Administrative Support Manual — Contents

ASM Issue 13, July 1999
Updated With Postal Bulletin Revisions Through October 7, 1999

Update Notice

Transmittal Letter

Summary of Changes

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UNITED STATES POSTAL SERVICE®

Administrative Support Manual

Issue 13 July 1999

A. Explanation. *Administrative Support Manual* (ASM) 13 is a complete revision containing all changes published in the *Postal Bulletin* between June 1998 and June 1999 and other changes submitted to the ASM editor through June 24, 1999. The Appendix, Privacy Act Systems of Records, contains changes published in the *Federal Register* through April 6, 1999.

B. Instructions. This issue replaces and obsoletes ASM 12.

C. Distribution

1. **Initial.** The ASM is distributed to all postal facilities.
2. **Additional Copies.** Order by using Form 7380, *MDC Supply Requisition,* from your material distribution center.

D. Sale to Public. The ASM is available for sale to the public through:

TOPEKA MATERIAL DISTRIBUTION CENTER
500 SW MONTARA PKWY
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TELEPHONE: 1-800-332-0317

E. Updates. The ASM is updated periodically via the *Postal Bulletin* and available online through the Postal Service Intranet at *http://blue.usps.gov/cpim.*

F. Comments and Questions. If you cannot find or understand material, send queries to:

ASM EDITOR
CORPORATE PUBLISHING & INFORMATION MANAGEMENT
UNITED STATES POSTAL SERVICE
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WASHINGTON DC 20260-1540

G. Effective Date. This revision is effective immediately.

Richard D. Weirich
Vice President
Information Systems

Update Notice

Administrative Support Manual Issue 13 (July 1999)

Administrative Support Manual (ASM) Issue 13, originally published July 1999, has been updated with *Postal Bulletin* articles through October 7, 1999. For the online version, revision bars are used to indicate substantive changes made to the text since the publication of the July 1999 printed version. Changes to ASM 13 are as follows:

- 214, Forfeitures — revised.

  Postal Bulletin 22008, 10/7/1999

- 422.2, Passport Application Acceptance Program — revised procedures for post offices designated to accept customer passport applications. Key changes include:

  — Implementation of the new AIC 264, USPS Passport Fees, with supporting financial procedures.

  — Increased standardization of procedures, including the sale of a domestic postal money order, when a customer pays by cash.

  — Increased ability of districts to work directly with field passport agency offices to establish new authorized sites and make changes to existing passport application acceptance locations.

  — Effective AP 1, FY 2000, district accounting unit quarterly reporting of the number of passport applications accepted to St. Louis ASC is discontinued. With this change, submission of Form 5660*, Summary of Passport Applications Submitted*, to St. Louis ASC will be discontinued after the Postal Quarter IV, Fiscal Year 1999 forms are submitted, following existing procedures.

  Postal Bulletin 22006, 9/9/1999

- 422.3, Food Coupon Program — has been deleted by Retail Operations Support since the program was eliminated several years ago.

  Postal Bulletin 22006, 9/9/1999

Summary of Changes

1. Overall Revisions

This ASM contains many overall changes that rename organizations and position titles, update reporting relationships, and list responsibilities reflecting current organization and practices. Changes have also been made to correct grammatical, printing, and reference errors, to correct codification, and to provide editorial consistency. These changes are not listed in this summary except where they are deemed necessary for clarification. Revision bars are used throughout the text to indicate substantive changes. (**Note:** For the revision bars in online ASM 13, see Update Notice.)

2. Specific Revisions

Chapter 1, Postal Organization

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

Chapter 2, Audits and Investigations

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Chapter 3, Communications

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

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

312.1 Corporate is retitled from Headquarters Directives.

312.2 Local is retitled from Field Directives.

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

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

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

333.2 Responsibility restates the actions that affect community relations.

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

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

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

342.21 Criteria is updated to include performance cluster newspaper formats.

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

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

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

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

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

Chapter 4, Relations With Other Organizations

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

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

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

47 Flags is updated for Corporate Relations titles.

Chapter 5, Facilities and Equipment

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

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

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

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

517.124 Relocation of Artwork is updated to reflect current process.

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

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

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

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

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

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

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

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

Chapter 6, Support Services

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

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

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

622.4 Operations Planning is retitled from Operations Redesign.

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

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

Chapter 7, Purchasing and Materials

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

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

722.32 Restricted Purchases is amended to reorder the listed items.

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

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

Chapter 8, Information Resources

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

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

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

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

Appendix, Privacy Act Systems of Records

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

The following systems are deleted:

USPS 040.040

USPS 100.020

USPS 130.010

USPS 130.020

USPS 130.050

USPS 160.030

The following systems are added:

USPS 010.090

USPS 040.050

USPS 050.050

USPS 050.060

USPS 300.010

Routine uses are added to the following systems:

USPS 080.010

USPS 120.060

USPS 120.061

Other modifications are made to the following systems:

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

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

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

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

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

USPS 120.151. System locations are changed.

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

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

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

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

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

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

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1 Postal Organization

11 Authority and Responsibilities

111 General Organization

111.1 The United States Postal Service

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

111.2 Board of Governors

111.21 Composition

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

111.22 Responsibilities

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

111.3 Office of Inspector General

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

111.31 Responsibilities

The OIG was established to:

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

b. Provide leadership and coordination and recommend policies for activities designed to:

(1) Promote economy, efficiency, and effectiveness in the administration of postal programs and operations.

(2) Prevent and detect fraud and abuse in postal programs and operations.

c. Provide a means of keeping the governors and Congress fully and currently informed about:

(1) Problems and deficiencies relating to the administration of postal programs and operations.

(2) The necessity for corrective action.

(3) The progress of corrective action.

d. Provide oversight of all activities of the Postal Inspection Service.

111.32 Inspector General

111.321 Appointment

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

111.322 Responsibilities

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

111.323 Extent of Powers

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

a. Have unrestricted access to all Postal Service operations, programs, records, and documents, whether in custody of the Postal Service or available by law, contract, or regulation.

b. Have direct and prompt access to the governors when necessary for any purpose pertaining to the performance of the functions and responsibilities of the OIG.

c. Administer oaths when necessary in performance of the functions assigned to the OIG.

d. Require by subpoena the production of all information, documents, reports, answers, records, accounts, papers, and other data and documentary evidence necessary in the performance of the functions of the OIG.

e. Select, appoint, and employ such officers and employees as may be necessary for carrying out the functions, powers, and duties of the OIG.

f. Obtain the temporary or intermittent services of experts or consultants in accordance with applicable laws and regulations.

111.4 Corporate Officers

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

a. The postmaster general and chief executive officer.

b. The deputy postmaster general and chief of staff.

c. The chief operating officer and executive vice president.

d. The senior vice presidents.

e. The vice presidents.

f. The chief inspector.

g. The consumer advocate.

h. The judicial officer.

111.5 Headquarters Organization

111.51 Postmaster General

111.511 Appointment

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

111.512 Responsibilities

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

111.513 Extent of Powers

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

111.52 Deputy Postmaster General

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

111.53 Executive Vice President

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

111.54 Heads of Headquarters Organizational Units

111.541 Reporting Directly to the Postmaster General

Seven of the corporate officers report directly to the postmaster general. These are the deputy postmaster general, the chief operating officer, the general counsel, the chief inspector, and senior vice presidents for Finance, Marketing, and Technology.

111.542 Reporting to the Deputy Postmaster General

Nine of the corporate officers report directly to the deputy postmaster general. These are the consumer advocate, the judicial officer, senior vice president of Government Relations, and the vice presidents of Human Resources, Diversity Development, Strategic Planning, Facilities, Purchasing and Materials, and Strategic Initiatives.

111.543 Reporting to the Chief Operating Officer

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

111.544 Reporting to the Senior Vice President of Government Relations

The vice president of Corporate Relations reports directly to the senior vice president of Government Relations.

111.545 Reporting to the Senior Vice President of Finance

The vice president and controller reports directly to the senior vice president of Finance.

111.546 Reporting to the Senior Vice President of Marketing

Seven vice presidents report directly to the senior vice president of Marketing. These are the vice presidents of Customer Relations, Tactical Marketing and Sales Development, Marketing Systems, Retail, Core Business Marketing, Expedited/Package Services, and International Business.

111.547 Reporting to the Senior Vice President of Operations

Four vice presidents report directly to the senior vice president of Operations. These are the vice presidents of Labor Relations, Field Operations Support, Network Operations Management, and Operations Planning.

111.548 **Reporting to the Senior Vice President of Technology**

Three vice presidents report directly to the senior vice president of Technology. These are the vice presidents of Quality, Information Systems, and Engineering.

111.549 **Responsibilities**

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

a. Program planning, direction, and review.

b. Establishment of policies, procedures, and standards.

c. Operational determinations not delegated to district officials.

111.6 Field Organization

111.61 General

There are 10 areas, each with a vice president.

111.62 Area Locations

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

111.63 Area Functions

111.631 **Functional Units**

Each area is divided into five functional units:

a. Finance.

b. Human Resources.

c. Marketing.

d. Operations Support.

e. Quality.

111.632 **Reporting Units**

Areas are responsible for:

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

111.633 **Reporting Relationships**

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

111.64 Customer Service District Offices

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

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

111.641 **Reporting Relationships**

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

111.65 Support

111.651 General

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

111.652 Headquarters Field Units

Headquarters field units are:

a. Chief field counsel.

b. Corporate relations service centers.

c. Human resources field offices.

d. Facilities service centers.

e. Finance field offices.

(1) Accounting service centers.

(2) International Accounts Center.

(3) Statistical programs service centers.

f. Information systems field offices.

(1) Computer operations service centers.

(2) Field computing services.

(3) Field information systems programs.

(4) Information systems service centers.

(5) Management support service centers.

(6) National Network Service Center.

g. Purchasing field offices.

(1) Label Printing Center.

(2) Mail equipment shops.

(3) Material distribution centers.

(4) Purchasing service centers.

112 Delegations of Authority

112.1 Authority to Administer Postal Affairs

112.11 The Postmaster General

The postmaster general has been authorized by the Board of Governors to exercise the powers of the Postal Service to the full extent that such exercise is lawful. The postmaster general is empowered to authorize any employee or agent of the Service to exercise any function vested in the Postal Service, in the postmaster general, or in any other Postal Service employee.

112.12 Corporate Officers

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

112.13 General Counsel

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

112.2 Authority to Function as Notaries Public

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

Note: No fees may be charged for notarial services.

112.3 Other Delegation

112.31 Documentation

All delegations of authority must be officially documented.

112.32 Position Title

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

112.33 Level

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

112.34 Agreement With Law

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

112.35 Further Delegation

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

113 Relationships and Communication Channels

113.1 Headquarters and Areas

Headquarters provides policy guidance and interpretation to area officials.

113.2 Channels of Communication

113.21 Headquarters With Area Offices

113.211 General

Headquarters organizational units formulate the directives to provide guidance to area officials.

113.212 Policy Directives

As stated in 39 CFR 223.2(a)(2), policy directives are issued over the signatures of the vice presidents of the functional organizations (unless the postmaster general or deputy postmaster general issues these directives personally). They must be coordinated with other appropriate organizations before issuance and reviewed and distributed by Information Systems (see 31). If within the authority of the issuer, these directives have the same effect as though sent by the postmaster general or deputy postmaster general.

113.213 Procedural Directives

Guidelines and program implementation instructions and procedures not involving policy are usually issued over the signature of the functional unit manager having jurisdiction.

12 Post Office Functions

121 Responsibilities

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

122 Hours of Duty

122.1 Full-Time Offices

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

122.2 Part-Time Offices

122.21 Normal Schedule

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

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

122.22 Variations

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

122.3 FLSA-Nonexempt Postmasters

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

123 Absence From Office

123.1 More Than Five Days

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

123.2 Five Days or Less

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

123.3 Emergencies

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

123.4 Assignment of Postmaster Relief

123.41 Determination

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

123.42 Office Without Career Clerk

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

123.43 Office With Career Clerk

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

2 Audits and Investigations

21 General

211 Authority

211.1 Responsibility

211.11 Inspector General

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

211.12 Chief Inspector

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

211.13 Designation of Functions

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

Exhibit 211
Designation of Functions

Office of Inspector General*	Postal Inspection Service
Audits	
■ Financial statements, including: – Overall opinion audits – Quality reviews of Postal Inspection Service work	■ Financial statements, including installations and districts
■ Postal-wide performance reviews	■ Area, district and local performance reviews ■ Service investigations
■ Contract audits, except pre-award and post-award audits	■ Pre-award and post-award contract audits
■ Developmental audits	
■ Facility audits, including: – Facilities construction contracts of $10 million or more – Right of first choice on contracts valued between $5–10 million – Leases of $1 million or more – Repair and alterations of $1 million or more	■ Facility audits, including: – Facilities construction contracts of $5 million or less – Contracts between $5–10 million not performed by OIG – Leases under $1 million – Repair and alterations under $1 million
■ Revenue-focused audits (international mail)	
Investigations	
■ Revenue cases, including: – Bribery, kickbacks, conflicts of interest – Systemic reviews	■ Revenue cases, including: – Revenue loss detection – Shares with OIG on revenue task force and other groups
■ Workers' compensation cases, including: – Inspector General subpoenas – Program monitoring	■ Primary responsibility for workers' compensation cases
■ Tort claims, including: – Serious incidents – Liability reports	■ Tort claims
■ Embezzlements (conduct/partner on cases of $100,000 or more)	■ Embezzlements under $100,000
■ Expenditure cases, including: – Bribery, kickbacks, and conflicts of interest – Systemic reviews	■ Expenditure cases, including: – Cases referred by OIG – IMPAC card cases – Local purchases or procurements
■ Conduct/partner on cases involving executives	■ Emergency responses on cases involving executives ■ Internal and external crimes ■ Employee protection ■ Security ■ Fraud and prohibited mailings
■ Postal Inspection Service internal affairs: executives	■ Postal Inspection Service internal affairs: non-executives
■ Computer forensics	■ Forensic and technical services
■ Hotline	
Other	
Additional OIG work: ■ Oversight of the Postal Inspection Service ■ Postal rate-making programs and operations ■ Revenue generation ■ Labor management ■ Electronic commerce	

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

211.14 Federal Laws and Postal Regulations

211.141 The OIG is responsible for promoting economy, efficiency, and effectiveness, and preventing and detecting fraud, waste, and abuse in all postal programs and operations. The OIG conducts and supervises audits, evaluations, and investigations and keeps the Governors and Congress fully informed of problems and deficiencies and the progress of corrective actions. Under applicable policies, regulations, and procedures, it carries out investigations and presents evidence to the Department of Justice and U.S. attorneys in investigations of a criminal nature.

211.142 The Postal Inspection Service is responsible for protection of the mails, enforcement of federal laws and postal regulations within its jurisdiction as provided in 211.22, plant and personnel security, and coordinating Postal Service emergency preparedness planning of both a wartime and a natural disaster nature. The Postal Inspection Service, under applicable policies, regulations, and procedures, carries out investigations and presents evidence to the Department of Justice and U.S. attorneys in investigations of a criminal nature. In coordination with the OIG, the Postal Inspection Service also performs selected audits and reviews of the Postal Service.

211.2 Arrest and Subpoena Powers

211.21 Authorization

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

a. Carry firearms.

b. Serve warrants and subpoenas issued under the authority of the United States.

c. Make arrests without warrant for offenses against the United States committed in their presence.

d. Make arrests without warrant for felonies cognizable under the laws of the United States, if they have reasonable grounds to believe that the person to be arrested has committed or is committing such a felony.

211.22 Limitations

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

211.3 Access to Records

211.31 Records and Documents

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

211.32 Disclosure

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

211.33 Exceptions

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

a. For information from the covers of mail, see 213. For dead mail, see the *Domestic Mail Manual.*

b. For access to employee restricted medical records and Employee Assistance Program records, see Handbook EL-806, *Health and Medical Service,* Chapter 2, and *Employee and Labor Relations Manual* (ELM) 870.

c. For access to an employee's Form 2417, *Confidential Statement of Employment and Financial Interests,* see the ELM or 39 CFR 447.42(e)(2).

212 Circulars and Rewards

212.1 Wanted Circulars

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

212.2 Rewards

212.21 Criminal Postal Offenses

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

a. Robbery or attempted robbery.

b. Mailing bombs, explosives, poison, or controlled substances.

c. Post office burglary.

d. Stealing or unlawfully possessing mail, money, or property of the United States under Postal Service custody or control, including Postal Service property.

e. Destroying, obstructing, or retarding the passage of mail.

f. Altering, counterfeiting, forging, unlawful uttering, or passing of postal money orders; or unlawfully using, counterfeiting, or forging of postage stamps or other postage; or using, selling, or possessing with intent to use or sell any forged or counterfeit postage stamp or other postage; or misusing of postage meters.

g. Assaulting a postal employee.

h. Committing the murder or manslaughter of a postal employee.

i. Mailing or receiving through the mail any visual depiction involving a minor engaging in sexually explicit conduct.

212.22 Other Rewards

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

212.23 Reward Notices

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

213 Mail Covers

213.1 Policy

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

213.2 Scope

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

213.3 Definitions

The following definitions apply to mail covers:

a. *Mail cover* is the process by which a nonconsensual record is made of any data appearing on the outside cover of any sealed or unsealed class of mail matter (see 274.23), or by which a record is made of the contents of unsealed class of mail matter as allowed by law, to obtain information for any of the following:

(1) Protecting national security.

(2) Locating a fugitive.

(3) Obtaining evidence of commission or attempted commission of a crime.

(4) Obtaining evidence of a violation or attempted violation of a postal statute.

(5) Assisting in the identification of property, proceeds, or assets forfeitable under law.

b. *Record,* for the purposes of this section, is a transcription, photograph, photocopy, or any other facsimile of the image of the outside cover, envelope, wrapper, or contents of any class of mail.

c. *Sealed matter* is mail on which appropriate postage is paid, and which under postal laws and regulations is included within a class of mail maintained by the Postal Service for the transmission of mail sealed against inspection, including First-Class Mail, Priority Mail, Express Mail, international letter mail forming part of the LC class of Postal Union mail, and mailgram messages.

d. *Unsealed mail* is mail on which appropriate postage for sealed mail has not been paid and which under postal laws or regulations is not included within a class of mail maintained by the Postal Service for the transmission of mail sealed against inspection. Unsealed mail includes Periodicals, Standard Mail, incidental First-Class Mail attachments or enclosures, international parcel-post mail, the AO class of Postal Union mail, and the international post cards forming part of the LC class of Postal Union mail.

e. *Fugitive* is any person who has fled from the United States or any state, the District of Columbia, territory, or possession of the United States, to avoid prosecution for a crime, to avoid punishment for a crime, or to avoid giving testimony in a criminal proceeding.

f. *Crime,* for the purposes of this section, is any commission of an act or the attempted commission of an act punishable by law by imprisonment for a term exceeding 1 year.

g. *Postal statute* refers to a statute describing criminal activity, regardless of the term of imprisonment, for which the Postal Service has investigative authority, or which is directed against the Postal Service, its operations, programs, or revenues.

h. *Law enforcement agency* is any authority of the federal government or any authority of a state or local government, one of whose functions is to investigate the commission or attempted commission of acts constituting a crime, or protect the national security.

i. *Protection of the national security* means to protect the United States from any of the following actual or potential threats to its security by a foreign power or its agents:

(1) An attack or other grave hostile act, including upon information infrastructures.

(2) Sabotage or international terrorism.

(3) Clandestine intelligence activities, including commercial espionage.

j. *Emergency situation* refers to circumstances that require the immediate release of information to prevent the loss of evidence or in which there is a potential for immediate physical harm to persons or property.

213.4 Authorizations

213.41 Chief Postal Inspector

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

213.42 Delegation of Authority

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

213.43 ISOSG Managers and Inspectors in Charge

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

213.44 Directives

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

213.5 Ordering Mail Covers

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

a. When a written request is received from a postal inspector or OIG special agent that states reason to believe a mail cover will produce evidence relating to the violation of a postal statute.

b. When a written request is received from any law enforcement agency in which the requesting authority specifies the reasonable grounds to demonstrate the mail cover is necessary to: protect the national security, locate a fugitive, obtain information regarding the commission or attempted commission of a crime, or assist in the identification of property, proceeds, or assets forfeitable because of a violation of criminal law.

c. When time is of the essence, the chief inspector or designee may act on an oral request, to be confirmed by the requesting authority in writing within 3 calendar days. Information may be released by the chief postal inspector or designee, prior to receipt of written request, only when the releasing official is satisfied that an emergency situation exists.

213.51 ISOSG Managers

213.511 Circumstances

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

a. When there is reason to believe that the subject or subjects are engaged in an activity violating any postal statute.

b. When written request is received from any law enforcement agency of the federal, state, or local governments in which the requesting authority stipulates and specifies the reasonable grounds that demonstrate that the mail cover either would aid in locating a fugitive or obtaining information about the commission or attempted commission of a crime.

213.512 Approvals

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

213.6 Exceptions

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

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

b. Damaged or rifled, undelivered mail.

c. Mail that poses an immediate threat to persons or property.

213.7 Limitations

The following limitations apply:

a. Mail covers only authorize the recording of mail information for a law enforcement investigative purpose. Mail may only be detained, opened, searched, and seized in accordance with section 274. Information from mail may be recorded for operational purposes as prescribed by section 274.5.

b. No mail cover shall include matter mailed between the mail cover subject and the subject's known attorney.

c. No officer or employee of the Postal Service other than the chief postal inspector, ISOSG manager, and their designees are authorized to order mail covers. Under no circumstances may a postmaster or postal employee furnish information for a law enforcement purpose, except as authorized by a mail cover order issued by the chief postal inspector or designee, or as directed by a postal inspector under the circumstances described in 213.6.

d. Except for mail covers ordered upon fugitives or subjects engaged, or suspected to be engaged, in any activity against the national security, no mail cover order shall remain in effect for more than 30 days, unless adequate justification is provided by the requesting authority. At the expiration of the mail cover order period, or prior thereto, the requesting authority may be granted additional 30-day periods under the same conditions and procedures applicable to the original request. The requesting authority must provide a statement of the investigative benefit of the mail cover and anticipated benefits to be derived from its extension.

e. No mail cover shall remain in force longer than 120 continuous days unless personally approved for further extension by the chief postal inspector or designees at Headquarters.

f. Except for fugitive cases, no mail cover shall remain in force when information has been filed or the subject has been indicted for the matter for which the mail cover is requested. If the subject is under investigation for further criminal violation, or a mail cover is required to assist in the identification of property, proceeds, or assets forfeitable because of a violation of criminal law, a new mail cover order must be requested consistent with these regulations.

g. Any national security mail cover request must be approved personally by the head of the law enforcement agency requesting the cover or one designee at the agency's headquarters level. The head of the agency shall notify the chief postal inspector in writing of such designation.

213.8 Records, Reports, and Review

213.81 Records

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

a. If the chief postal inspector or designee determines a mail cover was improperly ordered, all data acquired while the cover was in force shall be destroyed, and the requesting authority notified of the discontinuance of the mail cover and the reasons for it.

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

c. The retention period for files and records pertaining to mail covers is 5 years.

213.82 Reporting to Requesting Authority

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

213.83 Review By Inspector General

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

213.9 Military Postal System

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

214 Forfeitures

214.1 Authorization

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

a. 18 U.S.C. 981 (Civil Forfeiture).

b. 18 U.S.C. 982 (Criminal Forfeiture).

c. 18 U.S.C. 2251 et seq. (Child Protection Act).

d. 18 U.S.C. 1956–1957 (Money Laundering).

e. 31 U.S.C. 5313(a) and 5324(a) (Currency Transaction Violations), Financial Institutions.

f. 18 U.S.C. 981(c) (Financial Institution Reform, Recovery, and Enforcement Act of 1989) (FIRREA).

g. 21 U.S.C. 333 (Federal Food, Drug and Cosmetic, and Human Growth Hormones).

h. 21 U.S.C. 801 et seq. (Controlled Substance Act) includes anabolic steroid and drug paraphernalia.

214.2 Administration

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

215 Mail Fraud Investigations

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

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

22 Postal Emergencies, Losses, and Offenses

221 General Reporting Requirements

221.1 Reports

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

221.11 Postal Inspection Service

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

221.12 Office of Inspector General

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

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

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

221.2 Emergencies

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

221.3 Postal Losses and Offenses and National Defense Material

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

Exhibit 221.11
Addresses of Postal Inspectors in Charge

1. **CINCINNATI DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
895 CENTRAL AVE STE 400
CINCINNATI OH 45202-5748

2. **FLORIDA DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
3400 LAKESIDE DR 6TH FL
MIRAMAR FL 33027-3242

3. **GULF COAST DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
PO BOX 1276
HOUSTON TX 77251-1276

4. **MICHIANA DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
PO BOX 330119
DETROIT MI 48232-6119

5. **MID-ATLANTIC DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
PO BOX 3000
CHARLOTTE NC 28228-3000

6. **MIDWEST DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
1106 WALNUT ST
ST LOUIS MO 63199-2201

7. **NEWARK DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
PO BOX 509
NEWARK NJ 07101-0509

8. **NEW YORK METRO DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
PO BOX 555
NEW YORK NY 10116-0555

9. **NORTHEAST DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
425 SUMMER ST 7TH FLOOR
BOSTON MA 02210-1736

10. **NORTHERN CALIFORNIA DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
PO BOX 882528
SAN FRANCISCO CA 94188-2528

11. **NORTHERN ILLINOIS DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
433 W HARRISON ST RM 50190
CHICAGO IL 60669-2201

12. **NORTHWEST DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
PO BOX 400
SEATTLE WA 98111-4000

13. **PHILADELPHIA METRO DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
PO BOX 7500
PHILADELPHIA PA 19101-9000

14. **ROCKY MOUNTAIN DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
1745 STOUT ST STE 900
DENVER CO 80202-3034

15. **ST PAUL DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
PO BOX 64558
ST PAUL MN 55164-0558

16. **SAN JUAN DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
PO BOX 363667
SAN JUAN PR 00936-3667

17. **SOUTHEAST DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
PO BOX 16489
ATLANTA GA 30321-0489

18. **SOUTHERN CALIFORNIA DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
PO BOX 2000
PASADENA CA 91102-2000

19. **SOUTHWEST DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
PO BOX 162929
FT WORTH TX 76161-2929

20. **TAMPA DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
PO BOX 22526
TAMPA FL 33622-2526

21. **WASHINGTON METRO DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
PO BOX 96096
WASHINGTON DC 20066-6096

22. **WESTERN ALLEGHENY DIVISION**
UNITED STATES POSTAL INSPECTION SERVICE
1001 CALIFORNIA AVE
PITTSBURGH PA 15290-9000

23. **HEADQUARTERS**
UNITED STATES POSTAL INSPECTION SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-2100

221.4 Telephone Reports

Include in any telephone report all of the following information:

a. Date and nature of occurrence.

b. Approximate loss (if none, so state).

c. Serial numbers of blank money order forms and whether issuing equipment was lost or stolen.

d. Action taken to obtain an emergency stock of items lost or stolen.

e. Address of fugitive postal offenders and aliases, if known.

f. Remedial action taken if explosive or poisonous articles are discovered or in an emergency caused by hazardous matter.

g. Notification of local police (if none, so state).

h. Security category, mailer of classified material found loose, and action taken to secure it.

221.5 Written Reports

Include the same information furnished by telephone and the following:

a. Serial numbers of Treasury checks lost or stolen.

b. Quantity and denominations of stamps and other accountable paper lost or stolen.

c. Amount of Postal Service funds or property lost or stolen.

d. Nature and amount of any personal loss.

e. Serial number, if any, of mail keys lost or stolen.

f. Full particulars of lost, stolen, or rifled registered mail.

g. Additional information discovered after the initial report was made.

221.6 Nonemergencies and Routine Losses and Offenses

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

221.7 Prohibition

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

222 Offenses Reported by Telephone

222.1 Loss or Damage

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

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

b. Loss of a significant amount of Postal Service funds, accountable paper, or property.

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

222.2 Thefts, Burglaries, or Robberies

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

a. Any employee robbed.

b. Postal unit or vehicle broken into, burglarized, or robbed.

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

d. Indicated or suspected embezzlement. Make no further investigation or inquiry after telephone call and follow-up report.

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

f. Theft or mistreatment of mail. If a postal employee, mail contractor, or contractor employee is suspected of theft, abandonment, or other mistreatment of mail, report all known facts and make no further investigation or inquiry.

222.3 Accidents

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

a. Accidents that kill or seriously injure a private person.

b. Accidents that kill or seriously injure a postal employee.

222.4 Assaults or Threats

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

a. Postmaster or postal employee physically assaulted or robbed while on duty or in possession of mail, postal funds, or postal property.

b. Postal employee threatened with death or bodily injury.

c. Postal customer physically assaulted or threatened with death or bodily injury by a postal employee.

d. Libel, threats, or extortion.

e. Bomb threats.

222.5 Controlled Substances

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

222.6 Workers' Compensation

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

222.61 Responsibilities

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

222.62 Types of Fraud and Abuse

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

a. Concealing, with intent to defraud, prior injuries or physical impairment when hired.

b. Reporting an on-the-job injury when the injury occurred off the job.

c. Fabricating an injury or falsifying the extent or seriousness of the real injury.

d. Engaging in and concealing outside employment while receiving compensation payments.

e. Regularly engaging in activities that are inconsistent with alleged injury or medical restrictions.

f. Failing to return to work after recovering from an injury.

g. Continuing to accept compensation when no longer disabled, no longer an employee of the Postal Service, or without making any effort to return to work.

222.63 Warning Signals

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

a. There are no witnesses to the accident (if there are witnesses, consider their reliability).

b. The injury logically cannot have happened as described.

c. The employee sustains a soft tissue versus a visible injury (e.g., no broken bones, no swelling or discoloration).

d. The injury is not reported on the day of occurrence.

e. The employee has a history of leave abuse or has previously filed questionable claims.

f. The injury is reported when disciplinary action is pending or leave of any type is denied.

g. The injury occurs shortly before an employee's defined termination date.

h. The employee is known to engage in outside activities (sports or other work) that could cause similar injury.

i. The employee has a confrontation with his or her supervisor before the accident.

j. The treating physician handles multiple claims and always indicates disability.

222.7 Stamp Offenses

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

a. Illegal use of stamps.

b. Removal of stamps from wrapper (submit wrapper or other cover with confirmation memorandum).

c. Unusual possession of stamps, which might indicate illegal use.

d. Reuse of stamps.

e. Use by postal employees in payment of debts.

f. Overcharges or undercharges of postage.

g. Alteration of meter stamps.

h. Tampering with meters.

222.8 Sabotage

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

222.9 Classified National Defense Matter

222.91 Categories

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

222.92 Mailing Criteria

Follow these criteria for the mailing of classified matter:

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

b. SECRET material may be sent by registered mail.

c. CONFIDENTIAL material may be sent by certified mail.

222.93 Handling

Follow these instructions for handling classified mail:

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

b. Immediately notify a postal inspector by telephone.

223 Situations Requiring Special Actions

223.1 Demonstrations, Riots, or Picketing

223.11 Immediate Notification

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

223.12 Information Provided

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

a. Approximate number of persons involved and cause.

b. Interference with the movement of mail.

c. Damage to postal property.

d. Blocked entrances and exits.

e. Inconvenience or criticism of customers.

f. Newspaper or other media publicity.

g. Action taken or contemplated by local, state, or federal law enforcement officials.

h. Involvement of any postal employees (if so, state whether on or off duty).

i. Involvement of any postal employee organizations.

j. Picketing (if so, state the exact messages on the picket signs).

223.13 Further Action

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

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

223.2 Explosives

223.21 Immediate Notification

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

223.22 Letter or Parcel

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

223.3 Counterfeit Material

223.31 Postage Stamps and Meter Indicia

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

223.32 Money Orders and Other Items

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

223.4 Hazardous or Poisonous Materials

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

223.5 Suspected Narcotics

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

223.6 Express Mail Labels

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

224 Offenses Reported by Memorandum

224.1 Nonmailable Matter

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

a. Intoxicating liquors. Withdraw from the mail and await disposition instructions.

b. Obscene and indecent matter. Submit complaints with a statement of facts.

c. Subversive matter. Submit complaints with a statement of facts.

d. Concealable firearms. Withdraw concealed firearms mailed contrary to DMM C020, pending instructions from the postal inspector in charge.

e. Matter promoting animal-fighting ventures. Submit complaints with a statement of facts.

f. Matter inciting to violence.

224.2 Lotteries

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

224.3 Procedural Irregularities

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

a. COD irregularities.

b. Illegal transportation of letters in violation of the Private Express Statutes (see DMM G011).

c. Failure to pay postage, violation of franking privilege, misuse of penalty mail, depositing of advertising material in mailboxes without payment of postage, and similar schemes to evade payment of postage.

d. Delay, damage, tampering, missending, or wrong delivery of registered mail; tampering with other mail; wrong or improper delivery of other mail when financial loss or criminality is involved.

224.4 Losses

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

a. Losses of postal funds, accountable paper, or property not otherwise reported.

b. Loss or suspected theft of official Postal Service records known or thought to contain sensitive information.

224.5 Fraud, Forgery, Impersonation

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

a. Mail fraud. Request that complainant prepare a detailed statement of the facts and furnish correspondence, advertising, or other literature and envelopes in which such evidence was transmitted through the mail. Have the complainant initial and date each separate piece of evidence for future identification. Transmit this material with the report.

b. Forgery or falsification of postal records or securities, unless reported under 224.52.

c. Impersonation of a postal inspector, postal official, or other employee. Include the circumstances of the impersonation and give a complete description of the impersonator.

224.52 Report any of the following acts to the OIG by memorandum or by telephone (see 221.12):

a. Fraud against the Postal Service relating to postal contracts, including bribery, kickbacks, and conflicts of interest.

b. Fraud against the Postal Service relating to suspicious workers compensation claims from a provider.

c. Conflict of interest or misconduct involving a postal career executive service manager.

d. Impersonation of an OIG special agent or other personnel of the OIG.

225 Other Situations

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

a. Suspicious activities of boxholders.

b. Willful or malicious damage or injury to Postal Service property.

c. Nonpostal offenses occurring in space assigned to postal activities.

d. Money laundering offenses, including attempts to evade money order purchase reporting requirements, or use of the mails to further laundering of monetary instruments. Complete a Form 8105-A, *Funds Transaction/Transfer Report,* or Form 8105-B, *Suspicious Transaction Report (STR),* as appropriate (see 229).

e. Routine loss or offense (see Exhibit 225).

Exhibit 225
Reporting Routine Losses or Offenses

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

226 Robberies

226.1 Preventive Measures

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

a. Notify police and postal inspectors if suspicious strangers are observed loitering in or near the post office or following carriers on their routes.

b. Keep exterior lobby windows clear of obstruction to maximize observation of the lobby area.

c. Lock doors leading from post office box or service lobbies to workroom areas. Lock other entrances to the workroom area when not in use.

d. Lock safes, vaults, and fixed credit drawers and containers when not in use.

e. Train employees in the proper methods of activating any installed holdup alarms and cameras. Maintain and test these alarms and cameras according to instructions furnished with the equipment.

f. Discuss money or valuable mail on hand or their transportation methods only with authorized postal officials who have a need to know. Notify postal inspectors if anyone makes unusual inquiries about these items or post office security.

g. Avoid keeping excessive cash on hand. Make multiple bank deposits if large quantities of cash are received. Keep cash in employee credits and open accountability systems near the minimum amount listed in Handbook F-1, *Post Office Accounting Procedures.* If possible, do not count or display cash in public view.

h. Respond to an “emergency” request to open the post office only after requesting the presence of police, a postal inspector, or a postal police officer.

i. Respond to a call from the police to come to the post office after hours only after calling back and verifying the call with the police dispatcher.

j. Do not leave mail unprotected in unlocked vehicles. If the use of a satchel cart is authorized, take care to prevent thefts from the cart while delivering your route.

k. Do not make yourself or other employees attractive robbery targets. Most robbers want cash or jewelry. Often only an employee’s personal cash or property is stolen. Avoid wearing expensive jewelry and carrying more than the minimum necessary personal funds to reduce personal loss if robbed.

226.2 Actions During Robbery

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

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

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

b. Do not attempt to disarm the armed robber.

c. Observe the robbers and notice details to assist in providing a description:

(1) Make comparisons between the robber and yourself or people you know to determine race, sex, age, height, weight, hair and eye color, complexion, and appearance.

(2) Remember peculiarities such as tattoos, scars, and prominent features.

(3) Remember the type and color of clothing worn (often clothing worn by a robber may be recovered and used as evidence) and whether gloves are worn.

(4) Remember the size, type, and color of weapons used, and how many of the robbers were armed.

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

(6) Notice if the robber touches anything — the counter line, door, postal equipment, or other items.

(7) If possible without endangering your safety, observe the direction taken when the robber leaves and get the automobile description and license tag numbers. Note the color, year, make, body style, license tag number, state, and any body damage.

226.3 Actions After Robbery

226.31 Notifying Police and Inspectors

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

226.32 Securing Building

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

226.33 Protecting Evidence

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

226.34 Recording Witnesses' Descriptions

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

226.35 Comparing Descriptions

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

226.36 Handling Media Inquiries

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

227 Burglaries

227.1 Preventive Measures

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

a. Where possible, keep the view of building windows or entrances free from overgrown shrubbery or postal vehicles parked overnight.

b. Maintain good exterior lighting on the building and parking areas.

c. Make sure all fencing is in good condition to help prevent unauthorized persons from entering the grounds. Do not store against fences equipment that would make it easier for burglars or vandals to gain entry.

d. Secure all possible points of entry to offices, including roof openings, air conditioning vents, skylights, and roof access doors.

e. Look for such items as ladders, poles, trees, fences, dumpsters, and vehicles that a potential burglar might use to gain access to the roof.

f. Install solid core or metal exterior doors. A good solid door is a primary defense against a burglar; doors with thin wooden or glass panels do not provide adequate protection (see Handbook RE-5, *Building and Site Security Requirements*).

g. If exterior doors have openings of 1 square foot or more, cover the openings with bars, grating, or burglary-resistant security glass.

h. Ensure that exterior door hinges are not exposed when the doors are closed so the burglar cannot remove the hinge pins. A simple but effective means of protecting hinges on doors that open outward is to secure the hinges from the inside with a set screw.

i. Equip all exterior doors, including lookout doors and doors providing access to the workroom, with deadbolt locks, as required by Postal Service regulations.

j. If your post office has swinging vestibule doors, secure the doors with case-hardened steel chains drawn through the holes, and padlock the chains on the inside, if possible. If a Motor Vehicle Service or contract driver delivers mail after closing, the padlock must be placed on the outside. Vestibules with pedestrian doors allow chains to be padlocked on the inside.

k. Make sure that designated fire exits are not padlocked. Any device or alarm installed to restrict the improper use of egress must be designated and installed so that it cannot, even in case of failure, impede or prevent emergency egress. Consult the National Fire Protection Association (NFPA) Life Safety Code requirements or your safety officer for proper use of locks on exterior doors.

l. Make sure that keys for retail cabinets or alarm controls are not left in desk drawers or anywhere else a burglar can find them. Issue Postal Service keys to employees only when necessary. Issue building keys only to employees required to open the office in the morning or close the office at night.

m. Protect windows with grating or wire mesh grills if the windows are less than 10 feet from the ground and are not visible from the street or are in an office susceptible to attack. Install interior locks on operable windows.

n. Protect parcel drops. Barrel-type parcel drops provide the best defense against unauthorized entry. Steel cages can be built around the inside of the parcel drops, if necessary, to prevent entry by juveniles.

o. If the post office is equipped with an alarm system, make sure it is operational. Periodically check alarm system batteries and replace any that are leaking or corroded. Keep alarm functions and sensor locations on a need-to-know basis and report any alarm malfunctions to the inspector in charge.

p. Give postal funds maximum protection. Place cash, food coupons, stamp stock, and money order forms in security containers, vaults, burglar resistant chests, or fireproof safes.

q. If possible, detach wheels from safes so that they cannot be easily removed from the post office.

r. Be sure safes and vaults are fully locked at the end of the day. Give the dial at least two complete turns in each direction.

s. Do not hide the combination to the safe anywhere in the office such as on calendars or in desk drawers. Only authorized postal employees on a need-to-know basis should have the combination of any security container or safe used to protect postal funds.

t. Do not leave large amounts of cash in the office overnight. Deposit surplus funds in the bank or prepare a dispatch of the bank deposits as required by current instructions.

227.2 Actions After Burglary

227.21 Before Entry

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

a. Stay outside the building.

b. Telephone local police and postal inspectors immediately.

c. Stay a safe distance away and observe entry points.

d. Observe and write down any descriptions, license numbers, or other information.

e. Wait for police and postal inspectors to arrive.

227.22 After Entry

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

a. Telephone local police and postal inspectors immediately.

b. Protect the crime scene.

c. Lock doors.

d. Touch nothing and keep others away from the area.

228 Assaults

228.1 Employees and Customers

228.11 Postal Inspection Service Investigations

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

228.12 Prosecution of Assailants

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

228.13 Disciplinary Action of Employees

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

228.2 Reporting Assaults

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

229 Money Laundering and Foreign Asset Controls

229.1 Money Laundering Control

229.11 Policy

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

229.12 Responsibilities

229.121 Compliance Officer

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

a. Ensuring that postal and contract employees adhere to all aspects of the Bank Secrecy Act.

b. Implementing and maintaining a national BSA training program.

c. Ensuring that adequate internal controls and procedures are in place to assist employees in complying with the standard and suspicious transaction reporting requirements of the law and to detect noncompliance by postal and contract employees.

d. Referring instances of noncompliance to the appropriate postal manager or supervisor or to the Postal Inspection Service or the OIG for appropriate action.

e. Reporting instances of postal and contract employee noncompliance and instances of suspicious activity by postal customers to the Department of the Treasury in such format and time frame as the Secretary of the Treasury prescribes.

229.122 Postal and Contract Employees

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

a. When selling wire transfers and stored value cards for cash equal to or greater than $1,000 and less than $3,000 in any combination to the same customer in the same day, completing Form 8105-A, *Funds Transaction/Transfer Report,* with the following information:

(1) Purchaser's name.

(2) Purchaser's address.

(3) Purchaser's photo identification number.

(4) Type of photo identification if other than a driver's license.

(5) Date of purchase.

(6) Dollar amount of purchase.

(7) Recipient's name (for wire transfers).

(8) Recipient's address (for wire transfers).

(9) Transaction number of wire transfer(s) and/or item number of stored value cards purchased.

b. When selling money orders, wire transfers, and stored value cards for cash equal to or greater than $3,000 in any combination to the same customer in the same day, completing Form 8105-A with the following information:

(1) Items (1) through (8) above.

(2) Purchaser's Social Security number (or alien registration or passport number).

(3) Purchaser's date of birth.

(4) Inclusive serial numbers of money orders purchased, transaction number or wire transfer(s), and/or item number of stored value cards purchased.

c. Completing a Form 8105-B, *Suspicious Transaction Report (STR),* for any cash transaction deemed suspicious by the employee, regardless of the dollar amount or type of transaction. Suspicious activity might include frequent and large cash purchases of money orders, wire transfers, or stored value cards or paying for services, such as meter settings and trust funds, with cash rather than company checks.

d. Never advising customers how to structure purchases in order to avoid having to provide identifying information (photo ID, Social Security number, etc.).

e. Never selling money orders, wire transfers, and stored value cards for cash totaling $10,000 or more in any combination to the same customer in the same day, even if the employee completes Form 8105-A for the transaction(s).

f. Never cashing money orders or paying out wire transfers totaling $10,000 or more in any combination to the same customer in the same day, even if the employee completes Form 8105-A for the transaction(s).

229.123 Office of Inspector General and Postal Inspection Service

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

229.13 Training

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

a. The essential elements of the Bank Secrecy Act.

b. Standard reporting using Form 8105-A.

c. Detection of suspicious transactions.

d. Suspicious transaction reporting using Form 8105-B.

229.14 Internal Controls

Supervisors have the following responsibilities:

a. Ensuring that established internal controls and procedures are in place at their respective units.

b. Taking immediate corrective action when notified by the Postal Service BSA compliance officer that an employee has not followed any one of the procedures listed in 229.122.

c. Documenting corrective action taken when incidences of noncompliance are detected.

229.2 Foreign Asset Control

229.21 Policy

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

a. Trading with the Enemy Act, 50 U.S.C. App 5.

b. International Emergency Economic Powers Act, 50 U.S.C. 1701.

c. International Security and Development Cooperation Act, 22 U.S.C. 2349aa-9.

d. Antiterrorism and Effective Death Penalty Act of 1996.

e. Criminal Code, 18 U.S.C. 1001.

229.22 Compliance Officer Responsibilities

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

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

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

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

23 Withdrawal of Mail Privileges

231 False Representation and Lottery Orders

231.1 Issuance

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

231.2 Enforcement

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

232 Fictitious Name or Address Orders

232.1 Issuance

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

232.2 Enforcement

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

24 Audits

241 Responsibility

241.1 Inspector General

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

241.2 Role and Function

Independent OIG and Postal Inspection Service audits and other reviews play important roles as management tools for evaluating whether operations are executed economically, efficiently, and effectively. OIG and Postal Inspection Service personnel do not exercise authority over persons in the organizations reviewed. Findings and observations are provided to make management aware of any problems noted during a review. Recommendations and suggestions are offered as workable solutions to noted problems. However, management cannot, and should not, completely rely on auditors, evaluators and/or inspectors to detect problems and recommend solutions. Managers must routinely assess their own operations to assure themselves and their superiors that operations are well controlled and meet the goals and objectives of the organization. Management is responsible to promptly and properly initiate corrective action, if auditors, evaluators, inspectors, or managers find problems.

242 Background

242.1 Authority

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

242.2 Standards

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

243 Mission

243.1 Objective

OIG and Postal Inspection Service work is performed to:

a. Provide an independent check on the adequacy and effectiveness of systems of control to ensure achievement of corporate goals.

b. Determine compliance with Postal Service policies and procedures and public laws.

c. Verify the existence of assets and assure that proper safeguards are maintained to detect failures that may lead to fraud, waste, and abuse.

d. Assess the reliability and operation of accounting and reporting systems.

e. Review operations for economy and efficiency, and effective use of resources.

f. Evaluate the effectiveness of management's corrective actions relating to identified problems and deficiencies.

243.2 Project Category Overview

a. *Performance* — The OIG is responsible for conducting all postal-wide performance audits. The OIG also conducts audits and evaluations at other levels to test systems and/or internal controls. The Postal Inspection Service is responsible for conducting installation, district, and area performance audits and reviews of the Postal Service.

b. *Financial* — The OIG directs all financial audit opinion activity, and conducts other financially related audits. The Postal Inspection Service is responsible for conducting installation and district financial audits of the Postal Service.

c. *Contract* — Contract audits performed by the OIG address systemic issues within the purchasing process, and significant individual procurements. The Postal Inspection Service is responsible for conducting pre- and post-award contract audits, requested by contracting officials. The OIG analyzes results of all contract audit work to identify trends, patterns, and issues relating to postal contractors and contract administration.

d. *Developmental* — Developmental audit work is performed by the OIG and is intended to provide management with an assessment of the design and integrity of internal controls during the early phases of new projects. These projects include automation, technical, information-based, and business process projects. Developmental work encompasses both performance and financial auditing issues, with an emphasis on an independent assessment and evaluation of new or redesigned systems.

e. *Consulting services* — Management may request consulting services from the OIG, which are distinct from the usual audits, evaluations, and inspections. The OIG can provide assistance in areas such as process improvement projects; facilitating self-assessments outside of

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

243.3 Process Overview

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

a. Announcement letters are issued at the start of a project to solicit management's input and perspective.

b. Entrance conferences ensure that management is provided an opportunity to discuss the project scope and objectives.

c. Surveys are conducted to formulate specific project objectives and determine the scope of the project.

d. Field work and data analysis is performed to independently assess the programs/operations within the scope of the project.

e. Draft reports or memoranda are issued to management to communicate the results of observations and analyses.

f. Exit conferences and working meetings ensure that management is aware of pertinent issues and provides a forum for discussion.

g. Management responses are requested, evaluated, and included in the final report.

h. Final reports are distributed to appropriate levels of management to ensure that issues are adequately addressed.

243.4 Cooperation

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

243.5 Liaison

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

244 Reports

244.1 Definitions

244.11 Audit Reports

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

244.12 Other Reports

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

244.13 Transmittal Letters

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

244.14 Management Responses

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

a. Whether the official agrees with each finding or observation.

b. Whether the official agrees with each recommendation/suggestion.

c. Whether the official agrees to any identified savings.

d. What specifically will be done, including an evaluation of any special assistance needed in carrying out the recommendation.

e. Who in the organization will take the corrective action.

f. A timeline for completion and when the corrective action will be implemented. If implementation is deferred beyond 12 months, include the reason for delay.

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

244.2 Release and Distribution of Audit Reports

244.21 Headquarters

244.211 Office of Inspector General

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

244.212 Postal Inspection Service

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

244.213 Audit Control Coordinator

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

244.22 Levels Below Headquarters

244.221 Performance Audits

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

244.222 Financial Audits

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

244.223 Contract Audits

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

244.224 Distribution of Report Copies

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

245 Implementation of Audit Recommendations

245.1 Management Responsibility

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

245.2 Audit Follow-Up

245.21 Status

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

245.22 Periodic Reviews

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

245.3 Coordinating, Tracking, and Reporting

245.31 Headquarters Level

245.311 Deputy Postmaster General

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

245.312 Vice Presidents

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

245.313 Units Reporting to Postmaster General

Each vice president who reports to the postmaster general designates a person for tracking the implementation of audit recommendations within that

unit. The designee furnishes the results of status requests to the audit control coordinator, with a copy to the deputy postmaster general.

245.314 Schedule

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

245.32 Area Office Level

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

245.33 District Level

245.331 Review

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

245.332 Reporting

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

246 Application of Audit Findings

246.1 Vice President, Area Operations

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

246.2 District Manager

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

246.3 Field Manager

246.31 Review

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

246.32 Report

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

246.33 Implementation

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

247 Requests for Audit Attention

247.1 Headquarters Level

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

247.2 Area Level

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

247.3 District Level

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

247.4 Field Level

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

25 Tort Claims

251 Responsibilities

251.1 Postal Service

251.11 Definition

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

251.12 Authority

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

251.13 Policy

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

251.2 General Services Administration (GSA)

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

252 Accident Investigation

252.1 Accidents to Be Investigated

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

252.2 Responsibility

252.21 Reference

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

252.22 Installation Head or Designee

252.221 On-the-Scene Investigations

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

252.222 Personal Injury and Private Property

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

252.23 Accident Investigator

252.231 Selection

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

252.232 Duties

The accident investigator has the following responsibilities:

a. Conducts both on-the-scene and follow-up investigations of all accidents within the city where the installation is located involving damage to private property or personal injury to private parties.

b. Serves as a consultant and adviser to associate office personnel designated under 252.221 to investigate accidents.

c. Trains post office personnel and ensures their accident investigation proficiency.

d. Makes sure that all information, exhibits, and documentation about accidents involving personal injury to private persons or damage to private property in excess of $1,000 are forwarded promptly for evaluation.

e. When a claim is received, determines if any necessary follow-up action is required.

f. Forwards the completed investigative file promptly to the adjudicating authority (see 254).

g. Decides whether personal assistance is necessary at the scene or if guidance to the local investigator suffices when notified of the accident.

h. Promptly contacts the chief field counsel on learning of an accident involving Postal Inspection Service employees (see 254.1).

i. Promptly contacts the general counsel for the inspector general on learning of an accident involving OIG employees.

252.24 Accident Investigator and Claims Coordinator

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

252.3 Scope of Investigations

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

252.4 Verification of Damages

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

253 Preparing Reports and Claims

253.1 Postal Official in Charge

253.11 General Instructions

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

253.12 Forms Required

253.121 Form 2198

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

253.122 Standard Form 91

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

253.123 Form 1700

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

253.124 **Standard Form 94**

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

253.2 Claims Procedures

253.21 General

253.211 **Assistance**

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

253.212 **Restrictions**

Postal Service employees are prohibited from:

a. Receiving any gratuity for services.

b. Accepting any interest in a claim.

c. Disclosing information that may be made the basis of a claim, any evidence, or any record in any claim matter unless provided by law.

253.22 Administrative Claims

253.221 **Definition**

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

253.222 **Insurance Information**

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

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

b. Whether a claim is filed with the insurance company.

c. If a claim is filed, the action the insurer has taken or proposes to take with reference to the claim.

d. Whether public liability and property damage coverage is carried by the claimant, and if so, the name of the insurance carrier.

253.223 **Who May File**

Claims may be filed as follows:

a. A claim for injury to or loss of property may be presented by the owner of the property or his or her duly authorized agent or legal representative.

b. A claim for personal injury may be presented by the injured person or his or her duly authorized agent or legal representative.

c. A claim based on death may be presented by the executor or administrator of the decedent's estate or by any other person legally entitled to assert such a claim under applicable state law.

d. A claim for loss wholly compensated by an insurer with the rights of a subrogee may be presented by the insurer. A claim for loss partially compensated by an insurer with the rights of a subrogee may be presented by the parties individually as their respective interests appear or jointly (see also 253.24).

e. A claim signed by an agent or legal representative on behalf of a claimant is presented in the name of the claimant; it must show title or legal capacity of the person signing and be accompanied by evidence of authority to present a claim on behalf of the claimant as agent, executor, administrator, parent, guardian, or other representative.

253.23 Processing Administrative Claims

253.231 **General Instructions**

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

253.232 **Incomplete or Indefinite Claims**

Handle an incomplete or indefinite form as follows:

a. Note that a claim is incomplete or indefinite if it does not provide all necessary information, as in any of the following cases:

(1) It lacks the answers to the questions on insurance as required by 253.222.

(2) It does not contain a demand in a specific amount.

(3) It is not properly signed.

(4) It is deficient in some other way.

b. On receipt of an incomplete or indefinite claim, furnish the claimant or representative a blank SF 95 and request that it be filled out completely.

c. If a claim is not filed on an SF 95, but is a claim as defined in 253.221, furnish the claimant an SF 95 and request that it be filled out completely.

d. If a reply to a request to complete an SF 95 is not received within 15 days, do not hold the investigative file, but forward it as directed in 254.3.

e. If a reply is received that resolves the deficiency by a document other than SF 95, do not insist on the completion of an SF 95. Forward the investigative file as soon as possible as directed in 254.3.

253.24 Claims by Insurance Companies (Subrogation)

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

254 Processing Reports and Claims

254.1 Serious Accidents

254.11 Definition

An accident is considered a *serious accident* if:

a. Civil or criminal action is brought against a postal employee involved in an accident.

b. Injury to private individuals results in any of the following:

(1) Death.

(2) Dismemberment.

(3) Total or partial loss of vision.

(4) A medical prognosis of extensive hospitalization or prolonged disability.

(5) Damage to private property estimated to exceed $25,000.

254.12 Immediate Notice

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

254.13 Complete Report Required

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

254.2 Claims Payment Authority

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

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

254.22 Claims Payment Unauthorized

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

a. Any claim arising out of the loss, miscarriage, or negligent transmission of letters or postal matter.

b. Any claim arising out of assault, battery, false imprisonment, false arrest, malicious prosecution, abuse of process, libel, slander, misrepresentation, deceit, or interference with contract rights.

c. Any claim submitted by a federal agency.

d. Any claim submitted by a federal employee.

e. Any claim arising out of an accident in which the postal employee involved received workers' compensation or continuation of pay.

254.23 Denied Claims

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

254.24 Multiple Claims

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

254.25 Claim Payment

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

254.26 Advising Claimants

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

254.3 Processing Claims

254.31 Property Damage Claims Over $5,000

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

254.32 Personal Injury Claims Over $1,000

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

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

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

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

254.34 Narrative Report

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

254.35 Multiple Claims

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

254.36 Accidents With No Claim Received

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

254.37 Denial of Claims

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

254.38 Assistance

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

254.4 Reports to GSA

254.41 Accidents Involving GSA-Controlled Buildings

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

254.42 Accidents Involving GSA Vehicles

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

254.5 Accidents in Leased Quarters

Investigate all accidents involving private persons that occur in leased or rented facilities just as fully as those occurring on postal-owned premises. In accidents caused or alleged to be the result of structural defect, state if,

when, and how notice of the defect and needed repairs was given by the Postal Service to the landlord before the accident occurred. Advise if lease contains a provision requiring the landlord to make repairs. Include a copy of the lease and all available information on the landlord's insurance coverage.

26 (Reserved)

27 Security

271 General Responsibilities

271.1 Chief Inspector

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

271.2 Installation Heads

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

271.3 Security Control Officers

271.31 Policy

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

271.32 Responsibilities

The primary responsibility of the SCO is to ensure the general security of the facility under rules and regulations issued by or concurred in by the chief inspector. This includes the safety of on-duty employees and the security of mail, postal funds, property, and records entrusted to them. The security control officer is also the liaison with the Postal Inspection Service on all security matters and as the individual responsible for implementing security recommendations reported by the Postal Inspection Service.

271.33 Designation

If the security control officer responsibility is delegated by the installation head, the officer must acknowledge, in writing, understanding of the collateral duties of this assignment, as detailed in this chapter. Each Postal Service

district maintains a current list of designated SCOs, their alternates, and phone numbers. Send the appropriate postal inspector in charge a copy of this list. (The inspector in charge also ensures that each SCO has a Postal Inspection Service point of contact and alternate.)

271.34 Duties

271.341 Security Reviews

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

271.342 Potential Threat or Assault

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

271.343 Safety and Security

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

271.344 Employee Involvement

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

271.345 Sensitive Clearance

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

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

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

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

d. Ensure that sensitive clearances are updated every 5 years under 272.25.

271.4 Authorizations

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

271.5 Examination and Inspection of Postal Property (Including Lockers)

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

271.6 Employees

271.61 General

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

Note: Refer to 274 for additional mail security requirements.

271.62 Employee Requests for Mail

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

271.63 Placing Mail on Person or in Personal Receptacles

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

271.64 Employees' Personal Mail

271.641 Guidelines

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

known or appears to be intended for the employee personally may be refused, but must not be opened.

271.642 **Exceptions**

Exceptions are as follows:

a. Official Postal Service mail or circulars and other mail or circulars that appear to relate to postal employment (such as mail or circulars from the employee unions or from postal uniform vendors) and are intended for individual employees must be delivered without being opened.

b. In the case of an apparent emergency, the Postal Service must accept delivery of personal mail addressed to an employee, and the head of the facility (or designee) must attempt to deliver the mail to the employee.

272 Personnel Security Clearances

272.1 General

272.11 Policy

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

272.12 Responsibility

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

272.13 Scope

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

272.2 Security Clearances

272.21 Nonsensitive Clearance

Employees requiring nonsensitive clearances are processed under Handbook EL-311, *Personnel Operations.* On appointment, these employees are the subject of checks conducted by the Postal Inspection Service. These checks are conducted automatically and require no action by the hiring official. Unless disqualifying information is disclosed by the Postal Inspection

Service checks, the individual remains in the position and is cleared for access to such areas, documents, and information as required to accomplish the duties and fulfill the responsibilities of the position.

272.22 Sensitive Clearance

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

a. The inspector general, the postmaster general, deputy postmaster general, chief operating officer, the general counsel, the chief inspector, the consumer advocate, the judicial officer, and the vice presidents.

b. Executive secretaries and special assistants to positions listed in 272.22a.

c. The deputy general counsel, chief counsels at Headquarters, and chief field counsels.

d. Any employee required to have knowledge of and access to information or material classified TOP SECRET under Executive Order 12958, Classified National Security Information, dated April 20, 1995, and successive orders.

e. Any employee assigned duties requiring knowledge of the mission of or access to the Federal Emergency Management Agency's (FEMA) Mt. Weather Emergency Assistance Center (MWEAC) or to FEMA emergency preparedness communications equipment or operational documents.

f. All employees of the Office of Inspector General.

g. All employees of the Postal Inspection Service.

h. All Information Systems Service Center (ISSC) managers, ISSC systems security officers, and ISSC security control officers.

i. Finance manager, investment specialists, cash management specialists, financing specialists, and treasury services specialists.

j. District Information Systems manager.

k. EDP Systems Operations supervisor.

l. EDP system coordinator and Information Systems coordinator.

m. Security Control Officers at major plants, offices, and facilities identified by the Postal Inspection Service.

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

272.221 National Security Positions

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

272.222 Public Trust Positions

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

a. May affect the integrity, efficiency, and effectiveness of assigned government activities by their action or inaction. The potential for adverse effect includes action or effectiveness of government, whether or not actual damage occurs.

b. May fulfill certain government activities that by their nature can be adversely affected by the action or inaction of most employees associated with the activity in any responsible capacity. Such activities include law enforcement, public safety and health, collection of revenue, and regulation of business, industry, or finance.

c. Have the authority to commit government funds through grants, loans, loan guarantees, or contracts.

d. Are responsible for managing programs or operations that require a high degree of public trust because of their ability to affect the accomplishment of the activity's mission to a significant degree. Included in this category are positions responsible for managing a significant portion of a program, such as a geographic district or area.

272.223 Determining Need for Sensitive Clearance

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

272.224 Initiating Sensitive Clearance

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

a. Standard Form 85-P, *Questionnaire for Public Trust Positions,* or Standard Form 86, *Questionnaire for National Security Positions.*

b. Standard Form 87, *Fingerprint Chart.*

c. Form 2181, *Authorization and Release.*

d. Notice 70, *U.S. Postal Service Privacy Act Notice.*

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

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

272.226 **Processing**

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

272.227 **Granting Sensitive Clearance**

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

272.23 Denial or Revocation

272.231 **Criteria**

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

a. Intentional falsification, deception, or fraud in connection with application or examination for appointment or in connection with official inquiry.

b. Refusal to furnish information to the Postal Service requested pursuant to applicable laws, rules, and regulations that would aid in determination of qualification for sensitive clearance.

c. Intentional, unauthorized disclosure or exposure of national security information, documents, or material classified under Executive Order 12065.

d. Any of the other suitability-for-service factors (disqualification reasons) in Handbook EL-311, 313.2.

272.232 **Administrative Procedure to Deny Sensitive Clearance**

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

272.233 **Denial Reconsideration**

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

272.234 **Action of Operating Unit Official**

The operating unit official takes the following action:

a. If the chief inspector denies a sensitive clearance to an employee, the responsible official takes steps to do one of the following:

(1) Remove the employee from the Postal Service under the currently applicable regulations of the Postal Service, Office of Personnel Management, or collective bargaining agreement, as appropriate.

(2) Reassign the employee to duties that do not require sensitive clearance.

(3) Refer the case to the postmaster general for a final determination. Provide a copy of the referral to the chief inspector.

b. If the individual is to be retained in the Postal Service, the operating unit official furnishes the chief inspector a written statement of the reasons for retention, with copy to the records officer.

272.24 Interim Sensitive Clearances

272.241 **Applicants in Private Industry**

When there is a priority need to make a hiring commitment to an individual who requires a sensitive clearance but is not currently employed by any agency or department of the U.S. Government, a request for an interim sensitive clearance may be made. The request is made by checking the appropriate block on Form 2013 and is accompanied by a memorandum signed by the operating unit head. The memorandum must contain full justification for the request and, along with the Form 2013, be accompanied by all completed forms listed in 272.224. All forms must be submitted at least 10 working days before the expected appointment date. If approved, the signed and dated Form 2013 is returned to the appropriate security control officer within 10 working days with the *Interim Sensitive Clearance Granted* block checked. This endorsement allows the individual to start work. After granting the interim sensitive clearance, the remainder of the investigation is continued without further action required from the security control officer. The final sensitive clearance is granted on favorable completion of the investigation.

272.242 **Federal Government Employees**

An interim sensitive clearance is normally granted within 10 working days after request and receipt of all forms listed in 272.224 to allow hiring of an individual currently employed by any agency or department of the federal government whether or not the individual holds any security clearance with that agency or department. This also applies to individuals in the Postal Service not holding sensitive clearance but being considered for assignment to duties requiring the clearance. The remainder of the investigation is

continued without further action required on the part of the security control officer.

272.243 Expedited Procedures

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

a. Investigative History File (IHF) and National Crime Information Center (NCIC) checks.

b. Review of employment record and reason for leaving last position.

c. Police and credit checks in all cities of residence during the previous 5 years.

272.244 Final Clearance

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

272.25 Updating Sensitive Clearances

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

a. Review of official personnel folder.

b. NCIC (wants and warrants).

c. Criminal history inquiry (cities of residence during past 5 years).

d. Credit check.

e. IHF check.

272.26 Exceptions

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

272.3 Clearances for Individuals Under Service Contracts

272.31 General

272.311 Who Must Have Clearances

Individuals who provide contract services to the Postal Service, including contractors, contractors' employees, subcontractors, and subcontractors'

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

272.312 **Exceptions**

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

272.313 **Temporary Services Companies**

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

272.32 Requirements

272.321 **Levels of Clearance**

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

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

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

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

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

remote terminals for systems development or accessing sensitive systems or data.

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

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

272.322 Citizenship

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

272.33 Responsibilities

272.331 Contracting Officer, Requiring Activities, and Contracting Officer's Representative

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

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

b. *Nonsensitive, sensitive, and interim sensitive clearances* — Upon receipt of the completed forms for the nonsensitive, sensitive, and interim sensitive clearances, the contracting officer, the COR, or a designee reviews them for completeness and adequacy and forwards them to:

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

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

272.332 Postal Inspection Service

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

a. Before granting a nonsensitive, sensitive, or interim clearance, the ISOSG searches the Postal Inspection Service's data bases.

b. Before granting a nonsensitive, sensitive, or interim clearance, the ISOSG searches the National Crime Information Center (NCIC) Wants and Warrants.

c. Before granting a sensitive clearance, the ISOSG requests a National Agency Check (NAC) from the Office of Personnel Management (OPM) that includes the following:

(1) *Security/Suitability Investigation Index (SII)* — Index of background investigations, those that are completed by OPM and those conducted by other federal investigative agencies. OPM file retention is 15 years, or 25 years for an investigation that contains actionable information.

(2) *FBI Identification Division* — Fingerprint index of arrest records and name file.

(3) *Defense Clearance and Investigation Index (DCII)* — Index of investigations conducted on Department of Defense civilian and military personnel.

272.34 Documentation

272.341 General

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

272.342 Basic Clearance

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

inquiries subject to review by the Postal Service. Contractors must provide certification that each individual:

a. Has passed a screening test for cocaine, marijuana, amphetamine/methamphetamine, opiates, and phencyclidine (PCP), which the Substance Abuse and Mental Health Services Administration (SAMHSA) has identified as the five most abused substances. The screening test must be performed by a SAMHSA-approved, certified laboratory and must meet the cut-off levels established by SAMHSA. The certification must include the name of the employee, the name of the institution that performed the test, the name of the agency that certified the laboratory, the date of the test (within 90 days of the submission of the results), and the negative results of the test.

b. Is not on parole, probation, or under suspended sentence for commission of a felony.

c. Has not been convicted of a criminal violation during the past 5 years for offenses that involved dishonesty, moral turpitude, financial gain, or assault.

d. Has not engaged in the illegal use, possession, sale, or transfer of narcotics or other illicit drugs during the past 5 years.

e. Does not have pending serious criminal charges such as murder, rape, robbery, burglary, physical assaults, sale and distribution of drugs, or weapons violations. If criminal charges are pending, the basic clearance is not to be authorized until the charges have been resolved.

272.343 Nonsensitive Clearance

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

a. Form 2181-C, *Authorization and Release — Background Investigations (USPS Contractors and Employees of Contractors).*

b. Form 1357, *Request for Computer Access* (if access to postal computer systems is required).

c. Results from a criminal history inquiry through local agencies (in this preferred order — state, county, city), where the individual has resided and has been employed during the past 5 years.

d. Results of a credit bureau inquiry to identify any derogatory financial information concerning the individual.

e. Verification of the individual's employment history for the past 5 years, including a list of reasons for termination or resignation from prior employers.

f. Verification of the individual's United States citizenship through review of a birth certificate or naturalization document.

g. Certification that the individual has passed a drug screening test pursuant to procedures for a basic clearance.

h. Form 2025, *Contract Personnel Questionnaire.*

272.344 Sensitive Clearance

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

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

a. Items 272.343a through 272.343g listed above for the nonsensitive clearance.

b. Form 2013, *Sensitive Security Clearance Processing Request.*

c. SF 85-P*, Questionnaire for Public Trust Position.*

d. FD 258, *Fingerprint Chart — Applicant* (two copies). The fingerprint cards must be signed and dated by someone with experience taking fingerprints.

272.345 Interim Sensitive Clearance

When individuals are to begin work under an interim sensitive clearance, contractors must initially provide the contracting officer, the COR, or a designee with items 272.343c through 272.343g required pursuant to procedures for the nonsensitive clearance (discussed in 272.343) for each individual before authorization can be granted to enter a postal facility in connection with contract performance.

272.35 Grounds for Denial or Revocation

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

a. Refusal to furnish information requested pursuant to applicable laws, rules, and regulations that would aid in the determination of qualifications for a security clearance.

b. Intentional, unauthorized disclosure or exposure of national security information, documents, or material classified under Executive Order 12065.

c. Dismissal from prior employment for cause.

d. Prior criminal conduct that could undermine the efficiency of the Postal Service or the safety of postal employees.

e. Intentional false statements, deception, or fraud in an application for clearance or in a submission of information furnished incidental to a contract with the Postal Service.

f. Habitual use of intoxicating beverages to excess.

g. Use of narcotics or dangerous drugs.

h. Reasonable doubt as to the loyalty to the government of the United States.

i. Conviction for theft, embezzlement, or crimes of violence, including assault with a deadly weapon.

j. Any other circumstance that makes the individual unfit to do business with the Postal Service.

272.36 Reconsideration of Denial

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

272.4 Hiring and Accession Requirements

272.41 Employees Requiring Sensitive Clearance

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

272.42 Mail Transportation Contractors

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

273 Facility Security

273.1 Protection and Access

273.11 Requirement

273.111 Responsibilities

Responsibilities are as follows:

a. The Postal Inspection Service establishes the criteria for security of on-duty employees and the security of mail, postal funds, property, and records entrusted to them.

b. The installation head is responsible for implementing recommendations and requesting funds for security equipment and building modifications, and maintaining and upgrading, as necessary, all security and criminal investigative equipment.

273.112 Facility Planning Concept

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

273.113 Facility Security Surveys

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

273.12 Workroom Access

273.121 Limitations

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

273.122 Door Locks

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

273.123 Compliance

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

273.13 Employee Responsibilities

273.131 Unauthorized Individuals

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

273.132 Reporting Conditions or Conduct

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

273.133 Emergency Actions

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

a. Call for fire or police assistance.

b. Use fire extinguishing equipment.

c. Assist with the injured.

d. Protect postal assets and mail if there is no risk to employee safety.

273.14 Security Force

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

273.15 Police Protection

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

273.16 Security by Contract

273.161 Policy

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

273.162 Procedures

Procedures vary as follows:

a. Normally, facility managers submit all proposals for the use of security contractors to the local inspector in charge with a detailed justification. The inspector in charge reviews, evaluates, and submits proposals to the chief inspector for consideration. The chief inspector notifies the inspector in charge of the decision. The inspector in charge will notify the facility manager of the decision.

b. In an emergency, facility managers may obtain contract security without prior approval but must notify the local inspector in charge as soon as possible. The inspector in charge must immediately report the emergency hiring of contract security to the chief inspector.

273.163 Union Notification

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

whenever practical. Notice to the national FOP-NLC-USPS No. 2 will be given at the Headquarters level.

273.17 Closed Circuit Television System Security

273.171 Scope

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

273.172 Policy

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

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

b. CCTV systems are not installed to view work areas to evaluate the performance of employees.

c. CCTV systems do not utilize “dummy” or nonfunctioning CCTV cameras.

d. Security in the postal retail store.

273.173 Responsibility

The following units have these responsibilities:

a. *Postal Inspection Service* — The inspector in charge of the division in which the facility is located is responsible for determining the need for, quantity, type, and location of CCTV systems and cameras as described in this section.

b. *Security Control Officer* — The security control officer (SCO) is responsible for overseeing the procurement, installation, maintenance, and repair of CCTV systems, and for maintaining a minimum of the most recent 32 days of video recording tapes or disks. The SCO also assures that the information from the CCTV camera is monitored and/or properly recorded 24 hours a day. At least once a year, one-third of the tapes must be replaced.

273.2 Alarms and Sensors

The Postal Inspection Service determines the need for alarm systems. Alarms and related sensor systems are installed in certain selected postal facilities to prevent burglary and robbery and/or to assist in the apprehension of offenders. The inspector in charge gives the facility head detailed

operating instructions for facility alarm systems. These instructions are restricted information and are kept in a secure area. (See Handbook RE-5, *Building and Site Security Requirements,* and Handbook AS-503, *Standard Design Criteria,* for details on design and installation of the systems.) Problems regarding alarm systems should be brought to the attention of the inspector in charge.

273.3 Security Counter Lines

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

273.4 Locks, Keys, and Access Control Cards

273.41 Responsibility

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

273.42 Postal Inspection Service Locks

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

273.43 Postal Inspection Service Keys

273.431 O Key

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

273.432 J Key

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

273.433 Ordering Procedures

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

Exhibit 273.42
Postal Inspection Service Locks

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

273.434 Key Log

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

273.44 Postal Service Locks

273.441 Exterior

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

273.442 Electronic Strike

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

273.443 Delayed-Exiting Locks

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

273.444 Access Control System

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

273.45 Postal Service Keys and Access Control Cards

273.451 Postal Employees

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

273.452 Nonpostal Occupants

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

273.453 Contractors

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

273.46 Key Accountability

273.461 Inventory

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

273.462 Return of Keys

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

273.463 Unassigned Keys

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

273.464 Key Survey

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

273.47 Reporting Lost or Stolen Keys or Access Control Cards

273.471 Procedures

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

273.472 Postal Inspection Service Keys

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

273.48 Master Keys

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

273.5 Security Containers, Safes, and Vaults

273.51 Security Containers and Safe Equipment

273.511 General

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

273.512 Description

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

273.513 Exception

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

273.52 Vault Equipment

273.521 Criteria for Use

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

273.522 New or Replacement Vault Doors

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

273.523 **Modular Vaults**

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

273.524 **Cash Drawers**

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

273.525 **Exception**

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

273.526 **Magnetic Media**

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

273.53 Requisitions

273.531 **Procedure**

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

273.532 **Justification**

Include the following in the justification:

a. If standard cash drawers are in use, the number in use and the number that can be stored in existing equipment must be stated.

b. Requisitions for items 220, 221, and/or 223 must show that a Postal Service standard vault is available and that the equipment is to be used in it.

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

274 Mail Security

274.1 Importance

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

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

274.2 Opening, Searching, and Reading Mail Generally Prohibited

274.21 Mail Sealed Against Inspection

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

a. A postal employee in a mail recovery center acting under the dead mail regulations in *Postal Operations Manual* (POM) 69.

b. A postal employee acting with the consent of the addressee or sender.

c. A person executing a search warrant under 274.6.

d. An authorized U.S. Customs Service or U.S. Department of Agriculture employee acting under 274.91 or 274.92.

e. A postal inspector acting under 274.91d.

f. A postal employee disclosing information under 274.5.

g. An agricultural inspector of a state or territory of the United States, acting under the Terminal Inspection Act (7 U.S.C. 166) and in strict accordance with pertinent procedures in Publication 14, *Restrictions and Prohibitions on Mailing Animals, Plants, and Related Matter.*

h. Acting as otherwise expressly permitted by federal statutes or postal regulations.

274.22 Mail Not Sealed Against Inspection

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

a. Under any of the conditions that qualify for an exception under 274.21.

b. By a postal employee, when authorized to make a determination about the mailability of the contents or the applicable postage for unsealed mail.

c. As otherwise expressly permitted by federal statutes or postal regulations.

274.23 Definitions

274.231 Mail Sealed Against Inspection

The following terms and definitions apply:

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

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

b. The terms include First-Class Mail, Priority Mail, Express Mail (domestic and international), Mailgram messages, and the international letter mail forming part of the LC class of Postal Union mail. See the definition of Postal Union mail in the *International Mail Manual.*

c. The terms exclude incidental First-Class matter permitted to be enclosed in or attached to certain Periodicals, Standard (A) and Standard (B) mailings (see DMM E070) and international transit mail (see 274.8).

d. When sealed mail is part of a mixed class mailing (see DMM E070), the sealed mail component of the combination item is treated as sealed mail only if it is contained in its own envelope or other form of sealed container.

274.232 Mail Not Sealed Against Inspection

The following terms and definitions apply:

a. For purposes of this part, the terms “mail not sealed against inspection” and “unsealed mail” mean mail on which appropriate postage for sealed mail is not paid, and which under postal laws or regulations is not included within a class of mail maintained by the Postal Service for the transmission of letters sealed against inspection.

b. The terms include Periodicals, Standard Mail, incidental First-Class attachments or enclosures mailed under DMM E070, and (as defined in the *International Mail Manual*) international parcel post mail, the AO class of Postal Union mail, and the international post cards and postal cards forming part of the LC class of Postal Union mail.

c. The terms do not include international transit mail (see 274.8).

274.24 Correspondence in Unsealed Mail

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

274.3 Permissible Detention of Mail

274.31 Sealed Mail Generally Not Detained

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

a. A postal inspector acting diligently and without avoidable delay, upon reasonable suspicion, for a brief period of time, to assemble evidence sufficient to satisfy the probable-cause requirement for a search warrant under 274.6.

b. A postal inspector acting under 39 U.S.C. 3003 who causes to be withheld from delivery mail that he or she believes is involved in a

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

c. A postal inspector acting under 39 U.S.C. 3004 who causes to be withheld from delivery letters or parcels sent in the mail to places not the residence or regular business address of the person to whom they are intended to enable the person to escape identification, if prompt written notice is given to the addressee advising the addressee of such action, the reasons for such actions, and the addressee's right to have such action reviewed under 39 CFR 964.

d. A postal inspector, OIG personnel, or postal employee upon reasonable suspicion and in strict compliance with postal regulations to determine the mailability of injurious articles and substances proscribed by DMM C021, or the proper payment of postage.

e. A postal employee acting under postal regulations with the addressee's or sender's express consent (for example, DMM D030).

f. A postal employee acting under an order issued under 39 U.S.C. 3005, relating to false representations, lotteries, and unlawful matter.

g. A postal employee acting under 274.62.

h. A postal employee conducting a mail count by direction of a postmaster or a postal inspector.

i. A postal employee acting under a federal court order.

j. A postal employee, during the period required to seek and obtain instructions under DMM D042.6.0 concerning mail whose delivery is in dispute, or under 424.1 of the *Postal Operations Manual* (POM) concerning legal process, other than a search warrant duly issued under Rule 41 of the Federal Rules of Criminal Procedure, purporting to require the surrender of mail matter.

k. A postal employee or an agricultural inspector of a state or territory of the United States, acting under the Terminal Inspection Act (7 U.S.C. 166) and in strict accordance with pertinent procedures in Publication 14, *Restrictions and Prohibitions on Mailing Animals, Plants, and Related Matter.*

274.32 Unsealed Mail

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

274.4 Mail Reasonably Suspected of Being Dangerous to Persons or Property

274.41 Screening of Mail

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

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

a. Screening of mail authorized by this subsection must be limited to the least quantity of mail necessary to respond to the threat.

b. Such screening must be done in a manner that does not avoidably delay the screened mail.

c. The chief postal inspector may authorize screening of mail by postal employees and by persons not employed by the Postal Service under such instructions that require compliance with this part and protect the security of the mail. No information obtained from such screening may be disclosed unless authorized by this part.

d. Mail of insufficient weight to pose a hazard to air or surface transportation and international transit mail must be excluded from such screening.

e. After screening conducted under this subsection, mail that is reasonably suspected of posing an immediate and substantial danger to life or limb, or an immediate and substantial danger to property, may be treated by postal employees as provided in 274.42.

f. After screening, mail sealed against inspection that presents doubts about whether its contents are hazardous, that cannot be resolved without opening, must be reported to the Postal Inspection Service. Such mail must be disposed of under instructions promptly furnished by the Postal Inspection Service.

274.42 Threatening Pieces of Mail

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

274.43 Reports

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

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

Except under 274.5a through 274.5g, no employee may, in the performance of official duties, disclose information on the cover of a piece of mail; information from the contents of a piece of mail inspected as authorized; or other information about a piece of mail sent or received by any sender, addressee, or group of senders or addressees. An employee may disclose such information:

a. To the Postal Inspection Service or OIG for its official use, including appropriate reference to law enforcement authorities, when there is a reasonable basis to suspect that such information is evidence of the commission of a crime. This exception does not apply to information obtained by opening sealed mail in a mail recovery center, as that information may be used only in seeking to identify an address at which the mail can be delivered.

b. Under 213 regarding mail covers.

c. Under a search warrant in accordance with 274.6.

d. Under a federal court order.

e. At the request of the sender or addressee, or the authorized agent of either.

f. From the covers of mail by films or photocopies of the covers only for the following postal operations:

(1) Resolving or recording a service complaint when the complaining customer presents the cover as evidence.

(2) Serving in place of Form 3546 if the film or copy shows nothing but the addressee's prior and current addresses, and does not reveal the sender's name and address, the postmark, or any other information.

(3) Serving in place of Form 3547 by showing the cover with an address-correction label affixed in reply to a mailer's request for address correction on First-Class Mail and Standard Mail (A) or (B).

(4) Notifying a mailer of addressing inaccuracies affecting optical character reader (OCR) readability if the film or copy is secured in a locked cabinet, then destroyed as soon as the mailer resolves the inaccuracies.

(5) Facilitating internal postal operations under specific authorization from the chief postal inspector and written instructions from the records officer not to disclose the information outside the Postal Service, and to destroy the film or copy after a given retention period.

(6) Resolving a problem of machine missorting or of miscoded or unreadable OCR mail if the information is disclosed only to the postal employees resolving the problem and that the copy is destroyed immediately after resolution of the problem.

(7) Resolving a problem that involves Express Mail and is based on a complaint from the sender or addressee, a refund request from the sender, or an internal service report if the information is disclosed only to the postal employees resolving the problem and that the film or copy is destroyed immediately after resolution of the problem.

(8) Providing information to a Postal Service contractor in the performance of a contract with the Postal Service, but only if disclosure is authorized by the chief postal inspector and use of the information is in strict compliance with contract clause 1-7, Non-Disclosure of Address Information (Appendix B of the *Purchasing Manual*).

g. From the covers of mail to document the mailing of an item that has, or is reasonably suspected of having, improper postage of any kind. This subsection may be used only by OIG personnel, a postal inspector, or by a postal employee acting at the direction of OIG personnel or a postal inspector. Any documentation must be destroyed when it is no longer needed for official use.

h. To Customs or Agriculture agencies under 274.9.

i. If otherwise permitted by postal regulations.

274.6 Execution of Search Warrants

274.61 Warrant Issued by Federal Court or Served by Federal Officer

a. A search warrant duly issued under Rule 41 of the Federal Rules of Criminal Procedure must be executed as provided in 274.62. Usually, a warrant issued by a federal court or served by a federal officer is issued under Rule 41, and is duly issued if signed and dated within the past 10 days.

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

274.62 Search Warrant Execution Procedures

Procedures for executing a search warrant follow:

a. A postal inspector may execute a search warrant.

b. An OIG special agent may execute a search warrant.

c. A person other than a postal inspector or OIG special agent executing a search warrant must be accompanied by a postal employee authorized by the head of the postal installation at which the warrant is to be executed.

d. Mail may be taken from postal custody under the authority of a search warrant only if the person executing the warrant leaves a copy of the warrant and a receipt or inventory, made out in the presence of the postal employee accompanying that person, which particularly describes each piece of mail taken, including all service endorsements

on the cover (such as “Return Receipt Requested”) and any official postal identity numbers (such as registry, insurance, or certified mail numbers). The receipt or inventory may be attached to the copy of the warrant or written on the reverse side of the copy of the warrant.

e. The installation head or designee must do the following:

(1) Make a copy of the receipt or inventory, and of the copy of the warrant, and send them to the inspector in charge of the division in which the installation is located.

