

4 Mail Processing Procedures

41 Introduction

Once mail is collected and brought to the processing facility, it must be distributed, transported, and delivered to its final destination. This process begins with mail preparation, which entails dumping, culling, facing, traying, and canceling the collected mail. Once this is accomplished, the mail is ready for distribution or sorting. After mail preparation and distribution, the mail is routed and dispatched to a destinating processing facility where it is finalized and sent to the carrier unit for delivery.

42 Responsibilities

421 Headquarters

Network Operations Management has the following responsibilities:

- a. Coordinate mail processing for interarea receipt and distribution to ensure optimal service and efficiencies.
- b. Prepare and issue instructions, procedures, policies, guidelines, and directives pertaining to manual, mechanized, and automated mail processing and equipment.
- c. Review and approve proposed changes in the makeup and labeling of mail processed at area distribution centers (ADCs), automated area distribution centers (AADCs), air mail centers/facilities (AMC/Fs), and bulk mail centers (BMCs) concurrent with area input.
- d. Approve with Address Management all ZIP Code assignments and requests for ZIP Code changes and realignments.
- e. Prepare and issue instructions, procedures, policies, guidelines, and directives pertaining to inter-intra transportation using all modes.
- f. Maintain list of all network processing facilities as shown in the national labeling lists (see DMM L).

Note: ZIP code assignments to facilities change depending on class or shape of mail.

422 Area Offices

Operations Support in the area offices will review all plans submitted by the customer service processing facilities, air mail centers/facilities (AMC/Fs), and bulk mail centers (BMCs) for completeness and compatibility with long-range mail processing and delivery needs of the area. In-Plant Support reviews and approves all operating plans, deployment plans, metro plans, equipment plans, sort plans, long-range Remote Barcoding System (RBCS) plans, and review of staffing and scheduling (Site Meta) plans developed and submitted by the P&DC/Fs. Distribution Networks (DNs) in the area office will review all the plans mentioned in the preceding sentence that are submitted by the AMC/Fs, PDC/Fs, customer service facilities and BMCs. In addition, Areas have these responsibilities:

- a. Monitor, evaluate, and direct, when necessary, mail processing in the area to ensure complete and continuing compliance with Headquarters guidelines and policies.
- b. Distribution Networks determines and implements managed mail processing (MMP) distribution requirements for facilities in the area's service area and resolve field differences pertaining to transportation needs for the intraarea and interarea movement of mail.
- c. Develop and issue guidelines to facilitate the development of schemes, schedules, and unit operating plans.
- d. Provide an effective reporting system for communicating ongoing, workable mail processing programs to Headquarters, other areas, and local managers.
- e. Keep a copy of all approved plans on file. Submit plans that require ZIP Code assignments or changes to Address Management, Customer Service Support.
- f. Determine requirements for installations in the area regarding the type and extent of mail distribution and the schemes and methods used. Submit plans that require changes to the Distribution Network for any class of mail to Logistics, Network Operations Management, Headquarters.

423 Area Distribution Networks

423.1 General

The area DN manager administratively reports to area manager, Operations Support. It is responsible for preparing all authorized National Air and Surface System (NASS) dispatch and routing instructions. Distribution Networks perform the following functions when designing dispatch and routing guidelines:

- a. Develops logistical plans for movement of mail from an originating customer service facility to the destinating processing facility as noted in the area's internal labeling instructions and as specified by Headquarters' Distribution Networks. Internal labeling instructions

specify what appears on placards and labels. A master file of this list is kept in the area office.

- b. Selects transportation for routing mail between and within area boundaries.
- c. Provides a minimum of two dispatches for tie-out purposes. Processing facilities must execute the respective dispatch, labeling, and transfer operations as described in the operating plan.
- d. Provides extra trips and emergency transportation as required.
- e. Determines the authorized distribution and routing of all classes of mail originating in the area, and issues appropriate instructions.
- f. Authorizes or approves the authorization of any intraarea distribution changes.
- g. Establishes and implements service improvement programs. Reviews ODIS and EXFC scores to target service problems. Evaluates the relationships of sort programs to the existing transportation network. Ensures that transportation is giving our customers the best possible service. Ensures that all processing facilities are in compliance with the established and approved transportation network.
- h. Develops PVS requirements for inter-plant, AMC/AMF, and BMC Rail Yard Transportation.

423.2 **Feedback Requirements**

For any system to be effective, an open exchange of information must take place. This exchange of information will help develop plans for the movement of mail from an originating mail processing facility to the destinating mail processing facility that is noted in the labeling instructions and specified by the Postal Service distribution network. Distribution Networks (DN) is responsible for thoroughly explaining all NASS dispatch reports to personnel at mail processing facilities. Mail processing facilities are responsible for notifying DN of operational changes, errors in NASS reports, and suggestions to improve service and/or cost performance.

424 **Processing and Distribution Center/Facility**

424.1 **Definition**

Designated associate offices, stations, and branches will send outgoing mail to the processing and distribution center/facility (P&DC/F) or customer service facility for processing and dispatch. Processing and distribution facilities report directly to the area office on mail processing matters. Processing and distribution center/facilities will provide instructions on preparation of collection mail, dispatch schedules, and sort plan requirements to associate offices and mailers. Labeling instructions for all classes and categories of mail are issued by Network Operations Management, Headquarters.

424.2 **Operating Plan Review**

P&DCs review all standard operating plans submitted by their P&DFs for completeness and compatibility with the long-range mail processing and delivery needs of the center's area of responsibility. The P&DC submits appropriate plans in a complete package to the area office. ADCs and AADCs for all classes of mail are proposed by the Vice President, Area Operations, for approval by Network Operations Management, Headquarters. Generally, P&DC/Fs are selected to function as ADCs or AADCs. They must have sufficient work space and automated and mechanized processing capability to handle the managed mail processing volume destinating in their area. Separations of mail by specific ZIP Code areas for these ADCs/AADCs are mandatory at each originating processing facility. Incoming and outgoing mail distribution is performed following area guidelines and must be completed by the cutoff times listed in the operating plan for each processing facility. ADCs and AADCs are ultimately determined by the vice president, Network Operations Management, Headquarters, Area Distribution Networks has a major role in determining what the ZIP Code range shall be for each ADC and AADC. These ZIP Codes are based on optimum transportation capabilities and established service commitments. Area manager, Network Operations Management, should submit recommendations to the Vice President, Network Operations Management, Headquarters.

424.3 **Area Distribution Centers**

Area distribution centers (ADCs) for all classes of mail are shown in the national labeling lists (see DMM L). Generally, facilities selected to function as ADCs must have sufficient work space and mechanized processing capability to handle all First-Class Mail, Periodicals, and Standard Mail that is addressed to destinations in the ADC service area. Separations of mail by specific ZIP Code areas for these ADCs are mandatory at point of origin.

424.4 **Automated Area Distribution Centers**

Automated area distribution centers (AADCs) for all classes of mail are shown in the national labeling lists. Generally, facilities selected to function as AADCs must have sufficient work space and automated processing capability to handle all First-Class Mail, Periodicals, and Standard Mail that is addressed to destinations in the AADC service area. Separations of mail by specific ZIP Code areas for these AADCs are mandatory at point of origin.

424.5 **Associate Office Distribution Responsibilities**

An associate office (AO) reports directly to and receives instructions from the district office, in cooperation with the P&DCs, on mail processing matters. The postmaster of an AO is responsible, along with Customer Service and Sales, for keeping mailers advised of the correct makeup and labeling of all classes of mail.

425 Air Mail Center/Facility

An air mail center/facility (AMC/AMF) is a postal facility located at or adjacent to an airport. The AMC/AMF core operations are: assignment of mail to flights; receipt and dispatch of mail to/from air carriers; acceptance and sortation of mail to/from plants; performance measurement/quality control of air carrier operations; and management of functions specific to airport operations (customs, con-con, etc.). The AMC/AMF operation includes billing of mail tendered to air carriers, transit handling of mail between air and highway transportation routes, and supervising the transfer of mail between air carrier flights. Some AMC/AMFs act as international and military exchange and concentration centers, Priority Mail outgoing concentration centers, and destinating ADCs. Some larger AMC/AMFs have fixed mechanization, which is used for both incoming and outgoing SCF distribution to air carriers. Some facilities may perform distribution normally associated with P&DC/AMFs.

426 Bulk Mail Centers

The bulk mail center (BMC) network consists of 21 strategically located, highly mechanized, and automated facilities that serve as centralized processing and transfer points for designated geographic areas. BMCs receive and process originating and destinating mail volumes of Periodicals, Standard Mail, Package Services, and in some cases Priority Mail destinating within their own service area.

43 ZIP Codes and the ZIP+4 System

431 ZIP Codes

ZIP Codes are five-digit geographic codes that identify postal delivery areas within the United States and its possessions and territories to simplify distribution and delivery of mail by the U.S. Postal Service (see 439). The following definitions apply:

- a. A *postal area ZIP Code* is a five-digit ZIP Code assigned to postal facilities, box sections, caller service, vertical improved mail (VIM) units (buildings), military installations, and delivery areas.
- b. A *Post Office box ZIP Code* is a five-digit ZIP Code assigned exclusively to Post Office boxes.
- c. A *unique ZIP Code* is any five-digit ZIP Code assigned exclusively to a single firm, government agency, etc.
- d. A *firm ZIP Code* is a five-digit ZIP Code shared by customers who use prebarcoded FIM A (courtesy reply) or FIM C (business reply) mail, which facilitates automated distribution.

432 ZIP+4 Code

ZIP+4 codes are five-digit ZIP Codes followed by a hyphen and four additional digits. The five-digit ZIP Code identifies postal delivery areas. The first two digits after the hyphen denote a delivery sector, which may be several blocks, a group of streets, several office buildings, or a small geographic area. The last two numbers denote a delivery segment, which may be one floor of an office building, one side of a street, specific departments in a firm, or a group of Post Office boxes. In the case of Business Reply Mail Accounting System (BRMAS), qualifying BRM customers can be assigned ZIP+4 codes that represent a specific BRM mailpiece at a specific postage rate.

433 Placement

The ZIP Code is an integral part of a mailing address. It should appear on the last line (of both the destination and return addresses) following the name of the city and state. The Postal Service may apply a ZIP Code, ZIP+4 code, and/or finest depth of sort representative barcode to mailpieces with incorrect or nonexistent ZIP Code information to facilitate processing.

434 Employee Training

All orientation and training of employees involved with mail processing should include full explanation of the ZIP Code, ZIP+4 code, and barcode systems and their use. All mail distribution systems depend on ZIP Codes, ZIP+4 codes, and/or barcodes to process mail correctly and efficiently.

435 Boundaries

Area ZIP Code boundaries must be as permanent as the present and foreseeable needs of the population permit and should coincide with natural physical boundaries or major highways.

436 Unique

Unique ZIP Code assignments must provide service benefits to the customers and service/cost benefits to the Postal Service.

437 Planning

Long-range ZIP Code planning (at least 10-year, and preferably 20-year, projections) must be completed to determine availability of ZIP Codes for future mail processing and delivery needs.

438 Delivery Point Sequence (DPS)

A DPS code is an 11-digit barcode that is applied by the mailer or the U.S. Postal Service. This barcode permits the automation processing system to sort the mail in delivery sequence order.

439 ZIP Code Authorization and Assignment

439.1 Definitions

The following definitions are helpful in understanding the ZIP Code system:

- a. *Address Management System (AMS)*. An integrated database located at the San Mateo Integrated Business Solutions Center and maintained by the local AMS office. It is the official source of address information.
- b. *Delivery ZIP Code*. A ZIP Code assigned to postal geographic delivery areas. It may serve box sections, vertical improved mail (VIM) units, and military installations.
- c. *Post Office Box ZIP Code*. A ZIP Code assigned exclusively to Post Office boxes and/or general delivery.
- d. *Post Office Discontinuances*:
 - (1) *Close*. An action in which Post Office operations are permanently discontinued without providing a replacement facility in the community. Replacement services are provided by a neighboring Post Office, highway contract carrier, rural route carrier, or city delivery carrier.
 - (2) *Consolidate*. An action that converts an independent Post Office into a contracted community Post Office, classified station, or classified branch.
- e. *Shared ZIP Code*. A ZIP Code that is shared by customers who primarily use prebarcoded FIM A (courtesy reply mail (CRM)) or FIM C (business reply mail (BRM)). Shared ZIP Code mail can be distributed beyond a 5-digit level.
- f. *Unique ZIP Code*. A ZIP Code that is assigned exclusively to a single firm or government agency. Unique ZIP Code mail will be distributed only to a 5-digit level.

439.2 Assignment Criteria for New ZIP Codes

439.21 Delivery ZIP Code

The Postal Service will not assign ZIP Codes solely to provide community identity.

439.211 Establish Delivery ZIP Code

Before any ZIP Code can be authorized or assigned, the manager of the district AMS office must prepare a long-range study of ZIP Codes in his or her district and keep it on file. The AMS manager is responsible for monitoring delivery growth patterns, facilities planning, and any other factors that will alter the existing ZIP Code boundaries. The long-range study requires input from delivery managers for growth patterns to be planned and established. This includes 5-year and 20-year projections in areas that could be affected. This planning approach will stabilize delivery ZIP Code areas and assist in reducing constant changes in schemes. Any plan of action must not compromise the integrity or stability of the 5-digit ZIP Code system (see PS Form 5401, *Documentation to Establish a Delivery ZIP Code* ([Exhibit 439.211](#))).

Establishment of delivery ZIP Code geographic boundaries should minimize the number of customer addresses affected and should be consistent with current and future mail processing needs. District officials should consider municipal boundaries and customer interests in all zone splits. If a ZIP Code that is being considered for adjustment crosses municipal boundaries, consult municipal offices before submitting the proposal, and consider all reasonable solutions. This consultation must be documented on PS Form 5401 (see [Exhibit 439.211](#)).

Note: Do not transfer any portion of a delivery area smaller than a ZIP+4 segment from one carrier or delivery unit to another.

439.212 **Split Delivery ZIP Code**

The AMS manager should consider splitting the delivery ZIP Code in the following instances:

- a. Sectors: When 70 of the available 100 sectors have been assigned. When high growth is experienced in a delivery ZIP Code, monitor the impact of the growth upon sector and segment assignments. Under no circumstance will delivery ZIP Code boundaries overlap into another delivery ZIP Code (i.e., overlaid delivery ZIP Code).
- b. Scheme Items: When manual scheme items approach 800 items.
- c. Routes: When the number of regular routes exceeds 55. Carrier routes should not cross delivery ZIP Code boundaries due to added mail handling costs. Route adjustments must be made prior to the ZIP Code split to ensure that a carrier route will not cross the new delivery ZIP Code boundary unless absolutely necessary.
- d. Delivery Points: When the number of delivery points exceeds 25,000.

Note: When contemplating a delivery ZIP Code split, all of the criteria listed above must be considered as a whole and projected 20 years.

439.22 **Post Office Box ZIP Code**

Each proposed Post Office (PO) box ZIP Code must receive a thorough review and analysis at the district AMS level. Before submitting a request, the district manager must review the criteria in 439.21 to determine whether the current ZIP Code or another delivery ZIP Code in the facility can absorb the proposed PO boxes. Also, the AMS manager should consider coding a box section with a common ZIP+4 code when there is no duplication of the last two digits of the box numbers within the section. Use PS Form 5402, *Documentation to Establish a Post Office Box ZIP Code* (see [Exhibit 439.22](#)), to aid in the district analysis process. When a thorough review and analysis at the district level supports a proposal for a PO box ZIP Code, the AMS manager must fully justify the request by using the required documentation. (PS Form 5401 (see [Exhibit 439.211](#)) will be required to determine if a delivery ZIP Code can absorb the proposed PO boxes.)

439.23 **Shared ZIP Code**

439.231 **Review and Analysis**

Each proposed shared ZIP Code assignment must be thoroughly reviewed and analyzed at the district level. The district manager must fully justify the

shared ZIP Codes to satisfy delivery, distribution, and customer requirements. PS Form 5403, *Documentation to Establish a Shared ZIP Code* (see [Exhibit 439.231](#)), will aid in the district analysis process. District In-Plant Support will review the proposal and determine the impact the assignment of the shared ZIP Code will have on all affected operations. They will also identify any time savings that will be realized by a shared ZIP Code assignment.

439.232 **Address and Mail Type Requirements**

All shared ZIP Code participant mail should be prebarcoded FIM A (CRM) or FIM C (BRM) letter mail and meet the pre-barcoded mail specifications in DMM C840. A standardized mailing address is required on all mail utilizing a shared ZIP Code (see Publication 28, *Postal Addressing Standards*).

439.233 **Revenue Assurance**

Postage due mail must be kept separate from other mail. Therefore, a shared ZIP Code may be used on BRM only when it has been specifically approved for BRM.

439.24 **Unique ZIP Code**

439.241 **Review and Analysis**

The district AMS manager must thoroughly review and analyze each proposed unique ZIP Code assignment. The AMS manager must fully justify unique ZIP Codes and should assign them only when ZIP+4 codes will not satisfy delivery, distribution, and customer requirements. Use PS Form 5404, *Documentation to Establish a Unique ZIP Code* (see [Exhibit 439.241](#)), to aid in the district analysis process.

439.242 **Elimination of One Piece Handling**

All unique ZIP Code assignments must eliminate one piece handling for a majority of a firm's mail. Local In-Plant Support will review the proposal to determine the impact that the assignment of the unique ZIP Code will have on affected operations. They will also identify any time savings that will be realized by assigning the unique ZIP Code.

439.243 **Addressing Requirements**

A standardized mailing address is required on all mail that uses a unique ZIP Code (see Publication 28).

439.244 **Revenue Assurance**

Postage due mail must be kept separate. Therefore, a unique ZIP Code may be used for postage due mail or for non-postage due mail but never for both.

439.245 **Mail Acceptance by Firm**

When a firm is assigned a unique ZIP Code, it agrees to accept all mail bearing the unique ZIP Code in bulk without additional separation by the Postal Service. Officials of the firm must agree to this arrangement in writing, and this letter of agreement must be included in the proposal package.

- 439.3 **Postal Facility Status Change and Boundary Realignment**
- 439.31 **Postal Facility Status Change**
- 439.311 **General**
Establishing, closing, and consolidating independent Post Offices, classified stations, classified branches, and community Post Offices (CPOs) may result in 5-digit ZIP Code changes.
- 439.312 **Establishment**
Establishment of new, independent Post Offices requires concurrence by the vice president of Area Operations and approval by the chief operating officer. Vice presidents of Area Operations or their designees have the authority to approve the establishment of classified stations and branches where needed within the service areas of Post Offices. However, approval authority may not be delegated below the district manager of Customer Service and Sales.
- 439.313 **Post Office Discontinuance**
When the manager of Post Office Operations receives approval from the district manager to study an independent Post Office, classified station, classified branch, or CPO for discontinuance, any proposed 5-digit ZIP Code change is reviewed by the Post Office review coordinator.

ZIP Code retention requests must be approved in writing by the Office of Address Management prior to the 60-day posting of a proposal to close or consolidate a Post Office. Retention of a ZIP Code must be based on operational justifications.

