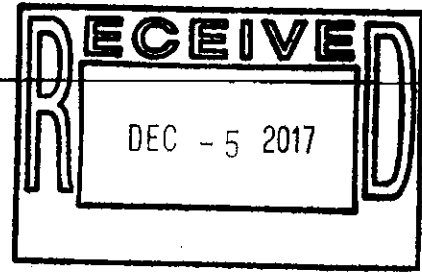


LABOR RELATIONS



December 5, 2017

Mr. Brian J. Wagner  
President  
National Association of Postal Supervisors  
1727 King Street, Suite 400  
Alexandria, VA 22314-2753

Faxed

Dear Brian:

As a matter of general interest, the Postal Service has concluded the Amazon Fresh Market test and reached an agreement with Amazon to continue a modified version of this offering titled *Customized Delivery Fresh*.

We have enclosed a document that identifies changes to service and effective dates of the agreement with Amazon. Please note that additional *Customized Delivery Fresh* sites may be added in the future.

We will continue to collect and return empty Amazon Fresh Market totes for 10 days after the discontinuation of Fresh.

Please contact Bruce Nicholson 7773 if you have questions concerning this matter.

Sincerely,

A handwritten signature in black ink, appearing to read "Alan S. Moore".

Alan S. Moore  
Manager  
Labor Relations Policies and Programs

Enclosures

Upcoming changes to Customized Delivery - Fresh.

A. All **DDU Direct** locations will be turned off effective **11/30/2017**. This includes the following Districts:

<u>Eastern Area:</u>	<u>Capital Metro Area:</u>	<u>Pacific Area:</u>	<u>Northeast Area:</u>
Central PA	Baltimore	Sacramento	Greater Boston
Philadelphia	Capital	Bay Valley	Westchester
Appalachian	Northern Virginia	San Francisco	Connecticut Valley
South Jersey	Richmond		Albany
			Northern New England
			Northern New Jersey

B. Following HUB locations will be turned off effective **11/30/2017**

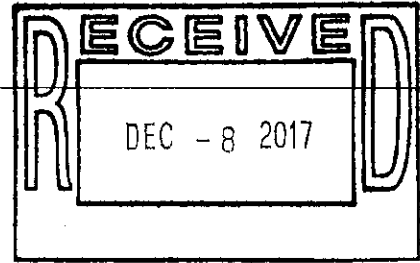
<u>Pacific Area</u>	<u>Northeast Area</u>
Los Feliz	Riverhead
Santa Monica	Holbrook ( <b>11762 active at DDU</b> with
Carlsbad	AB (7am -1pm) and AL (3pm-6pm) only
Moreno Valley	(all windows)) (Sunday out of Sunday
Palm Desert	Hub location)
Riverfront	
Ontario	
Irvine	
Orange	
Pasadena	
Van Nuys	

C. Following HUB location will be turned off effective **12/5/2017**

Pacific Area  
El Monte

D. All HUBS remaining will be **unchanged** at this time. All windows and days remain the same.

<u>NORTHEAST AREA</u>	<u>PACIFIC AREA</u>
Hicksville	Hawthorne
Huntington Station	San Francisco Hub
Lynbrook	San Mateo
Floral Park	Long Beach
Brooklyn	
Jamaica	
Queens	
Cornell	
Fordham	
Mott Haven	
New Rochelle	
White Plains	
Yonkers	



December 6, 2017

Mr. Brian J. Wagner  
President  
National Association of Postal Supervisors  
1727 King Street, Suite 400  
Alexandria, VA 22314-2753

Dear Brian:

As a matter of general interest, the Capital Metro Area Office is being relocated from Gaithersburg, Maryland to Washington, DC. We anticipate Area staff will complete transition to the Washington, DC office by January 2018.

The current office is located at:

CAPITAL METRO AREA PFC  
16501 SHADY GROVE RD  
GAITHERSBURG, MD  
20898-9998

The new office is located at:

CAPITAL METRO AREA PFC  
900 BRENTWOOD RD NE  
WASHINGTON, DC  
20066-7000

Please contact Bruce Nicholson at extension 7773 if you have any questions concerning this matter.

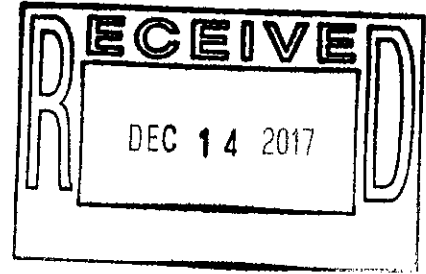
Sincerely,

A handwritten signature in black ink, appearing to read "Alan S. Moore".

*for* Alan S. Moore  
Manager  
Labor Relations Policies and Programs



December 11, 2017



Mr. Brian J. Wagner  
President  
National Association of Postal Supervisors  
1727 King Street, Suite 400  
Alexandria, VA 22314-2753

Dear Brian:

As a matter of general interest, the Postal Service has created Statistical Programs (SP) Letter #2, Fiscal Year 2018, *City Carrier Cost System (CCCS); Rural Carrier Cost System (RCCS); In-Office Cost System (IOCS); Transportation Cost Systems (TRACS); Origin-Destination Information System—Revenue, Pieces, and Weight (ODIS-RPW); System for International Revenue and Volume, Outbound—International Origin-Destination Information System (SIRVO-IODIS); System for International Revenue and Volume—Inbound (SIRVI); and Statistical Programs Management (SPM).*

The subject letter outlines changes to the "Indicia" screens in several software applications and provides updated instructions for employees to record Forever stamps and scan Priority Mail UPC Barcodes.

We have enclosed a final draft copy of SP Letter #2, FY 2018.

Please contact Bruce Nicholson at 7773 if you have questions concerning this matter.

Sincerely,

A handwritten signature in black ink, appearing to read "Alan S. Moore".

Alan S. Moore  
Manager  
Labor Relations Policies and Programs

Enclosure

FINANCE



December 1, 2017

MANAGERS (DISTRICT)  
MANAGERS, FINANCE (DISTRICT)  
MANAGERS, FINANCIAL PROGRAMS COMPLIANCE (DISTRICT)

SUBJECT: Policy Memo, Statistical Programs (SP) Letter #2, Fiscal Year 2018

This letter provides updates to policies and procedures for: City Carrier Cost System (CCCS); Rural Carrier Cost System (RCCS); In-Office Cost System (IOCS); Transportation Cost Systems (TRACS); Origin-Destination Information System—Revenue, Pieces, and Weight (ODIS-RPW); System for International Revenue and Volume, Outbound—International Origin-Destination Information System (SIRVO-IODIS); System for International Revenue and Volume—Inbound (SIRVI); and Statistical Programs Management (SPM).

**CCCS**

Attachment 1 provides policy changes to the Indicia Screen (recording of international origin indicia) and for Pivoted Routes.

**RCCS**

Attachment 2 provides policy changes to the Indicia Screen (recording of international origin indicia).

**IOCS and IOCS-Cluster**

Attachment 3 provides policy changes and updates to First-Class Parcels and First-Class Package Service, and the addition of the Attempted Number of Phone Readings field.

**TRACS**

Attachment 4 provides updates to Commercial Priority Mail and the VSD Reschedule, Replace, Canceling, Zero Volume Decision Tree.

**ODIS-RPW**

Attachment 5 provides policy updates regarding Forever stamp recording and Priority Mail UPC Barcode Scanning.

**SIRVO-IODIS**

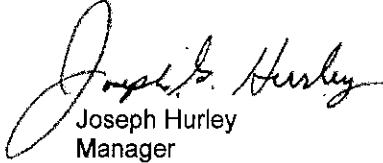
Attachment 6 provides policy updates regarding Receptacle Type recording.

**SIRVI**

Attachment 7 provides policy updates regarding the Country Code chart.

**SPM**

Attachment 8 provides policy changes to Handbook F-95 regarding ODIS-RPW Tests Taken at a Different Location, Other Anomalies and an update to the TRACS Cancellation Code Table.



Joseph Hurley  
Manager  
Statistical Programs

**Attachments**

cc: Joseph Corbett  
Sharon Owens  
Steven Phelps  
Richard T. Cooper  
John P. Kelley  
Brad V. Pafford  
Veeramany Sthanumurthy  
Alan S. Moore  
Area Controllers  
Area Accounting Managers  
Mainiti Hood-Allen, Office of Inspector General  
Steve Pinard, Office of Inspector General  
Allison Vetter, Senior Manager, Ernst and Young

## CITY CARRIER COST SYSTEM (CCCS)

The following software change is effective January 21, 2018.

### Indicia Screen

The CCCS software no longer asks the indicia question for foreign origin mail. The only exception is U.S. origin mail being returned. Therefore, the data collector is still asked to record the indicia.

The following policy and procedure changes are effective January 1, 2018.

### Pivoted Routes

We are clarifying the policy for recording mail on pivoted routes.

*In the CCCS Reference Guide, replace the "Tests on Pivoted Routes" subsection with the following:*

#### Tests on Pivoted Routes

An **entirely** pivoted route is when a route is split up and assigned to two or more carriers who are also delivering other routes. A **partially** pivoted route is a route where the primary carrier is delivering a portion of the route and parts of the route are split, or pivoted, to an additional carrier or carriers.

#### Delivery Data for Pivoted Routes

When a CCCS test is scheduled on a route that is pivoted, either **partially** or **entirely**, on the test day, conduct the delivery portion of the test as scheduled **IF** there is someone familiar enough with the deliveries on the route to identify deviation parcels. If there is no one available who is familiar enough with identifying the deviation parcels for the deliveries on the route, then you must reschedule the test.

#### **Example:**

A facility has 3 city letter routes – routes A, B, and C. The regular carrier for route A is unavailable and route A is split between the carriers assigned to routes B and C; this is an **entirely** pivoted route. Carrier B is familiar enough with route A where carrier B can provide information about deviation parcels. If the CCCS test is on route A, then conduct the test on all of route A mail for delivery, as normal. If the CCCS test is on route B, then conduct the test on all of route B mail for delivery as normal, not including any portion of route A.

#### Collection Data for Pivoted Routes

The collection portion (PS Form 2846) of a test on route A that is **entirely** pivoted to route B, is recorded as **ZERO VOLUME** for route A. If there was also a test on route B (the route that route A is pivoted to), you must include the collection portion from route A in addition to the route B collection mail on the test PS Form 2846. This policy prevents double counting and also does not require the carrier to split collection mail into pivoted and non-pivoted portions.

**Note:** Zero Volume collection does not apply when only **part** of a test route is pivoted to other carriers delivering other routes, i.e., partially pivoted.

**Note:** If there are additional carriers assigned **only** to the test route, then record their collection mail on PS Form 2846.

#### **Example (entirely pivoted):**

A facility has 3 city letter routes – routes A, B, and C. On the day of the test, the regular carrier for route A is unavailable and route A is split evenly between routes B and C (the route is entirely pivoted).

If the CCCS test is on route A, the collection portion (PS Form 2846) is a Zero Volume test. If the CCCS test is on route B, include all the mail collected by that route B carrier on that day including the collected mail from the pivoted route A portion.

**Example (partially pivoted):**

A facility has 3 city letter routes – routes A, B, and C. On the day of the test, the regular carrier is available but the route is overburdened. Part of route A is pivoted to route B, (the route is partially pivoted).

If the CCCS test is on route A, record the mail brought back to the office by that regular route A carrier for their portion of route A. If the CCCS test is on route B, include all the mail brought back to the office by that route B carrier on that day, including the collected mail from the pivoted route A portion.

*In the CCCS Reference Guide, add the following to the "Collection Mail – PS Form 2846" subsection:*

If the test route is pivoted or if the carrier for the test route is also delivering mail for another route that is pivoted, review the instructions in the subsection "Tests on Pivoted Routes".

*In the CCCS Handbook F-55, update "Prepare for the Test", subsection 2-3.2.2, #7(changes highlighted in bold) as follows:*

7. Ask if there any changes to the route information. **If the test route is pivoted, or if the carrier for the tested route is also delivering mail for another route that is pivoted, review the subsection "Tests on Pivoted Routes" in the CCCS-RG.**



**RURAL CARRIER COST SYSTEM  
(RCCS)**

The following software change is effective January 21, 2018.

**Indicia Screen**

The RCCS software no longer asks the indicia question for foreign origin mail. The only exception is U.S. origin mail being returned. Therefore, the data collector is still asked to record the indicia.

**IN-OFFICE COST SYSTEM**  
**(IOCS and IOCS-Cluster)**

The following software changes are effective January 21, 2018.

**First-Class Parcels and First-Class Package Service**

First-Class Retail Package Return Service now has its own option at **Q23I2**, option C.

