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.
### 312.1 Communications

#### Exhibit 312

**Standard Headquarters Policy and Procedure Document Types**

<table>
<thead>
<tr>
<th>Type of Document</th>
<th>Description</th>
<th>Distribution and Access</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manuals</td>
<td>Contain the basic policy information for the Postal Service.</td>
<td>Distributed as needed. Stocked in material distribution centers (MDCs). Posted on Postal Intranet.</td>
</tr>
<tr>
<td>IMM International Mail Manual</td>
<td>Regulations and information about international mail services.</td>
<td>Available to public from Government Printing Office.*</td>
</tr>
<tr>
<td>POM Postal Operations Manual</td>
<td>Policies for operation of post offices and for mail processing, transportation, and delivery.</td>
<td>Stocked for public in the MDCs.</td>
</tr>
<tr>
<td>ASM Administrative Support Manual</td>
<td>Policies for Postal Service administrative and support functions.</td>
<td>Stocked for public in the MDCs.</td>
</tr>
<tr>
<td>ELM Employee and Labor Relations Manual</td>
<td>Personnel policies and regulations governing Postal Service employment.</td>
<td>Stocked for public in the MDCs.</td>
</tr>
<tr>
<td>FMM Financial Management Manual</td>
<td>Overview of Postal Service financial policies, including accounting, budgeting, planning, and controlling assets.</td>
<td>Suspended.</td>
</tr>
<tr>
<td>Handbooks</td>
<td>Operating procedures, including related policies and instructions.</td>
<td>Distributed as needed. Most stocked in MDCs. Posted on Postal Intranet.</td>
</tr>
<tr>
<td>Publications</td>
<td>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.</td>
<td>Distributed as needed. Most stocked in MDCs. Posted on Postal Intranet.</td>
</tr>
<tr>
<td>Management Instructions</td>
<td>Short, permanent instructions and policies for specific employee groups. Contain material too specialized, technical, volatile, or otherwise unsuitable for manuals or handbooks.</td>
<td>Distributed as needed. Most stocked in MDCs. Posted on Postal Intranet.</td>
</tr>
<tr>
<td>Memorandums of Policy</td>
<td>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.</td>
<td>Distributed as needed. Not stocked. Posted on Postal Intranet.</td>
</tr>
<tr>
<td>Posters</td>
<td>Often (though not always) contain policy information that for any reason requires public display.</td>
<td>Distributed as needed. Most stocked in MDCs. Some posted on Postal Intranet.</td>
</tr>
<tr>
<td>Labels, Signs, Tags, and Kits</td>
<td>Brief instructions, information, identification, promotional material, safety and energy messages.</td>
<td>Most stocked in material distribution centers.</td>
</tr>
<tr>
<td>Postal Bulletin</td>
<td>Published biweekly. Used for temporary and emergency instructions and fast issuance of policies and permanent instructions before printing in permanent documents.</td>
<td>Distributed to all postal installations. Stocked in the MDCs for one year. Posted on Postal Intranet.</td>
</tr>
</tbody>
</table>

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

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


d. Postal Bulletin.

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:

- Establishing standards, processes and procedures for the submission, review, approval, and identification of corporate (PS) forms.
- Ensuring form version-control by maintaining forms metadata.
- Ensuring form integrity by maintaining a digital archive.
- Evaluating the need for a form.
- Analyzing and designing the form.
- Coordinating form use and disposition.
- Developing and managing corporate automated forms.

323.3 Field Management
Field managers must:

- Follow all policies and guidelines in corporate directives (such as Postal Bulletin articles, management instructions, and handbooks) when completing or processing a form.
- Ensure that the correct forms are used to support business processes.
- Ensure that completed forms are retained as described in subchapter 35.
- 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:

<table>
<thead>
<tr>
<th>Type of Form</th>
<th>Required Clearance</th>
</tr>
</thead>
<tbody>
<tr>
<td>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.</td>
<td>PS Through the vice president of Labor Relations using the clearance option 3 memo (see MI AS-310-96-3, <em>Management of Policy and Procedure Information — Paper and On-Line</em>). Local Through the appropriate area Human Resources manager.</td>
</tr>
<tr>
<td>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.</td>
<td>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).</td>
</tr>
<tr>
<td>PS forms that are stocked in the material distribution centers.</td>
<td>Through Inventory Management, Purchasing and Materials, Headquarters, on Form 189, <em>Stocking Plan for Directives and Forms</em>.</td>
</tr>
</tbody>
</table>

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 spokespeople 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.

### Postal Exhibits

#### 334

#### 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.

#### 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.

#### Audiovisual Services

See 343 for audiovisual instructions.

### Marketing Communications

#### 335

#### 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.

#### 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.
### Legislative, Executive Relations

#### 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.

#### 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.

#### Inquiries on Postal Policy

##### 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.

##### 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

##### 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.

### Field Management

#### Displays in Postal Facilities

##### 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.

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 336 and the Domestic Mail Manual.

339 Inspection Organizations

339.1 Office of Inspector General

339.11 Responsibility
The director of Congressional Relations, Office of Inspector General (OIG), monitors and evaluates legislative and regulatory activities, provides comment to Congress, and maintains liaison with Postal Service Government Relations and Postal Inspection Service Congressional and Public Affairs.

339.12 Legislative Relations
The OIG maintains a separate internal public and media relations program. The director of Communications, OIG, is responsible for the OIG’s public communications policies, programs, and functions. Reporting to the assistant inspector general for Strategic Planning and Quality, the director ensures that staff members:

a. Respond to news media inquiries and provide information about the OIG to the public.

b. Plan, approve, and manage the OIG public affairs effort.

c. Advise the inspector general and assistant inspectors general on actions necessary to keep the public well informed on OIG policies and programs.

d. Coordinate with Postal Service Corporate Relations and Postal Inspection Service Congressional and Public Affairs to avoid unnecessary duplication of effort.

339.13 Spokesperson
The director of Communications is the designated public information officer and spokesperson for all matters involving and/or affecting the OIG.

339.14 Media Inquiries
All inquiries about OIG operations from the news media should be referred to the director of Communications of the OIG when feasible. On occasions when this is not feasible, the OIG must be informed immediately after the media contact as to the nature of the inquiry and the response provided.
339.2 **Postal Inspection Service**

339.21 **Policy**

The Postal Inspection Service has a responsibility to provide information about the enforcement of postal laws to the public.