Names of discontinued Post Offices are maintained by the Office of Address Management and listed in an appropriate manner in Publication 65, *National Five-Digit ZIP Code and Post Office Directory*.
- 439.32 **Boundary Realignments**
- 439.321 **General**
Managers should look for reasonable solutions to external municipal requests and implement them when an establishment or realignment of ZIP Codes becomes operationally necessary. Districts will work proactively to resolve areas of concern and/or minimize conflicts between postal and municipal boundaries. Realignments that stem from external requests should be handled as outlined in *ZIP Code Boundary Review Process*. Do not transfer any portion of a delivery area smaller than a ZIP+4 segment from one carrier or delivery unit to another.
- 439.322 **Minor Realignments**
District managers may approve and implement requests for minor ZIP Code boundary realignments within their districts as necessary throughout the year. A minor realignment is defined as an area affecting less than 25 percent of the total delivery points of the losing ZIP Code or 500 possible deliveries of the losing ZIP Code (whichever is less). ZIP Code boundaries must not be realigned to cross state boundaries. City delivery carrier routes should be adjusted if boundary changes would result in the carrier serving more than

one ZIP Code. When ZIP Code boundaries are adjusted, consider matching municipal boundaries where operationally feasible.

439.323 **Reporting**

The district AMS office must notify the Office of Address Management of all minor boundary realignments. For minor realignment information to be published in the *Postal Bulletin*, a PS Form 1362, *Status Change Request/Report* (see [Exhibit 439.323](#)), containing the minimum number of district signatures indicated on the form must be submitted by the district manager to the Office of Address Management.

439.4 **Required Documentation**

439.41 **Delivery ZIP Code**

With each request for a delivery ZIP Code, the district manager must include a completed PS Form 1362 (see [Exhibit 439.323](#)) and PS Form 5401 (see [Exhibit 439.211](#)). Proposals for delivery ZIP Code changes or assignments should be processed and submitted throughout the year by the district of the territory in question. The district manager may submit delivery ZIP Code requests for approval on any date throughout the year.

The official implementation date to establish a delivery ZIP Code is July 1 of each year. It is recommended that delivery ZIP Code proposals be received in the area office by November 15 of the preceding year, and they must be received by the Office of Address Management no later than January 15 of the year of the proposed establishment. Proposals received at the Office of Address Management after January 15 will be deferred to the following year. Submission of all required information and materials by the above dates is essential to provide sufficient time for area and Headquarters review, public notification, and AMS file maintenance. All submitted materials must be originals.

439.42 **Post Office Box ZIP Code**

With each request for a PO box ZIP Code, the district manager must include a completed PS Form 1362 (see [Exhibit 439.323](#)) and PS Form 5402 (see [Exhibit 439.22](#)). The district manager may submit PO box ZIP Code requests for approval on any date throughout the year.

AMS managers should be familiar with the *Metro Plan* in order to assess the proper lead time necessary to prepare ZIP Code proposals for new PO box sections. When existing customers will be required to change their ZIP Codes or PO box numbers, allow 30 to 45 days between the announcement of an approved PO box ZIP Code and the implementation date.

439.43 **Shared ZIP Code**

With each request for a shared ZIP Code, the district manager must include a completed PS Form 1362 (see [Exhibit 439.323](#)) and PS Form 5403 (see [Exhibit 439.231](#)). The district manager may submit shared ZIP Code requests for approval on any date throughout the year.

439.44 Unique ZIP Code

With each request for a unique ZIP Code, the district manager must include a completed PS Form 1362 (see [Exhibit 439.323](#)) and PS Form 5404 (see [Exhibit 439.241](#)). The district manager may submit unique ZIP Code requests for approval on any date throughout the year. A letter of agreement from the firm or agency requesting the unique ZIP Code must be included in the proposal package. The letter must do the following:

- a. State that the firm or agency agrees to accept all mail addressed to the unique ZIP Code in bulk.
- b. Provide the address(es) to be used with the unique ZIP Code. All addresses must conform to the standards in Publication 28.
- c. Describe how and when the firm or agency plans to implement the unique ZIP Code.
- d. Describe expected volume, including whether this is new volume or mail currently being received at a different address.
- e. Agree to return all missorts and accountable mail in a timely manner.
- f. Agree that the firm or agency will forward their own mail.
- g. Agree that the ZIP Code will not be transferred to another firm or agency.

439.45 Postal Facility Status Change

The AMS manager must report all ZIP Code status changes (including those resulting from Headquarters-approved Post Office closings or consolidations, a change of branch name, etc.) on PS Form 1362 (see [Exhibit 439.323](#)) and send it to the Office of Address Management. The effective date for postal facility changes is 30 days after the announcement is published in the *Postal Bulletin*.

439.46 Boundary Realignment

With each request for a proposed boundary realignment affecting more than 25 percent of the total possible deliveries of the losing ZIP Code or over 500 possible deliveries of the losing ZIP Code (whichever is less), the district manager must include a completed PS Form 1362 (see [Exhibit 439.323](#)) and PS Form 5401 (see [Exhibit 439.211](#)). In the justification, the district manager must indicate whether he or she plans to survey customers after receiving approval for a potential realignment.

439.5 Authorization and Approval**439.51 General**

All actions requiring PS Form 1362 (see [Exhibit 439.323](#)) will require the signature of the district AMS manager; the manager of Operations Programs Support; the manager of Processing and Distribution; and the district manager of Customer Service and Sales. All actions requiring the ZIP Code establishment documents (see [Exhibits 439.211](#), [439.22](#), [439.231](#), and [439.241](#)) must include all pertinent information on those documents. The proposal (including all letters, forms, and documentation) must be sent to the

area manager of Delivery Programs Support for review and concurrence. The area office will forward the proposal to the Office of Address Management for final review and approval. All proposals being sent to the Office of Address Management must be addressed as follows:

OFFICE OF ADDRESS MANAGEMENT
UNITED STATES POSTAL SERVICE
6060 PRIMACY PKWY STE 201
MEMPHIS TN 38188-0001

439.52 **District**

The district manager, the plant manager, and district officials must not assign or change ZIP Codes without area and Headquarters review and approval. The district manager may not announce a 5-digit ZIP Code change until he or she has received written approval of the ZIP Code from the Office of Address Management.

Exception: See 439.32 for information on authorization for boundary realignments.

439.53 **Bulk Mail Center (BMC)**

The BMC manager must review and approve each request for a unique ZIP Code that includes volumes in the machinable Standard Mail or Package Services categories before the district manager can submit the request to the area.

439.54 **Priority Mail Processing Center (PMPC)**

The PMPC manager must review and approve each request for a unique ZIP Code that includes volumes in the Priority Mail category before the district manager can submit the request to the area.

439.55 **Areas**

Managers of Delivery Programs Support are administratively responsible for coordination and review of 5-digit ZIP Code proposals within their areas of responsibility. Area officials must not assign or change ZIP Codes without the review and approval of the Office of Address Management.

439.56 **Headquarters**

The Office of Address Management is responsible for accurate and timely announcements of ZIP Code changes to internal Postal Service operations employees and customers by submitting articles to the *Postal Bulletin* entitled "Post Office Changes" and by notifying other Headquarters departments (e.g., notifying Business Mail Acceptance of all 3-digit ZIP Code changes).

Note: Shared and unique ZIP Code changes are not announced in the *Postal Bulletin*; however, the Office of Address Management will notify other Headquarters departments if approval of a shared or unique ZIP Code will have an effect on their operations.

The Office of Address Management will return approved or denied ZIP Code proposals to the appropriate area office for distribution to the district. Proposals that are denied will contain the reason for denial. If the requesting

party wishes to appeal the decision, a letter of appeal may be sent through the district and area offices to the Office of Address Management. Address Management will review the appeal information and hold meetings internally and/or with the requesting party (as necessary) to make a final decision. Address Management is the final authority for the resolution of an appeal.

439.6 **Implementation**

439.61 **General**

Once headquarters approval is received for a ZIP Code assignment or change, the district manager must notify all district officials to proceed with implementation.

Exception: See 439.32 for information on authorization for boundary realignments.

439.611 **District Level**

At the district level, the AMS manager must coordinate implementation with the manager of Marketing, managers of Post Office Operations, postmasters, and In-Plant Support to ensure maximum cooperation of customers and local government officials.

439.612 **Local Mail Processing Managers**

The local mail processing managers must ensure that all distribution operations are prepared to respond to the use of the new ZIP Code.

439.613 **ZIP Code System Stability**

To foster stability in the ZIP Code system and correspond to production of Publication 65, the implementation date for delivery ZIP Code changes is July 1 of each year. The district manager must notify residents and local mailers between May 15 and June 1 that the ZIP Code has changed and will be effective July 1. The Office of Address Management can provide assistance with the notification effort. Residents should be asked to notify their correspondents of the change (including boundary realignments).

439.614 **File Maintenance**

The AMS manager must perform file maintenance in a timely manner between the April and May product cycle. The Office of Address Management will publish specific dates each year. The AMS database must be updated to ensure that duplicate addresses do not exist within a finance number for these new ZIP Codes.

439.615 **Effective Date**

Following Headquarters approval, PO box, shared, and unique ZIP Codes become effective as determined by the district manager.

439.62 **Three-Digit Realignment**

When a district is planning a 3-digit realignment, the AMS office must notify the area office and the Office of Address Management in writing by July 1 of the year before the expected implementation date. This requirement ensures that all affected postal operations managers are notified of the proposed 3-digit

realignment in a timely manner. The Office of Address Management will advise the district throughout the process to ensure that all deadlines are met.

The actual proposal package must be received at the area office by October 15 and by the Office of Address Management no later than December 15 of the year before the expected implementation date. Proposals received by the Office of Address Management after the deadlines will be deferred to the following year.

Note: Except for the aforementioned dates, specific guidelines for 3-digit realignments are the same as the guidelines for delivery ZIP Code realignments found throughout this part.

Exhibit 439.211 (p. 1)

Form 5401, Documentation to Establish a Delivery ZIP Code

**Documentation
To Establish A *Delivery ZIP Code***



Please print or type the required information in the spaces indicated.

General Information

1. Post office name:			State:
2. Name of existing facility:			
3. Current ZIP Code:	4. AZI:	5. Proposed ZIP Code(s):	6. Was the proposed number previously assigned? <input type="checkbox"/> Yes <input type="checkbox"/> No
7. Proposed facility name:			If yes, how long has it been unassigned?
8. Number of inactive 5-digit ZIP Codes remaining in the 3-digit area:			
<i>Note: Pending requests are considered active.</i>			
Completed by:		Title:	Phone:

Mail Distribution Issues (Functions 1 and 4)

1. Please mark any equipment for which Mail Processing will provide a separation for the new ZIP Code.

- Optical character reader Flat sorting machine
- Barcode sorter Manual sorting case
- Other: _____

2. Where is the mail currently processed (facility name)?

	Letters Facility	Flats Facility	Parcels Facility
Primary automation			
Primary manual			
Secondary automation			
Secondary manual			
Other			

3. Where is the mail for the proposed ZIP Code to be processed (facility name)?

	Letters Facility	Flats Facility	Parcels Facility
Primary automation			
Primary manual			
Secondary automation			
Secondary manual			
Other			

Exhibit 439.211 (p. 2)

Form 5401, Documentation to Establish a Delivery ZIP Code

Projected Growth Rates (Unsplit delivery area)

Provide 5-, 10-, and 20-year projected growth rates (if the existing delivery area is not split). Also provide and attach additional documentation to support the projected growth rate.

- Newspaper Articles Growth Projections By City and County
 Dodge Reports Other: _____

ZIP Code:	Present ZIP Area		Projected Growth Rates					
	(If left unchanged)		5-Year Growth		10-Year Growth		20-Year Growth	
	Res.	Bus.	Res.	Bus.	Res.	Bus.	Res.	Bus.
Carrier Deliveries								
Routes								
Scheme Items								
PO Boxes								
ZIP+4 Sectors								
ZIP+4 Segment								
Growth Rate		*		*		*		*

* Annual Growth

ZIP Code: →	Present ZIP Area		Proposed Areas (Include new "present" area)					
	1.		1.		2.		3.	
	Res.	Bus.	Res.	Bus.	Res.	Bus.	Res.	Bus.
Carrier Deliveries								
Routes								
Scheme Items								
PO Boxes								
ZIP+4 Sectors								
ZIP+4 Segment								
Growth Rate		*		*		*		*

* Annual Growth

Exhibit 439.211 (p. 3)

Form 5401, Documentation to Establish a Delivery ZIP Code

Projected Growth Rates (split delivery area)

Provide 5-, 10-, and 20-year projected growth rates (If the existing delivery area is split).

ZIP Code:	Proposed ZIP Area		Projected Growth Rates					
	(New "Present")		5-Year Growth		10-Year Growth		20-Year Growth	
	Res.	Bus.	Res.	Bus.	Res.	Bus.	Res.	Bus.
Carrier Deliveries								
Routes								
Scheme Items								
PO Boxes								
ZIP+4 Sectors								
ZIP+4 Segment								
Growth Rate		*		*		*		*

* Annual Growth

ZIP Code:	Proposed ZIP Area		5-Year Growth		10-Year Growth		20-Year Growth	
	Res.	Bus.	Res.	Bus.	Res.	Bus.	Res.	Bus.
Carrier Deliveries								
Routes								
Scheme Items								
PO Boxes								
ZIP+4 Sectors								
ZIP+4 Segment								
Growth Rate		*		*		*		*

* Annual Growth

ZIP Code:	Proposed ZIP Area		5-Year Growth		10-Year Growth		20-Year Growth	
	Res.	Bus.	Res.	Bus.	Res.	Bus.	Res.	Bus.
Carrier Deliveries								
Routes								
Scheme Items								
PO Boxes								
ZIP+4 Sectors								
ZIP+4 Segment								
Growth Rate		*		*		*		*

* Annual Growth

Exhibit 439.211 (p. 4)

Form 5401, Documentation to Establish a Delivery ZIP Code

Additional Delivery ZIP Code Information

1. Indicate the number and percentage of customers who will have to change their 5-digit ZIP Code or delivery address.

Residential customers:

Number:	Percentage:
	%

Business customers:

Number:	Percentage:
	%

2. Attach a narrative statement of justification explaining why the new ZIP Code area is necessary.
3. If any new facilities are planned for the near future in either the current or proposed ZIP Code, state their type, location, and estimated date of completion.

Type	Location	Date

4. Indicate explicitly which delivery unit(s) will administer and/or house the carriers for the proposed ZIP Code. (Include the physical addresses.)

--

5. Does the current 5-digit ZIP Code serve more than one municipality? Yes No
List the names of all municipalities served by the current 5-digit ZIP Code.

6. Is the proposed ZIP Code split being made along municipal boundaries? Yes No
If no, state the reason(s).

--

7. Will these municipalities continue to share the ZIP Codes after the proposed split is approved?
 Yes No
If yes, list the municipalities and the ZIP Codes serving them.

Municipality	ZIP	Municipality	ZIP

Exhibit 439.211 (p. 5)

Form 5401, Documentation to Establish a Delivery ZIP Code

8. Is this proposal the result of a request initiated by the municipality? Yes No
9. Have municipal officials been asked to comment on the proposed boundaries? Yes No
10. Please submit the two maps described below. (Identify municipal boundaries when they are an issue in the proposal.)
- Maps (outline in color):**
- Current 5-digit ZIP Code area boundaries (indicate location of all delivery units).
 - Proposed 5-digit ZIP Code area boundaries (indicate the location of all current and/or proposed delivery units). Use natural and/or constructed boundaries when practical. Also consider current and future municipal boundaries and community-identity issues.
- Note:** *Clear-cut and easily discernible boundaries are important.*
11. Attach a complete narrative description of existing boundaries as they relate to the current delivery area. This narrative should advise whether the centerline of the streets involved is the actual boundary or is included within the boundary.
12. Attach another complete narrative description of the proposed boundaries as they will relate to the areas involved if the change is approved. Normally, ZIP Code boundaries should include both sides of a street or highway unless the centerline is the county or state boundary. If the boundary line is the centerline of a street, explain why. Describe how your district will manage customer impact (for example, describe customer, municipal, and congressional notification and media coverage). If you need more space, use the narrative statement of justification.
- Note:** *Centerline boundaries may or may not be efficient for delivery and scheme reasons.*
13. Include a 20-year plan of the ZIP Code.
14. Include a current matrix for all ZIP Codes served from delivery units involved in this split.
15. Include a completed PS Form 1362, *Status Change Report*.

Exhibit 439.22 (p. 1)

Form 5402, Documentation to Establish a Post Office Box ZIP Code

**Documentation
To Establish A *Post Office Box ZIP Code***



Please print or type the required information in the spaces indicated.

General Information

1. Post office name:			State:
2. Name of existing facility:			
3. Current ZIP Code:	4. AZI	5. Proposed ZIP Code(s);	6. Was the proposed number previously assigned? <input type="checkbox"/> Yes <input type="checkbox"/> No
7. Proposed facility name:			If yes, how long has it been unassigned?
8. Number of inactive 5-digit ZIP Codes remaining in the 3-digit area:			
<i>Note: Pending requests are considered active.</i>			
Completed by:		Title:	Phone:

Mail Distribution Issues (Functions 1 and 4)

1. Please mark any equipment for which Mail Processing will provide a separation for the new ZIP Code.

- Optical character reader Flat sorting machine
- Barcode sorter Manual sorting case
- Other: _____

2. Where is the mail currently processed (facility name)?

	Letters Facility	Flats Facility	Parcels Facility
Primary automation			
Primary manual			
Secondary automation			
Secondary manual			
Other			

3. Where is the mail for the proposed ZIP Code to be processed (facility name)?

	Letters Facility	Flats Facility	Parcels Facility
Primary automation			
Primary manual			
Secondary automation			
Secondary manual			
Other			

- 4. Will this ZIP Code be a service improvement only? Yes No
- 5. Will this ZIP Code eliminate one or more piece handlings? Yes No

Exhibit 439.22 (p. 2)

Form 5402, Documentation to Establish a Post Office Box ZIP Code

Savings Worksheet

Demonstrate on the charts below how the ZIP Code would generate mail distribution savings by either using a more efficient operation or by bypassing a handling. Express savings or cost avoidance in dollars.

Function 1 (Mail Processing Savings)

Completed by:	Title:	Phone:
---------------	--------	--------

Present Mail Distribution Operation No./Desc.	Average Daily Volume Expected	Average Pieces Per Hour (PPH) for Operations	Daily Work Hours (PPH x Volume)
			A.
Proposed Operation No.	Expected Average Daily Volume		
			B.

Function 4 (Delivery Unit Savings)

Present Mail Distribution Operation No./Desc.	Average Daily Volume Expected	Average Pieces Per Hour (PPH) for Operations	Daily Work Hours (PPH x Volume)
			A.
Proposed Operation No.	Expected Average Daily Volume		
			B.

Add the current daily work hours in Box A. Add the proposed daily work hours in Box B. Subtract Box B from Box A to get daily work hours saved.