(2) Send a report of the seizure of any domestic mail to the addressee’s post office and of any seized international mail to the appropriate international claims office.

274.63 Notice to Sender or Addressee

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

274.7 Cooperation With Federal, State, and Local Agencies

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

274.8 International Transit Mail

274.81 Definitions

274.811 International Transit Mail

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

274.812 Closed Mail

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

274.813 À Découvert Letter Post Item

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

274.82 Special Security Rules

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

274.9 Mail Security, Law Enforcement, and Other Government Agencies

274.91 Customs Service

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

a. *Other Regulations* — Such inspections may be conducted only under the *International Mail Manual* (IMM) relating to cooperation with the U.S. Customs Service on inspection of imports.

b. *Privacy of Correspondence* — No Customs personnel may read, allow any other person to read, divulge, or transfer to any other person any correspondence contained in sealed mail; nor may Customs personnel divulge, allow any other person to read or listen to, transfer to any other person, or knowingly listen to any paper or recording that is correspondence for the blind contained in unsealed mail; nor may Customs personnel divulge, allow any other person to read, or transfer to any person correspondence of school children permitted transmission in unsealed mail, unless such action is authorized by a search warrant issued under Rule 41 of the Federal Rules of Criminal Procedure.

c. *Search Warrant Required for Domestic and Certain International Mail* — No Customs personnel may, without a search warrant, open, inspect, read, or seize any mail in postal custody (including APO and FPO mail) that has not originated outside the CTUS, or that has

diplomatic or consular immunity from Customs inspection (see IMM 711).

d. *Controlled Delivery of Drugs in Sealed Mail* — When a postal inspector decides, at the request of a federal, military, state, or local narcotics agent, to make a controlled postal delivery of a sealed mail article that the Customs Service has opened under 274.91, and that the Customs Service has determined through a reliable field test or reliable laboratory examination to contain illegal narcotics or dangerous drugs, the postal inspector may reopen the article without a search warrant. The inspector may reopen the article without a warrant only to prepare the article for such a controlled delivery in such way or ways as lawfully and reasonably aid in the investigation of the crime of importing such substances through the mail. No correspondence inside such an article may be read or divulged without a search warrant as described in 274.6.

274.92 U.S. Department of Agriculture

274.921 Foreign Origin Mail

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

274.922 Domestic Mail From Hawaii or Puerto Rico

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

274.923 Terminal Inspections

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

274.93 Military Postal System

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

274.94 Customs Inspection in Territories and Possessions

274.941 American Samoa

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

274.942 Guam

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

274.943 Northern Mariana Islands

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

274.944 U.S. Virgin Islands

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

contains dutiable or prohibited matter) to authorize such Customs personnel to open and inspect the contents of the sealed mail, or to appear at the post office to accept delivery of the sealed mail in the presence of a Customs official.

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

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

274.96 Mail Addressed to Prisoners

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

275 Physical ADP Security

275.1 General

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

275.2 ADP Contingency Planning

275.21 General

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

275.22 Backup Principles

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

a. If warranted, provide backup power to handle limited essential processing and support, such as air conditioning and humidification.

b. For extremely essential processing, provide equipment to monitor and adjust the voltage, current, etc., needed to maintain uninterrupted service.

c. Determine the location of computer installations that can provide backup processing for essential jobs, and negotiate mutual backup agreements.

d. Locate off-site storage for backup programs and data sets in a separate location beyond the immediate area of the data processing facility but near enough to be readily accessible in case of emergency. Records must be retrievable round-the-clock.

e. Consistent with the importance of the data and the cost of reconstruction, establish and follow a periodic (daily, every other day, weekly, etc.) backup schedule for files and programs, including transfer and updates, at the off-site storage facility.

275.23 Contingency Plans

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

a. Define essential processing functions to be performed in the event of partial or total shutdown of operations.

b. Contain specific individual assignments for each type of contingency.

Note: Do not include bargaining unit employees in a work stoppage plan.

c. Be distributed to all individuals named in the plan, reviewed at least every 6 months, and updated at least annually.

275.3 Periodic Reviews

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

276 Firearms Security

276.1 Issuance of Firearms

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

276.2 Violations of Firearms Security

276.21 Having Firearms on Postal Property

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

276.22 Carriage of Firearms by Postal Employees

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

277 Identification Security

277.1 Purpose

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

277.2 Types of Accredited Identification

277.21 Headquarters Only

277.211 Top Officials

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

a. *Board of Governors* — A special white photo identification card issued to members of the Board of Governors over the signature of the chairman.

b. *Form 128-B, Officer's Identification Card (Green Card)* — A special green photo identification card issued over the signature of the postmaster general to Postal Service officers.

c. *Special Identification Card* — A special white identification card, with expiration date, issued over the signature of the chief inspector. This card is issued to official nonpostal visitors such as members of Congress and Senate subcommittees.

277.212 Form 2041, USPS Building Pass — Headquarters

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

277.213 Form 2041-A, Headquarters Building Pass — Tenant

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

277.22 Headquarters and Field

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

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

277.222 Form 1823, EEO Credential

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

277.23 Field Only

277.231 Form 1375, Employee Identification Card

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

277.232 Form 1375-P, Postmaster's Identification Card

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

a. Entering Social Security numbers in appropriate blocks.

b. Securing photographs and signatures to the forms and completing lamination of the credentials.

c. Issuing completed credentials to newly appointed postmasters.

d. Entering full name, title, office, state, and ZIP+4 above the signature of the district manager.

277.233 Form 4098-F, Employee Identification

Form 4098-F, a photo identification, is in use at larger postal facilities to provide visible identification of employees having a need to be on the workroom floor. Form 4098-F is issued and controlled by the postmaster 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 (see 277.3). While on duty away from the facility, letter carriers, special delivery messengers, and Motor Vehicle Service drivers must carry and display Form 4098-F when identification is needed.

277.234 Item O8405A, Temporary Employee Badge

Item O8405A is used in the following ways:

a. The control card portion is properly filled in by the issuing authority and kept in a card file at the installation. The badge portion is marked to indicate the areas to which the employee is authorized access. This is done by deleting those letters that designate areas where the employee is not authorized access. The expiration date is the next date after date of anticipated termination of the employee. On expiration, the control card and the returned badge portion are destroyed.

b. At larger installations where regular employees are required to wear the photo identification badge (Form 4098-F), the temporary employee badge may, at the discretion of the installation head, be issued in lieu of requiring the employee to return home to obtain a forgotten badge.

When a temporary employee badge is issued for this purpose, it is never validated for more than 1 day.

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

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

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

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

277.237 **Electromechanical Access Control Identification**

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

277.24 Highway Contract Route Contractor ID Cards

277.241 **General**

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

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

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

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

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

277.25 Postal Inspection Service

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

277.26 Office of Inspector General

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

277.3 Displaying Identification

277.31 Proper Wearing

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

277.32 Unauthorized Wearing

Unauthorized possession of official identification or other insignia (Postal Service or imitations) is punishable by a fine of not more than $250 or imprisonment of not more than 6 months, or both. Employees wearing identification other than that issued to them are subject to disciplinary action.

277.33 Special Situations

Postal Service identification may not be worn in nonpostal employment or activities without authorization. The postmaster may authorize the wearing of Postal Service identification for activities in which the Postal Service participates or where identification with the Postal Service is beneficial.

277.4 Requisitioning

277.41 Items

The temporary employee, visitor access control, and contractor access control items (Items O8405A, O8405B, and O8405C) are available from both material distribution centers (see Publication 247, *Supply and Equipment Catalog*). Requisition of these items is restricted to information support field centers and districts, which may supply the items to smaller offices as needed. Generally these items should not be supplied to small offices where sight recognition is capable of providing the necessary identification. The material distribution centers furnish them as cost items in the following units of issue:

a. Temporary Employee Badge, packets of 50.

b. Visitor Access Control Badge, packets of 100.

c. Contractor Access Control Badge, packets of 50.

277.42 Clips

A reusable clip (Item O8404) used with the temporary employee, visitor access control, and contractor access control identification is stocked as a cost item at the South River Material Distribution Center. The clips are issued in packages of 50.

277.5 Custody and Protection

Protect identification or access badges by carefully controlling them. Keep supplies of unissued badges secure. Maintain a register that shows the employee's name and title, date of issuance, date of return, and the number, if any, of the identification badge issued. Access control identification badges controlled by a computer must automatically record usage. The computer must also be capable of off-loading the recorded accesses to a device for storage that allows retrieval at a later date. Mutilate and destroy access badges that cannot be reissued or are unserviceable.

277.6 Returning Identification

All Postal Service identification is accountable property and must be surrendered when leaving the Postal Service or when a contract is terminated. Employees who are issued identification must return such at the time of separation or transfer.

277.7 Lost or Unreturned Identification

277.71 Precautions

Take every precaution to prevent identification from falling into the hands of unauthorized persons. Employees must immediately report to their supervisors a lost or unserviceable identification. Report recovered identification promptly.

277.72 Replacement Fee

Charge $1 for each replacement of a lost identification or for failure to return such on separation. This does not apply to Christmas or other temporary employees.

28 Emergency Preparedness

281 Contingency Planning

Each federal department and agency, including the Postal Service, is responsible for the development of plans for actions necessary to maintain itself as a viable part of the federal government during any emergency that might occur. Preparedness planning within the Postal Service ranges from domestic emergencies, such as conditions resulting from natural or human-caused disasters, to international emergencies, including nuclear war. These conditions may affect a single postal facility or have a widespread effect on the entire Postal Service.

282 Authorities

The Postal Service derives authority for participating in emergency preparedness programs primarily from the following:

a. Title 39 U.S.C.

b. Executive Order 12656, dated November 18, 1988, which combines the assigned emergency functions of all federal agencies into one document. Parts 1, 2, and 26 of the executive order pertain to the Postal Service.

283 Preparedness Planning Objectives

The primary objective of postal emergency preparedness planning is to maintain or restore essential postal service in a national emergency, natural disaster, or disruptive domestic crisis. Details of Postal Service preparedness plans can be found in the following documents:

a. Publication 159 series on contingency planning (A through D).

b. ASM 28.

c. *United States Postal Service Emergency Planning Manual* (EPM).

d. ELM 519.22 and 519.23.

284 Planning Responsibilities

284.1 Postal Service Emergency Coordinator

The chief inspector is the emergency coordinator for the Postal Service. The emergency coordinator receives authority directly from the postmaster general and is responsible for coordinating emergency planning and civil preparedness programs applicable to all elements of the Postal Service.

284.2 Vice President, Area Operations

Vice presidents of Area Operations are responsible for developing, directing, and operating all emergency mail service and related activities in their respective areas and districts under guidelines issued by Headquarters. The vice president of Area Operations may designate a staff member as the area emergency coordinator to directly supervise the overall emergency preparedness planning activities under the manager's jurisdiction. The emergency coordinator works closely with district managers and the inspectors in charge in the development of integrated plans to provide emergency mail service and related activities for the area during emergency situations.

284.3 Emergency Coordinating Committees

284.31 Headquarters

An emergency coordinating committee is established at Headquarters and consists of primary and alternate members from each operating element (see Headquarters Circular 80-10, *USPS Emergency Coordinator; Civil Defense*

Coordinator; and Headquarters Emergency Coordinating Committee). The Headquarters committee assists the Postal Service emergency coordinator or others, as appropriate, to develop and implement emergency preparedness plans for Postal Service Headquarters and to prepare guidelines for use by the inspector in charge and vice president of Area Operations to develop emergency preparedness plans. The Postal Service emergency coordinator or designated alternate chairs this committee.

284.32 Area Office

An emergency coordinating committee is established in each area office (see Management Instruction AS-280-89-6, *Coordinator of Regional Emergency Preparedness Planning*). The area office emergency coordinating committee assists the inspectors in charge and district managers, as appropriate, in developing and implementing emergency preparedness plans consistent with guidelines issued by Headquarters.

284.4 Postmasters

Postmasters do the following:

a. Carry out emergency preparedness assignments, programs, etc., as directed by the vice president of Area Operations.

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

c. Designate representatives for continuing liaison with local civil preparedness organizations, if such activity does not interfere with normal duties.

d. Volunteer to serve (at their own option) as members on the staff of the local state emergency management office, if such service does not interfere with their primary postal responsibility in an emergency.

e. Authorize and encourage their employees to participate voluntarily in nonpostal pre-emergency training programs and exercises in cooperation with states and localities.

285 Contingency Plans

285.1 Domestic Emergencies

285.11 Examples

Examples of domestic emergencies are:

a. Natural disasters.

b. Strikes and work stoppages by postal employees.

c. Strikes by nonpostal labor organizations.

d. Civil disturbances.

e. Bombs and bomb threats.

f. Fires.

g. Accidents involving mail-carrying planes, trains, or highway contract vehicles.

285.12 Guidelines

Contingency planning guidelines for maintaining continuity in the Postal Service during domestic emergencies are contained primarily in parts A, B, C, and D of the Publication 159 series on contingency planning. Also see the ELM and the *United States Postal Service Emergency Planning Manual.*

285.13 Developing Plans

285.131 Contingencies

Each management level throughout the Postal Service develops contingency plans under the Publication 159 series to provide emergency postal services.

285.132 Advance Information

The plans must include procedures for providing as much information as possible on potential or actual emergency situations and their possible adverse impact on postal operations. This provision of information includes disseminating advance warnings, suggesting precautionary protective measures, and ensuring that all emergency equipment on hand is in working condition, and that its operation is understood by all personnel concerned.

285.2 International Emergencies

285.21 Definition

International emergencies are conditions resulting from worsening international relations, wartime mobilization activities, or an attack on the United States, including a nuclear attack.

285.22 Guidelines

Guidelines for preparing and maintaining plans to ensure continuity of postal operations during international emergencies are in the *United States Postal Service Emergency Planning Manual* (EPM), the basic planning document for the entire Postal Service. It provides the emergency standby guidelines and specifies essential post attack functions of the Postal Service, with instructions and procedures. Also see the *Employee and Labor Relations Manual* (ELM).

285.23 Developing Plans

Each Postal Service management level develops and maintains an emergency preparedness plan following its vice president's guidelines and developed from instructions in the EPM.

285.3 ADP Contingency Plans

For information about ADP contingency planning, see Handbook AS-805, *Information Systems Security.*

286 Emergency Lines of Succession

286.1 Postmaster General

In case the postmaster general is incapacitated from an enemy attack or other national emergency, the following is the line of succession to perform the duties of the postmaster general (see 112.11):

a. Deputy postmaster general.

b. Chief operating officer and executive vice president.

286.2 Headquarters and Field

Each corporate Headquarters unit and Headquarters field unit establishes its own internal line of succession to provide for continuity under emergency conditions. Vice presidents, district managers, plant managers, inspectors in charge, and postmasters or officers in charge of other field installations, as specified in the EPM, prepare a succession list of officials who are to act in their stead if they are incapacitated or absent in an emergency. Show orders of succession by position titles.

3 Communications

31 Policies and Procedures

311 Definition

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

a. Contains policy statements, regulations, guidelines, procedures, and similar material issued by Headquarters.

b. Is systematically managed by Corporate Information Services to ensure that it is current, accurate, and accessible as appropriate on paper, the Internet, Postal Service Intranet, local area networks, and CD-ROMs.

c. Is published through the established Postal Service document architecture to enable systematic management.

312 Types

312.1 Corporate

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

Exhibit 312
Standard Headquarters Policy and Procedure Document Types

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

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

312.2 Local

312.21 Areas

312.211 Operational Instructions

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

312.212 Internal Instructions

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

312.22 Other Installations

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

313 Responsibilities

313.1 Headquarters

313.11 Corporate Publishing and Information Management

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

313.12 Originating Organizational Units

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

313.13 Affected Organizational Units

313.131 Labor Relations

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

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

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

313.132 **Other Affected Organizational Units**

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

313.2 Field

313.21 Areas

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

313.22 Other Installations

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

314 Coordination

314.1 Headquarters Policies and Procedures

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

314.2 Field Policies and Procedures

314.21 Areas

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

a. Wages, hours, and working conditions of bargaining unit personnel.

b. Work methods, work standards, activity analysis, scheduling and staffing, performance objectives, and industrial engineering techniques.

c. National program directive issued by Headquarters (particularly if it expands significantly on a Headquarters program directive).

d. Any significant field initiatives not related to an approved national program.

314.22 Other Installations

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

315 Prohibitions

The following prohibitions must be observed:

a. Do not issue instructions that conflict with any current directives.

b. Do not repeat instructions that have already been disseminated to the action points by Headquarters or a higher level of field organization. This repetition is wasteful and can be confusing.

c. Do not issue instructions to subordinate organizational levels "clarifying," supplementing (except as authorized in MI AS-310-78-3), or rewording policies or procedures from a higher level organization unless the instructions specifically direct or authorize this action. Unauthorized rewording or interpretation can distort the intention of policy and instructions. If a policy or instruction is unclear or inadequate, go back through channels and ask the originator to issue clarifying or supplemental instructions.

316 Action

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

317 Ordering Policy and Procedure Documents

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

318 Public Accessibility and Sale

318.1 Availability for Review

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

a. *Administrative Support Manual.*

b. *Domestic Mail Manual.*

c. *International Mail Manual.*

d. *Postal Bulletin.*

e. *Purchasing Manual*.

318.2 Public Sale

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

SUPERINTENDENT OF DOCUMENTS
PO BOX 371954
PITTSBURGH PA 15250-7954

Telephone: 202-512-1800
Fax: 202-512-2250

318.3 Free Publications

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

32 Forms Management

321 Policy

A form captures, transmits, and stores data used to support postal business processes. Certain completed forms become official postal records and have legal or contractual implications. Forms must be retained as described in subchapter 35.

Corporate-wide postal forms are managed in order to:

a. Ensure the ability to track and control official versions of corporate forms.

b. Eliminate unnecessary forms by simplifying, consolidating, and standardizing existing forms.

c. Standardize data elements for ease in collecting, processing, and retrieving data.

d. Reduce and simplify paperwork by developing forms that are user-friendly and economical.

322 Classes of Forms

322.1 Postal Forms

322.11 Postal Service (PS) Forms

PS forms are forms prescribed and approved by Headquarters functional organizations. These forms are used by one or more elements of the postal organization on a national or Headquarters basis. Publication 223, *Directives and Forms Catalog*, lists PS forms and their supply source.

322.12 Temporary (X) Forms

The letter *X* following a form number indicates that the form is experimental, temporary, or for one-time use. If an *X* form is revised or reprinted (indicating continuing use), the *X* designation is dropped.

322.13 Local Forms

Local forms are designed by field units for local Postal Service use only. Local forms are neither listed in Publication 223 nor stocked in the material distribution centers.

322.2 Other Government Forms

322.21 General

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

322.22 Standard Forms (SF)

Standard forms are prescribed and printed by a federal government agency and approved by the General Services Administration or prescribed by the General Accounting Office for use by other agencies.

322.23 Optional Forms (OF)

Optional forms are approved and prescribed by the General Services Administration for the optional use of two or more government agencies.

322.24 Other Agency Forms

Other agency forms are approved and prescribed by other government agencies and used by the Postal Service in matters relating to those specific agencies. The form number usually includes a special designator, for example, SSA (Social Security Administration) Form 35.

322.3 Exception

Form letters are considered a duplicating method of producing correspondence and are excluded from the forms classification.

323 Responsibilities

323.1 Headquarters Functional Units

Headquarters functional units are responsible for defining forms requirements based on business needs and processes. Headquarters functional units are also responsible for coordinating and obtaining approval as necessary with other functional units.

323.2 Forms Management

The Forms Management group manages the corporate forms process. This includes:

a. Establishing standards, processes and procedures for the submission, review, approval, and identification of corporate (PS) forms.

b. Ensuring form version-control by maintaining forms metadata.

c. Ensuring form integrity by maintaining a digital archive.

d. Evaluating the need for a form.

e. Analyzing and designing the form.

f. Coordinating form use and disposition.

g. Developing and managing corporate automated forms.

323.3 Field Management

Field managers must:

a. Follow all policies and guidelines in corporate directives (such as *Postal Bulletin* articles, management instructions, and handbooks) when completing or processing a form.

b. Ensure that the correct forms are used to support business processes.

c. Ensure that completed forms are retained as described in subchapter 35.

d. Ensure that local forms do not interfere or conflict with nationally approved forms.

323.4 Material Management

Material Management is responsible for managing stocks of postal forms.

324 Development, Coordination, and Clearance

324.1 Development

Headquarters organizational units approve the requirements for new or revised forms within their functional areas. Forms Management analyzes and designs the form and assigns an identifying number.

324.2 Coordination and Clearance

The originating office obtains the necessary clearances from other affected organizational units before a new or revised form is approved. Required clearances include:

Type of Form	Required Clearance
Forms that affect wages, hours, and other terms and conditions of employment, or that concern any work and/or time standards or studies relating to any bargaining unit employees.	PS Through the vice president of Labor Relations using the clearance option 3 memo (see MI AS-310-96-3, *Management of Policy and Procedure Information — Paper and On-Line*). Local Through the appropriate area Human Resources manager.
PS and local forms that: a. Collect information about individuals (such as name or Social Security number) directly from those individuals. b. Are completed by a member of the public.	Through the records officer using the clearance option 3 memo (see MI AS-310-96-3) for Privacy Act considerations (see 353.241a for details).
PS forms that are stocked in the material distribution centers.	Through Inventory Management, Purchasing and Materials, Headquarters, on Form 189, *Stocking Plan for Directives and Forms*.

325 Restrictions

325.1 Overprinting

Do not overprint slogans, publicity information, trademarks, service marks, or personal identification (e.g., local postmaster's name) on PS forms without Forms Management approval. Overprinting of common fill-in information on forms (such as facility name, address, and telephone number) by tickometer, addressograph, computer, or other duplicating equipment may be approved by the vice presidents of Area Operations or the managers of Computer Operations Service Centers, Information Systems.

325.2 Modifying PS Forms

Clear any modifications or revisions to PS forms with Forms Management.

326 Ordering Forms

See Publication 223 for ordering information and supply sources.

327 Retaining Completed Forms

Certain completed forms become official Postal Service records having legal and contractual implications. The creation, maintenance, disposal, disclosure, and protection of Postal Service records are governed by subchapter 35.

ASM Exhibit 351.21 lists the most widely held Postal Service records and their retention periods. Because record retention periods vary, it is not feasible to print retention periods on forms. ASM 35 describes the conditions that can alter record retention periods.

328 Suggestions About Forms

Submit suggestions that affect policy through the Ideas Program. The Ideas Program does not cover minor changes to forms. Examples of minor changes include rearranging or redefining data elements so that they are clearer to the user; altering the format, such as by changing the size; or simply moving or removing a line to make completion or filing easier. Therefore, submit such suggestions as follows:

a. Identify the originator of the form. Publication 223 identifies the vice president of the originating organization and provides the ZIP+4 address for the office.

b. Send recommended changes to the originating organization.

c. If the change is accepted, the originator makes a request to Forms Management to revise the form.

d. If you cannot determine the originator of a form, send your recommendation to Forms Management. Forms Management then forwards the recommendation to the originating office for consideration.

33 Communications With the Public

331 General

331.1 Policy

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

331.2 Responsibility

331.21 Headquarters

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

a. Responds to news media inquiries and provides information about the Postal Service to the public.

b. Plans, approves, and manages the public affairs effort for the Postal Service.

c. Advises the postmaster general and officers on actions necessary to keep the public well informed on postal policies and programs.

331.22 Field Offices

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

a. Advising the performance clusters and other field managers of actions necessary to support the postal communications policies and programs.

b. Ensuring that performance clusters and other field managers support Postal Service public communications.

331.23 Spokespersons

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

332 Public/Media Relations

332.1 Policy

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

332.2 Responsibility

The Media Relations unit of Corporate Relations is responsible for developing policy and guidance to spokespersons to build relationships with the news media. Media Relations issues announcements and news releases, conducts news conferences, and responds to media inquiries. Information is released consistent with policy in 35.

332.3 Procedures

332.31 Media Inquiries

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

332.32 Advance Copies

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

332.4 Field Managers

332.41 Local Media Relations

Vice presidents of Area Operations, district managers, postmasters, and other facility managers are responsible for local media relations in their jurisdictions. Postal field managers must contact the Corporate Relations Center manager for guidance in conducting media relations.

332.42 Exception

Field units reporting directly to Headquarters or under the functional direction of Headquarters must follow the procedures in 332.3, through the manager of Employee and Field Communications, Corporate Relations, at Headquarters.

333 Community Relations

333.1 Policy

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

333.2 Responsibility

The Community Relations unit in Corporate Relations develops policy and provides guidance to field managers with regard to community relations activities in their localities, as well as activities designed to gain community support for postal actions with special local impact.

333.3 Procedures

When Postal Service actions have special community impact, Headquarters organizations with responsibility for the action must give advance notice to Corporate Relations. Corporate Relations makes timely announcements of the actions to the public and ensures that necessary local community relations activities are undertaken. Examples of actions that affect communities and require advance notice to Corporate Relations include the following:

a. Local service changes.

b. New construction (see 518.2).

c. Environmental improvements.

d. Mail processing or mechanization changes.

e. Publicity for market tests.

333.4 Field Managers

Vice presidents of Area Operations, district managers, plant managers, postmasters, and other facility managers are responsible for community relations within their jurisdictions. Postal field managers must call on the Corporate Relations Center manager, or the manager of Community Relations, at Headquarters, for assistance in conducting these programs.

333.5 Open Houses, Tours, and Postmaster Installations

333.51 Objectives

Holding an open house or giving a special tour allows the Postal Service to show interested customers (as well as postal employees and their families) modern facilities, new mail processing equipment, and efficient postal operations. Postmaster installations, similarly, provide the opportunity to introduce the new postmaster to the community and to employees. They also create opportunities for open houses and tours.

333.52 Implementation

The installation head, postmaster, or manager of a postal facility appoints a committee to plan each open house, special tour, or similar event. Membership includes local representatives from the functional areas of safety, facilities, human resources, customer service and sales; union and management organizations; and the Postal Inspection Service. The installation head, who serves as chairperson, may appoint additional committee members if appropriate. To implement an open house or special tour, the committee and installation head do the following:

a. The committee prepares a plan.

b. The installation head notifies appropriate upper level management of the intent to hold an open house or give a special tour.

c. The installation head also notifies the Postal Inspection Service in writing about any open house or special tour that is not routine. (Routine tours, such as those for school groups, do not require this notification.)

d. The installation head ensures that the open house or special tour is conducted in a manner consistent with nonpartisan requirements of the Postal Reorganization Act.

e. The installation head contacts the manager of the area corporate relations center to seek advice and appropriate assistance in planning publicity activities.

f. The committee coordinates through appropriate channels any requests for area office or Headquarters participation.

333.53 Expenditures

Holding an open house, giving a special tour, or installing a postmaster can entail expenditures for providing refreshments, producing signs, printing brochures, developing program elements, and paying employees for acting as guides. In some cases, guest speakers or dignitaries, including postal

officials, may be included. Discretion and judgment should be used to ensure that the expenditures for these types of activities are reasonable. *Any time spent by a nonexempt employee in planning, hosting, or conducting an open house or special tour must be considered time worked for pay purposes.* Expenditures for such events are entered into existing and appropriate budget categories. These expenditures should be included in the annual budget for a facility. Installation heads who are planning active tour programs for schools and business groups should prepare their budgets accordingly.

334 Postal Exhibits

334.1 Policy

It is Postal Service policy to use exhibits to explain and promote postal policies, programs, products, and services to the general public and specific groups of mail users.

334.2 Procedures

334.21 General

Corporate Relations provides advice to other Headquarters departments, area offices, district offices, and field facilities in developing marketing strategies, planning, producing, and using postal exhibits. With the exception of postmaster general events, functions wishing an exhibit must plan to contract with a vendor.

334.22 New Exhibits

When an exhibit is needed, managers should confer with the manager, Corporate Identity, to be sure a planned exhibit conforms to corporate identity guidelines.

334.3 Audiovisual Services

See 343 for audiovisual instructions.

335 Marketing Communications

335.1 Policy

The Postal Service must use aggressive media placement, product publicity, and constituency building to foster market conditions favorable to the use of postal products and services and to enhance its overall image.

335.2 Responsibility

Marketing Communications, Corporate Relations, develops policy and implements publicity campaigns at the national level. It serves as a consultant to the other functional areas of the Postal Service, working with them to develop and implement publicity plans. The Corporate Relations Center manager is a consultant who assists field managers with implementing local publicity events. Any major events, including stamp

ceremonies, involving the postmaster general are managed by Corporate Relations.

335.3 Communications Tools

Communications tools used to condition the market include news releases, media placement, media education, news conferences, media events, and exhibits.

335.4 Advance Copies

Materials produced for retail promotions and displays must be reviewed by Corporate Relations to ensure that they meet the guidelines issued by Corporate Identity.

336 Executive Communications

336.1 Policy

It is Postal Service policy to impart accurate and consistent information about key postal issues to the public, Congress, customers, and employees through speeches and written materials.

336.2 Responsibility

Corporate Relations is responsible for developing and disseminating messages and information on key postal issues. The manager of Executive Communications works with senior officers and governors to:

a. Identify postal issues.

b. Define postal messages about those issues.

c. Develop strategies for conveying those messages to a variety of audiences.

d. Prepare speeches and other written messages as called for in those strategies.

337 Corporate Communications

337.1 Policy

It is Postal Service policy to convey accurate, consistent, and timely messages and information about postal issues, goals, and performance.

337.2 Responsibility

Corporate Relations is responsible for preparing speeches, testimony, statements, and other materials for the postmaster general. Corporate Relations also identifies and coordinates speaking opportunities for the postmaster general. Other support is provided to the postmaster general as needed.

338 Legislative, Executive Relations

338.1 Scope

As an agency of the federal government operating a nationwide service network, the Postal Service has frequent contact with government officials at every level.

338.2 Responsibility

The senior vice president of Government Relations is responsible for the Postal Service's government liaison, and has the following duties:

a. Monitors legislation and other government rule making and advises management on impacts and corporate positions on these actions.

b. Keeps legislative and executive branch officials informed of developments within the Postal Service and responds to their inquiries.

c. Advises management how Postal Service decisions might affect other governmental entities.

d. Briefs management on government reaction to postal policies and developments.

338.3 Inquiries on Postal Policy

338.31 Scope

Policy matters include but are not limited to rate making, mail classification, contracting and procurement, real estate, arbitration, interpreting collective bargaining agreements, appointments, promotions, and personnel policies.

338.32 Headquarters

All governmental inquiries about postal policy matters (as opposed to service matters) must be forwarded to:

SENIOR VICE PRESIDENT GOVERNMENT RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-3500

338.33 Field

Field managers are authorized to respond directly to governmental inquiries related to services provided to customers of their offices or geographic areas. These inquiries must receive prompt and conscientious attention.

338.4 Field Management

338.41 Displays in Postal Facilities

338.411 Notices Authorized

Bulletin board notices by members of Congress are limited to public announcements of pending competitive civil service examinations and pertinent information for applicants for appointments to the U.S. service academies. See also the *Postal Operations Manual*.

338.412 **Restrictions**

The following display restrictions apply to these authorized notices:

a. Display only as long as the notices are current.

b. Display only within the district of the sponsoring congressperson or the state of the sponsoring senator.

c. Notices that include the member's picture must be returned to the member with an explanation.

d. Notices must follow these specifications:

(1) Size: 9 by 12 inches or less.

(2) Size of signature or printed name of member of Congress: 48-point (1/2-inch) type or smaller.

(3) Deadline: Closing date for submission of applications.

(4) Location specification: Address and correct ZIP+4.

338.413 **Prohibitions**

Field management must ensure that the following are not displayed on public bulletin boards in postal facilities:

a. Private business advertisements, placards, cards, or notices.

b. Photographs or likenesses of any member of a state legislature or member of Congress.

c. Any political picture, cartoon, or other matter designed to influence an election.

338.42 Undeliverable Franked Mail

Procedures for handling undeliverable bulk third-class congressional mailings are in the *Postal Operations Manual*.

338.43 Mailing Lists

Mailing lists submitted by members of Congress and governmental entities must be updated as frequently as requested. (For information on mailing list correction, see the *Domestic Mail Manual.*)

338.44 Dedicatory Plaques

When a Postal Service building is designated by an Act of Congress to honor a person, Government Relations notifies the postmaster. The postmaster should obtain the desired plaque by following local procurement procedures. If the purchase price exceeds the local procurement limit, the requirement should be forwarded to the District for procurement. When the plaque is delivered, the postmaster must advise Government Relations and receive instructions for a ceremony. Ultimately, the plaque must be displayed in a prominent place in the lobby of the building, preferably above the post office boxes.

338.5 Legislation

All inquiries about the status of legislation pending before the U.S. Congress, the official Postal Service position on a given bill, or the impact of a bill on postal policies and procedures must be referred to the senior vice president of Government Relations.

338.6 Release of Information

The release of information to government officials must be consistent with the policies in 35 and the *Domestic Mail Manual*.

339 Inspection Organizations

339.1 Office of Inspector General

339.11 Responsibility

The director of Congressional Relations, Office of Inspector General (OIG), monitors and evaluates legislative and regulatory activities, provides comment to Congress, and maintains liaison with Postal Service Government Relations and Postal Inspection Service Congressional and Public Affairs.

339.12 Legislative Relations

The OIG maintains a separate internal public and media relations program. The director of Communications, OIG, is responsible for the OIG's public communications policies, programs, and functions. Reporting to the assistant inspector general for Strategic Planning and Quality, the director ensures that staff members:

a. Respond to news media inquiries and provide information about the OIG to the public.

b. Plan, approve, and manage the OIG public affairs effort.

c. Advise the inspector general and assistant inspectors general on actions necessary to keep the public well informed on OIG policies and programs.

d. Coordinate with Postal Service Corporate Relations and Postal Inspection Service Congressional and Public Affairs to avoid unnecessary duplication of effort.

339.13 Spokesperson

The director of Communications is the designated public information officer and spokesperson for all matters involving and/or affecting the OIG.

339.14 Media Inquiries

All inquiries about OIG operations from the news media should be referred to the director of Communications of the OIG when feasible. On occasions when this is not feasible, the OIG must be informed immediately after the media contact as to the nature of the inquiry and the response provided.

339.2 Postal Inspection Service

339.21 Policy

The Postal Inspection Service has a responsibility to provide information about the enforcement of postal laws to the public.

339.22 Responsibility

339.221 Headquarters

The manager of Congressional and Public Affairs, Postal Inspection Service, is responsible for the Postal Inspection Service's public communications policies, programs, and functions. Reporting to the deputy chief inspector of Operations Support, and in coordination with Postal Service Corporate Relations, the manager of Congressional and Public Affairs ensures that staff members:

a. Respond to news media inquiries and provide information about the Postal Inspection Service to the public.

b. Plan, approve, and manage the Postal Inspection Service public affairs effort.

c. Advise the chief postal inspector and deputy chiefs on actions necessary to keep the public well informed on Postal Inspection Service policies and programs.

339.222 Spokespersons

The inspector in charge or designated public information officer is the principal spokesperson in matters of law enforcement. When situations arise that involve law enforcement and corporate issues, the Postal Inspection Service spokesperson is to coordinate with the manager of the Corporate Relations center and the postmaster or other facility manager. Postal Inspection Service Congressional and Public Affairs coordinates with Postal Service Corporate Relations to provide functional communications guidance to the field.

339.223 Media Relations

Headquarters Congressional and Public Affairs is responsible for developing media relations policy and guidance to Postal Inspection Service spokepersons to build relationships with the news media. Media relations include, but are not limited to, issuing announcements and news releases, conducting news conferences, and responding to media inquiries. Information is released consistent with policy in 35 and U.S. Department of Justice guidelines.

339.23 Procedures

339.231 Media Inquiries

All inquiries about Postal Inspection Service Headquarters operations from the news media should be referred to the Congressional and Public Affairs office of the Postal Inspection Service when feasible. On occasions when this is not feasible, Congressional and Public Affairs must be informed immediately after the media contact as to the nature of the inquiry and the response provided. Additionally, when responses are made to national news

organizations, specifically broadcast networks and major newspapers that may lead to subsequent national news coverage, Congressional and Public Affairs must inform Media Relations in Corporate Relations in a timely manner so that follow-up coordination is in place. When requested by Congressional and Public Affairs, other Postal Inspection Service offices and divisions must promptly provide information to ensure timely responses to the media.

339.232 Advance Copies

Advance copies of proposed public announcements and of all material intended to be printed for distribution to the public or for public display must be provided to Congressional and Public Affairs for review and approval in coordination with Corporate Relations.

339.24 Local Media Relations

Inspectors in charge and other facility managers are responsible for local media relations in their jurisdictions. Postal Inspection Service field managers should contact Congressional and Public Affairs for guidance in conducting media relations.

339.25 Legislative, Executive Relations

339.251 Responsibility

The manager of Congressional and Public Affairs is responsible for the Postal Inspection Service's government liaison in matters of law enforcement. The manager of Congressional and Public Affairs:

a. Monitors legislation and other government rule making and advises management on impacts and agency positions on these actions.

b. Keeps Legislative and Executive Branch officials informed of developments within the Postal Inspection Service and responds to their inquiries.

c. Advises management how Postal Inspection Service decisions might affect other government entities.

d. Briefs management on government reaction to Postal Inspection Service policies and developments.

e. Keeps Legislative Affairs apprised of significant Postal Inspection Service government relations efforts.

339.252 Legislation — General

Refer to Congressional and Public Affairs all inquiries about status of law enforcement legislation pending before the U.S. Congress, the official Postal Inspection Service position on a given bill, or the impact of the enforcement of postal laws and regulations.

339.253 Release of Information

The release of information to government officials must be consistent with policies in 35, the *Domestic Mail Manual,* and U.S. Department of Justice guidelines.

34 Employee Communications

341 General

341.1 Policy

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

341.2 Responsibility

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

342 Publications

342.1 National Employee Publications

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

342.2 Area Employee Newsletters

342.21 Criteria

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

342.22 Newsletter Design Guidelines

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

a. *Size*. Approximately 8-1/2 by 11 inches.

b. *Number of Pages.* From 8 to 32 pages.

c. *Ink.* Black only recommended for text. Pantone Matching System (PMS) 485 (red) and PMS 294 (blue) may be used for spot color according to guidelines provided by Headquarters Creative Services.

d. *Frequency.* Monthly.

e. *Distribution.* All area employees, mailed to their homes. The Minneapolis Information Systems Service Center provides mailing address labels in desired format each month.

f. *Printing.* See 37 for printing instructions and restrictions.

g. *Writing Style. The Associated Press Stylebook and Libel Manual* or similar guide.

342.23 Performance Cluster Newspaper Design Guidelines

Creative Services at Headquarters provides design guidelines for performance cluster newspapers. A wire service with story ideas and other information is provided to editors by Employee and Field Communications.

342.3 Other Employee Communications Vehicles

Four additional vehicles are provided for field managers to share information with employees:

a. *Direct Line* letterhead is used to communicate with employees in a format similar to a memo.

b. *Local Newsbreak* letterhead is used to share important breaking news with employees and is intended for posting on bulletin boards.

c. *Postal Vision* is a video bulletin board network located in more than 500 postal facilities. International and national news, sports, weather, health and wellness information, and business news are combined with national and local postal information. Field managers are encouraged to place local performance and operating information on their *Postal Vision* systems through their site editors.

d. An approved format for locally produced newsletters or performance cluster newspapers is available through the Corporate Relations Centers. Such publications are produced solely with local funds and workhours and always at the discretion of the installation head.

Information concerning the use of these formats is available from the Corporate Relations Center managers with guidance from Headquarters Employee and Field Communications and Creative Services.

343 Employee and Field Audiovisual Communications

343.1 Policy

It is Postal Service policy to use audiovisual aids to assist in promoting postal policies, programs, services, and products.

343.2 Responsibility

The manager of Employee and Field Communications (EFC), Corporate Relations, is responsible for managing Postal Service activities related to public and employee communications, which include videotape productions, satellite broadcasts, and print and electronic publications.

343.3 Procedures

343.31 General

Corporate Relations provides guidance to other Headquarters functions, area offices, and field offices in planning, producing, and using audiovisual aids.

343.32 Requests

Requests for audiovisual services must be submitted to Corporate Relations sufficiently in advance of the date needed to determine whether the work may be done in-house or must be referred to a contractor. Because production requirements vary, appropriate due dates are determined by consulting with the manager of EFC, who approves requests and provides the services or recommends contact with Purchasing so that services can be procured from sources outside the Postal Service.

343.33 Funding

All audiovisual services performed for other postal units by Corporate Relations are provided on a reimbursable basis at the discretion of Corporate Relations.

343.4 Focus

Corporate Relations provides a monthly 10-minute video news program called *Focus* for viewing by any employee. Stories focus on groups and individuals who are helping to achieve corporate goals. Postmasters, supervisors, and other managers may subscribe free to *Focus* by calling 1-800-654-1905.

344 Creative Services

344.1 Policy

It is Postal Service policy to use graphic materials and photography to assist in promoting postal policies, programs, services, and products.

344.2 Responsibility

The manager of Creative Services, Corporate Relations, is responsible for managing graphic design and photography activities in support of postal programs and also oversees the Headquarters television production facility.

344.3 Workroom Posters

344.31 General

Workroom posters are used for communicating management objectives, policies, and programs to employees. Corporate Relations plans, designs, and produces workroom posters, and coordinates all such posters except those initiated locally for local display. Any posters proposed for wider than local use must be reviewed and approved by Corporate Relations to ensure that they meet the guidelines issued by Corporate Identity.

344.32 Procedures

The originating Headquarters function provides posters to field installations for display in workroom areas, including swing rooms and cafeterias. Posters are dated for time of display and shipped sufficiently in advance of the display date for local distribution to appropriate post offices, stations, and branches. The posters must be displayed as directed.

344.4 Graphic Services

344.41 Purpose

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

344.411 Graphics and Promotional Material

Creative Services acts as a consultant and/or designs and produces Postal Service graphics, including promotional material, publications, displays, literature (except directives and technical manuals), and posters.

344.412 Presentation Material

Creative Services acts as a consultant and/or produces presentational material such as slides and charts for Headquarters.

344.42 Procedures

344.421 Services Provided

Creative Services provides guidance in planning, designing, and producing literature, displays, promotional material, publications, slide presentations, and other graphics. Review is recommended to ensure that the guidelines issued by Corporate Identity are followed.

344.422 Funding

If design services are provided by Corporate Relations, the requesting office provides a Form 7381, *Requisition for Supplies, Services, or Equipment,* to Creative Services, with enough funds to design and produce its project through contractors, plus all figures, information, and material pertinent to the project. Funds appropriated for these services can be expended only when properly authorized by Purchasing at Headquarters or appropriate area purchasing office.

344.423 **Production**

Creative Services may direct the project, refer it entirely for completion by an outside contractor, or produce the work by its staff or contractors with guidance from its staff.

35 Records and Release of Information

351 Records

351.1 General

351.11 Definition

Records are recorded information, regardless of media, format, or physical characteristics, including electronic data, developed or received by the Postal Service in connection with the transaction of its business and retained in its custody; for machine-readable records, a collection of logically related data treated as a unit.

351.12 Ownership

Records created during Postal Service business activities are Postal Service property and not of any individual.

351.13 Responsibility

351.131 **Custodian**

For purposes of this section, the records custodian is the head of a postal facility such as an area, district, post office, or other postal installation that maintains Postal Service records and information. Vice presidents are the custodians of records and information maintained at Headquarters. Senior medical personnel are the custodians of restricted medical records maintained within postal facilities. The custodian of employee assistance program (EAP) records is either the USPS counselor, a contractor, or the Public Health Service, whichever provided the services. The employee and workplace intervention analyst is the custodian of EAP records created before March 1993. Custodians are responsible for seeing that records within their facilities or organizations are managed according to Postal Service policies.

351.132 **Manager, Administration and Freedom of Information Act (FOIA)**

The manager of Administration and FOIA has responsibility for the Postal Service records and information management program. The Freedom of Information/Privacy Acts officer, under the manager of Administration and FOIA, administers release of information policy.

351.133 **Headquarters Vice Presidents**

Vice presidents at Headquarters 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.

351.134 FOIA Office Coordinator

An FOIA office coordinator is located in the Finance office within each area and district office. The coordinator provides procedural guidance, upon request, to records custodians in its geographical area and assists the Freedom of Information/Privacy Acts officer in coordinating national records management activities such as annual data collection on local Freedom of Information and Privacy Acts activities.

351.2 Retention

351.21 Records Control Schedules

The most widely held Postal Service records series are listed in Handbook AS-305, *Records Control.* See also Exhibit 351.21 (located at the end of 35) for the retention periods for most forms used at post offices. Keep records for the periods shown in Handbook AS-305 or Exhibit 351.21 and then dispose of them as specified in 351.6.

351.22 Other Records

For information about the retention of records not covered by Handbook AS-305 or Exhibit 351.21, contact the records specialist in Corporate Accounting, Finance, at (202) 268-4869.

351.23 Extension of Retention Periods

The retention periods published in Handbook AS-305, *Records Control,* and Exhibit 351.21 are mandatory. Records must not be maintained for periods longer than those specified in these schedules. However, retention periods may be extended in response to a court order, or if the records are needed for a special use. Only the Postal Service Corporate Accounting office may authorize these extensions. On expiration of such an extension of retention period, that office notifies concerned custodians to observe normal records retention requirements.

351.3 Protection

351.31 Safeguards

Appropriate safeguards, such as access restrictions, records controls, lockable cabinets, or lockable rooms, must be provided to protect records that include 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 include personal information about individuals.

351.32 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.

351.33 Information Caveats

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

a. *Restricted Information.* The term *Restricted Information* may be used to indicate records or information that is restricted based on Postal Service regulations in this subchapter (see 352 and 353). Included is information about individuals, certain types of business information, and other information such as customer mailing lists. This information has limitations placed on its access within the Postal Service and its disclosure outside the Postal Service.

b. *National Security Information.* The terms *CONFIDENTIAL, SECRET,* and *TOP SECRET* (also referred to as *Classified Information*) are used only to refer to national security information under Executive Order 12356. Only designated senior officials may apply these caveats.

c. *Other Caveats. Limited Official Use, For Confidential Use Only,* and other similar terms are inappropriate for use at any time within the Postal Service.

351.4 Disclosure

351.41 Official Records

It is Postal Service policy 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.

351.42 Information About Customers

To ensure that customer privacy, federal law, and postal regulations are not violated, information from the cover or contents of any particular customer's mail must not be recorded, photocopied, filmed, or otherwise collected or disclosed within or outside the Postal Service, except under *Domestic Mail Manual* (DMM) G012. For collection of mail cover information for law enforcement purposes, see 213 and DMM G012. For dissemination of certain records that include the names and addresses of postal customers, see 352.44. For collection of mail cover information for postal operations, see DMM G012.

351.5 Transfer

351.51 Storage

351.511 Requirement

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

351.512 Local Storage

Transfer to local Postal Service storage must be accompanied by a Form 773, *Records Transmittal and Receipt.*

351.513 Federal Records Centers

The following apply:

a. *Conditions.* Forward to FRCs only:

(1) Records series approved by the National Archives and Records Administration (NARA) and having a remaining life of more than 1 year.

(2) Volumes of records consisting of 1 cubic foot or more. (Quantities less than 1 cubic foot must be kept by the installation and destroyed in-house when the retention period expires.)

b. *Procedures.* Procedures for sending employee personnel and medical records to the National Personnel Records Center (NPRC) are provided in Handbook EL-301 section 131.5 and *Postal Bulletin* number 21803, dated 11/28/91, page 6. For shipment to a Federal Records Center other than the National Personnel Records Center at St. Louis, MO:

(1) Assemble records to be shipped and pack (to capacity) in 1 cubic foot boxes, obtained for this purpose from the General Services Administration. Prepare a box list, identifying the folders in each box, in duplicate. Insert one copy of the box list in the first box of the accession, to be shipped with the records, and retain one copy locally.

(2) Complete two copies of SF 135, *Records Transmittal and Receipt.* This form may be ordered from the material distribution centers (MDCs). Send both copies to the receiving FRC at least 2 weeks before the intended shipping date.

(3) FRC shows approval by returning one annotated copy of SF 135 to the requesting installation.

(4) Place a copy of SF 135 in the first box of the shipment and ship. Hold a copy as suspense.

(5) FRC then returns a receipted copy of SF 135.

c. *Location.* See Exhibit 351.513 for FRC addresses and areas served.

d. *Retrieval.* Retrieval of all records is handled by the installation from which the records were sent. Requests for retrievals are made on Optional Form (OF) 11, *Reference Request — Federal Records Centers.* FEDSTRIP ordering offices order this form directly from GSA; non-FEDSTRIP ordering offices order this form from their supporting supply section, or from their GSA Customer Supply Center. Retrievals are made at the Federal Records Centers by the accession number and the box location number recorded on the SF 135 when the records were approved for transfer.

Exhibit 351.513
Federal Records Centers

Location	Areas Served
CIVILIAN PERSONNEL RECORDS NATL PERSONNEL RECORDS CTR 111 WINNEBAGO STREET ST LOUIS MO 63118-4199 (314) 425-5722	Entire federal government for personnel records of separated federal employees; pay and medical records of all federal employees; medical records of civilian employees of the Army, Navy, and Air Force; records of agencies in greater St. Louis, Missouri area
FEDERAL RECORDS CENTER 380 TRAPELO ROAD WALTHAM MA 02154-6399 (617) 647-8745	Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island
FEDERAL RECORDS CENTER MILITARY OCEAN TERMINAL BLDG 22 BAYONNE NJ 07002-5388 (201) 823-7161	New York, New Jersey, Puerto Rico, the Virgin Islands, and the Panama Canal Zone
FEDERAL RECORDS CENTER 5000 WISSAHICKON AVENUE GATE 8 PHILADELPHIA PA 19144-4898 (215) 951-5928	Delaware and Pennsylvania
WASHINGTON NATL RECORDS CTR 4205 SUITLAND ROAD SUITLAND MD 20409-0001 (301) 763-7000	District of Columbia, Maryland, Virginia, and West Virginia
FEDERAL RECORDS CENTER 1557 ST JOSEPH AVENUE EAST POINT GA 30344-2533 (404) 763-7438	North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, and Kentucky
FEDERAL RECORDS CENTER 7358 SOUTH PULASKI ROAD CHICAGO IL 60629-5898 (312) 353-0164	Illinois, Wisconsin, and Minnesota
FEDERAL RECORDS CENTER 3150 SPRINGBORO ROAD DAYTON OH 45439-1883 (513) 225-2878	Indiana, Michigan, and Ohio
FEDERAL RECORDS CENTER 2312 EAST BANNISTER ROAD KANSAS CITY MO 64131-3011 (816) 926-7271	Kansas, Iowa, Nebraska, and Missouri except greater St. Louis area
FEDERAL RECORDS CENTER 4900 HEMPHILL ST BLDG 1 DOCK 1 FORT WORTH TX 76115-0216 (817) 334-5515	Texas, Oklahoma, Arkansas, Louisiana, and New Mexico
FEDERAL RECORDS CENTER DENVER FEDERAL CTR BLDG 48 DENVER CO 80225-0307 (303) 236-0804	Colorado, Wyoming, Utah, Montana, North Dakota, and South Dakota
FEDERAL RECORDS CENTER 1000 COMMODORE DR SAN BRUNO CA 94066-2350 (415) 876-9015	Nevada (except Clark County), California (except Southern California), and American Samoa
FEDERAL RECORDS CENTER 24000 AVILA ROAD LAGUNA NIGUEL CA 92656-3497 (714) 643-4220	Arizona; Clark County, Nevada; Southern California (counties of: San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Los Angeles, Riverside, Orange, Imperial, Inyo, and San Diego)
FEDERAL RECORDS CENTER 6125 SAND POINT WAY NE SEATTLE WA 98115-7999 (206) 526-6501	Washington, Oregon, Idaho, Alaska, Hawaii, and Pacific Ocean area (except American Samoa)

351.52 Control

Records transferred to local or FRC storage remain under Postal Service control.

351.6 Disposal

351.61 Definition

Disposal is the permanent removal of records or information from Postal Service custody using these methods:

a. Transferring to the National Archives.

b. Donating to the Smithsonian Institution, local museums, or historical societies.

c. Selling as waste material (see 351.62).

d. Discarding.

e. Physically destroying.

351.62 Sale

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

351.63 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 includes Postal Service regulations about the availability of Postal Service records to the public. Included are regulations that implement 5 U.S.C. 552, *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 Disclosure

It is Postal Service policy 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 **Postal Service Discretion**

Exemptions from mandatory disclosure provided by 5 U.S.C. 552(b) and 39 U.S.C. 410(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.

d. Any other factors relevant under the circumstances.

352.13 Responsibility

352.131 **Custodian**

Custodians are responsible for responding in the first instance to requests from the public for Postal Service records (see 351.131).

352.132 **Freedom of Information/Privacy Acts Officer**

The Postal Service Freedom of Information/Privacy Acts officer is responsible for the overall administration of these regulations, including the issuance of detailed instructions to custodians.

352.133 **General Counsel**

The general counsel decides timely appeals authorized herein.

352.2 Inquiries

Inquiries about the availability of Postal Service records must be directed to the appropriate records custodian. If the appropriate custodian is not known, contact the Postal Service FOIA office at (202) 268-2608 or write to:

USPS FREEDOM OF INFORMATION/PRIVACY ACTS OFFICER
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5202

352.3 Public Reading Rooms

The Postal Service Library serves as the public reading room for the materials listed in 352.41 that are available for public inspection and copying. Any such material created by the Postal Service on or after November 1, 1996, that has not been published and offered for sale, also will be available

in electronic format at the Postal Service Internet web site at *http://www.usps.com.* The address for the library is:

LIBRARY
US POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1540

352.4 Availability of Records

352.41 To Public

352.411 General

Postal Service records are available for inspection or copying at the request of any person, under these provisions, except as otherwise provided by law or regulations. Certain categories of records of particular interest are available on a continuing basis (352.412, 352.413, and 352.414) and are listed in a public index (see 352.415). Access to other records may be requested on an individual basis according to 352.5. Official records 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. Upon request, records will be provided in a different form or format if they are maintained in the requested form or format or if they can be readily reproduced in the requested form or format.

352.412 Opinions

All final opinions and orders made in the adjudication of cases by the judicial officer and administrative law judges, all final determinations pursuant to the *Postal Operations Manual* to close or consolidate a post office or to disapprove a proposed closing or consolidation, all advisory opinions about the private express statutes issued under 39 CFR 310.6, and all bid protest decisions are on file and available for inspection and copying in the Postal Service Library and, if created on or after November 1, 1996, also at the Postal Service Internet web site at *http://www.usps.com.*

352.413 Administrative Manuals and Instructions

Manuals, instructions, and other Postal Service publications that affect members of the public are available through the Postal Service Library and at many postal facilities for inspection there. Those which are available to the public but are not listed for sale may be inspected in the Headquarters Library, at any postal facility that maintains a copy, or, if created on or after November 1, 1996, through the Postal Service Internet web site at *http://www.usps.com.* Copies of publications that are not listed as for sale or as available free of charge may be obtained by paying a fee (see 352.7).

352.414 Previously Released Records

Records processed and disclosed after March 31, 1997, in response to a Freedom of Information Act request, which the Postal Service determines have become or are likely to become the subject of subsequent requests for substantially the same records, are available for inspection and copying at the Headquarters Library. Any such records created by the Postal Service on or after November 1, 1996, will also be available at the Postal Service

Internet web site at *http://www.usps.com.* Records described under this section that were not created by, or on behalf of, the Postal Service generally will not be available on the Postal Service Internet web site. Records will be available in the form in which they were originally disclosed, except to the extent that they contain information that is not appropriate for public disclosure and may be withheld according to 352.4. Any deleted material will be marked and the applicable exemption(s) indicated in accordance with 352.543. A general index of the records described in this section is available for inspection and copying at the Headquarters Library. Beginning on or before December 31, 1999, the index also will be available at the Postal Service Internet web site at *http://www.usps.com.*

352.415 **Public Index**

The following apply:

a. A public index of all final opinions and orders made by the Postal Service in the adjudication of cases is maintained in the Headquarters Library and at the Postal Service Internet web site at *http://www.usps.com.* The index also contains Postal Service 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 includes references to matters issued after July 4, 1967, and may reference matters issued before that date.

c. Any person may arrange for the inspection of any matter in the public index under 352.5.

d. Copies of the public index and of records listed in the public index may be purchased through the Postal Service Library by paying the fees provided in 352.7.

e. Materials listed in the public index that were created on or after November 1, 1996, also will be available in electronic format at the Postal Service Internet web site at *http://www.usps.com.*

352.416 **Listings of Employees' Names**

On written request, the Postal Service provides, 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 Postal Service Freedom of Information/Privacy Acts officer is deemed to be the custodian.

352.417 **Congressional Requests**

If the request is:

a. *On Behalf of Congress Through 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 Official Congress Committee or Subcommittee.* Process as a request from any person under the regulations in this subchapter. Forward all requests for nonpublic records from individual

members of Congress not acting on behalf of a committee or subcommittee to:

SENIOR VICE PRESIDENT GOVERNMENT RELATIONS
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 in the *Freedom of Information Act* and in 39 U.S.C. 410(c). Under 352.12 as implemented by instructions issued by the office of Administration and FOIA with the general counsel's approval, the Postal Service exercises its discretion 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 and 352.6).

c. Commercial information, including trade secrets, whether 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 about methods of handling valuable registered mail.

(2) Money orders records.

(3) Technical information on postage meters and prototypes submitted for Postal Service approval before leasing to mailers.

(4) Market surveys conducted by or under contract for the Postal Service.

(5) Records indicating rural carrier lines of travel. On request, information of a general nature (for instance, an outline of the geographic area served by a particular rural route, the 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 memoranda or letters that would not be available by law to a private party in litigation with the Postal Service.

e. Reports and memoranda of consultants or independent contractors, except to the extent they would be required to be disclosed if prepared within the Postal Service.

f. Personal files, including medical and personnel files, the disclosure of which would be a clearly unwarranted invasion of personal privacy.

g. Information prepared for proceedings under chapter 36 of title 39, U.S.C., relating to rate, classification, and service changes.

h. Information prepared 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 exempted by statute from disclosure.

352.43 Law Enforcement Records

352.431 Policy

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 makes records or information compiled for law enforcement available on request unless providing 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 be 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 the 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 person.

352.432 Freedom of Information Act

When a request is made that involves access to records described in 352.431a and the investigation or proceeding involves a possible violation of criminal law and 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 Freedom of Information Act (FOIA) requirements.

352.433 Informant Records

When 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 FOIA requirements unless the informant's status as an informant is officially confirmed.

352.434 Disclosure Authority

Authority to disclose records or information compiled for law enforcement purposes to persons outside the Postal Service must be obtained by writing to the chief inspector or designee at the following address:

CHIEF INSPECTOR
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-2100

352.44 Disclosure of Customer Names and Addresses

On request, the addresses of specifically identified postal customers are made available only as follows:

a. *Change of address.* The new address of any specific customer who has filed a permanent or temporary Change of Address Order (Form 3575, Form 3575-WWW, handwritten order, or electronically communicated order) will be furnished to any person upon payment of the fee prescribed in 352.753, 352.775, and 353.321c, except that the new address of a specific customer who has indicated on the order that the address change is for an individual or an entire family will be furnished only in those circumstances stated in 352.44d. Disclosure will be limited to the address of the specifically identified individual about whom the information is requested (not other family members or individuals whose names may also appear on the change of address order). The Postal Service reserves the right not to disclose the address of an individual for the protection of the individual's personal safety. Other information on Form 3575, Form 3575-WWW, or copies of the form will not be furnished except in those circumstances stated in 352.44d(1), 352.44d(3), or 352.44d(4). The fee is waived for providing information under the circumstances listed in 352.44d. See 352.775.

b. *Permit Holders.* 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, is provided to any person upon the payment of any fees authorized by 352.7. Lists of permit holders may not be disclosed to members of the public (see 352.451).

c. *Post Office Boxholders.* There is no charge for processing requests for information from Form 1093, *Application for Post Office Box or Caller Service.* Information from Form 1093 is 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 doing or soliciting business with the public, or of any person applying for a box on behalf of a holder, are provided to any person. Postmasters may provide this information from Form 1093 when they are satisfied from the entries on it or 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 cannot 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 doing or soliciting business with the public is not provided except in those circumstances in 352.44d.

(3) *Copies of Form 1093.* Copies of Form 1093 are not provided except in those circumstances in 352.44d(1), 352.44d(3), or 352.44d(4).

d. *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 on 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 is to be made, or a party who is acting *pro se* who submits the information required below. (The term *pro se* means that a party is not represented by an attorney but is self-represented.) By submitting this information, the requester certifies that it is true. The address of an individual who files with the postmaster a copy of a protective court order will not be disclosed except as provided under sections 352.44d(1), 352.44d(3), and 352.44d(4). The Postal Service suggests using the standard format in Exhibit 352.44a when requesting information under this section. When using the standard format on the submitter's own letterhead, the standard format must be used in its entirety. The warning statement and certification must be included immediately before the signature block. If the request lacks any of the required information or a proper signature, the postmaster shall return it to the requester specifying the deficiency. The written request must specify all of the following information:

(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 to the statute or regulation that empowers the requester to serve process, if the requester is anyone other

than the 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).

(3) In compliance with a subpoena or court order, except that change of address or boxholder information which is not otherwise subject to disclosure under these regulations may be disclosed only pursuant to a court order.

(4) To a law enforcement agency, for oral requests made through the Postal Inspection Service, but only after the Postal Inspection Service confirms that the information is needed for a criminal investigation. (All other requests from law enforcement agencies must be submitted in writing to the postmaster as in 352.44d(1).)

e. *Jury Service.* The known mailing address of any customer sought for jury service is provided, without charge on prior written request, to a court official such as a judge, court clerk, or jury commissioner.

f. *Address Verification.* The address of a postal customer is verified at the request of a federal, state, or local government agency on written certification that the information is required for the performance of the agency's duties. *Verification* means advising such an agency whether 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 about 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 in Exhibit 352.44b when requesting verification of a customer's current address or a customer's new mailing address. If the request lacks any of the required information or a proper signature, or if the request is sent to the wrong post office, the postmaster returns the request to the agency, specifying the deficiency in the space marked "OTHER."

g. *Business/Residence Location.* If the location of a residence or a place of business is known to a Postal Service employee, 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 this information.

h. *Form 1583.* Except as provided by this paragraph, information on Form 1583, *Application for Delivery of Mail Through Agent,* is not available to the public. Information contained in Form 1583 may be disclosed to the public only for the purpose of identifying a particular address as an address of an agent to whom mail is delivered on behalf of other persons. No other information, including, but not limited to, the identities of persons on whose behalf agents receive mail, may be disclosed from Form 1583.

Exhibit 352.44a

Change of Address or Boxholder Information (to Serve Legal Process) Request Format (Suggested)

[Letterhead Optional]

UNITED STATES POSTAL SERVICE

Postmaster Date: _____

_____
City, State, ZIP Code

REQUEST FOR CHANGE OF ADDRESS OR BOXHOLDER INFORMATION NEEDED FOR SERVICE OF LEGAL PROCESS

Please furnish the new address or the name and street address (if a boxholder) for the following:

Name: _____

Address: _____

NOTE: The name and last known address are required for change of address information. The name, if known, and post office box address are required for boxholder information.

The following information is provided in accordance with 39 CFR 265.6(d)(4)(ii). There is no fee for providing boxholder information. The fee for providing change of address information is waived in accordance with 39 CFR 265.6(d)(1) and corresponding *Administrative Support Manual* 352.44a.

1. Capacity of requester (e.g., process server, attorney, party representing self): _____

2. Statute or regulation that empowers me to serve process (not required when requester is an attorney or a party acting pro se — except a corporation acting pro se must cite statute): _____

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 this individual is to be served (e.g., defendant or witness): _____

WARNING

THE SUBMISSION OF FALSE INFORMATION EITHER (1) TO OBTAIN AND USE CHANGE OF ADDRESS INFORMATION OR BOXHOLDER INFORMATION FOR ANY PURPOSE OTHER THAN THE SERVICE OF LEGAL PROCESS IN CONNECTION WITH ACTUAL OR PROSPECTIVE LITIGATION OR (2) TO AVOID PAYMENT OF THE FEE FOR CHANGE OF ADDRESS INFORMATION COULD RESULT IN CRIMINAL PENALTIES INCLUDING A FINE OF UP TO $10,000 OR IMPRISONMENT OF NOT MORE THAN 5 YEARS, OR BOTH (TITLE 18 U.S.C. SECTION 1001).

I certify that the above information is true and that the address information is needed and will be used solely for service of legal process in conjunction with actual or prospective litigation.

_____ _____
Signature Address

_____ _____
Printed Name City, State, ZIP Code

FOR POST OFFICE USE ONLY

_____ No change of address order on file.

_____ Moved, left no forwarding address.

_____ No such address.

NEW ADDRESS OR BOXHOLDER'S NAME AND STREET ADDRESS

POSTMARK

Exhibit 352.44b
Address Information Request Format (Required)

[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 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

( ) NOT KNOWN AT ADDRESS GIVEN

( ) MOVED, LEFT NO FORWARDING ADDRESS

( ) NO SUCH ADDRESS

( ) OTHER (SPECIFY):

NEW ADDRESS
_____

_____

BOXHOLDER'S STREET ADDRESS

_____
Agency Return Address

_____
Postmark/Date Stamp

352.45 Information Not Available for Public Disclosure

352.451 Mailing Lists

Except under 352.416, 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 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 of trade secrets or certain confidential financial data, the disclosure of which is prohibited by 18 U.S.C. 1905, are not subject to disclosure (see also 352.6).

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 includes the name of, or other identifying details about, any person (including a Postal Service employee), the disclosure of which would be 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 reasonable part of a record that can be segregated 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 General

Postal Service records may be disclosed, on 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

Time, leave, and payroll records of postal employees are subject to production when a subpoena *duces tecum* or appropriate court order is 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. These records may also be released if authorized in writing by the employee.

352.483 **Job-Connected Injury**

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 EMPLOYEE COMPENSATION
US DEPARTMENT OF LABOR
200 CONSTITUTION AVE NW
WASHINGTON DC 20210-0001

352.484 **Employee Security or Loyalty**

Do not release any records that include information about the employee's security or loyalty.

352.485 **Honoring Subpoenas**

Honor subpoenas or court orders only when disclosure is authorized.

352.486 **Original Records**

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 **General**

Comply with a summons requiring an appearance in court. Do not testify about any matter for which an exemption under 352.4 may be claimed. Call the chief field counsel for instructions on exemptions.

352.492 **Postal Inspection Service Records**

Do not present inspectors' reports or Postal Inspection Service records in state or federal courts in which the United States is not a party in interest, unless authorized by the inspector in charge. If an attempt is made to compel producing records, decline to produce the information or record and state that it may be exempted and may not be disclosed or produced without approval of the inspector in charge. Parties requesting these records should be instructed to contact the Office of the Chief Inspector at the address in 352.434. The Postal Service offers every possible assistance to the courts, but disclosing information for which an exemption may be claimed is a matter of discretion.

352.5 Inspecting and Copying Records

352.51 Submission of Requests

352.511 **Form and Content**

To permit expeditious handling and timely response, a request to inspect or 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 approved 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 352.762). If no amount is stated, the requester is 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 this section, all requests for postal employee listings must be directed to the Postal Service Freedom of Information/Privacy Acts officer for handling (see 352.415). If the location of the record is not known, inquiry must be directed to the Postal Service Freedom of Information/Privacy Acts officer. If a request is submitted to a facility other than that where the record is kept, promptly send it to the appropriate custodian and provide a copy to the requester. A request that is not submitted to the appropriate custodian is deemed to have been received by the Postal Service for computing the time for response at the time actually received by the appropriate custodian. If a request seeks records kept at two or more facilities, the custodian is deemed to be the next senior common supervisor of the heads of the facilities — for example, the district manager or vice president of Area Operations.

352.513 **Reasons for Request**

Because some or all of the records may be exempt from mandatory disclosure, the requester may state any reasons why the record must nevertheless be made available even if exempt.

352.514 **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 must show how the information is to be used; to whom it is to 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 from disclosure; in what manner the general public is to benefit from disclosure; and information about the intended user's identity, qualifications, expertise in the subject area, and ability and intention to disseminate the information to the public (see 352.773).

352.515 **Categorical Requests**

A request for all or substantially all the records within a specific category is deemed a reasonable description of those records only if it is possible, without more information, to determine which records are sought (see 352.523 on providing more information).

352.516 **Records at Numerous Facilities**

A request for records that are, or may be, at all or many post offices or other postal facilities is 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 identified in the request (see 352.512 about the custodian of records of two or more facilities.)

352.52 Custodian Responsibilities

352.521 Definition

The *custodian* of the requested record is the person responsible for determining whether to comply with or to deny the request. A custodian who is not an officer as defined in 111.3 should not deny a request until he or she has obtained the advice of the chief field counsel. If denial of a request appears necessary, the custodian must seek advice as soon as possible after receiving the request in order to provide enough time for legal review. Denial must be made in accordance with 352.55. Special care, as follows, is required when handling a request for records on a matter that is in litigation or likely to become the subject of litigation:

a. On receipt of the request, the custodian must immediately advise appropriate counsel, if known, or advise the:

   CHIEF FIELD COUNSEL OR MANAGING COUNSEL
   CIVIL PRACTICE SECTION
   US POSTAL SERVICE
   475 L'ENFANT PLZ SW
   WASHINGTON DC 20260-1127

   (202) 268-2971

   This permits counsel to inform the custodian of the significance of the documents requested and assist in preparing a response.

b. If the custodian learns that legal action has been brought after documents are provided in response to a request, the custodian must notify appropriate counsel as soon as possible.

352.522 Determination Time Limit

The custodian makes the determination to comply with or deny the request within 20 working days (exclusive of Saturdays, Sundays, and holidays) of receiving the request, and more rapidly if feasible. By mutual agreement, the custodian and the requester may establish, preferably in writing, a different response period.

352.523 Record Location

If a requested record cannot be found from the information supplied, the requester must be allowed to submit more information and, if feasible, to confer with the custodian or representative, in an attempt to provide a reasonable description of the records sought. If more information is provided, the request is deemed to have been received by the custodian when sufficient information to identify and locate the record with a reasonable amount of effort is received.

352.524 Records Search

The custodian will make reasonable efforts to search for the records in electronic form or format, except when such efforts would significantly interfere with the operation of the automated information system.

352.525 **Extension of Response Period**

The allowed 20-working-day response period may be extended by the custodian, after consulting with the chief field counsel (or general counsel if the custodian is at Headquarters) for a period not to exceed an additional 10 working days, except as provided at 352.527, when and to the extent 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.

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.

352.526 **Postal Service Acknowledgment of Extension**

If more time is required, the custodian must acknowledge the request in writing within the initial 20-working-day response period, state the reason for the delay, and provide the expected date for a decision on the disclosure.

352.527 **Exceptional Circumstances**

If a request cannot be processed within the additional time provided by 352.525, despite the exercise of due diligence, the custodian must make a determination as promptly as possible. The custodian also must notify the requester of the exceptional circumstances preventing timely compliance and of the date by which it is expected that the determination is to be made. The custodian also must provide the requester an opportunity to limit the scope of the request so that it may be processed within the extended time limit, or an opportunity to arrange with the custodian an alternative time frame for processing the request or a modified request. A copy of this notification must be sent to the general counsel at Postal Service Headquarters.

352.528 **Nonexistent Record**

If a requested record is known to be destroyed, disposed of, or otherwise not to exist, the requester must be so notified. The nonexistence of records is not a denial; therefore, 352.55 must not be cited when responding to the requester.

352.529 **Log of Disclosed Documents**

The custodian must keep a record of all documents provided or denied in response to a request, preferably by photocopying them, particularly when only parts of a document are provided and other parts are deleted or withheld. These records must be kept for 6 years to coincide with the general statute of limitations that applies to the government.

352.53 Compliance With Approved Request

352.531 Prompt Availability

When a requested record is identified and is to be disclosed in whole or in part, the custodian must ensure that the record is made available promptly. The custodian must immediately notify the requester where and when and on what reasonable conditions, if any, including the payment of fees, the record is available for inspection or when copies are to be available. Postal Service records are normally available for inspection and copying during regular business hours at the postal facilities where kept. The custodian may, however, designate other reasonable locations and times for inspection and copying of some or all records in custody.

352.532 Fee Payment

Any fees authorized or required to be paid in advance by 352.763 must be paid by the requester before the record is made available or a copy furnished, unless payment is waived or deferred under 352.77. (See also 352.762 for advance notice of fees.)

352.533 Custodian Representative

A custodian complying with a request may designate a representative to monitor any inspection or copying.

352.54 Denial

352.541 Required Reasons

A reply denying a request in whole or in part must be in writing, signed by the custodian or his or her designee, and must 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. If entire records or pages are withheld, a reasonable estimate of the number of records or pages, unless providing such estimate would harm an interest protected by the exemption relied upon.

c. The name and title or position of the person responsible for the denial of the request (see 352.542).

d. A statement of the right to appeal and of the appeal procedure within the Postal Service (see 352.55).

352.542 Authority Level

The custodian is usually responsible for the denial of a request. If the denial is directed by a higher authority, however, the name and title or position of that authority must be given in the reply to the requester as the person responsible for the denial. A copy of the denial must be sent to that person.

352.543 Record Markings

When information is deleted from a record that is disclosed in part, the custodian must indicate, on the released portion of the record, the amount of information deleted, unless including that indication would harm an interest

protected by the exemption relied upon. The indication must appear, if technically feasible, at the place in the record where such deletion is made.

352.55 Appeal Procedure

352.551 Conditions

If any one of the following three situations occurs, the requester may appeal to the address listed below.

a. A request to inspect or to copy a record, or a request for expedited processing of the request, is denied, in whole or in part.

b. No determination is made within the required period.

c. A request for waiver of fees is not approved.

GENERAL COUNSEL
US POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

352.552 Time Limit

The requester must send a written appeal within 30 days of the date of 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 consider late appeals.

352.553 Required Elements in Appeal

A letter of appeal must include all the following information 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.

d. A statement of the relief sought.

352.554 General Counsel Review

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 is made, if the general counsel considers the correctness of the custodian's action or failure to act.

352.56 Action on Appeals

352.561 Final Decision

The decision of the general counsel or designee is the final decision of the Postal Service on the right of the requester to inspect or copy a record, or to be granted expedited processing of the request, as the case may be. The general counsel will give prompt consideration to an appeal for expedited processing of a request. All other decisions will normally be made within 20 working days from the time of the receipt by the general counsel. The 20-working-day response period may be extended by the general counsel or 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 set forth in 352.525. The total number of additional working days used pursuant to this section and 352.525, however, may not exceed 10.

352.562 **Written Response**

The decision on the appeal must be in writing. If the decision sustains a denial of a record, in whole or in part, or if it denies expedited processing, it must state the justification and inform the requester of his or her right to judicial review. In the case of records withheld, the decision must specify any exemption or exemptions relied on and the manner in which they apply to the record, or portion thereof, that is being withheld.

352.563 **Directed Disclosure**

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.

352.57 Expedited Processing

352.571 **Criteria**

A request for expedited processing of a request for records must be granted when the requester demonstrates compelling need. Compelling need exists if either of the following applies:

a. Failure of the requester to obtain the records on an expedited basis could reasonably be expected to pose an imminent threat to the life or physical safety of an individual.

b. In the case of a request made by a person primarily engaged in disseminating information, there is an urgency to inform the public concerning actual or alleged federal government activity.

352.572 **Request**

A request for expedited processing must be directed in writing to the records custodian. The requester must provide information in sufficient detail to demonstrate compelling need for the records and certify this statement to be true and correct to the best of the requester's knowledge and belief. The custodian may waive the formality of certification when deemed appropriate.

352.573 **Determination**

The records custodian must make a determination of whether to provide expedited processing and notify the requester within 10 working days after the date of the request for expedited processing. If the request is granted, the records custodian must process the request for records as soon as practicable. If the request for expedited processing is denied, the written response will include the procedures at 352.55 for appealing the denial.

352.6 Predisclosure Notification to Submitters of Business Information

352.61 General

352.611 Disclosure of Information

Persons submitting business information to the Postal Service can request that the information not be disclosed pursuant to a request under the Freedom of Information Act. This section does not affect the Postal Service's right, authority, or obligation to disclose information in any other context, nor is it intended to create any right or benefit, substantive or procedural, enforceable at law by a party against the Postal Service, its officers, or any person. Existing rights of submitters are also unaffected.

352.612 Business Information

Business information is commercial or financial information provided directly or indirectly to the Postal Service by a submitter that arguably is protected from disclosure under 352.42b.

352.613 Submitter

A *submitter* is any person or entity who provides business information, directly or indirectly, to the Postal Service. The term includes, but is not limited to, corporations, state governments, and foreign governments.

352.62 Notification

352.621 To Submitter

The custodian must, to the extent permitted by law, provide a submitter with prompt written notice of a Freedom of Information Act request for the submitter's business information when required under 352.63, except as provided in 352.64, to afford the submitter an opportunity to object to disclosure pursuant to 352.66. This written notice must either describe the exact nature of the business information requested or provide copies of the records or portions of records containing the business information. In the case of an administrative appeal, the general counsel is responsible for providing this notification as may be appropriate under this section.

352.622 To Requester

When notice is given to a submitter under 352.621, the requester also must be notified that notice and an opportunity to object are being provided to the submitter.

352.63 When Notification Is Required

Notice must be given to a submitter when:

a. The submitter has in good faith designated the information as information deemed protected from disclosure under 352.42b, under the procedure described in 352.65.

b. In the opinion of the custodian, or the general counsel in the case of an administrative appeal, it is likely that disclosure of the information would result in competitive harm to the submitter.

352.64 Exceptions to Notification Requirements

The notification requirements of 352.62 do not apply if:

a. The Postal Service determines without reference to the submitter that the information will not be disclosed.

b. The information lawfully has been published or has been officially made available to the public.

c. Disclosure of the information is required by law (other than the Freedom of Information Act, 5 U.S.C. 552).

d. Disclosure of the particular kind of information is required by a Postal Service regulation, except that, in such case, advance written notice of a decision to disclose must be provided to the submitter if the submitter had provided written justification for protection of the information under 352.42b at the time of submission or a reasonable time thereafter.

352.65 Procedure for Marking

352.651 Designation of Protected Portions

Submitters of business information must use good faith efforts to designate, by appropriate markings, either at the time of submission or at a reasonable time thereafter, those portions of their submissions that they deem to be protected from disclosure under 352.42b. Each record, or portion thereof, to be so designated, must be clearly marked with a suitable legend such as "Privileged Business Information — Do Not Release." When the designated records contain some information for which an exemption is not claimed, the submitter must clearly indicate the portions for which protection is sought.

352.652 Contacts for Notification

At the time a designation is made pursuant to 352.651, the submitter must furnish the Postal Service with the name, title, address, and telephone number of the person or persons to be contacted for the purpose of the notification described in 352.62.

352.653 Submissions

Submitters who provide to a postal facility business information on a recurring basis and in substantially identical form may use the following simplified process. The first submission must: (a) provide in full the information required in 352.651 and 352.652; (b) identify the type of information, e.g., Form 3602-N, to which it is intended to apply; and (c) state that it is intended to serve as a designation for all the information of this type that is submitted to the particular facility. Thereafter when providing this type of information, the submitter need only mark a submission with a reference to the designation, e.g., "Privileged: See Letter of 4-1-91." By written agreement with the head of the facility, even this marking may be dispensed with if it is not necessary to alert postal employees at that facility of the claim of exemption.

352.654 Expiration

A designation made pursuant to 352.65 expires 10 years after the date the records were submitted unless the submitter requests, and provides reasonable justification for, a designation period of greater duration.

352.655 **Validation**

The Postal Service does not determine the validity of any request for confidential treatment until a request for disclosure of the information is received.

352.66 Objections to Disclosure

Through the notification described in 352.62, the submitter must be afforded reasonable time within which to provide the Postal Service with a detailed written statement of any objection to disclosure. This statement must specify all grounds for withholding any of the information under any exemption of the Freedom of Information Act and, under 352.42b, must demonstrate why the information is contended to be a trade secret or commercial or financial information that is privileged or confidential. When possible, the submitter's claim of confidentiality should be supported by a statement or certification by an officer or authorized representative of the submitter that the information in question is confidential, has not been disclosed to the public by the submitter, and is not routinely available to the public from other sources. Information provided by a submitter pursuant to this section may itself be subject to disclosure under the Freedom of Information Act.

352.67 Confidential Treatment

If the custodian determines that confidential treatment is warranted for any part of the requested records, he or she must inform the requester in writing in accordance with the procedures set out in 352.54 and must advise the requester of the right to appeal. A copy of the letter of denial must also be provided to the submitter of the records in any case in which the submitter had been notified of the request pursuant to 352.63.

352.68 Disclosure Over Objections

The custodian, in the case of an initial request, or the general counsel, in the case of an appeal, must consider carefully a submitter's objections and specific grounds for nondisclosure before determining whether to disclose business information. If they decide to disclose business information over the objection of the submitter, they must furnish the submitter with a written notice that includes:

a. A description of the business information to be disclosed.

b. A statement of the reasons for which the submitter's disclosure objections were not sustained.

c. The specific date on which disclosure is to occur. This notice of intent to disclose must be forwarded to the submitter a reasonable number of days before the specified disclosure date and the requester must be notified likewise.

352.69 Notice of Lawsuit

When a requester brings suit seeking to compel disclosure of business information, the general counsel promptly notifies the submitter.

352.7 Schedule of Fees

352.71 Purpose

Fair and equitable fees 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 uses the most efficient and least costly methods when complying with requests for records. The term *direct costs* is defined at Exhibit 352.71.

352.72 Standard Rates

352.721 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 352.771.

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 from the information services price list in effect at the time that the services are performed. The list is subject to periodic revision (see Exhibit 352.721).

Exhibit 352.71
Schedule of Fees Definitions

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 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 where the records are stored.

2. Search — all time spent looking for material in response to a request, including page-by-page or line-by-line identification of material within documents. Searches may be done by hand or by computer using existing programming. A line-by-line search is conducted only when necessary to determine whether the document includes responsive information. A line-by-line search is not used when duplicating the entire document is 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 — copying a document needed to respond to a Freedom of Information Act (FOIA) request. These copies can be in 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 — examining located documents in response to a request for a commercial use (see definition 5) to determine whether any part of any document is exempt from mandatory disclosure. Review 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 about 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 part 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 a person 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 belongs in this category, the Postal Service looks to the use to which the requester plans to put the documents requested. If the use is not clear from the request or if there is reasonable doubt about the requester's stated use, the custodian seeks 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. The institution is operated solely for conducting scientific research, the results of which are not intended to promote any product or industry.

8. News Media Representative — any person actively gathering news for an entity operated to publish or broadcast news to the public. The term *news* means information about current events or of current interest to the public. Requests by news organizations for information to further the organization's commercial interests, rather than disseminate news to the public, is considered commercial use requests. News media entities include television or radio stations broadcasting to the public at large and publishers of periodicals (but only if 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 is regarded as a news media representative by showing a solid basis for expecting publication through a news organization, even though not actually employed by it. This may be shown either by a publication contract with the news organization or by the past publication record of the requester.