339.22 **Responsibility**

339.221 **Headquarters**

The manager of Congressional and Public Affairs, Postal Inspection Service, is responsible for the Postal Inspection Service’s public communications policies, programs, and functions. Reporting to the deputy chief inspector of Operations Support, and in coordination with Postal Service Corporate Relations, the manager of Congressional and Public Affairs ensures that staff members:

a. Respond to news media inquiries and provide information about the Postal Inspection Service to the public.

b. Plan, approve, and manage the Postal Inspection Service public affairs effort.

c. Advise the chief postal inspector and deputy chiefs on actions necessary to keep the public well informed on Postal Inspection Service policies and programs.

339.222 **Spokespersons**

The inspector in charge or designated public information officer is the principal spokesperson in matters of law enforcement. When situations arise that involve law enforcement and corporate issues, the Postal Inspection Service spokesperson is to coordinate with the manager of the Corporate Relations center and the postmaster or other facility manager. Postal Inspection Service Congressional and Public Affairs coordinates with Postal Service Corporate Relations to provide functional communications guidance to the field.

339.223 **Media Relations**

Headquarters Congressional and Public Affairs is responsible for developing media relations policy and guidance to Postal Inspection Service spokespersons to build relationships with the news media. Media relations include, but are not limited to, issuing announcements and news releases, conducting news conferences, and responding to media inquiries. Information is released consistent with policy in 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.
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:


b. Number of Pages. From 8 to 32 pages.
342.23 Communications

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.


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.
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.

Disclosure

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.

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 313 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.

Transfer

Storage

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.
<table>
<thead>
<tr>
<th>Location</th>
<th>Areas Served</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CIVILIAN PERSONNEL RECORDS NATL PERSONNEL RECORDS CTR</strong>&lt;br&gt;111 WINNEBAGO STREET&lt;br&gt;ST LOUIS MO 63118-4199&lt;br&gt;(314) 425-5722</td>
<td>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</td>
</tr>
<tr>
<td><strong>FEDERAL RECORDS CENTER</strong>&lt;br&gt;380 TRAPELO ROAD&lt;br&gt;WALTHAM MA 02154-6399&lt;br&gt;(617) 647-8745</td>
<td>Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island</td>
</tr>
<tr>
<td><strong>FEDERAL RECORDS CENTER</strong>&lt;br&gt;MILITARY OCEAN TERMINAL BLDG 22&lt;br&gt;BAYONNE NJ 07002-5388&lt;br&gt;(201) 823-7161</td>
<td>New York, New Jersey, Puerto Rico, the Virgin Islands, and the Panama Canal Zone</td>
</tr>
<tr>
<td><strong>FEDERAL RECORDS CENTER</strong>&lt;br&gt;5000 WISSAHICKON AVENUE GATE 8&lt;br&gt;PHILADELPHIA PA 19144-4898&lt;br&gt;(215) 951-5928</td>
<td>Delaware and Pennsylvania</td>
</tr>
<tr>
<td><strong>WASHINGTON NATL RECORDS CTR</strong>&lt;br&gt;4205 SUITLAND ROAD&lt;br&gt;SUITLAND MD 20409-0001&lt;br&gt;(301) 763-7000</td>
<td>District of Columbia, Maryland, Virginia, and West Virginia</td>
</tr>
<tr>
<td><strong>FEDERAL RECORDS CENTER</strong>&lt;br&gt;1557 ST JOSEPH AVENUE&lt;br&gt;EAST POINT GA 30344-2533&lt;br&gt;(404) 763-7438</td>
<td>North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, and Kentucky</td>
</tr>
<tr>
<td><strong>FEDERAL RECORDS CENTER</strong>&lt;br&gt;7358 SOUTH PULASKI ROAD&lt;br&gt;CHICAGO IL 60629-5898&lt;br&gt;(312) 353-0164</td>
<td>Illinois, Wisconsin, and Minnesota</td>
</tr>
<tr>
<td><strong>FEDERAL RECORDS CENTER</strong>&lt;br&gt;3150 SPRINGBORO ROAD&lt;br&gt;DAYTON OH 45439-1883&lt;br&gt;(513) 225-2878</td>
<td>Indiana, Michigan, and Ohio</td>
</tr>
<tr>
<td><strong>FEDERAL RECORDS CENTER</strong>&lt;br&gt;2312 EAST BANNISTER ROAD&lt;br&gt;KANSAS CITY MO 64131-3011&lt;br&gt;(816) 926-7271</td>
<td>Kansas, Iowa, Nebraska, and Missouri except greater St. Louis area</td>
</tr>
<tr>
<td><strong>FEDERAL RECORDS CENTER</strong>&lt;br&gt;4900 HEMPHILL ST BLDG 1 DOCK 1&lt;br&gt;Fort Worth TX 76115-0216&lt;br&gt;(817) 334-5515</td>
<td>Texas, Oklahoma, Arkansas, Louisiana, and New Mexico</td>
</tr>
<tr>
<td><strong>FEDERAL RECORDS CENTER</strong>&lt;br&gt;DENVER FEDERAL CTR BLDG 48&lt;br&gt;DENVER CO 80225-0307&lt;br&gt;(303) 236-0804</td>
<td>Colorado, Wyoming, Utah, Montana, North Dakota, and South Dakota</td>
</tr>
<tr>
<td><strong>FEDERAL RECORDS CENTER</strong>&lt;br&gt;1000 COMMODORE DR&lt;br&gt;San Bruno CA 94066-2350&lt;br&gt;(415) 876-9015</td>
<td>Nevada (except Clark County), California (except Southern California), and American Samoa</td>
</tr>
<tr>
<td><strong>FEDERAL RECORDS CENTER</strong>&lt;br&gt;24000 AVILA ROAD&lt;br&gt;LAGUNA NIGUEL CA 92656-3497&lt;br&gt;(714) 643-4220</td>
<td>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)</td>
</tr>
<tr>
<td><strong>FEDERAL RECORDS CENTER</strong>&lt;br&gt;6125 SAND POINT WAY NE&lt;br&gt;Seattle WA 98115-7999&lt;br&gt;(206) 526-6501</td>
<td>Washington, Oregon, Idaho, Alaska, Hawaii, and Pacific Ocean area (except American Samoa)</td>
</tr>
</tbody>
</table>
351.52 Communications

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](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](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](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
Communications

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]

| 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. NEW ADDRESS OR BOXHOLDER'S NAME AND STREET ADDRESS

_________ Moved, left no forwarding address. POSTMARK

_________ No such address.
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
NEW ADDRESS

( ) NOT KNOWN AT ADDRESS GIVEN

( ) MOVED, LEFT NO FORWARDING ADDRESS

( ) NO SUCH ADDRESS

( ) OTHER (SPECIFY):
BOXHOLDER’S STREET ADDRESS

Agency Return Address ___________________________
Postmark/Date Stamp ___________________________
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).
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.
### 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.