**Q23I2 First-Class Markings**

*Do any of the following markings appear near the indicia? (Choose the first applicable.)*

- A "ComBasPrice" (including "CommercialBasePricing")
- B First-Class Parcel or FIRST-CLASS PKG SVC RTL (including FC PKG RTL)
- C First-Class PKG RTN SVC RTL (including FC PKG RTN)
- D First-Class Package (including "First-Class PKG")
- E None of the above markings

**Attempted Number of Phone Readings**

In order to help identify offices that are difficult to contact for IOCS telephone readings, a new field, "# of Attempted Calls", is added to the *End* screen. Enter the total number of attempted phone calls. When a reading is rescheduled, please make your best effort to include all the attempted calls made, including those previous attempted readings.

**TRANSPORTATION COST SYSTEMS  
(TRACS)**

The following software change is effective January 21, 2018.

**Commercial Priority Mail**

In order to clarify the recording of commercial Priority Mail, in both the TRACS Surface and Air software, in the *Select Mail Category* screen, after the data collector selects option 2 – Priority Mail (Domestic Only) and sub-option 1 – Domestic Priority, sub-option 2 changes from:

2 – Commercial

to:

2 – Commercial (includes Permit Mail)

The rules for recording Priority Mail as retail vs. commercial remain unchanged and are found in the *Domestic Mail Categories* chart in the TRACS Surface and Air Reference Guides.

The following policy and procedure change is effective January 1, 2018.

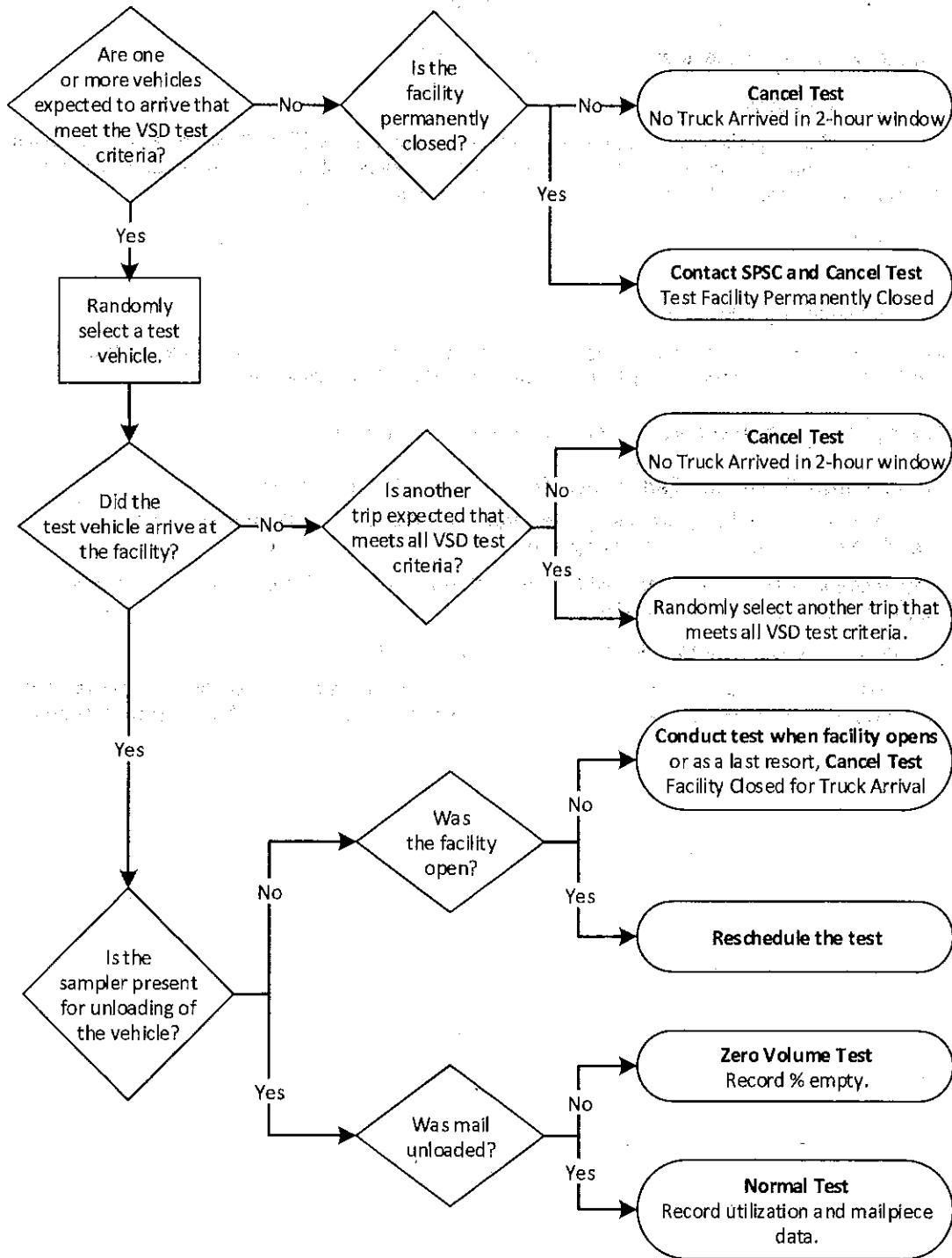
**VSD Reschedule, Replace, Canceling, Zero Volume Decision Tree**

The VSD Reschedule, Replace, Canceling, Zero Volume Decision Tree is updated to include the scenarios when canceling a VSD test is appropriate.

*In Reference Guide – Transportation Cost System – Surface, replace “VSD Reschedule, Replace, Canceling Zero Volume Decision Tree” as follows:*

Use the following decision tree to determine the appropriate action.

**Note:** To meet the test criteria, the VSD vehicle must have the same test facility and the same origin facility as listed on the *Header* screen in CODES and must arrive within the 2-hour test time segment.



## ORIGIN-DESTINATION INFORMATION SYSTEM—REVENUE, PIECES, AND WEIGHT (ODIS-RPW)

### January Price Change

New postage rates and fees are effective on January 21, 2018. We updated the ODIS-RPW software to reflect the new prices.

The following software, policy and procedure changes are effective January 21, 2018.

### Forever Stamp Recording

We updated the *Number of Domestic Forever Stamps* screen to add a new option for 2018 domestic Forever stamps. The 2018 date is printed horizontally in the top-right corner of each stamp.

Continue to record each stamp on the *Number of Forever Stamps* and *Domestic Forever Stamp Type* screens. Remember that Forever postage is always equal to the current postage value, regardless of when it is purchased or used. Effective January 21, 2018 the forever stamp prices are:

- Forever stamps and Forever embossed envelopes — \$0.50.
- Forever embossed postcards — \$0.35.
- International (Global) Forever stamps — \$1.15.

Please refer to the Forever stamp job aid in the Help file any time you have a question about Forever stamp recording.

### Priority Mail UPC Barcode Scanning

We added a new feature to the ODIS-RPW software that allows data collectors to scan UPC barcodes for most USPS provided Priority Mail boxes and envelopes. When the UPC barcode is successfully scanned, the mail shape and dimensions automatically populate.

To utilize this new feature, scan the USPS-branded Priority Mail UPC barcode on the *Mail Shape* screen. If the Priority Mail UPC barcode is accepted, the mail shape and dimension automatically populate. If the Priority Mail UPC barcode is not accepted, the software prompts the data collector to key the mail shape and dimensions as they normally would.

*In Handbook F-75, update section 5-3.6 (Priority Mail) as follows (changes highlighted in bold):*

To record Priority Mail, complete the following steps:

- a. Select Priority Mail from the *Mail Class & Type* screen.
- b. Select the marking(s) that apply from the *Priority Mail Markings* screen. Multiple markings are allowed.
- c. Select option 4 when Cubic or CUBIC, Cubic.10, Cubic.20, Cubic.30, Cubic.40, or Cubic.50 appears anywhere on the mailpiece. Record all Priority Mail Cubic Pricing shipments under option 4, whether or not they indicate Commercial Plus pricing.
- d. Select option 8 when Open and Distribute Box appears anywhere on the mailpiece.
- e. **On the *Mail Shape* screen, scan the UPC barcode when available. The UPC barcode, if provided, is pre-printed on the mailpiece, begins with the letters "PS", and may appear on any side of the mailpiece.**
- f. Follow the steps in 5-3.1.2 through 5-3.1.6 for First-Class Mail to complete the remaining data entry screens.

**SYSTEM FOR INTERNATIONAL REVENUE AND VOLUME, OUTBOUND-INTERNATIONAL  
ORIGIN-DESTINATION INFORMATION SYSTEM  
(SIRVO-IODIS)**

**January Price Change**

New postage rates and fees are effective on January 21, 2018. We updated the SIRVO-IODIS software to reflect the new prices.

The following software, policy and procedure changes are effective January 21, 2018.

**Receptacle Type Recording**

"PMI Presort Drop Ship CP81 (PS Tag 117)" and "FCPIS Presort Drop Ship CN35 (PS Tag 188)" are added to the FY18 Q2 software on the *Receptacle Type* Screen. Record the type according to the tag attached to the receptacle. If the receptacle has both Expres and FCPIS Drop Ship (Green/Blue Stripe) tag, record both options. The software now allows you to select both option #3 (Expres) and #5 (FCPIS Drop Ship). This is the only combination allowed at this time.

**Priority Mail International® Service (PMI)  
Presort Drop Shipment CP84**

See instructions on Reverse

United States Postal Service®  
PS Tag 117, March 2016  
PSN 7880-17-800-8008

1. Place customer-provided barcode here		2. 3-Letter FDE Code	
3. Date of Mailing	4. Destination Country		
5. Price Group	6. 10-Digit Permit Number		

1. Place customer-provided barcode here

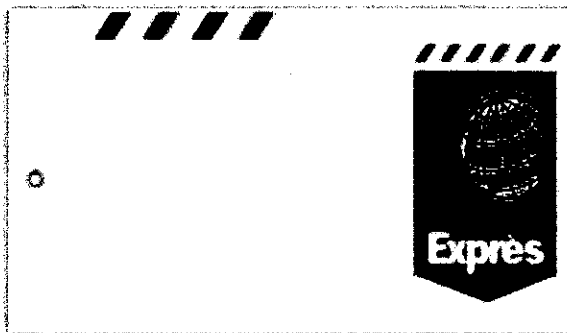
2. 3-Letter FOE Code

3. Date of Mailing

4. Destination Country

5. Price Group

6. 10-Digit Permit Number



*In the Reference Guide, revise RM-9, International PS Tag Examples, as follows (changes in bold):*  
**Add the PMI and FCPIS examples provided above.**

**SYSTEM FOR INTERNATIONAL REVENUE AND VOLUME - INBOUND  
(SIRVI)**

The following policy and procedure changes are effective January 21, 2018.