Exhibit 352.721
Fees for Retrieval by Computer

INFORMATION SERVICES PRICE LIST

When requested information must be retrieved by computer, the requester is charged for the resources required to furnish the information. Estimates are given to the requester in advance and are based on the following price list.

Service Description	Price	Unit
A. OS390 Servers		
Batch or On-line Services	$1,350.00	hour
Media Charge (Tape Produced)	25.00	volume
Print	.10	page
B. Production Servers (Running UNIX or NT OS)		
On-line Services	$155.00	hour
Print	.13	page
C. Personal Computers		
On-line Search	$6.25	15 minutes
Print	.13	page
D. Personnel Charges		
Software Systems Services	$81.00	hour
Programming Services	70.00	hour
Manual Unit Services	48.00	hour

352.722 **Duplication**

The following apply:

a. *Fee.* Except where otherwise specified in postal regulations, the fee for duplicating any record or publication is 15 cents per page (see also 352.722d).

b. *Offsite Copying.* The Postal Service may make coin-operated copy machines available at any location or otherwise allow requesters to make copies of Postal Service records at their own expense. Unless authorized by the office of Administration and FOIA, no offsite copying is permitted of records that, if lost, could not be replaced without inconvenience to the Postal Service.

c. *Copies.* The Postal Service usually provides only one copy of any record. If duplicate copies are requested by the requester, the per page fee is charged for each copy of each duplicate page even if the requester is eligible for free copies under 352.73 or 352.77. At the custodian's discretion, 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 on payment of fee under DMM R900.

(2) *Return Receipt After Mailing.* Copy of return receipt requested after mailing for mail sent COD, certified, registered, or insured, on payment of fee under DMM R900.

(3) *Domestic Delivery Record.* Copy of domestic delivery record for an article sent registered, insured, certified, COD, or Express Mail, on payment of the fee for a return receipt after mailing under DMM R900.

(4) *International Mail Record.* Inquiries on international registered or insured mail, on payment under the *International Mail Manual* (IMM).

(5) *Sexually Oriented Advertising.* List of persons who do not want to receive SOA, on payment of fee under DMM C032.

352.723 **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 done by clerical personnel and must be done by professional or managerial personnel, the fee for each quarter hour is $5.35. Only requesters seeking documents for commercial use may be charged for review. “Review” and “commercial use request” are defined in Exhibit 352.71.

352.724 **Micrographics**

Sections 352.721, 352.722, and 352.723 also apply to information stored within micrographic systems.

352.73 Four Categories of Requesters and Fees to Be Charged

352.731 **General**

For assessing fees under this section, a requester is classified into one of four categories. Requesters in each category must reasonably describe the records sought. Fees are charged requesters in each category as follows:

352.732 **Commercial Use Requesters**

Fees are charged to recover the full direct costs of search, review, and duplication as prescribed in 352.721, 352.722, and 352.723, subject to the general waiver in 352.771. The term “commercial use request” is defined in Exhibit 352.71.

352.733 **Educational and Noncommercial Scientific Institutions**

Fees are charged only for duplication under 352.722, except that the first 100 pages provided in response to a request are without charge (see also the general waiver in 352.771). 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 to further scholarly or scientific research. These institutions are defined in Exhibit 352.71.

352.734 **News Media Representatives**

Fees are charged only for duplication under 352.722, except that the first 100 pages provided in response to a request are without charge (see also the general waiver provision in 352.771). To be eligible for the reduction of fees applicable to this category, the requester must meet the criteria in Exhibit 352.71 and the request must not be made for a commercial use.

352.735 **All Other Requesters**

Fees are charged for search and duplication under 352.721 and 352.722, except that the first 100 pages of duplication and the first 2 hours of search time are provided without charge (see also 352.771 and 352.772).

352.74 Aggregating Requests

When the custodian reasonably believes that a requester is attempting to break a request down into a series of requests to evade the assessment of fees, the custodian may aggregate the requests and charge accordingly. The custodian does 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 to avoid payment of fees.

352.75 Other Costs

352.751 **Publications**

Publications and other printed materials may, to the extent of availability in sufficient quantity, be provided at any established price or cost to the Postal Service. Fees established for printed materials pursuant to laws, other than FOIA, are not subject to waiver or reduction under 352.7.

352.752 **Other Charges**

When a response to a request requires services or materials other than the common ones listed in 352.721, 352.722, and 352.723, the direct cost of these services or materials to the Postal Service may be charged, but only if the requester is notified of the nature and estimated amount of the cost before it is incurred.

352.753 **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 under 352.44a is included in this section as a matter of convenience. The fee for searching for a change of address order is $3. This fee is charged whether or not a permanent change of address is found on file (see 352.775).

352.76 Advance Notice and Payment of Fees

352.761 **Liability and Payment**

The requester is responsible, subject to limitations on liability provided by this section, for the payment of all fees for services 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.

352.762 **Advance Notice**

To protect the public from unwittingly incurring liability for unexpectedly large fees, the custodian must 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 can be located or made available, the custodian must 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 sent as soon as possible after receipt of the request, giving the best estimate available. Include a brief explanatory statement of the nature and extent of the services on which the estimate is based and offer the requester an opportunity to confer with the custodian or representative to reformulate the request so as to meet the requester's needs at lower cost. The time period for responding to the request does not run during the interval between the date this notification is sent and the date of receipt of the requester's agreement to bear the cost. No notification is required if:

a. The request specifies that whatever cost is involved is acceptable or is acceptable up to a specified amount that covers estimated costs.

b. Payment of all fees in excess of $25 is waived.

352.763 **Advance Payment**

Advance payment of fees is not required, except:

a. *When the estimated fees chargeable under this section are likely to exceed $250.* If the requester has a history of prompt payment of FOIA fees, the custodian notifies the requester of the likely cost and obtains 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 previously failed to pay a fee on time (i.e., within 30 days of the billing date).* In these cases, the requester is required to pay the full amount owed and make an advance payment of the full amount of the estimated fee before processing begins on a new or pending request.

c. *When advance payment is required under 352.763a or 352.763b, above.* The periods for responding to the initial request or an appeal do not run between the date that notice of the requirement is sent and the date that the required payment or assurance of payment is received.

352.77 Restrictions on Assessing Fees

352.771 **General Waiver**

Fees are not 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 first 2 hours of search time are excludable under 352.73, additional costs are not 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 352.722d.

352.772 **Certain Fees Not Charged**

a. *All Requests Except Those for Commercial Use.* Fees are not charged for the first 100 pages of duplication and first 2 hours of search time unless the request is for a commercial use as defined in Exhibit 352.71. When search is done by computer, the fees excluded for the first 2 hours of search time are determined by the standard rates in effect (see Exhibit 352.721). Assessment of search fees begins 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 Exhibit 352.721.

b. *Requests of Educational and Noncommercial Scientific Institutions and News Media Representatives.* Fees are not charged for time spent searching for records in response to requests submitted by educational and noncommercial scientific institutions or representatives of the news media.

352.773 **Public Interest Waiver**

The custodian may waive a fee in whole or in part and any requirement for advance payment of such a fee when the custodian determines that providing 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 approved despite 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, all the following factors are 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.

f. Whether the disclosure is primarily in the requester's commercial interest.

352.774 **Waiver by Officer**

Any Postal Service officer or designee or the Postal Service FOIA office may waive in whole or in part any fee required by this part or the requirement for advance payment of any fee.

352.775 **Waiver of Fee for Changes of Address**

The fee prescribed by 352.753 is waived when change of address information is provided to the following (this waiver does not apply to fees for services performed under DMM A910 and R100):

a. To a federal, state, or local government agency on prior written certification requesting the information as required for the performance of its duties.

b. To a person requesting the information for serving legal process under 352.44d(2).

c. To a court requesting the information through a subpoena or other court order.

d. To a law enforcement agency for oral requests made through the Postal Inspection Service under 352.44d(4).

e. To a postage meter manufacturer attempting to locate a missing meter.

352.78 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 account book 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 place of the above notation. File materials chronologically.

b. Forward fees received for information furnished by ISSCs and other non-post office installations to the disbursing officer at the ISSC for deposit. Specify the proper account number to be used for recording the amounts collected. ISSCs and Headquarters offices providing record retrieval under 352.721 enter those fees, plus fees covered in 352.722, 352.723, and 352.75, in A/C 43388, *Freedom of Information Fees*.

352.8 Reporting

352.81 Situational

At the time a response is made, records custodians must complete Form 8170, *Freedom of Information Act and Privacy Act Request Report*, for each written request processed that cites the Freedom of Information Act and/or the Privacy Act, with the following exceptions:

a. Requests for customer name and address information pursuant to 352.44.

b. Requests from federal, state, or local government agencies for any type of information.

c. Requests from a union, *unless* the request cites the Freedom of Information Act and/or the Privacy Act *and,* when appropriate, includes the written consent of the records subject authorizing the Postal Service to release records to the union representative.

d. Preprinted Postal Service forms that reference the Privacy Act.

e. Preprinted forms from mortgage companies that reference the Privacy Act.

f. Requests that cite the ASM or the Code of Federal Regulations (CFR).

352.82 Where to Send the Report

Records custodians must submit the completed report as shown in the following table:

Records Custodians:	Send Reports To:
Located in area offices	FOIA office coordinator in the area office.
Located in processing and distribution center offices	FOIA office coordinator in the performance cluster.
Located in customer service and sales district offices	FOIA office coordinator in the performance cluster.
Located in headquarters and headquarters field units	FOIA office.
Who are postmasters	FOIA office coordinator in the performance cluster.

352.83 Annual

A report concerning the administration of the Freedom of Information Act will be submitted to the Attorney General of the United States on or before February 1 of each year, with the first such report, for fiscal year 1998, due on or before February 1, 1999. Data for the report will be collected on the basis of a fiscal year that begins on October 1 of each year. The Attorney General, in consultation with the Director, Office of Management and Budget, will prescribe the form and content of the report. The report will be made available to the public at the Headquarters Library and on the Postal Service Internet web site at *http://www.usps.com.*

352.9 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 cases (see ELM 668.118).

353 Privacy Act

353.1 General

353.11 Requirements

353.111 Scope

This part includes 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. If there is a conflict between these instructions and the Act or regulations, the latter govern.

353.112 Postal Service Requirements

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 (OMB) adequate advance notice of any proposal to establish or modify, or alter the uses of, any system of records that contains information about persons.

b. Comply with certain requirements for the collection, use, disclosure, and safeguarding of information about individuals.

c. Permit an individual to determine which 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.

d. Comply with the procedural requirements of the Privacy Act, as amended by the Computer Matching and Privacy Protection Act of 1988 (Public Law 100–503), and OMB implementing guidelines requiring agencies that plan to use their records to:

(1) Execute computer matching agreements.

(2) Establish a Data Integrity Board to oversee agency computer matching activities.

(3) Publish in the *Federal Register* and forward to Congress and OMB advance notice of its intent to establish, substantially revise, or renew a computer matching program, unless such notice is published by another participant agency (see 353.329). Notice will be published at least 30 days prior to:

(a) Initiation of any matching activity carried out under a new or substantially revised program.

(b) Expiration of an existing agreement.

Congress and OMB will be notified of the computer matching program at least 40 days in advance.

353.12 Definitions

353.121 System of Records

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

An *individual* in this context does not include proprietorships, businesses, or corporations, which are not covered by the Privacy Act.

353.123 Computer Matching Program

A *computer matching program* includes any computerized comparison of:

a. A Postal Service automated system of records with an automated system of records of another federal agency, or with nonfederal records for the purpose of:

(1) Establishing or verifying the eligibility of, or continuing compliance with statutory and regulatory requirements by, applicants for, recipients or beneficiaries of, participants in, or providers of services with respect to, cash or inkind assistance or payments under federal benefit programs.

(2) Recouping payments or delinquent debts under such federal benefit programs.

b. A Postal Service automated personnel or payroll system of records with another automated personnel or payroll system of records of the Postal Service or other federal agency or with nonfederal records.

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 that includes information about a person is prohibited, willfully discloses that material in any manner to any person or agency not entitled to receive it.

b. Willfully maintains a system of records that contains 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 about another person.

353.14 Responsibility

The following responsibilities apply to:

a. *Freedom of Information/Privacy Acts officer.* The USPS Freedom of Information/Privacy Acts officer ensures Postal Service-wide compliance with this policy.

b. *Records custodians.* Records custodians must ensure compliance with the Privacy Act for records in their custody.

353.2 Collecting and Using Information About Individuals

353.21 Approved Systems

Notice on the systems of records listed in the Appendix has been published in the *Federal Register.* These are the only current 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 this information is necessary to carry out a statutory purpose of the Postal Service.

353.23 Informing the Individual

353.231 Written Request

On written request, the Postal Service notifies any individual whether a specific system of records named by that person includes a record on 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 give information about themselves, they must be informed of the following in one of two ways:

a. The form used to collect the information must include a privacy notice telling the person:

(1) Which 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 that may be made of it.

(5) The effects of not providing the information.

b. The individual must be given a separate notice with this information (e.g., Notice 70 or 70-C, *Privacy Act Notice*).

353.233 Interviews

The following apply to interviews:

a. When information about an individual is collected in an interview, the interviewer must provide the person with a privacy notice as in 353.232b, if the answer to all the following questions is *yes:*

(1) Is the information 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 include 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 by a form or a previous interview?

b. The interviewer must also orally summarize the information in the privacy notice before the interview begins.

353.24 New or Changed Systems of Records

353.241 Approval

The following apply:

a. *Headquarters/Field.* Any Headquarters or field organization that wants to establish a new system of records with information about individuals, change an existing system, or introduce new forms to collect personal information from an individual, must obtain approval from the Postal Service Freedom of Information/Privacy Acts officer.

b. *Limitation.* The Postal Service may collect and maintain in its records only such information about an individual that is necessary and relevant to accomplish a purpose that 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 that include 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 Freedom of Information/Privacy Acts officer at Headquarters about the procedures for reporting a new or changed system of records that includes information about individuals.

353.244 **Special Consideration for Contract Solicitation**

A Request For Proposal, Invitation To Bid, or similar solicitation is not issued before reporting the solicitation to the office of Administration and FOIA, if the solicitation is for contract services to design, develop, operate, or use a new or existing system of records that includes information about individuals.

353.25 Abolishing Systems of Records

When a need for maintaining some or all of the records in a system of records no longer exists, the system manager must inform the Freedom of Information/Privacy Acts officer who provides advice on abolishing the records system and deletes the system from the Appendix. (Each information system executive is identified under *system manager* in the system description 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 that includes information about an individual (even if the disclosure is made at the individual's request), *except* for any of the following:

a. Certain public information (see 353.321).

b. Information disclosed to Postal Service employees for use in the performance of their duties (see 353.322).

c. Information disclosed to the individual to whom the information pertains (see 353.324), except that disclosures of Official Personnel Folders (OPF) information to the subject individual must be accounted for (see 353.313).

353.312 **Media and Content**

a. *General*. Use the appropriate disclosure accounting form (see 353.313). Otherwise, the accounting of the disclosure may be a memorandum 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 show:

(1) The date of the disclosure, its nature (such as *employee accident records folder review*), and purpose (such as *legal proceeding*).

(2) The name and address of the agency or person to whom the disclosure was made.

b. *Computer Matching Programs* (see 353.329).

(1) *When the other agency performs the physical computer comparison.* If records about *all* individuals within a system of records are disclosed outside of the Postal Service, the accounting of disclosure may be in the form of a memo to the file or other media, but must indicate:

(a) The date of disclosure.

(b) The data elements disclosed about each individual (e.g., name and Social Security number).

(c) The systems of records from which records were disclosed.

(d) The matching program.

(e) Name and address of the agency or person to whom the disclosure was made.

(2) *When the Postal Service performs the physical computer comparison.* If records about *specific* individuals (e.g., individuals common to both automated files) within a system of records is disclosed outside of the Postal Service, an exact copy of the tape or document containing the disclosed information must be kept with the name and address of the agency or person to whom disclosure was made.

Exhibit 353.312
Suggested Format for Memo on Disclosure

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: _____[section of Act; no. of routine use; identification of written request or consent]_____

353.313 Disclosure Accounting Forms

The following show which disclosure forms to use:

a. *Official Personnel Folders (OPFs).* For the disclosure of information in official personnel folders, follow these instructions:

(1) *General.* Except as noted below, use Form 6100-A, *OPF Disclosure Accounting Form,* to account for the disclosure.

(2) *Law Enforcement Officials.* Use Form 6100-B, *OPF Disclosure Accounting Form (for law enforcement officials).*

b. *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 disclosed record, so that a complete accounting of disclosures can be constructed. The accounting must be kept for 5 years or the life of the disclosed record, 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 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 provide 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 cannot determine whether a business use is involved, refer the request to the chief field counsel.

c. *Business Change of Address Notices.* The new address of any business that has filed a change of address notice. A fee prescribed by 352.753 is charged for each address requested, subject to the exceptions in 352.775.

d. *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 the public.) Fees are charged (see 352.7). An accounting must be kept for each disclosure.

353.322 Postal Employees

Information may be disclosed under the following conditions:

a. *General.* Information about 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. *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 a liaison with that agency. Except for information obtained on boxes used for business purposes (the release of which does not require a disclosure accounting under 353.321b), the inspector must inform the post office official that the information is to be disclosed outside the Postal Service. The inspector orally provides the information required for the disclosure accounting to be maintained by the postmaster.

353.323 Governmental and Legal Purposes

Information about 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 both of the following apply:

(1) The activity is authorized by law.

(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. (The Postal 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 about the applicability of a routine use, obtain the advice of the chief field counsel.

c. *Census.* To the Bureau of the Census for 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. 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, about an individual must be forwarded to:

SENIOR VICE PRESIDENT GOVERNMENT RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-3100

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 advises 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, on 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 provided to a person empowered by law to serve legal process, on written certification that the information is required to effect service in a currently pending proceeding (see 352.44d(2)).

353.324 **Individual Concerned**

Individuals may review and have copies of any information about themselves that is in a record filed or cross-indexed under their names or other identifiers, *except* the following:

a. *Confidential Sources.* The name or information identifying an individual who has requested and has been expressly promised anonymity in providing 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 postmaster 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. (On 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 Department of Veterans Affairs, Public Health Service, or Office of Workers' Compensation) when the medical officer determines that disclosure could have an adverse effect on the subject individual. These 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 about individuals in the form of *uncirculated personal notes* kept by Postal Service employees, supervisors, counselors, investigators, etc., which are not circulated to other persons. (If they are circulated, they become official records in a system of records and must be shown on 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:

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, if individuals submit a written statement authorizing disclosure of information in that person's presence.

c. *Compelling Circumstances.* On 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 (described in the Appendix) permits the disclosure to that person or organization as one of the system's routine uses. If in doubt about 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 352.42 through 352.47). If in doubt about the 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 about the obligation or the permissibility of a disclosure, obtain the advice of the chief field counsel (see also 353.313b).

353.327 **For Credit and Job References**

Information may be disclosed under the following circumstances:

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. If a firm requests more information, it must submit a release form signed by the individual; an accounting of the disclosure must be kept.

b. *Job References.* Prospective employers of a postal employee or a former postal employee may be furnished with the public information listed in 353.327a, in addition to the date and the reason for separation. The reason for separation must be limited to one of the following terms: *retired, resigned,* or *separated.* Other terms or variations of these terms (e.g., *retired — disability*) may not be used. If additional information is desired, the requester must submit the written consent of the employee, and the custodian must keep an accounting of the disclosure.

353.328 **For Statistical Purposes**

Information about an individual may be disclosed to a requester who has given the Postal Service written assurance that the information is to 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.

353.329 **For Computer Matching Purposes**

Records from a Postal Service system of records may be disclosed for the purpose of conducting a computer matching program as defined at 353.123, but only after *all* of the procedural requirements of the Privacy Act and Office of Management and Budget implementing guidelines are met. These requirements are:

a. *Routine Use.* Disclosure may be made only when permitted as a routine use of the system of records. The Postal Service Freedom of Information/Privacy Acts officer will advise on the applicability of a routine use.

b. *Publication in The Federal Register and Advance Notice to Congress and the Office of Management and Budget* (see 353.112d).

c. *Computer Matching Agreement.* Participants in a computer matching program must conclude written agreements specifying the terms under which a matching program will be accomplished (see 353.34).

d. *Data Integrity Board Approval.* No record which is contained in a system of records may be disclosed for use in a computer matching program unless the matching agreement has received approval by the Postal Service Data Integrity Board (see 353.34).

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 A910 or postal employee listings under 352.416.) No accounting is required.

353.34 Computer Matching

353.341 General

Any agency or postal organization that wishes to use records from a Postal Service automated system of records in a computerized comparison with other records must submit its proposal to the Postal Service Freedom of Information/Privacy Acts officer. Computer matching programs must be conducted in accordance with the Privacy Act and implementing guidance issued by the Office of Management and Budget. Records may not be exchanged for a matching program until all procedural requirements have been met (see 353.329).

353.342 Submission of Matching Proposals

a. *Procedures*. A proposal must include information required for the matching agreement discussed at 353.343a. The Postal Inspection Service must submit its proposals for matching programs to the Postal Service Freedom of Information/Privacy Acts officer through:

COUNSEL
POSTAL INSPECTION SERVICE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-2181

All other matching proposals, whether from postal organizations or other governmental agencies, must be mailed directly to:

FREEDOM OF INFORMATION/PRIVACY ACTS OFFICER
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5202

b. *Lead Time.* Submit proposals to the Postal Service Freedom of Information/Privacy Acts officer at least three months in advance of the anticipated starting date to allow time to meet Privacy Act publication and review requirements.

353.343 Content, Approval, and Life of a Computer Matching Agreement

a. *Content.* The required computer matching agreement (see 353.329c) must specify:

(1) The purpose and legal authority for conducting the program.

(2) The justification for the program and the anticipated results, including a specific estimate of any savings in terms of expected costs and benefits, when appropriate. Cost/benefit data must be in sufficient detail for the Data Integrity Board to make an informed decision.

(3) A description of the records that will be matched, including the data elements to be used, the number of records, and the approximate dates of the matching program.

(4) Procedures for providing individualized notice that information provided by individuals may be subject to verification through matching programs.

(5) Procedures for verifying information produced in a matching program. (An agency may not take adverse action against an individual as a result of information produced by a matching program until the agency has independently verified the information.)

(6) Procedures for ensuring the administrative, technical, and physical security of the records matched; for the retention and timely destruction of records created by the matching program; and for the use and return or destruction of records used in the program.

(7) Prohibitions concerning duplication and redisclosure of records exchanges, except where required by law or essential to the conduct of the matching program.

(8) Information on assessments that have been made on the accuracy of records to be used in the matching program.

(9) A statement that the Comptroller General may have access to all records of the participating agencies in order to monitor compliance with the agreement.

b. *Approval.* Before the Postal Service may participate in a computer matching program, the Postal Service Data Integrity Board must have evaluated the proposed matching program and approved the terms of the matching agreement. To be effective, the matching agreement must be unanimously approved by the Board. Votes are collected by the Postal Service Freedom of Information/Privacy Acts officer. The Board authorizes the chairperson to execute approved agreements on its behalf. If a matching agreement is disapproved by the Board, any party may appeal within 30 days following the Board's written disapproval by writing to:

DIRECTOR
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON DC 20505-0001

c. *Effective Dates.* A computer matching agreement will not be effective until 40 days after the date on which a copy is sent to the Congress. The agreement must remain in effect only as long as necessary to accomplish the specific matching purpose, but not to exceed 18 months. The Data Integrity Board may extend an agreement for one additional year, without further review, if within 3 months prior to expiration of the 18-month period it finds that the matching program will be conducted without change and each party to the agreement certifies that the program has been conducted in compliance with the matching agreement. At the end of the 18-month period, the program is expired,

unless it is extended. Renewal of a matching program requires execution of a new computer matching agreement that has received Data Integrity Board review and approval.

353.344 **Data Integrity Board**

a. *Responsibilities.* The Data Integrity Board oversees Postal Service computer matching activities. Its principal function is to review and approve all written agreements for receipt or disclosure of Postal Service records for matching programs to ensure compliance with the Privacy Act, and all relevant statutes, regulations, and guidelines. In addition, the Board annually reviews matching programs in which the Postal Service has participated to determine compliance with applicable laws, regulations, and agreements; compiles a biannual report of matching activities; and performs review and advisory functions relating to records accuracy, record keeping, and disposal practices, and other computer matching activities. The manager of Administration and FOIA serves as secretary of the Board, maintains the executed computer matching agreements, and performs administrative activities for the Board.

b. *Composition.* The Privacy Act requires that the senior official responsible for implementation of agency Privacy Act policy and the inspector general serve on the Board. The Board is designated by the postmaster general, as follows:

(1) The chief financial officer and senior vice president (chairperson).

(2) The inspector general.

(3) The chief postal inspector.

(4) The vice president, Human Resources.

(5) The general counsel and vice president.

353.4 Processing Requests

353.41 General

353.411 **Information to Identify and Locate Record**

The following apply:

a. Inquiries for notification about whether the Postal Service has a record about a particular person, and requests for the disclosure or amendment of a record, or for an accounting of disclosures made from a record, must be in writing and be directed to the custodian, if known, or to the Postal Service Freedom of Information/Privacy Acts officer at:

FREEDOM OF INFORMATION/PRIVACY ACTS OFFICER
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5202
(202) 268-2608

Any inquiry or request about a specific system of records must 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.

(2) Provide enough information to identify the person and identify and locate the record.

b. If insufficient information is supplied to identify and locate the record, advise the requester of the information 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 353.421 through 353.423).

353.413 **Fees**

The following apply:

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 provided to a particular request are without charge (see 353.413d for fee limitations).

(2) The Postal Service may make coin-operated copy machines available at any location. In that event, requesters are allowed to make copies at their own expense.

(3) The Postal Service usually does not provide 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 whether or not the requester is eligible for free copies under 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 to evade the assessment of fees, the custodian may aggregate the requests and charge accordingly.

d. *Limitations.* No fee is charged an individual for retrieving, reviewing, or amending a record about that individual.

e. Copying fees collected for Privacy Act requests are deposited in Account Identifier Code (AIC) 127.

f. *Computer Matching.* The Postal Service may participate in computer matches on a cost-reimbursable basis whenever, in its opinion, the level of effort warrants. The agency to be charged will be notified in writing of the approximate costs before they are incurred. Costs will be calculated in accordance with the schedule of fees in 352.7.

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 usually 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 want 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 that is disputed (see 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 353.321b, or for credit or job reference information that may be given without a release statement (see 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**

The following apply:

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 official credentials, driver's license, Medicare card, or similar identification.

(2) Establish that the request meets 353.32.

b. *Controls.* 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. *Signatures.* 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**

The following apply:

a. *Signature and Letterhead.* Individuals who apply in writing for information about themselves or about other individuals must send a signed request to the appropriate postal installation. An organization that wishes this information must 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 must be 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**

The following apply:

a. *OPFs.* A request may be made at any postal installation to review an Official Personnel Folder (OPF) retired to the National Personnel Records Center. The requester must specify the installation at which review is desired. The request must be forwarded to that installation for processing, if other than the installation initially receiving the request. 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:

NATIONAL PERSONNEL RECORDS CENTER
9700 PAGE BOULEVARD
ST LOUIS MO 63118-4199

After receiving the folder, the installation notifies the requester that the record is available for review. After the review, the installation keeps 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 wants to review a record that is not available locally must send the request to the custodian of the records, with full particulars, and state in which postal installation the requester wants 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 verifying the reviewer's identity.

(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 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 Postal Service general counsel.

353.426 Questionable Requests

If custodians question the correctness of releasing requested information or the procedure to be followed, they must contact the Postal Service Freedom of Information/Privacy Acts officer at Headquarters before releasing the information.

353.427 Responding to Requests

Custodians must acknowledge Privacy Act requests within 10 days (excluding Saturdays, Sundays, and legal public holidays). When the record requested is identified and to be disclosed, the custodian must notify the requester when and where the record is available for inspection and copying. If the record requested is not immediately available, the custodian must tell the requester when it is to be available. If no record can be found or the record is destroyed, the custodian must so advise the requester.

353.428 Denying Request

The following apply:

a. *Consultation With Counsel.* Except under 353.324 and 353.412, individuals may not be denied permission to review a record about themselves. The custodian must consult with the chief field counsel before notifying the requester that the request is denied.

b. *Written Explanation.* A denial of a written request for notification on whether the Postal Service has a record about 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 the requester that he or she has the right to submit an appeal to the general counsel at Headquarters.

353.43 Requests to Amend Record

353.431 General

An individual may request the correction or amendment of a Postal Service record about himself or herself. The individual must submit a written request 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 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. If the request may result in a dispute, the custodian must require that the request be made in writing.

353.433 **Written Requests**

The following apply:

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 is made.

(4) *Denial and Notice of Appeal Rights.* Advise the requester in writing if any requested changes are refused in whole or in part, give the reasons, and advise the requester that he or she may appeal or submit a statement of disagreement to be filed with the disputed record.

c. *Appeal Procedures.* The requester who wants to file an appeal must do so in writing within 30 days (excluding Saturdays, Sundays, and legal public holidays) to the general counsel at Headquarters, 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 must include:

(1) Reasonable identification of the record access to or amendment of the record sought.

(2) A statement of the action appealed and relief sought.

(3) Copies of the request, the notification of denial, and any other related correspondence.

353.44 Request for Accounting of Disclosures

353.441 Application

An individual may request Postal Service notification of any disclosure of a personal record from a specific system of records to any person, organization, or agency outside the Postal Service. The request must be made to the facility where the record is kept and must clearly identify the requester and the system of records (see 353.41). Requests for accountings of disclosures from an individual's record pursuant to a computer match must be addressed to:

FREEDOM OF INFORMATION/PRIVACY ACTS OFFICER
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-5202

353.442 Response

The custodian must notify the requester within 30 days (excluding Saturdays, Sundays, and legal public holidays) whether a disclosure record exists. If such a record exists, the custodian must give the requester the disclosure information except under 353.324c.

353.5 Safeguarding Information About Individuals

353.51 Safeguards

Records containing information about individuals must be safeguarded and disposed of under 351.4, 351.6, and appropriate systems descriptions in the Appendix.

353.52 Training

See 351.42.

354 Micrographics

354.1 Definitions

354.11 Micrographics

Micrographics is a technology that reduces any form of information to a microform medium.

354.12 Microform

Microform is a generic term for any form, either film or paper, that contains microimages; a unit of information, such as a page of text or drawing, too small to be read without magnification.

354.2 Policy

Micrographics may be used for the following purposes, if the applications are supported by enough documentation to prove cost-effectiveness and provide maximum compatibility with other micrographic applications, systems, and equipment:

a. Preservation of deteriorating records.

b. Production of archival or intermediate records.

c. Duplication of information for dissemination to other locations.

d. Increased efficiency in searching records.

e. Greater security for sensitive records.

f. Reduction of paper record holdings or use of space.

354.3 Requirements

354.31 Legal

Federal statutes provide for the legality and admissibility of microforms that accurately reproduce or form a durable medium for reproducing the original record (28 U.S.C. 1732). To meet the requirements of these statutes, microform records must be produced in the regular course of business and be able to be satisfactorily identified and certified (e.g., by Form 6550, *Declaration of Intent, and Certification of Authenticity*).

a. Retention of original documents may sometimes be necessary to resolve questions of document authenticity.

b. If authenticity of documents having legal significance could be subject to question, obtain the advice of the chief field counsel (or for Headquarters organizations, the managing counsel, civil practice) before disposing the original.

354.32 Archival

Only original silver halide microfilm has sufficient archival quality to be substituted for documents requiring permanent retention or to produce microforms of permanent retention value.

354.33 Maintenance and Disposal

Microforms are subject to all regulations on 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 (intentional or accidental) from 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 can be referred to as any of the following: personal computers (PCs); data processing equipment; minicomputers; microcomputers; microprocessors; office automation systems; stand-alone, shared-logic, or shared-resource systems; process control systems. Related resources include hardware (central processing units (CPUs), terminals, modems, printers, etc.), software (programs and associated documentation), and media (magnetic tapes, disks, diskettes, etc.).

355.13 Information Life Cycle

Information must be protected during the information life cycle. This includes information creation/collection, information processing, information use, information maintenance, and information disposal.

355.2 Policy

It is Postal Service policy to protect its automated information systems from the hazards described below consistent with the value of the information:

a. Theft, fraud, or other abuse of information, equipment, or funds.

b. Unauthorized access to or disclosure of information.

c. Accidental or unauthorized destruction or modification of information.

d. Interruption of information processing capability due to equipment malfunction/damage, facility damage, power outage, etc.

355.3 Responsibility

355.31 Specific

355.311 Management

Management at all levels must recognize the need for information protection and enforce security policies and procedures.

355.312 Installation Heads and Vice Presidents

As records custodians, installation heads and vice presidents are accountable for information, equipment, and systems within their custody including:

a. Making staff aware of the need for security and developing necessary guidelines and procedures for staff to follow.

b. Determining whether the level of security provided for a system is appropriate for the value of the information.

c. Ensuring that Postal Service security policy, guidelines, and procedures are followed in all system activities, including procurement, development, and operation.

d. Providing the resources to enable employees to carry out their responsibilities for securing information and related resources.

e. Assigning overall information protection responsibility to a specific individual (e.g., a computer systems security officer).

355.313 **Users**

Individual users of information processing equipment are responsible for:

a. Following permissible uses of systems, equipment, and information as well as the information disclosure prohibitions under the Postal Service Rules of Conduct (see ELM 668.3).

b. Protecting systems, equipment, and information assigned to them or in their custody and use.

c. Using the equipment only for activities approved by management.

d. Protecting any user IDs and passwords assigned to them.

e. Notifying management of any security violations of which they are aware.

355.32 Advisory

Security assistance to vice presidents, installation heads, and other managers is available from:

a. *Information Systems (IS).* Information Systems Security can provide guidance on technical (hardware, software) issues, risk analysis, and contingency planning.

b. *Postal Inspection Service.* The local postal inspector can provide assistance on physical and personnel security. Consult the deputy chief auditor at Headquarters about audit trails.

c. *Administration and FOIA Office.* The FOIA Office can assist with information evaluation. The records specialist in Corporate Accounting, Finance, at 202-268-4869 can assist with retention.

d. *Purchasing.* Purchasing at Headquarters and purchasing service centers (PSCs) in the field can help with purchase requests for security hardware, software, or services. They can also conduct market surveys of security features available commercially.

355.4 FLSA Considerations (Reserved)

355.5 Ownership

Automated systems, media, and all information maintained on them are Postal Service property 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 for its sensitivity and develop security measures consistent with its sensitivity.

355.62 Sensitive Information

Sensitive information is information identified by the Postal Service as "restricted" or "critical." *Restricted information* has limitations on its internal or external disclosure (see 352.4 for examples). *Critical information* is information that must be available for the Postal Service to perform its mission and meet legally assigned responsibilities, and for which special precautions are taken to ensure its accuracy, relevance, timeliness, and completeness. (This information, if unavailable, can cause significant financial loss, inconvenience, or delay in performance of the Postal Service mission.)

355.7 Security Considerations

The type and degree of security needed varies by the value and sensitivity of the information, the type of equipment used, and the size and general nature of an installation. Installation heads must evaluate their individual situations to determine the degree of security that is practicable without being cost prohibitive. The following issues must be considered when determining security needs:

a. Procurement.

b. Risk analysis.

c. Physical security.

d. Personnel security.

e. Hardware operations.

f. Software.

g. Audit trails.

h. Contingency planning.

i. Training.

355.8 Information Retention

Information must be retained as follows:

a. Retention of information in automated information processing systems must be consistent with official Postal Service records retention schedules.

b. Procedures must be established for routine purging/disposition of information maintained on diskettes and other storage media.

c. Retention of information on information processing equipment must be according to Preservation Orders (e.g., as a result of FLSA litigation).

Exhibit 351.21 (p. 1)

Retention Periods for Post Office Forms

Form/ Label No.	Title	Retention Period	Cutoff
4	Employee's City or County Withholding Certificate	*3*	
	If superseded	4 yrs	*2*
W 4	Employee's Withholding Allowance Certificate	*3*	
	If superseded	4 yrs	*2*
7	Service Record	3 yrs	*2*
Label 11-A	Express Mail Post Office to Post Office Service	6 mos	*1*
	Corporate Accounts	3 yrs	*1*
Label 11-B	Express Mail Next Day Service Post Office to Addressee	6 mos	*1*
	Corporate Accounts	3 yrs	*1*
Label 11-C	Express Mail Airport to Airport	6 mos	*1*
	Corporate Accounts	3 yrs	*1*
Label 11-E	Express Mail Post Office to Post Office	6 mos	*1*
Label 11-F	Express Mail Post Office to Addressee	6 mos	*1*
Label 11-H	Express Mail Airport to Airport Service	6 mos	*1*
V 11P	Application for Safe Driver Awards (National Safety Council)	4 yrs	*2*
W 15	State Withholding Tax Exemption Certificate	*3*	
	If superseded	4 yrs	*2*
OF 15	Government Property Sales Announcement and Poster Combined	*10*	*1*
OF 16	Sales Slip — Sale of Government Personal Property	*10*	*1*
OF 17	Stamp Requisition:		
	Accounting Unit Copies	4 yrs	*1*
	Stamp Distribution Office Copies	2 yrs	*1*
17-A	Accountable Items Requisition From Stamp Distribution Office:		
	Accounting Unit Copies	4 yrs	*1*
	Stamp Distribution Office Copies	2 yrs	*1*
17-R	Recapitulation Sheet	2 yrs	
25	Trust Fund Account	1 yr	*2*
SF 94	Statement of Witness	3 yrs	*2*
SF 95	Claim For Damage, Injury, or Death	3 yrs	*2*
SF 97	The United States Government Certificate of Release of a Motor Vehicle	3 yrs	*2*
SF 120	Report of Excess Personal Property	*10*	*1*
SF 122	Transfer Order — Excess Personal Property	*10*	*1*
SF 123	Transfer Order — Surplus Personal Property	*10*	*1*
SF 135	Records Transmittal and Receipt	2 yrs	*2*
178	Specific Travel Order — Relocation & Relocation Agreement	1 yr	*1*
FNS 250	Food Coupon Accountability Report	4 yrs	*1*
SF 258	Request to Transfer, Approval and Receipt of Records to the National Archives of the United States	2 yrs	*2*
FNS 260	Requisition for Food Coupon Books	4 yrs	*1*
296	Custody Receipt	*4*	
SF 344	Multiuse Standard Requisitioning/Issue System Document:		
	Vehicle Parts and Fuel Requisitions	3 yrs	*1*
	Other Supply Requisitions	*10*	*1*
OF 346	U.S. Government Motor Vehicle Operator's Identification (Card)	4 yrs	*2*

Exhibit 351.21 (p. 2)
Retention Periods for Post Office Forms

Form/ Label No.	Title	Retention Period	Cutoff
542	Inquiry About a Registered Article or an Insured Parcel or an Ordinary Parcel	2 yrs	*5*
571	Discrepancy of $100 or More in Financial Responsibility	2 yrs	*5*
697	Extension of City Delivery Service	2 yrs	
773	Records Transmittal and Receipt	2 yrs	*2*
835	Quarterly Report of Originating Registered and COD Transactions	1 yr	
961-A	Post Office Property Record:		
	Interim	*6*	
	Permanent	*7*	
969	Material Recycling and Disposal	*10*	*1*
991	Application for Promotion or Assignment	2 yrs	*2*
1000	Domestic Claim or Registered Mail Inquiry	3 yrs	*5*
1011	Travel Advance Request and Itinerary Schedule	1 yr	*1*
1012	Travel Voucher	1 yr	*1*
1017-A	Time Disallowance Record	3 yrs	*1*
1017-B	Unauthorized Overtime Record	3 yrs	*1*
1091-A	Post Office Box Fee Register (**Note:** If automated, delete customer record upon termination of service).	2 yrs	*2*
1091-B	Register for Caller Service Fees (**Note:** If automated, delete customer record upon termination of service).	2 yrs	*2*
1093	Application for Post Office Box or Caller Service	2 yrs	*2*
1094	Request for Post Office Box Key or Lock Service	2 yrs	*2*
1096	Cash Receipt	4 yrs	*1*
SF 1164	Claim for Reimbursement for Expenditures on Official Business	4 yrs	*1*
SF 1187	Request for Payroll Deduction for Labor Organization Dues	*3*	
1188	Cancellation of Organization Dues from Payroll Withholdings	*3*	
1192	U.S. Savings Bond Authorization for Purchase and Request for Change	13 PPs	*1*
1199A	Direct Deposit	13 PPs	*1*
1216	Employee's Current Mailing Address	*8*	
1221	Advanced Sick Leave Authorization	3 yrs	*1*
1224	Court Duty Leave — Statement of Service	3 yrs	*1*
1230-A	Time Card — Week 1	3 yrs	*1*
1230-B	Time Card — Week 2	3 yrs	*1*
1230-C	Time Card — Other Service	3 yrs	*1*
1234	Utility Card	3 yrs	*1*
1236-A	Weekly Loan, Transfer, and Training Hours	3 yrs	*1*
1242	Court Ordered Child Care or Alimony Payment	3 yrs	*1*
1242-A	Commercial Garnishment Withholding Notice or Wage Earner Plan Allotment Request	3 yrs	*1*
1260	Nontransactor Card		
	Corrections	1 AP	
	Time Card Supporting Documentation	3 yrs	
1261	Nontransactor Report		
	Corrections	1 AP	
	Time Card Supporting Documentation	3 yrs	
1262	PSDS Loaned Employee Non-Transactor Card	1 AP	*1*

Exhibit 351.21 (p. 3)
Retention Periods for Post Office Forms

Form/ Label No.	Title	Retention Period	Cutoff
1268	Employee Suggestion Control Record	2 yrs	
1269	Employee Suggestion	2 yrs	*2*
1311	Carrier Transportation Agreement	2 yrs	*2*
1312	Local Transportation Payments:		
	Accounting Unit Copies	4 yrs	*1*
	Carrier Drive-out Agreement Copies	2 yrs	*2*
1314	Regular Rural Carrier Time Certificate	3 yrs	
1314-A	Auxiliary Rural Carrier Time Certificate	3 yrs	*1*
1377	Request for Payment of Postmaster Replacement and/or RSC F. Postmaster Overtime	3 yrs	*1*
1412-A/B	Daily Financial Report:		
	Window Clerk's Forms	2 yrs	
	Station/Branch Copies	2 yrs	
	Accounting Unit Copies (Consolidated with supporting documentation)	4 yrs	*1*
1476	PSDS EMR Items Transcript	*8*	
1481	Register of Checks Drawn on Symbol 9500	4 yrs	*1*
1483	Accounting Copy — 9500 Form	4 yrs	
1508	Statement by Shipper of Firearms	1 yr	*1*
1509	Sender's Application for Recall of Mail	2 APs	
1510	Mail Loss/Rifling Report	1 yr	*5*
1532	Semiannual Check of Overflow Mail	1 yr	
1538	Receipt for Post Office Box/Caller Service Fees:		
	Accounting Unit Copies	4 yrs	*1*
	Post Office Copies	1 yr	*1*
1542	Service Point Delivery Requirements	1 yr	*1*
1551	Accountbook for CAGs A–J	5 yrs	*1*
1552	Accountbook for CAGs K & L	5 yrs	*1*
1553	Statement of Account CAGs K & L	4 yrs	*1*
1554	Statement of Account CAGs H & J	4 yrs	*1*
1555	Statement of Account CAGs A–G	4 yrs	*1*
1555-A	Statement of Account Continuation Sheet	4 yrs	*1*
1556	Suspense Items — Support Information	4 yrs	*1*
1564	Address Change Sheet	1 yr	
1564-A	Delivery Instructions	*6*	
1564-B	Special Orders	1 yr	*2*
1567	Requisition for Rubber Stamps Only	*10*	
1571	Undelivered Mail Report	2 yrs	
1578-B	Requisition for Facing Slips or Labels	1 yr	
1583	Application for Delivery of Mail Through Agent	2 yrs	*1*
1586	Supply Record	*10*	
1597	Work Assignment and Mail Count (Messenger Operations)	1 yr	*1*
1604	Confirmation of Trust Fund Balance	1 PQ	
1608	Emergency Salary Authorization and Receipt	3 yrs	
1621	Delivery Management Report	1 yr	*2*
1627	General Purpose Ruled Form	2 yrs	

Exhibit 351.21 (p. 4)
Retention Periods for Post Office Forms

Form/ Label No.	Title	Retention Period	Cutoff
1700	Accident Investigation Worksheet	3 yrs	*2*
1717	Bid for Preferred Assignment	6 mos	*2*
1723	Assignment Order	3 yrs	*1*
1724	Suggestion Log	2 yrs	
1725	Employee Suggestion Evaluation:		
	Adopted Suggestions	4 yrs	*2*
	Disapproved Suggestions	2 yrs	*2*
1726	Employee Suggestion Acknowledgment/Advice:		
	Adopted Suggestions	4 yrs	*2*
	Disapproved Suggestions	2 yrs	*2*
1727	Award Recommendation/Authorization	4 yrs	*2*
1764	Accident Analysis Summary	5 yrs	*1*
1767	Report of Hazard, Unsafe Condition or Practice	5 yrs	*1*
1768	Safe Driver Award Committee Decision	4 yrs	*2*
1769	Accident Report	5 yrs	*1*
1770	Hazardous Materials Incident Report	5 yrs	*1*
1772	Accident Log	5 yrs	*1*
1773	Report of Hazard Log	5 yrs	*1*
1783	On-the-Job Safety Review/Analysis	5 yrs	*1*
1784-A	Safety and Health Inspection Checklist (for Postal Facilities Over 10,000 Square Feet)	5 yrs	*1*
1784-B	Safety and Health Inspection Checklist (for Postal Facilities Less Than 10,000 Square Feet)	5 yrs	*1*
1784-C	Safety and Health Deficiency Report	5 yrs	*1*
1804-C	Postmaster's Certification of SDM Equipment Maintenance	2 yrs	*2*
1813	Late Leaving and Returning Report — First Carrier Delivery Trip	2 yrs	
1838	Carrier's Count of Mail — Letter Carrier Routes	1 yr	*13*
1838-A	Carrier's Count of Mail — Parcel Post and Combination Services Worksheet/Management Summary	1 yr	*13*
1838-B	Parcel Post Firm Delivery Worksheet	1 yr	*13*
1838-C	Carrier's Count of Mail — Letter Carrier Routes Worksheet	1 yr	*13*
1839	Payment Record for Carrier Drive-Out Agreements	4 yrs	*1*
1840	Summary of Count and Inspection — Letter Carrier Route	1 yr	*13*
1840-B	Carrier Timecard Analysis	1 yr	*13*
1846	Quarterly List of Money Orders Issued	2 yrs	
1902	Justification for Billing Accounts Receivable:		
	Local Office Copies — Property Damage	1 yr	*2*
	Local Office Copies — Personal Injury	30 yrs	*2*
	VMF Copies — Over $10.00	3 yrs	*2*
	VMF Copies — Under $10.00	2 yrs	*1*
1903-DZ	Invoice and Statement (computer generated)	3 yrs	*2*
1908	Financial Adjustment Memorandum:		
	Clerk/Station/Branch Copies	*9*	
	Accounting Unit Copies	1 yr	
1915	Authorization to Flag Employee's Accounts	3 yrs	
1994	Employee's Work Schedule	3 yrs	

Exhibit 351.21 (p. 5)
Retention Periods for Post Office Forms

Form/ Label No.	Title	Retention Period	Cutoff
2007-A	Window Transaction Record	1 yr	
2007-B	Window Transaction Conversion	1 yr	
2007-C	Window Transaction Survey	1 yr	
2016	Mail Theft and Vandalism Complaint	1 yr	*5*
2025	Contract Personnel Questionnaire	1 yr	*2*
2028	Travel Advance Request (Relocation Worksheet)	1 yr	*1*
2081	Contractor Employee Assignment Notification	1 yr	*2*
2106	Adjudication — Tort Claims	3 yrs	*2*
2130	Claim for Loss — Initial Letter:		
	Adjudicating Office Copies	4 yrs	*1*
	Post Office Copies	2 yrs	*1*
2132	Claim for Accountable Financial Loss:		
	Adjudicating Office Copies	4 yrs	*1*
	Post Office Copies	2 yrs	*1*
2146	Employee's Claim for Personal Property	3 yrs	*1*
2198	Accident Report — Tort Claim	3 yrs	*2*
2202	Daily Time Record	3 yrs	
2240	Pay, Leave, or Other Hours Adjustment Request	3 yrs	*1*
2240-R	Rural Pay or Leave Adjustment Request	3 yrs	*1*
2243	PSDS Hours Adjustment Record	3 yrs	*1*
2371-A	MOD 2 Performance Summary — Mail Volume	2 yrs	
2371-B	MOD 2 Performance Summary (Clerk/Mailhandler Workhours)	2 yrs	
2452-A	Performance Evaluation for EAS Employees — General Form	5 yrs	*1*
2452-B	Performance Evaluation for EAS Employees — Supervisors and Managers EAS-19 and Below	5 yrs	*1*
2452-C	Performance Evaluation for EAS Employees — Postmasters EAS-15 and Below	5 yrs	*1*
2456	Narrative of Work Accomplishments	5 yrs	*1*
2480	Driving Record — For Positions That Require Driving	3 yrs	
2548	Individual Training Record — Supplement Sheet	*3*	
2550	Interview Notice	5 yrs	
2591	Application for Employment	2 yrs	*2*
SF 2809	Health Benefits Registration Form:		
	OPF Copies	*3*	
	DDE/DR Site Copies	2 PPs	*8*
SF 2810	Notice of Change in Health Benefits Enrollment:		
	OPF Copies	*3*	
	DDE/DR Site Copies	2 PPs	*8*
2858-C	City Carrier Cost System — FY92	5 yrs	*1*
2858-R	Rural Carrier Cost System — FY92	5 yrs	*1*
2866	Presort Verification Record	1 yr	*1*
2866-IP	In-Plant Verification for Second- and Fourth-Class Matter	1 yr	*2*
2932	Customs Collections Summary	2 yrs	
2933	Register of Uncollected Customs Charges	2 yrs	
2944	Receipt for Customs Duty Mail	4 yrs	

Exhibit 351.21 (p. 6)
Retention Periods for Post Office Forms

Form/ Label No.	Title	Retention Period	Cutoff
2960	Inventory Record	2 yrs	
3018	Affidavit of Applicant for Issuance of a Duplicate Postal Check Without the Execution of an Undertaking of Indemnity	3 yrs	*2*
3036	Record of Stamp Stock Requisitions	2 yrs	*1*
3083	Trust Accounts Receipts and Withdrawals	1 yr	*1*
3176	Bank Transaction Record	4 yrs	
3189	Request for Temporary Schedule Change for Personal Convenience	3 yrs	*1*
3205	Requisition for Plain Stamped Envelopes	2 yrs	*1*
3210	Interim Receipt for Stamp Stock Submitted for Redemption	1 yr	*1*
3216	Requisition for Postal Cards — Bulk Quantities	2 yrs	*1*
3217	Order for Forms 3216	2 yrs	*1*
3220	Claim for Stamped Envelope Discount	4 yrs	*1*
3227	Stamps by Mail	*9*	
3227-R	Stamp Purchase Order (Rural)	*9*	
3236	Uniform Allowance Cap Disbursements	4 yrs	*1*
3238	Stamps & Stamped Paper Destruction Certificate:		
	Postmaster's Statement of Account Copies	4 yrs	*1*
	Stamp Distribution Office Copies	2 yrs	*1*
3239	Payroll Deduction Authorization To Liquidate Postal Service Indebtedness	3 yrs	*2*
3239-A	Payroll Deduction Authorization To Liquidate Other Government Agency Indebtedness	3 yrs	*2*
3240	Uniform Allowance Inquiry	1 yr	*5*
3294	Cash and Stamp Stock Count and Summary:		
	Employees' Copies	*9*	*2*
	Postmaster's Copies	2 yrs	*6*
3295	Daily Record of Stamps, Stamped Paper, and Nonpostal Stamps on Hand	1 yr	*1*
3309	Advice of Shipment/Stamp Invoice	2 yrs	*1*
3317-A	Retail and Philatelic Products — Clerks Daily Sales Record:		
	Clerk/Station/Branch Copies	*9*	
	Accounting Unit Copies	1 yr	
3356	Stamp Requisition — Bulk Quantities	2 yrs	*1*
3368	Stamp Credit Examination Record	3 yrs	*2*
3369	Consigned Credit Receipt	3 yrs	*2*
3499	Operations Analysis Report	2 yrs	
3501	Application for Second-Class Mail Privileges	3 yrs	*2*
3501-A	Application to Mail Publications at Second-Class Rates	3 yrs	*2*
3502	Application for Second-Class Mail Privileges	3 yrs	*2*
3503	Record of Deposits Made While Second-Class Application Is Pending	2 yrs	*2*
3508	Requisition for Saleable Items (Other Than Stamps)	4 yrs	*1*
3510	Application for Additional Entry, Reentry, or Special Rate Request for Second-Class Publication	1 yr	*2*
3511	Application for Second-Class (Requester) Mail Privileges	3 yrs	*2*
3526	Statement of Ownership, Management, and Circulation	5 yrs	*1*
3533	Application and Voucher for Refund of Postage and Fees	4 yrs	*1*
3538	Irregular Handling of Undeliverable Second-Class Publication	2 yrs	*5*

Exhibit 351.21 (p. 7)
Retention Periods for Post Office Forms

Form/ Label No.	Title	Retention Period	Cutoff
3541-C	Second-Class Certification for Multiple Issues (On the Same Day)	3 yrs	*1*
3541-E	Second-Class Certification for Multiple Issues (Not on the Same Day)	3 yrs	*1*
3541-N	Statement of Mailing — Second-Class Special and Classroom Rates	4 yrs	*2*
3541-R	Statement of Mailing — Second-Class Regular and Science-of-Agriculture Rates	4 yrs	*2*
3543	Record of Second-Class Postage	1 yr	*2*
3544	Post Office Receipt for Money:		
	Accounting Unit Copies	4 yrs	*1*
	Local Office Copies	1 yr	*1*
	VMF Copies	3 yrs	*2*
3548	Review and Verification of Circulation	*6*	
3555	Report of Returned Mail	2 yrs	
3575	Change of Address Order	18 mos	*1*
3575-WWW	Change of Address Order	18 mos	*1*
3582-A	Postage Due Bill	1 yr	
3582-C	Postage Due Invoice:		
	Accounting Unit Copies	4 yrs	*1*
	Local Office Copies	1 yr	*1*
3584	Postage Due Log	4 yrs	*1*
3600-PC	Statement of Mailing with Meter or Precanceled Postage Affixed — First-Class Mail	4 yrs	*1*
3600-R	Statement of Mailing with Permit Imprints — First-Class Mail	4 yrs	*1*
3601	Application to Mail Without Affixing Postage Stamps	3 yrs	*2*
3601-A	License to Use Postage Meter	1 yr	*2*
3602-N	Statement of Mailing with Permit Imprints — Third-Class Mail (Nonprofit Rates Only)	4 yrs	*1*
3602-PC	Statement of Mailing with Meter or Precanceled Postage Affixed — Bulk Third-Class Mail (Regular or Nonprofit Rates)	4 yrs	*1*
3602-PO	Postage Collected Through Post Office Meter:		
	Accounting Unit Copies	4 yrs	*1*
	Local Office Copies	1 yr	*1*
3602-R	Statement of Mailing with Permit Imprints — Third-Class Mail (Regular Rates Only)	4 yrs	*1*
3603	Receipt for Postage Meter Settings:		
	Accounting Unit Copies	4 yrs	*1*
	Local Office Copies	1 yr	*1*
3604	Nonuse Revocation of Mailing Permit or Meter License	1 yr	*2*
3605-PC	Statement of Mailing with Meter Postage Affixed — Priority Mail and Zone-Rated Fourth-Class Mail	4 yrs	
3605-R	Statement of Mailing with Permit Imprints — Priority Mail and Zone-Rated Fourth-Class Mail	4 yrs	
3607	Weighing and Dispatch Certificate	2 yrs	
3608-PC	Statement of Mailing with Meter Postage Affixed Presorted Special Fourth-Class Rate Mail	4 yrs	
3608-R	Statement of Mailing with Permit Imprints Special Fourth-Class and Library Fourth-Class Mail	4 yrs	
3609	Record of Permit Imprint Mailings	1 yr	*2*
3609-PO	Control for Post Office Meter	2 yrs	*2*

Exhibit 351.21 (p. 8)
Retention Periods for Post Office Forms

Form/ Label No.	Title	Retention Period	Cutoff
3610	Record of Postage Meter Settings	3 yrs	*2*
3613	Cancellation of Permit	4 yrs	*1*
3616	Report of Quarterly Verification of Metered Mail	2 yrs	
3618	Local Setting of Postage Meter Licensed at Another Office	3 yrs	*2*
3619	Permit Number Record	1 yr	*2*
3620	Permit to Use Precanceled Stamps or Government Precanceled Stamped Envelopes Application	3 yrs	*2*
3623	Application for Special Bulk Third-Class Rates at Additional Mailing Office	3 yrs	*2*
3624	Application to Mail at Special Bulk Third-Class Rates	3 yrs	*2*
3625	Merchandise Return Permit Application	3 yrs	*2*
3650	Statement of Mailing — International Surface Air Lift	4 yrs	
3651	International Statement of Mailing (With Permit Imprints and Bulk Letters to Canada with Postage Meter Affixed)	4 yrs	
3652	Statement of Mailing — International Priority Airmail	4 yrs	
3701	Delivery Survey	2 yrs	
3702	Test Mailing Record	1 yr	
3721	Publication Watch	1 yr	*5*
3743	Delayed Mail Report — All Post Offices	2 yrs	*5*
3749	Irregularities in the Preparation of Mail Matter	1 yr	
3801	Standing Delivery Order	1 yr	*2*
3801-A	Agreement by a Hotel, Apartment House, or the Like	1 yr	*2*
3806	Receipt for Registered Mail	2 yrs	*1*
3815	Plant-Load Authorization, Application, Worksheet and Agreement	3 yrs	*2*
3816	COD Mailing and Delivery Receipt	2 yrs	*1*
3821	Clearance Receipt	2 yrs	
3822	COD Tag Transmittal	2 yrs	
3826	Registry Irregularity Report	1 yr	
3827	Irregularity Report of Insured and COD Mail	1 yr	
3830-A	Registry Dispatch Record	2 yrs	*1*
3841	Post Office Record of Claim	2 yrs	*5*
3845	Annual Verification of Circulation	2 yrs	
3849	Delivery Notice/Reminder/Receipt	2 yrs	
3854	Manifold Registry Dispatch Book	2 yrs	*1*
3854-A	Registered Mail Dispatch Bill	2 yrs	*1*
3861	COD Loss Claim Filed by Sender	*11*	
3861-A	Loss Claim	*11*	
3862	Damage Claim Filed by Sender	*11*	
3863	Damage Claim Filed by Addressee	*11*	
3867	Accountable Mail Matter Received for Delivery	2 yrs	
3871	Receipt Verification — Insured and Returned COD Mail	1 yr	
3877	Firm Mailing Book for Accountable Mail:		
	EMS — Corporate Account Records	3 yrs	*1*
	EMS — Receipts/Mailing Statements	6 mos	*1*
	Domestic Mail Acceptance Receipts	2 yrs	*1*

Exhibit 351.21 (p. 9)
Retention Periods for Post Office Forms

Form/ Label No.	Title	Retention Period	Cutoff
3883	Firm Delivery Book for Accountable Mail	2 yrs	*1*
3883-A	Firm Delivery Receipt	2 yrs	*1*
3921	Daily Delivery Unit Volume Recording Worksheet	2 yrs	
3922	Daily Customer Services Unit Volume Recording Worksheet	2 yrs	
3925	Daily Address Information Operations Analysis	2 yrs	
3930	Operations Analysis	2 yrs	
3932	CSMDS Plan Input Sheet	2 yrs	
3956	Authorization for Medical Attention	2 yrs	*1*
3958	Main Stock (or Unit Reserve Stock) Transaction Record:		
	Accounting Unit Copies	4 yrs	*1*
	Stamp Distribution Office Copies	2 yrs	*1*
3959	Daily Recap — Stamp Stock Transactions	2 yrs	*1*
3968	Daily Mail Collection Record	2 yrs	
3971	Request For or Notification of Absence	3 yrs	*1*
3972	Absence Analysis	3 yrs	
3973	Military Leave Control	3 yrs	*1*
3977	Duplicate Key Inventory:		
	Employee's Copy	*9*	
	Postmaster's Copy	2 yrs	*2*
3978-A	Letters and Flats Distribution	1 yr	
3978-B	Parcel Distribution	1 yr	
3978-D	Accountable Mail	1 yr	
3996	Carrier — Auxiliary Control	2 yrs	
3997	Unit Daily Record	2 yrs	
3998	Unit Summary of City Delivery Routes	2 yrs	
3999	Inspection of Letter Carrier Route	1 yr	*1*
3999-A	Deliveries/Inspection Record — Worksheet	2 yrs	
3999-B	Inspection of Collection Route	2 yrs	
4003	Official Rural Route Description	*12*	
4003-A	Official Rural Route Description (Continuation Sheet)	*12*	
4015-A	Rural Carrier Agreement to Use Annual Leave Pursuant to Election of Higher Route Classification	3 yrs	
4015-B	Rural Carrier Agreement to Terminate Guarantee	3 yrs	
4015-C	Rural Carrier Agreement to Terminate Guarantee (Exercising Retreat or Bidding Rights)	3 yrs	
4015-D	Rural Carrier Agreement to Terminate Guarantee	3 yrs	
4015-E	Rural Carrier Agreement to Use Annual Leave Earned to Reduce Actual Work Hours	3 yrs	
4015-F	Rural Carrier Agreement to Use Annual Leave Earned to Obtain Protected Salary	3 yrs	
4024	Request to Repair Roads	1 yr	
4027	Petition for Change In Rural Delivery	1 yr	
4239	Rural Route Count of Mail	*6*	
4240	Rural Carrier Trip Report	3 yrs	*1*
4241	Rural Delivery Statistics Report	*14*	
4241-A	Rural Route Evaluation	*14*	

Exhibit 351.21 (p. 10)
Retention Periods for Post Office Forms

Form/ Label No.	Title	Retention Period	Cutoff
4248	Rural Route Inspection Report	2 yrs	*1*
4314-A	Consumer Service Card (Spanish)	1 yr	*5*
4314-C	Consumer Service Card	1 yr	
4315	Evaluation of Routes for Motorization	2 yrs	
4460	Vehicle Record/Trip Ticket	3 yrs	
4503	Vehicle Delivery Control Sheet	1 yr	*2*
4508	Vehicle Maintenance Facility Inventory Order	3 yrs	*1*
4509	VMF Inventory Purchase	3 yrs	*1*
4513	Scheduled/Unscheduled Maintenance Record	3 APs	*1*
4513-A	Scheduled/Unscheduled Shop Maintenance Record	3 APs	*1*
4515	Vehicle Assignment Justification and Request	1 yr	*2*
4516	Emergency Vehicle Hire Use	2 yrs	*2*
4523	Damage Claim Certification — Hired Vehicle:		
	VMF Accident Case File Records	3 yrs	*2*
	Vehicle Hire Records	2 yrs	*2*
4527	Mail Hauling Vehicle Requirements	1 yr	*2*
4529	Perpetual Inventory Parts	3 yrs	
4533	MVS Schedule	1 yr	*1*
4534	Inventory Adjustment Record and Parts Transferred Between VMFs	3 yrs	*1*
4539	Railroad Van Movement Log	6 mos	*1*
4541	Order-Invoice for Vehicle Repair (Commercial Work Order)	3 yrs	*2*
4551	Projected Fleet Requirements	1 yr	*2*
4565	Vehicle Repair Tag	on completion of work order	*2*
4567	Commercial Service Station Procurement Record	1 yr	*1*
4569	Vehicle Use Plan	*6*	
4570	Vehicle Time Record:		
	Accident Records	3 yrs	*2*
	Vehicle Hire Records	2 yrs	*2*
	Vehicle Time Records	3 APs	*1*
4572	Tractor Log	6 mos	*1*
4574	Daily Record of Gasoline, Diesel Fuel, and Motor Oil Issued	1 yr	
4575	MVS Vehicle Survey	*6*	
4575-A	Five Day Summary — Motor Vehicle Service Vehicle Utilization	*6*	
4577	Leased Vehicle Condition Report:		
	Requirements Survey Records	1 yr	*1*
	Vehicle Hire Records	2 yrs	*2*
4582	Operator's Record	4 yrs	*2*
4584	Observation of Driving Practices	4 yrs	*2*
4586	Accident Information:		
	Over $10.00	3 yrs	*2*
	Under $10.00	2 yrs	*2*

Exhibit 351.21 (p. 11)
Retention Periods for Post Office Forms

Form/ Label No.	Title	Retention Period	Cutoff
4587	Request to Repair, Replace, or Dispose of Postal-Owned Vehicle	1 yr after sale of vehicle	
4594	Vehicle Sales Request and Report	1 yr after sale of vehicle	
4595	Sale-Purchase Agreement (Vehicles)	3 yrs	*2*
4597-A	Issuance and Inventory of Supplemental Metric Tool Kit — Auto Mechanic	*4*	
4625	Mounted Tires and Batteries Authorized for Fleet Use	*6*	
4626	Vehicle Fuel and Motor Oil Purchase Record	3 yrs	*1*
4686	Shipping Order	3 yrs	*1*
4686-A	Shipping Order	*10*	*1*
4703	Out of Order (Trailer Tag)	1 AP	*1*
4707	Out-of-Order Tag:		
	VMF Copies	1 AP	*1*
	All Other Copies	*10*	*1*
4805	Maintenance Work Order Request	2 yrs	
4835	Repair and Alteration Inspection Report	2 yrs	
4841	Fuel and Utilities Record	2 yrs	
4851	Housekeeping Inspection	1 yr	
4852	Workload Analysis and Summary	2 yrs	
4871	Relocation — Miscellaneous Expense Allowance Claim	1 yr	*1*
4872	Claim for Subsistence Expenses — Temporary Quarters	1 yr	*1*
4877	Reimbursement of Real Estate Expenses — Change of Official Station	1 yr	*1*
4984	Repair Parts Requisition:		
	Parts and Fuel Inventory Records	3 yrs	*1*
	Vehicle Maintenance Agreement Records	1 yr	*2*
5201	Mail Van Inspection	2 yrs	*2*
5397	Contract Route Extra Trip Authorization	1 yr	*2*
5398	Transportation Performance Record	2 yrs	*2*
5399	Contract Routes Performance Record	2 yrs	*2*
5406	Box Delivery Contract Route Survey	7 yrs	*2*
5407	Highway Contract Route Survey/Service Change	7 yrs	*2*
5420	Certification of Insurance	7 yrs	*2*
5427	Express Mail Corporate Account/Custom Designated Form	7 yrs	*2*
5429	Certification of Exceptional Contract Service Performed	7 yrs	*2*
5431	Contract Route Box Customer Notice	3 yrs	*2*
5443	Summary of Passport Applications Accepted	7 yrs	*2*
5461	Amount Due Deceased Contractor	3 yrs	*2*
5463	Highway Mail Transportation Performance Report	7 yrs	*2*
5466	Late Slip	15 days	*2*
5479	Contract Adjustments	7 yrs	*2*
5496	Adjustment Analysis and Report	7 yrs	*2*
5500	Contract Route Irregularity Report	1 yr	*2*
5500-A	Contract Route Irregularity Report	1 yr	*2*
5505	Cost Evaluation — Postal Vehicle Service vs. Contract Service	1 yr	*2*

Exhibit 351.21 (p. 12)
Retention Periods for Post Office Forms

Form/ Label No.	Title	Retention Period	Cutoff
5625	Express Mail Custom Designed Service Receipt	6 mos	*1*
	Corporate Accounts	3 yrs	*1*
5625-C	Express Mail Custom Designed Service	6 mos	*1*
	Corporate Accounts	3 yrs	*1*
5631	Express Mail Service Agreement	4 mos	*2*
5637	Express Mail Corporate Account/Custom Designed Form	4 mos	*2*
5639	Express Mail Corporate Account Application	3 yrs	*2*
5659	Passport Application Transmittal	3 mos	*1*
5660	Summary of Passport Applications Accepted	3 mos	*1*
5674	EMS — Express Mail International Service Manifest:		
	Suspense Copies	*11*	
	Signed Copies	6 mos	*1*
5908	Driver Instructor/Examiner Certificate	4 yrs	*2*
5909	Road Test Examiner's Certificate	4 yrs	*2*
5932	Initial Road Test Checklist	4 yrs	*2*
5942	Evaluation for Initial-Level Supervisor Position	2 yrs	
6349	Issued Money Order Sales Record	2 yrs	
—	Money Order Tapes	4 yrs	*1*
6387	Rural Money Order Transaction	1 yr	
6401	Domestic Money Order Inquiry	2 yrs	*5*
6990	Invoice — Money Order Forms	4 yrs	
7020	Authorized Absence from Workroom Floor	3 yrs	*1*
7340	Shipping Instructions for Excess Property	*10*	*1*
7340-A	Shipping Instructions for Excess Property — Vehicles	1 yr	*2*
7345	GBL Certification	1 yr	*2*
7364	Serviceable Property Tag	*10*	*1*
7364-A	Property Tag (Restricted Use)	*10*	*1*
7376	Abstract of Bids Received	1 yr	*2*
7380	MDC Supply Requisition	*10*	*1*
7381	Requisition for Supplies, Services, or Equipment:		
	VMF Copies (Fuel)	3 yrs	*1*
	All Other Copies	*10*	*1*
7382	Additional General Provisions for Service Contracts	7 yrs	*2*
7405	Transportation Services Bid or Proposal and Contract for Regular Service	7 yrs	*2*
7406	Amendment to Transportation Services Contract	7 yrs	*2*
7407	Basic Surface Transportation Services Contract — General Provisions	7 yrs	*2*
7435	Solicitation for Transportation Services Contract	7 yrs	*2*
7438	Purchase Order Register	3 yrs	
7439	Solicitation Record — Emergency Highway Contract	7 yrs	*2*
7440	Contract Route Service Order	7 yrs	*2*
7440-A	Change in Schedule Notice	7 yrs	*2*
7440-B	Continuation Sheet for Forms 7440 and 7440-A	7 yrs	*2*
7444	Local Purchase Order	3 yrs	
7445	Inquiry Concerning Renewal of Transportation Services Contract	7 yrs	*2*

Exhibit 351.21 (p. 13)

Retention Periods for Post Office Forms

Form/ Label No.	Title	Retention Period	Cutoff
7447	Transportation Services Renewal Contract for Regular Services	7 yrs	*2*
7448	Notice of Renewal of Transportation Services Contract for Regular Services	7 yrs	*2*
9528 OC	Advice of Shipment — Stamp Invoice	4 yrs	

1 *The cutoff point is based on a point in time, e.g., at the end of a Pay Period, Calendar Month, Accounting Period, Postal Quarter, Fiscal Year, Calendar Year, etc.*

2 *The cutoff point is based on the occurrence of an event, e.g., such as when selection has occurred, when the equipment is disposed, on revocation/cancellation of a permit/license, expiration of a contract/agreement, closing of an account, closing of a Post Office Box/Caller Service, or when the form is completely filled.*

3 *Maintain on the permanent (right-hand) side of the employee's official personnel file.*

4 *Return to individual or destroy when accountability is terminated.*

5 *Destroy after problem resolution.*

6 *Destroy when updated/superseded or a subsequent review is completed.*

7 *Retain until equipment is transferred/disposed, then forward to the information service.*

8 *Destroy after computer processing is verified.*

9 *Dispose after audit of accountability/next stamp credit examination, or resolution of differences, whichever is longer.*

10 *Dispose of in not less than 1 year, and not more than 2 years.*

11 *Discard on receipt/receipt of signed copy.*

12 *Retain the most recent complete copy of PS Form 4003 and 4003-A. Forms 4003 and 4003-A showing only the lines changed may be removed when complete Forms 4003 and 4003-A are prepared that include these changes. Form 4003, OPF copy, must be retained permanently.*

13 *Retain the most recent forms for the carrier holding the bid assignment. Dispose of forms 1 year after new mail counts and inspection date supersedes previous data.*

14 *Retain latest copy. All others may be destroyed after 3 years.*

36 World Wide Web-Based Communications

361 Intranet

The U.S. Postal Service Intranet home page (*http://blue.usps.gov*) provides a common access point to corporate-wide information intended for employee use. It provides access to internal policies and procedures, postal events, current postal news, human resource information, and electronic tools. It also provides direct access to various administrative web pages that provide detailed information about Postal Service functional groups, including both Headquarters organizations and field units at the area and district levels. This web site is indexed so that users can search for specific information. The functional areas participating are responsible for keeping their information accurate and up-to-date.

362 Internet

The U.S. Postal Service Internet web site (*http://www.usps.com*) provides a full set of services for Postal Service customers. There are four primary categories of information on the site: Post Office, Store, Business, and Inside the Postal Service. Interactive pages include lookups for ZIP codes, post offices, and other specialized postal facilities; stamp purchasing; Express Mail tracking and Delivery Confirmation; domestic and international rate calculators; Java-based postage statements; and an online change of address form. Other key pages include rates in a variety of formats, rate case information, national job postings, print-on-demand Portable Document Format forms, a wide range of postal publications, and complete consumer information. The site also provides news releases and speeches and special news features. The site is indexed so that users can search for specific information. The functional areas participating are responsible for keeping their information accurate and up-to-date.

37 Printing, Copying, and Duplicating

371 General

371.1 Scope

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

371.2 Policies

371.21 Printing, Copying, and Duplicating

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

371.22 Procurement

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

371.23 Production

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

371.3 Responsibilities

371.31 Servicewide

Printing, copying, and duplicating costs must be managed to ensure adequate planning, administrative control, and use of standard production economies and compliance with the environmental policies in 553.

371.32 Printing Purchasing

Printing Purchasing is the Postal Service central printing authority and is responsible for:

a. Providing policy promoting the effective and economical use of printing, copying, duplicating, and related processes within the Postal Service.

b. Supervising and making policy for the Headquarters Print Shop.

c. Maintaining liaison with the Congressional Joint Committee on Printing, the Government Printing Office, and federal executive agencies on printing and duplicating matters.

d. Approving (or disapproving) requests for Headquarters printing, copying, and duplicating equipment, and requests for equipment that exceed field approval authority (see 372.12).

e. Providing technical assistance to Headquarters and the field on all printing matters (including the consolidation and centralization of duplicating facilities).

f. Purchasing Hypertext Mark-up Language (HTML) coded composition of approved documents (MI AS-840-98-2, *Dissemination of Postal Information, Products, and Services via the World Wide Web*) and repurposing of printed material for online access.

371.33 Field

Area and/or district offices should each designate an administrative manager to approve requests for printing, copying, and duplicating. The designated administrative manager:

a. Reviews requests to ensure that the request is necessary, up-to-date and accurate, and follows Postal Service policies and procedures.

b. Studies existing equipment systems to assess the need for improvements and to demonstrate, using cost comparison, efficiency paybacks or other techniques, the economic worth of any proposed investment in equipment systems.

c. Makes sure that duplicating and copying are done properly and economically.

d. Centralizes printing, copying, and duplicating work, where practicable (see 371.23).

e. Maintains an inventory of duplicating equipment and cost and production data related to that equipment.

f. Reviews and ensures the adequacy of duplicating procedures and record keeping.

371.4 Definitions

371.41 Processes

Definitions of processes follow:

a. *Printing (Duplicating)* — a production process that includes composition, platemaking, presswork, binding, and microfilming.

b. *Copying* — reproduction of documents by processes such as diazo, electrostatic copying processes, or laser printing.

371.42 Types of Printing

Definitions of types of printing follow:

a. *Headquarters printing* — printing produced at or purchased through Headquarters for use anywhere in the Postal Service.

b. *Field printing* — all printing produced at or purchased through field facilities or the Purchasing and Materials Service Centers (PMSCs) primarily for area use.

371.43 Printing and Duplicating Terms

Definitions of printing and duplicating terms follow:

a. *Camera copy* — any furnished material (including text copy, pictures, and artwork) ready to be photographed for subsequent printing.

b. *Manuscript* — any material (text output, handwritten, electronic, or excerpts from previously printed material) to be composed in type or scanned and electronically manipulated into page format before printing and/or output to disk for multimedia purposes.

c. *Composition* — data capture and arrangement with specific type fonts and formats. The end product may be camera copy or various types of disks to be used for platemaking in conventional printing and/or for multimedia publishing, such as CD-ROM and Internet.

d. *Hypertext Mark-up Language (HTML)* — a special software language used to create hypertext and hyperlinks so that implementation can be easily viewed on the Internet or Web.

e. *Presswork* — reproduction of printed matter by an offset duplicator or printing press.

371.5 Copyrights

371.51 Reproducing Copyrighted Material

371.511 Policy

The rights of the copyright owner must be recognized, and permission should be sought, when reproduction of copyrighted material exceeds fair use (see 17 U.S.C. 107). Under the law, the Postal Service may not be enjoined from using copyrighted material. Should it be necessary to reproduce copyrighted material, and the parties cannot agree on the terms for that reproduction, the copyright owner's sole remedy is a suit for reasonable compensation in the United States Claims Court (see 28 U.S.C. 1498b).

371.512 Procedure

On each piece or portion of copyrighted material reproduced, the following information must appear: the word *Copyright* or the abbreviation *Copr.* or the symbol ©, followed by the date of copyright and the name of the copyright proprietor. For example, *Copyright 1988 John Doe.* This information protects the work against infringement by persons who otherwise would be unaware that the material is copyrighted.

371.513 Responsibility

The office requesting reproduction is responsible for ensuring that the copyright notice is on all reproduced copyrighted work.

371.52 Copyrighting Postal Service Material

Consider copyrighting in the name of the Postal Service any publications (including pamphlets and newsletters) intended for public distribution, if they are considered important enough to warrant control by the Postal Service now or in the future. Information about copyrights can be obtained from the general counsel at Headquarters (see DMM G013).

371.53 Trademarks and Service Marks

371.531 Registered Marks

The registered Postal Service trademarks and service marks are published in DMM G013.

371.532 Requirements

Proper use of these registered marks and marks proposed or pending registration are prescribed in DMM G013.

371.533 Reference

Additions to the list of Postal Service trademarks are announced in the *Postal Bulletin*. Specific questions about proper use of the Postal Service's trademarks and service marks and concerns over their apparent misuse by others may be directed to the general counsel at Headquarters.

371.54 Corporate Identity

All printing must adhere to the guidelines set forth in Publications 500 A–F.

371.6 Restrictions

371.61 Duplicating

371.611 Quantities

No more than 5,000 production units of any one page or 25,000-page units of multiple-page jobs may be produced in-house, unless a cost comparison shows that the work can be produced in-house at a lower cost than it can be purchased from outside sources. Jobs that cannot be produced cost effectively in-house must be procured.

371.612 Prohibited Equipment

Exhibit 372.12 lists equipment authorized for field duplicating activities. To clarify the specific types of equipment prohibited from use, the following list is provided:

a. *Process cameras* — cameras used in the printing process for enlarging, reducing, same-size copying, and color separation. Typical end products are negatives, positives, photostats, and halftones.

b. *Automatic film processors* — machines that develop, fix, and dry negatives, positives, or photostats automatically.

c. *Platemakers* — devices that use film negatives or positives to expose sensitized paper or metal plates; also machines that automatically develop plates exposed from file negatives and/or positives for similar image carriers.

d. *Offset duplicators/presses* — Machines with an image area larger than 10 3/4 x 14 1/4 inches.

e. *Multiunit office duplicators/presses* — machines that print more than one unit (up to 10 3/4 x 14 1/2 inches is a unit) with 1 pass through. Examples are machines that have an image area larger than 10 3/4 x 14 1/4 inches, print both sides of the sheet simultaneously, or a combination of large image and multiside printing.

f. *Multicolor offset duplicators/presses* — machines that print in more than one color.

g. *Letterpress* — machines using raised surfaces that are inked and pressed against paper. Examples include sign machines, numbering and imprinting machines, and foil-stamping equipment.

h. *Flexographic presses* — machines that print from engraved plates.

i. *Gravure presses* — machines that print from engraved plates.

j. *Automatic screen printing presses* — machines that use screen materials as image carriers and automatically print and cycle paper or substrates.

k. *Paper cutters* — power-operated machines over 31 inches wide.

l. *Drilling machines* — machines with more than three spindles.

m. *Folding machines* — machines with sheet capacity larger than 14 x 24 inches.

n. *Power-operated book trimmers* — machines that cut the edges of a book to trim square.

o. *Plate coaters* — machines that coat the surface of printing plates with photographic emulsions or special effects.

371.62 Printing Included in Contracts

371.621 Contractors

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

371.622 Copy Requirements

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

371.63 Directives and Forms

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

371.64 Paper Standards

371.641 General

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

371.642 Recycled Paper

Organizations must use recycled paper for all printed products produced in-house or purchased from commercial sources where recycled paper is available within a reasonable time period, for a reasonable price, and is within performance requirements. See Exhibit 371.641 for EPA standards for this material.

Exhibit 371.641
EPA Standards for Paper Products

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

Paper and Paper Products	Minimum Percent of Waste Paper
Offset Printing	50
Mimeo and duplicator paper	50
Writing paper (stationery)	50
Office paper (e.g., note pads)	50
Paper for high-speed copiers	50*
Envelopes	50
Forms bond, including computer paper and carbonless	50*
Bond papers	50
Book papers	50
Ledger paper	50
Cover paper	50
Cotton fiber paper	25 percent recovered cotton or linen fiber, plus 50 percent waste paper

*The percentage is obtained from Procurement Guidelines Advisory #2; the paper guideline does not recommend a percentage.

Table 2

Paper and Paper Products	Minimum Percent of Postconsumer Recovered Material
Newsprint	40
Tissue Products:	
Toilet tissue	20
Paper napkins	30
Paper towels	40
Facial tissue	5
Doilies	40
Unbleached Packaging:	
Corrugated boxes	35
Fiber boxes	35
Brown papers (e.g., bags)	5
Paperboard products, including folding cartons	80
Pad backing	90

371.65 Printing Prohibitions

371.651 Greeting Cards

Printing or engraving of greeting cards at Postal Service expense is prohibited.

371.652 Commercial Advertisements

Printed material may not include any advertisements by or for any private individual, firm, or corporation; or any material that implies that the Postal Service endorses or favors a specific commercial project, commodity, or service.

371.653 **Private or Commercial Work**

No printing or duplicating of a private or commercial nature may be done at any Postal Service installation. This rule applies even if the Postal Service is to be reimbursed.

371.654 **Stationery**

a. *Embossed.* Do not print embossed or thermographic stationery.

b. *Personalized.* Do not print or overprint names of officials or telephone numbers on official stationery unless authorized by the manager of Corporate Identity.

371.66 Artwork and Credits

371.661 **Art Signatures**

Signatures on artwork must be in proportion and relation to the design. Signatures of technical illustrators, designers, typographers, or layout artists are not printed.

371.662 **Illustrations**

If illustrations are used, they must:

a. Relate to the subject to explain the text.

b. Not serve to aggrandize any individual.

c. Be in good taste.

d. Be restricted to the minimum size necessary to accomplish their purpose.

371.663 **Courtesy Credit Lines**

Courtesy credit lines are treated as follows:

a. When uncopyrighted material is contributed or lent, courtesy credit lines are permitted. They must be in the smallest practical type face, subordinate to both text and illustration.

b. No credit is given when material is purchased.

c. When material comes from a single nongovernmental source, credit is given in an undisplayed preliminary paragraph, rather than on individual pages.

d. Employee bylines in Postal Service publications are printed next to the article or picture created by the employee.

e. Authors' names are not printed on the covers of publications. This restriction does not apply to backstrips (spines), self-covers, or title pages.

f. Printed mastheads of Postal Service newsletters or bulletins must include the legend *U.S. Postal Service* and the name of the issuing office. Names of the office head, managing editor, sports editor, photo editor, and art director, or their editorial equivalents, are the only additional names that may be included.