	Function 1	Function 4	Total
Daily Work Hours Saved (A minus B)			
Clerk Hourly Rate			
Average Daily Savings			

Exhibit 439.22 (p. 3)

Form 5402, Documentation to Establish a Post Office Box ZIP Code

Additional Post Office Box ZIP Code Information

1. Number of post office boxes presently installed that will change to the new ZIP Code.

2. Number of new post office boxes to be installed using the new ZIP Code:

3. Will new post office box numbers conflict with any other post office box section in this finance number? Yes No

If yes, list the ZIP Code(s) and the conflicting ranges.

Zip Code	Range	ZIP Code	Range

4. Indicate the number and percentage of customers who will have to change their 5-digit ZIP Code or delivery address.

Residential customers:

Number: <input type="text"/>	Percentage: <input type="text"/> %
------------------------------	------------------------------------

Business customers:

Number: <input type="text"/>	Percentage: <input type="text"/> %
------------------------------	------------------------------------

5. Will existing caller service box numbers be assigned to the new ZIP Code? Yes No

6. How will customers be notified of their new mailing address, including the ZIP+4 code?

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7. Describe how your district will notify major mailers and other groups (e.g., local congressman, city officials, media, etc.) impacted by the change.

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8. If any new facilities are planned for the near future in either the current or proposed ZIP Code, state their type, location, and estimated date of completion.

Type	Location	Date

Exhibit 439.22 (p. 4)


Form 5402, Documentation to Establish a Post Office Box ZIP Code

9. Indicate explicitly which delivery unit(s) will administer and/or house the post office box sections for the proposed ZIP Code. (Include physical address.)

10. Attach a narrative statement of justification explaining why the new post office box ZIP Code is necessary.
11. Include a 20-year plan of the ZIP Code.
12. Include a current matrix for all ZIP Codes served from this delivery unit.
13. Include a completed PS Form 1362, *Status Change Report*.

Exhibit 439.231 (p. 1)

Form 5403, Documentation to Establish a Shared ZIP Code

Documentation To Establish A Shared ZIP Code		
Please print or type the required information in the spaces indicated.		
General Information		
1. Post office name:		State:
2. Name of existing facility:		
3. Current ZIP Code:	4. Proposed ZIP Code(s);	5. Was the proposed number previously assigned? <input type="checkbox"/> Yes <input type="checkbox"/> No
6. Proposed firm name:		If yes, what is the current average daily volume?
7. Number of inactive 5-digit ZIP Codes remaining in the 3-digit area:		
<i>Note: Pending requests are considered active</i>		
Completed by:	Title:	Phone:

Mail Distribution Issues (Functions 1 and 4)	
1. Please mark any equipment for which Mail Processing will provide a separation for the new ZIP Code.	
<input type="checkbox"/> Optical character reader	<input type="checkbox"/> Flat sorting machine
<input type="checkbox"/> Barcode sorter	<input type="checkbox"/> Manual sorting case
<input type="checkbox"/> Other: _____	
2. Average daily volume this firm expects to receive in the Shared ZIP Code.	
Barcoded	First-Class <input style="width: 50px;" type="text"/>
Nonbarcoded	First-Class <input style="width: 50px;" type="text"/>
3. Total volume this firm expects to receive in the shared ZIP Code. <input style="width: 100px;" type="text"/>	
The volume that will be transferred to the proposed ZIP Code is approximately ____% of the total existing ZIP Code volume.	
4. Will this ZIP Code be a service improvement only? <input type="checkbox"/> Yes <input type="checkbox"/> No	
5. Will this ZIP Code eliminate one or more piece handlings? <input type="checkbox"/> Yes <input type="checkbox"/> No	
6. Complete the savings worksheet on next page.	

PS Form 5403 November 1999	Documentation To Establish A Shared ZIP Code	Page 1
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Exhibit 439.231 (p. 2)

Form 5403, Documentation to Establish a Shared ZIP Code

Savings Worksheet

Demonstrate on the charts below how the ZIP Code would generate mail distribution savings by either using a more efficient operation or by bypassing a handling. Express savings or cost avoidance in dollars.

Function 1 (Mail Processing Savings)

Completed by:	Title:	Phone:
---------------	--------	--------

Present Mail Distribution Operation No./Desc.	Average Daily Volume Expected	Average Pieces Per Hour (PPH) for Operations	Daily Work Hours (PPH x Volume)
			A.
Proposed Operation No.	Expected Average Daily Volume		
			B.

Function 4 (Delivery Unit Savings)

Present Mail Distribution Operation No./Desc.	Average Daily Volume Expected	Average Pieces Per Hour (PPH) for Operations	Daily Work Hours (PPH x Volume)
			A.
Proposed Operation No.	Expected Average Daily Volume		
			B.

Add the current daily work hours in Box A. Add the proposed daily work hours in Box B. Subtract Box B from Box A to get daily work hours saved.

	Function 1	Function 4	Total
Daily Work Hours Saved (A minus B)			
Clerk Hourly Rate			
Average Daily Savings			

Exhibit 439.231 (p. 3)

Form 5403, Documentation to Establish a Shared ZIP Code

Additional Shared ZIP Code Information

1. Where did the firms entering the new shared ZIP Code come from?
 One previous ZIP Code More than one previous ZIP Code

2. Are the previous ZIP Codes within the same finance number?: Yes No
Describe the mail flow that will be used to make this distribution.

3. Explain what ZIP Codes will be removed from the automated mailstream to allow for the shared ZIP Code or what new equipment will be utilized to process the mail for the Shared ZIP Code.

4. Print the proposed name(s) and address(es) the firm will be using with the shared ZIP Code. (Attach additional sheet if necessary.) **Note:** An address line is required and must be standardized. (see Publication 28, *Postal Addressing Standards*.)

Name	Address

5. Explain how and when the firms will implement their 5-digit ZIP Code. Include when new envelopes and letterhead will be printed and when supplies on hand will be exhausted.

6. Attach a completed PS Form 1362, *Status Change Report*.

7. Attach a narrative statement of justification explaining why the new shared ZIP Code is necessary.

8. List any other shared ZIP Codes in this district.

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Exhibit 439.241 (p. 1)

Form 5404, Documentation to Establish a Unique ZIP Code

Documentation To Establish A Unique ZIP Code		
Please print or type the required information in the spaces indicated.		
General Information		
1. Post office name:		State:
2. Name of existing facility:		
3. Current ZIP Code:	4. Proposed ZIP Code(s);	5. Was the proposed number previously assigned? <input type="checkbox"/> Yes <input type="checkbox"/> No
6. Proposed firm name:		If yes, what is the current daily volume?
7. Number of inactive 5-digit ZIP Codes remaining in the 3-digit area:		
<i>Note: Pending requests are considered active.</i>		
Completed by:	Title:	Phone:
Mail Distribution Issues (Functions 1 and 4)		
1. Please mark any equipment for which Mail Processing will provide a separation for the new ZIP Code.		
<input type="checkbox"/> Optical character reader	<input type="checkbox"/> Flat sorting machine	
<input type="checkbox"/> Barcode sorter	<input type="checkbox"/> Manual sorting case	
<input type="checkbox"/> BMC (Complete parcel post worksheet)	<input type="checkbox"/> SPBS (Complete parcel post worksheet)	
<input type="checkbox"/> Other: _____		
2. Average daily volume the firm expects to receive in the Unique ZIP Code.		
Barcoded First-Class Letters	<input style="width: 100%; height: 20px;" type="text"/>	Barcoded Periodicals
Barcoded Standard A Letters	<input style="width: 100%; height: 20px;" type="text"/>	Nonbarcoded Periodicals
Barcoded First-Class Flats	<input style="width: 100%; height: 20px;" type="text"/>	Small Parcels
Barcoded Standard A Flats	<input style="width: 100%; height: 20px;" type="text"/>	Standard B*
Nonbarcoded First-Class Letters	<input style="width: 100%; height: 20px;" type="text"/>	Priority*
Nonbarcoded Standard A Letters	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
Nonbarcoded First-Class Flats	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
Nonbarcoded Standard A Flats	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
* Complete Package Worksheet on pages 3 and 4.		
3. Total volume the firm expects to receive in the unique ZIP Code.		<input style="width: 150px; height: 20px;" type="text"/>
The volume that will be transferred to the proposed ZIP Code is approximately ____% of the total existing ZIP Code volume.		
4. Will this ZIP Code be a service improvement only?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5. Will this ZIP Code eliminate one or more piece handlings?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6. Is this proposed unique ZIP Code for package returns? If yes, complete Package Worksheet on pages 3 and 4.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
7. Complete the savings worksheet, on the next page, for all requests.		
PS Form 5404 November 1999		Page 1

Exhibit 439.241 (p. 2)

Form 5404, Documentation to Establish a Unique ZIP Code

Savings Worksheet

Demonstrate on the charts below how the ZIP Code would generate mail distribution savings by either using a more efficient operation or by bypassing a handling. Express savings or cost avoidance in dollars.

Function 1 (Mail Processing Savings)

Completed by: Title: Phone:

Table with 4 columns: Present Mail Distribution Operation No./Desc., Average Daily Volume Expected, Average Pieces Per Hour (PPH) for Operations, Daily Work Hours (PPH x Volume). Includes summary rows A and B.

Function 4 (Delivery Unit Savings)

Table with 4 columns: Present Mail Distribution Operation No./Desc., Average Daily Volume Expected, Average Pieces Per Hour (PPH) for Operations, Daily Work Hours (PPH x Volume). Includes summary rows A and B.

Add the current daily work hours in Box A. Add the proposed daily work hours in Box B. Subtract Box B from Box A to get daily work hours saved.

Summary table with 3 columns: Function 1, Function 4, Total. Rows for Daily Work Hours Saved (A minus B), Clerk Hourly Rate, Average Daily Savings.

Exhibit 439.241 (p. 3)

Form 5404, Documentation to Establish a Unique ZIP Code

Parcel Worksheet		
Completed by:	Title:	Phone:
Shape/Type		
<input type="checkbox"/> Standard A <input type="checkbox"/> Standard B <input type="checkbox"/> Barcoded (As defined in DMM C840)? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Nonmachinable (NMO) Can it be processed on a mechanized NMO sorter? <input type="checkbox"/> Yes <input type="checkbox"/> No Will it be used for more than one product type? (e.g., size, weight, or different endorsement) If yes, provide details: <input type="checkbox"/> Yes <input type="checkbox"/> No		
Ancillary Service Endorsements (Please list all that apply)		
Postage rating will be performed at: <input type="checkbox"/> BMC <input type="checkbox"/> P&D <input type="checkbox"/> DDU <input type="checkbox"/> AO/PO Explain procedures (e.g., pieces mixed with postage paid vs. those that must be rated)		
Firm is willing to pick up mail at: <input type="checkbox"/> BMC <input type="checkbox"/> P&D <input type="checkbox"/> DDU <input type="checkbox"/> AO/PO		
Bulk Mail Center (BMC) Data		
BMC performing distribution:		Average daily volume expected in Unique ZIP Code:
Is inbound parcel volume entered directly to secondary? <input type="checkbox"/> Yes <input type="checkbox"/> No Current ZIP Code is sorted to: <input type="checkbox"/> Primary ACL (OTR/ERMC) <input type="checkbox"/> Direct secondary slide/OTR/ERMC <input type="checkbox"/> Mixed secondary slide (if checked, select below) <input type="checkbox"/> Sacked <input type="checkbox"/> Containerized		
Mail is dispatched to: <input type="checkbox"/> P&D <input type="checkbox"/> DDU <input type="checkbox"/> AO/PO		
PS Form 5404 November 1999		Page 3
Documentation To Establish A Unique ZIP Code		

Exhibit 439.241 (p. 4)

Form 5404, Documentation to Establish a Unique ZIP Code

Parcel Post Worksheet (continued)

If approved the following changes to distribution will be necessary:

- PPSM:** Primary OTR/ERMC is available
 Lowest ADV OTR that will be moved to secondary: pieces
- SPSM:** Direct secondary slide/OTR/ERMC is available.
 Lowest ADV ZIP Code that will be mixed to accommodate: pieces

Transportation

- Current transportation to DDU/AO/PO can transport OTRs/ERMCs? Yes No
- Is transportation currently in place going directly to the firm? Yes No
- Can current transportation accommodate additional/new volume? Yes No
- Cost to modify or add new contract requirements? \$

**Delivery Unit (Function 4)
DDU/AO/PO**

- Does facility have a platform/dock area to accommodate OTRs/ERMCs? Yes No
- If not, what modifications must be made?

How will mail be delivered from office to the firm?

Savings: List LDC 40C daily hours presently used for Parcel Post Distribution hrs.

- Proposal will: Reduce these by hrs.
 or
 Cost avoidance hrs.
 (For new expected volume)

Exhibit 439.241 (p. 5)

Form 5404, Documentation to Establish a Unique ZIP Code

Additional Unique ZIP Code Information

Completed by:	Title:	Phone:
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1. Does the firm currently rent post office boxes in this facility? Yes No
 If yes, how many?
 Will the unique ZIP Code replace all of these post office boxes? Yes No
 If no, explain.

Note: A firm may not use the unique ZIP Code on its business reply mail unless the ZIP Code has been specifically approved for business reply mail.

2. Explain why ZIP+4 codes in the current ZIP Code will not meet distribution requirements.

3. Explain why a shared ZIP Code will not meet distribution requirements.

4. Will the firm print barcodes on its preprinted envelopes? Yes No

5. Print the address that will be used with the unique ZIP Code. **Note:** An address line is required and must be standardized. (See Publication 28, *Postal Addressing Standards*.)

6. Is the letter of agreement from the firm attached? Yes No


7. Explain how and when the firm will implement the unique ZIP Code. Include when new envelopes and letterhead will be printed and when supplies on hand will be exhausted.

8. List all unique ZIP Codes currently approved for the firm at this plant.

9. Attach a completed PS Form 1362, *Status Change Report*.

Exhibit 439.323 (p. 1)

Form 1362, Status Change Request/Report

 <p>Status Change Request/Report <i>(Check all that apply)</i></p>	A. Post Office Undergoing Status Change <i>(Complete for ALL requests)</i>																		
	1. Name		2. State																
	3. ZIP Code	4. Finance Number	5. District																
	6. County/Parish		7. Area																
<input type="checkbox"/> B. Establish A New ZIP Code																			
1. New ZIP Code		2. ZIP Code Type																	
3. Facility Name		<input type="checkbox"/> Delivery Area - - - - Will PO become multicoded? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> PO Box - - - - Number of mailboxes in new ZIP: _____ <input type="checkbox"/> Unique - - - - Will mail be received in bulk? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Shared - - - - Shared ZIP for what mail type? <input type="checkbox"/> BRM <input type="checkbox"/> CRM																	
4. Last Line Name for ZIP Code		6. Average Daily Work Hours/ Average Daily Dollar Amount:																	
5. Number of Unused ZIP Codes in This 3-Digit Area		<input type="checkbox"/> Saved <input type="checkbox"/> Avoided _____ (Hours) _____ (\$ Amount)																	
7. Service Improvement Only <input type="checkbox"/> Yes <input type="checkbox"/> No		8. Requested Effective Date																	
<input type="checkbox"/> C. Establish a New Facility																			
1. Facility Name		2. Facility Type	3. Effective Date																
		Classified: <input type="checkbox"/> Station <input type="checkbox"/> Branch <input type="checkbox"/> Other:																	
		Contract: <input type="checkbox"/> Station <input type="checkbox"/> Branch																	
<input type="checkbox"/> D. Establish Delivery in a Previous Non-Delivery Office																			
1. ZIP Code		2. Effective Date																	
<input type="checkbox"/> E. Discontinue a Post Office																			
1. <input type="checkbox"/> Consolidate <input type="checkbox"/> Close	2. Effective Date	3. Retain as Place Name? <input type="checkbox"/> Yes <input type="checkbox"/> No	4. Retain ZIP Code? <input type="checkbox"/> Yes <input type="checkbox"/> No																
5. New Administrative Post Office		6. Facility From Which Mail Will be Delivered <i>(Check all that apply)</i>																	
a. Name <i>(City, State, and ZIP Code)</i>		<input type="checkbox"/> Main Office <input type="checkbox"/> Classified Station <input type="checkbox"/> Classified Branch <input type="checkbox"/> GPO																	
b. County	c. Finance Number	b. New Last Line for Addresses <i>(City, State, and ZIP Code)</i>																	
d. Discontinuance Contact Name		c. Discontinuance Contact Name																	
<input type="checkbox"/> F. Discontinue ZIP Code																			
1. ZIP Code		2. Effective Date																	
<input type="checkbox"/> G. Amend/Rescind Postal Bulletin																			
1. PB Number	2. Date	3. Explain <i>(Continue on reverse)</i>																	
<input type="checkbox"/> H. Other Status Changes/Comments <i>(Continue on reverse if necessary)</i>																			
		<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="4">ZIP Code Translation Table</th> </tr> <tr> <th>From</th> <th>To</th> <th>From</th> <th>To</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>		ZIP Code Translation Table				From	To	From	To								
ZIP Code Translation Table																			
From	To	From	To																
<input type="checkbox"/> I. Approval and Date <i>(Signature and Date)</i>																			
ALL requests MUST HAVE this section completed.		District Mgr., CSS	HQ Mgr., P&DC Ops.																
District Mgr., AMS		BMC Mgr.	HQ Mgr., Priority Mail Network																
District Mgr., OPS		PMPC Mgr.	HQ Mgr., BMC Ops.																
District Mgr., P&D		Area Mgr., DPS	Mgr., Address Mgmt.																

PS Form 1362, October 1999 (Page 1 of 2)

Exhibit 439.323 (p. 2)

Form 1362, Status Change Request/Report

Continued From Page One

PS Form 1362, October 1999 (Page 2 of 2)

44 Mail Preparation

441 Mail Preparation Operations

Mail preparation operations are supported and greatly affected by the following factors:

- a. The makeup and handling of incoming collection mail from stations and branches, associate offices, collectors, and firms.
- b. The platform handling of such mail upon its arrival at the mail processing facility. The mail preparation operations encompass the following:
 - (1) The staging of mail for subsequent processing based on class of mail, mail type, and postage payment method.
 - (2) The culling, facing, and canceling of different types of mail at the mail preparation unit.
 - (3) The staging of culled, faced, and canceled mail at mail preparation units for transport to applicable distribution and dispatch operations. Since the performance of the tasks described above significantly affects downstream operations, it is essential that each mail processing installation establish and maintain a carefully structured and well-managed mail preparation system. A well-run mail preparation operation is integral to the creation of a cost-efficient, service-effective mail processing system and, therefore, must be considered a high-priority management objective.

442 Mail Preparation Units

A mail preparation unit is where specific tasks are performed that facilitate the flow of mail to distribution or dispatch operations. Mail preparation operations in medium and large automated/mechanized P&DC/Fs are structured around a series of well-defined units. Each unit has primary responsibility for handling and processing a specific type and/or category of mail. The physical configuration, equipment usage, and staffing levels applicable to a particular type of operation (e.g., flats processing belt) may vary from plant to plant, depending upon differences in facility design, floor layout, volume, and mail mix. Pouches, sacks, hampers, and containers of originating mail from all sources should be separated according to shape (e.g., letters and flats), configuration (e.g., bundles, loose, faced), postage payment method (stamps, permit imprint, and meter), and staged or directed to the next unit or processing operation. (See Handbook PO-415, *Mail Preparation*, for further instructions.)