<table>
<thead>
<tr>
<th>Service Description</th>
<th>Price</th>
<th>Unit</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A. OS390 Servers</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Batch or On-line Services</td>
<td>$1,350.00</td>
<td>hour</td>
</tr>
<tr>
<td>Media Charge (Tape Produced)</td>
<td>25.00</td>
<td>volume</td>
</tr>
<tr>
<td>Print</td>
<td>.10</td>
<td>page</td>
</tr>
<tr>
<td><strong>B. Production Servers</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Running UNIX or NT OS)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>On-line Services</td>
<td>$155.00</td>
<td>hour</td>
</tr>
<tr>
<td>Print</td>
<td>.13</td>
<td>page</td>
</tr>
<tr>
<td><strong>C. Personal Computers</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>On-line Search</td>
<td>$6.25</td>
<td>15 minutes</td>
</tr>
<tr>
<td>Print</td>
<td>.13</td>
<td>page</td>
</tr>
<tr>
<td><strong>D. Personnel Charges</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Software Systems Services</td>
<td>$81.00</td>
<td>hour</td>
</tr>
<tr>
<td>Programming Services</td>
<td>70.00</td>
<td>hour</td>
</tr>
<tr>
<td>Manual Unit Services</td>
<td>48.00</td>
<td>hour</td>
</tr>
</tbody>
</table>

#### Duplication

The following apply:

- **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).
- **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.
- **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:

<table>
<thead>
<tr>
<th>Records Custodians</th>
<th>Send Reports To:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Located in area offices</td>
<td>FOIA office coordinator in the area office.</td>
</tr>
<tr>
<td>Located in processing and distribution center offices</td>
<td>FOIA office coordinator in the performance cluster.</td>
</tr>
<tr>
<td>Located in customer service and sales district offices</td>
<td>FOIA office coordinator in the performance cluster.</td>
</tr>
<tr>
<td>Located in headquarters and headquarters field units</td>
<td>FOIA office.</td>
</tr>
<tr>
<td>Who are postmasters</td>
<td>FOIA office coordinator in the performance cluster.</td>
</tr>
</tbody>
</table>

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:


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**

<table>
<thead>
<tr>
<th>Record of Disclosure from System of Records in Compliance with 5 U.S.C. 552a(c)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pertaining to: [name of individual] Date:</td>
</tr>
<tr>
<td>Information disclosed: [state, summarize, or otherwise identify]</td>
</tr>
<tr>
<td>Source: [no. and name of system of records, identification of document(s), etc.]</td>
</tr>
<tr>
<td>To: [individual, organization (if any), and address]</td>
</tr>
<tr>
<td>Purpose:</td>
</tr>
<tr>
<td>Authority for disclosure: [section of Act; no. of routine use; identification of written request or consent]</td>
</tr>
</tbody>
</table>
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
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.
Communications

