312	Local Transportation Payments:		
	Accounting Unit Copies	4 yrs	"1"
	Carrier Drive-out Agreement Copies	2 yrs	"Z"
1314	Regular Rural Carrier Time Certificate	3 yrs	
1314-A	Auxiliary Rural Carrier Time Certificate	3 yrs	"1"
1377	Request for Payment of Leave Replacement and/or Postmaster (CAG L) Overtime	3 yrs	"1"
1412-A/B	Daily Financial Report:		
	Window Clerk's Forms	2 yrs	
	Station/Branch Copies	2 yrs	
	Accounting Unit Copies (Consolidated with supporting documentation)	4 yrs	"1"
1476	PSDS EMR Items Transcript	"a"	
1481	Register of Checks Drawn on Symbol 9500	4 yrs	"1"
1483	Accounting Copy--9500 Form	4 yrs	
1508	Statement by Shipper of Firearms	1 yr	"1"

Form/ LabelNo.	Title	Retention Period	Cut-Off
1509	Sender's Application for Recall of Mail	2AP's	
1510	Mail Loss/Rifling Report	1 yr	"5"
1532	Semiannual_ Check of Overflow Mail	1 yr	
1538	Receipt for Post Office Box/Caller Service Fees:		
	Accounting Unit Copies	4 yrs	"1"
	Post Office Copies	1 yr	"1"
1542	Service Point Delivery Requirements	1 yr	"1"
1551	Accountbook for (CAGs A - J)	5 yrs	"1"
1552	Accountbook for (CAGs K & L)	5 yrs	"1"
1553	Statement of Account (CAGs K & L)	4 yrs	"1"
1554	Statement of Account (CAGs H & J)	4 yrs	"1"
1555	Statement of Account (CAGs A-G)	4 yrs	"1"
1555-A	Statement of Account Continuation Sheet	4 yrs	"1"
1556	Suspense Items--Support Information	4 yrs	"1"
1564	Address Change Sheet	1 yr	
1564-A	Delivery Instructions	"6"	
1564.8	Special Orders	1 yr	"Z-
1567	Requisition for Rubber and Steel Stamps Only	"10"	
1571	Undelivered Mail Report	2 yrs	
1578.8	Requisition for Non-Standard Facing Slips or Labels	1 yr	
1583	Application for Delivery of Mail Through Agent	2 yrs	"1"
1586	Supply Record	"10"	
1597	Work Assignment and Mail Count (Messenger Operations)	1 yr	"1"
1604	Confirmation of Trust Fund Balance	1 PQ	
1608	Emergency Salary Authorization and Receipt	3 yrs	
1621	Delivery Management Report	1 yr	"Z-
1627	General Purpose Ruled Form (When used for various delivery operations analyses)	2 yrs	
1700	Accident Investigation Worksheet	3 yrs	"Z-
1717	Bid for Preferred Assignment	6 mos	"Z-
1723	Assignment Order	3 yrs	"1"
1724	Suggestion Log	2 yrs	
1725	Employee Suggestion Evaluation:		
	Adopted Suggestions	4 yrs	"Z-
	Disapproved Suggestions	2 yrs	"Z-
1726	Employee Suggestion Acknowledgement/Advice:		
	Adopted Suggestions	4 yrs	"Z-
	Disapproved Suggestions	2 yrs	"Z-
1727	Award Recommendation/Authorization	4 yrs	"Z-
1764	Accident Analysis Summary	5 yrs	"1"
1767	Report of Hazard, Unsafe Condition or Practice	5 yrs	"1"
1768	Safe Driver Award Committee Decision	4 yrs	"Z-
1769	Accident Report:		
	Local Office Copies	5 yrs	"1"
1770	Hazardous Materials Incident Report	5 yrs	"1"
1772	Accident Log	5 yrs	"1"
1773	Report of Hazard Log	5 yrs	"1"
1783	On-The-Job Safety Review/Analysis	5 yrs	"1"
1784-A	Safety and Health Inspection Checklist (Facilities over 10,000 sq. ft.)	5 yrs	"1"
1784.8	Safety and Health Inspection Checklist (for Facilities less than 10,000 square feet)	5 yrs	"1"
1784-C	Safety Deficiency Report	5 yrs	"1"
1804-C	Postmaster's Certification of SDM Equipment Maintenance	2 yrs	"Z-
1813	Late Leaving and Returning Report--First Carrier Delivery Trip	2 yrs	
1838	Carrier's Count of Mail-- Letter Carrier Routes	1 yr	*13*
1838-A	Carrier's Count of Mail-- Parcel Post and Combination Services Worksheet/Management Summary	1 yr	*13*

Form! Label No.	Title	Retention Period	Cut-Of
1a3a-8	Parcel Post Firm Delivery Worksheet	1 yr	"13"
1a3a-C	Carrier's Count of Mail-- Letter Carrier Routes Worksheet	1 yr	"13"
1a39	Payment Record for Carrier Drive-Out Agreements	4 yrs	"1"
1a40	Summary of Count and Inspection --Letter Carrier Route	1 yr	"13"
1840-8	Carrier Timecard Analysis	1 yr	"13"
1a46	Quarterly List of Money Orders Issued	2 yrs	
1902	Justification for Billing Accounts Receivable:		
	Region, Division, MSC Copies--Property Damage	1 yr	·:I
	Region, Division, MSC Copies--Personal Injury	30 yrs	·:I
	VMF Copies..Over \$10.00	3 yrs	·:I
	VMF Copies--Under \$10.00	2 yrs	"1"
1903-DZ	Invoice and Statement (computer generated)	3 yrs	"2"
1908	Financial Adjustment Memorandum:		
	Clerk/Station/Branch Copies	"9"	
	Accounting Unit Copies	1 yr	
1915	Authorization to Flag Employee's Accounts	3 yrs	
1994	Employee's Work Schedule	3 yrs	
2007-A	Window Transaction Record	1 yr	
2007-8	Window Transaction Conversion	1 yr	
2007-C	Window Transaction Survey	1 yr	
2016	Mail Theft and Vandalism Complaint	1 yr	"5"
2025	Contract Personnel Questionnaire	1 yr	"2"
2028	Travel Advance Request (Relocation Worksheet)	1 yr	"1"
2081	Contractor Employee Assignment Notification	1 yr	·:I
2106	Adjudication--Tort Claims	3 yrs	·:I
2130	Claim for Loss--Initial Letter:		
	Adjudicating Office Copies	4 yrs	"1"
	Post Office Copies	2 yrs	"1"
2132	Claim for Accountable Financial Loss:		
	Adjudicating Office Copies	4 yrs	"1"
	Post Office Copies	2 yrs	"1"
2146	Employee's Claim for Personal Property	3 yrs	"1"
219a	Accident Report--Tort Claim	3 yrs	·:I
2202	Daily Time Record	3 yrs	
2240	Pay, Leave, or Other Hours Adjustment Request	3 yrs	"1"
2240-R	Rural Pay or Leave Adjustment Request	3 yrs	"1"
2243	PSDS Hours Adjustment Record	3 yrs	"1"
2371-A	MOD 2 Performance Summary-- Mail Volume	2 yrs	
2371-8	MOD 2 Performance Summary (Clerk/Mailhandler Workhours)	2 yrs	
2452-A	Performance Evaluation for EAS Employees--General Form	5 yrs	"1"
2452-8	Performance Evaluation for EAS Employees-- Super!Visors and Managers EAS-19 and Below	5 yrs	"1"
2452-C	Performance Evaluation for EAS Employees-- Postmasters EAS-15 and Below	5 yrs	"1"
2456	Narrative of Work Accomplishments	5 yrs	"1"
24aO	Driving Record--For Positions That Require Driving	3 yrs	
2548	Individual Training Record--Supplement Sheet	"3"	
2550	Ca1Hn Notice	5 yrs	
2591	Application for Employment	2 yrs	"2"
SF 2809	Health Benefits Registration Form:		
	OPF Copies	"3"	
	DDE/DR Site Copies	2 PP's	·a·
SF 2a10	Notice of Change in Health Benefits Enrollment:		
	OPF Copies	"3"	
	DDE/DR Site Copies	2 PP's	·a·
285a-C	City Carrier Cost System	5 yrs	"1"

Form/ LabelNo.	Title	Retention Period	Cut-Off
2858-R.	Rural Carrier Cost System	5 yrs	"1"
2866	Presort Verification Record	1 yr	"1"
2866-IP	In-Plant Verification for Second- and Fourth-Class Matter	1 yr	"2"
2932	Customs Collections Summary	2 yrs	
2933	Register of Uncollected Customs Charges	2 yrs	
2944	Receipt for Customs Duty Mail	4 yrs	
2960	Inventory Record	2 yrs	
3018	Affadavit of Applicant for Issuance of a Duplicate USPS Check Without the Execution of an Undertaking of an Indemnity	3 yrs	"2"
3036	Record of Stamp Stock Requisitions	2 yrs	"1"
3083	Trust Accounts Receipts and Withdrawals	1 yr	"1"
3176	Bank Transaction Record	4 yrs	
3189	Request for Temporary Schedule Change for Personal Convenience	3 yrs	"1"
3205	Requisition for Plain Stamped Envelope	2 yrs	"1"
3210	Interim Receipt for Stamp Stock Submitted for Redemption	1 yr	"1"
3216	Requisition for Postal Cards--Bulk Quantities	2 yrs	"1"
3217	Order for 3216 Forms	2 yrs	"1"
3220	Claim for Stamped Envelope Discount	4 yrs	"1"
3227	Stamps by Mail	"9"	
3227-R	Stamp Purchase Order	"9"	
3236	Uniform Allowance Cap Disbursements	4 yrs	"1"
3238	Stamps & Stamped Paper Destruction Certificate:		
	Postmaster's Statement of Account Copies	4 yrs	"1"
	Stamp Distribution Office Copies	2 yrs	"1"
3239	Payroll Deduction Authorization To Liquidate Postal Service Indebtedness	3 yrs	"2"
3239-A	Payroll Deduction Authorization To Liquidate Other Government Agency Indebtedness	3 yrs	"2"
3240	Uniform Allowance Inquiry	1 yr	"5"
3294	Cash and Stamp Stock Count and Summary:		
	Employees' Copies	"9"	"2"
	Postmaster's Copies	2 yrs	"6"
3295	Daily Record of Stamps, Stamped Paper, and Nonpostal Stamps on Hand	1 yr	"1"
3309	Advice of Shipment--Stamp Invoice	2 yrs	"1"
3317-A	Retail and Philatelic Products--Clerks Daily Sales Record:		
	Clerk/Station/Branch Copies	"9"	
	Accounting Unit Copies	1 yr	
3356	Stamp Requisition--Bulk Quantities	2 yrs	"1"
3368	Stamp Credit Examination Record	3 yrs	"2"
3369	Consigned Credit Receipt	3 yrs	"2"
3499	Operations Analysis Report	2 yrs	
3501	Application for Second-Class Mail Privileges	3 yrs	"2"
3501-A	Application to Mail Publications at Second-Class Rates	3 yrs	"2"
3502	Application for Second-Class Mail Privileges	3 yrs	"2"
3503	Record of Deposits Made While Second-Class Application Is Pending	2 yrs	"2"
3508	Requisition for Saleable Items (Other Than Stamps)	4 yrs	"1"
3510	Application for Additional Entry, Reentry, or Special Rate Request for Second-Class Publication	1 yr	"2"
3511	Application for Second-Class (Requester) Mail Privileges	3 yrs	"2"
3526	Statement of Ownership, Management, and Circulation	5 yrs	"1"
3533	Application and Voucher for Refund of Postage and Fees	4 yrs	"1"
3538	Irregular Handling of Undeliverable Second-Class Publication	2 yrs	"5"

Form/ Label No.	Title	Retention Period	Cut-Off
3541-C	Second-Class Certification for Multiple Issues (On the Same Day)	3 yrs	"1"
3541-E	Second-Class Certification for Multiple Issues (Not on the Same Day)	3 yrs	"1"
3541-N	Statement of Mailing Second- Class Special and Classroom Rates	4 yrs	"2"
3541-R	Statement of Mailing Second- Class Regular and Science of Agriculture Rates	4 yrs	"2"
3543	Record of Second-Class Postage	1 yr	"2"
3544	Post Office Receipt for Money:		
	Accounting Unit Copies	4 yrs	"1"
	Local Office Copies	1 yr	T
	VMF Copies	3 yrs	"2"
3548	Review and Verification of Circulation	"6"	
3555	Report of Returned Mail	2 yrs	
3575	Change of Address Order	18 mas	"1"
3582-A	Postage Due Bill	1 yr	
3582-C	Postage Due Invoice:		
	Accounting Unit Copies	4 yrs	"1"
	Local Office Copies	1 yr	T
3584	Postage Due Log	4 yrs	T
3600-PC	Statement of Mailing with Meter or Precanceled Postage Affixed First-Class Mail (For Priority Mail Use Form 3605-R)	4 yrs	"1"
3600-R	Statement of Mailing with Permit Imprints First-Class Mail (For Priority Mail Use Form 3605-R)	4 yrs	"1"
3601	Application to Mail Without Affixing Postage Stamps	3 yrs	"2"
3601-A	Application for a Postage Meter License	1 yr	"2"
3602-N	Statement of Mailing with Permit Imprints Third-Class Mail (Nonprofit Rates Only)	4 yrs	"1"
3602-PC	Statement of Mailing with Meter or Precanceled Postage Affixed Bulk Third-Class Mail	4 yrs	T
3602-PO	Postage Collected Through Post Office Meter:		
	Accounting Unit Copies	4 yrs	"1"
	Local Office Copies	1 yr	"1"
3602-R	Statement of Mailing with Permit Imprints Third-Class Mail (Regular Rates Only)	4 yrs	"1"
3603	Receipt for Postage Meter Settings:		
	Accounting Unit Copies	4 yrs	"1"
	Local Office Copies	1 yr	"1"
3604	Nonuse of Mailing Permit or Meter License	1 yr	"2"
3605-PC	Statement of Mailing with Meter Postage Affixed Priority Mail and Zone-Rated Fourth-Class Mail	4 yrs	
3605-R	Statement of Mailing with Permit Imprints Priority Mail and Zone-Rated Fourth-Class Mail	4 yrs	
3607	Weighing and Dispatch Certificate	2 yrs	
3608-PC	Statement of Mailing with Meter Postage Affixed Presorted Special Fourth-Class Rate Mail	4 yrs	
3608-R	Statement of Mailing with Permit Imprints Special Fourth-Class and Library Rate Fourth-Class Mail	4 yrs	
3609	Record of Permit Imprint Mailings Under Domestic Mail Manual 145	1 yr	"2"
3609-PO	Control for Post Office Meter	2 yrs	"2"
3610	Record of Postage Meter Settings	3 yrs	"2"
3613	Cancellation of Permit	4 yrs	"1"
3616	Report of Quarterly Verification of Metered Mail	2 yrs	
3618	Local Setting of Postage Meter Licensed at Another Office	3 yrs	"2"
3619	Permit Number Record	1 yr	"2"
3620	Permit to Use Precanceled Stamps or Government Precanceled Stamped Envelopes Application	3 yrs	"2"
3623	Application for Special Bulk Third-Class Rates at Additional Mailing Office	3 yrs	"2"
3624	Application to Mail at Special Bulk Third-Class Rates	3 yrs	"2"
3625	Merchandise Return Permit Application	3 yrs	"2"

Form/ Label No.	Title	Retention Period	Cut-Off
3650	Statement of Mailing--International Surface Airlift	4 yrs	
365t	International Statement of Mailing (For Permit Imprints and Metered Bulk Letters to Canada)	4 yrs	
3652	Statement of Mailing--International Priority Airmail	4 yrs	
370t	Delivery Survey	2 yrs	
3702	Test Mailing Record	t yr	
372t	Publication Watch	t yr	"5"
3743	Delayed Mail Report--All Post Offices	2 yrs	"5"
3749	Irregularities in the Preparation of Mail Matter	t yr	
380t	Standing Delivery Order	t yr	"2"
380t-A	Agreement by a Hotel, Apartment House, or the Like	t yr	"2"
3806	Receipt for Registered Mail	2 yrs	"t"
38t2	Request for Payment of Domestic Postal Insurance	2 yrs	"S"
38t5	Plant-Load Authorization Application and Worksheet	3 yrs	"2"
38t6	COD Mailing and Delivery Receipt	2 yrs	"t"
382t	Clearance Receipt	2 yrs	
3822	COD Tag Transmittal	2 yrs	
3826	Registry Irregularity Report	t yr	
3827	Irregularity Report of Insured and COD Mail	t yr	
3830-A	Registry Dispatch Record	2 yrs	"t"
384t	Post Office Record of Claim	2 yrs	"5"
3845	Annual Verification of Circulation	2 yrs	
3849	Delivery Notice/Reminder/ Receipt	2 yrs	
3854	Manifold Registry Dispatch Book	2 yrs	"t"
3854-A	Registered Mail Dispatch Bill	2 yrs	"t"
386t	COD Loss Claim Filed by Mailer	*11*	
386t A	Numbered Loss Claim Filed by Mailer or Addressee	*11"	
3862	Damage Claim Filed by Mailer	*11*	
3863	Damage Claim Filed by Addressee	"tt"	
3867	Registered, Express Mail, COD, Certified, and Return Receipt for Merchandise Matter Received for Delivery	2 yrs	
387t	Receipt Verification--Insured and Returned COD Mail	t yr	
3877	Firm Mailing Book for Registered, Insured, COD, Certified, Return Receipt for Merchandise, and Express Mail:		
	EMS--Corporate Account Records	3 yrs	"t"
	EMS--Receipts/Mailing Statements	6 mas	"t"
	Domestic Mail Acceptance Receipts	2 yrs	"t"
3883	Firm Delivery Book--Registered, Certified, and Numbered Insured Mail	2 yrs	"t"
3883-A	Firm Delivery Receipt	2 yrs	"t"
392t	Daily Delivery Unit Volume Recording Worksheet	2 yrs	
3922	Daily Customer Services Unit Volume Recording Worksheet	2 yrs	
3925	Daily Address Information Operations Analysis	2 yrs	
3930	Operations Analysis	2 yrs	
3932	CSMDS Plan Input Sheet	2 yrs	
3956	Authorization for Medical Attention	2 yrs	"t"
3958	Main Stock (or Unit Reserve Stock) Transaction Record:		
	Accounting Unit Copies	4 yrs	"t"
	Stamp Distribution Office Copies	2 yrs	"t"
3959	Daily Recap--Stamp Stock Transactions	2 yrs	"t"
3968	Daily Mail Collection Record	2 yrs	
397t	Request For, or Notification of, Absence	3 yrs	"t"
3972	Absence Analysis	3 yrs	
3973	Military Leave Control	3 yrs	"t"

Form/ Label No.	Title	Retention Period	Cut-Of!
3977	Duplicate Key Inventory: Employee's Copy Postmaster's Copy	"9" 2 yrs	
3978-A	Letters and Flats Distribution	1 yr	
3978-8	Parcel Distribution	1 yr	
3978-D	Accountable Mail	1 yr	
3978-E	Clerk Functions	1 yr	
3996	Carrier--Auxiliary Control	2 yrs	
3997	Unit Daily Record	2 yrs	
3998	Unit Summary of City Delivery Routes	2 yrs	
3999	Inspection of Letter Carrier Route	1 yr	"1"
3999-A	Deliveries/Inspection Record--Worksheet	2 yrs	
3999-8	Inspection of Collection Route	2 yrs	
4003	Official Rural Route Description	"12"	
4003-A	Official Rural Route Description (Continuation Sheet)	"12"	
4015-A	Rural Carrier Agreement to Use Annual Leave Pursuant to Election to Higher Route Classification	3 yrs	
4015-8	Rural Carrier Agreement to Terminate Guarantee	3 yrs	
4015-C	Rural Carrier Agreement to Terminate Guarantee (Exercising Retreat or Bidding Rights)	3 yrs	
4015-D	Rural Carrier Agreement to Terminate Guarantee	3 yrs	
4015-E	Rural Carrier Agreement to Use Annual Leave Earned to Reduce Actual Work Hours	3 yrs	
4015-F	Rural Carrier Agreement to Use Annual Leave Earned to Obtain Protected Salary	3 yrs	
4024	Request to Repair Roads	1 yr	
4027	Petition for Change In Rural Delivery	1 yr	
4239	Count of Mail (Rural Route)	"6"	
4240	Rural Carrier Trip Report	3 yrs	"1"
4241	Rural Delivery Statistics Report	"14"	
4241-A	Rural Route Evaluation	"14"	
4248	Rural Route Inspection Report	2 yrs	"1"
4314-A	Consumer Service Card (Spanish)	1 yr	"5"
4314-C	Consumer Service Card	1 yr	
4315	Evaluation of Routes for Motorization	2 yrs	
4460	Vehicle Record/Trip Ticket	3 yrs	
4503	Vehicle Delivery Control Sheet	1 yr	"2"
4508	Vehicle Maintenance Facility Inventory Order	3 yrs	"1"
4509	VMF Inventory Purchase	3 yrs	"1"
4513	Scheduled/Unscheduled Maintenance Record	3 AP's	"1"
4513-A	Scheduled/Unscheduled Shop Maintenance Record	3 AP's	"1"
4515	Vehicle Assignment Justification and Request	1 yr	"2"
4516	Emergency Vehicle Hire Use	2 yrs	"2"
4523	Damage Claim Certification--Hired Vehicle: VMF Accident Case File Records Vehicle Hire Records	3 yrs 2 yrs	"2" "2"
4527	Mail Hauling Vehicle Requirements	1 yr	"2"
4529	Perpetual Inventory Parts	3 yrs	
4533	MVS Schedule	1 yr	"1"
4534	Inventory Adjustment Record and Parts Transferred Between VMFs	3 yrs	"1"
4539	Railroad Van Movement Log	6 mas	"1"
4541	Order-Invoice for Vehicle Repair (Commercial Work Order)	3 yrs	"2"
4551	Projected Fleet Requirements	1 yr	"2"
4565	Vehicle Repair Tag	on completion of work order order	"Z"
4567	Commercial Service Station Procurement Record	1 yr	"1"
4569	Vehicle Use Plan	"6"	

Form/ Label No.	Title	Retention Period	Cut- il
4570	Vehicle Time Record: Accident Records	3 yrs	"2"
	Vehicle Hire Records	2 yrs	"2"
	Vehicle Time Records	3 AP's	"1"
4572	Tractor Log	6 mas	"1"
4574	Daily Record of Gasoline, Diesel Fuel, and Motor Oil Issued	1 yr	
4575	MVS Vehicle Survey	"6"	
4575-A	Five Day Summary--Motor Vehicle Service Vehicle Utilization	"6"	
4577	Leased Vehicle Condition Report: Requirements Survey Records	1 yr	"1"
	Vehicle Hire Records	2 yrs	"2"
4582	Operator's Record	4 yrs	"2"
4584	Observation of Driving Practices	4 yrs	"2"
4586	Accident Information: Over \$10.00	3 yrs	"2"
	Under \$10.00	2 yrs	"2"
5637	Express Mail Corporate Account/Express Mail Service Log	4 mas	"2"
5639	Express Mail Corporate Account Application	3 yrs	"2"
5659	Passport Application Transmittal	3 mas	"1"
5660	Summary of Passport Applications Accepted	3 mas	"1"
4587	Request to Repair, Replace, or Dispose of Postal-Owned Vehicle	1 yr after sale of vehicle	
4594	Vehicle Sales Request and Report	1 yr after sale of vehide	
4595	Sale-Purchase Agreement (Vehicles)	3 yrs	"2"
4597	Issuance of Tool Kit--Auto Mechanic	"4"	
4625	Mounted Tires and Batteries Authorized for Fleet Use	"6"	
4626	Vehicle Fuel and Motor Oil Purchase Record	3 yrs	"1"
4686	Shipping Order	3 yrs	"1"
4686-A	Shipping Order	"10"	"1"
4703	Out of Order (Trailer Tag)	1 AP	"1"
4707	Out-of-Order Tag: VMF Copies	1 AP	"1"
	All Other Copies	"10"	"1"
4805	Work Record Sheet	2 yrs	
4835	Repair and Alteration Inspection Report	2 yrs	
4841	Fuel and Utilities Record	2 yrs	
4851	Housekeeping Inspection	1 Y/	
4852	Workload Analysis and Summary	2 yrs	
4871	Miscellaneous Expense Allowance Claim	1 yr	"1"
4872	Claim for Subsistence Expenses--Temporary Quarters	1 yr	"1"
4877	Reimbursement of Real Estate Expenses--Change of Official Station	1 yr	"1"
4984	Repair Parts Requisition: Parts and Fuel Inventory Records	3 yrs	"1"
	Vehicle Maintenance Agreement Records	1 yr	"2"
5201	Mail Van Inspection	2 yrs	"2"
5397	Contract Route Extra Trip Authorization	1 yr	"2"
5398	Transportation Performance Record	2 yrs	"2"
5399	Contract Routes Performance Record	2 yrs	"2"
5406	Box Delivery Contract Route Survey	7 yrs	"2"
5407	Highway Contract Route Survey/Service Change	7 yrs	"2"
5420	Certification of Insurance	7 yrs	"2"
5427	Contract Route Review	7 yrs	"2"

Form Label No.	Title	Retention Period	Cut-Off
5429	Certification of Exceptional Contract Service Performed	7 yrs	"2"
5431	Contract Route Box Customer Notice	3 yrs	"2"
5443	Contract Route Statement, Schedule, and Specifications	7 yrs	"2"
5461	Amount Due Deceased Contractor	3 yrs	"2"
5463	Highway Mail Transportation Performance RepOrt	7 yrs	"2"
5466	Late Slip	15 days	"2"
5479	Contract Adjustments	7 yrs	"2"
5496	Adjustment Analysis and Report	7 yrs	"2"
5500	Contract Route Irregularity Report	1 yr	"2"
5500-A	Contract Route Irregularity Report	1 yr	"2"
5505	Cost Evaluation--Postal Vehicle Service vs Contract Service	1 yr	"2"
5625	Express Mail Custom Designed Service Receipt	6 mas	"1"
	Corporate Accounts	3 yrs	"1"
5625-C	Express Mail Custom Designed Service	6 mas	"1"
	Corporate Accounts	3 yrs	"1"
5631	Express Mail Service Agreement	4 mas	"2"
5674	EMS--Express Mail International Service Manifest:		
	Suspense Copies	"11"	
	Signed Copies	6 mas	"1"
5690	Express Mail Application for Indemnity	2 yrs	"5"
5908	Driver Instructor/Examiner Certificate	4 yrs	"2"
5909	Road Test Examiner's Certificate	4 yrs	"2"
5932	Initial Road Test Checklist	4 yrs	"2"
5942	Evaluation for Initial Level Supervisory Position	2 yrs	
6349	Issued Money Order Sales Record	2 yrs	
	Money Order Tapes	4 yrs	"1"
6387	Rural Money Order Transaction Application	1 yr	
6401	Domestic Money Order Inquiry	2 yrs	"5"
6990	Invoice--Money Order Forms	4 yrs	
7020	Authorized Absence from Workroom Floor	3 yrs	"1"
7333	Solicitation, Offer, and Award	1 yr	.2"
7340	Shipping Instructions for Excess Property	"10"	"1"
7340-A	Shipping Instructions for Excess Property--Vehicles	1 yr	.2"
7345	GBL Certification	1 yr	"2"
7364	Serviceable Property Tag	"10"	"1"
7364-A	Property Tag (Restricta Use)	"10"	"1"
7376	Abstract of Bids Received	1 yr	"2"
7380	MDC Supply Requisition	"10"	"1"
7381	Requisition for Supplies, Services, or Equipment:		
	VMF Copies (Fuel)	3 yrs	.1"
	All Other Copies	"10"	"1"
7382	Additional General Provisions for Service Contracts	7 yrs	"2"
7405	Transportation Services Bid or Proposal and Contract	7 yrs	.2"
7406	Amendment to Transportation Services Contract	7 yrs	"2"
7407	Basic Surtace Transportation Services Contract General Provisions	7 yrs	"2"
7435	Solicitation for Transportation Services Contract	7 yrs	"2"
7438	Purchase Order Register	3 yrs	
7439	Solicitation Record--Emergency Highway Contract	7 yrs	"2"
7440	Contract Route Service Order	7 yrs	"2"
7440-A	Change in Schedule Noticee	7 yrs	"2"
7440-8	Continuation Sheet for Forms 7440 and 7440-A	7 yrs	.2"
7444	Local Purchase Order	3 yrs	
7445	Inquiry Concerning Renewal of Transportation Services Contract	7 yrs	"2"
7447	Transportation Services Renewal Contract	7 yrs	"2"

Exhibit 351.31 (p.10), Retention Periods For Post Office Forms

Form/ Label No.	Title	Retention Period	Cut-Off
7448	Notice of Renewal of Transportation Services Contract	7 yrs	'2'
9528 OC	Advice of Shipment-Stamp Invoice	4 yrs	
	<p>... The cutoff point is based upon a point in time, e.g., at the end of a Pay Period, Calendar Month, Accounting Period, Postal Quarter, Fiscal Year, Calendar Year, etc.</p> <p>*2" The cutoff point is based upon the occurrence of an event, e.g., such as when selection has occurred, when the equipment is disposed, upon revocation/cancellation of a permit/license, expiration of a contract/agreement, closing of an account, closing of a Post Office Box/Caller Service, or when the form is completely filled.</p> <p>"3" Maintain on the permanent (right-hand) side of the employee's official personnel file.</p> <p>"4" Return to individual or destroy when accountability is terminated.</p> <p>"5" Destroy after problem resolution.</p> <p>"6" Destroy when updated/superseded or a subsequent review is completed.</p> <p>"7" Retain until equipment is transferred/disposed, then forward to the postal data center.</p> <p>"B" Destroy after computer processing is verified.</p> <p>"9" Dispose after audit of accountability/next stamp credit examination, or resolution of differences, whichever is longer.</p> <p>"10" Dispose of in not less than 1 year, and not more than 2 years.</p> <p>"11" Discard upon receipt/receipt of signed copy.</p> <p>...2. Retain the most recent complete copy of PS Form 4003 and 4003-A. Forms 4003 and 4003-A showing only the lines changed may be removed when complete Forms 4003 and 4003-A are prepared that include these changes. Form 4003, OPF copy, must be retained permanently.</p> <p>...3. Retain the most recent forms for the carrier holding the bid assignment. Dispose of forms 1 year after new mail counts and inspection date supercedes previous data</p> <p>"14" Retain latest copy. All others may be destroyed after 3 years.</p>		

360 Telecommunications (RESERVED)

370 Printing, Copying, and Duplicating

371 General

371.1 Scope Printing and duplicating costs increase unless there is adequate planning, administrative control, and use of standard production economies. Postal installations producing or procuring printing, duplicating or related services must comply with regulations and procedures in this subchapter, Publication 41, *USPS Procurement Manual* (PM), and other applicable policy documents.

371.2 Policies

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

371.22 Procurement. The PM and Handbook AS7 07, *Procurement Handbook*, contain policy and procedures for the procurement of services, including printing and duplicating.

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

371.3 Responsibilities The Printing Division, Procurement and Supply Department, is the USPS central printing authority. As such, the Printing Division will:

- Promote the effective and economical use of printing, duplicating, copying, and related processes within the USPS.
- Supervise and make policy for the Headquarters Printing Plant.
- Maintain liaison with the Congressional Joint Committee on Printing, the Government Printing Office, and federal executive agencies on printing and duplicating matters.
- Approve (or disapprove) requests for Headquarters printing, copying, and duplicating equipment, and requests for equipment which exceed field approval authority (see 372.3).
- Provide technical assistance to field divisions on all matters involving printing (including the consolidation and centralization of duplicating facilities).

371.4 Definitions

371.41 Processes

371.411 Printing. A production process which includes composition (such as typesetting),

lithographic negative, platemaking, presswork, binding, and blankbook work, except as defined in 371.413.

371.412 Copying. Reproduction of documents by processes such as diazo or electrostatic copying processes.

371.413 Duplicating. Reproduction by a process using an offset press, electrostatic copier, or laser printer.

371.42 Types of Printing

371.421 Headquarters Printing. Printing produced at or purchased through Headquarters for use anywhere in the Postal Service.

371.411 Field Printing. All printing produced at or purchased through field facilities.

371.43 Printing and Duplicating Terms

371.431 Camera Copy. Any furnished material (typewritten copy, pictures, artwork, etc.) ready to photograph for subsequent printing.

371.431 Manuscript. Any material (typewritten, handwritten, or excerpts from previously printed material) that will be composed in type before printing.

371.433 Composition. Text or tabular material that has been typeset. May include charts, tables, text, and illustrations.

371.434 Presswork. Reproduction of printed matter using an offset duplicator or printing press.

371.435 Blank books. General printed books carried as stock items and requiring no additional printing after receipt. Blank books include ledgers, logs, record books, and the like.

371.5 Field Divisions Divisions, management sectional centers (MSCs), and bulk mail centers (BMCs) must each designate an administrative manager to approve requests for printing, duplicating, and copying. The designated administrative manager will:

- Review requests to ensure that the request is necessary, up-to-date, accurate, and complies with USPS policies and procedures.
- Study existing equipment systems to assess the need for improvements and demonstrate, using cost comparison, efficiency pay backs or other techniques, the economic worth of any proposed investment in equipment systems.
- Assure that duplicating and copying activities are performed properly and economically.
- Centralize duplicating activities (see 371.23).
- Maintain an inventory of duplicating equipment and cost and production data related to that equipment.
- Review and ensure the adequacy of duplicating procedures and record keeping.

371.6 Copyrights

371.61 Reproducing Copyrighted Material

371.611 Policy. The rights of the copyright owner must be recognized, and permission should be sought, whenever reproduction of copyrighted material ex-

ceeds fair use (see 17 U.S.C. Sec. 107). However, 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 upon 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. Sec. 1498b).

371.612 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 will protect the work against infringement by persons who would otherwise be unaware that the material is copyrighted.

371.613 Responsibility. The office requesting reproduction is responsible for ensuring that the copyright notice is on all reproduced copyrighted work.

371.62 Copyrighting USPS Material. Consider copyrighting in the name of the Postal Service any publications intended for distribution to the public, including pamphlets and newsletters, if they are considered important enough to warrant control by the USPS now or in the future. Information concerning the copyright procedure may be obtained from the Patent Counsel, Law Department, at Headquarters (ref. Domestic Mail Manual (DMM) 119.2 and 166).

371.63 Trademarks and Service Marks

371.631 Registered Marks. The registered trademarks and service marks of the Postal Service are published in DMM 119.

371.632 Requirements. Proper use of these registered marks and marks proposed or pending registration are prescribed in DMM 119.

371.633 Reference. Additions to the list of Postal Service trademarks are announced periodically in the Postal Bulletin. Specific questions concerning proper use of the Postal Service's trademarks and service marks and concerns over their apparent misuse by others may be directed to the Patent Counsel, Law Department, at Headquarters.

371.7 Restrictions

371.71 Duplicating

371.711 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 demonstrates 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 (see 373).

371.712 Offset Duplicators. Plates made from reusable contact negatives or positives prepared with a camera requiring a darkroom are not authorized for use in field duplicating facilities.

371.72 Printing Included in Contracts

371.721 Contractors should not become primary or substantial sources of printing. Therefore, contracts for supplies or services may not provide for printing unless the Headquarters Printing Division determines that such work is, or will be, non-routine in nature.

371.722 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, as long as the maximum image does not exceed 10-3/4 by 11-1/4 inches.

371.73 Directives and Forms

371.731 Official issuances. Headquarters directives and other official issuances may not be reprinted unless such action is approved by the Document Control Division, Information Resource Management (IRM) Department.

371.732 Forms. Nationally used official PS forms may not be reproduced or printed locally without prior approval of the Document Control Division.

371.733 Free Distribution. Field installations may not distribute more than 50 free copies of any USPS publication to any private individual or organization, without prior approval of the Document Control Division, unless the production cost of the distributed publications is less than \$100. Requests for approval must state the number and title of the publication, the quantity desired, and the name of the person or organization which will receive the copies. This restriction also applies to free distribution, in bulk, of any material to private individuals or organizations for redistribution to their mailing lists.

371.734 Identifying Publications. All printed documents and publications must include the name of the issuing branch, division, or office, and the date of issuance.

371.74 Standards

371.741 Paper. Government Paper Specification Standards or commercially available commodity-line papers must be used in specifying paper stocks for printing or duplicating use.

371.742 Letterheads and Envelopes. Handbook AS-302, *Correspondence Management*, sets forth standards for paper size, grade, and weight, and for colors of ink, in preparing official USPS correspondence.

371.75 Printing Prohibitions

371.751 Greeting Cards. Printing or engraving of greeting cards at USPS expense is prohibited.

371.752 Commercial Advertisements. Printed material may not contain any advertisements by or for any private individual, firm, or corporation, or any material that implies in any way that the Postal Service endorses or favors a specific commercial project, commodity, or service.

371.753 Private or Commercial Work. No printing or duplicating of a private or commercial nature may be

done at any USPS installation. This rule applies even if the Postal Service will be reimbursed.

371.754 Stationery

- a. *Embossed.* Embossed or thermographic stationery may not be printed.
- b. *Personalized.* Printing or overprinting names of officials or telephone numbers on official stationery is prohibited.

371.755 Color Printing

- a. Printing in two or more colors is prohibited, except when additional colors provide a functional value to the work. Only those officials designated pursuant to 371.5 may approve multi-color printing.
- b. Situations justifying multi-color printing include:
 - (1) Advertising and marketing materials to promote sale of services and products.
 - (2) Maps and technical diagrams using additional color for clarity.
 - (3) Easier identification of objects such as flags, uniforms, etc.
 - (4) Promotional or motivational purposes such as safety programs and savings bond drives.
- c. Situations not justifying multi-color printing:
 - (1) Additional color used primarily for decorative effect.
 - (2) Additional color used primarily in lieu of effective layout and design.
 - (3) *Additional color used excessively; e.g., four colors, when two or three would suffice.*

371.76 Artwork and Credits

371.761 *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.

371.762 *Illustrations.* If illustrations are used, they must:

- a. Relate directly 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.

371.763 Courtesy Credit Lines

- a. When uncopyrighted material is contributed or lent, courtesy credit lines are permitted. They must be in the smallest practical type face, subordinate to both text and illustration.
- b. No credit is given when this material is purchased.
- c. When such material comes from a single non-governmental source, credit is given in an undisplayed preliminary paragraph, rather than on individual pages.
- d. Employee bylines in USPS publications. The byline is printed next to the article or pict 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 USPS 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.

371.77 Mailing

371.771 *Mailing Lists.* All postal installations must revise their mailing lists at least once a year. This minimizes material being improperly addressed or mailed to persons who no longer want it. Use titles on mailing lists, instead of names, to reduce the cost of list maintenance.

371.772 *Self-Mailer Technique.* Print the penalty indicia, return address, and mailing address directly on materials rather than on envelopes, whenever this is feasible and economical.

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 371.7 for restrictions).

372.12 Equipment Authorized. Exhibit 372.12 shows copying, duplicating, and related equipment authorized for field duplicating. Procurement is not automatic. Each item must be justified on a demonstrable need basis. Documentation must be prepared for all capital and expense projects and approved as indicated in Management Instruction FM 120-87-4, *Requirements Approval Authority (Capital Expense)*.

372.13 Production Units

372.131 *Duplicating.* The standard production page unit for offset photocopying and other duplicating equipment is 8-1/2 X 11 inches.

372.2 Acquiring Services

372.21 Requests for Duplicating and Microforms. Use Form 1576, *Requisition for Duplicating Service*, to request duplicating and related services (see Exhibit 372.21). The designated administrative official (see 371.5) reviews and approves the request and retains one copy of Form 1576 for one year.

372.22 Log. Use Form 1858, *Duplicating Control Register*, to log duplicating jobs. Retain these logs for 1 year (see Exhibit 372.22).

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 *USPS Excess Equipment.* The Procurement & Materiel Management Service Centers maintain an inventory of all excess equipment in each region and

are authorized to transfer those items from one installation to another.

371.321 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

371.331 Requests. Requisition purchase or rental of items on Form 7381, *Requisition for Supplies, Services and Equipment*. Provide a decision analysis and cost benefit analysis in accordance with Management Instruction FM-520-85-2, *Lease versus Ownership Analysis of Equipment*; FM 120-87-4, *Requirements Approval Authority (Capital/Expense)*; Publication 190, *Capital*

Investment Policies and Procedures; and Publication 191, *Capital Investment Implementation Instructions*.

371.331 Approvals

a. Field. The Director, Procurement & Materiel Management Service Center (P&MMSC), or his or her designee, must review and approve requests for items indicated in column 2 of Exhibit 372.12.

b. Headquarters. Forward requests for items in column I to the General Manager, Printing Division, Headquarters, for final approval.

371.333 Filling Requests. Requests that cannot be filled from excess or surplus equipment are purchased or rented by the P&MMSC/O or by the Division Support Services Office.

372.4 Replacement Criteria

372.41 Copying Machines. Normal depreciation for copying equipment is 7 years for high-speed (above 50 copies per minute) equipment and 5 years for slower (below 50 copies per minute) equipment.

373 Printing

373.1 Headquarters Printing

373.11 Responsibility. The Printing Division at Headquarters is responsible for all matters relating to Headquarters printing. The Printing Division determines how Headquarters printing requirements are filled; i.e., in-house, by 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 Procurement & Materiel Management Service Centers, Service Offices, and Division Support Services Office in field facilities.

373.22 Procurement. The servicing procurement office is responsible for determining the method by which each printing requirement will be procured. Field printing may be procured from several sources as follows:

- a. Government Printing Office (GPO), Regional Printing Procurement Offices (RPPO), and satellite facilities.
- b. Federal Prison Industries, Inc., General Services Administration and other government agencies that are authorized to provide in-house production on a reimbursable basis.
- c. Direct purchase from commercial sources up to the authority delegated for supplies and services.

373.23 Requisitioning.

373.23.1 GPO RPPOs.

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

373.23.2 GPO Requisition Numbering. Requisitions are numbered uniformly with no more than 12 characters consisting of: fiscal year, sequential requisition num-

ber, and finance number. The following example illustrates this system:

8-00049-102710
 8 = 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 is not the procurement office as indicated in a purchase order number.

373.23.3 SIBAC Billing Address Code. All requisitions for GPO Services must include the six-digit billing address code for the Simplified Interagency Billing and Collection System.

373.23.4 Other Government Agency Orders. All interagency requisitions should be placed on a purchase order by offices with contracting authority.

373.3 Commercial Field Printing Printing purchased directly from commercial sources must be processed in accordance with the Procurement Manual and Handbook AS-707. All orders must be executed on a U.S. Postal Service purchase order or other approved contract document.

374 Business Calling Cards

374.1 Policy

374.11 Printing business cards at Postal Service expense is authorized for USPS 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 This policy is not intended to encourage 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 entailed by a position.

374.2 Ordering Cards Ordering organizations must purchase cards under a Headquarters or regional contract issued annually. *Exception:* Only the Postmaster General, Deputy Postmaster General, Associate Postmasters General, SAPMGs, RPMGs, Board of Governors and the Secretary to the Board are authorized to use embossed cards. The authorized standard design for business cards is shown in Exhibit 374.2. No other design may be used. Orders for embossed cards should be sent to:

HEADQUARTERS PRINTING DIVISION
 UNITED STATES POSTAL SERVICE
 475 L'ENFANT PLAZA SW
 WASHINGTON DC 20260-6255.

REQUISITION FOR DUPLICATING SERVICE			Date of Request	Date Required	Job Number	
To: Duplicating Unit			From (Name, Telephone Extension, and Room No.)			
Thru:						
Description of Job (Title, Form No., Etc.)			Printing (Citeck <input type="checkbox"/>)			
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PS Form 1576, May 1986

.u.s.GPO:1987-o.1M-e&W711017

Exhibit 372.21, Requisition for Duplicating Services

U.S. POSTAL SERVICE DUPLICATING CONTROL REGISTER									DATE	
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PS Form 1858
SBp 1978

Exhibit 372.22, Duplicating Control Register

SAMPLE
FORMAT

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CASE LETTERS

JOHN R. FRENCH
Director, Office of Management Services

PLAZASW
WASHINGTON DC 20260-1234
TEL (202) 268-4321
FAX (202) 268-4492



ALL TYPE IS
7 PT. HELVETICA
LIGHT, FLUSH
LEFT. ALL UPPER
CASE LETTERS,
EXCEPT THE
TITLE.

Exhibit 374.2, Standard Design for Business Cards

Chapter 4 Government Relations

410 Liaison

411 Legislative and Executive Relations

411.1 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.

411.2 Responsibility The Assistant Postmaster General for Government Relations is responsible for the Postal Service's government liaison. The APMG, Government Relations:

- a. Keeps Legislative and Executive Branch officials informed of developments within the Postal Service and responds to their inquiries;
- b. Advises management as to how USPS decisions might affect other governmental entities; and
- c. Briefs management on government reaction to postal policies and developments.

411.3 Government Relations Department

411.31 Inquiries on Postal Policy. All governmental inquiries concerning postal policy matters (as opposed to service matters) should be forwarded to the ASSISTANT POSTMASTER GENERAL, GOVERNMENT RELATIONS DEPARTMENT, UNITED STATES POSTAL SERVICE, 475 L'ENFANT PLAZA, WASHINGTON DC 20260-3500. Policy matters include, but are not limited to, ratemaking, mail classification, contracting and procurement, real estate, arbitration, interpreting collective bargaining agreements, appointments, promotions, and personnel policies.

411.32 Sources. Inquiries concerning postal policy are generally directed to Postal Service Headquarters by:-

- a. The White House;
- b. The Office of Management and Budget (OMB);
- c. Departments and agencies of the Executive Branch;
- d. Members of Congress;
- e. Congressional committees;
- f. The General Accounting Office (GAO); or
- g. The Congressional Budget Office.

411.4 Field Management

411.41 Direct Responses Authorized

411.411 Postmasters, MSC managers, Field Division General Managers/Postmasters, and Regional Postmasters General 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.

411.412 If direct response to a service-related inquiry is authorized, send information copies of written responses or memorandums recording the substance of verbal responses to the APMG, Government Relations Department.

411.42 Community Contact for New Facilities. Field management contacts local officials (including heads of state and local governments) to establish requirements for the construction of new postal facilities within a community. If community officials request public discussions and presentations, or if the Field Division General Manager/Postmaster considers them necessary, field management must advise the APMG, Government Relations, and the Consumer Advocate of the discussions scheduled and the results.

411.43 Displays in Postal Facilities

411.431 Notices Authorized. (See also POM 221.5.) Postmasters must display Poster 75, *Your Federal Lawmakers*, on lobby bulletin boards or, if boards are not available, in a binder or on a clipboard. Bulletin board notices by Members of Congress are limited to public announcements of pending competitive civil service examinations and pertinent information for applicants for appointment to the U.S. service academies.

411.432 Restrictions

- a. Display only as long as the notices are current.
- b. Display only within the district of the sponsoring congressman or the state of the sponsoring senator.
- c. Notices that include the Member's picture should be returned to the Member with an explanation. (See 411.433.)
- d. Notices must conform to the following specifications:
 - (1) Size: 9 x 12 inches or less.
 - (2) Signature or printed name of Member of Congress: 48-point (112-inch) type or smaller.
 - (3) Contain a closing date for submission of applications. (*Note: If notices do not conform to the above specifications, they may be displayed pending a decision by the Regional Director of Marketing and Communications.*)

411.433 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; or
- c. Any political picture, cartoon, or other matter designed to influence an election.

411.44 Undeliverable Franked Mail. Procedures for handling undeliverable bulk third-class congressional mailings are contained in POM 453.13.

411.45 Mailing Lists. Mailing lists submitted by Members of Congress and governmental entities should be updated as frequently as requested. (For information concerning the correction of mailing lists, see DMM 945.)

411.46 Memorial Plaques. When a USPS building has been designated by an Act of Congress to honor an individual, the postmaster is notified by the Government Relations Department. The postmaster then requisitions one memorial plaque from the Eastern Area Supply Center, providing EASC with the name of the individual to be honored. When received, the Postmaster should advise the Government Relations Department and receive instructions regarding a ceremony. Ultimately, the plaque should be displayed in a prominent place in the facility's lobby, preferably above the post office boxes.

411.5 Legislation--General All inquiries concerning 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 should be referred to the APMG, Government Relations Department.

411.6 Release of Information The release of information to government officials must be consistent with the policies outlined in 350 and in DMM 115.

412 Military Post Offices

412.1 Description A military post office is a branch of a designated USPS 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 USPS does not operate and in other places where the military situation requires it.

412.2 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*.

413 Civil Preparedness

413.1 Objective The objective of postal emergency preparedness planning is to maintain or restore essential postal service in a national emergency, natural disaster, or domestic crisis.

413.2 Emergency Coordinator The Chief Postal Inspector is designated Emergency Coordinator for the USPS (see 284.1), providing general direction and coordination of the following programs:

- a. National civil preparedness and defense mobilization;
- b. Natural disaster preparedness; and
- c. Emergency response to disruptive domestic crisis.

413.3 Preparedness Plans Details of USPS preparedness plans are contained in:

- a. Publication 159, *Contingency Planning* (Parts A, B, and C);
- b. ASM 280 (Emergency Preparedness);
- c. ASM 430 (Red Cross);
- d. *USPS Emergency Planning Manual*; and
- e. ELM 519.22 and .23.

414 Federal Executive Board and Federal Executive Association Programs

414.1 General This part provides USPS policies and responsibilities in regard to the Federal Executive Board (FEB) and Federal Executive Association (FEA) programs and outlines the extent of the USPS participation in these programs.

414.2 Federal Executive Boards

414.21 Establishment. Federal Executive Boards (FEBs) were established by Presidential directive to improve internal federal management practices and to provide a central focus for federal participation in civic affairs in major metropolitan centers.

414.22 Purpose. FEBs serve as a means (a) for disseminating information within the federal government, (b) for interagency training, and (c) for promoting discussion of federal policies and activities of importance to all federal executives in the field. The boards also serve as channels of communication to Washington on government-wide management issues requiring special attention.

414.23 Organization. FEBs are composed of heads of all federal departmental and agency field offices located in a metropolitan area. A chairperson and other officers are elected annually from among the membership to provide leadership for the board's operations. Committees and task forces carry out interagency projects consistent with the board's missions. Such boards receive overall policy direction from the Office of Management and Budget (OMB) in the Executive Office of the President.

414.24 Metropolitan Areas. FEBs have been designated by presidential action for the following 26 metropolitan areas: Albuquerque-Santa Fe, Atlanta, Baltimore, Boston, Buffalo, Chicago, Cincinnati, Cleveland, Dallas-Ft. Worth, Denver, Detroit, Honolulu-Pacific, Houston, Kansas City, Los Angeles, Miami, New Orleans, New York, Newark, Philadelphia, Pittsburgh, Portland, St. Louis, San Francisco, Seattle, and the Twin Cities (Minneapolis-St. Paul).

414.3 Federal Executive Associations There are also 100 Federal Executive Associations (FEAs), which provide similar coordination among federal agencies in serving community needs. An FEA is less structured, requires no reporting relationship to OMB, and has an informal relationship with the nearest Federal Executive Board.

414.4 USPS Role

414.41 Participation. The Postal Service will continue to participate in the FEB and FEA programs. Postal Service representatives on the boards and associations are encouraged to participate in committee work, fund drives, and similar activities of these groups, particularly in matters that directly affect the USPS interest or when its participation or that of the representative could make a significant contribution to the success of the effort.

414.42 Examples of USPS-Supported Policies. Examples of some FEB- and FEA-supported policies that the USPS also supports are:

- a. Equal Employment Opportunity;
- b. Consumer Protection;
- c. Energy Conservation;
- d. Community Relations;
- e. Saving Bonds Drive; and
- f. Combined Federal Campaign.

414.5 Responsibilities

414.51 Employee Relations Department

414.511 Provides liaison at Headquarters level with the Federal Executive Board Secretariat in OMB.

414.512 Coordinates the Postal Service's overall participation in FEB and FEA programs.

414.52 Regional Postmasters General

414.521 Designate an official to serve as Regional coordinator for the overall coordination of FEB and FEA activities within the Region.

414.522 Select appropriate senior postal officials, especially postmasters or magistrates to serve as the USPS representatives and alternates on each of the various Federal Executive Boards and Federal Executive Associations within the Region.

414.523 Advise the Employee Relations Department promptly of:

- a. The name and title of each postal Region's Federal Executive Board and Federal Executive Association coordinator and of the name and title of the representative(s) and alternate(s) selected to represent the Service on each Board and each association within the Region.
- b. Any subsequent changes to this listing.

414.53 Designated Representatives and Alternates

414.531 Ensure that the Postal Service is properly represented at regular board and association meetings.

414.532 Keep their superiors and the regional coordinators informed of any significant developments within the FEB and FEA programs and advise them promptly of any potential conflicts between the demands of those ad hoc duties and their postal duties or between board or association policies and USPS policies.

414.533 Actively explore ways in which board and association programs and postal programs may complement and reinforce one another and ways in which their board or association affiliations may afford opportunities to advise government installation heads of how the USPS can assist them and how they can assist the Service.

414.534 Make every effort to perform creditably any special assignments they agree to undertake on behalf of the board or the association.

414.535 Coordinate and obtain prior approval of all direct expenditures for board or association participation from the Regional coordinator. Expenditures are paid from a designated representative's office budget.

414.6 Feedback

414.61 Regional Coordinators keep the RPMGs and the Employee Relations Department advised of any significant developments or problems in connection with board and association activities within the Region.

414.62 The Employee Relations Department initiates the actions necessary to resolve questions raised by the field regarding any aspect of USPS participation in the programs.

414.63 Within 60 days of the close of each fiscal year, the APMG for Employee Relations will report to the Postmaster General on the significant activities in which the Postal Service participated as part of FEBs and FEAs, as well as any problems experienced.

415 Postal Rate Commission

415.1 Policy It is the policy of the U.S. Postal Service to cooperate with the Postal Rate Commission and to respond accurately and promptly to appropriate inquiries in a coordinated manner. This policy and the procedures that follow are applicable to postal employees at Headquarters, Regions, Divisions, and all other postal field installations.

415.2 Responsibilities

415.21 APMG, Rates and Classification. The APMG for Rates and Classification (or designee):

- a. Is designated by the PMG as the liaison official in the Postal Service to receive requests from the Postal Rate Commission for general information and for arranging Commission visits to postal installations;
- b. As the designated liaison official, directs the coordination and review of all proposed responses to requests from the Commission for general information, and releases such responses;
- c. Coordinates requests for Commission visits to postal installations with the Senior Assistant Postmaster General, Operations Group; the appropriate Regional Postmaster General; the heads of the installations to be visited; and other appropriate postal officials, as necessary;

- d. Prepares notification of visits to the SAPMG, Operations Group; the SAPMG, Finance Group; the General Counsel, and other postal officials, as necessary.

415.22 Associate General Counsel. The Associate General Counsel, Office of Rate and Classification Law (or designee), or the appropriate Assistant General Counsel in that office, according to the rules of the Commission in Title 39 CFR 3001.12(e), receives requests for information pertaining to docketed cases before the Commission. These requests are made by delivering six copies of the request to:

ASSOCIATE GENERAL COUNSEL
OFC OF POSTAL RATES AND MAILING RULES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA
WASHINGTON D.C. 20260-1140

415.23 Managers of Field Installations

415.231 Immediately forward to the APMG for Rates and Classification any requests from Postal Rate Commission personnel to field installations.

415.232 Postal field managers will be notified in advance of scheduled Postal Rate Commission itineraries. If PRC personnel make any requests to add unscheduled installations, facilities, or briefings, notify the APMG for Rates and Classification immediately.

415.3 Inquiries on Postal Policy All inquiries from the Postal Rate Commission concerning postal policy matters must be referred to the APMG for Rates and Classification. 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.

420 Services

421 General

421.1 Policy

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

421.12 Fees. Except as provided by law, it is USPS policy to charge compensatory fees for services performed on 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 USPS participation in special surveys, and other activities must be made between the national headquarters of the requesting agency and USPS 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 Regional or area offices of federal agencies to the RPMG for forwarding with recommendations to the appropriate Department at Headquarters. (See 114 and liS for Headquarters functions.)

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

422.2 Passport Application Acceptance Program

422.21 Applicability. The Secretary of State, on authority delegated by the President, has designated certain categories of persons who may accept passport applications (section 51.21, title 22, CFR), including postal employees designated by the postmaster at a post office authorized by the Postal Service and the Department of State to accept passport applications.

422.22 Policy

422.221 The Postal Service, in agreement with the Department of State, assists Passport Services and field agencies in accepting passport applications. Passport Services determines the areas (city, county, or state) where the public needs additional service. The Postal Service determines whether postal facility(ies) within the area can provide the assistance without adversely affecting normal postal operations.

422.122 The USPS and Passport Services must mutually agree on the number and location of postal facilities to be involved within the area.

422.213 The USPS and Department of State must mutually agree to reimbursement rates and procedures.

422.23 Establishing or Changing Service

421.131 New Acceptance Facilities

a. On specific request from Passport Services or occasionally the Postal Service initiates a request for inclusion of new passport acceptance sites based on the same criteria. USPS Headquarters solicits recommendations on facilities that should be authorized to accept the applications. The potential number of applicants in the area and the location

Service Provided	Reference	Agency	Responsible Hq. Dept.
Food Coupon Distribution	Hbk. F-1, Ch.7	Agriculture Dept.	Philatelic and Retail Services
Sale of Migratory Bird Stamps and cooperation in Hunting Survey	Periodic Postal Bulletin Notices	Interior Dept., Nat'l Fish & Wildlife Service	Philatelic and Retail Services
Selective Service Registration	Guidelines Distributed through channels	Selective Service System	Philatelic and Retail Services
Acceptance of Passport Applications	See 422.2	State Dept., Passport Office	Philatelic and Retail Services
Housing Vacancy Surveys	See 422.6	Federal Home Loan Bank Board	Operations

Exhibit 422.1, Examples of Nonpostal Services Provided by Interagency Agreement

- of existing postal resources to provide the service are determining factors.
- b. Field Directors, Marketing and Communications, should recommend a minimum number of locations within their areas. Customer travel time, parking facilities, and clerical workload are factors to consider in site selection.
 - c. Clerks of Court are the traditional sources of assistance to the public in acceptance of passport applications. The USPS does not wish to compete in providing services for other government agencies. Therefore, the agency (USPS or Passport Services) seeking to establish or discontinue a facility's participation should obtain opinions and recommendations of local Clerks of Court who also accept passport applications.

421.232 Headquarters Notice

- a. MSC managers send notification through the Field Director, Marketing and Communications, to Headquarters:
 - (1) To request prior approval to increase or decrease the number of facilities providing the service;
 - (2) To request relocation of the service to other facilities, if changes in workloads or postal resources justify the action;
 - (3) To report on planned actions such as consolidation of stations or moves into a new facility, if the application acceptance function will involve a change in unit designation, street address, or ZIP Code.
- b. Recommendations, requests, or reports must reflect the official designation (name, letter, or number) of the new location; number, street address, and ZIP Code; and the proposed effective date. Headquarters must maintain an accurate listing of postal units in the program at all times.

422.233 Concurrence. Headquarters obtains concurrence of Passport Services before authorizing any postal facility to begin or discontinue accepting passport applications.

422.24 Discontinuing Service

422.241 By USPS. MSC managers initiate requests to discontinue the service or reduce the number of participating facilities when other nearby acceptance agencies or postal facilities can meet community needs for the service more economically.

422.242 By Passport Services. Passport Services makes periodic reviews and recommends removal of participating postal facilities where there no longer appears to be a need for the service. The Postal Service concurs unless the MSC manager involved determines that the action would shift an unmanageable workload onto a nearby postal facility remaining in the program.

422.25 Preparation at Newly Authorized Locations

422.251 Instructions. Divisions provide newly authorized offices with specific instructions.

422.252 Acceptance Employees

- a. Postmasters select and designate employees to provide the service. These are normally limited to one principal employee and only enough alternates to ensure that the service is available during all advertised hours and to prevent excessive customer waiting time during peak periods. This reduces training requirements and enhances the expertise of the principal acceptance clerks.
- b. Employees other than retail window clerks may be designated; however, cash accountability must be established.
- c. Supervisory personnel should be designated only for emergency situations.

422.253 Acceptance Location. Postmasters select the location(s) within the facility where the service is provided. This may be one or all window positions, depending on volume of business. Consider:

- a. Accessibility and customer convenience;
- b. Acceptance at special window positions established for philatelic products, meter settings, bulk mailings, etc.;
- c. Diverting all applicants to the principal acceptance employee at offices with a speedy line and multipurpose windows; and
- d. Availability of telephone for acceptance employee to use in answering inquiries.

422.254 Training

- a. A self-study program, 41506-01, *Handing Out and Accepting Passports*, is available from the Postal Employee Development Center.
- b. The *Passport Agent's Manual*, issued by Passport Services, provides technical guidance for all agents designated to accept passport applications. Designated postal employees must be provided a reasonable amount of official (on-the-clock) time to study the manual carefully. They are expected to be familiar with the contents and comply fully with the procedures. Passport Services sends each newly authorized office two copies of the manual.

422.255 Hours of Service. Postmasters establish the hours for offering the service based on local resources and capabilities. The minimum should be 10 a.m. to 3 p.m., Monday through Friday, if the service cannot be provided during all normal business hours.

422.256 Signs. Post signs in the lobby clearly stating the hours the service is available. Nearby postal units that do not accept applications may display a lobby sign informing customers of the locations where the service is available.

422.26 Application Acceptance Guidelines

422.261 Passport Agents Manual. The manual is used for daily reference and contains a list of passport agencies serving each geographic area, with a special telephone number for acceptance employees to call for additional guidance. Changes to the manual and other passport information issued by Passport Services are sent periodically to participating post offices.

422.262 Acceptance Procedures

- a. Acceptance employees hand out the proper blank application forms to applicants or mail them when requested by telephone. Applicants complete the forms according to instructions printed on them and return them in person to acceptance employees for review and execution.
- b. Acceptance employees must take measures to verify the identity of the applicant. The acceptance employee is the one who can most readily seek verification from the applicant that he or she is the person he or she claims to be. The acceptance employee must annotate the application form to show the documents or procedures used for verifying the applicant's identification.
- c. Acceptance employees administer the oath, witness the applicant's signature on the application, and then sign it and affix an imprint of the postal unit's round dating stamp.
- d. Acceptance employees should do their utmost to ensure that the application is properly completed and accompanied by the correct supporting documents. However, to avoid arguments with applicants, they should accept any questionable item and attach an explanatory note to the application, so that Passport Services may resolve the problem directly with the applicant.
- e. Do not hold any applications for additional documentation; return those not sent to the Passport Agency to the applicants without completing the procedures in 422.262c.
- f. Do not recommend to applicants a particular photographer or studio for passport photographs. Refer applicants either to a locally prepared listing of all qualified establishments in the immediate area or to the classified pages of the telephone directory.

422.263 Payment Of Passport Fees

- a. *Types of Payment.* The passport fee must be collected at the time of the execution of the application. Payment may be made in cash or by check or money order. Encourage customers to pay by check if the passport application is being mailed to the attention of a specific individual for processing or if it needs expedited treatment because of an urgent departure.
- b. *Payment by Check or Money Order.* The accepting employee must ensure that the check or money order payable to Passport Services is for the proper amount and is attached to the application. A personal check or money order must be marked with the applicant's name and date of birth. Send fees paid by check or money order to the Passport Agency along with the applications. Do not enter them into the postal accounting system.
- c. *Cash Payments.* Payments in cash must be handled by issuing Form 3544, *Post Office Receipt for Money*. On the line entitled *For enter: Passport Application Fee*.
 - (/) Remit cash collections to the designated Passport Agency daily by issuing a no-fee postal money order in the exact amount of total cash fees collected for the day, using the following procedures:

- (a) Issue a single postal money order on the day of collection in the exact amount of the total cash fees.
 - (b) Enter *Passport Services* on the postal money order as payee.
 - (c) On the line entitled *For enter: Passport Application Fee* and the numbers of the Form 3544 provided to the cash customers.
 - (d) Send the postal money order, together with the passport applications, to the designated Passport Agency.
- (2) Do not send the passport application 1 day and the funds the next.

421.264 Financial Procedures

- a. Form 5659, *Passport Application Transmittal*, the applications, and the total funds remitted through money order and checks must match. If a cash application is accepted after the transmittal money order has been written, the application may be held in a secure place and the funds put into a trust fund account un'til the next business day.
- b. The following entries should be made on Form 1412-A, *Daily Financial Report*.
 - (1) Include the amount of the postal money order in AIC 100, *Domestic Money Order . . . Value*.
 - (2) Although the postal money order fees for these orders are not collected from the applicants, enter what would be the appropriate money order fee in AIC 101, *Domestic Money Order . . . Fee*.
 - (3) Enter the money order fee in AIC 586, *Fee Offset--No Fee Money Order*.
- c. Submit Form 1412 supported by the money order voucher, the money order customer's receipt, and the duplicate copies of Form 3544.

422.265 *Expedited Return of Passport.* A customer may request an expedited return of a passport in one of two ways.

- a. For special delivery service, include the appropriate fee in the funds transmitted to the Passport Agency and indicate Special Delivery under the *Added Return Services* column of Form 5659.
- b. For Express Mail, attach a prepaid (stamped), addressed, and labeled Express Mail envelope to the passport application. Express Mail cannot be prepaid with a meter strip. IndiCate Express Mail under the *Added Return Services* column of Form 5659. Do not suggest using Express Mail as a means to shorten passport processing time.