443 Endorsing, Canceling, and Postmarking

443.1 Endorsing

Only authorized endorsements (e.g., First-Class Mail, insured, certified, military ordinary mail (MOM) labels) may be placed on mailpieces by postal employees. Endorsements of any type are never to be placed on philatelic mail.

443.2 Canceling

Render all stamps, except precanceled stamps, unusable at the point of origin. This is to be accomplished by cancellation or strike-through with daubers on stamps placed where canceling equipment is unable to reach. On philatelic mailpieces, only authorized cancellations must appear on the item; no other marking of any type shall be placed on philatelic mail by a postal employee.

443.3 Postmarking

443.31 General

Postmark mail on the address side as follows:

- a. Postmark showing full name of Post Office, two-letter state abbreviation, and ZIP Code. For Standard Mail, omit postmark if name of mailing office is shown in return address.
- b. Postmark the following types of mail showing the full name of Post Office, two-letter state abbreviation, ZIP Code, and date of mailing:
 - (1) Express Mail.
 - (2) Registered and COD.
 - (3) Parcel post (ordinary).
- c. Postmark the following types of mail showing full name of Post Office, two-letter state abbreviation, ZIP Code, date of mailing, and a.m. or p.m.:
 - (1) First-Class Mail (except registered mail).
 - (2) Priority Mail.
 - (3) Postal cards and post cards.
 - (4) Business reply mail and meter reply cards, labels, and envelopes.
 - (5) Special handling.

443.32 Local Postmarking

Local postmarking will be provided at each Post Office. Lobby drops should be made available for this purpose with clear signage signifying its use. The rules for local postmarking are the same as the procedures in 443.31.

443.33 Backstamping

Backstamping of mail is permitted on missent mail only. *Missent mail* is defined as mail received at Post Office "A" when it should have been sent to

Post Office “B” (e.g., mail originated in Albany, NY, addressed to Tampa, FL, but was received in San Francisco, CA). Backstamping of forwarding mail is no longer required; the date will be applied by the Computerized Forwarding System II (CFS) unit when applying the new address label.

443.34 **Backdating**

Backdating the postmark on mail is expressly forbidden — except where a specific written authorization is granted to provide philatelic treatment on a new stamp issue beyond the issuance date. Such authority is extended only when public demand for a specific first-day issue exceeds daily cancellation capability. Backdating causes several major problems. It jeopardizes the integrity of the postmark as a legal basis for determining individual or contractual compliance with statutory deadlines, and it decreases the value of cancellation dates as the basis for measuring service standard achievement.

444 **Equipment and Supplies**

444.1 **General**

Network Operations Management has authority to approve the kind and use of canceling and postmarking supplies. All canceling machine dies, die hubs, and hand postmarking and stamp canceling equipment must be Postal Service-furnished or approved before being used at postal installations.

444.2 **Canceling Equipment**

Canceling and postmarking equipment is used only for those purposes and functions for which specific authorization has been granted.

444.3 **Altering or Substituting Equipment**

Equipment may not be altered or substituted without prior written authorization.

444.4 **Black Ink**

For canceling and postmarking purposes, use only Postal Service-supplied black ink.

445 **Requisitioning Procedures**

All requisitions for postmarking and canceling equipment and repair parts must be prepared and submitted in conformance with established procedures and policies as set forth in Handbook AS-701, *Material Management*, and Publication 247, *Supply and Equipment Catalog*.

45 Distribution

451 **Outgoing and Incoming Distribution**

Outgoing mail is mail received in local collections and from associate offices involved in the area mail processing plan. *Incoming mail* is received from other P&DCs from around the country for delivery in a given service area. Outgoing and incoming mail must be processed according to the established operating plan. This processing must be completed by established clearance times. Committed overnight mails must be distributed to ensure next-day delivery from the office of origin. The P&DC of origin will not dispatch mail without the required ADC ZIP Code distribution or without properly formatted and barcoded labels. After distribution, letter mail must always be dispatched in trays to facilitate automated sortation at the destination processing facility.

452 **Authorized Distribution**

452.1 **General**

The vice president, Area Operations, has the following responsibilities with regard to authorized distribution:

- a. Determines the authorized distribution and routing of all classes of mail originating in the area, and issues appropriate instructions.
- b. Determines requirements for installations in the area regarding the type and extent of mail distribution and the schemes and methods used.
- c. Authorizes or approves the authorization of any intraarea distribution changes.

452.2 **Outgoing Distribution**

Changes in the interarea distribution of managed mail for 2- and 3-day delivery must be coordinated between the areas involved, with concurrence from In-Plant Operations at Headquarters.

453 **Distribution Priorities**

Distribute mail by these priorities:

- a. Express Mail.
- b. Priority Mail.
- c. First-Class Mail.
- d. Periodicals.
 - (1) Newspaper treatment Periodicals (marked "NEWS").
 - (2) All other Periodicals (marked "PER").
- e. Standard Mail.
- f. Package Services.

454 **Centralized and Decentralized Distribution**

Generally, the distribution of mail should be centralized at the main Post Office or central distribution facility. Plant managers and district managers may approve decentralization of distribution to delivery units (stations and branches) under the following conditions:

- a. It provides same-day delivery of preferential mail not attainable through the main Post Office or the central mail facility.
- b. Daily mail receipt of presorted First-Class Mail, Periodicals, and Standard Mail can be transported directly to the branch or station.
- c. Space is not available at the main Post Office or at the centralized distribution point.
- d. Station and branch clerks can be gainfully utilized during slack periods.
- e. Distribution of mail at delivery units is more economical.

455 **Types of Distribution**

455.1 **Manual Distribution**

Manual distribution is hand sorting of mail by ZIP Code or address into manual letter or flat mail cases, trays, containers, sacks, or pouches in order to group mail or packages of mail for a common destinating area.

455.2 **Mechanized Distribution**

Mechanized mail distribution increases operational efficiency through the use of sorting machines and enhances the use of employee skills. Distribution of mail on mechanized equipment such as multiposition letter sorting machines (MPLSMs), single-position letter sorting machines (SPLSMs), parcel sorting machines (PSMs), and sack sorting machines (SSMs) is based on ZIP Code, except for incoming secondary sort schemes.

455.3 **Automated Distribution**

Automated distribution of letter and flat mail is the optimal system and is preferred over both manual and mechanized methods. The finest depth of sort is received using the available automated equipment (e.g., multiline optical character reader (MLOCR), mail processing barcode sorter (MPBCS), delivery barcode sorter (DBCS), carrier sequence barcode sorter (CSBCS), etc.). Letters are processed and sorted on the MLOCRs by scanning the address on the letter, applying a base depth of sort barcode, and directing it to its proper destinating stacker. Letters processed by MPBCSs, DBCSs, and CSBCSs are sorted by reading the barcode printed on the envelope and directing it to its proper stacker. The Remote Barcoding System (RBCS) handles letters that could not be read by the MLOCR. Images of this nonreadable mail are electronically sent to a remote keying site where mail clerks key in the proper information to enable a modified barcode sorter or output subsystem (OSS) to apply the barcode that represents the best depth of sort for the address provided.

456 **Managed Mail Processing**

Managed mail processing (MMP) is a distribution system where First-Class Mail, for a specific ZIP Code span, is massed at an automated/mechanized facility for distribution and dispatch. Initially, originating Post Offices identify and distribute First-Class Mail for a state or a specific ZIP Code span that is to be transported to ADCs/AADCs in destination geographic areas beyond the range of overnight delivery. Processing at origin points requires separation of mail to destination distribution centers by automated, mechanized, or manual case distribution. ADCs/AADCs will, to the extent possible, use machines and process destinating managed mail on Tour II. This, however, does not preclude performance of necessary distribution on other tours to achieve service standard commitments. The prime objective and benefit of MMP is the reduction in secondary workload at origin Post Offices, primarily on the evening tour. Leveling of workloads results with the addition of day tours instituted at ADCs/AADCs. Sectional center facility workloads and total piece handlings are reduced because of expanded mechanized mail processing at ADCs. Greater use of mail sorting equipment is reflected in improved productivity and makeup of directs.

457 **Scheme Distribution**

457.1 **General**

Scheme distribution is a systematic plan to move all classes of mail from originating office to destination office. ZIP Code, ZIP+4 code, Delivery Point Sequence (DPS) code, and general schemes are used to distribute mail to proper separations.

457.2 **City Schemes**

A city scheme is an official published list of elements of address for the distribution of incoming mail.

458 **National Color Code Policy for Standard Mail**

458.1 **Purpose of this Policy**

This policy is to ensure the timely processing, dispatch, and delivery of Standard Mail within established service standards.

- a. All outgoing, area distribution center (ADC), or sectional center facility (SCF) Standard Mail, regardless of where received (e.g., associate office, processing and distribution center, or other location) must be coded with the color that represents the day the mail is scheduled to be cleared.
- b. All other destinating Standard Mail must be coded with a delivery color that represents the scheduled day of delivery. Once you apply the color code, it remains on the mail until it is taken out for delivery. Apply the delivery color code as outlined in the specific facility portions of this policy.

458.2 General Policies

- a. Distribute all Standard Mail within the framework of the approved operating plan. The application of color codes to Standard Mail is based on the arrival of the mail being used in conjunction with the facility critical entry time. "Arrival at the facility" means the day and time the mail arrives on the Postal Service's property.
- b. If Standard Mail is mixed with a higher class of mail (e.g., First-Class Mail) in such a manner as it loses its identity, the Standard Mail must be considered upgraded and treated as the higher class of mail.
- c. If a holiday falls on a scheduled delivery day, apply the normal color code to allow for proper sequencing in any downstream operation.
- d. Color coding must not be the sole indicator used in evaluating what mail constitutes a plan failure (as related to mail condition reporting). Compliance with approved operating plan parameters must be the determining factor.
- e. There are no prohibitions against management agreements being made below the national level which accelerates the color coding and/or delivery expectations for any Standard Mail versus this policy.
- f. Remove color-code tags used to identify Clearance Day targets in outgoing, ADC, and SCF operations before you dispatch the mail to downstream operations. Keep the Delivery Day color codes with the mail until it is taken out for delivery, unless we note otherwise in this policy.
- g. Anytime Standard Mail is sent back upstream (backflowed) for delivery point sequence (DPS), automated processing, or other processing, the mail must retain the original color coding and delivery schedule as if it had remained in the downstream unit.
- h. Offices should make every effort to adhere to mailer-requested, in-home delivery dates. Do not deliver such mail earlier than the date the mailer has requested.

458.3 Color-Coding Procedures

Apply color codes to Standard Mail as outlined in the following sections, which are arranged by facility type and sortation level.

458.31 Bulk Mail Centers**458.311 Application of Color Codes**

The application of color codes to Standard Mail is based on the arrival of the mail being used in conjunction with the facility critical entry time. "Arrival at the facility" means the day and time the mail arrives on Postal Service property. Bulk mail centers (BMCs) must develop local procedures to ensure that they maintain the correct color code for all mail, based on its arrival on the premises, even when such mail is entered into the various mechanized sorting systems.

458.312 **Outgoing Standard Mail**

Code all outgoing Standard Mail with the 1-day color code that represents the day the mail is scheduled to be cleared. After you finish processing the mail, remove the Clearance Day tags used in outgoing operations before you dispatch to downstream operations and facilities.

458.313 **Area Distribution Center or Sectional Center Facility Function**

If a BMC and another processing center share responsibility for performing the functions of an area distribution center (ADC) or sectional center facility (SCF) (i.e., a 115/185 operation) or the BMC is a designated ADC or SCF, code the mail with a 1-day color code indicating the day the operation should be cleared. Such color-code tagging must be consistent with the arrival of the mail on Postal Service premises, and not when it is extracted or identified from a mechanized operation. After processing is completed, the Clearance Day tags used in the ADC/SCF operation are to be removed prior to dispatch to downstream operations. If any further distribution is performed below the ADC/SCF level in the BMC, then the portion of these instructions applicable to a P&DC, Delivery Unit, etc., are to be applied, as appropriate. (see exhibit 458.313)

Exhibit 458.313

One-Day Clearance Matrix

In accordance with 458.313, the following color-coding procedures must apply:

Receipt Day	Color Code	Clearance Day
Saturday	White	Sunday
Sunday	Blue	Monday
Monday	Orange	Tuesday
Tuesday	Green	Wednesday
Wednesday	Violet	Thursday
Thursday	Yellow	Friday
Friday	Pink	Saturday

When Standard Mail is discovered in a facility, after its initial receipt, without color codes or incorrectly identified with multiple color codes, and it cannot be reasonably determined what the color code should be, the following procedures must be followed:

- a. If the mail is identified with multiple color codes, then the oldest color code is assumed to be correct, even if the clearance/delivery date has passed.
- b. If mail is observed without any color code at all, then it is to be color coded with the same clearance/delivery color code as the oldest mail in the unit at the time of its discovery.
- c. If mail is observed without any color code at all, and there is no other mail in the unit at the time of its discovery, then it is to be color coded with today's clearance/delivery color code and treated as if it were delayed.

458.32 **Processing and Distribution Centers, Processing and Distribution Facilities, Mail Processing Facilities/Centers, and Customer Service Mail Processing Facilities**

- 458.321 The following color-coding procedures must apply in each of the designated operations:
- a. The application of color codes to Standard Mail is based on the arrival of the mail being used in conjunction with the facility critical entry time. Arrival at the facility is defined as the day/time the mail arrives on Postal Service property. These facilities must develop local procedures to ensure that they maintain the correct color code for all mail, based on its arrival on the premises, even when such mail is entered into mechanized sack sorting systems.
 - b. All outgoing mail, ADC, SCF/Incoming Primary Mail, and carrier route mail must be color coded as shown in Exhibit 458.321b to indicate scheduled clearance 1 day after receipt at the facility.

Exhibit 458.321b

One-Day Clearance Matrix

Receipt Day	Color Code	Clearance Day
Saturday	White	Sunday
Sunday	Blue	Monday
Monday	Orange	Tuesday
Tuesday	Green	Wednesday
Wednesday	Violet	Thursday
Thursday	Yellow	Friday
Friday	Pink	Saturday

After processing is completed, the Clearance Day tags used in outgoing, ADC, SCF/Incoming Primary, and carrier route operations are to be removed prior to dispatch to downstream operations/facilities.

- c. The SCF/Incoming Primary Standard Mail addressed in paragraph b must be totally finalized and processed by the identified Clearance Day.
- d. Facilities which process 3-digit (SCF) Standard Mail only to the 5-digit level must color code that 3-digit Standard Mail for clearance 1 day after receipt at that facility, as listed in Exhibit 458.321b. This mail must then be dispatched without color codes, and the proper delivery color code must be applied upon receipt at the facility that performs the secondary distribution.
- e. All Standard Mail which must subsequently receive incoming secondary distribution at the facility performing the ADC or SCF operation must receive a 2-day color code based upon its arrival or upon its extraction and identification from its initial distribution-operation (either the ADC or SCF operation) using the 2-day matrix in Exhibit 458.321e:

Exhibit 458.321e

Two-Day Delivery Matrix

Arrival/Extraction Day	Color Code	Delivery Day
Saturday	Orange	Tuesday
Sunday	Orange	Tuesday
Monday	Green	Wednesday
Tuesday	Violet	Thursday
Wednesday	Yellow	Friday
Thursday	Pink	Saturday
Friday	Blue	Monday

- f. In situations wherein ADC and SCF mail is, for operational reasons, commingled in the same processing operation, all such mail extracted for the local SCF must be color coded for a scheduled delivery day, also using the 2-day delivery matrix in Exhibit 458.321e.
- g. When Standard Mail with mailer-requested, in-home delivery dates is retained at the facility for DPS processing, a delivery color code reflecting the last requested in-home delivery date may be affixed, provided the mail is segregated and the in-home delivery day identification placards accompany the mail.
- h. When Standard Mail is discovered in a facility, after its initial receipt, without color codes or incorrectly identified with multiple color codes, and it cannot be reasonably determined what the color code should be, the following procedures must be followed:
 - (1) If the mail is identified with multiple color codes, then the oldest color code is assumed to be correct, even if the clearance/delivery date has passed.
 - (2) If mail is observed without any color code at all, then it is to be color coded with the same clearance/delivery color code as the oldest mail in the unit at the time of its discovery.
 - (3) If mail is observed without any color code at all, and there is no other mail in the unit at the time of its discovery, then it is to be color coded with today's clearance/delivery color code and treated as if it were delayed.

458.33 Delivery Distribution Centers/Units

- a. The application of color codes to Standard Mail is based on the arrival of the mail being used in conjunction with the facility critical entry time. Arrival at the facility is defined as the day/time the mail arrives on Postal Service property. These facilities must develop local procedures to ensure that they maintain the correct color code for all mail, based on its arrival on the premises.
- b. All outgoing mail received from a mailer and destinating carrier route mail must be color coded as shown in Exhibit 458.33b to indicate scheduled clearance 1 day after receipt at the facility.

Exhibit 458.33b

One-Day Clearance Matrix

Receipt Day	Color Code	Clearance Day
Saturday	White	Sunday
Sunday	Blue	Monday
Monday	Orange	Tuesday
Tuesday	Green	Wednesday
Wednesday	Violet	Thursday
Thursday	Yellow	Friday
Friday	Pink	Saturday

After processing is completed, the Clearance Day tags are to be removed prior to dispatch.

- c. All other destinating Standard Mail received at Delivery Distribution Centers/Units (DDC/DDU), including drop shipment mailings, must be color coded as shown in Exhibit 458.33c for 2-day delivery.

Exhibit 458.33c

Two-Day Delivery Matrix

Receipt Day	Color Code	Delivery Day
Saturday	Orange	Tuesday
Sunday	Orange	Tuesday
Monday	Green	Wednesday
Tuesday	Violet	Thursday
Wednesday	Yellow	Friday
Thursday	Pink	Saturday
Friday	Blue	Monday

- d. DDCs and DDUs which perform secondary distribution for delivery units must also apply a 2-day delivery color code as shown in Exhibit 458.33c to that mail upon its arrival from upstream facilities.
- e. Whenever a delivery day color code is applied, it must remain on the mail until the mail is taken out by the carrier at the delivery unit.
- f. When Standard Mail is discovered in a DDC/DDU, after its initial receipt, without color codes or incorrectly identified with multiple color codes, and it cannot be reasonably determined what the color code should be, the following procedures must be followed:
- (1) If the mail is identified with multiple color codes, then the oldest color code is assumed to be correct, even if the clearance/delivery date has passed.
 - (2) If mail is observed without any color code at all, then it is to be color coded with the same clearance/delivery color code as the oldest mail in the unit at the time of its discovery.
 - (3) If mail is observed without any color code at all, and there is no other mail in the unit at the time of its discovery, then it is to be

color coded with today's clearance/delivery color code and treated as if it were delayed.

458.34 **Delivery Units, including Post Offices, Stations, and Branches**

458.341

- a. All outgoing mail received from a mailer must be color coded as shown in Exhibit 458.341a to indicate scheduled clearance 1 day after receipt at the facility.

Exhibit 458.341a

One-Day Clearance Matrix

Receipt Day	Color Code	Clearance Day
Saturday	White	Sunday
Sunday	Blue	Monday
Monday	Orange	Tuesday
Tuesday	Green	Wednesday
Wednesday	Violet	Thursday
Thursday	Yellow	Friday
Friday	Pink	Saturday

After processing is completed, the Clearance Day tags used in outgoing operations are to be removed prior to dispatch.