371.67 Mailing

371.671 General

The Postal Service expects all official mail to be automation-compatible to take full advantage of automated mail processing equipment. *Automation-compatible* means the mail is machinable and the address, ZIP+4, delivery point barcode, facing identification mark, and permit indicia are correct.

372 Copying and Duplicating

372.1 General

372.11 Use

Copying, duplicating, and related equipment is furnished to field offices for short-run administrative work (see 371.61 for restrictions).

372.12 Equipment Authorized

Exhibit 372.12 shows copying, duplicating, and related equipment authorized for field duplicating. Procurement is not automatic. Justify each item on a demonstrable need basis. Prepare documentation for all capital and expense projects using Publication 191, *Capital Investment Policies and Procedures.*

Exhibit 372.12
Copying, Duplicating, and Related Equipment Authorized for Field Duplicating Activities

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

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

372.13 Standard Size

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

372.2 Acquiring Services

372.21 Requests for Duplicating and Microforms

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

372.22 Log — Centralized Duplicating Facility

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

372.23 Sources

Copying and duplicating may be purchased from:

a. Government sources such as:

(1) Government Printing Office (GPO) and satellite facilities.

(2) Federal Prison Industries (UNICOR).

(3) Other federal agencies authorized to provide in-house production on a reimbursable basis.

(4) General Services Administration (GSA).

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

372.3 Acquiring Equipment

372.31 Scope

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

372.32 Transfer

372.321 Postal Service Excess Equipment

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

372.322 Other Agency Surplus Equipment

With appropriate approval, as in Exhibit 372.12, field facilities may obtain surplus equipment from other federal agencies.

372.33 Purchase or Rent

372.331 Requests

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

372.332 Approvals

The following apply:

a. *Field.* Forward requests for items in column 2 (Exhibit 372.12) to the appropriate district for final approval.

b. *Headquarters.* Forward requests for items in column 1 of Exhibit 372.12 to the manager of Printing Purchasing for final approval.

372.333 Filling Requests

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

372.4 Replacement Criteria

372.41 High-Speed Copying Equipment

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

372.42 Slower Copying Equipment

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

373 Printing

373.1 Headquarters Printing

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

373.2 Field Printing

373.21 Responsibility

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

373.22 Procurement

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

a. Government sources such as:

(1) Government Printing Office (GPO) and satellite facilities.

(2) Federal Prison Industries (UNICOR).

(3) Other government agencies authorized to provide in-house production on a reimbursable basis.

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

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

373.23 Requisitioning

373.231 GPO

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

a. No orders to GPO can be accepted on Postal Service purchase orders. Requisitions for printing and binding services must be made on the following forms:

(1) For individual jobs: Standard Form 1, *Printing and Binding Requisition to the Public Printer,* or SF 1C, *Printing and Binding Requisition for Specialty Items.*

(2) For term contracts: GPO Form 2511, *Memorandum Order and Supplementary Specifications.*

b. GPO prefers that all orders for requirements on term contracts be submitted through their regional printing procurement offices (RPPOs). If schedule requirements do not permit time for processing through the RPPOs, arrangements may be made between the ordering office and the RPPO manager for the ordering office to place its orders directly with the GPO contractor.

373.232 GPO Requisition Numbering

Requisitions are numbered uniformly with no more than 12 characters consisting of fiscal year, sequential requisition number, and finance number. The following example illustrates this system:

4-00049-102710

4 = Fiscal Year.

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

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

373.233 Billing Address Code

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

373.234 **Other Government Agency Orders**

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

373.3 Commercial Field Printing

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

374 Business Cards

374.1 Policy

374.11 Authorized Users

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

a. If their duties require them to meet with persons outside the Postal Service in circumstances where business cards would facilitate the conduct of postal business.

b. When the procurement of cards is approved by an authorized official.

374.12 Use

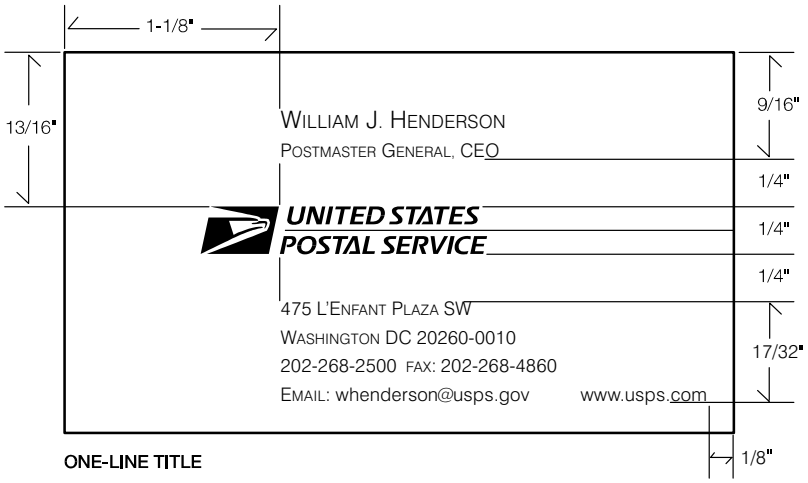
This policy is not intended to stimulate any widespread authorization of business cards. Before approving procurement of business cards, authorizing officials must consider carefully the nature, frequency, level, and circumstances of outside contacts assigned by a position.

374.2 Ordering Cards

Ordering organizations may purchase cards under a Headquarters or area office contract. Exhibit 374.2 shows the standard design. Only officers, governors, and 10 vice presidents of Area Operations are entitled to the three-color engraved format. Send orders for engraved cards to:

PRINTING PURCHASING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW RM 4131
WASHINGTON DC 20260-6255

Exhibit 374.2
Standard Design for Business Cards



ONE-LINE TITLE

TWO-LINE TITLE

4 Relations With Other Organizations

41 Military Post Offices

411 Description

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

412 Establishment and Discontinuance

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

42 Services

421 General

421.1 Policy

421.11 Conditions

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

421.12 Fees

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

421.2 Approvals

421.21 Procedure

Interagency agreements and similar formal arrangements for Postal Service participation in special surveys and other activities must be made between the national headquarters of the requesting agency and Postal Service Headquarters. See POM 221 for special regulations, terms, and conditions applying to requests for use of postal lobbies for display and other activities. Refer all requests from area offices of federal agencies to the vice president of Area Operations for forwarding with recommendations to the appropriate organizational unit at Headquarters (see 12).

421.22 Authorization

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

421.3 Prohibition

Do not conduct special surveys or participate in any other special projects without the authorization described in 421.22.

422 Interagency Agreements

422.1 Reimbursable Services for Federal Agencies

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

Exhibit 422.1
Examples of Nonpostal Services Provided by Interagency Agreement

Service Provided	Reference	Agency	Responsible HQ Office
Sale of Migratory Bird Stamps and Cooperation in Hunting Survey	Periodic Postal Bulletin Notices; see also 422.4	Interior Dept., National Fish & Wildlife Service	Retail Support
Selective Service Registration	Guidelines Distributed Through Channels	Selective Service System	Retail Support
Acceptance of Passport Applications	See 422.2	State Dept., Passport Office	Retail Support
Housing Vacancy Surveys	See 422.5	Federal Home Loan Bank Board	Retail Support

422.2 Passport Application Acceptance Service at Designated Post Offices

422.21 Applicability

The Secretary of State, on authority delegated by the President, has designated certain categories of persons who may accept passport applications (22 CFR 51.21), including postal employees designated by the postmaster at a post office authorized by the Postal Service and the U.S. Department of State to accept passport applications.

422.22 General Policy and Procedures

422.221 General Policy

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

422.222 Procedures

The State Department establishes the procedures for passport application acceptance and passport issuance. Postal Service Headquarters, coordinating with the Department of State, establishes the postal operational, accounting, and other procedures for passport application acceptance at designated post offices nationwide.

422.23 Rates and Fees

Passport application fees are established by the State Department, upon legislative approval. Postal Service Headquarters and the Department of State mutually agree on the execution fee which the Postal Service receives for providing passport application acceptance at post offices. The execution fee is collected from the customer as part of the total passport fees for the Form DSP-11, *Passport Application*. This fee reimburses passport acceptance agents for the performance of the required execution and acceptance procedures as outlined in the *Passport Agent's Reference Guide*. The Postal Service receives no execution fee for other types of passport applications, such as renewal Form DSP-82*, Application for Passport by Mail* or DSP-19, *Passport Amendment/Validation Application.*

422.24 Required District Coordination — Acceptance Post Offices and Field Passport Agency Offices

422.241 Coordination

Passport agency offices and postal districts work together to determine and reach agreement on the number and location of postal facilities which will accept passport applications. Postal coordination with the field passport agency office is necessary in managing the passport program to establish sites, coordinate training, provide the necessary postal management and oversight, and discontinue sites, when necessary.

422.242 **District and Passport Location Designee**

Each district manager of Customer Service and Sales will have a designee to serve as a contact to coordinate passport activity with the field passport agency office, with other functions at the district and with post offices accepting passport applications. Coordination should include input from impacted functions in the consideration and establishment of new sites and scheduling of training. The district designee will also coordinate with post offices and other functions to ensure that there is adequate signage and communication to the customer regarding passport service locations and hours. In addition, each passport application acceptance post office will have a designated contact to coordinate with the passport agency office and the district designee.

422.25 Determination of Sites and Establishment of Passport Application Acceptance Facilities

422.251 **Determination of Sites**

The following apply:

a. Passport agency offices and Passport Services determine the areas (city, county, or state) where the public needs additional service, considering the customer need and the post offices, clerk of court, county, college and other acceptance locations available.

b. When post offices receive requests for passport service, this information should be provided to the district, which will coordinate with the passport agency office to consider a suitable passport application acceptance site.

c. The district determines whether the postal facility(ies) can provide passport application acceptance without adversely affecting service to postal customers. The district will review customer need, operational capability, service issues and revenue in its determination. Factors to consider are other nearby passport acceptance locations, customer travel time from the nearest passport acceptance location, estimated volume of passport applications, demographics, and the city/urban/rural nature of the community.

d. In addition to post offices, clerks of court are also traditional sources of assistance to the passport agency offices and to the public in acceptance of passport applications. The Postal Service does not want to compete in providing services for other government agencies. Therefore, the passport agency office, working with the district to establish a postal acceptance location, should ensure that existing or planned application acceptance by clerks of court, local government, or other entities are considered in any request for establishment of services.

422.252 **Requests for Establishment or Changes to Passport Application Acceptance Facilities**

The following apply:

a. *Requests to Postal Districts For New Passport Sites.* When field passport agency offices identify a need for an additional passport

application acceptance post office location, the field passport agency office will prepare a written request to the district manager of Customer Service and Sales, or his or her district passport designee. Generally, this request should be received 90 days in advance of requested start-up of passport application acceptance. Passport agency requests should include pertinent information about the anticipated number of customers requesting passports and the location, distance and status of nearby nonpostal passport application acceptance sites, such as clerks of court, libraries, colleges, etc. Passport agency office requests for additional service require concurrence by the postmaster, Post Office Operations, Consumer Affairs, and Retail, as necessary. In addition, the Postal Service may also request the passport agency office consider authorizing a new passport site.

(1) *Passport Site Requests*. When a request for a new site is reviewed, the district will consider customer need, revenue generation (including associated Express Mail revenue generation), service conditions, and operational issues before a decision is reached.

(2) *Approval or Disapproval*. The passport agency office will receive either a passport application acceptance site approval or disapproval from the district manager, or his or her designee. Should the passport agency office receive disapproval from the district and feel strongly that a postal location is needed, the passport agency office may request that Passport Services at the State Department coordinate with Postal Service Headquarters, Retail Operations Support, to reconsider the disapproved request. A decision should be reached within 30 days of receipt of the request, and Headquarters will notify both the district and the State Department.

b. *Relocation or Changes of Passport Service Hours*. When a district finds it necessary to relocate a postal facility serving as an authorized location for passport application acceptance, the district will notify the passport agency office 30 days prior to the location change. Changes to passport service hours should also be reported to the passport agency office through the district designee. Likewise, the passport agency office will coordinate with the district designee regarding the service hours of any nearby non-postal passport application acceptance locations.

c. *Discontinuing Service — by Postal Service*. When a district finds it necessary to discontinue a passport application acceptance location, or reduce the number of participating facilities when other nearby acceptance agencies or postal facilities can meet the community needs for service, a letter will be sent from the district to the passport agency office at least 60 days prior to the planned date to stop passport application acceptance. The letter will provide an explanation of reasons for the planned discontinuance. The proposed discontinuance should be coordinated with the passport agency office.

(1) The passport agency office may respond with a letter of concurrence or a request for reconsideration to the district.

Should agreement not be reached, the passport agency office can request reconsideration through Passport Services, Department of State, which will coordinate with the Retail Department at Postal Service Headquarters. Generally, Headquarters, working with districts, will make a determination within 30 days of the State Department request and send notification to both the district and the Department of State regarding the decision reached.

(2) When a district is notified that the passport agency office is submitting a request for reconsideration, the district will continue passport application acceptance until a decision has been reached.

d. *Discontinuing Service — by Passport Services.* Passport Services makes periodic reviews and recommends removal of participating postal facilities where there no longer appears to be a need for the service. The Postal Service agrees unless the district manager involved determines that the action would shift an unmanageable workload onto a nearby postal facility remaining in the program.

422.26 Preparation at Newly Authorized Locations

422.261 Instructions

The district designee/coordinator will provide authorized offices specific instruction on postal guidelines in accordance with these procedures. The required State Department passport application acceptance procedures are provided in the *Passport Agent's Reference Guide*.

422.262 Acceptance Employees

The following apply:

a. Postmasters select and designate employees to provide the service. These are normally limited to one principal employee and only enough alternatives to ensure that the service is available during all advertised hours and to prevent excessive customer waiting time during peak periods. This reduces training requirements and enhances the expertise of the principal acceptance clerks.

b. Employees other than retail window clerks may be designated; however, cash accountability must be established.

c. Supervisory personnel should be designated only for emergency situations.

422.263 Acceptance Location

Postmasters select the locations within the facility where the service is provided. This may be one or all window positions, depending on volume of business. Consider the following:

a. Ensuring accessibility and customer convenience.

b. Providing acceptance at special window positions established for philatelic products, meter settings, bulk mailings, etc.

c. Diverting all applicants to the principal acceptance employee at offices with a speedy line and multipurpose windows.

d. Ensuring availability of telephone for acceptance employee to use in answering inquiries.

422.264 **Training**

The following will apply:

a. Passport application acceptance training is generally provided to the new passport application acceptance post office by the passport agency office. The district designee/coordinator, passport application acceptance post office contact, and passport agency office will coordinate to schedule training for designated employees at new passport sites and when refresher training is necessary.

b. Designated postal employees must be provided on-the-clock time to attend training. In addition to the training, a reasonable amount of official, on-the-clock time will be provided to study the manuals carefully. They are expected to be familiar with the contents and comply fully with the procedures.

c. The *Passport Agent's Reference Guide,* issued by Passport Services, State Department, provides required procedures and technical guidance for acceptance of passport applications by designated employees. Passport agency offices provide each newly authorized office two copies of the manual. The *Administrative Support Manual* section 422.2 provides the postal passport application acceptance policy and procedures.

422.265 **Service Hours**

Postmasters establish the hours for offering the service based on local resources and capabilities. The minimum should be 10:00 a.m. to 3:00 p.m., Monday through Friday, if the service cannot be provided during all normal business hours.

422.266 **Signs**

Post signs in the lobby clearly stating the hours passport service is available. Nearby postal units that do not accept applications should display a lobby sign informing customers of the postal and nonpostal locations where the service is available. District coordination with the passport agency office is required to identify the non-postal locations to include on signage at locations which do not accept passport applications. The district designee will coordinate with Marketing/Retail to ensure adequate signage is being used. Signs prepared by hand must not be used.

422.27 Application Acceptance Guidelines

422.271 **Passport Agent's Reference Guide**

The manual is used for daily reference and has a list of passport agencies serving each geographic area, with a special telephone number for acceptance employees to call for additional guidance. Changes to the manual and other passport information issued by Passport Services are sent periodically to participating post offices.

422.272 Passport Application Acceptance Procedures

The following apply:

a. *Form DSP-11, Passport Applications.* Acceptance employees make available blank Forms DSP-11, *Passport Applications*, to applicants or mail them when requested by telephone. Customers can also download passport forms via the Internet at *http://travel.state.gov.* Applicants complete the forms according to instructions printed on them and return them in person to acceptance employees for review and execution. The Postal Service receives a fee for the execution and handling of each Form DSP-11.

b. *Verifying Applicant Identity.* Acceptance employees must take measures to verify the identity of the applicant. The acceptance employee is the one who can most readily seek verification from the applicant that the applicant is the person he or she claims to be. The acceptance employee must annotate the application form to show the document or procedure used for verifying the applicant's identification.

c. *Witnessing Applicant Signature.* Acceptance employees administer the oath, witness the applicant's signature on the application, and then sign it and affix an imprint of the postal unit's round dating stamp.

d. *Supporting Documents.* Acceptance employees should do their utmost to ensure that the application is properly completed and accompanied by the correct supporting documents. However, to avoid arguments with the applicants, they should accept any questionable item and attach an explanatory note to the application, so that Passport Services may resolve the problem directly with the applicant.

e. *Applications Which Cannot Be Accepted.* Do not hold any applications for additional documentation; return those not sent to the passport agency to the applicants without completing the procedures in 422.272c.

f. *Passport Photograph Information.* Do not recommend to applicants a particular photographer or studio for passport photographs. Refer applicants either to a locally prepared listing of all qualified establishments in the immediate area or to the classified pages of the telephone directory.

g. *Other Passport Application Forms and Acceptance Activity Authorized.* Other passport forms should be made available to customers. Customers may also download passport forms via the Internet at *http://travel.state.gov,* or call the National Passport Information Center at 1-900-225-5674 to request blank forms. The following applies to acceptance:

(1) *Form DSP-82, Application for Passport by Mail.* Customers may purchase postage to mail Form DSP-82*, Application for Passport by Mail*, which the customer has fully completed. The Postal Service does not receive an execution fee for handling Form DSP-82, because no execution is required.

(2) *Form DSP-19, Passport Amendment/Validation Application.* Customers may purchase postage to mail Form DSP-19, *Application for Passport by Mail*, which the customer has fully

completed. The Postal Service does not receive an execution fee for handling Form DSP-19, because no execution is required.

h. *No-Fee Passports*. The Postal Service no longer handles or accepts no-fee passport applications. No-fee passport applications are requests for government-sponsored travel or for others who are exempt by law from payment of the passport fee (such as Peace Corps employees, for example). The State Department has authorized sponsoring government offices to execute no-fee passport applications. The State Department provides authorization for those who are exempt by law to execute their own passport applications. Postal employees should provide the name and phone number of the passport agency office, customer service manager, or designee to those customers needing assistance for no-fee passport applications.

i. *Short-Paid Passport Applications*. The Postal Service no longer handles or accepts applications for which partial payment of fees is now required, due to erroneous submission of Form DSP-82, *Application for Passport by Mail*, to Passport Services, by customers who are required to submit Form DSP-11. In this situation, customers should be advised to contact the local passport agency office, customer service manager or designee.

422.273 Payment of Passport Fees and Financial Procedures

The following apply to payment of passport fees:

a. *Types of Payment.* The passport fee must be collected at the time the application is rendered. Payment may be made in cash, check or money order. Valid payment or tender types are as follows:

(1) *Valid Payment Types*

Check Type	To Postal Service	To State	M.O. Types	To Postal Service	To State
Personal check	Yes	Yes	Postal Service money order	Yes	Yes
Business check	Yes	Yes	Nonpostal US money order	Yes	Yes
Cashiers check	Yes	Yes	*Canadian postal money order	Yes	No
Travelers check	Yes	Yes	*Other foreign money order	Yes	No
Treasury check	Yes	Yes			

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

(2) *Invalid Payment Types*. Unacceptable payment types are:

- Credit card
- Debit card
- LibertyCash
- Postal payment card

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

(1) *Check to Passport Services for State Department Fees*. One check must be payable to Passport Services for the total State Department fees for the customer visit. The check must be marked with the applicant's name and date of birth. The State Department fees include either a minor (age 15 and under) or adult (age 16 and over) application fee, and may include an expedited and/or complex case fee for each application. Refer to the *Passport Agent's Reference Guide* for fees and fee descriptions. Verify accuracy of the total State Department fee, write the total State Department fee amount in the bottom right corner of the Form DSP-11, and initial. The Passport Services check is stapled to the application during the customer visit. If one check is written for multiple applications (a family, for example), attach applications together, and staple the check to the top application.

(2) *Check to the U.S. Postal Service*. A separate check must be payable to the U.S. Postal Service for the execution fee amount and for any other products and services which the customer chooses to purchase during that customer visit, such as postage for return of the issued passport via Express Mail or purchase of postal products or services unrelated to the passport application acceptance transaction. (When the customer pays by check, the customer is not required to purchase a money order.)

(3) *Financial Procedures and Accounting Entries*

(a) Verify the accuracy of the total State Department fees and U.S. Postal Service fees.

(b) For the Postal Service execution fee portion, for each DSP-11, *Passport Application*, accepted, enter the execution fee amount in AIC 264, USPS Passport Fees.

(c) If other products or services are purchased (such as postage for Express Mail, for example), enter the fees in the appropriate AIC.

c. *Cash Payments.* When a customer wishes to pay the State Department fee in cash, a money order for each customer transaction will be the method of payment to Passport Services for the State Department fees. Customers will make the money order payable to Passport Services.

(1) *State Department Fees.* For payment by cash, a regular (fee) domestic postal money order must be purchased by the customer and made payable to Passport Services for the State Department portion of the fees. The money order must be marked with the applicant's name and date of birth. The State Department fees include either a minor (age 15 and under) or adult (age 16 and over) application fee, and may include an expedited and/or complex case fee for each application. The customer may purchase one money order for all State Department fees due for the entire customer visit when multiple passport applications are

presented (a family, for example). Verify accuracy of totals, write the total State Department fee amount in the bottom right corner of the Form DSP-11, and initial. The money order payable to Passport Services is stapled to the application during the customer visit. For multiple applications (a family, for example) attach them together and staple the money order to the top passport application.

(2) *Fees to U.S. Postal Service*. Cash payments for the Postal Service fees may be accepted, which include the execution fee, the money order fee (if State Department fees are being paid via money order), and fees for any other products and services which the customer chooses to purchase (such as Express Mail, for example). Issue Form 1096, *Cash Receipt for Money,* or a POS ONE system-generated receipt.

(3) *Financial Procedures — Accounting Entries*. The following shall apply:

(a) Verify the accuracy of the total State Department fees and U.S. Postal Service fees.

(b) Enter in AIC 100 the money order amount of total State Department fees payable to Passport Services.

(c) Enter money order fee in AIC 101.

(d) For each DSP-11, *Passport Application*, accepted, enter the Postal Service passport execution fee in AIC 264, USPS Passport Fees.

(e) If other products or services are purchased (such as postage for Express Mail, for example), enter the fees in the appropriate AIC.

(f) The total amount of cash accepted will post to AIC 752.

d. *Customers Presenting Payment by Money Order*. As a general procedure, postal money orders or nonpostal U.S. currency money orders will be made payable to Passport Services in the amount of the total State Department fee portion of the passport total fee.

(1) *Customers Presenting a Money Order in the Amount of the State Department Fees.* The following shall apply:

(a) *State Department Fees.* Customers shall make the postal or U.S. currency nonpostal money order payable to Passport Services. Canadian or other foreign money orders are not a valid payment type (see section 422.273a) for payment to Passport Services. (Canadian or other foreign money orders must be payable to U.S. Postal Service, and the customer will have to purchase a postal money order. The money order must be marked with the applicant's name and date of birth. See Section 422.273d(2b) below.) The State Department fees include either a minor (age 15 and under) or adult (age 16 and over) application fee, and may include an expedited and/or complex case fee for each application. The customer may purchase one money order

in a customer visit, when multiple passport applications are presented (a family, for example). Verify accuracy of totals, write the total State Department fee amount in the bottom right corner of the Form DSP-11, and initial. The money order payable to Passport Services is stapled to the application during the customer visit. For multiple applications, attach the money order to the top application and attach them together.

(b) *U.S. Postal Service Fees*. Customers will remit payment for the U.S. Postal Service portion of the total fees by check, cash, or separate money order payable to the U.S. Postal Service. The postal fees include the execution fee amount for acceptance of each DSP-11, *Passport Application,* and the amount owed for any other products and services which the customer chooses to purchase (such as Express Mail, for example).

(2) *Nonpostal Money Orders.* While this is not the general procedure, accept money orders payable to the U.S. Postal Service in the amount of the total passport transaction (or money orders in amounts greater than the State Department fee total). The customer must also purchase a postal domestic money order as part of the transaction, made payable to Passport Services, for the total State Department fee. The money order must be marked with the applicant's name and date of birth. The money order will be stapled to the application during the customer visit. If one check is written for multiple applications (a family, for example), attach applications together, and staple the money order to the top application. In addition to the above, the following shall apply:

(a) *Nonpostal U.S. Currency Money Orders*. Nonpostal U.S. currency money orders presented for payment in an amount greater than the total State Department fees will be payable to the U.S. Postal Service.

(b) *Canadian and Other Foreign Money Orders*. Canadian postal money orders and other foreign postal money orders, to be acceptable, must be made payable to the U.S. Postal Service. (These are not valid for payment to Passport Services.)

(3) *Financial Procedures — Accounting Entries*. The following shall apply:

(a) Verify the accuracy of the fee totals for State Department fees and U.S. Postal Service fees.

(b) Enter the dollar amount of the postal domestic money order purchased in AIC 100.

(c) Enter the money order fee in AIC 101.

(d) Enter the execution fee amount for each DSP-11, *Passport Application,* accepted, in AIC 264, USPS Passport Fees.

(e) The cash portion of the transaction will post to AIC 752.

422.274 **Express Mail Purchase by the Customer — Procedures**

Acceptance employees are encouraged to sell customers Express Mail Service to expedite service for transmittal of their application(s) to the passport agency office, return delivery of their passport to them, or both. In addition to expediting delivery, Express Mail provides the customer a method of documenting delivery, with the benefits of tracking. Use of Express Mail for sending the application provides customers assurance their passport application has arrived. The following shall apply:

a. For Express Mail purchased by the customer for delivery of the passport from the passport agency office to the customer, staple a labeled Express Mail envelope to the passport application. The Express Mail envelope must be prepaid (stamped), addressed by the customer. The customer must purchase Express Mail for each application for which Express Mail return service is desired. (For example, a family cannot have their passports delivered to them in one Express Mail envelope). Express Mail cannot be prepaid with a meter strip or PVI label, for service reasons. Indicate the Express Mail amount on Form 5659*, Daily Passport Application (DSP-11) Transmittal,* in the column headed USPS Fee Express Mail Amount.

b. For Express Mail purchased by the customer for mailing of the application(s) from the acceptance location to the passport agency office designee, follow Express Mail procedures. This provides individual Express Mail Service for a passport application or multiple applications rendered for one customer visit (for example, a family need only pay for one Express Mail transaction, to mail the family's applications) to the passport agency office. Ensure these Express Mail pieces are dispatched daily to meet Express Mail critical entry times. Do not include these Express Mail pieces on Form 5659.

422.28 End-of-Day and Individual Clerk Closeout Procedures

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

Passport applications must be remitted daily, with supporting documents, corresponding payment and Form(s) 5659, *Daily Passport Application (DSP-11) Transmittal*.

a. *Separation of Applications According to Handling.* The following types of passport applications are required to be queued and mailed separately by postal acceptance locations and are handled in different ways by the passport agency office or designee.

(1) *Routine Service Passport Applications*. Routine Service passport applications are for passport agency office delivery to the customer in 25 days of receipt of the application by the passport agency office, in accordance with *Passport Agent's Reference Guide.* These passport applications are grouped together and mailed in bundled groupings with accompanying Form(s) 5659. Included in this grouping may be routine service applications for which the customer has paid Express Mail for delivery of the passport to the customer.

(2) *Expedited Service Passport Application.* Expedited service passport applications require payment of an additional State Department fee, and are processed within 3 days of receipt of the passport application by the passport agency office in accordance with the *Passport Agent's Reference Guide.* These passport applications are grouped together and mailed in bundled groupings with accompanying Form(s) 5659. Included in this grouping may be applications for which the customer has paid Express Mail for delivery of the passport to the customer.

(3) *Express Mail Purchase by the Customer.* Customers desiring fast service may purchase Express Mail to the passport agency office and/or Express Mail service for delivery of the passport to the customer. When the customer purchases Express Mail to the passport agency office, the application (whether routine or expedited, for service in 3 days) will be sent individually via Express Mail with its own Form 5659 and payment. Multiple applications in one customer visit (a family, for example) may be sent in one Express Mail envelope.

b. *Form 5659, Daily Passport Application (DSP-11) Transmittal.* The completed transmittal is the facing page for each grouping of routine or expedited passport applications, with supporting documentation and accompanying payment. It is required by the State Department. It also is the top sheet on passport applications for which the customer has purchased individual Express Mail from the retail unit to the passport agency office designee. It is the log of individual passport application activity for both the State Department and the U.S. Postal Service. Accuracy must be ensured during preparation. The following apply:

(1) Assemble applications in accordance with the *Passport Agent's Reference Guide.*

(2) Use Form 5659, *Daily Passport Application (DSP-11) Transmittal,* 1-page form available from the Postal Service Intranet web site *(http://blue.usps.gov/formmgmt/forms.htm)* or the 2-part form. The original accompanies the passport applications, copy 2 stays at the retail unit. When the 1-page Form 5659 is used, make 1 copy of the completed Form 5659, made by an office copier. Retain the copy at the retail unit.

(3) Complete Form 5659, making a separate line entry for each application with associated total State Department fees, accepted during the day. Also indicate any Express Mail purchased for delivery of the passport from the passport agency office to the customer. (Ensure that the stamped and labeled Express Mail envelope is attached to the application.) If an application was sealed after execution for the customer to hand carry, list the application on Form 5659 and note in Remarks to whom the application was hand carried.

(4) Enter the Total Fees to State Department for each application. For multiple applications in a customer visit when one check or money order is prepared (a family), write the total State

Department fees (money order or check amount) on the line for the first application of the group entered on Form 5659. Indicate with a bracket which applications are included in the group or family.

(5) Enter the USPS Execution Fee (AIC 264) amount total for the entire transmittal on the bottom of Form 5659.

(6) The *Clerk's Initials* column identifies the employee who actually accepted the application when more than one employee is involved.

(7) Before mailing, verify that all passport applications have been logged on the appropriate Form 5659, and verify the accuracy of all entries.

(8) Before mailing, a supervisor or other employee should review the completed Forms 5659 and related applications for accuracy. Then the reviewer initials the *Reviewer Initials* line to indicate concurrence.

(9) Retain one copy of the completed Form 5659 at the acceptance unit for 4 months, then destroy it.

c. *Daily Mailing of Passport Applications to the Passport Agency Office or Designee.* On the day of acceptance, mail all passport applications with attached checks and money orders, supporting documents, and Form(s) 5659 to the passport agency office designated location for processing. The following shall apply:

(1) Follow procedures as outlined in the *Passport Agent's Reference Guide.*

(2) Mail groupings of routine and expedited passport applications by Express Mail or by Priority Mail with delivery confirmation from the acceptance unit to the passport agency office designee, to provide a record of delivery. Attach the finance copy of the Express Mail label to the Form 5659 retained at the acceptance location.

(3) Mail applications separately for each customer purchasing Express Mail service for mailing from the acceptance location to the passport agency office designee.

(4) Ensure that critical entry times for Express and Priority Mail are met.

(5) For applications received after the cut-off time, advise the customer of the service time for delivery.

422.282 Individual Clerk Closing Procedures

At closing, the following shall apply:

a. Generate Form 1412.

b. Verify for accuracy, ensuring that the Form 1412 amount for AIC 264 and the Form 5659 total AIC 264 amounts match.

c. Retain a copy of Form 1412, at the acceptance unit supported by the copy of Form 5659.

422.29 Reports, Records, Discrepancies, Forms, and Supplies

422.291 Reports, Records, and Discrepancies

a. *Acceptance Post Office Contact and/or Postmaster*. The following shall apply:

(1) For quality control, each passport agency office maintains an informal log of the number and type of errors on applications.

(2) Errors must be discussed with the responsible employee for immediate corrective action.

(3) Customer complaints about the passport application service received from any source should be analyzed and considered with the error reports to determine additional training requirements.

(4) If either the acceptance office or the passport agency office discovers that the Postal Service transmitted an underpayment or overpayment to the State Department, contact will be made between the two offices to resolve the discrepancy.

(5) Since the State Department has all the necessary customer information and passport application, when customer contact is required, the State Department will handle any resolution which is required with the customer, for either overpayment or underpayment. The State Department will notify the acceptance office when resolution is reached with the customer.

(6) For other administrative discrepancies, when the correct amount was collected from the customer, if the discrepancy cannot be resolved between the passport application acceptance post office and the passport agency office, then the discrepancy will be directed to the Postal Service district finance manager for resolution with the passport agency office. The discrepancy will generally be resolved within 60 days.

b. *District Finance*. The following applies.

(1) *Accuracy of Acceptance Unit Accounting Data*. District Finance has responsibility for verification of accuracy of AIC 264 amounts. Verify that the amounts on Form 5659 match the AIC 264 amounts on Form 1412 during random verification of supporting documentation. Differences must be resolved with the passport acceptance office. If not, contact the acceptance post office for resolution.

(2) *Discrepancy Resolution.* District finance will handle resolution of other administrative discrepancies regarding payment to the passport agency offices, when the correct amount was collected from the customer. Other functions will provide input and participation as required. The discrepancy will generally be resolved within 60 days.

c. *Area and Headquarters Finance — Resolving Administrative Discrepancies.* The following will apply:

(1) In the event that the discrepancy cannot be resolved by district finance, it is then directed to the manager, finance, area office, for resolution with Passport Services, State Department.

(2) If the discrepancy cannot be resolved at the area level, then it is directed to the manager of Post Office Accounting, Headquarters for resolution with the State Department, with input from Retail at Headquarters as required.

422.292 **Forms and Supplies**

a. *Items Used.* In addition to these procedures, Form 5659, and the *Passport Agent's Reference Guide,* the following supplies are used for the passport application acceptance program:

Item Number	Descriptive Title
DSP-10A	Birth Affidavit
DSP-11	Passport Application
DSP-19	Passport Amendment/Validation Application
DSP-60	Affidavit Regarding Lost or Stolen Passport
DSP-64	Statement Regarding Lost or Stolen Passport
DSP-71	Affidavit of Identifying Witness
DSP-82	Application for Passport by Mail
M-264	Foreign Entry Requirements
M-343	Notice to Applicants Concerning Birth Records
(no number)	Passports, the Easy Way Brochure

b. *Requisitioning Procedures.* Requisition all items from the Topeka Material Distribution Center (MDC) on Form 7380, *MDC Supply Requisition.* All blank forms and related materials are described in the *Passport Agent's Reference Guide. Do not* requisition forms or supplies from passport services, except for the *Passport Agent's Reference Guide*, which is provided by the passport agency offices.

422.3 (Reserved)

422.4 Migratory Bird Hunting and Conservation Stamp Program

422.41 Description

Federal law requires persons ages 16 and older who hunt migratory birds (i.e., ducks and geese) to obtain migratory bird hunting and conservation stamps, commonly known as "duck stamps." Post offices act as agents of the U.S. Fish and Wildlife Service (FWS) by selling these stamps. Duck stamps are sold at nearly 10,000 post offices, including all CAGs A–G post offices and at CAG K and L offices where there is a demand for them.

422.42 Background

422.421 Fees

The federal government levies a user's fee on waterfowl hunters to finance the preservation of nearly 4 million acres of marshes and wetlands used as migratory bird habitats. Because of the extensive demand for duck stamps, the Postal Service has agreed to become agents of FWS in selling these stamps.

422.422 Survey Post Offices

The Postal Service assists FWS in conducting a survey of waterfowl hunters. The survey is designed to estimate the annual hunting kill. Window clerks at post offices selected by FWS distribute a card to each duck stamp purchaser. The customer completes the card and returns it to the clerk, who postmarks and mails the cards to FWS daily. FWS is responsible for selecting survey post offices and distributing survey cards to them.

422.43 Implementation

422.431 Staff Responsibility

Postmasters are responsible for implementing the program. The following steps are to be used:

a. Determine quantities to order.

b. Display posters in the lobby.

c. Follow stamp accountability procedures.

d. Follow reporting procedures.

422.432 Quantities of Stock

Determine the number of duck stamps required each year from an analysis of actual sales in prior years. Postal Service Headquarters and FWS work together to print and distribute duck stamps. Each year by December 5, FWS provides the Postal Service with the artwork and copy for the coming year's duck stamps.

422.433 Displays

Postal Service Headquarters assists FWS with the printing and distribution of a lobby poster promoting duck stamps. Refer to the schedule of lobby displays and promotions published monthly in the *Postal Bulletin* for information on display of the poster.

422.434 Stamp Accountability

Duck stamps are treated in the same manner as Postal Service postage stock; however, they are classified as "nonpostal" stamps. Refer to Chapter 4 of Handbook F-1, *Post Office Accounting Procedures,* for detailed information.

422.435 Reporting Procedures

A year-end report on the number of duck stamps sold by each post office in the state is furnished to FWS. The Postal Service also provides FWS with quarterly reports on the number of duck stamps sold in each state.

422.5 Housing Vacancy Surveys

422.51 General

An interagency agreement between the Postal Service and the Federal Home Loan Bank Board (FHLBB) establishes the terms, conditions, and reimbursement rates under which the Postal Service will conduct Housing Vacancy surveys in City Delivery offices when requested by the FHLBB.

422.52 Restrictions

The agreement only authorizes the disclosure of aggregate statistical data (see 352.42).

422.53 Postmaster's Responsibility

The following apply:

a. The FHLBB notifies a postmaster when his or her office is selected to conduct a Housing Vacancy Survey. Normally, the postmaster receives written notification 30 days before the date FHLBB would like the Postal Service to conduct the survey. The Service is under no obligation to use overtime or auxiliary assistance to conduct these surveys. The postmaster or designee will schedule the survey on or near the date requested and advise the FHLBB so that the necessary forms may be provided on time.

b. All necessary forms and instructions must be supplied directly to each post office to be surveyed. Postmasters must designate a manager in each delivery unit to coordinate the survey within the unit and to review completed survey forms for accuracy.

c. FHLBB may request the Postal Service to perform special or emergency surveys with less than 30 days advance notice. Every reasonable effort should be made to accommodate such requests.

d. Housing Vacancy Surveys must not be conducted during December of any year.

e. To notify Headquarters of the offices that conducted surveys, postmasters must send the original copy of the Postmaster's Summary Report to:

MANAGER RETAIL SUPPORT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-6809

A copy of that form as well as the original survey form are sent to the Federal Home Loan Bank, which then remits payment directly to Postal Service Headquarters. The address to send the completed forms and the copy of the Summary Report is:

FEDERAL HOME LOAN BANK BOARD
PO BOX 60
INDIANAPOLIS IN 46206-0060

f. The Postal Service must not release or publish any survey results except in response to a court order, subpoena, or as required by the Freedom of Information Act.

423 Mutual Cooperation and Support

The Postal Service makes arrangements with other agencies for cooperation and support when it will be mutually advantageous. A partial list of such arrangements and references to further details is shown below:

Activity	Agency	Reference
Mailing list correction	Government agencies and Members of Congress	DMM A910
Lend mail equipment	Government agencies (generally)	POM 58
Unscheduled public bulletin board displays in lobbies	Government agencies (generally)	POM 125.361
Sales of U.S. Savings Bonds through postal payroll deductions	Treasury Department	ELM 616
Storage of burial flags for veterans	Department of Veterans Affairs	ASM 474
Interchange of space in buildings	General Services Administration	ASM 517
Maintenance of interchanged buildings	General Services Administration	ASM 533
Purchase of supplies through GSA stores and depots	General Services Administration	None available
Decennial and other censuses	Census Bureau or Commerce Department	None; interagency agreements as necessary

43 (Reserved)

44 (Reserved)

45 Postal Rate Commission

451 Policy

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

452 Responsibilities

452.1 Manager of Activity-Based Management

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

a. Directs the coordination and review of all proposed responses to requests from the PRC for information, and ensures that the Law Department and other affected organizations approve all responses before they are provided to the PRC.

b. Coordinates requests for PRC visits to postal installations with the appropriate operations officials, the general counsel, the heads of the organizations to be visited, and other appropriate postal officials, as necessary.

c. Prepares notification of visits to the postmaster general, the chief operating officer, the chief financial officer, the chief marketing officer, the general counsel, and other postal officials, as necessary.

452.2 Chief Counsels

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

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

452.3 Managers of Field Installations

452.31 PRC Requests

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

452.32 Notification of PRC Itineraries

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

453 Inquiries on Postal Policy

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

46 Relations With Private Agencies

461 American Red Cross

461.1 General

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

461.2 Responsibilities

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

461.3 Joint Services Provided

461.31 General

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

461.32 Address Changes

461.321 Form 3575

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

461.322 Disaster Relief

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

461.33 Other Efforts

461.331 Disaster Planning

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

461.332 Information Exchange

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

462 Combined Federal Campaign (Reserved)

463 Carrier Alert

463.1 Policy

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

463.2 Responsibility

Corporate Relations is responsible for Carrier Alert activities that include:

a. Providing advice to field managers when needed.

b. Responding to media inquiries and providing information about Carrier Alert to the public.

c. Advising the postmaster general on actions necessary to keep the public well informed of postal policy regarding Carrier Alert.

463.3 Procedures

463.31 Notification

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

463.32 Postal Liaison

463.321 Employee Designation

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

463.322 Program Organization

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

463.4 Criteria

The following criteria apply to Carrier Alert:

a. The local sponsoring community agency performs Carrier Alert program administration, including soliciting and accepting applications and record keeping. The Postal Service cannot participate until the sponsoring agency fulfills its responsibilities. The sponsoring agency makes the Carrier Alert files it maintains (with the exception of confidential medical information) available to the Postal Service upon request, particularly the applications and statements of release.

b. Participation in Carrier Alert is voluntary, and there will be no additional compensation for Carrier Alert activities.

c. Postal participation in Carrier Alert should be directed jointly by local postal management and local NALC branch and/or NRLCA branch leadership.

d. The local sponsoring agency must bear the costs, such as printing, promotion, and record keeping, of administering Carrier Alert at the local level.

e. The application form used to register for Carrier Alert service must include the statement on Exhibit 463.4a.

f. Any publicity or promotional material used is subject to the review and approval of the Postal Service. Registrants and social service agencies should understand the limitations of Carrier Alert and avoid using phrases in promotional material that indicate that “life-saving or rescue services are provided.” References that imply an obligation to “look after,” “protect,” or “rescue” a customer denote a degree of involvement not contemplated by Carrier Alert. Also, statements that letter carriers make “daily” checks for mail accumulation should not be used since no delivery is provided on Sundays or holidays. Also, carriers check for mail accumulation only on days when a customer receives mail.

g. Carrier Alert is a reassurance and notification service and should not be confused or substituted for any community crime prevention programs.

h. A registrant must have a mailbox to be eligible for Carrier Alert.

i. Registrants served by letter carriers who do not want to participate in Carrier Alert are not eligible for Carrier Alert.

j. Local procedures should be developed for the following:

(1) Notification to the post office and carrier of new registrants.

(2) Procedures for affixing the identification decal inside a registrant’s mailbox.

(3) What constitutes an accumulation of mail that would prompt a call to the social service agency for follow-up.

(4) Method for reporting mail accumulation to the local social service agency.

A sample plan for local implementation is shown in Exhibit 463.4b.

Exhibit 463.4a

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

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

1. All information furnished by me may be used by the __[sponsoring social service agency]__, including its agents, employees, members, and other representatives, as they deem necessary to carry out the purposes of the program.
2. The United States Postal Service, including its agents, employees, and other representatives, may, when there appears to be an undue accumulation of mail in my mailbox, inform the __[sponsoring social service agency]__ for such action as the latter may consider to be appropriate under the program.
3. Whenever I expect to be away during one or more days on which mail is delivered, I will inform the Postal Service by means of written notification in my mailbox, and I will cover the Carrier Alert decal inside my mailbox (with tape or by other means) during my absence.
4. Participation in the program by Postal Service employees is a voluntary activity that is undertaken on my behalf and at my request. I understand that there cannot be, and that there is not, a guarantee, warranty, promise, or implication that any Postal Service employee (including but not limited to the carrier who normally delivers my mail and any substitute or replacement) will necessarily take a specific course of action under any portion of the program. I also understand that the program is not intended, directly or indirectly, to give me legal rights of any nature or description against any organization or party specified, named, or described elsewhere in this *Statement of Understandings and Release of Liability by Registrants in Carrier Alert Program.* In consideration of these factors, I hereby release and discharge all such organizations and parties from all actions, suits, judgments, executions, debts, claims, or demands of every kind and nature based on any acts, omissions, or other factors based on, or related to, or arising out of, the program.
5. I may end my participation in the program by providing a written notification in my mailbox at least 30 days prior to termination.

__[Signature of Registrant]__

___[Date]___

Exhibit 463.4b
Sample Plan for Local Implementation

I. PURPOSE The purpose of Carrier Alert is to provide reassurance to participating individuals that a responsible agency will be alert to check on their well-being when an accumulation of mail might signify the possibility of accident or illness.

II. SPONSORSHIP

A. Branch _____, National Association of Letter Carriers and/or Branch _____, National Rural Letter Carriers' Association.

B. _____ Post Office.

C. _____ Social Service Agency.

III. DIVISION OF RESPONSIBILITY

A. Registrant

1. Uses the forms supplied by the social service agency to register for Carrier Alert.
2. Promptly notifies the letter carrier if he or she plans to be away from home and not pick up mail. (See *Statement of Understanding and Release of Liability by Registrants in Carrier Alert Program.*)

B. Social Service Agency

1. Maintains a roster of registrants.
2. Sends an acknowledgment letter to each registrant.
3. Notifies the post office weekly of the name and address of persons who register for Carrier Alert.
4. Initiates follow-up action when notified of mail accumulation at a registrant's home.
   (a) Telephones registrant. If no answer,
   (b) Telephones the person listed on the registration form designated as the person to contact in case of emergency. If no answer,
   (c) Sends a staff person to the registrant's home or apartment. If no answer,
   (d) Contacts the police, explains the situation, and asks that the home be entered.

C. Letter Carrier

1. Watches for the accumulation of mail in a registrant's mailbox.
2. Notifies a supervisor or other designated individual of the name and address where a mail accumulation is observed.

D. Postal Supervisor or Designated Individual

1. Notifies the social service agency of information provided by the letter carrier.
2. Contacts the chief field counsel for further legal guidance as necessary during the implementation or administration of this plan.

IV. EVALUATION An evaluation plan will be developed locally and used to track the performance and effectiveness of the program.

47 Flags

471 Flags at Postal Facilities

471.1 Which May Be Displayed

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

471.2 Relative Placement

471.21 When Displayed on Flagstaffs

Other flags are flown below the U.S. flag if displayed on the same flagstaff and at the same level or lower if displayed on a separate flagstaff. When the U.S. flag is flown at half-staff, all other flags are to be at half-staff also.

471.22 When Displayed on Speaker's Platform

When the United States flag and the Postal Service flag are displayed on a speaker's platform in an auditorium, the United States flag must occupy the position of honor and be placed at the speaker's right as the speaker faces the audience, with the Postal Service flag at the speaker's left.

472 U.S. Flag Display

472.1 Regulations for Proper Display

472.11 Placement

If the flag of the United States is not flown from a vertical flagstaff, the following regulations apply:

a. When the flag is displayed from a staff projecting horizontally or at an angle from the window sill, balcony, or front of a building, the union of the flag (blue field and stars) must be placed at the peak of the staff unless the flag is at half-staff.

b. When the flag is suspended over a sidewalk from a rope extending from a building to a pole at the edge of the sidewalk, the flag must be hoisted out, union first, from the building.

c. When the flag is displayed otherwise than by being flown from a staff, it must be displayed flat, whether indoors or out, or so suspended that its folds fall as free as though the flag were staffed.

472.12 Respect

No disrespect may be shown to the flag of the United States of America. It must never:

a. Be dipped to any person or thing.

b. Be displayed with the union down save as a signal of dire distress.

c. Be used as drapery of any sort whatsoever, never festooned, drawn back, nor up in folds, but always allowed to fall free.

d. Touch anything beneath it, such as the ground, the floor, water, or merchandise.

e. Be fastened, displayed, used, or stored in such a manner as will permit it to be easily torn, soiled, or damaged in any way.

f. Be used as a covering for a ceiling.

g. Have placed upon it, nor on any part of it, nor attached to it any mark, insignia, letter, word, figure, design, picture, or drawing of any nature.

h. Be used as a receptacle for receiving, holding, carrying, or delivering anything.

472.13 Raising and Lowering

472.131 Full Staff

As soon after sunrise as practicable, the flag must be hoisted briskly to the peak of the staff. Care must be taken that it not touch the ground. The flag must always be displayed with the union (blue field) at the peak of the staff (unless the flag is at half-staff). No later than sunset the flag must be lowered ceremoniously and not allowed to touch the ground. It must be folded or rolled carefully and stored where it will not be soiled or otherwise damaged. If the flag is wet when taken down, it must be carefully spread out and allowed to dry thoroughly before being stored.

472.132 Half-Staff

Displaying the flag at *half-staff* means lowering the flag to half the distance between the top and bottom of the staff. The flag must first be hoisted to the peak of the staff and then slowly lowered to half-staff. When the flag is lowered for the day, it must be raised again to the peak and then lowered slowly before being stored for the night. When the flag is displayed at half-staff during a period of mourning, it must be so displayed on all days included in such period.

472.14 Bad Weather

During severe weather when it is probable that the flag will be damaged, it should not be flown.

472.2 Postal Display

472.21 Where Displayed

The flag of the United States must be displayed on stationary flagstaffs at all post offices, branches, stations, terminals, garages, and postal facilities, including leased and rented premises. If the post office unit is located in a

facility operated by the General Services Administration, that agency's regulations on the display of the flag govern. If the post office unit is located on a military reservation, the military regulations on the display of the flag on the reservation govern.

472.22 When Displayed

When employees are on duty in a postal facility, the flag must be displayed except in severe weather as noted in 472.14. It is raised as soon after sunrise as practicable and lowered at the time of closing or no later than sunset.

472.23 When Displayed Half-Staff

472.231 Specific Days

When the flag is being displayed, it must be flown at half-staff (see 472.132) on the following dates:

May 15	Peace Officers Memorial Day
Fourth Monday in May	Memorial Day Observed (see note below)
July 27	National Korean War Veterans Armistice Day
December 7	National Pearl Harbor Remembrance Day

Note: On the fourth Monday in May when Memorial Day is observed, the flag must be flown at half-staff from sunrise, or the hour at which it is raised, *until 12 noon,* and then hoisted to the peak of the staff, where it must be flown until the time of closing or no later than sunset.

472.232 Deaths of Prominent Persons

When the flag is being displayed, it must be flown at half-staff on the death of any person as indicated in Exhibit 472.232.

472.233 Other Occasions

Other occasions on which the flag may be displayed at half-staff include the following:

a. On days proclaimed by the president of the United States.

b. The heads of government departments and agencies may direct that the flag be flown at half-staff on buildings, grounds, etc., under their jurisdiction on occasions other than those specified which they consider proper. The vice president of Corporate Relations notifies area, district, and plant managers by either broadcast fax or electronic mail of such an order. They, in turn, notify the heads of all postal facilities reporting to them.

c. The flag may be displayed at half staff on days when funerals of returned war dead are being held locally, when the flags on municipal, county, or state buildings and business establishments generally are being displayed in that manner.

Exhibit 472.232
Half-Staff Display on Death of a Prominent Person

On Death Of:	Flag Displayed Half-Staff:	On All Federal Buildings In:
President or former President	For 30 days from date of death	District of Columbia; throughout the U.S., and its territories and possessions
Vice President U.S. Chief Justice or retired Chief Justice Speaker of the House of Representatives	For 10 days from date of death	
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 U.S. Representative Delegate	On date of death and following day	Metropolitan area of District of Columbia; the state, congressional district, territory, or commonwealth
Resident Commissioner from Commonwealth of Puerto Rico	From date of death until interment	Commonwealth of Puerto Rico
Governor of a state, territory, or possession	From date of death until interment	The state, territory, or possession
Prominent local citizen	From date of death until immediately after funeral	Locally
Other official, former official, or foreign dignitary	The flag is displayed half-staff under orders or instructions issued by or at the direction of the President, or according to recognized customs or practices not inconsistent with law.	

472.3 Requisitioning New Flags

Requisitions for new flags must be submitted by field officials to the General Services Administration (GSA).

473 U.S. Flag Maintenance and Supply

473.1 Repairs

Flags that are frayed or torn must be neatly hemmed and continued in use.

473.2 Destruction

When a flag is badly worn and is no longer a fitting emblem for display, it may not be cast aside or used in any way that might be viewed as disrespectful to the national colors, but it must be destroyed as a whole, privately, in a dignified manner and preferably by burning.

473.3 Requisitioning New Flags

Requisitions for new flags must be submitted by field officials to their designated material distribution centers.

474 U.S. Burial Flags

474.1 Policy

474.11 Deceased Veterans

It is provided in 38 U.S.C. 901, as amended by Public Law 89–358, that a flag be furnished to drape the casket of each deceased veteran who:

a. Was a veteran of any war, of Mexican border service, or of service after January 31, 1955.

b. Had served at least one enlistment.

c. Had been honorably discharged or released from the active military, naval, or air service for a disability incurred or aggravated in the line of duty.

474.12 Disposition of Flag

The law further provides that after burial of the veteran, the flag furnished must be given to the next of kin; or, if not claimed by next of kin, to a close friend or associate of the deceased veteran on request.

474.2 Cooperation With VA

474.21 Post Offices as Depositories

Postmasters at CAG A–J offices and at CAG K offices at county seats must cooperate with the Department of Veterans Affairs (VA) when requested to act as depositories for burial flags. On the death of a veteran and in compliance with rules and regulations issued by the VA, a depository must issue a flag to drape the casket.

474.22 Correspondence

VA supplies burial flags, application forms, and the rules and regulations governing flag issue. Postmasters must address all correspondence about the supply and issuance of the flags to the VA regional offices that use their office as a depository.

475 Postal Service Flag Display

475.1 Authorized Use

The Postal Service flag is authorized for use as follows:

a. On or in front of Postal Service installations.

b. At Postal Service ceremonies.

c. At conferences in which the Postal Service is participating (including display in Postal Service conference rooms).

d. At governmental or public appearances of Postal Service officers and/or executives.

e. In the offices of Postal Service officers.

f. By all Postal Service vice presidents of Area Operations, district managers, and all field units reporting directly to Headquarters.

g. On the approval of a vice president, when judged to be in the best interest of the Postal Service.

h. As otherwise authorized by the postmaster general or designee.

475.2 Display Regulations

The Postal Service flag is displayed only in conjunction with the United States flag. The same regulations for proper display of the United States flag described in 471 and 472 must also be followed when displaying the Postal Service flag.

475.3 Requisitioning New Postal Service Flags

Postal Service flags are no longer stocked in the material distribution centers. Requisitions for new flags are submitted by field officials through channels to one of the currently approved vendors. Authorization for issuance of the new flags is based on the policy in 475.1.

476 POW-MIA Flag Display

476.1 Policy

The Defense Authorization Act, Public Law 105-85, section 1082, requires that postal facilities display the POW-MIA flag on six specified days each year:

Armed Forces Day	Third Saturday in May
Memorial Day	Last Monday in May
Flag Day	June 14
Independence Day	July 4
National POW-MIA Recognition Day	Third Friday in September
Veterans Day	November 11

Note: If any of these days fall on a non-business day, postal facilities are required to display the POW-MIA flag on the last business day before the designated day.

476.2 Display

476.21 Description

The POW-MIA flag that may be flown at postal facilities is the National League of Families POW-MIA flag that is recognized officially and designated by Public Law 101-355, section 2.

476.22 Regulations

The POW-MIA flag must be displayed in a manner designed to ensure visibility to the public.

476.23 Placement With the United States Flag

No other flag should be placed above or, if on the same level, to the right of United States flag.

476.3 Requisitioning New POW-MIA Flags

To order, use the FEDSTRIP Activity Address Code as for any normal supply requisition on PS Form 7380, *MDC Supply Requisition,* to the following address:

MATERIAL DISTRIBUTION CENTER
ATTENTION: SUPPLY REQUISITIONS
UNITED STATES POSTAL SERVICE
500 SW MONTARA PARKWAY
TOPEKA KS 66624-9607

5 Facilities and Equipment

51 Facilities

511 General

511.1 Responsibilities

Facilities is an enabling organization whose primary mission is to provide quality real estate, facilities products, and services to meet the present and future needs of Postal Service operations.

511.11 Overall

The Facilities organization is responsible for:

a. Facility requirements and planning, including: facility space planning, real estate, design and construction, and decision analysis report preparation.

b. Providing continued occupancy of leased facilities.

c. Providing new and/or improved facilities.

d. Outleasing, subleasing, and/or developing excess or underutilized space in existing owned and leased facilities that is not currently required or is being held for future operational requirements or disposing of those facilities.

e. Contracting for facility projects valued at less than $10 million. (Those over $10 million are contracted for by Major Facilities Purchasing in Purchasing and Materials.)

f. Providing environmental assessments and related evaluations.

g. Coordinating the development of material handling systems with Engineering.

h. Coordinating the security and safety requirements with the Postal Inspection Service, the security control officer, and the Office of Safety and Risk Management.

511.12 Area Offices

All area offices have responsibility within prescribed limits for:

a. Facility requirements and planning.

b. Building inspections.

c. Facility repairs and alterations.

d. Supply management, supplies, and services.

511.13 References

Handbook AS-504, *Space Requirements,* has instructions to carry out facility requirements and space planning. Handbook RE-1, *Realty Acquisition and Management,* has policy and procedures to carry out acquisition, disposal, leasing, historic preservation, fine arts, and management of real property. Handbook AS-503, *Standard Design Criteria*, provides designs, criteria, and specifications for new buildings and repair and alteration of existing structures. Handbook RE-6, *Facilities Environmental Guide,* provides procedures and guidelines governing the environmental aspects of leasing, acquiring, managing, developing, and disposing of real property. Handbooks RE-12, *Repair and Alteration Surveys,* and RE-13, *Repair and Alteration of Real Property Facilities,* provide criteria to districts and plants for conducting building inspections and initiating repair and alteration projects. Handbook P-2, *Design and Construction Purchasing Practices*, has policies and procedures to carry out design, construction, and support contracts under the Purchasing Manual. Other reference materials include Handbook AS-505, *Mechanization Design Specifications*; Specification USPS M-5000, *Specification Standards for Mechanized Mail Processing Systems*; MD-15 Series, *Fixed Mechanization Standard Drawings*; Handbook RE-4, *Standards for Facility Accessibility by the Physically Handicapped;* Handbook RE-5, *Building and Site Security Requirements;* Handbook AS-707-H, *Contracting for Food Services;* and Handbook EL-602, *Food Service Operations.* Facilities publication 59, *Architect-Engineer Project Management*, has guidelines and procedures related to architect-engineer professional services contracts.

511.2 Delegation of Authority

511.21 Approval Authority

511.211 Handbook F-66 Series

The handbook F-66 series on investment policies and procedures contains policy information and provides for approval authority for:

a. The purchase, construction, lease, alteration, maintenance, and repair of postal land, facilities, and equipment.

b. The disposal of equipment, leased land, leased facilities, and Postal Service-owned land and buildings.

511.212 Delegation

Delegation of this authority for some items is granted to the vice presidents of Area Operations, district managers, processing and distribution (P&D) center managers, bulk mail center managers, and Postal Career Executive Service (PCES) postmasters. For some items, these managers have the option to redelegate portions of this to managers within their organizations.

511.22 Contracting Authority

Authority for approving and entering into design and construction contracts is provided in the *Purchasing Manual,* Chapter 1 (Authority, Responsibility, and Policy); and is subject to the procedures in Handbook P-2, *Design and Construction Purchasing Practices.* Contracting authority for Real Estate and its related services is found in Handbook RE-1, *Realty Acquisition and Management.*

512 Facility Requirements

512.1 General

512.11 Policy

Before reaching decisions on new or improved facilities, every effort must be made to continue occupancy of the present facility, as long as there is capability to meet expected future requirements in capacity and service standards. The criterion for adding to or replacing facilities is improvement of postal service at least cost. New construction is authorized only when the use of an existing building cannot be justified from a service, environmental, employee, space constraint, or economic standpoint.

512.12 Definitions

The following definitions apply:

a. *Major facility projects* — all projects costing $5 million or more.

b. *Area facility projects* — all projects costing less than $5 million.

512.13 Responsibilities

512.131 Headquarters

Facilities has overall responsibility for preparing, analyzing, and obtaining requirements for postal facilities.

512.132 Area Offices

Vice presidents of Area Operations develop and implement short- and long-range facilities requirements.

512.14 References

The primary documents used in planning for capital investment in facilities are the handbook F-66 series on investment policies and procedures. Handbook AS-504, *Space Requirements,* is the document used for space planning.

512.2 Facility Planning and Budgeting

512.21 Project Identification

512.211 Approval Factors

Requirements for new or improved facilities may be approved on the basis of one or more of the following types of factors:

a. Employee factors such as providing safe and healthful working conditions.

b. Service factors considering severe capacity deficiencies, growth, lease preemption, and condemnation.

c. Economic factors such as providing a positive return on investment (ROI) (see handbook F-66 series).

512.212 Long-Range Planning

Long-range facility planning at the district, plant, and area office levels usually identifies problem facilities and provides adequate lead time for all alternatives to be considered and for proper action to be initiated.

512.213 Notification of Deficiencies

The postmaster or plant manager is responsible for notifying next higher management of specific facility deficiencies.

512.22 Project Scheduling

512.221 Five-Year Needs

When developing area office budget submissions, district and Processing and Distribution Center (P&DC) managers prepare a list of facilities within their jurisdiction that should be considered for action within the next 5 years (see handbook F-66 series on investment policies and procedures). The Postal Service maintains the *5-Year Capital Investment Plan* and reviews it annually.

512.222 Planning Cycle

The planning cycle schedule for individual facility projects includes only projects requiring planning or budgeting action for the first 2 years of the 5-year budget.

512.223 Priorities — Area Projects

Priorities for area facilities considered for replacement are determined by using Form 2282, *Facility Evaluation Sheet (Space & Condition),* with on-site reviews. The form is prepared by the district Administrative Support office for customer service facilities or the In-Plant Support office for P&D facilities.

512.224 Priorities — Major Projects

Priorities for major projects are determined by the chief operating officer and executive vice president, using the recommendations and justifications submitted by the area offices, in conjunction with on-site reviews.

512.23 Planning Documentation

512.231 Preparation

Responsibility for developing planning documentation is based on the facility category:

Facility Category	Facility Planning Concept	Space Requirement	Decision Analysis Report
Customer Service Under $5 Million	AS	AS	AS
Customer Service $5 Million and Over	AS	AS	FSO
Processing & Distribution Under $10 Million	IPS	IPS	IPS
Processing & Distribution $10 Million and Over	IPS	FP&A	FP&A

AS = Administrative Support Office
IPS = In-Plant Support
FSO = Facilities Service Office
FP&A = Headquarters Facilities Planning & Approval

512.232 Facility Planning Concept

A facility planning concept is a document showing the operational functions to be performed in a new facility and how these will affect other units in the service area. Detailed instructions for preparation of facility planning concepts issued by Facilities are available in Management Instruction AS-520-96-9, *Facility Planning Concept.*

512.233 Space Requirements

Space requirements are developed under Handbook AS-504 using Form 919, *Facility Planning Data,* and Form 929, *Major Facility Planning Data.*

512.234 Decision Analysis

A decision analysis is prepared for each project following instructions in handbook F-66 series on investment policies and procedures.

512.3 Funding Approval

All projects must be approved within the delegations of approval authority specified by the vice president, Finance, Controller.

512.4 Facility Activation

Guidelines for activating new facilities are specified in Handbook AS-501, *Postal Facility Activation,* and Handbook AS-502, *Activation of Non-Mail-Processing Postal Facilities.* This function is Area responsibility.

513 Acquiring Space

513.1 New or Existing Facilities (Leased or Owned)

513.11 Procedures for Acquiring New Space

513.111 Documentation and Requests

The requiring organization forwards requests for acquiring new or existing buildings or land through channels to the official with approval authority for funding, as specified in handbook F-66 series on investment policies and procedures.

513.112 Request for Service or Project Authorization

On final approval of a project, the requiring organization submits a Form 7437, *Facilities Services Request,* and a Form 4209, *Project Authorization,* to the facilities service office (FSO) or major facilities office (MFO) having authority to execute the project.

513.12 Continuing Space in Existing Leased Quarters

To continue occupancy of a leased facility, each successive month the FSO generates and submits a new 24-month expiring lease report to its respective administrative support office (ASO).

513.121 When Annual Rate Is $25,000 or Less

For all leases or renewal options with rental rates of $25,000 or less per year, the FSO sends a report with a cover letter stating that the leases will be renewed. The new lease will provide for a maximum fixed term of 5 years, at a rate not to exceed fair market value. If the district approving official does not want to extend a lease under these conditions, the official must advise the FSO or ASO in writing within 30 days of the date of the cover letter.

513.122 When Annual Rate Is More Than $25,000

For leases over $25,000 per year, the requiring organization must submit a Form 7437, *Facilities Services Request,* to the FSO or MFO as appropriate at least 24 months in advance of the expiring lease term.

513.13 Emergency Space

Upon contact from the postmaster, the responsible service organization will immediately arrange for suitable temporary quarters, finalize the negotiations, and prepare an agreement for the space. If the postmaster is unable to make contact with the responsible service organization, the postmaster may obtain temporary quarters that meet requirements, when emergency space is needed to protect the mail and postal equipment.

513.14 Christmas Space Assistance

The responsible service organization can provide assistance in obtaining temporary space.

513.2 Security and Safety Management

Before submitting requests for acquisition of new or existing buildings or Christmas space, notify the inspector in charge and the servicing safety office so that security and safety arrangements can be coordinated. Any property selected, including that for temporary use, must be examined to ensure that adequate security and safety can be provided to employees, the mail, and postal property.

514 Changes Affecting Leases

514.1 Cancellation

514.11 General

The lease agreement between the Postal Service and lessor may have provisions for cancellation of the lease on written notice.

514.12 By Postal Service

When the requiring organization no longer needs a leased facility, it must submit a Form 7437, *Facilities Services Request,* to notify the responsible service organization. Available options may involve termination of the existing lease, sale of the leasehold interest, renewal of the lease, or outleasing of the space. The Facilities Services Request must be submitted in a timely manner to allow action by the responsible service organization in accordance with provisions of the lease.

514.13 By Lessor

Postmasters must immediately forward to the responsible service organization any notification received from a lessor that purports to terminate or cancel a lease on a leased building.

514.2 Vacating Building

When a lease is terminated, canceled, or expires, and the property is to be vacated, the Facilities contracting officer coordinates with the postmaster to ensure that the premises are vacated and keys are delivered to the lessor by the date specified. Postmasters should remove Postal Service identification from the building and post a sign advising the public of the new location.

514.3 Notification of Building Acceptance

The contracting officer issues a letter to the district with a copy to the installation head indicating that the building is ready for occupancy.

515 Repair of Leased Premises

515.1 Preventive Maintenance

Many postal leases have provisions making the lessor responsible for maintaining the premises in good repair and tenantable condition (except for repair of damage caused by Postal Service agents or employees, which is

Postal Service responsibility). A lessor with maintenance responsibilities cannot be required to perform certain work that may be viewed as preventive maintenance, although such work is advisable and should be encouraged.

515.2 Repairs

When repairs are needed for which the lessor is responsible, the postmaster submits in writing a request to the lessor to make the needed repairs, establishing a reasonable time period for compliance. Handbook MS-110, *Associate Office Postmaster's Facilities Maintenance Guidelines,* provides guidance to postmasters on maintaining and repairing post office buildings.

515.3 Emergency Repairs

Procedures for emergency situations requiring immediate repair are set forth in Chapter 4 of Handbook MS-110, *Associate Office Postmaster's Facilities Maintenance Guidelines.*

An emergency repair is action taken to correct a situation that constitutes a threat to the safety or health of postal employees or customers or threatens the security of the mail.

515.4 Change of Ownership

When a change of ownership on a leased building takes place the FSO or MFO sends a Form 7426, *Designation of Emergency Repair Personnel,* to the new owner for completion of the form.

516 Repairs and Alterations

516.1 Procedures

516.11 Minor Repairs and Alterations

Procedures for accomplishing repair and alteration projects are in Handbooks MS-110, RE-13, and P-2.

516.12 Historically Significant Facilities

Any proposed modification to an owned or leased postal facility listed or eligible for listing on the National Register of Historic Places must be submitted to the responsible service organization.

516.13 Avoiding Hazardous Conditions

516.131 Asbestos

Asbestos is a hazardous, regulated material, and any project that can disturb actual or suspected asbestos must be referred to the responsible service organization (see MI EL-810-98-1, *Asbestos-Containing Building Materials Control Program).*

516.132 Lead-Based Paint

Lead-based paint is a potentially hazardous and regulated material. Any project that may produce dust or fumes from suspected or known lead-based

paint must be referred to the responsible service organization (see 29 CFR 1926.62; Maintenance Management Order (MMO) 031-94, *Lead Exposure in Construction (Lead-based Paint);* and MI EL-810-1999-1, *Lead Hazard Management*).

516.2 Installation of Additional Post Office Boxes

516.21 Policy

Postmasters have limited authority to rearrange or insert additional post office boxes in existing lobbies without going through higher management.

516.22 Scope

These procedures are established to expedite local modifications of post office boxes. They apply only to general mail facilities, associate post offices, branches, and stations.

516.23 Postal-Owned Facilities

516.231 Relocation

The postmaster is authorized only to replace blank panels with post office boxes or to relocate post office boxes within a panel if no rearrangement of the box lobby is required. This work can be performed either by the local maintenance staff or by contract.

516.232 Redesign

In cases where rearrangement or extensive modification of the post office box lobby is required, the project must be forwarded to the responsible service organization. That organization is responsible for the redesign of the lobby to ensure satisfactory changes in the heating, ventilating, air conditioning, and lighting systems; floor and/or ceiling structure; safety; and security. It is also responsible for ensuring compliance with requirements for persons with disabilities (see Handbook RE-4, *Standards for Facility Accessibility by the Physically Handicapped*).

516.24 Government Services Administration-Controlled Facilities

516.241 GSA-Postal Service Agreement

The Government Services Administration-Postal Service Agreement does not permit the Postal Service to make building modifications without prior approval from the General Services Administration (GSA). However, the postmaster can without prior GSA approval replace blank panels with post office boxes or relocate boxes within a panel. This work can be performed either by the local maintenance staff, GSA, or contract.

516.242 Other Modifications

All other post office box lobby modifications must be submitted to the responsible service organization for prior approval by GSA.

516.25 Other Leased Facilities

516.251 Panel Replacement

When blank panels are to be replaced by post office boxes, or boxes are to be rearranged in a panel without modifying the box lobby, the postmaster is authorized to perform the work. This work can be performed either by the local maintenance staff or by contract.

516.252 Submissions

All other box lobby modifications must be submitted to the responsible service organization.

516.26 Contracts

Contracts to replace blank panels with post office boxes, or to relocate boxes within a panel if no rearrangement of box lobby is required, are accomplished as follows:

a. By the postmaster using existing local buying authority.

b. By submission to the responsible service organization for entry and tracking in the Facility Management System Windows (FMSWIN). The responsible service organization awards the contract.

516.27 Processing Requests

516.271 Request for Services

The request for services for lobby modification is initiated by the postmaster or installation head through the district manager or plant manager.

516.272 Denials

If the request is disapproved or must be budgeted for a future year, the postmaster is notified promptly of the decision.

516.273 Approvals

If the request is approved, the district manager or plant manager advises the postmaster of the project schedule within 30 calendar days if the project can be accomplished at the district or plant level. Larger projects may require the assistance of the FSO or MFO.

517 Real Property Management

517.1 Disposal of Postal Service-Owned Excess Real Property

517.11 Inventory Review

The requiring organization, with the responsible service organization, reviews the inventory of Postal Service-owned property at least annually to determine whether there are any properties for which the Postal Service has no foreseeable need. Other interested area or Headquarters units also review the inventory.

517.12 Procedure for Disposal

517.121 Approval and Recommendation

After the inventory is reviewed, if the area office or other office with such authority approves a property as being excess to Postal Service needs, that office submits a written recommendation to Realty Asset Management to dispose of the property. This must be done no later than 720 days before the estimated date of occupancy of the replacement facility if the Postal Service occupies the property that will be excessed and disposed.

517.122 Funding

The requiring organization must provide the funding for disposal support.

517.123 Environmental Concerns

Any environmental issues need to be addressed before disposition takes place.

517.124 Relocation of Artwork

Artwork, located in the lobbies of postal-owned facilities, forms a vital part of America's national heritage and every effort is made by the Postal Service to preserve and safeguard this collection for future generations.

If a facility that contains artwork is to be declared surplus, the area office needs to assure the artwork is incorporated into the design criteria for relocation of the artwork into the replacement facility if the new facility is postal-owned.

If the replacement facility is leased, other disposition possibilities include:

a. Relocation to another postal-owned facility.

b. Relocation to a Federal facility.

c. Retention in the existing surplus facility if the facility is sold or transferred to the General Services Administration or another Federal agency that will assume responsibility for the care and maintenance of the artwork.

d. Relocation under a loan agreement to (in the following order) a local museum, historical society, university, or public building such as a library, city hall, or similar public meeting place, providing that the artwork remains the property of the Postal Service and will be maintained properly by the borrowing organization. For additional information or guidance, contact the Federal Preservation Officer at Facilities, Headquarters.

517.13 Protection of Vacant Property

517.131 Responsibility

Unoccupied buildings, improvements, or undeveloped sites must be protected against unauthorized use, vandalism, or damage. In addition to the minimum requirements listed below for protecting and maintaining this property, other requirements may be issued by Facilities.

517.132 **Requirements**

To protect unoccupied buildings, the district administrative support office does the following:

a. Drains water pipes and radiators.

b. Locks and boards windows, doors, and other exterior openings.

c. Posts signs where necessary with the notice: *No Trespassing — U.S. Postal Service Property.* If these signs are not readily available, similar signs are stocked by the GSA.

d. Cuts weeds and grass to reduce fire hazards and to eliminate possible complaints from city and municipal authorities.

e. Removes snow and ice from sidewalks (as required) for safe pedestrian cross-traffic.

f. Notifies local law enforcement authority and the Postal Inspection Service.

g. Removes all postal equipment and property at the time the building is vacated.

h. Removes all trash from the building at the time it is vacated. The interior must be clean for marketing purposes.

517.133 **Day-to-Day Management**

The ranking postal official in the community or area where the unoccupied building, improvement, or undeveloped site is located is responsible for day-to-day management of the property. This official is notified by the responsible service organization of this responsibility, which includes the following:

a. Advise the responsible service organization of any problems encountered at the site.

b. Make periodic and unscheduled visits to the site as needed, but not less than once a month.

c. Refer any problem that cannot be resolved at the local level to the responsible service organization.

517.2 Interchange of Space in Postal Service and GSA Buildings

517.21 GSA-Postal Service Agreement

Occupancy of space by the Postal Service in GSA-controlled buildings, and by the GSA and other federal agencies in Postal Service-controlled buildings, is governed by the *Agreement Between General Services Administration and the United States Postal Service Covering Real and Personal Property Relationships and Associated Services* (GSA-Postal Service Agreement).

517.22 Rent

Rent is the payment by which each agency compensates the other for space occupancy and for standard levels of building operation, utilities, cleaning, and security.

517.23 GSA-Postal Service Relationship

The relationship between GSA and the Postal Service is on an owner agency-tenant agency basis. Other federal agencies (including the U.S. courts and members of Congress) occupying space in Postal Service buildings are considered subtenants of the GSA.

517.3 Leasing Excess Space and Facilities

517.31 General

The Postal Service owns and leases numerous properties throughout the United States. It is important to have an effective and successful asset management program and to consider leasing excess space and facilities when possible and in the best interest of the Postal Service.

517.32 Assigning Space to GSA

517.321 Assignment Rights

GSA is the leasing agency for most federal agencies. Most federal agencies occupying space in Postal Service-owned properties are assigned the space by GSA. GSA reimburses the Postal Service for space assigned by payment of rent.

517.322 Excess Space

Keeping federal agencies as tenants is desired. However, leasing all excess space to federal agencies may not be possible. If the GSA has no requirement for the excess space, the Postal Service should seek other public and private tenants.

517.33 Leasing to the Private Sector

517.331 Procedure

Excess space not required by the GSA is offered to state, county, and municipal government agencies. Such excess space also can be offered to the private sector.

517.332 General Requirements

Care and good judgment must be exercised in leasing to nongovernment tenants to ensure that activities of the tenants do not adversely affect postal operations or reflect negatively on the Postal Service.

517.333 Specific Requirements

The following requirements must be met for leases to the private sector:

a. The prospective tenant must be financially reliable.

b. The space leased to nonpostal tenants must be accessible by private entrance or public hallways that do not violate postal security regulations.

c. The normal operating hours of the tenant should not conflict with the operating hours of the building.

d. The building maintenance, repairs, utilities, and custodial services normally are Postal Service responsibility, but subject to the terms of the tenant's lease with the Postal Service.

e. The tenant contracts with the appropriate telephone company for telephone installation and service, at no expense to the Postal Service.

f. The Postal Service is responsible for basic security of the building and common areas, as determined by the Postal Inspection Service.

517.334 Lease Requirements

Postal managers have an obligation to provide tenant services detailed in the lease agreement, including janitorial and maintenance services, if applicable.

517.34 Reporting Excess Space, Buildings, and Land

Postmasters, district managers, plant managers, and vice presidents of Area Operations should report all excess space in Postal Service-owned or -leased buildings or undeveloped Postal Service-owned and leased sites. Submit a Form 7437, *Facilities Services Request,* through regular channels to Realty Asset Management, requesting that excess space be leased. The facility finance number is credited for the rental income for leasing of excess property or space to federal and nonfederal tenants.

517.35 Assignment of Space to Credit Unions (As Applicable Under the National Labor Agreements)

In the event that unions or their local unions (whether called branches or by other names) presently operate and charter credit unions, the employer may, if space is available, provide limited non-workroom space, without charge, for the operation of such credit unions in postal buildings. Requests for future space for union credit unions are to be sent to the responsible service office for review and consideration.

517.4 Obtaining Space by GSA in Postal Service-Controlled Buildings

517.41 Requests From Government Agencies

All requests for space in Postal Service buildings received by the Postal Service from federal agencies (including U.S. courts and members of Congress) must be referred to Realty Asset Management personnel. When an agency desires additional space in a Postal Service building, GSA notifies Realty Asset Management. Postal managers must not authorize the use of unassigned space without the concurrence of Realty Asset Management.

517.42 Procedure

Arrangements for assigning space in Postal Service buildings for federal agency use are made by GSA with the concurrence of Realty Asset Management. Space in Postal Service buildings already assigned to GSA for GSA or agency use may be reassigned by GSA, provided reasonable advance notice is given to Realty Asset Management.

517.43 Assignment of Space to GSA

Realty Asset Management notifies GSA when excess space in Postal Service buildings is available to GSA for assignment to federal agencies. The space is normally held available for GSA for 30 days. If GSA advises there is no requirement for the space, or if the period of availability expires without reply, Realty Asset Management takes other action to lease the space.

517.44 Alterations to Vacant Space

If excess space is not leasable without alterations, a study is conducted to determine whether these required alterations are structurally and architecturally feasible. An economic analysis is also made to determine whether this action is in the best interest of the Postal Service, based on anticipated rental.

517.45 Initial Tenant Alterations

The Postal Service is responsible for initial tenant alterations to the space assigned to GSA in Postal Service-owned or -leased buildings, as required by the GSA-Postal Service Agreement.

517.46 Monitor Space Assignments

Postmasters are responsible for monitoring space assigned to GSA, including relocations, transfers, expansions, reduction and vacation of space. These changes should be reported to Realty Asset Management.

517.5 Obtaining Space by Postal Service in GSA-Controlled Buildings

517.51 Procedure

When the Postal Service requires space in a GSA-controlled building, or additional space in one it already occupies, Realty Asset Management notifies GSA. The requirements organization submits a Form 7437, *Facilities Services Request,* or a written request through proper channels to Realty Asset Management.

517.52 Initial Tenant Alterations

GSA is responsible for initial tenant alterations to space assigned to the Postal Service in GSA-controlled buildings, as required by the GSA-Postal Service Agreement.

517.53 Alterations, Improvements, and Services

The GSA-Postal Service Agreement provides that GSA is primarily responsible for work involving alterations, improvements, and service in GSA-controlled buildings. If the Postal Service requests, and GSA provides, work or services that exceed those provided under the standard levels established in the GSA-Postal Service-Agreement (for example, evenings, weekends, and holidays) the costs are paid separately to GSA by the Postal Service. Approvals and arrangements for funding must be made prior to

commencement of the work or service. Contract documents with GSA are prepared and executed by Realty Asset Management personnel.

517.6 Preemption by the Postal Service or GSA of Space Occupied by the Other

517.61 General

The GSA-Postal Service Agreement provides that either owner agency can preempt the tenant agency by giving the proper written notice, as explained below.

517.62 Postal Service-Controlled Buildings

517.621 Notification

The Postal Service notifies GSA in writing at least 180 days in advance when space is required in Postal Service buildings occupied by federal agencies.

Exception: If the Postal Service needs space used as a courtroom in a postal building, at least 1 year advance written notice must be given to GSA.

517.622 Returning Space

When the Postal Service plans to dispose of a facility in which federal agencies (including U.S. courts or members of Congress) occupy space, Realty Asset Management notifies the appropriate GSA regional office, according to the above schedule.

517.63 GSA-Controlled Buildings

517.631 Notification

When GSA notifies the Postal Service that space is required in GSA-controlled buildings occupied by the Postal Service, GSA must give the Postal Service at least 1 year advance written notice when postal workroom, post office box or screenline lobby, postal swing room, locker room, mailing vestibule, or platform space is required. General office space requires 180 days' written notice for the Postal Service to vacate the space.

517.632 Returning Space

When GSA plans to dispose of a facility in which the Postal Service occupies space, GSA notifies Realty Asset Management, according to the above schedule.

517.64 Funding

517.641 Moving Expenses

When either GSA or the Postal Service preempts, for its own use, space assigned to the other, the preempting agency funds only the moving expenses, including reasonable costs incidental to the move (such as reinstalling telephones) of the agency required to relocate.

517.642 **Telephones**

a. *Relocation costs* — Costs for relocating telephones cannot exceed costs of duplicating the telephones existing before moving. *Duplicating existing telephones* is defined as replacing like telephone equipment, including color, number and type of instruments, number of circuits, buttons, lights, and buzzers.

b. *Exception* — The cost of moving and reinstalling telephones is not payable by the Postal Service to agencies required to relocate from a building being abandoned and excessed by the Postal Service.

517.643 **Budgeting**

The postal organization requesting preemption of space for its use is responsible for budgeting and payment of these moving expenses.