422.266 Application Transmittal

- a. On the day of acceptance, mail all passport applications with related fees and supporting documents to the designated passport agency for processing. Use Form 5659, *Passport Application Transmittal*. The original of the form accompanies the applications. Place applications behind the transmittal in the same order as listed.
- b. If more than one employee accepted applications during the day, prepare a consolidated Form 5659 for the acceptance facility. Use the ZIP Code of

- the acceptance unit and not of the postmaster. Include the city name with the station or branch designation in the *Name of Facility* block. Make a separate line entry for each application accepted during the day. If an application was sealed after execution for the customer to hand carry, list the application on Form 5659 and note in *Remarks* to who_m the application was hand carried.
- c. The *Clerk's Initials* column identifies the employee who actually accepted the application, when more than one employee is involved.
 - d. Any remarks on Form 5659 should apply to the total transmittal. Comments about a specific application must be in a separate memo attached to that application. Imprint the *Remarks* block with the unit's round dating stamp.
 - e. Before mailing, a supervisor or other employee should review the completed Form 5659 and related applications for accuracy. The reviewer initials the *Remarks* block to indicate concurrence. Indicate the earliest departure date in the package on the outside of the envelope.
 - f. Forward the first carbon copy of the completed Form 5659 to the accounting unit of the postal facility each day at the close of business, with Form 1412. Retain the second carbon copy at the acceptance facility for 4 months, then destroy it.

422.27 Reports and Records

422.271 Postmasters

- a. For quality control, each passport agency maintains an informal log on the number and type of errors on applications.
- b. Errors must be discussed with the responsible employee for immediate corrective action.
- c. Customer complaints about the passport application service received from any source should be analyzed and considered with the error reports to determine training requirements.

422.272 Accounting Unit

- a. Form 5660, *Summary of Passport Applications Accepted*, is a consolidated report on the number and type of applications accepted at each location reporting to the accounting unit. It provides data for program management and for reimbursement actions.
- b. Each accounting period (*NP*), the accounting unit verifies the accuracy of the totals on the daily Forms 5659 received from acceptance units; consolidates the daily totals for each unit into a single line entry on Form 5660; and submits the completed report to the St. Louis PDC no later than close of business on the first Friday after the end of each *NP*. Submit negative reports if no applications were accepted during the *NP*.
- c. Form 5660 requires a separate line entry for each acceptance unit and the correct ZIP Code for that unit. Under *Name of Facility*, enter the city name followed by the acceptance unit designation. *Example: Houston/Main Office* on one line and *Houston/Sam Houston Station* on the next line.

- d. Accurate and timely submission of Form 5660 to the St. Louis PDC is vital to the reimbursement process and to program management. Respond immediately when notified of a report discrepancy.
- e. Copies of completed Form 5659 and Form 5660 retained in the accounting unit are destroyed 3 months after the end of the quarters in which they originated.

422.273 St. Louis PDC

- a. Each AJP, the PDC prepares a listing of passport application activity for each acceptance location, as reported on the Form 5660. Listings are by post office, MSC, division, and region. They reflect data for previous year, year-to-date, previous quarters, and current period. These listings:
 - (1) Provide Headquarters an overview of program activity;
 - (2) Are the basis for reimbursement billings to Department of State; and
 - (3) Are used by divisions for planning and management.
- b. The St. Louis PDC retains completed Forms 5660 and their copy of the listing for 1 year after the end of the fiscal year in which they were prepared.

422.28 Forms and Supplies

422.281 *Items Used.* In addition to Form 5659 and Form 5660 and the Passport Agent's Manual, the following supplies are used for the passport acceptance program:

USPS Supply Item Number	Descriptive Title
DSP-1PS	Know Before You Go (Customs Hints)
DSP-8872	Your Trip Abroad
DSP-10A	Birth Affidavit
DSP-11	Passport Application
DSP-19	Application for Amendment of Passport
DSP-60	Affidavit Regarding Change of Name
DSP-64	Statement Regarding Lost or Stolen Passport
DSP-71	Affidavit of Identifying Witness
DSP-82	Application for Passport by Mail
M-264	Visa Requirements
M-343	Notice About Birth Records
PA-1083	Traveler's Tips

422.282 *Requisitioning Procedures.* Requisition all items from your area supply center on Form 7380, *Supply Center Requisition*. All blank forms and related materials are described in the *Passport Agent's Manual*. DO NOT REQUISITION FORMS OR SUPPLIES FROM PASSPORT SERVICES EXCEPT FOR THE *Passport Agent's Manual*.

422.3 Food Coupon Issuance Program

422.31 *Description.* For many years food coupons have been an important element of federal public assistance programs. Determining the eligibility of those needing assistance, as well as issuing, controlling, and accounting for the food coupons, is a complex

operation. The USPS distributes federal food coupons over the post office counter to eligible recipients in 11 states.

422.32 Background. USPS participation in the program stems from past agreements between the USPS and the U.S. Department of Agriculture (USDA). The USPS contracts with each individual state agency designated by USDA to administer the food coupon program. Billing is handled by the MSC with the individual state or county agency. Currently, the USPS has a moratorium on the expansion of over-the-counter issuance sites.

422.33 Implementation

422.331 Staff Responsibility. The Director of Marketing at the MSC is responsible for coordinating the food coupon program within the MSC area and for overseeing clerk training. Postmasters or station managers are responsible for the day-to-day operation of the food coupon program in their postal units. The following steps are used to implement the program:

- a. Train retail postal personnel
- b. Determine hours of service
- c. Post signs in lobby
- d. Obtain forms and materials
- e. Follow issuance procedures
- f. Follow reporting procedures.

422.332 Training. Window clerks receive guidance from Postal Handbook F49, *Federal Food Coupons*. They are trained with the *Issuing Food Coupons*, training and reference handbook, Training Course 41504-06.

422.333 Displays, Forms and Materials

- a. Signs indicating the hours that food coupons are issued must be posted in the lobbies of participating postal units. Nearby postal units that do not issue food coupons may display a sign informing customers of locations where the service is available. Signs can be ordered from the local state agency administering the food coupon program.
- b. The following forms are required for the program and can be requisitioned from Materiel Distribution Centers: Form 3508, *Requisition for Saleable Items (Other than Stamps)*; Form 2960, *Inventory Record*; and Form 1412-A, *Daily Financial Report*.
- c. Adequate supplies of food coupons must be maintained to meet local customer demand. Food coupons are shipped to the Postal Service on a consignment basis from the USDA or its agents. Food coupons are available at the MSC level for further distribution to associate post offices currently in the program.

422.334 Food Coupon Issuance Procedures. Retail managers must ensure that postal clerks follow these steps to conduct a typical food coupon transaction:

- a. Greet customer and accept or request identification (ID) and Authorization to Purchase (ATP) cards.
- b. Verify that the ID and ATP cards are in order by checking the expiration dates and the state, coun-

ty, and area of issuance, and comparing the two cards to be sure the name and case number are the same on both cards.

- c. Request a signature and verify against the signature of the ID card. Ask the customer to sign the ATP card in the correct place, as local procedure requires. (If customers have already signed before arriving, have them sign the ATP card again.)
- d. Date-stamp and initial the ATP card.
- e. Determine from the ATP card the specified amount of food coupons that the customer is entitled to receive.
- f. Select correct denominations (\$2, \$7, \$10, \$40, \$50, \$65) of coupon books, hand them to the customer, and count them aloud.
- g. Thank the customer and, when appropriate, suggest that the food coupon books be signed before the customer leaves the post office.
- h. Place the ATP card in a sorter or other lockable or secure receptacle. (Food coupons are requisitioned and accounted for in the same manner as postage stock. Since coupons are negotiable at retail stores, the clerk is fully accountable for them.)

422.335 Reporting Procedures. The closing inventory of food coupons must be reported to the USDA by the MSC at the end of each calendar month. The steps for closing out and accounting are provided in Handbook F 49, *Federal Food Coupons*.

422.4 Migratory Bird Hunting and Conservation Stamp Program

422.41 Description. Federal law requires persons ages 16 and older who hunt migratory birds (i.e., ducks and geese) to obtain migratory bird hunting and conservation stamps, commonly known as "duck stamps".

Post offices act as agents of the U.S. Fish and Wildlife Service (FWS) by selling these stamps. Duck stamps are sold at nearly 10,000 post offices, including all post offices in CAG A-G offices and at certain designated offices in CAG K and L, where there is a demand for them.

422.42 Background

422.421 Fees. The federal government levies a user's fee on waterfowl hunters to finance the preservation of nearly 4 million acres of marshes and wetlands used as migratory bird habitats. Because of the widespread demand for duck stamps, USPS has agreed to become agents of FWS in selling these stamps.

422.422 Survey Post Offices. The USPS assists FWS in conducting a survey of waterfowl hunters. The survey is designed to estimate the annual hunting kill. Window clerks at post offices selected by FWS distribute a card to each duck stamp purchaser. The customer completes the card and returns it to the clerk, who postmarks and mails the cards to FWS daily. FWS is responsible for selecting survey post offices and distributing survey cards to them.

422.43 Implementation

422.431 Staff Responsibility. Postmasters are responsible for implementing the program. The following steps are to be used:

- a. Determine quantities to order.
- b. Display posters in the lobby.
- c. Follow stamp accountability procedures.
- d. Follow reporting procedures.

422.432 Quantities of Stock. Determine the number of duck stamps required each year from an analysis of actual sales in prior years. USPS Headquarters and FWS work together to print and distribute duck stamps. Each year by December 5, FWS provides the USPS with the artwork and copy for the coming year's duck stamps.

422.433 Displays. USPS Headquarters assists FWS with the printing and distribution of a lobby poster promoting duck stamps. Refer to Section 535.7 of this handbook for more information on displaying posters.

422.434 Stamp Accountability. Duck stamps are treated in the same manner as USPS postage stock; however, they are classified as "nonpostal" stamps. Refer to Chapter 4 of Handbook F 1. *Post Office Accounting Procedures*, for detailed information.

422.435 Reporting Procedures. A year-end report on the number of duck stamps sold by each post office in the state is furnished to FWS. The USPS also provides FWS with quarterly reports on the number of duck stamps sold in each state.

422.5 Housing Vacancy Surveys

422.51 General. An interagency agreement between the Postal Service and the Federal Home Loan Bank Board (FHLBB) establishes the terms, conditions, and reimbursement rates under which the USPS will conduct Housing Vacancy surveys in City Delivery offices when requested by the FHLBB.

422.52 Restrictions. The agreement only authorizes the disclosure of aggregate statistical data. (See ASM 352.42.)

422.53 Postmaster's Responsibility

- a. The FHLBB notifies a postmaster when his office has been selected to conduct a Housing Vacancy Survey. Normally, the postmaster receives written

notification 30 days before the date FHLBB would like the Postal Service to conduct the survey. The Service is under no obligation to use overtime or auxiliary assistance to conduct these surveys. The postmaster or designee will schedule the survey on or near the date requested and advise the FHLBB so that the necessary forms may be provided on time.

- b. All necessary forms and instructions must be supplied directly to each post office to be surveyed. Postmasters must designate a manager in each delivery unit to coordinate the survey within the unit and to review completed survey forms for accuracy.
- c. FHLBB may request the Postal Service to perform special or emergency surveys with less than 30 days advance notice. Every reasonable effort should be made to accommodate such requests.
- d. Housing Vacancy Surveys must not be conducted during December of any year.
- e. In order to notify Headquarters of the offices that conducted surveys, postmasters must send the original copy of the Postmaster's Summary Report to:

PHILATELIC AND RETAIL SERVICES DEPARTMENT
OFFICE OF RETAIL
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-6730

A copy of that form must also be sent to the Federal Home Loan Bank, who will then remit payment directly to USPS Headquarters. The address to send the copy is:

FEDERAL HOME LOAN BANK BOARD
POBOX60
INDIANAPOLIS IN 46206-0060

- f. The USPS must not release or publish any survey results except in response to a court order, subpoena, or as required by the Freedom of Information Act.

423 Mutual Cooperation and Support.

The Postal Service makes arrangements with other agencies for cooperation and support when it will be mutually advantageous. A partial list of such arrangements and references to further details is shown in Exhibit 423.

430 Relations with Private Agencies

431 Red Cross

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

431.2 Responsibilities RPMGs and inspectors-in-charge must ensure that post offices implement these cooperative arrangements in disaster situations.

431.3 Joint Services Provided

431.31 General. The Postal Service and the 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 Red Cross officials as much as possible during times of natural disasters.

431.32 Address Changes

431.321 The Red Cross uses Form 3575, *Change of Address Order*, as a standard item in Red Cross disaster relief. It 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.

431.322 The Postal Service provides the blank forms to the Red Cross.

431.323 During each disaster and subsequent disaster relief efforts, the Postal Service establishes a separate file of Form 3575 completed by disaster victims, and makes information in the file available to the 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.

431.33 Other Efforts

431.331 The Postal Service and the 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.

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

432 Combined Federal Campaign (Reserved)

433 Carrier Alert

433.1 Policy The U.S. 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 the handicapped--have resolved to encourage joint support to local community social service agencies in the Carrier Alert program.

Activity	Agency	Reference
Mailing List Correction	Government Agencies and Members of Congress	DMM 945
Lend Mail Equipment	Government Agencies (generally)	POM 575
Unscheduled Public Bulletin Board Displays in Lobbies	Government Agencies (generally)	POM 221.54
Sales of U.S. Savings Bonds through postal payroll deductions	Treasury Department	ELM 616
Storage of Burial Flags for Veterans	Veterans Administration	ASM 443
Interchange of Space in Buildings	General Services Administration	ASM 516
Maintenance of Interchanged Buildings	General Services Administration	ASM 534
Purchase of supplies through GSA Stores and Depots	General Services Administration	ASM 720

Exhibit 423, Nonreimbursable Cooperation with Other Agencies

433.2 Responsibility The Communications Department is responsible for Carrier Alert activities that include:

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

433.3 Procedures

433.31 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 wish 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.

433.32 Postal Liaison

433.321 In local post offices that have a Carrier Alert program, postmasters should 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 public affairs officer, 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.*

433.322 In local post offices that do not yet 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 persuade one to become a sponsor. 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 underway 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.

433.4 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 recordkeeping. The Postal Service cannot participate until the sponsoring agency fulfills its responsibilities. The sponsoring agency makes the Carrier Alert files it maintains 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 shall bear the costs, such as printing, promotion, and recordkeeping, 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 433.4a.
- f. Any publicity or promotion 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 with 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 wish to participate in Carrier Alert will not be 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 which would prompt a call to the social service agency for followup; and
 - (4) Method for reporting mail accumulation to the local social service agency.

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

1. All information furnished by me may be used by the (sponsoring social service agency), including its agents, employees, members, and other representatives, as they deem necessary to carry out the purposes of the program.
2. The United States Postal Service, including its agents, employees, and other representatives, may, when there appears to be an undue accumulation of mail in my mailbox, inform the (sponsoring social service agency) for such action as the latter may consider to be appropriate under the program.
3. Whenever I expect to be away during one or more days on which mail is delivered, I will inform the Postal Service by means of written notification in my mailbox, and I will also cover the Carrier Alert decal inside my mailbox (with tape or by other means) during my period of absence.
4. Participation in the program by Postal Service employees is a voluntary activity that is undertaken on my behalf and at my request. I understand that there cannot be, and that there is not, a guarantee, warranty, promise, or implication that any Postal Service employee (including but not limited to the carrier who normally delivers my mail and any substitute or replacement) will necessarily take a specific course of action under any portion of the program. I also understand that the program is not intended, directly or indirectly, to give me legal rights of any nature or description against any organization or party specified, named, or described elsewhere in this *Statement of Understandings and Release of Liability by Registrants in Carrier Alert Program*. In consideration of these factors, I hereby release and discharge all such organizations and parties from all actions, suits, judgments, executions, debts, claims, or demands of every kind and nature based upon any acts, omissions, or other factors based upon, or related to, or arising out of, the program.
5. I may end my participation in the program by providing a written notification in my mailbox at least 30 days prior to termination.

(Signature of Registrant)

(Date)

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.

11. 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/she plans to be away from home and not pick up mail. (See *Authorization and Release of Legal Abilities*.)

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 individuals 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.

440 Flags

441 U.S. Flag Display at Postal Facilities

441.1 Policy The following postal information is established for guidance and information for all post office personnel:

- a. Except as noted in 441.2, the only flags to be displayed at post offices are the flag of the United States of America; the Postal Service flag; and, when authorized by the Assistant Postmaster General, Communications Department, flags directly related to the programs, missions, and activities of the United States Postal Service. Flags of states, commonwealths, or local governments will not be displayed.
- b. When the flag of the United States 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. 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.
- d. No disrespect may be shown to the flag of the United States of America. It must never:
 - (1) Be dipped to any person or thing.
 - (2) Be displayed with the union down save as a signal of dire distress.
 - (3) Be used as drapery of any sort whatsoever, never festooned, drawn back, nor up in folds, but always allowed to fall free.
 - (4) Touch anything beneath it, such as the ground, the floor, water, or merchandise.
 - (5) Be fastened, displayed, used, or stored in such a manner as will permit it to be easily torn, soiled, or damaged in any way.
 - (6) Be used as a covering for a ceiling.
 - (7) 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.
 - (8) Be used as a receptacle for receiving, holding, carrying, or delivering anything.

441.2 Display

441.21 Where. The flag of the United States must be displayed on stationary flagstaves at all post offices, branches, stations, terminals, and garages, including leased and rented premises. If the post office unit is located in a facility operated by the General Services Administration, GSA'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.

441.22 Raising and Lowering

441.221 Full Staff. As soon after sunrise as practicable, the flag must be hoisted briskly to the peak of the staff. The flag must always be displayed with the union (blue field) at the peak of the staff (unless the flag is at half staff). At sunset, the flag must be lowered ceremoniously, 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 thoroughly dry before being stored.

441.222 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 at half-staff, at sunset the flag 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 also on all Sundays included in such period, when the postmaster or other postal employees are on duty in the facility.

441.23 When Regularly Displayed

441.231 When the postmaster or other postal employees are on duty in the facility, the flag must be displayed as soon after sunrise as practicable and until sunset on workdays, on the holidays and special days listed below, and on days proclaimed by the President of the United States.

January 1	New Year's Day
3rd Monday in January	Martin Luther King, Jr.'s Birthday
January 20 (every 4th year)	Inauguration Day
February 12	Lincoln's Birthday
February 22	Washington's Birthday
April 13	Easter Sunday
April 14	Thomas Jefferson's Birthday
May 5	Pan American Day
2nd Sunday in May	V-E Day Mother's Day
3rd Saturday in May (usually)	Day Armed Forces Day
May 22	National Maritime Day
May 30	Memorial Day (see 441.241)
June 14	Flag Day
July 4	Independence Day
August 19	National Aviation Day
1st Monday in September	Labor Day
September 2	V-J Day
September 17	Constitution Day
October 12	Columbus Day
November 11	Veterans Day
4th Thursday in November	Thanksgiving Day
December 25	Christmas Day
Dates of admission to Union	Birthdays of States
	State holidays

441.232 If any of the days listed in 441.231 falls on Sunday, and the following day (Monday) is observed as a holiday, the flag must be displayed on both Sunday and Monday.

441.24 When Displayed Half-Staff

441.241 Memorial Day. On Memorial Day, May 30, the flag must be flown at half-staff from sunrise, or the hour at which it is raised, until noon, and then hoisted to the peak of the staff, where it must be flown until sunset.

441.242 Deaths of Prominent Persons. The flag must be flown at half-staff, as indicated, on the death of any person listed in Exhibit 441.242.

441.243 Other Occasions

- a. 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 APMG, Communications, notifies Regional Communications Administrators of such an order, who then notify the heads of all postal facilities.
- b. 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.

441.25 Other Display Requirements

441.251 Bad Weather. During severe weather conditions when it is probable that the flag may be damaged, it should not be flown.

441.252 Requests and Questions. Postmasters/installation heads should direct requests to fly the flag at half-staff under conditions not listed in 441.24, or other questions regarding display or use of the flag, to the Regional Communications Administrators. Questions from Regional or Headquarters offices are referred to the APMG, Communications.

442 U.S. Flag Maintenance and Supply

442.1 Repairs Flags that have become frayed or torn must be neatly hemmed and continued in use.

442.2 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.

On Death of:	Flag Displayed Half-Staff:	On All Federal Buildings In:
President or former president	For 30 days from date of death.	
Vice president Chief justice or retired chief justice of U.S. Speaker of the House of Representatives	for 10 days from date of death.	District of Columbia; throughout the U.S., its territories, and possessions.
Associate Justice of Supreme Court Cabinet member Former vice president President pro tempore of the Senate Majority leader of House Minority leader of House.	From date of death until interment.	
U.S. Senator Representative Delegate	On date of death and following day.	Metropolitan area of District of U.S. Columbia; the state, congressional district, territory, or commonwealth.
Resident Commissioner from Commonwealth of Puerto Rico	From date of death until interment.	
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	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.	

Exhibit 441.242, Half-Staff Display on Death of a Prominent Person

442.3 Requisitioning New Flags Requisitions for new flags must be submitted by field officials to their designated supply centers.

443 U.S. Burial Flags

443.1 Post Offices as Depositories

443.11 Section 901, title 38, U.S.C., as amended by Public Law 89-358, provides 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; or
- c. Had been honorably discharged, or released from the active military, naval, or air service for a disability incurred or aggravated in line of duty.

443.12 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 upon request.

443.2 Cooperation With VA

443.21 Issuing Burial Flags. Postmasters at CAG A-J offices and at CAG K offices located at county seats must cooperate with the Veterans Administration (VA) when requested to act as depositories for burial flags. Upon 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.

443.22 Correspondence. VA supplies burial flags, application forms, and the rules and regulations governing flag issue. Postmasters must address all correspondence relative to the supply and issuance of the flags to the VA Regional offices that use their offices as a depository.

444 USPS Flag Display

444.1 Policy 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 the officers of the U.S. Postal Service.
- f. By all Postal Service Field Division General Managers/Postmasters, sectional center managers/postmasters, and all field units reporting directly to Headquarters.
- g. Upon the approval of a Regional Postmaster General or Senior Assistant Postmaster General, when judged to be in the best interest of the U.S. Postal Service.
- h. As otherwise authorized by the Postmaster General or designee.

444.2 Display

444.21 The Postal Service flag must be displayed with the United States flag. The same regulations for proper display of the United States flag as outlined in Administrative Support Manual (ASM) 441 must also be followed when displaying the Postal Service flag.

444.22 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.

444.3 Requisitioning New Postal Service Flags Postal Service flags are no longer stocked in the supply centers for two reasons: (a) economics, and (b) the need to preserve their unique and distinct nature. Requisitions for new flags must be submitted by field officials through channels to their designated Procurement Services Office or Region. Authorization for issuance of the new flags is based on the policy as stated in 444.1.

Chapter 5

Facilities and Equipment

510 Facilities

511 General

511.1 Responsibility

511.11 The Facilities Department, through the offices of Design and Construction and Real Estate, Facilities Service Centers (FSCs) and Facilities Service Offices (FSOs), is responsible for:

- a. Facility requirements and planning;
- b. Providing new and improved facilities;
- c. Disposing of properties no longer required for postal use;
- d. Outleasing or subleasing space in existing owned and leased facilities that is not currently required or is being held for future operational requirements;
- e. Providing innovative management of all properties under USPS control;
- f. Facility contracting; and
- g. Environmental assessments and related evaluations.

511.12 All divisions have responsibility within prescribed limits for:

- a. Facility requirements and planning;
- b. Building inspections;
- c. Accomplishment of repairs and alterations; and
- d. Supply management, supplies, and services.

511.13 Handbook AS-504, *Space Requirements*, contains instructions to carry out facility requirements and space planning. Handbook RE-1, *Realty Acquisition and Management*, contains instructions and procedures to carry out acquisition, disposal, leasing, and innovative management of real property. Handbook RE-6, *Environmental Procedures*, provides procedures governing the environmental aspects of this responsibility. Handbook RE-12, *Repair and Alteration Surveys*, and RE-13, *Repair and Alteration of Real Property Facilities*, provides criteria to divisions for conducting building inspections and initiating repair and alteration projects. Other reference materials include Handbook RE-14, *Design and Construction Handbook*; Handbook AS-505, *Mechanization Design Specifications*; Handbook M-5000, *Specification Standards for Mechanized Mail Processing Systems*; *Fixed Mechanization Standard Drawings*, MD-15 Series, Handbook RE-4, *Standards for Facility Accessibility by the Physically Handicapped*, and Handbook RE-5, *Building and Site Security Requirements*. Publication 59, *Architect-Engineer Project Requirements*, contains guidelines and procedures related to architect-engineer professional services contracts. Handbook RE-15, *Interim Exterior*

Signs Handbook, contains guidelines, designs, and specifications for all new and replacement of exterior signs.

511.2 Delegation of Authority

511.21 Approval Authority

511.211 Publication 191, *Capital Investment Policies and Procedures*, contains approval authority for:

- a. The purchase, construction, lease, alteration, maintenance, and repair of postal land, facilities, and equipment.
- b. The disposal of equipment, leased land, leased facilities, and USPS-owned land and buildings.

511.212 Delegation of this authority is granted in part to the Regional Postmaster General, who has the option to redelegate wholly or partially to regional headquarters offices and field organizations. In addition, further delegations have been granted to Field Division General Managers/Postmasters.

511.22 Contracting Authority. Authority for approving and entering into contracts is subject to the procedures contained in Publication 41, *Procurement Manual*, Chapter 1 (Authority, Responsibility and Policy); and section 5 of Handbook RE-14, *Design and Construction Procedures*, 01.00 and 01.05, Attachment A.

512 Acquiring Space

512.1 New or Existing Facilities (Leased or Owned)

512.11 Procedures for Acquiring New Space

512.111 *Documentation and Requests*. The requirements organization forwards requests for acquiring new or existing buildings or land through channels to the official with approval authority for funding, as specified in Publication 191, *Capital Investment Implementation Instructions*.

512.112 *Request for Service/Project Authorization*. On final approval of a project, the requirements organization submits (a) Form 7437, *Facilities Services Request*, and (b) Form 4209, *Project Authorization*, to the responsible service organization (FSC or FSO) having authority to execute the project.

512.12 Continuing Space in Existing Leased Quarters. To continue occupancy of a leased facility, the requirements organization must give notification a minimum of 24 months in advance of the expiring lease term. Furnish to the responsible service organization a Form 7437 to (a) exercise a renewal option, (b) obtain an extension of the present lease, or (c) negotiate a new lease agreement.

512.13 Emergency Space. The postmaster may obtain temporary quarters that meet requirements, when emergency space is needed to protect mail and postal equipment. The responsible service organization should be contacted immediately to finalize an agreement for the emergency space or to arrange for relocation to suitable temporary quarters.

512.14 Christmas Space

512.141 No Cost Space. When additional space is required for Christmas operations, attempt to obtain it at no cost to the Postal Service. Free space is sometimes available at local National Guard armories or civic locations.

512.142 Assistance. The responsible service organization can provide assistance in obtaining temporary space.

512.2 Security Management Prior to submitting requests for acquisition of new buildings or acquisition of emergency or Christmas space, notify the inspector-in-charge so that security arrangements can be coordinated. Any property selected for temporary use must be examined to ensure that proper security of mails and postal equipment can be maintained.

513 Changes Affecting Leases

513.1 Title Transfer or Death of Owner The postmaster or manager should immediately advise the appropriate service organization when the lessor dies. In cases where a transfer of ownership occurs, please advise the appropriate facilities service organization so that proper documents can be sent to effect changes in rent payment. Rent will not be suspended in ownership changes.

513.2 Cancellation

513.21 General. The formal lease agreement between the USPS and lessor may contain provisions for cancellation of the lease upon written notice by either party.

513.22 By USPS. When the requirements organization no longer requires a leased facility, it must notify the responsible service organization through submission of Form 7437 to take the necessary action to protect the interest of the Postal Service. Available options may involve (a) termination of the existing lease; (b) sale of the leasehold interest; or (c) renewal of the lease and outleasing of the space. Form 7437 must be submitted in a timely manner to allow action by the responsible service organization in accordance with provisions of the lease.

513.23 By Lessor. Postmasters must immediately forward to the responsible service organization any notification received from a lessor that terminates or cancels a lease on a leased building.

513.3 Vacating Building When a lease is terminated or canceled or expires, and the property is to be vacated, the contracting officer, coordinating with the postmaster, ensures that the premises are vacated and keys are delivered to the lessor by the date specified. Postmasters should remove USPS identification from the building and post a sign advising the public of the new location.

513.4 Authorization to Move or Occupy The contracting officer authorizes occupancy of new leased quarters by issuing Form 7443, *Authorization to Move or Occupy*.

514 Repair of Leased Premises

514.1 Preventive Maintenance Many postal leases contain provisions making the lessor responsible for maintaining the premises in good repair and tenable condition (except for repair of damage caused by USPS agents or employees). A lessor with maintenance responsibilities cannot be required to perform certain work that may be viewed as preventive maintenance, although such work is commendable and should be encouraged.

514.2 Repairs When repairs are needed for which the lessor is responsible, the postmaster submits in writing a request to the lessor to make the needed repairs, establishing a reasonable time period for compliance. Handbook MS-110, *Associate Office Postmaster's Facilities Maintenance Guidelines*, contains guidance to postmasters on maintaining and repairing post office buildings.

514.3 Emergency Repairs An emergency repair is one that meets one or more of the following conditions:

- a. Is essential for continued operation of the building
- b. Is essential for the safety or health of postal employees or customers; or
- c. Is essential for the security of the mail.

514.4 Change of Ownership The Facilities Service Center (FSC)/Facilities Service Office (FSO) sends Form 7426, *Designation of Emergency Repair Personnel*, to the new owner for completion when a change of ownership on a leased building takes place.

515 Repairs and Alterations

515.1 Procedures

515.11 Minor Repairs and Alterations. Procedures for accomplishment of repair and alteration projects are contained in Handbooks MS-110 and RE-12. Justification is outlined in Publication 191.

515.12 Historically Significant Facilities. Any proposed modification to an owned or leased postal facility that is listed or eligible for listing on the National Register of Historical Places must be submitted to the responsible service organization.

515.13 Correcting Existing Hazardous Conditions

515.131 Asbestos is a hazardous material and any project that may disturb actual or suspected asbestos must be referred to the responsible service organization.

515.132 Facility personnel at all levels are responsible for correcting existing conditions which may endanger employee health through exposure to airborne fibers.

515.2 Installation of Additional Post Office Boxes

515.21 Policy. Sectional center managers/postmasters have limited authority to rearrange or insert additional post office boxes in existing lobbies without going through higher management. Generally, the services of the responsible service organization are required when the project cost exceeds \$25,000 and/or involves rearrangement or extensive modification of the post office box lobby.

515.22 Scope. These procedures are established to expedite local modifications of post office boxes. They apply only to sectional center facilities, general mail facilities, associate post offices, and branches and stations.

515.23 (Reserved)

515.24 Postal-Owned Facilities

515.241 The SC manager/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 either the local maintenance staff or by contract.

515.242 In cases where rearrangement or extensive modification of the post office box lobby is required, the project must be forwarded to the responsible service organization. That organization is responsible for the redesign of the lobby to ensure satisfactory changes in the heating, ventilating, air conditioning, and lighting systems; floor and/or ceiling structure; security; and compliance with requirements for the handicapped.

515.25 GSA-Controlled Facilities

515.251 The USPS/GSA agreement (see 516.21) does not permit the Postal Service to make building modifications without prior approval from GSA. Subject to the responsible service organization's obtaining prior approval from GSA, the SC manager/postmaster is authorized to replace blank panels with post office boxes or to relocate boxes within a panel if no rearrangement of the box lobby is involved. This work can be performed by either the local maintenance staff or by contract.

515.252 All other post office box lobby modifications must be submitted to the responsible service organization.

515.26 Other Leased Facilities

515.261 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 SC manager/postmaster is authorized to perform the work. This work can be performed by either the local maintenance staff or by contract.

515.262 All other box lobby modifications must be submitted to the responsible service organization.

515.27 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 SC manager/postmaster using existing local purchase authority.
- b. By submission to the responsible service organization for entry and tracking in Project Authority Control System (PACS) and Facility Management System (FMS). The responsible service organization awards the contract.

515.28 Processing Requests

515.281 The request for services for lobby modification is initiated by the postmaster/installation head through the SC manager to the field division general manager/postmaster.

515.282 If the request is disapproved or must be budgeted for a future year, the postmaster is promptly notified of the decision.

515.283 If the request is approved, the field division general manager/postmaster advises the postmaster of the project schedule within 30 calendar days providing the project can be accomplished at the division level. Larger projects may require the assistance of the FSO or FSC.

515.284 The field division general manager/postmaster reports any changes in the schedule to the postmaster.

516 Real Property Management

516.1 Disposal of USPS-Owned Excess Real Property

516.11 Inventory Review. The responsible organization, with the responsible service organization, reviews the inventory of USPS-owned property at least semiannually to determine if there are any properties for which the Postal Service has no foreseeable need. Other interested regional/HQ offices also review the inventory, and necessary approvals for disposal of any excess properties are obtained.

516.12 Procedure for Disposal. If the regional capital investment committee (CIC), or other regional office with such authority, approves a property as being excess to USPS needs, the region submits a written recommendation to the facilities service center to dispose of the property. This must be done no later than 180 days before the estimated date of occupancy of the replacement facility when the USPS still occupies the property to be disposed of.

516.13 Protection of Vacant Property

516.131 Responsibility. Unoccupied buildings, improvements, or undeveloped sites must be protected against unauthorized use, vandalism, or damage. They will be kept in as good condition as can be economically justified. In addition to the minimum requirements listed below for protecting and maintaining this property, other requirements may be issued by the facilities service center office.

516.132 Requirements

- a. Draining water pipes and radiators.
- b. Locking or boarding windows, doors, and other openings.
- c. Posting 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 GSA.
- d. Cutting weeds and grass to reduce fire hazards and to eliminate possible complaints from city and municipal authorities.
- e. Removing snow and ice from sidewalks.
- f. Notifying local law enforcement authority.

516.133 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 often than monthly.
- c. Refer any problem that cannot be resolved at the local level to the responsible service organization.

516.2 Interchange of Space in USPS and GSA Buildings

516.21 USPS/GSA Agreement. Occupancy of space by the USPS in GSA-controlled buildings, and by GSA and other federal agencies in USPS-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* (USPS/GSA Agreement).

516.22 Rent. The rent under which each agency compensates the other for space occupancy provides for standard levels of building operation, utilities, cleaning, equipment operation, and security.

516.23 GSA-USPS Relationship. The relationship between GSA and USPS is on an owner-agency/tenant-agency basis. Other federal agencies, U.S. courts, and Members of Congress occupying space in USPS buildings are considered subtenants of GSA.

516.3 Leasing Excess Space and Facilities

516.31 General. The USPS owns and leases numerous properties throughout the United States. It is important to have an effective and successful realty management program, and to consider leasing excess space and facilities whenever possible to reduce the USPS financial obligation.

516.32 Assigning Space to GSA

516.321 GSA is the leasing agency for most federal agencies, including members of Congress. Most federal agencies occupying space in USPS-owned properties are assigned the space by GSA, which acquires space assignment rights through agreement with the USPS. GSA reimburses USPS for space assigned by payment of rent.

516.322 Keeping federal agencies as tenants, whenever possible, is desired. However, leasing all excess space through GSA to other federal agencies may not be possible. If GSA has no requirement for the excess space, the USPS must obtain other tenants.

516.33 Leasing to the Private Sector

516.331 Procedure. Excess space not required by GSA is offered to state, county, and municipal government agencies. If none of these have a requirement for the space, a suitable tenant can be obtained from the private sector.

516.332 General Requirements. Care and good judgment must be exercised in leasing to nongovernment tenants to ensure that activities of the tenants do not adversely affect postal operations.

516.333 Specific Requirements

- a. The prospective tenant must be financially reliable.
- b. Space leased to nonpostal tenants must be accessible by private entrance or public hallways that do not violate postal security regulations.
- c. Normal operating hours of the tenant should not conflict with the operating hours of the building.
- d. Normally, building maintenance, repairs, utilities, and custodial services are USPS responsibility, but subject to the terms of the original USPS lease, if any.
- e. The tenant contracts for telephone installation with the appropriate telephone company, at no expense to the Postal Service.

516.34 Reporting Excess Space, Buildings, and Land. Postmasters, sectional center managers, and field division general managers/postmasters must report all excess space in USPS-owned or -leased buildings or undeveloped USPS-owned sites. Submit Form 7437 through regular channels to the responsible service organization, requesting that excess space be leased. The postal manager receives credit for the rental income for leasing of excess property or space.

516.4 Obtaining Space by GSA in USPS-Controlled Buildings

516.41 Requests from Government Agencies. All requests for space in USPS buildings received by the Postal Service from federal agencies (including courts and Members of Congress) must be referred without action to GSA. When an agency desires additional space in a USPS building, GSA notifies the responsible service organization. Postal managers must not authorize the use of unassigned space without the concurrence of the responsible service organization.

516.42 Procedure. Arrangements for assigning space in USPS buildings for federal agency use are made by GSA with the concurrence of the responsible service organization. Space in USPS buildings already assigned to GSA for GSA or agency use may be reassigned by GSA, provided reasonable advance notice is given to the responsible service organization.

516.43 Assignment of Space to GSA. The responsible service organization notifies GSA when excess space in USPS buildings is available to GSA for assignment to federal agencies. The space is held available for GSA for 30 days unless a longer period is specified agreeable. If GSA advises there is no requirement for the space, or if the period of availability expires without reply, the responsible service organization takes other action to lease the space.

516.44 Assignment of Space to Credit Unions. Space for use by employee credit unions is assigned in the following manner:

- a. Space is assigned without charge on an as-available-basis to credit unions that serve only Postal Service employees.
- b. Space is assigned as-available to credit unions serving all federal employees in the building. Space for these credit unions is considered joint-use space and rents are prorated among the federal tenants and the Postal Service.
- c. Space is assigned as-available to credit unions serving a specific agency. For the collection of rent, this space is assigned totally to the agency.
- d. As desirable and economically feasible, space is made available to nonfederal credit unions on a lease basis.

516.45 Alterations to Vacant Space. If excess space is not leasable without alterations, a study is conducted to determine whether these alterations are structurally and architecturally feasible. An economic analysis is also made to determine if this action is in the best interest of the Postal Service, based on anticipated rental. Field division general managers/postmasters with excess space within their jurisdiction should furnish a Form 7437 to the responsible service organization for assistance in developing an economic analysis.

516.46 Initial Tenant Alterations. The USPS is responsible for initial tenant alterations to the space assigned to GSA in USPS-owned or -leased buildings, as required by the USPS/GSA Agreement.

516.47 Monitor Space Assignments. Postmasters are responsible for monitoring space assigned to GSA, such as transfers of space resulting in changes in classification and square footages, and vacation of space. These changes should be reported to the appropriate FSO or FSC.

516.5 Obtaining Space by USPS in GSA-Controlled Buildings

516.51 Procedure. When the USPS requires space in a GSA-controlled building, or additional space in one it already occupies, GSA is notified through the responsible service organization. A Form 7437 is submitted by the requirements organization, through proper channels, to the responsible service organization.

516.52 Initial Tenant Alterations. GSA is responsible for initial tenant alterations to space assigned to the USPS in GSA-controlled buildings, as required by the USPS/GSA Agreement.

516.53 Alterations, Improvements, and Services. The USPS/GSA Agreement provides that GSA is primarily responsible for work involving alterations, improvements, and service in GSA-controlled buildings. If the USPS requests, and GSA provides, services that exceed those provided under the standard levels established in the USPS/GSA Agreement, the costs are separately reimbursed to GSA by the USPS. Necessary GSA approvals and arrangements for funding the work shall be made prior to commencement of the work.

516.6 Preemption by USPS or GSA of Space Occupied by the Other

516.61 USPS-Controlled Buildings

516.611 The USPS notifies GSA at least 180 days in writing in advance when space is required in USPS buildings occupied by federal agencies. *Exception:* If the USPS needs space used as a courtroom in a postal building, at least 1 year advance written notice must be given to GSA.

516.612 When the USPS no longer requires a facility in which GSA, other federal agencies, courts, or Members of Congress occupy space, the responsible service organization notifies the appropriate GSA Regional office, according to the schedule in the USPS/GSA Agreement.

516.62 GSA-Controlled Buildings

516.621 When GSA notifies USPS that space is required in GSA-controlled buildings occupied by the USPS, GSA must give the Postal Service at least 1 year advance written notice when postal workroom, post office box or screenline lobby, postal swingroom, locker room, mailing vestibule, or platform space is required by GSA in GSA-controlled buildings. General office space requires 180 days written notice for USPS to vacate the space.

516.622 When GSA no longer requires a facility in which the USPS occupies space, GSA notifies the

responsible service organization, according to the schedule in the USPS/GSA Agreement.

516.63 Funding

516.631 When GSA or the USPS preempts space assigned to the other, the preempting agency funds only the moving expenses, including reasonable costs incidental to the move (such as moving and reinstalling telephones) of the agency required to relocate. Costs for relocating telephones cannot exceed costs of duplicating the phones existing before moving. *Duplicating existing telephones* is defined as replacing like telephone equipment, including color, number and type of instruments, number of circuits, buttons, lights, and buzzers.

516.632 The cost of moving and reinstalling telephones would not be payable by the USPS to agencies required to relocate from a building being abandoned and excessed by the Postal Service.

516.633 The postal organization requesting preemption of space for its use is responsible for budgeting and payment of these costs.

516.7 Building Operations and Maintenance

516.71 Operation of Parking Facilities

516.711 In buildings operated by GSA, GSA assigns postal spaces to the USPS, and the USPS assigns and reassigns postal parking spaces allocated for USPS use.

516.711 In buildings operated by the USPS, USPS assigns nonpostal spaces to GSA, and GSA assigns and reassigns nonpostal parking spaces allocated for other agency use.

516.713 Physical protection, maintenance, and policing of all parking areas is provided by the owner agency of the building.

516.72 Building Services. The owner agency furnishes building services, utilities, and alterations specified as standard level in Attachments A, B, and C of the USPS/GSA Agreement. Complaints and requests relating to required building services are made or referred to the owner agency's building manager/postmaster. If the building manager/postmaster does not provide a satisfactory solution to the complaint or request, refer the matter to the appropriate USPS service office or GSA Regional office.

516.8 Reimbursable Services in Excess of Rent or Standard Level of Services

516.81 Policy. The USPS/GSA Agreement requires the USPS 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 alterations.

516.82 Definitions

516.821 *Recurring Services.* Any additional utilities or custodial or security services required by a tenant agency on a continuing basis to maintain a building operation in excess of one shift per day (10 hours,

which includes 1/2-hour start-up and 1/2-hour shutdown time) 5 days per week are classified as recurring services.

516.822 *Nonrecurring Services.* Any one-time improvement, alteration, or service required for a specified scope of work in a tenant space is considered a nonrecurring service.

516.83 GSA Buildings Occupied by USPS

516.831 When recurring or nonrecurring services are required by a postal manager (postmaster or officer in charge) in a GSA-controlled building, a Form 7437 is completed and forwarded through channels to the field division general manager/postmaster. The form should provide a clear and concise description of the recurring or nonrecurring service required. The field division general manager/postmaster reviews, modifies, cancels, or approves the form.

516.832 In the case of recurring services, Form 7437 must be submitted to the appropriate facilities service office 120 days prior to start of the fiscal year or date the service is required. No further action is required by the field division general manager/postmaster, MSC manager, or postal manager except to certify that the cost estimates provided by GSA are fair and reasonable, and to assure that the estimated cost of the recurring service has been budgeted for.

516.833 Form 7437 for nonrecurring services must be accompanied by a Form 4209 based on the estimated cost of the service.

516.834 On receipt of Form 7437, the responsible service organization completes GSA Form 2957, *Reimbursable Work Authorization*, and forwards it to the appropriate GSA office.

516.84 USPS Buildings Occupied by GSA

516.841 Federal agencies occupying space in USPS buildings and requiring recurring or nonrecurring services beyond standard levels specified in the USPS/GSA Agreement must complete GSA Form 2957 and forward the form to GSA Regional Public Buildings Service. GSA submits copies 2 through 9 of GSA Form 2957 to the responsible service organization with jurisdiction over the installation where the service is to be provided. The responsible service organization coordinates all recurring or nonrecurring requests received from GSA with the postal manager.

516.842 When a postal manager becomes aware that a federal agency is using unauthorized space other than what is reflected on the rent bill, requiring unauthorized recurring or non-recurring services, and/or making improvements or alterations to USPS space without a GSA Form 2957 on file in the postal manager's office, the postal manager is to immediately notify the responsible service organization. The responsible service organization investigates the service being used by the federal agency and notifies GSA that such services, if recurring in nature, will be discontinued within 10 days if Form 2957 is not submitted. If the service is nonrecurring in nature, GSA should be advised to cease work immediately. If the Postal Service has incurred cost or substantial damage as a result

of the federal agency actions, GSA should be so advised, and the Postal Service reimbursed to that extent.

517 Facility Planning

517.1 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.

517.2 Community Contact

517.21 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.

517.22 Application

517.221 Notification procedures apply to: (a) new facility construction, owned or leased; (b) expansion of an existing building; (c) purchase or lease of a previously non-postal occupied existing building; (d) real property disposals; and (e) other postal facility actions that might directly affect state or local community plans.

517.222 Exception. Procedures do not apply to alterations that do not directly affect employee complement or customer services in the facility.

517.23 Notification of Local Officials

517.231 The field division general manager/postmaster coordinates with local public officials as early as possible in the planning of a project. In all cases, this should be prior to preparation of the initial community survey by real estate personnel or as soon as the facility planning concept is approved. With RPMG approval, the field division general manager/postmaster may delegate responsibility for all or part of this coordination to appropriate sectional center managers/postmasters.

517.232 Start the coordination with a letter to the head of the local government (e.g., mayor, city manager, town manager), and the state government official responsible for planning and/or zoning. Notify them that the USPS is conducting a study for construction of a new facility within the community. Invite comments and suggestions. Avoid reference to any specific site locations.

517.233 Include in the letter:

- a. A general description of the project, preferred site area, approximate size, number of postal employees, the area serviced by the project, the service impact, and the traffic, if any, to be generated by the project;
- b. An offer to have a postal representative meet with local officials for public discussions to further review the project.

517.234 Furnish a copy of the letter to the appropriate FSC/FSO for their information and future use.

517.24 Presentation or Public Discussions

517.241 Planning. If specifically requested by local officials or considered necessary by the field division general manager/postmaster to resolve differences:

- a. Call upon real estate or engineering personnel in the FSC/FSO to assist in planning the discussions, if necessary;
- b. Advise the Government Relations Department and Consumer Advocate at Headquarters when discussions are scheduled; and
- c. Use existing public forums, such as planning and/or zoning commission meetings, city council meetings, etc., as much as possible.

517.242 Content of Discussions. Emphasize the following:

- a. The primary purpose is to obtain local input regarding project location and definition, which will be given all possible consideration during planning for the proposed facility.
- b. The final project approval is based upon proper completion of the planning phase, which must consider USPS service requirements, site availability, environmental impact, and overall economics.

517.243 Results of Discussions.

- a. The Field Division General Manager/Postmaster keeps a record of attendees, time, location, and major points discussed. A copy of the results should be furnished to the appropriate FSC/FSO.
- b. The public information officer or other qualified official may issue an appropriate news release regarding the discussion.
- c. Advise the Government Relations Department and the Consumer Advocate of the results.

517.25 Letter from Local Officials

517.251 Following these discussions, the field division general manager/postmaster requests a letter from the local government stating its position with respect to the project and/or recommendations, and/or any other proposals. All information received will be given full consideration in the planning process.

517.252 Copies of the letter from the local government are distributed to:

- a. FSC/FSO for inclusion in the site planning report;
- b. The APMG, Government Relations, when congressional interest is involved;
- c. The Consumer Advocate, on request.

517.253 If there is a negative reaction by elected officials, civic groups, or members of a congressional delegation after these discussions, the field division general manager/postmaster must immediately inform the RPMG.

517.26 Final Project Development

517.261 Evaluate the site alternatives according to the National Environmental Policy Act (NEPA), using Handbook RE-6. This requires considering all alternative courses of action and developing, as required, environmental information for evaluating them. (*Note:* Keep the APMG, Government Relations, and Con-

sumer Advocate informed as to the status of the project development.)

517.262 Ensure that the appropriate intergovernmental review process has been followed for the selected site.

517.263 Once the project is determined to comply with the requirements of NEPA and OMB (Executive Order 12372), complete site acquisition procedures.

517.3 Compliance with Randolph-Sheppard Act Amendments of 1974

517.31 Policy. Facility planning must comply with regulations issued by the former Secretary of Health, Education and Welfare (HEW) on March 23, 1977, implementing the Randolph-Sheppard Act Amendments of 1974. The regulations (34 CFR 369.30 and .31) provide for the inclusion of satisfactory space in federal buildings for the location and operation of vending facilities by blind persons. (20 U.S.C. 107a(d).)

517.32 Requirements. The basic requirement is for the inclusion in applicable buildings of a service area that may serve as a satisfactory location for a blind 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, in accordance with applicable codes.

517.4 Environmental Review The USPS 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.

517.5 Compliance with Clean Air Act, Clean Water Act, and Safe Drinking Water Act The USPS complies with the Clean Air Act (PL 95-95 as amended), the Clean Water Act of 1977 (PL 95-217), and the Safe Drinking Water Act (PL 93-523 as amended by PL 95-190 (42 U.S.C. 300 j-6)).

517.6 Facility Activation To activate a new facility, management must begin planning at about the time a construction contract is awarded. See Handbook AS-501, Postal Facility Activation, for major mail processing facilities and Handbook AS-502, Activation of Non-Mail Processing Postal Facilities, for non-mail processing facilities, stations, and branches under 30,000 square feet, for the detailed activities essential to an effective transition.

518 Design and Construction

518.1 Identifying Postal Facilities All postal installations must be clearly identified to ensure customer recognition of the facility. The guidelines, designs, and specifications for exterior signs, and for new and replacement of exterior signs are found in Handbook RE-15, *Interim Exterior Signs Handbook*.

Examples:

- a. Main Office, single ZIP Code area:
United States Post Office
Arch Cape, Oregon 97102
- b. Main Office, multiple ZIP Code area:
United States Post Office
Arlington, Virginia
- c. Branch, single ZIP Code area:
United States Post Office
Dunmore, Pennsylvania 18512

or

United States Post Office, single ZIP Code area:
Dunmore Branch
Scranton, Pennsylvania 18512

518.13 Interior. Post offices located in federal buildings where GSA regulations do not permit outside postal identification, will display appropriate interior signs.

518.14 Dedicatory Plaques and Memorials

518.141 Policy. When the USPS acquires property by construction, purchase, donation, or condemnation, the acquisition is normally acknowledged by installing a dedication plaque in the building.

518.142 Inscription. The following inscription is used on plaques installed in all newly acquired postal-owned buildings:

THIS BUILDING
DEDICATED TO
PUBLIC SERVICE
1989 (year of dedication)
GEORGE BUSH
PRESIDENT OF THE UNITED STATES
ANTHONY M. FRANK POSTMASTER
GENERAL

518.143 National Historic Place Designation. Instructions regarding the designation of postal property as a National Historic Place were issued to each RPMG by letter of November 13, 1972. The placement of such plaques and memorials on postal-owned property is limited to those buildings listed in the National Register of Historic Places.

518.144 Plaques Honoring an Individual. When a USPS building is designated by an Act of Congress to honor an individual, the postmaster is notified by the Government Relations Department. The postmaster then requisitions one memorial plaque from the Eastern Area Supply Center, providing EASC with the name of the individual to be honored. When received, the plaque must be displayed in a prominent place in the facility's lobby, preferably above the post office boxes.

518.2 Energy Conservation Design Standards

518.21 Policy. All new postal facilities should be **designed for maximum energy conservation, in accordance with the national energy policy.**

518.22 Background. In August 1976, Congress enacted **Public Law 94-385, mandating energy-conserving design for new buildings. The USPS is required to adopt procedures to comply with those standards, and to design new facilities that are 45 percent more efficient than similar facilities from 1975. Preference should be given to leased facilities that are more energy efficient.**

518.3 Safety and Health

518.31 Accessibility for the Physically Handicapped. It is **USPS policy, when designing, constructing, leasing, or altering facilities, to provide facility access for the physically handicapped.** See Handbook RE-4, *Standards for Facility Accessibility by the Physically Handicapped.*

518.32 Seismic. All newly owned and leased **construction, as a minimum, must comply with the seismic provisions of one of the national model building codes (Uniform Building Code, Standard Building Code, or the Building Officials and Code Administrators' National Building Code).**

518.33 Regulation. All space obtained by the Postal Service **must, as a minimum, meet the safety and health standards specified in the National Fire Code (NFPA), the Occupational Safety and Health Act (OSHA) of 1970 (PL 91-596, 84 Stat. 1590, 29 U.S.C. 667), and requirements as contained in OSHA Standards 29 CFR 1910.**

518.4 Facility Cost Control The design and construction of USPS-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.**

520 Plant and Equipment Requirements

521 Facility Requirements

521.1 General

521.11 Policy. Before reaching decisions concerning new or improved facilities, every effort will be made to continue occupancy of the present facility, with capability to meet expected future requirements in capacity and service standards. The criterion for adding to or replacing facilities is improvement of postal service at least cost. New construction is authorized only when use of an existing building cannot be justified from a service, environmental, or economic standpoint.

521.12 Definitions

521.121 Major Facility Projects. Projects costing \$5 million or more.

521.122 Regional Facility Projects. Projects costing less than \$5 million.

521.13 Responsibility

521.131 Headquarters. The Facilities Requirements and Planning Division, Office of Facilities Planning and Management, Facilities Department, has overall responsibility for developing, analyzing, and approving requirements for postal facilities.

521.132 Regions. The Regional Director of Planning develops and implements short- and long-range regional requirements for postal facilities.

521.14 References. The primary document used in planning for capital investment in facilities is Publication 191, *Investment, Policies and Procedures*. Handbook AS-504, *Space Requirements*, is the document used for space planning.

521.2 Facility Planning and Budgeting

521.21 Project Identification

521.211 Approval Factors. Requirements for new or improved facilities may be approved on the basis of one or more of the following factors:

- a. *Employee Factors.* For safe and healthful working conditions.
- b. *Service Factors.* Considerations such as severe capacity deficiencies, growth, lease preemption, condemnation.
- c. *Economics.* Providing a positive return on investment (ROI). (See Pub. 191.)

521.212 Long Range Planning. Long range facility planning at the MSC and Division levels usually identifies problem facilities and provides adequate lead time for all alternatives to be considered and proper action initiated.

521.213 Notification of Deficiencies. The postmaster is responsible for notifying next higher management of specific facility deficiencies.

521.22 Project Scheduling

521.221 Five-Year Needs. Five-year facility needs are determined annually. When developing regional budget submissions, Divisions prepare a list of facilities within their jurisdiction which should be considered for action within the next 5 years. (See Chapter 4, Pub. 191.)

521.222 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.

521.223 Priorities - Regional Projects. Priorities for regional facilities being considered for replacement are determined by using Form 2282 *Facility Evaluation Sheet (Space & Condition)*, in conjunction with on-site reviews. The form is prepared by the Support Services Division and approved by the MSC, Division, and Regional Directors of Planning Division.

521.224 Priorities- Major Projects. Priorities for major projects are determined by the Mechanization and Facility Program Division, Engineering and Technical Support Department, using the recommendations and justifications submitted by the regions, in conjunction with on-site reviews.

521.23 Planning Documentation

521.231 Preparation. Planning documentation for a regional project is approved by the MSC, division, and regional managers. Documentation for a major project is prepared by the Facilities Service Center.

521.232 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 are issued by the Facilities Department.

521.233 Space Requirements. Space requirements are developed in accordance with Handbook AS-504 using the following Forms:

- a. Form 919, *Facility Planning Data*.
- b. Form 929, *Major Facility Planning Data*.

521.234 Decision Analysis. A Decision Analysis is prepared for each project in accordance with Publication 191.

521.3 Funding Approval All projects must be approved by the authorities specified in Publication 191.

521.4 Facility Activation Guidelines for activating new facilities are specified in AS-501, *Postal Facility Activation* and AS-502, *Activation of Non-Mail Processing Postal Facilities*.

522 Nonfixed Mail Processing Mechanization

522.1 General

522.11 Policy. It is USPS policy to improve the efficiency and effectiveness of mail processing activities through use of mechanization/automation, when practical and beneficial.

522.12 Definitions

522.121 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:

Letter sorting machines (LSMs)

Optical character readers (OCRs)

Flat sorters and cancelers

Facer-cancelers

Edger-feeders

Bar code readers and sorters

Canceling machines

522.122 Centrally Funded and Procured. Nonfixed mechanization funded by the Engineering and Technical Support Department and procured by the Procurement and Supply Department at Headquarters.

522.123 Regionally Funded and Procured. Nonfixed mechanization which the regions have been delegated authority to fund and procure.

522.13 Responsibility

522.131' Headquarters. The Office of Operational Requirements, Engineering and Technical Support Department, has overall responsibility for the USPS nonfixed mechanization program. It assigns, deploys, and controls relocation of centrally funded and procured equipment.

522.132 Regions. Regional Operations Support has responsibility for the regional nonfixed mechanization program, including assignment, deployment, and relocation of regionally funded and procured equipment.

522.14 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. Publication 191 contain guidance for preparing justification.

522.2 New Nonfixed Mechanization

522.21 Procedures

522.211 Program Management. Before procurement can be initiated, specifications, drawings, and documentation must be developed to accurately describe the desired item. The Office of Operational Requirements organizes the necessary expertise for this. After award of contract, the office continues program management through which problems are resolved.

522.212 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 (ROI). (See 522.215.)
- b. **Service Considerations.** Mechanization is required to correct deficiencies.

522.213 Identification of Requirements

- a. Office of Operational Requirements (OOR) annually issues to all regions a Requirements Call Guidelines for nonfixed mechanization. This document contains basic information on cost, size, performance, and availability of each type of centrally procured nonfixed mechanization.
- b. Based on these guidelines, the Regional Support Services, coordinating with the field divisions, MSCs, and post offices, submits a 5-year forecast of nonfixed mechanization requirements to Headquarters. Requirements for the first 3 years must be fully supported by an economic justification (see 522.14). Requirements of the last 2 years are estimated, and specific justification is not necessary.
- c. OOR compiles a 5-year USPS forecast of nonfixed mechanization requirements, based on input from the five regions. This document is used to establish the nonfixed mechanization capital budget, to initiate procurement actions, and to project savings associated with deployment of new mechanization.

522.214 Budgeting. OOR prepares and submits annually a 5-year capital budget and 2-year expense budget for the procurement and deployment of all centrally procured nonfixed mechanization.

522.215 Justification of Requirements

- a. Procurement and deployment of nonfixed mechanization must be justified by an adequate return on investment (ROI). See Pub. 191 for instruction.
- b. Exhibit 522.215 shows the steps involved in justifying a requirement for procurement.

522.22 Procurement. After requirements are established and approved, Procurement and Supply Department 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.

Steps	Responsible Organization	Action
	Region	Computes an ROI (see Pub. 191) reflecting anticipated savings in operating expense expected to result from deployment and installation of a particular type machine in a specific post office.
2	Regional Director, Finance	Validates ROI to ensure that it has been computed properly.
3	Regional Director, Operations Support	Certifies that savings are reasonably correct and operationally obtainable. Submits validated requirements and ROIs to Headquarters OOR.
4	OOR	Prepares economic justification supporting procurement of machines meeting national requirements. Submits justification to Headquarters Department of the Controller.
5	Department of the Controller	Validates justification and returns to OOR.
6	OOR	Submits proposal to Senior Management Committee and, if appropriate, to the Board of Governors, to procure a certain quantity of a particular type of machine.
7	OOR	If approved, requests procurement action.

Exhibit 522.215, Justification Process

522.23 Deployment

522.231 *Selection.* OOR, in cooperation with Regional Operations Support, controls deployment of nonfixed mechanization. Machines are sent to post offices selected on the basis of the ROI and/or service considerations.

522.232 *Schedule.* OOR determines the delivery and installation schedule for new mechanization. The first machines are generally assigned to offices with the highest ROIs, and the last machines delivered to offices with lowest ROIs. *Exceptions:*

- a. When new facilities in which machines are to be installed are planned for activation. If machines are expected to be installed before completion of construction, the installation must be coordinated with the Real Estate and Buildings Department.
- b. Unusual local conditions.

522.233 *Problems*

- a. When problems occur during installation of nonfixed mechanization at a post office, the Regional Operations Support should be informed immediately. They will inform the assigned program manager at Headquarters, who will--through

the contracting officer--resolve the problem with the contractor.

- b. Local and regional 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 USPS liability. Only the contracting officer is authorized to make changes in the contract or otherwise direct actions of the contractor.

522.24 *Savings.* After new mechanization is installed, cost studies are conducted to ensure that the savings used to justify the mechanization are actually being obtained.

522.3 *Relocation* Relocation of centrally procured nonfixed mechanization requires formal approval of Regional Operations Support and Headquarters Office of Operational Requirements.

522.4 *Modification* Certain types of nonfixed mechanization may not be modified without formal approval of the Engineering Change Board at Headquarters, Pub. 101: (a) describes the authority, organization, and functions of the Board; and () specifies procedures for approval of proposed modifications to mechanization which the Board controls.

522.5 Development

522.51 Development Phase

522.511 *Initiation.* The Engineering and Development Center (EDC) is responsible for the development and design of new and advanced nonfixed mechanization systems. The Office of Operational Requirements must concur before EDC undertakes any major effort that will result in delivery of nonfixed mechanization.

522.512 *Review.* OOR provides EDC with operational requirements for desired staffing, production price, size, machine throughput, configuration, etc, that should be considered when developing the machine.

522.513 *Field Testing.* OOR coordinates field testing of the equipment under live mail conditions in a post office to determine its suitability for national deployment.

522.52 *Operational Phase.* If the Equipment meets performance specifications and ROI criteria, the project moves from the developmental phase to operational phase. EDC provides necessary technical documentation so that OOR can initiate procurement action. OOR assigns a program manager.

522.6 Test and Evaluation of Commercially Available Equipment

522.61 *Purpose.* To minimize the need for expensive and time-consuming development programs, OOR periodically conducts operational tests of commercially available equipment to assess potential application for the USPS. Other Headquarters and field organizations may be assigned tasks for technical support.

522.62 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.

522.63 Procurement. If a particular piece of equipment works well in its operational test and an economic analysis shows it is economically advantageous to the USPS, action is initiated to procure the item.

530 Maintenance

531 General

531.1 Scope This subchapter covers policies and requirements for maintenance of facilities, plant equipment, and postal equipment. Vehicle maintenance is covered in POM 740.

531.2 Policy

531.21 Definitions

531.211 Plant Equipment. Includes the building's physical structure; utilities; fixed mechanization such as, but not limited to, conveyors, parcel sorters and sack sorters, and environmental systems; and landscaped and paved grounds.

531.212 Postal Equipment. Includes 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 cancelling machines, containers).

531.22 Primary Objectives of Maintenance Management

531.221 Maintain a safe, pleasant, and healthful physical working environment.

531.222 Maintain all plant and postal equipment in good operating condition.

531.223 Minimize total operating costs.

531.23 Maintenance Echelons

531.231 General. Generally, USPS policy is to perform maintenance by the first echelon (level) possess ing the necessary basic skills, if economically practical.

531.232 First. The operator or user performs first echelon maintenance on the equipment. Tasks to be performed at this echelon will not require the use of special tools and test equipment. It will include visual inspection of equipment before and after operation, cleaning operator work area, replenishment of fluid reservoirs, and restocking of consumable items. This activity is normally performed by operating personnel rather than maintenance personnel, and is accomplished when equipment is operationally ready or in use.

531.233 Second. Second-echelon maintenance is performed on the equipment during normal operating tours (shifts) and is referred to as "on-line" maintenance. This echelon of maintenance is intended to return equipment that has malfunctioned to an operational status as rapidly as possible. This is to be accomplished by on-line replacement of easily replaceable (plug-in) assemblies, subassemblies, modules and parts, and by on-line replacement of discrete piece parts on nonreplaceable assemblies and subassemblies. This echelon of maintenance will require the use of whatever tools and test equipment are necessary to isolate and replace on-line replaceable items. On-line

replaceable items that are defective and repairable will be sent to a higher echelon of maintenance for repair or disposition. This echelon emphasizes rapid diagnosis, isolation, and repair to achieve the planned operational on-line availability of facilities and equipment.

531.234 Third. Third-echelon maintenance is performed at the equipment or local shop location normally during a maintenance (nonoperating) tour and is referred to as "off-line" maintenance. Tasks to be performed at this echelon will be scheduled preventive maintenance and repair of designated third-echelon repairable assemblies, subassemblies, and modules. This will include fault isolation, repairs, and tests to ensure quality repairs. Third-echelon maintenance will use such tools, test equipment, and documentation (O&M handbooks) as necessary to perform assigned tasks.

531.235 Fourth

a. Fourth-echelon maintenance activities are those "depot level" maintenance functions normally performed at a central location, remote from the using postal facility, such as the Central Repair Facility. This work is beyond the capability of the third echelon because of the need for expensive jigs, fixtures, special test equipment and/or that requiring specialized training. Some of the tasks are those associated with manufacturing processes. Other tasks include the repair of modules and subassemblies that have been determined for economic and other reasons to be handled at that echelon of maintenance.

b. Mobile overhaul and technical support functions are included in fourth-echelon maintenance to provide skilled specialists and materials on-site at various postal facilities.

531.24 Safety

531.241 Safety is an area of major concern to all maintenance personnel. The senior maintenance official in a facility is responsible for a maintenance safety program for ensuring that annual and semi-annual safety inspections are performed. The program should be updated frequently and include each maintenance employee to achieve maximum protection of personnel and property.

531.242 Maintenance supervisors will include safety as a part of all maintenance programs or functions. They should display a personal interest in the program and set an example of following it. The overall maintenance program must include sections on parts safety and fire prevention, extinguishment, and control.

531.243 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.