- b. Delivery units not performing secondary distribution will receive Standard Mail from the distribution facility with a color code attached. This color code must remain on the mail until taken out for delivery.
- c. Delivery units doing secondary distribution, receiving Standard Mail requiring secondary distribution (including drop shipment mailings and mail received directly from mailers) must apply the 2-day delivery color code shown in Exhibit 458.341c upon receipt of the mail. This color code must remain on the mail until taken out for delivery.

Exhibit 458.341c

Two-Day Delivery Matrix

Receipt Day	Color Code	Delivery Day
Saturday	Orange	Tuesday
Sunday	Orange	Tuesday
Monday	Green	Wednesday
Tuesday	Violet	Thursday
Wednesday	Yellow	Friday
Thursday	Pink	Saturday
Friday	Blue	Monday

- d. Delivery units receiving mailer-prepared carrier route presort mail from upstream postal facilities or directly from mailers must apply the 2-day delivery color code shown in Exhibit 458.341c upon receipt of the mail. This color code must remain on the mail until taken out for delivery.

- e. If a holiday falls on a scheduled delivery day, the delivery color code must remain unchanged and must be used to properly sequence the mail on the next delivery day. On the day following the holiday, the mail color coded for the holiday is not considered delayed, but is worked prior to the mail with the current day's color.
- f. Delivery units may receive Standard Mail with a mailer-requested delivery date later than the scheduled color-coded day. This mail is to be color coded or re-color coded at the delivery unit to match the last requested in-home delivery date, to comply with the mailer's request.
- g. Delivery units may receive Standard Mail with a mailer-requested delivery date earlier than the color-coded delivery day. Although this mail must remain color coded for delivery as outlined in these procedures, all reasonable efforts should be made to deliver this mail within the mailer's requested delivery window.
- h. Delivery units may receive Standard Mail with a mailer-requested delivery date that has already passed. Although this mail must remain color coded as outlined in these procedures, the decision regarding the delivery or disposition of this mail must be consistent with the current national policy on this subject.
- i. When Standard Mail is discovered within a delivery unit (function 2, function 4, and individual zones may be considered as separate units) after its initial receipt, without color codes or incorrectly identified with multiple color codes, and it cannot be reasonably determined what the color code should be, the following procedures must be followed:
 - (1) If the mail is identified with multiple color codes, then the oldest color code is assumed to be correct, even if the clearance/delivery date has passed.
 - (2) If mail is observed without any color code at all, then it is to be color coded with the same clearance/delivery color code as the oldest mail in the unit at the time of its discovery.
 - (3) If mail is observed without any color code at all, and there is no other mail in the unit at the time of its discovery, then it is to be color coded with today's clearance/delivery color code and treated as if it were delayed.

46 Dispatch and Routing Concepts

Distribution Networks is required to provide a minimum of two dispatches for each destination made:

- a. An advance dispatch is used to send a volume of mail to the destination office as an accommodation to allow advance distribution and prevent an excessive volume of mail from being received at the critical entry time.
- b. A dispatch of value, or a "last chance" routing, reflects the latest time at which mail can be dispatched from the originating facility and arrive at the destinating facility prior to the appropriate critical entry time.

- c. Additional dispatches will be provided when justified by volume or other operational considerations. NASS produces a variety of reference and operation reports. NASS products used by a facility depend on type, size, and function. The supervisor, Networks at DN, with the manager of In-Plant Support Operations Support at the mail processing facility, will determine the type of NASS reports to be used. The manager of Distribution Networks at the area, together with the plant manager of the P&DC, is responsible for resolving all disagreements between transportation, distribution networks, and mail processing facilities.
- d. Further information is available in Postal Service, Handbook M-22, *Dispatch and Routing Policies*.

47 Platform Operations

471 General

Each postal facility must organize its platform operations to provide unloading, loading, and dock transfer to meet service requirements and eliminate delays caused by careless platform handling. Platform operations should be organized to provide a safe and efficient environment. The mishandling of one pouch, tray, outside mail piece, sack, pallet, or container on the platform (dock) negates the value of sophisticated distribution plans and could cause thousands of individual pieces of mail to be delayed.

472 Contract Mail Handling Facilities

Contract mail handling facilities, such as those in the hub and spoke program (HASP), that dispatch or receive vehicles with mail, including mail transport equipment, must follow these requirements:

- a. Transportation schedules must be posted as specified by the Postal Service or as appropriate under the contract.
- b. Vehicles must be properly loaded and documented.
- c. Data input to postal computer systems must be performed as directed by the Postal Service (such data entry capabilities must be cleared through the postal contracting officer (CO) and computer application program manager). Contract employees designated to request access to a postal computer system must complete Form 1357, *Request for Computer Access*, as well as any other clearance documents specified by the postal application program manager and postal Inspection Service.
- d. If the facility dispatches or receives vehicles in the postal seal program, the facility manager or contract representative must identify a seal control officer and follow security requirements in 476.
- e. Timely sorting, distribution, loading, and dispatch to meet postal schedules.

473 **Transportation Schedules**

473.1 **Overall Responsibility**

Area Office Distribution Networks (DN) prepares and distributes schedules for all modes of transportation within an assigned area. Transportation schedules are available and provided in a computer based application, where possible.

473.2 **Postal Vehicle Service (PVS)**

The local Transportation and Networks office prepares schedules of PVS trips and, when instructed to do so by Area Office Distribution Networks, intra-city contract transportation.

473.3 **Highway Contract Transportation**

Area Office Distribution Networks (DN) develops contracts and distributes schedules for all Highway contract routes (HCRs).

473.4 **Rail and Intermodal Contract Transportation**

Rail and intermodal contracts are awarded by postal headquarters after development with Area Office Distribution Networks (DN). Area Office Distribution Networks distributes information and training for rail contracts and rail management information systems.

473.5 **Posting Schedules**

Each processing and distribution center/facility (and individual Post Offices as designated by Area Office Distribution Networks) must use and maintain a current, correct, and integrated list of arrivals and departures in time sequence. This list must be in electronic or hard copy format and must:

- a. Clearly identify the transportation plans (highway contract route and trip number, PVS and trip number, drop shipment appointment, etc.).
- b. If hard copy, be posted in the platform area. (This includes posting at Post Office stations and branches and intermediate stops on the route of travel.)
- c. Be updated as necessary to reflect current schedules.

473.6 **Maintaining Files**

Each processing and distribution center/facility and Post Office must maintain a current file of the individual schedules of those routes serving the facility. The file must be in electronic or hard copy form. Documents that require retention, such as Form 5397, *Contract Route Extra Trip Authorization*, Form 5500, *Contract Route Irregularity Report*, and Form 5398-A, *Contract Route Vehicle Record*, must be retained as specified in the *Administrative Support Manual*, and Handbook PO-513, *Mail Transportation Procurement Handbook*.

473.7 **Schedule Changes**

It is the responsibility of the processing and distribution plant manager and Post Office postmaster to request changes in transportation to meet service requirements as follows:

- a. A Post Office that is not a processing and distribution center/facility sends such requests through its local transportation and networks manager, who reviews, coordinates, and forwards requests in writing to the Area Office Distribution Networks.
- b. A processing and distribution center/facility directs requests in writing to its Area Office Distribution Networks and sends a copy to its plant manager.
- c. Box delivery requests are sent through the local District Postal Operations Manager (DPOM), who reviews, coordinates, and forwards requests in writing to the Area Office Distribution Networks. Area Office Distribution Networks reviews schedule change requests, coordinates with other local, Area, and headquarters offices as necessary, and considers service and budget impacts prior to approval.

473.8 **Schedule Errors**

All offices must report any errors in transportation schedules promptly to their Area Office Distribution Networks. This includes errors in any printed report or electronic program, such as the Highway Contract Support System (HCSS), Transportation Information Management and Evaluation System (TIMES), yard control or vehicle information system, National Air and Surface System (NASS), and any change in air and surface schedules. Plants must notify their Area Office Distribution Networks of all changes in or corrections of postal vehicle service (PVS) schedules.

473.9 **Extra Trips**

All offices must record in the appropriate computer system, such as TIMES, extra trips dispatched or received. In addition, offices must complete required postal forms. For example, for highway contract service, complete Form 5397, *Contract Route Extra Trip Authorization*. For rail dispatches, complete Form 5186, *Mail Movement Routing Instructions*, either from the Rail Management Information System or the manual version.

474 **Loading**

474.1 **Instructions**

Managers responsible for transportation must produce detailed loading instructions for each platform operation. Platform personnel must load trucks and trailers in accordance with prepared instructions, prescribed regulations, and/or special contract provisions.

474.2 **Diagrams**

Highway contract route (HCR) trucks and trailers must be loaded according to diagrams on file and special instructions issued by Area Office Distribution Networks. Preferential mail must be placed in the vehicle so that it can be readily identified and unloaded at intermediate stops and at final destination.

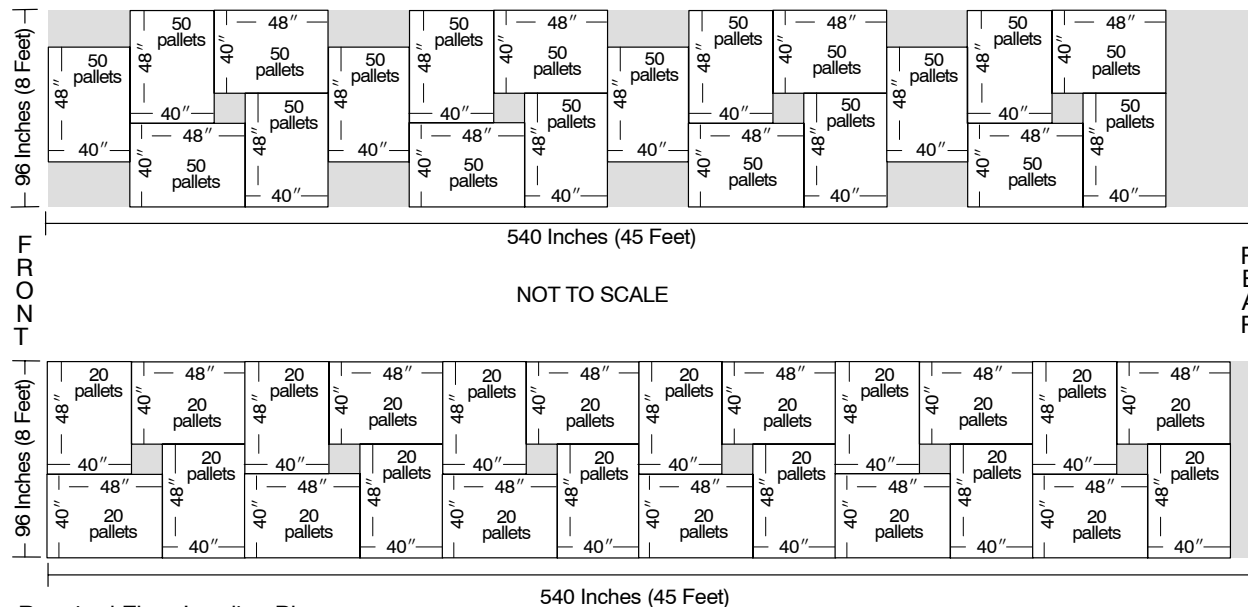
474.3 **Managing the Vehicle Load**

The purpose of proper loading is to ensure safe and damage-free transport of the load. Drivers who transport overloaded vehicles are susceptible to accidents, and may be ticketed and have substantial points assessed against their license. In some cases the Postal Service may make a court appearance regarding the citation. Other cases may require communication with the state Department of Motor Vehicles. In both instances, the overloaded vehicle causes an unnecessary and unproductive use of resources. Drivers who load their own vehicles to an overloaded condition are responsible and may be liable for any fine. Platform managers, supervisors, and employees must ensure that vehicles are loaded in a safe and legal manner:

- a. For trips with special loading plans, loading diagrams should be posted at dock doors.
- b. In each vehicle fitted with side wall ("E") tracks, the load is secured with shoring straps and/or load bars.
- c. Whenever containers with drop-down pins are loaded in a vehicle with floor pin stake pockets, each container's pin is fitted in a floor pocket and container brake applied.
- d. Pallets are arranged in a pinwheel fashion, where pallets are loaded side by side in the vehicle with the long (48-inch) side of one next to the short (40-inch) side of the other, and the next row is loaded in the opposite direction. This interlocks the pallets and helps prevent them from sliding and the load shifting. See [Exhibit 474.3](#) for an example of pinwheeling pallets.
- e. Bedloaded sacks are brick-laid stacked in an orderly manner with the string side of the sack facing forward.
- f. Bedloaded trays are stacked with heaviest trays on the bottom and each successive level placed in a crisscross manner.
- g. Bedloaded parcels and nonmachineable outsides are brick-laid stacked in an orderly manner with heaviest parcels and outsides on the bottom.
- h. Mixed loads are arranged with bedloaded trays stacked along the side walls and sacks loaded in the middle across the vehicle.
- i. Vehicles are not to be loaded with more weight than the vehicle's specifications provide or law permits.
- j. Additional cargo restraint methods are used for potentially unstable loads.

Exhibit 474.3
Safely Loading Pallets into Trailers

Required Floor Loading Plan
 for Nestable Pallets (PSIN 3919)



Required Floor Loading Plan
 for Wood Pallets (PSIN 3919)

474.4 **Cost for Overweight Vehicles**

If a Postal Service facility overloads a Highway Contract Route (HCR) vehicle resulting in a fine to the contractor, the contracting officer for that HCR may use his or her discretion and reimburse the contractor for the cost of the fine and charge that cost to the facility that overloaded the vehicle. If a contractor overloads their own vehicle resulting in a fine to the contractor, the contracting officer for that HCR may hold the contractor responsible for the fine or in special circumstances may use his or her discretion and reimburse the contractor for the cost of the fine. In some cases a law enforcement official requires excess weight be taken off the vehicle before continuing on its journey. This situation delays the mail and adds additional cost for the extra vehicle and driver. If possible, the office that loaded the vehicle provides the means to remove, transfer, and transport the excess load. If not possible, the nearest able plant or Post Office provides the resources and notifies the origin office of the incident.

474.5 **Attaching Seals**

The designated platform employees at a loading point must:

- a. Identify vehicles that must be sealed (see 476.1).
- b. Complete Form 5398-A and insert appropriate copy into vehicle (see 476.8).
- c. Apply numbered tin band and twisted wire seals (see 476.6 and 476.7).

475 **Visual Aids on the Platform (Dock)**

475.1 **General**

Visual aids provide platform employees easy and efficient access to information concerning the proper loading and dispatch of trips, as well as information about arriving trips. Visual aids enhance platform operations by providing ready information so employees can expedite unloading and transfer of mail to inplant operations, and can expedite the proper loading, sequencing, and dispatch of outbound mail. Platform supervisors should ensure accurate visual aids are displayed in an appropriate place on the platform.

475.2 **Inbound Trips**

475.21 **Arrival Schedules**

For inbound operations, receiving offices must have visual aids showing a profile of trip arrivals, including pertinent information such as route, trip, scheduled arrival time, and transfer information for cross dock items to meet outbound dispatches. When appropriate, post transfer information with separate times depending on mail make-up, such as separate transfer times for both direct and working pallets, for direct and working rolling stock, and for loose sacks. This instruction is not applicable when using electronic arrival profiles (such as the Transportation Information Management and Evaluation System (TIMES) or the Transportation Routing Information Panel System (TRIPS)) or for BMCs and offices with mechanized unloading-to-machine distribution.

475.22 **Special Instructions**

For each inbound trip with a distinct load configuration, receiving offices must have visual aids showing the separations (or other unique features) expected on the trip, the content of the separations, and special handling instructions. Hard copy visual aids are not applicable when information is available through electronic devices, such as computer monitors mounted on the platform.

475.3 **Outbound Trips**

475.31 **Loading Diagrams**

For each outbound trip, dispatching offices must have visual aids showing the individual and/or inclusive ZIP Codes to be dispatched, and other unique features, such as for tailgating mail. Hard copy visual aids are not applicable when information is available through electronic devices, such as computer monitors mounted on the platform.

475.32 **Dispatch Schedule**

For each outbound trip, dispatching offices must have visual aids showing a profile for outbound dispatches, including route, trip, scheduled departure time, and other unique features. This instruction is not necessary when

sufficient instruction is provided by electronic dispatch tools, such as TIMES and TRIPS.

476 Sealing Program and Procedures

476.1 General Requirement

All dispatching offices under the seal program, including contract mail handling facilities, must seal each outbound highway contract vehicle, rail intermodal vehicle (trailer, container, RoadRailer, or other rail or Postal Service-furnished vehicle), or rail boxcar, with numbered tin band seals, Item 0817A, and twisted wire seals, and complete Form 5398-A, *Contract Route Vehicle Record*. If an electronic transportation system such as TIMES is used, the tin band seal number must be entered in the appropriate place manually, or by scanning the barcode on the seal. Dispatching and receiving offices must have tin band seals, twisted wire seals, seal imprinters, and sealing and cutting tools.

Note: Twisted wire seals are never used alone when dispatching mail (excluding Mail Transport Equipment, see 476.2c). They are always used in addition to numbered tin band seals and Form 5398-A.

476.2 Exemptions and Exceptions

In some cases, the seal system is not used at all or is used with minor deviations:

- a. **Unstaffed Offices.** Do not use the seal system for dispatches of mail to offices where vestibule exchange occurs, or where postal personnel are not normally on duty to accept delivery. Complete Form 5398-A and enclose it to verify that the load was in good condition and identify who closed it. Annotate Form 5398-A “**SEAL NOT REQUIRED**” to verify a seal was not used.
- b. **Empty Vehicles.** Do not seal empty trailers, vans, or rail vehicles.
- c. **Mail Transport Equipment.** Do not use a numbered tin band seal on dispatches of mail transport equipment. Use a twisted wire seal. If appropriate for additional security, use Form 5398-A and annotate it “**SEAL NOT REQUIRED.**”
- d. **Contract Vehicles.** Small highway contract routes utilizing equipment with automobile type locks that are not sealable are exempt from the sealing requirements. Contract vehicles secured with contractor’s padlocks are exempt from using twisted wire seals, but must use the numbered tin band seal.
- e. **Foreign Mail.** Seal outbound international ocean containers with tin band seals and record serial numbers on the waybill documents. Do not use Form 5398-A.
- f. **Outbound Military Mail.** Seal all outbound military mail containers dispatched overseas via surface transportation with both twisted wire seals and numbered tin band seals. Do not use Form 5398-A.

- g. Inbound Military Mail. Inbound military mail containers are sealed with only the numbered tin band seal. Do not use twisted wire seals.
- h. Postal Vehicle Service (PVS). PVS drivers must use cargo compartment door locks and, where applicable, postal padlocks, in accordance with PVS policy.

476.3 **Disseminating Instructions**

Dispatching offices must furnish necessary instructions to offices that receive sealed vans and are not familiar with the seal program. The instructions must include procedures for removing, verifying, and filing numbered seals and forms.