517.7 Building Operations and Maintenance

517.71 Operation of Parking Facilities

517.711 **Assignment of Postal Spaces**

In buildings operated by GSA, GSA assigns parking spaces to the Postal Service.

517.712 **Assignment of Nonpostal Spaces**

In buildings operated by the Postal Service, the Postal Service assigns nonpostal spaces to GSA, and GSA assigns and reassigns nonpostal parking spaces for tenant agency use.

517.713 **Other**

Physical protection, maintenance, and policing of all parking areas is provided by the owner agency of the building.

517.72 Building Services

The owner agency furnishes space, building services, and utilities, specified as standard level in the GSA-Postal Service Agreement. Complaints and requests relating to required building services are made or referred to the owner agency's building manager or postmaster. If the building manager or postmaster does not provide a satisfactory solution to the complaint or request, refer the matter to Realty Asset Management or the GSA regional office.

517.8 Reimbursable Services in Excess of Rent or Standard Level of Services

517.81 Policy

The GSA-Postal Service Agreement requires the Postal Service and GSA to reimburse each other for additional recurring and nonrecurring services each agency provides in excess of standard levels of service or initial tenant buildout.

517.82 Definitions

The following definitions apply:

a. *Recurring services* — Any additional utility, custodial, or security services required by a tenant agency on a continuing basis to maintain a building operation in excess of one shift per day (10 hours, which includes 1/2-hour start-up and 1/2-hour shutdown time) 5 days per week.

b. *Nonrecurring services* — Any one-time improvement, alteration, or service required for a specified scope of work in a tenant space.

517.83 GSA Buildings Occupied by Postal Service

517.831 Procedure

When recurring or nonrecurring services are required by a postal manager (postmaster or officer in charge) in a GSA-controlled building, a Form 7437, *Facilities Services Request,* is completed and forwarded through channels to the district manager or plant manager. The form should provide a clear and concise description of the recurring or nonrecurring service required. The district manager or plant manager reviews and modifies, cancels, or approves the form.

517.832 Submission

In the case of recurring services, a Form 7437 must be submitted to Realty Asset Management 120 days before the start of the fiscal year or date the service is required. The district manager, plant manager, or postal manager will certify that the cost estimate provided by GSA is fair and reasonable and will ensure that the estimated cost of the recurring service has been budgeted.

517.833 Form 4209

Form 7437 for nonrecurring services must be accompanied by a Form 4209, *Project Authorization,* based on the estimated cost of the service.

517.834 GSA Form 2957

On receipt of a Form 7437, Realty Asset Management completes GSA Form 2957, *Reimbursable Work Authorization,* and forwards it to GSA.

517.84 Postal Service Buildings Occupied by GSA

517.841 Procedure

Federal tenant agencies that occupy space in Postal Service buildings and require recurring or nonrecurring services beyond standard levels specified in the GSA-Postal Service Agreement must complete GSA Form 2957 and forward the form to the GSA regional office. GSA submits copies of GSA Form 2957 to Realty Asset Management.

517.842 Unauthorized Use of Space

If a postal manager becomes aware that a federal tenant agency is using unauthorized space other than what is reflected on the rent bill, using unauthorized recurring or nonrecurring services, and/or making improvements or alterations to Postal Service space without a GSA Form

2957 on file in the postal manager's office, the postal manager is to notify Realty Asset Management immediately. Realty Asset Management investigates the service being used by the federal tenant agency and notifies GSA that such services, if recurring in nature, are to be discontinued within 10 days if GSA Form 2957 is not submitted. If the service is nonrecurring in nature, GSA should be advised to cease work immediately. If the Postal Service has incurred cost or substantial damage as a result of the federal tenant agency actions, GSA is to be advised accordingly and the Postal Service will seek payment.

518 Facility Planning

518.1 General

The process of providing new postal quarters is subject to the requirements of a number of laws, executive orders, and other regulations. It is imperative to consider these various requirements during project development. This part outlines these requirements and the procedures that must be followed in the planning process.

518.2 Community Contact

518.21 Purpose

It is important to know and consider the views of local public officials and interested citizens at an early stage in the facility planning process. However, it is imperative that district or plant managers review all alternatives and establish the requirement for new space *before* community contact is initiated.

518.22 Application

518.221 Notification

Notification procedures apply to the following retail or customer service facilities:

a. New facility construction, owned or leased.

b. Expansion of an existing building.

c. Purchase or lease of a previously nonpostal occupied existing building.

d. Any alterations that increase the exterior size of the building or site.

518.222 Exception

Procedures do not apply to non-customer service facilities such as Processing & Distribution Centers, Air Mail Center facilities, carrier annexes, or office space.

518.23 Notification of Local Officials

518.231 Coordination

Facilities representatives, i.e., the real estate specialist and architect-engineer assigned to the project, schedule an appointment with the highest elected official. They then meet with that official, accompanied by other

appropriate postal representatives, i.e., district manager, plant manager and/or postmaster, to:

a. Discuss the project and process the Postal Service will follow.

b. Solicit the official's input.

This initial meeting helps to maintain positive community relations concerning projects that otherwise may develop into problem cases. It also improves the Postal Service image in communities where expansion or relocation will be accomplished without controversy.

518.232 **Comments**

After scheduling an advance appointment, representatives meet with the official and/or designee to hand deliver a community contact letter (see Exhibit 518.232) dated for that day. To ensure that the Postal Service is sending a uniform message across the country, representatives use this standard letter. Copies of the letter must be provided to Headquarters Government Relations and Corporate Relations at least 2 days before the meeting. All information concerning this project must be kept in the strictest confidence until the meeting is held with the official.

518.233 **Discussion**

Facilities representatives:

a. Discuss the purpose of the meeting, noting that community input is being solicited.

b. Discuss the existing conditions and deficiencies.

c. Explain Postal Service requirements and information used to forecast future needs. Include in this discussion the benefits to citizens of the community (e.g., more service windows and post office boxes, improved parking, architectural-barrier accessibility), and how this will benefit the Postal Service.

d. Elicit the official's input on the economic climate of the community and growth projections. This should provide a good test for the Postal Service's forecast to determine whether needs have been over- or understated.

e. If known, explain why the facility cannot be expanded and what will be done with the present post office (lease is expiring, Postal Service is selling, etc.).

f. Discuss the expansion possibilities, alternate quarters, new construction-leased, or new construction-owned process. Discuss what will happen with a flexible schedule. If there is a portfolio of building elevations, show and discuss which may be the most appropriate for the area.

g. Discuss the preferred area, welcoming community input, and offer a possible tour with elected officials. Be careful to avoid specific recommendations at this time. Instead, discuss the central business district, historic district, commercial zones, master plans, town complex or infrastructure, and the likelihood of finding sites.

Exhibit 518.232
Community Contact Letter

UNITED STATES POSTAL SERVICE

Dear __[officials name: Mayor/First Selectman/Supervisor, etc.]__:

The Postal Service has determined that the present postal facility located on __[street address]__ is inadequate to serve future postal needs of __[community name]__. We need to expand operations to enhance both the quality of postal services we provide to your community and our employees' working conditions. After consulting with Postmaster __[postmaster's name]__, we find that we need, ideally, approximately __[number]__ square feet of net interior space.

To meet these new requirements, our first consideration is to expand the existing postal facility. If this is not feasible, we will then consider relocating to another building or construct a new building on a site that is, ideally, approximately __[number]__ __[square feet/acres]__. In the event another building or site must be identified, every effort will be made to maintain it within the downtown business area of __[community name]__.

The Postal Service wishes to work in partnership with your community. Therefore, we ask for your assistance and cooperation in having this project scheduled for the next available town meeting so that the general public may express its opinions and offer constructive comments on the project.

We welcome your timely suggestions and comments, both as we initiate this project and as it proceeds. Please address any questions, suggestions, or concerns to __[name, mailing address, and telephone number of appropriate Facilities representative, to be provided by Facilities office]__.

Thank you for your participation in this process. We look forward to continuing to work with you and your staff as this project develops.

Sincerely,

__[signature]__
__[title of operational unit manager]__

bcc:

__[postmaster]__
__[Facilities representative]__
__[Government Relations representative]__
__[Corporate Relations representative]__

475 L'Enfant Plaza SW Rm 10022
Washington DC 20260-0010

h. Elicit the community's and official's opinion, concerns, and comments about the project, requirements, and the preferred area. Also, determine from the official any other agencies with which the Postal Service should be holding discussions (planning departments, zoning boards, historic commissions, etc.), as the Postal Service goes through the planning process. Discuss as appropriate.

i. Request that the project be placed on the agenda of the next available town meeting for appropriate discussion and comments with the general community. This meeting should not be scheduled for at least 7 days after meeting with local officials. If time is of the essence or it is more advantageous to hold a separate public meeting, such a meeting may be conducted using the same format as a regular town meeting. All public meetings are to be advertised in a local newspaper.

j. If leased, advise the lessor of the planned meeting.

518.234 Public Meeting

Facilities and District personnel:

a. Explain the purpose of the project (additional space, larger parking areas, reconfigured space, etc.).

b. Provide an operational overview of existing conditions and what needs to be changed or modified.

c. Discuss the timetable for completing the project.

d. Emphasize that the first consideration is expansion of present space, next is another existing building in the downtown area, and last is new construction.

e. Describe the need for community input, comment periods, deadlines, and where comments may be sent.

518.235 Decision to Expand Existing Space or Advertise for Sites and Existing Buildings

The decision to expand existing space or to advertise for sites and existing buildings is made by Facilities and District personnel as follows:

a. *Expansion.* After evaluating comments from the public meeting and the decision is to expand the existing space, wait a minimum of 15 days to notify local officials in writing of the decision and post a copy of the letter at the elected post office. The expansion project may then proceed as planned.

b. *Advertising for alternate quarters and sites for new construction.* If after evaluating comments from the public meeting and the decision is to advertise for site and existing buildings, wait a minimum of 15 days before notifying local officials in writing of the decision and post a copy of the letter at the local post office for a 30 day comment period. At the end of this period, place an advertisement in the local newspaper. In all cases, the downtown area will be included in the preferred area. A copy of this notice will be provided to the local Corporate Relations Center and Government Relations.

518.236 **Site Review by Facilities Personnel**

Once the Site Review Committee has reviewed and ranked all sites, advise local officials in writing of the contending sites and non-contending sites with reasons why non-contending sites were not given further consideration. Post a copy of this letter at the local post office and wait a minimum of 30 days before a final decision is made to select a site.

518.237 **Site Selection by Facilities Personnel**

After waiting the necessary time periods for local officials and community comments before selecting a final site, advise local officials in writing of the selected site and wait a minimum of 30 days for final comments. Provide a copy of this letter to the local Corporate Relations Center and Government Relations.

518.238 **Negative Reaction**

If there is a negative reaction by elected officials, civic groups, or members of a congressional delegation after these discussions, the real estate specialist will advise the district manager. The district manager or plant manager must immediately inform the vice president of Area Operations.

518.24 Final Project Development

518.241 **Alternatives**

Evaluate the alternatives according to the National Environmental Policy Act (NEPA), using Handbook RE-6, *Facilities Environmental Guide.* This requires consideration of all alternative courses of action and development of all necessary environmental information for evaluating them.

Note: Keep the vice president of Corporate Relations and the consumer advocate informed on the status of the project development.

518.242 **Review Process**

Ensure that the appropriate intergovernmental review process has been followed for the ranked sites.

518.243 **Completion**

Once it is determined that the project complies with the requirements of NEPA and the Office of Management and Budget (OMB) (Executive Order 12372), complete site acquisition procedures.

518.3 Compliance With Randolph-Sheppard Act Amendments of 1974

518.31 Policy

Facility planning must comply with the Randolph-Sheppard Act (20 U.S.C., et seq, as amended), which requires that the visually handicapped receive priority consideration in the operation of vending facilities on federal property. Contact the manager of Corporate Personnel Management, Human Resources, to coordinate compliance with the Randolph-Sheppard Act.

518.32 Requirements

The basic requirement is for the inclusion of a service area in buildings larger than 15,000 net square feet or with an employee complement of at least 100 persons during normal working hours (8 a.m. to 6 p.m.) that can serve as a satisfactory location for a visually impaired vending facility. The area must have no less than 250 square feet of space, together with sufficient electrical, plumbing, heating, and ventilation for a vending facility, under applicable codes. (There can be more than one satisfactory site at a location.)

518.4 Environmental Review

The Postal Service examines the environmental issues of all postal projects during facility planning to avoid or mitigate any substantial adverse impacts on the environment, according to the procedures in Handbook RE-6, *Facilities Environmental Guide.*

518.5 Compliance With Clean Air Act, Clean Water Act, and Safe Drinking Water Act

The Postal Service complies with the Clean Air Act (PL 95–95 as amended), the Clean Water Act of 1977 (PL 95–217), and the Safe Drinking Water Act (PL 93–523 as amended by PL 95–190 (42 U.S.C. 300 j-6)).

518.6 Security Evaluation

Contact should be made with the local inspector in charge to request a security survey and risk analysis of the potential location to determine if the site's security requirements will have an unacceptable cost impact on the facility.

518.7 Facility Activation

Management must begin planning to activate a new facility at about the time a design contract is awarded. See Handbook AS-501, *Postal Facility Activation,* for major processing and distribution facilities; and Handbook AS-502, *Activation of Non-Mail Processing Postal Facilities,* for non-processing and distribution facilities, stations, and branches under 30,000 square feet, for the detailed activities essential to an effective activation. This function is area responsibility.

519 Design and Construction

519.1 Building Design Standards

519.11 Policy

The Building Design Standards are updated annually by Headquarters Facilities and issued to the FSOs, the MFO, and ASOs for implementation. They are to be used on all facility-related projects, using the appropriate documents based on facility size and type. This policy applies equally to all design and construction related activities regardless of size, whether new construction or repair and alteration, owned or leased. Where any

requirement is specified by a particular program name, i.e., Small Standard Building Design, Medium Standard Building Design, or Processing and Distribution Center, such requirements shall be constructed as applicable to any facility of that size range.

519.12 Standard Programs

Various standard programs have been established within the Postal Service Building Design Standards to address the particular needs of different facility and project types. These components are as follows:

a. *Standard Design Criteria* — This document acts as an umbrella and establishes the overall performance criteria for all facility types, including site adapt standard designs for alternate quarters and repair and alterations projects.

b. *Standard Designs* — These documents provide 10 percent to 90 percent complete design of various facility types.

c. *Standard Details* — These drawings form a library of Postal specific construction details for use on all facility types.

d. *USPS Master Specification* — This document provides a single unified source for guideline construction specifications for small and medium standard design projects as well as alternate quarters and repair and alterations projects.

Together, these components establish the design standards for all Postal facilities.

519.2 Identifying Postal Facilities

All postal installations must be clearly identified to ensure customer recognition of the facility. Refer to Handbook AS-503, *Standard Design Criteria,* for specific guidance on signage appearance and placement.

519.21 Interior

Post offices located in federal buildings where GSA regulations do not permit outside postal identification must display appropriate interior signs.

519.22 Dedicatory Plaques and Memorials

519.221 Policy

When the Postal Service acquires property by construction, purchase or donation, the acquisition is normally acknowledged by installing a dedication plaque in the building.

519.222 **Inscription**

The following inscription is used on plaques installed in all newly acquired postal-owned buildings:

This Building
Dedicated to
Public Service
__[year of dedication]__
WILLIAM CLINTON
President of the United States
WILLIAM J. HENDERSON
Postmaster General

519.223 **Historic Building Designation**

The placement of such plaques and memorials on postal-owned property is limited to those buildings listed in the National Register of Historic Places.

519.224 **Plaques Honoring an Individual**

When a Postal Service building is designated by an Act of Congress to honor an individual, the postmaster is notified by Corporate Relations. The postmaster should obtain the desired plaque by following local procurement procedures. If the purchase price exceeds the local procurement limit, the requirement should be forwarded to the district for procurement. When received, the plaque must be displayed in a prominent place in the facility's lobby, preferably above the post office boxes.

519.3 Energy Conservation Design Standards

519.31 Policy

All new postal facilities should be designed for maximum energy conservation, according to the national energy policy. It is required by federal statute and by Postal Service policy.

519.32 Background

In August 1992, Congress enacted the Energy Policy Act. This Act requires the Postal Service to reduce its energy consumption 20 percent by the year 2000.

519.4 Safety and Health

519.41 Accessibility for Persons With Physical Disabilities

It is required by federal statute and by Postal Service policy, when designing, constructing, leasing, or altering facilities, to provide facility access for persons with physical disabilities (see Handbook RE-4, *Standards for Facility Accessibility by the Physically Handicapped*).

519.42 Structural Loads

All new construction of owned and leased facilities, at a minimum, must comply with the structural loads provisions of the latest issue of one of the

national model building codes (Uniform Building Code, Standard Building Code, or the Building Officials and Code Administrators' National Building Code). This includes, but is not limited to, floor and roof live loads, roof snow loads, wind loads, and earthquake loads.

519.43 Regulations

All space obtained by the Postal Service must, at a minimum, meet the safety and health standards specified in the National Fire Code (by NFPA), the Occupational Safety and Health Act (OSHA) of 1970 (PL 91-596, 84 Stat. 1590, 29 U.S.C. 667), and requirements in OSHA Standards 29 CFR 1910.

519.5 Facility Cost Control

The design and construction of Postal Service-owned and -leased buildings must be functional and cost-effective. Cost-conscious architectural and engineering design and value engineering principles must be applied to all postal design and construction projects.

52 Equipment Requirements for Nonfixed Mechanization

521 General

521.1 Policy

It is Postal Service policy to improve the efficiency and effectiveness of mail processing activities through mechanization and/or automation, when practical and beneficial.

521.2 Definitions

The following definitions apply:

a. *Nonfixed mechanization* — equipment used in mail processing activities exclusive of mail transport conveyor systems. Generally deployed in a standard configuration, it is not designed to conform to the shape of any specific postal facility. Nonfixed, as opposed to fixed, mechanization may be installed in or removed from buildings without structural changes to the building, in most instances. The following is a partial list of equipment that is generally classified as nonfixed mail processing mechanization:

(1) Dual pass rough cull machines.

(2) Advanced facer canceler systems (AFCSs).

(3) Optical character readers (OCRs).

(4) Barcode readers and sorters.

(5) Flat sorting machines.

(6) Small parcel and bundle sorters (SPBSs).

b. *Centrally funded and procured* — nonfixed mechanization funded after approval through the corporate review process and procured by Purchasing and Materials at Headquarters.

c. *Area office funded and procured* — nonfixed mechanization that the area offices have been delegated authority to fund and procure.

521.3 Responsibility

521.31 Headquarters Engineering

Equipment Requirements and Economic Analysis and Technology Acquisition Management have overall responsibility for the Postal Service nonfixed mechanization program. Equipment Requirements and Economic Analysis controls relocation while Acquisition Management is responsible for the deployment of centrally funded and procured equipment.

521.32 Areas

The area In-Plant Support Office has responsibility for the area nonfixed mechanization program, including assignment, deployment, and relocation of area funded and procured equipment.

521.4 Justification

Procurement, deployment, or relocation of nonfixed mechanization must be supported by an economic justification specifying savings and/or improvements in service to be expected. The handbook F-66 series gives guidance for preparing justification.

522 New Nonfixed Mechanization

522.1 Procedures

522.11 Program Management

Before procurement can be initiated, specifications, drawings, and documentation must be developed to accurately describe the desired item. Technology Acquisition Management organizes the necessary expertise for this activity. After award of contract, Technology Acquisition Management continues program management through which problems are resolved.

522.12 Basis for Requirements

New nonfixed mechanization is justified by either or both of the following:

a. *Economic considerations.* Workhour savings resulting from capital investment in mechanization must provide a positive return on investment (see 522.15).

b. *Service considerations.* Mechanization is required to correct deficiencies.

522.13 Budgeting

Engineering compiles and submits annually a 5-year forecast of all centrally procured nonfixed mechanization requirements based on input from the area offices. This document is used to establish the nonfixed mechanization 5-year capital budget and 2-year expense budget, to initiate procurement actions, and to project savings associated with deployment of new mechanization.

522.14 Identification of Requirements

Requirements are identified as follows:

a. When necessary, Equipment Requirements and Economic Analysis issues to all area offices a requirements call for nonfixed mechanization programs. This document has basic information on cost, size, performance, availability, and procedures for justifying the equipment.

b. Based on these guidelines, area In-Plant Support, coordinating with the district offices, processing sites, and post offices, submits the area nonfixed mechanization requirements to Headquarters. Requirements must be fully supported using the procedures defined in the requirements calls.

522.15 Justification of Requirements

Procurement and deployment of nonfixed mechanization must be justified by an adequate return on investment (see the handbook F-66 series for instruction). The steps involved in justifying a requirement for procurement are listed next. This is one scenario. In some cases, Equipment Requirements and Economic Analysis will calculate the return on investment (ROI) and have the areas concur with the savings.

Step	Responsible Organization	Action
1	Area	Computes an ROI (see handbook F-66 series) reflecting anticipated savings in operating expense expected to result from deployment and installation of a particular type machine in a specific post office or processing site.
2	Area Finance	Validates ROI to ensure that it has been computed properly.
3	Area In-Plant Support	Certifies that savings are reasonably correct and operationally obtainable. Submits validated requirements and ROIs to Headquarters Equipment Requirements and Economic Analysis.
4	Engineering, Equipment Requirements and Economic Analysis	Prepares economic justification supporting procurement of machines meeting national requirements. Submits justification to Headquarters Finance.

Step	Responsible Organization	Action
5	Finance	Validates economic justification and coordinates the review and approval process with the Capital Investment Committee and Board of Governors.
6	Engineering, Equipment Requirements and Economic Analysis	Submits proposal to senior management and, if appropriate, to the Board of Governors, to procure a certain quantity of a particular type of machine.
7	Engineering, Technology Acquisition Management	If approved, requests procurement action and manages deployment.

522.2 Procurement

After requirements are established and approved, Purchasing and Materials initiates action to purchase nonfixed mechanization. The contracting officer assigned is the only person authorized to commit the Postal Service. All actions and interfaces between the manufacturer and the Postal Service are controlled by the contracting officer.

522.3 Deployment

522.31 Selection

Equipment Requirements and Economic Analysis, in cooperation with area In-Plant Support, controls deployment of nonfixed mechanization. Machines are sent to post offices and/or processing sites on the basis of potential savings and/or service considerations.

522.32 Schedule

Technology Acquisition Management determines the delivery and installation schedule for new mechanization. The sequence of delivery can be based on many factors, including:

a. Local conditions.

b. Deployment manageability.

c. Deployment cost.

d. Desired concentration or dispersion of initial experience.

e. Coordination with other deployment programs.

f. Specific characteristics desired of early sites.

522.33 Problems

Problems must be handled as follows:

a. When problems occur during installation of nonfixed mechanization at a post office or processing facility, the area In-Plant Support should be informed immediately. They inform the assigned program manager at Headquarters, who — *through the contracting officer* — resolves the problem with the contractor.

b. Local and area officials should not attempt to resolve problems directly with the contractor's site representative. Not being aware of the specific contents of the contract, local officials could unknowingly jeopardize other installation schedules or increase Postal Service liability. Only the contracting officer is authorized to make changes in the contract or otherwise direct actions of the contractor.

522.4 Savings

After new mechanization is installed, cost studies are conducted to ensure that the savings used to justify the mechanization are actually being obtained.

523 Relocation

Relocation of centrally procured nonfixed mechanization requires formal approval of area In-Plant Support and Headquarters Equipment Requirements and Economic Analysis.

524 Modification

Certain types of nonfixed mechanization may not be modified without formal approval of the Engineering Change Board (ECB) at Headquarters. Publication 101, *Engineering Change Board Organization and Operation,* describes the authority, organization, and functions of the ECB, and specifies procedures for approval of proposed modifications to mechanization that the ECB controls.

525 Development

525.1 Development Phase

525.11 Initiation

Engineering is responsible for the development and design of new and advanced nonfixed mechanization systems.

525.12 Review

Equipment Requirements and Economic Analysis, along with Technology Acquisition Management, provides Engineering with operational requirements for desired staffing, production price, size, machine throughput, and configuration that should be considered when developing the machine.

525.13 Field Testing

Test and Evaluation, along with Technology Acquisition Management, coordinates and tests the first article. Quality Assurance, Purchasing and Materials, coordinates acceptance testing of all production equipment after the first article test.

525.2 Operational Phase

If the equipment meets performance specifications and return on investment (ROI) criteria, the project moves from the developmental phase to the operational phase. Engineering provides necessary technical documentation so that Technology Acquisition Management can initiate procurement action. Technology Acquisition Management assigns a program manager.

526 Test and Evaluation of Commercially Available Equipment

526.1 Purpose

To lessen the need for expensive and time-consuming development programs, Technology Acquisition Management periodically conducts operational tests of commercially available equipment to assess potential application for the Postal Service. Other Headquarters and field organizations may be assigned tasks for technical support.

526.2 Types of Equipment Tested

This may involve evaluation of equipment used by foreign postal administrations as well as equipment produced in the United States for commercial applications.

526.3 Procurement

If a particular piece of equipment works well in its operational test and analysis shows it is economically advantageous to the Postal Service, action is initiated to procure the item.

53 Maintenance

531 General

531.1 Scope

This subchapter covers policies and requirements for maintenance of facilities, plant equipment, and postal equipment. Vehicle maintenance is covered in *Postal Operations Manual* (POM), Chapter 7.

531.2 Policy

531.21 Definitions

The following definitions apply:

a. *Plant equipment* — the building's physical structure, utilities, and environmental systems.

b. *Postal equipment* — a broad range of equipment used either directly or indirectly in moving the mail and for providing customer services

(includes scales, stamp vending machines, collection boxes, letter and flat sorting and canceling machines, containers; and fixed mechanization, such as, but not limited to, conveyors, parcel sorters, and sack sorters).

531.22 Objectives

The primary objectives of maintenance management are:

a. To maintain a safe, pleasant, and healthy working environment.

b. To maintain all plant and postal equipment in good operating condition.

c. To minimize total operating costs.

531.23 Safety

531.231 Necessity for Program

Safety is an area of major concern to all maintenance management personnel. The senior maintenance management official in a facility is responsible for a maintenance safety program for ensuring that annual and semiannual safety inspections are performed. The program should be updated frequently and include each maintenance employee to achieve maximum protection of personnel and property.

531.232 Nature of Program

Maintenance supervisors must include safety as a part of all maintenance programs. They should display a personal interest in the program and set an example of following it. The overall maintenance program must include sections on safety, fire prevention, extinguishment, and control; evacuation plan; and utility failure (e.g., electricity, water).

531.233 Observance of Safe Practices

Maintenance supervisors or other personnel overseeing work of others are responsible for ensuring observance of all applicable safety rules, regulations, and specifications. Enforcement, when required, must be carried out quickly, directly, and individually.

531.234 Application of Safeguards

Area office approval is required for local fabrication and installation of mechanical and electrical safeguards on postal equipment. This includes replacement of electrical wiring to provide safety grounding for equipment.

531.235 Fire Extinguishers

Operating fire extinguishers of the type and number specified in Handbook MS-56, *Fire Prevention and Control,* must be provided for each postal facility. This equipment must be inspected according to requirements of Handbook MS-56.

531.3 Maintenance Categories

531.31 Preventive Maintenance

531.311 Definition

Preventive maintenance is the scheduled, systematic inspection, examination, cleaning, lubricating, adjusting, and servicing of equipment to maintain it in top operating condition. Preventive maintenance and follow-up repair work (scheduled repair or parts replacement) are scheduled in advance.

531.312 Establishing Program

Programs are established by the following organizations:

a. *P&D Centers and Facilities.* These major offices with large quantities of postal equipment (see 531.51) establish preventive maintenance programs according to procedures in the appropriate maintenance handbook (see 531.621).

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

Records are kept by the following organizations:

a. *P&D Centers and Facilities.* Maintain and report on preventive maintenance as prescribed in the appropriate maintenance series handbook.

b. *Other Offices.* Maintain records in any convenient format for all postal equipment. The senior maintenance official maintains these records, in accordance with applicable maintenance handbooks. The following information must be included:

(1) Name, type, and size of equipment.

(2) Descriptions of preventive maintenance required, including frequency of performance.

(3) Record of work actually performed.

(4) Name of person performing work.

531.32 Corrective Maintenance

531.321 Definition

Corrective maintenance is repair or replacement of a failed or defective part, subassembly, or assembly of an equipment item, or portion of a building or facility, which returns the equipment or unit to operating condition. Corrective maintenance may be *scheduled* (when the imminent failure of a part is detected) or *reactive* (when the failure occurs without warning).

531.322 Repairs to Postal Equipment

Repairs to postal equipment are made by properly trained employees, when it is most economical and beneficial to the Postal Service.

531.323 Guidance and Record Keeping

Appropriate resources are as follows:

a. Operating procedures for corrective maintenance and record keeping in P&D centers and facilities and BMCs are in the appropriate maintenance handbook.

b. Offices that do not operate under a particular maintenance management system use Form 4805, *Equipment Breakdown Work Order,* to maintain records of maintenance requested and performed.

c. Troubleshooting procedures and guidelines to assist maintenance employees to find and repair failures can be found in maintenance handbooks and manufacturers' publications on specific equipment.

531.324 Repair Centers

Specific instructions must sometimes be issued for using specialized repair centers to provide repair support to local offices. These instructions take precedence over other general guidelines.

531.33 Operational Maintenance

Operational maintenance is the use of maintenance or other postal personnel available in the vicinity of operationally critical mechanized and automated equipment to ensure minimum downtime from equipment failure. Refer to the appropriate maintenance management order (MMO) for operational maintenance staffing guidelines.

531.34 Predictive Maintenance

531.341 Definition

Predictive maintenance is the timely adjustment, repair, or replacement of a part, assembly, or subassembly before a failure or malfunction occurs. It is applicable to plant and postal systems and equipment.

531.342 Justification

Predictive maintenance is based on condition data that have been collected and developed into trends and analyzed to determine optimum maintenance periods, warn of impending failure, and identify maladjusted or defective parts.

531.4 Computerized Maintenance Management Information System

531.41 Description

Maintenance program cost and performance are measured and controlled through a computerized national data collection and processing system. The system provides uniform reporting of all information necessary for maintenance and material management control at the local, area, and national levels.

531.42 Information Reported

531.421 Program Data

Maintenance program data accrued and reported include labor utilization information, work hour and dollar expenditures, equipment performance, preventive and corrective maintenance, inventory control, automatic spare parts reordering, and work hour backlog.

531.422 Reports

Reports are generated as necessary for local, area, and national maintenance task assessments and actions. Equipment performance information, including parts failure data, is provided to organizations responsible for design, procurement, and modification of equipment, so that parts and/or equipment can be upgraded or modified to improve performance.

531.43 Reference

General information on the computerized maintenance management information system is in Handbook MS-63, *Maintenance Operations Support.*

531.5 Maintenance Capability

531.51 Offices With Maintenance Capability

531.511 Definition

A *maintenance-capable office* is an office that has assigned maintenance personnel qualified to maintain a facility and the equipment installed in that facility. In addition, the office must maintain a maintenance stockroom and be authorized to requisition repair parts from the material distribution centers.

531.512 P&D Centers and Facilities

These are offices designated by Maintenance Policies and Programs to use the Maintenance Activity Reporting and Scheduling (MARS) system or the computerized maintenance management information system to manage, control, monitor, and report maintenance and material functions. P&D centers and facilities offices use on-site computer systems and modems to input and transmit maintenance data according to specific schedules. These offices are supplied with management reports as needed.

531.513 Customer Service Units

These are offices designated by Maintenance Policies and Programs to operate their maintenance organization, wholly or partially, as in P&D centers and facilities offices, except that data are generated by a designated P&D office. Individual offices may be required to make manual reports to higher management on all or part of their maintenance programs, as specified by Maintenance Policies and Programs.

531.514 Bulk Mail Centers

Bulk mail centers 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 provide management reports to the BMCs.

531.515 Other Offices

There are other small, maintenance-capable offices that, because of their limited maintenance responsibilities, should follow area guidelines for their maintenance programs.

531.52 Offices Without Maintenance Capability

These are small offices with very small maintenance staffs. Basic maintenance functions in these offices are:

a. *Cleaning.* Depending on Postal Service economic analysis, size of office and cleaning workload, cleaning is performed:

(1) Under contract.

(2) By classified Postal Service custodian.

(3) According to established allowances for offices CAGs H, J, and K.

b. *Building and 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 Postal Service is responsible for maintenance of a facility and corrective maintenance is required, the field maintenance office (FMO) should be contacted (see 536). The FMO decides whether to have FMO and/or P&D center personnel perform the maintenance or to contract locally for the service.

c. *Postal Equipment Maintenance.* Field maintenance offices are responsible for repairing postal equipment on-site when repairs cannot be made by exchanging parts or equipment, and when contracting for the work is either impractical or not economically feasible.

531.6 Maintenance Documentation

531.61 Requirements

All maintenance-capable offices must follow applicable standards and requirements in the listed documents.

531.62 Types of Documentation

531.621 Maintenance Handbooks

Postal Service maintenance series (MS) handbooks include policies and procedures for conducting maintenance operations for automation, mechanization, and building equipment. These handbooks generally provide the best technical data on how a particular piece of equipment operates; include instructions and data necessary to adjust, troubleshoot, repair, and maintain the equipment; and have parts lists. MS handbooks are prepared according to Postal Service standards and published with an MS number. Others are prepared by equipment manufacturers or contractors. For off-the-shelf equipment (not specifically designed for Postal Service use), the manufacturer's standard commercial manual may be provided. MS

handbooks are issued to offices with specific requirements for them. Offices receiving maintenance handbooks should keep a record of issuances to ensure that all holders receive the revisions. The Maintenance Technical Support Center (MTSC) maintains a record of issuances to offices. To order, complete Form 7380, *MDC Supply Requisition,* and send it to the appropriate material distribution center. Bulk mail centers also use interim BMC staffing guidelines and criteria as issued by memorandum dated August 16, 1979.

531.622 Maintenance Management Orders

Maintenance management orders (MMOs) contain special maintenance procedures, information on special problems that have developed, new parts procurement data, and corrections to other documents. The MTSC prepares and distributes maintenance management orders. They are normally addressed to the senior maintenance official, who is responsible for ensuring that the bulletin is delivered to the proper personnel for action. Request any necessary additional copies from:

BULLETIN LIBRARIAN
MAINTENANCE TECHNICAL SUPPORT CENTER
UNITED STATES POSTAL SERVICE
PO BOX 1600
NORMAN OK 73070-6708

531.623 Modification Work Orders

Headquarters develops any wide-impact modifications to Postal Service equipment. Installation instructions are communicated to field offices through modification work orders (MWOs), after approval by the Engineering Change Board and issuance of an engineering change directive. This document gives all data required to implement the modification on local equipment, along with necessary changes to other documents and procedures. The MTSC prepares and distributes modification work orders. Back copies may be obtained from the MTSC, when available.

531.624 Software Modification Orders

Software modification orders (SMOs) provide installation and modification procedures for changes to software in computer-controlled Postal Service field equipment. Software modification orders have instructions necessary to install, check out, and use new or modified software programs. These documents are developed and distributed by the MTSC. Back copies are available from the MTSC.

531.625 Equipment Drawings and Specifications

Headquarters maintains data packages of postal equipment, including design drawings, technical specifications, master drawing lists, and parts lists. These are not normally provided to field offices. However, when they are required for particular maintenance action, Headquarters supplies them.

531.63 Maintenance Guidelines

Unless otherwise directed, Headquarters instructions on methods, standards, tools, parts, supplies, and frequencies of attention for maintenance of facilities, plant equipment, and postal equipment take precedence over

instructions of manufacturers, contractors, lessors, or other government agencies.

Exception: Equipment covered by a manufacturer's warranty. When manufacturer's requirements differ from Postal Service instructions, follow warranty requirements for duration of the warranty period.

531.7 Staffing Requirements and Authorizations

531.71 Custodial and Plant Equipment

531.711 Authorizations

Either Headquarters or the area officer authorizes maintenance positions and staffing allowances using current staffing guidelines in appropriate maintenance handbooks and contract maintenance services. The determination to use contract maintenance and/or Postal Service personnel is based on 535.261 for custodial cleaning. For plant equipment maintenance, the determination is based on economic justification.

531.712 References

Appropriate information can be found as follows:

a. *Custodial Requirements.* Use Handbook MS-47, *Housekeeping — Postal Facilities,* for estimating custodial staffing requirements.

b. *Plant Equipment Requirements.* Use procedures in Handbook MS-1, *Operation and Maintenance of Real Property,* to estimate building and building equipment maintenance (Postal Service or contract) requirements.

531.72 Postal Equipment

531.721 Guidelines

Calculate required maintenance staffing for postal equipment using guidelines in the applicable maintenance handbooks and maintenance management orders. Begin with preparing an inventory of all equipment to be maintained and listing tasks required of the maintenance workforce. Workhour estimates that have been developed for specific postal equipment are used to estimate total workload and numbers of different skill-level technicians and maintenance personnel required to properly support the equipment.

531.722 Maintenance Guidelines

Headquarters Maintenance Policies and Programs prepares performance checklists, detailing preventive maintenance tasks and estimated times required by Postal Service personnel or contractors to perform the work for most postal equipment. These guidelines are published in maintenance handbooks and maintenance management orders. Total workhours per year required to maintain an item of equipment include:

a. Preventive maintenance time.

b. Allowance for estimated corrective maintenance time.

c. Nonproductive time.

d. Time allowance for special access problems.

531.73 Maintenance Operational Support

Guidelines for establishing and calculating workload are in the appropriate maintenance handbooks and maintenance management orders. Calculations to determine the number of positions needed for maintenance operations support depend on the workforce supported.

531.74 Self-Service Postal Equipment

District management determines self-service postal center technician staffing, following the guidelines 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 Postal Service configuration control and management system ensures that effective Headquarters maintenance support are provided to field offices. This system controls and documents all changes to Engineering Change Board (ECB) controlled equipment. The ECB is located at Headquarters and maintains master files of engineering drawings and specifications of all equipment under ECB control.

532.12 Applicability

The ECB has designated the equipment to be placed under configuration control. Generally this is limited to nonfixed mechanization items and other postal equipment of standard design, of which relatively large quantities are in use in many postal facilities. Equipment unique to one facility has not been placed under this control system.

532.2 Equipment Modifications

532.21 Conditions

532.211 Plant Equipment

Modifications and improvements to plant equipment and facilities are normally authorized and approved by the facility manager, subject to limitations imposed on budget costs and staffing by area authority.

532.212 Fixed Mechanization

Modifications to fixed mechanization equipment and to equipment unique to one or two sites may be installed on the approval of the facility manager, subject to specific restrictions imposed by areas or Headquarters.

532.213 Nonfixed Mechanization

Tests of locally proposed modifications to nonfixed, standard design, mechanization equipment must be approved by the P&D centers and facilities before implementation (see Publication 101, *Engineering Change*

Board Organization and Operation, Appendix A, for a list of controlled equipment).

532.214 **Headquarters-Developed Modifications**

Modifications approved by the ECB are authorized by the distribution of modification work orders to all affected field offices (see 531.623).

532.22 Installation

Approved modifications are installed on field equipment by Postal Service personnel when feasible. When personnel, time, special equipment, or cost limitations preclude using Postal Service personnel, contract services may be used (see procurement policies and regulations in the *Purchasing Manual*).

532.23 Documentation

Incorporation of modification work orders are recorded and records are forwarded to MTSC. These records are essential to an effective configuration control program.

533 Facility and Plant Equipment Maintenance

533.1 General

533.11 Postal Service-GSA Agreement

Certain building services, utilities, and maintenance functions for facilities interchanged between the Postal Service and GSA are specified in the Postal Service-GSA Agreement, *Agreement Between General Services Administration and the United States Postal Service Covering Real and Personal Property Relationships and Associated Services* (see 517.3). Copies of the agreement are on file in area offices.

533.12 Scope

Maintenance functions covered by the Postal Service-GSA Agreement include cleaning, utilities, and initial building alterations. The owner agency is responsible for providing services specified as standard level.

533.13 Rent

The Postal Service-GSA Agreement provides for a standard level of building services and utilities, with reimbursement for those in excess of the rental charges (see 517.8).

533.2 Building Services and Management

533.21 Custodial

See Handbook MS-47, *Housekeeping — Postal Facilities,* for standard level tasks and frequencies of custodial services.

533.22 Postal Service-Owned Buildings

533.221 Building Services

Agencies occupying space in Postal Service buildings should request building services not included as standard from GSA on GSA Form 2957, *Reimbursable Work Authorization* (see 517.834).

533.222 Parking Space

GSA is responsible for assigning nonpostal parking spaces allocated by the Postal Service for other agency use.

533.23 GSA-Owned Buildings

533.231 Building Services

Postal Service requests for building services not included as standard level should be sent to the facilities service center on Form 7437, *Facilities Services Request* (see 517.831).

533.232 Parking Space

The Postal Service is responsible for assigning parking spaces allocated by the General Services Administration for Postal Service use.

533.3 Repair and Initial Alteration Responsibilities

533.31 Repairs

The owner agency is responsible for making all building repairs.

533.32 Initial Space Alterations

533.321 General

Initial alterations are provided without charge by the owner agency, and are comparable to what is normally provided by the commercial sector for new occupants in buildings. Included are alterations to office and storage space conference and training areas, etc.

533.322 Office Space

Owners provide:

a. *Floors.* Adequate resilient flooring, such as vinyl composition tile.

b. *Ceilings.* Structurally sound and newly painted, if not acoustically treated.

c. *Partitions and Walls.* One linear foot of permanent structurally sound, newly painted, floor-to-ceiling partitioning for each 10 square feet of floor area that could be occupied. For open space planning, permanent partitions will be provided to a maximum of one linear foot for each 20 square feet of floor area that could be occupied.

d. *Window Treatment.* Standard window covering is venetian blinds.

e. *Heating, Ventilating, and Air Conditioning.* Capable of maintaining an operating environment in conformance with current Postal Service standards (see Handbook RE-13, *Repair and Alteration of Real Property Facilities*).

f. *Lighting.* Adequate lighting will be provided to maintain levels of illumination in conformance with current Postal Service standards (see Handbook MS-49, *Energy Conservation and Maintenance Contingency Planning*).

g. *Electrical and Telephone Distribution.* One duplex electrical outlet and one telephone outlet will be provided to a maximum of one per 12 linear feet of wall.

h. *Accident and Fire Prevention.* Features are provided according to current Postal Service policy.

533.323 **Storage Space**

Owners provide:

a. *Floors.* Concrete, wood block or similar material adequate for warehousing service.

b. *Ceilings.* Unfinished.

c. *Partitions and Walls.* With the exception of fire walls, no partitioning or wall finish will be provided.

d. *Window Treatment.* None.

e. *Heating, Ventilating, and Air Conditioning.* Capable of maintaining an operable environment in conformance with current Postal Service standards (see Handbook RE-13).

f. *Lighting.* Adequate to maintain levels of illumination in conformance with current Postal Service standards (see Handbook MS-49).

g. *Electrical and Telephone Distribution.* None provided.

h. *Accident and Fire Prevention.* In accordance with current Postal Service policy.

533.324 **Conference and Training Areas**

Owners provide:

a. *Floors.* Carpeted.

b. *Ceilings.* If required, ceilings will be acoustically treated.

c. *Partitions and Walls.* If required, perimeter walls must be sound conditioned to provide a minimum sound transmission class of 40.

d. *Heating, Ventilating, and Air Conditioning.* Boosted HVAC facilities normally must provide for high-density occupancy and are furnished where required.

533.325 **Other Areas**

Contact the area office for details on special use space, such as laboratory and clinic areas, vending areas, ADP space, and postal workrooms.

533.33 Special Requirements

If a tenant agency requires building alterations or improvements for which the owner agency is not responsible and funding is not available to the owner agency, GSA and the Postal Service agree on conditions under which the work may be initially funded by the tenant agency.

533.4 Building Maintenance

533.41 Postal Service-Owned Buildings

533.411 Scope

The Postal Service is responsible for ensuring the cleaning and maintenance of all postal-owned facilities, including maintenance of plant equipment. The postmaster or other installation head has jurisdiction over the facility, grounds, and appurtenances, and is responsible for their operation and maintenance.

533.412 Maintenance Responsibilities

The Postal Service is responsible for:

a. Accomplishing preventive maintenance, that is, keeping facility, grounds, and plant equipment in operational condition through scheduled inspections, adjustments, lubrication, and repairs.

b. Replacing expendable component parts of building and equipment units (such as switches, starters, flush valves) that can reasonably be expected to wear out repeatedly.

c. Replacing complete plant equipment units when necessary or economically desirable.

d. Providing expendable supplies and materials such as gaskets, seals, filters, electronic components, and supplemental refrigerants.

e. Making necessary changes, modifications, repairs, and improvements to facilities (see Publication 191, *Investment Policies and Procedures,* 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 responsible P&D center or facility (see 536.22).

533.414 Vacant Facilities

When the Postal Service relocates postal operations and vacates postal-owned buildings, the postmaster is responsible for maintenance of the vacant building and grounds until final disposition of the real property. Tenants occupying space in these facilities must be provided full support and custodial services until disposition of the property.

533.42 Leased or Rented Quarters

533.421 Normal Conditions

Leases or rental agreements specify the lessor’s obligations for repairs and maintenance. The agreements customarily require the owners to keep the premises and all equipment furnished by them in good tenantable condition, except when damage occurs by an act of negligence by a Postal Service agent or employee.

533.422 **Postal Actions**

The Postal Service follows these requirements:

a. Postal Service personnel must not undertake any preventive maintenance in leased facilities unless specifically authorized or directed to take such action by the facilities service center.

b. The lessor is advised promptly of any equipment malfunction or needed repairs to avoid extensive damage that might be caused by failure to correct deficiencies (see 515.1 for procedure).

c. Postmasters or other installation heads should obtain a copy of the lease and ensure that they understand the maintenance section.

533.423 **Postal-Caused Damage**

When damage is caused by postal employees and the lessor is not responsible under the lease for correcting it, the postmaster makes the necessary repairs if there is in-house capability. If this cannot be done, proceed as follows:

a. If the estimated cost of repair is $100,000 or less, procure the necessary services under contract according to the *Purchasing Manual,* providing no engineering design work is necessary.

b. If the estimated cost of repair exceeds $100,000 or if engineering design work is necessary, process the repair through appropriate facilities channels.

533.424 **Emergencies**

See the *Purchasing Manual.*

533.425 **Funding**

Except in emergencies, the postmaster must ensure that funds are available before contracting for any maintenance or repair work that is not the lessor's responsibility.

533.426 **Plant Equipment Responsibilities**

The Postal Service is responsible for testing and recharging of portable fire extinguishers, Postal Service-furnished portable battery-powered emergency lighting units, and all postal equipment used in the facility. Postal Service personnel must use good equipment operating practices on all plant equipment.

533.427 **Claims for Damages**

An owner's claim for damages due to acts or negligence of Postal Service personnel, and not the result of ordinary usage, must:

a. Include a brief statement on the cause of the damage and other relevant facts.

b. Be submitted, in writing, to the area office through proper channels, with the postmaster's recommendation on the validity and reasonableness of the claim and the recommended action.

533.5 Building and Grounds Cleaning

533.51 Responsibility

533.511 Postal Service-Owned Buildings

The Postal Service is responsible for ensuring the cleaning of all Postal Service-owned buildings.

533.512 GSA-Owned Buildings

GSA is responsible for cleaning Postal Service-occupied space in GSA-owned buildings.

533.513 Leased or Rented Buildings

The Postal Service is responsible for ensuring the cleaning of leased or rented buildings, unless otherwise stated in the lease or rental agreement.

533.52 Cleaning Methods

533.521 Handbooks

The following handbooks have methods for custodial work:

a. Handbook MS-10, *Floors, Care, and Maintenance.*

b. Handbook MS-47, *Housekeeping — Postal Facilities.*

533.522 Maintenance Bulletins

Methods are also updated and issued in maintenance bulletins.

533.53 Supplies and Equipment

533.531 Supplies

Publication 247, *Supply and Equipment Catalog,* lists cleaning and maintenance supplies and requisitioning procedures. The *Material Logistics Bulletin* (MLB) also has information regarding vendors of select commercial commodities who have established national ordering agreements (NOAs). When it is cost-effective, GSA sources may be used; however, GSA use is not mandatory.

533.532 Equipment

Publication 247, *Supply and Equipment Catalog,* lists equipment available for efficient custodial and plant equipment maintenance. The MLB also lists information regarding vendors of select equipment who have established national ordering agreements. This equipment is requisitioned on Form 7381, *Requisition for Supplies, Services, or Equipment,* and submitted to the appropriate division. Any required equipment not listed in Publication 247, the use of which would reduce custodial workhours or other operation cost, should be requisitioned on Form 7381, with a detailed justification attached.

533.533 Tools

Maintenance tools are listed in the GSA Federal Supply Catalog and stocked at GSA stores depots. Authorized postal installations may requisition tools from GSA following instructions in Handbook AS-701, *Material Management.* When it is cost-effective, GSA sources may be used; however, GSA use is not mandatory. In the future, the *Material Logistics Bulletin* will also have

information on suppliers of tools who have established national ordering agreements.

533.534 Acquisition

See 722 and 733 for guidelines for procurement and requisition of supplies and equipment.

533.54 Inspection of Detached Units

The postmaster, officer in charge, or other designated supervisory employees of the main post office must conduct semiannual maintenance inspections of all detached Postal Service units. Use procedures in chapter 3, Handbook MS-110, *Associate Office Postmaster's Maintenance Guidelines.* Discuss the results with the manager of Field Maintenance Operations. Report any major problems noted to the responsible field maintenance office.

533.55 Employee Housekeeping Committees

Postal facilities with 100 or more employees must appoint an employee committee to generate and encourage good housekeeping habits. In facilities with fewer than 100 employees, committees may be appointed at the discretion of the postmaster or officer in charge. A maintenance supervisor should be a member of the committee. The committee must formally inspect the facility at least quarterly, and submit a written summary of findings to the postmaster or officer in charge.

533.56 Lookout Galleries

533.561 Use

Lookout galleries are for the exclusive use of Postal Inspection Service personnel. They are to be used for criminal investigations only.

533.562 Cleaning Requirements

Galleries are to be cleaned on the first Monday of each month or on the next business day if Monday is a holiday. If cleaning cannot be performed on the regular day, for any reason, the gallery may not be entered for cleaning on any other day without permission from the local inspector or inspector in charge.

533.563 Exterior Door

At the time of cleaning, check whether the outside entrance door leading to the observation gallery operates freely. Open the door from inside and determine that the latch bolt operates freely. If the door does not operate freely and quietly, make arrangements to have the deficiency promptly corrected.

533.564 Access

The galleries may be entered without prior permission only for cleaning purposes on the scheduled day or for emergencies involving the galleries. If contractors, technicians, or Postal Service personnel must have access to the galleries in connection with new construction, alterations, or repairs, the installation head must clear such access beforehand with the local inspector or the inspector in charge.

533.565 Glow Lamps

Duplex convenience outlets are provided in most galleries to permit use of electrical equipment for cleaning and to provide receptacles for glow lamps that mark obstructions and changes in direction. Postmasters may order glow lamps from material distribution centers (Item C-1864). Only one glow lamp should be installed in a duplex outlet. Usually an outlet is provided at the top and bottom of each ladder in the gallery. Glow lamps should not be installed in the outlets at the bottoms of ladders located in a breakout door well. Glow lamps should be burned 24 hours a day.

533.566 Breakout Doors

Exit doors from the galleries to the workroom or other areas must not be blocked by equipment at any time. An area 2 feet wide from the door to an aisle must be kept clear. The floor area to be kept clear must be marked. To identify such doors, use Label 1, *Do Not Block Door,* stocked in material distribution centers. *No other use of the label is authorized.*

533.6 Repair and Alteration (R&A) Program

Area office personnel are responsible for administering the repair and alteration program. Handbooks RE-12 and RE-13 have been prepared to assist area office personnel with this program.

534 Postal Equipment Maintenance

534.1 Types of Equipment

534.11 Mail Processing Equipment

This consists of all mechanization (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, and twine-tying machines.

534.12 Customer Service Equipment

This consists of equipment such as stamp and commodity vending machines, scales, bill changers, self-service postal center equipment, and money order machines.

534.13 Delivery Service Equipment

This consists of equipment such as label imprinters for central markup, label makers, letter boxes, and centralized forwarding systems.

534.14 Support Equipment

This consists of equipment such as Postal Source Data System (PSDS) equipment, electronic time clocks, and maintenance working equipment such as fork-lift trucks, vertical-lift equipment, powered shop equipment, and containers.

534.2 Repair Parts — Overhaul and Rebuild

534.21 Sources

Repair parts and tools, supplies, and test equipment required to perform corrective and preventive maintenance are obtained from one or more of the following sources: Topeka Material Distribution Center, GSA Supply Center, other U.S. Government supply centers, and commercial parts supply houses. Follow procedures in the *Purchasing Manual* (PM) and other procurement documents.

534.22 Repair and Rebuild of Assemblies

Many items of postal equipment are efficiently placed back into service following a failure by replacing a defective assembly or subassembly. For small equipment, the entire unit is sometimes replaced. The replaced assembly, subassembly, or unit must then be repaired or disposed of. Several alternatives may be considered when this situation occurs in the absence of stated policy:

a. *Local Repair.* If a local office has trained technicians, required replacement parts, tools, and test equipment available, and the item is judged to be technically and economically reparable, repair the item locally and return to stock.

b. *Material Distribution Center Rebuilding.* If a local office does not have all the required capabilities (in 534.22a), and the item is stocked at the material distribution center, requisition a new unit and send the defective one to the material distribution center for rebuild. A repair facility under management of Maintenance Policies and Programs rebuilds the item. Maintenance Policies and Programs issues policy for certain cases where uniform national procedures are clearly advantageous.

c. *Warranty Replacement.* If the item is under warranty, follow warranty replacement procedures for that particular item of equipment. Warranty procedures are specified in operation and maintenance manuals, maintenance series (MS) handbooks, maintenance management orders, and specific warranty documents.

d. *Manufacturer's Repair.* In certain cases, the item must be returned to the original manufacturer for repair or rebuild. These cases normally involve small quantities of prototype or field test equipment, or equipment for which no specific internal repair or rebuild system has been established.

534.23 Equipment Overhaul

534.231 Major Equipment

Certain extensively used major items of equipment require a major overhaul some time during their operating life. The Maintenance Technical Support Center (MTSC) has been established to issue instructions for major overhaul programs and has the physical resources to conduct the overhauls.

534.232 Other Equipment

Overhaul of other equipment is normally handled by instructions from the area office, MPP, or as directed by the MTSC.

534.24 Repair Parts Stockage

534.241 Requirement

Offices with internal maintenance workforce operations must maintain local stockage of spare parts, tools, and supplies necessary to support maintenance performed in their office. The particular operating procedures depend on the maintenance management system used at the office. This policy does not apply to non-maintenance-capable offices.

534.242 Control

The following controls must be established:

a. Whatever system is used, some control must be established for receipt, issue, stockage, and reordering of spare parts. When stockrooms must be operated without clerks in attendance during one or more tours, ensure that maintenance personnel using parts and supplies record the items issued and received. During these times, the senior maintenance official on duty, or designee, is responsible for this operation.

b. Also, when satellite storerooms are set up near specific equipment to provide quick access to repair parts, the issue and receipt of parts to and from the satellite storeroom must be carefully controlled.

c. When there are no maintenance management or supervisory personnel on duty, the senior operations official is responsible for the tool and parts operation.

534.243 Stock Levels

Local stockage levels of spare parts and supplies have been established for many items of equipment and are published in repair parts catalogs and other documents. Follow these levels except when specific local conditions require some deviation.

534.244 Emergency Stockage Centers

Specific critical spare parts and assemblies are stocked in five critical parts centers. The material distribution center and MTSC describe the items stocked and procedures for obtaining parts from these stocks.

534.3 Repair and Replacement Guidelines

534.31 General

Guidelines for deciding whether to repair or replace postal equipment depend on such factors as the type of equipment, availability of replacements, cost of repair and replacement, and age and anticipated life of the item. Maintenance Policies and Programs establishes guidelines for deciding whether to repair or replace equipment, assemblies, and subassemblies.

534.32 Field Maintenance

To decide whether to repair or replace equipment, assemblies, or subassemblies by field maintenance activities, use the following guidelines:

a. Estimate one-time costs of repairs or overhaul necessary to place the item in good operable condition. Include current price of all parts to be replaced as listed in the repair parts catalog or the exchange charge for complete assemblies or subassemblies, plus all shop labor hours. Use the midpoint of the hourly rate for PS-7 to estimate labor costs.

b. Use the formula below to make a decision. One-time expenditure for repair or overhaul is authorized when estimated cost is within the percentage limits of the respective replacement cost, and repairs are not available by qualified maintenance personnel.

	Life Expectancy of Equipment					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.*

c. Local repair of items such as electric motors is authorized when needed service is minor. Minor repairs must not exceed 50 percent of the replacement cost of the motor.

d. If the estimated costs exceed the dollar amount of the repair limit, requisition a replacement item and dispose of the unserviceable unit.

e. Criticality of equipment and/or operational requirements may dictate the repairing of an item, even though the cost of repairs exceeds the economic limits.

535 Maintenance Service Contracts

535.1 General

535.11 Use

535.111 Postal Equipment

Maintenance of postal equipment should be performed by Postal Service personnel, whenever possible. Exceptions are:

a. Where capable personnel are not available.

b. When maintenance can be performed by contract and it is economically advantageous.

c. When a piece of equipment is a prototype or experimental model or unusually complex, so that a commercial firm is the only practical source of required maintenance expertise.

535.112 Facility and Plant Equipment

Contract service is encouraged for Postal Service-operated facility and plant equipment maintenance, when economically advantageous.

535.12 Procurement of Contracts

535.121 General

See 72 for guidance and restrictions concerning the purchase of required services.

535.122 Existing Contracts

When proposing a major revision to provisions of an existing contract, consider submitting the proposal to the purchasing service center.

535.13 National Agreement Considerations

Installation heads must be knowledgeable about Article 32, Subcontracting, of the National Agreement with the postal unions, before considering contract maintenance service.

535.2 Contract Criteria

535.21 Removal of Ashes and Rubbish

Contract service may be authorized when the municipality or lessor is not obligated to provide removal services. When contractors are required to use Postal Service-owned equipment, such as crane hoists or elevators to remove ashes and rubbish from the premises, they must use the equipment according to safety rules established by the postmaster. The postmaster must have this equipment inspected periodically to ensure its safe operating condition.

535.22 Cloth and Laundry Service

Contract service may be authorized when necessary.

535.23 Window Cleaning, Lawn and/or Grounds Maintenance, and Snow and Ice Removal

Contract service may be authorized when it is economically advantageous.

535.24 Air Conditioning Service

Contract service may be authorized for facilities in which the Postal Service is responsible for operating and maintaining certain types of air conditioning equipment. Handbook MS-24, *Heating, Cooling, and Ventilating,* specifies instructions for use of air conditioning contract maintenance service. This handbook:

a. Must be followed by post offices with central air conditioning systems using chillers, water cooling towers, and air handlers.

b. Is available to offices with self-contained units with compressors rated at 5 tons or above, if the Postal Service is responsible for maintenance of the air conditioning equipment.

535.25 Elevator, Escalator, and Dumbwaiter Service

535.251 Operation

Contract service may be authorized for facilities in which the Postal Service is responsible for operating and maintaining elevators, escalators, or dumbwaiters. The Postal Service has this responsibility in all Postal Service-owned facilities. In leased facilities, the Postal Service generally has routine maintenance responsibility and sometimes has repair and replacement responsibility. In questionable cases, review the lease (see 535.111).

535.252 Maintenance

Routine maintenance of this equipment (inspection, adjusting, cleaning, oiling, and greasing) requires highly technical skills. Post offices that do not have employees with these skills should request authority to procure the necessary maintenance service under contract with a qualified elevator maintenance company.

535.26 Cleaning Services

535.261 Authorization

Authorization is secured as follows:

a. When a vacancy as a result of an employee's voluntary attrition is identified in an independent installation or in a station and/or branch of an independent installation, the following sequential steps will be taken to determine whether or not a contract cleaning service may be utilized:

(1) The measured square footage of the interior area, as determined by using the procedures identified in Handbook MS-47, *Housekeeping — Postal Facilities,* is to be divided by 18,000. The resulting number is rounded to four decimal places.

(2) The measured square footage of the exterior paved and unpaved area, as determined by using the procedures identified in

Handbook MS-47, is to be divided by 500,000. The resulting number is rounded to four decimal places.

(3) The numbers obtained in steps 1 and 2 are then added together. If the resulting number is less than one, a contract cleaning service may be used to perform the required work.

b. If the determination is made to utilize a contract cleaning service, the local APWU President will be provided a copy of the above computations.

c. Post offices, or stations, and/or branches which contract cleaning services under previous criteria may continue to do so.

535.262 Tenant Space

Contracts may be authorized for cleaning buildings or portions of buildings occupied by nonpostal tenants. This includes office space adjacent to or above or below postal operating space; identifiable sections of buildings that are separated from postal space and outleased to nonpostal functions; and buildings that have been vacated by the Postal Service and are awaiting final disposition.

535.263 Submitting Requests

When submitting a request for approval (see 535.122), show the following:

a. Location and size of building to be cleaned.

b. Hours building is normally occupied.

c. Classified cleaning workhours required, based on completed Form 4852, *Workload Analysis and Summary.*

d. Estimated cost of contract services.

e. How the building is presently cleaned.

535.264 Estimating Costs

Use the following procedures to estimate requirements and costs:

a. Handbook MS-47 provides guidelines for cleaning requirements and estimates for determining the necessary workforce allowance. It is mandatory that postmasters:

(1) Maintain an up-to-date Form 4852.

(2) Encircle in columns F and N on Form 4852 the minutes required for the operations for which contract service is being proposed.

b. The biweekly cost of cleaning services contracts can be estimated by extracting from Form 4852 the encircled items in columns F and N, converting them to weekly hours and minutes, and multiplying such time by the minimum or prevailing local wage rates for this type of custodial occupation. Do not use the *weekly workhours* column of Form 4852 for this estimate unless all operations listed on the form are to be provided under contract.

535.27 Other Contract Service

If another type of contract service is needed, forward a complete description of the service desired, the need for it, and the estimated cost and duration of the contract to the purchasing service center (PSC).

536 Field Maintenance Program

536.1 General

536.11 Policy

Field maintenance offices (FMOs) perform maintenance work that is not the responsibility of GSA or a lessor at associate postal facilities. FMOs perform maintenance in these cases:

a. Maintenance capability does not exist at the associate office.

b. Repairs cannot be made by exchange of parts or equipment items.

c. A local contract for the required services is not possible or economical.

536.12 Responsibilities

The FMOs are responsible for a wide variety of relatively complex plant and postal equipment maintenance, such as:

a. Installation of stamp vending machines.

b. Installation of portable conveyors.

c. Installation and alteration of screenlines.

d. Repair of scales, stamp vending machines, twine-tying machines, canceling machines, money order machines, postage meter bases, lock boxes, self-service postal centers, time recorders, portable conveyors, and other postal equipment, according to existing instructions.

e. Installation, repair, and removal of alarm systems provided by the Postal Service for safes and vaults.

f. Repair of safe and vault combinations, including lockouts.

g. Preventive maintenance inspection of postal and plant equipment, including heating, ventilation, and air conditioning equipment, if required, during visits to a post office to make a repair.

536.13 Reference

FMOs follow instructions in Handbook MS-45, *Field Maintenance Program*.

536.2 Field Maintenance Program Responsibility

536.21 Headquarters

Maintenance Policies and Programs is responsible for:

a. Developing new or revised policy guidance on the role and functions of field maintenance offices, and acquisition, maintenance, and disposal of equipment.

b. Issuing technical guidance in maintenance handbooks and other publications.

c. Developing effective training programs.

d. Maintaining a technical support activity for field maintenance installations.

536.22 Area Office

Area offices are responsible for:

a. Defining geographic areas to be served by individual field maintenance offices (FMOs) and designating the responsible PDC or PDF.

b. Approving FMO staffing levels based upon factors such as geographic area, number of facilities, and availability of contract services.

c. Auditing the FMOs periodically to ensure that the FMOs are correctly managing the program; reviewing the general performance of FMOs.

d. Coordinating FMO training.

e. Authorizing selected FMOs to perform facilities maintenance.

536.23 P&D Centers and Facilities

PDCs and PDFs, designated by the area office, 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 at offices without maintenance capability.

536.3 Program Administration

The field maintenance program is administered by the Manager, Field Maintenance Operations (MFMO) assigned to the designated PDC or PDF.

536.31 FMO Staff Scheduling Assignments

536.311 Less Demanding Assignments

When work requested by an associate office is relatively simple and does not require the technical skills of field maintenance personnel, lower level qualified maintenance employees may be assigned to the job.

536.312 More Demanding Assignments

When the field maintenance office workload or technical capabilities are exceeded, additional maintenance employees may be assigned to assist in work in areas in which they have training, unless all members of the staff are engaged in work of equal importance.

536.32 Controls and Reports

Maintenance planning and scheduling personnel are responsible for maintaining work order summaries, showing field maintenance office work at

the home office and associate offices, and non-FMO work. All FMO work activities are to be entered, planned, and scheduled using the MARS system.

536.4 Requesting FMO Assistance

536.41 Routine Work

When FMO assistance is required, the postmaster of the requesting associate office completes Form 4805, *Equipment Breakdown Work Order,* and mails it to the FMO, Attention: Manager, Field Maintenance Operation. The request is processed and work is scheduled as described in Handbook MS-110.

536.42 Emergencies

In emergencies, the associate office postmaster uses the designated repair services, selected in advance (according to Handbook MS-110), or telephones the manager of field maintenance operation 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, *Equipment Breakdown Work Order,* or a written request. In an emergency, the postmaster may contact the FMO by telephone.

536.6 Contracting Authorities

See 72 for delegated work buying authorities. For requirements exceeding these authorities, contact your area purchasing service center (PSC).

54 Energy Conservation, Utilities, Heating Fuels, and Bulk Vehicle Fuel

541 Energy Conservation

541.1 Routine Operating Plan

541.11 General

All installation heads must follow these energy conservation measures:

a. Switch off any lighting, indoor or outdoor, whenever it is not needed. However, do not shut off power to computers (such as IRTs) that transmit data overnight or when an installation is closed.

b. Maintain a maximum heating temperature of 65 degrees Fahrenheit during working hours and 55 degrees Fahrenheit during nonworking hours.

c. Maintain a minimum cooling temperature of 78 degrees Fahrenheit during working hours and no cooling during nonworking hours.

d. Follow all guidelines prescribed in Handbook MS-49, *Energy Conservation and Maintenance Contingency Planning.*

541.12 Use of Gas During Summer

When gas is not needed, minimum charges for service should be paid if this reduces the annual cost. In many areas, high reconnection costs preclude having the gas shut off completely. If the gas is left on, consider leaving pilot flames on during the summer to reduce corrosion. Installation heads must ensure that decisions made in this area are the most efficient and cost-effective.

541.2 Emergency Contingency Plan

Installation heads must prepare a contingency plan to reduce electrical, gas, oil, or other fuel consumption, or to change completely to an alternate energy source in the event of a critical energy shortage or power outage. Follow the instructions in Handbook MS-49, Chapter 5.

542 Utilities

542.1 Policy

542.11 Definition

Utility service refers primarily to electricity, gas, water, steam, sewerage, and regulated telecommunications services available to the general public and performed by governmental agencies or by private companies ordinarily subject to regulation. Other services, such as trash removal, may also be considered utility services when performed by governmental agencies or by private companies subject to regulation. For the purposes of the ASM, the utilities discussed in 542 are considered “metered” utilities.

542.12 New Facilities

The type of utility service to be used is determined when a new facility is first erected or occupied under a lease or rental agreement. A connection charge (a payment for making a connection with a point of supply that is installed and owned by the utility supplier) may also be required for new facilities when the Postal Service is responsible for the cost of service. Consider the following regarding connection charges:

a. A connection charge may be paid only after reasonable attempts to negotiate a no-charge connection have failed.

b. When a charge is necessary to secure the required connection, a termination liability is ordinarily preferred over a connection charge.

c. When the supplier requires payment of an unrefundable fee for connection, in addition to or in place of a connection charge, the fee may be paid.

542.13 Existing Facilities

Form 4841, *Fuel and Utilities Record,* must be maintained at all Postal Service-owned buildings and Postal Service-leased facilities where the Postal Service pays the cost of utilities. The facility must retain the completed form for the record.

542.2 Acquiring Service

542.21 General Services Administration Contract

Utility services should be obtained under available General Services Administration (GSA) areawide contracts, unless they can be obtained more efficiently or at a lower cost under Postal Service contract or through local buying procedures.

542.22 Postal Service Contract

If GSA service is not available, or if service cannot be acquired as described in 542.23, contact the servicing Purchasing and Materials Service Center (P&MSC).

542.23 Local Buying

Lease contracts and rental agreements, copies of which are on file in the local facility, specify the services that the owner of the building is obligated to furnish. No funds may be authorized or expended in leased or rented buildings for any service for which the owner is obligated to provide. However, when required for operation of Postal Service-owned buildings, or for Postal Service-leased or -rented space for which the owner is not required to furnish those items or services (including vehicle service garages), metered and flat-rate utility service may be bought and paid for using local buying procedures (see 72).

Note: Postal Service-GSA credit cards may not be used to make these purchases (see Chapter 7).

542.3 Requesting Rate Surveys

In Postal Service-owned or -leased facilities (if the Postal Service is responsible for acquiring service), request the utility company to perform periodic rate surveys to decrease expenses. Follow these guidelines:

a. When a building has been remodeled, rewired, relighted, air conditioned, or mechanized, request the utility supplier to make an electric rate survey not later than 6 months after the change.

b. Unless service is provided under a General Services Administration contract, contact the utility company or municipality furnishing service semiannually and request them to advise if the rates used are the lowest available to the Postal Service and whether there is a choice of rates. Generally, if there is a choice of rates available, and if so requested, the utility can furnish comparative costs data and give the Postal Service the benefit of the lowest rate.

c. Study the data on Forms 4841 after each 12-month period of operation. If the data show an appreciative increase in consumption, request the utility to make a rate survey. When in doubt on any question concerning utility rates, forward full information (copies of the different rates, effective dates, statement showing 12 months' consumption and cost, etc.) to the area maintenance office for review and resolution.

542.4 Processing Changes

542.41 Rate Changes

542.411 Through GSA Contract

When services are acquired through General Services Administration contract and a rate change is approved, the installation head must send a copy of the notice announcing the change to the appropriate Information Systems field center. The installation head must also state whether the change represents any increase or decrease in the cost.

542.412 Through Postal Service Contract

When services are acquired through a Postal Service contract, the installation head must send a copy of any rate change to the servicing P&MSC. The P&MSC manager decides on any actions to take.

542.413 Through Local Buying

If service was bought locally and a public utility regulatory agency approves a rate change, the new cost may be paid locally.

542.42 Name and Address Changes

Unless services are acquired through the General Services Administration or are acquired and paid through local buying procedures, any name or address changes, including those of the supplier and the Postal Service installation being serviced, must be reported to the P&MSC manager or the servicing Information Systems field center, as appropriate.

542.5 Billing and Payment

542.51 Revenue-Generating Units

Revenue-generating units pay all utilities bills through local buying procedures, regardless of the amount of the bill and the installation's local buying authority. All bills must be reviewed and certified before they are paid.

542.52 Non-Revenue-Generating Units

Non-revenue-generating units must review, certify, and promptly pay through established procedures. Contact the manager of Finance at the district if more information is needed.

Note: Do not use the Postal Service-GSA credit card to make these purchases.

542.53 Additional Fees

If bills are received that include extra charges (i.e., for amortization or membership fees, deposits, or taxes), note the following:

a. Amortization charges or membership fees are usually applicable to cooperative or municipally owned utilities.

b. Payment of amortization charges in bills is permissible.

c. Payment of membership fees may be paid if the supplier insists.

d. Payment of deposits may be paid if a statement is obtained that the deposit will be refunded when the service is no longer needed.

e. Submit questions relating to taxes to the field counsel or the servicing P&MSC manager for resolution. Charges indicated as taxes must be paid until advice that payment is not necessary is obtained. Refunds may be claimed for amounts found to be paid improperly.

543 Purchasing Nonmetered Heating Fuel

543.1 Definition

Nonmetered heating fuel is fuel obtained by bulk delivery for storage at the installation, such as fuel oil, butane, propane, coal, and wood (see 542 for information about the purchase of metered heating fuel).

543.2 Purchasing Methods

543.21 Oil and Gas

The purchasing method used to obtain heating oil or gas (including butane and propane) depends on annual requirements. Generally, requirements are categorized into two distinct limitations, each of which calls for a distinct purchasing method. The categories are:

a. Requirements over 20,000 gallons a year.

b. Requirements under 20,000 gallons a year.

543.22 Requirements Over 20,000 Gallons a Year

Under an interagency agreement between the Postal Service and the Defense Fuel Supply Center (DFSC), postal installations must purchase nonmetered heating oil and gas from DFSC contractors if the annual requirement is over 20,000 gallons per product at any given location. Delivery agreements are used to order this amount of heating fuel against a DFSC contract. Delivery agreements are issued by the servicing P&MSC, and individuals so designated may place orders for the heating fuel they require. Orders are made in terms of tank capacity.

543.23 Requirements Under 20,000 Gallons a Year

Nonmetered fuel requirements estimated to be under 20,000 gallons a year should be purchased using local buying procedures.

Note: Postal Service or GSA credit cards may not be used to make these purchases (see Chapter 7).

543.24 Nonpetroleum Fuels

All requirements for nonpetroleum fuels like coal, wood, etc., should be met through local buying procedures.

543.3 Changes in Types of Fuel

Changes in the fuel used must have prior approval. For Postal Service-owned or -leased buildings, submit a request to the manager of Operations Program Support at the district office, giving estimated costs of the present and proposed fuels and the reasons for making the change. Include comments on the kind and amount of fuel currently provided and any complaints of objectionable smoke conditions.

543.4 Procedures

543.41 Requirements Over 20,000 Gallons a Year

543.411 Submitting Requirements

Annual requests for requirements exceeding 20,000 gallons a year must be submitted through the servicing P&MSC to the Defense Fuel Supply Center (DFSC). A DFSC requirements work sheet, provided by the P&MSC to the requirements organization, is used to establish annual requirements by line item. A delivery agreement with the DFSC is established by the P&MSC for each line item requested. If a delivery agreement cannot be established, the P&MSC provides some other contractual vehicle.

543.412 Order Limitations

Orders from DFSC contracts are authorized to the maximum tank capacity as listed in the applicable DFSC contract Bulletin for the installation.

543.413 Authorized Orderers

Individuals designated to place orders against the delivery agreement must be identified by name or position title.

543.414 Ordering

Authorized orderers may place orders from the delivery agreement in writing or orally. Each order accepted by the DFSC contractor becomes an individual contract. Orders are assigned a sequential number that must be provided to the contractor when the order is placed.

543.415 Billing and Payment

Invoices are sent to the ordering installation, which verifies accuracy, certifies the invoice, and forwards it to the Information Systems field center for payment.

543.42 Requirements Under 20,000 Gallons a Year

For all installations other than leased facilities for which the Postal Service pays for fuel, these requirements are met through local buying procedures. The Postal Service or GSA credit card may not be used to purchase any of the fuels discussed in this section. Payment is made for each delivery and

charged to the appropriate account identifier code (AIC) on the Statement of Account and Form 1412-A/B, *Daily Financial Report:*

	AIC No.	
Fuel Categories	**CAGs A–K**	**VMF**
Heating oil	561	565
Gas (propane, liquid, natural)	566	570
Other heating material (wood, coal, etc.)	576	580

Note: *For wood or coal, postmasters purchase and pay for locally unless annual cost is over $500 at CAGs A–J or $100 at CAGs K and L, in which case the Information Systems field center pays.*

544 Purchasing Vehicle Fuel

544.1 General

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

a. Requirements over 20,000 gallons a year.

b. Requirements between 2,000 and 20,000 gallons a year.

c. Requirements under 2,000 gallons a year.

544.2 Requirements Over 20,000 Gallons a Year

Under an interagency agreement between the Postal Service and the DFSC, postal installations must purchase fuel (gasoline, gasohol, kerosene, diesel fuel and burner fuel oil) from DFSC contractors if the annual requirement is over 20,000 gallons per product at any given location. Delivery agreements are used to order bulk fuel against a DFSC contract. Delivery agreements are issued by the servicing P&MSC, and individuals so designated may place orders for the fuel they require. Orders are made in terms of tank capacity.

544.3 Requirements Between 2,000 and 20,000 Gallons

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

544.4 Requirements Under 2,000 Gallons a Year

Annual vehicle fuel requirements amounting to under 2,000 gallons a year should be purchased locally using local buying procedures.

544.5 Types of Fuel

544.51 Gasoline

DFSC contracts call for the delivery of gasohol (product code 25) or unleaded regular gasoline (product code 29). If, at the time the DFSC awards the

contract against which the Postal Service delivery agreement will be placed, the price of gasohol is equal to or lower than the price of unleaded regular, the contract will be awarded to the firm offering gasohol. Postal organizations wishing to use only unleaded regular may request deviations to this requirement. The deviation must be approved by the DFSC.

544.52 Diesel

Postal organizations wishing to use diesel gasoline must specify Number 2 diesel (product code 34).

544.6 Procedures

544.61 Requirements Over 20,000 Gallons a Year

544.611 Submitting Requirements

Annual requirements exceeding 20,000 gallons a year must be submitted through the P&MSC to the Defense Fuel Supply Center (DFSC) for procurement unless the DFSC authorizes the P&MSC to purchase the product. A DFSC Requirements Work Sheet, provided by the P&MSC to the requirements organization, is used to establish annual fuel requirements by line item. A delivery agreement with DFSC is established by the P&MSC for each line item requested. If DFSC cannot place a contract for the requested items immediately, the ordering installation may use local buying procedures until a contract is in place. Additionally, if any contractual problems arise, the DFSC contracting officer is the only individual authorized to negotiate with the contractor or to terminate the contract.

544.612 Order Limitations

Orders off Defense Fuel Supply Center contracts are authorized at the maximum tank capacity (specified in gallons, not dollars) as listed in the applicable DFSC Contract Bulletin for the requiring installation.

544.613 Contract Quantity

Contract maximum and minimum are as follows:

a. The annual maximum contract quantity that may be ordered by the Postal Service, or that the contractor may deliver under any item, is double the estimated Defense Fuel Supply Center contract quantity plus 30,000 gallons, whichever is less. Quantities exceeding this annual maximum may not be ordered.

b. The annual minimum quantity that Postal Service guarantees to purchase from the DFSC contract is $100.

544.614 Authorized Orderers

Individuals designated to place orders against the delivery agreement must be identified by name or position title.

544.615 Ordering

Authorized orderers may place orders against the delivery agreement either verbally or in writing. Each order accepted by the DFSC contractor becomes an individual contract. Orders are assigned a sequential number, and this number must be provided to the contractor when the order is placed.

544.616 **Records**

All orders must be recorded on Form 4626, *Vehicle Fuel and Motor Oil Purchase Record,* following instructions on the reverse of the form. Forms should be filled out completely.

544.617 **Payment**

Invoices are sent to the ordering installation, which verifies accuracy, certifies the invoice, and forwards it to the Information Systems field center for payment.

544.62 Requirements Between 2,000 and 20,000 Gallons a Year

544.621 **Indefinite Delivery Contracts**

The P&MSC establishes contractual vehicles (either indefinite delivery, indefinite quantity contracts, or basic pricing agreements) for requirements between 2,000 and 20,000 gallons a year. Contact your PSC for guidance.

544.622 **Authorized Orderers**

Individuals designated to place orders against the contractual vehicle must be identified by name or position title.

544.623 **Ordering**

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

544.624 **Records**

All orders must be recorded on Form 4626, following instructions on the reverse of the form. Forms should be filled out completely.

544.625 **Payment**

Invoices are sent to the ordering installation, which verifies accuracy, certifies the invoice, and forwards it to the Information Systems field center for payment.

544.63 Requirements Under 2,000 Gallons a Year

These requirements should be met using local buying procedures. The Postal Service or GSA credit card may not be used to effect these purchases.

545 Limitations on Heating Oil Used at Headquarters

To ensure compliance with Title V of the Clean Air Act Amendments of 1990, the Headquarters facility at L'Enfant Plaza must use only No. 2 fuel oil with a sulfur content of 0.3 percent or less by weight when the primary fuel of natural gas is not available.

55 Environmental Management

551 Introduction

The Postal Service is committed to sound environmental management and practices. Its primary concern is for the well-being of its employees, customers, and the communities it serves. In the performance of its mission to provide prompt, reliable, and efficient postal services to all communities, the Postal Service will conduct its activities in a manner protecting human health and the environment.

552 Regulations

552.1 General

There are more than 50,000 local, state, and federal environmental regulations. Important among these are the following:

a. The Pollution Prevention Act (PPA) of 1990.

b. The National Environmental Policy Act (NEPA).

c. The Toxic Substance Control Act (TSCA).

d. The Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA).

e. The Resource Conservation and Recovery Act (RCRA).

f. The Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA, also known as Superfund).

g. The Clean Water Act (CWA).

h. The Clean Air Act (CAA).

i. The Safe Drinking Water Act (SDWA).

j. The Superfund Amendment and Reauthorization Act (SARA).

k. National Pollutant Discharge Elimination System (NPDES).

l. Federal Facilities Compliance Act.

m. Energy Policy Act of 1992.

552.2 State and Local Regulations

Provisions of the Resource Conservation and Recovery Act, Clean Air Act, Clean Water Act, Safe Drinking Water Act, and others are delegated to the states for compliance, monitoring, and enforcement. In many instances, state and local programs authorized under these federal acts present complex compliance requirements and can vary geographically.

553 Postal Service Environmental Policy

553.1 Compliance

The Postal Service must comply with all applicable environmental laws and regulations governing its activities, and does not hesitate to exceed legal requirements when, in its judgment, it is in order.

553.2 Policy

The Postal Service is committed to provide employees and customers with a safe and healthy environment. Environmental protection is the responsible thing to do and makes for sound business practices.

553.3 Guiding Principles

The Postal Service will:

a. Meet or exceed all applicable environmental laws and regulations in a cost-effective manner.

b. Incorporate environmental considerations into our business planning processes.

c. Foster the sustainable use of natural resources by promoting pollution prevention, reducing waste, recycling, and reusing materials.

d. Expect every employee to take ownership and responsibility for our environmental objectives.

e. Work with customers to address mutual environmental concerns.

f. Measure our progress in protecting the environment.

g. Encourage suppliers, vendors, and contractors to comply with similar environmental protection policies.

553.4 Scope

These policies apply to all postal employees, facilities programs, projects, operations, products, and services.

554 Implementation

554.1 General

In October 1990 Congress passed the Pollution Prevention Act, establishing a nationwide policy "...that pollution should be prevented or reduced at the source whenever feasible; pollution that cannot be prevented should be recycled in an environmentally safe manner, whenever feasible; pollution that cannot be prevented or recycled should be treated in an environmentally safe manner, whenever feasible; and disposal or other release into the environment should be employed as a last resort...."