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Contents

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

<table>
<thead>
<tr>
<th>Form/Label No.</th>
<th>Title</th>
<th>Retention Period</th>
<th>Cutoff</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Employee’s City or County Withholding Certificate</td>
<td><em>3</em> yrs</td>
<td><em>2</em></td>
</tr>
<tr>
<td>Me</td>
<td>If superseded</td>
<td>4 yrs</td>
<td><em>2</em></td>
</tr>
<tr>
<td>W 4</td>
<td>Employee’s Withholding Allowance Certificate</td>
<td><em>3</em> yrs</td>
<td><em>2</em></td>
</tr>
<tr>
<td>Me</td>
<td>If superseded</td>
<td>4 yrs</td>
<td><em>2</em></td>
</tr>
<tr>
<td>7</td>
<td>Service Record</td>
<td>3 yrs</td>
<td><em>2</em></td>
</tr>
<tr>
<td>Label 11-A</td>
<td>Express Mail Post Office to Post Office Service</td>
<td>6 mos</td>
<td><em>1</em></td>
</tr>
<tr>
<td>Me</td>
<td>Corporate Accounts</td>
<td>3 yrs</td>
<td><em>1</em></td>
</tr>
<tr>
<td>Label 11-B</td>
<td>Express Mail Next Day Service Post Office to Addressee</td>
<td>6 mos</td>
<td><em>1</em></td>
</tr>
<tr>
<td>Me</td>
<td>Corporate Accounts</td>
<td>3 yrs</td>
<td><em>1</em></td>
</tr>
<tr>
<td>Label 11-C</td>
<td>Express Mail Airport to Airport</td>
<td>6 mos</td>
<td><em>1</em></td>
</tr>
<tr>
<td>Me</td>
<td>Corporate Accounts</td>
<td>3 yrs</td>
<td><em>1</em></td>
</tr>
<tr>
<td>Label 11-E</td>
<td>Express Mail Post Office to Post Office</td>
<td>6 mos</td>
<td><em>1</em></td>
</tr>
<tr>
<td>Label 11-F</td>
<td>Express Mail Post Office to Addressee</td>
<td>6 mos</td>
<td><em>1</em></td>
</tr>
<tr>
<td>Label 11-H</td>
<td>Express Mail Airport to Airport Service</td>
<td>6 mos</td>
<td><em>1</em></td>
</tr>
<tr>
<td>V 11P</td>
<td>Application for Safe Driver Awards (National Safety Council)</td>
<td>4 yrs</td>
<td><em>2</em></td>
</tr>
<tr>
<td>W 15</td>
<td>State Withholding Tax Exemption Certificate</td>
<td><em>3</em> yrs</td>
<td><em>2</em></td>
</tr>
<tr>
<td>Me</td>
<td>If superseded</td>
<td>4 yrs</td>
<td><em>2</em></td>
</tr>
<tr>
<td>OF 15</td>
<td>Government Property Sales Announcement and Poster Combined</td>
<td><em>10</em> yrs</td>
<td><em>1</em></td>
</tr>
<tr>
<td>OF 16</td>
<td>Sales Slip — Sale of Government Personal Property</td>
<td><em>10</em> yrs</td>
<td><em>1</em></td>
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<tr>
<td>OF 17</td>
<td>Stamp Requisition:</td>
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<td></td>
</tr>
<tr>
<td>Me</td>
<td>Accounting Unit Copies</td>
<td>4 yrs</td>
<td><em>1</em></td>
</tr>
<tr>
<td>Me</td>
<td>Stamp Distribution Office Copies</td>
<td>2 yrs</td>
<td><em>1</em></td>
</tr>
<tr>
<td>17-A</td>
<td>Accountable Items Requisition From Stamp Distribution Office:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Me</td>
<td>Accounting Unit Copies</td>
<td>4 yrs</td>
<td><em>1</em></td>
</tr>
<tr>
<td>Me</td>
<td>Stamp Distribution Office Copies</td>
<td>2 yrs</td>
<td><em>1</em></td>
</tr>
<tr>
<td>17-R</td>
<td>Recapitulation Sheet</td>
<td>2 yrs</td>
<td></td>
</tr>
<tr>
<td>25</td>
<td>Trust Fund Account</td>
<td>1 yr</td>
<td><em>2</em></td>
</tr>
<tr>
<td>SF 94</td>
<td>Statement of Witness</td>
<td>3 yrs</td>
<td><em>2</em></td>
</tr>
<tr>
<td>SF 95</td>
<td>Claim For Damage, Injury, or Death</td>
<td>3 yrs</td>
<td><em>2</em></td>
</tr>
<tr>
<td>SF 97</td>
<td>The United States Government Certificate of Release of a Motor Vehicle</td>
<td>3 yrs</td>
<td><em>2</em></td>
</tr>
<tr>
<td>SF 120</td>
<td>Report of Excess Personal Property</td>
<td><em>10</em> yrs</td>
<td><em>1</em></td>
</tr>
<tr>
<td>SF 122</td>
<td>Transfer Order — Excess Personal Property</td>
<td><em>10</em> yrs</td>
<td><em>1</em></td>
</tr>
<tr>
<td>SF 123</td>
<td>Transfer Order — Surplus Personal Property</td>
<td><em>10</em> yrs</td>
<td><em>1</em></td>
</tr>
<tr>
<td>SF 135</td>
<td>Records Transmittal and Receipt</td>
<td>2 yrs</td>
<td><em>2</em></td>
</tr>
<tr>
<td>178</td>
<td>Specific Travel Order — Relocation &amp; Relocation Agreement</td>
<td>1 yr</td>
<td><em>1</em></td>
</tr>
<tr>
<td>FNS 250</td>
<td>Food Coupon Accountability Report</td>
<td>4 yrs</td>
<td><em>1</em></td>
</tr>
<tr>
<td>SF 258</td>
<td>Request to Transfer, Approval and Receipt of Records to the National Archives of the United States</td>
<td>2 yrs</td>
<td><em>2</em></td>
</tr>
<tr>
<td>FNS 260</td>
<td>Requisition for Food Coupon Books</td>
<td>4 yrs</td>
<td><em>1</em></td>
</tr>
<tr>
<td>296</td>
<td>Custody Receipt</td>
<td><em>4</em></td>
<td></td>
</tr>
<tr>
<td>SF 344</td>
<td>Multiuse Standard Requisition/Issue System Document:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Me</td>
<td>Vehicle Parts and Fuel Requisitions</td>
<td>3 yrs</td>
<td><em>1</em></td>
</tr>
<tr>
<td>Me</td>
<td>Other Supply Requisitions</td>
<td><em>10</em> yrs</td>
<td><em>1</em></td>
</tr>
<tr>
<td>OF 346</td>
<td>U.S. Government Motor Vehicle Operator’s Identification (Card)</td>
<td>4 yrs</td>
<td><em>2</em></td>
</tr>
</tbody>
</table>
### Retention Periods for Post Office Forms