**Country Code Chart Update**

An update to the Country Code chart is as follows:

*In Reference Guide – System for International Revenue and Volume, Inbound (SIRVI), replace RM-3 Country Names/Country Codes/SIRVI Country Groups with the following chart:*



Country Names/Country Codes/SIRVI Country Groups

Individually Sampled	Group 4	Group 5
AU AUSTRALIA	ID INDONESIA	AD ANDORRA
AT AUSTRIA	IR IRAN	AI ANGUILLA
BE BELGIUM	IQ IRAQ	AG ANTIGUA & BARBUDA
BR BRAZIL	JO JORDAN	AR ARGENTINA
CA CANADA	KE KENYA	AW ARUBA
CN CHINA	KI KIRIBATI	BS BAHAMAS
CZ CZECH REP.	KP KOREA, DEM. REP.	BH BHRAIN
DK DENMARK	XZ KOSOVO	BB BARBADOS
FI FINLAND	KG KYRGYZSTAN REP. OF	BY BELARUS REP. OF
FR FRANCE	BZ BELIZE	BM BERMUDA
DE GERMANY	BT BHUTAN	BQ BONAIRE (NL)
GB GREAT BRITAIN	BO BOLIVIA	BA BOSNIA-HERCEGOVINA
GR GREECE	BF BURKINA FASO	BW BOTSWANA
HK HONG KONG	MM BURMA (MYANMAR)	VG BRITISH VIRGIN IS. (GB)
HU HUNGARY	BI BURUNDI	OM OMAN
IN INDIA	KH CAMBODIA	PA PANAMA
IE IRELAND	CM CAMEROON	PN PITCAIRN (GB)
IL ISRAEL	CV CAPE VERDE ISLAND	QA QATAR
IT ITALY	CF CENTRAL AFRICAN REP	RE REUNION ISL. (FR)
JP JAPAN	TD CHAD	RO ROMANIA
JE JERSEY	CO COLOMBIA	RU RUSSIA
KR KOREA, REP.	CM COMOROS	SM SAN MARINO
MY MALAYSIA	CD CONGO, DEM. REP.	SA SAUDI ARABIA
MX MEXICO	CG CONGO, REP. OF	RS SERBIA
NL NETHERLANDS	CI COTE D'IVOIRE	SK SLOVAKIA
NZ NEW ZEALAND	DJ DJIBOUTI	SI SLOVENIA
NO NORWAY	DO DOMINICAN REP	ZA SOUTH AFRICA
PL POLAND	EC EDUCADOR	KN ST. KITTS AND NEVIS
PT PORTUGAL	EG EGYPT	LC ST. LUCIA
SG SINGAPORE	SV EL SALVADOR	SX ST. MAARTEN
ES SPAIN	GQ EQUATORIAL-GUINEA	PM ST. PIERRE & MIQUELON (FR)
SE SWEDEN	ER ERITREA	VC ST. VINCENT & GRENADINES
CH SWITZERLAND	ET ETHIOPIA	SR SURINAME
TW TAIWAN	GM GAMBIA	TT TRINIDAD AND TOBAGO
TH THAILAND	GE GEORGIA REP. OF	TN TUNISIA
TO TONGA	GH GHANA	TC TURKS & CAICOS IS.
TR TURKEY	GT GUATEMALA	UA UKRAINE
	GN GUINEA	UY URUGUAY
	GW GUINEA-BISSAU	VA VATICAN CITY
	GY GUYANA	VZ VENEZUELA
	HT HAITI	WF WALLIS & FUTUNA (FR)
	HN HONDURAS	
	SD SUDAN	
	SZ SWAZILAND	
	SY SYRIA	
	TJ TAJIKISTAN REP. OF	
	TZ TANZANIA	
	TL TIMOR-LESTE	
	TG TOGO	
	TM TURKMENISTAN	
	TV TUVALU ISLAND	
	UG UGANDA	
	AE UNITED ARAB EMIRATES	
	UZ UZBEKISTAN	
	VU VANUATU	
	VN VIETNAM	
	WS WESTERN SAMOA	
	YE YEMEN, PEOPLES OF	
	ZM ZAMBIA	
	ZW ZIMBABWE	

December 2017

## STATISTICAL PROGRAMS MANAGEMENT (SPM)

The following policy and procedure changes are effective January 1, 2018.

### ODIS-RPW Tests Taken at a Different Location

We clarified and strengthened our guidelines for ODIS-RPW MEP design, and when to conduct a scheduled test at a new location. The data collector must isolate and capture all mail within each MEP at one test location. If the test location must change due to a change in mail processing, isolate and capture all mail for the MEP at the new location. You must notify the Service Center and the new test location facility manager of the change one week prior to the test date.

*In Handbook F-95, update sections: 4-8.7 (Tests Requiring Excessive Travel); 5-1 (Mail Exit Points) and 9-9.1.3.1 (Missed Mail) and subsections (changes highlighted in bold) as follows:*

#### 4-8.7 Tests Requiring a Different Testing Location

##### 4-8.7.1 Overview

For a scheduled test where you can no longer isolate all of the mail at the test facility (as indicated on the Header Report) due to a change in mail flow, the MFPC may authorize a data collector to conduct the test at another location between the destination processing facility and the final delivery unit. No other circumstance (e.g. travel time, data collector availability, and overtime) is an acceptable reason to test a MEP at a different test facility.

##### 4-8.7.2 Different Testing Location Criteria

Prior to conducting an ODIS-RPW test at a different test facility, you must meet the following criteria:

- a. Easily isolate every mailpiece for testing in the MEP at the new test facility.
- b. Notify the manager of the new test facility one week prior to the test date.
- c. Submit an entry to the anomaly log with justification for a location change one week prior to the test date.

##### 5-1 Overview

The mail exit point (MEP — pronounced as a one-syllable word) is the foundation of the Origin–Destination Information System–Revenue, Pieces, and Weight (ODIS-RPW) program, which is a continuous probability sample of all mail exiting the postal system. ODIS-RPW samples yield specific levels of statistical accuracy for major products on a quarterly basis. (For an ODIS-RPW test, a data collector visits a specific test site, selects a subset of the test-day mail, and records weight, revenue, and other characteristics.)

The MFPC is responsible for the design and maintenance of the MEPs within the district. This chapter provides information and policies for the MFPC to create and maintain those MEPs. **Each MEP must meet the following criteria:**

- a. Associate every mailpiece with only one MEP.
- b. Easily isolate every mailpiece for testing in each MEP at one test facility.
- c. Each MEP is relatively stable over time.
- d. Maximize the cost-effectiveness of testing for each MEP.

For additional information regarding how to create and edit MEPs within the MEP System, see the MEP System User Guide available at [http://blue.usps.gov/statprog/\\_pdf/Updated\\_MEP\\_System\\_User\\_Guide\\_-\\_FINAL.pdf](http://blue.usps.gov/statprog/_pdf/Updated_MEP_System_User_Guide_-_FINAL.pdf).

##### 5-2 Definitions of Terms

- d. *Testing Facility:* The physical location where a data collector isolates, counts, and records all mailpieces for a MEP. The testing facility may be the same as the destination facility, or it may be located as far upstream as the destination plant. In the case of Delivery Unit Optimization (DUO)

offices, the testing facility may be located at the new centralized location or at the final destination facility.

### 9-9.1.3.2 Other Anomalies

The following are other examples of anomalies:

- a. *Improper data collection or entry*: Any compromised test or reading data entered as a result of mail isolation errors or data entry errors.
- b. *Hardware issues*: Any issue with the scale, scanner, or laptop that affect the test or reading data. In addition to reporting the anomaly, contact CODES Support for assistance.
- c. *Test location*: Any change in test location **from the test facility indicated on the Header**.
- d. *General anomalies*: Any miscellaneous issue that is found in the individual test record analysis or comments from the data collector that the program manager should be aware of for further review or investigation, such as a mailpiece with dimensions that the software will not accept.

### TRACS Cancellation Code Table

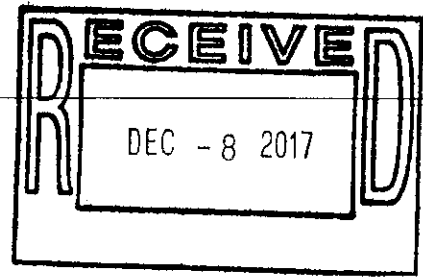
In order to clarify the VSD cancellation and zero volume policy, we adjusted the language for cancellation code 6, to align with the VSD Reschedule, Replace, Canceling, Zero Volume Decision tree in the TRACS Surface reference guide. If no VSD trucks arrive within the 2 hour window, you must cancel the test.

*In Handbook F-95, update Exhibit 4-5.3 (Cancellation Code Table) as follows (changes highlighted in bold):*

Exhibit 4-5.3

#### Cancellation Code Table

Cancellation Code	Subsystem	CODES WBU Reason	Situation
1	Surface	Test facility permanently closed.	The test facility no longer exists.
2	Air	No test mail worked in 2-hour window.	MFPC confirms in EDW that no D&R tags of the appropriate mail class were scanned during the time period. <b>Note:</b> It could take up to 24 hours for scan data to appear in EDW.
3	Air	Test mail no longer processed at facility.	Test mail is no longer processed at the facility.
4	Surface	Routing change, no facility stop, no replacement.	Routing change. The trip no longer stops at facility and no replacement is available.
5	Surface	Trip did not run test day, no replacement.	The trip does not run on the test day and no replacement is available.
6	VSD	Trip did not arrive in 2-hour window.	<b>No eligible truck arrived during the 2 hour window.</b>
7	Surface	Facility closed for truck arrival/safety issue.	The test facility is closed when the truck is scheduled to arrive and the data collector has a safety concern about collecting the data when the facility is closed. <b>Note:</b> The test may be canceled only as a last resort. The MFPC must contact the service center before the scheduled date of the test to avoid canceling the test.
8	All subsystems	Quarterly training date.	The test is canceled to provide time for quarterly training.



December 4, 2017

Mr. Brian J. Wagner  
President  
National Association of Postal Supervisors  
1727 King Street, Suite 400  
Alexandria, VA 22314-2753

Certified Mail Tracking Number:  
7016 1970 0000 3442 6514

Dear Brian:

The Postal Service proposes to create Management Instruction (MI) AS-800-2018-4, *Privileged Account Management for Postal Service Information Resources*.

The subject MI provides instructions for functional units responsible for information systems to identify privileged accounts, register those accounts in eAccess, and assign privilege levels to each information system based on the system's sensitivity and criticality. These privilege levels correspond to various employee background investigation requirements.

Pursuant to Title 39, U.S. Code, Section 1004(d) we have enclosed:

We have enclosed:

- A copy of the proposed MI AS-800-2018-4 final draft
- A copy of a narrative explanation of the purpose and effect of the proposed changes

Please contact Bruce Nicholson at extension 7773 if you have questions concerning this matter.

Sincerely,

A handwritten signature in black ink, appearing to read "Alan S. Moore".

Alan S. Moore  
Manager  
Labor Relations Policies and Programs

Enclosures

# MEMORANDUM

**Date:** December 01, 2017  
**To:** Alan Moore, Manager, Labor Relations Policies & Procedures  
**From:** Lauren Lee, Manager, Digital Integration, Corporate Information Security Office  
**Subject:** Article 19 Narrative on Purpose and Impact of Privileged Account Management Instruction

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The Postal Service has completed development of the Privileged Account Management ("PAM") Instruction. The PAM Instruction is a collection of enterprise-wide policies and procedures that direct information system owners to identify privileged accounts, register those accounts in USPS's privileged account management system, eAccess, and assign privilege levels (PLs) to USPS information systems based on the sensitivity and criticality of the system. The PLs correspond to a background investigation that users must successfully obtain to gain and maintain access to USPS information systems.

## **Purpose of the PAM Instruction:**

Within the Postal Service, the most critical accounts are privileged accounts as they enable access to the most sensitive data and components of a system or application and, when used in unintended ways, can cause significant damage to the organization in the form of security breaches, reduction in brand confidence and lost revenue.

There is currently no enterprise-wide procedure for identifying, reviewing and approving the creation and assignment of privileged accounts to Postal Service information systems. Likewise, no single application or business unit is currently responsible for managing privileged accounts.

The purpose of the PAM Instruction is to establish the requirements and procedures for identifying, reviewing, approving and managing privileged accounts and for addressing related authentication and background investigation concerns.

## **Impact of the PAM Instruction on Employees:**

There are two categories of Postal Service employees who will be impacted by the PAM Instruction: (1) employees who require access to an information system and have not completed any background investigation and (2) employees who completed a background investigation but require a different background investigation type to access an information system.

Employees who do not meet the background investigation requirement for privileged access to an information system will be denied access.

The rationale for this policy change is straight forward.

Currently, employees with access to Postal Service data, including highly sensitive data like payroll information, and employees with elevated permissions, like administrators who can change critical system configurations, are not required to complete a background investigation. This creates significant risk for the Postal Service. Indeed, more than half of computer security breaches come from individuals who had insider access to an organization's system. There is also a significant risks associated with non-malicious, inadvertent disclosures of sensitive information.

To mitigate this risk, the Postal Service created the PAM instruction. In addition to the privileged account identification, review and management policies, the PAM Instruction establishes an objective Privilege Level Matrix ("Matrix"), which uses the data sensitivity and criticality ratings assigned to an information system to determine what background investigation is required for access to a privileged account. This process does not require input or a decision from a person. An information system security officer simply looks up the data sensitivity and the criticality of a system and plugs those values into the Matrix resulting in a background investigation requirement.

The rationale behind the Matrix is simple; the more sensitive and critical a system is, the more confidence in the trustworthiness and integrity of the employee required to grant access. Background investigations are designed to provide the aforementioned confidence.

Finally, as documented in the PAM Instruction, there will be a grace period during which users who already have access to information systems will be allowed to submit paperwork for a new background investigation, if necessary. It is important to note that the paperwork submission requirement for new background investigations does not begin until users are notified of the need for a new background investigation. This notification cannot occur until specific technical changes are made to support information systems and processes. We estimate that the technical changes will take up to a year to implement.

Signed:

  
\_\_\_\_\_  
Lauren Lee, Manager, Digital Integration

# Management Instruction

## Privileged Account Management for Postal Service Information Resources

### Purpose

The purpose of this Management Instruction (MI) is to centralize and enhance the privileged account management policies found in the United States Postal Service (USPS) Handbook AS-805, *Information Security*, in order to enforce a uniform, enterprise-wide approach to privileged account management.