554.2 Programs

To date, the Postal Service has initiated a number of environmental programs including the following:

a. Recycling (see MI AS-550-91-10, *Pollution Prevention Program,* and Handbook AS-550, *Recycling Guide*).

b. Clean Air (see MI AS-550-95-18, *Clean Air Act Compliance,* and Handbook AS-551, *Clean Air Act Compliance*).

c. Waste Reduction (see MI AS-550-92-2, *Waste Reduction,* and Handbook AS-552, *Waste Reduction Guide*).

d. Environmental Compliance (see "Managing an Environmental Inspection," *Postal Bulletin* 21801, dated 10-31-91).

e. Stormwater Management (see MI AS-550-92-7, *Stormwater Management,* and Handbook AS-554, *NPDES/Stormwater Guide*).

f. Hazardous Waste Management (see MI AS-550-92-8, *Hazardous Waste Management,* and Handbook AS-553, *Hazardous Waste Guide*).

g. Underground Storage Tank Management (see MI AS-550-95-9, *Underground Storage Tank Management,* and Handbook AS-503, *Minimum Requirements for Specifications of Underground Storage Tank Systems,* Module 4-C).

h. Asbestos (see MI EL-810-98-1, *Asbestos-Containing Building Materials Control Program*).

i. Hazardous Waste Reduction Program (see *Postal Bulletin* 21883, dated 12-22-94).

j. Environmental Awareness (see *Postal Bulletin* 21878, dated 10-13-94).

k. Radon Testing in Postal-Owned Facilities (Indoor Radon Abatement Act of 1988).

l. Quality Assurance Reviews to Assist Local Management in Meeting All Required Environmental Regulations.

m. Integrated Pest Management (see MI AS-550-95-10).

555 Responsibilities

555.1 General

555.11 Legal and Social

The Postal Service is legally and socially responsible for safely managing the materials used in its operations and the waste it produces. Environmental programs are mandatory where required by law and recommended elsewhere. Since these programs may apply to all facilities, all administrative and operational activities must, to the maximum extent possible, participate in sound environmental management and practices to conserve energy and natural resources.

555.12 Development and Implementation

The following sections describe the overall responsibilities of various postal organizations regarding the development and implementation of all environmental programs. Specific responsibilities of these organizations with regard to individual postal environmental programs can be found in the directives listed in 554.2.

555.2 Headquarters

555.21 Program Direction and Implementation

The vice president of Engineering is the chief environmental officer for the Postal Service and is responsible for the overall development of policies for the implementation of environmental management programs.

555.22 Development of Policies and Methods

Environmental Management Policy, Engineering, is responsible for developing policies, programs, national training, and strategies for compliance with applicable environmental laws and regulations.

555.3 Areas

555.31 Vice Presidents, Area Operations

Vice presidents of Area Operations are responsible for ensuring that all facilities under their jurisdiction comply with all applicable environmental laws. Coordinators are responsible for monitoring environmental programs already initiated and for ensuring implementation of new programs in all applicable areas of Postal Service operations. Reports, records, and other environmental data will be collected for development of an automated system for use in monitoring compliance with environmental regulations, identifying potential violations, and tracking the progress of required remedial actions.

555.32 District and Plant Managers

District and plant managers are responsible for ensuring that all facilities under their jurisdiction comply with all applicable environmental laws. Managers must designate an environmental coordinator to develop, track, and monitor individual environmental programs at all levels of their organization. The programs include those listed in 554.2 and those planned to address other ongoing or future environmental compliance issues.

555.33 Associate Offices, VMFs, Stations, and Branches

Postmasters, facility managers, and supervisors must form environmental teams, establish environmental programs, and encourage employee participation. The facility manager must operate under applicable laws and ordinances and should participate in municipal programs. If there are no local programs, managers should explore other ways to protect the safety and health of employees, general public, and the environment. They are also encouraged to conserve energy and natural resources.

6 Support Services

61 Technology

611 Policy

The Postal Service uses technology as a tool to achieve its business objectives. Technology programs cover a wide range of areas and are intended to make it easier for customers to do business with us. These programs allow the Postal Service to:

a. Process, track, and distribute mail faster and more effectively.

b. Protect the environment.

c. Provide tools for our employees to improve job effectiveness.

A broad definition of technology includes computer systems hardware and software, Internet and Intranet development and systems, mail processing, handling and transport equipment, mail tracking systems hardware and software, retail and self-service equipment, telecommunications, and the effective use of the information available in these systems.

612 Strategic Technology Planning

612.1 Responsibility

Strategic Technology Planning is responsible for the development of an integrated and comprehensive strategic plan for technology including information technology and systems, and mail processing and mail handling equipment. Technology planning occurs within the framework set by the Business Operations Planning process and will result in a 5-year Technology Plan for the Postal Service. The overall Technology Plan will follow directly from the Marketing and Operating Plans, which in turn are based on the marketplace and the Postal Service role in the marketplace.

612.2 Information Platform

The Information Platform is one part of the overall Technology Plan. It includes a set of specific initiatives intended to increase and improve the

usage of information as a basis for decisions and operational actions. The goals of the Information Platform are to:

a. Improve connections with customers.

b. Provide information:

(1) To customers about their mailings.

(2) To managers for operational and cost management.

(3) To employees so they can be more successful at their jobs.

c. Allow joint Postal Service and customer control of products.

d. Learn more about customers and their needs.

613 Electronic Commerce

613.1 Vision

The Internet is a rapidly changing communications medium that presents challenges, as well as untapped opportunities to serve customers and conduct business electronically. The Postal Service vision for e-commerce is as follows:

The Postal Service will bring the power of the Internet to the U.S. Mail and the trust in the U.S. Mail to the Internet. In so doing, we will transform the way we do business with all our customers, help those customers evolve the way they do business with each other, and continue our role as an enabler of business through trusted correspondence and package services.

613.2 Strategy

Three key strategies have been identified to take the Postal Service into the 21st century e-commerce world. They are:

a. Build the channel so that it provides easy-to-use postal web pages that have a common look and feel, and creates an integrated, common platform to support our varied business needs.

b. Grow the mail by leveraging the Internet to make it easier for customers to access and pay for core Postal Service products and services.

c. Facilitate e-business by creating logical electronic extensions of traditional services and by building on the Postal Service's reputation for trust, security, and reliability to safeguard online business.

613.3 Internet Channel Benefits

The Postal Service uses the Internet to add service value for our customers, 24 hours a day, 7 days a week. The Postal Service Internet home page (*http://www.usps.com*):

a. Provides customers quick and easy access to Postal Service information, products, and services.

b. Offers individualized information and services tailored to meet each customer's business or personal needs.

c. Allows customers to purchase Postal Service products and services conveniently from their homes or offices.

d. Provides traditional hard-copy Postal Service brand assurances, including trust and security, online.

613.4 E-Commerce Responsibilities

For the Postal Service to take full advantage of the Internet, online activities must be fully coordinated and managed. There are eight key functional groups with responsibilities relating to the Internet channel:

a. *E-Business Strategy Group*. Composed of senior officers, this group drives the establishment of strategic Internet goals for the Postal Service.

b. *Internet Business Group.* Ensures that the Postal Service web presence provides integrated messaging and marketing, develops e-commerce applications, and defines and creates cohesive measurement, customer service, and other infrastructure components for the Internet channel.

c. *Internet Services.* Manages web site content including registering initial requests for postal Internet sites and helping content owners with web site development, and provides technological and maintenance support for the Postal Service on the web.

d. *Postal Service Content Owners*. Stakeholders or managers from areas within the Postal Service who have a business or functional requirement to use the Internet to achieve customer solutions and generate revenue for the Postal Service, and who have the responsibility for web content relating to their products and services and for the business evaluation of proposed Internet initiatives.

e. *Corporate Relations.* Assures web site compliance by Postal Service content owners with corporate identity standards and manages the content of the *Inside the Postal Service* section on the home page (*http://www.usps.com*).

f. *Advertising and Promotions.* Manages the Postal Service advertising messaging on the web and provides assistance to business drivers who want to market postal products and services on the web.

g. *Office of the General Counsel.* Reviews web site content and Internet partnership proposals to ensure compliance with postal policies and public law.

h. *Computing and Telecommunication Services.* Provides operations support for the Postal Service on the web.

614 Quality Role in Technology

As the Information Platform is built, along with other parts of the Technology Plan, it becomes more critical for managers and employees to effectively use the information that will be available. As we move to this information-rich environment, Quality brings the “knowledge tools” to help managers and employees make use of the information in their decisions and actions. These

tools include such things as statistical process control, process flow charting, process maturity analyses, standard documentation, and customer-supplier agreements. (See subchapter 65 for additional information on Quality.)

615 Engineering

Engineering focuses on processing and material handling systems; retail and delivery equipment; vehicle support; and the integration of equipment, systems, and human resources. It is responsible for distribution technology, technology planning and analysis, acquisition management, maintenance policies and programs, delivery and customer services equipment development, the management of software required to support engineering-deployed systems, environmental policy, and administrative services.

62 Supporting Operations

621 Policy

The Postal Service supplies corporate strategy and support services for the core operations processes that provide postal services to customers. These core processes include: collecting and accepting; sorting and distributing; delivering; transporting; and selling.

622 Operations

622.1 Chief Operating Officer and Executive Vice President

The chief operating officer and executive vice president is responsible for the national collection, sorting and distribution, transportation, and delivery of all mail under the control of the Postal Service through area vice presidents, field managers, and postmasters.

622.2 Customer Relations

Customer Relations seeks to leverage business relationships with commercial accounts to retain and develop their postal business through higher levels of customer satisfaction. The primary focus of Customer Relations, both at HQ and in the field, is on the customer satisfaction and revenue of Postal Service commercial accounts.

622.3 Senior Vice President, Operations

The senior vice president, Operations, is responsible for providing corporate strategic direction and program support in operations planning, field operations support, network operations management, and labor relations.

622.4 Operations Planning

Operations Planning focuses on service management policies and programs, service analysis and assessment, address management, operations process support, operations process development, operations process redesign, staffing and scheduling policies, and workforce planning and analysis.

622.5 Field Operations Support

Field Operations Support is responsible for national program management in the areas of delivery and processing operations.

622.6 Network Operations Management

Network Operations Management is responsible for national program management in the areas of logistics, aviation mail security, international operations, and the Priority Mail network.

63 (Reserved)

64 Stamp Services

641 Policy

It is Postal Service policy to develop, implement, maintain, and monitor programs to promote the sale and retention of stamps and allied philatelic products through stamp subject selection and product development that meets customer needs, through merchandising, licensing, product research, sales reporting, and strategic alliances that offer channels of new distribution to stamp-collecting customers.

642 Stamp Marketing

642.1 Responsibilities

The Stamp Marketing function in Stamp Services develops and manages all philatelic products and related philatelic programs and develops new markets for stamps and products. This responsibility is coordinated with the other functional managers within Stamp Services. Advertising and promotion for philatelic products is coordinated by Advertising and Promotion.

642.2 Commemorative Stamps

Commemorative stamp marketing builds awareness for new commemorative issues and encourages individuals to collect stamps. All new commemoratives are promoted in postal retail lobbies using point-of-purchase merchandising material. Selected commemoratives are used as subjects for television news features and advertisement, and for broadcast

and print advertising. Commemorative stamp retention revenue is determined by independently conducted retention surveys.

642.3 Philatelic Merchandising

Philatelic merchandising is the management of activities for developing and selling the philatelic product line at selected retail postal facilities. These activities include development of:

a. Point-of-purchase display material.

b. Seasonal advertising and merchandising.

c. New philatelic products.

d. Methods to expand retail business opportunities.

e. Lobby promotions for increase of short-term sales of specific philatelic products.

642.4 Youth Programs

Postal Headquarters encourages youth stamp collecting by providing guidance to postal personnel and by preparing educational and informative materials for distribution. Each postal facility promotes and maintains this interest in philately through nationally supported programs.

642.5 Philatelic Centers

The philatelic center program involves a network of special sales outlets in postal retail facilities. These outlets, called philatelic centers, meet the requirements of 20 million U.S. stamp-collecting customers, and provide a high-quality, personalized service to this market. Outlets are located in major post offices. They range from a self-contained facility or retail area in or near the customer lobby, to a window clerk position designated to operate as a philatelic center. Each designated outlet offers the same specialized products and services and is identifiable by special signs and merchandising displays. Operational guidelines and establishment criteria for philatelic centers are in Handbook PO-201, *Philatelic Center Operations Guide.*

643 Stamp Acquisition and Stamp Distribution

643.1 Description

These operations manage stamp product acquisition and distribution to stamp sales units and to individual consumers to make sure that stamp stock supply matches the demand for postage stamps, postal stationery, and philatelic items, and that it supports postal revenue objectives.

643.2 Stamp Acquisition

Stamp Acquisition manages the development and implementation of new or revised national programs, policies, procedures, methods, and standards for the acquisition of postage stamps, postal stationery, and philatelic items, including procurement of product designs and manufacturing services;

establishing production schedules and quantities, and physical characteristic, material, and quality assurance standards; packaging; and taking inventory.

643.3 Stamp Distribution

There must be suitable management of a logistical network through which postage stamps, postal stationery, and stamp products are ordered and shipped from manufacturers to points of sale, including establishment, activation, and conversion to use of new distribution sites.

643.4 Sales

National philatelic sales are managed through mail order processing for individual purchase and large-volume customers, subscription and cancellation services, telephone sales, and counter sales.

643.5 Planning

There are strategic planning efforts related to stamp programs.

643.6 Mail Order Marketing

The Philatelic Fulfillment Service Center fulfills mail order requests and subscriptions for stamps and philatelic products. The center also provides cancellation services for philatelists and philatelic dealers (see POM 243.4).

643.7 Subscriptions

Subscription marketing is the sale of stamps or philatelic products by automatic scheduled distribution to customers. The four subscription programs include Souvenir Pages, Commemorative Panels, Commemorative Stamp Club, and Standing Order Service.

643.8 International

International marketing consists of the following:

a. Participating in international philatelic exhibitions, where the Postal Service offers mint stamps and philatelic products for sale to visitors who attend these exhibitions.

b. Managing all Postal Service marketing agents in foreign countries to sell Postal Service stamps and philatelic products of customers in foreign countries and territories.

644 Stamp Development

644.1 Purpose

Stamp Development has functional responsibility for the management of stamp planning, the Citizens' Stamp Advisory Committee, stamp subject selection, stamp design licensing, stamp events, and special cancellations. Stamp Development maintains regular contact with customers through stamp subject correspondence and conversations and through functional activities such as events and licensing.

644.2 Functions

Stamp Development has six principal functions:

a. *Planning.* Developing annual stamp program (list of subjects for 1 year) and coordinating the activities of Advertising and Promotion, Corporate Relations, Market Research and Analysis, Stamp Marketing, and Stamp Acquisition to make sure that contribution is maximized for the program.

b. *Events.* Ensuring that each subject in the stamp program is introduced to customers with maximum visibility.

c. *Citizens' Stamp Advisory Committee.* Coordinating the activities of the Citizens' Stamp Advisory Committee to ensure the timely development of the stamp program.

d. *Licensing.* Maximizing contributions from royalty payments for current and past stamp programs.

e. *Pictorial Cancellations.* Coordinating pictorial cancellations nationally.

f. *Right of Publicity.* Securing right of publicity agreements with the estate holders for stamp subjects.

644.3 Planning

The annual stamp program is developed from customer and employee ideas that are reviewed by the Citizens' Stamp Advisory Committee and finally approved by the postmaster general. There is substantial input to this process from all involved areas. Once a stamp program is completed (subjects for a given year can be added or deleted at any time), Stamp Management coordinates the activities of Advertising and Promotion, Corporate Relations, Market Research and Analysis, Stamp Marketing, and Stamp Acquisition to ensure that contribution is maximized for the program. This is accomplished by developing and implementing a coordinated plan for each subject. This plan includes elements from functional areas such as marketing, advertising, publicity, events, and licensing as appropriate, all coordinated to maximize revenues from the individual subject.

644.4 Events

Each of the subjects in the annual stamp program must be introduced to the public. These introductions, known as first day of issue or stamp ceremonies, must be coordinated with functional areas in Headquarters and the field. Typically, the date, time, and place for each event must be identified. The speakers must be selected and dignitaries, including family members, invited. Support such as press releases, stamp design transparencies, and a design enlargement (for the event itself) must be coordinated. Finally, on-site coordination is necessary to make sure that the event takes place without any problems.

644.5 Citizens' Stamp Advisory Committee

644.51 Description

Stamp Development coordinates and supports the Citizens' Stamp Advisory Committee (CSAC) in its continuing activities to achieve the contributory goals of the Postal Service.

644.52 Authority

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

644.53 Membership

The committee consists of 15 members whose backgrounds reflect a wide range of educational, artistic, historical, and professional knowledge. Members are appointed and serve at the pleasure of the postmaster general. Each member serves a 5-year term, and no member may serve more than three terms. The postmaster general appoints one member to serve as chairperson and another as vice chairperson. Each serves for a 2-year term.

644.54 Function

The committee has the following principal functions:

a. Providing technical information, advice, and recommendations to the Postal Service on stamp-related subjects.

b. Assisting and supporting the Postal Service in achieving its corporate goals and strategies.

c. Providing broad judgment and experience on various factors that lead to the issuance of stamps.

d. Establishing criteria for selecting stamp subjects.

644.55 Subcommittees

Meetings of the committee are scheduled four times yearly or at the call of the chairperson. Each meeting includes subcommittee meetings and a general committee meeting. The subcommittees and their duties are:

a. *Design Subcommittee.* This subcommittee provides professional guidance to design coordinators and stamp design staff in the development of stamp and stationery designs. This subcommittee also provides guidance to the committee on the visual potential of subjects.

b. *Subject Subcommittee.* This subcommittee provides stamp subject recommendations that support the Postal Service to achieve its corporate goals and strategies. This subcommittee also provides educational, historical, and professional expertise in the subject selection.

c. *Ad Hoc Subcommittees.* These subcommittees provide educational, historical, and professional expertise to the committee and the Postal Service. An ad hoc subcommittee may be created by the committee or the Postal Service when special needs arise.

644.56 Travel and Compensation Allowances

644.561 Travel Expenses

CSAC members are eligible for travel reimbursement in accordance with current Postal Service travel regulations. Members are allowed reimbursement on an actual expense basis for transportation and for subsistence (per diem and lodging) for time spent away from their homes or regular places of business while performing their duties as limited by Handbook F-15, *Travel and Relocation,* and provided that their address is not within the Washington metropolitan area or a customary and reasonable commuting distance of the meeting site. The maximum amount of subsistence may not exceed the daily rate for subsistence established in Handbook F-15 for each calendar day or fraction of a day.

644.562 Compensation

Compensation for CSAC members is calculated as follows:

a. CSAC members who are not employed by the U.S. Government are paid at a daily rate based on the maximum EAS pay scale.

b. Compensation obligations as set forth in 644.562a, incurred because of the members' employment, are chargeable to the assigned finance number for CSAC, account number 56301.

c. CSAC members may not receive payment for designing U.S. postage stamps or stationery items.

644.6 Licensing

Stamp Development maximizes contributions from royalty payments for the current and past stamp programs by securing agreements with potential licensees and maximizing revenues from existing licensees. In general, these licenses are for stamp designs. Stamp Development has direct contact with potential licensees and a contractor who develops licensing agreements. Agreements are developed that stipulate the stamp design involved, the item being produced, the geographic area in which the item is to be sold, the royalty rate, and the advanced royalty payment amount.

644.7 Museum

Stamp Services Operations coordinates the activities of the National Postal Museum with all postal functional areas including Facilities, Corporate Relations, and Stamp Services to ensure that these activities are consistent with postal objectives and strategies. These activities help ensure that postal revenues from the Museum equal postal costs. The basis for this coordination is the National Postal and Philatelic Museum Operation Agreement, jointly signed November 6, 1990, by the secretary of the Smithsonian Institution and the postmaster general.

644.8 Pictorial Cancellations

644.81 Requests

Requests for pictorial cancellations are coordinated by Stamp Development. These requests are forwarded from the field to Stamp Development for

approval. Sponsors or organizers who want to use a pictorial cancellation must submit a request at least 10 weeks before the event to the postmaster of the city where the event is to take place. The request must provide the following information:

a. Complete description and schedule of the event to be observed.

b. Proposed artwork for the cancellation.

644.82 Postal Service Procedure

The postmaster submits the request to the appropriate manager of Customer Service Support. The manager makes the final approval and arranges for procurement of the handstamp. The manager also reports all authorized pictorial cancellations on the Pictorial Cancellation Announcement form to Stamp Development at least 4 weeks before the event so that national publicity can be arranged.

644.83 Sponsor Artwork

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

644.9 Right of Publicity

Stamp Development is responsible for securing right-of-publicity agreements with the estate holders for all stamp subjects. This arrangement allows reproduction of the image and name of the selected subjects on stamp designs, in philatelic items, and frequently on cachets. Typically, nonstamp items such as T-shirts and coffee cups require a separate agreement developed through the licensing process. The Postal Service obtains right-of-publicity agreements by identifying the holders of the estates either through the public domain or through a contracted estate search firm. Stamp Development writes to the holder using a standard form so that rights can be received. Stamp Development works with the estate holder to reach an agreement if the standard form is not agreeable. Once a final agreement is achieved, the licensing contractor works with the signatories to obtain approval of a licensing agreement.

645 Special Postage Stamp

645.1 Offsets and Payments

The Postal Service is to determine its reasonable costs in executing its responsibilities pursuant to the Stamp Out Breast Cancer Act, Pub. L. No. 105-41, 111 Stat. 1119 (1997), (codified at 39 U.S.C. 414). These costs may be offset against the revenue received through sale of the special postage stamp in excess of the product of the total units sold and the First-Class Mail Single-Piece rate under Domestic Mail Classification Schedule (DMCS) 221.21. Any reasonable costs offset by the Postal Service under 645 shall be retained by the Postal Service, along with revenue from the sale of the special postage stamp that represents the product of the total units sold and the First-Class Mail Single-Piece rate under DMCS 221.21. The Postal Service is to pay the National Institutes of Health, at least twice each

one-year period, 70 percent of the remainder of (a) the revenue from the sale of the special postage stamp less (b) the sum of (i) an amount to recover the costs of the Postal Service as determined by it under 645 and (ii) the product of the total number of units sold and the First-Class Mail Single-Piece rate under DMCS 221.21; the remaining 30 percent of this amount is to be paid, at least twice each one-year period, to the Department of Defense.

645.2 Cost Reporting and Estimation

The following offices within Headquarters bear responsibility for tracking, or, as appropriate, estimating cost information in connection with the special postage stamp.

Item	Office
Development, Shipping, and Manufacturing	
Design	Stamp Services
Shipping to Stamp Distribution Offices/Stamp Distribution Networks	Stamp Services
Printing and Manufacturing	Stamp Services
Administrative and Recordkeeping	
Window Clerk Training	Retail Operations
Rural Training	Delivery Operations
Programming Window Automation Devices	Retail
Posting to Cashbook (Non-Integrated Retail Terminal)	Corporate Accounting
Inventory Costs	Stamp Services
Destruction Costs	Stamp Services
Market Research	Stamp Services
Flyer Cost	Advertising
Advertising	Advertising
Distribution	
Postage to Post Offices	Stamp Services
Retail	
Customer Receipts	Corporate Accounting
Packaging for Self Service	Retail Self Service
Vending Machine Training Costs	Retail Self Service
Vending Machine Reconfiguration	Retail Self Service

65 Quality

651 Policy

It is the policy of the Postal Service, consistent with its vision and guiding principles, to provide products and services that meet or exceed customers' expectations. To accomplish this, the Postal Service has implemented a Baldrige-based management system called *CustomerPerfect!,* designed to achieve performance excellence and to continuously improve quality, productivity, and competitive position.

652 Responsibility

Quality is responsible for designing, maintaining, and effectively supporting the implementation of the *CustomerPerfect!* system that will significantly improve customer satisfaction, financial performance, and employee and organizational effectiveness.

653 Quality

Quality comprises five Headquarters groups and direct support for field Quality organizations:

a. Development and Benchmarking.

b. Core Process Support.

c. Enabling Support.

d. Quality Leadership and Major Programs Support.

e. Sales and Marketing Support.

653.1 Development and Benchmarking

Development and Benchmarking provides support in the following areas:

a. *Education and Training.* Includes identification and acquisition of new quality-related courses, development of materials, and oversight of the trainer certification processes. Support in this area also includes design, coordination, and review of the Quality Practitioner program, and facilitating the incorporation of quality methods and tools in other training courses and materials.

b. *Quality Systems and Tools Research.* Includes investigating quality management methods and techniques not currently in use in the Postal Service, examining the application potential for identified methods, reviewing of training and software support needs, and developing or piloting of initial applications.

c. *Benchmarking and Best Practices.* Involves identification, acquisition, and deployment of the national approach to external benchmarking. This group acquires and implements benchmarking training courses for Postal Service teams. This group has responsibility for design, coordination, testing, and implementation of a database to collect and communicate internal best practices. It also supports the replication of

internal best practices and findings from external benchmarking studies.

d. *External Relations Within the Professional Quality Community.* Involves managing the ongoing relationships with professional quality organizations and other business groups and consortia to facilitate the development and implementation of the above identified responsibilities. These external relationships provide a forum for the Postal Service to convey the learnings from its quality journey while gathering insights into the knowledge of others.

653.2 Core Process Support

The strategic role of this group includes the following five elements:

a. *Enterprise Map and Process Ownership.* Includes development of the Postal Service Enterprise Map, maintaining the Map and providing support to the process sponsors, owners, and operators through training and consulting services. Involves the systematic improvement of those processes in support of business goals and supporting the effective application of process management and quality improvement to improve quality, cost, and cycle time.

b. *Headquarters Operations Support.* Includes responsibility for supporting the Operations Support groups including Network Operations, Operations Planning, Engineering, and International Business Unit (IBU) Operations.

c. *Field Support.* Includes providing active support to the area quality managers and field quality specialists, developing field quality effectiveness measures, and working with area quality managers to evaluate variation and capability levels. Includes providing support to improve the skills of quality specialists and practitioners to improve business results through effective application of quality tools.

d. *Process Management and Improvement Support.* Comprises the management of all processes within the Postal Service Enterprise Map, and the systematic improvement of those processes to improve quality, cost, and cycle time in support of business goals.

e. *Involvement of Employees.* Involvement of employees includes teams for process management and process improvement, and the development of quality practitioners within each department who have sufficient knowledge of process documentation, measurement, and improvement techniques to support the ongoing maintenance and improvement of the process management system.

653.3 Enabling Support

Provides internal consultant support and manages external consultant support to Postal Service leadership and managers throughout the Headquarters enabling organizations. This support is focused on the effective implementation of the management system through the areas of:

a. *Process Management and Improvement.* Comprises the management of all processes within the Postal Service Enterprise Map, and the

systematic improvement of those processes to improve quality, cost, and cycle time in support of business goals. Management includes the execution of business reviews to ensure the stability and capability of enabling processes.

b. *Involvement of Employees.* Includes teams for process management and process improvement, and the development of quality practitioners within each department who have sufficient knowledge of process documentation, measurement, and improvement techniques to support the ongoing maintenance and improvement of the process management system.

653.4 Quality Leadership and Major Programs Support

This group comprises two areas:

a. *Quality Leadership Support.* This group supports the operation and improvement of the *CustomerPerfect!* management cycle and related planning processes. The management cycle consists of these four phases:

(1) *Establish.* Establish is the setting of overall direction by the senior leadership of the organization. It includes the analysis of the external environment and internal organizational capabilities, and the setting of improvement targets to meet changing customer, employee, and business needs. Support includes the developing processes for integrated target-setting and strategic planning.

(2) *Deploy.* Deploy involves the development of plans to achieve the improvement targets and the overall strategic direction of the organization, and the allocation of resources to implement those plans. Support includes the development of approaches for communicating plans and resource requirements and support for the catchball process, a cooperative engagement in setting targets and plans based on data.

(3) *Implement.* Implement is the follow-through phase in which action plans to achieve improvement targets are carried out.

(4) *Review.* Business reviews are the method by which progress toward targets are assessed, adjustments to plans are made, and successful plans are identified for replication. Support includes the development of approaches to business reviews, and assistance in conducting those reviews.

This area also includes *CustomerPerfect!* Support. This includes designing and conducting assessments of *CustomerPerfect!,* the Postal Service management system using the Malcolm Baldrige National Quality Award criteria. These assessments are initiated at the direction of the Postmaster General (formal Baldrige assessments were conducted in FY 1995 and FY 1998). Following the assessment, the group assists the Integration Team in the development and tracking of action plans to address the “opportunities for improvement” documented in the feedback report.

b. *Major Programs Support.* This group facilitates the establishment of a strategic corporate competency in the area of Program and Project Management, focusing on the conduct of major program initiatives:

(1) *Standardized Program Management Processes.* Provide a complete set of program management processes taking efforts from initial concept through prototyping, adoption, and enterprise-wide implementation.

(2) *Integrated Program Tracking, Reporting, and Review.* Provide senior management with a centralized, global view of major initiatives by establishing standardized processes for reporting and review and establishing an integrated multiproject reporting and analysis across all major initiatives.

(3) *Project Management Training.* Roll out training in basic project management skills for program managers and directors, their staffs, and supporting organizations.

(4) *Internal Project Management Consulting and Support.* Provide ongoing guidance and expertise to program managers and directors in the areas of program organization, planning, tracking, reporting, and analysis and to project leaders whose efforts may evolve into enterprise-wide programs.

653.5 Sales and Marketing Support

Manages the development, implementation, and review of systems, activities, skills, and methods to continuously improve Sales and Marketing processes and overall Postal Service organizational performance. Provides internal consultant support and manages external consultant support to leadership and managers throughout the Sales and Marketing department.

653.51 Process Management and Improvement

Comprises the management of all Sales and Marketing processes within the Postal Service Enterprise Map, and the systematic improvement of those processes to improve quality, cost, and cycle time in support of business goals. Management includes the execution of business reviews to ensure the stability and capability of Sales and Marketing processes.

653.52 Involvement of Employees

Involvement of employees includes teams for process management and process improvement, and the development of quality practitioners within each department who have sufficient knowledge of process documentation, measurement, and improvement techniques to support the ongoing maintenance and improvement of the process management system.

7 Purchasing and Materials

71 General

Purchasing and Materials is responsible for the purchase of supplies, services and equipment, design and construction and related services, and mail transportation, including planning, solicitation, supplier selection, contract award and contract administration. Purchasing and Materials includes the following functions: purchasing operations, policies and programs, supplier development and diversity, systems integration, administration and financial management, materials, and material distribution.

72 Purchasing

721 General

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

722 Local Buying Authority

722.1 General

Local buying authority is the authority to buy and pay for day-to-day operational needs. Local buying authority should not be used when sound fiscal management principles make another form of purchasing more advantageous to the Postal Service or when the items are available from excess, the material distribution centers (MDCs), or nation- or area-wide contracts.

722.2 Delegations of Authority

722.21 General

Delegations of local buying authority, per transaction, which may be redelegated as necessary, are shown below. All redelegations must be in writing.

Amount	Position	Commodity
$10,000	Officers/Vice Presidents	Supplies, Services, and Capital Equipment
$10,000	Plant Managers, Processing and Distribution	Supplies, Services, and Capital Equipment
$10,000	District Managers, Customer Services	Supplies, Services, and Capital Equipment
$10,000	PCES Postmasters	Supplies and Services
$10,000	Inspectors in Charge	Supplies and Services
$ 2,000	Postmasters, CAGs A–J, and Vehicle Managers	Supplies and Services
$ 1,000	Postmasters, CAGs K and L	Supplies and Services

722.22 Authority and Transaction Limit

Only individuals delegated local buying authority in writing may make local buys. Unauthorized local buys are subject to the procedures contained in Management Instruction AS-710-1999-1, *Unauthorized Contractual Commitments*. In addition, a single transaction may not exceed an individual's delegated authority. A single transaction may comprise the purchase of a single item or multiple items from a merchant and is the total of the items being purchased.

722.23 Approval Authority

Information on requirements approval authority is contained in instructions updated and issued periodically by the vice president and controller or Finance. Questions regarding this authority should be directed to that organization.

722.3 Prohibited and Restricted Purchases

722.31 Prohibited Purchases

Local buying authority may not be used to obtain the following:

a. Building or land rental, lease, or purchase.

b. Construction services, including facility repairs and alterations (including repair of elevators, HVAC, switch gear, and other plant systems) valued at $2,000 or more. Contact Administrative Support at the district for assistance.

c. Services covered by the Service Contract Act when the requirement exceeds $2,500 per one-time expenditure or when an office estimates that a particular service provided by the same supplier will exceed $2,500 per year. Examples are ash, trash, and rubbish removal; snow and ice removal; lawn and grounds maintenance; vehicle washing, polishing, repair, and maintenance; maintenance of elevators, HVAC, and switch gear; window cleaning; and cloth and laundry service. Certain types of maintenance, such as calibration and repair of automated data and word processing equipment and office business

machines, which are exempt from the Service Contract Act, may be purchased from the manufacturer or supplier up to the limits of delegated buying authority. Contact the servicing purchasing and materials service center (P&MSC) for guidance.

Note: The Postal Service purchase credit cards may not be used to purchase vehicle washing, polishing, repair, and maintenance.

d. Medical services. Contact the area medical director.

e. Mail transportation services.

f. Requirements for which formal contracting procedures apply, such as contract postal units, leasing of administrative vehicles, and food services. Contact the servicing P&MSC for details.

722.32 Restricted Purchases

Certain categories of purchases may be made using local buying authority but are subject to restrictions. The following lists these categories (see also 722.42 for a discussion of purchases from Postal Service employees and their immediate family members):

a. Capital equipment (equipment with a service life of over 1 year, costing $3,000 or more) may be purchased only when authorized by officers, vice presidents, plant managers, and district managers and their direct reports (if delegated local buying authority). The Postal Service capital purchase card is the only local buying means of purchasing capital equipment.

b. Hazardous waste clean-up and disposal services may be obtained using local buying authority only under one of the following circumstances:

(1) Use of local buying has been approved in writing by the area or district environmental coordinator.

(2) Use of the Postal Service purchase card is an authorized means of placing delivery orders under a contract or agreement issued by a P&MSC or Headquarters.

c. Supplies containing hazardous waste may be purchased as approved in Handbook AS-553, *Hazardous Waste Guide*.

d. Computer hardware and software may be purchased using local buying authority, but buyers must check with Information Systems regarding local or national policy governing the items being purchased.

e. Membership fees and dues may be bought or paid using local buying authority, subject to the requirements of *Employee and Labor Relations Manual* (ELM) section 75.

f. Employee cash awards, employee cash-equivalent awards (e.g., gift certificates), and noncash awards (e.g., pen and pencil sets, fitness bags, briefcases, polo shirts) are authorized only in accordance with Human Resources policies. Contact the servicing Human Resources office for guidance.

g. Meals and refreshments may be purchased using local buying authority, subject to the guidelines in Management Instruction FM-640-1999-2, *Payments for Meals and Refreshments*.

722.4 Standards of Ethical Conduct and Purchases from Postal Service Employees and Their Immediate Families

722.41 Standards of Ethical Conduct

All employees must adhere to the Standards of Conduct for Employees of the Executive Branch, 5 CFR 2635. Employees delegated local buying authority should consult with local management or their area ethics advisor when questions regarding the standards arise.

722.42 Purchases From Postal Service Employees and Their Immediate Family Members

Local purchases may not be made from Postal Service employees, their immediate family members, or business organizations substantially owned or controlled by Postal Service employees or their immediate family members. *Postal Service employees* means all postal officers and employees, whether in full-time, part-time, career or noncareer positions, including specifically persons in temporary positions such as postmaster replacements and rural carrier reliefs. *Immediate family members* means spouse, minor child or children, and individuals related to an employee by blood who are residents of the employee's household.

722.5 Questionable Purchases and Misuse

All local purchases must be reviewed and approved by the appropriate authority. See Handbook AS-709, *Credit Card Policies and Procedures for Local Buying*, regarding actions to take when a purchase is deemed questionable or misuse is suspected.

722.6 Procedures

722.61 General

Local buys may be made only under these conditions:

a. By employees delegated local buying authority in writing.

b. With a properly approved purchase request.

c. At the most reasonable prices available.

722.62 Competition

Local buys are not subject to the same regulations as contracts. However, when doing so is cost-effective, solicit suppliers, including small, minority, and woman-owned businesses, and compare prices before making a local buy. Contact the servicing buying organization or area diversity development specialists for assistance in identifying small, minority, and woman-owned businesses.

722.63 Payment

722.631 General

The Postal Service purchase card is the primary means of paying for local buys. All installations must use the card whenever possible (see Handbook AS-709). Contact the servicing P&MSC to enroll in the Postal Service purchase card program and to receive instructions and guidance for its use. For noncapital items, when the card cannot be used, payment may be made by any of the following:

a. No-fee money order.

b. Cash. (If payment is from the imprest fund, see Handbook F-19, *Accountability of Disbursing Officers*. If a cash-fixed credit is used, see Handbook F-1, *Post Office Accounting Procedures*.)

c. Imprest fund check (if less than $2,000).

d. Commercial check (includes invoices processed at the district and miscellaneous payments sent to San Mateo Information Service Center — see Management Instruction FM-640-1999-1, *Payment for Supplies and Services Using the Miscellaneous Disbursement Payment Process under Local Buying Authority*).

722.632 Advance Payment

Advance payment may not be made under local buying authority, except as described in Management Instruction FM-610-96-1, *Advance Payments*, and Handbook AS-709.

722.64 Documentation

In accordance with applicable policies and procedures, maintain a file to document all local buys (e.g., receipts, delivery tickets, sales and credit drafts, logs, capital property records, dispute documentation). When capital property is bought with the Postal Service capital purchase card, PS Form 8162, *Capital Property Record*, must be completed and forwarded to the St. Louis Accounting Service Center. See Handbooks AS-709 and AS-305, *Records Control*, for document retention requirements.

722.65 Assistance

Contact Administrative Support at the district or the P&MSC for guidance on local buying authority or the Postal Service purchase card program. Direct questions about approval authority or non-credit card payment methods to district Finance.

722.7 Cleaning Services Valued at Less Than $10,000 per Year

Under certain circumstances, post offices may hire self-employed contract cleaners when the value of the services they will provide will cost less than $10,000 per year. Contact the servicing P&MSC.

73 Material Management

731 Policy

731.1 Purpose and Scope

Material management is the process of directing and controlling personnel or procedures to accomplish the organizational objectives of providing quality supplies, parts, and equipment in a responsive, cost-effective manner through requirements development, acquisition or repair, property control and disposal, warehousing, distribution, and transportation. In this context, *material* refers to all material, other than buildings, real estate, mail transport equipment, and mail movement vehicles, owned by the Postal Service — that is, all supplies, repair parts, administrative vehicles, and equipment. Thus, the objective of material management is to provide needed materials to all Postal Service elements at the time of need and at the most reasonable cost. Postal Service material management policy falls under the purview of Inventory Management and Material Distribution and is in Handbook AS-701, *Material Management,* issued by the vice president of Purchasing and Materials. The functions of Inventory Management and Material Distribution are described in 74 and 75.

731.2 Safety and Security

731.21 General

A program for the safety and health of personnel and the security of Postal Service property against loss and damage are major prerequisites of sound and efficient material management, in addition to good housekeeping and fire prevention practices. See the *Employee and Labor Relations Manual;* Handbook EL-801, *Supervisor's Safety Handbook;* and current management instructions on these subjects. The safety and security of most items depends on proper storage and handling. Protect material against deterioration from temperature extremes, humidity, dust, insect pests, and other natural phenomena. Conduct periodic inspections to detect deterioration and ensure that proper safety and security measures, including sound care and preservation practices, are being enforced.

731.22 Safety

731.221 General

A safety program must be developed and supported at all levels to control hazardous acts and to eliminate unsafe conditions. The objective of this program is to identify and correct unsafe practices and conditions before they cause accidents.

731.222 Hazardous Commodities

Hazardous commodities, such as grease, paints, oils, thinners, kerosene, and other flammable liquids require special handling and storage. Make adequate provisions to handle and store these items following OSHA standards and Postal Service regulations.

731.23 Security

Enforcement of good security practices is essential to an efficient and economical operation. All material management operations must follow the security instructions in Handbook EL-801, *Supervisor's Safety Handbook*.

732 Policy Authority

732.1 Vice President of Purchasing and Materials

The vice president of Purchasing and Materials is responsible for establishing and maintaining national material management policies, programs, and procedures issued in this subchapter, Handbook AS-701, and other Headquarters Purchasing and Materials directives.

732.2 Manager of Materials

The manager of Materials, Purchasing and Materials, develops policies and procedures for controlling and managing Postal Service supplies, equipment, parts, administrative vehicles, and inventories under 39 CFR 226.2 and Handbook AS-701. The manager develops and maintains fiscal responsibility of Materials budget activities.

732.3 Manager of Material Distribution

The manager of Material Distribution, Purchasing and Materials, develops Postal Service warehousing, freight transportation, and distribution policies and procedures, which are in 39 CFR 226.2 and Handbook AS-701.

733 Other Responsibilities

733.1 Manager of Field Customer Support

The manager of Field Customer Support, Purchasing and Materials, provides technical guidance and support to 10 area purchasing and materials service centers to promote the consistent application of material management policies and procedures in all field sites. The manager of Field Customer Support also serves as liaison between field offices and Headquarters Materials activities.

733.2 Managers of Purchasing and Materials Service Centers

The managers of purchasing and materials service centers provide technical guidance and support to the district, Headquarters field units, and other field material management personnel in their respective geographic areas. They also perform the following material management functions:

a. Provide support to systems implementation.

b. Perform customer assistance visits.

c. Maintain inventory management and Excess Serviceable Equipment List (EXSEL).

d. Manage data gathering, reporting, and analysis for performance measurement.

e. Schedule, identify, and forecast requirements.

f. Provide employee development training in material management functions.

733.3 District Material Management Specialists

District material management specialists implement material management policies and procedures in customer service offices, processing and distribution plants, stations, branches, and post offices within their respective geographic areas.

734 Other Postal Personnel Responsibilities

734.1 Material Accountability Officers

All facility and activity managers have material accountability for all assets within their facility. As such, they are designated as material accountability officers responsible for the security and proper use of postal property under their jurisdiction. This authority may be delegated, in writing, to other postal employees, but the responsibility remains with the manager.

734.2 Postal Managers and Supervisors

Postal managers and supervisors at all levels must actively support and promote the Postal Service material management program. Although technical direction and coordination of material management flows from Headquarters Inventory Management and Material Distribution, implementation of all material management matters is vested in the person having material management responsibility at each facility and level.

734.3 Postal Employees

All postal employees must protect and maintain Postal Service material. This individual responsibility applies to material for which the employee has direct functional responsibility and includes all material recognized as Postal Service property.

74 Inventory Management

741 Purpose and Scope

The Postal Service uses a 2-level material management system to provide life-cycle support to postal equipment and operations:

a. *Wholesale.* This system includes inventory management, distribution, transportation of inventories, and direct distribution supporting the entire Postal Service customer community.

b. *Retail.* This system includes inventory management, distribution, and transportation of inventories held to support users' operations, sales, and/or to resupply specific activities in specific geographic areas.

742 Wholesale Inventory Management

742.1 General

The wholesale inventory management process consists of the management of all Postal Service supplies, repair parts, equipment assets, and related services. The wholesale inventory management function is centrally controlled by Materials. Six inventory management functions develop and carry out national inventory management policies and procedures. They are described in the following sections and listed below:

a. Inventory Control.

b. Inventory Support.

c. Automation Programs.

d. Supplies and Equipment Programs.

e. Inventory Management Plans and Programs.

f. Logistics Programs.

742.2 Inventory Control

Inventory Control has the following responsibilities:

a. Overall responsibility for managing life-cycle support of all items of supply in direct support of area offices.

b. Meets customer goals and expectations while optimizing inventory investment and support alternatives.

c. Maintains responsibility for material availability in all phases of the Life-Cycle Planning Process to support nationally fielded systems and equipment.

d. Sets authorized stockage limitations for supplies, repair parts, and equipment and monitors the development of authorized allowance quantities of postal material, in coordination with the office of primary responsibility (OPR) for various Postal Service functions. This responsibility extends to the wholesale and retail (material distribution centers and field) inventories.

e. Plans for and implements strategies for the phase down and disposal of nationally fielded systems.

f. Identifies and manages assets for Direct Vendor Delivery (DVD).

742.3 Inventory Support

Inventory Support has the following responsibilities:

a. Provides technical services and systems in support of inventory management to internal and external customers.

b. Models the provisioning process, working closely with Inventory Control, other postal organizations, and equipment manufacturers to provision new systems and spares support in an accurate and timely manner at the best cost to the Postal Service.

c. Reviews usage data to provide accurate forecasting data to Inventory Management.

d. Establishes and maintains a central technical data management system. Assigns national postal stock numbers (PSNs) for the control and standardization of supplies, repair parts, and equipment in national catalogs. Coordinates with Defense Logistics Supply Center to get national stock number (NSN) identification.

e. Serves as the focal point and interface for the integration of technical data to other postal organizations, government agencies, and suppliers.

f. Ensures the technical adequacy of replenishment and packaging specifications.

g. Ensures that contractual requirements are met on replenishments. Performs preaward and postaward surveys, quality audits, and first article and source inspections.

h. Ensures compliance with inspection, calibration, and sampling procedures.

i. Provides internal customer support through analysis of operational needs and the development of cost-effective, systematic solutions to communication and/or information systems-related problems. Provides operational data and analysis for decision making. Develops and implements new internal applications.

j. Publishes national catalogs in multimedia format for ease of use by all customers.

k. Conducts a National Review Board (NRB) to determine disposition of nonfunctional material.

742.4 Automation Programs

Automation Programs has the following responsibilities:

a. Supports Inventory Management logistics functions during the acquisition phase of major equipment to ensure the highest possible availability of that equipment.

b. Works with the inventory control and support teams to plan for material support through active participation in the Modification and Test Agreement (MTA), the Decision Analysis Report (DAR), and the Statement of Work (SOW) process.

c. Identifies and tracks all new postal automation programs under consideration at Headquarters that might require repair parts support.

d. Provides general Inventory Management program overview for automation programs from concept definition phase through the preparation of the SOW.

e. Establishes initial support program plans for repair parts support for automation programs.

f. Develops and manages studies and programs directed at improving the overall inventory investment, accountability, and control of Postal Service items of repair parts.

g. Ensures that all statements of work are developed with maximum supportability in mind.

h. Serves as liaison between other Headquarters functions and the logistics teams (Inventory Control and Support) in Topeka.

742.5 Supplies and Equipment Programs

Supplies and Equipment Programs has the following responsibilities:

a. Coordinates among the requiring organizations and Purchasing and Materials in the development of support strategies to best satisfy customer requirements for each approved program and project. Assists customer organizations in introducing new items into postal use.

b. Researches and implements alternative support methods to provide responsive cost-effective customer support while reducing inventory holdings.

c. Reviews new and existing postal-unique equipment and supplies and seeks alternative commercial items acceptable to the user.

d. Assists Inventory Control and customer organizations in developing phase out and disposal procedures for items of supply and equipment that are obsoleted by the implementation of new programs.

e. Establishes liaison with the General Services Administration (GSA) and Defense Logistics Agency (DLA) to improve wholesale and retail inventory support.

f. Develops and manages studies and projects directed at improving the overall inventory investment, accountability, and control of Postal Service items of supply and equipment. Applies value chain approaches to optimize customer support.

g. In support of *CustomerPerfect!*, implements postal direction to reduce overhead costs through electronic commerce.

h. Works with Material Management at the purchasing and materials service centers and field levels to develop and execute process which ensures national requirements are satisfied in a timely manner.

i. Coordinates Purchasing and Materials support to field retail operations.

742.6 Inventory Management Plans and Programs

Inventory Management Plans and Programs has the following responsibilities:

a. Develops, maintains, and interprets material management directives. Designs and manages special programs and studies to support inventory management objectives.

b. Develops material management plans and coordinates the implementation of near-, mid-, and long-term inventory management plans and programs.

c. Develops directives, particularly policy statements in Handbook AS-701, *Material Management.*

d. Serves as focal point for interpreting Postal Service material management policy and implementing the procedural constraints reduction program.

e. Guides the development of mid- and long-term inventory management goals and objectives so that they are supportive of the overall Postal Service's 5-year planning.

f. Reports on material management planning process and advises when goal changes are necessary to respond to functional business changes.

742.7 Logistics Programs

Logistics Programs has the following responsibilities:

a. Issues and maintains management instructions, circulars, material logistics bulletins, and other publications and directives in support of the Inventory Management function.

b. Coordinates the development and management of training courses and manages a career development program for material managers throughout the Postal Service.

c. Coordinates activities that support the entire Inventory Management system.

d. Assists Inventory Management functional areas to develop customer-driven performance measurement standards to establish baseline for benchmarking to private and government material management functions.

e. Measures performance of functional groups and provides feedback to management.

f. Develops FEDSTRIP policy and procedures and processes Headquarters and Headquarters Field Unit FEDSTRIP requests. Coordinates new or revised FEDSTRIPs with Material Distribution and with GSA for military postal units.

g. Coordinates the integration of asset control and accountability into existing MIS support programs.

h. Establishes the criteria and administers the Material Management Professional Certification Program.

i. Manages the Materials Intranet home page and the Materials presence on the Internet.

743 Retail Inventory Management

743.1 General

All Postal Service installation heads and activity managers are accountable for the material that they stock, sell, and use to carry out their assigned duties. Therefore, they must maintain accurate and auditable accountable material records that reflect the quantity, location, and other specified descriptive data for each item. The installation head or activity manager may delegate this duty in writing to a material accountability officer. This employee must follow all material management principles and practices to eliminate numerous requisitions to the same source of supply. Installations and activities may not establish material distribution functions that parallel or duplicate the role of the material distribution centers; that is, receiving, storing, and shipping supplies, repair parts, or equipment for other installations, except as described in Handbook AS-701 or as approved by the appropriate supervisor or manager.

743.2 Centralization of Facilities

743.21 General

To the extent possible, establish central supply rooms, repair parts stockrooms, and equipment storage areas at postal facilities to store commonly used supplies, repair parts, and equipment. When establishment of a central facility is impractical, control supplies, repair parts, and equipment in one location to prevent overordering and fragmentation of available supplies, repair parts, and equipment.

743.22 Supply Rooms

Supply rooms maintain stocks of commonly used supplies, including copies of the appropriate directives and forms listed in postal and federal catalogs. Minimum stock levels for these items must be adequate to support all administrative and operational functions.

743.23 Repair Parts Stockroom

Repair parts stockrooms maintain reparables, repair parts, tools, bench stock, and supply items. Reparable and repair part items are listed in Publication 112, *National Electronic Catalog,* on CD-ROM. Some items are locally procured and assigned a local catalog number. Locate the parts room to provide a readily available source of parts to the maintenance activity supported.

743.24 Equipment Storage Areas

Equipment not currently installed or in regular use is stored in selected areas that provide maximum control and security. These areas also provide protection from theft, damage, or other loss. Do not place equipment in storage without first determining its serviceability. Never place unserviceable equipment in storage. Repair as soon as possible any unserviceable equipment that can be restored. Dispose of unserviceable equipment that cannot be economically restored.

743.3 Inventory Management

The Inventory Management function develops guidelines and procedures governing the receipt, custody, use, and disposal of inventory items for retail use. These guidelines require all Postal Service activities to maintain records documenting on-hand quantities, use, and disposition of accountable material and all supplies, repair parts, and equipment. These procedures must reflect a separation of duties, i.e., personnel that receive and issue stock may not be the same employees that certify invoices for payment or conduct inventory counts. If accurately maintained, these records can be used effectively to manage the inventory and easily determine stock on hand and usage patterns. Designated personnel at each installation are accountable for these records. Material management personnel are accountable for controlling the supplies, repair parts, and equipment stored in these areas. Material must not be placed in, or removed from, these areas without the approval of the responsible person.

743.4 Physical Inventories

Store assets in use to ensure accountability, ease of access, and physical security.

743.41 Supply Rooms and Repair Parts Stockrooms

Inventories of Postal Service material must be conducted so that physical on-hand quantities are accurately recorded and reflected in inventory records. Schedule inventory counts so that inventory counting teams can easily and accurately count the items. Post the results of the counts to the appropriate inventory and financial records immediately after the counting or after the reconciliation of any differences. Follow the frequency schedules in Handbook AS-701.

743.42 Equipment Storage Areas

To ensure appropriate accountability of Postal Service equipment, Postal Service activities must maintain records documenting its assignment, use, maintenance, and eventual disposition. Central records also must be maintained for the entire Postal Service capital property inventory. Each installation must conduct a complete physical inventory of its capital property every 3 years (see Handbook AS-701 for schedule). Location audits are conducted as separate audits under the overall physical inventory program before any physical inventory activity.

743.5 Stock Operating Levels

743.51 General

Inventory operating levels must be determined to support targeted service level requirements (i.e., the cost to provide the service versus the cost of not providing service).

743.52 Supply Rooms

See Handbook AS-701 to determine required stock levels for the various types of facilities.

743.53 Repair Parts Stockrooms

Plant maintenance offices, bulk mail centers, and vehicle maintenance facilities maintain inventory levels according to repair parts catalogs; Handbooks AS-701, *Material Management;* PO-701, *Fleet Management;* and MS-63, *Maintenance Operations Support.*

743.54 Equipment

See Handbook AS-701 to determine required stock levels for the various types of facilities.

743.55 Exceptions

743.551 General

The only exceptions to the maximum stock levels established in Handbook AS-701 are insurance items (i.e., components, subassemblies, or assemblies not normally considered reparable, but stocked as insurance against a lengthy shutdown of equipment).

743.552 Reparables

Reparables are repair parts that are more time- and cost-effective to repair than to dispose of and replenish. Inventory Management is responsible for the approval and management of reparables. Field managers are responsible for local management of reparables and for timely delivery to designated repair sites. Timely actions, including repairs, are essential to minimize the number of assets in the support process.

75 Material Distribution

751 Purpose and Scope

The manager of Material Distribution is responsible for developing overall material warehousing, distribution, and transportation policy. Material Distribution consists of planning and implementing warehousing and freight transportation policy for the entire Postal Service distribution network. Material Distribution negotiates tender rates, maintains tenders, and provides technical direction to Headquarters and field personnel regarding freight traffic management. In addition, Material Distribution mandates the systems

and procedures that must be used for warehousing and freight transportation of Postal Service material.

752 Material Distribution

Material Distribution is responsible for warehousing and transportation of material throughout the Postal Service. These responsibilities include:

a. Determining the best mix of private and for-hire modal services to support optimization of distribution network costs.

b. Exercising control of the entire material distribution channel from vendor to ultimate user, delegating authority for specific transportation and warehousing functions to other organizations where appropriate.

c. Protecting Postal Service in-transit and in-warehouse assets from loss, theft, or damage and insuring their full capacity until received by users.

d. Planning and implementing national distribution networks for all material, periodically evaluating Postal Service material distribution requirements, and realigning networks to satisfy needs cost-effectively.

e. Overseeing national, area, and local freight transportation and warehousing functions and providing field staff with training and planning support.

752.1 General

Seven functions within Material Distribution develop and carry out national material distribution policies and procedures. They are described in the following sections and listed below:

a. Material Distribution Systems (MDS).

b. Warehousing Systems.

c. Material Distribution Centers (MDCs).

d. Label Printing Center (LPC).

e. Non-Mail Handling Vehicles (NMHVs).

f. Materials Customer Service (MCS).

g. Mail Equipment Shops (MES).

752.2 Material Distribution Systems

Material Distribution Systems (MDS) is responsible for developing and monitoring transportation policy for the overall distribution network. MDS is responsible for national freight transportation policy, including negotiating rates, maintaining tenders, and providing technical direction to Headquarters and field personnel. All individuals responsible for shipping Postal Service material must follow procedures contained in Handbook AS-701, *Material Management*. MDS also establishes materials freight traffic management policies, which includes the following responsibilities:

a. Acts as liaison with the General Services Administration (GSA) for procedures governing the issuance of Government Bills of Lading (GBLs) and the use of the GSA Standard Tender Service.

b. Establishes policies and guidelines for satisfying Postal Service internal freight and small parcels transportation service requirements.

c. Defines traffic management processing system functional requirements and supports implementation and use of standardized systems.

d. Manages freight carrier selection and establishes appropriate performance standards.

e. Ensures cost-effectiveness of contracts through FOB origin analysis.

f. Monitors payment processing and auditing of freight transportation invoices.

g. Facilitates transition from paper-based to electronic freight information exchanges between USPS, suppliers, and carriers.

752.3 Warehousing Systems

Warehousing Systems has the following responsibilities:

a. Developing plans, policies, and programs to support national warehousing needs.

b. Recommending sites for distribution centers and warehouses.

c. Managing the development and implementation of the national material distribution network.

d. Recommending material handling equipment and storage aids to improve warehousing operations.

e. Controlling the distribution channel from vendor to user, delegating warehousing functions to other organizations as appropriate.

f. Maintaining inventory of national warehousing space for supplies, parts, and equipment.

g. Developing warehousing requirements for management information systems.

h. Approving stockroom design and layout with Headquarters Facilities for new and modified facilities.

752.4 Material Distribution Centers

The Postal Service operates warehouses, called *material distribution centers* (MDCs), in established geographical areas. Inventory assets are positioned in the MDCs according to the demand created by response time, cost of distribution, and the need to meet assigned customer service levels (see Handbook AS-701).

752.5 Label Printing Center

The Label Printing Center (LPC) prints and distributes tray, sack and pouch labels, facing slips, and other printed materials used in mail processing operations of the Postal Service and for government agencies and commercial mailers (see Handbook PO-423, *Requisitioning Labels*). The LPC

is not part of the wholesale material inventory system and does not stock supplies, repair parts, or equipment. Its specific functions include:

a. Filling of customer requisitions.

b. Preparing pressure-sensitive and non-pressure-sensitive labels for mail processing requirements.

c. Distributing printed labels.

752.6 Non-Mail Handling Vehicles

It is Postal Service policy to centrally acquire all non-mail handling vehicles (NMHVs). Requisitions for all postal requirements are centrally submitted to Material Distribution (MD) at Headquarters for processing with the central acquisition office, currently the General Services Administration (GSA). MD processes all requirements, develops standardized specifications, and arranges the order filling process through receipt and payment. MD is also responsible for:

a. Coordinating the ordering, procurement, receipt, and payment of all postal NMHVs.

b. Standardizing NMHV requirements to obtain best value.

c. Developing and coordinating specifications on NMHVs.

d. Serving as central point of contact with field, Headquarters, and GSA for acquisition of NMHVs.

e. Maintaining oversight of the NMHV budget.

752.7 Materials Customer Service

Centralized customer service is a national function performed under administration of the Manager of the Topeka Material Distribution Center (MDC). The Topeka MDC operates a call center for customer inquiries and concerns and provides support to Process Management by providing data on National Indicators. It responds to customer support concerns and analyzes and evaluates issues for appropriate action.

752.8 Mail Equipment Shops

Mail Equipment Shops (MESs) manufacture Postal Service sacks, pouches, keys, and locks used servicewide in support of mail processing and customer service activities.

753 Storeroom Management

753.1 Leased or Rented Space or Services

Material Distribution must approve the requirements before warehouse facilities are leased or rented from contractors for the storage of supplies, repair parts, or equipment held in Postal Service inventories anywhere in the Postal Service distribution system. This ensures that unused space is used to the fullest extent possible (see Handbook AS-701 for reporting procedures). Managers must plan and lay out all warehouse and storage space to support

the activities of receiving, storing, and packing material; planning for shipment; and for doing the administrative functions necessary for the smooth, quick, and cost-effective handling of material (see Handbook AS-701).

753.2 Receiving, Storing, and Issuing

753.21 General

Receiving, storing, and issuing of material are the primary functions of any storeroom or warehouse operation, such as Postal Service supply rooms, repair parts stockrooms, and equipment storage areas. These functions are common to local facility functions as well as the MDCs. All Postal Service storeroom and warehouse activities must have designated receiving, storing, and issuing points staffed and operated by trained, designated receiving personnel. Responsibility is exercised through Material Distribution and implemented through inventory management channels. Facility managers are responsible for implementing and administering the policies and procedures in this section.

753.22 Material Acquisition Management

It is Postal Service policy to make available high usage and critical material through MDCs, GSA Customer Service Centers or depots, Federal Supply Schedule Contracts, other federal wholesale systems, Postal Service contracts and agreements, and other acquisition methods such as credit cards and system/EDI contracts.

753.23 Due-In Management

Supply room, stockroom, and storage area managers must establish and maintain an active program for monitoring stock replenishment due-ins.

753.24 Back-Order Management

Requisitions that cannot be filled from on-hand stocks must be back ordered. Information on these orders must be established and maintained for all items that are normally carried in stock and for which a requisition quantity cannot be filled from material on hand.

753.25 Excess Serviceable Material Management

It is Postal Service policy to use excess serviceable material, when cost-effective, as a first source of supply in meeting Postal Service needs. (Procedures for reporting excess material are in Handbook AS-701.)

753.26 Disposal Management

It is Postal Service policy to promptly dispose of material that is unserviceable, obsolete, or surplus to national needs. Procedures, including authorities and methods, are in Handbook AS-701. In determining the methods of disposal, responsible personnel must consider all the facts of the particular situation, including, but not limited to, the nature, quantity, environmental impact, and condition of the material. Whenever possible, consider recycling items that can no longer serve their original purpose. All

disposal actions must serve the best interest of the Postal Service (see Handbook AS-701).

753.3 Processing Requisitions

753.31 General

Issue supplies, repair parts, and equipment by signed written requests. Provide supply clerks with a list of persons authorized by the facility head to sign these requests.

753.32 Exceptions

Except for certain commonly used and inexpensive items, all repair parts issued must be charged to a specific work order, route sheet, or shop function (e.g., general repair shop or custodial). Items must be issued and returned by a signed request from the mechanic.

753.4 Locator Systems

Employ a stock locator system in each type of storeroom to enable employees to locate items without personal knowledge of the storeroom layout. Use the locator system for all receiving, stocking, inventory, and issues.

753.5 Emergency Issues

Establish provisions for emergency issues to ensure that postal operations are not hampered by a lack of materials.

753.6 Shelf Life

Pay particular care to items that have a specific shelf life (e.g., rubber bands, ink, rubber stamps). Issue older items in this category first to avoid spoilage or deterioration.

753.7 Primary Source

Order all repair parts that are available through the MDCs as instructed in Publication 247, *Supply and Equipment Catalog* (for supplies and equipment); and Publication 112, *National Electronic Catalog,* on CD-ROM (for mail processing and customer services equipment).

753.8 Hours

753.81 General

Supply rooms and equipment storage areas must maintain a schedule of hours when materials are issued. Establish provisions for emergency withdrawals during nonoperating hours to ensure that postal operations are not hampered by lack of supplies.

753.82 Repair Parts Stockroom

Repair parts stockrooms must maintain a schedule of hours consistent with support of operations in the facility.

8 Information Resources

81 Policy

The Postal Service information and information technology infrastructure are designed and maintained as shared corporate resources.

Information Systems, in consultation with key Engineering and Technology groups and sponsors, manages these assets and develops the standard specifications and processes that define the postal computing environment and allow it to be shared. Sharing and reuse of the technology and information infrastructures accomplish the following:

a. Lowers overall costs.

b. Enhances interoperability of applications.

c. Facilitates rapid deployment of business applications.

d. Facilitates reengineering of older processes.

e. Ensures consistent levels of technical support.

82 Enterprise Architecture

821 Definition

Enterprise Architecture (EA) is a high-level or general view of an enterprise that conveys an overall understanding of its various components and how these components interrelate. It describes the logical business, application, and data reference points for planning and developing global business solutions. This framework is integrated with the technical infrastructure of the postal computing environment (see Handbook AS-820, *Postal Computing Environment*). EA guides initiatives for the most effective storage, access, management, and control of information resources to:

a. Collect information once and use it often.

b. Deliver the right information to the right person at the right time.

c. Prevent the collection of unnecessary information.

822 Components

EA includes the following:

a. *Business Architecture* is defined as the core business procedures and processes of the enterprise at any level necessary to provide the requirements for a business solution supporting the Postal Service mission. Included within this domain are the necessary business drivers such as vision, guiding principles, mission, goals, objectives, and indicators.

b. *Data Architecture* models a high-level view of the postal data resources, including the Enterprise Data Warehouse.

c. *Application Framework* describes the logical application framework serving as the corporate model for developing global technical solutions. See subchapter 83, Application Development, for implementation of this concept.

d. *Technology Architecture* describes the supporting infrastructure of the EA business solution, including the Infrastructure Tool Kit (see web site *http://itk.usps.gov* and Handbook AS-820, *Postal Computing Environment*). The enterprise architecture provides the means to integrate the business, data, and application architectures with the technology infrastructure base.

83 Application Development

831 Integrated Business Systems Solutions

Integrated Business Systems Solutions (IBSS) in Information Systems:

a. Manages the business systems investment analysis, business strategy determination, and independent review and assessment of new business systems solutions.

b. Coordinates the national management of information technology development and maintenance resources and recommends program resourcing options.

c. Provides operational day-to-day oversight to the IBSS centers and portfolio management functions.

d. Manages enterprise-wide information technology projects.

832 Business Organizations

Postal Service business organizations proposing technological solutions to business problems should:

a. Consult with IBSS during the planning stage to determine:

(1) The possibilities offered by the current shared computing environment, both information technology and data.

(2) The impact on the evolving shared computing environment of added equipment, capacity, software, or data.

(3) The standard specifications and processes within which to operate to ensure a workable and common solution.

(4) The requirements for operation and support of the fully implemented system.

(5) The best allocation of Headquarters, field, and/or contractor resources.

b. Develop and implement applications, either with or without contract assistance, and coordinate integration testing with IBSS.

c. Develop and coordinate with IBSS the plans to deploy, operate, and support new applications until deployed and running routinely.

84 Business Information

841 General

The definition, collection, and storage of data and text are managed so that they can be integrated for use in a variety of business applications. The business information infrastructure forms the information base that supplies data for Postal Service applications, products, and services.

842 Data Policy

Data is managed as a key corporate resource to maintain data integrity, standardization, accessibility, and security throughout the Postal Service. The following are basic components of the postal data policy:

a. *Applicability of Data Policy.* This data policy encompasses all Postal Service systems of records, information systems (both automated and manual), and forms, and applies to all field and Headquarters organizations.

b. *Definition of Data.* The Postal Service has adopted the American National Standard Institute definition of data, which is: "Data is a representation of facts, concepts, and instructions in a formalized manner suitable for communication, interpretation, or processing by human or automatic means."

c. *Data Management.* The vice president of Information Systems is the Postal Service chief information officer and assigns data stewardship. The enterprise architect, Integrated Business Systems Solutions (IBSS), is responsible for ensuring effective data management within the Postal Service.

d. *Data Ownership and Stewardship.* Data is managed as a shared resource among Postal Service organizations. While data is not owned by any one organization, a particular organization (e.g., Customer Relations) exercises stewardship of specific data. Data is assigned to an organizational entity (called primary data organization) for stewardship. For further information on data stewardship, refer to MI AS-830-93-4, *Data Stewardship.* This stewardship entails

responsibility and accountability for ensuring the clear definition of the data and compliance with established directives. Responsibility and accountability require that:

(1) Relevant data for reporting, planning, controlling, and operating Postal Service activities is captured.

(2) Stored data is complete, current, and accurate.

(3) Maximum availability and reusability of the data are attained consistent with data location, economic justification issues and Postal Service policies of privacy, security, disclosure, retention, and audit.

e. *Secondary Users.* Organizations that use another organization's data are called secondary user organizations, or secondary users. Secondary users may use existing data when access is approved, but may not alter or delete primary data unless specifically authorized to do so by the primary data organization (see MI AS-830-93-4). Information Systems or the primary data organization will notify secondary users of changes to primary data that may affect secondary data use.

f. *Security Administration.* Refer to ASM section 872 for information on data security responsibilities.

843 Text Policy (reserved)

85 Information Technology Management

851 General

The Information Technology (IT) organization is responsible for the overall management within the Postal Service of plans and standards to create applications, run computing operations, offer shared services in a common IT infrastructure, and exchange information with customers, suppliers, and other business partners.

852 Information Technology Architecture and Engineering

Information Technology Architecture and Engineering (ITAE) is responsible for translating business strategies and requirements into an IT vision, strategies, and an integrated architecture. The combined vision, strategy, and architecture drive the policies and procedures required to realize the Postal Service's business goals. Specific ITAE responsibilities include:

a. Developing and evolving a vision that supports postal business strategies.

b. Developing corporate plans and strategies to realize the vision.

c. Evolving and maintaining an integrated architecture for postal business, applications, data, security, and technology.

d. Developing and managing multi-year corporate investment plans.

e. Developing, updating, and maintaining design rules and standards.

f. Developing, updating, and maintaining policies, procedures, processes, and practices.

g. Defining specifications and requirements for new and enhanced services and infrastructure components.

h. Managing an active assessment program.

i. Managing the IT Lab.

853 Application Technology Engineering

The responsibilities of Application Technology Engineering include:

a. Translating business strategies and requirements into appropriately engineered technology.

b. Maintaining an enterprise view in technology infrastructure that enables applications to be consistently designed, built, deployed, and maintained while achieving superior customer satisfaction.

c. Ensuring interoperability within the Postal Service and between the Postal Service and customers' and suppliers' enterprises.

854 Information Technology Provisioning

The responsibilities of Information Technology Provisioning include:

a. Developing provisioning strategies for postal services, components, and products.

b. Coordinating the award of national sourcing agreements for postal services, components, and products.

c. Managing corporate licenses and corporate-wide IT accounts, including disbursement of funds to provisioning contracts, such as Acquisition of Desktop Extended Processing (ADEPT), Microcomputer Software Acquisition Project (MCSWAP), or Managed Network Services (MNS).

86 Computing and Telecommunications Systems

861 General

Information Systems provides operational services and support including:

a. Providing centralized support for certifying and deploying distributed systems.

b. Providing centralized telecommunications planning, engineering, provisioning, and managing services required by postal business.

c. Operating large computing centers.

862 Distributed Systems Certification and Deployment

Distributed Systems Certification and Deployment (DSCD) facilitates the integration of commercial-off-the-shelf (COTS) products and national postal applications in NT, Netware, UNIX, and stand-alone environments. This is accomplished through:

a. Testing, certifying, and piloting hardware; COTS; and national postal applications.

b. Deploying COTS and national postal applications.

c. Providing ongoing support for hardware and COTS software.

d. Providing interoperability testing to ensure the application is compatible with currently deployed applications.

e. Coordinating an implementation plan with field Information Systems staff.

f. Ensuring timely distribution and implementation of systems to the field.

g. Preventing unintentional distribution of incompatible or corrupted software.

862.1 Development and Support

When requested by sponsoring organizations, DSCD — through the development and support process — also assumes responsibility for user-developed systems to:

a. Bring user-developed systems into conformance with the necessary technical and documentation standards.

b. Clarify funding and support processes.

c. Perform necessary maintenance and future enhancements.

862.2 Certification Process

In most cases, the certification process is completed within 2 weeks for stand-alone PC applications and 4 weeks for PC/LAN applications.

862.3 Development and Related Services

DSCD provides services related to development including:

a. Planning.

b. Budgeting.

c. Technical and network support.

d. Initiating development.

e. Testing.

862.4 Existing Information Systems

In support of existing Postal Service information systems, DSCD provides:

a. Evaluation services.

b. Enhancements.

c. Support planning.

d. Maintenance.

862.5 Implementation Services

In support of information systems implementation, DSCD provides:

a. Cost analysis of deployment options.

b. Procurement requirements, strategy consultation, and assistance.

c. Site surveys.

d. Coordination of telecommunications requirements.

e. Site preparation.

f. Staging of hardware.

g. Preloading of software.

h. Assembly of all components.

i. Lab testing of final configurations.

j. Certification of application configuration and performance.

k. Physical deployment or implementation.

l. Property accounting and inventory management.

m. Integration testing.

862.6 Electronic Messaging Network

The Electronic Messaging Network (EMN) provides a vital link between the Postal Service and the public business community. It allows distribution and dissemination of postal information to support private sector business information requirements through:

a. Engineering and integration of products as they relate to electronic messaging.

b. Developing, testing, and maintaining a national message platform for the Postal Service.

c. Developing and maintaining a national directory for the Postal Service and private sector end users.

d. Developing, testing, and maintaining the mobile platform to support the Postal Service remote management requirements.

e. Monitoring the national hub volume throughput and availability to end users.

f. Maintaining an interface or bridge to various messaging switch platforms in support of the national infrastructure.

g. Providing a technical liaison, problem analysis and resolution in support of the national user community.

h. Providing Internet electronic messaging access.

862.7 UNIX Engineering

UNIX Engineering supports internal postal organizations by supplying services ranging from engineering platform architectures to process solutions. The services are provided as:

a. Engineering, integrating, and maintaining hardware and system software products for a national UNIX computing infrastructure.

b. Engineering and integrating UNIX architecture solutions for national applications and operations.

c. Developing, testing, and maintaining processes for centralized and remote management of UNIX operations.

d. Developing and implementing certification processes for hardware, system software, COTS, and custom applications deployed in the national UNIX infrastructure.

e. Providing a technical liaison, problem analysis, and resolution in support of the national UNIX infrastructure.

f. Providing a technical liaison for UNIX engineering analysis in support of postal organizations responsible for business solution architectures.

g. Working with Computer Operations Service Centers (COSCs) to maintain consistency within the national UNIX infrastructure.

863 Telecommunications

863.1 Telecommunication Services

Telecommunication Services (TS) located in Raleigh, North Carolina, is responsible for engineering, managing, and operating — in partnership with various contractors — the Postal Service national telecommunications voice, video, data, satellite, and wireless communications networks.

863.11 Service Providers

863.111 Managed Network Services

The primary service provider for all corporate data communications is MCI/Worldcom (MCIW), through the award of the Managed Network Services (MNS) contract. The MNS contract supports data communications and will initially connect 7,000 of the largest postal sites via a dedicated TCP/IP Intranet, joining retail and delivery offices. TS and MCIW are currently expanding the Intranet, called the Postal Routed Network (PRN). When this network is complete, it will be one of the largest intranets ever built. This Intranet is managed by the MCIW Network Operations Center (NOC) in Raleigh, North Carolina.

863.112 Voice Communications

Voice communications service for as many as 350 large postal facilities is supported by the FTS2000 contract. An optional voice contract with Sprint One supports smaller postal facilities.

863.12 Responsibilities

Responsibilities include:

a. Identifying and implementing telecommunications programs in the field.

b. Administering the national telephone system acquisition program.

c. Providing technical support on telecommunications matters nationally and to the field for the acquisition of telephone systems (including ancillary components, voice response, and paging systems), connectivity to national networks, and assistance in identifying and implementing telecommunications solutions.

d. Maintaining a centralized registration service for network devices requiring telecommunications identifiers.

e. Acquiring satellite, wireless, or microwave telecommunications systems.

f. Providing approval and logon IDs for postal dial-up connectivity to PRN (via the MNS contract).

g. Preparing nationwide provisioning agreements for acquisition of equipment and services.

h. Managing Postal Service radio frequency usage.

i. Providing access to FAXbroadcast service.

j. Providing audio conferencing service.

k. Approving the installation, modification, or removal of the following:

(1) Telephone systems involving one or more instruments.

(2) Video-teleconferencing or other teleconferencing systems, satellite, or microwave systems and equipment.

(3) Network access circuits, PRN connectivity (via the MNS contract), FTS2000 circuits, interstate or intrastate 800 numbers.

(4) Radio systems or subsystems and new frequency assignment or change of existing frequency assignments.

(5) Universal wiring projects.

863.2 District Manager

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

863.21 Information Systems Manager, District

The information systems manager at the district is responsible for:

a. Managing the operation and implementation of voice, video, facsimile, and data telecommunications systems within a geographic boundary.

b. Requesting the installation, modification, or removal of the following

(1) Telephone systems involving one or more instruments.

(2) Automatic call distribution (ACD) and voice response systems, station message detail recorders (SMDR), and public address systems.

c. Approving the installation, modification, or removal of the following:

(1) Walkie-talkie-type radio systems, facsimile services, beepers/pagers, internal/external modems for PC desktops and laptops, speakerphones, stand-alone single answering or recording devices, special hearing and seeing devices, automatic dialing devices, one to six telephone lines, and one or two telephone instruments.

(2) Off-premise extensions (OPX) or foreign exchange (FX) circuits and seven or more telephone lines.

d. Documenting and managing local area networks within a geographic boundary.

863.22 Telecommunications Coordinator

The telecommunications coordinator is designated on a permanent or ad hoc basis by the IS manager to coordinate voice, video, facsimile, and data telecommunications activities within an installation. The telecommunications coordinator has the following responsibilities:

a. Operating voice, video, facsimile, and data telecommunications systems within an installation (an installation can be one or more buildings in a limited geographic area).

b. Coordinating the implementation and integration of universal wiring systems.

c. Managing the cable plant and maintaining cable records.

d. Requesting, through Telecommunication Services, any changes to FTS2000 service.

e. Submitting changes or requests for access to postal networks to Telecommunication Services, using Form 3037, *Telecommunications Service Request*. For funding, the requesting organization may be required to submit Form 7381, *Requisition for Supplies, Services or Equipment.*

f. Implementing a telecommunications systems security program in accordance with the guidelines provided in Section 87, Security Program.

863.3 Postal Inspection Service

863.31 Requests

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

MANAGER, NETWORK OPERATIONS
US POSTAL INSPECTION SERVICE
INFORMATION TECHNOLOGY DIVISION
2111 WILSON BLVD STE 500
ARLINGTON VA 22201-3036

863.32 Postal Inspector in Charge

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

863.4 Postal Employee

Postal employees are responsible for:

a. Ensuring that their use of postal telecommunications equipment and services is for official business only.

b. Protecting telecommunications equipment.

863.5 Systems, Equipment, and Services

863.51 Installations With Employees EAS-11 and Above

All postal installations EAS-11 and above are authorized to have telephone systems and associated services.

863.52 Installations With Employees Below EAS-11

For installations below EAS-11, one telephone instrument and line may be approved by district managers on an individual basis if warranted and if approval does not violate contractual arrangements.

863.53 Nonpostal Organizations

Telephone service may be furnished on a reimbursable basis to organizations such as credit unions, canteens, and employee organizations. These organizations may not use Postal Service long-distance services.

863.54 Collocated Organizations

Support and services will be provided to collocated postal organizations based on a mutually acceptable decision.

863.55 Telephone Services

Telephone services are provided as indicated below under approved circumstances to Postal Service facilities and personnel.

a. *Long Distance.* FTS2000, a government long-distance network, is provided at large Postal Service installations as determined by Telecommunication Services. At locations where FTS2000 is unavailable, long-distance services can be obtained through the national primary interexchange carrier (PIC) contract.

b. *Off-Premise Extensions and Foreign Exchange Service.* Because of their high cost, the use of off-premise extensions and foreign exchange service should be held to a minimum.

c. *Directory Information.* Where telephone service is authorized, the main telephone number must be listed in the official local exchange carrier (LEC) directory. Additional information may be listed as necessary.

d. *Private Residence.* Official telephone service may, with approval by the employee's immediate PCES manager, be installed in private residences of postal employees. Designated postal employees must follow the instructions and evaluation criteria in Management Instruction AS-840-96-9, *Home-Based Postal-Provided Telephone Line for Business Use.*

e. *Cellular Telephone.* Cellular telephone service may be authorized, with approval by the employee's immediate PCES manager. Because of the cost of cellular telephone service and concern for the safety of postal employees who might use the cellular telephone while driving, this service should be approved only for those with an essential need. Management Instruction is pending.

f. *Beeper/Pager.* Beeper/pager service may be authorized, with approval by the employee's immediate PCES manager, for those Postal Service employees with a demonstrated need for the service.

863.56 Data Telecommunications

863.561 Node Name and Address Assignment

Equipment connected to Postal Service networks must follow Postal Service node naming and addressing conventions as specified in Management Instruction AS-840-97-2, *Naming Standards for Devices and Domains on the Postal Routed Network.*

863.562 Data Transmission

Data transmission through a Private Branch Exchange (PBX) is permitted if it is the most economical method available. Data transmission should make use of the Private Branch Exchange (PBX) when possible. Use of business lines will incur an additional expense for the field location. The PBX must have the equipment available to facilitate use of the data transmission. The Telecommunications Coordinator determines the most economical method available (see 863.22).

863.6 Standards

The following telecommunications standards must be adhered to:

a. The Postal Service data network protocol is IP (Internet Protocol) and must be used when implementing telecommunications systems. There are no exceptions.

b. All radio systems and equipment must comply with the technical standard requirements and objectives of chapters 4 and 5 of the *Manual of Regulations and Procedures for Federal Radio Frequency Management* of the National Telecommunications Information Administration (NTIA).

c. The Postal Service universal wiring standard (a single, integrated wiring system for voice, data, video, and sensor signaling requirements) must be followed when building a new postal installation or conducting a major renovation. Reference Handbook AS-819, *Universal Wiring Standards.*

863.7 Funding

Technical and budgetary approvals are required for the acquisition of telecommunications equipment and services. Some capital funding for larger systems is centrally funded by Headquarters. See the handbook F-66 series on investment policies and procedures for a more detailed explanation of levels and delegation of approval authority.

863.8 Contracts

Contract award is made to the best value alternative meeting Postal Service requirements specified in the procurement documents regardless of the type of funding available. Mandatory contracts must be used as the source of supply for voice, data, and video telecommunications equipment and services. Where they exist, optional contracts may be used to obtain voice, data, and video telecommunications equipment and services, with due consideration for least cost, timeliness, and ease of use.

863.9 Financial Management

Field IS management staff exercise certain basic financial management functions including:

a. Certifying bills for correct and prompt payment.

b. Preparing inventories of on-site telecommunications hardware, circuits, and peripheral equipment.

c. Reconciling inventories.

d. Preventing fraud, waste, and abuse in the use of telecommunication systems, equipment, and services.

864 Distributed Systems Central Management Facility

864.1 Responsibilities

The Distributed Systems Central Management Facility (DSCMF) is a major operational support facility responsible for providing IS customers, nationwide, with a full range of remote IT infrastructure support services.

864.2 Services

A major cornerstone of DSCMF support is the execution of the Associate Office Infrastructure (AOI) Program extending IT infrastructure to 8,000 associate office facilities. DSCMF services include:

a. AOI program management, including management of deployment and program financials, coordination with business applications, and support coordination.

b. Customer support services for the distributed infrastructure and applications.

c. Database support services for distributed database applications.

d. Operations support services for distributed LAN and VAX systems.

e. Quality assurance.

f. Customer satisfaction management including service-level agreements and service-delivery monitoring.

864.3 Staff

The DSCMF currently provides a staff of more than 500 trained and technically experienced personnel. It offers a 24-hour, 7-days-a-week service and operates on a multiple program-funded budget of approximately $200 million. The DCSMF operating units are described in 864.4.

864.4 Operating Units

864.41 Associate Office Infrastructure Program Office

864.411 Definition

The Associate Office Infrastructure (AOI) is defined as a common information technology capability to support retail, delivery, and administrative operations in post offices, branches, and stations. It includes local area network (LAN) wiring and services, a computer server, telecommunications, and a robust support structure. Funding provided through two AOI Decision Analysis Reports (DARs) is providing for the expansion of IT infrastructure to these facilities including the Telecommunications Services. Additionally, AOI provided for the original establishment of the DSCMF.

864.412 Benefits

The benefits of AOI include:

a. Reduced cost and easier deployment of future business applications.

b. Reduced cost for technical and administrative support and telecommunications.

c. Ensured interoperability among Postal Service applications.

d. Remote access to corporate databases.

864.413 Deployment and Management

The AOI Program Management Office (AOI-PMO) is overseeing the deployment to approximately 8,000 associate offices, with implementation completing in FY 1999. Additionally, the AOI-PMO manages contracts for many of the services the DSCMF provides as part of AOI, managing the AOI program financials, and facilitating the use of AOI by Postal Service business applications.