<table>
<thead>
<tr>
<th>Form/Label No.</th>
<th>Title</th>
<th>Retention Period</th>
<th>Cutoff</th>
</tr>
</thead>
<tbody>
<tr>
<td>542</td>
<td>Inquiry About a Registered Article or an Insured Parcel or an Ordinary Parcel</td>
<td>2 yrs</td>
<td>&quot;5&quot;</td>
</tr>
<tr>
<td>571</td>
<td>Discrepancy of $100 or More in Financial Responsibility</td>
<td>2 yrs</td>
<td>&quot;5&quot;</td>
</tr>
<tr>
<td>697</td>
<td>Extension of City Delivery Service</td>
<td>2 yrs</td>
<td></td>
</tr>
<tr>
<td>773</td>
<td>Records Transmittal and Receipt</td>
<td>2 yrs</td>
<td>&quot;2&quot;</td>
</tr>
<tr>
<td>835</td>
<td>Quarterly Report of Originating Registered and COD Transactions</td>
<td>1 yr</td>
<td></td>
</tr>
<tr>
<td>961-A</td>
<td>Post Office Property Record:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Interim</strong></td>
<td>&quot;6&quot;</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Permanent</strong></td>
<td>&quot;7&quot;</td>
<td></td>
</tr>
<tr>
<td>969</td>
<td>Material Recycling and Disposal</td>
<td>&quot;10&quot;</td>
<td>&quot;1&quot;</td>
</tr>
<tr>
<td>991</td>
<td>Application for Promotion or Assignment</td>
<td>2 yrs</td>
<td>&quot;2&quot;</td>
</tr>
<tr>
<td>1000</td>
<td>Domestic Claim or Registered Mail Inquiry</td>
<td>3 yrs</td>
<td>&quot;5&quot;</td>
</tr>
<tr>
<td>1011</td>
<td>Travel Advance Request and Itinerary Schedule</td>
<td>1 yr</td>
<td>&quot;1&quot;</td>
</tr>
<tr>
<td>1012</td>
<td>Travel Voucher</td>
<td>1 yr</td>
<td>&quot;1&quot;</td>
</tr>
<tr>
<td>1017-A</td>
<td>Time Disallowance Record</td>
<td>3 yrs</td>
<td>&quot;1&quot;</td>
</tr>
<tr>
<td>1017-B</td>
<td>Unauthorized Overtime Record</td>
<td>3 yrs</td>
<td>&quot;1&quot;</td>
</tr>
<tr>
<td>1091-A</td>
<td>Post Office Box Fee Register (Note: If automated, delete customer record upon termination of service).</td>
<td>2 yrs</td>
<td>&quot;2&quot;</td>
</tr>
<tr>
<td>1091-B</td>
<td>Register for Caller Service Fees (Note: If automated, delete customer record upon termination of service).</td>
<td>2 yrs</td>
<td>&quot;2&quot;</td>
</tr>
<tr>
<td>1093</td>
<td>Application for Post Office Box or Caller Service</td>
<td>2 yrs</td>
<td>&quot;2&quot;</td>
</tr>
<tr>
<td>1094</td>
<td>Request for Post Office Box Key or Lock Service</td>
<td>2 yrs</td>
<td>&quot;2&quot;</td>
</tr>
<tr>
<td>1096</td>
<td>Cash Receipt</td>
<td>4 yrs</td>
<td>&quot;1&quot;</td>
</tr>
<tr>
<td>SF 1164</td>
<td>Claim for Reimbursement for Expenditures on Official Business</td>
<td>4 yrs</td>
<td>&quot;1&quot;</td>
</tr>
<tr>
<td>SF 1187</td>
<td>Request for Payroll Deduction for Labor Organization Dues</td>
<td>&quot;3&quot;</td>
<td></td>
</tr>
<tr>
<td>1188</td>
<td>Cancellation of Organization Dues from Payroll Withholdings</td>
<td>&quot;3&quot;</td>
<td></td>
</tr>
<tr>
<td>1192</td>
<td>U.S. Savings Bond Authorization for Purchase and Request for Change</td>
<td>13 PPs</td>
<td>&quot;1&quot;</td>
</tr>
<tr>
<td>1199A</td>
<td>Direct Deposit</td>
<td>13 PPs</td>
<td>&quot;1&quot;</td>
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<tr>
<td>1216</td>
<td>Employee’s Current Mailing Address</td>
<td>&quot;8&quot;</td>
<td></td>
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<tr>
<td>1221</td>
<td>Advanced Sick Leave Authorization</td>
<td>3 yrs</td>
<td>&quot;1&quot;</td>
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<tr>
<td>1224</td>
<td>Court Duty Leave — Statement of Service</td>
<td>3 yrs</td>
<td>&quot;1&quot;</td>
</tr>
<tr>
<td>1230-A</td>
<td>Time Card — Week 1</td>
<td>3 yrs</td>
<td>&quot;1&quot;</td>
</tr>
<tr>
<td>1230-B</td>
<td>Time Card — Week 2</td>
<td>3 yrs</td>
<td>&quot;1&quot;</td>
</tr>
<tr>
<td>1230-C</td>
<td>Time Card — Other Service</td>
<td>3 yrs</td>
<td>&quot;1&quot;</td>
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<tr>
<td>1234</td>
<td>Utility Card</td>
<td>3 yrs</td>
<td>&quot;1&quot;</td>
</tr>
<tr>
<td>1236-A</td>
<td>Weekly Loan, Transfer, and Training Hours</td>
<td>3 yrs</td>
<td>&quot;1&quot;</td>
</tr>
<tr>
<td>1242</td>
<td>Court Ordered Child Care or Alimony Payment</td>
<td>3 yrs</td>
<td>&quot;1&quot;</td>
</tr>
<tr>
<td>1242-A</td>
<td>Commercial Garnishment Withholding Notice or Wage Earner Plan Allotment Request</td>
<td>3 yrs</td>
<td>&quot;1&quot;</td>
</tr>
<tr>
<td>1260</td>
<td>Nontransactor Card Corrections</td>
<td>1 AP</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Time Card Supporting Documentation</td>
<td>3 yrs</td>
<td></td>
</tr>
<tr>
<td>1261</td>
<td>Nontransactor Report Corrections</td>
<td>1 AP</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Time Card Supporting Documentation</td>
<td>3 yrs</td>
<td></td>
</tr>
<tr>
<td>1262</td>
<td>PSDS Loaned Employee Non-Transactor Card</td>
<td>1 AP</td>
<td>&quot;1&quot;</td>
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</table>
## Exhibit 351.21 (p. 3)
### Retention Periods for Post Office Forms

<table>
<thead>
<tr>
<th>Form/Label No.</th>
<th>Title</th>
<th>Retention Period</th>
<th>Cutoff</th>
</tr>
</thead>
<tbody>
<tr>
<td>1268</td>
<td>Employee Suggestion Control Record</td>
<td>2 yrs</td>
<td></td>
</tr>
<tr>
<td>1269</td>
<td>Employee Suggestion</td>
<td>2 yrs</td>
<td>&quot;2&quot;</td>
</tr>
<tr>
<td>1311</td>
<td>Carrier Transportation Agreement</td>
<td>2 yrs</td>
<td>&quot;2&quot;</td>
</tr>
<tr>
<td>1312</td>
<td>Local Transportation Payments:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Accounting Unit Copies</td>
<td>4 yrs</td>
<td>&quot;1&quot;</td>
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<td>Accounting Copy — 9500 Form</td>
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<td>Sender’s Application for Recall of Mail</td>
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<td>Delivery Management Report</td>
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## Retention Periods for Post Office Forms

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<td>Bid for Preferred Assignment</td>
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<td>Assignment Order</td>
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<td>Safe Driver Award Committee Decision</td>
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<td>Hazardous Materials Incident Report</td>
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<td>On-the-Job Safety Review/Analysis</td>
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<td>Safety and Health Inspection Checklist (for Postal Facilities Over 10,000 Square Feet)</td>
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<td>Late Leaving and Returning Report — First Carrier Delivery Trip</td>
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<td>Carrier’s Count of Mail — Letter Carrier Routes</td>
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<td>Carrier’s Count of Mail — Parcel Post and Combination Services</td>
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<td>Worksheet/Management Summary</td>
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<td>Payment Record for Carrier Drive-Out Agreements</td>
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<td>Summary of Count and Inspection — Letter Carrier Route</td>
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<td>Justification for Billing Accounts Receivable:</td>
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<td>Local Office Copies — Property Damage</td>
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<td>Local Office Copies — Personal Injury</td>
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<td>1994</td>
<td>Employee’s Work Schedule</td>
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## Retention Periods for Post Office Forms