This MI establishes the following:

1. An enforceable, uniform procedure for identifying, reviewing, creating, and managing privileged accounts by doing the following:
  - a. Providing a simplified definition for a 'privileged account' and examples of such accounts;
  - b. Introducing a privileged account review and approval process for all information resources as part of the Certification and Accreditation (C&A) process; and
  - c. Adding information resource registration in eAccess as a requirement for certification and accreditation.
2. A procedure for distinguishing among privileged accounts. Not all privileged accounts are the same. The level of risk associated with a privileged account varies based on the following:
  - a. The sensitivity of the data on the associated information resource.
  - b. The criticality of the resource.
3. A process for the following:
  - a. Determining the appropriate background investigation requirement for assignment to a privileged account within an information resource.
  - b. Submit the appropriate documentation to Human Resources (HR), not the information resource owner, when an employee or contractor's assignment to an information resource requires a new background investigation.
  - c. Submit the appropriate documentation to Inspection Service (IS) if a higher background investigation is deemed necessary.

Date	TBD
Effective	Immediately
Number	AS-800-2017-4
Units	Information Technology

Gregory Crabb  
Vice President  
Corporate Information  
Security Office

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## Explanation

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Identity and Access Management (IAM) is the cornerstone of Information Technology (IT) security. Implementing Privileged Account Management (PAM) is an important component of a robust enterprise IAM program. The concept of PAM, at its core, is the idea that organizations must properly control and manage login accounts with elevated rights in order to protect information resources and, ultimately, the enterprise.

Within the Postal Service, the most critical accounts are privileged accounts because of the following:

- They enable access to the most sensitive aspects of a system or application and
- When used in unintended ways, they can cause significant damage to the organization in the form of the following:
  - Security incidents.
  - Reduction in brand confidence
  - Lost revenue.

This MI establishes enforceable procedures for the following:

- Identifying, reviewing, approving, and managing privileged and non-privileged accounts; and
- Addressing related authentication and security background investigation concerns.

## Scope

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This MI applies to all Postal Service information resources and IT infrastructure components. It does not distinguish between the following applications:

- Sarbanes-Oxley (SOX) or Payment Card Industry (PCI) in-scope and out-of-scope applications.
- Local and cloud-based applications.
- Consumer-facing and non-consumer-facing applications.

Therefore, if a Postal Service information resource or infrastructure component requires user login to an account, this MI covers it.



## Policy

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Handbook AS-805 contains enterprise PAM policies.<sup>1</sup> This MI establishes procedures intended to support implementation and enforce adoption of the PAM policies found in Handbook AS-805. Specifically, you must follow the steps outlined in the "Procedure" section to do the following:

1. Identify, review, and approve privileged and non-privileged accounts before you create the account;
2. Determine the authentication requirements for the account; and
3. Determine whether you must notify HR and IS because of a new background investigation requirement for an employee or contractor.<sup>2</sup>

In addition, the eAccess application must manage the creation, maintenance, and deactivation of all privileged and non-privileged accounts for all Postal Service information resources or infrastructure resources.

Finally, on a quarterly basis, starting from the date a privileged account is created, the information system owners and the Information System Security Officer (ISSO) assigned to the information resource or infrastructure component must review the privileged account for the following:

- Appropriateness.
- To determine if the account remains necessary. If unnecessary, the information system owner must delete the account.

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<sup>1</sup> Handbook AS-805 also contains guidance and requirements around general account management, including separation of duties (Sections 6-2.1, 8-2.5, 9-3.1.3), the use of shared accounts (Section 9-4.2.4), and account password and other authentication requirements (Section 9-6). This MI does not deprecate any account management requirements or principles found in the AS-805 series.

<sup>2</sup> All USPS employees or contractors with approved access to a USPS information resource on the date of this instruction's publication shall be exempt from the background investigation requirements in this management instruction for a one year period. The one year exemption period begins on the date that this instruction is published. After the one year exemption period and for a period of one year, all USPS employees or contractors who were approved to access USPS information resource on the date that this management instruction is published and who do not meet the background investigation requirement for an information resource, must obtain written approval from the employee's or contractor's Vice President to access the information resource. All other exemptions or waivers to the background investigation requirements in this instruction must be processed and approved by HR and the Inspection Service.

This MI does not repeal nor do away with any existing Postal Service policies. All Postal Service information resources that allow for access to system or application accounts must comply with all requirements documented in the following:

- Handbook AS-805, *Information Security*.
- *Administrative Support Manual (ASM)*, Section 272.
- Any other applicable policies, regulations, or standards established by the Postal Service or by law.

## Procedure

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Information resource owners and infrastructure component managers must follow the steps outlined in this section to do the following:

- Establish appropriate accounts,
- Assign appropriate authentication requirements to those accounts, and
- Determine whether a user's assignment to a privileged account requires notification to HR and IS.

### 1. **Conduct a Review of Information Resource and Infrastructure Component Accounts.**

Handbook AS-805 requires an impact assessment for all Postal Service information resources and infrastructure components (i.e., a Business Impact Assessment or BIA, Cloud Computing Impact Assessment or CCIA, and Infrastructure Impact Assessment or IIA). The purpose of the impact assessment is to identify the appropriate security and privacy controls to protect Postal Service information resources, infrastructure components, personnel, consumers, and the enterprise.

Information resource owners and infrastructure component managers must establish appropriate login account by doing the following<sup>3</sup>:

- A. **Defining a Privileged Account.** To begin the privileged account review process within the BIA, CCIA, or IIA, information resource owners and infrastructure component managers must categorize login accounts as either privileged or non-privileged.

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<sup>3</sup> The appendix is a suggested insert to the respective impact assessments that allows ISSOs and resource owners to establish appropriate login accounts.

A privileged account is defined as an account that allows access to change data, alter configuration settings, run programs or allows unrestricted access to view data.

Examples of privileged accounts		
Administration Accounts	Information and Resource IDs	Generic System Accounts
<p><b>Shared Predefined</b></p> <ul style="list-style-type: none"> <li>• UNIX root</li> <li>• Cisco enabled</li> <li>• DBA accounts</li> <li>• Windows domain</li> </ul> <p><b>Shared</b></p> <ul style="list-style-type: none"> <li>• Help desk</li> <li>• Fire call</li> <li>• Operations</li> <li>• Emergency</li> <li>• Legacy applications</li> <li>• Developer accounts</li> </ul> <p><b>Owned by the system</b></p> <ul style="list-style-type: none"> <li>• Not owned by person or "identity"</li> </ul>	<p><b>Hard-coded, embedded</b></p> <ul style="list-style-type: none"> <li>• Resource DB IDs</li> <li>• Generic IDs</li> <li>• Batch jobs</li> <li>• Testing scripts</li> <li>• Application identities</li> </ul> <p><b>Service Accounts</b></p> <ul style="list-style-type: none"> <li>• Windows service accounts</li> <li>• Scheduled tasks</li> </ul>	<p><b>Generic</b></p> <ul style="list-style-type: none"> <li>• Daemon</li> <li>• News</li> <li>• Mail</li> </ul> <p><b>Windows local administrator</b></p> <ul style="list-style-type: none"> <li>• Desktops</li> <li>• Laptops</li> </ul>

The term privileged account is defined in the USPS Information Security Handbook, AS-805, Section 9-4.2.2.

A *non-privileged account* is any account that does not meet the definition of a privileged account described above.

In addition to identifying each account as privileged or non-privileged, the information resource owner or infrastructure component manager is required to do the following:

- Provide a description of the account.
- Explain the activities, permissions, and responsibilities associated with the account.

**B. Facilitating an Account Review Process.** Next, the information resource owner or infrastructure component manager is required to review all accounts identified as privileged and non-privileged with the assigned ISSO.

**Determining Privilege Levels for Accounts.**

In addition to reviewing and approving the categorization of accounts, an information resource owner (or infrastructure manager) must assign a Privilege Level (PL) to each privileged account. The PL is determined using the PL Matrix and Table, which are

included below. Based on the sensitivity and criticality of information, the intersection where the two data points meet on the Matrix is the PL. The Table maps the PL to authentication requirements and security investigation levels. The appendix that is included further illustrates how to use the Matrix and Table. These questions use the information resource data sensitivity and criticality designation to do the following:

- Assign authentication requirements to the login account.
- Determine whether assignment of a user to the role in the account triggers a change in the user's background investigation requirements.

**2. Requiring Registration in eAccess for Account Creation, Maintenance, and Deactivation.**

Finally, once the categorization of login accounts is complete, the information resource owner or infrastructure component manager must document the identified accounts on the eAccess Registration Form and submit it to a designated eAccess Administrator. The eAccess Administrator is responsible for the creation and maintenance of all login accounts.

**Exhibit 1.0**

**Privilege Level Matrix (PL)**

<b>Data Sensitivity</b>	<i>Sensitive Enhanced</i> (3)	<b>PL3 (High)</b> 3	<b>PL3 (High)</b> 3	<b>PL3 (High)</b> 3
	<i>Sensitive</i> (2)	<b>PL2 (Med)</b> 2	<b>PL2 (Med)</b> 2	<b>PL3 (High)</b> 3
	<i>Non-Sensitive</i> (1)	<b>PL1 (Low)</b> 1	<b>PL2 (Med)</b> 2	<b>PL3 (High)</b> 3
		<i>Low</i> (1)	<i>Medium</i> (2)	<i>High</i> (3)
		<b>Criticality</b>		

Table 1.0

**Privilege Level (PL) Table**

<b>Privilege Level (PL)</b>	<b>Authentication Requirement</b>	<b>Background Investigation Level</b>
PL 1 (Low)	Two Factor (e.g., password and hardware token)	None
PL 2 (Med)	Two Factor (e.g., password and hardware token)	National Agency Check with Inquiries (NACI) or equivalent successor investigation level
PL 3 (High)	Two Factor (e.g., password and hardware token)	Minimum Background Investigation (MBI) or equivalent successor investigation level  *For Active Directory (BLUE or RED) Administrator accounts, a full Background Investigation (BI), or equivalent successor investigation level, is required.

## Roles and Responsibilities

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The **Application Owner** is responsible for the following:

- Managing the development of the consumer-facing application.
- Engaging the necessary stakeholders (e.g., IT, Corporate Information Security Office, Privacy) based on the scope and requirements of his or her application.
- The completion of the risk assessment as part of the certification and accreditation (C&A) process (as referenced in Handbook AS-805, Section 8-4).

- His or her application's compliance to Postal Service rules and standards, as well as other applicable regulations and standards.

The **Infrastructure Component Manager** (ICM), also referred to as the IT Manager, is responsible for planning, coordinating, and directing all activity related to an infrastructure component.

The **Information Resource Owner** is the Official responsible for the overall procurement, development, integration, modification, or operation and maintenance of an information resource.

The **Information System Security Officer** (ISSO) reports to the Chief Information Security Officer and is responsible for certifying that enterprise infrastructure and applications are compliant with all applicable laws, regulations, and industry standards.

The **eAccess Administrator** is responsible for granting access to a system or infrastructure component based on valid access authorization.

## Reference Documents

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This MI is based on the following documents. These documents provide a more detailed definition of concepts and terms used in this MI.

- Handbook AS-805, *Information Security*: <http://about.usps.com/handbooks/as805.pdf>.
- Handbook AS-805-A, *Information Resource Certification and Accreditation Process*: <http://about.usps.com/handbooks/as805a.pdf>.
- Handbook AS-805-B, *Infrastructure Information Security Assurance*: <http://about.usps.com/handbooks/as805b.pdf>.
- Handbook AS-805-C, *Information Security for General Users*: <http://about.usps.com/handbooks/as805c.pdf>.
- *Administrative Support Manual (ASM)*, Section 272, Personnel Security Clearances and Background Investigations.

In addition, we've based this MI on federal standards and requirements, including the following:

- National Institute of Standards and Technology (NIST) SP 800-53-4, *Security and Privacy Controls for Federal Information Systems and Organizations*.
- Committee on National Security Systems Glossary (4009).

## Glossary

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**Background Investigations.** Are categorized in three types: Non-sensitive positions require a National Agency Check with Inquiries (NACI); Moderate Risk Public Trust positions require a Modified Background Investigation (MBI); and High Risk Public Trust positions require a Background Investigation (BI). Background investigations are adjudicated by the Inspection Service.

**Criticality.** A measure of the impact to the enterprise if the information resource is unavailable.

**Information Resource.** Includes information and related resources, such as personnel, equipment, funds, and information technology. This MI focuses on information technology.