531.244 Divisional 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.

531.245 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 Maintenance

531.311 *Definition.* Preventive maintenance is the scheduled, systematic inspection, examination, cleaning, lubricating, adjusting, and servicing of equipment to maintain it in optimum operating condition. Preventive maintenance and follow-up repair work (scheduled repair or parts replacement) is scheduled in advance.

531.311 Establishing Program

- a. *Class A and B Offices and BMCs.* (See 531.51.) These major offices with large quantities of postal equipment establish preventive maintenance programs according to procedures in the appropriate maintenance handbook (531.625).
- b. *Other Offices.* Offices with limited maintenance capability and small quantities of equipment maintain that equipment according to applicable equipment handbooks. The senior maintenance official ensures that required preventive maintenance schedules are developed and the work is performed.

531.313 Record Keeping

- a. *Class A and B Offices and BMCs.* Maintain and report on preventive maintenance as prescribed in the appropriate maintenance management handbook.
- b. *Other Offices.* Maintain records in any convenient format for all postal equipment. The senior maintenance supervisor or technician (or when necessary, the postmaster or facility manager) maintains these records, which must be retained for 2 years. 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

531.311 *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 postal employees, whenever it is most economical and beneficial to the Postal Service.

531.323 Guidance and Record Keeping

- a. Operating procedures for corrective maintenance and record keeping in Class A and B offices and BMCs are in the appropriate maintenance handbook.
- b. Offices that do not operate under a particular maintenance management system use Form 4805, *Work Record Sheet*, 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.

531.314 *Repair Centers.* Specific instructions will 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 (formerly called area assurance) is the use of maintenance personnel available in the vicinity of operationally critical mechanized and automated equipment to ensure minimum downtime from equipment failure. Refer to the appropriate maintenance bulletin for operational maintenance staffing guidelines.

531.4 National Maintenance Information and Control System (NMICS)

531.41 *Description.* Maintenance program cost and performance is measured and controlled through a computerized national data collection and processing system. NMICS provides uniform reporting of all information necessary for maintenance and material management control at the local, regional, and national levels.

531.42 Information Reported

531.411 Maintenance program data accrued and reported includes labor utilization information, workhour and dollar expenditures, equipment performance, preventive and corrective maintenance, inventory control, automatic spare parts reordering, and workhour backlog.

531.422 Reports are generated as necessary for local, regional 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 NMICS is contained in chapters 1-5 of Handbook MS-63, *Maintenance Management Class A Offices*.

531.5 Maintenance Capability

531.51 Maintenance Capable Offices

531.511 *Class A Offices.* Offices designated by the Regional Postmaster General to use NMICS to man-

age, control, monitor, and report maintenance and material functions. Class A offices use the Postal Source Data System (PSDS) network to input and transmit maintenance data according to specific schedules. These offices are supplied with management reports on a scheduled basis.

531.512 Class B Offices. Offices designated by the RPMG to operate their maintenance functions, wholly or partially, as in Class A offices, except that direct access to the PSDS network is not used. Individual offices may be required to make manual reports to higher management on all or part of their maintenance programs, as specified by the RPMG.

531.513 Bulk Mail Centers. BMCs are large, highly mechanized facilities with unique mail processing equipment, especially designed, constructed, and operated as an integrated system. Commonality of parts, procedures, and mechanization requires national coordination of maintenance support including reporting system, failure analysis, technical documentation, and logistic support. On-site computer systems and the postal data centers provide management reports to the BMCs.

531.514 Other Offices. There are other small, maintenance capable offices which, because of their limited maintenance responsibilities, should follow Divisional guidelines for their maintenance programs.

531.52 Offices without Maintenance Capability These are small offices without custodial maintenance staffs. Basic maintenance functions in these offices are:

- a. *Cleaning.* Depending on USPS economic analysis, size of office and cleaning workload, cleaning is performed: (1) under contract, (2) by classified USPS custodian, or (3) in accordance with established allowances for offices CAGs H, J, and K.
- b. *Building and Plant 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 USPS is responsible for maintenance of a facility, and corrective maintenance is required, the field maintenance office (FMO) should be contacted (see 536). The FMO will decide whether to have FMO personnel perform the maintenance or to contract locally for the service.
- c. *Postal Equipment Maintenance.* FMOs 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 maintenance capable offices must follow applicable standards and requirements in the listed documents.

531.62 Types of Documentation

531.621 Maintenance Handbooks

- a. *General.* USPS maintenance (MS) handbooks contain policies and procedures for conducting maintenance operations for 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 list parts. MS handbooks are prepared to USPS standards and published with an MS number. Others are prepared by equipment manufacturers or contractors. For "off-the-shelf" equipment (not specifically designed for USPS 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. MTSC maintains a record of issuances to offices. To order, complete Form 7380, *MDC Supply Requisition*, and send it to the appropriate materiel distribution center.
- b. *Class A Offices.* Use MS-63 for basic procedures.
- c. *Class B Offices.* Use MS-65, *Maintenance Management Class B Offices*, for basic procedures.
- d. Other USPS handbooks for specific equipment or situations are listed in Appendix A.

531.622 Maintenance Management Orders (MMOs). MMOs contain special maintenance procedures, information on special problems which have developed, new parts procurement data, and corrections to other documents. Maintenance Technical Support Center (MTSC) prepares and distributes MMOs. 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 BULLETIN LIBRARIAN, MAINTENANCE TECHNICAL SUPPORT CENTER, UNITED STATES POSTAL SERVICE, P O BOX 1600, NORMAN OK 73070-6708.

531.623 Modification Work Orders (MWOs). Headquarters develops any wide impact modifications to USPS equipment. Installation instructions are communicated to field offices through modification work orders, 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. MTSC prepares and distributes modification work orders. Back copies may be obtained from MTSC, when available.

531.624 Software Modification Orders (SMOs). SMOs provide installation and modification procedures for changes to software in computer-controlled USPS field equipment. SMOs contain necessary instructions to install, check-out, and use new or modified software programs. These documents are developed and distributed by MTSC. Back copies are available from 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 will supply them.

531.63 Maintenance Criteria. Unless otherwise directed, Headquarters instructions on methods, standards, tools, parts, supplies, and frequencies of attention for maintenance of facilities, plant equipment, and postal equipment take precedence over instructions of manufacturers, contractors, lessors, or other government agencies.

Exception: Equipment covered by a manufacturer's warranty. When manufacturer's requirements differ from USPS instructions, follow warranty requirements for duration of the warranty period.

531.7 Staffing Requirements and Authorizations

531.71 Custodial and Plant Equipment

531.711 Authorizations. Either Headquarters or the Field Division authorizes custodial and building maintenance positions and staffing allowances, using current staffing criteria in appropriate maintenance handbooks.

531.711 References

- a. **Custodial Requirements.** Use handbook MS-47, *Housekeeping--Postal Facilities*, for estimating custodial staffing requirements.
- b. **Plant Equipment Requirements.** Use procedures in chapter 13 of Handbook MS-1, *Operation and Maintenance of Real Property*, to estimate plant (building) equipment requirements.

531.72 Postal Equipment

531.721 Guidelines. Calculate required maintenance staffing for postal equipment using guidelines contained in the appropriate maintenance handbooks and MMOs. Begin with preparing an inventory of all equipment to be maintained and listing tasks required of the maintenance workforce. Workhour estimates which have been developed for specific postal equipment are used to estimate total workload and numbers of different skill-level technicians and maintenance personnel required to properly support the equipment.

531.722 Maintenance Criteria. The Office of Maintenance Management, Headquarters, prepares performance checklists, detailing preventive maintenance tasks and estimated times required to perform the work for most postal equipment. These criteria are published in other maintenance handbooks and MMOs. Total workhours per year required to maintain an item of equipment include:

- a. Preventive maintenance time;
- b. Allowance for estimated corrective maintenance time;
- c. Travel time to job site;
- d. Nonproductive time; and

- e. Time allowance for special access problems:

531.73 Maintenance Control and Tool Parts Supply Room. Guidelines for establishing and calculating workload are contained in maintenance handbooks. Normally, calculations to determine the required staffing support for maintenance control and tool and parts supply functions depend on the following:

- a. **Class A Offices and Bulk Mail Centers.** The total number of items reflected in the master files of equipment inventory, stockroom inventory, preventive and corrective maintenance files and the number of daily transactions involving these files. The total number of tours per week that these functions are to be provided must also be considered.
- b. **Other Maintenance Capable Offices.** The total number of items reflected in the master files of equipment inventory, stockroom inventory, preventive and corrective maintenance files and the time required for preparation of required maintenance data input and reports. The total number of tours per week that these functions are to be provided must also be considered.

531.74 Self-Service Postal Equipment. Divisional maintenance management personnel determine SSPC technician staffing, following criteria in Handbook PO 102, *Retail Vending Operational and Marketing Program*.

532 Equipment Modifications and Configuration Control

532.1 Configuration Control and Management

532.11 Purpose. The USPS configuration control and management system ensures that effective Headquarters maintenance support will be 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, and equipment under the control of the Technology Research Group has not been placed under this control system.

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 divisional authority.

532.212 *Fixed Mechanization.* Modifications to fixed mechanization equipment and to equipment unique to one or two sites may be installed on the authority of the facility manager, subject to specific restrictions imposed by Divisions or Headquarters.

532.213 *Nonfixed Mechanization.* Tests of locally proposed modifications to nonfixed, standard design, mechanization equipment must be approved by the Division before implementation. See Appendix A, Publication 101, *Engineering Change Board Organization, Function and Change Processing Procedures*, for 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 531.624.)

532.22 *Installation.* Approved modifications are installed on field equipment by USPS personnel when feasible. When personnel, time, special equipment, or cost limitations preclude using USPS personnel, contract services may be used. (See procurement policies and regulations in Publication 41, *Procurement IV* *Annual*.)

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 *USPS/GSA Agreement.* Certain building services, utilities, and maintenance functions for facilities interchanged between the USPS and GSA are specified in the *Agreement Between General Services Administration and United States Postal Service Covering Real and Personal Property Relationships and Associations Services* (USPS/GSA Agreement). (See 516.3.) Copies of the agreement are on file in regional offices.

533.12 *Scope.* Maintenance functions covered by the USPS/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 USPS/GSA Agreement provides for a standard level of building services and utilities, with reimbursement for those in excess of the rental charges. (See 516.9.)

533.2 Building Services and Management

533.21 *Custodial.* See Handbook MS-47 for standard level tasks and frequencies of custodial services.

533.22 *USPS-Owned Buildings.*

533.221 Agencies occupying space in USPS buildings should request building services not included as stan-

dard from GSA on GSA Form 2957, *Reimbursable Work Authorization*. (See 516.94.)

533.222 GSA is responsible for assigning nonpostal parking spaces allocated by USPS for other agency use.

533.23 GSA-Owned Buildings

533.231 USPS requests for building services not included as standard level should be sent to the Facilities Service Center/Office on Form 7437, *Facilities Services Request*. (See 516.93.)

533.232 USPS is responsible for assigning parking spaces allocated by GSA for USPS 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*

- 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 occupiable square feet of floor area. For open space planning, permanent partitions will be provided to a maximum of one linear foot for each 20 occupiable square feet of floor area.
 - 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 USPS 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 USPS standards. See Handbook MS-49, *Energy Conservation and Maintenance Contingency Planning in Large Postal Facilities*.
 - 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 will be provided in accordance with current USPS policy.
- #### 533.323 *Storage Space*
- a. *Floors.* Concrete, wood block or similar material adequate for warehousing service.

- b. *Ceilings.* Unfinished.
- c. *Partitions and Walls.* With the exception of firewalls, 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 USPS standards. See Handbook RE-13.
- f. *Lighting.* Adequate to maintain levels of illumination in conformance with current USPS standards. See Handbook MS-49.
- g. *Electrical and Telephone Distribution.* None provided.
- h. *Accident and Fire Prevention.* In accordance with current USPS policy.

533.324 Conference and Training Areas

- a. *Floors.* Carpeted.
- b. *Ceilings.* If required, ceilings will be acoustically treated.
- c. *Partitions and Walls.* If required, perimeter walls will be sound-conditioned to provide a minimum sound transmission class of 40.
- d. *Heating, Ventilating and Air Conditioning.* Boosted HVAC facilities will normally be required to provide for high density occupancy and will be furnished where required.

533.325 *Other Areas.* Contact Field Division 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 USPS will agree upon conditions under which the work may be initially funded by the tenant agency.

533.4 Building Maintenance

533.41 USPS-Owned Buildings

533.411 *Scope.* The USPS is responsible for 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

- a. Preventive maintenance, 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, etc.) which 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 Publications 190, *Capital Investment Policies and Procedures*, and 191, *Capital Investment Implementation Instructions*, for procedures and limitations.)
- 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 capability, 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 MSC or Division. (See 536.22.)

533.414 *Vacant Facilities.* When the USPS 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

- a. 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 USPS agent or employee.
- b. USPS personnel must not undertake any preventive maintenance in leased facilities unless specifically authorized or directed to take such action by the Facilities Service Office.
- c. Advise the lessor promptly of any equipment malfunction or needed repairs, to avoid extensive damage that might be caused by failure to correct deficiencies. (See 514.1 for procedure.)
- d. Postmasters or other installation heads should obtain a copy of the lease, and ensure that they understand the maintenance section.

533.422 *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 Pub. 41, 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 real estate channels.

533.423 *Emergencies.* See Postal Contracting Manual.

533.424 *Funding.* Except in emergencies, the postmaster must ensure that funds are available before

contracting for any maintenance or repair work which is not the lessor's responsibility.

533.425 Plant Equipment Responsibilities. The USPS is responsible for testing and recharging of portable fire extinguishers, USPS-furnished portable battery-powered emergency lighting units, and all postal equipment used in the facility. USPS personnel must use good equipment operating practices on all plant equipment.

533.426 Claims for Damages. An owner's claim for damages due to acts or negligence of USPS 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 region 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 USPS-Owned Buildings. USPS is responsible for cleaning all USPS-owned buildings.

533.512 GSA-Owned Buildings. GSA is responsible for cleaning USPS-occupied space in GSA-owned buildings.

533.513 Leased or Rented Buildings. USPS is responsible for cleaning unless otherwise stated in the lease or rental agreement.

533.52 Cleaning Methods

533.521 The following handbooks contain methods for custodial work:

- a. Handbook MS-10, *Floors, Care, and Maintenance*.
- b. Handbook MS-39, *Fluorescent and Mercury Vapor Lighting, Cleaning, and Relamping*.
- c. Handbook MS-47, *Housekeeping--Postal Facilities*.

533.522 Methods are also updated and issued in maintenance bulletins.

533.523 A Building Services Training Program, Course #56531-00, provides training for Custodians. The course is available through the Postal Employee and Development Centers (PEDCs).

533.53 Supplies and Equipment

533.531 Supplies. Publication 24, *Supply Catalog*, lists cleaning and maintenance supplies and requisitioning procedures. The Materiel Logistics Bulletin (MLB) also contains information regarding vendors of select commercial commodities, who have established National Ordering Agreements (NOAs). When it is cost-effective, GSA sources may be utilized, however, GSA use is not mandatory.

533.532 Equipment. Publication 47, *Equipment Catalog*, lists equipment available for efficient custodial and plant equipment maintenance. The Materiel Logistics Bulletin (MLB) also lists information regarding vendors of select equipment, who have established

National Ordering Agreements (NOAs). This equipment is requisitioned on Form 7381, *Requisition for Supplies, Services, or Equipment* and submitted to the appropriate Division. Any required equipment not listed in Pub. 47, 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, *Materiel Management Handbook*. When it is cost-effective, GSA sources may be utilized, however, GSA use is not mandatory. In the future, the Materiel Logistics Bulletin (MLB) will also contain information regarding suppliers of tools, who have established National Ordering Agreements (NOAs).

533.534 Acquisition. See Section 712 and 723 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 semi-annual maintenance inspections of all detached USPS units. Use procedures in chapter 3, *MS-110 Associate Office Postmaster's Maintenance Guidelines*. Discuss the results with the detached unit supervisor. Report any major problems noted to the MSC Maintenance Office. At least once a year, a supervisor from the MSC Maintenance Office should conduct a facility inspection using Form 4905, *Building Operation and Maintenance Evaluation*. Support services will perform periodic inspections per RE-12, *Repair and Alteration Surveys*.

533.55 Employee Housekeeping Committees. Postal facilities with 100 or more employees must appoint an employee committee to generate and encourage good housekeeping habits. In facilities with fewer than 100 employees, committees may be appointed at the discretion of the postmaster or officer-in-charge. A maintenance supervisor should be a member of the committee. The committee must formally inspect the facility at least quarterly, and submit a written summary of findings to the postmaster or officer-in-charge.

533.56 Lookout Galleries

533.561 Use. Lookout galleries are for the exclusive use of Postal Inspection Service personnel. They are to be used for criminal investigations only.

533.562 Cleaning Requirements. Galleries are to be cleaned on the first Monday of each month or on the next business day if Monday is a holiday. If cleaning cannot be performed on the regular day, for any reason, the gallery may not be entered for cleaning on any other day without permission from the local inspector or inspector in charge.

533.563 Exterior Door. At the time of cleaning, check whether outside entrance door leading to observation gallery operates freely. Open the door from inside and determine that the latch bolt operates freely. If 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, repairmen, or USPS personnel must have access to the galleries in connection with new construction, alterations, or repairs, such access must be cleared by the installation head 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 which mark obstructions and changes in direction. Postmasters should order glow lamps from area supply 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 supply centers. *No Other Use of the label is authorized.*

533.6 Repair and Alteration (R&A) Program

533.61 Objectives. The Repair and Alteration Program is the responsibility of Field Divisions. Handbooks RE-12 and RE-13 have been prepared to assist the Field Divisions with this program.

534 Postal Equipment Maintenance

534.1 Types of Equipment

534.11 Mail Processing Equipment. All mechanization (both fixed and nonfixed) used to convey, face, cancel, sort, or otherwise process for delivery all classes of letter and bulk mail. *Examples:* optical character readers, single and multiple position letter sorting machines, ZIP mail translators, facer-cancelers, edger-stackers, edger-feeders, parcel and sack sorting machines, bulk belt and portable powered conveyors, canceling machines, twine tying machines.

534.12 Customer Service Equipment. Includes stamp and commodity vending machines, scales, bill changers, self-service postal center equipment, money order machines, Mailgram equipment.

534.13 Delivery Service Equipment. Includes label imprinters for central markup, label makers, letter boxes, and Centralized Forwarding Systems.

534.14 Support Equipment. Includes Postal Source Data System (PSDS) equipment, 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: Somerville Materiel Distribution Center, Topeka Materiel Distribution Center, GSA Supply Center, other U.S. Government supply centers, and commercial parts supply houses. Follow procedures in Pub. 41 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. Supply Center Rebuilding.* If a local office does not have all the required capabilities (in 534.22a), and the item is available from the supply center, requisition a new unit and send the defective one to the supply center for rebuild. A central repair facility under management of Headquarters Office of Maintenance Management rebuilds the item. The Office of Maintenance Management 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 Overhaul and Technical Service Centers (MOTSCs) have been established to issue instructions for major overhaul programs, and they have the physical resources to conduct the overhauls.

534.232 Other Equipment. Overhaul of other equipment is normally handled by instructions from Divisional Maintenance Engineering/Operations or as directed by the MOTSC.

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*

- a. Whatever system is used, some control must be established for receipt, issue, stockage, and re-ordering 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 operation 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 (see also 725.3). Follow these levels except when specific local conditions require some deviation. Any deviation requires approval from the MOTSC.

534.244 *Regional Stocks.* Specific critical spare parts and assemblies are stocked in all five regions. The Topeka Materiel Distribution Center and regional publications describe the items stocked and procedures for obtaining parts from these stocks.

534.3 Repair/Replacement Criteria

534.31 *General.* Criteria for deciding whether to repair or replace postal equipment depends on: type of equipment, availability of replacements, cost of repair and replacement, age and anticipated life of the item, etc.

534.32 *Fourth Echelon Maintenance.* The Office of Maintenance Management establishes guidelines for deciding whether to repair or replace equipment, assemblies, and subassemblies by fourth echelon maintenance.

534.33 *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 in Exhibit 534.33 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 a qualified postal mechanic.
- 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 operational requirements may dictate the repairing of an item, even though the cost of repairs exceeds the economic limits.

	Life Expectancy of Equipment					Percentage of replacement cost authorized for repair/overhaul costs
	15 years	12 years	10 years	8 years	5 years	
Age of Equipment in Years	0-3	0-2	0-1	0-1	0-1	50
	4-6	3-4	2	2	45
	7-8	5-6	3	3	2	40
	9-10	7	4	4	35
	11	8	5	5	3	30
	12	9	6	25
	13	10	7	6	4	20
	14	11	8	7	15
	15	12	9-10	8	5	10

Example--A hamper dumper has a life expectancy of 15 years and a replacement cost of \$800. If the unit to be repaired is 12 years old, then 25 percent of \$800, or \$200, is authorized to be spent in returning the item to good operable condition.

Exhibit 534.33, Repair/Replacement Formula

535 Maintenance Service Contracts

535.1 General

535.11 Use

535.111 Postal Equipment. Maintenance of postal equipment should be performed by USPS personnel, whenever possible. *Exceptions:*

- a. Where capable personnel are not available, or
- b. 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 USPS-operated facility and plant equipment maintenance, when economically advantageous.

535.12 Procurement of Contracts

535.121 Authority. All service contract procurement must comply with delegated contracting authority and procurement regulations for service contracts specified in Pub. 41. These are also subject to funds availability.

535.122 Divisional Approval

- a. Pub. 41 requires Divisional approval of proposed solicitations under certain circumstances.
- b. When proposing a major revision to provisions of an existing contract, consider submitting the proposal to the Procurement and Materiel Management Service Center/Office (P&MMSC0/0).

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 USPS-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 and Snow and Ice Removal. Contract service may be authorized only when the work cannot be done expediently by the existing maintenance workforce. Lobby windows are washed weekly. Other exterior windows are washed as scheduled.

535.24 Air Conditioning Service. Contract service may be authorized for facilities in which the USPS 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 USPS is responsible for maintenance of the air conditioning equipment.

535.25 Elevator, Escalator, and Dumbwaiter Service

535.251 Contract service may be authorized for facilities in which the USPS is responsible for operating and maintaining elevators, escalators, or dumbwaiters. The Postal Service has this responsibility in all USPS-owned facilities. In leased facilities, the USPS generally has routine maintenance responsibility and sometimes has repair and replacement responsibility. In questionable cases, review the lease.

535.252 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

- a. When a vacancy as a result of an employee's voluntary attrition is identified in an independent installation with 39 hours or less of custodial cleaning per week, the following sequential actions will be taken:
 - (1) A cost ascertainment study will be undertaken to determine if it is more economical to utilize a contract cleaning service or a career maintenance employee to perform the required work.
 - (2) For purposes of the comparison, the salary of \$19,960 and the benefits appropriate to that salary will be utilized.
 - (3) If the determination is made to utilize a contract cleaning service, the local APWU President will be provided a copy of the cost comparison and management's determination.
- b. When a vacancy as a result of an employee's voluntary attrition is identified in a station and/or branch of an independent installation with 39 hours or less of custodial cleaning, the following sequential actions will be taken:
 - (1) Before proceeding to ascertain whether custodial cleaning services can be contracted, local management shall ascertain whether, consistent with the needs of the Service, the work hours of the vacated position can be combined with that of another career service maintenance employee's position to constitute either a full-time regular or expanded part-time regular maintenance position.

- (2) If the vacated work hours cannot be combined as discussed above, then management may proceed to develop a cost ascertainment study to determine if it is more economical to utilize a contract cleaning service or a career maintenance employee to perform the required work.
- (3) For purposes of the comparison, the salary of \$19,960 and the benefits appropriate to that salary will be utilized.
 - a. If the determination is made to utilize a contract cleaning service, the local APWU President will be provided a copy of the cost comparison and management's determination.
 - b. The foregoing is not intended to modify existing cleaning service contracts.

535.262 Maintenance Position. When a full-time maintenance position is required and cannot be filled locally, the postmaster must forward documentation to the Field Director, Operations Support, showing efforts made to recruit classified maintenance employees for the job.

535.263 Tenant Space. Contracts may be authorized for cleaning buildings or portions of buildings occupied by nonpostal tenants and not used for proprietary postal functions, provided such space is not being cleaned by field service custodial maintenance employees. This includes office space adjacent to or above or below postal operating space; identifiable sections of buildings which are separated from postal space and outleased to non postal functions; and buildings which have been vacated by the Postal Service and are awaiting final disposition.

535.264 Vacant Buildings. Postal buildings vacated as the result of transferred operations (including custodial cleaning functions performed by bargaining unit personnel) to another building may be cleaned under contract.

535.265 Submitting Requests. When submitting a request for approval (see 535.122), the following must be shown:

- 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.

535.266 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 in buildings under 20,000 square feet:
 - (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; convert them to weekly hours and minutes; multiply 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 Field Director Operations Support.

536 Field Maintenance Offices

536.1 General

536.11 Policy. Field maintenance offices (FMOs) perform maintenance work which is not the responsibility of GSA or a lessor, at associate postal facilities. FMOs perform maintenance when:

- a. Maintenance capability does not exist at the associate office;
- b. Maintenance cannot be provided economically by the office's MSC;
- c. Repairs cannot be made by exchange of parts or equipment items; or
- d. 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 equipment 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, lockboxes, 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 equipment including air conditioning equipment, if required, during visits to an associate office to make a repair.

536.13 Reference. FMOs follow instructions in Handbook MS-45, *Field Maintenance Program*.

536.2 Program Responsibility

536.21 Headquarters. Office of Maintenance Management is responsible for:

- a. Developing new or revised policy guidance on the role and functions of FMOs, 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 (through the MOTSCs and MTSC) to provide field maintenance installations with technical interpretation of maintenance issuances, and general technical support.

536.22 Division

536.221 Maintenance Staffing. Divisions make staffing authorizations based on such considerations as:

- a. Geographic area,
- b. Offices served,
- c. Sectional center assistance to associate offices, and
- d. Availability of contract assistance.

536.222 Responsibilities. Divisions are responsible for:

- a. Defining geographic areas to be served by individual FMOs.
- b. Approving FMO staffing levels.
- c. Auditing the FMOs periodically to ensure that the sectional centers 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 MSC Postmasters. MSC postmasters are responsible for:

- a. Providing the needed repair service through exchange of parts or equipment items, using existing 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. Providing services only at offices without maintenance capability.

536.3 Program Administration

536.31 FMO Staff Scheduling Assignments

536.311 When work requested by an associate office is relatively simple and does not require the technical skills of FMO personnel, the senior maintenance official of the FMO post office should assign lower level, qualified maintenance employees to the job.

536.312 When the FMO workload or technical capabilities are exceeded, the senior maintenance official of the FMO post office should assign additional maintenance employees to assist in work in areas of which they have training, unless all members of the staff are engaged in work of equal importance.

536.313 FMO personnel will not be utilized for maintenance work at the FMO post office, unless all valid requests for work from associate offices are being fulfilled by qualified maintenance personnel. During these slack periods, FMO personnel may only be assigned to maintenance tasks, commensurate with their skills, in the local post office, its branches, or stations.

536.32 Controls and Reports

536.321 Maintenance Class A and B Offices. Maintenance control personnel are responsible for maintaining work order summaries, showing FMO work at the home office and associate offices, and non-FMO work. At the close of each accounting period, Form 4942, *Area Maintenance Office AIP Report*, is compiled from the work order summaries. The original is forwarded to the Manager, Maintenance Engineering/Operations. The forms are retained at least 2 years.

536.322 Other Offices. FMO personnel are responsible for filing Form 4942.

536.4 Requesting FMO Assistance

536.41 Routine Work. When FMO assistance is required, the postmaster of the requesting associate office completes Form 4805, *Work Sheet Record*, and mails it to the FMO, attention: Supervisor Maintenance, Detached Units. The request is processed and work scheduled as outlined in Handbook MS-110.

536.42 Emergencies. In emergencies, the associate office postmaster utilizes the designated repairmen, selected in advance (per MS-110), or telephones the Supervisor, Maintenance Detached Units or maintenance control 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, *Work Record Sheet*, or Item 0-13, *Routing Slip*. In an emergency, the postmaster may contact the FMO by telephone.

536.6 Contracting Authorities

536.61 Associate Office Postmasters. FMO personnel may contract for labor and/or materials under associate office postmasters' contracting authority of \$1,000 or CAG B-J offices and \$750 for CAG K offices. (See 711.32.)

536.62 Procurement Services Offices (PSOs). Contract costs that exceed limits in 536.61 must be referred promptly to the appropriate Division Support Services manager for contract approval.

540 Energy Conservation, Fuels, and Utilities

541 Conservation of Energy

541.1 Requirements All postal facility managers must comply with the following energy conservation measures:

- a. Switch off any lighting, indoor or outdoor, which is not needed.
- b. Maintain a maximum heating temperature of 65 degrees Fahrenheit during working hours and 55 degrees Fahrenheit during nonworking hours.
- c. Maintain a minimum cooling temperature of 78 degrees Fahrenheit during working hours and no cooling during nonworking hours.
- d. Follow all guidelines prescribed in Handbook MS-49, *Energy Conservation and Maintenance Contingency Planning in Large Postal Facilities*.

541.2 Energy Contingency Planning

541.21 Energy Shortages. All facility managers must prepare a plan of action for a critical fuel or power shortage to:

- a. Reduce electrical, gas, oil, or other fuel consumption, or,
- b. Altogether change over to an alternate source of energy.

541.22 References. Follow instructions in Chapter 5 of Handbook MS-49.

542 Fuels and Utilities

542.1 Policy

542.11 Local Purchase. Fuels and utilities cited in 542.21 and 542.31 may be purchased locally when required for operation of USPS-owned buildings or for USPS-leased or rented space (including vehicle service garages), when the owner is not required to furnish those items or services.

542.12 Obligation of Building Owner. No funds may be authorized or expended, in leased or rented buildings, for any service which the owner must provide. Existing lease contracts and rental agreements, copies of which are on file in the local post office, specify the services that the owner of the building is obligated to furnish.

542.13 Type of Fuel

542.131 New Facilities. The type of fuel (coal, oil, or gas) is determined when the building is erected, or first occupied under a lease or rental agreement.

542.132 Existing Facilities. Changes in the fuel used must have prior approval. For USPS-owned or leased buildings, submit a request to the Division Director, Operations Support, giving estimated costs of the present and proposed fuels and the reasons for making the change. Include comments on the kind and

amount of fuel provided and any complaints of objectionable smoke conditions.

542.14 Use During Summer Months. When gas is not needed, minimum charges for service should be paid if this reduces the annual cost for gas. In many areas, high reconnection costs preclude having the gas shut off. Also, consider leaving pilot flames on during the summer to reduce corrosion. Officials in charge of postal installations must implement this policy.

542.2 Metered or Flat Rate Utility Services and Supplies

542.21 Items Included

- a. Electricity.
- b. Gas. Natural, manufactured, liquefied petroleum (also known as LPG, propane, butane or bottled gas) if the gas is supplied as a utility service through an underground piping network or sub metered from a central tank furnishing a number of customers.
- c. Water and sewer service.
- d. Purchased steam.

542.22 Acquiring Service

542.221 By GSA Contract. The General Services Administration (GSA) has negotiated consolidated contracts for utility service in a number of geographic areas. These contracts cover postal facilities and must be used by the Postal Service where they are in force.

542.222 By Application. The Procurement and Materiel Management Service Center (P&MMSC) prepares Form 4845, *Utility Service by Application*, to request service when:

- a. A GSA contract is not available;
- b. Rates are fixed or adjusted by federal, state or other body; and
- c. There is no competition in utility service. *Note:* This type of application covers the first fiscal year or any portion of it, and normally continues automatically from year to year.

542.223 By Contract. The formal contract Form 7302, *Utility Service by Contract*, must be used when:

- a. A GSA contract is not available;
- b. The utility rates are not governed by federal, state, or other regulatory body;
- c. The utility company insists on a formal contract or a contract is deemed necessary to properly protect USPS interests;
- d. There is competition in utility service.

542.23 Responsibilities

542.231 P&MMSC Manager

- a. Is designated as contracting officer; and
- b. Is assigned the responsibility and delegated the authority to enter into, execute and approve contracts for services up to a specific dollar limit. (See 720.)

542.232 Postmaster/Facility Manager

- a. Submits requests to the P&MMSC manager for utility services.
- b. When requested, provides the P&MMSC manager a detailed statement showing the actual or estimated consumption by months, to be used as a basis for competitive bidding. This is particularly important for electricity, for which both the kWh consumption and kW demand (if applicable) should be shown. The statement should include:
 - (1) For new facilities, a statement from competing suppliers showing an estimated consumption by months (and demand, if applicable) covering a 12-month period, based on best judgment of conditions of size, connected load, etc., of the facility.
 - (2) For existing facilities, an accurate record of the consumption (and demand, when applicable) maintained for each month so that actual data may be used as a basis for bids in succeeding years.
- c. When bids are solicited, the postmaster will furnish prospective bidders a statement of the consumption (and demand when applicable) for the most recent 12 months for which information is available. A record of demand and consumption must be maintained at the building on Form 4841, *Fuel and Utilities Record*.

542.24 Rate Changes

542.241 Sel'lice by GSA Contract. When a public utility regulatory agency approves a rate change, the postmaster/facility manager sends a copy of the notice announcing the change to the PDC director. Include a statement showing whether the change represents an increase or decrease and its effect on the cost of the specific service involved.

542.242 Sel'lice by Application Form 4845 Process changes in rates the same way as in 542.241.

542.243 Sel'lice by Contract Form 7302. The postmaster/facility manager requests the P&MMSC manager to obtain new bids when rate changes are approved.

542.25 Billing and Payment

542.251 Payment for metered or flat rate services is made on the basis of regular bills by the utility companies or municipal units. When received, these bills must be reviewed, certified, and forwarded promptly to the PDC director for payment. *Note:* Do not use Form 7444, *Local Purchase Order*, for metered service.

542.252 If bills are received which include extra charges (e.g., for amortization or membership fees, deposits, or taxes), note the following:

- a. Amortization charges or membership fees are usually applicable to cooperative or municipally owned utilities.
- b. Including amortization charges in bills is permissible.
- c. Payment of membership fees should generally be avoided, but they may be paid if the supplier insists.

- d. Payment of deposits should generally be avoided, but they may be paid if a statement is obtained that the deposit will be refunded when the service is no longer needed.
- e. Submit questions relating to taxes to the P&MMSC manager for resolution.

542.26 Changes in Name and Address. All changes, such as name and address of supplier or address of post office, must be reported to the P&MMSC manager and the PDC director.

542.27 Rate Surveys

542.271 Semiannually, contact the utility company or municipality furnishing service (except for GSA consolidated contract) and request them to advise if the rates used are the lowest available to the USPS, and whether there is a choice of rates. Generally, if there is a choice of rates available and if requested, the utility will furnish comparative costs data and give the USPS the benefit of the lowest rate.

542.272 Forms 4841 must be maintained at all USPS-owned buildings and leased facilities where the cost of electricity, water, or fuel is paid by the USPS. The facility must retain the completed form for the record.

542.273 Experience data on Forms 4841 should be studied after each 12 months operation. If the data show an appreciative increase in consumption, request the utility to make a rate survey. When in doubt on any question concerning utility rates, forward full information (copies of the different rates, effective dates, statement showing 12 months consumption and cost, etc.) to the Division Director, Operations Support for review and resolution.

542.274 When a building has been remodeled, rewired, relighted, air conditioned, or mechanized, request for utility to make an electric rate survey not later than 6 months after the change.

542-3 Procurement of Nonmetered Heating Fuel

542.31 Definition. Nonmetered heating fuel is fuel obtained by bulk delivery (e.g., by delivery truck) for storage at the postal facility, such as fuel oil, butane, propane, coal, and wood. It is contrasted with metered fuel delivered by pipeline, public utilities, etc., which is measured as consumed.

542.32 Authority

542.321 Procurement Support

- a. By joint interagency agreement, the Defense Fuel Supply Center (DFSC), Defense Logistics Agency, furnishes procurement support to the Postal Service for federal/military specification petroleum products. This includes all grades of heating oils.
- b. Coal, wood, and other nonpetroleum fuels are procured by the procurement services office (PSO) or by local postmasters, if the dollar amount is within their purchase authority.

542.322 Basic Pricing Agreement. Section 4.25, Procurement Manual, authorizes the use of Basic Pricing Agreements (BPAs) to purchase repetitive day-to-day

small quantity requirements on a charge account basis. The Defense Logistics Agency and the USPS have agreed to the use of BPAs for ordering bulk heating fuel at each postal facility. If vendors default or there are any other contractual problems, the DFSC contracting officer is the only person authorized to negotiate with/or terminate the contractor.

542.33 Limitations

541.331 *Quantity.* USPS and DFSC have agreed that it would be beneficial for the Postal Service to procure locally its fuel requirements for quantities of less than 20,000 gallons annually. Therefore, only those requirements estimated to exceed 20,000 gallons annually will be submitted to the DFSC for procurement.

542.332 *Support.* DFSC will, however, offer necessary assistance if the P&MMSC cannot obtain a contract of quantity requirements of less than 20,000 gallons annually.

542.34 Local Purchase

542.341 *CAG A-K.* Nonmetered fuel requirements of these offices, estimated not to exceed 20,000 gallons annually may be purchased locally using local purchasing authority. For heating fuel only, the dollar limitation is the total price for filling the tank (not to exceed 20,000 gallons annually). Payment is made for each delivery and charged to the appropriate account identifier code (AIC) on the Postmaster's Statement of Account:

	AICNo. CAG A-K	VMF
Heating oil.....	561	565
(Gas: propane, liquid, natural)	566	570
Other heating material (wood, coal, etc.) .	576	580

Note: For wood or coal, postmasters purchase and pay for locally unless annual cost is over \$500 at CAGs A-J or \$100 at CAGs K and L, in which case the PDC pays.

541.342 *CAG L.* Offices in leased facilities for which the rental agreement provides that the Postal Service pays for fuel, must certify the bill and forward to the servicing PDC for payment. The first bill certified during the fiscal year is accompanied by a copy of the current rental agreement, to establish the Postal Service's obligation for payment.

542.35 Procurement through P&MMSC

542.351 *Determination of Requirements.* CAG A-K offices requiring nonmetered fuels for the forthcoming fiscal year that are estimated to exceed 20,000 gallons annually must submit Form 7381, *Requisition for Supplies, Services, or Equipment*, through channels to the P&MMSC not later than May 1. The request must indicate:

- a. The type of fuel required.
- b. Size of storage tank.
- c. Estimate of annual quantity.
- d. Funds availability. (The funds available must be calculated using the best available estimate of the likely unit cost of the quantity of fuel required.)

542.352 *Procurement Action*

- a. Requirements for heating oil in quantities of 20,000 gallons or more annually, are procured by issuance of a BPA against a DF8C contract, if available (see 542.36).
- b. The P&MMSC procures directly: (1) requirements for heating oil in quantities of less than 20,000 gallons annually, (2) requirements in any quantity if no DFSC contract is available, and (3) requirements for any other type of nonmetered heating fuel in excess of the amounts authorized for local purchase. The P&MMSC solicits quotations for the fuel requirement and issues a BPA on Form 7334, *Order-Invoice-Voucher*, to the successful vendor.
- c. Annotate "Nonmetered Heating Fuel" in the Schedule block of Form 7334. Code the *Account (48-42)* block of Form 7334 with one of the following accounts:

54142..Oil.
54143. .Gas. (Includes propane and liquid gas.)
54144--Wood, coal, and related freight costs. (Includes steam for heaUng.)

- d. Indicate on the BPA that calls may be issued by the postal facility involved and that the bill (invoice) is to be submitted to the consignee. List the name of individuals authorized to place calls, stating that each individual is authorized to place calls up to the maximum storage capacity for the fuel tank. The tank capacity must also be stated. Furnish a copy of the Form 7334 to each consignee post office with instructions for placing periodic orders and for certification of delivery tickets. Furnish copy 3 of Form 7334 to the Accounts Payable Branch of the servicing PDC.

542.353 *Action by Consignee*

- a. The consignee postal facility places delivery orders in accordance with P&MMSC instructions and local requirements. As deliveries are made, the installation head (or a designated supervisor) checks the delivery ticket to verify correctness of quantity, unit price, and total price. The ticket is then annotated with the following certification on it:

I certify that the fuel as indicated on this delivery ticket was delivered and placed into use at this facility and payment is authorized.	
Signature/Title/Date	
Postal Facility Name 7334 BPA Number	Finance No.

Upon receipt of billing from vendor, staple related delivery tickets to the invoice. Verify totals on delivery ticket to the invoice and forward to the servicing PDC (Accounts Payable Branch) for payment.

- b. There may be contractors who use the delivery ticket as their invoice. Under these circumstances, place the following statement on the delivery ticket being certified and forward to the PDC for payment:

This document serves as this contractor's invoice and delivery ticket--no further billing will be presented.

- c. Request P&MMSC assistance in resolving questions about prices or quantities billed which cannot be resolved with the vendor.
- d. On the last Friday of each accounting period, submit completed Form 840, *Report of Unbilled Delivery Tickets*, whenever there are any unbilled tickets on hand. Contact the vendor regarding any overdue invoices.

542.354 Economic Price Adjustments. BPAs, other than those issued under DFSC contracts, may provide for economic price adjustments during the contract term. If the BPA contains a price adjustment clause, all price adjustment invoices are sent to the P&MMSC. A price adjustment invoice is a separate bill issued by the vendor to adjust a previously issued invoice due to a change in the rate of fuel. The P&MMSC researches and validates that a change in rate is in accordance with the contract. The P&MMSC certifies invoices with upward price adjustments, if proper, and forwards to the PDC for payment, clearly marking each invoice *Price Adjustment*. If a downward price adjustment reflects a credit due, the P&MMSC requests a refund (payable to Disbursing Officer--USPS) from the contractor. Checks received are forwarded to the PDC, which credits amounts of \$50 or more to the postal installation's budget, and amounts of less than \$50 to account 44030, using finance number 10-4390 for current fiscal year refunds and finance number 10-4380 for period fiscal year refunds.

542.36 Procurement of Fuel Oil over 20,000 Gallons through DFSC

542.361 Requirements. The annual use request (DFSC Requirement Work Sheet) is sent to the servicing P&MMSC by the General Manager, Procurement Division, as soon as it is received from the Defense Fuel Supply Center. The P&MMSC Manager distributes all three copies to the local uses, who must:

- a. Check all data, including address, and make necessary corrections.
- b. Enter their requirement on all three copies (corrections must appear on all three copies).
- c. Retain one copy and forward the original plus the other copy to the P&MMSC within three working days.
- d. Prepare a separate Form 7381 for each line item using an estimated price, and forward it through channels to the P&MMSC. List persons authorized to make calls. State the call limitation, expressed in gallons (not dollar cost), at the maximum tank storage capacity.
- e. The P&MMSC collects the Requirements Work Sheet, checks to see that instructions were followed, and forwards each original to Defense Fuel Supply Center, Cameron Station, Alexandria, VA 22304-6160.

542.362 Basic Pricing Agreement

- a. Upon receipt of the contract bulletin from DFSC, the P&MMSC manager issues a BPA, in accordance with the terms of the DFSC contract bulletin and PM 4.2.5. Calls are placed to use the maximum economic delivery capacity.
- b. A separate BPA must be written for each line item. Insert 54142 in the Acct. (48-52) block of the Form 7334. Annotate *Nonmetered Heating Fuel* in the Schedule block of Form 7334. State on the BPA that the contractor is to send invoice directly to the consignee. Also state that all price adjustment invoices submitted by the contractor must show the DFSC supplement number, DFSC contract number, BPA number, original invoice number, total gallons, original price per gallon, new price per gallon, and the additional amount being invoiced. These adjustment invoices are sent to the servicing PDC. Include instructions that the contractor forward a copy of the DFSC price change authorization with the first invoice at the new price.
- c. The P&MMSC makes arrangements with the contractor to ensure that authorized personnel can obtain product delivery by placing a telephone call against the BPA. These arrangements may include written confirmation of the telephone call. The DFSC contract requires 48 hours notification prior to delivery.
- d. The vendor's delivery receipt, certified by the responsible local supervisor, is the proof of delivery document, and must be forwarded to the servicing PDC (Accounts Payable Branch) immediately upon receipt of the appropriate invoice.
- e. If the line item is shown as *pending* in the DFSC contract bulletin, requirements must be purchased locally, using the procedures of 542.34, until DFSC can place a contract. When the supplement is received from DFSC showing the new contract, a request for downward modification must be submitted by the P&MMSC to DFSC if more than 10 percent of the original requirement has been purchased locally during the interim. The servicing PDC must be notified that the local BPA will no longer be used.
- f. Following the last delivery of the DFSC BPA contract year, copy six of Form 7334 must be submitted by the P&MMSC to the PDC, stating the total number of gallons purchased.

542.363 Local Using Personnel

- a. When the P&MMSC issues a BPA against the DFSC contract, local using personnel set up a file for the Form 7334 copy and the copy of the Requirements Work Sheet. (This eventually becomes the new BPA file.)
- b. Each time a product is ordered, the authorized person enters on the call register:
 - (1) Call number.
 - (2) Date of call.
 - (3) Name of caller.
 - (4) Name of person taking the order.
 - (5) Follow-up written confirmation, if required.

- c. Upon completion of delivery:
- (1) Certify the delivery ticket (by responsible supervisor).
 - (2) Enter date of delivery, delivery ticket number, and number of gallons delivered on the call register.
 - (3) Transmit the certified delivery ticket with appropriate invoice to the PDC Accounts Payable Section.
 - (4) Forward a current copy of the call register to reach the P&MMSC not later than the Wednesday after the close of the accounting period.
 - (5) Prepare Form 840 on the last Friday of the accounting period if necessary.

542.364 Estimate. DFSC contracts allow for an overdraft or underdraft of 10 percent or 50,000 gallons, whichever is less. After the contract has been in force eight accounting periods, make a new estimate based on use and, if necessary, request a modification upward or downward through the P&MMSC. A modification upward must be requested before the limits are exceeded. After receipt of modification letter from DFSC, the P&MMSC prepares a modification to the BPA and a copy is sent to the PDC (Accounts Payable Branch).

542.37 Postal Data Center Action

542.371 Compare the delivery tickets to the invoice for gallons delivered, to ensure both documents show same quantity. If discrepancy is found, return to P&MMSC.

542.372 Verify that cost is in agreement with the price in the DFSC contract bulletin. If invoice is greater than the DFSC bulletin price, pay the bulletin

price. Post on the nonmetered fuel control worksheet the gallons, date of invoice, invoice number, and amount paid.

542.373 Make prompt payment to contractors, ensuring all applicable discounts earned are taken.

542.374 Price Adjustments

- a. Upon receipt of the price adjustment from DFSC, the PDC posts and maintains the price changes current so that the prices may be verified prior to payment. Modifications to the BPA are not required as the BPA contains, by reference, an escalation clause for price changes as part of the basic contract.
- b. Check the price adjustment invoice against the PDC copy of the DFSC contract price, and if it is in agreement with latest schedules and payment control records, indicate the adjustment claim is proper, and make payment.
- c. If quantities submitted for payment exceed the BPA estimated gallonage, PDC requires a modification to the BPA.

542.38 Storage Tank Size. A minimum transport load is 5,200 gallons. The usual commercial transport hauls 7,000 to 8,000 gallons of number 2 heating oil. When annual heating oil use is 5,200 gallons or more, a 10,000 gallon (minimum) storage tank should be provided. When annual heating oil use is less than 5,200 gallons, storage capacity should be 25 percent greater than estimated annual use. A desiccant filter should be provided on the tank vent to prevent moist air from entering as fuel is used. A two-stage water separating type fuel filter should be provided on the burner oil inlet. These provisions allow fuel oil to be purchased in maximum economical quantities.



550 Environmental Management

551 Introduction

The Postal Service is committed to sound environmental management and practices. Its primary concern is for the well-being of its employees, customers, and the communities it serves. In the performance of its mission to provide prompt, reliable, and efficient postal services to all communities, the Postal Service will conduct its activities in a manner protecting human health and the environment.

552 Regulations

552.21 General. There are more than 50,000 local, state, and federal environmental regulations. Most important among these are the following;

- a. The Pollution Prevention Act (PPA) of 1990.
- b. The National Environmental Policy Act (NEPA).
- c. The Toxic Substance Control Act (TSCA).
- d. The Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA).
- e. The Resource Conservation and Recovery Act (RCRA).
- f. The Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA, also known as Superfund).
- g. The Clean Water Act (CWA).
- h. The Clean Air Act (CAA).
- i. The Safe Drinking Water Act (SDWA).
- j. The Superfund Admendment and Reauthorization Act (SARA).

552.22 State and Local Regulations. Provisions of the Resource Conservation and Recovery Act, Clean Air Act, Clean Water Act, Safe Drinking Water Act, and others are delegated to the states for compliance, monitoring, and enforcement.

553 USPS Environmental Policy

553.1 Compliance. The Postal Service will comply with all applicable environmental laws and regulations governing its activities, and will not hesitate to exceed legal requirements when, in its judgment, it is in order.

553.2 General Policy Guidelines. In establishing postal regulations and practices, the Postal Service will, as appropriate, implement policies that:

- a. Encourage the use of nonpolluting technologies and waste minimization in the development of equipment, products, and operations.
- b. Promote the sustainable use of natural resources and protection of the environment through conservation, recycling, and reuse of material in our own processes, and as it works with customers in the preparation of mail.
- c. Include environmental considerations among the criteria by which projects, products, processes, and purchases are evaluated.

- d. Develop in postal employees an awareness of environmental responsibilities, and encourage their adherence to sound environmental practices.
- e. Maintain an ongoing assurance program to measure progress toward meeting postal environmental objectives.

553.3 Scope. These policies apply to all postal employees, programs, products, and services.

554 Implementation

554.1 General. In October 1990 Congress passed the Pollution Prevention Act, establishing a nationwide policy "...that pollution should be prevented or reduced at the source whenever feasible; pollution that cannot be prevented should be recycled in an environmentally safe manner, whenever feasible; pollution that cannot be prevented or recycled should be treated in an environmentally safe manner, whenever feasible; and disposal or other release into the environment should be employed as a last resort...."

554.2 Phases. Specific instructions for implementing recycling are covered in Handbook AS-550, *USPS Recycling Guide*. Instructions related to waste minimization, clean air, clean water, radon, toxic/hazardous waste, lead, and drinking water are in the planning stages and will be issued as separate handbooks.

555 Responsibilities

555.1 General. The Postal Service is legally and socially responsible for safely managing the materials used in its operations and the waste it produces. Environmental programs are mandatory where required by law and recommended elsewhere. Since these programs may apply to all facilities, all administrative and operational activities must, to the maximum extent possible, participate in sound environmental management and practices to conserve energy and natural resources.

555.2 Headquarters

555.21 Program Direction and Implementation. The Senior Assistant Postmaster General, Administrative Services Group, is the Chief Environmental Officer for the Postal Service, and is responsible for the overall development and implementation of environmental management programs.

555.22 Development of Policies and Methods. The Environmental Management Division, Administrative Services Group, is responsible for developing policies, programs, and methods for compliance with applicable environmental laws and regulations.

555.23 Regions. Regional Environmental Steering Committees must ensure participation at all levels of the field organization, and are responsible for program development, implementation, tracking, monitoring, and evaluation.

555.2 Field

555.21 Field Divisions. General managers/postmasters must designate an environmental coordinator to develop, track, and monitor individual environmental programs at all levels of their organization.

555.22 Associate Offices, Stations, and Branches. Postmasters, station managers, and supervisors must form environmental teams, establish environmental pro-

grams, and encourage employee participation at smaller offices. These offices must make every attempt to operate in accordance with laws/ordinances and should participate in municipal programs. If there are no local programs, managers should explore other ways to protect the safety and health of employees, general public, and the environment. They are also encouraged to conserve energy and natural resources.

Chapter 6 Support Services

610 Research

611 Policy

The USPS conducts a long-term program of research and development in applications of high technology and operations research to advance its goals of achieving greater efficiency by significantly limiting costs, providing excellent quality service to its customers in order to maximize their satisfaction and enhancing the abilities of its employees.

612 Responsibilities

The Technology Resource Department (TRD) is responsible for implementing the policy through its two offices, supported by the Technology Resource Center (TRC) and other Postal Research Centers of Excellence.

612.1 Office of Advanced Technology (OAT).

The OAT is responsible for:

- a. Conducting research into postal applications of new technologies and techniques; developing systems to demonstrate the results of that research; and transferring the developed technology to the Engineering and Technical Support Department, the Information Resource Management Department, the Facilities Department, and other organizations deploying technology. The OAT, using TRC staff support, defines the research requirements and directs contractors in performing the work according to those requirements.
- b. Identifying technical developments, new technologies, and new techniques for postal applications, through direct investigation and participation in technical peer group activities and technical interchange with industry, academia, research institutions and other postal administration researchers.

612.2 Office of Operations Research and Systems Requirements (ORSR). The ORSR is responsible for:

- a. Performing operations research studies and analyses of postal functions and, on the basis of that

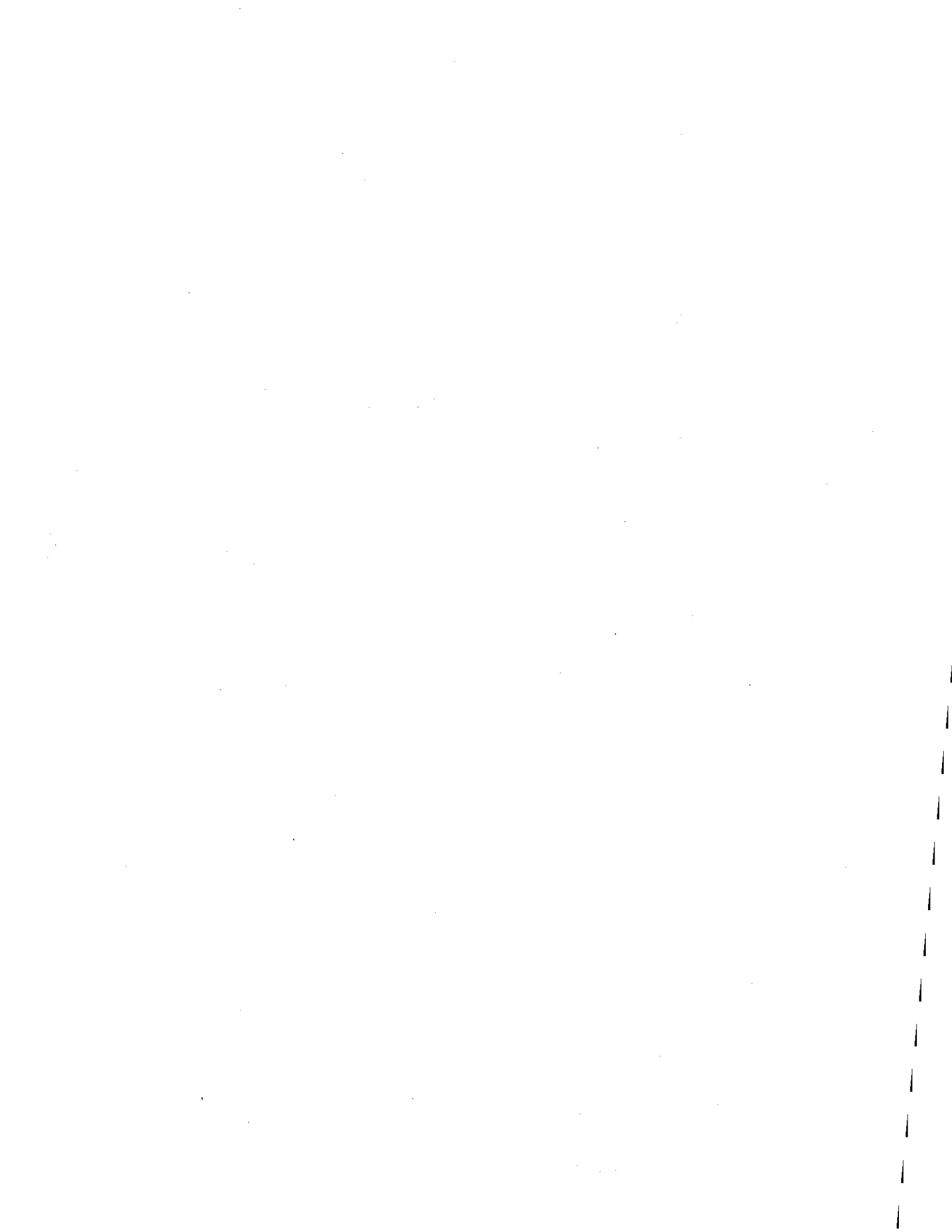
research, defining new systems concepts and developing and demonstrating those concepts and transferring the resultant products to the functional departments for their use. ORSR defines the requirements for this research and directs the TRC and other contractors in performing the work according to those requirements.

- b. Conducting on-going technology planning, using TRC support, and annually publishing a long-range technology development plan consistent with USPS business projections and objectives.
- c. Managing the TRC, an organizational component of TRD.

612.3 Technology Resource Center (TRC). The TRC is a USPS-funded contractor-operated organization solely dedicated to supporting all TRD projects and programs, as well as other USPS projects and programs, with operations research, systems engineering, and technical assistance.

612.4 Postal Research Centers for Excellence. As the opportunity arises, the TRD will establish Postal Research Centers of Excellence. These centers will function as a USPS-funded center, dedicated to supporting the long-term technology objectives of the Postal Service. These agreements may be cooperative in nature and may include the participation of other organizations, public or private. These centers will be directed by an advisory group composed of a minimum of three USPS officers.

613 Technology Advisory Board. The TRD will solicit the advice of external technology experts through the Technology Advisory Board. The Board will focus its attention on the Strategic Technology Initiatives and will provide its comments and advice directly to the Postmaster General and the Assistant Postmaster General (APMG), Systems. The APMG, TRD, acts as the executive director of the Board.



620 Operations Methods and Systems

621 Policy

The Postal Service's policy is to maintain an industrial engineering capability to support management in the achievement of its service, productivity, fiscal, safety, quality, and operational goals and to provide technical expertise for the solution of Postal Service problems.

622 Responsibilities

622.1 Office of Operations Methods and Systems

- a. Establishes Postal Service policy, develops, manages, and assures compliance with industrial engineering, and operating systems.
- b. Directs efforts to improve operating methods in distribution, delivery, and retail functions.
- c. Establishes goals and priorities and defines the scope and direction of industrial engineering programs including the following methodologies: operations research, methods improvement, system reliability, value analysis, volume forecasting and scheduling, work measurement, mechanization and manpower utilization, configuration control, and related affects on human resources.
- d. Administers the allocation of resources for the industrial engineering function.
- e. Provides technical direction to field engineering units in support of industrial engineering programs and standards.
- f. Insures the establishment of data collection and tracking systems to monitor field implementation of industrial engineering programs and policies.
- g. Coordinates the integration of industrial engineering functions into the strategies of the Operations Support Group, and with other Headquarters functional areas.

622.2 Distribution Methods Division

- a. Designs distribution programs and systems through use of industrial engineering principles such as methods improvement, performance and economic analysis, volume forecasting, work measurement, employee scheduling and staffing, employee and equipment utilization, and operating data reporting systems.
- b. Recruits, selects, and trains new field industrial engineering employees.
- c. Establishes guidelines and policies governing the application of industrial engineering programs to automated, mechanized and manual distribution systems including the use and application of materials handling systems and workplace layout.
- d. Work closely with field and headquarters units to develop, evaluate, monitor, and communicate procedures which insure nationwide effectiveness in the application of work methods and techniques related to automated, mechanized, and manual distribution systems.
- e. Establishes and controls national data to be used in developing standard times for evaluation of

systems and equipment related to distribution systems.

- f. Develops and recommends policy on establishment of computerized techniques for determining productivity rates related to distribution systems.

622.3 Delivery and Retail Methods Division

- a. Designs retail and delivery programs and systems using industrial engineering and operations research techniques including methods improvement, work measurement and data analysis for employee scheduling, staffing and utilization.
- b. Establishes guidelines and policies governing the implementation of industrial and systems engineering programs, principles and techniques related to delivery and retail programs.
- c. Works closely with field units to develop, evaluate, monitor, and communicate procedures which insure nationwide effectiveness in the application of work methods and techniques.
- d. Coordinates related industrial engineering policies and procedures with other headquarters functions.
- e. Establishes and controls national data to be used in developing standard times for evaluation of systems and equipment related to delivery and retail programs.
- f. Develops and recommends policy on the establishment of computerized techniques for determining productivity rates related to delivery and retail programs.

622.4 Operations Management Systems Division

- a. Designs production management programs and systems involving simulation models, volume forecasts, employee scheduling and staffing, production control, and data reporting.
- b. Establishes guidelines and policies governing the implementation of industrial engineering systems and programs including methodologies related to operating management systems.
- c. Establishes, evaluates, and monitors field industrial engineering objectives, performance standards, requirements, and projects related to operating management systems.
- d. Coordinates related industrial engineering policies and procedures with other Headquarters functions.
- e. Develops systems to support field industrial engineering programs including volume forecasting, employee scheduling and staffing, production control, and data reporting.
- f. Applies operations research and related quantitative techniques to design models and simulations to mail processing, delivery systems, and transportation networks.
- g. Provides assistance to field teams in resolving computer-related problems on national programs for which the division is responsible.
- h. Develops, implements, and maintains configuration control over large and complex national computer-based programs to improve productivity and service.

- i.* Provides consulting assistance and technical guidance to other Headquarters units on computer simulation relating to industrial engineering programs.

622.5 Engineering Technical Units (ETUs)

- a.* ETUs are established in field divisions and report to the Field Director of Operations Support. In the Bulk Mail Centers, the ETUs report to the Directors of Control and Logistics; and in MSCs they report to the Director, Operations Services. The industrial engineering capability at the field postal facility level resides in the ETUs.
- b.* Under the direction of the Field Director of Operations Support, ETUs are responsible for the implementation of headquarters industrial engineering programs and providing technical solutions for unique field problems. Technical guidance and policy direction are provided by the Headquarters Office of Operations Methods and Systems.
- c.* The ETU is responsible for improving productivity and reducing costs in all functional areas of the postal facilities, stations, branches, detached units and associate offices. This unit is responsible for the establishment and implementation of local programs to improve service, reduce costs, improve productivity, improve quality and assure that safety requirements are met. The local ETU will design and develop the necessary industrial engineering solutions to resolve local problems.

630 Advertising and Account Services Department

631 Background

631.1 Policy

631.11 The Department's primary charter is to ensure that the needs and requirements of its customers are considered and satisfied in the implementation of postal products and services in order to meet Postal Service corporate objectives for financial and service performance. In addition to meeting customer needs and providing customers the opportunity to achieve their objectives through the Postal Service, the Advertising and Account Services Department gathers and releases, among postal managers, information and data relative to the marketplace; i.e., customers, competition, and markets.

631.12 Within the Postal Service, the marketing approach is a management orientation whose primary task is to determine the needs, wants, and values of existing and potential customers in order to have the organization develop and deliver the services that satisfy these needs.

631.13 It is USPS policy to maintain regular contact with its business customers to generate revenues, communicate policies and procedures, and assist mailers towards the effective use of USPS products. The Advertising and Account Services Department meets these customer requirements through diverse marketing strategies at each level of the organization.

632 Responsibility

632.1 General. At the national level, the Advertising and Account Services Department is segmented into three interdependent management areas that have been established to achieve USPS objectives. They are:

632.11 Office of Market Research and Systems Management. Provides information and data on customers' needs, attitudes, and use of the mails. Develops recommendations for management action. Provides information on performance against objectives. Conducts ongoing evaluation of the entire product and service offerings and recommends necessary changes. Principal organizations within this Office are the Market Research Division and the Systems and Administration Branch.

632.12 Office of Product Marketing. Manages, develops, and promotes postal products and services which generate revenue, reduce operating costs, and improve customer satisfaction. Principal organizations within this Office are the Expedited Mail, Regular Mail, Market Development, and Creative Services Divisions.

632.13 Office of Field Marketing. Manages and directs national sales and marketing strategies among postal customers. Provides guidance, support, and direction to field marketing personnel to assist in efforts to gain

customers acceptance and use of Postal Service products and services. Principal organizations within this Office are the National Accounts, Commercial Accounts, and Sales Conference Management Divisions.

632.2 Office of Product Marketing. The Office Product Marketing consists of:

- a. Expedited Mail Services--The Expedited Mail Services Division is responsible for the planning, design, implementation, and performance of expedited mail services; i.e., Express Mail service, Priority Mail service, Fourth Class Mail, Special Delivery, and Mailgram.
- b. Regular Mail Service--The Regular Mail Services Division is responsible for the planning, design, implementation, and performance for First-Class, second, and third - class Mail, including automation and addressing projects. This Division also serves as program management for new or expanded services that fall within the regular mail category.
- c. Market Development Division--The Market Development Division develops, plans, and manages marketing programs and serves as product manager for existing, new, or expanded international mail services (air and surface mails, Express Mail International Service, International Priority Air-mail, International Surface Airlift and Intelpost).
- d. Creative Services Division--The Creative Services Division is responsible for the development and execution of promotional programs to support the sales and volume objectives of the Advertising and Account Services Department and Philatelic and Retail Services Department; i.e., Express Mail, Automation, Philatelic and Retail Products, Priority Mail, and International Mail.

632.3 Office of Field Marketing. The Office of Field Marketing consists of:

- a. National Accounts Division--The National Accounts Division is responsible for the long term Account Management process at the highest corporate level to the USPS' top customers.
- b. Commercial Accounts Division--The Commercial Accounts Division is responsible for providing guidance, support, and strategic direction to the field marketing organizations for the successful management of eight million business accounts.
- c. Sales Conference Management Division--The Sales Conference Management Division is responsible for the execution of customer outreach/mailee liaison and group selling activities. Specifically, it manages the functions and policies of the National Postal Forums, the Postal Customer Councils (PCCs), and the Mailers Technical Advisory Committee (MTAC).