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<td>Window Transaction Record</td>
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<td>Window Transaction Conversion</td>
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<td>Window Transaction Survey</td>
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<td>Mail Theft and Vandalism Complaint</td>
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<td>Contract Personnel Questionnaire</td>
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<td>Travel Advance Request (Relocation Worksheet)</td>
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<td>Rural Pay or Leave Adjustment Request</td>
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<td>MOD 2 Performance Summary (Clerk/Mailhandler Workhours)</td>
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<td>Performance Evaluation for EAS Employees — General Form</td>
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<td>Individual Training Record — Supplement Sheet</td>
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<td>3236</td>
<td>Uniform Allowance Cap Disbursements</td>
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<td>Stamps &amp; Stamped Paper Destruction Certificate:</td>
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<td>Postmaster’s Statement of Account Copies</td>
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<td>Stamp Distribution Office Copies</td>
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<td>3239</td>
<td>Payroll Deduction Authorization To Liquidate Postal Service Indebtedness</td>
<td>3 yrs <em>2</em></td>
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<td>3239-A</td>
<td>Payroll Deduction Authorization To Liquidate Other Government Agency Indebtedness</td>
<td>3 yrs <em>2</em></td>
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<td>3240</td>
<td>Uniform Allowance Inquiry</td>
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<td>3294</td>
<td>Cash and Stamp Stock Count and Summary:</td>
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<td>Employees’ Copies</td>
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<td>Postmaster’s Copies</td>
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<td>Daily Record of Stamps, Stamped Paper, and Nonpostal Stamps on Hand</td>
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<td>Advice of Shipment/Stamp Invoice</td>
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<td>Retail and Philatelic Products — Clerks Daily Sales Record:</td>
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<td>Clerk/Station/Branch Copies</td>
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<td>Stamp Requisition — Bulk Quantities</td>
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<td>Stamp Credit Examination Record</td>
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<td>Consigned Credit Receipt</td>
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<td>Operations Analysis Report</td>
<td>2 yrs</td>
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<td>3501</td>
<td>Application for Second-Class Mail Privileges</td>
<td>3 yrs <em>2</em></td>
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<td>Application to Mail Publications at Second-Class Rates</td>
<td>3 yrs <em>2</em></td>
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<td>Application for Second-Class Mail Privileges</td>
<td>3 yrs <em>2</em></td>
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<td>3503</td>
<td>Record of Deposits Made While Second-Class Application Is Pending</td>
<td>2 yrs <em>2</em></td>
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<td>3508</td>
<td>Requisition for Saleable Items (Other Than Stamps)</td>
<td>4 yrs <em>1</em></td>
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<td>Application for Additional Entry, Reentry, or Special Rate Request for Second-Class Publication</td>
<td>1 yr <em>2</em></td>
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<td>Application for Second-Class (Requester) Mail Privileges</td>
<td>3 yrs <em>2</em></td>
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<td>3526</td>
<td>Statement of Ownership, Management, and Circulation</td>
<td>5 yrs <em>1</em></td>
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<td>3533</td>
<td>Application and Voucher for Refund of Postage and Fees</td>
<td>4 yrs <em>1</em></td>
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<td>3538</td>
<td>Irregular Handling of Undeliverable Second-Class Publication</td>
<td>2 yrs <em>5</em></td>
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## Exhibit 351.21 (p. 7)
### Retention Periods for Post Office Forms

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<td>Second-Class Certification for Multiple Issues (On the Same Day)</td>
<td>3 yrs</td>
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<td>3541-E</td>
<td>Second-Class Certification for Multiple Issues (Not on the Same Day)</td>
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<td>Statement of Mailing — Second-Class Special and Classroom Rates</td>
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<td>Statement of Mailing — Second-Class Regular and Science-of-Agriculture Rates</td>
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<td>3543</td>
<td>Record of Second-Class Postage</td>
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<td>3544</td>
<td>Post Office Receipt for Money:</td>
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<td>Accounting Unit Copies</td>
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<tr>
<td></td>
<td>Local Office Copies</td>
<td>1 yr</td>
<td>&quot;1&quot;</td>
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<td>VMF Copies</td>
<td>3 yrs</td>
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<td>3548</td>
<td>Review and Verification of Circulation</td>
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<td>3555</td>
<td>Report of Returned Mail</td>
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<td>3575</td>
<td>Change of Address Order</td>
<td>18 mos</td>
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<td>Change of Address Order</td>
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<td>3582-A</td>
<td>Postage Due Bill</td>
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<td>Postage Due Invoice:</td>
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<td>Accounting Unit Copies</td>
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<td>&quot;1&quot;</td>
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<tr>
<td></td>
<td>Local Office Copies</td>
<td>1 yr</td>
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<tr>
<td>3584</td>
<td>Postage Due Log</td>
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<tr>
<td>3600-PC</td>
<td>Statement of Mailing with Meter or Precanceled Postage Affixed — First-Class Mail</td>
<td>4 yrs</td>
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<td>3600-R</td>
<td>Statement of Mailing with Permit Imprints — First-Class Mail</td>
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<td>3601</td>
<td>Application to Mail Without Affixing Postage Stamps</td>
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<td>&quot;2&quot;</td>
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<tr>
<td>3601-A</td>
<td>License to Use Postage Meter</td>
<td>1 yr</td>
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<tr>
<td>3602-N</td>
<td>Statement of Mailing with Permit Imprints — Third-Class Mail (Nonprofit Rates Only)</td>
<td>4 yrs</td>
<td>&quot;1&quot;</td>
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<td>3602-PC</td>
<td>Statement of Mailing with Meter or Precanceled Postage Affixed — Bulk Third-Class Mail (Regular or Nonprofit Rates)</td>
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<td>Postage Collected Through Post Office Meter:</td>
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<td>Accounting Unit Copies</td>
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<td></td>
<td>Local Office Copies</td>
<td>1 yr</td>
<td>&quot;1&quot;</td>
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<tr>
<td>3602-R</td>
<td>Statement of Mailing with Permit Imprints — Third-Class Mail (Regular Rates Only)</td>
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<td>3603</td>
<td>Receipt for Postage Meter Settings:</td>
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<td>Accounting Unit Copies</td>
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<td>&quot;1&quot;</td>
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<td></td>
<td>Local Office Copies</td>
<td>1 yr</td>
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<td>3604</td>
<td>Nonuse Revocation of Mailing Permit or Meter License</td>
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<td>3605-PC</td>
<td>Statement of Mailing with Meter Postage Affixed — Priority Mail and Zone-Rated Fourth-Class Mail</td>
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<td>3605-R</td>
<td>Statement of Mailing with Permit Imprints — Priority Mail and Zone-Rated Fourth-Class Mail</td>
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<td>3607</td>
<td>Weighing and Dispatch Certificate</td>
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<td>3608-PC</td>
<td>Statement of Mailing with Meter Postage Affixed Presorted Special Fourth-Class Rate Mail</td>
<td>4 yrs</td>
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<td>3608-R</td>
<td>Statement of Mailing with Permit Imprints Special Fourth-Class and Library Fourth-Class Mail</td>
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<td>3609</td>
<td>Record of Permit Imprint Mailings</td>
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<td>3609-PO</td>
<td>Control for Post Office Meter</td>
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### Exhibit 351.21 (p. 8)
#### Retention Periods for Post Office Forms