864.42 Quality Assurance

The DSCMF Quality Assurance (QA) Program is grounded on the philosophy of working together with both the Postal Service and contractor program management to meet the goals and objectives of the DSCMF. QA is focused on the development and maintenance of business processes that provide for the execution of the Distributed Systems Operational Support (DSOS) contract. The majority of the DSCMF functions are executed under the DSOS contract. Likewise, QA is focused on the development of metrics, their values and the efficiencies that ensure a measurable outcome relative to DSOS contract requirements.

Specific QA unit functions include:

a. Determination and implementation of DSOS management efficiencies.

b. Change management.

c. Identification and definition of performance requirements.

d. Performance measurement processes which validate and improve on those requirements.

864.43 Customer Support Services

The Customer Support Services (CSS) unit mission is to ensure the establishment and ongoing availability of nationwide technology-based infrastructure support to Associate Office facilities by offering superior deployment, help desk, and associated customer support services.

DSCMF-CSS unit services include:

a. Tier 1 help desk service across all distributed applications.

b. Tier 2 and 3 advanced help desk support for distributed infrastructure and selected application-specific problems.

c. Escalation and coordination of Tier 2 and 3 network and application-specific problem resolution among outboard service providers.

d. Help desk support systems operations and maintenance.

e. Application deployment and integration support.

f. Distributed system and application change management.

g. Unit-level process management and quality assurance.

864.44 Database Support Services

Database Support Services (DBSS) provides remote production database administration and management services. The objective of DBSS is to provide a stable production database environment across the range of Postal Service standard hardware platforms to meet the functional requirements of Postal Service applications. DBSS offers remote production database support services for both Oracle and DB2 relational databases. Support services are available for Oracle on mainframe MVS, UNIX, and NT-based systems. DB2 services are specific to the sysplex mainframe environment.

DBSS services include:

a. Monitoring the database performance.

b. Tuning the database.

c. Recovering corrupted databases.

d. Troubleshooting database problems.

e. Controlling access to the production database.

f. Managing schema/structural to the database.

g. Managing Oracle Replication Services (where appropriate).

864.45 Operations and Support Services

864.451 Mission

The Operations and Support Services (OSS) unit mission is to deliver consistent and effective computing services to Postal Service customers and employees through professional system management and support practices. OSS provides the following types of support:

a. Continuous monitoring of remote systems and service delivery.

b. Proactive detection of faults and resolution of problems.

c. Software distribution management.

d. Remote backup management and restoration.

e. System performance monitoring and tuning.

f. System configuration monitoring and management.

g. Call handling and incident tracking, including diagnosis and resolution for district VAX systems.

h. Security management of VAX systems, including overseeing system access privileges and user account maintenance.

i. DSCMF and district VAX business continuity planning, including development of risk-mitigation strategy, development of contingency plans, and the exercise and maintenance of those plans.

864.452 Support Functions

Support functions are divided into two major areas:

a. *Remote LAN Management.* The remote LAN management mission is to operate a world-class remote LAN management facility for the benefit of Postal Service Information Systems customers by proactive management of remote LANs to predict and resolve problems before

they impact end-users' productivity. This includes the LANs at Gold-Tape installations, AOI facilities, and within the DSCMF itself.

b. *District VAX Systems.* This team provides daily operation and management of the 85 district VAX computers and peripherals, and technical support for the users of those systems. Support is provided remotely using the telephone and VSS internal support computer systems over the wide area network.

864.46 Customer Satisfaction

To promote customer satisfaction with DSCMF services, the Customer Satisfaction (CS) unit coordinates, establishes, and monitors the performance of Service Level Agreements (SLAs) with each of the customers of the DSCMF as well as the CATS organization. In addition, the Information Systems Customer Satisfaction Team will provide the following services:

a. Coordination of national help desk surveys and national quality assurance.

b. Review and analysis of national help desk process management metrics for problem and change management.

865 Computer Operations Service Centers (TBD)

87 Security Program

871 General

Postal Service information resources and assets shall be protected against accidental or unauthorized use, modification, disclosure, or destruction. The manner in which the Postal Service protects these resources and assets is defined in chapters 2 and 3.

The National Information Systems Security (NISS) organization, located in Raleigh, North Carolina, is responsible for the information systems security part of the Postal Service security program and ensures that the following requirements are addressed in all applications and systems:

a. *Confidentiality* — the protection of information either maintained or stored so that unauthorized persons cannot access it.

b. *Integrity* — the protection of information from intentional or accidental unauthorized changes.

c. *Availability* — the assurance that a resource is accessible by authorized users whenever needed.

872 Responsibility

The Postal Service security program is divided into several areas of responsibility as described in the following subsections.

872.1 National Information Systems Security

The authority to manage the information systems security program of the Postal Service computer security program has been delegated to the Information Systems organization by the chief postal inspector who is the Security Officer for the Postal Service. Title 39 CFR 231.b names the chief postal inspector as the Security Officer for the Postal Service. Subchapter 27 section 271.1 of the ASM delegates the computer security program to the vice president of Information Systems. NISS is the group within the Information Systems organization that has this responsibility. The NISS role and scope includes managing, consulting, and providing assistance to the following subprograms:

a. *Computer Security Policies and Standards.* NISS is the corporate-level computer security policy-making organization responsible for the creation, evaluation, and administration of computer security policy, guidelines, and procedures in support of the Information Systems security program.

b. *Security Certification and Accreditation Program.* A system must be secured at a level appropriate to its value to the Postal Service or because of statutory requirements. The security level is based on a determination of sensitivity and criticality made by the owner, by classifying the information to be processed and evaluating whether the application is a major system and critical to the Postal Service operation. The executive sponsor of a system is responsible for ensuring that security issues are considered in the early phases of system development (see 355.312). (See also MI AS-850-97-3, *Security Certification and Accreditation of Sensitive Applications and Systems*.)

c. *Access Control and Management.* Access to systems, data, and information must be controlled and secured at a level appropriate to their value. This is the responsibility of all employees and contractors. Systems and information must be managed and secured to provide protection both to the Postal Service and to the users of the systems. The degree of protection is dependent on management categorization of the sensitivity of information processed and the criticality of these systems.

d. *Network Security.* A telecommunications network must be secured at a level appropriate to its value to the Postal Service or because of statutory requirements. It must also be reliable and available for use by the Postal Service. NISS provides consulting, monitoring, and support for the postal network. These activities include evaluating firewalls, providing encryption solutions, and reviewing business partner connectivity and web servers. NISS also conducts administrative investigations of computer security incidents for the purpose of maintaining security for Postal Service computers.

e. *Contingency Planning.* All applications defined by executive sponsors (or users' managers for local systems) as critical to their operations, must be supported by an up-to-date, tested contingency plan. NISS provides consulting support in this area.

f. *Risk Management.* All postal managers must assess the vulnerabilities and risks of both automated systems and sites in order to develop and implement cost-effective security measures. NISS consults and provides overall Postal Service policy on this program.

g. *Computer Security Awareness.* All employees must have awareness of their computer security responsibilities relative to the use of computers, automated systems, and information being processed. This includes the safeguarding of their logon IDs and passwords, the physical security of computer equipment, and the protection of sensitive information. NISS manages the security awareness program.

h. *Computer Security Technology Assessment.* The Postal Service must keep abreast of the changing computer security technology and make recommendations for the deployment of the new technology in a responsible manner. NISS evaluates and recommends security products for implementation.

i. *Personal Computers and Local Area Networks (LAN).* A security program has been implemented that provides basic security protection for personal computers and LAN systems at a level appropriate to their value to the Postal Service or because of statutory requirements. NISS provides guidelines and policy to support this program.

j. *Security Architecture.* A security architecture is required to protect Postal Service information processing systems containing sensitive information. NISS is responsible for managing and developing this architecture.

872.2 Postal Inspection Service

Complete descriptions of Postal Inspection Service responsibilities are provided in section 27. These responsibilities include:

a. *Personnel Security.* Clearances must be obtained for persons in sensitive positions. Management's responsibility is to ensure that data processing-related positions meet the security guidelines established by the Postal Inspection Service and that all information systems-related positions requiring sensitive clearances are identified and that clearances are kept current (see 272).

b. *Physical Security.* Computer equipment, data, facilities, and information must be safeguarded at a level appropriate to their value to the Postal Service or because of statutory requirements. The minimum-security requirements are found in Handbook RE-5, *Building and Site Security Requirements,* which is not all inclusive. The security control officer, who is not to be confused with an Information Systems security officer (see 271.3), is responsible for both physical security and personnel security. Due to a potential conflict of interest, an individual cannot be assigned both duties.

872.3 Office of Inspector General

Computer Security Audit, Investigation, Evaluation, and Review. The Office of Inspector General (OIG) is responsible for auditing postal information

systems and performs developmental audits of automated systems, audits of operational and financial systems, and environmental audits (see chapter 2 for details of responsibilities). The OIG is also responsible for conducting criminal investigations of attacks upon postal networks and computers. NISS performs operational security compliance reviews of computer systems and/or computer sites. NISS will provide audit and other support to the Office of Inspector General, as required.

872.4 Freedom of Information/Privacy Acts Officer (FOIPA)

The FOIPA officer assists records custodians, who are also the owners of the applications, to determine the sensitivity of their information and to comply with the Privacy Act when that Act applies. Under the category of *Automated Information Processing Security*, all information maintained on information processing equipment requires protection. Sensitive information requires a greater degree of protection. Installation heads and vice presidents must evaluate the information they intend to maintain on information processing equipment for its sensitivity. Security measures must also be developed to protect all sensitive information. The FOIPA officer provides assistance on the proper information classification and Privacy Act implications (e.g., legal notice in the *Federal Register*, if required).

88 Information Services

881 General

Corporate Information Services (CIS) establishes standards, procedures, processes, and policies for managing, publishing, and providing access to information via the Intranet, Internet, and paper. CIS publishes, collects, organizes, generates, and makes available historical, policy, procedural, governmental, and commercial information.

882 Corporate Publishing and Information Management

Corporate Publishing and Information Management is responsible for publishing, managing, and providing access to postal policy and procedures, regulations, instructions, and guidelines. Publishing and information management services include:

a. Managing the development, production, and hard copy and electronic distribution of postal directives.

b. Maintaining the Postal Service directives infrastructure, managing the flow of corporate directives, and managing information within and among the directives.

c. Publishing the biweekly *Postal Bulletin.*

883 Postal Service Corporate Library

The Postal Service Corporate Library is responsible for providing commonly used business and legal reference materials and information services required to assist with postal management decision-making. Corporate library services include:

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

b. Serving as a cost control center in the acquisition, organization, and maintenance of publications and for commercial electronic information required for postal personnel.

c. Providing library loan services for postal personnel and end-user access to commercial electronic subscription services for postal personnel.

d. Providing orientation and training to postal staff on effective search and retrieval of content from the Internet, Postal Service Intranet, and commercial electronic subscription services managed by the Library.

884 Postal History

Postal History researches and prepares papers on postal history and tradition. It manages the preservation and loan of historical artifacts and fine arts, maintains a collection of historic records for research purposes, and develops and maintains histories of local post offices, including lists of postmasters.

885 Internet Services

Internet Services is responsible for establishing standards, procedures, and policies for the dissemination of information via the World Wide Web (web), including information to the public over the global Internet and information to postal personnel over the Postal Service Intranet. Internet Services functions include:

a. Developing and maintaining the organizational structure for Postal Service web presences. Developing and publishing standards for web site technical considerations, access requirements, and style. Standards are documented and updated in Publication 147, *Web Standards Guide.*

b. Maintaining web home pages and common menu pages, ensuring the conformity of those pages to the Postal Service standards, and integrating them for maximum accessibility and business effectiveness. Providing an overall integrated structure to optimize usability across individual web pages.

c. Coordinating the implementation of services common to all web sites, including content management, searches, and usage statistics.

d. Acting as a registry for other postal web presences.

e. Serving as a liaison with other Information Systems and postal organizations to ensure that their web sites meet all technical, legal, and identity requirements.

f. Coordinating the development of web sites to ensure proper content and functionality integration, which includes performing quality assurance reviews, managing the review of new sites by the appropriate web oversight organizations, and activating sites upon completion of the review process.

g. Coordinating the use of the corporate information sharing systems.

886 Forms Management

Forms Management manages the corporate forms system. This includes establishing standards for the submission, review, and approval of forms, both paper and electronic. In addition, Forms Management evaluates the need for a form, analyzes data requirements, develops the form, and coordinates its availability with Material Distribution. The objectives for forms management include:

a. Analyzing requirements to ensure that proposed forms support appropriate programs.

b. Simplifying paperwork by developing easy-to-use forms.

c. Eliminating unnecessary forms by simplifying, consolidating, and standardizing existing forms.

d. Standardizing data elements for ease in collecting, processing, and retrieving data.

e. Facilitating forms automation in order to support streamlined business processes.

Appendix

Privacy Act Systems of Records

A. Explanation

This appendix has three 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 have information about individuals.

c. Section D provides a keyword index to the systems of records.

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
- .090 Customer Public Key Certificate Records, 010.090

020.000 Corporate Relations
- .010 Biographical Summaries of Management Personnel for Press Release, 020.010

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
- .050 Customer Electronic Document Preparation and Delivery Records, 040.050

050.000 Finance Records
- .005 Accounts Receivable Files, 050.005
- .010 Employee Travel Records (Accounts Payable), 050.010
- .020 Payroll System, 050.020
- .040 Uniform Allowance Program, 050.040
- .050 International Money Transfer Transaction and Inquiry Records, 050.050
- .060 Accounts Payable Files, 050.060

060.000 Consumer Protection Records
- .010 Fraud, False Representation, Lottery, and Nonmailability 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 and Employee Complaint Records, 070.040

080.000 Inspection Requirements
- .010 Investigative File System, 080.010
- .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
- .050 Localized Employee Administration Records, 100.050

110.000 Property Management
- .010 Accountable Property Records, 110.010
- .020 Possible Infringement of Postal Service 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 Nonbargaining Unit Employees, 120.036
.040 Employee Job Bidding Records, 120.040
.050 Employee Ideas 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
.091 Vehicle Operators Controlled Substance and Alcohol Testing Records, 120.091
.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
.154 Employee Survey Process System Records, 120.154
.170 Safe Driver Awards Records, 120.170
.180 Skills Bank (Human Resources Records), 120.180
.190 Supervisors' Personnel Records, 120.190
.210 Vehicle Maintenance Personnel and Operators Records, 120.210
.220 Arbitration Case Files, 120.220
.230 Adverse Action Appeals (Administrative Litigation Case Files), 120.230
.240 Garnishment Case Files, 120.240

140.000 Postage

.020 Postage Meter Records, 140.020

150.000 Records and Information Management Records

.010 Information Disclosure Accounting Records (Freedom of Information Act), 150.010
.015 Freedom of Information Act Appeals and Litigation Records, 150.015
.020 Information Disclosure Accounting Records (Privacy Act), 150.020
.025 Privacy Act Appeals and Litigation Records, 150.025
.030 Computer Logon ID Records, 150.030

160.000 Special Mail Services

.010 Domestic Insured, Registered, Collect on Delivery (COD), and Express Mail Claim and Inquiry Records, 160.010

.020 International Ordinary, Insured, Registered, and Express Mail Inquiry and Application for Indemnity Records, 160.020

170.000 Operational Data Collection System

.010 Workload/Productivity Management Records, 170.010

190.000 Litigation Records

.010 Miscellaneous Civil Action and Administrative Proceeding Case Files, 190.010

.020 National Labor Relations Board Administrative Litigation Case Files, 190.020

.030 Employee and Labor Relations Court Litigation Case Files, 190.030

200.000 Nonmail Monetary Claims

.010 Relocation Assistance Claims, 200.010

.020 Monetary Claims for Personal Property Loss or Damage Involving Present or Former Employees, 200.020

.030 Tort Claims Records, 200.030

210.000 Contractor Records

.010 Architect-Engineers Selection Records, 210.010

.020 Driver Screening System Assignment Records, 210.020

.030 Contractor Employee Fingerprint Records, 210.030

220.000 Marketing Records

.010 Marketing Data Base — Customer Records, 220.010

.020 Express Mail Service Customer Mailing List, 220.020

.030 Postal Product Sales and Distribution, 220.030

300.000 Inspector General's Records

.010 Investigative File System, 300.010

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 Postal Service employees 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 on 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 on 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 U.S. 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 plausibly 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.

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 about 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 individual 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 individual 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 individual 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 1614.

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 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 American Red Cross.

Categories of Records in the System

Records contain customer name, old address, new mailing address, mail forwarding instructions, effective date, information about whether the move is permanent or temporary, the customer's signature, and any records indicating that an address must be protected for reasons of personal safety.

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.

c. To provide address information to the American 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

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. The new address of a specific business or organization that has filed a permanent Change of Address (PS Form 3575, handwritten order, or an electronically communicated order) may be furnished to any individual on request.

   Note: The new address of an individual or family will not be furnished pursuant to this routine use, but only when authorized by one of the general routine uses listed above or one of the specific routine uses listed below.

2. Disclosure of any customer's new permanent address may be made from the National Change of Address file to customers seeking corrected addresses for their mailing lists. Copies of change of address orders may not be furnished.
3. Any customer's permanent change of address may be disclosed to a duly formed election board or registration commission using permanent voter registration. Copies of change of address orders may be furnished.
4. Any customer's 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. Any customer's 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 for a criminal investigation. A copy of the change of address order may be furnished.
6. Any customer's permanent or 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. Disclosure will be limited to the address of the specifically identified individual (not other family members or individuals whose names may also appear on the change of address order). A copy of the change of address order may not be furnished.
7. Any customer's change of address information may be disclosed to a jury commission or other court official, such as a judge or court clerk, for purpose of jury service. A copy of the change of address order may be furnished.

8. Disclosure of any customer's new permanent address may be made from the Computerized Forwarding System files to a mailer who has requested address correction service in the event that a mail piece cannot be delivered as addressed. A copy of the change of address order may 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 zone. 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 individuals 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

VICE PRESIDENT
OPERATIONS PLANNING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-7000

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
NATIONAL CUSTOMER SUPPORT CENTER
UNITED STATES POSTAL SERVICE
6060 PRIMACY PARKWAY
MEMPHIS TN 38188-0001

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 business use.

Categories of Records in the System

Records are in printed card form, or in an electronic database 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 authorized by boxholder to receive and/or pickup mail from a post office box.

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 nonbusiness 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 statement at the beginning of the Postal Service's published system notices and routine use Nos. 2, 3, 4, and 5 below apply to both business and nonbusiness 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 individual applying for a box in behalf of a holder, will be furnished to any individual on 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 duties. A copy of PS 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 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, on 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, on 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 (a) outside the United States and its territories, and (b) within the territorial

boundaries of the requesting foreign government. A copy of 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 file 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

VICE PRESIDENT
OPERATIONS PLANNING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-7000

VICE PRESIDENT CONTROLLER
FINANCE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-5200

Notification Procedure

Inquiries must be addressed to the local postmaster; requestors in person must identify themselves with a driver's license, military, government, or other form of identification.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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

Districts, post offices, and Information Systems Service 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 the 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 Accounting Service Center (PS Form 1839 information) — Destroy when 7 years old.

System Manager(s) and Address

VICE PRESIDENT
OPERATIONS PLANNING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-7000

VICE PRESIDENT CONTROLLER
FINANCE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-5200

Notification Procedure

A carrier wanting to inquire whether this system of records contains information about him or her or to gain access to information pertaining to him or her must direct an inquiry to the head of the facility where employed.

Inquiries must 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 must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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, area offices, districts, post offices, Information Systems Service 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

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 individuals 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 2 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 on 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

VICE PRESIDENT
OPERATIONS PLANNING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-7000

Notification Procedure

Inquiries must contain employee's name, Social Security number, and type of information being requested, and must be forwarded to post office of employment.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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

Districts and 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. Other routine uses are as follows:

1. Information may be disclosed for the purpose of identifying an address as an address of an agent to whom mail is delivered on behalf of other persons. This routine use does not authorize the

disclosure of the identities of persons on behalf of whom agents receive mail.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage

Preprinted forms kept in file cabinets.

Retrievability

Customer name.

Safeguards

Access is limited to postal employees in the delivery section.

Retention and Disposal

Records are kept until contract is terminated and then destroyed by shredding.

System Manager(s) and Address

VICE PRESIDENT
OPERATIONS PLANNING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-7000

Notification Procedure

Submit to local postmaster proof of personal identity.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Cosigners 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 about such individuals' 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 kept in locked file cabinets with access limited to those individuals 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

VICE PRESIDENT
OPERATIONS PLANNING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-7000

Notification Procedure

Customers wanting to know whether information about them is maintained in this system of records must address inquiries to their local postmasters. Inquiries must include full name and address.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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

Districts and post offices.

Categories of Individuals Covered by the System

Postal Service customers whose mailbox does not comply with Postal Service 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

Preprinted forms.

Retrievability

Route number.

Safeguards

Filed in cabinets with access limited to Postal Service personnel having an official need for access.

Retention and Disposal

Retained for 1 year after completed action and destroyed by shredding or burning.

System Manager(s) and Address

VICE PRESIDENT
OPERATIONS PLANNING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-7000

Notification Procedure

Individuals wanting to know whether this system of records contains information about them must contact the local postmaster, presenting identification showing name, address, and ZIP Code.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 delivery operations; area offices; districts; Information Systems Service Center; National Customer Support 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 (street name and number) address; and rural 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 street name and number if rural style 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.

c. To assist government planning authorities in converting rural addresses to locatable (street name and number) street addresses.

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 individuals 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 (street name and number) 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 (street name and number) 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 (street name and number) 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 individuals 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 1 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 2 years after discontinuance date.

c. Trip reports are retained for 3 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 2 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 1 year depending on the criticality of the information and then destroyed by shredding or burning.

System Manager(s) and Address

VICE PRESIDENT
OPERATIONS PLANNING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-7000

Notification Procedure

Customers wanting to know whether information about them is maintained in this system of records must address inquiries to their local postmaster. Inquiries must include full name and address. Employee inquiries must state employee name and Social Security number, route number, specify the type of information being requested, and must be forwarded to post office where employed. Customers wanting to know whether information about them is also maintained in the Locatable Address Conversion System (LACS) must address such inquiries to:

MANAGER
NATIONAL CUSTOMER SUPPORT CENTER
UNITED STATES POSTAL SERVICE
6060 PRIMACY PARKWAY STE 101
MEMPHIS TN 38188-0001

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 010.090

System Name

Collection and Delivery Records — Customer Public Key Certificate Records, USPS 010.090.

System Locations

Marketing, Headquarters, and Information Systems Service Center, San Mateo, CA.

Categories of Individuals Covered by the System

Business and individual postal customers who apply to receive a public key certificate.

Categories of Records in the System

The following information is kept with regard to customers who have applied for public key certificates from the Postal Service: name, address, phone number, electronic mail address, payment information, customer's public key(s), certificate serial numbers, customer's distinguished name, effective dates of authorized certificates, certificate algorithm, date of revocation or expiration of certificate, Postal Service-authorized digital signature, and information supplied by the customer to identify who may have access to public key data related to that customer.

Authority for Maintenance of the System

39 U.S.C. 403 and 404.

Purpose(s)

Information within this system is used to issue and manage public key certificates.

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 follow:

1. The X.509 certificate and public key associated with a records subject may be disclosed to persons who provide the associated

certificate number or distinguished name and who have not been denied access by the records subject.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage

Paper, automated database, and computer storage media.

Retrievability

Customer name, distinguished name, certificate serial number, and public key.

Safeguards

Hard copy records and computers containing information within this system of records are located in a building with entrance access controlled by guards and room access controlled by card readers. Information within the database is protected by a security architecture of several layers that includes an asynchronous gateway, network firewall, operating security system, and database software security architecture. Internal access to the database is limited to the system administrator, database administrator, and designated support personnel. Key pairs are protected against cryptanalysis by encrypting the private key and by using a shared secret algorithm to protect the encryption key, and the certificate authority key is stored in a separate, tamperproof, hardware device. Activities are audited and archived information is protected from corruption, deletion, and modification.

Retention and Disposal

a. *Pending Public Key Certificate Application Files.* These records are added as received to an electronic database. Move to authorized certificate file when they are updated with the required data. Destroy records not updated within 90 days from the date of receipt.

b. *Public Key Certificate Directory.* These records are maintained in an electronic database and are constantly updated. Destroy records as they are superseded or deleted.

c. *Authorized Public Key Certificate Master File.* These records are maintained in an electronic database for the life of the authorized certificate. Move to the certificate revocation file when certificate is revoked or expired.

d. *Public Key Certificate Revocation List.* Cut off this file at the end of each calendar year. Destroy these records 30 years from the date of cutoff.

System Manager(s) and Address

VICE PRESIDENT
TECHNOLOGY APPLICATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2403

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries in writing to the system manager. Inquiries must contain name and certificate serial number.

Record Access Procedures

Access must be requested in accordance with the Notification Procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification Procedure and Record Access Procedures above.

Record Source Categories

Customers.

USPS 020.010

System Name

Corporate Relations — Biographical Summaries of Management Personnel for Press Release, 020.010.

System Location

Office of Media Relations, Headquarters, Corporate Relations Service Centers (12 locations).

Categories of Individuals Covered by the System

Postal Service executives and managers to include vice presidents, district managers, select major city postmasters 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 and photographs. Summaries include present title and responsibility, length of service, 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, and 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 Corporate Relations offices where information is available only to individuals having a need for access.

Retention and Disposal

a. Biographical sketches maintained at area offices are retained while the individual is assigned within the Area. If individual is promoted to or assigned to a position within the Postal Service outside the area, biographical information is forwarded to the appropriate Corporate Relations office; if employment with the Postal Service is terminated, the sketch is destroyed by shredding.

b. Biographical sketches kept at Postal Service Headquarters are retained indefinitely.

System Manager(s) and Address

VICE PRESIDENT
CORPORATE RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-3100

Notification Procedure

Inquiries should contain name and position held and should be presented to the manager of Corporate Relations where currently, or previously, employed.

Record Access Procedures

Requests for access must 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

EEO Compliance & Appeals, Labor Relations, Headquarters; EEO Compliance and Appeals Processing Centers, area offices; districts; and contractor sites.

Categories of Individuals Covered by the System

Current and former postal employees, applicants for positions within the Postal Service, third-party complainants, and mediators (postal employees, other federal agency employees and contract employees).

Categories of Records in the System

Records may contain names, work locations, dates, Social Security numbers, the number of complaints and the resolution of complaints mediated, and other information as contained on affidavits, interview reports, investigative forms, counselor reports, exhibits, withdrawal notices, settlement agreements, 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. Also used by Human Resources personnel to administer voluntary alternative dispute resolution programs.

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/her 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 part 1614 and the contents of the requested records are needed by the investigator in the performance of his/her duty to investigate a discrimination issue involved in the complaint.
2. Information may be disclosed to a mediator retained by the Postal Service when needed to resolve an EEO complaint at the precomplaint stage.

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. Records of alternative dispute resolution are maintained in an electronic database.

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 area (or Headquarters), a letter designating the district, four digits for the chronological case number, and the last two digits of the applicable year.

Safeguards

Case files are maintained in secure 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

SENIOR VICE PRESIDENT
LABOR RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4100

Notification Procedure

Individuals interested in finding out if there is information in this records system pertaining to them should contact EEO officers at the districts, area office, or Headquarters level, giving complainant name, postal location, region, file number and year.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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

Labor Relations, Headquarters and districts.

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 the Postal Service Promotion 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.

1. Postal Service 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

SENIOR VICE PRESIDENT
LABOR RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4100

Notification Procedure

Inquiries must be addressed to the head of the facility where application was made. Inquiries must contain full name, position applied for, the date the Promotion Board met, and Social Security number.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See 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

Law Department, Postal Service Headquarters, and field offices; area offices and districts.

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 contain names, work locations, dates, Social Security numbers, and other information 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 about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information in the context of a particular case would be 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 having paper documents are kept in secure filing cabinets within secured buildings or areas under the general scrutiny of authorized personnel. Computer terminals and tape/disk files are 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

SENIOR VICE PRESIDENT
LABOR RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4100

Notification Procedure

Individuals wanting to determine whether this system of records has information about them must 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 must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasijudicial administrative action will be limited. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during 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 contain 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 the Postal Service.

c. Other individuals involved in the development of EEO litigation. Source documents contain 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 Postal Service 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 must continue to apply to the incorporated records.

USPS 040.010

System Name

Customer Programs — Memo to Mailers Address File, 040.010.

System Location

Corporate Relations, Postal Service Headquarters, National Customer Service Center (Memphis, TN), 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.

Safeguards

The list contractor is forbidden by contract to use the list for any other means than to produce mailing labels for the Postal Service.

Retention and Disposal

The master file is maintained indefinitely and is updated each month.

System Manager(s) and Address

VICE PRESIDENT
CORPORATE RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-3100

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries to the system manager and supply their name and address.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Subscribers, postmaster, Postal Service account representatives.

USPS 040.020

System Name

Customer Programs — Sexually Oriented Advertisements, 040.020.

System Location

Prohibitory Order Processing Center, Memphis, TN.

Categories of Individuals Covered by the System

Any adult who elects to have his or her name and address and that of his or her children under 19 years of age placed on the list of individuals who do not want 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 (SOAs), of individuals 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.

1. On payment of prescribed fee, records may also be used to provide mailers of sexually oriented advertisements with a list of individuals who do not want to receive SOAs.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage

CD-ROM, computer printouts, and preprinted forms.

Retrievability

Applicant's name and application case number.

Safeguards

Records are retained by the Prohibitory Order Processing Center, Memphis, TN 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 5 years.

b. Forms are retained until data have been computerized.

c. Paper records are destroyed by shredding; computer records are destroyed by erasing.

System Manager(s) and Address

VICE PRESIDENT
MARKETING SYSTEMS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2401

Notification Procedure

Customers will furnish the system manager their name, address, application number, and the date of filing.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 SOAs.

USPS 040.030

System Name

Customer Programs — Auction Customer Address File, 040.030.

System Location

Post offices having Dead Parcel Branches.

Categories of Individuals Covered by the System

Customers who want 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 want 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 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 records or magnetic disks.

Retrievability

Customer name.

Safeguards

Paper records and disks are kept in locked cabinets; automated data are password protected.

Retention and Disposal

Records are kept for 1 year after entry and then destroyed by deletion (if automated) or by shredding (if paper).

System Manager(s) and Address

VICE PRESIDENT
MARKETING SYSTEMS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2401

Notification Procedure

Customers wanting to know whether information about them is maintained in this system of records must address inquiries to the manager of the Dead Parcel Branch. Inquiries must contain full name and address.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 040.050

System Name

Customer Programs — Customer Electronic Document Preparation and Delivery Records, USPS 040.050.

System Location

Marketing, Headquarters; and Information Systems Service Center, San Mateo, CA.

Categories of Individuals Covered by the System

Customers who electronically request mail preparation and delivery service.

Categories of Records in the System

Name and address of customer requesting service, USPS-assigned order number, and billing information; address list provided by the customer.

Authority for Maintenance of the System

39 U.S.C. 403, 404.

Purpose(s)

To promote increased use of the mail by providing electronic document preparation and mailing services for customers.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses

Note: Mailing lists contained within this system are owned by the customer submitting the mailing list; consequently, no routine uses apply to these mailing lists.

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. 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 on 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.
3. 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.
4. 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

Name and address of customer will be automated during conversion and then stored off-line on magnetic media.

Retrievability

Postal Service-assigned job number and customer name and customer identification number.

Safeguards

Access to these records is limited to those persons whose official duties require such access. Access to automated records is restricted by the use of encryption technology, dedicated lines, and authorized access codes. Licensees who have access to information are required by the terms of the

license agreement to protect the information from unauthorized access; to limit its use to that provided by the license agreement; and to apply appropriate administrative and physical safeguards to protect the information.

Retention and Disposal

Records supporting a customer order will be destroyed 30 days from completion of order, unless maintained longer at customer's request. Disposal will be by data deletion from magnetic media.

System Manager(s) and Address

CHIEF MARKETING OFFICER & SENIOR VICE PRESIDENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2400

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries in writing to the system manager. Inquiries must contain name, customer identification number, address, and order number, if known.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is furnished by record subjects (customers) requesting the service.

USPS 050.005

System Name

Finance Records — Accounts Receivable Files, 050.005.

System Location

Information Service Centers (Minneapolis, San Mateo, and St. Louis), postal facilities, and contractor sites.

Categories of Individuals Covered by the System

Postal Service debtors such as the following: contractors who fail either to provide equipment, supplies, or services to the Postal Service as agreed or to

purchase property from the Postal Service as agreed; customers who have written checks returned by the bank; payees of money orders who make an erroneous payment, improper payment, or overpayment; employees or former employees who make an erroneous payment, improper payment, or overpayment; employees, former employees, or private parties who lose or damage Postal Service property through carelessness, negligence, or malice.

Categories of Records in the System

Debtor's name, address, telephone number, and social security number; invoice and other information relating to the amount, history, and status of the claim; information relating to due process notice; and records reflecting information obtained from or disclosed to consumer reporting or credit reporting agencies for purposes of recovering the debt.

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 Postal Service, 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 (OPM) 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.
4. Disclosure of information about individuals indebted to the Postal Service may be made to the Defense Manpower Data Center (DMDC) of the Department of Defense for conducting an

authorized computer matching program in compliance with the Privacy Act of 1974, as amended, for the purpose of identifying and locating such individuals in order to initiate collection of the debts under the Debt Collection Act of 1982 (Pub. L. 97–365) through salary and/or administrative offset procedures.

5. Disclosure of information about individuals indebted to the Postal Service may be made to any federal agency where the debtor is employed or receiving some form of remuneration for enabling that agency to collect the debt on behalf of the Postal Service by counseling to debtor for voluntary repayment, or by initiating administrative or salary offset procedures under the Debt Collection Act of 1982.
6. Disclosure of information about individuals indebted to the Postal Service may be made to the Internal Revenue Service (IRS) through computer matching to obtain the mailing address of a taxpayer for locating such taxpayer to collect a debt owed to the Postal Service pursuant to 26 U.S.C. 6103(m)(2) and in accordance with 31 U.S.C. 3711, 3717, and 3718.

   Note: Disclosure of a mailing address obtained from the IRS may be only for debt collection, including to a debt collection agency in order to facilitate the collection of a federal claim under the Debt Collection Act of 1982. A mailing address may be provided to a consumer reporting agency for the limited purpose of obtaining a commercial credit report on the individual taxpayer. Any such address information obtained from the IRS will not be used or shared for any other purpose by the Postal Service.
7. Disclosure of information about individuals indebted to the Postal Service may be made to the IRS for effecting income tax refund offset procedures against the debtor pursuant to 31 U.S.C. 3720A.
8. Disclosure of information about postal customers who write nonsufficient funds checks for postal services may be made to the permit holder or presenter of a mailing being made on the customer's behalf. Disclosure is limited to the identity of the customer, the date of the mailing, and the date and amount of the check.
9. Disclosure of information about individuals who are over 180 days delinquent in debts owed to the Postal Service may be made to the Department of the Treasury for cross-matching under its Treasury Offset Program. Disclosure will be limited to information needed to establish the identity of the individual as a payee of funds payable by another federal agency and to offset those funds by administrative offset.
10. Disclosure of information that a person is responsible for a claim which is current may be made to a consumer reporting agency or commercial reporting agency.
11. Disclosure of information about individuals from whom the Postal Service is attempting to collect or compromise a claim may be

made to consumer reporting agencies for the purpose of obtaining a consumer report as defined in the Fair Credit Reporting Act.

Disclosure to Consumer Reporting Agencies

Disclosures under 5 U.S.C. 552a(b)(12) may be made from this system to consumer reporting agencies as defined in the 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 or 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 4 years after claim is paid and then destroyed by burning or scratching.

System Manager(s) and Address

VICE PRESIDENT CONTROLLER
FINANCE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ 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 must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 Area Offices.

USPS 050.010

System Name

Finance Records — Employee Travel Records (Accounts Payable), 050.010.

System Location

Information Systems Service Center (San Mateo); Imprest Fund Offices; Personnel Offices; and contractor offices (travel agencies).

Categories of Individuals Covered by the System

Postal Service employees on official travel.

Categories of Records in the System

Travel vouchers and travel advances having 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

Preprinted 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

VICE PRESIDENT CONTROLLER
FINANCE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-5200

Notification Procedure

Requests for information must be presented to employee's Personnel Office furnishing name and Social Security number.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 organizational units, facilities, and certain contractor sites of the Postal Service. However, Minneapolis Information Systems Service Center is the main location 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 Postal Service employees, postmaster relief/replacement employees, and certain former spouses of current and former postal employees who qualify for Federal Employees Health Benefit Coverage under Pub. L. 98-615; and certain beneficiaries of former postal employees who qualify for the annuity protection program (APP) life insurance benefits.

Categories of Records in the System

General payroll information including retirement deductions, family compensations, benefit deductions, garnishment deductions, APP, annual leave exchange program, flexible spending account, 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, record of attendance, and other relevant payroll information. Also, includes automated Form 50 records.

Authority for Maintenance of the System

39 U.S.C. 401, 1003; 5 U.S.C. 8339 and Pub. L. 103-3.

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 Postal Service management and executive personnel to use in selection decisions and evaluation of training effectiveness. These records are examined by the selection committee and area vice presidents.

c. To compile various lists and mailing lists, e.g., Focus, Women's Programs Newsletter, etc.

d. To support Postal Service Personnel Programs such as Executive Leadership, Nonbargaining Position Evaluations, Evaluations of Probationary Employees, Merit Evaluations, Membership and Identification Listings, Emergency Locator Listings, Mailing Lists, and

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

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 Postal Service 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 Postal Service employees.
4. Employee Address File — For W-2 tax mailings, Flexible Spending Account, Combined Federal Campaign mailings, and postal mailings such as Postal Life, Focus, etc.
5. Salary payments and allotments to financial organizations — To provide relevant 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, temps and transitional employees). 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 (e.g., 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. Records or information from the record of an individual may be disclosed to the following agencies for the named programs, when requested by that individual agency or program, in connection with determining an individual's claim for benefits under such program: The U.S. Department of Labor for the Office of Workers' Compensation Program and the Fair Labor Standards Act; the Social Security Administration for Social Security Benefits programs (including retirement, survivors, and disability insurance); the Department of Veterans Affairs for the Pension Benefits Program; the Health Care Financing Administration for the Medicare Program; a branch of the Armed Services under military retired pay programs; and federal civilian employee retirement systems including, but not limited to, the Civil Service Retirement System or the Federal Employees Retirement 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 used 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. Certain information pertaining to postmasters may be transferred to the National Association of Postmasters of the USA and/or the National League of Postmasters of the USA.
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 individuals 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 insurance carriers sponsored by unions and/or management associations for the purpose of determining eligibility for coverage and payment of benefits under those nonfederal 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 nonfederal 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

nonfederal 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 semiannual 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 that the Postal Service considers necessary for identifying currently or recently terminated employees who have been arrested for violations of law that 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.

28. Records or information about group health plan coverage for career and certain temporary employees who have been identified by the Health Care Financing Administration (HCFA) as being eligible for Medicare benefits will be disclosed to HCFA, but disclosure will be limited to that necessary to confirm coverage and determine whether Medicare is the primary or secondary payer.
29. Disclosure of the information about current or recently terminated postal employees may be made to the Department of Transportation (DOT) under computer matching efforts but limited only to those data elements considered relevant to identifying individuals who appear in DOT's National Driver Register Problem Driver Pointer System. The matching results are used only to determine as a general matter whether commercial license suspension information within the pointer system would be beneficial in making selections of Postal Service motor vehicle and tractor-trailer operator personnel and will not be used for actual selection decisions.
30. 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 relevant to making a determination as to the proper reporting of income tax purposes of an employee's wages, expenses, compensation, reimbursement, and taxes withheld, and to taking corrective action as warranted.
31. Disclosure of limited information about current or former postal employees, who are identified through computer matching, may be made to the Department of Health and Human Services pursuant to 42 U.S.C. 653, Parent Locator Service, for further release to state child support enforcement agencies when needed for locating noncustodial parents in order to establish and/or enforce child support obligations and for locating parents who may be involved in parental kidnapping or child custody cases.
32. Disclosure of information about current or former postal employees may be made to the Department of the Treasury for approved computer matching efforts under its Treasury Offset Program. Disclosure will be limited to information needed to establish the identity of the employee as an individual owing a delinquent debt to another federal agency and to offset the salary of the employee to repay that debt.
33. Disclosure of information about current or former postal employees may be made to the Office of Child Support Enforcement, Administration for Children and Families, Department of Health and Human Services Federal Parent

Locator System (FPLS) and Federal Tax Offset System for locating individuals and identifying their income sources to establish paternity, establish and modify orders of support, and for enforcement action.

34. Disclosure of information about current or former postal employees may be made to the Social Security Administration for verifying social security numbers in connection with the operation of the FPLS by the Office of Child Support Enforcement.
35. Disclosure of information about current or former postal employees may be made to the Department of the Treasury for purposes of administering the Earned Income Tax Credit Program (Section 32, Internal Revenue Code of 1986) and verifying a claim with respect to employment in a tax return.

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 kept in locked filing cabinets and are protected by computer passwords and tape library physical security.

Retention and Disposal

a. Leave Application Files (Absence Control) and Unauthorized Overtime — Destroy when 3 years old.

b. Time and Attendance Records (other than payroll) and local payroll records — Destroy when 3 years old.

c. Information Service Center records retention — contact Information Service Center Payroll Systems or Manager, Post Office Accounting.

System Manager(s) and Address

VICE PRESIDENT CONTROLLER
FINANCE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-5200

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Request for information on this system of records must be made to the head of the facility where employed giving full name and Social Security number. Headquarters employees must submit requests to the system manager.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is furnished by employees, supervisors, the Postal Source Data System, and the Electronic Time Clock 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 Information Service Center, St. Louis, MO, and contractor facilities where necessary to perform uniform supply and postal purchasing card services.

Categories of Individuals Covered by the System

Postal Service Employees entitled to uniform allowances.

Categories of Records in the System

Name, Social Security number, home address; uniform code, designation code, and pay location; account balance and invoices and other information relating to the uniform item(s) purchase.

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.
3. Disclosure of information about current or former employees may be made to a financial institution under contract with the Postal Service to provide purchasing card services with respect to the purchase of uniform items.
4. Disclosure of information about current or former employees may be made to a distribution firm under contract with the Postal Service to provide fulfillment services with respect to the purchase of uniform items.

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 the 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

VICE PRESIDENT CONTROLLER
FINANCE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ 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 must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 050.050

System Name

Finance Records — International Money Transfer Transaction and Inquiry Records, USPS 050.050.

System Locations

Accounting service centers.

Categories of Individuals Covered by the System

Purchasers and payees of postal money order and money transfer services.

Categories of Records in the System

Name and address of purchaser, name and address of money order/money transfer payee, amount, country code, date of issue, place of issue, and identifying numbers such as list number, authorization number, serial number, and/or reference number.

Authority for Maintenance of the System

39 U.S.C. 401 and 404.

Purpose(s)

Information within this system is used to issue and track international postal money order and money transfer transactions and to respond to inquiries concerning the status of those transactions.

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 follow:

1. Information from this system may be disclosed to a Foreign Postal Administration or postal or financial institution which has entered into a reciprocal agreement with the Postal Service to exchange postal money orders.
2. Information from this system may be disclosed to a foreign entity under agreement with the Postal Service to distribute money order and transfer funds.
3. Information from this system may be disclosed to the purchaser or payee of a money order or money transfer in order to respond to an inquiry concerning the transaction.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage

Paper and computer storage media.

Retrievability

Name of purchaser, name of payee, authorization number, money order serial number, and reference number.

Safeguards

Hard copy records and computers containing information within this system of records are located in a building with controlled access. To gain access to the building and access to controlled areas within the building, individuals must have authorized badges and/or card keys. Computer systems are protected with an installed security software package, the use of computer log-on IDs, and operating system controls. Access is limited by those means to persons whose duties require such access.

Retention and Disposal

a. Money Order Inquiry Records — Cut off this file each calendar year and destroy three years from date of cutoff.

b. Money Transfer Transaction Record — Maintain for three years. Destroy by shredding (paper) or degaussing or electronic erasure (computer).

System Manager(s) and Address

VICE PRESIDENT, CONTROLLER
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-5200

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries in writing to the system manager. Inquiries must contain the authorization number for money orders and the reference number for money transfers.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification Procedure and Record Access Procedures above.

Record Source Categories

Purchasers and payees of money order and money transfer transactions and Foreign Postal Administrations and entities.

USPS 050.060

System Name

Finance Records — Accounts Payable Files, USPS 050.060.

System Locations

Post offices; accounting service centers; and Postal Service Headquarters, Washington, DC.

Categories of Individuals Covered by the System

Individuals or entities to whom the Postal Service owes, or makes payment to, for services or materials received. Payments relate to expenses incurred for rental of properties used by the Postal Service; job cleaning; reimbursement of carriers who use privately owned vehicles to deliver mail; procurement of employee uniforms; air, highway, and contract transportation services; indemnity claims made for damage or loss to certain classes of mail; employee travel; capital investments such as facility projects; mortgages on postal-owned properties; administrative tort claims; and various other equipment, supplies, and services procured by the Postal Service.

Categories of Records in the System

Name, address, and taxpayer identification number (or social security number) of creditor; amount, status, and history of the purchase or lease including invoices and control documents; and payment history including any adjustments.

Authority for Maintenance of the System

39 U.S.C. 401, 404, and 1206; Public Law 104-134.

Purpose(s)

Information within this system is used to verify charges for goods and services received; to assure charges are properly authorized and services and materials are delivered; to offset any delinquent debts the creditor owes to the federal government; and to promptly pay creditors.

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 follow:

1. Disclosure of information about individuals on whom the Postal Service has established accounts payable may be made to the Department of the Treasury for cross-matching under its Treasury Offset Program. Disclosure will be limited to information needed to establish the identity of the individual as a delinquent debtor of another federal agency and to offset the payment to pay the debt.
2. Disclosure of the name and address of the owner of leased property, or of the payee when different from the owner, may be made upon request.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage

Paper and computer storage media.

Retrievability

Name of creditor and taxpayer identification number (Social Security number, if an individual).

Safeguards

Hard copy records and computers containing information within this system of records are located in a building with controlled access. Access to the building and to controlled areas within the building is restricted by the use of guards and authorized badges and/or card keys. Computer systems are

protected with an installed security software package, the use of computer log-on IDs, and operating system controls. Access is limited by those means to persons whose duties require such access.

Retention and Disposal

a. See the following systems descriptions for retentions of accounts payable-related records: USPS 050.010; 050.040; 160.010; 160.020; 200.020; and 200.030.

b. *Stop Payment Cases.* Cut off the file at the end of each calendar year. Destroy 8 years from the date of cutoff.

c. *Notice of Remittances Received.* Cut off the file each fiscal year. Destroy 8 years from the date of cutoff.

System Manager(s) and Address

VICE PRESIDENT, CONTROLLER
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-5200

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries in writing to the system manager. Inquiries must contain the individual's name and taxpayer identification number (or social security number).

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification Procedure and Record Access Procedures above.

Record Source Categories

Information is furnished by Postal Service creditors, employees, supervisors, and accounting systems and by other federal agencies to whom the creditor is delinquently indebted. Some information may be duplicated in other Privacy Act systems of records including USPS 010.030, 050.010, 050.040, 160.010, 160.020, 200.020 and 200.030.

USPS 060.010

System Name

Consumer Protection Records — Fraud, False Representation, Lottery, and Nonmailability Case Records, 060.010.

System Location

Law Department, Postal Service Headquarters.

Categories of Individuals Covered by the System

Complainants; respondents and opposing parties in proceedings initiated under 39 U.S.C. 3001, 3002, and 3005 about the sending of false representations, lotteries, or nonmailable matter through the mails; postal attorneys; attorneys representing parties; subjects of investigation and assigned postal inspectors.

Note: In many instances, 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 about 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 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

about the nature, status, and disposition of the proceeding may be disclosed to any individual, unless it is determined that release of specific information in the context of a particular case would be 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 Postal Service 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 secure 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

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries to the above system manager. Inquiries must contain full name, name by which respondent in proceeding may have been designated, and approximate time in which proceedings may have been initiated.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasijudicial administrative action will be limited. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during 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

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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must continue to apply to the incorporated records.

USPS 060.020

System Name

Consumer Protection Records — Pandering Act Prohibitory Orders, 060.020.

System Location

Law Department, Postal Service Headquarters and field offices; and Prohibitory Order Processing Center (POPC), Memphis, TN.

Categories of Individuals Covered by the System

Addressees who request orders prohibiting further mailings to them by mailers of pandering 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 and the mail pieces upon which they are predicated, issued orders, signed return receipts from mailers receiving the orders, applications for the enforcement of the prohibitory orders, complaints issued to alleged violators and signed return receipts showing their delivery, notices to mailers that court action will be sought, pleadings, exhibits, briefs, investigative reports, hearing transcripts, material documents from POPC managers' case files; initial, tentative, and final administrative decisions and appeals from such decisions; requests to U.S. Attorneys for court actions enforcing violated orders, complaints and other documents filed in bringing such actions; and orders, opinions, and other documents issued by the courts.

Authority for Maintenance of the System

39 U.S.C. 3006, 39 CFR Part 963.

Purpose(s)

To process applications for orders prohibiting mailers of pandering advertisements from making further mailings to the applicants, to determine whether violations of such orders have occurred, and to terminate the violations. Used by Prohibitory Order Processing Center personnel to effect such processing and determining; and by Postal Service attorneys in proceedings to terminate violations of the antipandering statute, including administrative proceedings before the Judicial Officer Department, requests to U.S. Attorneys for court action, and in court enforcement proceedings.

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. To help mailers avoid repeated violations, records may be used to provide them with a list of individuals who have obtained prohibitory orders against them and applied for enforcement upon violation of those orders.
2. Copies of initial, tentative and final decisions rendered in administrative proceedings before the Judicial Officer Department 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 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 about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information in the context of a particular case would be 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 and in a computer data base. 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 individual requesting order.

Safeguards

Litigation files are stored in lockable file cabinets or rooms 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—Retained for 5 years following issuance of order or last application for enforcement.

System Manager(s) and Address

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries to the system manager. Inquiries must contain full name and address of the individual requesting the prohibitory order.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasijudicial administrative action will be limited. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during 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, mailers of pandering advertisements, Prohibitory Order Processing Center personnel, members of the Judicial Officer Department, and attorneys for the Postal Service and for the mailers.

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 Postal Service 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 must 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

Law Department, Postal Service Headquarters; Inspection Service.

Categories of Individuals Covered by the System

Individuals who appeal because of the withholding of their mail and attorneys representing such individuals.

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 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 about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information in the context of a particular case would be 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 secure filing cabinets under the 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 1 year after final disposition of case. Index cards are destroyed 6 months after final disposition of case.

System Manager(s) and Address

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries to the system manager. Inquiries must contain full name and address of the individual whose mail has been withheld and the approximate date of such withholdings.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasijudicial administrative action will be limited. 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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must 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

Law Department, Postal Service 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 individuals.

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 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 about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information in a particular case would be 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 kept in secure filing cabinets under the 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 1 year after final disposition of case. Index cards are destroyed 6 months after final disposition of case.

System Manager(s) and Address

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries to the system manager. Inquiries must contain full name and address of the individual whose service has been terminated and the approximate time period of its termination.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasijudicial administrative action will be limited. 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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must continue to apply to the incorporated records.

USPS 070.010

System Name

Inquiries and Complaints — Correspondence Files of the Postmaster General, 070.010.

System Location

Office of the Postmaster General, Postal Service Headquarters.

Categories of Individuals Covered by the System

Postal Service 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 U.S.C. 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. Records are 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 kept in locked filing cabinets under scrutiny of the postmaster general's secretary and in secured 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

OFFICE OF THE POSTMASTER GENERAL
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-0010

Notification Procedure

Inquiries must be addressed to the system manager and must contain full name, date of letter, and subject.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Individuals communicating with the postmaster general.

USPS 070.020

System Name

Inquiries and Complaints — Government Officials' Inquiry System, 070.020.

System Location

Government Relations, Postal Service 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 Postal Service 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 Postal Service 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

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 or 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

Optical disk/magnetic tape/disk records are kept for three years and then erased.

System Manager(s) and Address

SENIOR VICE PRESIDENT
GOVERNMENT RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-3500

Notification Procedure

Individuals wishing to know whether information about them is maintained in this system of records must address inquiries to the system manager. Inquiries must 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 must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 and Employee Complaint Records, 070.040

System Location

Consumer Advocate and Human Resources, Postal Service Headquarters; districts; post offices; the Information Systems Service Center in St. Louis, MO; and contractor sites.

Categories of Individuals Covered by the System

Postal Service customers and employees who have contacted the Postal Service with a suggestion or a problem, information request, or compliment.

Categories of Records in the System

Complaining individual's name and address; nature of the inquiry or complaint; assessment of concerns, findings, and recommendations; and resolution of same. Includes general correspondence and Consumer Service Cards about individuals' complaints/inquiries.

Authority for Maintenance of the System

39 U.S.C. 403, 404.

Purpose(s)

To process Postal Service customer and employee concerns and inquiries regarding mail services and other issues relating to the Postal Service.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses

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, magnetic tape, and WORM optical disk.

Retrievability

For correspondence and computerized complaint cards, by chronological sequence within subject category as derived from correspondence and the name of inquirer or complainant. Human Resources' records may also be retrieved by work location. For hard copy complaint cards, chronological by retrieval code and preprinted complaint card serial number, and at local offices, alphabetically by customer last name.

Safeguards

These are restricted files and are to be maintained in locked file cabinets in secured facilities, with access limited to personnel having an official need. Automated records are protected through computer password security.

Retention and Disposal

Destroy 3 years after resolution of the problem.

System Manager(s) and Address

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

VICE PRESIDENT AND CONSUMER ADVOCATE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2200

Notification Procedure

Customers wanting to know whether information about them is maintained in this system of records must address inquiries to the same facility to which they submitted their complaint. Inquiries about complaint cards must contain the date and card serial number.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedure

See Notification and Record Access Procedures above.

Record Source Categories

Postal Service customers and employees.

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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must continue to apply to the incorporated records.

USPS 080.010

System Name

Inspection Requirements — Investigative File System, 080.010.

System Locations

Office of the (1) Chief Postal Inspector, Headquarters; (2) Field Operations Support Groups; and (3) Inspectors-in-Charge (30 divisions).

Categories of Individuals Covered by the System

a. Subjects of investigations, unsolicited information, surveillance; complainants, informants, witnesses; and other individuals related to investigations.

b. Applicants and current and former Postal Service personnel and contractors and individuals providing information related to employment suitability checks on those individuals.

c. Applicants for and appointees to sensitive positions in the Postal Service and individuals 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, Field Operations Support Group, or 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 files 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 individual 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 (SOAs).* 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 SOAs can 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 must 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 Postal Service 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 state 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 about 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 Postal Service when such items are mailed (Title 18, United States Code, Section 42).
20. *Transportation of Water Hyacinths.* Applies to Postal Service when such items are mailed (Title 18, United States Code, Section 46).

21. *Arson Within Special Maritime and Territorial Jurisdiction.* Applies to arson of Postal Service facilities within this jurisdiction (Title 18, United States Code, Section 81).
22. *Assaulting, Resisting or Impeding Certain Officers or Employees.* Applies to Postal Service employees (Title 18, United States Code, Section 111).
23. *Assaults Within Maritime and Territorial Jurisdiction.* Applies to certain Postal Service facilities (Title 18, United States Code, Section 113).
24. *Maiming Within Maritime and Territorial Jurisdiction.* Applies to certain Postal Service 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 Postal Service employees (Title 18, United States Code, Section 115).
26. *Bribery of Public Officials and Witnesses.* Applies to Postal Service employees (Title 18, United States Code, Section 201).
27. *Compensation to Members of Congress, Officers, and Others in Matters Affecting the Government.* Applies to Postal Service 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 Postal Service employees in regard to making claims against the Postal Service (Title 18, United States Code, Section 205).
29. *Disqualification of Former Officers and Employees; Disqualification of Partners of Current Officers and Employees.* Covers postemployment and partnership restrictions applicable to the Postal Service (Title 18, United States Code, Section 207).
30. *Acts Affecting a Personal Financial Interest.* Prohibits Postal Service employees from making official decisions that affect personal finances (Title 18, United States Code, Section 208).
31. *Salary of Government Officials and Employees Payable Only by United States.* Applies to Postal Service 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 Postal Service appointments (Title 18, United States Code, Section 210).
33. *Acceptance or Solicitation to Obtain Appointive Public Office.* Prohibits improper influence in Postal Service appointments (Title 18, United States Code, Section 211).
34. *Void Transactions in Violation of Chapter; Recovery by the United States.* Allows recovery by Postal Service for violations of 18 U.S.C. 201–211 (Title 18, United States Code, Section 218).

35. *Civil Disorders.* Applies to unlawful conduct by Postal Service employees who engage in violence (Title 18, United States Code, Section 231).
36. *Taking or Using Papers Relating to Claims.* Applies to the Postal Service (Title 18, United States Code, Section 285).
37. *Conspiracy to Defraud the Government with Respect to Claims.* Applies to the Postal Service (Title 18, United States Code, Section 286).
38. *False, Fictitious or Fraudulent Claims.* Applies to the Postal Service (Title 18, United States Code, Section 287).
39. *False Claims for Postal Losses.* Prohibits false claims by Postal Service patrons (Title 18, United States Code, Section 288).
40. *Conspiracy to Commit Offense or Defraud United States.* Enforced by Postal Service 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 Postal Service employees (Title 18, United States Code, Section 372).
42. *Solicitation to Commit a Crime of Violence.* Applies to any violent crime against the Postal Service (Title 18, United States Code, Section 373).
43. *Officer or Employee Contracting with Member of Congress.* Prohibits Postal Service employees from contracting with Congress (Title 18, United States Code, Section 432).
44. *Mail Contracts.* Prohibits Postal Service employees from being interested in Postal Service contracts (Title 18, United States Code, Section 440).
45. *Postal Supply Contracts.* Prohibits Postal Service 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 the Postal Service (Title 18, United States Code, Section 494).
47. *Contracts, Deeds, and Powers of Attorney.* Concerns false mailing of above to defraud the Postal Service (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 Postal Service seals (Title 18, United States Code, Section 506).
54. *Transportation Requests of Government.* Covers certain prohibited conduct in regard to Postal Service 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 Postal Service employees (Title 18, United States Code, Section 603).
59. *Public Money, Property or Records.* Covers theft or embezzlement by Postal Service employees and outsiders of Postal Service 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 Postal Service employees for public funds (Title 18, United States Code, Section 643).
62. *Custodians, Generally, Misusing Public Funds.* Covers misuse of Postal Service funds by Postal Service officers (Title 18, United States Code, Section 648).
63. *Custodians Failing to Deposit Moneys; Persons Affected.* Covers misuses of public funds (Postal Service) by any individual charged with safekeeping (Title 18, United States Code, Section 649).
64. *Disbursing Officer Misusing Public Funds.* Covers misuse of public funds by Postal Service disbursing officers (Title 18, United States Code, Section 653).
65. *Officer or Employee of United States Converting Property of Another.* Covers Postal Service employees who do this (Title 18, United States Code, Section 654).

66. *Within Special Maritime and Territorial Jurisdiction.* Covers theft within certain Postal Service facilities (Title 18, United States Code, Section 661).
67. *Receiving Stolen Property Within Special Maritime and Territorial Jurisdiction.* Covers certain Postal Service facilities (Title 18, United States Code, Section 662).
68. *Solicitation or Use of Gifts.* Covers solicitation of personal gifts under official guise by Postal Service employees (Title 18, United States Code, Section 663).
69. *Official Badges, Identification Cards, Other Insignia.* Covers likenesses of Postal Service 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, 842 and 1716).
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 Postal Service employees (Title 18, United States Code, Section 872).
73. *Blackmail.* Applies to when threat and demand are mailed (Title 18, United States Code, Section 873).
74. *Kickbacks From Public Works Employee.* Applies to Postal Service 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 the Postal Service 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 Postal Service employees (Title 18, United States Code, Section 1001).

82. *Possession of False Papers to Defraud United States.* Covers Postal Service 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 Postal Service employees (Title 18, United States Code, Section 1018).
85. *Fraud and Related Activity in Connection with Identification Documents.* Self-explanatory. The Postal Service 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. The Postal Service investigates fraud relating to mailed devices (Title 18, United States Code, Section 1029).
87. *Fraud and Related Activity in Connection with Computers.* Self-explanatory. The Postal Service investigates fraud relating to the Postal Service (Title 18, United States Code, Section 1030).
88. *Murder.* Self-explanatory. The Postal Service investigates murder in postal facilities under special territorial jurisdiction (Title 18, United States Code, Section 1111).
89. *Manslaughter.* Self-explanatory. The Postal Service 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. The Postal Service investigates violations in postal facilities under special territorial jurisdiction (Title 18, United States Code, Section 1113).
91. *Protection of Officers and Employees of the United States.* Covers Postal Service employees (Title 18, United States Code, Section 1114).
92. *Conspiracy to Murder.* Applies when such actions involve Postal Service employees and certain facilities (Title 18, United States Code, Section 1117).
93. *Kidnapping.* Applies when such actions involve Postal Service officers and employees (Title 18, United States Code, Section 1201).
94. *Ransom Money.* Covers ransom under Section 1201 (Title 18, United States Code, Section 1202).
95. *Hostage Taking.* Applies when such actions involve Postal Service employees (Title 18, United States Code, Section 1203).
96. *Lotteries.* Covers any lottery activity by mail investigated by the Postal Service (Title 18, United States Code, Sections 1301, 1302, 1303, 1305, 1306, 1307).

97. *Frauds and Swindles.* Covers mail fraud (Title 18, United States Code, Section 1341).
98. *Fictitious Name or Address.* Concerns false name or address filed with the Postal Service (Title 18, United States Code, Section 1342).
99. *Fraud by Wire, Radio, or Television.* Self-explanatory. Can be used with a mail fraud prosecution (Title 18, United States Code, Section 1343).
100. *Bank Fraud.* Self-explanatory. Can be used with mail fraud prosecution (Title 18, United States Code, Section 1344).
101. *Injunctions Against Fraud.* Self-explanatory. Can be used in mail fraud cases (Title 18, United States Code, Section 1345).
102. *Government Property or Contracts.* Covers malicious mischief against the Postal Service (Title 18, United States Code, Section 1361).
103. *Buildings or Property Within Special Maritime and Territorial Jurisdiction.* Covers destruction or injury of Postal Service buildings in this category (Title 18, United States Code, Section 1363).
104. *Mailing Obscene or Crime-Inciting Matter.* Covers mailed pornography or other vile material (Title 18, United States Code, Section 1461).
105. *Importation or Transportation of Obscene Matters.* Covers mailed items originating outside the United States (Title 18, United States Code, Section 1462).
106. *Mailing Indecent Matter on Wrappers or Envelopes.* Covers visible mailed obscene material (Title 18, United States Code, Section 1463).
107. *Transportation of Obscene Matters for Sale or Distribution.* Covers mailed items (Title 18, United States Code, Section 1465).
108. *Criminal Forfeiture.* Covers obscene material (Title 18, United States Code, Section 1467).
109. *Assault on Process Service.* Covers Postal Service Inspectors (Title 18, United States Code, Section 1501).
110. *Influencing or Injuring Officer or Juror Generally.* Covers mailed communications (Title 18, United States Code, Section 1503).
111. *Obstruction of Proceedings Before Departments, Agencies, and Committees.* Covers mailed threats and communications (Title 18, United States Code, Section 1505).
112. *Obstruction of Criminal Investigations.* Covers Postal Service investigations (Title 18, United States Code, Section 1510).
113. *Obstruction of State or Local Law Enforcement.* Self-explanatory (Title 18, United States Code, Section 1511).

114. *Tampering with a Witness, Victim, or an Informant.* Self-explanatory (Title 18, United States Code, Section 1512).
115. *Retaliating Against a Witness, Victim, or an Informant.* Self-explanatory (Title 18, United States Code, Section 1513).
116. *Laws Governing Postal Savings.* Protects public moneys sent by mail (Title 18, United States Code, Section 1691).
117. *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).
118. *Carriage of Mail Generally.* Concerns carriage of letters contrary to law (Title 18, United States Code, Section 1693).
119. *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).
120. *Carriage of Matter Out of Mail on Vessels.* Covers letters on which postage has not been paid (Title 18, United States Code, Section 1695).
121. *Private Express for Letters and Packets.* Covers private carriage of letters (Title 18, United States Code, Section 1696).
122. *Transportation of Persons Acting as Private Express.* Covers a carrier assisting a private express carrier (Title 18, United States Code, Section 1697).
123. *Prompt Delivery of Mail from Vessel.* Concerns timely delivery of letters to post office by vessels passing between ports or places in the United States (Title 18, United States Code, Section 1698).
124. *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).
125. *Desertion of Mails.* Concerns Postal Service employee deserting mail in its custody (Title 18, United States Code, Section 1700).
126. *Obstruction of Mails Generally.* Concerns obstructing or retarding passage of mail (Title 18, United States Code, Section 1701).
127. *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).
128. *Delay or Destruction of Mail or Newspapers.* Prohibits delaying, destruction, or opening of mail before delivery (Title 18, United States Code, Section 1703).
129. *Keys or Locks Stolen or Reproduced.* Prohibits theft, unauthorized possession, or reproduction of certain Postal Service keys and locks (Title 18, United States Code, Section 1704).
130. *Destruction of Letter Boxes or Mail.* Prohibits destruction or vandalizing of mail receptacles (Title 18, United States Code, Section 1705).

131. *Injury to Mail Bags.* Prohibits breaking into mail bags with intent to steal or render insecure (Title 18, United States Code, Section 1706).
132. *Theft of Property Used by the Postal Service.* Prohibits theft or appropriation of Postal Service property (Title 18, United States Code, Section 1707).
133. *Theft or Receipt of Stolen Mail Matter Generally.* Prohibits theft or unauthorized possession of mail before delivery (Title 18, United States Code, Section 1708).
134. *Theft of Mail Matter by Officer or Employee.* Prohibits theft or unauthorized possession of mail before delivery by Postal Service employees (Title 18, United States Code, Section 1709).
135. *Theft of Newspapers.* Prohibits theft of newspapers from mail by Postal Service employees (Title 18, United States Code, Section 1710).
136. *Misappropriation of Postal Funds.* Prohibits unauthorized use or theft of funds by Postal Service employees (Title 18, United States Code, Section 1711).
137. *Falsification of Postal Returns to Increase Compensation.* Prohibits Postal Service employees from making false entries to increase their compensation (Title 18, United States Code, Section 1712).
138. *Issuance of Money Orders Without Payment.* Prohibits Postal Service employees from issuing money orders without having previously received payment therefor (Title 18, United States Code, Section 1713).
139. *Foreign Divorce Information as Nonmailable.* Prohibits the mailing of foreign divorce information (Title 18, United States Code, Section 1714).
140. *Firearms as Nonmailable.* Prohibits mailing of concealable firearms except between certain individuals (Title 18, United States Code, Section 1715).
141. *Injurious Articles as Nonmailable.* Prohibits a wide variety of articles from being mailed (Title 18, United States Code, Section 1716).
142. *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).
143. *Nonmailable Plants.* Self-explanatory (Title 18, United States Code, Section 1716B).
144. *Forged Agricultural Certifications.* Prohibits forging or counterfeiting agricultural certifications (Title 18, United States Code, Section 1716C).
145. *Letters and Writings as Nonmailable; Opening Letters.* Prohibits the mailing of certain types of letters (Title 18, United States Code, Section 1717).

146. *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).
147. *Franking Privilege.* Prohibits the unauthorized use of official envelopes (Title 18, United States Code, Section 1719).
148. *Canceled Stamps and Envelopes.* Prohibits reuse of used postage or selling of same to be used again (Title 18, United States Code, Section 1720).
149. *Sale or Pledge of Stamps.* Prohibits misuse of postage stamps (Title 18, United States Code, Section 1721).
150. *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).
151. *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).
152. *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).
153. *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).
154. *Postage Collected Unlawfully.* Prohibits collection of postage at a greater rate than authorized by law (Title 18, United States Code, Section 1726).
155. *Weight of Mail Increased Fraudulently.* Prohibits fraudulent weighting to increase compensation of carrier (Title 18, United States Code, Section 1728).
156. *Post Office Conducted Without Authority.* Prohibits conducting a business as a post office without proper authority (Title 18, United States Code, Section 1729).
157. *Uniforms of Carriers.* Prohibits unauthorized wearing of mail carrier uniforms (Title 18, United States Code, Section 1730).
158. *Vehicles Falsely Labeled as Carriers.* Prohibits unauthorized marking of vehicle as mail carrier (Title 18, United States Code, Section 1731).
159. *Approval of Bond or Sureties by Postmaster.* Concerns requirements for proper bond approval (Title 18, United States Code, Section 1732).
160. *Mailing Periodical Publications Without Prepayment of Postage.* Prohibits mailing publications without previous payment of postage (Title 18, United States Code, Section 1733).
161. *Editorials and Other Matter as Advertisements.* Prohibits improper use of second-class mail (Title 18, United States Code, Section 1734).

162. *Sexually Oriented Advertisements.* Prohibits mailing 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).
163. *Restrictive Use of Information.* Concerns use of information gathered under 39 U.S.C. 3010 (Title 18, United States Code, Section 1736).
164. *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).
165. *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).
166. *Transportation or Importation.* Concerns transport in interstate commerce of goods manufactured by convicts or prisoners (Title 18, United States Code, Section 1761).
167. *Marking Packages.* Concerns marking of packages described in Section 1761 (Title 18, United States Code, Section 1762).
168. *Transportation of Dentures.* Concerns transport of artificial teeth made by individual other than licensed dentist (Title 18, United States Code, Section 1821).
169. *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).
170. *False Statement to Obtain Unemployment Compensation.* Self-explanatory (Title 18, United States Code, Section 1919).
171. *False Statement to Obtain Federal Employee's Compensation.* Self-explanatory (Title 18, United States Code, Section 1920).
172. *Receiving Federal Employees' Compensation After Marriage.* Self-explanatory (Title 18, United States Code, Section 1921).
173. *False or Withheld Report Concerning Federal Employees' Compensation.* Self-explanatory (Title 18, United States Code, Section 1922).
174. *Fraudulent Receipt of Payments of Missing Persons.* Self-explanatory (Title 18, United States Code, Section 1923).
175. *Interstate and Foreign Travel or Transportation in Aid of Racketeering Enterprises.* (Title 18, United States Code, Section 1952.)
176. *Interstate Transportation of Wagering Paraphernalia.* (Title 18, United States Code, Section 1953.)
177. *Laundering of Monetary Instruments.* (Title 18, United States Code, Section 1956.)

178. *Engaging in Monetary Transactions in Property Derived from Specified Unlawful Activity.* (Title 18, United States Code, Section 1957.)
179. *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).
180. *False Entries and Report of Moneys or Securities.* Prohibits federal employee charged with record/account keeping from making false entry (Title 18, United States Code, Section 2073).
181. *Personal Property of United States.* Concerns robbery of personal property belonging to the United States (Title 18, United States Code, Section 2112).
182. *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).
183. *Post Office.* Concerns forcible entry into post office with intent to commit larceny or other depredation (Title 18, United States Code, Section 2115).
184. *Railway or Steamboat Post Office.* Prohibits entry by violence (Title 18, United States Code, Section 2116).
185. *Robberies and Burglaries Involving Controlled Substances.* Self-explanatory (Title 18, United States Code, Section 2118).
186. *Assault or Resistance.* Concerning assault on or resistance to individuals authorized to serve search warrants (Title 18, United States Code, Section 2231).
187. *Additional Statutes Dealing with the Destruction or Rescue of Seized Property, Searches That 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).
188. *Sexual Exploitation of Children.* Self-explanatory (Title 18, United States Code, Section 2251).
189. *Selling or Buying of Children.* Self-explanatory (Title 18, United States Code, Section 2251A).
190. *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).
191. *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).
192. *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).

193. *Recordkeeping Requirements.* (Title 18, United States Code, Section 2257.)
194. *Transportation of Stolen Goods, Securities, Moneys, Fraudulent State Tax Stamps or Articles Used in Counterfeiting.* (Title 18, United States Code, Section 2314.)
195. *Sales or Receipt of Stolen Goods, Securities, Moneys, or Fraudulent State Tax Stamps.* (Title 18, United States Code, Section 2315.)
196. *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).
197. *Criminal Infringement of a Copyright.* Self-explanatory (Title 18, United States Code, Section 2319).
198. *Trafficking in Counterfeit Goods or Services.* Applies to subject trafficking while using the mails (Title 18, United States Code, Section 2320).
199. *Trafficking in Certain Motor Vehicles or Motor Vehicle Parts.* Self-explanatory (Title 18, United States Code, Section 2320).
200. *Wire Interception and Interception of Oral Communications.* Applies to electronic surveillance statutes (Title 18, United States Code, Sections 2510–2520).
201. *Powers of Postal Personnel.* Covers powers of postal personnel to serve warrants and subpoenas and make arrests (Title 18, United States Code, Section 3061).
202. *Statutes Concerning the Procedures for Searches and Seizures.* Self-explanatory (Title 18, United States Code, Sections 3101–3116).
203. *Protection of Witnesses.* Self-explanatory (Title 18, United States Code, Sections 3521–3528).
204. *False Claims.* Concerns civil penalty when false claims are made (Title 31, United States Code, Section 3729).
205. *Civil Actions for False Claims.* The Attorney General may bring a civil action under this section (Title 31, United States Code, Section 3730).
206. *Reports on Domestic Coins and Covering Transactions.* (Title 31, United States Code, Section 5313.)
207. *Structuring Transactions to Evade Reporting Requirement Prohibited.* (Title 31, United States Code, Section 5324.)
208. *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).
209. *Fraudulent Use of Credit Cards.* Self-Explanatory (Title 15, United States Code, Section 1644).

210. *Various Statutes Dealing with the Protection of Federal Property, Including Postal Service 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).
211. *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).
212. *Anabolic Steroids.* (Title 21, United States Code, Section 333(e).)
213. *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).
214. *Prohibited Acts C.* Applies to unlawful acts involving controlled substances (Title 21, United States Code, Section 843(b)).
215. *Penalty for Simple Possession.* (Title 21, United States Code, Section 844.)
216. *Attempt and Conspiracy.* (Title 21, United States Code, Section 846.)
217. *Drug Paraphernalia.* Makes use of Postal Service for sale of drug unlawful. Self-explanatory (Title 21, United States Code, Section 863).
218. *Forfeitures.* (Title 21, United States Code, Section 881.)
219. *Importation of Controlled Substances.* Self-explanatory (Title 21, United States Code, Section 952).
220. *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. When conducting any official investigation or during 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 involved 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 under 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 about 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 or returning a fugitive to a jurisdiction that seeks that individual's return.

11. To provide members of the American Insurance Association Index System with certain information relating to accidents and injuries and/or other types of investigations.
12. A record from this system may be disclosed on an electronic bulletin board to organizations or individuals in the public or private sectors that share in the bulletin board, provided that the disclosure is approved by the Chief Postal Inspector, or delegate, because it is deemed necessary: (1) To elicit information or cooperation from these organizations or individuals for use by the Postal Inspection Service in the performance of an authorized activity; or (2) to alert those organizations or individuals of possible criminal activity that could affect them for which the Postal Inspection Service has authority to investigate and about which it has obtained credible information.

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 and fingerprint image 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 on 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 PLZ SW
WASHINGTON DC 20260-2100

Notification Procedure

Individuals wanting to know whether information about them is in this system of records or if they were the subject of an investigation must furnish the system manager sufficient identifying information to distinguish them from other individuals of like name; identifying data will contain date of birth, name, address, type of investigation, dates, places, and the individual's involvement.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Personal interviews, written inquiries, and other records about individuals 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 established regulations at 39 CFR 266.9 that exempt information contained in this system of records from various provisions of the Privacy Act depending on 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 — Under 5 U.S.C. 552a(j)(2), information compiled for this purpose is exempt from all 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. Noncriminal investigatory — material compiled for law enforcement purposes (and not exempted by 5 U.S.C. 552a(j)(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 Division Postal Inspectors-in-Charge

See Exhibit 221.1.

USPS 080.020

System Name

Inspection Requirements — Mail Cover Program Records, 080.020.

System Location

Chief Postal Inspector, Postal Service Headquarters; Field Operation Support Groups and Divisional 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 that is punishable by imprisonment for a term exceeding 1 year.

Categories of Records in the System

Names and addresses of individuals, interoffice memoranda, 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 under 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 are 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 that involve national security are 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 nonremovable tape/disk files are in a secured area, and access is further restricted by computer password and keylock.

Retention and Disposal

a. Corresponding Files — Destroy 5 years after mail cover terminates.

b. Investigations (C) — Transfer to FRC when 2 years old; destroy when 5 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 PLZ SW
WASHINGTON DC 20260-2100

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 and current address, together with previous addresses for past five years when applicable.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 on 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 Records System, 080.030.

System Locations

Purchasing, Engineering, and Inspection Service, Postal Service 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 Postal 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, and dates of court appearances.

Authority for Maintenance of the System

39 U.S.C. 401(2) and 40 U.S.C. 318, annually made applicable to the Postal Service by general provisions of the Treasury, Postal Service, and General Government Appropriations Act.

Purpose(s)

To provide Postal Service 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.

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 kept in limited access Security Force Control Centers manned 24 hours and at Postal Service Headquarters, in locked filing cabinets under scrutiny of authorized personnel. Computer terminals and tape/disk files are in a secured area.

Retention and Disposal

Records are kept for 2 years and then destroyed. Some records may be retained longer when required for law enforcement investigations or court proceedings. Automated printouts are destroyed when generating updated printouts.

System Manager(s) and Address

CHIEF POSTAL INSPECTOR
INSPECTION SERVICE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2100

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must furnish name and residence address as follows:

a. For National Headquarters:

INSPECTOR-IN-CHARGE
WASHINGTON DIVISION
PO BOX 96096
WASHINGTON DC 20066-6096

b. For the Field: Inspector-in-Charge, USPS appropriate field division.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Individual violators, Postal Police Officers, personnel observation, state motor vehicle registration bureau, Postal Service Personnel Department, supervisory personnel of tenant firms, Postal Service 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

Nonmail Services — Passport Application Records, 090.020.

System Location

One thousand thirty-five (1,035) Post Offices in all states except New Jersey.

Categories of Individuals Covered by the System

Individuals 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.

1. Records may also be transferred to the U.S. Department of State.

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 kept in file cabinets with access restricted to Accounting Unit personnel.

Retention and Disposal

Passport applications are mailed on the day of acceptance with fees and documentation. Destroy original and carbon copy of PS 5659 when 4 months old.

System Manager(s) and Address

VICE PRESIDENT
OPERATIONS PLANNING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-7000

Notification Procedure

Customers wanting to know whether information about them is in this system of records must address inquiries to the postmaster of the post office where a passport application was made. Inquiries must contain full name and date of application.

Note: The original case file is maintained by the 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 must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 Record System.

System Location

Facilities, Headquarters, and various field installations.

Categories of Individuals Covered by the System

Postal Service employees, students/conferees, building tenants, individuals who are members of carpools with Postal Service employees and other individuals who use postal parking facilities.

Categories of Records in the System

Applications, registration forms, letters of violations, letters of suspensions and payment data. Information in these records contain 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 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 also be made to provide any employee of Postal Service Headquarters who desires to join or establish a carpool with a listing of employees who live in his or 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 with paper documents are kept in locked file cabinets to which only authorized personnel have access. Computer equipment is in a 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 kept in application case files — Destroy violation notice when 1 year old.

f. Medical files kept 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

VICE PRESIDENT
FACILITIES
UNITED STATES POSTAL SERVICE
4301 WILSON BLVD STE 300
ARLINGTON VA 22203-1861

Notification Procedure

Employees wanting to know whether information about them is maintained in this system of records must address inquiries to the system manager where carpool/parking services are provided to him or her.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Carpool and parking service applicants/users.

USPS 100.050

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 with the generation of a subsequent more current list.

System Manager(s) and Address

Facility head.

Notification Procedure

Inquiries must contain employee's name and be addressed to the System Manager.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 Postal Service 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 the individual when accountability is terminated. Automated printouts are destroyed when generating updated printouts.

System Manager(s) and Address

CHIEF POSTAL INSPECTOR
INSPECTION SERVICE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2100

VICE PRESIDENT
FACILITIES
UNITED STATES POSTAL SERVICE
4301 WILSON BLVD STE 300
ARLINGTON VA 22203-1861

Notification Procedure

Employees wanting to know whether information about them is maintained in the system must address inquiries to the custodian in the facility where assignment was made. Headquarters employees must submit request to the system manager.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 Postal Service Intellectual Property Rights, 110.020.

System Location

Office of Patent Counsel, Corporate Law Section, Law Department, Postal Service Headquarters.

Categories of Individuals Covered by the System

Possible infringers of Postal Service copyrights and trademarks; inventors of proposed devices in which the Postal Service 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 Postal Service rights in intellectual property or patents.

Authority for Maintenance of the System

39 U.S.C. 401(5).

Purpose(s)

To protect Postal Service intellectual properties and patents by ensuring 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 under 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 relevant 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 relevant in any proceeding involving the registration of Postal Service copyrights.

6. Information 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 about the nature, statute, and disposition of the proceeding, may be disclosed to any individual, unless it is deemed that release of specific information in a particular case would be 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 secure file cabinets in original, typed, printed, or handwritten form. Index cards, kept in a card file, are filed by Postal Service 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 Postal Service copyright or trademark; patent application files are retrieved by name of inventor.

Safeguards

Secure file cabinets under the 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

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

An individual wanting to determine whether this system of records has information about him or her must write to the system manager and provide his or her full name and, if known, the pertinent Postal Service copyright, trademark, or patent.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasijudicial administrative action will be limited. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during 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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must continue to apply to the incorporated records.

USPS 120.020

System Name

Personnel Records — Blood Donor Records, 120.020.

System Location

Health Units at Postal Service Facilities; District Chapters of the American Red Cross.

Categories of Individuals Covered by the System

Postal Service employees who volunteer to join the Postal Service 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 Postal Service 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.

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 5 years after termination of employment and then destroyed by shredding.

System Manager(s) and Address

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Employees wanting to know whether information about them is maintained in this system of records must address inquiries to the head of the facility where employed. Headquarters employees must submit requests to the system manager. Inquiries must include full name.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 Postal Service facility.

Categories of Individuals Covered by the System

All employees that experience an on-the-job accident 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 illnesses; and to make information available to the Secretary of Labor on his or her request.
2. Disclosure may be made to a court, claimant, party in litigation–or counsel for a claimant or party when necessary to mitigate settlement or attempts at settlement of claims involving the accident.
3. May be disclosed 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.
4. Disclosure may be made to the American Insurance Association Index System and its members, when necessary to obtain information from the System that may be relevant to a reported postal job-related accident, injury, or illness. Disclosure will be limited to the name, occupation, home address, date and place of accident, nature of injury, and type of claim, if applicable.

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

Kept 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 Headquarters for 5 years following the end of the calendar year to which they relate as required by OSHA.

System Manager(s) and Address

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Employees wanting to know whether information about them is maintained in this system of records must address inquiries to the head of the facility where employed. Headquarters employees must submit requests to the system manager. Inquiries must contain full name, address, finance number, and Social Security number.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Postal Service 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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must continue to apply to the incorporated records.

USPS 120.036

System Name

Personnel Records — Discipline, Grievance, and Appeals Records for Nonbargaining Unit Employees, 120.036.

System Location

All postal facilities.