632.4 Office of Market Research and Systems Management. The Office of Market Research and Systems Management consists of:

- a. Market Research Division--The Market Research Division is responsible for the development and completion of market research studies on products and services, identifying conditions and develop-

ments in the marketplace, public perceptions, and opportunities for new and improved services, increased revenues, and reduced costs. It also is responsible for an ongoing evaluation of the services in order to improve revenues, increase customer satisfaction, and reduce costs.

- b. Systems and Administration Branch--The Systems and Administration Branch is a support function of the Advertising and Account Services Department. It supports the day-to-day management of major products and services through the development, implementation, and maintenance of marketing information and administrative systems.

633 Marketing/Sales Management

633.1 Marketing Plan. Marketing management in the Postal Service includes market research, market and product analysis, customer feedback, market and product planning, sales, advertising, and promotion. The Director, Office of Product Marketing, and the Assistant Postmaster General, Advertising and Account Services Department, approve all plans. The basis for the marketing activities is the national marketing plan. The format for the plan is as follows:

- a. Situation Analysis
- b. Objective
- c. Strategies:
 - (1) Product
 - (2) Price
 - (3) Place (Distribution Channel)
 - (4) Promotion (Advertising, Direct Mail, Sales, Publicity)
- d. Tactics (Detailed Action Steps)
- e. Measurement System
- f. Budget

633.2 Execution of Plans

633.21 Headquarters. Headquarters develops the action steps relating to the changes in the service, the price, and national advertising, promotion, and publicity. It develops literature and sales support materials for the field.

633.22 Regions. Regions are the administrative channel through which the national marketing programs are distributed. They are the direct support groups for the management sectional centers.

633.23 General

633.231 *Divisions and Management Sectional Centers.* Divisions and Management sectional centers are responsible for the direct selling and servicing contact with customers. The Account Representatives are the key individuals responsible for the customer contact.

633.232 The Account Representatives give priority to larger customers and special and/or important customers. Customers not given priority and not assigned directly to an Account Representative are to be contacted by associate postmasters and delivery and station managers in addition to indirect selling tactics.

633.233 Contact with customers should be, as appropriate, by letters, telephone, customer meetings, or personal visits.

633.24 Basis for Market Analysis. An analysis must be prepared to justify committing major market staffing and investment to develop new services. This includes information concerning customer requirements, the technical possibilities, potential opportunities and risks. If necessary, market research should be requested to obtain information necessary for service development.

633.25 Development and Testing

633.251 *Approval.* Once a new service or modification of an existing service has been developed, it must be approved by the applicable affected departments and reviewed by the Services and Prices, and Operations PACs, and as appropriate, the Senior Management Committee before an operations or market test is implemented.

633.252 *Support to Field.* ARs provide field support for these tests. Promotional materials must be developed to explain the service to potential customers. The *Postal Bulletin* is the official directive to all field personnel. The *Account Representative Communicator* is used to disseminate more detailed information to marketing field personnel.

633.26 Test Results. The market and operations test results help determine customer acceptance and use of a service, USPS capability of providing the service, and the cost and value of the service.

633.27 National Implementation. Services that are test marketed successfully are approved by management before implementation nationally.

633.3 Elements of Marketing Program Management

633.31 Market Research Preliminary Review. A preliminary estimate of markets, costs, and benefits for a new mail service or expansion of a currently established mail service must be made by market research and marketing program managers before any other activity occurs. Further action beyond such preliminary estimation may begin only upon approval of the Director, Office of Product Marketing.

633.32 Preliminary Marketing Program. A preliminary program must be developed which includes an operations plan, finance plan, and a marketing plan.

633.33 Budget and Other Resources. A budget for the development of a new or modified service must be prepared, so that a return on investment may be estimated. Resources to be considered include capital investment, promotion, training, and costs of notifying employees of the new operating procedures. As appropriate, budgets must be approved through either the capital or non-Capital Decision Making Review process. Resources (equipment and employees) identified in an approved budget must be provided by field offices as requested. Training programs, however, are established by Headquarters.

633.34 Program Manager. A marketing program manager is assigned to each of the marketing programs under development by the Office of Product Marketing. This individual is responsible for coordinating all activities relating to the programs, both at Headquarters and in the field.

633.35 Marketing and Sales Objectives. Marketing and sales objectives are stated in terms of volume, revenue, and cost contribution (as appropriate) for the first year of operation and for a 5-year projection period. These objectives are updated annually.

633.36 Site Selection. Market tests are optional and, if used, may involve several test sites. Site selection for such tests depends on a number of factors, including market information, operation capabilities, and financial considerations. Cost studies are conducted in support of these tests. Local managers are responsible for assuring that procedures established for the studies are followed.

633.37 Publicity. All promotion and publicity for any market test must be approved by the Advertising and Account Services and/or Communications Department.

633.38 Rate Development. The marketing program manager develops a proposed rate structure based on marketing considerations. This structure is submitted to the Law Department and the Rates and Classification Department which determine the rate structures and procedures.

633.39 Field Relationships

633.391 Field Directors, Marketing and Communications managers are responsible for ensuring that all materials relating to marketing programs are read and understood by involved personnel and ensuring that all data collection or measurement activities are performed correctly.

633.392 All suggestions or requests for assistance should be sent through appropriate channels to DIRECTOR, OFFICE OF FIELD MARKETING, ADVERTISING AND ACCOUNT SERVICES DEPARTMENT, UNITED STATES POSTAL SERVICE, 475 L'ENFANT PLAZA SW, WASHINGTON DC 20260-6344. Field input concerning the operation of any new or existing program under the responsibility of this Office is encouraged.

634 Advertising Services

634.1 Policy. The Postal Service uses advertising to support programs to increase revenue and volume, improve service, and reduce operating costs. The USPS develops advertising only for an approved high priority program with an approved budget.

634.2 Responsibility. Advertising is a specialized activity, considered only for programs with a high priority. Office of Product Marketing is responsible for all paid and public service advertising.

634.3 Types

634.31 Paid Advertising. The USPS pays for production and media time and space.

634.32 Public Service Advertising. The USPS pays to produce materials. Broadcasters and publishers donate free radio and television time and print space.

634.4 Support. Requests for support should be coordinated through the managers, Merchandise and Promotion, at the field level. Questions on advertising activities and requests for advertising support should be addressed to:

GENERAL MANAGER CREATIVE
SERVICES DIVISION ADVERTISING AND
ACCOUNT SERVICES DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON, DC 20260-6333.

634.5 Advertising Plan

634.51 Format. Once the development of a national advertising plan is approved, the specified format for advertising is:

- a. Product or service description
- b. Specific objectives of program
- c. Advertising strategy
- d. Creative proposal
- e. Media plan
- f. Research plan
- g. Budget

634.52 Clearance and Approval

634.521 Initial clearance of an advertising program is by the product area for which the advertising will be conducted. Second level clearance is made by the Creative Services Division, with final clearance of the APMG, Advertising and Account Services Department.

634.522 After APMG approval, a copy is sent to all Departments that would be affected by the program. *All advertising programs must be cleared with the Law Department.*

634.523 Subsequent advertisements developed under an approved program also require Law Department clearance, and are sent to other departments for clearance or information, depending on the program. This includes any advertising developed in the field.

634.6 Advertising Research. Any requests for market research required to develop or evaluate advertising activities must be submitted to the Office of Market Research and Systems Management.

634.7 Advertising Agency Management

634.71 Assignments. All advertising agency assignments are approved by the Creative Services Division and assigned by the contracting office or the contracting officer's representative.

634.72 Budgets. Separate budgets must be established for each program so costs are accountable to each separate program budget.

634.73 Reviews. Quarterly reviews are scheduled so that all active programs may be monitored. The contracting agency presents their activities to Advertising and Account Services Department for a quarterly review.

635 Market Research

635.1 Policy. It is USPS policy to collect market research information on a wide variety of postal and postal related subjects. Market Research is an ongoing function which is intended to improve Marketing's contribution to corporate decision making by providing information on customers, services, and competitors.

635.2 Responsibility The Market Research Division conducts market research. The design, development, and testing of research methods and associated data collection instruments or procedures relating to market research are the responsibility solely of this office.

635.3 Types. Primarily, two major activities are coordinated within the Market Research Division. They are: (1) market research studies on services, customer servicing, and public perceptions and (2) market analysis to support product line restructuring.

635.4 Problem Definition Statement. This statement should include the following basic elements:

- a. Purpose of research.
- b. Target audience identification.

- c. Nature of information required.
- d. Period of data collection.
- e. Other sources of information.
- f. Level of analysis required.
- g. Report timing and presentation.

635.5 Requests for Market Research

635.51 Submission. A format for a market research request is provided by the Research and Analysis Branch, and is submitted with the request. This document must be completed and approved by the Office of Commercial Marketing before research design begins.

635.52 Content. Research requests should generally be associated with formal and approved action plans, and must reflect such association in detail.

635.53 Modification. Modifications to research requests should be submitted before the initiation of the study.

635.54 Funding. Organizations requesting market research studies must transfer in funds required for data collection and tabulation activities. The Market Research Division provides an estimate of costs when the research methodology has been designed.

635.6 Report. The Market Research Division prepares a summary presentation and a research report when data information analysis is completed. Further distribution of this information is the responsibility of the requesting group.

640 Stamp and Philatelic Marketing

641 Policy

It is USPS policy to develop, implement, maintain, and monitor programs to promote the sale and retention of stamps and allied philatelic products through merchandising, product research, sales reporting, and new product development.

642 Responsibility

The Office of Stamp and Philatelic Marketing, Philatelic and Retail Services Department, develops and manages all philatelic products and promotion-related philatelic programs, and develops new markets for stamps and products.

643 Program Structure

643.1 Retail Marketing

643.11 Commemorative Stamps. Commemorative stamp marketing builds awareness for new commemorative issues and encourages individuals to collect stamps. All new commemoratives are promoted in postal retail lobbies using point-of-purchase merchandising material. Selected commemoratives are used as subjects for television news features and for print advertising. Commemorative stamp retention revenue is determined by independently conducted retention surveys.

643.12 Philatelic Merchandising. Philatelic merchandising is the management of activities for developing and selling the philatelic product line at selected retail postal facilities. These activities include development of:

- a. Point-of-purchase display materials;
- b. Seasonal advertising and merchandising;
- c. New philatelic products;
- d. Methods to expand retail business opportunities;
- e. Lobby promotion events designed to increase short-term sales of specific philatelic products and;
- f. Two methods are used to monitor philatelic products sales, inventory, and performance:

- (1) One system, which uses the quarterly Form 1079 *Philatelic Product Physical Inventory Recap (FY 1990, PQ II)*, is maintained to provide detailed inventory information on each philatelic product. This report also compares on an annual accumulative basis (or year-to-date), philatelic product revenues against the sales objective, and against the same reporting period from the previous fiscal year. The report provides summarized information by MSC, Division and Region.

- (2) In addition, a Regional Philatelic Products Report is prepared each accounting period based upon data supplied by each postal retail facility on their Form 1412-A/Daily *Financial Report*. It also provides sales from operations handled under the Philatelic Sales Division.

643.13 Youth Programs. Postal Headquarters encourages youth stamp collecting by providing guidance to postal personnel and by preparing educational and informative materials for distribution. Each postal facility promotes and maintains this interest in philately through such programs as the Benjamin Franklin Stamp Club and Stamp Camp.

643.14 Philatelic Centers. The philatelic center program involves a network of designated special sales facilities which are established in postal retail facilities. These outlets, or Philatelic Centers, accommodate the unique requirements of the approximately 20 million U.S. stamp collecting customers, and provide a high-quality, personalized service to this market. Outlets are located in major post offices and range from a self-contained facility or retail area in or near the customer lobby, to a window clerk position designated to operate as a Philatelic Center. Each designated facility offers the same specialized products and services and is identifiable by the special signage and merchandising displays. Operational guidelines and establishment criteria for Philatelic Centers are found in Handbook P0-201, *Philatelic Center Operations Guide*.

643.2 Direct and International Marketing

643.21 Mail Order Marketing. The Philatelic Sales Division, a Headquarters-related field unit in the Office of Stamps and Philatelic Marketing, fulfills mail order requests and subscriptions for stamps and philatelic products, and provides cancellation services for philatelists and philatelic dealers. (See POM 243.4).

643.22 Subscriptions. Subscription marketing is the sale of stamps or philatelic products by automatic, scheduled distribution to customers. The four subscription programs include: Souvenir Pages, Commemorative Panels, Commemorative Stamp Club, and the Standing Order Service.

643.23 International. International marketing consists of:

- a. Participating in international philatelic exhibitions, where the USPS offers mint stamps and philatelic products for sale to foreign customers who attend these exhibitions, and
- b. Managing all USPS marketing representatives in foreign countries to sell USPS stamps and philatelic products to customers in foreign countries and territories.

Chapter 7

Procurement and Supply

710 Procurement

711 General

711.1 Policy

711.11 Overall procurement policy is contained in Publication 41, *Procurement Manual* (PM), issued by the APMG, Procurement and Supply Department, under Title 39, U.S. Code, and the delegation at 39 CFR 224.1(c) (!). The PM applies to all Postal Service purchasing activities, except for those listed in 711.2.

711.12 The APMG, Delivery, Distribution, and Transportation Department, is responsible for procurement policies and procedures which are unique to mail transportation.

711.13 The APMG, Facilities Department, is responsible for procurement policies and procedures which are unique to real property and related services.

711.2 Exceptions The PM applies to all purchases and contracts made by the Postal Service except the following types of purchases:

- a. Official travel procured with U.S. Government Transportation Requests. These must be in accordance with specific regulations and instructions issued by the APMG, Department of the Controller.
- b. Leases of real property are governed by the regulations in the PM only to the extent specifically stated.

711.3 Revisions and Availability

711.31 Revisions to the PM are published and distributed to all holders.

711.32 Subscriptions to the PM are available to the public through the Superintendent of Documents, Government Printing Office. The PM may be referenced at the USPS Headquarters Library and the five regional Procurement and Materiel Management Service Centers.

711.4 Procurement and Purchasing Authority and Responsibility

711.41 National, regional, and division procurement authority are delineated in the PM and Handbook AS-707, *Procurement Handbook*. For information on requirements approval authority, see Management Instruction FM 120-87-4, *Requirements Approval Authority* (*Capital/Expense*).

711.42 Local purchasing authority is delegated as shown in Exhibit 711.42. Redelegation by the Regional Postmaster General is not required. Authority

may be redelegated in writing to subordinate members of the same organization (e.g. vehicle maintenance facilities). See Handbooks F-1, *Post Office Accounting Procedures*, and F-19, *Accountability of Disbursing Officers*, for fiscal policies and procedures concerning cash fixed credit and imprest funds.

711.43 Local purchasing authority may not be used when sound fiscal management principles make another form of procurement more advantageous to the Postal Service. Local purchasing authority also may not be used for the following requirements:

- a. To obtain capital equipment.
- b. To obtain items available from the materiel distribution centers.
- c. To obtain supplies or services on a continuing basis if there is a more economical method of procurement (e.g. a basic pricing agreement).

711.44 Local purchases may be made (a) only by authorized delegated employees, who have been delegated this authority in writing; and (b) only at the most reasonable prices available. For purchases over \$2,000, at least three sources should be solicited. Purchases over -\$15 must be supported by a document itemizing the purchase. Cash payment requires a signed receipt from the supplier to acknowledge payment. Payment may include delivery/freight charges of \$100 or less.

712 Local Procurement Procedures

712.1 General

712.11 The procurement of supplies, repair parts, vehicle parts, services and equipment has been centralized at Divisional Support Services Offices (DSSOs), and the Procurement Service Offices (PSOs) and Procurement and Materiel Management Service Centers (P&MMSCs). Authorities for procuring, warehousing, and safeguarding postal supplies and property are contained in the PM, Handbook AS-701, *Materiel Management Handbook*, and Handbook F-26, *Property Accounting*.

712.12 Postmasters having questions concerning procurement should consult their Division Support Services Office.

712.2 Services

712.21 General. Requirements for services usually include activities related to maintenance of equipment within the facility and to general cleanliness and upkeep, and those necessary to maintain postal operations. Examples of these kinds of services are food service, cleaning, elevator maintenance, trash removal, pest control, and water treatment.

712.22 Requirements. The servicing procurement organization must receive a requirement for service in sufficient time to permit proper solicitation and contract award. Usually, this process takes at least 90 days from receipt of requirement to award of contract. Therefore, the requiring office must ensure that the servicing procurement organization receives the requirement in sufficient time. To begin the process, the requiring organization must provide the following:

- a. Form 7381, *Requisition for Supplies, Services or Equipment*, with detailed specifications for the required service, and
- b. A recommendation of prospective suppliers deemed capable of providing the service.

712.23 Emergencies. When emergencies arise, postmasters must contact their MSC before coordinating emergency procurement actions with the servicing procurement organization.

712.3 Supplies

712.31 Common Items. Sectional centers and CAG A-D post offices order normal operating supplies of common items direct from the General Services Administration (GSA) under the provisions of the Federal Standard Requisitioning and Issue Procedures (FEDSTRIP).

712.32 Unique USPS Items. All post offices may requisition unique USPS supply items and USPS forms and directives from their supporting materiel distribution center.

713 Fuels and Utilities

713.1 Metered Postmasters in CAG A-L post offices pay metered fuel and utility bills as local payments.

713.2 Nonmetered Heating Fuel and Utilities (See 542)

713.3 Bulk Vehicle Fuel

713.31 Procurement Support. By joint Interagency Agreement the Defense Fuel Supply Center (DFSC), Defense Logistics Agency (DLA), furnishes procurement support to the Postal Service for federal/military specification petroleum products (gasoline, gasohol, kerosene, diesel and burner fuel oil). USPS receives these products into inventory and subsequently charges them to the proper expense account as they are consumed. This is necessary for the development of an accurate cost for various cost groups of vehicles.

713.32 Authorizations. PM. 3.1.5.d. and Handbook AS-707, 3.1.5 contain the general procedures for the procurement of fuel.

713.33 Contracting Methods

713.331 Indefinite Delivery Contracts have replaced Basic Pricing Agreements (BPAs) as the contracting method for annual fuel requirements of 20,000 gallons or less.

713.332 Delivery Agreement

- a. A Delivery Agreement (DA) is an agreement established against a controlling contractual arrangement which allows delivery orders to be placed by

Purchases of	Level of Authority	Dollar Limit per transaction
Services & supplies (noncapital & not available from materiel distribution centers or other authorized sources)	Regional Postmaster General/Regional Chief Postal Inspector	\$2,500
	Field Division General Manager/Postmaster and MSC Manager/Postmaster (may approve local purchases to this limit by offices under their functional authority)	2,000
	Inspector in charge	1,500
	GAGs B-J (non-divisions) Postmaster; Bulk Mail Center; Manager, Mail Equipment Shop; Director, Postal Distribution Center; Director, Maintenance Technical Support Center	1,000
	CAG K Postmasters	500
	CAG L Postmasters	100
	Minor facility repair and improvement (expense funds)	Same authority and dollar limit as for supplies, services, and noncapital equipment, except: GAG K Postmaster; Station and Branch Manager

Exhibit 711.42 Local Purchasing Authority

telephone call, over-the-counter request, or letter instead of by written order.

- b. DAs have generally replaced BPAs as the contracting method for annual fuel requirements in excess of 20,000 gallons. The DLA and the USPS have agreed to use these procedures to order bulk fuel at each postal facility. In the event of any contractual problem (vendor default, wrong product, etc.), the DFSC contracting officer is the only person authorized to negotiate with the contractor or terminate the contract.
- c. Individuals designated to place orders are identified either by name or by position title. The controlling contractual arrangement generally describes the supplies and/or services which can be provided, the prices or the methods for determining the prices, and the delivery terms and conditions, or specify how they will be determined. The use of DAs should be considered when repetitive orders are anticipated since they can significantly reduce paperwork and administrative costs.
- d. *Restrictions.* The following restrictions apply to the use of DAs:
 - (1) DAs cannot be used to acquire capital equipment.
 - (2) The term of a DA cannot exceed the term of the controlling contractual arrangement.
 - (3) Individual orders and maximum orders may not exceed the limits established in the controlling contractual arrangement.

713.34 Support

- a. *Quantity.* The USPS and DFSC have agreed that it is mutually beneficial for the USPS to procure annual requirements of less than 20,000 gallons locally. Those annual requirements which exceed 20,000 gallons must be submitted through the DSSO to DFSC for procurement unless the DFSC authorizes the DSSO to purchase the product locally.
- b. *Orders.* Orders are authorized at the maximum tank capacity (specified in gallons, not dollars) as listed in the applicable DFSC *Contract Bulletin* for that installation (see PM 4.2.5.e.4).
- c. *DFSC Contract Quantity.*
 - (/) The maximum contract quantity that may be ordered by USPS, or that the contractor may deliver under any line item, is double the estimated DFSC contract quantity or the estimated contract quantity plus 30,000 gallons, whichever is less. Quantities exceeding this maximum for each year of the contract may not be ordered.
 - (2) The minimum quantity that USPS guarantees to purchase under a DFSC contract during the term of the contract is \$100 per year.
 - (3) When additional volumes are under 20,000 gallons, the DSSO is authorized local purchase authority. When the additional volumes required exceed 20,000 gallons, the DSSO may request local purchase from the DFSC contracting officer, or DFSC may amend the contract accordingly.

713.35 Vehicle Fuel

713.351 Gasoline. DFSC solicits either gasohol (product code 25) or unleaded regular (product code 29). If the price of gasohol is equal to or less than that of unleaded regular, the DFSC contract must be awarded for gasohol, unless the requiring activity requests a deviation for unleaded regular only and the request is approved by DFSC. DFSC recommends at least one fill per month when using gasohol. If anticipated use of fuel is 8,000 gallons or less per month, specify unleaded gasoline, product 29. (The annual use would be 96,000 gallons or less.) If anticipated use is 8,001 gallons or more per month, specify either gasohol, product 25, or unleaded gasoline, product 29.

NOTE: Leaded gasoline *must not* be used as postal vehicle fuel.

713.352 Diesel. Number 2 diesel, product 34, must be specified.

713.36 Procedures

713.361 Vehicle Maintenance Facility (VMF) Personnel

a. Requirements Work Sheet

- (1) The Requirements Work Sheet is supplied annually by DFSC to the Procurement and Materiel Management Service Center (P&MMSC). This is then provided to the DSSO who, in turn, sends it to the Manager, Fleet Operations. The Manager enters the annual requirements for the Vehicle Maintenance Facilities (VMF) under his or her control and returns the *Requirement Work Sheet* through the DSSO to the P&MMSC.
 - (2) The Requirements Work Sheet becomes the authorized request for procurement action. When the DSSO is notified by DFSC of the contract status, the DSSO issues a separate DA for each line item awarded. When DFSC is unable to award a contract, the item will be listed as "PENDING" in the DFSC *Contract Bulletin*. This authorizes the DSSO to use local procurement procedures in issuing an Indefinite Delivery Contract for an interim quantity of the product using the *DFSC product specifications*.
- b. *Form 4626.* Each time a product is ordered, the authorized VMF person enters the required information of Form 4626, *Vehicle Fuel and Motor Oil Purchase Record*, as instructed on the reverse of the form. The following procedures will be followed:
- (/) Use each form until all lines are filled or until the end of the fiscal year. Number the sheets consecutively.
 - (2) At the close out of each accounting period (AIP), draw a heavy black line across the full width of the sheet under the last entry for the AIP.
 - (3) At the end of each AIP, send either a carbon or photocopy of the form showing all entries of the AIP to the DSSO.
- c. *Delivery Ticket/Invoice.* Each Delivery Ticket/Invoice must be:

- (1) Certified that quantity and product are correct. The gross and net gallonage, the initial and corrected API gravity and the temperature at which the product was measured must be indicated on the shipping document accompanying the delivery, except when loading is accomplished by a temperature compensating meter; then, the shipping documents must be annotated with the gravity group, net quantity, and a statement that temperature compensating meters were used to determine quantity.
 - (2) Identified by the Order Number and DA number on the face.
 - (3) Forwarded to the respective Postal Data Center (PDC), Accounts Payable Section, no later than the next work day by attaching a Form 4509, *VMF Inventory Purchase (Keypunch)*.
- d. Prepare a separate Form 4509 for each Delivery/Ticket Invoice for bulk deliveries of:
- (I) gasoline - 1190;
motor oil- 1191;
diesel fuel • 1193;
gasohol - 1194.
- e. Complete the Form 4509, as follows:
- (1) *Date* - Transmittal date.
 - (2) *Type* • Check *Purchase Order*, or *DA* as applicable.
 - (3) *No.* • The 13 digits of the contractual document.
 - (4) *Contractor* - Name of supplier.
 - (5) *Delivery Ticket/Invoice Number* • Contractor's **Identification Number**.
 - (6) *Amount* - Total dollar amount.
 - (7) *Printed Name and Title* • Full name and title of supervisor signing the form.
 - (8) *Signature* - s-upervisor's signature.
 - (9) *Vehicle Maintenance Facility* • City, State. and **finance number of the VMF of the location receiving delivery.**
 - (10) *Gals./Qts. (21-26)* • Insert the 6 digits in **galtons for fuel or quarts for motor oil. If the amount is less than 6 digits, e.g., 9,000 gallons, insert the appropriate number of zeros before the first digit to complete the 6 digits, i.e., "009000."**
 - (11) *Tank No. (27-28)* • Enter the appropriate tank number from the Form 4626.
 - (12) *Control No. (53-55)* • Enter the 3-digit order number from the Form 4626.
- f** Maintain a separate file folder for each contract document.

713.361 Procurement Personnel

- a. *Delivery Agreements.* See .361 a. (2) for the issuance of a DA upon receipt of the DFSC contract,

placement of the order, or the issuance of an Indefinite Delivery Contract *if* the item is annotated as "pending" in the *Contract Bulletin* for interim requirements using DFSC product specifications.

- b. *Commitment Document.* Code the *Contract Commitment Document* by the Document Generator System (DGS).

(1) Bulk petroleum products are charged to the **budgetary finance number.**

(2) Block FAC is coded "V" (denoting vehicles).

(3) Block F/ACT is coded:

a. 1190 - gasoline

b. 1191 - engine oil

c. **1192 - automatic transmission oil, differential grease, chassis lube, etc.**

d. 1193 - diesel fuel

e. 1194 - gasohol

(4) *DFSC Line Item Number*

(5) *Tank Capacity*

c. Orders

(1) See .34 for the placement of the individual **order.**

(2) The vendor's *signed* delivery receipt is the **proof-of-delivery document. Any deviation, such as vendor's request for a written delivery order, must be handled as an exception.**

(3) A copy of the vendor's invoice and the VMF's **certified delivery receipt is sent to the ossa.**

(4) **The original vendor's invoice and the certified delivery receipt are submitted directly to the PDC for prompt payment.**

713.363 Postal Data Center Action

- a. **Compare the Delivery Tickets received from the using facility against the invoice received from the contractor. If there is gallonage discrepancy due to use of a non-temperature compensating meter, verify the net gallonage utilizing Table 6 - *Petroleum Measurement Table* • as published by the American Society for Testing Materials.**

b. **Verify current escalated or reduced price from the DFSC "price -change notice." If the invoice price is greater than the last DFSC authorized price, pay the last authorized price and notify the contractor to furnish a copy of the DFSC "price change authorization."**

c. **Make timely payment to contractors insuring that all applicable discounts are earned and taken.**

d. **Immediately post the current price upon receipt of the DFSC "price change notice" in order to verify the invoice price before payment.**

e. **Modifications to the DA for price changes are not required as the escalation clause of the basic DFSC contract is included by reference.**

720 Materiel Management

721 Overview

721.1 Objective It is the objective of the Postal Service to provide supplies, equipment, and repair parts to all USPS elements at the lowest practical cost consistent with quality, service, timeliness, and reliability.

721.2 Definitions

721.21 Expendable Materiel. Expendable materiel means items in the USPS materiel management system that are not classified as capital property and are generally consumed over their service life; includes items costing less than \$1,000; repair parts, regardless of cost; and, for the most part, mail transport equipment, workroom furniture, and the like, regardless of cost. Because of their relatively short life, low dollar value, and/or lesser impact on operations, the costs of these items are charged to expense at the time of acquisition, rather than depreciated.

721.22 Capital Property. Capital property is an item acquired through purchase, transfer, or donation, that has a service life of more than one year, can be identified as an item of capital property throughout its useful life, and has an acquisition value of \$1,000 or more. Generally, mail transport equipment (MTE), repair parts, and workroom furniture, though they otherwise could meet the criteria for capital property, are considered expendable property. Capital property is accounted for, and transfers and disposals are reported to the St. Louis PDC according to established accounting procedures in Handbooks F-26, *Property Accounting*, and AS-701, *Materiel Management*.

721.23 Supplies. Supplies are items with a useful life of less than 1 year, or any item that is consumed in use. Exception: repair and replacement components for postal equipment and mechanized systems.

721.24 Repair Parts. A repair part is a replaceable part, subassembly, assembly or module which is to be used for repair of breakdowns during the useful life of equipment.

721.25 Materiel. Materiel is any physical item procured by an organization. Materiel consists of supplies, equipment, repair parts, forms, publications and all other items required by an organization to carry out its mission.

721.26 Equipment. Any capital or noncapital property of the Postal Service that performs a function in its own right, is not consumed in use, and has a useful life expectancy (exclusive of component wear out) of at least 1 year.

721.3 Responsibility

721.31 National Program

721.311 The Assistant Postmaster General, Procurement and Supply Department (P&SD), has authority

and responsibility for establishment and maintenance of national materiel management programs and policies. These policies are implemented by this subchapter, through detailed policies and procedures in Handbook AS-701, and through other directives issued by P&SD at Headquarters.

721.312 The Director, Office of Materiel Management, P&SD directs the materiel management program for the APMG, Procurement and Supply, and reports the status to senior level management periodically or as necessary on specific issues. Monitoring is accomplished through periodic surveys and reports and in close coordination with regional materiel management personnel.

721.314 Four divisions within the Office of Materiel Management develop and carry out materiel management policies and procedures for the Director. Their responsibilities follow:

- a. Materiel Support Operations Division (MSOD):
 - (1) Develops criteria to measure materiel management systems performance against established standards and implements and monitors the measurement process nationwide.
 - (2) Analyzes materiel management operations, manages the training program and produces study reports for management to support national materiel management programs.
 - (3) Maintains Handbook AS-701 and issues management instructions, materiel logistics bulletins, and other directives in support of materiel management functions to field activities.
 - (4) Supports the administrative function in OMM.
 - (5) Coordinates and recommends changes to existing materiel management operating systems. Provides training for office personnel, as required. Assists in developing documentation to support the various operating systems of the Office of Materiel Management.
- b. Requirements and Integrated Support Planning Division (RISPD):
 - (1) Manages the development of plans, programs, policies and procedures required to affect strategic national USPS materiel requirements planning, technical data management and integrated logistics support planning.
 - (2) Accomplishes the above by developing long and intermediate strategic forecasting plans, implementing programs to support the controlled delivery of annually forecasted equipment items, developing integrated support plans for automation and mechanization program materiel life cycle support, and managing technical data in provisioning and procurement processes.
- c. Inventory Management Division (IMD):
 - (1) Establishes requisitioning strategy, developing and maintaining stock levels to control inventories throughout materiel life cycles.
 - (2) Performs demand analyses and forecasting to ensure that stock is available.

- (3) Develops policies to ensure proper accountability, review and reconciliation of inventories throughout the Postal Service.
 - (4) Monitors and provides guidance to inventory managers outside the Office of Materiel Management (i.e., mail transport equipment, vehicles, data automation equipment, etc.).
- d. Physical Distribution Division (PDD):
- (1) Stores, distributes, and transports materiel to support its customers as cost effectively as possible.
 - (2) Develops and establishes the policy to manage warehousing and transportation activities throughout the USPS.

721.32 USPS Managers

721.321 Postal managers at all levels must take an active interest in and promote the materiel management program.

721.322 Technical direction and coordination of materiel management matters flow from the Office of Materiel Management, through materiel management channels. Functional direction of all materiel management matters is vested in the materiel management officer at each level.

721.323 Materiel management reports and inquiries flow upward from the post office or facility through the materiel management functions in management sectional centers, divisions, and service centers to the Office of Materiel Management.

721.324 It is the responsibility of materiel management personnel at all levels to ensure that managers of facilities, divisions, and other postal activities, are aware of materiel management matters within their geographic areas of responsibility.

721.4 Implementation Detailed policies and procedures necessary for implementation of the policies in this subchapter as they relate to field operations are in Handbook AS-701.

721.5 Administration and National Materiel Management Overview

721.51 MSOD--General Responsibilities MSOD has the following overall responsibilities:

- a. Supports the OMM operational functions; and provides continuity for the development and issuance of management instructions, directives, materiel logistics bulletins, and other publications that are disseminated to the field and Headquarters offices.
- b. Develops and manages special programs and studies to support materiel management objectives.
- c. Prepares responses to Postal Service and government audit reports relating to materiel management and develops plans to accomplish recommendations that are accepted.
- d. Maintains the policies and procedures manuals for OMM and coordinates the changes with the appropriate Headquarters organizations.

- e. Manages nationwide programs to support performance evaluations, systems performance, training, and materiel management handbooks.

f.

721.52 MSOD--Systems Management Review Program

721.521 The system management review program consists of several types of reviews: compliance, performance, field assistance, and special reviews.

- a. Compliance reviews ensure that all functional levels of materiel management are complying with laws, regulations, policies and procedures.
- b. Performance reviews evaluate the past performance of materiel management retail and wholesale activities against established goals.
- c. Field assistance reviews help retail and wholesale activities correct deficiencies noted by other reviews.
- d. Special reviews evaluate specific areas of concern.

721.521 A formal reporting system to identify deficiencies must include quarterly summary reports of conditions noted for review by the Director, OMM.

711.523 MSOD develops, manages, and administers a formal System Management Review (SMR) program. At least annually MSOD must assess, via a combination of performance reports and/or on site visits, the materiel management effectiveness and efficiency of USPS field activities (see Handbook AS-701 section 563).

711.524 MSOD administers and plans the SMR programs to ensure that SMRs are scheduled at major field activities at least every 2 years (see Handbook AS-701, Section 564).

721.525 Reviews are conducted according to a predetermined schedule (see Handbook AS-701, Section 564).

721.6 RISP Development of Requirements

721.61 General

721.611 Requirements planning is the materiel management process of reviewing customer needs to ensure that action is taken to meet those needs on a timely basis. The process provides the foundation for new materiel support needs and adjustments to existing materiel support needs (see Handbook AS-701, Section 222).

721.612 The Requirements and Integrated Support Planning Division (RISP) of OMM directs materiel requirements planning throughout USPS.

721.7 Requirements Planning

721.71 General. Materiel management-related personnel at all organizational levels participate in the initial phases of planning and decision-making for new materiel requirements and initial provisioning (see Handbook AS-701, Section 223).

721.72 New Systems and Equipment

721.721 Initial provisioning is conducted for all major USPS systems and equipment to ensure that the required level of materiel support is in place prior to system introduction and that the range, depth, and positioning of materiel to support the system or equipment are consistent with the operational availability and life-cycle cost specified by the program sponsor or proponent.

721.722 Proactive requirements planning and forecasting for the support of existing systems and equipment continues after systems introduction to ensure that requirements changes are recognized and analyzed as early as possible and that realistic and accurate support recommendations are forwarded to the National Inventory Control Center (NICC) (see Handbook AS-701, Section 224).

721.723 Provisioning requirements for increases to the population of existing equipment or systems is conducted on an as-needed basis to ensure that the required level of materiel support is in place. The decision to provision is a joint effort based on information to the NICC from RISP, the equipment coordinators, and the Office of Maintenance Management.

721.73 Requirements Planning for Other than Systems/Equipment. RISP monitors total USPS systemwide materiel requirements by recording and analyzing data generated by requirements planning and inventory management, and developing long-range, mid-range, and short-range planning forecasts. Those forecasts highlight trends and changes on both a commodity basis and on a specific system and equipment basis. Local retail requirements for postal supplies and repair parts are developed on a continuing basis, according to local retail consumption requirements and requisitioning lead time (see Handbook AS-701, Section 226).

721.74 Requirements Planning for Centrally Procured Materiel. Centrally procured materiel requirements planning will be accomplished on a rolling 5-year basis using field estimates and demand data (if available) as a basis for forecasting. Those forecasts incorporate technological, price, and lead-time factors, projected requirements, market considerations, and other elements that influence budgeting and buying decisions. Requirements forecasting is reviewed periodically, comparing predicted and actual demand. Revisions of demand forecasts will be routinely communicated to using, distributing, and procuring activities (see Handbook AS-701, Section 227).

721.75 Integrated Support Planning.

721.751 Integrated Support Planning is applied by OMM to all new major systems and equipment, major modifications and redeployment, and other projects as deemed necessary starting with the concept and continuing through the phase out.

721.752 Major projects are defined as those with estimated Capital Investment costs of over \$5 million requiring Postmaster General, Deputy PMG, Associate

PMG, or Board of Governors approval (see Handbook AS-701, Section 232).

722 Technical Data Management

722.1 Description

722.11 General. The USPS establishes and maintains a master technical data management system or catalog identifying all USPS materiel (equipment, repair parts, supplies, forms, and directives).

722.12 Postal Stock Numbers (PSNs). All items carried in USPS inventories are identified by and assigned a PSN. The PSN numbering system is patterned after the Defense Logistics Service Center (DLSC) National Stock Number (NSN). Whenever possible, the DLSC stock number is adopted by USPS as its PSN. The central USPS cataloging unit systematically reviews all retail-assigned PSNs to determine if they should be consolidated under one centrally assigned PSN (see Handbook AS-701, Section 242).

722.2 Cataloging

722.21 Materiel Management Catalogs. Responsibility for preparation, publication, and revision of materiel management catalogs is assigned to the Office of Materiel Management.

722.22 Identification System. The Postal Service Catalog System conforms to the government-wide system administered by the Department of Defense and General Services Administration (GSA). This provides the USPS with a uniform system of item identification, eliminates different identification of like items, aids in standardization, and facilitates inter- and intra-departmental logistics support. Responsibility for this function is assigned to the RISP and carried out by the NICC.

722.23 PSNs. In concert with this responsibility, the Logistics Programs Support Branch, NICC, conducts the necessary research on both new and old USPS items to obtain an appropriate NSN or assign a PSN. Authority to assign PSNs is delegated to the retail activities in accordance with Handbook AS-701, Section 242.

722.24 Publications. Catalogs for equipment, supplies, and repair parts are prepared in accordance with guidance and policy from the OMM. Catalogs provide complete listings of all equipment, supplies, and repair parts available through the materiel distribution centers (MDCs) and contain complete information and instructions for ordering these items. They are updated periodically to reflect the current status.

722.25 The General Manager, Inventory Management Division, is also responsible for establishing and publishing procedures for the input and maintenance of a computerized master data file of materiel item information necessary for efficient management of depot responsibilities. The master data file is part of the automated materiel management and inventory control system developed by OMM.

723 Inventory Management

723.1 Responsibility

723.11 The Inventory Management Division (IMD) is responsible for the establishment of control procedures for inventory quantities of all postal materiel (equipment, supplies, and repair parts) throughout the USPS.

723.12 .IMD sets authorized stockage limitations for equipment, supplies, and repair parts and monitors the development of authorized allowance quantities of postal materiel, in coordination with the Office of Primary Responsibility (OPRs) for the various postal functions. This responsibility extends to the wholesale and retail (MDCs and field) inventories. These policies are implemented at the wholesale level by the NICC as managed by the Inventory Management Division.

723.2 Inventory Management System The USPS uses a multi-echelon inventory management system with the following three inventory levels:

- a. Wholesale inventory level--materiel inventories held to provide support to the entire USPS customer community.
- b. Retail resupply inventory level--materiel inventories held to resupply specific activities in a given geographic area.
- c. Retail consumer inventory level - materiel inventories held to support a single activity.(See Handbook AS-701, Section 315.)

723.3 General Procedures

723.31 Inventory and Accountability. These procedures involve all aspects of materiel management dealing with support and accountability for postal equipment, supplies, and repair parts inventories and for maintaining records of inventory balances. Facility managers must inventory this materiel and maintain accountability in accordance with Handbook AS-701, Section 514.

723.32 Control of Issues. To ensure equitable treatment of postal equipment, supplies, and repair parts stored and issued by the MDCs, procedures are established for maintaining control over their issuance, incorporating a system of requisitioning and back order management.

723.4 Stock Levels

723.41 Policy. Operating level requirements will be determined to support expected customer demand between replenishment orders in the most cost-effective manner possible by balancing the cost to replenish against the cost of holding the item in the inventory (see Handbook AS-701, Section 325).

723.42 Supplies. Stock levels at postal facilities should be determined in accordance with Handbook AS-701, section 325.

723.43 Repair Parts

713.43/ Authorized Stock Levels. Plant maintenance offices and vehicle maintenance facilities maintain inventory levels in accordance with instructions in Handbook AS-701 and repair parts catalogs. Handbooks P0-701. *Fleet Management*, MS-63. *Maintenance Management Class A Offices*, and MS-65, *Maintenance Management Class B Offices*. BMCs maintain inventory levels as directed by appropriate authority.

723.432 Exceptions. The only exceptions to the maximum established stock levels for repair parts are insurance items (those components, subassemblies, or assemblies that are not normally considered to be wearable but are stocked as insurance against a lengthy shutdown of equipment).

723.5 Inventories

723.51 Policy.

723.511 Inventories of USPS materiel must be conducted in such a way that physical on-hand quantities are accurately recorded and reflected in inventory records.

713.512 Scheduled inventories must be planned so that inventory counting teams may easily and accurately count items. Results of inventory counts must be posted to the inventory and financial records immediately after the counting, or after the reconciliation of differences (see Handbook AS-701, Section 525).

723.52 Frequencies and References. Each postal facility where equipment is in use, or where postal equipment, supplies, and repair parts are stored and issued, must inventory according to the references in Exhibit 723.52. Inventory Schedule.

Facility	Items Inventoried	Frequency or Reference
VMFs	Parts & Supplies	Hbk. P0-701
Plant Mainl. Off.	Parts & Supplies	Hbks. MS-63 & MS-65
BMCs	Parts & Supplies	BMC/MIS cyclical inventory schedule
MOCs	Parts, equipment supplies & capital equip	annually
Mail Equip Shops	Parts & supplies	annually
All field installations	Parts, equipment & supplies (storeroom)	annually
	Capital Equipment	Every 3 Years

Exhibit 723.52, Inventory Schedules

723.6 Order Quantities

723.61 Order quantities for postal equipment, supplies, and repair parts are limited to that quantity required to maintain stock within the limitations established in Handbook AS-701, section 324.

723.62 Order quantities for insurance items are based on recommendations from maintenance, engineering, and inventory program managers. The proponent for the specific equipment is responsible for initiating requests for changes in these order quantities (see Handbook AS-701, section 324).

723.63 It is the responsibility of the manager of each postal facility to ensure that duplication of ordering to fill a specific requirement does not occur. If necessary to follow-up on the status of a previously ordered item, the follow-up action must clearly identify the original order. If subsequent action is taken to fill a back-ordered requirement from an alternate supply source, appropriate notice must be given to the original requisition source. Postal equipment, supplies, and repair parts *may not be* issued for use without first recording their receipt and issuance by the postal facility.

723.7 Redistribution of Repair Parts Inventory managers at the NICC review computer listings of facility inventories and redistribute repair parts to meet urgent requirements when MDC stock cannot meet field needs.

724 Acquisition

724.1 Policy It is USPS policy to make available high usage materiel through MDCs, GSA Customer Service Centers or depots, federal supply schedule contracts, and USPS contracts.

724.2 Objective The goal is to obtain the most advantageous price, best quality, and timely delivery to meet USPS needs. Materiel management personnel are responsible for ensuring that proper procedures are followed in preparing requisitions prior to entering requirements into the materiel management systems or submitting for procurement action.

724.3 Special Acquisition Methods Where customer support requirements or materiel management efficiency and effectiveness dictate, consideration will be given to the application of special acquisition methods to satisfy USPS materiel requirements. Such methods may include systems contracts, ordering agreements, or other tailored acquisition instruments (see Handbook AS-701, section 124).

724.4 Requisitioning

724.41 General. Requisitions for equipment, supplies, and repair parts stocked at MDCs are prepared and submitted in accordance with instructions in the appropriate procurement and supply catalogs. The pro-

cedures for Federal Standard Requisitioning and Issue Procedures (FEDSTRIP) are detailed in Handbook AS-701, section 452).

724.42 Materiel Distribution Centers (MDCs)

724.421 *General.* MDCs provide supplies, repair parts, and equipment for offices located in their geographic areas. Offices in CAG E-L, and other activities not specifically designated as authorized FEDSTRIP ordering offices, must order GSA items listed in Publication 24, *Supply Catalog*, from the MDCs. Offices may order these items of supply, as required. Authorized FEDSTRIP ordering offices, when the costs and delivery are in the best interests of the Postal Service, use the GSA customer supply centers and depots as a primary source of supply for GSA items.

724.422 *Requisitioning Equipment.* Equipment listed in Publication 47, *Equipment Catalog*, stocked at the MDCs, may be ordered as needed. Submit all equipment requisitions through established requisitioning channels to the NICC for review and appropriate supply action.

724.423 *Requisitioning Repair Parts.* Repair parts for postal operating equipment including vehicles are available only from the MDC in Topeka, KS. Publication 112, *Repair Parts Catalog*, and Publication 184, *Vehicle Repair Parts Catalog*, contain complete listings of repair parts stocked at the Topeka MDC. Do not obtain repair parts currently available from the Topeka MDC from other sources. The only exceptions to this policy are: (a) to fill a one-time emergency requirement, and (b) to provide sufficient local operating stocks when a repair part is temporarily out of stock at the MDC.

724.43 General Services Administration (GSA). Offices with FEDSTRIP requisitioning authority (CAG A-D) obtain consumable items available from GSA directly from that agency. Equipment items available from GSA are obtained through the division. All other offices requisition GSA items from the MDC. Authorized offices must keep the frequency of requisitioning to a minimum, bearing in mind that costs are incurred for preparing and processing requisitions, billing procedures, and transportation (see Handbook A5-701, section 455).

724.44 Veterans Administration (VA). The VA, under agreement with the USPS, furnishes medical supplies and equipment listed in VA Catalog No. 3 to designated postal installations with health units. The use of this source of supply is limited to health units having a physician or registered nurse. Submit requests for VA supply support through channels to EMPLOYEE RELATIONS DEPARTMENT, UNITED STATES POSTAL SERVICE, 475 L'ENFANT PLAZA SW, WASHINGTON DC 20260-4320, which will transmit the approved request to the VA Central Office for assignment of a support facility (see Handbook AS-701, section 457).

724.45 Mail Equipment Shops. Requisition replacement locks, keys, and repair parts from the MAIL EQUIPMENT SHOPS, UNITED STATES POSTAL

SERVICE, 2135 FIFTH STREET NE, WASHINGTON DC 20260-6224 as outlined in Handbook AS-701, section 454).

724.46 Other Sources of Supply. Occasionally, GSA and other federal agencies have both new and used excess property available for acquisition. Items available from other agencies are subject to reimbursement at fair market value unless the Director of the Office of Management and Budget sanctions a different basis of valuation. The fair market value is established by the agency having the excess property.

725 Materiel Control

725.1 Overview

725.11 General. Materiel control is a materiel management function and provides for control over receipt, custody, use, and disposal of accountable and other postal equipment.

725.12 Responsibility

725.121 *Individual.* It is the responsibility of every USPS employee to safeguard and maintain Postal Service materiel. This individual responsibility applies to materiel for which they have direct personal responsibility, and for all other materiel which they recognize as being government or USPS property materiel.

725.122 *Managers and Supervisors.* Custody of postal materiel is vested in facility managers or employees designated as materiel accountability officers. They must ensure that materiel is safeguarded from damage, loss, or theft, and that a current inventory is maintained of all materiel charged to their organization.

725.2 Excess

725.21 Policy. It is USPS policy to use excess serviceable materiel as a first source of supply in meeting USPS needs. Each installation head must either act as or designate another employee to act as the Materiel Accountability Officer responsible for ensuring that these and other responsibilities are carried out (see Handbook AS-701, section 352).

725.22 Responsibility. Managers at all levels have a responsibility to ensure that funds are not expended for materiel if the need can reasonably be filled through the use of excess materiel. Materiel not actually installed or in use must be properly stored, inventoried, and reported (see Handbook AS-701, section 354).

725.23 Identification. [Identify all materiel not in use or not installed for planned use. Tag equipment with the appropriate tag which reflects condition, date of planned use, or availability for transfer or disposal. A review of equipment identified and tagged must be made by facility managers and materiel management personnel, to ensure that materiel identified as serviceable is ready for immediate use without further repair or renovation (see Handbook AS-701, section 355).

725.24 Reporting

725.241 *Materiel.* Ail postal actVI!ies must promptly report all serviceable materiel not installed or not in use using Form 7364, *Serviceable Property Tag (Excess)*, or Form 7364A, *Property Tag (Restricted Use)*. The tags, sent through channels to the division Manager, Support Services, for review and input into EXSEL, produce the EXSEL computer listing.

725.242 *Exceptions.* Some items do not lend themselves to being tagged and need not be reported in EXSEL. [terns in this category include:

- a. Repair parts.
- b. Consumable supplies and forms.
- c. GSNDLA supply items.
- d. Mail Transport Equipment (MTE) items.
- e. Motor vehicles.

725.243 *Items Requiring Special Reporting Procedures (see Handbook AS-701, Exhibit 355.41)*

- a. *Repair Parts.* Excess repair parts are reported by memorandum to the Manager, Inventory Operations Branch, NICC. The list must include the description, National Stock Number (NSN)/Postal Stock Number (PSN), OEM Part Number, and quantity for each item. Only serviceable parts suitable for immediate reissue are reported (see Pubs. 112 and 184). The NICC provides disposition instructions.
- b. *Materiel Distribution Center Items.* Report items and forms originally obtained on Form 7380, *MDC Supply Requisition*, from MDCs to the appropriate MDC by memorandum. The report must include identifying number, description, and quantity. Report only serviceable items suitable for immediate reissue (see Pubs. 223 and 24). The MDC provides disposition instructions.
- c. *GSA Items.* Report items obtained directly from GSA depots by FEDSTRIP requisition to the division Manager, Support Services, by memorandum. Divisions should refer to the GSA supply catalog for procedures if supplies cannot be redistributed locally.
- d. *Motor Vehicles.* Report by memorandum to the designated individual at the division or region.
- e. *Data Automation Equipment.* Report through EXSEL for review and disposition by Information Resource Management Department.
- f. *Inspection Service Items.* Report by memorandum, to the CHIEF POSTAL INSPECTOR, INSPECTION SERVICE, UNITED STATES POSTAL SERVICE, 475 L'ENFANT PLAZA SW, WASHINGTON DC 20260, those items which do not lend themselves to reporting on Form 7364 or Form 7364-A.
- g. *Retail Vending Equipment.* Report into EXSEL for review and disposition instructions, with information copies to the division Retail Vending Equipment Specialist.
- h. *Mail Transport Equipment Items (MTE).* Mail processing personnel must report all MTE items to the Mail Transport Equipment Centers using the Equipment Inventory Reporting System (EIRS).

MTE Centers are responsible for the operation, transportation, distribution, inventory, storage, reporting, and disposal concurrence of these items.

725.25 Divisional Responsibilities. The Manager, Support Services, is responsible for assuring that managers at all postal facilities having serviceable materiel not installed or not in use:

- a. Ensure timely and accurate reporting of this materiel.
- b. Ensure that all materiel is tagged to indicate its status.
- c. Maintain continuous follow-up on all tagged materiel to ensure proper use, transfer, or disposal of the materiel.
- d. Establish necessary controls to ensure materiel accountability/responsibility for safeguarding and maintaining the materiel.
- e. Immediately report any change in status of this materiel.

725.26 Excess Serviceable Equipment Lists (EXSEL)

725.261 Preparation. Excess Serviceable Equipment Lists are prepared at the Corporate Data Base (CDB) Raleigh, NC from EXSEL data submitted by COMPASS sites.

725.262 Distribution. The data preparation and control section at the MDC in Topeka, KS, prints and distributes EXSEL listings weekly to all COMPASS sites nationwide.

725.263 Use. These lists are used by field managers and materiel management personnel to redistribute USPS property. This provides needed materiel with minimum additional expenditures of postal funds.

725.27 Transfer

725.271 Condition. Facility managers at locations from which materiel is being shipped must ensure that materiel being transferred is in condition to be used immediately without further repair or renovation.

725.272 Transportation Costs. Consider transportation costs involved in transfers of materiel, to be sure it is cost effective. Refer to Handbook AS-701.

725.273 Financial Accounting. Financial accountability must be maintained at all times in accordance with Handbook F-26, Property Accounting. Credit for the negotiated value of expendable equipment transferred from one facility to another may be given under certain circumstances (see Handbook AS-701, section 359).

725.3 Disposal

725.31 Policy. It is USPS policy to promptly dispose of materiel that is unserviceable, obsolete, or surplus to national needs. In determining the method(s) of

disposal, responsible personnel must consider all the facts of the particular situation. This includes, but is not limited to, considering the nature, quantity, and condition of the materiel. All disposal actions taken must serve the best interest of the Postal Service (see Handbook AS-701, section 358). Whenever possible, consider recycling items that can no longer serve their original purpose.

725.32 Disposal Authorities. The authorities below authorize and issue instructions for disposal of the obsolete, unserviceable, or surplus materiel listed.

Item	Disposal Authority
Surplus serviceable materiel*	Division Director, Support Services, or Designee; Manager, Materiel Management Branch, P&MMSC; Manager, Label Printing Center; Manager, MES; General Manager, Inventory Management Division; Director, Office of Headquarters Services.
Unserviceable or obsolete materiel	MSC Manager/Postmaster, or Designee; Division Director, Support Services, or Designee; Managers, Materiel Management Branch, P&MMSC; Manager, Label Printing Center; Manager, MES; General Manager, Inventory Management Division; Manager, MDC; Director, Office of Headquarters Services.
Repair Parts	Inventory Managers, NICC
Materiel Distribution Center items (obsolete or excess)	Inventory Managers, NICC
Data automation equipment	Information Resource Management
Inspection Service items	Regional Chief Inspector
Retail vending equipment	Office of Delivery & Retail Management
Mail transport equipment	Mail Transport Equipment Division at Headquarters
Antiques & collectibles	Director, Office of Materiel Management with approval of Research Administrator/Historian
Historical records	Records Officer for pre-1954 items

*Surplus serviceable materiel may be disposed of provided it has been screened by all regions through the EXSEL and no known USPS requirement for it exists.

725.33 Methods of Disposal

725.331 General. Materiel must be disposed of by one of the following methods preferably in this order. The method selected must be in the best interest of the USPS (see Handbook AS-701, section 358):

- a. Trade in.
- b. Sale by postal installation.
- c. Transfer to GSA for disposal.
- d. Transfer to another federal agency.
- e. Donation.
- f. Supervised destruction.

725.332 Fair Market Value. First consideration in disposal of surplus USPS materiel is by trade-in, then by sale, to provide revenue. Determine fair market value based on the initial cost, age, condition, and normal life expectancy (see Handbook AS-701, section 358).

725.333 Donation. If personal property is not marketable, the Inventory Managers, NICC, Materiel Management Branch at P&MMSCs, P&MMSOs Managers, division Manager, Support Services, or local authorized facility manager may offer the materiel for donation to non-federal activities such as:

- a. A state agency (county or city) designated eligible to receive surplus materiel;
- b. A public body such as the District of Columbia or Commonwealth of Puerto Rico; or
- c. Nonprofit organizations such as churches or orphanages.

725.334 Supervised Destruction. When trade-in, transfer, sale, or donation is not feasible, materiel is destroyed in the presence of the materiel accountability officer or designee. Form 969, *Disposal of Postal Materiel*, is submitted through the PDC to relieve the organization of accountability when capital property is destroyed.

725.34 Restricted Items

725.341 Certain items of USPS property are restricted because of their nature and/or Postal Service identifying markings.

725.342 The following items may not be transferred to another federal agency, sold, or released outside the Postal Service:

- a. Post Office Box Locks and Keys - As designated by Procurement and Supply Department.
- b. Dollar Bill Validators. All models are controlled by Office of Stamps and Philatelic Marketing.
- c. Postage Meter Printing Heads. These are released from accountability of assigned postmasters only on written authorization of the P&MMSCs, P&MMSOs, or division Support Services.
- d. Money Order Machines. Report money order machines in unserviceable condition to local MSC for disposition instructions.

725.35 Permanently Marked Materiel

725.351 Before any materiel permanently marked with the USPS indicia or words identifying the item as USPS materiel can be sold, transferred or donated, the identifying markings must first be obliterated or removed (see Handbook AS-701, 358.23). Removal may be accomplished through a work order to the local maintenance activity.

725.352 Collection boxes, including post type, street collection and relay storage boxes, may not be sold to the public. They must be destroyed and sold as scrap. However, on a case-by-case basis, the Director, P&MMSC or designee, may grant approval to lend or donate these items to academic institutions, government agencies or nonprofit organizations. The Materiel Accountability Officer maintains the loan file for these transactions (see Handbook AS-701, 534.342). If these items are loaned for exhibit purposes, as in a museum, there is no requirement to change the color or remove the indicia. If they are to be used for any other purpose, the indicia must be removed, the box repainted (any color other than postal colors), and the item prominently marked "Not for the Deposit of Mail." Under either of the above circumstances, the locks must be removed and the recipient of the box must sign an agreement not to sell or permit the box to be used in the collection of mail. The item must be moved from the location noted on the loan agreement, unless the Materiel Accountability Officer is advised and agrees.

725.353 Mail processing equipment (facel cancellers, letter sorting machines, flat sorters and parcels, and bundle sorters) are handled as follows:

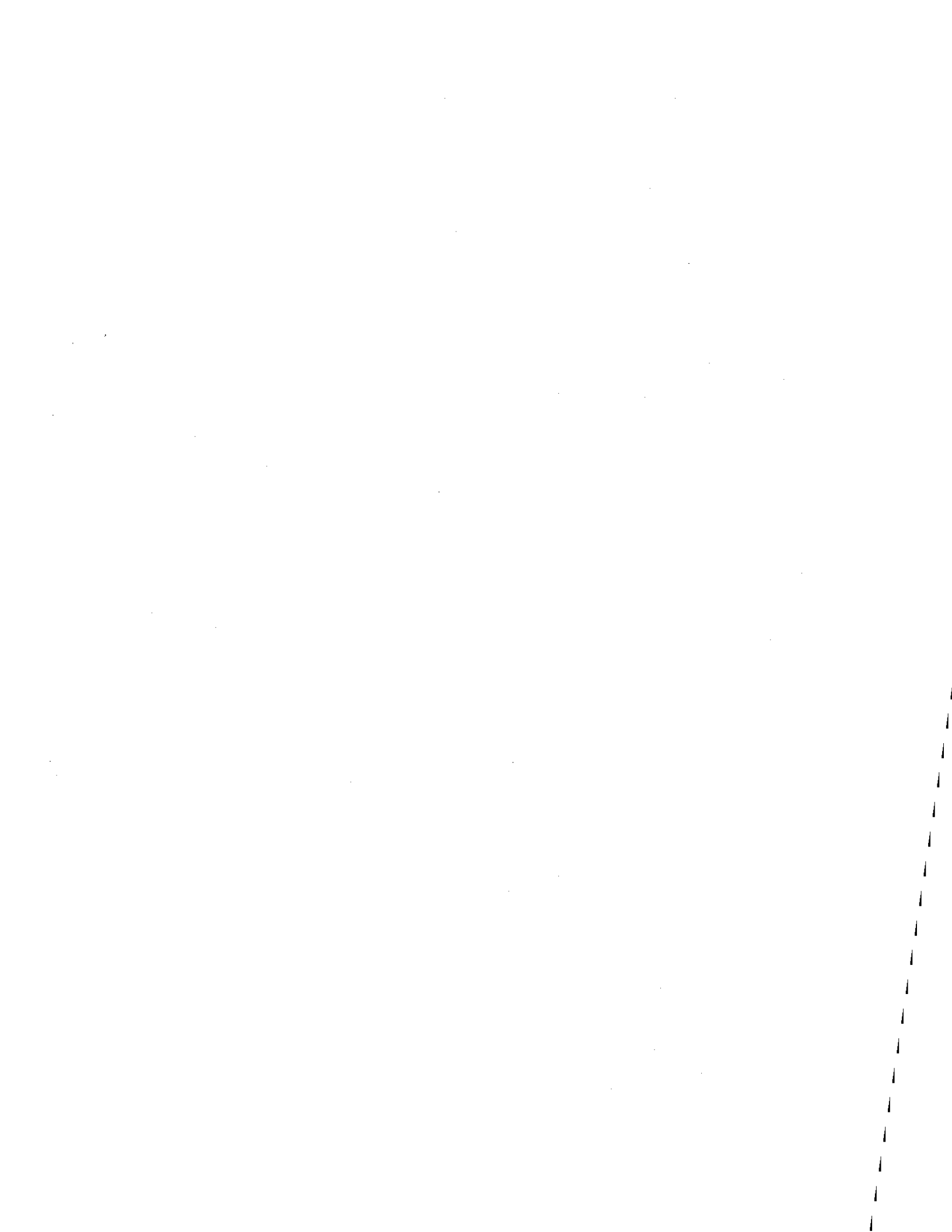
- a. Mail equipment that is excess must be identified by the Director, Operations Support, to the Regional Manager, Operations Support Planning, (with courtesy notification of the Division Director, Support Services). The equipment will be screened for redistribution under regional or national criteria.
- b. Items excess to regional needs must be identified by letter by Operations Support Planning to the co chairperson, National Assets Optimization Team, for national review and redistribution instructions. The following information must be included in the letter:
 - (1) Machine type.
 - (2) Quantity.
 - (3) Manufacturer.
 - (4) Make or Model.
 - (5) Serial #.
 - (6) Capital ID #.
 - (7) Division name.
 - (8) Site name.
 - (9) Earliest removal date.
 - (10) Latest removal date.
 - (11) Site coordinator.
 - (12) Coordinator's PEN#.
- c. Normal shipping and capital equipment transfer instructions apply for any item that is redistributed by either the regional or national review (see

shipping and transfer of materiel procedures in Handbook AS-701, Appendix A, Key Word Index).

- d. For items found to be nationally surplus, the co-chairperson, National Assets Optimization Team, must provide the APMG, Engineering and Technical Support Department, a letter identifying the item, its location, and the date by which it must be removed. This letter must request maintenance action to remove any required spare parts and to dispose of the item. A copy of the letter

must be sent to the releasing Director, Support Services.

- d. The Director, Support Services, must use this letter as authority to dispose of the item. A copy of the letter must be attached to Form 969, *Disposal of Personal Materiel*. This letter precludes the need for any further reutilization screening. Normal serviceability tagging, disposal, and reporting requirements must otherwise be followed.



730 Materiel Distribution Center (MDC) Operation

731 Overview

731.1 MDC Function MDCs are responsible for receiving materiel, shelving, storing, processing requisitions, order picking, and issuing packing and shipping materiel. MDCs are also responsible for maintaining accurate inventories so that inventory records and warehouse quantities are in agreement.

731.2 Distribution System The USPS physical distribution system is structured on a multi-echelon concept that uses both centralized and decentralized distribution methods and that employs the following distribution levels: (see Handbook AS-701, section 412).

- a. Wholesale.
- b. Retail resupply.
- c. Retail consumer.

731.3 Responsibility The Physical Distribution Division (PDD) is responsible for developing and monitoring warehousing and transportation policy for the overall distribution network. The PDD negotiates rates, maintains tenders, and provides technical direction to Headquarters and field personnel.

732 Wholesale Distribution Level

732.1 Description

732.11 The USPS operates wholesale warehouses, which are called materiel distribution centers, in established geographical areas. Wholesale inventory assets are positioned in the MDCs according to the demand created by response time, cost of distribution to customer activities, and geographical areas of responsibility for each warehouse and to meet the assigned customer service level for each MDC (see Handbook AS-701, section 413).

732.12 It is both efficient and economical to operate MDCs that serve specific geographic areas. Major transportation hubs, major traffic lanes, commercial transportation, and Bulk Mail Centers, can maximize customer support and provide faster delivery times and reduced transportation costs.

733 Retail Distribution Level.

The Office of Materiel Management (OMM) designates retail activities as retail resupply stocking points or retail consumer stocking points. Storerooms/stockrooms in the facilities that house those activities are used to distribute retail items to meet assigned customer support goals (see Handbook AS-701, section 414).

734 Acquiring Commercial Warehouse Space and Services.

734.1 Policy Office of Materiel Management approval of the requirement for warehouse space or services is required before any warehouse facilities are leased or rented from contractors for the storage of supplies, repair parts, or equipment held in USPS inventories anywhere in the USPS distribution system. This ensures that unused space is utilized to the fullest extent possible (see Handbook AS-701, section 426).

734.2 Control and Reporting of Warehouse and Storage Space To ensure that the operations of USPS MDCs, warehouse, and storage facilities are cost effective, the availability and utilization and space at these facilities, controlled by field installations, will be reported to the Physical Distribution Division. Field installations must report through the P&MMSCs (see Handbook AS-701, section 427).

734.3 Storage Space Planning and Layout Materiel managers must plan and lay out all warehouse and storage space to support the activities of receiving, storing, and packing materiel; planning for its shipment; and performing the administrative functions necessary for the smooth, quick and cost-effective handling of materiel (see Handbook AS-701, Section 422).

735 Development of Requirements for Depot Items

735.1 Responsibility The National Inventory Control Center (NICC) develops requirements for depot stocked equipment, supplies, and repair parts.