476.4 **Necessary Supplies**

The sealing program uses the following basic supplies:

- a. Item 0817A, Numbered Tin Band Seal.
- b. Form 5398-A, *Contract Route Vehicle Record*.
- c. Security seal imprinter.
- d. Twisted wire seal (12-inch section of 8-gauge steel wire band).
- e. Twisted wire sealing and cutting equipment (see 476.7).

476.5 **Security**

476.51 **Numbered Seals**

The manager at each postal facility or contract mail handling facility where numbered tin band seals are used must keep seals under lock and key. The manager designates a supervisor and a clerk as seal control officer and alternate seal control officer, respectively. The reserve stock of seals is under the exclusive control of the seal control officer and his/her alternate. The following guidelines also apply:

- a. Seals may be shipped from the factory in bulk quantities of several hundred or several thousand.
- b. Seals are issued to dock personnel in units of 100 or in units of a two-day supply, whichever is less.
- c. Seals must not be given to contract employees under any circumstances.

476.52 **Sealing Discrepancies**

476.521 **General Rule**

Any employee who notices a sealing irregularity (e.g., a discrepancy in a seal number or a broken or missing seal) must initial the related Form 5398-A and notify his/her supervisor. The supervisor must:

- a. Verify the irregularity and initial the Form 5398-A.
- b. Immediately report the irregularity by telephone both to the dispatching facility and to the appropriate Postal Inspector-in-Charge.
- c. Investigate the discrepancy to the best extent possible.

- d. Follow up the telephone report with a written report to both offices.
- e. Retain the seal and related form until the investigating postal inspector authorizes its release.

476.522 **Special Cases**

For a discrepancy involving either a double trailer or a relay driver (a driver other than the one who drove the first segment of the route), the employee discovering the discrepancy must determine the name of the driver and enter it on the Form 5398-A.

476.6 **Multidoor Vehicles**

Special requirements for multidoor vehicles depend on whether or not the side doors are used en route:

- a. **Unused Side Doors.** Side doors of highway contract vehicles that are never used must be permanently sealed by applying a twisted wire seal and a numbered tin band seal to the unused doors. The numbered tin band seal is recorded on Form 5398-A and placed in the local contract file. When sealing or removing the regular numbered seal from the rear doors of the vehicle, make a visual check to see that both the tin band seal and the twisted wire seal are intact on unused side doors. It is not necessary to verify the number of the special seal in every instance, but checks must be made at least quarterly.
- b. **Used Side Doors.** Multidoor vehicles with side doors that are used en route require numbered seals on both doors. Use one Form 5398-A for the side door, and another for the rear door. When unloading mail, remove only the seal on the door being opened. Verify the seal number on the other door.

476.7 **Twisted Wire Seals**

476.71 **Applying Wire Seals**

Twisted wire seals require approximately 90 seconds to affix and are fastened as follows:

- a. Insert a 12-inch section of 8-gauge steel wire rod halfway through the hasp of the door to be sealed.
- b. Bend the wire rod double and insert one end into a special twisting tool.
- c. Rotate the tool to catch the other end of the wire, thus twisting the wire into a tight knot that can be removed only with a bolt cutter.
- d. Twist the seal against the door hasp so that it cannot be untwisted with a screwdriver or a pair of pliers.

476.72 **Removing Wire Seals**

Cut the seals with at least a 14-inch bolt cutter. For personal safety, make the cut close to the hasp. To prevent the possibility of tire damage, do not let used seals fall to the ground. Place used seals in the appropriate waste receptacle.

476.8 Form 5398-A**476.81 Applicability**

Form 5398-A must be completed by all facilities (including BMCs) for each highway contract route vehicle, rail intermodal vehicle, and rail boxcar that is sealed with a numbered tin band seal. See 476.2 for exceptions.

476.82 Automatic Imprinting

A security seal imprinter is used to automatically record the date, name, and ZIP Code of the dispatching facility and the serial number(s) of the tin band seal(s) on the Form(s) 5398-A. The imprinter can accommodate three tin band seals.

476.83 Dispatching Entries

The dispatching employee must write certain entries on the Form 5398-A. These include:

- a. Name of the employee sealing the vehicle.
- b. Destination of the next facility to be served by the vehicle. (This may be an intermediate stop en route.)
- c. Driver's name. **Exceptions:** It is not necessary to show the driver's name when sealing:
 - (1) a rail intermodal vehicle or boxcar, or
 - (2) the first trailer of a double trailer trip (e.g., pups/twins) to the same destination. The driver must be identified on the Form 5398-A for the second trailer. See also 476.522.
- d. Departure Time and Date. When sealing rail vehicles in advance of the dispatch, or when sealing the first vehicle in a tandem dispatch, write the sealing time and date rather than the departure time and date.
- e. Registered mail is not identified or recorded on Form 5398-A.

476.84 Defective Seals

When sealing vehicle doors, dispatching employees who discover defective seals should submit them to their supervisors with the numerical sequence of those seals listed on a Form 5398-A.

476.85 Distribution

Form 5398-A is a three-part form: two soft (tissue) copies and a hard (index) copy. Copies are distributed and used as follows:

- a. First soft copy. Retain at dispatching facility.
- b. Second soft copy. Give to vehicle driver for use:
 - (1) as a gate pass at facilities where access is controlled by security force personnel, and
 - (2) as a bill of lading at truck weigh stations or at en route inspections by regulatory agencies.

- c. Hard (index) copy. Place in open-ended envelope attached to the inside wall of the vehicle's cargo compartment. Do this immediately prior to closing and sealing the cargo doors.

476.86 Receiving Entries

Any employee who breaks the seal at the point of destination must process the Form 5398-A as follows:

- a. Enter name of employee breaking seal.
- b. Identify any discrepancies (see 476.52).
- c. Submit forms and seals for retention.

476.87 Retention

Forms 5398-A and related numbered seals must be filed and kept at the receiving facility for 15 days.

476.9 Registered Mail

Detailed procedures for registered mail are in Handbook DM-901, *Registered Mail*. The following are included in registered mail procedures for transportation contract operations:

- a. Contract drivers who are not under the security seal program are required to sign for registered mail.
- b. A postal employee must be assigned to receive and record all registered mail from contract drivers.
- c. A Nil-Bil system that will account for registered remittances. This requires a registered mail pouch even if no remittance is being sent that day.

477 Mail and Empty Mail Vehicle Arrivals

477.1 Recording Arrivals

All mail and empty mail vehicle arrivals (whether via scheduled transportation or extra trips) on contract or Postal Vehicle Service (PVS) must be recorded in the appropriate electronic system (such as the Transportation Information Management and Evaluation System (TIMES)) or on the appropriate form (see below). Complete the data entry or forms as required, and include additional remarks to explain deviations. Appropriate forms are:

Source of Mail	Record Trip Arrivals in Electronic System	Record Trip Arrivals on
Main office collection runs at CAG A-G offices	As available	Form 3968, <i>Daily Mail Collection Record</i>
Stations and branches via PVS	As available	Locally designed form
Stations and branches via highway contract route	As available	Form 5398, <i>Transportation Performance Record</i>

Source of Mail	Record Trip Arrivals in Electronic System	Record Trip Arrivals on
Associate offices via highway contract route	As available	Form 5398, <i>Transportation Performance Record</i>
Processing plants via highway contract route	TIMES (Transportation Information Management and Evaluation System)	Form 5398, <i>Transportation Performance Record</i>
AMF or airport	TIMES	Locally designed form or as required by Area Office Distribution Networks
Bulk mail center via highway contract route	TIMES, yard control system	Form 5398, <i>Transportation Performance Record</i> , Form 4460, <i>Vehicle Record/Trip Ticket</i> (card)
Bulk mail center via rail	TIMES, yard control system, and/or Rail Management Information System (RMIS)	Form 5398, <i>Transportation Performance Record</i> , Form 4460, <i>Vehicle Record/Trip Ticket</i> (card), Form 5186, <i>Mail Movement Routing Instructions</i>
Bulk mail center via PVS	TIMES, yard control system	Form 5398, <i>Transportation Performance Record</i> , Form 4460, <i>Vehicle Record/Trip Ticket</i> (card)
Local private mailers	Drop Shipment System for destination entry vehicles, TIMES, RMIS for rail vehicles, other as available	After verification, Form 8125, <i>Drop Shipment Clearance Document</i> , Form 8015, <i>Plant Load Vehicle Log</i> , or locally -designed forms, if warranted
Private mailers from other than local area	Drop Shipment System for destination entry vehicles, RMIS for rail vehicles, other as available	After verification, Form 8125, <i>Drop Shipment Clearance Document</i> , Form 8015, <i>Plant Load Vehicle Log</i> , or locally designed forms, if warranted

477.2 **Forms 4460 and 5398**

Receiving offices must record the arrival time and the unloading time for all trips (including extra highway route trips) as follows:

- a. BMCs use Forms 4460 and 5398 to record times. Other offices use Form 5398.
- b. Although most offices maintain Forms 4460 and 5398 at the platform, BMCs and certain large Post Offices may find it advantageous to maintain the forms at some other place, such as a vehicle operations office.

477.3 Form 5201, Mail Van Inspection

The purpose of Form 5201 is to show the condition of vehicles when received into the possession of the Postal Service. A properly completed Form 5201 records preexisting damage that should not be charged to the Postal Service. Form 5201 should be prepared for all arriving rail or leased vehicles, whether loaded or empty. Drivers picking up rail or leased vehicles should verify an inspection form provided by the location supplying the vehicle, or complete Form 5201 at the time of acceptance. A Form 5201 completed on departure from a facility may record damage caused to the vehicle while in the possession of the Postal Service. If requested by a driver at departure, complete Form 5201 and provide a copy to the driver. Follow instructions issued by the Area Office Distribution Networks to complete Form 5201.

477.4 Unloading**477.41 Instructions**

All receiving facilities must have detailed unloading instructions for each platform operation. The detail necessary depends on the size and complexity of the office. The instructions should be posted as visual aids or easily available to platform employees. Always include instructions pertaining to the unloading of drop shipments that must be checked to ensure proper quantity and documentation of mail, and for business mail that must pass through acceptance procedures before processing. Also include procedures for handling surface preferential mail (periodicals), particularly tailgated surface preferential mail and Registered Mail. In some cases it is necessary to identify docks, belts, slides, and staging areas by number with visual aids, because this helps employees place specific mail items in the proper place.

477.42 Removing Seals

The designated platform employees at an unloading point must:

- a. Remove all numbered seals and twisted wire seals (see 476.72).
- b. Complete the appropriate parts of Form 5398-A (see 476.86).
- c. Identify any discrepancies (see 476.52).
- d. After verifying Form 5398-A against the actual seal number, dispose of numbered and twisted wire seals in a trash receptacle to prevent the possibility of vehicle tire damage.
- e. File Form 5398-A in an appropriate place for at least 15 days.

477.43 From Air Facilities**477.431 Responsible Employees**

All employees who are responsible for the dispatch and receipt of mail at airport mail centers (AMCs) and facilities (AMFs) or local air stop points must be thoroughly familiar with the air contract data collection system, required forms contained in Handbook PO-507, *Air Contract Administrative Procedures*, and procedures for air contract performance measurement, including scanning procedures.

477.432 Air Taxis

Use appropriate forms. See Handbook PO-509, *Air Taxi Contract Administration*.

477.5 Platform Transfers**477.51 Registered Mail**

Registered mail must be handled according to registered mail procedures. In 1997, new procedures were issued by the Chief Postal Inspector and the Vice President, Operations Support, to area vice presidents. Among other changes, these procedures:

- a. Required contract drivers not under the seal program to sign for registered mail.
- b. Assigned a postal employee to receive and record all registered mail from the contract drivers.
- c. Implemented a Nil-Bil system to account for registered remittances, requiring a registered pouch even on days no remittance is sent.

477.52 Preferential Mail

Preferential mail must be given expeditious handling on platforms.

477.53 Transfer Failures

If a transfer failure is caused by poor supervisory judgment, local management must take immediate corrective action. If the transfer failure results from the late operation of a highway contract and is not caused by legitimate reasons:

- a. Processing plants, administrative offices, large installations, and other postal facilities complete Form 5500, *Contract Route Irregularity Report*, and distribute copies as instructed on the Form.
- b. Offices that do not use Form 5500 report irregularities to the appropriate administrative official of the contract involved using Postal Service routing slip, Supply Item O-13, or other appropriate communication.
- c. If a transfer failure causes delay to a highway contract route (HCR) trip, a Form 5466, *Late Slip*, should be issued to the HCR driver.

477.54 Missent Mail

Notify responsible Post Offices, processing facilities, and BMCs of receipt of missent pouches, sacks, containers, and outside pieces of all classes of mail. Follow up to ensure problems have been corrected.

478 Mail and Empty Mail Vehicle Departures**478.1 Recording**

All mail and empty mail vehicle departures (whether via scheduled transportation or extra trips) must be recorded in the appropriate electronic

system (such as TIMES or other vehicle information system) or on the appropriate form (see table below). Complete the data entry or forms as required, and include additional remarks to explain deviations. Appropriate forms are:

Mail / Vehicle Destination	Record Departures in Electronic System	Record Departures on Form
Stations and branches via PVS	As available	Locally designed form
Stations and branches via highway contract route	As available	Form 5398, <i>Transportation Performance Record</i>
Associate offices via highway contract route	As available	Form 5398, <i>Transportation Performance Record</i>
Processing plants via highway contract route	TIMES (Transportation Information Management and Evaluation System)	Form 5398, <i>Transportation Performance Record</i>
AMF or airport	TIMES	Locally designed form or as required by Area Distribution Network Office
Bulk mail center via highway contract route	TIMES, vehicle information system	Form 5398, <i>Transportation Performance Record</i> , Form 4460, <i>Vehicle Record/Trip Ticket (card)</i>
Bulk mail center via rail	TIMES, vehicle information system, and/or Rail Management Information System (RMIS), Equipment Inventory Reporting System (EIRS) for mail transport equipment (MTE)	Form 5398, <i>Transportation Performance Record</i> , Form 4460, <i>Vehicle Record/Trip Ticket (card)</i> , Form 5186, <i>Mail Movement Routing Instructions</i> for rail
Bulk mail center via PVS	TIMES, yard control system	Form 5398, <i>Transportation Performance Record</i> , Form 4460, <i>Vehicle Record/Trip Ticket (card)</i>
Rail Yard or Leased Vehicle Supplier	RMIS for rail vehicles, TIMES, vehicle information system, other as available	Form 5398, <i>Transportation Performance Record</i> , Form 4460, <i>Vehicle Record/Trip Ticket (card)</i> , Form 5201, <i>Mail Van Inspection Report</i> , or locally designed forms, if warranted
Private mailers	RMIS for rail vehicles, TIMES, vehicle information system, EIRS for MTE, other as available	Form 5398, <i>Transportation Performance Record</i> , Form 5201, <i>Mail Van Inspection Report</i> , After verification, Form 8125, <i>Drop Shipment Clearance Document</i> , or locally designed forms, if warranted

478.2 Form 5201, Mail Van Inspection

A Form 5201 completed on departure from a facility may record damage caused to the vehicle while in the possession of the Postal Service. If requested by a driver at departure, complete Form 5201 and provide a copy to the driver. Follow instructions issued by the Area Office Distribution Networks to complete Form 5201. Form 5201 is initiated on vehicle arrival to document preexisting damage. See 477.3 regarding arrivals.

478.3 Scheduling Extra Trips**478.31 Postal Vehicle Service (PVS) Trips**

Extra PVS trips are costly and should not be scheduled unless necessary to prevent delay of mail.

478.32 Highway Contract Route Trips

No office may request or schedule extra highway contract route trips unless necessary to prevent serious delay of preferential mail or justified because of mail volume. The following guidelines apply:

- a. Each highway contract route extra trip must have Form 5397, *Contract Route Extra Trip Authorization*, completed as certification for payment.
- b. The office authorizing the extra trip must issue Form 5397 and complete the appropriate sections.
- c. A copy of Form 5397 will be retained for at least one year in the office that issues Form 5429, *Certification of Exceptional Contract Service Performed*. Form 5429 must be retained at least 7 years. Record retention periods are also contained in the *Administrative Support Manual* and Handbook PO-513, *Mail Transportation Procurement Handbook*.
- d. Destination offices should be notified of extra trips in advance by telephone or electronic mail, and furnished Form 5397.
- e. Destination offices review and complete the appropriate sections of Form 5397 for destination office. If the extra trip ends at the destination office, the destination office distributes copies of the completed Form 5397 as instructed on the form. If the extra trip is operating round-trip, the destination office should dispatch any available volumes on the return leg of the extra trip.
- f. Form 5429, *Certification of Exceptional Contract Service Performed*, is completed by the office designated as Administrative Official (AO) for the highway contract route. The AO summarizes Forms 5397 onto Form 5429 at the end of each postal accounting period. The AO distributes copies of Form 5429 as required on the Form, including sending the completed Form 5429 to the postal Accounting Service Center for payment to the highway contract route contractor. Form 5429 must be retained at least 7 years.

478.4 **To Air Facilities**

Extra trips to air facilities are scheduled and documented in accordance with the requirements for the type of surface transportation used. Postal vehicle service trips are scheduled and operated in accordance with PVS requirements. Highway contract trips are scheduled in accordance with 478.32. See 477.3 regarding inspecting vehicles using Form 5201, *Mail Van Inspection*.

479 **Special Mailer Preparation**

479.1 **General Explanation**

Special mailer preparation offers benefits to both cost and efficiency. Mailers who prepare their mail in special ways do so for the following reasons:

- a. To qualify for automation rates.
- b. To reduce handling within the Post Office and thus expedite service. Platform employees must recognize specially prepared mail and handle it in a manner that takes advantage of the mailer preparation and expedites its movement through the processing plant to delivery. Some examples of specially prepared mail are cross dock pallets; mail in specialized cartons and containers; trayed, prebarcoded, and carrier route sequenced mail; and ZIP Code sequenced (riffle) mail.
- c. To qualify for destination entry discounts under plant-verified drop shipment.

479.2 **Cross Dock Pallets**

Mailers may prepare pallets with mail all for a certain processing plant or delivery office. These pallets do not need to be broken until they reach the plant or office that processes mail with the specific ZIP Codes identified for the pallet. Cross dock pallets should therefore be moved from the delivery vehicle to the outbound trip intact. As a safeguard, contents on the pallet should be visually checked against the pallet label.

479.3 **Specialized Cartons and Containers**

Mailers may be provided specialized cartons and containers for loading mail. These cartons and containers are then loaded and unloaded with mechanized equipment, making the loading and unloading process faster. In some cases, mailers may be provided rolling containers for use within the closed loop of the processing plant's service area and the mailer's plant. Rolling containers are costly, their use must be monitored, and mailers should not keep them for a prolonged period of time. They should be promptly loaded and returned. An alternative to costly rolling containers is pallet-based cardboard box containers. They may be provided by the mailer or, if appropriate, postal facility. Rolling containers (or pallet-based containers) replace bedloading and expedite the loading and unloading of vehicles. Platform personnel should unload containers and promptly move them to the next operation.