**Infrastructure Component.** One of several components that make up an IT infrastructure, such as computer hardware platforms, operating system platforms, data management and storage, network and telecommunication platforms, and internet platforms.

**Privileged Access Management.** Enables an enterprise to control, monitor, and manage privileged access to critical or sensitive systems.

**Privileged Account.** An account that allows access to change data, alter configuration settings, run programs, or allows unrestricted access to view data. (See Handbook AS-805, *Information Security*, Section 9-4.2.2, for a complete definition.)

**Red Domain.** The Red domain is a tiered containment model for administrative control of IT infrastructure.

**Blue/USA Domain.** The Blue/USA domain hosts the IT system within USPS. The users in this domain have non-privileged access to IT infrastructure and privileged and non-privileged access to end user applications.

**Sensitivity.** Determines the need to protect the confidentiality and integrity of information.

**APPENDIX – Suggested Insert to Respective Impact Assessment Forms**

Within the Postal Service, application or system accounts regulate access to an information resource. The information resource owner must create and manage the application or system accounts within eAccess. This approach to access management allows information resource owners to grant access to users by assigning each user to an account. Each account has specific permissions that allow the user to perform various actions based on the scope of the assigned account.

The most important information resource accounts are privileged accounts because of the following:

- They enable access to sensitive aspects of an information resource; and
- When used in unintended ways, they can cause significant damage to the organization in the form of security incidents, reduction in brand confidence, and lost revenue.

Given the potential adverse impact resulting from the misuse of privileged accounts, it is critical that the information resource owner or infrastructure component manager properly identify, classify, and review such accounts before the eAccess administrator creates the privileged account in eAccess.

It is also important that appropriate authentication and security background investigation requirements are associated with each account to further protect information resources and infrastructure components from internal and external threats.

The following sections allow the information resource owner to identify, review, and obtain approval for the creation of privileged accounts. The information resource owner must complete these sections and the resource ISSO must review them.

**9.1 Complete the Privileged Account Questionnaire**

Provide the information requested below.

1. Information Sensitivity Designation		
<input type="checkbox"/> Non-Sensitive	<input type="checkbox"/> Sensitive	<input type="checkbox"/> Sensitive-Enhanced
2. Criticality Level		
<input type="checkbox"/> Low	<input type="checkbox"/> Medium	<input type="checkbox"/> High



**9.2 Identify and Review Privileged and Non-Privileged Accounts**

List each account associated with the information resource or infrastructure component, describe the permissions associated with each account, and determine whether each account is privileged or non-privileged.

Index	Account (Name)	Permissions	Privileged
1			<input type="checkbox"/> Yes <input type="checkbox"/> No
2			<input type="checkbox"/> Yes <input type="checkbox"/> No
3			<input type="checkbox"/> Yes <input type="checkbox"/> No
4			<input type="checkbox"/> Yes <input type="checkbox"/> No
5			<input type="checkbox"/> Yes <input type="checkbox"/> No
6			<input type="checkbox"/> Yes <input type="checkbox"/> No
7			<input type="checkbox"/> Yes <input type="checkbox"/> No

**9.3 Determine Privilege Level**

Use the responses to the Privileged Account Questionnaire in Section 9.1, the Privilege Level (PL) Matrix, and the Privilege Level Table (see Exhibit 1.0 and Table 1.0) to determine the following for all privileged accounts in the system or infrastructure component:

- The PL.
- The authentication requirement.
- The background investigation requirement.

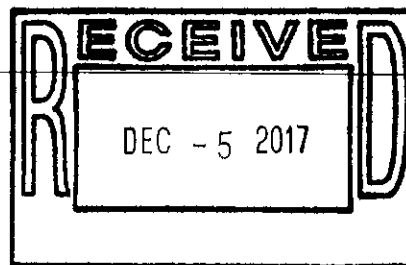
**Note:** All Postal Service employees or contractors must obtain a favorable Tier 4 background investigation before requesting access to an Active Directory Administrator account (Red or Blue).

System or Infrastructure Component (Name)	Privilege Level	Authentication Requirement	Background Investigation Requirement

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**9.4 Review All Privileged Accounts with the Information Security Officer**

Review the privileged accounts identified in Section 9.2 and determine, in conjunction with the ISSO and the information resource owner, if the identified accounts are necessary and appropriate for the information resource or infrastructure component.



November 29, 2017

Mr. Brian J. Wagner  
President  
National Association of Postal Supervisors  
1727 King Street, Suite 400  
Alexandria, VA 22314-2753

**Certified Mail Tracking Number:**  
70161370000230147837

Dear Brian:

This letter is in further reference to the Postal Service notice dated May 13, 2016, regarding customs declaration forms (enclosed).

Beginning January 18, 2018, the Postal Service will require all international and domestic packages that require a customs form for Army Post Offices (APOs), Fleet Post Offices (FPOs), Diplomat Post Offices (DPOs), US Possessions, Territories, or Freely Associated Stations destinations to use PS Form 2976-R. Customs forms PS Form 2976, 2976-A, and 2976-B previously used for these mailings will be considered obsolete and used only in emergency situations.

If you have any questions, please contact Shannon Richardson at extension 5842.

Sincerely,

A handwritten signature in black ink, appearing to read "Riskey R. Dean". The signature is written over a horizontal line.

Riskey R. Dean  
Manager  
Contract Administration (APWU)

Enclosure



May 13, 2016

Mr. Louis Atkins  
President  
National Association of Postal Supervisors  
1727 King Street  
Alexandria, VA 22314-2753

**Certified Mail Tracking Number:  
7015 0920 0000 3200 0814**

Dear Louis:

As a matter of general interest, the Postal Service plans on implementing two initiatives regarding the handling and processing of international mail.

One initiative is the handling of Priority Mail International (PMI) Flat Rate Envelopes and Small Flat Rate Priced boxes. These packages are currently handled in the first class international mail stream; however they will be moved to the air parcel mail stream. This will align all USPS branded PMI products into the same product classification mail stream.

The second initiative is to simplify the customs declaration forms. Customers will be provided a new hardcopy PS Form 2976-R at retail counters to replace the hardcopy forms of the PS Form 2976, 2976-A, and 2976-B. The PS Form 2976-R is a multi-ply non-barcoded customs declaration form that will be used as a "worksheet" by the SSA to enter the customs declaration data into CBPMan. The data will then be used to print an electronic version of the PS Form 2976, 2976-A, or 2976-B as required at RSS/POS sites. Manual sites will begin using Customs Form Online to enter the customs data and generate an electronic copy of the appropriate form. Domestic sites requiring a customs form (APO/FPO/DPO/PTFAS) will continue to use the printed 2976, 2976-A, and 2976-B until further notice.

The SOPs associated with these initiatives as well as a sample 2976-R are enclosed.

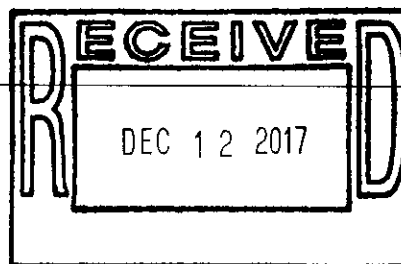
If there are any questions regarding this initiative, please contact Tina Foster of my staff at extension 6520.

Sincerely,

A handwritten signature in black ink, appearing to read "Rickey R. Dean", written over a white background.

Rickey R. Dean  
A/Manager  
Contract Administration (APWU)

Enclosures



December 8, 2017

Mr. Brian J. Wagner  
President  
National Association of Postal Supervisors  
1727 King Street, Suite 400  
Alexandria, VA 22314-2753

**Certified Mail Tracking Number:**  
70161370000230148070

Dear Brian:

This letter is in further reference to the Postal Service enclosed notices dated May 13, 2016 and November 29 regarding customs declaration forms.

As previously informed, beginning January 18, 2018, the Postal Service will require all international and domestic packages that require a customs form for Army Post Offices (APOs), Fleet Post Offices (FPOs), Diplomat Post Offices (DPOs), US Possessions, Territories, or Freely Associated Stations destinations to use PS Form 2976-R, USPS Customs Declaration and Dispatch Note.

Additionally, Sales and Service Associates (SSAs) will be required to enter data from the PS Form 2976-R into the Customs and Boarder Protection Manifest (CBPMAN).

If you have any questions, please contact Shannon Richardson at extension 5842.

Sincerely,

A handwritten signature in black ink, appearing to read "Rickey R. Dean". The signature is stylized and somewhat abstract.

Rickey R. Dean  
Manager  
Contract Administration (APWU)

Enclosure



November 29, 2017

Mr. Brian J. Wagner  
President  
National Association of Postal Supervisors  
1727 King Street, Suite 400  
Alexandria, VA 22314-2753

**Certified Mail Tracking Number:**  
70161370000230147837

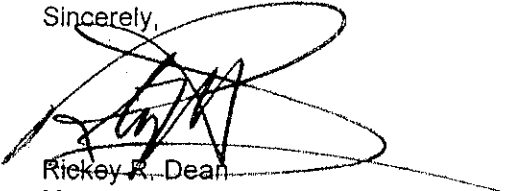
Dear Brian:

This letter is in further reference to the Postal Service notice dated May 13, 2016, regarding customs declaration forms (enclosed).

Beginning January 18, 2018, the Postal Service will require all international and domestic packages that require a customs form for Army Post Offices (APOs), Fleet Post Offices (FPOs), Diplomat Post Offices (DPOs), US Possessions, Territories, or Freely Associated Stations destinations to use PS Form 2976-R. Customs forms PS Form 2976, 2976-A, and 2976-B previously used for these mailings will be considered obsolete and used only in emergency situations.

If you have any questions, please contact Shannon Richardson at extension 5842.

Sincerely,



Riekey R. Dean  
Manager  
Contract Administration (APWU)

Enclosure



May 13, 2016

Mr. Louis Atkins  
President  
National Association of Postal Supervisors  
1727 King Street  
Alexandria, VA 22314-2753

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The second initiative is to simplify the customs declaration forms. Customers will be provided a new hardcopy PS Form 2976-R at retail counters to replace the hardcopy forms of the PS Form 2976, 2976-A, and 2976-B. The PS Form 2976-R is a multi-ply non-barcoded customs declaration form that will be used as a "worksheet" by the SSA to enter the customs declaration data into CBPMan. The data will then be used to print an electronic version of the PS Form 2976, 2976-A, or 2976-B as required at RSS/POS sites. Manual sites will begin using Customs Form Online to enter the customs data and generate an electronic copy of the appropriate form. Domestic sites requiring a customs form (APO/FPO/DPO/PTFAS) will continue to use the printed 2976, 2976-A, and 2976-B until further notice.

The SOPs associated with these initiatives as well as a sample 2976-R are enclosed.

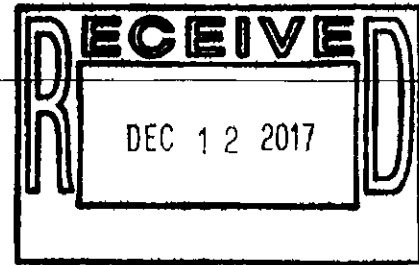
If there are any questions regarding this initiative, please contact Tina Foster of my staff at extension 6520.

Sincerely,

A handwritten signature in black ink, appearing to read "Rickey R. Dean".

Rickey R. Dean  
A/Manager  
Contract Administration (APWU)

Enclosures



December 11, 2017

Mr. Brian Wagner  
President  
National Association of Postal Supervisors  
1727 King Street Suite 400  
Alexandria, VA 22314-2753

Dear Brian:

This is in response to questions raised in your October 11 correspondence regarding the proposed test of biometric capture of fingerprints for the Federal Bureau of Investigations (FBI's) Identity History Summary Check (IdHSC) application.

1. What is the estimated number of customers on daily and weekly basis the USPS expect will participate in the biometric capture of their fingerprints?

**Response:** 2-3 transactions daily.

2. Is this biometric capture of fingerprints process conducted over the office's retail window?

**Response:** Yes, the process will be conducted over the retail window at a designated terminal.

- a) If yes, will the retail unit be exempt from adhering to the Retail Customer Experience (RCE) Wait-Time-In-Line policy of five (5) minutes or less?

**Response:** No.

- i. If no, is the retail unit required to handle this biometric capture process over the retail window with their current craft staff?

**Response:** The capture of fingerprint process during the testing period will be covered by existing bargaining unit employees (limited to Sales and Service Associates) on a voluntary basis.

- 1) If yes, how is the respective retail unit to receive workload credit for the extensive 10-15 minutes for each biometric capture transaction?



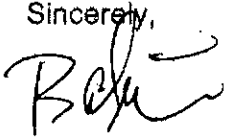
**Response:** Workload credit will not be allotted to the units during the test period. However, a separate AIC will be provided to analyze and measure data during the test.