Categories of Individuals Covered by the System

Records are maintained on nonbargaining 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 6 months of continuous service in the U.S. Postal Service or a minimum of 12 months of combined service, without break of a workday, in positions in the same line of work in the Civil Service and the U.S. Postal Service, unless any part of such service was under 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, area office 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 and 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 or refer to a court in a civil suit.
2. To adjudicate an appeal, complaint, or grievance.
3. Records from the employee file will be disclosed to the Merit Systems Protection 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

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ 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 must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must 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 Postal Service.

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

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

The employee must state the position of bid and identify himself or 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 must submit requests to the system manager.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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, and successful bidders notices from vacant duty assignment postings.

USPS 120.050

System Name

Personnel Records — Ideas Program, Employee Records, 120.050.

System Location

Postal Service Headquarters, area offices, and Information Systems Service Centers.

Categories of Individuals Covered by the System

Postal Service employees.

Categories of Records in the System

Name of employee, employee number, employment location, idea number, idea proposal and decision. If adopted, award authorization 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 Ideas program that 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.

1. Disclosure may also be made to the news media from the record of an individual regarding his or 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, area where employed, pay location, and district.

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 Ideas:

(1) Record copies — Destroy when 4 years old.

(2) All other copies — Destroy 2 years from date of adoption or approval.

b. Ideas not adopted — Destroy 2 years from date of disapproval. Records are destroyed by shredding and automatic deletion from computer tapes.

System Manager(s) and Address

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ 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 whose ideas 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 must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is obtained from the individual submitting the idea proposal.

USPS 120.060

System Name

Personnel Records — Confidential Financial Disclosure Reports, 120.060.

System Location

Records pertaining to employees in each organizational component of the Postal Service are maintained in the field by managing field counsel and at Headquarters by the vice president having jurisdiction for that component.

Note: The records in this system are part of a government-wide system, OGE/GOVT-2, that is managed by the U.S. Office of Government Ethics. See 55 Fed. Reg. 6330 (1990).

Categories of Individuals Covered by the System

Postal Service Governors, employees, and special employees (except employees who are required to file public financial disclosure reports) as

determined by the criteria in Executive Orders 12674 and 12731 and implemented by regulations of the U.S. Office of Government Ethics, 5 CFR 2634.904.

Categories of Records in the System

Standard Form 450, *Executive Branch Personnel Confidential Financial Disclosure Report* (superseding PS Forms 2417 and 2418) and supplemental statements, containing employee name, title, date of appointment to present position; list of assets and sources of income other than the United States Government, liabilities, outside positions, relations with other employers, and gifts and reimbursements. Opinions of counsel. Other information related to review of reports and conflict of interest determinations. Postal Service Governors complete Standard Form 278 in lieu of SF 450.

Authority for Maintenance of the System

Section 107 of the Ethics in Government Act, 5 U.S.C. App., as amended; Executive Orders 12674 and 12731; 5 C.F.R. 2634.

Purpose(s)

These records are maintained to meet requirements of Executive Order 12674 on the filing of confidential financial disclosure reports. Such reports 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 or her representative, of the Office of Government Ethics.
2. Records or information may be provided on request to the Executive Office of the President when needed in connection with the nomination of presidential appointees.
3. Records or information may be disclosed to any source when necessary to obtain information relevant to a conflict-of-interest investigation or determination.

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 secure 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 6 years, or longer if needed in connection with a pending investigation. Disposal is by shredding or burning.

System Manager(s) and Address

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

An employee wanting to inquire whether this system of records contains information about him or her or to gain access to information pertaining to him or her must direct an inquiry to the head of the facility where employed. Headquarters employees must submit requests to the system manager. Inquiries must contain full name and place of employment.

Record Access Procedures

See Notification Procedure above. Individuals requesting access must also comply with Postal Service' Privacy Act regulations on verification of identity and access to records (39 CFR 266.6).

Contesting Record Procedures

See Notification Procedure 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 may 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 individual such as a trustee, attorney, accountant, or relative.

b. Ethics officials who review the statements to make conflict of interest determinations.

c. Individuals 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, Postal Service Headquarters.

Note: The records in this system are part of a governmentwide system, OGE/GOVT-1, that is managed by the U.S. Office of Government Ethics. See 55 Fed. Reg. 6328 (1990).

Categories of Individuals Covered by the System

Senior-level employees as determined by the criteria in section 201(f) of the Ethics in Government Act consisting of the following persons: postmaster general; deputy postmaster general; ethical conduct officer; administrative law judges; each employee whose basic rate is equal to or greater than 120% of the rate of basic pay for the first step of GS 15.

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, and purchases, sales and exchange of property; gifts and reimbursements; liabilities; positions held, relations with other employers. Position descriptions, opinions of counsel and other information related to review of reports and to conflict of interest determinations.

Authority for Maintenance of the System

Title I of Ethics in Government Act of 1978 Pub. L. 95-521 and Ethics Reform Act of 1989, Pub. L. 101-194, as 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 current and prospective officers and employees. To enable the director of the Office of Government Ethics to ensure that these purposes are met, records kept 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.
2. Records or information may be provided to the Director, or his or her representative, of the Office of Government Ethics.
3. Records or information may be provided on request to the Executive Office of the President when needed in connection with the nomination of Presidential appointees.
4. Records or information may be disclosed to any source when necessary to obtain information relevant to a conflict-of-interest investigation or determination.
5. In accordance with section 105 of the Ethics in Government Act, as amended, and subject to the limitations contained in section 208(d)(1) of title 18, U.S. Code, any determination granting an exemption pursuant to 208(b)(1) of title 18, U.S. Code, may be disclosed to any requesting person.

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 secure file cabinets to which only authorized personnel have access. Access to computer data is restricted to those having an official need for access.

Retention and Disposal

Records are maintained for 6 years, or longer if needed in connection with a pending investigation. Disposal is by shredding or burning.

System Manager(s) and Address

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

An employee wanting to inquire whether this system of records contains information about him or her or to gain access to information pertaining to him or her must direct an inquiry to the system manager. Inquiries must contain full name and place of employment.

Record Access Procedures

See Notification Procedure above.

Contesting Record Procedures

See Notification Procedure above. Because 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 individual such as a trustee, attorney, accountant, or relative.

b. Ethics officials who review the reports to make conflict of interest determinations.

c. Individuals 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; Human Resources Information Systems, Headquarters; Information Systems Service Centers; National Test Administration Center, Merrifield, VA; and selected contractor sites.

Categories of Individuals Covered by the System

Present and former Postal Service 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

1. *Contents of Official Personnel Folders.* These include documents pertaining to preemployment, prior federal employment, and current service as prescribed by Postal Service directives, including but not limited to: applications; resumes; merit evaluations; promotions; salary changes, and other personnel actions; letters of commendation; records of disciplinary actions (which include letters of warning; notices of removal, suspension, reduction in grade or pay; letters of decision; and documents relating to these actions); health benefits, retirement, flexible spending account, and life insurance elections.
2. *Automated employee data contained within records maintained in Official Personnel Folders (OPFs), especially from Form 50,* Notification of Personnel Action. These include social security number, date of birth; mailing address; occupation title; OPF location; duty station; employment status; level of education; prior employment; leave, retirement, and anniversary dates; tax, retirement, salary, and military service information. Some of this information is part of USPS 050.020, Finance Records-Payroll System.
3. *Reference copies of all discipline or adverse actions.* These include letters of warning; notices of removal, suspension, reduction in grade or pay; letters of decisions; and documents relating to these actions. These are used only to refute inaccurate statements by witnesses before a judicial or administrative body.

Note: This system also has an automated tracking system that 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 disclose to prospective employers the following information about a specifically identified current or former postal employee: (a) grade, (b) duty status, (c) length of service, (d) job title, (e) salary, and (f) date and reason for separation, limited to one of the following terms: retired, resigned, or separated.
2. To provide statistical reports to Congress, agencies, and the public on characteristics of the Postal Service 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 Postal Service employees.
4. To transfer to the Office of Personnel Management on 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 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, and 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 disk library physical security.

Retention and Disposal

1. *Official Personnel Folder (OPF) Records.* Records maintained on the right side of the OPF are considered to be permanent and are maintained until the employee is separated. They are then sent to the National Personnel Records Center, St. Louis, MO for storage or to the federal agency to which the individual transfers employment.
2. *Temporary Records of Individual Employees.* These records are maintained on the left side of the OPF and are destroyed when two years old, upon separation, or upon transfer of employee if the temporary record is relevant only to the losing postal installation, whichever is sooner.
3. *Original or copies of discipline or adverse actions.* These are maintained on the left side of the OPF for up to two years or longer if additional or more recent disciplinary action has been taken. After two years the employee may request the disciplinary record be purged from the OPF. Records that support a Form 50, Notification of Personnel Action, that documents the separation of an employee for cause, or the resignation of an employee pending charges, are considered permanent records and are maintained on the right side of the OPF. These records may not be purged at the request of an employee.
4. *Reference copies of discipline or adverse actions.* These records are kept for historical purposes and are not to be used for decisions about the employee. The retention of these records may not exceed ten years beyond the employee's separation

date. The records are maintained longer if the employee is rehired during the ten year period.

5. *Disciplinary Tracking System Records.* These are maintained until research purposes are served, not to exceed thirty years. Destruction is by electronic erasure.

System Manager(s) and Address

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

VICE PRESIDENT
LABOR RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4100

Notification Procedure

Current employees wishing to gain access to records within this system should submit requests to the facility head where currently employed. Requests should include their name and Social Security number. Former employees should submit requests to the facility head where last employed. Requests should include name, Social Security number, date of birth, name and address of office where last employed, and the begin and end dates of postal employment. Former Post Office Department employees having no Postal Service employment (prior to July 1971) must 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 must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Individual employee, personal references, former employers, and other Postal Service personnel records systems.

Systems Exempted From Certain Provisions of the Act

The Postal Service 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 must 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; Postal Service Corporate Health Fitness Center (Headquarters only).

Categories of Individuals Covered by the System

Present and former Postal Service 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); relevant 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 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 about 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.

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 those 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.
   (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) Department of Veterans Affairs.
   (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 for 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 under a contract with the Postal Service 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 under 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 under 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

Kept 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 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 kept for 30 years from the date the employee separates from federal service.

b. Failed Eligibles — Retained in personnel office 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 Postal Service.

System Manager(s) and Address

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

An employee wanting to know whether information about him or her is maintained in this system of records must address inquiries to the head of the facility where employed. Headquarters employees must submit requests to the system manager. Failed eligibles must address inquiries to the head of

the facility where application for employment was made. Inquiries must contain full name.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Postal Service employees, selected eligibles, and Department of Veterans Affairs and Postal Service medical staff.

USPS 120.091

System Name

Personnel Records — Vehicle Operators Controlled Substance and Alcohol Testing Records, 120.091.

System Location

Postal Service medical facilities, designee medical offices, and program contractor's office.

Categories of Individuals Covered by the System

Current and former postal employees who are or were required to have a commercial driver's license (CDL) and subject to the controlled substance and alcohol testing requirements of the Omnibus Transportation Employee Testing Act of 1991 (Pub. L. 102–143) as mandated by the U.S. Department of Transportation (DOT).

Categories of Records in the System

Employee or applicant name, Social Security number, work address, and telephone number; controlled substance and alcohol testing records and results, including date, time, and reason for each test; test results from former employers; medical personnel assessments of employees' test results, recommendations for action, and related documentation; employee or applicant statements concerning controlled substance and alcohol test results; and documentation of substance abuse professionals' (SAPs) determinations of employees' need for assistance and employees' compliance with SAPs' recommendations.

Authority for Maintenance of the System

39 U.S.C. 401; Pub. L. 102–143; and 49 CFR 40 and 382, 391, 392, 395.

Purpose(s)

a. To comply with the requirements of the Omnibus Transportation Employee Testing Act of 1991 (Pub. L. 102–143) to implement a controlled substance and alcohol testing program for employees in safety-sensitive positions.

b. To provide for the uniform collection and compilation of controlled substance and alcohol test results for reporting, analysis, evaluation, and 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, 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 Federal Highway Administration (FHWA), when requested by the Secretary of Transportation; to any U.S. Department of Transportation agency; or to any state or local official with regulatory authority over the Postal Service or its employees (as authorized by DOT agency regulations).
2. Information in these records may be provided to the National Transportation Safety Board in conjunction with an accident investigation.
3. Information in these records may be provided to a subsequent employer upon receipt of a written request from the employee, or as directed by the specific written consent of the employee to an identified individual.
4. Information in these records may be provided to the employee or to the decision maker in a lawsuit, grievance, or other proceeding initiated by or on behalf of the employee and arising from the results of a controlled substance and/or alcohol test administered under the regulations issued by DOT, or from a determination that the employee engaged in conduct prohibited by Pub. L. 102–143.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage

Preprinted forms and paper files (including hard copy computer printouts) and computer files.

Retrievability

Employee or applicant name, Social Security number, and chain of custody form numbers.

Safeguards

Kept in locked file cabinets in secured Postal Service medical units and those of its designees.

Retention and Disposal

a. Destroy the records related to alcohol test results indicating a breath alcohol concentration of 0.02 or greater, verified positive controlled substance test results, refusals, medical review officer's evaluations, employee statements, and substance abuse professionals' evaluations and referrals when the records are 5 years old.

b. Destroy the records related to alcohol test results indicating a breath alcohol concentration of less than 0.02 and negative and canceled controlled substance test results when the records are 1 year old.

System Manager(s) and Address

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

An employee wanting to know whether information about him or her is maintained in this system of records must address inquiries to the head of the facility where the employee is employed. Inquiries must contain the employee's or applicant's full name, Social Security number, and facility where employed (or tested).

Record Access Procedures

Requests for access must be made in accordance with the notification procedures above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Postal Service employees, Postal Service medical staff, Postal Service designee testing facilities, substance abuse professionals, and designated contractors.

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 U.S. 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. Continuation of pay and DOL charge-back information is stored on computer media.

Note: In some cases, the Postal Service by agreement with the Department of Labor (DOL) temporarily stores original case files. These files are DOL records to which DOL rather than Postal Service regulations apply.

Retrievability

Alphabetically by name and Social Security number.

Safeguards

Kept 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

Cut off file at the end of the calendar year in which employee's compensation is terminated. Destroy file 5 years from date of cutoff.

System Manager(s) and Address

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Employees wanting to know whether information about them is maintained in this system of records must address inquiries to the head of the facility where employed. Headquarters employees must 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 DOL/EAS-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 DOL/EAS-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 Information Systems Service 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 Postal Service records to which Postal Service regulations apply.

Retrievability

Social Security number.

Safeguards

These restricted files are kept 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 having affirmative identifications become part of research case records.

b. Research case records (copies of records from other systems — contains 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 that is maintained for 2 years after which it is 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

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Notification Procedure

Employees or former employees wanting to know whether information about them is maintained in this system of records must address inquiries to the system manager.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 found in Postal Service Privacy Act Systems: USPS 050.020, 120.070, and 120.098; Social Security Administration death files; and relevant 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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must continue to apply to the incorporated records.

USPS 120.100

System Name

Personnel Records — Performance Awards System Records, 120.100.

System Location

Postal Service Corporate Personnel Operations and Inspection Service, Headquarters; Inspection Service Field Operations Support Groups; district offices; post offices; and Information Systems Service Centers.

Categories of Individuals Covered by the System

Postal Service 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 Postal Service employment or that improve Postal Service 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 annually to the Office of Personnel Management, to be contained 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 or 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, area where employed, pay location, and district.

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-Postal Service 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

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Notification Procedure

Employees wanting to know whether information about them is maintained in this system of records must address inquiries to the head of the facility where employed. Headquarters employees must submit requests to the system manager. Inquiries must contain full name and pay location.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 area by Information Systems Service Centers.

USPS 120.110

System Name

Personnel Records — Preemployment Investigation Records, 120.110.

System Location

Postal Service Facilities, District Offices, Area Offices, and Headquarters; and site of Postal Service contractor (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

Replies from former employers, local police records, military records, driving 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 Postal Service for assistance in making a hiring decision.

Categories of Records in the System

Replies from character references and former employers, local police records, drug screening records including laboratory results, and 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 Postal Service 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, 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 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. Retain for 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. Send to the appropriate Federal Records Center (FRC) for an additional 5-year retention period.

b. NACI reports are retained in the same fashion as local investigative records.

System Manager(s) and Address

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Notification Procedure

a. Local Investigative Records — Apply to the head of the postal facility where employed. Headquarters employees must 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 must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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, character references, and drug testing laboratories.

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

Postal Service Headquarters, Washington, DC (paper records only); National Test Administration Center, Merrifield, VA, and contractor sites (paper and ADP records); and Information Systems Service Centers.

Categories of Individuals Covered by the System

Applicants for postal employment and Postal Service 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, information collection dates; applicant and research subject responses to, or evaluation on, personnel assessment instruments; applicant and research data and laboratory data and analysis about performance, work suitability, physical conditions, disciplinary incidents, awards, attendance, training, or other work-related data, when used 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 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 effects 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 on transcription to magnetic media, usually within 6 months of collection.

b. Magnetic Tape — Retention is dependent on 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

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Notification Procedure

Persons wishing to know whether this system of records contains information on them should address inquiries to the head of the examination center of the facility that administered the test; in case of research studies involving information not collected pursuant to an examination, persons should address inquiries to the manager of Employment and Placement. Inquiries should contain full name, social security number, date of examination or study, examination number or project name, and place of participation in the examination or study.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 Service, Job Evaluation, 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

Postal Service National Test Administration Center, Merrifield, VA (paper and ADP records); and Postal Service Information Systems Service Centers.

Categories of Individuals Covered by the System

Applicants for Postal Service examinations, including Postal Service 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 race, 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 Postal Service diversity programs; to determine any adverse impact on the overall personnel selection process; to identify

categories of individuals for personnel research; and for related workforce 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 effects 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 kept in secure filing cabinets in a locked 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

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Notification Procedure

Individuals wanting to know whether this system of records contains information about them must address inquiries to the head of the examination

center of the facility that administered the test. Inquiries must 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 must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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

Postal Service Customer Services District offices.

Categories of Individuals Covered by the System

Postal Service 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 relevant personal information.

Authority for Maintenance of the System

39 U.S.C. 401, 1001.

Purpose(s)

To provide Postal Service selecting officials and appointing officials with decision making information to determine the best-qualified candidates for appointment to postmaster positions.

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

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

VICE PRESIDENT
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Notification Procedure

Employees wishing to know whether this system of records contains information on them should address inquiries to the manager, Human Resources of the Customer Services District offices in which the application was made. Inquiries should contain full name, the postal facility to which application was made, title and place of employment.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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, the Minneapolis Information Systems Service Center and certain contractor sites.

Categories of Individuals Covered by the System

Postal Service 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 that may adversely affect 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 counseling 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 contains marital status, ethnic group, gender, and age group.

Authority for Maintenance of the System

39 U.S.C. 401.

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

1. Records or information from this system may be disclosed to an expert, consultant, or other individual 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 individual with whom the Postal Service contracts to reproduce by typing, photocopying, or other means any records for use by Postal Service officials in connection with their official duties or to any individual who performs clerical or stenographic functions relating to the official business of the Postal Service.
2. Records or information from this system may be made to medical personnel to the extent necessary to meet a medical emergency involving the participant.
3. Nonidentifying records or information from this system may be disclosed to qualified personnel for purposes of research, audit, or program evaluation.

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 — (1) 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

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Notification Procedure

Participants in the program must address inquiries to the head of the facility where participating. Inquiries must contain full name, Social Security number, and location of employment, if applicable. Headquarters employees must submit requests to the system manager.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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; the National Test Administration Center (NTAC); the Minneapolis Integrated Business Systems Solutions Center (MIBSSC); other offices within Postal Service facilities authorized to engage in recruiting or examining activities or to make appointments to positions; and contractor sites.

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 contain 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 individuals.

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, CD-ROM, 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 on expiration of eligibility, unless extended for an additional year at the request of the eligible individual.

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 and computer-based register records — Destroy when 10 years old.

d. Outside Applicant Files: (i) Successful Applicant Files — Move PS Form 52 as appropriate, to the Official Personnel Folder. Dispose of all other forms and papers when 6 months 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

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Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries to the head of the facility to which job application was made. Inquiries must contain full name, Social Security number, and, if applicable, approximate date of application submitted and residence.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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, Department of Veterans Affairs, 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

Management Training Centers 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 nonpostal 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. In addition, the system may contain postal lodging information when a discrepancy report is filed against the student regarding any unauthorized activities while occupying the room.

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

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

VICE PRESIDENT
FACILITIES
UNITED STATES POSTAL SERVICE
4301 WILSON BLVD STE 300
ARLINGTON VA 22203-1861

Notification Procedure

Current and former field employees wanting to know whether information about them is in this system of records must address inquiries to the head of the appropriate employment facility. Headquarters employees must submit requests to the system manager. Inquiries must contain full name and Social Security number.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 or 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

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 contain 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

Vice President having jurisdiction over the functional or administrative performance evaluation/measurement procedure.

Notification Procedure

Current and former field employees wanting to know whether information is maintained about them in this system of records must address inquiries to the head of the appropriate employment facility. Headquarters employees must submit requests to the system manager. Inquiries must contain full name and Social Security number.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 or her co-workers.

USPS 120.154

System Name

Personnel Records — Employee Survey Process System Records, USPS 120.154.

System Location

Human Resources at Headquarters and at a contractor site.

Categories of Individuals Covered by the System

Supervisors and managers who are rated under an employee survey process or have responsibility for a rated work location.

Categories of Records in the System

Work location, name and Social Security number of manager or supervisor, aggregate data and analyses of data, and national feedback reports.

Authority for Maintenance of the System

39 U.S.C. 401, 1001.

Purpose(s)

To improve the quality of postal services, employee-management relations, and communication between managers and employees by soliciting employee feedback on job-related issues; to provide management and supervisors with information needed to improve their leadership skills; and to provide information for evaluating manager and supervisor performance.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses

General routine use statements b, f, and g 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 and computer storage media.

Retrievability

Some survey information in the system is retrieved only by work location. Other information is retrieved by manager or supervisor name or Social Security number.

Safeguards

Hard copy records are maintained in a secured environment with access limited to those individuals whose official duties require such access. 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 audit and inspection by the Postal Inspection Service.

Retention and Disposal

a. Employee Opinion Survey Process Records — Retain for 20 years. Destroy paper records by shredding or burning. Destroy computer records by erasure or degaussing.

b. Management Development Process Records:

(1) Paper Survey Feeder Records — Cut off at the end of the calendar year and destroy by shredding or burning 3 years from cutoff date.

(2) Computer Records — Retain for 20 years and then erase or degauss.

System Manager(s) and Address

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries in writing to the system manager.

Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Postal employees.

USPS 120.170

System Name

Personnel Records — Safe Driver Awards Records, 120.170.

System Location

Motor vehicle offices of postal facilities.

Categories of Individuals Covered by the System

Postal Service employees who are full-time drivers of postal vehicles.

Categories of Records in the System

Include 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. Another routine use is 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/roster sheets.

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

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Employees wanting to know whether information about them is maintained in this system of records must address inquiries to the head of the facility where employed. Headquarters employees must submit the request to the system manager. Inquiries must include full name.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 Postal Service 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 Postal Service 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 Postal Service 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 on 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

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

CHIEF POSTAL INSPECTOR
POSTAL INSPECTION SERVICE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2100

Notification Procedure

Employees wanting to know whether such a system exists at their place of employment or whether information about them is maintained in this system of records must address inquiries to the head of the facility where employed. Headquarters employees must submit requests to the system manager.

Inquiries must contain full name, Social Security number, and place of employment.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is obtained directly from employee and Postal Service personnel forms and reports.

Systems Exempted From Certain Provisions of the Act

The Postal Service 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 must 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

Postal Service employees.

Categories of Records in the System

Records consist of summaries or excerpts from the following other Postal Service 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.

1. Records of discipline may also 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 on termination of supervisor/employee relationship.

System Manager(s) and Address

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Employees wanting to know whether this system of records contains information on them must address inquiries to the head of the facility where employed. Headquarters employees must submit requests to the system manager.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must continue to apply to the incorporated records.

USPS 120.210

System Name

Personnel Records — Vehicle Maintenance Personnel and Operators Records, 120.210.

System Location

Postal Service vehicle maintenance facilities, processing and distribution centers, bulk mail centers, post offices, area offices, district offices, Headquarters, and program contractor’s office.

Categories of Individuals Covered by the System

Current and former postal employees who operate or maintain postal vehicles, including those employees required to have commercial driver’s licenses (CDLs) and who drive vehicles in excess of 26,000 pounds gross vehicle weight rating (GVWR).

Categories of Records in the System

Records relating to individual employee operation of USPS-owned or USPS-leased vehicles, including employee name, Social Security number, age, length of service, physical condition, qualifications to drive, results of driving tests, vehicle and safety training, licensing information (including revocations and suspensions), driving habits, route and vehicle assignments,

vehicle accidents, driving citations and safety awards, notifications of substance and alcohol tests with related checklists and correspondence; employee workload, work schedule, performance analysis, and work habits.

Authority for Maintenance of the System

39 U.S.C. 401; Pub. L. 102–143; and 49 CFR 40 and 382, 391, 392, 395.

Purpose(s)

a. To provide local post office managers, supervisors, and transportation managers with information to assign routes and vehicles and to adjust workload, schedules, and type of equipment operated.

b. To serve as a basis for corrective action and presentation of safe driving awards.

c. To comply with the testing and documentation requirements of the Omnibus Transportation Employee Testing Act of 1991 (Pub. L. 102–143) implementing a controlled substance and alcohol testing program for employees required to have commercial driver's licenses (CDLs).

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 provides GSA and Postal Service driver credentials.
2. Information in these records may be provided to the contractor responsible for maintaining the database of employees to be selected randomly for controlled substance and alcohol testing.
3. Information in these records may be provided to the Federal Highway Administration (FHWA), when requested by the Secretary of Transportation; to any U.S. Department of Transportation agency; or to any state or local official with regulatory authority over the Postal Service or its employees (as authorized by DOT agency regulations).
4. Information in these records may be provided to the National Transportation Safety Board in conjunction with an accident investigation.
5. Information in these records may be provided to the employee or to the decision maker in a lawsuit, grievance, or other proceeding initiated by or on behalf of the employee and arising from the results of a controlled substance and/or alcohol test administered under the regulations issued by DOT, or from a determination that the employee engaged in conduct prohibited by Pub. L. 102–143.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage

Preprinted forms and paper files (including hard copy computer printouts) and computer files.

Retrievability

Employee name, Social Security number, vehicle number, route number, facility name, and work order number.

Safeguards

Kept in locked file cabinets in secured Postal Service and contractor facilities. Access to computer data is restricted to authorized contractor personnel.

Retention and Disposal

a. Destroy the records related to the employee's random selection for controlled substance and alcohol testing when the records are 1 year old.

b. Destroy the checklists, correspondence, and any other documentation related to the employee's testing for controlled substances and alcohol when the records are 5 years old.

c. Destroy records maintained in the database of employees subject to Pub. L. 102–143 when the employee separates from the Postal Service or is no longer authorized to operate a Postal Service vehicle.

d. Destroy the remaining records related to the employee's operation or maintenance of Postal Service vehicles 4 years from the 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

VICE PRESIDENT
OPERATIONS SUPPORT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2402

Notification Procedure

An employee wanting to know whether information about him or her is maintained in this system of records must address inquiries to the head of the facility where the employee is employed. Inquiries must contain the employee's full name, Social Security number, route number, workstation, and facility where employed.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Postal Service employees, supervisors, and medical staff; state motor vehicle departments; and designated contractor(s).

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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must continue to apply to the incorporated records.

USPS 120.220

System Name

Personnel Records — Arbitration Case Files, 120.220.

System Location

Law Department, Postal Service Headquarters and field offices, area offices, and districts.

Categories of Individuals Covered by the System

Employees involved in labor arbitrations.

Note: These files are a Privacy Act system of records only to the extent that personally identifying information about a person is 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 is not a Privacy Act system of records.

Categories of Records in the System

Documents relating to proceedings when the Postal Service 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 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 about the nature, status, and disposition of the proceedings, may be disclosed to any individual, unless it is determined that release of specific information of a particular case would be 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.
3. 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.
4. 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.

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 having paper documents are kept in secure filing cabinets within locked buildings or areas under the scrutiny of authorized personnel. Computer terminals and tape/disk files are 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

VICE PRESIDENT
LABOR RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4100

Notification Procedure

Individuals wanting to determine whether this system of records contains information about them must 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 must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasijudicial administrative action will be limited. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during 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 contain 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 contain 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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must 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

Law Department, Postal Service Headquarters and field offices, area offices and districts.

Categories of Individuals Covered by the System

Employees involved in Veterans' Appeals and other adverse action appeals.

Note: These files are a Privacy Act system of records only to the extent that personally identifying information about a person is 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 is not a Privacy Act system of records.

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 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 about the nature, status, and disposition of the proceedings, may be disclosed to any individual, unless it is determined that release of specific information of a particular case would amount to 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.
3. 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.
4. A record may be disclosed in a federal, state, local, or foreign judicial or administrative proceeding under the procedures and practices governing such proceeding.

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 having paper documents are kept locked in filing cabinets within secured buildings or areas under the scrutiny of authorized personnel. Computer terminals are 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

VICE PRESIDENT
LABOR RELATIONS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Individuals wanting to determine whether this system of records contains information about them must 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 must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasijudicial administrative action will be limited. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during 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 contain 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 contain 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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must continue to apply to the incorporated records.

USPS 120.240

System Name

Personnel Records — Garnishment Case Files, 120.240.

System Location

Personnel Offices within Postal Service facilities and the Minneapolis Information Systems Service 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 in case files may also contain 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

Information Service Center records are maintained for 6 months after the debt is satisfied or canceled; Post Office records are maintained for 3 years after the debt is satisfied or canceled. Paper records are shredded and computer tape/disk records are erased at the end of retention period.

System Manager(s) and Address

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

VICE PRESIDENT CONTROLLER
FINANCE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-5200

Notification Procedure

Employees wanting to know whether this system of records contains information about them must submit requests to the facility head where employed. Headquarters employees must submit requests to the system manager. Inquiries must contain the employee's full name and case number, if known.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 140.020

System Name

Postage — Postage Meter Records, 140.020.

System Location

Post offices and the National Customer Support Center, Memphis, TN.

Categories of Individuals Covered by the System

Postage meter users.

Categories of Records in the System

Customer name and address, change of address information, corporate business customer information (CBCIS) number, business tax identification number, business profile information, estimated annual metered postage and annual percentage of metered mail by type, post office where mail is entered, 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 follow:

1. The name and address of a meter user, and the name of any person applying for a permit on behalf of the user, may be disclosed to any member of the public provided that the requester at the time of the request supplies the applicable meter serial number and the name or ZIP Code of the licensing post office as they appear in meter indicia.
2. Records or information from this system may be disclosed to an authorized postage meter manufacturer or its affiliates, dealers, subsidiaries, or franchises for administering the postage meter program. Release will be limited to relevant information about that manufacturer's customers only.

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

CHIEF MARKETING OFFICER
SENIOR VICE PRESIDENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2400

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries in writing to the postmaster of their licensing post office. When making this request, an individual must supply the license number and his or her name as it appears on the meter license.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

License applicants, licensees, postal officials administering meter licenses; and authorized manufacturers of postage meters.

USPS 150.010

System Name

Records and Information Management Records — Information Disclosure Accounting Records (Freedom of Information Act), 150.010.

System Location

Records office, Postal Service Headquarters, and records custodians at all Postal Service facilities.

Categories of Individuals Covered by the System

Individuals who submit inquiries and requests for information (many of which are made pursuant to the FOIA) about the general activities of the Postal Service.

Note: This system may contain inquiries and requests regarding information in other Postal Service 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 Postal Service 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 Postal Service 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 Postal Service's 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 or her 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 secure 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 Postal Service general counsel (FOIA appeals officer) on request. When this is done, files may become a part of the Appeals Case Files (see USPS 150.015).

System Manager(s) and Address

MANAGER
ADMINISTRATION AND FOIA
FINANCE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-5202

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries to the custodian at the facility where the request was sent. Inquiries must contain the full name of the individual who submitted the request or the name of the attorney who submitted the request in the individual's behalf, and the date of the request.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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; Postal Service officials who respond to the requests; other sources whom the Postal Service believes have information pertinent to a decision on the request; other agencies referring requests to the Postal Service; 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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must 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

Civil Practice Section, Law Department, Postal Service Headquarters.

Categories of Individuals Covered by the System

The system encompasses all individuals who submit administrative appeals or bring suits against the Postal Service under the FOIA on account of denials of access to records maintained by the Postal Service. This system may contain inquiries and requests regarding information in other Postal Service 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.

Note: These files are a Privacy Act system of records only to the extent that personally identifying information about an individual is 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 on an individual, the file is not a Privacy Act system of records.

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 or her 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 U.S. 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 about matters on which the agency has specialized experience or particular competence that may be useful to the Postal Service in making required determinations under the FOIA.
3. Records or information may be provided to any source from which the Postal Service 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 Postal Service 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 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 about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information in a particular case would be 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 Postal Service 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 in his or her 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 sound file cabinets under the 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 people having an official need for access.

Retention and Disposal

Appeal decision letters are retained indefinitely. Appeal and litigation case files are retained for 10 years following the date of the final agency decision or 10 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

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting to determine whether this system of records contains information about them must write to the system manager and provide the following information: the name of the individual who submitted the appeal, or the name of the attorney who submitted the appeal in the individual'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 must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasijudicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during 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 contain a review of the merits of the action, determination, or finding.

Record Source Categories

Individuals and their attorneys who submit FOIA requests and appeals; Postal Service officials who respond to FOIA requests; other sources whom the Postal Service believes have information pertinent to a decision on the FOIA request or appeal; other agencies referring requests to the Postal Service; and pertinent records from other Postal Service 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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must 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 office, Postal Service Headquarters, and records custodians at all Postal Service facilities.

Categories of Individuals Covered by the System

Any Postal Service 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 in other Postal Service 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 Postal Service maintains under 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 Postal Service 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 Postal Service decision about a Privacy Act request.
2. Records may be disseminated to a federal agency that originally furnished the records for the purpose of permitting a decision on access or correction to be made by that agency, or for the purpose of consulting with that agency about 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

Chronologically by year and alphabetically by name of the requester except in those instances where a requester has made his or her 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 secure 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 6 years. Accountings of disclosures are retained for 5 years or the life of the disclosed record, whichever is longer. All records are destroyed by burning or shredding.

System Manager(s) and Address

MANAGER
ADMINISTRATION AND FOIA
FINANCE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-5202

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries to the custodian at the facility where request was sent. Inquiries must contain the full name of the individual who submitted the request, or the name of the attorney who submitted the request in the individual's behalf, and the date of the request.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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; Postal Service officials who respond to the requests; other sources whom the Postal Service believes have information pertinent to a decision on the request; other agencies referring requests to the Postal Service; and pertinent records responsive to the requests.

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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must 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

Civil Practice Section, Law Department, Postal Service 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 provisions of the Privacy Act of 1974.

Note: This system may contain inquiries and requests regarding information in other Postal Service 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 or her 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 U.S. 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 about matters in which the agency has specialized experience or particular competence that may be useful to the Postal Service in making required determinations under the Privacy Act.
3. Records or information may be provided to any source from which the Postal Service 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 Postal Service decision about Privacy Act request.
4. Records may be disseminated to a federal agency that originally furnished the records for the purpose of permitting a decision on access or correction to be made by that agency, or for the purpose of consulting with that agency about 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 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 about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information in a particular case would be 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 in his or her 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 secure file cabinets under the scrutiny of Postal Service attorneys. Access to paper records and computer data is limited to individuals whose official duties require access.

Retention and Disposal

Appeal decision letters are retained indefinitely. Appeal and litigation case files are retained for 10 years following the date of the final agency decision, or 10 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

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting 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 individual who submitted the appeal, or the name of the attorney who submitted the appeal in the individual'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 must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 a person a second opportunity to request amendment of a record that 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 Postal Service system under provisions of the Privacy Act, that specific record may itself become part of this system of case records. A person 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 that have been the subject of a judicial or quasijudicial administrative action will be limited. 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 contain 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; Postal Service officials who respond to Privacy Act requests; other sources whom the Postal Service believes have information pertinent to a decision on the Privacy Act request or appeal; other agencies referring requests to the Postal Service; pertinent records from other Postal Service 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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must 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 Postal Service computers. The records are maintained at the site where the logon ID has been installed. 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 Postal Service computer systems who sign on with a computer logon ID. These are primarily Postal Service employees (including temporary and casual) and contractor employees, but may include nonpostal individuals.

Categories of Records in the System

Requests for computer access and 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 Information Systems security personnel.

Authority for Maintenance of the System

39 U.S.C. 401; Pub. L. 100–235, Computer Security Act of 1987.

Purpose(s)

To assign computer logon IDs by which access to data and/or files on computer systems is limited to authorized individuals 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 telephone; and by postal inspectors and authorized personnel in monitoring 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 information systems equipment.

Retrievability

Name, logon ID, and Social Security number of individual who has been assigned a computer logon ID.

Safeguards

Hard copy records are maintained within lockable filing cabinets under the general scrutiny of designated postal personnel (such as Information Systems Security Office) responsible for security of the information systems to which they pertain. Access to automated records is restricted by authorized access code (password).

Retention and Disposal

Retained for 1 year after computer access privileges are canceled and then destroyed by shredding (paper records) or deletion (automated records).

System Manager(s) and Address

VICE PRESIDENT
INFORMATION SYSTEMS
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1500

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 information systems to which they have been given access. Inquiries should contain full name, Social Security Number, and logon ID. Headquarters employees should submit requests to:

INFORMATION SERVICE CENTER
COMPUTER OPERATIONS SERVICE CENTER
1 FEDERAL DRIVE
FT SNELLING MN 55111-9340

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 information systems security responsibilities.

USPS 160.010

System Name

Special Mail Services — Domestic Insured, Registered, Collect on Delivery (COD), and Express Mail Claim and Inquiry Records, 160.010.

System Location

Consumer Advocate, Headquarters; Accounting Service Center (ASC), St. Louis, MO; and post offices.

Categories of Individuals Covered by the System

Domestic insured, registered, COD, and Express Mail claimants/requesters, including mail senders and addressees.

Categories of Records in the System

Names and addresses 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 adjudicate claims related to domestic insured, registered, COD, and Express Mail, and to respond to inquiries concerning those 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, 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 from this system may be disclosed to the sender or addressee of the mailpiece for which a claim has been filed in connection with resolution of the claim.

2. Information from this system may be disclosed to an expert consultant for the purpose of determining the value of lost or damaged items or to determine otherwise the validity of a claim.

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

Mailer's name; date of mailing; and insured, registered, COD, or Express Mail article number; or claim number.

Safeguards

Handwritten and typed forms are stored in steel file cabinets, with access limited to authorized personnel. Computer-readable media are stored in protected areas, with access limited to authorized personnel.

Retention and Disposal

a. Automated claims and inquiry system records. Delete from system after 2 years.

b. Insured, registered, COD, and Express Mail claim and inquiry records (post office). Destroy 2 years from date of cutoff.

c. Insured, registered, COD, and Express Mail claim and inquiry records (ASC). Destroy 4 years from date of cutoff.

System Manager(s) and Address

VICE PRESIDENT AND CONSUMER ADVOCATE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2200

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 where the domestic insured, registered, COD, or Express Mail claim was filed. If a claim has been filed, the inquiry should include claim number; date of claim; insured, registered, COD, or Express Mail number of article mailed; and date of mailing.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 Service — International Ordinary, Insured, Registered, and Express Mail Inquiry and Application for Indemnity Records, 160.020.

System Location

Consumer Advocate, Headquarters; Accounting Service Center (ASC), St. Louis, MO; and international claims and inquiries offices in New York, New Orleans, and San Francisco.

Categories of Individuals Covered by the System

International insured, registered, and Express Mail claimants/requesters, including mail senders and addressees, and ordinary mail inquirers.

Categories of Records in the System

Names and addresses 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 adjudicate claims related to international insured mail, registered mail, Express Mail, and ordinary mail, and to respond to inquiries concerning those 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, 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 from this system may be disclosed to the sender or addressee of the mailpiece for which a claim has been filed when required for resolution of the claim.

2. Information from this system may be disclosed to an expert consultant for the purpose of determining the value of lost or damaged items or to determine otherwise the validity of a claim.
3. Information from this system may be disclosed to an authority of a foreign postal administration when required for resolution of an international mail inquiry.

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's/requester's name; case number; registered; insured, or Express Mail article number; date of mailing; and country of destination.

Safeguards

Handwritten and typed forms are stored in steel file cabinets, with access limited to authorized personnel. Computer-readable media are stored in protected areas, and access to the media is limited to authorized personnel.

Retention and Disposal

Destroy 3 years from date of cutoff.

System Manager(s) and Address

VICE PRESIDENT AND CONSUMER ADVOCATE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2200

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 where the international insured, registered, or Express Mail claim was filed or the ordinary mail inquiry was made. If a claim has been filed, the inquiry should include claim number; date of claim; insured, registered, or Express Mail number of article mailed; date of mailing; and destination country.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification Procedure and Record Access Procedures above.

Record Source Categories

Information from the individual completing the claim/inquiry form.

USPS 170.010

System Name

Operations Data Collection Systems — Workload/Productivity Management Records, 170.010.

System Location

Various facilities maintaining such records.

Categories of Individuals Covered by the System

Postal Service employees and contract employees.

Categories of Records in the System

Records within this system may contain employee's name, Social Security number, work location, pay location, workhours, overtime status, lunch times, leave information, telephone number, home address, job skills, seniority number, mail volume, machine use, error rates, productivity goal data, 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)

a. To provide management with information about employee availability and workhours, mail volume status, productivity rates, equipment usage and maintenance, quality control, inventories, and other data needed for scheduling daily workloads and controlling production.

b. To determine and apportion time and costs by project of operation.

c. To provide management with essential information on the relationship between workloads and actual versus planned workhours.

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 name, Social Security number, project number, pay period, or project name.

Safeguards

Access to these records is limited to those individuals whose official duties require such access. Access to automated records is restricted by authorized access codes. Hard copy records are maintained in secure filing cabinets.

Retention and Disposal

In some instances, records are retained for 1 year and then deleted automatically from computer disks; paper files are destroyed by shredding. Some records are maintained on computer tape beyond 1 year for historical and trend analyses. On some systems, information is updated on a real-time basis.

System Manager(s) and Address

VICE PRESIDENT
ENGINEERING
UNITED STATES POSTAL SERVICE
8403 LEE HWY
MERRIFIELD VA 22082-8101
(Real-Time Productivity Management System)

VICE PRESIDENT
OPERATIONS SUPPORT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-7000
(Decision Support Information System)

Other covered systems — the department or facility head where such records are required.

Notification Procedure

Employees wanting to know whether information about them is in this system of records should address inquiries to the department or facility head where employed at the time of reporting. Inquiries should contain full name, Social Security number, and project name and number (if applicable).

Record Access Procedures

Requests for access should be made in accordance with the Notification Procedure above and the Postal Service 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

Postal Service 050.020; 120.070; employees; supervisors; mail processing equipment counts.

USPS 190.010

System Name

Litigation Records — Miscellaneous Civil Action and Administrative Proceeding Case Files, 190.010.

System Location

Law Department, Postal Service Headquarters and field offices.

Categories of Individuals Covered by the System

Individuals involved in litigation or formal administrative proceedings to which the Postal Service is a party or in which information or testimony is sought from Postal Service sources. This system contains only those litigation matters that are not specifically in other Postal Service systems that cover particular litigation subject areas.

Note: These files are a Privacy Act system of records only to the extent that personally identifying information about a person is 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 is not 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 about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information in the context of a particular case would be 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 under 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 including paper documents are kept in secure filing cabinets under the scrutiny of Postal Service attorneys. Computer terminals and tape/disk files are 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

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting 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 must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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 that have been the subject of a judicial or quasijudicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during 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 contain 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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must 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

Law Department, Postal Service Headquarters and field offices.

Categories of Individuals Covered by the System

Employees who are charging parties in NLRB cases, or in whose behalf NLRB charges have been filed by a collective bargaining representative.

Note: These files are a Privacy Act system of records only to the extent that personally identifying information about a person is 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 a person, the file is not a Privacy Act system of records.

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 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 about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information in the context of a particular case would be an unwarranted invasion of personal privacy.
2. When 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.
3. 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.
4. A record may be disclosed in a federal, state, local, or foreign judicial or administrative proceeding under the procedures and practices governing such proceeding.

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 in whose behalf a charge has been filed or by NLRB case number.

Safeguards

Case folders are kept in secure filing cabinets in secured buildings or areas under the scrutiny of Postal Service attorneys. Computer terminals and tape/disk files are 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 an inactive basis for an additional 3 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

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting to determine whether this system of records contains information about them must 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 must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasijudicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during 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 contain 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 contain 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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must 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

Law Department, Postal Service Headquarters and field offices.

Categories of Individuals Covered by the System

Individuals involved in employee and labor relations litigation.

Note: These files are a Privacy Act system of records only to the extent that personally identifying information about a person is 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 a person, the file is not a Privacy Act system of records.

Categories of Records in the System

a. Pleadings in court cases.

b. Briefs and legal memoranda.

c. Correspondence and telephone messages.

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 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 about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information of a particular case would be an unwarranted invasion of personal privacy.

2. When 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.
3. 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.
4. A record may be disclosed in a federal, state, local, or foreign judicial or administrative proceeding under the procedures and practices governing such proceeding.

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 secured filing cabinets in secured buildings or areas under the scrutiny of Postal Service attorneys. Computer terminals and tape/disk files are 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 3 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

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

Notification Procedure

Individuals wanting to determine whether this system of records contains information about them must 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 must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasijudicial administrative action will be limited. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during 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 contain 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 contain 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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must continue to apply to the incorporated records.

USPS 200.010

System Name

Nonmail Monetary Claims — Relocation Assistance Claims, 200.010.

System Location

Facilities, Headquarters, and all Facilities Service Offices and Major 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 in these documents contains 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:

1. 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 in the exclusive custody of Facilities management personnel.

Retention and Disposal

Records are kept for the life of the facility and then destroyed.

System Manager(s) and Address

VICE PRESIDENT
FACILITIES
UNITED STATES POSTAL SERVICE
4301 WILSON BLVD STE 300
ARLINGTON VA 22203-1861

Notification Procedure

Claimants wanting to know whether information about them is maintained in this system of records must address inquiries to the same facility to which they applied for relocation benefits.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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

Nonmail Monetary Claims — Monetary Claims for Personal Property Loss or Damage Involving Present or Former Employees, 200.020.

System Location

Human Resources, Headquarters, and field facilities; Information Systems Service 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 in documents may contain 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 having paper documents are kept in locked filing cabinets under the scrutiny of Postal Service attorneys. Computer terminal and tape/disk files are in a secured area.

Retention and Disposal

Records are destroyed 3 years from date claim is adjudicated.

System Manager(s) and Address

VICE PRESIDENT
HUMAN RESOURCES
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-4200

Notification Procedure

Claimants wanting to know whether information about them is maintained in this system of records must address inquiries to the head of the facility where the claim was filed. Headquarters employees must submit their inquiries to the System Manager.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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

Nonmail Monetary Claims — Tort Claims Records, 200.030.

System Location

Law Department, Postal Service Headquarters and field offices; Postal Inspection Service; District Offices; Post Offices; Information Systems Service Center, and other field installations.

Categories of Individuals Covered by the System

Individuals involved in accidents as a result of postal operations or alleging money damages under the provisions of the Federal Tort Claims Act.

Note: These files are a Privacy Act system of records only to the extent that personally identifying information about a person is 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 a person, the file is not a Privacy Act system of records.

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 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 Postal Service 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 U.S. Department of Justice, other governmental agencies, and other individuals 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 the Postal Service 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 information related to accidents and injuries.
3. Disclosure may be made to provide information to Postal Service 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 give advice about the settlement or defense of claims filed against the Postal Service.
8. Information 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 about the nature, status, and disposition of the proceeding, may be disclosed to any individual, unless it is determined that release of specific information of a particular case would be 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 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 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

SENIOR VICE PRESIDENT AND GENERAL COUNSEL
LAW DEPARTMENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-1100

CHIEF POSTAL INSPECTOR
INSPECTION SERVICE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2100

Notification Procedure

Individuals wanting to determine whether this system of records contains information about them must 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 must be directed to the chief postal inspector. Inquiries regarding records maintained by the Law Department must be directed to the general counsel.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Note: Review of requests seeking amendment of records that have been the subject of a judicial or quasijudicial administrative action will be limited in scope. The amendment provisions of the Act are not intended to permit the alteration of evidence presented during 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 contain 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 Postal Service 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 under 5 U.S.C. 552a(d)(5). In addition, the Postal Service 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 must continue to apply to the incorporated records.

USPS 210.010

System Name

Contractor Records — Architect-Engineers Selection Records, 210.010.

System Location

Facilities, Major Facilities, Customer Service Facilities Offices; Facilities Service Offices.

Categories of Individuals Covered by the System

Professional Architect-Engineers.

Categories of Records in the System

Information profile on a person's experience and qualifications in the providing architectural engineering services. These profiles may contain 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 that 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 Facilities. 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

VICE PRESIDENT
FACILITIES
UNITED STATES POSTAL SERVICE
4301 WILSON BLVD STE 300
ARLINGTON VA 22203-1861

Notification Procedure

Any individuals desiring information about this system of records must address their inquiries to the designated system manager and provide his or her name and project title.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Individuals 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

Logistics, Headquarters; postal facilities employing persons under a surface transportation contract with the Postal Service; and Distribution Network Offices.

Categories of Individuals Covered by the System

Individuals under a surface transportation contract with the Postal Service.

Categories of Records in the System

Contractor Employee Assignment Notifications 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 surface transportation 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 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, 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 surface transportation 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 1 year after the contract expires, or 1 year following an individual's employment termination with a company that has been awarded a surface transportation contract.

System Manager(s) and Address

VICE PRESIDENT
OPERATIONS PLANNING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-7000

Notification Procedure

Contractors wishing to know whether information about them is maintained in this system of records should address inquiries to the transportation contracting officer. Inquiries should contain full name and surface transportation contract number.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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

Logistics, Headquarters; area offices; and postal facilities having contract personnel.

Categories of Individuals Covered by the System

Individuals under contract with the Postal Service.

Categories of Records in the System

Fingerprint cards that have 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 whether a contractor employee has an arrest record and to provide information to the Contracting Officer with regard to the Postal Service 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 Postal Service 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

Kept in locked file cabinets by administrative officials.

Retention and Disposal

Records are kept until employee leaves employment of Postal Service and then are destroyed 2 years later by shredding.

System Manager(s) and Address

VICE PRESIDENT
OPERATIONS PLANNING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-7000

Notification Procedure

Inquiries should be addressed to the contracting officer, Surface Transportation, within the area where employed. Inquiries should contain full name and social security number.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Contractor employed by the Postal Service.

USPS 220.010

System Name

Marketing Records — Marketing Data Base Customer Records, 220.010.

System Location

Marketing, Headquarters; areas and districts.

Categories of Individuals Covered by the System

Officers or employees of corporations, other business firms, and organizations that are volume users of postal services; Postal Service 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 individuals; purchase records for Postal Service services; information on service or equipment needs; Postal Service 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 Postal Service 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 Postal Service. 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, Postal Service account representative, and area/districts.

Safeguards

Computer records are subject to computer security procedures, including password access.

Retention and Disposal

Records are kept for 3 years after final entry and then deleted from the data base.

System Manager(s) and Address

CHIEF MARKETING OFFICER AND SENIOR VICE PRESIDENT
MARKETING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2400

Notification Procedure

Customers wishing to know whether information about them is maintained in this system of records should address inquiries to the Manager, Customer Information & Product Support.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Information is obtained from Postal Service business customers, statements of mailing and other Postal Service forms completed by the customer, commercial databases, and account representatives' personal knowledge.

USPS 220.020

System Name

Marketing Records — Express Mail Service Customer Mailing List, 220.020.

System Location

Marketing, Headquarters, and at contractor site.

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 about 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 hard copy printouts.

Retrievability

Name of user, EMCA number, address 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 kept indefinitely and is updated annually. Hard copy printouts are destroyed when updated printouts are generated.

System Manager(s) and Address

CHIEF MARKETING OFFICER AND SENIOR VICE PRESIDENT
MARKETING
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2400

Notification Procedure

Customers wanting to know whether information about them is maintained in this system of records must address inquiries to the system manager and give their name and address.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 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.

USPS 220.030

System Name

Marketing Records — Postal Product Sales and Distribution, 220.030.

System Location

Marketing, Headquarters; Philatelic Fulfillment Center, Kansas City, MO; and contractor sites.

Categories of Individuals Covered by the System

Customers who have responded to various philatelic and other Postal Service-sponsored product sales promotion programs. Programs include, but are not limited to, sales of philatelic products, postal products, and products that include licensed stamp designs, such as phone cards. Response may be received by submission of unsolicited correspondence, such as letters and preprinted and tear off order forms; telephone; interactive voice response systems; on-line orders via Internet and commercial vendors; and orders via other interactive electronic initiatives such as kiosk retail sales applications. Response may involve an order for products, opening a subscription account, or a request to receive future product announcements.

Categories of Records in the System

Name, address, customer profile and telephone number of customer who orders or subscribes to receive postal products; name and address of recipient of order; description of the items ordered and prices; payment type; credit card payment information; order fulfillment information; inquiries on status of orders; claims submitted for defective merchandise; and lists identifying individuals who have submitted bad checks.

Authority for Maintenance of the System

39 U.S.C. 401, 404.

Purpose(s)

a. To operate a subscription service or services for customers who remit money for a particular product or products.

b. To maintain a file to send product announcements and sales literature to customers or subscribers.

c. To serve, as a source for statistical data for research and market analysis, billing and inventory data, and mailing basis for product shipment.

d. 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

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 follow:

Note: Phone card information covered by the system is owned by phone card vendors; consequently, no routine uses apply to phone card information.

1. Information from this system may be disclosed to a Postal Service contractor for the purpose of providing customer service support services with regard to the acceptance and fulfillment of orders for a postal-sponsored product.
2. Information from this system may be disclosed to a contractor for the purpose of verifying bank cards when customers order postal-sponsored products and pay by bank card. Disclosure will be limited to information needed for verification.
3. Information from this system may be disclosed to the purchaser or intended recipient of an order for a postal-sponsored product for purposes of responding to his or her query regarding status of or problems in filling the order. Disclosure of financial information to a recipient will be limited to the explanation that payment is outstanding.

Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

Storage

Paper forms and correspondence; electronic order forms; microform; magnetic tape and disk; and computer printouts.

Retrievability

Name of customer (purchaser, recipient, or subscriber) and identifying number, if assigned.

Safeguards

Paper and microform records and computer storage tapes and disks are maintained in closed filing cabinets in controlled access areas or under general scrutiny of program personnel. Computers containing information are located in controlled access areas with personnel access controlled by a cypher lock system, card key system, or other physical access control method, as appropriate. Authorized persons must be identified by a badge. Computer systems are protected with an installed security software package, the use of computer log-on identifications and operating system controls including access controls, terminal and user identifications, and file management. On-line data transmission is protected by encryption.

Contractors must provide similar protection subject to operational security compliance reviews by the Postal Inspection Service.

Retention and Disposal

ADP and microform records are maintained for 3 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 3 years and then destroyed by shredding.

System Manager(s) and Address

VICE PRESIDENT
OPERATIONS SUPPORT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-7000

CHIEF MARKETING OFFICER AND
SENIOR VICE PRESIDENT
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2400

Notification Procedure

Individuals wanting to know whether information about them is maintained in this system of records must address inquiries to the System Manager above. Inquiries must include full name and address.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Purchasers of or subscribers to Postal Service products; recipients of Postal Service-sponsored products; and contractors.

USPS 300.010

System Name

Office of Inspector General — Investigative File System, 300.010.

System Locations

Office of the Inspector General (OIG): (1) Headquarters, and (2) respective OIG field offices (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 individuals related to investigations.

b. Applicants and current and former Postal Service personnel and contractors and individuals providing information related to employment suitability checks on those individuals**.**

c. Applicants for and appointees to sensitive positions in the Postal Service and individuals providing information related to security clearance checks on those individuals.

Categories of Records in the System

Information within this system relates to OIG investigations carried out under applicable statutes, regulations, policies, and procedures. 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 OIG field office or at 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 consist of fingerprints, handwriting samples, reports of confidential informants, physical identifying data, voiceprints, polygraph tests, photographs, and individual personnel and payroll information. OIG database systems contain additional or summary duplicative case files and other information in support of investigations. In addition, OIG Headquarters and field offices maintain reference files and indexes, as needed, for quick access in day-to-day operations.

The specific authority for the OIG to investigate postal offenses and civil matters relating to the Postal Service is conferred at 39 U.S.C. 202(e)(1) - (3) and 404(a)(7); 18 U.S.C. 3061; and 5 U.S.C. App 3. In the exercise of that authority, the OIG conducts investigations under all appropriate federal statutes and administrative rules.

Authority for Maintenance of the System

39 U.S.C. 202 and 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. When conducting any official investigation or during 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 involved 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 under an international treaty or convention entered into and ratified by the United States or under 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 about 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 or returning a fugitive to a jurisdiction that seeks that individual's return.
11. A record may be disclosed to members of the American Insurance Association Index System to provide them with 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 who is the subject of the file.

Safeguards

Investigative records are maintained in locked file cabinets, safes, or secured areas under the scrutiny of OIG 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 on 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 OIG are retained in accordance with a generally applicable Postal Service retention schedule rather than the OIG disposition schedules.

System Manager(s) and Address

INSPECTOR GENERAL
US POSTAL SERVICE
1735 N LYNN ST
ARLINGTON VA 22209-2020

Notification Procedure

Individuals wanting to know whether information about them is in this system of records or if they were the subject of an investigation must furnish the system manager sufficient identifying information to distinguish them from other individuals of like name; identifying data will contain date of birth, name, address, type of investigation, dates, places, and the individual's involvement.

Record Access Procedures

Requests for access must be made in accordance with the notification procedure above and the Postal Service Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6. The address of the OIG Freedom of Information/Privacy Acts Officer is:

1735 N LYNN ST
ARLINGTON VA 22209-2020

Telephone: (703) 248-2300.

Contesting Record Procedures

See Notification and Record Access Procedures above.

Record Source Categories

Personal interviews, written inquiries, and other records about individuals 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 established regulations at 39 CFR 266.9 that exempt information contained in this system of records from various provisions of the Privacy Act depending on the purpose for which the information was gathered and for which it will be used. Compliance with the disclosure (5 U.S.C. 552a(d)) and other subsections of the Act are not compatible with investigative practice, and would substantially compromise the efficacy and integrity of OIG 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 — Under 5 U.S.C. 552a(j)(2), information compiled for this purpose is exempt from all 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. Noncriminal investigatory — under 5 U.S.C. 552a(k)(2), material compiled for law enforcement purposes (and not exempted by 5 U.S.C. 552a(j)(2)) is exempted from the following provisions of the Act: (c)(3), (d), (e)(1), (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)(1), (e)(4)(G), (H) and (I), and (f).

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 CAPITOL ST NW
WASHINGTON DC 20402-1575

Postmasters, upon request, will supply the addresses of the area and district 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.

Addresses of Office of Inspector General

Headquarters

1735 N LYNN ST
ARLINGTON VA 22209-2020

Field Offices

St Louis:

1720 MARKET ST
PO BOX 78579
ST LOUIS MO 63178-8579

Dallas:

101 E MCKINNEY ST
PO BOX 2144
DENTON TX 76201-2144

Minneapolis:

1 FEDERAL DR
PO BOX 32
FT SNELLING MN 55111-0032

Inspection Service

CHIEF POSTAL INSPECTOR
INSPECTION SERVICE
UNITED STATES POSTAL SERVICE
475 L'ENFANT PLZ SW
WASHINGTON DC 20260-2100

Training Institute

WILLIAM F BOLGER CENTER FOR LEADERSHIP DEVELOPMENT
9600 NEWBRIDGE DR
POTOMAC MD 20858-4320

National Test Administration Center

NATIONAL TEST ADMINISTRATION CENTER
UNITED STATES POSTAL SERVICE
PO BOX 1020
MERRIFIELD VA 22116-1020

Bulk Mail Centers

Atlanta:

1800 JAMES JACKSON PKWY NW
ATLANTA GA 30369-9751

Chicago:

7500 ROOSEVELT RD
FOREST PARK IL 60130-2296

Cincinnati:

3055 CRESCENTVILLE RD
CINCINNATI OH 45235-9998

Dallas:

2400 DFW TURNPIKE
DALLAS TX 75398-9998

Denver:

PO BOX 172000
DENVER CO 80217-2000

Des Moines:

4000 NW 109TH ST
DES MOINES IA 50395-9997

Detroit:

17500 OAKLAND BLVD
ALLEN PARK MI 48101-9751

Greensboro:

3701 W WENDOVER AVE
GREENSBORO NC 27495-0001

Jacksonville:

PO BOX 2000
JACKSONVILLE FL 32203-2000

Kansas City:

4900 SPEAKER RD
KANSAS CITY KS 66106-9728

Los Angeles:

5555 BANDINI BLVD
BELL CA 90201-9997

Memphis:

1921 ELVIS PRESLEY BLVD
MEMPHIS TN 38136-9998

Minneapolis St. Paul:

3165 LEXINGTON AVE
ST PAUL MN 55121-2288

New Jersey International:

80 COUNTY RD
JERSEY CITY NJ 07098-9998

Philadelphia:

1900 BYBERRY RD
PHILADELPHIA PA 19116-9751

Pittsburgh:

PO BOX 1000
WARRENDALE PA 15095-1000

St. Louis:

5800 PHANTOM DR
HAZELWOOD MO 63042-2487

San Francisco:

2501 RYDIN RD
RICHMOND CA 94804-9998

Seattle:

PO BOX 5000
FEDERAL WAY WA 98063-0500

Springfield:

190 FIBERLOID ST
SPRINGFIELD MA 01152-9751

Washington:

9201 EDGEWORTH DR
CAPITOL HEIGHTS MD 20743-9751

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C

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Note: All forms listed with the citation "Exhibit 351.21" are those listed in Exhibit 351.21, *Retention Periods for Post Office Forms,* which begins on page 189.

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1242-A	Commercial Garnishment Withholding Notice or Wage Earner Plan Allotment Request	Exhibit 351.21
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1314	Regular Rural Carrier Time Certificate	Exhibit 351.21
1314-A	Auxiliary Rural Carrier Time Certificate	Exhibit 351.21
1357	Request for Computer Access	272.343
1375	Employee Identification Card	277.231
1375-P	Postmaster's Identification Card	277.232
1377	Request for Payment of Postmaster Replacement and/or RSC Postmaster Changes	Exhibit 351.21
1412-A	Daily Financial Form	Exhibit 351.21, 422.282, 422.291, 543.42

Forms (cont'd)

Note: All forms listed with the citation "Exhibit 351.21" are those listed in Exhibit 351.21, *Retention Periods for Post Office Forms,* which begins on page 189.

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1483	Accounting Copy — 9500 Form	Exhibit 351.21
1508	Statement by Shipper of Firearms	Exhibit 351.21
1509	Sender's Application for Recall of Mail	Exhibit 351.21
1510	Mail Loss/Rifling Report	Exhibit 225, Exhibit 351.21
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1538	Receipts for Post Office Box/Caller Service Fees	Exhibit 351.21
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1554	Statement of Account (CAGs H - J)	Exhibit 351.21
1555	Statement of Account	Exhibit 351.21
1556	Suspense Items — Support Information	Exhibit 351.21
1564	Address Change Sheet	Exhibit 351.21
1564-A	Delivery Instructions	Exhibit 351.21
1564-B	Special Orders	Exhibit 351.21
1567	Requisition for Rubber and Steel Hand Canceling Stamps	Exhibit 351.21
1571	Undelivered Mail Report	Exhibit 351.21
1576	Requisition for Duplicating Service	372.21
1578-B	Requisition for Facing Slips or Labels	Exhibit 351.21
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1586	Supply Record	Exhibit 351.21
1597	Work Assignment and Mail Count (Messenger Operations)	Exhibit 351.21
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1608	Emergency Salary Authorization and Receipt	Exhibit 351.21
1621	Delivery Management Report	Exhibit 351.21
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1628	Individual Key Record	273.461, 273.462

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Note: All forms listed with the citation "Exhibit 351.21" are those listed in Exhibit 351.21, *Retention Periods for Post Office Forms,* which begins on page 189.

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1723	Assignment Order	Exhibit 351.21
1724	Suggestion Log	Exhibit 351.21
1725	Employee Suggestion Evaluation	Exhibit 351.21
1726	Suggestion Acknowledgment/Advice	Exhibit 351.21
1727	Award Recommendation/Authorization	Exhibit 351.21
1764	Accident Analysis Summary	Exhibit 351.21
1767	Report of Hazard, Unsafe Condition or Practice	Exhibit 351.21
1768	Safe Driver Award Committee Decision	Exhibit 351.21
1769	Accident Report (3-part snap-out w/13-part instruction book)	Exhibit 351.21
1770	Hazardous Materials Incident Report	Exhibit 351.21
1772	Accident Log	Exhibit 351.21
1773	Report of Hazard Log	Exhibit 351.21
1783	On-the-Job Safety Review/Analysis	Exhibit 351.21
1784-A	Safety and Health Inspection Checklist (Facilities over 10,000 sq ft)	Exhibit 351.21
1784-B	Safety and Health Inspection Checklist (for Facilities less than 10,000 sq ft)	Exhibit 351.21
1784-C	Safety and Health Deficiency Report	Exhibit 351.21
1804-C	Postmaster's Certification of SDM Equipment Maintenance	Exhibit 351.21
1813	Late Leaving and Returning Report — First Carrier Delivery Trip	Exhibit 351.21
1823	Equal Employment Opportunity Program	277.222
1838	Carrier's Count of Mail — Letter Carrier Routes (Mgmt. Summary)	Exhibit 351.21
1838-A	Carrier's Count of Parcel Post & Combination Services Worksheet/Management Summary	Exhibit 351.21
1838-B	Parcel Post Firm Delivery Worksheet	Exhibit 351.21
1838-C	Carrier's Count of Mail — Letter Carrier Routes Worksheet	Exhibit 351.21
1839	Payment Record for Carrier Drive-Out Agreements	Exhibit 351.21
1840	Carrier Delivery Route — Summary of Count and Inspection	Exhibit 351.21
1840-B	Carrier Timecard Analysis	Exhibit 351.21

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Note: All forms listed with the citation "Exhibit 351.21" are those listed in Exhibit 351.21, *Retention Periods for Post Office Forms,* which begins on page 189.

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1902	Justification for Billing Accounts Receivable	Exhibit 351.21
1903-DZ	Invoice and Statement	Exhibit 351.21
1908	Financial Adjustment Memorandum	Exhibit 351.21
1915	Authorization to Flag Employee's Accounts	Exhibit 351.21
1994	Employee's Work Schedule	Exhibit 351.21
2007-A	Window Transaction Record	Exhibit 351.21
2007-B	Window Transaction Conversion	Exhibit 351.21
2007-C	Window Transaction Survey	Exhibit 351.21
2013	Sensitive Security Clearance Processing Request	272.225, 272.226, 272.227, 272.241, 272.344
2016	Mail Theft and Vandalism Complaint	Exhibit 225, Exhibit 351.21
2025	Contract Personnel Questionnaire	272.343, Exhibit 351.21
2028	Travel Advance Request (Relocation Worksheet)	Exhibit 351.21
2041	USPS Building Pass — Headquarters	277.212
2041-A	USPS Building Pass — Tenant	277.213
2066	Updated Personnel Security Questionnaire	272.25
2081	Contractor Employee Assignment Notification	Exhibit 351.21
2106	Adjudication — Tort Claims	Exhibit 351.21
2130	Claim for Loss — Initial Letter	Exhibit 351.21
2132	Claim for Accountable Financial Loss	Exhibit 351.21
2146	Employee's Claim for Personal Property	Exhibit 351.21
2181	Authorization and Release	272.224
2181-C	Authorization and Release — Background Investigation (USPS Contractors & Employees of Contractors)	272.343
2188	Subrogation Receipt	253.24
2198	Accident Report — Tort Claim	253.121, Exhibit 351.21
2202	Daily Time Record	Exhibit 351.21
2240	Pay, Leave, or Other Hours Adjustment Request	Exhibit 351.21
2240-R	Rural Pay or Leave Adjustment Request	Exhibit 351.21
2243	PSDS Hours Adjustment Record	Exhibit 351.21
2282	Facility Evaluation Sheet (Space & Condition)	512.223
2371-A	MOD 2 Performance Summary — Mail Volume	Exhibit 351.21

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Note: All forms listed with the citation "Exhibit 351.21" are those listed in Exhibit 351.21, *Retention Periods for Post Office Forms,* which begins on page 189.

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2417	Confidential Statement of Employment and Financial Interests (For Use by Postal Service Employees)	211.33
2452-A	Performance Evaluation for EAS Employees — General Form	Exhibit 351.21
2452-B	Performance Evaluation for EAS Employees — Supervisors and Managers EAS-19 and Below	Exhibit 351.21
2452-C	Performance Evaluation for EAS Employees — Postmasters EAS-15 and Below	Exhibit 351.21
2456	Narrative of Work Accomplishments	Exhibit 351.21
2480	Driving Record	Exhibit 351.21
2548	Individual Training Record — Supplement Sheet	Exhibit 351.21
2550	Interview Notice	Exhibit 351.21
2591	Application for Employment	Exhibit 351.21, 353.233
2858-C	Worksheet for Multidelivery Stop	Exhibit 351.21
2858-R	Rural Carrier Cost System FY 1991	Exhibit 351.21
2866	Presort Verification Record	Exhibit 351.21
2866-IP	In-Plant Verification for Second- and Fourth-Class Matter	Exhibit 351.21
2932	Customs Collections Summary	Exhibit 351.21
2933	Register of Uncollected Customs Charges	Exhibit 351.21
2944	Receipt for Customs Duty Mail	Exhibit 351.21
2960	Inventory Record	Exhibit 351.21
3018	Affidavit of Applicant for Issuance of a Duplicate Postal Check w/o Execution of Undertaking of Indemnity	Exhibit 351.21
3036	Record of Stamp Stock Requisitions	Exhibit 351.21
3037	Telecommunications Service Request	863.22
3083	Trust Accounts Receipts and Withdrawals	Exhibit 351.21
3176	Bank Transaction Record	Exhibit 351.21
3189	Request for Temporary Schedule Change for Personal Convenience	Exhibit 351.21
3205	Requisition for Plain Stamped Envelopes	Exhibit 351.21
3210	Interim Receipt for Stamp Stock Submitted for Redemption	Exhibit 351.21
3216	Requisition for Postal Cards — Bulk Quantities	Exhibit 351.21

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Note: All forms listed with the citation "Exhibit 351.21" are those listed in Exhibit 351.21, *Retention Periods for Post Office Forms,* which begins on page 189.

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3217	Order for Forms 3216 (Requisition for Postal Cards — Bulk Quantities)	Exhibit 351.21
3220	Claim for Stamped Envelope Discount	Exhibit 351.21
3227	Stamps by Mail	Exhibit 351.21
3227-R	Stamp Purchase Order	Exhibit 351.21
3236	Uniform Allowance Cap Disbursement	Exhibit 351.21
3238	Stamps & Stamped Paper Destruction Certificate	Exhibit 351.21
3239	Payroll Deduction Authorization to Liquidate Postal Service Indebtedness	Exhibit 351.21
3239-A	Payroll Deduction Authorization to Liquidate Other Government Agency Indebtedness	Exhibit 351.21
3240	Uniform Allowance Inquiry	Exhibit 351.21
3294	Cash and Stamp Stock Count and Summary	Exhibit 351.21
3295	Daily Record of Stamps, Stamped Paper, and Nonpostal Stamps on Hand	Exhibit 351.21
3309	Advice of Shipment/Stamp Invoice	Exhibit 351.21
3317-A	Retail and Philatelic Products — Clerks Daily Sales Record	Exhibit 351.21
3356	Stamp Requisition — Bulk Quantities	Exhibit 351.21
3368	Stamp Credit Examination Record	Exhibit 351.21
3369	Consigned Credit Receipt	Exhibit 351.21
3499	Operations Analysis Report	Exhibit 351.21
3501	Application for Periodicals Mailing Privileges (General)	Exhibit 351.21
3501-A	Application for Periodicals Mailing Privileges (News Agents or Foreign)	Exhibit 351.21
3502	Application for Periodicals Mailing Privileges (Institutions and Societies)	Exhibit 351.21
3503	Record of Deposits Made While Second-Class Application Is Pending	Exhibit 351.21
3508	Requisition for Saleable Items (Other than Stamps)	Exhibit 351.21
3510	Application for Additional Entry, Reentry, or Special Rate Request for Periodicals Publication	Exhibit 351.21
3511	Application for Periodicals Mailing Privileges (Requestor)	Exhibit 351.21
3526	Statement of Ownership, Management and Circulation	Exhibit 351.21
3533	Application and Voucher for Refund of Postage and Fees	Exhibit 351.21

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Note: All forms listed with the citation "Exhibit 351.21" are those listed in Exhibit 351.21, *Retention Periods for Post Office Forms,* which begins on page 189.

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3541-C	Periodicals Certification for Multiple Issues (On the Same Day)	Exhibit 351.21
3541-E	Periodicals Certification for Multiple Issues (Not on the Same Day)	Exhibit 351.21
3541-N	Postage Statement — Periodicals — Nonprofit Rates	Exhibit 351.21
3541-R	Postage Statement — Periodicals — Regular and Science of Agriculture Rates	Exhibit 351.21
3543	(Special) Record of Periodicals Postage	Exhibit 351.21
3544	Post Office Receipt for Money	Exhibit 351.21
3546	Forwarding Order Change Notice	274.5
3547	Notice to Mailer of Correction in Address	274.5
3548	Review and Verification of Circulation	Exhibit 351.21
3555	Report of Returned Mail	Exhibit 351.21
3575	Change-of-Address Order	Exhibit 351.21, 352.44, 461.321, 461.322
3575-WWW	Change-of-Address Order — World Wide Web	Exhibit 351.21, 352.44
3582-A	Postage Due Bill	Exhibit 351.21
3582-C	Postage Due Invoice	Exhibit 351.21
3584	Postage Due Log	Exhibit 351.21
3600-PC	Statement of Mailing with Metered or Precanceled Postage Affixed — First Class Mail	Exhibit 351.21
3600-R	Postage Statement — First-Class Mail — Permit Imprint	Exhibit 351.21
3601	Application to Mail Without Affixing Postage Stamps	Exhibit 351.21
3601-A	Application or Update for a License to Lease and Use Postage Meters	Exhibit 351.21
3602-N	Postage Statement — Nonprofit Standard Mail — Permit Imprint	Exhibit 351.21, 352.653
3602-PC	Statement of Mailing — Bulk Rates	Exhibit 351.21
3602-PO	Postage Collected Through Post Office Meter	Exhibit 351.21
3602-R	Postage Statement — Regular Standard Mail — Permit Imprint	Exhibit 351.21
3603	Receipt for Postage Meter Settings	Exhibit 351.21
3604	Nonuse Revocation of Mailing Permit or Meter License	Exhibit 351.21

Forms (cont'd)

Note: All forms listed with the citation "Exhibit 351.21" are those listed in Exhibit 351.21, *Retention Periods for Post Office Forms,* which begins on page 189.

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3605-PC	Statement of Mailing with Meter Postage Affixed — Priority Mail and Zone-Rated Fourth-Class Mail	Exhibit 351.21
3605-R	Postage Statement — Priority Mail and Zone-Rated Standard Mail (B) — Permit Imprint	Exhibit 351.21
3609	Record of Permit Imprint Mailings	Exhibit 351.21
3609-PO	Control for Post Office Meter	Exhibit 351.21
3610	Record of Postage Meter Settings	Exhibit 351.21
3613	Cancellation of Permit	Exhibit 351.21
3616	Report of Quarterly Verification of Metered Mail	Exhibit 351.21
3618	Local Setting of Postage Meter Licensed at Another Office	Exhibit 351.21
3619	Permit Number Record	Exhibit 351.21
3620	Permit to Use Precanceled Stamps or Government Precanceled Stamped Envelopes Application	Exhibit 351.21
3623	Application for Nonprofit Standard Mail Rates at Additional Mailing Office	Exhibit 351.21
3624	Application to Mail at Special Bulk Third-Class Rates	Exhibit 351.21
3625	Merchandise Return Permit Application	Exhibit 351.21
3650	Postage Statement — International Surface Air Lift	Exhibit 351.21
3651	Postage Statement — International Permit Imprint Mail or Bulk Letters to Canada with Permit Imprint	Exhibit 351.21
3652	Postage Statement — International Priority Airmail	Exhibit 351.21
3701	Delivery Survey	Exhibit 351.21
3702	Test Mailing Record (Collection and Special Test Mailings)	Exhibit 351.21
3721	Publication Watch	Exhibit 351.21
3743	Delayed Mail Report — All Post Offices	Exhibit 351.21
3749	Irregularities in the Preparation of Mail Matter	Exhibit 351.21
3801	Standing Delivery Order	Exhibit 351.21
3801-A	Agreement by a Hotel, Apartment House, or the Like to Assume Responsibility for Registered Mail	Exhibit 351.21
3806	Receipt for Registered Mail	Exhibit 351.21
3815	Plant-Load Authorization, Application, Worksheet, and Agreement	Exhibit 351.21
3816	COD Mailing and Delivery Receipt	Exhibit 351.21
3821	Clearance Receipt	Exhibit 351.21
3822	COD Tag Transmittal	Exhibit 351.21

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Note: All forms listed with the citation "Exhibit 351.21" are those listed in Exhibit 351.21, *Retention Periods for Post Office Forms,* which begins on page 189.

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3826	Registry Irregularity Report	Exhibit 351.21
3827	Irregularity Report of Insured and COD Mail	Exhibit 351.21
3830-A	Registry Dispatch Record	Exhibit 351.21
3841	Post Office Record of Claim	Exhibit 351.21
3845	Annual Verification of Circulation	Exhibit 351.21
3849	Delivery Notification/Reminder/Receipt	Exhibit 351.21
3854	Manifold Registry Dispatch Book	Exhibit 351.21
3854-A	Registered Mail Dispatch Bill (1850/carton)	Exhibit 351.21
3861	COD Loss Claim Filed by Sender	Exhibit 351.21
3861-A	Loss Claim	Exhibit 351.21
3862	Damage Claim Filed by Sender	Exhibit 351.21
3863	Damage Claim Filed by Addressee	Exhibit 351.21
3867	Accountable Mail Matter Received for Delivery	Exhibit 351.21
3871	Receipt Verification — Insured and Returned COD Mail	Exhibit 351.21
3877	Firm Mailing Book for Accountable Mail	Exhibit 351.21
3883	Firm Delivery Book	Exhibit 351.21
3883-A	Firm Delivery Receipt (1600/carton)	Exhibit 351.21
3921	Volume Recording Worksheet	Exhibit 351.21
3922	Customer Services Volume Recording Worksheet	Exhibit 351.21
3925	Daily Address Information Operations Analysis	Exhibit 351.21
3930	Operations Analysis	Exhibit 351.21
3932	CSMDS Plan Input Sheet	Exhibit 351.21
3956	Authorization for Medical Attention	Exhibit 351.21
3958	Main Stock (or Unit Reserve Stock) Transaction Record	Exhibit 351.21
3959	Daily Recap — Stamp Stock Transactions	Exhibit 351.21
3968	Daily Mail Collection Record	Exhibit 351.21
3971	Request for or Notification of Absence	Exhibit 351.21
3972	Absence Analysis	Exhibit 351.21
3973	Military Leave Control	Exhibit 351.21
3977	Duplicate Key Inventory	Exhibit 351.21
3978-A	Letters and Flats Distribution	Exhibit 351.21
3978-B	Parcel Distribution	Exhibit 351.21
3978-D	Accountable Mail	Exhibit 351.21

Forms (cont'd)

Note: All forms listed with the citation "Exhibit 351.21" are those listed in Exhibit 351.21, *Retention Periods for Post Office Forms,* which begins on page 189.

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3996	Carrier — Auxiliary Control	Exhibit 351.21
3997	Unit Daily Record	Exhibit 351.21
3998	Unit Summary of City Delivery Assignments	Exhibit 351.21
3999	Inspection of Letter Carrier Route	Exhibit 351.21
3999-A	Deliveries/Inspection Record — Worksheet	Exhibit 351.21
3999-B	Collection Route Inspection	Exhibit 351.21
4003	Official Rural Route Description	Exhibit 351.21
4003-A	Official Rural Route Description Continuation Sheet	Exhibit 351.21
4015-A	Rural Carrier Agreement to Use Annual Leave Pursuant to Election of Higher Route Classification	Exhibit 351.21
4015-B	Rural Carrier Agreement to Terminate Guarantee	Exhibit 351.21
4015-C	Rural Carrier Agreement to Terminate Guarantee (Exercising Retreat or Bidding Rights)	Exhibit 351.21
4015-D	Rural Carrier Agreement to Terminate Guarantee	Exhibit 351.21
4015-E	Rural Carrier Agreement to Use Annual Leave Earned to Reduce Actual Work Hours	Exhibit 351.21
4015-F	Rural Carrier Agreement to Use Annual Leave Earned to Obtain Protected Salary	Exhibit 351.21
4024	Request to Repair Roads	Exhibit 351.21
4027	Petition for Change in Rural Delivery	Exhibit 351.21
4098-F	Employee Identification (Face)	277.233, 277.234, 277.31
4209	Project Authorization	513.112, 517.833
4239	Rural Route Count of Mail	Exhibit 351.21
4240	Rural Carrier Trip Report	Exhibit 351.21
4241	Rural Delivery Statistics Report	Exhibit 351.21
4241-A	Rural Route Evaluation	Exhibit 351.21
4248	Rural Route Inspection Report	Exhibit 351.21
4314-A	Consumer Service Card (Spanish)	Exhibit 351.21
4314-C	Consumer Service Card	Exhibit 351.21
4315	Evaluation of Routes for Motorization	Exhibit 351.21
4460	Vehicle Record/Trip Ticket	Exhibit 351.21
4503	Vehicle Delivery Control Sheet	Exhibit 351.21
4508	Vehicle Maintenance Facility Inventory Order	Exhibit 351.21
4509	VMF Inventory Purchase	Exhibit 351.21
4513	Scheduled/Unscheduled Maintenance Record	Exhibit 351.21

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Note: All forms listed with the citation "Exhibit 351.21" are those listed in Exhibit 351.21, *Retention Periods for Post Office Forms,* which begins on page 189.

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4527	Mail Hauling Vehicle Requirements	Exhibit 351.21
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4575	MVS Vehicle Survey	Exhibit 351.21
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4594	Vehicle Sales Request and Report	Exhibit 351.21
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Note: All forms listed with the citation "Exhibit 351.21" are those listed in Exhibit 351.21, *Retention Periods for Post Office Forms,* which begins on page 189.

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4841	Fuel and Utilities Record	Exhibit 351.21, 542.13, 542.3
4851	Housekeeping Inspection	Exhibit 351.21
4852	Workload Analysis and Summary	Exhibit 351.21, 535.263, 535.264
4871	Relocation Miscellaneous Expense Allowance Claim	Exhibit 351.21
4872	Claim for Subsistence Expenses — Temporary Quarters	Exhibit 351.21
4877	Reimbursement of Real Estate Expenses — Change of Official Station	Exhibit 351.21
4984	Repair Parts Requisition	Exhibit 351.21
5139	Nonpostal Service Temporary Employee	272.42, 277.242
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5201	Mail Van Inspection	Exhibit 351.21
5397	Contract Route Extra Trip Authorization	Exhibit 351.21
5398	Transportation Performance Record	Exhibit 351.21
5399	Contract Routes Performance Record	Exhibit 351.21
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