479.4 Trayed Mail

Depending on the degree of makeup and the manner in which postage is paid, platform personnel must develop a system (with the approval of the manager responsible for plant operations) that ensures trayed mail is handled expeditiously. Platform supervisors should utilize any or all of the following tags or labels to assist in the correct routing of trayed mail:

Label/Tag	Used for
LABEL 204	First-Class Presorted — All for ZIP Code on Face
LABEL 205	First-Class Presorted — All for First 3 Digits of ZIP Code
TAG 13	Mailer Prepared Scheduled Mail
TAG 23	Presorted First-Class Sack, Green
TAG 24	Presorted First-Class Sack, 5-Digit
TAG 25	Presorted First-Class Sack, 3-Digit
TAG 57	Political Campaign Mailing
TAG 122	Carrier Presorted Mail

479.5 ZIP Code Sequence (Riffle) Mail

ZIP Code sequence or riffle mail consists of letters and flats that have been customer-sequenced by ZIP Code, state, or otherwise (processing category, outgoing or incoming schemes). Platform personnel should familiarize themselves with mail arriving at the platform to locate, identify, and correctly route riffle mail. A local method of identifying the pallets, containers, trays, or sacks of riffle mail must be established.

479.6 Destination Entry Mail (PVDS-Plant Verified Drop Shipment)**479.61 General**

Plant verified drop shipments (PVDS) are considered freight until such time as they are actually deposited at the destination facility where they will be accepted as mail. Mailers (or their agents) may request specific dates for appointments and unloading of destination entry mail at postal facilities. Mailers must request appointments in advance by using either the drop shipment appointment system (DSAS) or by calling the local drop shipment appointment control center or local drop shipment coordinator (depending on locale, the appropriate drop shipment appointment control center/coordinator may be the one serving the destination entry location, as opposed to serving the mailer plant origin). Conditions for unloading product from the mailer's or mailer's agent's vehicle are that the load must be in good condition, clearly identified, all mail properly prepared, and all official forms and paperwork present and properly completed. Some general provisions follow. For specific procedures, see separately published guidelines for drop shipment mail.

479.62 Prior Authorization

Prior clearance is required before accepting drop shipment mail. An appointment or reservation is generally needed, and electronic authorization

or specific clearance documents must be presented along with mail being deposited. Prior to being issued a PVDS authorization the mailer must have either an existing Postal Service detached mail unit (usually established with a plant load authorization), or a postage payment agreement, specifying how PVDS postage is to be verified. Form 8125, *Drop Shipment Clearance Document*, is required to accompany each shipment and be presented to the Postal Service with mail being deposited.

479.63 **Plant-Verified Drop Shipment Seal**

The mailer's vehicle may be sealed with the blue plastic seal used specifically for drop shipments. If a seal is present, the employee breaking the seal must verify the number against the seal number recorded on accompanying documents. If the seal number disagrees with the number on Form 8125, *Drop Shipment Clearance Document*, contact the mail acceptance office.

479.7 **Staging for Scheduled Delivery**

Mailers of nonpreferential Periodicals and Standard Mail may request specific delivery dates for their mail, provided that they furnish the mail to Post Offices sufficiently in advance of the scheduled delivery date. General delivery commitments are dependent upon level of presort and place of deposit as described in 458. The requested delivery date should be no earlier than normal service commitments would indicate.

48 **Safety**

481 **General**

Safety is a major concern in all elements of mail processing. Managers are responsible for ensuring that safety programs are aggressive, continually updated, and involve both management and employees.

482 **Work Areas**

Work area supervisors are directly responsible for safety in their area of operation and for the safety of personnel under their supervision. Supervisors must be constantly on the alert for conditions that may jeopardize the safety and health of the work environment and must take immediate steps to correct any unsafe procedure or condition.

483 **Fire Hazards**

Good housekeeping practices must be continually observed so that unsafe conditions or fire hazards do not develop.

484 **Training**

Supervisors are responsible for conducting safety and health training programs. Safety personnel monitor the training programs and provide

technical assistance, including distributing safety materials and demonstrating safety methods and equipment. Supervisors are also responsible for continued on-the-job training through weekly safety talks to all personnel and through daily contact, as appropriate.

49 Congressional and Political Campaign Mail

491 Congressional Mail

491.1 General

491.11 Basic Information

See DMM E050 for basic information on mail sent under the congressional frank.

491.12 Identification

Franked mail is identified by the facsimile signature of the member of Congress in the upper right corner of the envelope or franked label, followed by "M.C." standing for member of Congress, or "U.S.S." for U.S. Senate.

491.13 Postage Payment

Postage for franked mail is paid in lump sums by the U.S. Treasury to the Postal Service. Franked mail, therefore, must not be returned for collection of postage. Franked mail sent from Washington, DC, is counted and reported by the House of Representatives and Senate with the Washington, DC, Post Office and the Post Office Accounting Office at Postal Service Headquarters. Procedures for accounting for franked mailings entered outside Washington, DC, are found in 491.5.

491.14 General Types of Mailings

Mailings under the congressional frank include both individual piece mailings sent by First-Class Mail and mass mailings. Mass mailings may be sent as First-Class Mail or Standard Mail. All franked mail is treated and handled according to the class of mail and special service indicated on the outside of the mailpiece.

491.15 Standard Mail Mailings

Standard Mail franked mailings consist of newsletters, meeting notices, and other printed matter. The mailpieces may bear individual names and addresses or simplified addresses. While individual pieces are rated as Standard Mail, the overall mailing may be sent by Priority Mail or Express Mail drop shipment.

491.16 Simplified Address

491.161 General

Simplified address congressional mailings are a common form of congressional mass mailing that have unique characteristics and

requirements. As such, detailed instructions are provided in the following sections on the features and handling of this type of mailing.

See DMM A040.4.0 for the regulations concerning simplified address mailings under the congressional frank.

491.162 **Definition**

Simplified address congressional mailings are prepared without individual names and addresses for general distribution to delivery customers within a congressional district or a state.

491.163 **Distribution**

Distribution of simplified address congressional mailings is as follows:

- a. Complete distribution may be made to all carrier route, Post Office box, and general delivery customers within a ZIP Code.
- b. Selective distribution may be made to specified city, rural, and highway contract routes; Post Office box sections; or general deliveries.
- c. Selective distribution may be made within city, rural, and highway contract routes when a route is split between congressional districts.
- d. Selective distribution may be made to either residential or business deliveries within city routes.

491.164 **Simplified Address Format**

Simplified address congressional mailings are addressed “Postal Customer — Local” or “Postal Patron — Local” on the first line, with the congressional district identified in the second line and the state in the third line for a U.S. Representative, or with only the state identified in the second line for a U.S. Senator. The simplified address Standard Mail mailings are endorsed “Presorted Standard Mail” or “PRSRT STD.” either directly below or to the left of the frank. As these pieces are sent at the Enhanced Carrier Route Walk-Sequence Saturation rate, they are also marked “ECRWSS” in this same area or directly above the simplified address.

491.2 **Handling of Mass Congressional Mailings**

491.21 **Preparation and Deposit**

491.211 **Packaging**

The packaging of mass congressional mailings varies as follows:

- a. Individually addressed First-Class Mail and Standard Mail mailings are presorted, labeled, and packaged in trays or No. 3 gray sacks according to Postal Service requirements.
- b. Simplified address congressional mailings are presorted, labeled, and packaged in trays or No. 3 gray sacks according to Postal Service requirements.

- c. The packages bear facing slips addressed to the destination office. The facing slips generally are prepared in the following format:

Destination City, State, ZIP Code STD LTRS Carrier Route # Origin City, State, ZIP Code ECRWSS ¹ RESIDENTIAL STOPS ONLY ² CONGRESSIONAL DISTRICT # ____ # PIECES ³ ____

Note: Other Address Options:

1. "RESIDENTIAL CUSTOMERS" if the mail is meant to be delivered to residential customers only;
 2. "BUSINESS STOPS" or "BUSINESS CUSTOMERS" if the mail is for business customers only;
 3. The facing slip reads "POSTAL CUSTOMER" if the mail is for delivery to all customers; or
- d. PS Tag 11, *Congressional Mail*, "Postmaster — Open and Distribute" is used on all sacks or trays of congressional mail. This tag helps identify the franked congressional mailing as it moves through the mailstream.

491.212 **Pouches**

Standard Mail congressional mass mailings may be sent by Priority Mail or Express Mail drop shipment and are pouched and labeled accordingly.

491.213 **Deposit**

Most bulk congressional mailings are sent from Washington, DC. Members of Congress may, however, dispatch these mailings from Post Offices other than Washington, DC. See 491.51 for procedures for local deposit of franked Standard Mail mailings.

491.22 **Processing and Delivery**

491.221 **Responsibilities**

Responsibilities for processing and delivery of congressional franked mailings are as follows:

- a. Managers, Customer Service Support, at Customer Service and Sales districts, are responsible for appointing a congressional mailings coordinator to serve, when necessary, as a liaison with plants, delivery units, congressional offices, and Government Relations, Postal Service Headquarters, to resolve any problems with these mailings. The Manager, Customer Service Support, must notify plants, Post Offices, and Government Relations of the individual assigned the congressional mailings coordinator role.
- b. Congressional mailings coordinators are responsible for coordinating with plants, delivery units, congressional offices, and Government Relations as necessary on matters related to congressional mailings.
- c. Plant managers are responsible for proper processing of franked congressional mailings.

- d. Postmasters and their subordinate unit managers at destination Post Offices are responsible for proper delivery of franked congressional mailings.

491.222 **Opening at Delivery Unit**

All sacks and trays identified as congressional mail must be opened at the delivery unit to determine the contents and class of mail. The contents must be examined to ensure that there are no apparent problems with the mailing, such as delayed time-value pieces, shortages, etc. See 491.224 and 491.226, respectively, for instructions regarding delays and excess or insufficient quantities.

491.223 **Selective Delivery**

On city routes, if the facing slip for carrier route presorted, simplified address mailings specifies either "Residential Stops Only" or "Residential Customers Only" or "Business Stops Only" or "Business Customers Only", carriers must deliver the mail to those points only. Where a carrier route is split between congressional districts, supervisors must instruct carriers and substitutes concerning the boundary between the congressional districts. To determine the boundaries, supervisors should refer to U.S. Census Bureau congressional district maps and other information used for collection of *Congressional District Deliveries Report* data (see 491.4). When simplified address congressional mailings are received on routes split between congressional districts, the carriers must take care to deliver them to the proper points. District Address Management System managers can assist in answering congressional district boundary questions.

491.224 **Delays**

Managers must give immediate attention to any delayed, time-value congressional mailings, such as town meeting notices. Plants or delivery units must notify the district congressional mailings coordinator of the delayed mailings. The district congressional mailings coordinator must notify the appropriate Government Relations representative, Postal Service Headquarters. The name and number of the Government Relations representative can be obtained by calling the office of the senior vice president, Government Relations and Public Policy, Postal Service Headquarters, at 202-268-2505. Records must be kept as indicated in 491.3.

491.225 **Bulk Drop Delivery**

Simplified address congressional mailings are prepared to include enough pieces for customers at bulk drop points. Carriers delivering to bulk drop points must leave enough pieces for the individual customers at these points. If the facing slip for the packages of mail for carrier routes serving these bulk drop customers specifies residential or business customers only, carriers must leave only enough pieces for such customers. If there are not sufficient pieces received to cover bulk drop customers, carriers must inform their supervisors, who then must initiate actions as described in 491.226.

491.226 Excess and Insufficient Quantity

The following procedures should be followed if a delivery unit receives an incorrect number of pieces of a simplified address congressional mailing:

- a. Carriers and clerks must notify the supervisor of the number of excess pieces or shortage of pieces needed for coverage on each route.
- b. In the case of excess pieces, carriers or clerks must not deliver more than one piece to the same addressee. However, a sufficient number of pieces must be left for individual customers at bulk drop points. See 491.225 for procedures governing delivery to bulk drop points.
- c. In the case of shortage, carriers or clerks must make all possible deliveries until the supply is exhausted, noting where delivery ended.
- d. The supervisor will transfer excess pieces, as available within the office, to routes that receive an insufficient number of pieces.
- e. Postmasters or other delivery unit managers will then contact the district congressional mailings coordinator to report the number of excess pieces or additional pieces needed for coverage, by specific route, Post Office box section, or general delivery indicator.
- f. The district congressional mailings coordinator will take necessary action to transfer pieces for offices reporting excess to those needing additional pieces.
- g. The district congressional mailings coordinator will also advise the local congressional office of any substantial excess or shortage of pieces received, by ZIP Code and carrier route, Post Office box section, or general delivery indicator. Assurance of total coverage must be given to the congressional office. The coordinator will obtain and follow instructions for disposal of the excess pieces from the congressional office. Excess pieces of simplified address congressional mailings must not be mailed to Postal Service Headquarters or to the Washington, DC, Post Office.
- h. If the situation cannot be resolved, the congressional mailings coordinator must immediately contact the appropriate Government Relations representative at Postal Service Headquarters.
- i. Where there is substantial difference between the number of pieces received and the number required for carrier routes, Post Office box sections, or general delivery, the congressional mailings coordinator must advise the district address management office. That office will compare the information provided by the coordinator with the *Congressional District Deliveries Report* database for the congressional district(s) involved and make any necessary corrections to the database.
- j. Records must be kept as indicated in 491.3.

491.3 Recordkeeping**491.31 Postmasters or Subordinate Unit Managers**

Postmasters or subordinate unit managers must keep records of any congressional mailings received at their offices, with particular attention to

those received too late for timely delivery. These records must be kept for 6 months and must contain the following information:

- a. Name of member of Congress.
- b. Description/sample of mailpiece.
- c. Number of pieces by carrier route and box section.
- d. Requested date of delivery, if applicable.
- e. Date and time received for delivery.
- f. Date delivered.
- g. Other actions taken.

491.32 **Congressional Mailings Coordinator**

When contacted with problems, congressional mailings coordinators must keep records. These records must be kept for 6 months and must contain the following information:

- a. Delivery unit and manager requesting assistance and date of request.
- b. Name of member of Congress.
- c. Description of situation or problem.
- d. Description/sample of mailpiece.
- e. Name of Headquarters Government Relations representative contacted, if applicable, and date of contact.
- f. Name of congressional staff member contacted, if applicable, and date of contact.
- g. Other actions taken.

491.4 **Congressional District Deliveries Report**

491.41 **Delivery Statistics**

The Postal Service provides delivery statistics to members of Congress to allow them to prepare Enhanced Carrier Route Standard Mail using a simplified address. This data is provided through the *Congressional District Deliveries Report*. The *Congressional District Deliveries Report* provides carrier route, Post Office box, and general delivery information by 5-digit ZIP Codes within congressional districts.

491.42 **Database Responsibility**

Compiling and maintaining the *Congressional District Deliveries Report* database is the responsibility of the address management function within the Customer Service and Sales districts.

491.43 **Congressional District Maps**

Headquarters Address Management will provide current copies of applicable U.S. Census Bureau congressional district maps and other information to the address management offices within Customer Service and Sales districts. Also, the district address management office will, if necessary, obtain additional information from local election boards or other sources. This is

done as needed and follows redistricting as a result of the decennial census or by legislative or judicial action. The address management offices within Customer Service and Sales districts must then enter the data for their Post Offices, stations, and branches into their address management system database.

491.44 **Delivery Statistics Accuracy**

491.441 **Up-to-Date Information**

All unit managers must provide their respective address management office with up-to-date carrier route, Post Office box, and general delivery statistics by congressional district. All personnel involved in establishing the congressional district delivery information within the address management system database must ensure the accuracy of this data. They must pay particular attention to accurate assignment of route data within congressional districts. Some offices may serve more than one congressional district and must list routes appropriately under the correct congressional district. Routes may be split among congressional districts, and the precise number of deliveries in each congressional district must be provided. Post Office box figures will be listed in the congressional district in which the facility is located.

491.442 **Database Changes**

If inaccuracies in the database become apparent, the district address management offices must immediately make the necessary database corrections.

491.5 **Accounting for Franked Mail Entered at Post Offices Outside Washington, DC**

491.51 **Mass Mailings**

Members of Congress occasionally enter mass mailings at local Post Offices outside Washington, DC. Members or their vendors must submit a Form 3615, *Mailing Permit Application and Customer Profile*, to the entry Post Office when the first franked bulk mailing is made there. The proper postage statements are also required for all such mailings entered locally. For billing purposes, these postage statements are to be entered into the Official Mail Accounting System (OMAS) side of the permit system. If the office processing these mailings is not on the permit system, forward the statements to the District Finance Office for input by the OMAS coordinator.

491.52 **Individual Piece Mailings**

491.521 **General**

Members of Congress make daily individual piece mailings from their state and district offices. Both the U.S. Senate and House of Representatives maintain systems for accounting for individual-piece franked mail entered by the member's state and district offices. The Postal Service accepts these methods for billing the Senate and House of Representatives for this mail.

491.522 Notification of Problems

Advise Government Relations, Headquarters, of any problem in serving a state or district office of a member of Congress.

491.523 Detention of Mail

Except in situations involving mail security (see ASM 274), franked mail must not be detained, even though there may be indications of abuse of franked mailing privileges. The mail must be promptly dispatched and delivered to the addressee. Report any indications of abuses to the rates and classification service center (RCSC). The RCSC must refer cases of abuse to the proper agency for investigation and action.

491.6 Handling Mail With Ancillary Service Endorsements**491.61 General**

When making individual piece mailings, members of Congress may request services for undeliverable-as-addressed mail. In handling mail with these endorsements, employees must follow DMM F030 as well as this instruction.

491.62 Proper Address Correction Placement

Members of Congress use mechanical or automated equipment to update their mailing lists. Markings or endorsements that deface the original address prevent the return mail from being machine read. Consequently, the mailpiece must be processed manually at a high cost, or it may not be processed at all. Therefore, supervisors must ensure that all clerks, carriers, and other employees involved in handling mail with ancillary service endorsements do not mark on, strike through, or place a handstamp or forwarding label on the old address. All forwarding labels must be placed to the right and slightly below the original address. Other markings, endorsements, and stamps also must be placed to the right of the address block.

491.63 Return of Address Correction Requested/Return Postage Guaranteed Mail

Undeliverable-as-addressed franked mail bearing a Washington, DC, return address and ancillary service endorsement must be sent to:

MANAGER DISTRIBUTION OPERATIONS
WASHINGTON DC P&DC
900 BRENTWOOD RD NE
WASHINGTON DC 20066-9702

Such mail must not be returned to the individual member of Congress responsible for the mailing.

491.7 Orange Bag Service — Expedited Congressional Mail**491.71 General**

Orange bag service is an expedited mail service from members' Washington, DC, offices to either postal installations or the members' district or state offices. Orange bag service pouches bypass the outgoing primary processing

operation at the Washington, DC, Post Office. Orange bag service is designed to provide overnight delivery of pouches addressed to a postal installation, if the pouches are available for collection from the House of Representatives and Senate Post Offices by 2:00 p.m. Every effort is also made to provide overnight delivery of pouches addressed to members' district or state offices, if they are available for collection from the House of Representatives and Senate Post Offices by 2:00 p.m. Orange bag service pouches collected at 5:00 p.m. from the House of Representatives and Senate Post Offices are to receive second-day delivery.