- 2) If no, will the test office receive additional craft staffing to accommodate the increased retail workload due to this biometric fingerprint capturing?

**Response:** No.

A briefing will be made available to NAPS prior to the start of the test period.

Sincerely,

A handwritten signature in black ink, appearing to read "B. Nicholson", with a stylized flourish at the end.

Bruce A. Nicholson  
Manager  
Labor Relations Policy Administration



# NATIONAL ASSOCIATION OF POSTAL SUPERVISORS

National Headquarters  
1727 KING STREET, SUITE 400  
ALEXANDRIA, VA 22314-2753  
(703) 836-9660

October 11, 2017

Mr. Bruce Nicholson  
Manager, Labor Relations Policy Administration  
United States Postal Service  
475 L'Enfant Plaza SW Room 9426  
Washington DC 20260-4101

## RE: Test Biometric Capture of Fingerprints for FBI

Dear Bruce,

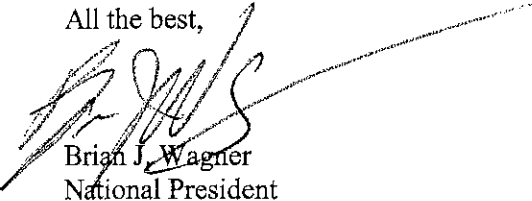
The National Association of Postal Supervisors (NAPS) is in receipt of USPS correspondence dated October 3, 2017 from Ricky Dean, Manager Contract Administration (APWU) regarding the USPS proposed test of biometric capture of fingerprints for the Federal Bureau of Investigations (FBI's) Identity History Summary Check (IdHSC) application. As noted, the test will take place in two retail locations in the Washington, DC area. The amount of time necessary to complete the process of one biometric fingerprint capture is estimated at approximately 10 to 15 minutes.

NAPS is concerned about the potential impact on the respective office's retail operation to efficiently service customers in a timely manner as it relates to the Retail Customer Experience (RCE). Therefore, NAPS has the following questions related to this biometric process:

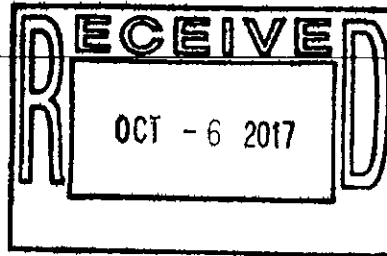
1. What is the estimated number of customers on a daily and weekly basis the USPS expect will participate in the biometric capture of their fingerprints?
2. Is this biometric capture of fingerprints process conducted over the office's retail window?
  - a. If *yes*, will the retail unit be exempt from adhering to the Retail Customer Experience (RCE) Wait-Time-In-Line policy of five (5) minutes or less?
    - i. If *no*, is the retail unit required to handle this biometric capture process over the retail window with their current craft staff?
      1. If *yes*, how is the respective retail unit to receive workload credit for the extensive 10-15 minutes for each biometric capture transaction?
      2. If *no*, will the test office receive additional craft staffing to accommodate the increased retail workload due to this biometric fingerprint capturing?

NAPS looks forward to your response. If you believe a briefing is necessary based on the questions posed, please contact my office. Thank you for your time.

All the best,

  
Brian J. Wagner  
National President

LABOR RELATIONS



October 3, 2017

Mr. Brian J. Wagner  
President  
National Association of Postal Supervisors  
1727 King Street, Suite 400  
Alexandria, VA 22314-2753

**Certified Mail Tracking Number:**  
7016 1970 0000 3442 7443

Dear Brian:

As a matter of general interest, the Postal Service intends to conduct a test of the biometric capture of fingerprints for the Federal Bureau of Investigation's (FBI's) Identity History Summary Check (IdHSC) application.

The test will take place in two retail locations in the Capital District; Brentwood Post Office and Friendship Post Office in Washington, DC. The test is expected to begin by the end of November. During the test, Postal Service personnel (typically clerk craft employees) will perform a biometric capture of fingerprints. The entire process is expected to take approximately 10 to 15 minutes.

The process will normally include:

- Receive the individual's name, order number, or email address and enter the information into the appropriate computer application
- Capture the individual's fingerprints (using biometric fingerprint reader) and transmit the information to the United Postal Service Inspection Service (USPIS)
- Collect fingerprinting fee from the individual

The USPIS will transmit the fingerprints to the FBI.

If you have any questions concerning this matter, please contact Dion Mealy at extension 6861.

Sincerely,

Rickey R. Dean  
Manager  
Contract Administration (APWU)



December 1, 2017

Mr. Brian J. Wagner  
President  
National Association of Postal Supervisors  
1727 King Street, Suite 400  
Alexandria, VA 22314-2753

**Certified Mail Tracking Number:**  
70161370000230147868

Dear Brian:

As a matter of general interest, the Postal Service plans to distribute to retail associates a reference card with information regarding international shipping options.

The purpose of the card is to provide a quick reference tool that can be used by retail associates to assist customers in identifying which international shipping option best meets the customers' shipping needs. The card is expected to be provided to all retail employees by the beginning of December.

Enclosed is a sample of the USPS International Shipping Options reference card.

Please contact Shannon Richardson at extension 5842 if you have any questions concerning this matter.

Sincerely,

A handwritten signature in blue ink, appearing to read "Rickey R. Dean".

Rickey R. Dean  
Manager  
Contract Administration (APWU)

Enclosure

# USPS® International Mail Services Options



	Global Express Guarantee® (GXG®)	Priority Mail Express International® (PMEI®)	Priority Mail International® (PMI®)	First-Class Package International Service® (FCPIS®)	First-Class Mail International® Service (FCMI®)
<b>Delivery Business Days</b>	1 to 3 Business Days <sup>1</sup>	3 to 5 Business Days <sup>1</sup>	6 to 10 Business Days <sup>1</sup>	Varies by Destination	Varies by Destination
<b>Tracking</b>	Use Air Waybill Number	Use Tracking Number from Receipt or Shipping Label <sup>4</sup>	Use Tracking Number from Receipt or Shipping Label <sup>4</sup>	To Select Destinations Use Tracking Number from Receipt or Shipping Label <sup>4</sup>	<b>Not Available</b>
<b>Date-Certain Delivery</b>	To All Destinations with a Money-Back Guarantee <sup>2</sup>	To Select Destinations with a Money-Back Guarantee <sup>5</sup>	<b>Not Available</b>	<b>Not Available</b>	<b>Not Available</b>
<b>Customs Form</b>	Air Waybill and Commercial Invoice (PS Form 6182)	PS Form 2976-R	PS Form 2976-R	PS Form 2976-R	PS Form 2976-R (For items over 16 oz.)
<b>Insurance Included</b>	Up to \$100 Included <sup>3</sup> (Up to additional \$2499 available for purchase)	Up to \$200 for Merchandise or \$100 for Documents <sup>6</sup> (Up to additional \$5000 available for purchase depending on country <sup>6</sup> )	Up to \$200 for Merchandise or \$100 for Documents <sup>6</sup> (Up to additional \$5000 available for purchase depending on country <sup>6</sup> )	<b>Not Available</b>	<b>Not Available</b>
<b>Good to Know</b>	One Business Day to Many Destinations in Canada	Flat Rate Envelope Available	Flat Rate Options Available	Maximum Weight: 4 lbs. Maximum Content Value: \$400	Documents Only

1. Transit time estimates are for many major markets. Actual number of days may vary based on origin, destination country, and customs delays.  
 2. Exceptions apply. See Publication 141 at [about.usps.com/publications/pub141.htm#insurance](http://about.usps.com/publications/pub141.htm#insurance) for availability and limitations on coverage.  
 3. See [about.usps.com/publications/pub141/intro1.htm#insurance](http://about.usps.com/publications/pub141/intro1.htm#insurance) for availability and limitations on coverage.  
 4. Limitations may apply for certain destinations. See the International Mail Manual® (IMM®) at [pe.usps.com](http://pe.usps.com) for details.  
 5. Exceptions apply. See the IMM at [pe.usps.com](http://pe.usps.com) for details.  
 6. Availability varies by country, content, and value. See the IMM at [pe.usps.com](http://pe.usps.com) for availability and limitations of coverage.

# Helpful Hints for YOU!

Please Keep at Your Retail Window

FOR INTERNAL USE ONLY

## Global Express Guaranteed® (GXG®)

- Customers looking for fast USPS® international service that offers date-certain delivery of their:
  - Personal or business documents (e.g. visa documents, college applications, time-sensitive contracts)
  - Merchandise quickly to their customers
  - Holiday gifts to family and friends outside the U.S.
- USPS sells GXG, and FedEx Express® transports and delivers it in-country
- One-business day service to most destinations in Canada
- Air Waybill is a non-postal version of a shipping label and customs form: PS Form 6182 is a GXG Commercial Invoice

## Priority Mail Express International® (PMEI®)

- Customers who want a reliable USPS international service
  - Date-certain delivery\* to:
    - Australia, Canada, China, France, Great Britain & Northern Ireland, Hong Kong, Israel, Japan, New Zealand, Republic of Korea (South Korea), Singapore, Spain, Sweden, Switzerland, and Thailand
- \*Exceptions apply. See IMM at [usps.com](http://usps.com) for details.
- Customers who want to be able to track their package right to the door in-country (limitations apply for certain destinations)
  - PMEI is a great value brand internationally like Priority Mail® is domestically
  - PMEI receives expedited handling in participating countries because it is recognized as the premier international postal product

Note: Coins, jewelry, watches and other valuables are prohibited using PMEI.

## Priority Mail International® (PMI®)

- Customers who want an affordable USPS shipping option for their parcels
- Customers who want tracking capability (limitations apply for certain destinations)
- Customers who want to be able to speak with a call center agent
- PMI is the only USPS service that offers all of the Flat-Rate Boxes and Envelopes: *Customers only pay one rate per country regardless of the weight*

\*Maximum weight up to 4 pounds for Envelopes and Small Boxes, up to 20 pounds for Medium and Large Boxes.

- Prices by weight and destination are also available for PMI for customers who do not choose the flat-rate options

To address higher international prices, you can give your customers the example of buying a domestic airplane ticket vs. an international ticket which costs a lot more – international packages travel much further than domestic.

## First-Class Package International Service® (FCPIS®)

- Customers shipping low-weight, low-value packages that do not require insurance
- Low Cost, No Frills Service**
  - Receives no online or call center inquiries
  - Delivery confirmation is available:
    - Online – to select destinations
    - At Retail – to Canada
- List of E-USPS DELCON INTL® countries can be found in the IMM 252.22

## First-Class Mail International® (FCMI®)

- Customers shipping documents (for documents only as of January 2018)

**Registered Mail® Service**  
Available for a fee with FCPIS and FCMI  
Note: While International Registered Service provides a delivery signature, it does not provide point-to-point security like domestic does.

## U.S. Export Regulatory Requirements

**Global Express Guaranteed PS Form 6182** (not required for all GXG shipments).  
**All other international services at Retail**

Customers complete PS Form 2976-R and RSS will generate the appropriate label:  
**PMEI – PS Form 2976-B**  
**PMI – PS Form 2976-A**  
**FCPIS – PS Form 2976**  
**FCMI – PS Form 2976**  
 (Not required when FCMI letter or flat under 16 oz. contains only documents – IMM® 123.61 for details)

**International shipments may be subject to customs examination in the U.S. and in the destination country. To avoid delays, the contents and value of all items must be declared on the customs form**

**Completing Customs Forms online eliminates the need to do it at retail**

2017 Holiday Mailing Cut Off Dates  
(For Expected Delivery by 12/25)

	GXG	PMEI	PMI	FCPIS
Canada	12/21	12/16	12/19	12/17
Asia/PAC RIM	12/19	12/14	12/17	12/17
Europe	12/20	12/14	12/19	12/17
South America	12/20	12/19	11/30	11/30

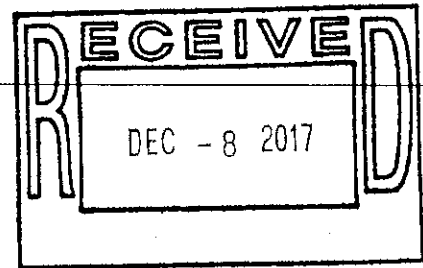
\*Actual delivery dates may vary based on origin, destination country, and customs delays.

Please review instructions for completing the PS Form 2976-R, April 2016, *USPS Customs Declaration and Dispatch Note*. Customers might need to report information about their shipment to the U.S. Census Bureau. This applies if the shipment requires a U.S. Government export license, if the shipment is to an embargoed destination (Cuba, Iran, North Korea, or Syria), or if one of the types of content within the shipment is valued over \$2,500.