735.2 Requirements Forecasting

735.21 The General Manager, Inventory Management Division (IMD), establishes management procedures for initial stockage and follow-on support of all depot stocked equipment, supply and repair part line items. These procedures are coordinated with Headquarters-developed automated materiel management programs and approved by the Office of Materiel Management, P&SD.

735.22 General Manager, IMD, initial stockage responsibility includes:

- a. Participation in all provisioning conferences for support of new postal equipment,
- b. Maintaining liaison with all Headquarters equipment maintenance activities to ascertain the level of supply support required for each item of mechanized equipment, and
- c. Establishing procedures to identify repair parts resulting from new equipment acquisition and engineering changes, which are to be depot stocked and supported.

736 MDC Storage

736.1 Stocks Formal procedures for the storage of materiel at MDCs are developed by General Manager, Physical Distribution Division, using to the maximum extent the automated inventory control programs developed by USPS Headquarters.

736.2 Courtesy storage

736.21 Definition. Courtesy storage is the temporary storage of items that are not part of the normally available for-issue stock of the supply facility. The USPS warehousing system must accommodate requests for courtesy storage of USPS materiel on a space-available basis (see Handbook AS-701, section 425).

736.22 Requests. Any postal organization that has materiel that requires temporary storage may request courtesy storage. Accountability remains with the requester. Supplies, repair parts, equipment and other materiel procured or otherwise obtained by the regions, Headquarters departments or other elements of the USPS must not be shipped to the MDCs for storage without first obtaining approval from the General Manager, Physical Distribution Division, Office of Materiel Management, P&SD.

740 Receiving, Storing, and Issuing

741 General.

Receiving, storing, and issuing, shipping and inventory control of materiel are the primary functions of any storeroom or warehousing operation. These functions are common to the supply room as well as the MDC.

742 Responsibility.

742.1 General Responsibility is exercised through the Physical Distribution Division of the Office of Materiel Management and implemented through materiel management channels. Implementation and administration of these policies and procedures are the responsibility of the facility manager.

742.2 Control Measures Managers at all levels must establish procedures to control and account for equipment, supplies and repair parts. Procedures must reflect a separation of duties, e.g., personnel that receive/issue stock are not the same individuals who certify invoices for payment or certify the inventory count.

743 Examination and Inspection.

All USPS-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, and their designated representatives, are authorized to examine and inspect, as their

duties may require, such USPS-owned or furnished property and its contents.

744 Centralization of Supply Facilities.

744.1 Central Supply Room To the extent that space and local conditions permit, establish central supply rooms at postal facilities to store common use supplies, forms, and parts authorized for local inventory. The Division Manager, Support Services, controls this equipment and maintains inventory control in accordance with 727.4.

744.2 Alternative

744.21 When the establishment of a central supply room is impractical, control supplies centrally to prevent over-ordering and fragmentation of available supplies.

744.22 Materiel management principles and practices must be strictly followed to eliminate numerous requisitions to the source of supply.

744.23 Locate parts rooms to provide a readily available source of parts to the maintenance activity supported. Store equipment that is not installed or not in regular use at selected points which will provide maximum control and security.

745 Duplication of Functions

Installations must not establish materiel distribution functions that parallel or duplicate the role of the MDC; that is, receiving, storing, and shipping supplies for other installations, except as outlined in Handbook AS-701 and approved by the division manager. Regional emergency repair parts centers established by agreement of Headquarters and regional maintenance management organizations are excluded from this prohibition.

746 Receiving Materiel (Policy)

746.1 Location and Personnel All USPS storeroom and warehouse activities must have designated receiving points staffed and operated by trained, designated receiving personnel.

746.2 Control Measures All incoming materiel and related receiving documents must flow through those designated processing points for control and documentation. The receiving process must be standardized at both automated and non-automated activities (see Handbook AS-701, section 432).

747 Supply Facilities

747.1 Supply Rooms-General Postal Supplies

747.11 Stocks. Supply rooms maintain stock levels of common use supplies, directives and forms listed in Pub. 223, *Directives and Forms Catalog*, Pub. 24, *Supply Catalog*, and the GSA Stores Stock Catalog at the

mmmtum level consistent with adequate support of administration and operations (see 725 for stock levels.).

747.12 Requisition Authority. Issue supplies stocked in the supply room through the use of a signed written request. The supply clerk must be provided a list of persons authorized by the facility head to sign these requests.

747.13 Inventory Records. Maintain records so as to effectively manage the inventory. Usage patterns can be easily determined by referring to these inventory records. Designated personnel at each installation must be accountable for these records.

747.14 Locator Systems. Employ a stock locator system in each supply room to enable employees to locate supply items without personal knowledge of the stockroom Layout. This system must be commensurate with the size of the supply room and the amount of stocks to be stored. It consists of a file of stock record or Location cards either manually or mechanically prepared, depending on the equipment available. The locator system is used for all receiving, stocking, inventory, and issue activities in the supply room. Continually update locator information to ensure that it is current at all times.

747.15 Hours. Supply rooms must maintain a schedule of hours during which supplies are issued. This schedule must provide time for supply room personnel to perform other functions necessary for the operation of the supply room.

747.16 Emergency Issues. Establish provisions for emergency issues to ensure that postal operations are not hampered by a lack of supplies.

747.17 Shelf Life. Pay particular care to items which have a specific shelf life, e.g., rubber bands, ink, rubber stamps. Issue older items in this category first to avoid spoilage or deterioration.

747.2 Supply Rooms-Repair Parts

747.21 Inventory Records. Maintain accurate records to effectively manage the inventory. Stocks on hand and usage patterns can be easily determined by referring to these inventory records. Maintain inventory levels in accordance with 723.33. Designated personnel at each installation must be accountable for these records.

747.22 Primary Source. Order all repair parts that are available through MDC, Topeka, per instructions in Publication 112 (for mail processing and customer services equipment) or Publication 184 (for motor vehicles).

747.23 Record of Issue and Use. Except for certain commonly used, inexpensive items, all repair parts issued must be charged to a specific work order or route sheet, or to a shop function, e.g., general repair shop, custodial, etc. Items must be issued and returned by a signed request from the mechanic.

747.24 Locator System. (See 747.14.)

747.25 Hours. Parts rooms must maintain a schedule of hours consistent with support of operations in the facility. Establish provisions for emergency withdrawals during non-operating hours to ensure that postal equipment will not be inoperative because of unavailability of parts.

747.3 Equipment Storage Areas

747.31 Safeguarding of Equipment. Equipment held by a postal facility for future use or installation should be stored so as to provide adequate safeguards from theft, damage, or other loss. The facility manager or other person responsible for the building in which the equipment is stored is responsible for providing the safeguards. To the extent practical, store equipment at selected sites to provide maximum control.

747.32 Control. Materiel Management personnel must account for and control equipment stored in these areas. Transfer equipment required by operating elements for permanent use or installation to that organization, and report as required. Equipment required by operating elements on other than a permanent basis must be issued for temporary use and returned to storage as soon as the equipment is taken out of service. Equipment must not be placed in, or removed from, the storage area without approval of the person responsible for the area.

747.33 Classification. Do not place equipment in storage without first determining its serviceability. Determine serviceability in accordance with guidance by the Division with primary responsibility for the operation and function of equipment in that area referred to as the office of primary responsibility (OPR). Separate serviceable equipment from unserviceable equipment. Do not place unserviceable equipment in storage. Repair unserviceable equipment that can be restored as soon as possible. Dispose of unserviceable equipment that cannot be economically restored in accordance with 728.

747.34 Inventory. Maintain an inventory of all equipment stored at each facility in accordance with 725.5. Include all items at the facility. Identify serviceable and unserviceable (but repairable) equipment separately. Use a locator system to assist in storing and issuing equipment. Designated personnel at each installation will be accountable for this inventory maintenance.

747.4 Preservation, Security, and Safety

747.41 General. Personnel responsible for storage areas must take necessary steps to preserve and safeguard materiel, and to promote safety in USPS storage operations (see Handbook AS-701, section 424).

747.42 Care and Preservation of Materiel. The preservation of most items depends upon proper storage and turn-over. Protect materiel against deterioration from temperature extremes, humidity, dust, insect pests, and other natural phenomena. Conduct periodic

inspections to detect deterioration and to insure that proper care and preservation practices are being enforced.

747.43 Storage of Hazardous Commodities. Hazardous commodities require special storage and handling. Items in this category include grease, paints, oils, thinners, kerosene, and other flammable liquids. Make adequate provisions to store these items in accordance with OSHA standards and regional safety instructions.

747.44 Security, Housekeeping, and Fire Protection. Enforcement of good security, housekeeping, and fire protection practices is a recognized prerequisite to an efficient and economical operation. All materiel management operations should follow safety instructions in Handbook EL-801. *Supervisor's Guide To Safety Handbook*.

747.45 Safety Practices. A program for the safety and health of personnel and the prevention of property loss and damage is one of the prerequisites of sound and efficient warehouse and supply room management.

747.46 Responsibility. A safety program must be developed and have backing at all supervisory levels to control hazardous acts and to eliminate unsafe conditions. The objective of the program is to locate and correct unsafe conditions and identify unsafe acts before they result in accidents.

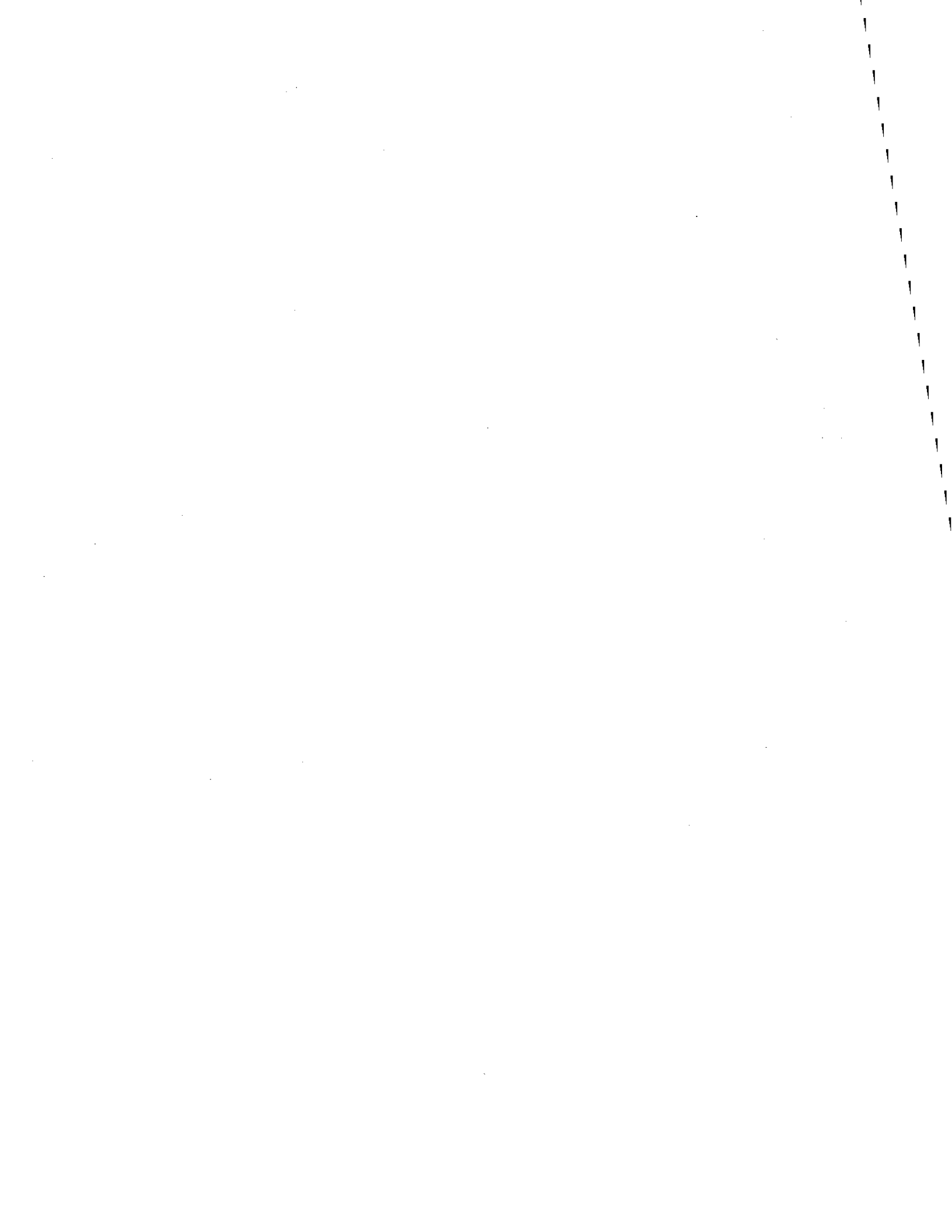
747.47 Guidance In Development of Safety Program. See subchapters of the *Employee and Labor Relations Manual*, Handbook EL-801, and current management instructions relative to safety and health.

748 MDC Inventory Management

748.1 General Responsibilities The General Manager, Inventory Management Division, is responsible for determining the amount and quantity of stocks necessary to meet customer service levels. The General Manager, PDD is responsible for policies and procedures to ensure proper inventory accuracy and control of inventories in the MDCs. Managers, MDCs are responsible for proper implementation of these policies and procedures. Program changes to all automated procurement and materiel management operating and management systems require authorization of the Director, Office of Materiel Management.

748.2 Redistribution of Repair Parts Inventory managers, NICC review computer listings of facility inventories and redistribute repair parts to meet urgent requirements for back ordered items when MDC stocks cannot meet field needs.

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(RESERVED)



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4575-A	Five Day Summary--Motor Vehicle Service Vehicle Utilization	Exh. 351.31
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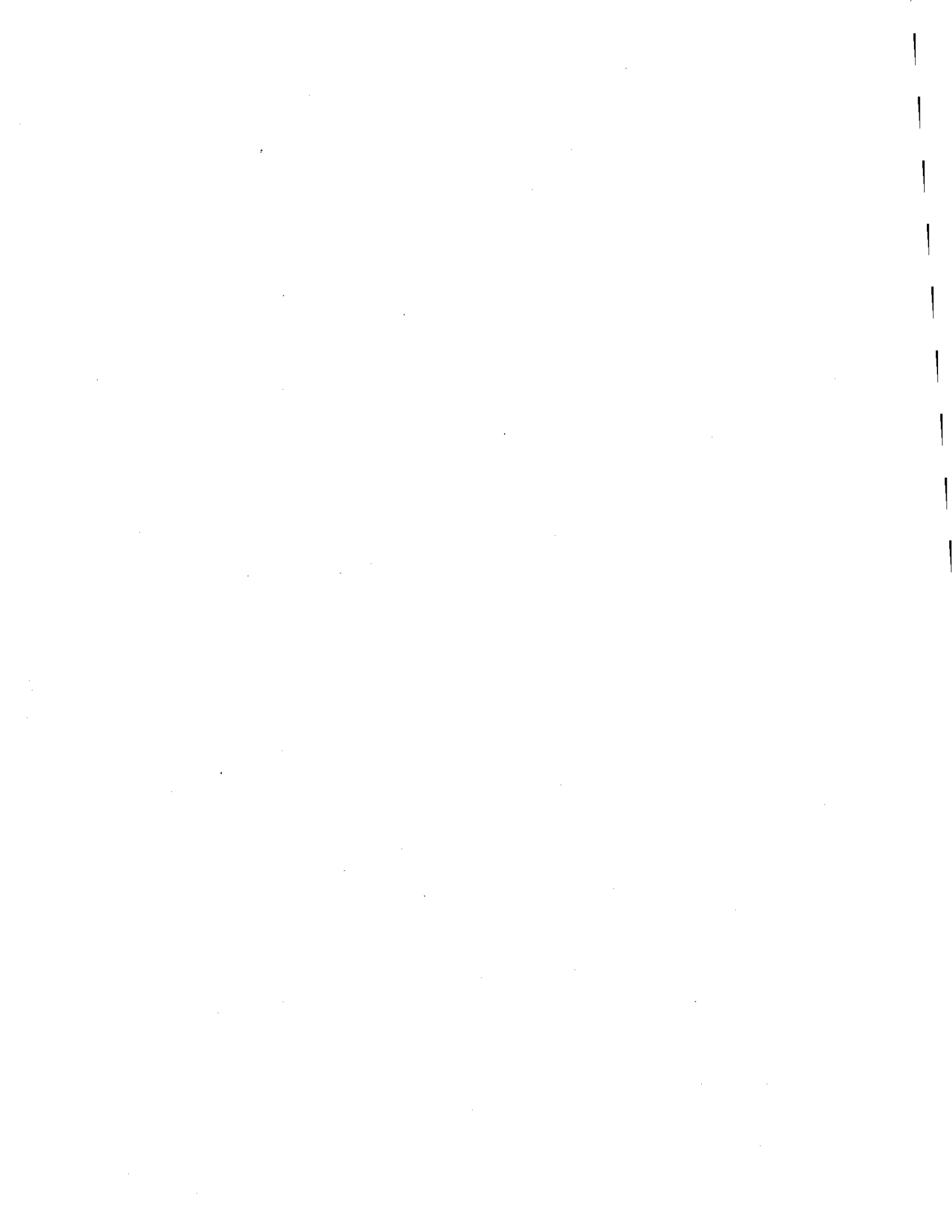
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4625	Mounted Tires and Batteries Authorized for Fleet Use	Exh. 351.31
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5399	Contract Routes Performance Record	Exh. 351.31
5406	Box Delivery Contract Route Survey	Exh. 351.31
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5500-A	Contract Route Irregularity Report	Exh. 351.31
5505	Cost Evaluation--Postal Vehicle Service vs. Contract Service	Exh. 351.31
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5659	Passport Application Transmittal	422.264, 422.265, 422.266, 422.272, 422.281
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5909	Road Test Examiner's Certificate	Exh. 351.31
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6100-B	OPF Disclosure Accounting Form (For law enforcement officials)	353.313
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6550	Declaration of Intent, and Certification of Authenticity	354.31
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7345	GBL Certification	Exh. 351.31
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7406	Amendment to Transportation Services Contract	Exh. 351.31
7407	Basic Surface Transportation Services Contract General Provisions	Exh. 351.31
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7435	Solicitation for Transportation Services Contract	Exh. 351.31
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7440	Contract Route Service Order	Exh. 351.31
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7444	Local Purchase Order	542.251
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221.5	Reporting Routine Losses or Offenses	221.5	374.2	Standard Designs for Business Cards	374.2
254.43	GSA Regional Offices	254.43	Chapter 4		
273.42	Inspection Service Locks	273.42	422.1	Examples of Nonpostal Services Provided by Interagency Agreement	422.1
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312	Standard Headquarter Directives	312	433.4a	Statement of Understanding and Release of Liability by Registrants in Carrier Alert Program	433.4a
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Appendix

Privacy Act Systems of Records

A. Explanation

This appendix contains two sections relating to systems of records regulated by the Privacy Act of 1974:

- a. Section B. is a sequential inventory of personal records, provided for reference, listing record system descriptions by index number.
- b. Section C. is a listing of the approved Postal Service record systems that contain information about individuals.

B. Personal Systems Sequential Inventory

- 010.000 Collection and Delivery Records
 - .010 Address Change and Mail Forwarding Records, 010.010
 - .020 Boxholder Records, 010.020
 - .030 Carrier Drive-Out Agreements, 010.030
 - .040 City Carrier Route Records, 010.040
 - .050 Delivery of Mail Through Agents, 010.050
 - .060 Free Matter for Blind and Visually Handicapped Persons, 010.060
 - .070 Mailbox Irregularities, 010.070
 - .080 Rural Carrier Route Records, 010.080
- 020.000 Communications (Public Relations)
 - .010 Biographical Summaries of Management Personnel for Press Release, 020.Q10
- 030.000 Equal Employment Opportunity
 - .010 EEO Discrimination Complaint Files, 030.010
 - .020 EEO Staff Selection Records, 030.020
 - .030 EEO Administrative Litigation Case Files, 030.030
- 040.000 Customer Programs
 - .010 Memo to Mailers Address File, 040.010
 - .020 Sexually Oriented Advertisements, 040.020
 - .030 Auction Customer Address File, 040.030
 - .040 Customer Holiday Address List Files, 040.040
- 050.000 Finance Records
 - .005 Accounts Receivable File Maintenance, 050.005
 - .Q10 Employee Travel Records (Accounts Payable), 050.010
 - .020 Payroll System, 050.020
 - .040 Uniform Allowance Program, 050.040
- 060.000 Consumer Protection Records
 - .010 Fraud, False Representation, Lottery and Non-Mailability Case Records, 060.010
 - .020 Pandering Act Prohibitory Orders, 060.020
 - .030 Appeals involving Mail Withheld from Delivery, 060.030
 - .040 Appeals from Termination of Post Office Box or Caller Service, 060.040
- 070.000 Inquiries and Complaints
 - .010 Correspondence Files of the Postmaster General, 070.010
 - .020 Government Officials' Inquiry System, 070.020
 - .040 Customer Complaint Records, 070.040
- 080.000 Inspection Requirements
 - .010 Investigative File System, 080.G10
 - .020 Mail Cover Program Records, 080.020
 - .030 Vehicular Violations Records System, 080.030
- 090.000 Nonmail Services
 - .020 Passport Application Records, 090.020
- 100.000 Office Administration
 - .010 Carpool Coordination/Parking Services Records System, 100.010
 - .020 Commercial Account Communicator Letter, 100.020
 - .050 Localized Employee Administration Records, 100.050
- 110.000 Property Management
 - .010 Accountable Property Records, 110.G10
 - .020 Possible Infringement of USPS Intellectual Property Rights, 110.020
- 120.000 Personnel Records
 - .020 Blood Donor Records System, 120.020
 - .035 Employee Accident Records, 120.035
 - .036 Discipline, Grievance, and Appeals Records for Non-Bargaining Unit Employees, 120.036
 - .040 Employee Job Bidding Records, 120.040
 - .050 Employee Suggestion Program Records, 120.050
 - .060 Confidential Statements of Employment and Financial Interests, 120.060
 - .061 Public Financial Disclosure Reports for Executive Branch Personnel, 120.061
 - .070 General Personnel Folders (Official Personnel Folders and Records Related Thereto), 120.070
 - .090 Medical Records, 120.090
 - .098 Office of Workers' Compensation Program (OWCP) Record Copies, 120.098
 - .099 Injury Compensation Payment Validation Records, 120.099
 - .100 Performance Awards System Records, 120.100
 - .110 Preemployment Investigation Records, 120.110
 - .120 Personnel Research and Test Validation Records, 120.120
 - .121 Applicant Race, Sex, National Origin, and Disability Status Records, 120.121
 - .130 Postmaster Selection Program Records, 120.130
 - .140 Employee Assistance Program (EAP) Records, 120.140
 - .151 Recruiting, Examining, and Appointment Records, 120.151
 - .152 Career Development and Training Records, 120.152
 - .153 Individual Performance Evaluation/Measurement, 120.153
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 - .010 Marketing Database--Customer Records, 220.010
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C. Privacy Act Systems of Records

1. Application The following points are relevant to Postal Service systems:

- a. The Postal Service's Privacy Act regulations and systems of records apply only to living persons. They do not apply to deceased persons, business firms identified by the names of individuals, sole proprietorships, partnerships, or corporations.
- b. The "purpose" portion of each system notice is included to provide clarity and promote understanding of the system by the layman. It may be defined as that activity performed by those officers and employees of the Postal Service who have a need for component records of the system in the performance of their duties. Disclosure accounting is not maintained by the Postal Service for any activity listed as a "purpose."
- c. All Postal Service records described in this list are subject to:
 - (1) Disclosure pursuant to an order of a court of competent jurisdiction.
 - (2) Review by Congress or one of its committees or subcommittees upon request.

2. Prefatory Statement of Routine Uses Where applicable, the following routine uses are incorporated by reference into each system of records set forth below (the letter "i" was not used in this list):

- a. *Disclosure for Law Enforcement Purposes.* When the Postal Service becomes aware of an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, or in response to the appropriate agency's request upon a reasonable belief that a violation has occurred, the relevant records may be referred to the appropriate agency, whether federal, State, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto.
- b. *Disclosure Incident to Litigation.* Records from this system may be disclosed to the Department of Justice or to other counsel representing the Postal Service, or may be disclosed in a proceeding before a court or adjudicative body before which the Postal Service is authorized to appear, when (a) the Postal Service; or (b) any postal employee in his or her official capacity; or (c) any postal employee in his or her individual capacity whom the Department of Justice has agreed to represent; or (d) the United States when it is determined that the Postal Service is likely to be affected by the litigation, is a party to litigation or has an interest in such litigation, and such records are determined by the Postal Service or its counsel to be arguably relevant to the litigation, provided, however, that in each case, the Postal Service determines that disclosure of the records is a use of the information that is compatible with the purpose for which it was collected. This routine use specifically cori-

templates that information may be released in response to relevant discovery and that any manner of response allowed by the rules of the forum may be employed.

- c. *Disclosure Incident to Requesting Information.* Records may be disclosed to a Federal, State or local agency maintaining civil, criminal, or other relevant enforcement or other pertinent information, such as licenses, when necessary to obtain information from such agency that is relevant to a Postal Service decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, permit, or other benefit.
- d. *Disclosure to Requesting Agency.* Records may be disclosed to a Federal, State, local or foreign agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the conduct of a security or suitability investigation of an individual, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.
- e. *Congressional Inquiries.* Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the prompting of that individual.
- f. *Disclosure to Agents and Contractors.* Records or information from this system may be disclosed to an expert, consultant, or other person who is under contract to the Postal Service to fulfill an agency function, but only to the extent necessary to fulfill that function. This may include disclosure to any person with whom the Postal Service contracts to reproduce by typing, photocopy or other means, any record for use by Postal Service officials in connection with their official duties or to any person who performs clerical or stenographic functions relating to the official business of the Postal Service.
- g. *Storage.* Inactive records may be transferred to a Federal Records Center for storage prior to destruction.
- h. *Disclosure to Office of Management and Budget.* Records from this system may be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.
- j. *Disclosure to Outside Auditors.* Records in this system may be subject to review by an independent certified public accountant during an official audit of Postal Service finances.
- k. *Disclosure to Equal Employment Opportunity Commission.* Records from this system may be disclosed to an authorized investigator, administrative judge, or complaints examiner appointed by the Equal Employment Opportunity Commission,

when requested in connection with the investigation of a formal complaint of discrimination filed against the U.S. Postal Service under 29 CFR Part 1613.

- l. *Disclosure to Merit Systems Protection Board or Office of the Special Counsel.* Records from this system may be disclosed to the Merit Systems Protection Board or Office of the Special Counsel for the purpose of litigation, including administrative proceedings, appeals, special studies, investigations of alleged or possible prohibited personnel practices, and such other functions as may be authorized by law.
- m. *Disclosure to Labor Organizations.* Pursuant to the National Labor Relations Act, records from this system may be furnished to a labor organization upon its request when needed by that organization to perform properly its duties as the collective bargaining representative of postal employees in an appropriate bargaining unit.

USPS 010.010

System Name. Collection and Delivery Records-Address Change and Mail Forwarding Records, 010.010.

System Location. Post Offices and contractor/licensee sites.

Categories of Individuals Covered by the System. Postal customers requesting mail forwarding services from their local postal facilities and any postal customers who are victims of a disaster who have requested mail forwarding services through the Red Cross.

Categories of Records in the System. Records contain customer name, old address, new mailing address, mail forwarding instructions, effective date, information as to whether the move is permanent or temporary and the customer's signature.

Authority for Maintenance of the System. 39 U.S.C. 403, 404.

Purpose(s)

- a. To provide mail forwarding services to postal customers who have changed addresses;
- b. To provide address correction services to postal customers; and
- c. To provide address information to the Red Cross about a postal customer who has been relocated because of a disaster.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. Records within the system reflect a customer's temporary or permanent change of address. General routine use statements a, b, c, d, e, f, g, h, j, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system

notices and routine use Nos. 4 and 5 below apply to all change of address (both temporary and permanent) information within this system. The remaining routine uses below are specific to either permanent or temporary change of address information, as stated.

1. The new address of any specific customer who has filed a permanent Change of Address (Form 3575 or handwritten order) may be furnished to any person upon request. Except for disclosures made pursuant to a general routine use or routine uses 3, 4, and 5 below, disclosure will be limited to the address of the specifically identified individual about whom the information is requested (i.e. not other individuals or family members whose names may also appear on the change of address order) and copies of the form will not be furnished.
2. Disclosure of a customer's new permanent address may be made from the National Change of Address file to customers seeking corrected addresses for their mailing lists.
3. Permanent change of address information may be disclosed to duly constituted election boards or registration commissions using permanent registration. Copies of change of address orders may be furnished.
4. Permanent or temporary change of address information may be disclosed to a federal, state, or local government agency upon prior written certification that the information is required for the performance of its duties. A copy of the change of address order may be furnished.
5. Permanent or temporary change of address information may be disclosed to a law enforcement agency, for oral requests made through the Inspection Service, but only after the Inspection Service has confirmed that the information is needed in the course of a criminal investigation. A copy of the change of address order may be furnished.
6. Temporary change of address information may be disclosed to a person empowered by law to serve legal process, or the attorney for a party in whose behalf service will be made, or a party who is acting pro se, upon receipt of written information that meets prescribed certification requirements. A copy of the change of address order will not be furnished.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. This source document is stored in filing cabinets at the delivery unit. They are filed alphabetically by name within a month or quarter. Records generated from the source document are stored on cards or list forms or recorded on magnetic tape and/or disk where central markup is computerized. These records are filed alphabetically by name and route number or wne. Records are also consolidated in a National Change of Address File on magnetic tape maintained by firms under contract or license agreement with the Postal Service.

Retrievability. By Name and address (paper records). By name and address within ZIP Code (computerized records).

Safeguards. Access to and use of these records are limited to those persons whose official duties require such access. Contractor/licensee Privacy Act protections are subject to impromptu on-site audits and inspection by the Postal Inspection Service.

Retention and Disposal

- a. Source document is retained for 18 months from effective date and then destroyed by shredding or burning.
- b. Information on magnetic tape and/or disk at Computerized Forwarding System sites is retained for 18 months from effective date. At the end of that period, the tapes/disks are erased.
- c. Information on magnetic tape at the Address Information Center (National Change of Address File) is retained for 36 months from effective date.

System Manager(s) and Address.

Paper Records

APMG
DELIVERY DIST & TRANS DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-7100

Computerized Records

APMG
CUST & AUTOMATION SERVICE DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-7200

Notification Procedure. Customers wishing to know whether information about them is maintained in this system of records should address inquiries to their local postmaster. Inquiries should contain full name and address, effective date of change order, route number (if known) and ZIP Code. Customers wishing to know whether information about them is also maintained in the National Change of Address File should address such inquiries to

MANAGER
NCOA ADDRESS INFORMATION SYSTEMS DIV
UNITED STATES POSTAL SERVICE
6060 PRIMACY PARKWAY
MEMPHIS TN 38188-0001

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR § 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. The individual to whom the record pertains.

USPS 010.020

System Name. Collection and Delivery Records-Boxholder Records, 010.020.

System Location. Post Offices.

Categories of Individuals Covered by the System. Postal customers who have applied for or expressed an interest in post office box or caller services, whether for private or public use.

Categories of Records in the System. Records are in printed or card form and contain name, addresses, telephone number, record of payment, post office box service preference and the names of persons or agents whether family members, business associates, or employees.

Authority for Maintenance of the System. 39 U.S.C. 403, 404.

Purpose(s). To provide post office box services to postal customers.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. This system contains records about postal customers who have applied for a post office box to be used for either a business or non-business purpose (as indicated on the Form 1093, Application for Post Office Box or Caller Number, or other evidence). General routine use statements a, b, c, d, e, f, g, h, j, and m listed in the Prefatory s!at met 'at' th beginning of the Postal Service's published system notices and routine use Nos. 2, 3, 4, and 5 below apply to both business and non-business boxholder information within this system. Note: Copies of the Form 1093 will not be furnished, except for disclosures made pursuant to a general routine use or routine uses 2, 4, and 5 below.

1. The recorded name, address, and telephone number of the holder of a post office box being used for the purpose of doing or soliciting business with the public, and any person applying for a box in behalf of a holder, will be furnished to any person upon request.
2. Disclosure of boxholder information may be made to a federal, state, or local government agency upon prior written certification that the information is required for the performance of its official duties. A copy of the Form 1093 may be furnished.
3. The name or address of the holder of a post office box may be disclosed to a person empowered by law to serve legal process, or the attorney for a party in whose behalf services will be made, or a party who is acting pro se, upon receipt of written information that meets prescribed certification requirements. A copy of the Form 1093 will not be furnished.
4. Disclosure of boxholder information may be made to a law enforcement agency, for oral requests

made through the Inspection Service, but only after the Inspection Service has confirmed that the information is needed in the course of a criminal investigation. A copy of the Form 1093 may be furnished.

5. Disclosure of boxholder information may be made, upon prior written certification from a foreign government agency citing the relevance of the information to an indication of a violation or potential violation of law and its responsibility for investigating or prosecuting such violation, and only if the address is (1) outside of the United States and its territories, and (2) within the territorial boundaries of the requesting foreign government. A copy of the Form 1093 may be furnished.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Printed or card form filed in metal cabinets. In locations where the records have been automated, information may be found on magnetic tape, magnetic cards or mylar strips.

Retrievability. Information is filed according to local needs, and the volume of records. Billing forms are filed numerically by box number within the month rent is due. Applications are filed alphabetically by name of individual or firm.

Safeguards. Access limited to employees working in the boxholder section. Automated records are subject to computer access controls (passwords) that restrict access to authorized personnel.

Retention and Disposal

- a. Boxholder Applications--Destroy 2 years after termination of the rental.
- b. Post Office Box Fee Register and Register for Caller Service Fees--Destroy 2 years from date of last entry on card. If automated, delete this customer's record upon termination of the box rental or caller service.
- c. Post Office Box and Caller Service Records:
 - (1) Closed Files and Index Cards--Destroy 6 months from date of closing.
 - (2) Closed Appeal Files--Destroy when 1 year old.

System Manager(s) and Address.

APMG
DELIVERY DIST & TRANS DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-7100

APMG
DEPARTMENT OF THE CONTROLLER
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5200

APMG
 RATES & CLASSIFICATION DEPT
 UNITED STATES POSTAL SERVICE
 475 L'ENFANT PLAZA SW
 WASHINGTON DC 20260-5300

Notification Procedure. Inquiries should be addressed to the local postmaster; requestors in person should identify themselves with drivers license, military, government or other form of identification.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. The individual to whom the record pertains.

USPS 010.030

System Name. Collection and Delivery Records--Carrier Drive-Out Agreements, 010.030.

System Location. Divisions, Sectional Centers, Post Offices, Postal Data Centers.

Categories of Individuals Covered by the System. Letter carriers who use privately owned vehicles to transport the mails pursuant to a valid agreement with the local postmaster.

Categories of Records in the System. Route Number, name and address of carrier, social security number and effective dates of the agreement.

Authority for Maintenance of the System. 39 U.S.C. 1206.

Purpose(s). To provide reimbursement to carriers driving their own vehicles.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Records may be used to transfer necessary tax information to Internal Revenue Service.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Preprinted forms, magnetic tape/disk and computer printout reports.

Retrievability. The system is indexed by employees' Social Security number, pay location number and pay period.

Safeguards. Normal precautions of filing equipment, limited access, and the physical security measures of the computer facility.

Retention and Disposal

- a. Agreements--Destroy when 2 years old.
- b. Postmaster's copy of the Form 1839, *Payment Record for Carrier Drive Out Agreements*--Destroy when 4 years old.
- c. Machine-readable records at the PDC (PS 1839 information)--Destroy when 7 years old.

System Manager(s) and Address.

APMG
 DELIVERY DIST & TRANS DEPT
 UNITED STATES POSTAL
 475 L'ENFANT PLAZA SW
 WASHINGTON DC 20260-7100

Notification Procedure. A carrier wishing to inquire whether this system of records contains information about him or to gain access to information pertaining to him should direct an inquiry to the head of the facility where employed. Inquiries should contain full name, social security number, the route worked, and the pay periods that the agreement was in force.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. The individual to whom the record pertains.

USPS 010.040

System Name. Collection and Delivery Records--City Carrier Route Records, 010.040.

System Location. Postal Service Headquarters, Regional Headquarters, Divisions, Sectional Centers, Post Offices, Postal Data Centers and ADP Contractor sites.

Categories of Individuals Covered by the System. City delivery letter carriers.

Categories of Records in the System. Employee name, social security number, age, route number, length of service, leave time and whether or not a transportation agreement exists. Also included is information pertaining to workload, work schedule, performance analysis, and individual work habits;

inspection reports of employee workload and workload adjustments; comments by employee and examiner on route adjustments and inspections; and statistical engineering records of carrier and route characteristics.

Authority for Maintenance of the System. 39 U.S.C. 403, 404.

Purpose(s). To assist management in evaluating mail delivery and collection operations and administering these functions efficiently.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Printed forms, computerized media, computer printouts.

Retrievability. Route number, employee name, or postal facility name.

Safeguards. Access to and use of these records are limited to those persons whose official duties require such access.

Retention and Disposal

- a. Route inspection records and minor adjustment worksheets are retained for 2 years where inspections or minor adjustments are made annually or more frequently. Where inspections are made less than annually, the records that reflect the current route structure are retained indefinitely until a new inspection or minor adjustment is made. At that time, the former records are retained for two years. Disposal of records is by shredding or burning.
- b. Other records in system are retained for a period of up to 1 year depending upon the criticality of the information and then destroyed by shredding or burning.
- c. Statistical engineering records are retained for 5 years and then further retained on a year-by-year basis as specifically justified.

System Manager(s) and Address.

APMG
DELIVERY DIST & TRANS DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-7100

SAPMG
OPERATIONS GROUP
UNITED STATES POSTAL SERVICE

475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-7000 (Statistical Engineering Records).

Notification Procedure. Inquiries should contain employee's name, social security number, and type of information being requested, and should be forwarded to post office of employment.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR § 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Employees, carrier supervisors, and route inspectors.

USPS 010.050

System Name. Collection and Delivery Records-Delivery of Mail Through Agents, 010.050.

System Location. Divisions, Sectional Centers, Post Offices.

Categories of Individuals Covered by the System. Postal customer requesting delivery of mail through an agent and the agent to whom the mail is to be delivered.

Categories of Records in the System. Records contain the name and address of customer, name and address of agent and the signatures of both parties.

Authority for Maintenance of the System. 39 U.S.C. 403, 404.

Purpose(s). Serves as the written authority for the delivery of mail other than as addressed.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, and m listed in the Prefatory statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Pre-printed forms maintained in file cabinets.

Retrievability. Customer name.

Safeguards. Access is limited to postal employees in the delivery section.

Retention and Disposal. Records are maintained until contract is terminated and then destroyed by shredding.

System Manager(s) and Address.

APMG
DELIVERY DIST & TRANS DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-7100

Notification Procedure. Submit to local postmaster proof of personal identity.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Co-signers of the request for delivery of mail through an agent.

USPS 010.060

System Name. Collection and Delivery Records-Free Matter for Blind and Visually Handicapped Persons, USPS 010.060.

System Location. Local Delivery Post Offices.

Categories of Individuals Covered by the System. Postal customers who are blind or visually handicapped and cannot use or read conventionally printed material and who are receiving postage-free service in their delivery areas.

Categories of Records in the System. Name and address of individual, and statement of competent authority certifying that the individual is unable to read conventional reading material.

Authority for Maintenance of the System. 39 U.S.C. 403, 404, 3403, 3404, 3405.

Purpose(s). To assist local postal management in processing mail matter for blind or visually handicapped persons without undue delay or uncertainty concerning such persons' eligibility to mail or receive items free of postage.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, "and j listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Paper files.

Retrievability. Customer name and address.

Safeguards. Records are maintained in locked file cabinets with access limited to those persons having an official need to know in the performance of their duties.

Retention and Disposal. Retained as long as the customer resides in delivery area and then destroyed by shredding or burning.

System Manager(s) and Address.

APMG
PHILATELIC & RETAIL SERVICES DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-6700

Notification Procedure. Customers wishing to know whether information about them is maintained in this system of records should address inquiries to their local postmasters. Inquiries should contain full name and address.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 § CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Individuals, licensed medical doctors, ophthalmologists, optometrists, registered nurses, professional staff members of hospitals, other institutions or agencies or other competent authority.

USPS 010.070

System Name. Collection and Delivery Records-Mailbox Irregularities, 010.070.

System Location. Divisions, Sectional Centers, Post Offices.

Categories of Individuals Covered by the System. Postal Service customers whose mailbox does not comply with USPS standards and regulations.

Categories of Records in the System. Reports of irregularities as submitted by the carrier or route inspector, the name and address of customer and the date and signature of the postmaster.

Authority for Maintenance of the System. 39 U.S.C. 403, 404.

Purpose(s). To provide for efficient delivery of the mail.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Pre-printed forms.

Retrievability. Route number.

Safeguards. Filed in cabinets with access limited to USPS personnel having an official need for access.

Retention and Disposal. Retained for one year after completed action and destroyed by shredding or burning.

System Manager(s) and Address.

APMG
DELIVERY DIST & TRANS DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-7100

Notification Procedure. Individuals wishing to know whether this system of records contains information about them should contact the local postmaster, presenting identification as to name, address and ZIP Code.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Carrier or route inspector.

USPS 010.080

System Name. Collection and Delivery Records-Rural Carrier Route Records, 010.080.

System Location. Post Offices having rural carrier operations; Operations Support Group; Regions; Divisions; Sectional Centers; Postal Data Centers; National Address Information Center (Memphis, TN); and contractor/licensee sites.

Categories of Individuals Covered by the System. Postal customers receiving rural mail delivery services; postal customers whose rural mail address has been converted to a locatable (city-style) address; and rural delivery letter carriers.

Categories of Records in the System. Employee name, route number, age, length of service, physical condition, quality of service and vehicle adequacy. Also included in this system is information pertaining to employee workload, work schedule and performance analysis; inspection reports of employees, workload and workload adjustments, route travel description; and employee and examiners' comments on adjustments and inspection. The system may also contain customer names, rural route location, and city-style address if rural route address has been converted.

Authority for Maintenance of the System. 39 U.S.C. 403, 404.

Purpose(s).

- a. To assist management in evaluating rural mail delivery and collection operations and administering these functions efficiently;
- b. to provide basis for payment of salary and vehicle maintenance allowance carriers;
- d. to assist government planning authorities in converting rural addresses to locatable (city-style) street addresses; and
- d. to provide address correction services to mailers who wish to have their mailing lists updated with the newly assigned or converted address.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Provide Bureau of the Census, Department of Commerce address information as requested to assist them in their statutory requirement of census taking.
2. Rural route customer addresses may be disclosed to persons or organizations authorized by a postal regulation to receive address correction information.
3. Name and address information may be disclosed to Federal, State, and local government agencies as required by such agencies for the purpose of performing their official duties.
4. Name and address information may be disclosed to government planning authorities or firms under contract with those authorities, for the purpose of assigning locatable (city-style) addresses to rural

addresses, but disclosure will be limited to that necessary for address conversion or assignment.

5. Disclosure of a customer's new locatable (city-style) address may be made from the Locatable Address Conversion File to mailers wishing to have their mailing lists updated with the newly assigned address, but disclosure will be limited to the assigned addresses corresponding to those provided by the mailer.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Preprinted forms or lists in ordinary file equipment or on computer tape and printouts. Records of rural address conversion to locatable (city-style) address are also consolidated in a Locatable Address Conversion Service file on magnetic tape maintained by firms under contract or license agreement with the Postal Service.

Retrievability. Records are maintained by name and address of customer, and by route number, employee name or postal facility name.

Safeguards. Access to and use of these records are limited to those persons whose official duties require such access. Contractor/licensee Privacy Act protections are subject to impromptu on-site audits and inspection by the Postal Inspection Service.

Retention and Disposal

- a. Records in card or list form are maintained as long as the customer resides on the route; they are destroyed by shredding one year after the customer moves.
- b. Route travel description records, and establishment and discontinuance orders are retained until route is discontinued and then transferred to the Federal Records Center within two years after discontinuance date.
- c. Trip reports are retained for three years and then disposed of by shredding or burning.
- d. Route inspection reports and mail count records (mail counts made annually or more frequently) are retained for two years. Where mail counts are made less than annually records are retained until the next mail counts. Disposal of records is by shredding or burning.
- e. Other carrier records in system are retained for a period of up to one year depending upon the criticality of the information and then destroyed by shredding or burning.

System Manager(s) and Address.

APMG
DELIVERY DIST & TRANS DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-7000

APMG
CUST & AUTOMATION SERVICE DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-7200

Notification Procedure. Customers wishing to know whether information about them is maintained in this system of records should address inquiries to their local postmaster. Inquiries should contain full name and address. Employee inquiries should state employee name and social security number, route number, specify the type of information being requested, and should be forwarded to post office where employed. Customers wishing to know whether information about them is also maintained in the Locatable Address Conversion System (LACS) should address such inquiries to:

MANAGER
LACS ADDRESS INFO SYSTEMS DIV
UNITED STATES POSTAL SERVICE
6060 PRIMACY PARKWAY STE 101
MEMPHIS TN 38188-0001

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures -above.

Record Source Categories. The customer to whom the record pertains, employees, carrier supervisors and route inspectors.

USPS 020.010

System Name. Communications (Public Relations)--Biographical Summaries of Management Personnel for Press Release, 020.010.

System Location. Office of News & Market Communications, Headquarters. Marketing & Communications, Regional Headquarters.

Categories of Individuals Covered by the System. USPS executives, directors and managers to include regional staff officers, division directors, division managers, sectional center managers and other key management officials who may have frequent contact with news media or public speaking engagements.

Categories of Records in the System. Biographical summaries on sheets of paper plus photographs. Summaries include present title and responsibility, length of service, age, place of birth, marital status and participation in local community activities.

Authority for Maintenance of the System. 39 U.S.C. 401, 1001.

Purpose(s). To provide background information on postal management personnel in connection with public relations matters such as speaking engagements, media appearances, appearances before civic, fraternal, and employee organizations.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, and l listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Bond paper in file cabinets.

Retrievability. Name and title.

Safeguards. File cabinets are located in communications offices where information is available only to individuals having a need for access.

Retention and Disposal

- a. Biographical sketches maintained at regions are retained while the individual is assigned within the region. If individual is promoted to or assigned to a position within the USPS outside the Region, biographical information is forwarded to the appropriate Public Affairs office; if employment with the USPS is terminated, the sketch is destroyed by shredding.
- b. Biographical sketches maintained at USPS Headquarters are retained indefinitely.

System Manager(s) and Address.

APMG
COMMUNICATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-3100

Notification Procedure. Inquiries should contain name and position held and should be presented to the Manager of Communications where currently, or previously, employed.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above.

Contesting Record Procedures. See Notification Procedure above.

Record Source Categories. The individual to whom the record pertains.

USPS 030.010

System Name. Equal Employment Opportunity-EEO Discrimination Complaint Files, 030.010.

System Location. Office of Equal Employment Opportunity, Employee Relations Department, Headquarters, Human Resources Service Centers at Regions, Division and Postal Data Centers.

Categories of Individuals Covered by the System. Current and former postal employees, and applicants for positions within the USPS and third party complainants.

Categories of Records in the System. Records may include names, work locations, dates, social security numbers, and other information as included on affidavits, interviews, investigative forms, counselor reports, exhibits, discovery, withdrawal notices, briefs, appeals, copies of decisions, records of hearings and meetings, and other records related to complaints.

Authority for Maintenance of the System. Public Law 92-261, Equal Employment Act of 1972; 29 U.S.C. 621 et seq., Age Discrimination in Employment Act; 29 U.S.C. 701 et seq., Rehabilitation Act of 1973; and Executive Order 11478, amended by Executive Order 11590.

Purpose(s). Used by EEO officers and the Equal Employment Opportunity Commission: to adjudicate complaints of alleged discrimination and to evaluate the effectiveness of the EEO Program.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information contained in this system of records may be disclosed to an authorized investigator appointed by the Equal Employment Opportunity Commission, upon his request, when that investigator is properly engaged in the investigation of a formal complaint of discrimination filed against the U.S. Postal Service under 29 CFR 1613, and the contents of the requested record are needed by the investigator in the performance of his duty to investigate a discrimination issue involved in the complaint.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Paper case files. Status information required by the Equal Employment Opportunity Commission is maintained on ADP records.

Retrievability. Case number. The custodian must also be furnished with the name of the complainant and the place where the complaint was filed. Case number consists of a number designating the region (or Headquarters), a letter designating the division, four digits for the chronological case number, and the last two digits of the applicable years.

Safeguards. Case files are maintained in lockable file cabinets within locked rooms. ADP records are protected with password security.

Retention and Disposal

- a. Precomplaint records--Counselor/Investigator notes are destroyed 1 year after a formal report is submitted to the EEO officer or 1 year following the final adjustment when made at that level.
- b. Formal Complaint records--All closed cases are removed from the system quarterly. Each closed case is retained as follows: Official file for 4 years, any copies for 1 year, and background documents not in case file for 2 years.
- c. ADP records--Closed case information is removed at the conclusion of the fiscal year and moved to an inactive file for future comparative analyses.

System Manager(s) and Address.

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure. Individuals interested in finding out if there is information in this records system pertaining to them should contact EEO officers at the Division or Headquarters level, giving complainant name, postal location, region, file number and year.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is received from the complainant, witnesses, respondent and through investigations and interviews.

Systems Exempted from Certain Provisions of the Act. Reference 39 CFR 266.9 for details.

USPS 030.020

System Name. Equal Employment Opportunity--Equal Employment Opportunity Staff Selection Records, 030.020.

System Location. Employee Relations Department, Headquarters and Field Divisions.

Categories of Individuals Covered by the System. Candidates considered by Promotion Boards for EEO staff position.

Categories of Records in the System. Name of candidate, level, address, service computation date, date of birth, Social Security Number, postal background, personal information required to assess employee qualifications for position, estimate of potential and record of members of Board.

Authority for Maintenance of the System. 39 U.S.C. 1001, Executive Orders 11478 and 11590.

Purpose(s). To provide headquarters with information needed to complete selection process.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. USPS Promotion Board reviews these records to determine applicant's eligibility for appointment.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Forms, paper files.

Retrievability. Name of applicant and pay location.

Safeguards. Maintained in locked file cabinets within secured facility.

Retention and Disposal. Destroy 3 years from date the position becomes vacant.

System Manager(s) and Address.

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure. Inquiries should be addressed to the head of the facility where application was made. Inquiries should contain full name, position applied for, the date the Promotion Board met and Social Security Number.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. Notification and Record Access Procedures above.

Record Source Categories. Employee, and employee personnel data.

USPS 030.030

System Name. Equal Employment Opportunity-EEO Administrative Litigation Case Files, 030.030.

System Location. Office of Labor Law, Law Department, National Headquarters; Office of Field Legal Services, Regions; and Field Divisions.

Categories of Individuals Covered by the System. Employees and applicants for employment involved in EEO Litigation.

Categories of Records in the System.

- a. Formal pleadings and memoranda of law;
- b. Other relevant documents may include names, work locations, dates, social security numbers, and other information as included on affidavits, interviews, investigative forms, counselor reports, exhibits discovery, withdrawal notices, briefs, appeals, copies of decisions, records of hearings and meetings, and other records related to complaints;
- c. Miscellaneous notes and case analyses prepared by Postal Service advocates and other personnel;
- d. Correspondence and telephone records.

Authority for Maintenance of the System. 39 U.S.C. 401, 409(d).

Purpose(s). To provide advice and representation to the Postal Service.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information contained in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information concerning the nature, status and disposition of the proceeding, may be disclosed to any person, unless it is determined that release of specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.
2. When considered appropriate, records in this system may be referred to a bar association or similar Federal, state or local licensing or regulatory authority for possible disciplinary action.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Case records are stored in paper folders and on magnetic tape or disk in automated office equipment.

Retrievability. Name of litigant(s).

Safeguards. Folders containing paper documents are kept in lockable filing cabinets within secured buildings or areas under the general scrutiny of authorized personnel. Computer terminals and tape/disk files are located in a secured area, and access is restricted to personnel having an official need.

Retention and Disposal

- a. Selected Appeals Case Files--Destroy 4 years from date of final decision or when they have no further use for reference, training, or similar purpose, whichever is longer.
- b. Appeal Case Files--Destroy 4 years from date of final decision.
- c. Paper records are shredded and computer tape/disk records are erased at the end of the retention period.

System Manager(s) and Address.

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure. Persons wishing to determine whether this system of records contains information about them should write to the System Manager and provide their name, case number, if known, and the approximate date the action was instituted.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above. Note.--Review of requests seeking amendment of records which have previously been the subject of a judicial or quasi-judicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented in the course of an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case, and will not include a review of the merits of the action.

Record Source Categories

- a. Individuals involved in EEO Litigation;
- b. Counselor(s) and other representative(s) for parties in action other than Postal Service;
- c. Other individuals involved in the development of EEO Litigation. Source documents include administrative complaint/action file, and other records relevant to the case.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552aU) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 040.010

System Name. Customer Programs--Memo to Mailers Address File, 040.010.

System Location. Communications Department, USPS Headquarters, and at a contractor site.

Categories of Individuals Covered by the System. Subscribers to Memo to Mailers monthly newsletter.

Categories of Records in the System, Subscriber's name and mailing address.

Authority for Maintenance of the System, 39 U.S.C. 403, 404.

Purpose(s), To prepare mailing labels for the monthly mailing of Memo to Mailers.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, and j listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage, Magnetic tape and computer printout.

Retrievability. Subscriber's name, city, state and ZIP+4 Code.

Safeguards. The list contractor is forbidden by contract to use the list for any other means than to produce mailing labels for the U.S. Postal Service.

Retention and Disposal. The master file is maintained indefinitely, and is updated each month.

System Manager(s) and Address.

APMG
COMMUNICATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-3100

Notification Procedure. Persons wishing to know whether information about them is maintained in this system of records should address inquiries to the System Manager and supply their name and address.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories, Subscribers, postmaster, USPS Account Representatives.

USPS 040.020

System Name. Customer Programs--Sexually Oriented Advertisements, 040.020.

System Location, Rates and Classification Department, Headquarters; National Information Systems Development Center, Raleigh, NC.

Categories of Individuals Covered by the System. Any adult who elects to have his name and address and that of his children under 19 years of age, placed on the list of persons who do not wish to receive sexually oriented advertisements through the mail.

Categories of Records in the System. Name and address of head of household or other adult and the names and birth dates of children under 19 years of age.

Authority for Maintenance of the System. 39 U.S.C. Section 3010.

Purpose(s), To maintain a list, available to mailers of sexually oriented advertisements, of persons desiring not to receive such matter through the mails.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, and j listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

I. Upon payment of prescribed fee, records may be used to provide mailers of sexually oriented advertisements with a list of individuals who do not wish to receive SOA.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Magnetic tape, computer printouts, and preprinted forms.

Retrievability. ZIP Code and application number sequence.

Safeguards. Printouts are retained by the Office of Mail Classification and Rates Administration with limited access. Automated records are subject to computer center access controls.

Retention and Disposal

- a. Names are retained on the computerized list for a maximum of five years.
- b. Forms are retained until data has been computerized.
- c. Paper records are destroyed by shredding; computer records are destroyed by erasing.

System Manager(s) and Address.

APMG
RATES AND CLASSIFICATION DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5300

Notification Procedure. Customers will furnish the system manager their name, address, application number and the date of filing.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Customers filing to have their names placed on lists so as not to receive SOA.

USPS 040.030

System Name. Customer Programs--Auction Customer Address File, 040.030.

System Location. Post offices having Dead Parcel Braq.ches.

Categories of Individuals Covered by the System. Customers who wish to be on a mailing list to receive notices of future Dead Parcel Branch auctions.

Categories of Records Covered by the System. Customer names and addresses.

Authority for Maintenance of the System. 39 U.S.C. 401, 404.

Purpose(s). To maintain a list of names and addresses of customers who wish to be on a mailing list to receive notices of future Dead Parcel Branch auctions.

Routine Uses of Records Maintained in the System, Including Categories of Users and Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, and j listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Paper records or magnetic disks.

Retrievability. Customer name.

Safeguards. Paper records and disks are kept in locked cabinets; automated data is password protected.

Retention and Disposal. Records are kept for one year after entry and then destroyed by deletion (if automated) or by shredding (if paper).

System Manager(s) and Address.

APMG
RATES AND CLASSIFICATION DEPARTMENT
UNITED STATES POSTAL
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5300

Notification Procedure. Customers wishing to know whether information about them is maintained in this system of records should address inquiries to the manager of the Dead Parcel Branch. Inquiries should contain full name and address.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Attendees of auctions and others who ask to receive notice of future auctions.

USPS 040.040

System Name. Customer Programs--Customer Holiday Address List File, 040.040.

System Location. Maintained temporarily at the National Address Information Center in Memphis, TN for data entry and label creation; stored "off line" on magnetic media at post offices participating in program.

Categories of Individuals Covered by the System. Customers who provide holiday address lists to be converted to pre-barcoded address labels.

Categories of Records in the System. Name, address, phone number, and USPS-assigned customer number of customer ordering address labels; address list provided by the customer for conversion to address labels.

Authority for Maintenance of the System. 39 U.S.C. 403, 404.

Purpose(s).

1. To prepare pre-barcoded mailing labels for customers from their holiday address lists;
2. To improve service and reduce operating costs through increased use of automation in peak volume periods and
3. To provide management with statistical data to resolve operations problems created by peak volume periods.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses.

1. Records from this system may be disclosed to the Department of Justice or to other counsel representing the Postal Service, or may be disclosed in a proceeding before a court or adjudicative body before which the Postal Service is authorized to appear, when (a) the Postal Service; or (b) any postal employee in his or her official capacity or (c) any postal employee in his or her individual capacity whom the Department of Justice has agreed to represent; or (d) the United States when it is determined that the Postal Service is likely to be affected by the litigation, is a party to litigation or has an interest in such litigation, and such records are determined by the Postal Service or its counsel to be arguably relevant to the litigation, provided, however, that in each case, the Postal Service determines that disclosure of the records is a use of the information that is compatible with the purpose for which it was collected. This routine use specifically contemplates that information may be released in response to relevant discovery and that any manner of response allowed by the rules of the forum may be employed.
2. Disclosure may be made to a Congressional office from the record of an individual in response to an

inquiry from the Congressional office made at the prompting of that individual.

3. Records or information from this system may be disclosed to an expert, consultant, or other person who is under contract to the Postal Service to fulfill an agency function, but only to the extent necessary to fulfill that function. This may include disclosure to any person with whom the Postal Service contracts to reproduce, by typing, photocopy or other means, any record for use by Postal Service officials in connection with their official duties or to any person who performs clerical or stenographic functions relating to the official business of the Postal Service.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Paper records that include an order form and address list submitted by customer will be kept only until list is converted to mailing labels. Name, address, and address list of ordering customer will be automated during conversion and then stored off-line on magnetic media.

Retrievability. USPS-assigned account number and customer name.

Safeguards. Access to these records is limited to those persons whose official duties require such access. Access to automated records is restricted by authorized access codes. Contractors who perform data-entry conversion are forbidden by contract to use information collected by the system for any purpose other than to produce mailing labels for the Postal Service. Hard copy records are maintained within lockable filing cabinets.

Retention and Disposal. Information is maintained indefinitely as long as the customer places an order at least once annually. Information will be destroyed two years from the date the customer last placed an order if no order has been made in that time period. Destruction will be by electronic erasure.

System Manager(s) and Address.

DIRECTOR
OFFICE OF ADDRESS INFORMATION SYSTEMS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5902.

Notification Procedure. Individuals wishing to know whether information about them is maintained in this system of records should address inquiries to the head of the facility at which they submitted their holiday address list order. Inquiries should contain name, address, and customer number, if known.

Record Access Procedure. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedure. See Notification and Record Access Procedures above.

Record Source Categories. Information is furnished by record subjects (customers) requesting conversion of their holiday address lists to mailing labels.

USPS 050.005

System Name. Finance Records--Accounts Receivable File Maintenance. 050.005.

System Location. Postal Data Centers and contractor sites.

Categories of Individuals Covered by the System. Present and former employees, contractors, vendors and other individuals indebted to the Postal Service.

Categories of Records in the System. Invoice number, location name, Social Security Number, employee name, designation code.

Authority for Maintenance of the System. 39 U.S.C. 401; 5 U.S.C. 552a(b)(12); Debt Collection Act of 1982 (Pub. L. 97-365).

Purpose(s). Records are used to facilitate debt collection, to monitor and record collections made by the USPS, and as a data source for management information for production of summary descriptive statistics and analytical studies.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Records in this system are subject to review by an independent certified public accountant during an official audit of Postal Service finances.
2. Disclosure may be made to a debt collection agency for collection of a debtor's account as provided for by contract with the debt collection agency.
3. Disclosure of information about individuals indebted to the Postal Service may be made to the Office of Personnel Management under approved computer matching efforts in which either the Postal Service or OPM acts as the matching agency, but limited to those data elements considered relevant to determining whether the indebted individual has retirement funds available for set-off; collecting debts when funds are available for set-

off; and writing off debts determined to be uncollectible.

Disclosure to Consumer Reporting Agencies. Disclosures pursuant to 5 U.S.C. 552a(b)(12) may be made from this system to consumer reporting agencies as defined in Fair Credit Reporting Act (15 U.S.C. 1681(a)(f)) and the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)).

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Printed forms, punched cards and magnetic tape.

Retrievability. Records are normally retrieved by social security number. When necessary, they may be retrieved by invoice number, name of employee, contractor, vendor, or other indebted individual.

Safeguards. Access is restricted to personnel of the General Accounting Section within the Postal Service and to contract employees responsible for assigned accounts. Computerized records are subject to the security of the computer room. Contract provisions make the contractor(s) responsible for complying with the provisions of the Privacy Act (subsection (m)(1)), except in the case of subsection (b)(12) disclosures to consumer reporting agencies (subsection (m)(2)).

Retention and Disposal. All information is retained for four years after claim is paid and then destroyed by burning or scratching.

System Manager(s) and Address.

APMG
DEPARTMENT OF THE CONTROLLER
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5200

Notification Procedure. Individuals requesting information from this system of records will apply to the pertinent postal facility and present the debtor's name and Social Security Number.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is passed to this system from the Payroll Section, General Accounting Section, Claims Section, Postmasters and Regional Offices.

USPS 050.010

System Name. Finance Records--Employee Travel Records (Accounts Payable), 050.010.

System Location. Postal Data Centers, Postal Service Personnel Offices.

Categories of Individuals Covered by the System. USPS Employees on official travel.

Categories of Records in the System. Travel vouchers and travel advances containing employee name, social security number, Finance Number, basic travel information, and relocation data. Includes records pertaining to employee claims and other accounts payable records.

Authority for Maintenance of the System. 39 U.S.C. 1001, 2008.

Purpose(s). To reimburse employees for official travel.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Pre-printed forms and magnetic tape.

Retrievability. Social security number and name.

Safeguards. Paper records are stored in locked filing cabinets. Access to automated records is subject to computer center access control.

Retention and Disposal

- a. Officer's Expense Report--Destroy when 12 years old.
- b. Travel Advance and Travel Voucher:
 - (1) PDC Copy--Destroy when 6 years and 3 months old.
 - (2) Office Copy--Destroy 2 years from date of submission to PDC.
- c. Relocation Travel Orders--Destroy 4 years from date final relocation voucher is submitted.
- d. Relocation Travel Orders (Issuing Office)--Destroy when no longer needed for reference.

System Manager(s) and Address.

APMG
DEPARTMENT OF THE CONTROLLER
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5200

Notification Procedure. Requests for information should be presented to Employee's Personnel Office furnishing name and social security number.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is received from the employee filing a voucher.

USPS 050.020

System Name. Finance Records--Payroll System, 050.020.

System Location. Payroll system records are located and maintained in all Departments, facilities and certain contractor sites of the Postal Service. However, Postal Data Centers are the main locations for payroll information. Also, certain information from these records may be stored at emergency records centers.

Categories of Individuals Covered by the System. Current and former USPS employees, postmaster relief/replacement employees, and certain former spouses of current and former postal employees who qualify for Federal Employees Health Benefits Coverage under Pub. L. 98-615.

Categories of Records in the System. General payroll information including retirement deductions, family compensations, benefit deductions, accounts receivable, union dues, leave data, tax withholding allowances, FICA taxes, salary, name, social security number, payments to financial organizations, dates of appointment or status changes, designation codes, position titles, occupation code, addresses, records of attendance, and other relevant payroll information. Also includes automated Form SO, *Notification of Personnel Action* records.

Authority for Maintenance of the System. 39 U.S.C. 401, 1003; 5 U.S.C. 8339.