491.72 **Types of Pouches**

The two types of orange bag service pouches are as follows:

- a. Orange bag service pouches addressed to postal installations. They contain franked First-Class Mail addressed to constituents and are intended to be opened and distributed. Congressional offices will attach PS Tag 11, *Congressional Mail*, to the pouch reading "Congressional Mail — Postmaster Open and Distribute." The congressional offices will also attach an appropriate air contract transportation (ACT) tag and label showing the appropriate destination processing facility.
- b. Orange bag service pouches addressed to the members' district or state offices. These contain congressional mail going to the members' district or state offices only and are to be delivered to the congressional offices unopened. Members of the House of Representatives use their own plastic orange bags with the words "US HOUSE OF REPRESENTATIVES — PRIORITY MAIL — OFFICIAL USE ONLY" printed on them for firm direct purposes. The congressional offices will attach a PS Tag 11-A, *Congressional Mail*, to the pouch reading "Congressional Mail — Do Not Open — All for Firm on Pouch Label." The congressional offices will also attach an appropriate ACT tag and a destination label reading as follows: city, state, ZIP Code on the first line; street address on the second line; and name of member of Congress on the third line.

Some congressional offices will place the date and time of dispatch on the back of the destination label in an attempt to monitor the orange bag service performance.

491.73 **Material Used for Expedited Dispatch**

The following material is required for the expedited orange bag service and can be obtained from the House of Representatives or Senate postal operations offices:

- a. No. 2 orange pouches and plastic House of Representatives orange pouches.
- b. Labels that identify the destination processing facility or Post Office, as appropriate for each type of pouch discussed in 491.72a and 491.72b.
- c. Congressional mail PS Tag 11, *Congressional Mail*, and PS Tag 11-A, *Congressional Mail*, which are attached to the pouches to ensure proper handling as described in 491.72a and 491.72b.

- d. Metal or plastic pouch seals, designed to lock the hasp over the metal staple on the pouch, ensuring that the pouch reaches its destination unopened.
- e. Air contract transportation plastic cards and tags containing barcoded origin and destination information for billing and routing purposes.

491.74 **Procedures**

491.741 **Congressional Offices**

Congressional offices have the following responsibilities in preparing congressional mail:

- a. Insert the destination label into the label holder on the orange pouch.
- b. Make up individual letters, facing the same way, into mail bundles secured with rubber bands to prevent loose letters in the orange bag service pouch.
- c. Distribute mail to the proper pouches. Pouches must not weigh more than 70 pounds.
- d. Close and seal the pouches.
- e. Ensure that the pouches reach the designated collection point before the scheduled Postal Service pickup.

491.742 **Postal Service**

The Postal Service has the following responsibilities for congressional mail:

- a. Create the appropriate pouch labeling for all orange bag service destinations, based on Postal Service transportation and distribution networks.
- b. Provide necessary training and instructions for mail makeup and pouch labeling.
- c. Furnish all needed pouches, labels, tags, rubber bands, and other supplies.
- d. Make scheduled collections of the pouches.
- e. Dispatch the pouches to the required destinations on the next available transportation to meet service requirements.
- f. Process and deliver these pouches in an expedited manner.

492 **Political Campaign Mail**

492.1 **Introduction**

492.11 **General**

The American electorate votes on numerous political offices and issues. Citizens cast ballots every 4 years for president, every 2 years for one-third of the U.S. senators and all members of the House of Representatives, and at varying frequencies for governorships and other state, county, and local offices and referenda measures. During the period preceding local, state, and national primaries, special elections, and general elections, the Postal Service accepts and delivers many political campaign mailings, frequently in

large quantities. These mailings are made up by individual candidates and their campaign organizations, as well as by local, state, and national committees of political parties.

492.12 **Postal Service Responsibility**

The Postal Service is responsible for providing information to assist in the knowledgeable preparation and deposit of political campaign mailings, as well as for the proper acceptance, processing, delivery, and recording of these mailings.

492.13 **Nonprofit Standard Mail Rates**

Section 3626(e) of Title 39, U.S. Code, as enacted by Public Law 95-593, permits certain Standard Mail matter to be mailed by a “qualified political committee” at the Nonprofit Standard Mail rates prescribed for qualified nonprofit organizations (see DMM E670). Also see 492.23 for a definition of “qualified political committee” and 492.73 for the standards on what mail may be sent at the Nonprofit Standard Mail rates by qualified political committees.

492.2 **Definitions**

492.21 **Political Campaign Mailings**

Any material accepted for mailing at First-Class or Standard Mail postage rates that is mailed for political campaign purposes by a registered political candidate, campaign committee, or committee of a political party is classified as a political campaign mailing. This type of mailing normally uses the address of a candidate’s campaign committee or the committee of a political party as the return address. Do not confuse political campaign mailings with official mailings by members of Congress under congressional franking privileges. See 491 for a discussion of congressional mail.

492.22 **Registered Political Candidate or Party**

An individual or organization recognized as such by the appropriate governmental election control authority is considered to be a registered political candidate or party.

492.23 **Qualified Political Committee**

Section 3626(e)(2) of Title 39, U.S.C., defines a qualified political committee for the purpose of eligibility for Nonprofit Standard Mail rates as follows:

- a. The term qualified political committee means:
 - (1) A national committee of a political party.
 - (2) A state committee of a political party.
 - (3) The Democratic Congressional Campaign Committee.
 - (4) The Democratic Senatorial Campaign Committee.
 - (5) The National Republican Congressional Committee.
 - (6) The National Republican Senatorial Committee.

- b. The term national committee means the organization that, by virtue of the bylaws of a political party, is responsible for the day-to-day operation of that political party at the national level.
- c. The term state committee means the organization that, by virtue of the bylaws of a political party, is responsible for the day-to-day operation of that political party at the state level.

492.3 **Premailing Assistance**

492.31 **General**

Experience has shown that there will be no cause for criticism if all mailers of political campaign material are fully informed of postal requirements for prompt delivery and are assured of proper and equal handling of their mailings.

492.32 **Responsibilities**

Managers, Marketing, Customer Service districts, are responsible for ensuring proper premailing assistance to all committees of political parties, candidates for political office, and/or the candidates' campaign committees within their jurisdictions. Individuals designated by managers, Marketing, as directly responsible for contacting the committees of political parties, political candidates, and campaign organizations must follow the requirements in 492.36.

492.33 **Identification of Candidates**

Managers, Marketing, Customer Service districts, or their designees, must identify all candidates for election to political office who will be campaigning within their district's jurisdiction, as follows:

- a. *Presidential Candidates.* Contact state campaign headquarters. Determine locations of mailings and notify appropriate Postal Service personnel for necessary follow-up.
- b. *Congressional Candidates.* Identify all candidates for election to the Senate and House of Representatives and their principal campaign offices and notify appropriate Postal Service personnel for necessary follow-up.
- c. *State Candidates.* In statewide elections, identify gubernatorial and other candidates and their principal campaign offices and notify appropriate Postal Service personnel for necessary follow-up.
- d. *Local Candidates.* Coordinate efforts with postmasters to identify all candidates and/or campaign organizations in those areas holding local elections for county, city, township, borough, parish, and other local offices, and ensure necessary follow-up.

492.34 **Political Campaign Information Sources**

State and local boards of election and offices of secretaries of state and county clerks generally can provide information on the names and headquarters of committees of political parties; candidates for federal, state, and local offices; and their campaign organizations.

492.35 Equal Assistance

Equal assistance must be provided to all committees of political parties, candidates, and candidates' campaign committees, including those that do not represent major parties.

492.36 Premailing Contact Requirements

Make contact with the committees of political parties, candidates, and the candidates' campaign organizations at the earliest opportunity to provide information on mail preparation requirements, mail handling procedures, and other matters discussed in 492.37. On-site assistance can be helpful, particularly with campaign volunteers, to identify problems in mail preparation and sack or tray labeling before deposit of the mailings. Emphasize the need to deposit the mailings at the earliest possible date before election day, particularly to candidates or organizations planning to avail themselves of the destination bulk mail center drop shipment rates. Keep records of all contacts, including a general summary statement covering the information provided to the candidates and campaign organizations.

492.37 Mail Preparation and Handling Information

At a minimum, provide committees of political parties, candidates, and the candidates' campaign organizations with information on the following:

- a. Rates and fees, including automation and destination entry drop shipment rates.
- b. Mailing permits and authorizations. See applicable sections of the DMM for instructions on obtaining permits and authorizations for mailing at various rates. National and state political committees may be given instructions on filing for Nonprofit Standard Mail rates as a qualified political committee, as found in DMM E670 and Publication 417, *Nonprofit Standard Mail Eligibility*, section 3-1. Instructions on obtaining authorization to mail at the Nonprofit Standard Mail rates at additional offices are also found in DMM E670 and Publication 417 section 3-2.
- c. Restrictions on what may be mailed at the Nonprofit Standard Mail rates for state and national political committees (see 492.73). See also Publication 417 section 5-4, and Chapter 6.
- d. Preparation, makeup, and handling of mailings, including an explanation of ancillary service endorsements and address information products and services.
- e. Availability and use of mailing supplies and equipment.

Note: PS Tag 57, *Political Campaign Mailing*, identifies campaign mailings during processing and distribution. PS Tag 57 is available from the material distribution centers and is reusable. If mail is trayed and strapped, mailers should affix PS Tag 57 to the strap on the end of the tray near the tray label with a wire twist tie. If local postal instructions permit trays to be tendered without strapping, then PS Tag 57 should be affixed to the tray with a rubber band double looped through the handhold of the tray on the end near the

tray label. Care should be taken to remove the tags from the trays after the campaign mail has been processed.

- f. Business reply mail.
- g. Disposition of undeliverable pieces.
- h. Time frames for depositing mailings.

492.4 **Processing and Delivery**

492.41 **General**

All managers involved in processing and delivering political campaign mailings must ensure that each mailing is handled promptly and with equal care and attention.

492.42 **Area Political Campaign Mail Coordinators**

Area Vice Presidents must appoint an Area Political Campaign Mail Coordinator and provide the name, address, and phone number of the individual assigned that responsibility to each district manager under their jurisdiction and to the Vice President, Delivery and Retail, at Headquarters.

492.43 **Late Deposit**

Inform mailers attempting to deposit political campaign mailings that may be too late for delivery by the election date under Postal Service delivery objectives of the potential for late delivery. Document and maintain this advice. See 492.5.

492.44 **Reports of Delays**

Give immediate attention to any reported delay in processing or delivering political campaign mailings and fully document inquiries made and subsequent action taken (see 492.53).

492.45 **Handling of Undeliverable as Addressed Mail**

If a significant amount of a campaign mailing is received that is undeliverable as addressed, postmasters must inform the applicable campaign office before any action to dispose of such mail. Postmasters should also coordinate any such situations with their Area Political Campaign Mail Coordinator.

492.5 **Recordkeeping**

492.51 **General**

Detailed records provide the basis for a documented and factual explanation of any complaints alleging improper handling of political campaign mailings. Maintain premailing assistance and processing and delivery records for a period of 6 months.

492.52 **Premailing Assistance Records**

Individuals designated to provide premailing assistance to committees of political parties, candidates, and the candidates' campaign organizations

must keep records of all contacts, including a summary statement concerning the information provided to such mailers.

492.53 **Processing and Delivery Records**

Managers, Business Mail Entry, and postmasters must keep documented records of all political campaign mailings that are deposited or received at their offices, with particular attention to those deposited or received too late for timely delivery.

At a minimum, these documented records must include the following:

- a. The name of the mailer.
- b. A sample, photocopy, or description of the mailing.
- c. The date and time the mailing was received for dispatch or delivery.
- d. The election day deadline and, if applicable, the date of requested delivery.
- e. If applicable, the approximate number of pieces not delivered before the election day deadline and/or the date of requested delivery and the reasons why delivery was not timely.
- f. The approximate volume of any Standard Mail consigned to waste upon instruction by the mailer.

492.6 **Answering Requests for Information**

492.61 **General**

Answer requests for information concerning political campaign mailings as provided in regulations implementing the Freedom of Information Act (see ASM 352). Do not compile information not regularly compiled for Postal Service use to respond to requests.

492.62 **Field Managing Counsel Assistance**

If uncertain regarding the disclosure of information concerning political campaign mailings, consult the Field Managing Counsel.

492.63 **Questionable Requests**

Promptly report to the Postal Inspection Service any questionable attempts to obtain information concerning political campaign mailings not properly subject to disclosure.

492.7 **Revenue Protection**

492.71 **Nonprofit Standard Mail Rates**

Qualified political committees may mail qualifying matter at the Nonprofit Standard Mail rates of postage. See 492.23 for definitions of qualified political committees. See also DMM E670 and Publication 417 for general information on how to apply for authorization to mail at these rates and the matter that is eligible for them.

492.72 Mailings Ineligible for Nonprofit Standard Mail Rates

Individual candidates and their campaign committees do not qualify to mail at the Nonprofit Standard Mail rates. Also, qualified political committees may mail only their own matter at these rates. Qualified political committees may not make cooperative mailings at the nonprofit rates involving matter on behalf of, or produced for, individual candidates or political organizations that do not qualify for Nonprofit Standard Mail rates. Such cooperative mailings must be paid at the applicable Regular or Enhanced Carrier Route Standard Mail rates. See PS Form 3602-N, PS Form 3602-NHP, PS Form 3602-NHR, PS Form 3602-NP, PS Form 3602-NPS, PS Form 3602-NS, and PS Form 3602-NZ for the certifications required of Nonprofit Standard Mail mailers. Also see Publication 417 section 5-4.

492.73 Application of the Cooperative Mail Rules**492.731 General**

Qualified political committees are subject to the cooperative mailing requirements. However, unlike cases involving cooperative mailings between an authorized nonprofit organization and a commercial organization, there is often an ongoing relationship between the qualified political committee and the committee's candidate. A political candidate may be connected to the authorized political committee mailer by being a member of and/or financial contributor to the political party represented by the committee. The committee is, of course, interested in promoting, encouraging, and supporting the candidate's election. Postal laws and regulations do not prohibit the candidate from contributing to the committee or the committee from supporting the candidate. The concern under postal laws and regulations is whether the political candidate's financial contribution to the authorized political committee is in return for the mailing or mailings that support the candidate.

Example — Proper use of contributed funds

Politician A is a member of the qualified political committee. The qualified political committee plans to include in a mailpiece information supporting politician A's candidacy for office and has asked the candidate for a biographical sketch. The candidate provides the information and makes a contribution to the qualified political committee. The qualified political committee will retain authority to accept or reject information provided by the candidate, and the contribution by the candidate is not a contribution to pay for the mailing. This is not considered to be a cooperative mailing since the qualified political committee retained discretion over the decision to mail and the contents of the mailing.

492.732 Maintaining Committee Control

The following rules must be followed to ensure that the authorized political committee maintains control:

- a. *Mailings.* An authorized political committee may mail election-related materials, including but not limited to candidate endorsements and sample ballots, at the Nonprofit Standard Mail rates if the materials are exclusively those of the authorized political committee. An authorized

political committee may make political mailings in support of its candidates, provided that no monies contributed by the candidate to the qualified committee shall be specifically earmarked for use in making the political mailing or in return for the political mailing.

Example — Committee discretion retained

Politician B, a candidate for a statewide political office, mails a check to authorized political committee C, the state committee for his party. Politician B encloses a note with the check that says: “This check is for my pro rata share of a sample ballot.” Committee C has mailed a sample ballot to state residents for the past five elections. However, committee C makes the decision on whether to send sample ballots on an election-by-election basis. Committee C has not had any discussions with politician B on this subject, nor has it reached an understanding with politician B that sample ballots will be produced and mailed. Committee C deposits politician B’s check into its general fund to be used for committee expenses. Committee C will not return the check even if it decides not to mail sample ballots. Committee C later decides to mail sample ballots for the election in which politician B is a candidate. Notwithstanding politician B’s contribution, this is not considered to be a cooperative mailing because committee C retained discretion whether or not to mail the sample ballots.

- b. *Contributions.* A candidate may make or solicit contributions to a qualified political committee, provided that the committee retains absolute discretion over how the funds are spent. If the candidate or other nonqualified entity pays the preparation, printing, or postage costs for the mailing in return for the qualified political committee’s agreement to make the mailing, that mail matter is not eligible for the Nonprofit Standard Mail rates.
- c. *Mailing Support.* A political candidate may provide suggested copy, pictures, biographical information, or similar assistance requested by a qualified political committee that is preparing a mailing in support of the candidate. The qualified political committee may also ask a candidate to review a proposed mailpiece for accuracy. However, the qualified political committee must have final authority over the decision to mail the political matter and the contents of that matter.

Example — Improper candidate funding

Authorized political committee D announces the creation of a “Candidate’s Coordinated Mailing Fund.” Contributions to the fund will be used exclusively for mailings supporting candidates. Candidates E, F, G, and H contribute to the fund, and committee D makes a multicandidate endorsement for candidates E, F, G, H, and I. This would be considered a cooperative mailing. It would not be a cooperative mailing if (a) the fund created is not announced as one that will be used exclusively for mailings, and (b) committee D retained absolute discretion about whether to make the mailings at all.

492.733 **Endorsements on Mail**

Mailings by qualified political committees often bear endorsements such as “Paid for by [committee] and authorized by [candidate].” These endorsements

are often required by federal or state law. The presence of these endorsements alone does not disqualify the mailing from being sent at the Nonprofit Standard Mail rates. The presence of factors discussed in the preceding sections of this chapter is required to find the mailing ineligible for the special rates.

492.74 Identification

The name and return address of the qualifying organization must appear either on the outside of the mailpiece or in a prominent location on the material being mailed at the Nonprofit Standard Mail rates.

2002 Congressional Primary and Runoff Dates

State	Primary Date	Runoff Date
Alabama	6/4	6/25
Alaska	8/27	
American Samoa	11/5	11/19
Arizona	9/10	
Arkansas	5/21	6/11
California	3/5	
Colorado	8/13	
Connecticut	9/10	
Delaware	9/7	
District of Columbia	9/10	
Florida	9/10	
Georgia	8/20	9/10
Guam	9/7	
Hawaii	9/21	
Idaho	5/28	
Illinois	3/19	
Indiana	5/7	
Iowa	6/4	
Kansas	8/6	
Kentucky	5/28	
Louisiana	11/5	12/7
Maine	6/11	
Maryland	9/10	
Massachusetts	9/17	
Michigan	8/6	
Minnesota	9/10	
Mississippi	6/4	6/25
Missouri	8/6	
Montana	6/4	
Nebraska	5/14	
Nevada	9/3	
New Hampshire	9/10	

State	Primary Date	Runoff Date
New Jersey	6/4	
New Mexico	6/4	
New York	9/10	
North Carolina	TBD	TBD
Ohio	5/7	
Oklahoma	8/27	9/17
Oregon	5/21	
Pennsylvania	5/21	
Puerto Rico	n/a	n/a
Rhode Island	9/10	
South Carolina	6/11	6/25
South Dakota	6/4	6/18
Tennessee	8/1	
Texas	3/12	4/9
Utah	6/25	
Vermont	9/10	
Virginia	6/11	
Virgin Islands	9/14	
Washington	9/17	
West Virginia	5/14	
Wisconsin	9/10	
Wyoming	8/20	

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