Whether a shipment is exempt or must be reported, the customer must enter a reference number (Internal Transaction Number) or check an exemption code in block 13 or 14 of PS Form 2976-R.

It is the customer's duty to determine whether a shipment requires reporting or is exempt, based on Census Bureau regulations. USPS employees are not authorized to aid in customers' decisions.

If a customer requests more information, please refer them to the relevant PS Form 2976-R instructions. Further detail is also available in chapter 520 of the International Mail Manual and Publication 699, *Special Requirements for Shipping Internationally*.



December 4, 2017

Mr. Brian J. Wagner  
President  
National Association of Postal Supervisors  
1727 King Street, Suite 400  
Alexandria, VA 22314-2753

Dear Brian:

As a matter of general interest, the Postal Service has partnered with Cornerstone OnDemand (CSOD) to design and implement a cloud-based Integrated Human Resources System (IHRS). This system will provide dynamic online training, modern performance management capability, enhanced Corporate Succession Planning, and streamlined hiring.

The IHRS will be implemented in phases, allowing for the testing of system functionality, user acceptance, and process redesign.

The Phase I deployment is scheduled to begin in December 2017 and will include the following:

- Recruiting—Hiring and onboarding several Headquarters (HQ) bargaining and non-bargaining unit positions.
- Learning Management System (LMS)—Fiscal Year 2018 Strategic Training Initiatives, Skillsoft courses, onboarding training, and other relevant courses for HQ employees.

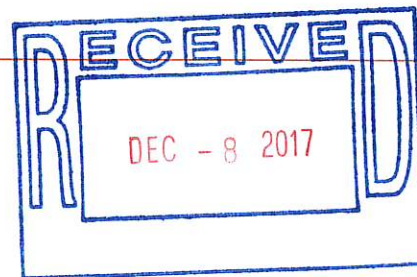
Please contact Bruce Nicholson at extension 7773 if you have questions concerning this matter.

Sincerely,

A handwritten signature in black ink, appearing to read "Alan S. Moore".

Alan S. Moore  
Manager  
Labor Relations Policies and Programs

LABOR RELATIONS



December 4, 2017

Mr. Brian J. Wagner  
President  
National Association of Postal Supervisors  
1727 King Street, Suite 400  
Alexandria, VA 22314-2753

Dear Brian:

As a matter of general interest, effective January 1, 2018, the Postal Service is partnering with Trupanion to offer our employees in certain states discounted pet insurance.

We have enclosed a promotional flyer related to this matter.

Please contact Bruce Nicholson at 7773 if you have questions concerning this matter.

Sincerely,

A handwritten signature in blue ink, appearing to be "Alan S. Moore".

Alan S. Moore  
Manager  
Labor Relations Policies and Programs

Enclosure



# trupanion™

Medical insurance for your pet.

**“We found that Trupanion is the best choice for reliable and affordable pet insurance for most cats and dogs.”**

– Mark Smirniotis, *Wirecutter*, a New York Times Company, October 2017

## Coverage Overview

From surgeries to supplements, diagnostic tests, and medications, your pet is covered for 90% of eligible costs to treat any new injury or illness.

### WHAT'S COVERED

- ✓ Diagnostic tests
- ✓ Medications
- ✓ Surgeries
- ✓ Hospital stays
- ✓ Prescription foods
- ✓ Prosthetic devices
- ✓ Orthotic devices
- ✓ Carts
- ✓ Supplements
- ✓ Herbal therapy

### WHAT'S NOT COVERED

- ✗ Pre-existing conditions — conditions that show symptoms in the 18 months before enrollment or during waiting periods
- ✗ Preventive care — vaccinations, flea and tick control, etc.
- ✗ Spay or neuter
- ✗ Exam fees and sales tax, where applicable



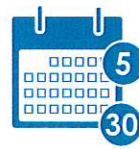
#### WHO 8 Weeks – 14 Years

All dogs and cats over 8 weeks and under 14 years old can enroll for lifelong coverage.



#### WHAT 90% Coverage

Covers 90% of eligible costs for all new illnesses and injuries.



#### WHEN 5 – 30 Days

Coverage begins after applicable policy waiting periods: 5 days for injuries and 30 days for illnesses.



#### WHERE US, Canada, Puerto Rico

Visit any veterinary, emergency care, or specialty hospital in the US, Canada, and Puerto Rico, including US and Canadian military installations (CONUS and OCONUS).

Terms and conditions apply. See the policy at [Trupanion.com/pet-insurance](http://Trupanion.com/pet-insurance).

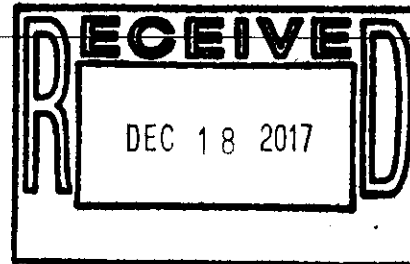
**USPS Employees receive an 11% discount.\***  
Enrollments start January 1st, 2018. Go to [TRUPANION.COM/USPS](http://TRUPANION.COM/USPS)  
to sign up for an enrollment reminder.

**Have questions? Call 855.518.1412**

\*Discount not available in Hawaii, Florida and Tennessee.

Trupanion is a registered trademark owned by Trupanion, Inc. Underwritten in Canada by Omega General Insurance Company and in the United States by American Pet Insurance Company, 6100-4th Ave S, Seattle, WA 98108. Please visit [AmericanPetInsurance.com](http://AmericanPetInsurance.com) to review all available pet health insurance products.

PF086-1117



December 14, 2017

Mr. Brian J. Wagner  
President  
National Association of Postal Supervisors  
1727 King Street, Suite 400  
Alexandria, VA 22314-2753

Dear Brian:

As a matter of general interest, the Postal Service is revising Privacy Act System of Records, USPS 100.000, *General Personnel Records*, USPS 100.900, *Employee Inquiry, Complaint and Investigative Records*, and 200.000, *Labor Relations Records* found in Handbook AS-353, *Guide to Privacy, the Freedom of Information Act, and Records Management*.

The subject revisions modify the routine uses for these types of records to include our obligation to disclose relevant and necessary records upon requests from the National Labor Relations Board.

We have two copies of the subject revisions, one with and one without changes identified.

Please contact Bruce Nicholson at 7773 if you have questions concerning this matter.

Sincerely,

A handwritten signature in black ink, appearing to read "Alan S. Moore".

Alan S. Moore  
Manager  
Labor Relations Policies and Programs

Enclosures

## **USPS 100.900**

### **System Name:**

### **Employee Inquiry, Complaint, and Investigative Records.**

#### **System Location**

USPS personnel offices; area and district facilities; Post Offices; and contractor sites.

#### **Categories of Individuals Covered by the System**

USPS employees and non-employees who contact USPS with an inquiry or complaint, and employees and non-employees who are subjects of management inquiries or investigations of workplace issues.

#### **Categories of Records in the System**

1. *Employee information:* Name, gender, Social Security number, Employee Identification Number, postal assignment information, veteran status, contact information, finance number(s), duty location, and pay location.
2. *Non-employee information:* Name, gender, Applicant Identification Number, and contact information.
3. *Identification Number, and contact information. Inquiry, complaint, and investigative information:* Records related to the subject category of inquiry or complaint, assigned case number, background, and description of inquiry, complaint, or investigation.

#### **Authority for Maintenance of the System**

39 U.S.C. 401, 410, 1001, 1005, and 1206.

#### **Purpose(s)**

1. To enable review and response to inquiries and complaints concerning employees and non-employees.
2. To enable management to initiate, review, process, track, and resolve inquiries, complaints, or concerns about the workplace.
3. To support administrative or court litigation and arbitration proceedings.

#### **Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses**

Standard routine uses 1. through 9. apply. In addition:

- a. Records may be disclosed to the National Labor Relations Board (NLRB) in response to its request for investigative purposes, to the extent that the requested information is relevant and necessary.

#### **Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System**

##### **Storage**

Automated database, computer storage media, and paper.

##### **Retrievability**

By employee and non-employee name, Employee Identification Number, Applicant Identification Number, subject category, facility, finance number, district, area, nationally, or case number.

##### **Safeguards**

Paper records, computers, and computer storage media are located in controlled-access areas under supervision of program personnel. Access to these areas is limited to authorized personnel, who must be identified with a badge. Access to records is limited to individuals whose official duties require such access. Contractors and licensees are subject to contract controls and unannounced on-site audits and inspections. Computers are protected by mechanical locks, card key systems, or other physical access control methods. The use of computer systems is regulated with installed security software, computer logon identifications, and operating system controls including access controls, terminal and transaction logging, and file management software.

##### **Retention and Disposal**

Records are retained 4 years after response to inquiry, resolution of complaint, or conclusion of investigation. Records existing on paper are destroyed by burning, pulping, or shredding. Records existing on computer storage media are destroyed according to the applicable USPS media sanitization practice.

##### **System Manager(s) and Address**

Vice President, Employee Resource Management, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

Vice President, Labor Relations, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

### **Notification Procedure**

Employees who want to know if their information is maintained in this system of records must address inquiries to the facility head where currently or last employed. Headquarters employees must submit inquiries to Corporate Personnel Management, 475 L'Enfant Plaza SW, Washington, DC 20260. Non-employees who want to know if their information is maintained in this system of records must address inquiries to the District Manager, Human Resources that governs the facility where the inquiry, complaint, or investigative records are stored. Inquiries must include full name, address, and other identifying information. In addition, employees must include Social Security number or Employee Identification Number, name and address of facility where last employed, and dates of USPS employment. Likewise, employees may also be required to furnish where the inquiry, complaint, or investigation occurred.

### **Record Access Procedures**

Requests for access must be made in accordance with the Notification Procedure above and USPS Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

### **Contesting Record Procedures**

See Notification Procedure and Record Access Procedures above.

### **Record Source Categories**

Employees, non-employees, supervisors, managers, and witnesses.

### **Systems Exempted From Certain Provisions of the Act**

Records in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access as permitted by 5 U.S.C. 552a(d)(5). The USPS has also claimed exemption from certain provisions of the Act for several of its other systems of records at 39 CFR 266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system continue to apply to the incorporated records.

## **USPS 100.900**

### **System Name:**

### **Employee Inquiry, Complaint, and Investigative Records.**

#### **System Location**

USPS personnel offices; area and district facilities; Post Offices; and contractor sites.

#### **Categories of Individuals Covered by the System**

USPS employees and non-employees who contact USPS with an inquiry or complaint, and employees and non-employees who are subjects of management inquiries or investigations of workplace issues.

#### **Categories of Records in the System**

1. *Employee information:* Name, gender, Social Security number, Employee Identification Number, postal assignment information, veteran status, contact information, finance number(s), duty location, and pay location.
2. *Non-employee information:* Name, gender, Applicant Identification Number, and contact information.
3. *Identification Number, and contact information. Inquiry, complaint, and investigative information:* Records related to the subject category of inquiry or complaint, assigned case number, background, and description of inquiry, complaint, or investigation.

#### **Authority for Maintenance of the System**

39 U.S.C. 401, 410, 1001, 1005, and 1206.

#### **Purpose(s)**

1. To enable review and response to inquiries and complaints concerning employees and non-employees.
2. To enable management to initiate, review, process, track, and resolve inquiries, complaints, or concerns about the workplace.
3. To support administrative or court litigation and arbitration proceedings.

#### **Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses**

Standard routine uses 1. through 9. apply. In addition:

- a. Records may be disclosed to the National Labor Relations Board (NLRB) in response to its request for investigative purposes, to the extent that the requested information is relevant and necessary.

#### **Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System**

##### **Storage**

Automated database, computer storage media, and paper.

##### **Retrievability**

By employee and non-employee name, Employee Identification Number, Applicant Identification Number, subject category, facility, finance number, district, area, nationally, or case number.

##### **Safeguards**

Paper records, computers, and computer storage media are located in controlled-access areas under supervision of program personnel. Access to these areas is limited to authorized personnel, who must be identified with a badge. Access to records is limited to individuals whose official duties require such access. Contractors and licensees are subject to contract controls and unannounced on-site audits and inspections. Computers are protected by mechanical locks, card key systems, or other physical access control methods. The use of computer systems is regulated with installed security software, computer logon identifications, and operating system controls including access controls, terminal and transaction logging, and file management software.

##### **Retention and Disposal**

Records are retained 4 years after response to inquiry, resolution of complaint, or conclusion of investigation. Records existing on paper are destroyed by burning, pulping, or shredding. Records existing on computer storage media are destroyed according to the applicable USPS media sanitization practice.