Purpose(s)

- a. Information within the system is for handling all necessary payroll functions and for use by employee supervisors for the performance of their managerial duties.
- b. To provide information to USPS management and executive personnel for use in selection decisions and evaluation of training effectiveness. These records are examined by the Selection Committee and Regional Postmasters General.
- c. To compile various lists and mailing lists, i.e., Postal Leader, Women's Programs Newsletter, etc.

d. To support USPS Personnel Programs such as Executive Leadership, Non-Bargaining Position Evaluations, Evaluations of Probationary Employees, Merit Evaluations, Membership and Identification Listings, Emergency Locator Listings, Mailing Lists, Women's Programs, and to generate retirement eligibility information and analysis of employees in various salary ranges.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Retirement Deduction--To transmit to the Office of Personnel Management a roster of all USPS employees under Title 5 U.S.C. 8334, along with a check.
2. Tax Information--To disclose to Federal, State and local government agencies having taxing authority, pertinent records, relating to individual employees, including name, home address, social security number, wages and taxes withheld for other jurisdictions.
3. Unemployment Compensation Data--To reply to State Unemployment Offices at the request of separated USPS employees.
4. Employee Address File..For W-2 tax mailings and postal mailings such as Postal Life, Postal Leader, etc.
5. Salary payments and allotments to financial organizations--To provide pertinent information to organizations receiving salary payments or allotments as elected by the employee.
6. FICA Deductions--The Social Security Act requires that FICA deductions be made for those employees not eligible to participate in the Civil Service Retirement System or Federal Employees' Retirement System (casuals). In addition, the Tax Equity and Fiscal Responsibility Act of 1982 requires that contributions to the Medicare program be deducted from all employees' earnings. (These statutes do not apply to employees in the Trust Territories who are not U.S. citizens.) Accordingly, records of earnings (i.e., W-2 information) must be disclosed to the Social Security Administration in order that it may account for funds received and determine individual's eligibility for benefits. Information disclosed includes name, address, SSN, wages paid subject to withholding, Federal, state, and local income tax withheld, total FICA wages paid and FICA tax withheld, occupational tax, life insurance premium and other information as reported on an individual's W-2 form.
7. To determine eligibility for coverage and payment of benefits under the Civil Service Retirement System, the Federal Employees' Retirement System, the Federal Employees' Group Life Insurance Program and the Federal Employees' Health Benefits Program and transfer related records as appropriate.
8. To determine the amount of benefit due under the Civil Service Retirement System, the Federal Employees' Retirement System, the Federal Employees' Group Life Insurance Program and the Federal Employees' Health Benefits Program and to authorize payment of that amount and to transfer related records as appropriate.
9. To transfer to Office of Workers' Compensation Program, Veterans Administration Pension Benefits Program, Social Security Old Age, Survivor and Disability Insurance and Medicare Programs, military retired pay programs, and Federal Civilian employee retirement systems other than the Civil Service Retirement System or the Federal Employees' Retirement System, when requested by that program, system, or individual covered by this system, for use in determining an individual's claim for benefits under such system.
10. To transfer earnings information under the Civil Service Retirement System or the Federal Employees' Retirement System to the Internal Revenue Service as required by the Internal Revenue Code of 1954, as amended.
11. To transfer information necessary to support a claim for life insurance benefits under the Federal Employees' Group Life Insurance, 4 East 24th Street, New York, NY 10010-3602.
12. To transfer information necessary to support a claim for health insurance benefits under the Federal Employees' Health Benefits Program to a health insurance carrier or plan participating in the program.
13. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies; may also be utilized to respond to general requests for statistical information (without personal identification of individuals) under the Freedom of Information Act or to locate specific individuals for personnel research or other personnel management functions.
14. Certain information pertaining to Postal Supervisors may be transferred to the National Association of Postal Supervisors.
15. To provide to the Office of Personnel Management (OPM) approximately 19 data elements (including SSAN, *DOB*, service computation date, retirement system, and FEGLI status) for use by OPM's Compensation Group. Data collected are not for the purpose of making determinations about specific individuals but are used only as a means of ensuring the integrity of the active employee/annuitant data systems and for analyzing and statistically projecting Federal retirement and insurance system costs. The same data submission will be used to produce summary statistics for reports of Federal employment.
16. Records in this system are subject to review by an independent certified public accountant during an official audit of Postal Service finances.

17. May be disclosed to a Federal or State agency providing parent locator services or to other authorized persons as defined by Pub. L. 93-647.
18. Disclosure of information about current or former postal employees may be made to requesting states under approved computer matching efforts in which either the Postal Service or the requesting State acts as the matching agency, but limited to only those data elements considered relevant to making a determination of employee participation in and eligibility under unemployment insurance programs administered by the States (and by those States to local governments); to improving program integrity; and to collecting debts and overpayments owed to those governments and their components.
19. To union-sponsored insurance carriers for the purpose of determining eligibility for coverage and payment of benefits under union-sponsored non-Federal insurance plans and transferring related records as appropriate.
20. Disclosure of information about current or former postal employees may be made to requesting Federal agencies or non-Federal entities under approved computer matching efforts in which either the Postal Service or the requesting entity acts as the matching agency, but limited to only those data elements considered relevant to making a determination of employee participation in and eligibility under particular benefit programs administered by those agencies or entities or by the Postal Service; to improving program integrity; and to collecting debts and overpayments owed under those programs.
21. Disclosure of information about current or former postal employees may be made, upon request, to the Department of Defense (DOD) under approved computer matching efforts in which either the Postal Service or DOD acts as the matching agency, but limited to those elements necessary to identify postal employees who are Ready Reservists for the purposes of updating DOD's listings of Ready Reservists and reporting reserve status information to the Postal Service and the Congress.
22. Disclosure of information about current or former postal employees may be made to requesting Federal agencies or non-Federal entities under approved computer matching efforts in which either the Postal Service or the requesting entity acts as the matching agency, but limited to only those data elements considered relevant to identifying those employees who are absent parents owing child support obligations and to collecting debts owed as a result thereof.
23. Disclosure of information about current or former postal employees may be made on a semi-annual basis to the Department of Defense (DOD) under approved computer matching efforts in which either the Postal Service or DOD acts as the matching agency, but limited to only those data elements considered relevant to identifying retired military employees who are subject to restrictions under the Dual Compensation Act as amended (5 U.S.C. 5532), and for taking subsequent actions to reduce military retired pay or collect debts and overpayments, as appropriate.
24. Disclosure of information about current or former postal employees may be made to requesting Federal agencies under approved computer matching efforts in which either the Postal Service or the requesting entity acts as the matching agency. Disclosure will be limited to only those data elements considered relevant to identify individuals who are indebted to those agencies and to provide those individuals with due process rights prior to initiating any salary offset, pursuant to the Debt Collection Act.
25. Disclosure of information about current and former employees may be made to the Selective Service System (SSS) under approved computer matching efforts in which either the Postal Service or SSS acts as the matching agency. Disclosure will be limited to only those data elements considered relevant to identify individuals eligible for registration under the Military Selective Service Act (50 U.S.C. App. 451 et seq.), to determine whether those individuals have complied with registration requirements, and to enforce compliance when necessary.
26. Disclosure of information about current or recently terminated postal employees who live or work in Colorado may be made to the Colorado Bureau of Investigation under an approved computer matching program. Disclosure will be limited to only those data elements which the Postal Service considers necessary for identifying currently or recently terminated employees who have been arrested for violations of law which relate to postal offenses and/or suitability for continued employment, or who are fugitives and for assisting State or local agents to apprehend fugitives.
27. Disclosure of information about current or former postal employees may be made to the Internal Revenue Service under computer matching efforts, but limited only to those data elements considered relevant to identifying individuals who owe delinquent federal taxes or returns, and to collecting the unpaid taxes by levy on the salary of those individuals pursuant to Internal Revenue Code.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Preprinted forms, magnetic tape, microforms, punched cards, computer reports and card forms.

Retrievability. Location, name and social security number.

Safeguards. Records are contained in locked filing cabinets; are also protected by computer passwords and tape library physical security.

Retention and Disposal

- a. Leave Application Files (Absence Control) and Unauthorized Overtime--Destroy when 2 years old.
- b. Time and Attendance Records (other than payroll) and local payroll records--Destroy when 3 years old.
- c. PDC records retention--contact PDC Payroll Office or Records Office.

System Manager(s) and Address(s):

APMG
DEPARTMENT OF THE CONTROLLER
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5200

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure. Request for information on this system of records should be made to the head of the facility where employed giving full name and social security number. Headquarters employees should submit requests to the System Manager.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is furnished by employees, supervisors and the Postal Source Data System.

USPS 050.040

System Name. Finance Records--Uniform Allowance Program, 050.040.

System Location. Postal facilities employing personnel entitled to uniform allowances and the Postal Data Center, St. Louis, MO.

Categories of Individuals Covered by the System. USPS Employees entitled to uniform allowances.

Categories of Records in the System. Name, social security number, designation code, account balance and pay location; invoices, bills, related correspondence and control documents.

Authority for Maintenance of the System. 39 U.S.C. 1206.

Purpose(s). To fund the procurement of uniforms.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Certain information may be furnished to a duly licensed uniform vendor from whom individual employees have made purchases for the purpose of accounting for payments.
2. Records in this system are subject to review by an independent certified public accountant during an official audit of Postal Service finances.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Preprinted forms, microfilm and magnetic tape.

Retrievability. Social security number.

Safeguards. Forms are kept in file cabinets and magnetic tape and microfilm are subject to Computer Center access control.

Retention and Disposal

- a. Post Office Case File--Destroy 3 years from date the employee leaves Postal Service or is no longer in a bargaining unit.
- b. PDC Card File--Destroy 6 months after each Accounting Period.
- c. PDC Pay Listing and Machine Readable Records--Destroy 6 years and 3 months from date of listing.

System Manager(s) and Address.

APMG
DEPARTMENT OF THE CONTROLLER
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5200

Notification Procedure. Correspond with the head of the facility where employed, furnishing name and social security number.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Payroll system and Postmasters have input to this system of records.

USPS 060.010

System Name. Consumer Protection Records-Fraud, False Representation, Lottery and Non-Mailability Case Records, 060.010.

System Location. Consumer Protection Division, Law Department, USPS Headquarters.

Categories of Individuals Covered by the System. Complamants; respondents and opposing parties in proceedings initiated pursuant to 39 U.S.C. 3001, 3002 and 3005 concerning the sending of false representations, lotteries or non-mailable matter through the mails; postal attorneys; attorneys representing parties; subjects of investigation and assigned Postal Inspectors. Note.-:In many cases, respondents are business firms not covered by the Privacy Act.

Categories of Records in the System. Complainants, pleadings, motions, orders, hearing transcripts, adjudications, investigative reports, exhibits, documentary evidence, witness statements, appeals, briefs, memoranda of law, consent agreements, orders directing detention of mail correspondence, decisions and other documents pertaining to administrative proceedings and litigation involving false representation, mailability and lotteries.

Authority for Maintenance of the System. 39 U.S.C. 3001, 3002, 3005, 3007, 3012; 18 U.S.C. 1301; 39 CFR Parts 952, 953.

Purpose(s). Used by consumer protection attorneys to investigate and enforce postal statutes concerning false representation, lottery and mailability; to represent the Postal Service in formal administrative proceedings before the Judicial Officer Department and in civil litigation.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Copies of initial, tentative and final decisions are maintained in the Postal Service Library for public inspection and copying.
2. Official records of administrative proceedings are maintained by the Recorder of the Judicial Officer Department for public inspection.
3. Information contained in litigation records is public to the extent that the documents have been filed in a court or public administrative proceedings, unless the court or other adjudicative body has ordered otherwise. Such public information including information concerning the nature, status and disposition of the proceeding, may be disclosed to any person, unless it is determined that release of specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

4. When considered appropriate, records in this system may be referred to a bar association or similar Federal, state or local licensing or regulatory authority for possible disciplinary action.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Case records are stored in paper folders. Abbreviated summary and identifying information pertaining to each case is maintained in case file docket binders and on magnetic tape or disk in automated office equipment. Copies of decisions are maintained for public inspection in the Headquarters Library. Official records of proceedings are maintained by the Recorder of the Judicial Officer Department.

Retrievability. Alphabetically by name of respondent, and numerically by sequential docket number.

Safeguards. Records are stored in lockable file cabinets under the general scrutiny of Postal Service attorneys. Access to computer data is restricted to personnel having an official need for access.

Retention and Disposal. Case files are moved to an inactive file 3 years after completion of action, and disposed of 20 years from date of completion. Case file dockets are destroyed 20 years after the destruction of the case files to which they pertain.

System Manager(s) and Address.

GENERAL COUNSEL
LAW DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-1100

Notification Procedure. Individuals wishing to know whether information about them is maintained in this system of records should address inquiries to the above System Manager. Inquiries should contain full name, name by which respondent in proceeding may have been designated and approximate time period in which proceedings may have been initiated.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above. Note.--Review of requests seeking amendment of records which have previously been the subject of a judicial or quasi-judicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented in the course of an adjudication, nor are they intended to provide a means for collaterally attacking the final-

ity of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case, and will not include a review of the merits of the action.

Record Source Categories. Complaints, correspondence between parties involved and Postal Inspection Service investigative reports.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)5. In addition, the USPS has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a0) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 060.020

System Name. Consumer Protection Records--Pandering Act Prohibitory Orders, 060.020.

System Location. Consumer Protection Division, Law Department, Headquarters; Mail Classification Centers; Regional Counsel Offices, Regional Headquarters; and Field Divisions.

Categories of Individuals Covered by the System. Persons requesting orders prohibiting the sending of sexually oriented advertisements, and the mailers against whom such orders are issued. Note.--In most cases, the mailers of advertising material are business firms not covered by the Privacy Act.

Categories of Records in the System. Applications for prohibitory orders, the mail piece upon which a request is predicated, issued orders, the registered mail receipt signed by mailer against whom order was issued, applications for the enforcement of prohibitory orders, pleadings, exhibits, briefs, investigative reports, hearing transcripts, material documents from Postmaster's case file, initial, tentative and final decisions, and appeals.

Authority for Maintenance of the System. 39 U.S.C. 3008, 3010; 39 CFR Parts 916, 963.

Purpose(s). To process requests for orders prohibiting the sending of pandering advertisements through the mails and to determine whether violations of such orders have occurred. Used by Consumer Protection Division and Regional Counsel to investigate violations of postal pandering and sexually oriented advertisement statutes; to represent the Postal Service in

administrative proceedings before the Judicial Officer Department; and to seek court enforcement of prohibitory orders.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, and j listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Records may be used to provide mailers of sexually oriented advertisements with a list of individuals who do not wish to receive such material.
2. Copies of initial, tentative and final decisions are maintained in the Postal Service Library for public inspection and copying.
3. Official records of administrative proceedings are maintained by the Recorder of the Judicial Officer Department for public inspection.
4. Information contained in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information concerning the nature, status and disposition of the proceeding, may be disclosed to any person, unless it is determined that release of specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.
5. When considered appropriate, records in this system may be referred to a bar association or similar Federal, state or local licensing or regulatory authority for possible disciplinary action.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Case records are stored in paper folders. Abbreviated information is stored in log books and on magnetic tape or disk in automated office equipment. Copies of decisions are maintained for public inspection in the Headquarters Library. Official records of proceedings are maintained by the Recorder of the Judicial Officer Department.

Retrievability. By prohibitory order number or by name of person requesting order.

Safeguards. Case files are stored in lockable file cabinets under the general scrutiny of Postal Service attorneys. Access to computer data is restricted to personnel having an official need for access.

Retention and Disposal

- a. Case Files--Retained for 5 years following issuance of order or last application for enforcement.
- b. Log Books--Disposed of 5 years from date of last entry.

System Manager(s) and Address.

GENERAL COUNSEL
LAW DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA
WASHINGTON DC 20260-1100

Notification Procedure. Individuals wishing to know whether information about them is maintained in this system of records should address inquiries to the System Manager. Inquiries should contain full name and address of the person requesting the prohibitory order.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above. Note.--Review of requests seeking amendment of records which have previously been the subject of a judicial or quasi-judicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented in the course of an adjudication, nor are they intended to provide a means of collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case, and will not include a review of the merits of the action.

Record Source Categories. Persons requesting prohibitory orders.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552aG) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 060.030

System Name. Consumer Protection Records--Appeals Involving Mail Withheld from Delivery, 060.030.

System Location. Consumer Protection Division, Law Department, USPS Headquarters; Inspection Service.

Categories of Individuals Covered by the System. Individuals who appeal on account of the withholding of their mail and attorneys representing such persons. Note.--Business firm customers are not covered by the Privacy Act.

Categories of Records in the System. Original correspondence regarding the withholding of mail from delivery; records that document the withholding; investigative reports; evidence of delivery or attempted delivery of notices; petitions; pleadings, notes and legal memoranda; discovery documents; briefs; settlement agreements; decisions, appeals and orders.

Authority for Maintenance of the System. 39 U.S.C. 204, 401, 3303, 3004; 18 U.S.C. 1302, 1341 and 1342; 39 CFR Part 964.

Purpose(s). To enable the General Counsel to represent the Postal Service in administrative proceedings before the Judicial Officer Department in which customers petition for review of cases in which the Inspection Service has withheld mail from delivery pursuant to 39 U.S.C. 3003 to 3004.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Copies of initial, tentative and final decisions are maintained in the Postal Service Library for public inspection and copying.
2. Official records of administrative proceedings are maintained by the Recorder of the Judicial Officer Department for public inspection.
3. Information contained in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information concerning the nature, status and disposition of the proceeding, may be disclosed to any person, unless it is determined that release of specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.
4. When considered appropriate, records in this system may be referred to a bar association or similar Federal, state or local licensing or regulatory authority for possible disciplinary action.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Appeal case records are stored in paper folders, filed chronologically by date of closing. Abbreviated information, such as case name and other identifying data, is stored on index cards, filed alphabetically by case name, and on magnetic tape or disk in automated office equipment.

Retrievability. By Postal Service docket number and by name of individual whose mail has been withheld from delivery.

Safeguards. Records are maintained in lockable filing cabinets under the general scrutiny of Postal Service attorneys. Access to computer data is restricted to personnel having an official need for access.

Retention and Disposal. Appeal case records are destroyed one year after final disposition of case. Index cards are destroyed six months after final disposition of case.

System Manager(s) and Address.

GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-1100

Notification Procedure. Individuals wishing to know whether information about them is maintained in this system of records should address inquiries to the System Manager. Inquiries should contain full name and address of the person whose mail has been withheld and the approximate date of such withholdings.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 § CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above. Note.--Review of requests seeking amendment of records which have previously been the subject of a judicial or quasi-judicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented in the course of an adjudication, nor are they intended to provide a means of collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case, and will not include a review of the merits of the action.

Record Source Categories. Individuals whose mail has been withheld from delivery, and their attorneys; Inspection Service investigative reports; witnesses.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552aU) and (k). See 39 § CFR 266.9. To the extent that copies of exempt

records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 060.040

System Name. Consumer Protection Records--Appeals from Termination of Post Office Box or Caller Service, 060.040.

System Location. Consumer Protection Division, Law Department, USPS Headquarters; Post Offices.

Categories of Individuals Covered by the System. Individuals who appeal from the refusal to provide, or involuntary termination of, post office box or caller service and attorneys representing such persons. Note.--Business firm customers are not covered by the Privacy Act.

Categories of Records In the System. Original correspondence regarding denial or termination of post office box or caller service; records that document involuntary termination; investigative reports; evidence of delivery or attempted delivery of notices; petitions; pleadings, notes and legal memoranda; briefs; settlement agreements; decisions, appeals and orders.

Authority for Maintenance of the System. 39 U.S.C. 401, 404(a)(1); 39 CFR Part 958; Domestic Mail Manual, Parts 951, 952.

Purpose(s). To enable the General Counsel to represent the Postal Service in administrative proceedings before the Judicial Officer Department in which customers petition for review of postmaster determinations to refuse or terminate post office box or caller service.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information contained in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information concerning the nature, status and disposition of the proceeding, may be disclosed to any person, unless it is determined that release of specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.
2. When considered appropriate, records in this system may be referred to a bar association or similar Federal, state or local licensing or regulatory authority for possible disciplinary action.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Appeal case records are stored in paper folders, filed chronologically by date of closing. Abbreviated information, such as case name and other identifying data, is stored on index cards, filed alphabetically by case name, and on magnetic tape or disk in automated office equipment.

Retrievability. By Postal Service docket number and by name of individual whose service has been refused or terminated.

Safeguards. Records are maintained in lockable filing cabinets under the general scrutiny of Postal Service attorneys. Access to computer data is restricted to personnel having an official need for access.

Retention and Disposal. Appeal case records are destroyed one year after final disposition of case. Index cards are destroyed six months after final disposition of case.

System Manager(s) and Address.

GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-1100

Notification Procedure. Individuals wishing to know whether information about them is maintained in this system of records should address inquiries to the System Manager. Inquiries should contain full name and address of the person whose service has been terminated and the approximate time period of its termination.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above. Note.--Review of requests seeking amendment of records which have previously been the subject of a judicial or quasi-judicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented in the course of an adjudication, nor are they intended to provide a means of collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case, and will not include a review of the merits of the action.

Record Source Categories. Individuals whose post office box or caller service has been terminated and their attorneys; reports of postmasters; Inspection Service investigative reports.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552aQ) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 070.010

System Name. Inquiries and Complaints--Correspondence Files of the Postmaster General, 070.QIO.

System Location. Office of the Postmaster General, USPS Headquarters.

Categories of Individuals Covered by the System. USPS employees and Postal Service customers who have corresponded with the Office of the Postmaster General.

Categories of Records in the System. General correspondence including correspondent's name, address, nature of inquiry and response.

Authority for Maintenance of the System. 39 USC 401.

Purpose(s). To maintain reference to letters from persons communicating with the Postmaster General.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Periodically transferred to custody of National Archives and Records Administration (NARA) for keeping as historical documentation.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Original typed, printed, or handwritten form.

Retrievability. Individual's name, chronologically and subject.

Safeguards. Records are maintained in locked filing cabinets under scrutiny of PMG's secretary and in secured locked storage room with limited access.

Retention and Disposal

- a. Permanent Subject Files--Transfer to a Federal Records Center when 4 years old. Offer to NARA in 5-year blocks when the latest records are 20 years old.
- b. Temporary Subject Files--Destroy when 4 years old.

System Manager(s) and Address.

OFC OF THE POSTMASTER GENERAL
UNITEO STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-0010

Notification Procedure. Inquiries should be addressed to the System Manager and should contain full name, date of letter, and subject.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Persons communicating with the Postmaster General.

USPS 070.020

System Name. Inquiries and Complaints--Government Officials' Inquiry System, 070.020.

System Location. Government Relations Department, USPS Headquarters.

Categories of Individuals Covered by the System. Employees, former employees, applicants for employment, contractors, lessors, and customers who have written to nonpostal government officials, congressmen and other government officials corresponding with the USPS in behalf of postal customers/employees and various individuals to whom Postal Service announcements/greetings are directed.

Categories of Records in the System. Information stemming from correspondence described above, and lists of individuals for announcements/greetings.

Authority for Maintenance of the System. 39 U.S.C. 401.

Purpose(s). To provide USPS officials with the means of responding to inquiries from and/or for other government officials and to serve as a workload reporting system for which a description appears as USPS 170.010.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. (For records received before December 31, 1986): Original, typed, printed, or handwritten form and on magnetic tape/disk and computer printouts. (For records received after January 1, 1987): Optical disk, magnetic tape/disk, and computer printouts.

Retrievability. Subject category as derived from correspondence and the name of the inquirer and/or official inquiring in his/her behalf.

Safeguards. All records not in storage at a Federal Records Center are maintained on computer-readable media in a secured data processing facility.

Retention and Disposal. Paper records are maintained for four years and then destroyed by shredding; optical disk/magnetic tape/disk records are kept for three years and then erased.

System Manager(s) and Address.

APMG
GOVERNMENT RELATIONS DEPARTMENT
UNITED STATES POSTAL
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-3500

Notification Procedure. Persons wishing to know whether information about them is maintained in this system of records should address inquiries to the System Manager. Inquiries should contain full name, the name of the government official to whom he or she wrote, the nature of the inquiry and the approximate date.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Nonpostal government officials.

USPS 070.040

System Name. Inquiries and Complaints--Customer Complaint Records, 070.040

System Location. Consumer Advocate USPS, Regional and National Headquarters, Divisions, Post Offices, and the Postal Data Center in St. Louis, MO.

Categories of Individuals Covered by the System. USPS customers who have contacted the USPS with a suggestion or a problem.

Categories of Records in the System. Customer's name, address, nature of the inquiry or complaint, and resolution of same. Includes general correspondence and Consumer Service Cards concerning customer complaints/inquiries.

Authority for Maintenance of the System. 39 U.S.C. 403, 404.

Purpose(s). To process USPS customer concerns and inquiries regarding mail services.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records In the System

Storage. Typed, printed, handwritten or computer printed form, microfilm, and magnetic tape.

Retrievability. For correspondence and computerized complaint cards, by chronological sequence within subject category as derived from correspondence and the name of inquirer or complainant. For complaint cards, chronological by retrieval code and preprinted complaint card serial number.

Safeguards. Paper records are maintained in closed filing cabinets. Computer records are subject to the security of the computer room.

Retention and Disposal. Destroy 1 year after resolution of problem.

System Manager(s) and Address.

APMG
PHILATELIC & RETAIL SRVS DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-6700

Notification Procedure. Customers wishing to know whether information about them is maintained in this system of records should address inquiries to the same facility to which they submitted their complaint. Inquiries concerning complaint cards should include the date and card serial number.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedure. See Notification and Record Access Procedures above.

Record Source Categories. USPS customers.

USPS 080.010

System Name. Inspection Requirements--Investigative File System, 080.010.

System Location. Office of the (1) Chief Postal Inspector, Headquarters; (2) Regional Chief Postal Inspector (five regions); and (3) Inspector-in-Charge (39 divisions). See addresses at end of system notice.

Categories of Individuals Covered by the System.

- a. Subjects of investigations, unsolicited information, surveillance; complainants, informants, witnesses; and other persons related to investigations.
- b. Applicants and current and former Postal Service personnel and contractors and persons providing information related to employment suitability checks on those individuals.
- c. Applicants for and appointees to sensitive positions in the Postal Service and persons providing information related to security clearance checks on those individuals.

Categories of Records in the System. Information within this system relates to Inspection Service investigations carried out in accordance with applicable policies, regulations, procedures, and statutes. The investigations may relate to criminal, civil, or administrative matters, including personnel suitability and security clearance. Generally, investigative case files are physically located in the responsible Inspection Service division or regional Headquarters. These files may contain investigative reports, background data including arrest records, statements of informants and witnesses, laboratory reports of evidence analysis, search warrants, summons and subpoenas, and other information related to the investigation. Personal data in the system may include fingerprints, handwriting samples, reports of confidential informants, physical identifying data, voiceprints, polygraph tests, photographs, and individual personnel and payroll information. [Inspection Service database systems contain additional or summary duplicative case file and other information in support of investigations. In addition, Inspection Service divisions maintain reference files

and indexes, as needed, for quick access in day-to-day operations. The specific authority for the postal Inspection Service to investigate postal offenses and civil matters relating to the Postal Service is conferred at 39 U.S.C. 404(a)(7), 18 U.S.C. 3061, and 5 U.S.C. App 3. In the exercise of that authority, the Inspection Service conducts investigations pursuant to the following Federal statutes and administrative rules which are not intended to be all-inclusive. Although other Federal agencies may have primary investigative jurisdiction over some of the statutes listed, the Inspection Service applies those statutes for cases involving postal personnel or property or as authorized by the Attorney General of the United States (18 U.S.C. 3061(b)(2)). These are the primary statutes that impact the Postal Inspection Service, but an investigation may involve statutes not listed.

1. *False Representations; Lotteries.* Where any person is engaging in conducting a scheme or device for obtaining money or property through the mail by means of false representations or is conducting a lottery, the Postal Service may issue an order to return such mail to the sender (Title 39, United States Code, Section 3005).
2. *Detention of Mail for Temporary Periods.* Relates to violations of 39 U.S.C. 3005 and 3006. The U.S. District Court may issue a temporary restraining order and preliminary injunction directing the detention of defendant's incoming mail (Title 39, United States Code, Section 3007).
3. *Mailing of Sexually Oriented Advertisements (SOA).* Permits customers to file a statement with the Postal Service that they do not want to receive SOAs; a mailer who sends that person unsolicited SOA may be subject to civil and criminal sanctions penalties under 39 U.S.C. 3011 and 18 U.S.C. 1735-37 (Title 39, United States Code, Section 3010).
4. *Circulars and Rewards.* Covers authorization and procedures (Title 39, Code of Federal Regulations, Section 233.2).
5. *Mail Covers.* Covers policy, authorization and review procedures for mail covers; an investigative technique by which a record is made of any data appearing on outside cover of mail matter (Title 39, Code of Federal Regulations, Section 233.3).
6. *Withdrawal of Mail Privileges.* Applies to false representation and lottery orders and fictitious name or address orders (Title 39, Code of Federal Regulations, Section 233.4).
7. *Requesting Financial Records from a Financial Institution.* Covers purpose, authorization and procedures (Title 39, Code of Federal Regulations, Section 233.5).
8. *Test Purchases Under 39 U.S.C. 3005(e).* Covers authorization and procedures (Title 39, Code of Federal Regulations, Section 233.6).
9. *Conduct on Postal Property.* Covers posted regulations governing conduct on postal property (Title 39, Code of Federal Regulations, Section 232.1).
10. *Responsibility for the Protection of Post Offices.* Designates Chief Postal Inspector as Security Officer (Title 39, Code of Federal Regulations, Section 231.1).
11. *Internal Financial Audits.* The Postal Service shall maintain an adequate internal audit of the financial transactions of the Postal Service (Title 39, United States Code, Section 2008(b)).
12. *Principals.* Applies to aiding and abetting (Title 18, United States Code, Section 2).
13. *Special Maritime and Territorial Jurisdiction of the United States defined.* Applies to certain USPS facilities that fall under this jurisdiction (Title 18, United States Code, Section 7).
14. *Obligation or Other Security of the United States defined.* Includes stamps and money orders (Title 18, United States Code, Section 8).
15. *Laws of States Adopted for Areas Within Federal Jurisdiction.* Makes states statutes applicable on federal properties when no federal law exists (Title 18, United States Code, Section 13).
16. *Destruction of Aircraft or Aircraft Facilities.* Applies to mailed explosive devices that result in such destruction (Title 18, United States Code, Section 32).
17. *Destruction of Motor Vehicles or Motor Vehicle Facilities.* Applies to mailed explosive devices that result in such destruction (Title 18, United States Code, Section 33).
18. *Imparting or Conveying False Information.* Prohibits the giving of false information concerning crimes (Title 18, United States Code, Section 35).
19. *Importation or Shipment of Injurious Mammals, Birds, Fish (including Mollusks and Crustacea), Amphibia, and Reptiles; Permits, Specimens for Museums; Regulations.* Applies to USPS when such items are mailed (Title 18, United States Code, Section 42).
20. *Transportation of Water Hyacinths.* Applies to USPS when such items are mailed (Title 18, United States Code, Section 46).
21. *Arson Within Special Maritime and Territorial Jurisdiction.* Applies to arson of USPS facilities within this jurisdiction (Title 18, United States Code, Section 81).
22. *Assaulting, Resisting or Impeding Certain Officers or Employees.* Applies to USPS employees (Title 18, United States Code, Section 111).
23. *Assaults Within Maritime and Territorial Jurisdiction.* Applies to certain USPS facilities (Title 18, United States Code, Section 113).
24. *Maiming Within Maritime and Territorial Jurisdiction.* Applies to certain USPS facilities (Title 18, United States Code, Section 114).
25. *Influencing, Impeding, or Retaliating Against a Federal Official by Threatening or Injuring a Family Member.* Applies to USPS employees (Title 18, United States Code, Section 115).
26. *Bribery of Public Officials and Witnesses.* Applies to USPS employees (Title 18, United States Code, Section 201).
27. *Compensation to Members of Congress, Officers, and Others in Matters Affecting the Government.* Applies to USPS employees (Title 18, United States Code, Section 203).

28. *Activities of Officers and Employees in Claims Against and Other Matters Affecting the Government.* Prohibits certain activities by USPS employees in regard to making claims against the USPS (Title 18, United States Code, Section 205).
29. *Disqualification of Former Officers and Employees; Disqualification of Partners of Current Officers and Employees.* Covers post-employment and partnership restrictions applicable to USPS (Title 18, United States Code, Section 207).
30. *Acts Affecting a Personal Financial Interest.* Prohibits USPS employees from making official decisions which impact personal finances (Title 18, United States Code, Section 208).
31. *Salary of Government Officials and Employees Payable Only by United States.* Applies to USPS employees who are prohibited from receiving outside salary supplements (Title 18, United States Code, Section 209).
32. *Offer Procure Appointive Public Office.* Prohibits influence in USPS appointments (Title 18, United States Code, Section 210).
33. *Acceptance or Solicitation to Obtain Appointive Public Office.* Prohibits improper influence in USPS appointments (Title 18, United States Code, Section 211).
34. *Void transactions in Violation of Chapter; Recovery by the United States.* Allows recovery by USPS for violations of 18 U.S.C. 201-211 (Title 18, United States Code, Section 218).
35. *Civil Disorders.* Applies to unlawful conduct by USPS employees who engage in violence (Title 18, United States Code, Section 231).
36. *Taking or Using Papers Relating to Claims.* Applies to USPS (Title 18, United States Code, Section 285).
37. *Conspiracy to Defraud the Government with Respect to Claims.* Applies to USPS (Title 18, United States Code, Section 286).
38. *False, Fictitious or Fraudulent Claims.* Applies to USPS (Title 18, United States Code, Section 287).
39. *False Claims for Postal Losses.* Prohibits false claims by USPS patrons (Title 18, United States Code, Section 288).
40. *Conspiracy to Commit Offense or Defraud United States.* Enforced by USPS in regard to any crime under investigation (Title 18, United States Code, Section 371).
41. *Conspiracy to Impede or Injure Officer.* Applies to conspiracies against USPS employees (Title 18, United States Code, Section 372).
42. *Solicitation to Commit a Crime of Violence.* Applies to any violent crime against USPS (Title 18, United States Code, Section 373).
43. *Officer or Employee Contracting with Member of Congress.* Prohibits USPS employees from contracting with Congress (Title 18, United States Code, Section 432).
44. *Mail Contracts.* Prohibits USPS employees from being interested in USPS contracts (Title 18, United States Code, Section 440).
45. *Postal Supply Contracts.* Prohibits USPS employees from being interested in or fixing bids for postal supply contracts (Title 18, United States Code, Section 441).
46. *Contractors' Bonds, Bids and Public Records.* Concerns false mailing of above for purpose of defrauding USPS (Title 18, United States Code, Section 494).
47. *Contracts, Deeds, and Powers of Attorney.* Concerns false mailing of above to defraud USPS (Title 18, United States Code, Section 495).
48. *Money Orders.* Covers a variety of prohibited conduct related to money orders (Title 18, United States Code, Section 500).
49. *Postage Stamps, Postage Meter Stamps, and Postal Cards.* Covers a variety of prohibited conduct related to these matters (Title 18, United States Code, Section 501).
50. *Postage and Revenue Stamps of Foreign Governments.* Covers forgery of foreign postage (Title 18, United States Code, Section 502).
51. *Postmarking Stamps.* Covers forgery or counterfeit postmarks and postmarking equipment (Title 18, United States Code, Section 503).
52. *Printing and Filming of United States and Foreign Obligations and Securities.* Covers reproduction of postage stamps (Title 18, United States Code, Section 504).
53. *Seals of Departments or Agencies.* Covers certain prohibited conduct in regard to USPS seals (Title 18, United States Code, Section 506).
54. *Transportation Requests of Government.* Covers certain prohibited conduct in regard to USPS Government Transportation Requests (Title 18, United States Code, Section 508).
55. *Forging Endorsements on Treasury Checks or Bonds or Securities of the United States.* [Involves stolen Treasury checks (Title 18, United States Code, Section 510).
56. *Smuggling Goods into the United States.* Self-explanatory (Title 18, United States Code, Section 545).
57. *Smuggling Goods Into Foreign Countries.* Self-explanatory (Title 18, United States Code, Section 546).
58. *Making Political Contributions.* Applies to USPS employees (Title 18, United States Code, Section 603).
59. *Public Money, Property or Records.* Covers theft or embezzlement by USPS employees and outsiders of USPS property (Title 18, United States Code, Section 641).
60. *Tools and Materials for Counterfeiting Purposes.* Self-explanatory (Title 18, United States Code, Section 642).
61. *Accounting Generally for Public Money.* Covers the accountability of USPS employees for public funds (Title 18, United States Code, Section 643).
62. *Custodians, Generally, Misusing Public Funds.* Covers misuse of USPS funds by USPS officers (Title 18, United States Code, Section 648).

63. *Custodians Failing to Deposit Moneys; Persons Affected.* Covers misuses of public funds (USPS) by any person charged with safekeeping (Title 18, United States Code, Section 649).
64. *Disbursing Officer Misusing Public Funds.* Covers misuse of public funds by USPS disbursing officers (Title 18, United States Code, Section 653).
65. *Officer or Employee of United States Converting Property of Another.* Covers USPS employees who do this (Title 18, United States Code, Section 654).
66. *Within Special Maritime and Territorial Jurisdiction.* Covers theft within certain USPS facilities (Title 18, United States Code, Section 661).
67. *Receiving Stolen Property Within Special Maritime and Territorial Jurisdiction.* Covers certain USPS facilities (Title 18, United States Code, Section 662).
68. *Solicitation or Use of Gifts.* Covers solicitation of personal gifts under official guise by USPS employees (Title 18, United States Code, Section 663).
69. *Official Badges, Identification Cards, Other Insignia.* Covers likenesses of USPS official insignia or I.D. (Title 18, United States Code, Section 701).
70. *Explosive and Destructive Devices.* Applies to statutes used in conjunction with mailed bombs and infernal devices (Title 18, United States Code, Section 841 and 842).
71. *Threats Against President and Successors to the Presidency.* Applies to when such threat is mailed (Title 18, United States Code, Section 871).
72. *Extortion by Officers or Employees of the United States.* Includes extortion by USPS employees (Title 18, United States Code, Section 872).
73. *Blackmail.* Applies to when threat and demand is mailed (Title 18, United States Code, Section 873).
74. *Kickbacks from Public Works Employee.* Applies to USPS employees (Title 18, United States Code, Section 874).
75. *Mailing Threatening Communications.* Covers extortion by mail (Title 18, United States Code, Section 876).
76. *Mailing Threatening Communications From Foreign Country.* Covers extortion by mail deposited in a foreign country addressed to United States (Title 18, United States Code, Section 877).
77. *Officer or Employee of the United States.* Covers false personation of postal employee (Title 18, United States Code, Section 912).
78. *Unlawful Acts.* Covers various firearm laws in which USPS investigates mail violations of these regulations (Title 18, United States Code, Section 922).
79. *Civil Forfeiture.* Makes property involved in transaction in violation of law subject to civil forfeiture (Title 18, United States Code, Section 981).
80. *Criminal Forfeiture.* Makes property involved in transaction in violation of law subject to criminal forfeiture (Title 18, United States Code, Section 982).
81. *Statements or Entries Generally.* Covers false statements or entries by USPS employees (Title 18, United States Code, Section 1001).
82. *Possession of False Papers to Defraud United States.* Covers USPS as agency of U.S. (Title 18, United States Code, Section 1002).
83. *Bank Entries, Reports, and Transactions.* Covers unauthorized or fraudulent bank entries, reports, or transactions by employees of Federal Reserve bank, or member, national or insured bank (Title 18, United States Code, Section 1005).
84. *Official Certificates or Writings.* Covers false official writings by USPS employees (Title 18, United States Code, Section 1018).
85. *Fraud and Related Activity in Connection with Identification Documents.* Self-explanatory. USPS has primary jurisdiction over mailed documents (Title 18, United States Code, Section 1028).
86. *Fraud and Related Activity in Connection with Access Devices.* Self-explanatory. USPS investigates fraud relating to mailed devices (Title 18, United States Code, Section 1029).
87. *Fraud and Related Activity in Connection with Computers.* Self-explanatory. USPS investigates fraud relating to USPS (Title 18, United States Code, Section 1030).
88. *Murder. Self-explanatory.* USPS investigates murder in postal facilities under special territorial jurisdiction (Title 18, United States Code, Section 1111).
89. *Manslaughter.* Self-explanatory. USPS investigates manslaughter violations in postal facilities under special territorial jurisdiction (Title 18, United States Code, Section 1112).
90. *Attempt to Commit Murder or Manslaughter.* Self-explanatory. USPS investigates violations in postal facilities under special territorial jurisdiction (Title 18, United States Code, Section 1113).
100. *Protection of Officers and Employees of the United States.* Covers USPS employees (Title 18, United States Code, Section 1114).
101. *Conspiracy to Murder.* Applies when such actions involve USPS employees and certain facilities (Title 18, United States Code, Section 1117).
102. *Kidnapping.* Applies when such actions involve USPS officers and employees (Title 18, United States Code, Section 1201).
103. *Ransom Money.* Covers ransom under Section 1201 (Title 18, United States Code, Section 1202).
104. *Hostage Taking.* Applies when such actions involve USPS employees (Title 18, United States Code, Section 1203).
105. *Lotteries.* Covers any lottery activity by mail investigated by USPS (Title 18, United States Code, Sections 1301, 1302, 1303, 1305, 1306, 1307).
106. *Frauds and Swindles.* Covers mail fraud (Title 18, United States Code, Section 1341).
107. *Fictitious Name or Address.* Concerns false name or address filed with USPS (Title 18, United States Code, Section 1342).
108. *Fraud by Wire, Radio, or Television.* Self-explanatory. Can be used in conjunction with a mail fraud prosecution (Title 18, United States Code, Section 1343).

109. *Bank Fraud*. Self-explanatory. Can be used in **conjunction with mail fraud prosecution (Title 18, United States Code, Section 1344)**.
110. *Injunctions Against Fraud*. Self-explanatory. Can be used in **mail fraud cases (Title 18, United States Code, Section 1345)**.
111. *Government Property or Contracts*. Covers malicious mischief against USPS (Title 18, United States Code, Section 1361).
112. *Buildings or Property Within Special Maritime and Territorial Jurisdiction*. Covers **destruction or injury** of USPS buildings in this category (Title 18, United States Code, Section 1363).
113. *Mailing Obscene or Crime-Inciting Matter*. Covers **mailed pornography or other vile material (Title 18, United States Code, Section 1461)**.
114. *Importation or Transportation of Obscene Mauers*. Covers **mailed items originating outside the United States (Title 18, United States Code, Section 1462)**.
115. *Mailing Indecent Matter on Wrappers or Envelopes*. Covers **visible mailed obscene material (Title 18, United States Code, Section 1463)**.
116. *Transportation of Obscene Matters for Sale or Distribution*. Covers **mailed items (Title 18, United States Code, Section 1465)**.
117. *Criminal Forfeiture*. Covers **obscene material (Title 18, United States Code, Section 1467)**.
118. *Assault on Process Service*. Covers **USPS Inspectors (Title 18, United States Code, Section 1501)**.
119. *Influencing or Injuring Officer or Juror Generally*. Covers **mailed communications (Title 18, United States Code, Section 1503)**.
120. *Obstruction of Proceedings Before Departments, Agencies, and Committees*. Covers **mailed threats and communications (Title 18, United States Code, Section 1505)**.
121. *Obstruction of Criminal Investigations*. Covers **USPS investigations (Title 18, United States Code, Section 1510)**.
122. *Obstruction of State or Local Law Enforcement*. Self-explanatory (Title 18, United States Code, Section 1511).
123. *Tampering with a Witness, Victim or an Informant*. Self-explanatory (Title 18, United States Code, Section 1512).
124. *Retaliating Against a Witness, Victim, or an Informant*. Self-explanatory (Title 18, United States Code, Section 1513).
125. *Laws Governing Postal Savings*. Protects public moneys conveyed by mail (Title 18, United States Code, Section 1691).
126. *Foreign Mail as United States Mail*. Treats foreign mail as U.S. Mail for the purpose of law while transported in the U.S. (Title 18, United States Code, Section 1692).
127. *Carriage of Mail Generally*. Concerns carriage of letters contrary to law (Title 18, United States Code, Section 1693).
128. *Carriage of Matter Out of Mail Over Post Routes*. Covers **letters on which postage has not been paid (Title 18, United States Code, Section 1694)**.
129. *Carriage of Matter Out of Mail on Vessels*. Covers letters on which postage has not been paid (Title 18, United States Code, Section 1695).
130. *Private Express for Letters and Packets*. Covers private carriage of letters (Title 18, United States Code, Section 1696).
131. *Transportation of Persons Acting as Private Express*. Covers a carrier assisting a private express carrier (Title 18, United States Code, Section 1697).
132. *Prompt Delivery of Mail from Vessel*. Concerns **timely delivery of letters to post office by vessels** passing between ports or places in US (Title 18, United States Code, Section 1698).
133. *Certification of Delivery from Vessel*. Concerns **certification by officer of vessel of delivery of letters to post office (Title 18, United States Code, Section 1699)**.
134. *Desertion of Mails*. Concerns USPS employee deserting mail in its custody (Title 18, United States Code, Section 1700).
135. *Obstruction of Mails Generally*. Concerns obstructing or retarding passage of mail (Title 18, United States Code, Section 1701).
136. *Obstruction of Correspondence*. Prohibits the **taking of any mail for the purpose of obstruction** or to pry into the secrets of another (Title 18, United States Code, Section 1702).
137. *Delay or Destruction of Mail or Newspapers*. Prohibits **delaying, destruction or opening of mail** before delivery (Title 18, United States Code, Section 1703).
138. *Keys or Locks Stolen or Reproduced*. Prohibits **theft, unauthorized possession or reproduction of** certain USPS keys and locks (Title 18, United States Code, Section 1704).
139. *Destruction of Letter Boxes or Mail*. Prohibits **destruction or vandalizing of mail receptacles (Title 18, United States Code, Section 1705)**.
140. *Injury to Mail Bags*. Prohibits breaking into mail **bags with intent to steal or render insecure (Title 18, United States Code, Section 1706)**.
141. *Theft of Property Used by Postal Service*. Prohibits theft or appropriation of USPS property (Title 18, United States Code, Section 1707).
142. *Theft or Receipt of Stolen Mail Matter Generally*. Prohibits **theft or unauthorized possession of mail** before delivery (Title 18, United States Code, Section 1708).
143. *Theft of Mail Matter by Officer or Employee*. Prohibits **theft or unauthorized possession of mail** before delivery by USPS employees (Title 18, United States Code, Section 1709).
144. *Theft of Newspapers*. Prohibits theft of newspapers from mail by USPS employees (Title 18, United States Code, Section 1710).
145. *Misappropriation of Postal Funds*. Prohibits unauthorized use or theft of funds by USPS employees (Title 18, United States Code, Section 1711).
146. *Falsification of Postal Returns to Increase Compensation*. Prohibits USPS employees from mak-

- ing false entries to increase their compensation (Title 18, United States Code, Section 1712).
147. *Issuance of Money Orders Without Payment.* Prohibits USPS employees from issuing money orders without having previously received payment therefor (Title 18, United States Code, Section 1713).
148. *Foreign Divorce Information as Nonmailable.* Prohibits the mailing of foreign divorce information (Title 18, United States Code, Section 1714).
149. *Firearms as Nonmailable.* Prohibits mailing of concealable firearms except between certain individuals (Title 18, United States Code, Section 1715).
150. *Injurious Articles as Nonmailable.* Prohibits a wide variety of articles from being mailed (Title 18, United States Code, Section 1716).
151. *Nonmailable Motor Vehicle Master Keys.* Prohibits mailing of any article declared nonmailable under 39 U.S.C. 3002 (Title 18, United States Code, Section 1716A).
152. *Nonmailable Plants.* Self-explanatory (Title 18, United States Code, Section 17168).
153. *Forged Agricultural Certifications.* Prohibits forging or counterfeiting agricultural certifications (Title 18, United States Code, Section 1716C).
154. *Letters and Writings as Nonmailable; Opening Letters.* Prohibits the mailing of certain types of letters (Title 18, United States Code, Section 1717).
155. *Libelous Matter on Wrappers or Envelopes.* Prohibits the mailing of certain types of material that are visible on the outside (Title 18, United States Code, Section 1718).
156. *Franking Privilege.* Prohibits the unauthorized use of official envelopes (Title 18, United States Code, Section 1719).
157. *Cancelled Stamps and Envelopes.* Prohibits reuse of previously used postage or selling of same to be used again (Title 18, United States Code, Section 1720).
158. *Sale or Pledge of Stamps.* Prohibits misuse of postage stamps (Title 18, United States Code, Section 1721).
159. *False Evidence to Secure Second-Class Rate.* Prohibits the giving of false information to secure second-class rate (Title 18, United States Code, Section 1722).
160. *Avoidance of Postage by Using Lower Class Matter.* Prohibits avoidance of postage by securing improper lower class rate (Title 18, United States Code, Section 1723).
161. *Postage on Mail Delivered by Foreign Vessels.* Concerns transportation of mail outside of U.S. at the compensation fixed under authority of law (Title 18, United States Code, Section 1724).
162. *Postage Unpaid on Deposited Mail Matter.* Prohibits use of mail boxes for matter on which postage has not been paid (Title 18, United States Code, Section 1725).
163. *Postage-Collected Unlawfully.* Prohibits collection of postage at a greater rate than authorized by law (Title 18, United States Code, Section 1726).
164. *Weight of Mail Increased Fraudulently.* Prohibits fraudulent weighting to increase compensation of carrier (Title 18, United States Code, Section 1728).
165. *Post Office Conducted Without Authority.* Prohibits conducting a business as a post office without proper authority (Title 18, United States Code, Section 1729).
166. *Uniforms of Carriers.* Prohibits unauthorized wearing of mail carrier uniforms (Title 18, United States Code, Section 1730).
167. *Vehicles Falsely Labeled as Carriers.* Prohibits unauthorized marking of vehicle as mail carrier (Title 18, United States Code, Section 1731).
168. *Approval of Bond or Sureties by Postmaster.* Concerns requirements for proper bond approval (Title 18, United States Code, Section 1732).
169. *Mailing Periodical Publications Without Prepayment of Postage.* Prohibits the mailing of publications without previous payment of postage (Title 18, United States Code, Section 1733).
170. *Editorials and Other Matter as Advertisements.* Prohibits improper use of second-class mail (Title 18, United States Code, Section 1734).
171. *Sexually Oriented Advertisements.* Prohibits the mailing of any material in violation of 39 U.S.C. 3010 or in violation of any regulations of the Board of Governors (Title 18, United States Code, Section 1735).
172. *Restrictive Use of Information.* Concerns use of information gathered under 39 U.S.C. 3010 (Title 18, United States Code, Section 1736).
173. *Manufacturer of Sexually Related Mail Matter.* Prohibits manufacture or reproduction of material in violation of 39 U.S.C. 3008 or 3010 (Title 18, United States Code, Section 1737).
174. *Mailing Private Identification Documents Without a Disclaimer.* Prohibits the mailing of identification documents that do not state "not a government document" as prescribed by law (Title 18, United States Code, Section 1739).
175. *Transportation or Importation.* Concerns transport in interstate commerce of goods manufactured by convicts or prisoners (Title 18, United States Code, Section 1761).
176. *Marking Packages.* Concerns marking of packages described in section 1761 (Title 18, United States Code, Section 1762).
177. *Transportation of Dentures.* Concerns transport of artificial teeth made by person other than licensed dentist (Title 18, United States Code, Section 1821).
178. *Disloyalty and Asserting the Right to Strike Against the Government.* Concerns violation of section 7311 of title 5 (Title 18, United States Code, Section 1918).
179. *False Statement to Obtain Unemployment Compensation.* Self-explanatory (Title 18, United States Code, Section 1919).
180. *False Statement to Obtain Federal Employee's Compensation.* Self-explanatory (Title 18, United States Code, Section 1920).

181. *Receiving Federal Employees' Compensation After Marriage.* Self-explanatory (Title 18, United States Code, Section 1921).
182. *False or Withheld Report Concerning Federal Employees' Compensation.* Self-explanatory (Title 18, United States Code, Section 1922).
183. *Fraudulent Receipt of Payments of Missing Persons.* Self-explanatory (Title 18, United States Code, Section 1923).
184. *Interstate and Foreign Travel or Transportation in Aid of Racketeering Enterprises.* (Title 18, United States Code, Section 1952).
185. *Interstate Transportation of Wagering Paraphernalia.* (Title 18, United States Code, Section 1953).
186. *Laundering of Monetary Instruments.* (Title 18, United States Code, Section 1956).
187. *Engaging in Monetary Transactions in Property Derived from Specified Unlawful Activity.* (Title 18, United States Code, Section 1957).
188. *Racketeer Influenced and Corrupt Organizations.* Makes it illegal to invest in a legitimate enterprise with funds gained through an illegal venture (Title 18, United States Code, Sections 1961-1963).
189. *False Entries and Report of Losses or Securities.* Prohibits Federal employee charged with record/account keeping from making false entry (Title 18, United States Code, Section 2073).
190. *Personal Property of United States.* Concerns robbery of personal property belonging to the United States (Title 18, United States Code, Section 2112).
191. *Mail, Money or Other Property of United States.* Concerns assault of person having lawful charge of mail with intent to rob (Title 18, United States Code, Section 2114).
192. *Post Office.* Concerns forcible entry into post office with intent to commit larceny or other depredation (Title 18, United States Code, Section 2115).
193. *Railway or Steamboat Post Office.* Prohibits entry by violence (Title 18, United States Code, Section 2116).
194. *Robberies and Burglaries Involving Controlled Substances.* Self-explanatory (Title 18, United States Code, Section 2118).
195. *Assault or Resistance.* Concerning assault on or resistance to persons authorized to serve search warrants (Title 18, United States Code, Section 2231).
196. *Additional Statutes Dealing with the Destruction or Rescue of Seized Property, Searches which Exceed the Authority of the Warrant, Malicious Procuring of Search Warrants and Searches Without Warrant.* Self-explanatory (Title 18, United States Code, Section 2232-2236).
197. *Sexual Exploitation of Children.* Self-explanatory (Title 18, United States Code, Section 2251).
198. *Selling or Buying of Children.* Self-explanatory (Title 18, United States Code, Section 2251A).
199. *Certain Activities Relating to Material Involving the Sexual Exploitation of Minors.* Concerns mailing any visual depiction of a minor engaging in sexually explicit conduct (Title 18, United States Code, Section 2252).
200. *Criminal Forfeiture.* Provides for forfeiture of proceeds and property from persons convicted of violations of section 2251 or 2252 (Title 18, United States Code, Section 2253).
201. *Civil Forfeiture.* Provides for the forfeiture of property used in producing, reproducing, transporting, shipping or receiving any visual depiction in violation of chapter 110 (Title 18, United States Code, Section 2254).
202. *Recordkeeping Requirements.* (Title 18, United States Code, Section 2257).
203. *Transportation of Stolen Goods, Securities, Moneys, Fraudulent State Tax Stamps or Articles Used in Counterfeiting.* (Title 18, United States Code, Section 2314).
204. *Sales or Receipt of Stolen Goods, Securities, Moneys, or Fraudulent State Tax Stamps.* (Title 18, United States Code, Section 2315).
205. *Trafficking in Counterfeit Labels for Photorecords, and Copies of Motion Pictures or Other Audiovisual Works.* Applies to subject trafficking while using the mails (Title 18, United States Code, Section 2318).
206. *Criminal Infringement of a Copyright.* Self-explanatory (Title 18, United States Code, Section 2319).
207. *Trafficking in Counterfeit Goods or Services.* Applies to subject trafficking while using the mails (Title 18, United States Code, Section 2320).
208. *Trafficking in Certain Motor Vehicles or Motor Vehicle Parts.* Self-explanatory (Title 18, United States Code, Section 2320).
209. *Wire Interception and Interception of Oral Communications.* Applies to electronic surveillance statutes (Title 18, United States Code, Sections 2510-2520).
210. *Powers of Postal Personnel.* Covers powers of postal personnel to serve warrants and subpoenas and make arrests (Title 18, United States Code, Section 3061).
211. *Statutes Concerning the Procedures for Searches and Seizures.* Self-explanatory (Title 18, United States Code, Sections 3101-3116).
212. *Protection of Witnesses.* Self-explanatory (Title 18, United States Code, Sections 3521- 3528).
213. *False Claims.* Concerns civil penalty when false claims are made (Title 31, United States Code, Section 3729).
214. *Civil Actions for False Claims.* The Attorney General may bring a civil action under this section (Title 31, United States Code, Section 3730).
215. *Reports on Domestic Coins and Covering Transactions.* (Title 31, United States Code, Section 5313).
216. *Structuring Transactions to Evade Reporting Requirement Prohibited.* (Title 31, United States Code, Section 5324).
217. *State Terminal Inspection; Transmission of Mailed Packages for State Inspection; Nonmailable Matter; Punishment for Violations; Rules and Regulations by Postmaster General.* Concerns mailed agricultural products (Title 7, United States Code, Section 166).
218. *Fraudulent Use of Credit Cards.* Self-Explanatory (Title 18, United States Code, Section 1644).

219. *Various Statutes Dealing with the Protection of Federal Property, Including USPS Property, and With the Posting of Regulations and the Creation of Special Policemen.* Self-explanatory (Title 40, United States Code, Sections 318, 318a, 318b, 318c, 318d).
220. *Transportation of Mail.* Concerns transportation of mail by aircraft, including free travel for postal employees charged with the mail (Title 49, United States Code, Section 1375).
221. *Anabolic Steroids.* (Title 21, United States Code, Section 333(e)).
222. *Prohibited Acts A.* Makes it unlawful to manufacture, distribute, or dispense, with intent to distribute or dispense, a controlled substance (Title 21, United States Code, Section 841).
223. *Prohibited Acts C.* Applies to unlawful acts involving controlled substances (Title 21, United States Code, Section 843(b)).
224. *Penalty for Simple Possession.* (Title 21, United States Code, Section 844).
225. *Attempt and Conspiracy.* (Title 21, United States Code, Section 846).
226. *Use of Postal Service for Sale of Drug.* Self-explanatory (Title 21, United States Code, Section 857).
227. *Forfeitures.* (Title 21, United States Code, Section 881).
228. *Importation of Controlled Substances.* Self-explanatory (Title 21, United States Code, Section 952).
229. *Exportation of Controlled Substances.* Self-explanatory (Title 21, United States Code, Section 953).

Authority for Maintenance of the System. 39 U.S.C. 404, 18 U.S.C. 3061 and 5 U.S.C., App. 3.

Purpose(s). To provide information related to investigation of criminal, civil, or administrative matters, including employee and contractor background investigations.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. In the course of conducting any official investigation or during the course of a trial or hearing or the preparation of a trial or hearing, a record may be disseminated to an agency, organization or individual when reasonably necessary to elicit information relating to the investigation, trial or hearing or to obtain the cooperation of a witness or informant.
2. A record relating to a case or matter may be disseminated to a Federal, State, or local administrative or regulatory proceeding or hearing in accordance with the procedures governing such proceeding or hearing.

3. A record relating to a case or matter may be disseminated in an appropriate Federal, State, local or foreign court or grand jury proceeding in accordance with established constitutional, substantive, or procedural law or practice.
4. A record relating to a case or matter may be disseminated to an actual or potential party or his or her attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings.
5. A record relating to a case or matter that has been referred by an agency for investigation, prosecution, or enforcement, or that involves a case or matter within the jurisdiction of an agency, may be disseminated to such agency to notify the agency of the status of the case or matter or of any decision or determination that has been made, or to make such other inquiries and reports as are necessary during the processing of the case or matter.
6. A record relating to a person held in custody pending or during arraignment, trial, sentence, or extradition proceedings, or after conviction may be disseminated to a Federal, State, local or foreign prison, probation, parole, or pardon authority, or to any other agency or individual concerned with the maintenance, transportation or release of such a person.
7. A record relating to a case or matter may be disseminated to a foreign country pursuant to an international treaty or convention entered into and ratified by the United States or to an executive agreement.
8. A record may be disseminated to a Federal, State, local, foreign or international law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to such agency.
9. A record from this system may be disclosed to the public, news media, trade associations, or organized groups to provide information of interest to the public concerning the activities and the accomplishments of the Postal Service or its employees.
10. A record may be disseminated to a foreign country, through the United States Department of State or directly to the representative of such country, to the extent necessary to assist such country in apprehending and/or returning a fugitive to a jurisdiction that seeks that person's return.
11. To provide members of the American Insurance Association Index System with certain information relating to accidents and injuries.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Case records are stored in paper folders. Abbreviated, summary and identifying information pertaining to cases, and criminal intelligence information are stored on computer storage media.

Retrievability. Name of the individual.

Safeguards. Investigative records are maintained in locked file cabinets, safes, or secured areas under the scrutiny of Inspection Service personnel who have been subjected to security clearance procedures. Access is further restricted by computer passwords when stored in electronic format. Automated records can only be accessed through authorized terminals by authorized users. Computer software has been designed to protect data by controlling access, logging actions, and reporting exceptions and violations.

Retention and Disposal

- a. Records are maintained 1 to 15 years depending upon type. Exceptions may be granted for longer retention in specific instances. Paper records are destroyed by burning, pulping, or shredding. Computer tape/disk records are erased or destroyed.
- b. Duplicate copies of investigative memorandums maintained by postal officials other than the Inspection Service are retained in accordance with official rather than Inspection Service disposition schedules.

System Manager(s) and Address.

CHIEF POSTAL INSPECTOR
INSPECTION SERVICE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-2100

Notification Procedure. Persons wishing to know whether information about them is contained in this system of records or if they were the subject of an investigation should furnish the System Manager sufficient identifying information to distinguish them from other individuals of like name; identifying data will include, date of birth, name, address, type of investigation, dates, places and the individual's involvement.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Personal interviews, written inquiries, and other records concerning persons involved with an investigation, whether subjects, applicants, witnesses, references, or custodians of record information.

Systems Exempted from Certain Provisions of the Act. The Postal Service has promulgated regulations at 39 CFR 266.9 which exempt information contained in this system of records from various provisions of the Privacy Act depending upon the purpose for which the information was gathered and for which it will be used. Compliance with the disclosure (552a U.S.C. (d)) and other subsections of the Act are

not compatible with investigative practice, and would substantially compromise the efficacy and integrity of Postal Inspection Service operations. The purposes for which records are kept within this system and the exemptions applicable to those records are as follows:

- (a) Criminal law enforcement - In accordance with 5 U.S.C. 552aU(2), information compiled for this purpose is exempt from all of the provisions of the Act except the following sections: (b), (c)(1) and (2), (e)(4)(A) through (F), (e)(6), (7), (9), (10), (11), and (i).
- (b) Non-criminal investigatory - material compiled for law enforcement purposes (and not already exempted by 5 U.S.C. 552a0)(2)) is exempted from the following provisions of the Act: (c)(3), (d), (e)(4)(G), (H) and (I), and (f).
- (c) Background investigations - material compiled solely for the purpose of a background security investigation is exempted by 5 U.S.C. 552a(k)(5) from the following provisions of the Act: (c)(3), (d), (e)(4)(G), (H) and (I), and (f).

Addresses of Regional Postal Inspectors

CENTRAL REGION
1407 UNION AVE 10TH FL
CHICAGO IL 60607-5401

EASTERN REGION
PO BOX 3000
BALA CYNWYD PA 19004-3609

NORTHEAST REGION
GATEWAY 2 CENTER 8TH FL S
NEWARK NY 07175-0001

SOUTHERN REGION
433 W VAN BUREN AM 712
MEMPHIS. TN 38161-0001

WESTERN REGION
850 CHERRY AVE 5TH FL
SAN BRUNO CA 94098-0100

Addresses of Division Postal Inspectors-in-Charge See Exhibit 221.11

USPS 080.020

System Name. inspection Requirements--Mail Cover Program Records, 080.020.

System Location. Chief Postal Inspector, USPS Headquarters; Inspection Service Regional and Division Offices.

Categories of Individuals Covered by the System. Individuals on whom a mail cover has been duly authorized to obtain information in the interest of (1) protecting the national security; (2) locating a fugitive; and (3) obtaining evidence of the commission or attempted commission of a crime which is punishable by imprisonment for a term exceeding one year.

Categories of Records in the System. Names and addresses of individuals, inter-office memorandums, and correspondence with other agencies.

Authority for Maintenance of the System. 39 U.S.C. 401, 404.

Purpose(s). To investigate the commission of or attempted commission of acts constituting a crime that is punishable by law.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine Use statements a, b, c, d, e, f, g, h, and j listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information from this system of records may be disclosed to an appropriate law enforcement agency, whether Federal, State or local, charged by law with the responsibility for investigating, prosecuting or otherwise acting with respect to protecting the national security, locating a fugitive, or obtaining evidence of commission or attempted commission of a crime.
2. A record relating to a case or matter may be disseminated in an appropriate Federal, State, local or foreign court or grand jury proceeding in accordance with established constitutional, substantive, or procedural law or practice.
3. A record relating to a case or matter may be disseminated to an actual or potential party or his or her attorney for the purpose of negotiation or discussion on such matters as settlement of the case or matter, plea bargaining, or informal discovery proceedings.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Original typed documents and/or duplicate copies, and computer storage media.

Retrievability. Subject's name filed alphabetically by fiscal year.

Safeguards. Mail cover data is stored in locked file cabinets, safes or secured areas under the security of Inspection Service personnel who have been subjected to security clearance procedures, and when stored in electronic format, access is further restricted by computer password or keylock. Classified mail cover material and any mail cover data which involves national security is stored in a safe or in metal file cabinets equipped with either steel lockbar hasp and staple, or locking device and an approved three or more number combination dial-type padlock from which the manufacturer's identification numbers have been removed. Computer terminals with non-removal tape/disk files are located in a secured area, and access is further restricted by computer password and keylock.

Retention and Disposal

- a. Corresponding Files--Destroy 8 years after case is closed.
- b. Investigations (C)--Transfer to FRC when 2 years old; destroy when 8 years old.
- c. Index and Record Slips--Destroy 15 years after close of case.

System Manager(s) and Address.

CHIEF POSTAL INSPECTOR
INSPECTION SERVICE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-2100

Notification Procedure. People wishing to know whether information about them is contained in this system of records should address inquiries to the System Manager. Inquiries should contain full name and current address, together with previous addresses for past eight years when applicable.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Correspondence from requesting authority and record of action taken upon that request.

Systems Exempted from Certain Provisions of the Act. References 39 CFR 266.9 for details.

USPS 080.030

System Name. Inspection Requirements Vehicular Violations Record System, 080.030.

System Location. Procurement and Supply Department, Engineering Support Center, and Inspection Service. USPS Headquarters; and those postal field facilities where security officers have the authority to issue violation notices.