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<td>3613</td>
<td>Cancellation of Permit</td>
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<td>3616</td>
<td>Report of Quarterly Verification of Metered Mail</td>
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<td>3618</td>
<td>Local Setting of Postage Meter Licensed at Another Office</td>
<td>3 yrs</td>
<td>&quot;2&quot;</td>
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<td>3619</td>
<td>Permit Number Record</td>
<td>1 yr</td>
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<td>3620</td>
<td>Permit to Use Precanceled Stamps or Government Precanceled Stamped Envelopes Application</td>
<td>3 yrs</td>
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<td>Application for Special Bulk Third-Class Rates at Additional Mailing Office</td>
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<td>&quot;2&quot;</td>
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<td>3624</td>
<td>Application to Mail at Special Bulk Third-Class Rates</td>
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<td>3625</td>
<td>Merchandise Return Permit Application</td>
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<td>3650</td>
<td>Statement of Mailing — International Surface Air Lift</td>
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<td>International Statement of Mailing (With Permit Imprints and Bulk Letters to Canada with Postage Meter Affixed)</td>
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<td>Statement of Mailing — International Priority Airmail</td>
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<td>3701</td>
<td>Delivery Survey</td>
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<td>3702</td>
<td>Test Mailing Record</td>
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<td>3721</td>
<td>Publication Watch</td>
<td>1 yr</td>
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<td>Delayed Mail Report — All Post Offices</td>
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<td>3749</td>
<td>Irregularities in the Preparation of Mail Matter</td>
<td>1 yr</td>
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<td>3801</td>
<td>Standing Delivery Order</td>
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<td>Agreement by a Hotel, Apartment House, or the Like</td>
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<td>3806</td>
<td>Receipt for Registered Mail</td>
<td>2 yrs</td>
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<td>Plant-Load Authorization, Application, Worksheet and Agreement</td>
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<td>3816</td>
<td>COD Mailing and Delivery Receipt</td>
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<td>Clearance Receipt</td>
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<td>COD Tag Transmittal</td>
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<td>Registry Irregularity Report</td>
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<td>Irregularity Report of Insured and COD Mail</td>
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<td>Registry Dispatch Record</td>
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<td>Post Office Record of Claim</td>
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<td>Annual Verification of Circulation</td>
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<td>Delivery Notice/Reminder/Receipt</td>
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<td>Manifold Registry Dispatch Book</td>
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<td>Registered Mail Dispatch Bill</td>
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<td>COD Loss Claim Filed by Sender</td>
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<td>Loss Claim</td>
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<td>Damage Claim Filed by Sender</td>
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<td>3863</td>
<td>Damage Claim Filed by Addressee</td>
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<td>Accountable Mail Matter Received for Delivery</td>
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<td>Receipt Verification — Insured and Returned COD Mail</td>
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<td>Firm Mailing Book for Accountable Mail:</td>
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<td>EMS — Corporate Account Records</td>
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<td>EMS — Receipts/Mailing Statements</td>
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<td>Domestic Mail Acceptance Receipts</td>
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### Retention Periods for Post Office Forms

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<td>Firm Delivery Receipt</td>
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<td>Daily Delivery Unit Volume Recording Worksheet</td>
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<td>Daily Customer Services Unit Volume Recording Worksheet</td>
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<td>Daily Address Information Operations Analysis</td>
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<td>Operations Analysis</td>
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<td>CSMDS Plan Input Sheet</td>
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<td>Authorization for Medical Attention</td>
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<td>Stamp Distribution Office Copies</td>
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<td>Daily Recap — Stamp Stock Transactions</td>
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<td>Daily Mail Collection Record</td>
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<td>Request For or Notification of Absence</td>
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<td>3972</td>
<td>Absence Analysis</td>
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<td>Military Leave Control</td>
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<td>Letters and Flats Distribution</td>
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<td>Parcel Distribution</td>
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<td>Accountable Mail</td>
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<td>Carrier — Auxiliary Control</td>
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<td>Unit Daily Record</td>
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<td>Unit Summary of City Delivery Routes</td>
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<td>3999</td>
<td>Inspection of Letter Carrier Route</td>
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### Retention Periods for Post Office Forms

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<td>MVS Schedule</td>
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<td>Inventory Adjustment Inventory and Parts Transferred</td>
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<td>Railroad Van Movement Log</td>
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### Exhibit 351.21 (p. 11)

**Retention Periods for Post Office Forms**

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<td>Sale-Purchase Agreement (Vehicles)</td>
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<td>Workload Analysis and Summary</td>
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<td>Relocation — Miscellaneous Expense Allowance Claim</td>
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<td>Claim for Subsistence Expenses — Temporary Quarters</td>
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<td>Reimbursement of Real Estate Expenses — Change of Official Station</td>
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<td>Repair Parts Requisition:</td>
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<td>Parts and Fuel Inventory Records</td>
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<td>Vehicle Maintenance Agreement Records</td>
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<td>Mail Van Inspection</td>
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<td>Certification of Exceptional Contract Service Performed</td>
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<td>Contract Route Box Customer Notice</td>
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<td>Summary of Passport Applications Accepted</td>
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<td>Amount Due Deceased Contractor</td>
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### Exhibit 351.21 (p. 12)
#### Retention Periods for Post Office Forms