Categories of Individuals Covered by the System. Persons who have been issued courtesy violation notices or violation notices by Security Police Officers.

Categories of Records in the System. Individual violator's name, State operator permit, State operator permit number, violation cited, date of citation, citation number issued, State automobile license tag number, dates of court appearances.

Authority for Maintenance of the System. 40 U.S.C. 318, annually made applicable to the Postal Service by general provisions of the Treasury, Postal Service, and General Government Appropriation Act.

Purpose(s). To provide USPS management with information necessary for appropriate administrative remedial action.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, and l listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. To provide information to local, State, and Federal enforcement prosecutive and judicial officials.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Original, typed, printed or handwritten form and on computer storage media.

Retrievability. Alphabetically, by name of violator and by automobile license tag number.

Safeguards. Records maintained in limited access Security Force Control Centers manned 24 hours and at National Headquarters, in locked filing cabinets under general scrutiny of authorized personnel. Computer terminals and tape/disk files are located in a secured area.

Retention and Disposal. Records are maintained for two years and then destroyed. Some records may be retained longer when required for law enforcement investigations or court proceeding. Automated printouts are destroyed upon generating updated printouts.

System Manager(s) and Address.

CHIEF POSTAL INSPECTOR
INSPECTION SERVICE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-2100

Notification Procedure. Individuals wishing to know whether information about them is maintained in this system of records should furnish name and residence address as follows:

- a. For National Headquarters:

INSPECTOR-IN-CHARGE SPECIAL
INVESTIGATIONS DIV UNITED
STATES POSTAL SERVICE
475 L'ENFANT PLAZA WEST SW
WASHINGTON DC 20260-2112

- b. For the Field: Inspector in Charge, USPS of appropriate field division.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Individual violators, Security Police Officers, personnel observation, state motor vehicle registration bureau, USPS Personnel Department, supervisory personnel of tenant firms, USPS Parking Control Officer, prosecutive and judicial officials; motor vehicle operators' permits, violator's personal identification cards, personnel locator listing and parking applications.

USPS 090.020

System Name. Non-Mail Services--Passport Application Records, 090.020.

System Location. One thousand (1000) Post Offices in all states except New Jersey.

Categories of Individuals Covered by the System. Persons applying for passports.

Categories of Records in the System. Passport applications, name, telephone number and services rendered.

Authority for Maintenance of the System. 39 U.S.C. 401, 411, 22 U.S.C. 214.

Purpose(s). To process the applications of passports.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Records may be transferred to the State Department.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Printed forms in hard copy.

Retrievability. By name of applicant and postal accounting quarter.

Safeguards. Information in this system of records is maintained in file cabinets with access restricted to Accounting Unit personnel.

Retention and Disposal. Passport applications are retained for 2 days at the post office where application was made and then forwarded to the Department of State. Destroy original and carbon copy of Form 5659, *Passport Application Transmittal* when 3 months old.

System Manager(s) and Address.

APMG
PHILATELIC AND RETAIL SRVS DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-6700

Notification Procedure. Customers wishing to know whether information about them is maintained in this system of records should address inquiries to the postmaster of the post office where a passport application was made. Inquiries should contain full name and date of application. (Note: The original case file is maintained by Department of State and must be requested from that organization as provided for under Department of State Privacy Act system for passport information.)

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information in this system of records is obtained from the applicant.

USPS 100.010

System Name. Office Administration--Carpool Coordination/Parking Services Records System, 100.010.

System Location. Facilities Department, Headquarters, William F. Bolger Management Academy, Potomac, MD (student/conferee records), and various field installations.

Categories of Individuals Covered by the System. USPS employees, students/conferees, building tenants, individuals who are members of carpools with USPS employees and other individuals who utilize postal parking facilities.

Categories of Records in the System. Applications, registration forms, letters of violations, letters of suspensions and payment data. Information contained in these records include name, space number, principal and other drivers' license numbers and home addresses.

Authority for Maintenance of the System. 39 U.S.C. 401.

Purpose(s). Provide parking and carpooling services to employees, student/conferees and others who use postal parking facilities.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Disclosure may be made to provide any employee of Headquarters, USPS, who desires to join or establish a carpool with a listing of employees who live in his/her ZIP Code area.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Preprinted forms and magnetic tape/disk.

Retrievability. Name and ZIP Code, space or license number.

Safeguards. Folders containing paper documents are maintained in locked file cabinets to which only authorized personnel have access. Computer equipment is located in secured area, and magnetic tape/disk files are kept in locked steel cabinets. Access to automated records is further restricted by passwords.

Retention and Disposal

- a. Application Case Files-- Screen file annually, and dispose of records that are 6 years old.
- b. Machine-readable files--Immediately remove all information when employee/trainee surrenders space.
- c. Accounting Reports--Destroy after audit or when 3 years old, whichever is sooner.
- d. Other miscellaneous reports--Destroy when no longer needed for reference or when 1 year old, whichever is sooner.
- e. Violations maintained in application case files--Destroy violation notice when 1 year old.
- f. Medical files maintained by medical officer to support handicapped parking space--Destroy 1 year from date of termination of assignment. At the end of retention period, paper records are destroyed by shredding or burning and tape/disk records are erased.

System Manager(s) and Address.

APMG
FACILITIES DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-6400, and

FIELD DIRECTOR
WILLIAM F BOLGER MANAGEMENT ACADEMY
UNITED STATES POSTAL SERVICE
9600 NEWBRIDGE DR
POTOMAC MD 20858-4320.

Notification Procedure. Employees wishing to know whether information about them is maintained in this system of records should address inquiries to the system manager where carpool/parking services are provided to hirer.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR §266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Carpool and parking service applicants/users.

USPS 100.020

System Name. Office Administration--Commercial Accounts Communicator Letter, 100.020.

System Location. Advertising & Account Services Department (formerly Marketing), Headquarters, and Postal Data Centers (Minneapolis and St. Louis).

Categories of Individuals Covered by the System. Headquarters and Regional Marketing personnel, Division Managers, Division Directors of Marketing, Sectional Center Directors of Marketing, Directors of Customer Services, selected postmasters and requesters. Commercial Accounts representatives, Sectional Center Managers of Retail Sales and Services, Post Office Manager of Marketing.

Categories of Records in the System. Name, job title, and business address of employees receiving newsletter.

Authority for Maintenance of the System. 39 U.S.C. 401, 1001.

Purpose(s). To distribute a sales and marketing newsletter to Postal Service marketing employees.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, and l listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Magnetic tape, and paper forms.

Retrievability. Recipient of communicator letter.

Safeguards. Paper forms are kept in closed file cabinets accessible only by authorized marketing personnel. Magnetic tapes are maintained in a secured ADP facility.

Retention and Disposal. List is updated on a continuous basis.

System Manager(s) and Address.

APMG
ADVERTISING & ACCT SERVICES DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-6300

Notification Procedure. Employees wishing to know whether information about them is maintained in this system of records should write to the System Manager and give the following information: Name, job title, and business ZIP Code.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information in this system is obtained from payroll system and in-house listings of interested readers.

USPS 100.050

System Name. Office Administration--Localized Employee Administration Records, 100.050.

System Location. Field facilities as designated by the facility head.

Categories of Individuals Covered by the System. Facility employees.

Categories of Records in the System. Employee name, various information associated with work location, home address, emergency contact point, and other information as locally required.

Authority for Maintenance of the System. 39 U.S.C. 1001.

Purpose(s). Provides readily available information on employees for various routine administrative purposes such as work location identification, emergency locating and home mailings.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory

Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Paper records and computer disk.

Retrievability. Employee name, organization, pay location, finance number, others as locally required.

Safeguards. Paper records kept in locked files; computerized disk files password protected.

Retention and Disposal. Records about individual employees will be destroyed within 6 months of employment termination at that facility. Lists generated from computerized systems will be destroyed upon the generation of a subsequent more current list.

System Manager(s) and Address. Facility head.

Notification Procedure. Inquiries should contain employee's name and be addressed to the System Manager.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Individuals of record.

USPS 110.010

System Name. Property Management--Accountable Property Records, 110.010.

System Location. All USPS Components.

Categories of Individuals Covered by the System. Employees assigned accountable property.

Categories of Records in the System. Records controlling the issuance of accountable Postal Service property, such as equipment, credentials and controlled documents.

Authority for Maintenance of the System. 39 U.S.C. 401.

Purpose(s). To provide a record of accountable property on hand and to whom it has been assigned.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a. b. c. d. e. f. g. h. j. k. l and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Printed forms and computer storage media.

Retrievability. Name or social security number of recipient of accountable property and types of equipment.

Safeguards. Physical security and controlled access.

Retention and Disposal. Issuance documents are returned to individual when accountability is terminated. Automated printouts are destroyed upon generating updated printouts.

System Manager(s) and Address (s):

CHIEF POSTAL INSPECTOR
INSPECTION SERVICE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-2100

APMG
FACILITIES DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-6400

Notification Procedure. Employees wishing to know whether information about them is maintained in the system should address inquiries to the Custodian in the facility where assignment was made. Headquarters employees should submit request to the System Manager.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is obtained from the individual to whom the record pertains.

USPS 110.020

System Name. Property Management--Possible Infringement of USPS Intellectual Property Rights, 110.020.

System Location. Office of Patent Counsel, Law Department, USPS Headquarters.

Categories of Individuals Covered by the System. Possible infringers of USPS copyrights and trademarks; inventors of proposed devices in which the USPS may have an interest.

Categories of Records in the System. Reports from Inspection Service, other postal employees, or other sources reporting possible infringers, including advertisements, photographs, magazine clippings or other documents and any correspondence or records of telephone conversations between the Postal Service and the possible infringer; patent applications and related documents, including descriptions of inventions, drawings, specifications and letters of patent issued by the U.S. Patent Office or notices of abandonment; litigation records related to the defense or enforcement of USPS rights in intellectual property or patents.

Authority for Maintenance of the System. 39 U.S.C. 401(5).

Purpose(s). To protect USPS intellectual properties and patents by insuring timely action against possible infringers and to support potential litigation.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, and l listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. A record may be transferred, and information from it disclosed, to any officer, employee, former officer or employee, consultant, contractor or subcontractor when necessary to enable counsel to afford proper representation to the Postal Service.
2. A record may be transferred, and information from it disclosed to any Federal agency as may be appropriate for coordinated defense or prosecution of related litigation or the resolution of related claims or issues without litigation.
3. A record may be disclosed in a Federal, State, local, or foreign judicial or administrative proceeding in accordance with the procedures and practices governing such proceeding.
4. A record may be transferred and information from it disclosed to the Patent and Trademark Office, Department of Commerce, when pertinent in any proceeding involving the registration of Postal Service trademarks or issuance of patents.
5. A record may be transferred and information from it disclosed to the Copyright Office, Library of Congress, when pertinent in any proceeding involving the registration of Postal Service copyrights.
6. Information contained in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body

has ordered otherwise. Such public information, including information concerning the nature, statute and disposition of the proceeding, may be disclosed to any person, unless it is determined that release of specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

7. When considered appropriate, records in this system may be referred to a bar association or similar Federal, state or local licensing or regulatory authority for possible disciplinary action.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Stored in lockable file cabinets in original, typed, printed or handwritten form. Index cards, kept in a card file, are filed by USPS copyright and trademark and subfiled under the name of each possible infringer of that particular copyright or trademark. Some correspondence is also stored on magnetic tape or disk in automated office equipment.

Retrievability. Name of possible infringer and USPS copyright or trademark; patent application files are retrieved by name of inventor.

Safeguards. Lockable file cabinets under the general scrutiny of Postal Service attorneys. Access to computer data is restricted to personnel having an official need for access.

Retention and Disposal. Records are retained for 50 years after closing case and then destroyed by shredding or burning.

System Manager(s) and Address.

GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-1100

Notification Procedure. An individual wishing to determine whether this system of records contains information about him should write to the System Manager and provide his full name and, if known, the pertinent USPS copyright, trademark, or patent.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Note.-- Review of requests seeking amendment of records which have previously been the subject of a judicial or quasi-judicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented in the course of an adjudication, nor

are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case, and will not include a review of the merits of the action, determination, or finding.

Record Source Categories. Information is provided by the Postal Inspection Service, postal employees and customers.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552aU) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from these other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 120.020

System Name. Personnel Records--Blood Donor Records, 120.020.

System Location. Health Units at USPS Facilities; District Chapters of the American Red Cross.

Categories of Individuals Covered by the System. USPS employees who volunteer to join the USPS Blood Donor Program.

Categories of Records' in the System. Name, work location, blood type, and date of each donation.

Authority for Maintenance of the System. 39 U.S.C. 401.

Purpose(s). To provide the USPS Blood Donation Program with a record of each donor's blood type and dates of donation.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Disclosure may be made to the American Red Cross in response to an inquiry for available donors having a particular blood type.

Storage. Preprinted forms.

Retrievability. Employee's name.

Safeguards. Closed file cabinets in secured facilities.

Retention and Disposal. These records are retained for a period of five years after termination of employment and then destroyed by shredding.

System Manager(s) and Address.

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA
WASHINGTON DC 20260-4200

Notification Procedure. Employees wishing to know whether information about them is maintained in this system of records should address inquiries to the head of the facility where employed. Headquarters employees should submit requests to the System Manager. Inquiries should contain full name.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is obtained from the individual.

USPS 120.035

System Name. Personnel Records--Employee Accident Records, 120.035.

System Location. Safety offices in any USPS facility.

Categories of Individuals Covered by the System. All employees that experience an on-the-job accident and/or an occupational injury or illness.

Categories of Records in the System. Name, social security number, address, sex, age, and accident/injury circumstances and factors, statements of witnesses, investigation worksheet, summary of claims, and related logs, forms, and correspondence.

Authority for Maintenance of the System. Pub. L. 91-596, Executive Order 12196, and 29 CFR Part 1960.

Purpose(s)

- a. To assist postal managers in meeting the requirement to develop and maintain an effective program of collection, compilation, and analysis of occupational safety and health statistics.

- b. To provide for the uniform collection and compilation of occupational safety and health data, for proper evaluation and necessary corrective action.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. To furnish the U.S. Department of Labor with serious accident reports, information to reconcile claims filed with the Office of Worker's Compensation, and quarterly and annual summaries of occupational injuries and illness; and to make information available to the Secretary of Labor upon his request.
2. Disclosure may be made to a court, claimant, party in litigation-- or counsel for a claimant or party when necessary to facilitate settlement or attempts at settlement of claims involving the accident.
3. May be disclosed to Compliance Safety and Health Officers or to Compliance Safety and Health Officers--Industrial Hygienists from the Occupational Safety and Health Administration, or to Industrial Hygienists from the National Institute for Occupational Safety and Health, when conducting announced or unannounced inspections or investigations of postal facilities.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Index cards, magnetic tape/disk, microfilm, preprinted forms, logs, and computer reports.

Retrievability. Employee name and social security number.

Safeguards. Maintained in closed file cabinets within secured facilities, and are also protected by computer password and tape or disk library physical security.

Retention and Disposal. Records are maintained locally for 5 years. Copies are maintained at National Headquarters for 5 years following the end of the calendar year to which they relate as required by OSHA.

System Manager(s) and Address.

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure. Employees wishing to know whether information about them is maintained in this system of records should address inquiries to the head of the facility where employed. Headquarters employees should submit requests to the System Man-

ager. Inquiries should contain full name, address, finance number and social security number.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. USPS Accident Reports and OWCP claim forms.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552aG) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from these other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 120.036

System Name. Personnel Records--Discipline, Grievance and Appeals Records for Non-Bargaining Unit Employees, 120.036.

System Location. All postal facilities.

Categories of Individuals Covered by the System. Records are maintained on non-bargaining employees in the Executive and Administrative (EA) Schedule, Executive and Administrative Postmaster (EPM) Schedule, and Postal Career Executive Service (PCES) Level I, who have completed six months of continuous service in the U.S. Postal Service or a minimum of twelve months of combined service without break of a workday, in positions in the same line of work in the Civil Service and the Postal Service, unless any part of such service was pursuant to a temporary appointment in the competitive service with a definite time limitation.

Categories of Records in the System. Notice to employee of proposed action, reply to notice, summary of oral reply, employee notice of grievance, employee notice of appeal, records of hearing proceedings, appeal decisions from installation head, region or Headquarters, notice of action, investigative reports and related records.

Authority for Maintenance of the System. 39 U.S.C. 1001; Subchapter 650 of the Employee & Labor Relations Manual.

Purpose(s). Provides a grievance and appeal procedure for an employee, not subject to the provisions of a collective bargaining agreement, who alleges that his or her rights regarding compensation, benefits, or other terms and conditions of employment have been adversely affected.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. To respond to a court subpoena and/or refer to a court in connection with a civil suit.
2. To adjudicate an appeal, complaint, or grievance.
3. Records from the employee file will be disclosed to the Merit Systems Protections Board (MSPB) and the Equal Employment Opportunity Commission (EEOC) for action on appeals before the MSPB and complaints of discrimination before the EEOC.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Information in this system is maintained on paper in the form of letters, forms, notices and transcripts of hearings. In some instances, records of hearing proceedings are on magnetic tape.

Retrievability. Employee name.

Safeguards. Records are kept in locked filing cabinets or secured record storage rooms and are available only to authorized officials.

Retention and Disposal. Appeal records are kept for 7 years after close of file. All other records are kept 1 year after close of file.

System Manager(s) and Address.

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure. Field employees must submit a written request to the head of the field installation where the action was initiated. Headquarters employees must submit a written request to the System Manager. They may also request permission to listen to or record tape recordings of hearings. This must be done in the presence of a postal official. They must identify themselves to the satisfaction of the official authorized to approve request.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Employees initiating actions, employee's supervisors, management, complaining customer, law enforcement agencies, and others.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from these other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 120.040

System Name. Personnel Records--Employee Job Bidding Records, 120.040.

System Location. Most departments, facilities and certain contractor sites of the Postal Service.

Categories of Individuals Covered by the System. Employees who have made a "Bid for Preferred Assignment" with the USPS.

Categories of Records in the System. Employee name, social security number, seniority and grade levels, craft, and knowledge of schemes; vacant position characteristics.

Authority for Maintenance of the System. 39 U.S.C. 1001, 1206.

Purpose(s). To provide personnel offices with fair and impartial information to match vacant position to the most qualified candidate.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. To provide information for official bulletin boards and release to various employee organizations.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Records are stored on magnetic tape, punched cards, preprinted forms and computer printed reports.

Retrievability. The system is indexed by employee name and social security number.

Safeguards. Computer center access control and limitation within offices to those employees maintaining the system.

Retention and Disposal. Computer records are kept 2 years, then automatically deleted. Paper records are kept 6 months after a vacancy is filled, then destroyed. Some records are retained until employee separates. (Where records become part of a grievance case file, dispose of with the case file.)

System Manager(s) and Address.

APMG.
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure. The employee should state the position of bid and identify himself/herself with name, social security number, closing date of the bid notice, and forward this information to the head of the facility where employed. Headquarters employees should submit requests to the System Manager.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Employee personnel data, scheme knowledge, qualifications of the job and of the candidate, successful bidders notices from vacant duty assignment postings.

USPS 120.050

System Name. Personnel Records--Employee Suggestion Program Records. 120.050.

System Location. USPS Headquarters, Regional Headquarters, Postal Data Centers.

Categories of Individuals Covered by the System. USPS employees.

Categories of Records in the System. Name of employee, employee number, employment location, suggestion number, subject and decision. If adopted, estimate of benefits and recognition granted.

Authority for Maintenance of the System. Chapter 45 of Title 5, U.S.C.

Purpose(s). To provide a source of data on the effectiveness of the Employee Suggestion Program which is summarized in an Annual Report.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Disclosure may be made to the news media from the record of an individual regarding his/her receipt of an employee award when the information is of news interest and consistent with the public right to know.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Printed forms and magnetic tape.

Retrievability. Employee name, region where employed, pay location, and division.

Safeguards. This information is maintained in file cabinets in secured facilities, automated records are restricted to personnel having an official need for access.

Retention and Disposal

- a. Adopted Suggestions
 - (1) Record copies--Destroy when 4 years old.
 - (2) All other copies--Destroy 2 years from date of adoption or approval.
- b. Disapproved suggestions--Destroy 2 years from date of disapproval. Records are destroyed by shredding and automatic deletion from computer tapes.

System Manager(s) and Address.

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure. Employees wishing to know whether information about them is maintained in this system of records should contact the head of the facility where employed. Also, employees who have appealed decisions or whose suggestions have been adopted nationwide should submit requests to

the System Manager. Headquarters employees should submit all requests to the System Manager.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is obtained from the individual making the suggestion.

USPS 120.060

System Name. Personnel Records--Confidential Statements of Employment and Financial Interest, 120.060.

System Location. Records pertaining to employees in each organizational component of the Postal Service are maintained by the Assistant or Associate Ethical Conduct Officer having jurisdiction for that component pursuant to 39 CFR 447.31(b).

Categories of Individuals Covered by the System. Postal Service Governors, employees in levels 24 and above, and Special Employees (except employees who are required to file public financial disclosure reports) as determined by the criteria in Executive Order 11222 and implemented by Postal Service regulations, 39 CFR 447.41(a).

Categories of Records in the System. Form 2417, *Confidential Statement of Employment and Financial Interests (For Use by Postal Service Employees)* and Form 2418, *Confidential Statement of Employment and Financial Interests (For Special Postal Service Employees)* and supplemental statements, containing employee name, title, salary, date of appointment to present position; list of organizations in which employee has a financial interest, types of indebtedness, interest in real property and types of outside employment. Opinions of counsel. Other information related to review of statements and conflict of interest determinations. Postal Service Governors complete Standard Form 278, *Public Financial Disclosure Report* in lieu of Form 2417 or Form 2418.

Authority for Maintenance of the System. Section 207 of the Ethics in Government Act, Pub. L. 95-521, as amended; Executive Orders 11222 and 11590.

Purpose(s). These records are maintained to meet requirements of Executive Order 11222 on the filing of employment and financial interest statements. Such statements are required to assure compliance with the standards of conduct for Government employees contained in the Executive Order and title 18 of the U.S. Code, and to determine if a conflict of interest exists

between the employment of individuals by the Postal Service and their personal employment and financial interests. To enable the Director of the Office of Government Ethics to ensure that these purposes are met, records maintained by the Postal Service are to be made available to that office on request. Records may also be furnished to the Executive Office of the President and to the appropriate Congressional committee when needed in connection with the nomination and confirmation of Presidential appointees.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Records or information may be provided to the Director, or his representative, of the Office of Government Ethics.
2. Records or information may be provided upon request to the Executive Office of the President when needed in connection with the nomination of Presidential appointees.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Preprinted forms and paper folders. Information from the forms may also be stored on magnetic tape or disk in automated office equipment.

Retrievability. Records are retrieved by the individual's name within each organizational component.

Safeguards. Records are kept in lockable file cabinets to which only authorized personnel have access. Access to computer data is restricted to personnel having an official need for access.

Retention and Disposal. Records are maintained for as long as employee is subject to reporting requirements and for two years thereafter. Records needed in an on-going investigation may be retained longer until such time as they are no longer needed for the investigation.

System Manager(s) and Address.

GENERAL COUNSEL LAW
DEPARTMENT UNITED
STATES POSTAL
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-1100

Notification Procedure. An employee wishing to inquire whether this system of records contains information about him/her or to gain access to information pertaining to him/her should direct an inquiry to the head of the facility where employed. Headquarters employees should submit requests to the System Manager. Inquiries should contain full name and place of employment.

Record Access Procedures. See NOTIFICATION above. Individuals requesting access must also comply with USPS' Privacy Act regulations on verification of identity and access to records (39 CFR 266.6).

Contesting Record Procedures. See Notification above. Since the information in these records is updated by the subject individual on a periodic basis, most record corrections can be accomplished by filing supplemental statements. However, individuals can obtain information on the procedures for contesting the records under the provisions of the Privacy Act by contacting the USPS Records Officer.

Record Source Categories. Information in this system of records is provided by:

- a. The subject individual or by a designated person such as a trustee, attorney, accountant, or relative.
- b. Ethics officials who review the statements to make conflict of interest determinations.
- c. Persons alleging conflicts of interests and persons contacted during any investigation of the allegations.

USPS 120.061

System Name. Personnel Records--Public Financial Disclosure Reports for Executive Branch Personnel, 120.061.

System Location. Law Department. USPS Headquarters.

Categories of Individuals Covered by the System. Senior level employees as determined by the criteria in section 201(1) of the Ethics in Government Act and implemented by Postal Service regulations, 39 CFR 447.42(a), consisting of the following persons: Postmaster General; Deputy Postmaster General; Ethical Conduct Officer; Administrative Law Judges; each employee who occupies a position that is compensated at or above level 2 of PCES I; and each employee whose basic rate is equal to or greater than the rate of basic pay for the first step of GS-16.

Note. Records pertaining to the Governors of the Postal Service are maintained as a part of System USPS 120.060 and are not contained in this system.

Categories of Records in the System. Public Financial Disclosure Report (Standard Form 278, or such other forms as may be prescribed by the Director, Office of Government Ethics), containing the following types of information: Income from sources other than the Postal Service; interests in property; purchases, sales and exchanges of property; gifts and reimbursements; liabilities; positions held; and relations with other employees. Position descriptions. Opinions of counsel and other information related to review of reports and to conflict of interest determination.

Authority for Maintenance of the System. Title II of Ethics in Government Act of 1978. Pub. L. 95-521, amended.

Purpose(s). These records are maintained to meet the public financial reporting requirements imposed by the Ethics in Government Act on high level executive personnel. The reports serve to deter conflicts of interest and to identify potential conflicts of interest by providing for a systematic disclosure and review of the financial interests of both current and prospective officers and employees. To enable the Director of the Office of Government Ethics to ensure that these purposes are met, records maintained by the Postal Service are made available to that office on request. Records may also be furnished to the Executive Office of the President and to the appropriate Congressional committee when needed in connection with the nomination and confirmation of Presidential appointees.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Financial Disclosure Reports (SF 278) are available to members of the public for inspection and copying upon written request made in accordance with section 205 of the Ethics in Government Act, Pub. L. 95-521, as amended, and 39 CFR 442.42(e)(2).
2. Records or information may be provided to the Director, or his representative, of the Office of Government Ethics.
3. Records or information may be provided upon request to the Executive Office of the President when needed in connection with the nomination of Presidential appointees.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Preprinted forms and paper folders. Information from the forms may also be stored on magnetic tape or disk in automated office equipment.

Retrievability. Records are retrieved by the individual's name.

Safeguards. Paper records are kept in lockable file cabinets to which only authorized personnel have access. Access to computer data is restricted to personnel having an official need for access.

Retention and Disposal. Records are maintained for six years, or longer if needed in connection with a pending investigation. Disposal is by shredding or burning.

System Manager(s) and Address.

GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-1100

Notification Procedure. An employee wishing to inquire whether this system of records contains information about him or to gain access to information pertaining to him should direct an inquiry to the System Manager. Inquiries should contain full name and place of employment.

Record Access Procedures. See Notification above.

Contesting Record Procedures. See Notification above. Since the information in these records is updated by the subject individual on a periodic basis, most record corrections can be accomplished by filing subsequent reports. However, individuals can obtain information on the procedures for contesting the records under the provisions of the Privacy Act by contacting the System Manager.

Record Source Categories. Information in this system of records is provided by:

- a. The subject individual or by a designated person such as a trustee, attorney, accountant, or relative.
- b. Ethics officials who review the reports to make conflict of interest determinations.
- c. Persons alleging conflicts of interests and persons contacted during any investigation of the allegations.

USPS 120.070

System Name. Personnel Records--General Personnel Folder (Official Personnel Folders and records related thereto), 120.070.

System Location. Personnel Offices of all USPS facilities; National Personnel Records Center, St. Louis, MO; Information Services Branch, Headquarters; Postal Data Center, Minneapolis, MN; and National Test Administration Center, Alexandria, VA; and selected contractor sites.

Categories of Individuals Covered by the System. Present and former USPS employees; and current employees' children or former spouses and former employees' family members or former spouses who qualify and apply for Federal Employee Health Benefits coverage under Public Laws 98-615 or 100-654.

Categories of Records in the System. Applications, resumes, merit evaluations, promotion/salary change and other personnel actions, letters of commendation, records of disciplinary actions, health benefit and life insurance elections and other documents pertaining to preemployment, prior Federal employment and current service as prescribed by

USPS directives.

Note: This system also contains an automated tracking system which is used primarily to control and document disciplinary actions and to provide statistical information.

Authority for Maintenance of the System. 39 U.S.C. 1001, 1005; 42 U.S.C. 2000e-16. Executive Orders 11478 and 11590.

Purpose(s). Used by administrators, managers, selection review committees, and individual employee supervisors to perform routine personnel functions.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. To provide information to a prospective employer of a USPS employee or former USPS employee.
2. To provide statistical reports to Congress, agencies, and the public on characteristics of the USPS work force.
3. To provide data for the compilation of a local seniority list that is used by management to make decisions pertaining to appointment and assignments among craft personnel. The list is posted in local facilities where it may be reviewed by USPS employees.
4. To transfer to the OPM upon retirement of an employee information necessary for processing retirement benefits.
5. Disclosure of relevant and necessary information pertaining to an employee's participation in health, life insurance and retirement programs may be made to the Office of Personnel Management and private carriers for the provision of related benefits to the participant (also see USPS 050.020).
6. Disclosure of minority designation codes may be made to the Equal Employment Opportunity Commission for the oversight and enforcement of Federal and EEO regulations.
7. Disclosure of records of discipline relating to individual employees may be made to State Employment Security Agencies at the initial determination level of the unemployment compensation claim process.
8. Information pertaining to an employee who is a retired military officer will be furnished to the appropriate service finance center as required under the provisions of the Dual Compensation Act.
9. May be disclosed to a Federal or State agency, providing parent locator services or to other authorized persons as defined by Pub. L. 93-647.
10. Records in this system are subject to review by an independent certified public accountant during an official audit of Postal Service finances.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Paper files, preprinted forms, Official Personnel Folders, magnetic tape and other computer storage devices.

Retrievability. Employee name and location of employment and social security number.

Safeguards. Folders are maintained in locked cabinets to which only authorized personnel have access; automated records are protected by computer passwords and tape or disc library physical security.

Retention and Disposal

- a. Official Personnel Folder (OPF) Records--These records are considered to be permanent and are maintained until employee is separated, and then are sent to the National Personnel Records Center, St. Louis, for storage, or to another Federal agency to which the individual transfers employment.
- b. Personnel Work Sheets--Destroy 30 days after a new Form 50, *Notification of Personnel Action* is issued.
- c. Temporary Records of Individual Employees--Destroy when 2 years old, upon separation, or upon transfer of employee, whichever is sooner.
- d. Service Record Cards--Destroy 3 years after separation or transfer of employee.
- e. Disciplinary Tracking System Records--Until research purposes are served, not to exceed 30 years. Destruction is by electronic erasure.

System Manager(s) and Address.

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure. Employees wishing to gain access to their Official Personnel Folders should submit requests to the facility head where employed. Headquarters employees should submit requests to the System Manager. Former Postal Service employees should submit requests to any Postal Service facility head giving name, date of birth and social security number. Former Post Office Department employees having no Postal Service employment (prior to July 1971) should submit the request to the Office of Personnel Management (formerly the U.S. Civil Service Commission) at:

OFFICE OF PERSONNEL MANAGEMENT
COMPLIANCE AND INVESTIGATIONS GROUP
1900 E STREET NW
WASHINGTON DC 20415-0001

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR § 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Individual employee, personal references, former employers and USPS 050.020 (Finance Records--Payroll System).

Systems Exempted from Certain Provisions of the Act. The USPS has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 120.090

System Name. Personnel Records--Medical Records, 120.090.

System Location. Postal Service medical facilities and designee offices; USPS Corporate Health Fitness Center (Headquarters only).

Categories of Individuals Covered by the System. Present and former USPS employees, individuals who have been offered employment but failed the medical examination before being placed on the rolls, and employees of other agencies that have entered into an agreement with the Postal Service to have the Postal Service perform medical services for the agencies' employees; also, Headquarters employees who participate in the corporate health/fitness program.

Categories of Records in the System. Name, address, job title, social security number, installation, illness, supervisor's and physician's reports (on Authorizations for Medical Attention); pertinent medical history including physical examinations, treatment received at the health unit, occupational injuries, or illnesses, substance abuse information, findings, diagnoses and treatment, doctor's statements and recommendations, records of immunizations, and medical findings related to e-employee's exposure to toxic substances. In addition, Headquarters employees who participate in the corporate health/fitness program will voluntarily provide data about their lifestyle, exercise schedule, smoking habits, knowledge as to personal health, personal and family medical history, nutrition, stress levels, and other data relevant to making a health risk appraisal. Records of participant employees' individualized schedules and progress may be kept.

Authority for Maintenance of the System. 39 U.S.C. 401, 1001.

Purpose(s)

- a. To provide all employees with necessary health care and to determine fitness for duty; and
- b. To provide a comprehensive individualized health promotion program for Headquarters employees and to determine the employee and organizational benefits of that program. (Note: Personal information about employee participants in the Corporate Health Fitness Program at Headquarters is under the exclusive custody of the contractor operating the program and is not available to postal management. These data are maintained only for those employees who voluntarily provide it and under conditions assuring that it will not be disclosed without the written authority of the subject employee. Aggregated data may be provided to postal management for its use in determining the employee and organizational benefits of the program, but that data will have no personal identifiers affixed to it.)

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

- 1. Information in these records may be provided to the Office of Personnel Management in making determinations related to:
 - (a) Veterans Preference;
 - (b) Disability Retirement; and
 - (c) Benefit Entitlement.
- 2. Information in these records may be provided to officials of the following Federal agencies responsible for administering benefit programs:
 - (a) Office of Workers' Compensation Programs;
 - (b) Retired Military Pay Centers;
 - (c) Veterans Administration; and
 - (d) Social Security Administration.
- 3. Records in this system may be disclosed to an employee's private treating physician and to medical personnel retained by the Postal Service to provide medical services in connection with an employee's health or physical condition related to employment.
- 4. May be disclosed to an outside medical service when that organization performs the physical examinations and submits the evaluation to the Postal Service pursuant to a contract with the USPS as part of an established Postal Service health program for the purpose of determining a postal employee's fitness for duty.
- 5. May be disclosed to the Occupational Safety and Health Administration, Department of Labor when needed by that organization to perform its duties properly in accordance with 29 CFR Part 19.

- 6. May be disclosed to the National Institute of Occupational Safety and Health when needed by that organization to perform its duties properly in accordance with 29 CFR Part 19.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Preprinted forms and paper files (Official Medical Folders); Preprinted forms and paper files and hard-copy computer storage (Corporate Health Fitness Center records).

Retrievability. Employee name.

Safeguards. Maintained in locked files. Access to automated Corporate Health Fitness Center records is restricted by password protection to medical screening personnel and health/fitness specialists under contract to operate the Corporate Health Fitness Program facility at Headquarters.

Retention and Disposal

- a. Employee Medical Folder--Medical records considered to be permanent are maintained until employee is separated and then are sent to the National Personnel Records Center for storage, or to another Federal agency to which the individual transfers employment. The records are maintained for 30 years from the date the employee separates from Federal service.
- b. Failed Eligibles--Retained in Personnel office along with employment application and destroyed by shredding when 2 years old.
- c. Authorization for Medical Attention (Form 3956)--Destroy when 2 years old.
- d. Corporate Health Fitness Center records--Retained by contractor operating Center until termination of contract at which time they must be returned to the USPS.

System Manager(s) and Address.

APMG
 EMPLOYEE RELATIONS DEPARTMENT
 UNITED STATES POSTAL SERVICE
 475 L'ENFANT PLAZA SW
 WASHINGTON DC 20260-4200

Notification Procedure. An employee wishing to know whether information about him/her is maintained in this system of records should address inquiries to the head of the facility where employed. Headquarters employees should submit requests to the System Manager. Failed eligibles should address inquiries to the head of the facility where application for employment was made. Inquiries should contain full name.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. USPS employees, selected eligibles, Veterans Administration and USPS medical staff.

USPS 120.098

System Name. Personnel Records--Office of Workers' Compensation Program (OWCP) Record Copies, 120.098.

System Location. All postal facilities.

Categories of Individuals Covered by the System. Postal employees who have voluntarily filed for injury compensation.

Categories of Records in the System. Copies of Department of Labor forms consisting of claims and supporting information; Postal Service forms and correspondence related to the claim; automated payment and accounting records.

Authority for Maintenance of the System. 39 U.S.C. 1005.

Purpose(s). To provide injury compensation to qualifying employees and to maintain a record of the events as a basis for managerial decisions.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information may be provided to the Department of Labor for the purpose of determining whether a claimant qualifies for compensation and to what extent qualification applies.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Printed forms and correspondence (Note: In some cases, the USPS by agreement with the Department of Labor (DOL) temporarily stores original case files. These files are considered to be DOL records to which DOL rather than USPS regulations apply.) Continuation of pay and DOL charge-back information is stored on computer media.

Retrievability. Alphabetically by name and social security number.

Safeguards. Maintained in locked filing cabinets within the exclusive custody of the injury compensation control point. Automated records are protected through computer password security, enCryptions, and/or a computer software security system.

Retention and Disposal. Transfer to a Federal Records Center 5 years after the employee has left the Postal Service; dispose of 30 years from date the employee leaves the Postal Service.

System Manager(s) and Address(s):

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200; and

APMG
DEPARTMENT OF THE CONTROLLER
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5200

Notification Procedure. Employees wishing to know whether information about them is maintained in this system of records should address inquiries to the head of the facility where employed. Headquarters employees should submit requests to the System Manager.

Record Access Procedures. See Notification Procedure above. (Note: The original case file (in most instances) is maintained by OWCP and must be requested from that organization as provided for under the Department of Labor Privacy Act System DOUEAS-13.)

Contesting Record Procedures. The contents of OWCP records may be contested only by contacting OWCP as provided for under the Department of Labor Privacy Act System DOUEAS-13.

Record Source Categories. Information is obtained from the claimant, the supervisor, witnesses, physicians, Department of Labor, and USPS 120.035.

USPS 120.099

System Name. Personnel Records--Injury Compensation Payment Validation Records, 120.099.

System Location. All postal facilities having injury compensation units, National Headquarters and Postal Data Centers.

Categories of Individuals Covered by the System. Current and former Postal Service employees who have received or are receiving injury compensation program payments.

Categories of Records in the System. Lists of individuals whose names appear in two systems of records, research case records, and remuneration records related to injury compensation paid to current and former employees by the Postal Service. (See "Retention and disposal" for cases in which these records are converted to investigative files.)

Authority for Maintenance of the System. 39 U.S.C. 1001, 39 U.S.C. 1005.

Purpose(s). This information is used to identify instances in which improper double payments have been or are being made to Postal Service employees who have filed injury-sickness compensation claims and to maintain records of this event as a basis for; detecting fraud; seeking remuneration and/or legal action; reporting the extent of double payments nationwide; and proposing corrective legislation.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Computer reports, paper records, correspondence and research records. (Note: These files are considered to be USPS records to which USPS regulations apply.)

Retrievability. Social security number.

Safeguards. These restricted files are maintained in locked file cabinets. Access to automated records is protected through a computer security system, file encryption, and/or password protection.

Retention and Disposal

- a. Computer reports.
 - (1) All personal information on initial data collection reports and master file/tape will be destroyed (or erased) when 3 years old.
 - (2) Subsequent reports containing affirmative identifications become part of research case records.
- b. Research case records (copies of records from other systems-- includes computer reports, paper reports, and correspondence).
 - (1) If research determines nonapplicability, destroy by burning or shredding 6 months after such determination is made.
 - (2) If research determines applicability, research records then become (a) part of an investigative case file and fall within system USPS 080.010, Inspection Requirements Investigative File System (refer to USPS 080.010 for retention and disposal instructions), or (b) a

remuneration case file which is maintained for 2 years and destroyed by burning or shredding. Extra copies of research records are destroyed at the time a remuneration or investigative case file is created.

System Manager(s) and Address.

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure. Employees or former employees wishing to know whether information about them is maintained in this system of records should address inquiries to the System Manager.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is obtained from Postal Service injury compensation case files, payment records and employment records as found in USPS Privacy Act Systems: USPS 050.020, 120.070, and 120.098; Social Security Administration death files; and pertinent Federal health benefit carrier's claim/payment files.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 120.100

System Name. Personnel Records--Performance Award System Records, 120.100.

System Location. USPS Personnel Division and Inspection Service, Headquarters; Regional and Divisional Offices of Inspection Service; Division Offices; Post Offices; Bulk Mail Centers; Postal Data Centers.

Categories of Individuals Covered by the System. USPS employees.

Categories of Records in the System. Name of recognized employee and pay location, related records including letter of commendation and appreciation, correspondence or memoranda pertaining to awards from other government agencies or private organizations, length of service awards, incentive awards, recommendations, nominations, and evidence of payment made.

Authority for Maintenance of the System. Chapter 45 of Title 39, U.S.C.

Purpose(s). To control and measure the effectiveness of the Awards Program under which cash awards are given to recognize and reward employees for special acts, services, or efforts in the public interest related to USPS employment or that improve USPS effectiveness.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information is summarized and furnished to the Office of Personnel Management annually, to be included in the OPM report on incentive awards to the President.
2. Disclosure may be made to the news media from the record of an individual regarding his/her receipt of an employee award when the information is of news interest and consistent with the public's right to know.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Magnetic tape and printed forms.

Retrievability. Employee name, region where employed, pay location and Division.

Safeguards. Physical security.

Retention and Disposal

- a. Incentive Award Files--Destroy 4 years from date of approval or disapproval.
- b. Length of Service Award Files--Destroy when 1 year old.
- c. Non-USPS awards--Destroy 2 years after date of award.
- d. Letter of Commendation and Appreciation (excluding copies filed in the OPF)--Destroy 2 years from date of letter.

System Manager(s) and Address.

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure. Employees wishing to know whether information about them is maintained in this system of records should address inquiries to the head of the facility where employed. Headquarters employees should submit requests to the System Manager. Inquiries should contain full name and pay location.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is obtained in summary printouts supplied to each region by Postal Data Centers.

USPS 120.110

System Name. Personnel Records--Preemployment Investigation Records, 120.110.

System Location. USPS Facilities; Regional and National Headquarters (all records except laboratory reports containing drug test results and related medical records which are maintained in Postal Service medical facilities and designee offices.)

Categories of Individuals Covered by the System. Postal employees and applicants for employment.

Categories of Records in the System. Replies from character references and former employers, local police records, drug screening records including laboratory results, drug history records and other investigative reports used to determine suitability for employment. Other records filed with these are: Office of Personnel Management records (privacy system--OPM/CENTRAL-9) compiled through a National Agency Check and Inquiry (NACI) and forwarded to the USPS for assistance in making a hiring decision.

Authority for Maintenance of the System. 39 U.S.C. 410(b), 1001.

Purpose(s). To determine suitability for employment.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. With the exception noted below, general routine use statements a, b, c, d, e, f, g,

h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Note: Only general routine use b applies to drug screening records and laboratory results identified in the "Categories of Records in the System" section of this notice.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Preprinted forms and correspondence.

Retrievability. Alphabetically by name.

Safeguards. Laboratory results of drug testing are stored in locked file cabinets under the supervision of medical personnel. Other information is stored in locked file cabinets accessible to those with an appropriate security clearance.

Retention and Disposal

- a. Destroy 5 years from the date the employee is initially found suitable for employment or 5 years from the date action was taken to deny or terminate employment.
- b. NACI reports are retained in the same fashion as local investigative records.

System Manager(s) and Address.

APMG
 EMPLOYEE RELATIONS DEPARTMENT
 UNITED STATES POSTAL SERVICE
 475 L'ENFANT PLAZA SW
 WASHINGTON DC 20260-4200

Notification Procedure

- a. Local Investigative records--Apply to the head of the postal facility where employed. Headquarters employees should submit requests to the System Manager.
- b. OPM NACI reports--Apply to the Office of Personnel Management as instructed by privacy system OPM/CENTRAL-9.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is obtained primarily from local police records, former employers, and character references, and drug testing laboratory.

Systems Exempted from Certain Provisions of the Act. Reference 39 CFR 266.9 for details.

USPS 120.120

System Name. Personnel Records--Personnel Research and Test Validation Records, 120.120.

System Location. USPS Headquarters, Washington, DC (paper records only); National Test Administration Center, Alexandria, VA, and contractor sites (paper and ADP records); and National Information Systems Development Center, Raleigh, NC, and Minneapolis Postal Data Center, Minneapolis, MN (ADP records only).

Categories of Individuals Covered by the System. Applicants for postal employment and USPS employee applicants for reassignment and/or promotion; current employees whose work records or solicited responses are involved in research projects.

Categories of Records in the System. Records are hard-copy (paper, including scannable answer sheets) or ADP (magnetic tape, disk) and may contain the following information, depending on personnel research or test validation study: applicant and research subject demographic data, including race, sex, national origin, employment status, date of birth and geographical location; and identification data, including name, social security number or respondent identification code; project identification code, batch codes, and information collection dates; applicant and research subject responses to, or evaluation on, personnel assessment instruments; applicant and research data and laboratory data and analysis, concerning performance, work suitability, physical conditions, disciplinary incidents, awards, attendance, training or other work related data, when used in conjunction with personnel research; and job analysis data, including respondent identification and evaluation of job activities and employee qualifications.

Authority for Maintenance of the System. 39 U.S.C. 401, 1001.

Purpose(s). To support research and development efforts in the construction and use of personnel assessment instruments (such as tests and performance evaluation forms); the analysis of employee behavior, characteristics, interests, attitudes, and physical condition affecting productivity; and the evaluation and improvement of personnel management practices. Data are collected when specific research projects are undertaken (such as pilot tryouts of personnel selection methods and job attitude surveys). Race and national origin data are used to evaluate any adverse impact of the selection process. Use of these race and national origin data is limited to research projects and test validation conducted by the Postal Service. No individual personnel decisions are made in the use of these research records. Many data are collected under conditions ensuring their confidentiality which will be protected. Personnel information in this system of records is used primarily by the personnel research staff of the Office of Selection and Evaluation of the U.S. Postal Service. Reports and analyses that result

from use of this system, or use of this system in conjunction with system USPS 120.121, are based on aggregated data, with no identification of the individuals involved.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, and l listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. To disclose information to the Equal Employment Opportunity Commission for use in determining the existence of adverse impact in the total selection process, in reviewing allegations of discrimination, or in assessing the status of compliance with Federal law.
2. Disclosure of information about applicants for employment with the Postal Service may be made to the Selective Service System (SSS) under approved computer matching efforts in which either the Postal Service or SSS acts as the matching agency. Disclosure will be limited to only those data elements considered relevant to identify individuals eligible for registration under the Military Selective Service Act (50 U.S.C. App. 451 et seq.), to determine whether those individuals have complied with registration requirements, and to enforce compliance when necessary.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Paper files, magnetic tape, and disks.

Retrievability. Depending on the research project, employee name, social security number, batch number, or employee's date of examination, location, or respondent identification code.

Safeguards. These records are maintained in closed file cabinets in a secure facility. Access to computer data is restricted to authorized personnel.

Retention and Disposal

- a. **Hard Copy--Paper** response forms (scannable answer sheets, booklets) are destroyed upon transcription to magnetic media, usually within six months of collection.
- b. **Magnetic Tape--Retention** is dependent upon the type of research project and is not to exceed 30 years--DO NOT TRANSFER TO A FEDERAL RECORDS CENTER.

System Manager(s) and Address.

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure. Employees wishing to gain access to their records should submit requests to the facility head where employed. Headquarters employees should submit requests to the System Manager. Former Postal Service employees wishing to gain access to their Official Personnel Folder should submit requests to any Postal Service facility head giving name, date of birth, and Social Security number. Former Post Office Department employees having no Postal Service employment (prior to July 1971) should submit requests to the OFFICE OF PERSONNEL MANAGEMENT (formerly the U.S. Civil Service Commission), COMPLIANCE AND INVESTIGATIONS GROUP, WASHINGTON DC 20415-0001.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Records Access Procedures above.

Record Source Categories. Applicants or research subjects or others providing evaluations, or work-related data on subjects as part of a research study. Other systems from which information is accessed include records relating to: Collection and Delivery, EEO, Finance, Inquiries and Complaints, Inspection Requirements, Personnel, Statistical Systems and Litigation.

Systems Exempted from Certain Provisions of the Act, Reference 39 CFR 266.9 for details.

USPS 120.121

System Name. Personnel Records--Applicant Race, Sex, National Origin and Disability Status Records, 120.121.

System Location. USPS National Test Administration Center, Alexandria, VA (paper and ADP records); and USPS National Information System Development Center, Raleigh, NC; and Minneapolis Postal Data Center, Minneapolis, MN (ADP records only).

Categories of Individuals Covered by the System. Applicants for USPS examinations, including USPS employees.

Categories of Records in the System. Individual's name, social security number, date of birth, lead office installation number, race, sex, national origin and disability status data.

Authority for Maintenance of the System. 39 U.S.C. 401, 101, and 5 U.S.C. 7201.

Purpose(s). To provide the Postal Service with the ability to assess the impact of personnel selection decisions on applicants in each racial, sex, national origin and disability category. Note: These data are maintained only on those applicants who voluntarily provide it and under conditions assuring that the individual's self-identification as to race, sex, national origin, and disability status does not accompany that individual's application when it is under consideration by a selecting official. Data are collected via a research questionnaire on an applicant-by-applicant basis and are used to produce summary descriptive statistics and analytical studies to evaluate personnel/organizational measurement and selection methods; to implement and evaluate USPS affirmative action programs; to determine any adverse impact on the overall personnel selection process; to identify categories of individuals for personnel research; and for related work force studies.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, and l listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. To disclose information to the Equal Employment Opportunity Commission for use in determining the existence of adverse impact in the total selection process, in reviewing allegations of discrimination, or in assessing the status of compliance with Federal law.
2. Disclosure may be made in response to the order of a court of competent jurisdiction.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Paper files, magnetic tape and disks.

Retrievability. Name and Social Security Number.

Safeguards. Records are maintained in lockable filing cabinets in a secured room. Access to automated data is restricted by computer passwords.

Retention and Disposal

- a. Hard Copy--Destroy 6 months after processing.
- b. Magnetic Tape--Maintain for 30 years--DO NOT TRANSFER TO A FEDERAL RECORDS CENTER.
- c. Statistical Records (without individual identifiers)--Maintained for as long as needed for the purpose of conducting longitudinal studies.

System Manager(s) and Address.

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure. Individuals wishing to know whether this system of records contains information about them should address inquiries to the head of the examination center of the facility that administered the test. Inquiries should be written, signed, and contain full name, Social Security Number, type of examination, examination number, and the date and place of participation in the examination.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is provided by applicants taking examinations.

USPS 120.130

System Name. Personnel Records--Postmaster Selection Program Records. 120.130.

System Location. USPS Divisions and Management Sectional Centers.

Categories of Individuals Covered by the System. USPS employees and external applicants desiring to be considered for appointment to a Postmaster position.

Categories of Records in the System. Name, address, date of birth, social security number, education summary, postal background, other employment experience. Postal Inspector's Investigative Report, and other pertinent personal information.

Authority for Maintenance of the System. 39 U.S.C. 401, 1001.

Purpose(s). To provide USPS selecting officials and appointing officials with decision-making information to determine the best qualified candidates for appointment to postmaster position.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, i, k, and l listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Printed, typed or handwritten forms.

Retrievability. Applicant's name and post office for which application was made.

Safeguards. Locked file cabinets in a secured facility with access restricted to authorized personnel.

Retention and Disposal. Postmaster vacancy files are retained in selecting official's organization for 2 years and then destroyed, unless an audit, investigation, or appeal is pending. Records are destroyed by shredding or burning.

System Manager(s) and Address.

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA
WASHINGTON DC 20260-4200

Notification Procedure. Employees wishing to know whether this system of records contains information about them should address inquiries to the Field Division General Manager/Postmaster of the Division in which the application was made. Inquiries should contain fuH name, the postal facility to which application was made, title and place of employment.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266_6,

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is obtained from the employee, postal background personnel data, and from forms completed by the employee.

Systems Exempted from Certain Provisions of the Act. Reference 39 CFR 266.9 for details.

USPS 120.140

System Name. Personnel Records Employee Assistance Program (EAP) Records, 120_140.

System Location. EAP Offices, Headquarters, Minneapolis Postal Data Center, and certain contractor sites.

Categories of Individuals Covered by the System. USPS employees and immediate family members who volunteer for or are referred to the Program which is established primarily to help postal employees in their efforts to recover from alcohol and drug abuse, and other problems which may adversely impact their personal lives, job behavior or performance.

Categories of Records in the System. Name of employee participant, personal information needed to assist in a program of recovery, information about referral, problem, progress, participation (number of counselling contacts and leave usage while a Program participant), name of referred family member and

name of community resource where referred. Demographic data collected on records subjects for statistical reporting includes marital status, ethnic group, gender, and age group.

Authority for Maintenance of the System. 39 U.S.C. 40L

Purpose(s). To provide counselors with information needed to maintain program operations and counsel individuals under the Program. Also used as a management data source for statistical reporting on the Program.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. None.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Paper files, magnetic tape/disk, and computer printouts.

Retrievability. Name. Social Security number or case number of participant.

Safeguards. These restricted files are maintained in locked file cabinets with access limited to EAP personnel and in secured facilities. Automated records are protected through computer password security and encoding of personal identifiers.

Retention and Disposal

- a. Historical Record Cards--Destroy 25 years from the close of case to which card corresponds.
- b. Case Files--(!) Deceased Persons--Destroy 1 year from date of cutoff; (2) Persons successfully completing the Program and persons dropped from the Program for reasons of termination, retirement, or withdrawal or transfer--Destroy 3 years from date of cutoff; (3) Family member--Destroy 1 year from date of interview. DO NOT TRANSFER TO A FEDERAL RECORDS CENTER.

System Manager(s) and Address.

APMG
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UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure. Participants in the Program should address inquiries to the head of the facility where participating. Inquiries should contain full name, Social Security Number, and location of employment, if applicable. Headquarters employees should submit requests to the System Manager.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. The participating employee, family member referee, EAP counselor, and the referring source.

USPS 120.151

System Name. Personnel Records--Recruiting, Examining, and Appointment Records, 120.151.

System Location. U.S. Postal Service personnel offices, National Test Administration Center (NTAC); Minneapolis Postal Data Center; and/or other offices within Postal Service facilities authorized to engage in recruiting or examining activities or to make appointments to positions.

Categories of Individuals Covered by the System. Job applicants.

Categories of Records in the System. Personal and professional resumes, personal applications, test scores, medical assessments, academic transcripts, letters of recommendation, employment certifications, medical records, and registers of eligibles. Restricted medical records are accumulated by personnel offices prior to transmittal to medical facilities. The above records may include such information as name of applicant, post office of application, social security number, date of examination, employment and education background, estimates of potential, and recommendations.

Authority for Maintenance of the System. 39 U.S.C. 401, 1001.

Purpose(s). To provide managers, personnel officials, and medical officers with information for recruiting and recommending appointment of qualified persons.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Paper files, index cards, magnetic tape, punched cards, preprinted forms and computer printed reports.

Retrievability. Job applicant name and/or social security number.

Safeguards. Paper records are maintained in closed filing cabinets under scrutiny of designated managers. Computer records are maintained in secured facilities.

Retention and Disposal

- a. Applications for Employment--Dispose of upon expiration of eligibility, unless extended for an additional year at the request of the eligible person.
- b. Applications for Master Instructor Positions--Destroy 3 years after date of selection.
- c. Employment Registers: (i) Notice of Rating Card--Forward to applicant. (ii) Alpha and numeric Register Cards -Destroy when 10 years old.
- d. Outside Applicant Files: (i) Successful Applicant Files -Move Form 50-B, *Request for Personnel Action* and Form 52, *Journal Voucher and/or Travel Advice*, as appropriate, to the Official Personnel Folder. Dispose of all other forms and papers when 6 months old. (ii) Unsuccessful Applicant File-- Dispose of when 1 year old.
- e. Answer Sheets: (i) Hard Copy--Destroy 6 months after processing. (ii)Magnetic Tape Maintain for 30 years--DO NOT TRANSFER TO FEDERAL RECORDS CENTER.

System Manager(s) and Address.

APMG
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UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure. Persons wishing to know whether information about them is maintained in this system of records should address inquiries to the head of the facility to which job application was made. Inquiries should contain full name, social security number, and, if applicable, approximate date of application submitted and residence.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Individual, school officials, former employers, supervisors, named references, Veterans Administration and State Division of Vocational Rehabilitation Counselors.

Systems Exempted from Certain Provisions of the Act. Reference 39 CFR 266.9 for details.

USPS 120.152

System Name. Personnel Records--Career Development and Training Records, 120.152.

System Location. Postal Education and Development Centers (PEDCs) and other facilities within the Postal Service where career development training and curriculum evaluation activities are authorized.

Categories of Individuals Covered by the System. Current and former postal employees.

Categories of Records in the System. Career development records, applications for and records of postal and non-postal training, records containing student and manager evaluations of training received, examination and skills bank records, and scheme examination records (including dates of examination due and taken, and results). Information within these records may include name, social security number, special qualifications, skills or knowledge, career goals, education, work histories or summaries, nominations, recommendations, and copies of personnel actions, certificates and other material contained within USPS 120.070.

Authority for Maintenance of the System. 39 U.S.C. 401, 1001.

Purpose(s). To provide managers, supervisors, and training and development professionals with decision-making information for employee career development, training, and assignment.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Paper files, index cards, magnetic tape, punched cards, preprinted forms and computer printed reports.

Retrievability. Employee name and social security number.

Safeguards. Paper records are maintained in closed filing cabinets under scrutiny of designated managers. Computer records are maintained in secured facilities.

Retention and Disposal

- a. Management Training Program Records: (1) Trainee's Individual Files--Destroy 5 years from the date trainee leaves the program. (2) Trainee Travel Records--Destroy 1 year from date trainee leaves program. (3) Travel files of postal managers

in connection with program--dispose of when 1 year old.

- b. Nomination for Executive Leadership Files--Destroy 1 year from date of selection.
- c. Employee Training Files--Destroy 5 years from date of training.
- d. Case Examination Records--Destroy 1 year from date of separation of employee.
- e. Certain records of examinations are maintained as part of USPS 120.120, Personnel Records--Personnel Research and Test Validation Records.

System Manager(s) and Address(s):

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

APMG
FACILITIES DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-6400

APMG
PHILATELIC & RETAIL SRVS DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA
WASHINGTON DC 20260-6700

Notification Procedure. Current and former field employees wishing to know whether information about them is contained in this system of records should address inquiries to the head of the appropriate employment facility. Headquarters employees should submit requests to the System Manager. Inquiries should contain full name and social security number.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures, See Notification and Record Access Procedures above.

Record Source Categories. Information is obtained from the subject, subject's employment record, and his/her supervisor.

Systems Exempted from Certain Provisions of the Act. Reference 39 CFR 266.9 for details.

USPS 120.153

System Name. Personnel Records--Individual Performance Evaluation /Measurement, 120.153.

System Location. U.S. Postal Service Facilities where individual performance evaluation/measurement activities are conducted.

Categories of Individuals Covered by the System. Current and former postal employees.

Categories of Records in the System. Individual performance evaluation and measurement records that include audit sheets, performance ratings, performance appraisals for PCES candidates, self-appraisals, statements of goals and objectives, and related correspondence.

Authority for Maintenance of the System. 39 U.S.C. 401. 1001.

Purpose(s). To provide managers and supervisors with decision-making information for training needs, promotion and assignment considerations, or other employee/job related actions.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System.

Storage. Paper files, index cards, magnetic tapes, punched cards, preprinted forms and computer printed reports.

Retrievability. Employee name and social security number.

Safeguards. Paper records are maintained in closed filing cabinets under scrutiny of designated managers. Computer records are maintained in secured facilities.

Retention and Disposal

- a. Merit Performance Evaluation Files--Destroy when 5 years old.
- b. Individual Performance Evaluation/Measurement Records--Destroy when 10 years old or when no longer useful, whichever is sooner. DO NOT TRANSFER TO A FEDERAL RECORDS CENTER.

System Manager(s) and Address. Assistant Postmaster General having jurisdiction over the functional or administrative performance evaluation/measurement procedure.

Notification Procedure. Current and former field employees wishing to know whether information is maintained about them in this system of records should address inquiries to the head of the appropriate employment facility. Headquarters employees should submit requests to the System Manager. Inquiries should contain full name and social security number.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is obtained from the subject, the subject's employment records and his/her co-workers.

USPS 120.170

System Name. Personnel Records--Safe Driver Award Records, 120.170.

System Location. Motor Vehicle Offices of Postal Facilities.

Categories of Individuals Covered by the System. USPS employees who are full-time drivers of postal vehicles.

Categories of Records in the System. Contain employees' name, yearly Safe Driver Awards record of any accidents in which employee is involved, and evaluations by Safe Driver Award Committee.

Authority for Maintenance of the System. 39 U.S.C. 401.

Purpose(s). To provide information for awarding Safe Driver Awards.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. To furnish information to the National Safety Council for award purposes.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Index cards.

Retrievability. Alphabetically by name of employee.

Safeguards. Kept in closed file cabinets with limited access.

Retention and Disposal. Destroy 4 years from date of separation, expiration of license, rescission of authorization, or transfer of driver into a nondriving status, or other transfer (unless requested by new installation or agency).

System Manager(s) and Address.

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure. Employees wishing to know whether information about them is maintained in this system of records should address inquiries to the head of the facility where employed. Headquarters employees should submit the request to the System Manager. Inquiries should contain full name.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is obtained from the driver and from USPS accident reports.

USPS 120.180

System Name. Personnel Records--Skills Bank (Human Resources Records), 120.180.

System Location. Maintained by various postal facilities as determined by management.

Categories of Individuals Covered by the System. Different categories of USPS employees, Women, PCES and employees in various job categories.

Categories of Records in the System. Employee name, social security number, address, job position, sex, educational background, work history, salary history, skills, licenses, language, career preferences and goals, geographical preferences, special achievements, merit awards, project assignments, benefits, and other personal information. (The various systems in existence may contain more or less information than specified herein.)

Authority for Maintenance of the System. Public Law 92-261, 39 U.S.C. 401, 1001.

Purpose(s). Used by USPS management to make and track employee job assignments, to place employees in new positions, and to assist in career planning and training in general; the system is also used to provide statistics for personnel and workload management.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Preprinted forms, magnetic tape and disk files, computer reports, and microfiche.

Retrievability. Name and social security number.

Safeguards. Locked file cabinets, controlled access, computer password authentication, magnetic tape library, physical security.

Retention and Disposal. Paper records will be destroyed by shredding or burning 1 or 2 years after information is successfully entered into the system depending upon the particular program involved. Automated information will be erased 1 year after employee is terminated or is no longer in the particular job category.

System Manager(s) and Address.

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
467 L'ENFANT PLAZA
WASHINGTON DC 20260-4200

CHIEF POSTAL INSPECTOR
INSPECTION SERVICE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-2100

Notification Procedure. Employees wishing to know whether such a system exists at their place of employment or whether information about them is maintained in this system of records should address inquiries to the head of the facility where employed. Headquarters employees should submit requests to the System Manager. Inquiries should contain full name, social security number, and place of employment.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is obtained directly from employee and USPS personnel forms and reports.

Systems Exempted from Certain Provisions of the Act. The USPS has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552aG) and (k). See 39 CFR 266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 120.190.

System Name. Personnel Records--Supervisors' Personnel Records, 120.190.

System Location. Any Postal Service facility.

Categories of IndividualS Covered by the System. USPS employees.

Categories of Records in the System. Records consist of summaries or excerpts from the following other USPS personnel records systems: 120.036, 120.070, 120.151, 120.152, 120.153, 120.180, 120.210; as well as records of discipline. In addition, copies of other Postal Service records and records originated by the supervisor may be included at the supervisor's discretion.

Authority for Maintenance of the System. 39 U.S.C. 401, 1001.

Purpose(s). To enable supervisors to efficiently manage assigned personnel.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Records of discipline may become part of USPS 120.070 and would therefore be subject to disclosure under the routine uses of that system of records.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Paper files, index cards, magnetic tape and disk, computer printouts.

Retrievability. Employee name.

Safeguards. Paper documents/index cards are locked in supervisor's desk or filing cabinets. Computer readable media are maintained in secured data processing facilities.

Retention and Disposal

- a. CounSeling Records--Destroy when 1 year old if there has been no disciplinary action initiated against the employee during that period.
- b. Letters of Warning--Destroy when 2 years old if there has been no disciplinary action initiated against the employee during that period.
- c. All Other Records--Dispose of immediately upon termination of supervisor/employee relationship.

System Manager(s) and Address.

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UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure. Employees wishing to know whether this system of records contains information on them should address inquiries to the head of the facility where employed. Headquarters employees should submit requests to the System Manager.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Other personnel records systems, supervisor notes, employees and postal customers.

Systems Exempted from Certain Provisions of the Act. Records of information in this system that have been compiled in reasonable anticipation of civil action or proceedings are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552aU) and (k). See 39 CFR 266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 120.210.

System Name. Personnel Records--Vehicle Maintenance Personnel and Operators Records, 120.210.

System Locations. Vehicle Service Operations at Post Offices, Sectional Centers, Division Offices, Regional Offices, Headquarters, Bulk Mail Centers and Postal Data Centers.

Categories of Individuals Covered by the System. USPS employees.

Categories of Records in the System. Records relating to individual employee operation of Postal Service-owned or leased vehicles, including employee name, age, length of service, physical condition, vehicle accidents, driving citations, safety awards, driver license revocations and suspensions, driving habits, vehicle training, results of driving tests, and qualifications to drive vehicles; employee workload, work schedule, performance analysis and work habits.

Authority for Maintenance of the System. 39 U.S.C. 401.