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<td>Transportation Services Bid or Proposal and Contract for Regular Service</td>
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</tr>
<tr>
<td>7439</td>
<td>Solicitation Record — Emergency Highway Contract</td>
<td>7 yrs</td>
<td>&quot;2&quot;</td>
</tr>
<tr>
<td>7440</td>
<td>Contract Route Service Order</td>
<td>7 yrs</td>
<td>&quot;2&quot;</td>
</tr>
<tr>
<td>7440-A</td>
<td>Change in Schedule Notice</td>
<td>7 yrs</td>
<td>&quot;2&quot;</td>
</tr>
<tr>
<td>7440-B</td>
<td>Continuation Sheet for Forms 7440 and 7440-A</td>
<td>7 yrs</td>
<td>&quot;2&quot;</td>
</tr>
<tr>
<td>7444</td>
<td>Local Purchase Order</td>
<td>3 yrs</td>
<td></td>
</tr>
<tr>
<td>7445</td>
<td>Inquiry Concerning Renewal of Transportation Services Contract</td>
<td>7 yrs</td>
<td>&quot;2&quot;</td>
</tr>
</tbody>
</table>
## Retention Periods for Post Office Forms

<table>
<thead>
<tr>
<th>Form/Label No.</th>
<th>Title</th>
<th>Retention Period</th>
<th>Cutoff</th>
</tr>
</thead>
<tbody>
<tr>
<td>7447</td>
<td>Transportation Services Renewal Contract for Regular Services</td>
<td>7 yrs</td>
<td>&quot;2&quot;</td>
</tr>
<tr>
<td>7448</td>
<td>Notice of Renewal of Transportation Services Contract for Regular Services</td>
<td>7 yrs</td>
<td>&quot;2&quot;</td>
</tr>
<tr>
<td>9528 OC</td>
<td>Advice of Shipment — Stamp Invoice</td>
<td>4 yrs</td>
<td></td>
</tr>
</tbody>
</table>

*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).

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.


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

<table>
<thead>
<tr>
<th>Paper and Paper Products</th>
<th>Minimum Percent of Waste Paper</th>
</tr>
</thead>
<tbody>
<tr>
<td>Offset Printing</td>
<td>50</td>
</tr>
<tr>
<td>Mimeo and duplicator paper</td>
<td>50</td>
</tr>
<tr>
<td>Writing paper (stationery)</td>
<td>50</td>
</tr>
<tr>
<td>Office paper (e.g., note pads)</td>
<td>50</td>
</tr>
<tr>
<td>Paper for high-speed copiers</td>
<td>50*</td>
</tr>
<tr>
<td>Envelopes</td>
<td>50</td>
</tr>
<tr>
<td>Forms bond, including computer paper and carbonless</td>
<td>50*</td>
</tr>
<tr>
<td>Bond papers</td>
<td>50</td>
</tr>
<tr>
<td>Book papers</td>
<td>50</td>
</tr>
<tr>
<td>Ledger paper</td>
<td>50</td>
</tr>
<tr>
<td>Cover paper</td>
<td>50</td>
</tr>
<tr>
<td>Cotton fiber paper</td>
<td>25 percent recovered cotton or linen fiber, plus 50 percent waste paper</td>
</tr>
</tbody>
</table>

*The percentage is obtained from Procurement Guidelines Advisory #2; the paper guideline does not recommend a percentage.

#### Table 2
Minimum Percent of Postconsumer Recovered Material

<table>
<thead>
<tr>
<th>Paper and Paper Products</th>
<th>Minimum Percent of Postconsumer Recovered Material</th>
</tr>
</thead>
<tbody>
<tr>
<td>Newsprint</td>
<td>40</td>
</tr>
<tr>
<td>Tissue Products:</td>
<td></td>
</tr>
<tr>
<td>Toilet tissue</td>
<td>20</td>
</tr>
<tr>
<td>Paper napkins</td>
<td>30</td>
</tr>
<tr>
<td>Paper towels</td>
<td>40</td>
</tr>
<tr>
<td>Facial tissue</td>
<td>5</td>
</tr>
<tr>
<td>Doilies</td>
<td>40</td>
</tr>
<tr>
<td>Unbleached Packaging:</td>
<td></td>
</tr>
<tr>
<td>Corrugated boxes</td>
<td>35</td>
</tr>
<tr>
<td>Fiber boxes</td>
<td>35</td>
</tr>
<tr>
<td>Brown papers (e.g., bags)</td>
<td>5</td>
</tr>
<tr>
<td>Paperboard products, including folding cartons</td>
<td>80</td>
</tr>
<tr>
<td>Pad backing</td>
<td>90</td>
</tr>
</tbody>
</table>

### 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**

- *Embossed.* Do not print embossed or thermographic stationery.
- *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:

- Relate to the subject to explain the text.
- Not serve to aggrandize any individual.
- Be in good taste.
- Be restricted to the minimum size necessary to accomplish their purpose.

371.663 **Courtesy Credit Lines**

Courtey credit lines are treated as follows:

- 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.
- No credit is given when material is purchased.
- When material comes from a single nongovernmental source, credit is given in an undisplayed preliminary paragraph, rather than on individual pages.
- Employee bylines in Postal Service publications are printed next to the article or picture created by the employee.
- Authors' names are not printed on the covers of publications. This restriction does not apply to backstrips (spines), self-covers, or title pages.
- 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.

<table>
<thead>
<tr>
<th>Equipment Description</th>
<th>Approved by HQ (1)</th>
<th>Districts (2)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Offset Presses</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Computerized Offset System</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Electronic Publishing System</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Laser &amp; Digital Printers</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Copier Duplicators</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Copy Machines</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Offset Platemaker</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Bindery Equipment</td>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>

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 Communications

373.234 Other Government Agency Orders
Offices with contracting authority place all interagency requisitions on a purchase order.

373.3 Commercial Field Printing

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

WILLIAM J. HENDERSON
Postmaster General, CEO
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-0010
202-268-2500 FAX: 202-268-4860
EMAIL: whenderson@usps.gov          www.usps.com

TWO-LINE TITLE

CLARENCE E. LEWIS, JR.
Chief Operating Officer
Executive Vice President
475 L'ENFANT PLAZA SW
WASHINGTON DC 20260-0080
202-268-4842 FAX: 202-268-4843
EMAIL: clewis1@usps.gov                  www.usps.com