Purpose(s). To provide local post office managers, supervisors, and Manager of Fleet Operations with information to adjust workload, change schedules, change the type of equipment operated, change lists of equipment assigned to employee, and used as a basis for corrective action or safe driving awards.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. To provide GSA and USPS driver credentials.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Printed forms, and computer tapes.

Retrievability. Employee name, vehicle number, route number, work order number, and facility name.

Safeguards. Records are maintained in closed file cabinets in secured facilities. Access to computer data is restricted to authorized personnel.

Retention and Disposal. Destroy 4 years from date of separation, transfer (unless requested by new installation or agency), expiration of license, rescission of authorization, or transfer of driver into a nondriving status.

System Manager(s) and Address.

APMG
DELIVERY DIST & TRAN DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA
WASHINGTON DC 20260-7100.

Notification Procedure. Employees wishing to know whether information about them is maintained in this system of records should address inquiries to the head of the facility where employed. Inquiries should contain employee's full name, social security number, route number, work station and facility where employed.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. The employee, medical doctors, driver examiner/instructor state vehicle departments and supervisors.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552aU) and (k). See 39 CFR 266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 120.220.

System Name. Personnel Records--Arbitration Case Files, 120.220.

System Location. Office of Labor Law, Law Department, National Headquarters; Office of Field Legal Services, Regions; and Field Divisions.

Categories of Individuals Covered by the System. Employees involved in labor arbitrations.

Categories of Records in the System. Documents relating to proceedings when the USPS is a party in labor arbitration cases. Includes disciplinary and contract grievances, and appeals of bargaining unit employees, formal pleadings and memoranda of law, excerpts from grievance files, supporting documents, notes and case analyses prepared by Postal Service advocates and other personnel, and correspondence and telephone records.

Authority for Maintenance of the System. 39 U.S.C. 401, 409(d).

Purpose(s). To provide advice and representation to the Postal Service in labor arbitration cases.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information contained in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information concerning the nature, status and disposition of the proceedings, may be disclosed to any person, unless it is determined that release of specific information in the context

of a particular case would constitute an unwarranted invasion of personal privacy.

2. When considered appropriate, records in this system may be referred to a bar association or similar Federal, state or local licensing or regulatory authority for possible disciplinary action.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Case records are stored in paper folders and on magnetic tape or disk in automated office equipment.

Retrievability. Name of litigant(s).

Safeguards. Folders containing paper documents are kept in lockable filing cabinets within secured buildings or areas under the general scrutiny of authorized personnel. Computer terminals and tape/disk files are located in a secured area and access is restricted to personnel having an official need.

Retention and Disposal

- a. Disciplinary Cases (to include removal) and contract application cases--(1) National Level--Destroy 15 years from date of final decision. (2) Field Level--Destroy 5 years from date of final decision.
- b. Contract Interpretation Cases (National Level)--Transfer to a Federal Records Center when 5 years old, destroy 15 years from date of expiration of the agreement.
- c. Court Actions--Transfer to a Federal Records Center when 5 years old, destroy 15 years from date of final agreement.

System Manager(s) and Address.

APMG
LABOR RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4100

Notification Procedure. Persons wishing to determine whether this system of records contains information about them should write to the System Manager and provide name, case number, if known, and the approximate date the action was initiated.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Note. Review of requests seeking amendment of records which have previously been the subject of a judicial or quasi-judicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evi-

dence presented in the course of an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case, and will not include a review of the merits of the action, determination, or finding.

Record Source Categories. (a) Employees involved in labor arbitration cases; (b) Counsel(s) or other representative(s) for parties involved in the arbitration case other than Postal Service; (c) Arbitrators; (d) Other individuals involved in labor arbitration cases. Source documents include the formal case file, investigative reports, and other records relevant to the case.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552aU) and (k). See 39 CFR 266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 120.230

System Name. Personnel Records--Adverse Action Appeals (Administrative Litigation Case Files), 120.230.

System Location. Office of Labor Law, Law Department, National Headquarters; Office of Field Legal Services, Regions; and Field Divisions.

Categories of Individuals Covered by the System. Employees involved in Veterans' Appeals and other adverse action appeals.

Categories of Records in the System. (a) Formal pleadings and memoranda of law; (b) Excerpts from disciplinary or adverse action files and other relevant documents; (c) Miscellaneous notes and case analyses prepared by Postal Service advocates; and (d) Correspondence and telephone records.

Authority for Maintenance of the System. 39 U.S.C. 401, 409(d).

Purpose(s). This information is used to provide advice and representation to the Postal Service.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory

Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information contained in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information concerning the nature, status and disposition of the proceedings, may be disclosed to any person, unless it is determined that release of specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.
2. When considered appropriate, records in this system may be referred to a bar association or similar Federal, state or local licensing or regulatory authority for possible disciplinary action.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Case records are stored in paper folders and on magnetic tape or disk in automated office equipment.

Retrievability. Name of litigant(s).

Safeguards. Folders containing paper documents are kept in lockable filing cabinets within secured buildings or areas under the general scrutiny of authorized personnel. Computer terminals are located in secured areas, and access is restricted to personnel having an official need.

Retention and Disposal. Destroy 7 years from the date of final decision.

System Manager(s) and Address.

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA
WASHINGTON DC 20260-4200

Notification Procedure. Persons wishing to determine whether this system of records contains information about them should write to the System Manager and provide their name, case number, if known, and the approximate date the action was instituted.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Note--Review of requests seeking amendment of records which have previously been the subject of a judicial or quasi-judicial administrative action will be limited in scope. The amendment provisions of the

Act are not intended to permit the alteration of evidence presented in the course of an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case, and will not include a review of the merits of the action, determination, or finding.

Record Source Categories. (a) Employees involved in Veterans Appeals and other adverse action appeals; (b) Counsel(s) or other representative(s) for parties in administrative litigation other than Postal Service; (c) Other individuals involved in appeals. Source documents include the formal case file, investigative reports, and other records relevant to the case.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shaH continue to apply to the incorporated records.

USPS 120.240

System Name. Personnel Records--Garnishment Case Files, 120.240.

System Location. Finance Offices within USPS facilities and the Minneapolis, Postal Data Center.

Categories of Individuals Covered by the System. Employees whose wages are garnished to satisfy a financial obligation.

Categories of Records in the System. Employee name, social security number, address, employing facility, name and address of the recipient of the deduction, amount of the debt and deduction, and other data relevant to the garnishment of an employee's wages in payment of alimony, child support, or commercial debt, or state or local tax levies. Records within case files may also include notices to employee of the intent to withhold wages, court orders, worksheets for calculating or processing garnishments, and other correspondence/documents relating to the indebtedness.

Authority for Maintenance of the System. 39 U.S.C. 401.409(d).

Purpose(s). To process garnishment of a postal employee's wages to satisfy a debt related to child support, alimony, a commercial obligation, or a state or local tax levy.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Paper documents and computer tape/disk.

Retrievability. Employee name.

Safeguards. Paper and automated records are subject to controlled access.

Retention and Disposal. Postal Data Center records are maintained for six months after the debt is satisfied or cancelled; Post Office records are maintained for 3 years after the debt is satisfied or cancelled. Paper records are shredded and computer tape/disk records are erased at the end of retention period.

System Manager(s) and Address.

APMG
DEPARTMENT OF THE CONTROLLER
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5200

Notification Procedure. Employees wishing to know whether this system of records contains information about them should submit requests to the facility head where employed. Headquarters employees should submit requests to the System Manager. Inquiries should include the employee's full name and case number, if known.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR §266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. The indebted employee, court related documents, and other records relating to the debt.

USPS 130.010

System Name. Philately--Benjamin Franklin Stamp Club Coordinators and Project Leaders List, 130.010.

System Location. Philatelic and Retail Services Department, Headquarters, and Philatelic Sales Division, Merrifield, VA.

Categories of Individuals Covered by the System. Adult coordinators of Stamp Clubs for youth groups.

Categories of Records in the System. Name and address of club coordinators.

Authority for Maintenance of the System. 39 U.S.C. 401, 404.

Purpose(s). To be used as an adjunct to a philatelic program by Sectional Center personnel, Division personnel, and individual postmasters as follows:

- a. Assisting coordinators in forming Stamp Clubs;
- b. Making contact with Clubs to assist in program presentation and USPS cooperation at stamp shows and philatelic exhibits;
- c. Responding to philatelic information requests;
- d. Determining USPS needs for films, graphics, and publications related to philately; and
- e. Mailing newsletters to Stamp Club coordinators.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, and j listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Computer tape/disk.

Retrievability. Name of individual and ZIP Code within the club or stamp group with which the individual is associated.

Safeguards. Computer media are stored in a fire resistant and secured facility with controlled access.

Retention and Disposal. Records are maintained on a year-to-year basis subject to reverification each year.

System Manager(s) and Address.

APMG
PHILATELIC & RETAIL SRVS DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-6700

Notification Procedure. Persons wishing to know whether information about them is maintained in this system of records should address inquiries to the System Manager. Inquiries should contain full name, address, and the club or stamp group with which the requester is associated.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is obtained from the individual to which the record refers.

USPS 130.020

System Name. Philately--Educators Stamp Fun Mailing Lists, 130.020.

System Location. Philatelic and Retail Services Department, Headquarters.

Categories of Individuals Covered by the System. Elementary school teachers in schools around the country.

Categories of Records in the System. Teacher's name, address of school, number of students in the school, number of known stamp collectors in the school, existence of a stamp club.

Authority for Maintenance of the System. 39 U.S.C. 401, 404.

Purpose(s). To be used by the Office of Stamps to mail periodic issues of Stamp Fun and related materials.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, and j listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Magnetic tape.

Retrievability. Coding number or school teacher's name.

Safeguards. Controlled access to data.

Retention and Disposal. Indefinitely with annual updates.

System Manager(s) and Address.

APMG
PHILATELIC & RETAIL SRVS DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-6700

Notification Procedure. Persons wishing to know whether information about them is maintained in this system of records should address inquiries to the above System Manager. Inquiries should include full name and name and address of school.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Return responses from national mailing of "Stamp Fun."

USPS 130.040

System Name. Philately--Postal Product Sales and Distribution, 130.040.

System Location. Philatelic and Retail Services Department, Headquarters; Communications Department; and at a contractor site.

Categories of Individuals Covered by the System. Customers who have initiated correspondence by (1) responding to various philatelic and other USPS sponsored (e.g., Olympic) product sales promotion programs by submitting order forms, business reply cards, or cut outs from posters and promotional literature; (2) providing postal clerks with name and address information to receive future product announcements; (3) opening subscription accounts for products; or (4) requesting products in unsolicited correspondence such as letters.

Categories of Records in the System. Customer/subscriber name and account number, address; funds on deposit, remittance type and amount, order/product specifications, order history, credit card payment information; special lists identifying individuals who have submitted bad checks, special service customers/subscribers, and individuals who have registered multiple service complaints; and customer name with date and amount of claim submitted for merchandise that was defective, not received, etc.

Authority for Maintenance of the System. 39 U.S.C. 401, 404.

Purpose(s). (1) to operate a subscription service or services for customers who remit money for a particular product or products; (2) to maintain a file to send product announcements and sales literature to customers or subscribers; (3) to serve, as a source for statistical data for research and market analysis, billing and inventory data, and mailing basis for product shipment; and (4) to identify discrete groups of customers/subscribers for better order control and service.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, and j listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Original typed or handwritten form, or microform and on magnetic tape or disk and computer printouts.

Retrievability. Customer/subscriber name and number, if assigned.

Safeguards. Paper and microform records are maintained in closed filing cabinets under general scrutiny of Program personnel. Information on magnetic tape and disk is protected by ADP physical security, technical software and administrative security or by contractors providing similar protection subject to the audit and inspection of the USPS Inspection Service.

Retention and Disposal. ADP and microform records are maintained for three years after the individual has failed to make a purchase or has indicated no other interest. ADP records are obliterated after their period of usefulness; microform records are incinerated. Correspondence and other paper documents are retained for three years and then destroyed by shredding.

System Manager(s) and Address.

APMG
PHILATELIC & RETAIL SRVS DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA
WASHINGTON DC 20260-6700

APMG
COMMUNICATIONS DEPT
UNITED STATES POSTAL SERVICE
475 L' ENFANT PLAZA SW
WASHINGTON DC 20260-3100.

Notification Procedure. Individuals wishing to know whether information about them is maintained in this system of records should address inquiries to the System Manager above. Inquiries should contain full name and address.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is obtained directly from the individual as is described in Categories of Individuals Covered by the System above.

USPS 130.050

System Name. Philately--United States Postal Service Olympic Pen Pal Club, 130.050.

System Location. Office of Olympic Marketing, Communications Department, Headquarters; and at a contractor site.

Categories of Individuals Covered by the System. Children, both United States and foreign, who register to join the United States Postal Service Olympic Pen Pal Club.

Categories of Records in the System. Information identifying Pen Pal Club registrants that includes name, home address, gender, and date of birth; payment information (including credit card); and registrant profile data (without personal identifiers).

Authority for Maintenance of the System. 39 U.S.C. 401, 404.

Purpose(s).

1. To make a computerized matchup of children who register to become pen pals;
2. To maintain a file to send philatelic and Olympic-related promotional and informational materials; and
3. To serve as a source for statistical data for philatelic research and market analysis.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses.

1. Records from this system may be disclosed to another Pen Pal Club registrant with whom a record subject has been matched as a pen pal.
2. Records from this system may be disclosed to the Department of Justice or to other counsel representing the Postal Service, or may be disclosed in a proceeding before a court or adjudicative body before which the Postal Service is authorized to appear, when (a) the Postal Service; or (b) any postal employee in his or her official capacity; or (c) any postal employee in his or her individual capacity whom the Department of Justice has agreed to represent; or (d) the United States when it is determined that the Postal Service is likely to

be affected by the litigation, is a party to litigation or has an interest in such litigation, and such records are determined by the Postal Service or its counsel to be arguably relevant to the litigation, provided, however, that in each case, the Postal Service determines that disclosure of the records is a use of the information that is compatible with the purpose for which it was collected. This routine use specifically contemplates that information may be released in response to relevant discovery and that any manner of response allowed by the rules of the forum may be employed.

3. When the Postal Service becomes aware of an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, or in response to the appropriate agency's request upon a reasonable belief that a violation has occurred, the relevant records may be referred to the appropriate agency, whether Federal, State, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto.
4. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the prompting of that individual.
5. Records or information from this system may be disclosed to an expert, consultant, or other person who is under contract to the Postal Service to fulfill an agency function, but only to the extent necessary to fulfill that function. This may include disclosure to any person with whom the Postal Service contracts to reproduce, by typing, photocopy or other means, any record for use by Postal Service officials in connection with their official duties or to any person who performs clerical or stenographic functions relating to the official business of the Postal Service.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Computer media storage and paper. Paper records consisting of registrant forms or registrant lists submitted by foreign postal administrations will be kept only until the information is entered into the database.

Retrievability. Club member's name.

Safeguards. Hardcopy records are maintained in a secured environment with access limited to those persons whose official duties require such access. When entered into the computer, individually identified data is kept separate from profile data used for analysis. Access to automated records is restricted by authorized user identification codes. Information on computer storage media maintained at a contractor site is protected by ADP physical security, technical software,

and administrative security subject to the audit and inspection of the USPS Inspection Service.

Retention and Disposal. ADP records are maintained for two years after the individual has become a member of the Pen Pal Club. After that time, the records are erased. Correspondence and other paper documents are retained for two years and then destroyed by shredding or burning.

System Manager(s) and Address.

APMG
COMMUNICATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L' ENFANT PLAZA SW
WASHINGTON DC 20260-3100.

Notification Procedure. Individuals wishing to know whether information about them is maintained in this system of records should address inquiries to the System Manager. Inquiries should contain name and address.

Record Access Procedure. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedure. See Notification and Record Access Procedures above.

Record Source Categories. Information is furnished by record subjects registering for membership in Pen Pal Club and by foreign postal administrations.

USPS 140.020

System Name. Postage--Postage Meter Records, 140.020.

System Location. Post Offices.

Categories of Individuals Covered by the System. Postage meter users.

Categories of Records in the System. Customer name and address, postal facility setting the meter, license number, date of issuance; license application, and transaction documents.

Authority for Maintenance of the System. 39 U.S.C. 401, 404.

Purpose(s). To enable responsible administration of postage meter activities.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, and m listed in the Prefatory Statement at the beginning of the Postal Service's

published system notices apply to this system. Other routine uses are as follows:

- a. To disclose identity and address of meter user and identity of agent or user to any member of the public upon request.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Printed forms and computer tape/disk.

Retrievability. Customer name and by numeric file of postage meters.

Safeguards. Paper records and computer storage media are maintained in closed file cabinets in secured facilities; automated records are protected by computer password.

Retention and Disposal. Records are maintained for 1 year after final entry or the duration of the license and then destroyed by shredding.

System Manager(s) and Address.

APMG
RATES AND CLASSIFICATION DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5300

Notification Procedure. Persons wishing to know whether information about them is maintained in this system of records should address inquiries to the local postmaster from which license was obtained, supplying name and meter number.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is obtained from the individual and officials making entries to reflect activities.

USPS 150.010

System Name. Records and Information Management Records--Information Disclosure Accounting Records (Freedom of Information Act), 150.010.

System Location. Records Officer, USPS Headquarters, and Records Custodians at all USPS facilities.

Categories of Individuals Covered by the System. Individuals who submit inquiries and requests for information (many of which are made pursuant to the Freedom of Information Act) about the general activities of the Postal Service.

Note--This system may contain inquiries and requests regarding information contained in other USPS systems of records that are subject to the Privacy Act. As a result, information about individuals from other systems may, when appropriate, become part of this system.

Categories of Records in the System. Name and address of requester, request letters, referral letters, internal memoranda, response letters, and copies of records requested.

Authority for Maintenance of the System. 39 U.S.C. 401, 412; 5 U.S.C. 552; Pub. L. 93-502.

Purpose(s). To enable records custodians to respond to requests from members of the public for USPS records, and to comply with the reporting requirements of the FOIA.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Records or information may be provided to any source from which the USPS requests additional information (to the extent necessary to identify the requesting individual, inform the source of the purpose of the request, or to identify the type of information requested), where necessary to obtain information relevant to the USPS' disclosure determination under the FOIA.
2. Records or information may be provided to the originating Federal agency in connection with a referral of an FOIA request to that agency for its disclosure determination.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Case records are stored in paper folders. Response letters may also be temporarily stored on magnetic disk in automated office equipment. Abbreviated or summarized information may be stored in automated equipment.

Retrievability. Chronologically by year and alphabetically by name of the requester except in those instances where a requester has made his request through an attorney or agent. In the latter case, the name of the attorney or agent might appear as the requester.

Safeguards. Case files and magnetic disks are stored in lockable file cabinets. Computer access is restricted by the use of passwords. Access to all storage media is limited to personnel whose official duties require access.

Retention and Disposal. Records maintained by custodians and the Records Office are disposed of 6 years from date of final response to requester. (Files may be transferred to USPS General Counsel (FOIA Appeals Officer) upon request. When this is done, files may become a part of the Appeals Case Files--see USPS 150.015.)

System Manager(s) and Address.

RECORDS OFFICER
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5010

Notification Procedure. Persons wishing to know whether information about them is maintained in this system of records should address inquiries to the Custodian at the facility where request was sent. Inquiries should contain the full name of the person who submitted the request, or the name of the attorney who submitted the request on the person's behalf and the date of the request.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR §266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Individuals and their attorneys who submit information/records requests; USPS officials who respond to the requests; other sources whom the USPS believes have information pertinent to a decision on the request; other agencies referring requests to the USPS; and pertinent records responsive to the request.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C- 552a(d)(5). In addition, the USPS has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C- 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 150.015

System Name. Records and Information Management Records--Freedom of Information Act Appeals and Litigation Records, 150.015.

System Location. General Administrative Law Division, Law Department, USPS Headquarters.

Categories of Individuals Covered by the System. The system encompasses all individuals who submit administrative appeals or bring suit against the Postal Service under the Freedom of Information Act on account of denials of access to records maintained by the Postal Service. Note.- -This system may contain inquiries and requests regarding information contained in other USPS systems of records that are subject to the Privacy Act. As a result, information about individuals from other systems may, when appropriate, become part of this system.

Categories of Records in the System. The system contains correspondence and other documents related to administrative appeals made by individuals to the General Counsel for information under the provisions of the FOIA (5 U.S.C- 552) including copies of appeal letters, appeal decisions, initial request and decision letters, internal memoranda, referral letters, and copies of records requested under the FOIA. Litigation case files may contain the aforementioned types of records as well as pleadings, memoranda of law, notes and case analyses prepared by attorneys and other personnel, and other documents incidental to the litigation.

Authority for Maintenance of the System. 5 U.S.C. 552.

Purpose(s). To enable the General Counsel to carry out his duties as appellate authority, to assist in the representation of the Postal Service in FOIA related litigation, and to comply with the reporting requirements of the FOIA

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Records or information may be provided to the Department of Justice for its coordination of responses to requests for information, and to prepare reports required by 5 U.S.C. 552(d).
2. Records or information may be provided to a Federal agency in order to obtain advice and recommendation concerning matters on which the agency has specialized experience or particular competence that may be useful to the USPS in making required determinations under the FOIA.
3. Records or information may be provided to any source from which the USPS requests additional information (to the extent necessary to identify the

requesting individual, inform the source of the purpose of the request, or to identify the type of information requested), where necessary to obtain information relevant to the USPS disclosure determination under the FOIA.

4. Records or information may be provided to the originating Federal agency in connection with a referral of an FOIA request to that agency for its disclosure determination.
5. Appeal decision letters may be made available for public inspection and copying.
6. Information contained in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information concerning the nature, status and disposition of the proceeding, may be disclosed to any person, unless it is determined that release of specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.
7. When considered appropriate, records in this system may be referred to a bar association or similar Federal, state, or local licensing or regulatory authority for possible disciplinary action.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Appeal and litigation case records are stored in paper folders. Appeal decision letters are also stored in binders and on magnetic tape or disk in automated office equipment, and are maintained for public inspection in the Headquarters Library. Abbreviated or summarized information is stored on index cards and in automated equipment.

Retrievability. Chronologically by year; numerically by appeal number; and alphabetically by name of the requester except in those instances where a requester has an appeal filed on his behalf by an attorney or agent. In the latter case the name of the attorney or agent might appear as the requester appellant. Litigation case records are retrieved by the style of the civil action.

Safeguards. Appeal and litigation case files are stored in lockable file cabinets under the general scrutiny of Postal Service attorneys. Access is limited to personnel whose official duties require access. Library copies of appeal decision letters are available for public inspection. Access to computer data is restricted to personnel having an official need for access.

Retention and Disposal. Appeal decision letters are retained indefinitely. Appeal and litigation case files are retained for ten years following the date of the final agency decision, or ten years following the final adjudication in case of a civil suit, whichever is applicable. Records are destroyed by shredding, burning, or the equivalent.

System Manager(s) and Address.

GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-1100

Notification Procedure. Individuals wishing to determine whether this system of records contains information about them should write to the System Manager and provide the following information: the name of the person who submitted the appeal, or the name of the attorney who submitted the appeal on the person's behalf, and the year in which the appeal was made; or, when applicable, the name of the plaintiff in the civil action and the year in which the civil action was filed.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Note.-- Review of requests seeking amendment of records which have previously been the subject of a judicial or quasi-judicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented in the course of an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case and will not include a review of the merits of the action, determination, or finding.

Record Source Categories. Individuals and their attorneys who submit FOIA requests and appeals; USPS officials who respond to FOIA requests; other sources whom the USPS believes have information pertinent to a decision on the FOIA request or appeal; other agencies referring requests to the USPS; and pertinent records from other USPS systems of records.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552aU) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 150.020

System Name. Records and Information Management Records--[Information Disclosure Accounting Records (Privacy Act), 150.020.

System Location. Records Officer, USPS Headquarters and Records Custodians at all USPS facilities.

Categories of Individuals Covered by the System. Any USPS employee or citizen who makes an inquiry or request for information or amendment of a record subject to the provisions of the Privacy Act of 1974 (5 U.S.C. 552a). Note.--This system may contain inquiries and requests regarding information contained in other USPS systems of records that are subject to the Privacy Act. As a result, information about individuals from other systems may, when appropriate, become part of this system.

Categories of Records in the System. Name and address of inquirer, other personal identifying information such as social security number and date of birth, request letters, referral letters, internal memoranda, response letters, accountings of disclosure, and copies of records at issue.

Authority for Maintenance of the System. 39 U.S.C. 401; 5 U.S.C. 552a.

Purpose(s). To enable records custodians to respond to requests from employees or members of the public for records the USPS maintains pursuant to the provisions of the Privacy Act, and to comply with reporting requirements of that Act.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Records or information may be provided to any source from which the USPS requests additional information (to the extent necessary to identify the requesting individual, inform the source of the purpose of the request, or to identify the type of information requested), where necessary to obtain information relevant to a USPS decision concerning a Privacy Act request.
2. Records may be disseminated to a Federal agency which originally furnished the records for the purpose of permitting a decision as to access or correction to be made by that agency, or for the purpose of consulting With that agency as to the propriety of access or correction.
3. Records or information may be disseminated to any appropriate Federal, State, local, foreign agency or other appropriate source for the purpose of verifying the accuracy of information that is the subject of an individual's request for amendment or correction.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Case records are stored in paper folders. Response letters may also be temporarily stored on magnetic disk in automated office equipment. Abbreviated or summarized information may be stored in automated equipment.

Retrievability. ChronologicaUy by year and alphabetically by name of the requester except in those instances where a requester has made his request through an attorney or agent. In the latter case, the name of the attorney or agent might appear as the requester.

Safeguards. Case files and magnetic disks are stored in lockable file cabinets. Computer access is restricted by the use of passwords. Access to all storage media is limited to personnel whose official duties require access.

Retention and Disposal. Request letters and related correspondence are retained for six years. Accountings of disclosures are retained for five years or the life of the disclosed record, whichever is longer. All records are destroyed by burning or shredding.

System Manager(s) and Address.

RECORDS OFFICER
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5010

Notification Procedure. Persons wishing to know whether information about them is maintained in this system of records should address inquiries to the Custodian at the facility where request was sent. Inquiries should contain the full name of the person who submitted the request, or the name of the attorney who submitted the request on the person's behalf, and the date of the request.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Individuals and their attorneys who submit amendment/records requests; USPS officials who respond to the requests; other sources whom the USPS believes have information pertinent to a decision on the request; other agencies referring requests to the USPS; and pertinent records responsive to the request.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 150.025

System Name. Records and Information Management Records--Privacy Act Appeals and Litigation Records, 150.025.

System Location. General Administrative Law Division, Law Department, USPS Headquarters.

Categories of Individuals Covered by the System. The system encompasses all individuals who submit administrative appeals or bring suit against the Postal Service pursuant to the provisions of the Privacy Act of 1974.

Note. This system may contain inquiries and requests regarding information contained in other USPS systems of records that are subject to the Privacy Act. As a result, information about individuals from other systems may, when appropriate, become part of this system.

Categories of Records in the System. The system contains correspondence and other documents related to administrative appeals made by individuals to the General Counsel for information under the provisions of the Privacy Act (5 U.S.C. 552a) including copies of appeal letters, appeal decisions, initial request and decision letters, internal memoranda, referral letters, and copies of the records at issue. Litigation case files may contain the aforementioned types of records as well as pleadings, memoranda of law, notes and case analyses prepared by attorneys and other personnel, and other documents incidental to the litigation.

Authority for Maintenance of the System. 5 U.S.C. 552a.

Purpose(s). To enable the General Counsel to carry out his duties as appellate authority, to assist in the representation of the Postal Service in Privacy Act litigation, and to comply with reporting requirements.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Records or information may be provided to the Department of Justice for its coordination of responses to requests for information, and to prepare reports required by 5 U.S.C. 552a(s).
2. Records or information may be provided to a Federal agency in order to obtain advice and recommendation concerning matters on which the agency has specialized experience or particular competence that may be useful to the USPS in making required determinations under the Privacy Act.
3. Records or information may be provided to any source from which the USPS requests additional information (to the extent necessary to identify the requesting individual, inform the source of the purpose of the request, or to identify the type of information requested), where necessary to obtain information relevant to the USPS decision concerning a Privacy Act request.
4. Records may be disseminated to a Federal agency which originally furnished the records for the purpose of permitting a decision as to access or correction to be made by that agency, or for the purpose of consulting with that agency as to the propriety of access or correction.
5. Records or information may be disseminated to any appropriate Federal, State, local, foreign agency or other appropriate source for the purpose of verifying the accuracy of information that is the subject of an individual's request for amendment or correction.
6. Information contained in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information concerning the nature, status and disposition of the proceeding, may be disclosed to any person, unless it is determined that release of specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.
7. When considered appropriate, records in this system may be referred to a bar association or similar Federal, State, or local licensing or regulatory authority for possible disciplinary action.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Appeal and litigation case records are stored in paper folders. Appeal decision letters are also stored in binders and on magnetic tape or disk in automated office equipment. Abbreviated or summarized information is stored on index cards and in automated equipment.

Retrievability. Chronologically by year; numerically by appeal number; and alphabetically by name of the requester except in those instances where a requester has an appeal filed on his behalf by an attorney or agent. In the latter case, the name of the attorney or agent might appear as the requester appellant. Litiga-

tion case records are retrieved by the style of the civil action.

Safeguards. Appeal and litigation case files are stored in lockable file cabinets under the general scrutiny of Postal Service attorneys. Access to paper records and to computer data is limited to personnel whose official duties require access.

Retention and Disposal. Appeal decision letters are retained indefinitely. Appeal and litigation case files are retained for ten years following the date of the final agency decision, or ten years following the final adjudication in case of a civil suit, whichever is applicable. Records are destroyed by shredding, burning, or the equivalent.

System Manager(s) and Address.

GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-1100

Notification Procedure. Individuals wishing to determine whether this system of records contains information about them should write to the System Manager and provide the following information: the name of the person who submitted the appeal, or the name of the attorney who submitted the appeal on the person's behalf, and the year in which the appeal was made; or, when applicable, the name of the plaintiff in the civil action and the year in which the civil action was filed.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Note....The amendment provisions for this system are not intended to permit an individual a second opportunity to request amendment of a record which was the subject of the initial Privacy Act amendment request merely because the record has been incorporated into this system as a result of the appeal process. That is, after an individual has requested amendment of a specific record in a USPS system under provisions of the Privacy Act, that specific record may itself become part of this system of case records. An individual may not subsequently request amendment of that specific record again simply because a copy of the record has become part of the second system of records. Generally, review of requests seeking amendment of records which have previously been the subject of a judicial or quasi-judicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented in the course of an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judi.;

cial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case, and will not include a review of the merits of the action, determination, or finding.

Record Source Categories. Individuals and their attorneys who submit Privacy Act requests and appeals; USPS officials who respond to Privacy Act requests; other sources whom the USPS believes have information pertinent to a decision on the Privacy Act request or appeal; other agencies referring requests to the USPS; pertinent records from other USPS systems of records.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 150.030

System Name: Records and Information Management Records-Computer Logon ID Records. 150.030.

System Location: Computer logon ID records are maintained at all postal facilities and certain contractor sites that access USPS computers. However, primary postal ADP sites are the Postal Data Centers, the National Information Systems Support Center in Raleigh, NC, the Address Information Center in Memphis, TN, the National Test Administration Center in Alexandria, VA, and the Materiel Distribution Centers in Topeka, KS and Somerville, NJ. In addition, these records are part of a database of an internal computer security package that uses them in conjunction with rules to control access.

Categories of Individuals Covered by the System: Users of USPS computer systems who sign on with a computer logon ID. These are primarily USPS employees (including temporary and casual) and contractor employees, but may include nonpostal persons.

Categories of Records in the System: Requests for computer access and for computer logon ID and other access control records. These records contain identifying user information such as name, Social Security Number, job title, BA Code, work telephone number and address; employing facility finance number; the name of the data or application systems the user may access, and the level of access granted; user screening and/or security clearances; verification of status of

contractor employee; and approvals by ADP security personnel.

Authority for Maintenance of the System: 39 U.S.C. 401; Pub.L. 100-235, Computer Security Act of 1987.

Purposes: To assign computer logon IDs by which access to data and/or files on computer systems is limited to authorized persons through the use of computer security access control products. Used by computer security officers in determining various schemes and control of user computer logon IDs; as a positive user identifier in resolving access problems by phone; and by Postal Inspectors and authorized personnel in auditing compliance with access rules.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses: General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System:

Storage: Paper records that include preprinted forms and lists. Summary information from paper records is stored on magnetic disks or tapes in ADP equipment.

Retrievability: Name, logon ID, and Social Security Number of individual who has been assigned a computer logon ID.

Safeguards: Hardcopy records are maintained within lockable filing cabinets under the general scrutiny of designated postal personnel (such as CSSOs) responsible for security of the ADP system to which they pertain. Access to automated records is restricted by authorized access code (password).

Retention and Disposal: Retained for one year after computer access privileges are cancelled and then destroyed by shredding (paper records) or deletion (automated records).

System Manager(s) and Address:

ASSISTANT POSTMASTER GENERAL
INFORMATION RESOURCES MANAGEMENT DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200.

Notification Procedure: Individuals wishing to know whether information about them is maintained in this system of records should address inquiries to the head of the facility that manages the ADP system to which they have been given access. Inquiries should contain full name, Social Security Number, and logon ID. Headquarters employees should submit requests to:

ASSISTANT COMPUTER SYS SECURITY OFFICER
OFC OF INFO RESOURCES MGMT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-1550.

Record Access Procedures: Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures: See Notification and Record Access Procedures above.

Record Source Categories: Information is furnished by record subjects requesting access to computer files or data and a computer logon ID, and by postal personnel charged with ADP security responsibilities.

USPS 160.010

System Name. Special Mail Services--Insured and Registered Domestic Mail Inquiry and Application for Indemnity Records, 160.010.

System Location. Rates and Classification Department, Headquarters; Postal Data Center, St. Louis, MO; and Post Offices.

Categories of Individuals Covered by the System. Insured and registered domestic mail claimants/requesters, including mail senders and addressees.

Categories of Records in the System. Name and address of mail sender and addressee; declaration of claimant/requester, and claim/inquiry status information.

Authority for Maintenance of the System. 39 U.S.C. 401, 404.

Purpose(s). To respond to inquiries on the status of domestic insured and registered mail, and to adjudicate claims related to such mail.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Handwritten and typed forms, computer readable media and printouts.

Retrievability. Claimant/requester's name, mailer's name, date of mailing, and registered article number; or claim number, date of mailing, mailer's name, and insured article number.

Safeguards. Handwritten and typed forms are maintained in steel file cabinets with use limited to claims personnel. Computer readable media are stored in protected areas, and access to the media is confined to authorized data processing personnel.

Retention and Disposal. Domestic inquiries are maintained for two years. Claim records are maintained for one year at St. Louis Postal Data Center and then transferred to the Federal Records Center and maintained for another three years. All records are destroyed by shredding.

System Manager(s) and Address.

APMG
RATES AND CLASSIFICATION DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5300

Notification Procedure. Persons wishing to know whether information about them is maintained in this system of records should address inquiries to the head of the facility where the insured or registered domestic claim was filed. If claim has been filed, inquiry should include claim number (if insured mail), date of claim, insured or registered number of article mailed, and the date of mailing.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information from the individual completing the claim/inquiry form.

USPS 160.020

System Name. Special Mail Services--Insured and Registered Ordinary International Mail Inquiry and Application for Indemnity Records, 160.020.

System Location. Rates and Classification Department, Headquarters; Postal Data Center, St. Louis, MO; and International Claims and Inquiries Offices in New York, New Orleans and San Francisco.

Categories of Individuals Covered by the System. Insured and registered international mail claimants/requesters, including mail senders and addressees, declaration of claimants/requesters, and claim/inquiry status information.

Categories of Records in the System. Name, address, and description of claim.

Authority for Maintenance of the System. 39 U.S.C. 401, 404.

Purpose(s). To respond to inquiries regarding international mail, and to adjudicate insured and registered international mail claims.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, ct, e, f, g, h, j, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. To refer an international mail inquiry or claim to the appropriate foreign postal authority when required for resolution.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Handwritten and typed forms, computer readable media and printouts.

Retrievability. Claimant/requester's name, case number, and registered or insured article number.

Safeguards. Handwritten and typed forms are maintained in steel file cabinets with use limited to claims personnel. Computer readable media are stored in protected areas, and access to the media is confined to authorized data processing personnel.

Retention and Disposal. Destroy when 3 years old.

System Manager(s) and Address.

APMG
RATES AND CLASSIFICATION DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA
WASHINGTON DC 20260-5300

Notification Procedure. Persons wishing to know whether information about them is maintained in this system of records should address inquiries to the head of the facility where the insured or registered foreign mail claim was filed. If claim has been filed, inquiry should include claim number, date of claim, insured or registered number of article mailed.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Individual completing the claim/inquiry form.

USPS 160.030

System Name. Special Mail Services--Express Mail Service Insurance Claims for Loss, Delay and Damage, 160.030.

System Location. St. Louis Postal Data Center, St. Louis, MO; International Claims and Inquiries Office, New York, NY; post offices.

Categories of Individuals Covered by the System. Express Mail claimants (mailers or addressees).

Categories of Records in the System. Name and address of mailer and addressee, description of contents mailed, amount claimed, receipts of mailing and delivery, and other documentation supporting the claim and its adjudication.

Authority for Maintenance of the System. 39 U.S.C. 401, 404.

Purpose(s). To adjudicate Express Mail claims for loss, delay and damage.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. In file cabinets in original typed, handwritten, copied or printed form; and on computer-readable media.

Retrievability. EMS item number, date of mailing, name of sender, and country of destination (for international items).

Safeguards. Maintained in steel file cabinets by post office Express Mail Marketing personnel and by Claims Personnel in the Rates and Classification Department and the International Claims and Inquiries Office. Computer-readable media are stored in protected areas having controlled access.

Retention and Disposal. PDC records are retained for two years.

System Manager(s) and Address.

APMG
RATES AND CLASSIFICATION DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA
WASHINGTON DC 20260-5300

Notification Procedure. Claimants wishing to know whether information about them is maintained in this system of records should address inquiries to the System Manager.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. The claimant or designated representative.

USPS 170.010

System Name. Statistical (Cost) Systems--Workload Reporting Records, 170.010.

System Location. Workload Reporting Records are located and/or maintained in various Departments and Facilities of the USPS.

Categories of Individuals Covered by the System. USPS employees and contract employees assigned to work on specific projects.

Categories of Records in the System. May include employee initials and surname, organizational unit and division, work hours on daily, weekly, or pay period basis by course number designated, social security number, systems code, weekly totals and pay period totals, project number, project name, name of customer contact, estimated completion date, estimated resources, actual contact, and general remarks about the development of the project.

Authority for Maintenance of the System. 39 U.S.C. 401, 404.

Purpose(s). The system is used to determine project costs for billing customers for services and by management to schedule work loads and staffing.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Printed forms, magnetic tape and disks.

Retrievability. Employee initials and name, project number, system code, social security number, pay period or project name.

Safeguards. Maintained in secured area within secured facility.

Retention and Disposal. In some cases, records are retained for one year and then automatically deleted from computer disks and paper files are destroyed by shredding. Some records are maintained on computer tape beyond one year for historical and trend analyses.

System Manager(s) and Address. The department or facility head where such records are required.

Notification Procedure. Employees wishing to gain access to this information should address inquiries to the department or facility head where employed at the time of work load reporting. Inquiries should contain full name and project name and number.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Prepared by employee or supervisor as activities occur.

USPS 190.010

System Name. Litigation--Miscellaneous Civil Action and Administrative Proceeding Case Files, 190.010.

System Location. Law Department, Regional and National Headquarters.

Categories of Individuals Covered by the System. Individuals involved in litigation or formal administrative proceedings to which the USPS is a party or in which information or testimony is sought from Postal Service sources. This system includes only those litigation matters that are not specifically included in other Postal Service systems that cover particular litigation subject areas.

Note. These files constitute a Privacy Act system of records only to the extent that personally identifying information about an individual is in fact retrieved from the files by use of the individual's name or other personal identifier. Generally, information in litigation

files is retrieved by reference to the case name or number; in those instances where the case name or number is not the personal identifier of an individual, the file does not constitute a Privacy Act system of records.

Categories of Records in the System. Formal pleadings, and briefs, investigative reports, exhibits and other documentary evidence, affidavits, discovery documents, decisions and orders, memoranda of law, miscellaneous notes and case analyses prepared by Postal Service attorneys and other personnel, correspondence and telephone records, and other relevant documents.

Authority for Maintenance of the System. 39 U.S.C. 204,401. 409(d); 39 CFR Subchapter N.

Purpose(s). This information is used to provide legal advice and representation to the Postal Service.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information contained in these records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information concerning the nature, status and disposition of the proceeding, may be disclosed to any person, unless it is determined that release of specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.
2. A record may be transferred, and information from it disclosed to any Federal agency as may be appropriate for the coordinated defense or prosecution of related litigation or the resolution of related claims or issues without litigation.
3. A record may be disclosed in a Federal, State, local, or foreign judicial or administrative proceeding in accordance with the procedures and practices governing such proceeding.
4. When considered appropriate, records in this system may be referred to a bar association or similar Federal, State or local licensing or regulatory authority for possible disciplinary action.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Case records are stored in paper folders and on magnetic tape or disk in automated office equipment.

Retrievability. By case name or by case or docket number. Although case files may contain items of information about particular individuals, there is not necessarily a means for retrieving information about a

particular individual by the individual's name or other personal identifier.

Safeguards. Folders containing paper documents are kept in lockable filing cabinets under the general scrutiny of Postal Service attorneys. Computer terminals and tape/disk files are located in a secured area, and access is restricted to personnel having an official need.

Retention and Disposal. Selected records are retained for as long as subject matter has value for reference and research purposes. All other records are retained in accordance with the applicable Postal Service Retention Schedule. Paper records are destroyed by shredding or burning, and computer tape/disk records are erased.

System Manager(s) and Address.

GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA
WASHINGTON DC 20260-1100

Notification Procedure. Persons wishing to determine whether this system of records contains information about them should write to the System Manager and provide their name and current address, the case number and court of record, if known, the approximate date the action was instituted, and a brief description of the nature of the action.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR §266.6. The right to access may be limited by various provisions of 5 U.S.C. 552a, including subsection (d)(5).

Contesting Record Procedures. See Notification and Record Access Procedures above.

Note.--Review of requests seeking amendment of records which have previously been the subject of a judicial or quasi-judicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented in the course of an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case, and will not include a review of the merits of the action, determination, or finding.

Record Source Categories. Individuals involved in the proceedings, their attorneys or other representatives, agency officials, law enforcement agencies, witnesses, and relevant records.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a(j) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 190.020

System Name. Litigation Records--National Labor Relations Board Administrative Litigation Case Files, 190.020.

System Location. Office of Labor Law, Law Department, National Headquarters and Office of Field Legal Services, Regions.

Categories of Individuals Covered by the System. Employees who are charging parties in NLRB cases, or on whose behalf NLRB charges have been filed by a collective bargaining representative.

Categories of Records in the System

- a. Formal pleadings and memoranda of law;
- b. Other relevant documents;
- c. Miscellaneous notes and case analyses prepared by Postal Service attorneys and personnel;
- d. Correspondence and telephone records.

Authority for Maintenance of the System. 39 U.S.C. 401, 409(d), 1208.

Purpose(s). This information is used to provide legal advice and representation to the Postal Service.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information contained in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information concerning the nature, status and disposition of the proceeding, may be disclosed to any person, unless it is determined that release of specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.
2. When considered appropriate, records in this system may be referred to a bar association or similar

Federal, state or local licensing or regulatory authority for possible disciplinary action.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Case records are stored in paper folders and on magnetic tape or disk in automated office equipment.

Retrievability. By name of charging party or individual on whose behalf a charge has been filed or by NLRB case number.

Safeguards. Case folders are kept in lockable filing cabinets within secured buildings or areas under the general scrutiny of Postal Service attorneys. Computer terminals and tape/disk files are located in a secured area, and access is restricted to personnel having an official need.

Retention and Disposal. Selected records are maintained on an active basis until subject matter has no information value, and on inactive basis for an additional three years. All other records are maintained for five years. Paper records are shredded and computer tape/disk records are erased at the end of retention period.

System Manager(s) and Address.

GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA
WASHINGTON DC 20260-1100

Notification Procedure. Persons wishing to determine whether this system of records contains information about them should write to the System Manager and provide their name, NLRB case number, if known, and approximate date the action was initiated.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR §266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Note.--Review of requests seeking amendment of records which have previously been the subject of a judicial or quasi-judicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented in the course of an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case, and

will not include a review of the merits Of the action, determination, or finding.

Record Source Categories

- a. Employees involved in NLRB cases;
- b. Counsel(s) or other representative(s) for parties involved in the case other than the Postal Service;
- c. The National Labor Relations Board and its General Counsel;
- d. Other individuals involved in NLRB cases. Source documents include case files, investigative reports, and other relevant records.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552a0) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 190.030

System Name. Litigation Records--Employee and Labor Relations Court Litigation Case Files, 190.030.

System Location. Office of Labor Law, Law Department, National Headquarters.

Categories of Individuals Covered by the System. Individuals involved in employee and labor relations litigation.

Categories of Records in the System

- a. Pleadings in court cases;
- b. Briefs and legal memoranda;
- c. Correspondence and telephone messagesand
- d. Other documents relevant to cases filed in the courts or compiled in contemplation that a case will be filed in the courts.

Authority for Maintenance of the System. 39 U.S.C. 401, 409(d).

Purpose(s). This information is used to provide legal advice and representation to the Postal Service.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Information contained in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information concerning the nature, status and disposition of the proceeding, may be disclosed to any person, unless it is determined that release of specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.
2. When considered appropriate, records in this system may be referred to a bar association or similar Federal, state or local licensing or regulatory authority for possible disciplinary action.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Case records are stored in paper folders and on magnetic tape or disk in automated office equipment.

Retrievability. By topic title or name of individual.

Safeguards. Folders are kept in lockable filing cabinets within secured buildings or areas under the general scrutiny of Postal Service attorneys. Computer terminals and tape/disk files are located in a secured area and access is restricted to personnel having an official need.

Retention and Disposal. Selected records are maintained on an active basis until subject matter has no information value, and on inactive basis for additional three years. All other records are maintained for 5 years. Paper records are shredded and computer tape/disk records are erased at the end of retention period.

System Manager(s) and Address.

GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-1100

Notification Procedure. Persons wishing to determine whether this system of records contains information about them should write to the System Manager and provide their name, case number, if known, and the approximate date the action was initiated.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR §266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Note.--Review of requests seeking amendment of records which have previously been the subject of a

judicial or quasi-judicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented in the course of an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case, and will not include a review of the merits of the action, determination, or finding.

Record Source Categories

- a. Individuals involved in employee and labor relations matters;
- b. Counsel(s) or other representative(s) for parties involved in the case other than the Postal Service;
- c. Other individuals involved in this matter. Source documents include internal memoranda, court related documents, case files, and other relevant records.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemptions from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552aU) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 200.010

System Name. Non-Mail Monetary Claims-Relocation Assistance Claims, 200.010.

System Location. Facilities Department, Headquarters, and all Regional Facilities offices.

Categories of Individuals Covered by the System. Owners and tenants of real property purchased or leased by the U.S. Postal Service.

Categories of Records in the System. Completed claim forms and other documents related to indemnifying occupants of property acquired by the U.S. Postal Service. Information within these documents include name and address of claimant, address of vacated dwelling, itemized expenses incurred in moving, interim renting, and replacement housing.

Authority for Maintenance of the System. Uniform Relocation and Assistance and Real Property Acquisition Policies Act of 1970 (Pub. L. 91-646) and 39 U.S.C. 401.

Purpose(s). This information is used to adjudicate claims for reimbursement of relocation expenses incurred by owners and tenants of real property acquired by the U.S. Postal Service.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, and j listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

- J.* May be disclosed to a Federal compliance investigator for case or program review.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. In file cabinets in original, typed, printed, or handwritten form.

Retrievability. Alphabetically by claimant name within project file.

Safeguards. Maintained in locked file cabinets within the exclusive custody of Facilities Department management personnel.

Retention and Disposal. Records are retained for the life of the facility and then destroyed.

System Manager(s) and Address.

APMG
FACILITIES DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-6400

Notification Procedure. Claimants wishing to know whether information about them is maintained in this system of records should address inquiries to the same facility to which they applied for relocation benefits.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is obtained from previous dwelling owner or tenant claimant and Postal Service claim reviewers and adjudicators.

USPS 200.020

System Name. Non-Mail Monetary Claims-Monetary Claims for Personal Property Loss or Damage Involving Present or Former Employees, 200.020.

System Location. Employee Relations Department, Headquarters, and field facilities; Postal Data Center.

Categories of Individuals Covered by the System. Employees (or their survivors or agents) making a claim for loss or damage to personal property while on duty.

Categories of Records in the System. Forms or written claim of loss or damage, supporting documents such as bills, receipts, repair estimates, replacement estimates, and investigative reports. Data within documents may include employee name and address, date and description of loss or damage occurrence, insurance coverage and deductible, and amounts of claims.

Authority for Maintenance of the System. 39 U.S.C. 401.409(d).

Purpose(s). To adjudicate employee claims for loss or damage to their personal property in connection with or incident to their postal employment duties.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Paper documents and computer tape/disk.

Retrievability. By name of claimant.

Safeguards. Folders containing paper documents are kept in locked filing cabinets under the general scrutiny of Postal Service attorneys. Computer terminal and tape/disk files are located in a secured area.

Retention and Disposal. Records are destroyed 3 years from date claim is adjudicated.

System Manager(s) and Address.

APMG
EMPLOYEE RELATIONS DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-4200

Notification Procedure. Claimants wishing to know whether information about them is maintained in this system of records should address inquiries to the head of the facility where the claim was filed. Headquarters employees should submit their inquiries to the System Manager.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Claimants or their agents making monetary claims for loss or damage to personal property; witnesses; investigative sources; and insurance companies.

USPS 200.030

System Name. Non-Mail Monetary Claims--Tort Claim Records, 200.030.

System Location. Claims Division, Law Department at Headquarters and regions; Postal Inspection Service; Division Headquarters; Post Offices and Postal Data Centers.

Categories of Individuals Covered by the System. Persons involved in accidents as a result of postal operations or alleging money damages under the provisions of the Federal Tort Claims Act.

Categories of Records in the System. Accident reports, tort claims filed, documentary evidence in support of tort claims administrative appeals, payment records, correspondence, locator cards, and papers pertaining to litigation arising out of tort claims. Litigation case files may contain the aforementioned types of records as well as summonses, lists of witnesses, witness statements, litigation reports, copies of processes and formal pleadings, briefs, supporting documents, notes and case analyses, correspondence, telephone records, and other documents related to the litigation.

Authority for Maintenance of the System. 28 U.S.C. 2671-80, 39 U.S.C. 409(c).

Purpose(s). To be used by attorneys and other employees of the Postal Service to consider, settle and defend against tort claims made against the USPS under the Federal Tort Claims Act; to support effective program management by accident prevention and safety officers; and to provide pertinent information regarding safety, accidents and claims to equipment manufacturers, suppliers, and their insurers.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, l, and m listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. Records may be transferred to the Department of Justice, other governmental agencies, and other

persons or entities involved in a claim against the Postal Service, including lessors, insurers, or other parties who may be jointly liable to the claimant or who may owe USPS a duty to defend, insure, indemnify or contribute, when appropriate, or for use in adjudication, civil litigation and criminal prosecution.

2. Disclosure may be made to provide members of the American Insurance Association Index System with certain information related to accidents and injuries.
3. Disclosure may be made to provide information to USPS accident prevention and safety officers.
4. Disclosure may be made to furnish information to insurance companies that have named the United States as an additional insured or coinsured party in liability insurance policies.
5. Disclosure may be made to provide information to equipment manufacturers, suppliers, and their insurers for claims considerations and possible improvement of equipment and supplies.
6. Disclosure may be made to respond to a subpoena duces tecum and other appropriate court order and summons.
7. May be disclosed to independent contractors retained by the Postal Service to provide advice in connection with the settlement or defense of claims filed against USPS.
8. Information contained in litigation records is public to the extent that the documents have been filed in a court or public administrative proceeding, unless the court or other adjudicative body has ordered otherwise. Such public information, including information concerning the nature, status and disposition of the proceeding, may be disclosed to any person, unless it is determined that release of specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.
9. When considered appropriate, records in this system may be referred to a bar association or similar Federal, state, or local licensing or regulatory authority for possible disciplinary action.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Paper records kept in file folders and other suitable containers. Some information may also be stored on magnetic tape or disk in automated office equipment.

Retrievability. Information may be retrieved by claimant's name or Postal Inspection Service case number. Litigation case files are retrieved by case name or name of plaintiff.

Safeguards. Records are maintained in ordinary filing equipment under general scrutiny of postal personnel. Access to computer data is restricted to authorized personnel.

Retention and Disposal

- a. Paid Claims and Disallowed Claims (Journal Cases and Litigation Case Files)--Transfer to a Federal Records Center 2 years after final adjudication; destroy when 7 years old.
- b. Closed Case Files (Cases Where Claims Were Neither Allowed nor Disallowed)--Transfer to a Federal Records Center when 2 years old; destroy when 5 years old.
- c. PDC Payment Records--Transfer to a Federal Records Center when 1 year old; destroy when 4 years old.
- d. Locator Cards--Destroy when 7 years old.

System Manager(s) and Address(s):

GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-1100

CHIEF POSTAL INSPECTOR
INSPECTION SERVICE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-2100

Notification Procedure. Individuals wishing to determine whether this system of records contains information about them should write to the head of the facility where the claim was filed and provide full name and date and place of the occurrence that gave rise to the filing of a claim under the Federal Tort Claims Act. Inquiries regarding records maintained by the Inspection Service should be directed to the Chief Postal Inspector. Inquiries regarding records maintained by the Law Department should be directed to the General Counsel.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Note.--Review of requests seeking amendment of records which have previously been the subject of a judicial or quasi-judicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented in the course of an adjudication, nor are they intended to provide a means for collaterally attacking the finality of a judicial or administrative decision. Review of requests for amendment of adjudicative records will be restricted to determining whether the records accurately reflect the action of the judicial or administrative body ruling on the case, and will not include a review of the merits of the action.

Record Source Categories. Claimants and their attorneys, reports of postal employees involved in accidents, local police reports, Inspection Service investigative reports, American Insurance Association Index

reports, and pertinent records from other USPS systems of records.

Systems Exempted from Certain Provisions of the Act. Records or information in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access pursuant to 5 U.S.C. 552a(d)(5). In addition, the USPS has claimed exemption from certain provisions of the Act for several of its other systems of records as permitted by 5 U.S.C. 552aG) and (k). See 39 CFR 266.9. To the extent that copies of exempt records from those other systems are incorporated into this system, the exemptions applicable to the original primary system shall continue to apply to the incorporated records.

USPS 210.010

System Name. Contractor Records--Architect Engineers Selection Records, 210.010.

System Location. Facilities Department, regional Facilities Service Centers.

Categories of Individuals Covered by the System. Professional Architect Engineers.

Categories of Records in the System. Information profile on individual's past experience and present qualifications in the field of providing architect engineering services. These profiles may include firm name and address, name of principals, personnel statistics, history of fee receipts, experience, and names of associate firms.

Authority for Maintenance of the System. 39 U.S.C. 401.

Purpose(s). To facilitate the review and assessment of the qualifications of architect-engineer firms which have potential for selection and award of a contract to perform architect-engineer services under a designated facility project.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, and j listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Printed forms.

Retrievability. State, city and name of individual or firm.

Safeguards. Records access is limited to authorized personnel in the Facilities Department. Records are retained in filing receptacles in locked quarters and in a secured building facility.

Retention and Disposal

- a. Architect-Engineer and Related Services Questionnaire, SF 254-- Destroy when 1 year old.
- b. Architect-Engineer and Related Services for Specific Projects, SF 255--When a contract is awarded, attach form to contract; otherwise, destroy when 1 year old.

System Manager(s) and Address.

APMG
 FACILITIES DEPARTMENT
 UNITED STATES POSTAL SERVICE
 475 L'ENFANT PLAZA SW
 WASHINGTON DC 20260-6400

Notification Procedure. Any persons desiring information about this system of records should address their inquiries to the designated System Manager and provide his name and project title.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Persons and firms interested in being considered for the negotiation and award of architect-engineer services contracts under the Major Facilities Program.

USPS 210.020

System Name. Contractor Records--Driver Screening System Assignment Records, 210.020.

System Location. Delivery, Distribution & Transportation Department, Headquarters; postal facilities employing persons under a highway contract with the USPS; and Transportation Management Service Centers.

Categories of Individuals Covered by the System. Persons under a highway contract with the USPS.

Categories of Records in the System. Contractor Employee Assignment Notification and Personnel Questionnaires that include name, social security number, birthdate and place, address and employment history, driver's license number, date and type of assignment, route number, and highway contract to which assigned.

Authority for Maintenance of the System. 39 U.S.C. 401.

Purpose(s). To ascertain employees suitability for having an assignment requiring access to mail or postal premises under contract with the USPS.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, and l listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Originally typed, printed or handwritten form; magnetic tape and computer printed reports.

Retrievability. Primarily by highway contract and postal locations serviced; secondarily, by individual's social security number and name.

Safeguards. Through computerized codes and passwords, access is restricted to offices that are the authority for a specific contract and to only those post offices serviced by the contract.

Retention and Disposal. Records are held one year after the contract expires, or, one year following an individual's employment termination with a company that has been awarded a highway contract.

System Manager(s) and Address.

APMG
 DELIVERY DIST & TRANS DEPT
 UNITED STATES POSTAL SERVICE
 475 L'ENFANT PLAZA
 WASHINGTON DC 20260-7100.

Notification Procedure. Contractors wishing to know whether information about them is maintained in this system of records should address their inquiries to the Transportation Management Services Center Manager. Inquiries should contain full name and highway contract number.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. The contractor.

USPS 210.030

System Name. Contractor Records--Contractor Employee Fingerprint Records, 210.030.

System Location. Delivery, Distribution & Transportation Department, Headquarters; Regional Offices; and postal facilities having contract personnel.

Categories of Individuals Covered by the System. Persons under contract with the USPS.

Categories of Records in the System. Fingerprint cards containing prospective contractor's name, social security number, address, date and place of birth, personal description characteristics, and fingerprints.

Authority for Maintenance of the System. 39 U.S.C. 401.

Purpose(s). To determine if a contractor employee has had a previous arrest record and to provide information to the Contracting Officer with regard to the USPS screening procedures.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, and l listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system. Other routine uses are as follows:

1. All USPS fingerprint charts are sent to the Federal Bureau of Investigation.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Originally typed, printed or handwritten form.

Retrievability. Contractor employee name.

Safeguards. Maintained in locked file cabinets by Administrative Officials.

Retention and Disposal. Records are kept until employee leaves employment of USPS and then are destroyed 2 years later by shredding.

System Manager(s) and Address.

APMG
DELIVERY DIST & TRANS DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-7100

Notification Procedure. Inquiries should be addressed to the Regional Postmaster General within the region where employed. Inquiries should contain full name and social security number.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Contractor employed by the USPS.

USPS 220.010

System Name. Marketing Records--Marketing Data Base Customer Records, 220.010.

System Location. Marketing Department, USPS Headquarters; Marketing and Communications, Regions; Marketing/Customer Service, Divisions and MSCs.

Categories of Individuals Covered by the System. Officers or employees of corporations, other business firms, and organizations that are volume users of postal services; USPS account representatives.

Categories of Records in the System. Organization names, addresses, and telephone numbers; size of firm; Standard Industrial Classification Code; officers of the organization or other contact persons; purchase records for USPS services; information on service or equipment needs; USPS account representatives and other postal employees serving the organization and calls made on the organization.

Authority for Maintenance of the System. 39 U.S.C. 401, 403, 404.

Purpose(s). To provide market information about business customers for USPS employees to use to sell postal products and services, assure account management, conduct research, plan new products and services, and otherwise make financial and operational decisions about the condition of the USPS. Specifically, this includes:

- a. Assisting account representatives and other marketing and postal personnel in contacting and servicing customers and selling postal services.
- b. Developing and conducting market research.
- c. Targeting promotion campaigns, newsletters.
- d. Testing new products and services.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, j, k, and l listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Magnetic tape or disk.

Retrievability. Organization name, organization identification number, services purchased, ZIP Code area, sales territory, USPS account representative, and Division/MSC.

Safeguards. Computer records are subject to computer security procedures, including password access.

Retention and Disposal. Records are maintained for three years after final entry and then deleted from the data base.

System Manager(s) and Address.

APMG
ADVERTISING & ACCT SERVICES DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-6300

Notification Procedure. Customers wishing to know whether information about them is maintained in this system of records should address inquiries to the Division Field Director of Marketing and Communications for their geographic area.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Information is obtained from USPS business customers, statements of mailing and other USPS forms completed by the customer, commercial data bases, and account representatives' personal knowledge.

USPS 220.020

System Name. Marketing Records--Express Mail Service Customer Mailing List, 220.020.

System Location. Marketing Department, USPS Headquarters, and its regional, divisional and sectional center marketing components.

Categories of Individuals Covered by the System. Users of Express Mail service.

Categories of Records in the System. Names and addresses of users of Express Mail service.

Authority for Maintenance of the System. 39 U.S.C. 401, 403, 404.

Purpose(s). To communicate information and updates concerning Express Mail service to current users of that service and to provide management with statistical data to analyze usage of and improve Express Mail service.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses. General routine use statements a, b, c, d, e, f, g, h, and j, listed in the Prefatory Statement at the beginning of the Postal Service's published system notices apply to this system.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage. Computer storage media and hardcopy printouts.

Retrievability. Name of user and ZIP Code.

Safeguards. Records are kept in a secured area, with access limited to authorized marketing personnel; access to information in computer files is limited to personnel having an authorized computer password.

Retention and Disposal. The master computer file is maintained indefinitely and is updated annually. Hardcopy printouts are destroyed when updated printouts are generated.

System Manager(s) and Address.

APMG
ADVERTISING & ACCT SERVICES DEPT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-6300

Notification Procedure. Customers wishing to know whether information about them is maintained in this system of records should address inquiries to the System Manager and supply their name and address.

Record Access Procedures. Requests for access should be made in accordance with the Notification Procedure above and the USPS Privacy Act regulations regarding access to records and verification of identity set forth at 39 CFR 266.6.

Contesting Record Procedures. See Notification and Record Access Procedures above.

Record Source Categories. Express Mail mailing forms and labels, most of which collect information directly from the customer.

List of U.S. Postal Service Facilities Referenced **Herein.** The address of each Postal Service facility to which requests may be sent (referred to in systems descriptions), other than post offices and the geographical area served, is provided below. The addresses of individual post offices are not provided because of their large number and because that information is available locally to all concerned individuals. The addresses of all Postal facilities, including locations in Puerto Rico, and the Virgin Islands are contained in The National Five-Digit ZIP Code and Post Office Directory, Publication 65, Stock Number, 039-000-00274-4, available for sale by the:

SUPERINTENDENT OF DOCUMENTS
US GOVERNMENT PRINTING OFFICE
710 N CAPITAL ST NW
WASHINGTON DC 20402-1575.

Postmasters, upon request, will supply the addresses of the Management Sectional Centers and Division Offices to which they report. The following excerpt to addresses and areas serviced is provided for convenience of Privacy Act correspondents, and obviates the repetition in each notice.

Inspection Service:

CHIEF POSTAL INSPECTOR
INSPECTION SERVICE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA WEST SW
WASHINGTON DC 20260-2100

Postal Service Regional Offices:

REGIONAL POSTMASTER GENERAL
CENTRAL REGIONAL OFFICE
UNITED STATES POSTAL SERVICE
433 W VAN BUREN STREET
CHICAGO IL 60699-0100
(States serviced: IL, MI, IN, HY, WY, MN, /A, MO, NO, SO, NE, KS, CO, WY.)

REGIONAL POSTMASTER GENERAL
EASTERN REGIONAL OFFICE
UNITED STATES POSTAL SERVICE
PO BOX 8601
PHILADELPHIA PA 19101-0100
(States serviced: VA, WV, MD, DE, PA, DC, and KY, NC, OH, SC and ZIP Code prefixes 420-424 and 476-477 in IN; and ZIP Code prefixes 080-084 in NJ.)

REGIONAL POSTMASTER GENERAL
SOUTHERN REGIONAL OFFICE
UNITED STATES POSTAL SERVICE
1407 UNION AVENUE
MEMPHIS TN 38166-0100
(States serviced: TN, AL, MS, TX, LA, GA, FL, OK and AA.)

REGIONAL POSTMASTER GENERAL
NORTHEAST REGIONAL OFFICE
UNITED STATES POSTAL SERVICE
6 GRIFFIN ROAD NORTH
WINDSOR CT 06006-0100
(States serviced: RI, MA, NH, CT, NY, PR, VI, VT, ME and ZIP Code prefixes 070- 079 and 085-089 in NJ.)

REGIONAL POSTMASTER GENERAL
WESTERN REGIONAL OFFICE
UNITED STATES POSTAL SERVICE
850 CHERRY AVENUE
SAN BRUNO CA 94099-0100.

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ALEXANDRIA VA 22314-4646

Bulk Mail Centers:

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UNITED STATES POSTAL SERVICE
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ATLANTA GA 30369-9998

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FOREST PARK IL 60130-2211

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DES MOINES /A 50395-0001

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GREENSBORO NC 27495-9998

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WARRENDALE PA 15095-1000

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HAZELWOOD MO 63042-2487

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RICHMOND CA 94804-9998

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SPRINGFIELD MA 01151-1088

WASHINGTON BMC
UNITED STATES POSTAL SERVICE
9201 EDGEWORTH DRIVE
CAPITOL HEIGHTS MD 20743-9997

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