##### **System Manager(s) and Address**

Vice President, Employee Resource Management, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

Vice President, Labor Relations, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

### **Notification Procedure**

Employees who want to know if their information is maintained in this system of records must address inquiries to the facility head where currently or last employed. Headquarters employees must submit inquiries to Corporate Personnel Management, 475 L'Enfant Plaza SW, Washington, DC 20260. Non-employees who want to know if their information is maintained in this system of records must address inquiries to the District Manager, Human Resources that governs the facility where the inquiry, complaint, or investigative records are stored. Inquiries must include full name, address, and other identifying information. In addition, employees must include Social Security number or Employee Identification Number, name and address of facility where last employed, and dates of USPS employment. Likewise, employees may also be required to furnish where the inquiry, complaint, or investigation occurred.

### **Record Access Procedures**

Requests for access must be made in accordance with the Notification Procedure above and USPS Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

### **Contesting Record Procedures**

See Notification Procedure and Record Access Procedures above.

### **Record Source Categories**

Employees, non-employees, supervisors, managers, and witnesses.

### **Systems Exempted From Certain Provisions of the Act**

Records in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access as permitted by 5 U.S.C. 552a(d)(5). The USPS has also claimed exemption from certain provisions of the Act for several of its other systems of records at 39 CFR 266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system continue to apply to the incorporated records.

## **USPS 200.000**

### **System Name:**

### **Labor Relations Records.**

### **System Location**

Labor Relations and Law Department, USPS Headquarters; EEO Compliance and Appeals Processing Centers; area and district facilities; and contractor sites.

### **Categories of Individuals Covered by the System**

1. Current and former USPS employees, applicants for employment, third-party complainants, and mediators (other federal agency employees, or contract employees) involved in EEO discrimination complaints and complaint processing.
2. USPS employees and contractors involved in labor arbitration.
3. Individuals and organizations interested in providing alternative dispute resolution (ADR) services to all disputes, except those arising under USPS collective bargaining agreements.
4. Current providers and individuals interested in providing contract investigative services for EEO complaints and contract services for drafting final agency decisions concerning EEO complaints.

### **Categories of Records in the System**

1. EEO discrimination complaint case information: Individuals' names, Social Security Numbers, Employee Identification Numbers, postal assignment information, work contact information, home address(es) and phone number(s), email address(es), Veteran's Preference eligibility, finance number(s), duty location(s), pay location(s), case number, and other complaint, counseling, investigation, hearing, and appeal information describing the case.
2. Labor arbitration information: Records related to labor arbitration proceedings in which USPS is a party.
3. Contractor provider information: Records related to mediation providers, contract investigators, and contract final agency decision writers including name of individual or entity, contact information, capabilities, and performance.

### **Authority for Maintenance of the System**

39 U.S.C. 401, 409, 410, 1001, 1005, and 1206.

### **Purpose(s)**

1. To adjudicate complaints of alleged discrimination, and to evaluate USPS EEO program effectiveness.
2. To provide advice and representation to USPS in labor arbitration cases.
3. To determine mediation service provider, contract investigator, and final agency decision writer qualifications.

### **Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses**

Standard routine uses 1. through 9. apply. In addition:

- a. Records may be disclosed to the National Labor Relations Board (NLRB) in response to its request for investigative purposes, to the extent that the requested information is relevant and necessary.

### **Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System**

#### **Storage**

Automated database, computer storage media, and paper.

#### **Retrievability**

EEO discrimination complaint case records are retrieved by case number, complainant's name, Social Security Number, Employee Identification Number, or the location where the complaint was made. EEO staff selection records are retrieved by applicant name or pay location. Other records categories are retrieved by name of subject individual.

#### **Safeguards**

Paper records, and computer storage media are located in secure file cabinets within locked rooms or within locked filing cabinets. Computers are maintained in offices or rooms that can be locked when users are not present and their contents are protected by user IDs and passwords. Access to records is limited to individuals whose official duties require such access. Contractors and licensees are subject to contract controls and unannounced on-site audits and inspections. The use of computer systems is regulated with installed security software, computer logon identifications, and operating system controls including access controls, terminal and transaction logging, and file management software.

## **Retention and Disposal**

1. EEO discrimination complaint case records: Precomplaint records are retained for 1 year after submission of a final report. Formal complaint records of closed cases are removed from the system of records quarterly, and retained as follows: Official files are retained for 4 years. Copies of official files are retained for 1 year. Background documents not in official files are retained for 2 years. Records of closed cases on computer storage media are removed for 3 years after the closure date and moved to an inactive file for future comparative analyses.
2. Labor arbitration records: Field-level disciplinary and contract application cases are retained for 5 years from the date of final decision. National-level contract interpretation cases and court actions are retained for 15 years from the date of expiration of the agreement.
3. EEO staff selection records: Staff selection records are retained for 3 years from the date the position became vacant.
4. ADR provider records: Records of active providers are retained for 1 year beyond the date the provider is removed from or voluntarily withdraws from the program or is otherwise notified of their decertification. Records of prospective providers who are rejected are retained for 1 year beyond the year in which their survey was received.

Records existing on paper are destroyed by burning, pulping, or shredding. Records existing on computer storage media are destroyed according to the applicable USPS media sanitization practice.

## **System Manager(s) and Address**

Vice President, Labor Relations, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

## **Notification Procedure**

Inquiries about EEO discrimination complaint case records regarding claims filed by field employees must be submitted to the Manager EEO Compliance and Appeals, located in the appropriate Regional office, Eastern and Northeast Areas (Region 4) – 8 Griffin Road North, Windsor CT 06095-1578, Southern and Capital Metro Areas (Region 3) – 225 North Humphreys Blvd, Memphis TN 38166-0978, Southern and Great Lakes Areas (Region 2) – PO Box 223863, Dallas TX 75222-3863, and Pacific and Western Areas (Region 1) – PO Box 880546, San Francisco CA 94188-0546. Inquiries regarding claims filed by employees at Postal Service Headquarters and Headquarters Field Units and employees of the Inspection Service must be submitted to the Headquarters National EEO Compliance and Appeals office at 475 L'Enfant Plaza NW, Washington DC 20260-4101. Inquiries must include complainant name, complainant Social Security Number or Employee Identification Number, location, and case number and year. Inquiries about labor arbitration records mediation provider, contract investigator, and contract final agency decision writer records must be submitted to the system manager.

## **Record Access Procedures**

Requests for access must be made in accordance with the Notification Procedure above and USPS Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification Procedure and Record Access Procedures above.

## **Record Source Categories**

For EEO discrimination complaint case information: complainants, witnesses, investigators, and respondents. For labor arbitration records: employees and other individuals involved in arbitration; counsel or other representatives for parties involved in a case; and arbitrators. For mediation provider, contract investigator, and final agency decision writer records, the service contract provider.

## **Systems Exempted From Certain Provisions of the Act**

Pursuant to 5 U.S.C. 552a(j) and (k), USPS has established regulations at 39 CFR 266.9 that exempt EEO discrimination complaint case records. Records in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access as permitted by 5 U.S.C. 552a(d)(5). The USPS has also claimed exemption from certain provisions of the Act for several of its other systems of records at 39 CFR 266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system continue to apply to the incorporated records.



## **USPS 200.000**

### **System Name:**

**Labor Relations Records.**

### **System Location**

Labor Relations and Law Department, USPS Headquarters; EEO Compliance and Appeals Processing Centers; area and district facilities; and contractor sites.

### **Categories of Individuals Covered by the System**

1. Current and former USPS employees, applicants for employment, third-party complainants, and mediators (other federal agency employees, or contract employees) involved in EEO discrimination complaints and complaint processing.
2. USPS employees and contractors involved in labor arbitration.
3. Individuals and organizations interested in providing alternative dispute resolution (ADR) services to all disputes, except those arising under USPS collective bargaining agreements.
4. Current providers and individuals interested in providing contract investigative services for EEO complaints and contract services for drafting final agency decisions concerning EEO complaints.

### **Categories of Records in the System**

1. EEO discrimination complaint case information: Individuals' names, Social Security Numbers, Employee Identification Numbers, postal assignment information, work contact information, home address(es) and phone number(s), email address(es), Veteran's Preference eligibility, finance number(s), duty location(s), pay location(s), case number, and other complaint, counseling, investigation, hearing, and appeal information describing the case.
2. Labor arbitration information: Records related to labor arbitration proceedings in which USPS is a party.
3. Contractor provider information: Records related to mediation providers, contract investigators, and contract final agency decision writers including name of individual or entity, contact information, capabilities, and performance.

### **Authority for Maintenance of the System**

39 U.S.C. 401, 409, 410, 1001, 1005, and 1206.

### **Purpose(s)**

1. To adjudicate complaints of alleged discrimination, and to evaluate USPS EEO program effectiveness.
2. To provide advice and representation to USPS in labor arbitration cases.
3. To determine mediation service provider, contract investigator, and final agency decision writer qualifications.

### **Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses**

Standard routine uses 1. through 9. apply. In addition:

- a. Records may be disclosed to the National Labor Relations Board (NLRB) in response to its request for investigative purposes, to the extent that the requested information is relevant and necessary.

### **Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System**

#### **Storage**

Automated database, computer storage media, and paper.

#### **Retrievability**

EEO discrimination complaint case records are retrieved by case number, complainant's name, Social Security Number, Employee Identification Number, or the location where the complaint was made. EEO staff selection records are retrieved by applicant name or pay location. Other records categories are retrieved by name of subject individual.

#### **Safeguards**

Paper records, and computer storage media are located in secure file cabinets within locked rooms or within locked filing cabinets. Computers are maintained in offices or rooms that can be locked when users are not present and their contents are protected by user IDs and passwords. Access to records is limited to individuals whose official duties require such access. Contractors and licensees are subject to contract controls and unannounced on-site audits and inspections. The use of computer systems is regulated with installed security software, computer logon identifications, and operating system controls including access controls, terminal and transaction logging, and file management software.

## **Retention and Disposal**

1. EEO discrimination complaint case records: Precomplaint records are retained for 1 year after submission of a final report. Formal complaint records of closed cases are removed from the system of records quarterly, and retained as follows: Official files are retained for 4 years. Copies of official files are retained for 1 year. Background documents not in official files are retained for 2 years. Records of closed cases on computer storage media are removed for 3 years after the closure date and moved to an inactive file for future comparative analyses.
2. Labor arbitration records: Field-level disciplinary and contract application cases are retained for 5 years from the date of final decision. National-level contract interpretation cases and court actions are retained for 15 years from the date of expiration of the agreement.
3. EEO staff selection records: Staff selection records are retained for 3 years from the date the position became vacant.
4. ADR provider records: Records of active providers are retained for 1 year beyond the date the provider is removed from or voluntarily withdraws from the program or is otherwise notified of their decertification. Records of prospective providers who are rejected are retained for 1 year beyond the year in which their survey was received.

Records existing on paper are destroyed by burning, pulping, or shredding. Records existing on computer storage media are destroyed according to the applicable USPS media sanitization practice.

## **System Manager(s) and Address**

Vice President, Labor Relations, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

## **Notification Procedure**

Inquiries about EEO discrimination complaint case records regarding claims filed by field employees must be submitted to the Manager EEO Compliance and Appeals, located in the appropriate Regional office, Eastern and Northeast Areas (Region 4) – 8 Griffin Road North, Windsor CT 06095-1578, Southern and Capital Metro Areas (Region 3) – 225 North Humphreys Blvd, Memphis TN 38166-0978, Southern and Great Lakes Areas (Region 2) – PO Box 223863, Dallas TX 75222-3863, and Pacific and Western Areas (Region 1) – PO Box 880546, San Francisco CA 94188-0546. Inquiries regarding claims filed by employees at Postal Service Headquarters and Headquarters Field Units and employees of the Inspection Service must be submitted to the Headquarters National EEO Compliance and Appeals office at 475 L'Enfant Plaza NW, Washington DC 20260-4101. Inquiries must include complainant name, complainant Social Security Number or Employee Identification Number, location, and case number and year. Inquiries about labor arbitration records mediation provider, contract investigator, and contract final agency decision writer records must be submitted to the system manager.

## **Record Access Procedures**

Requests for access must be made in accordance with the Notification Procedure above and USPS Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

Contesting Record Procedures

See Notification Procedure and Record Access Procedures above.

## **Record Source Categories**

For EEO discrimination complaint case information: complainants, witnesses, investigators, and respondents. For labor arbitration records: employees and other individuals involved in arbitration; counsel or other representatives for parties involved in a case; and arbitrators. For mediation provider, contract investigator, and final agency decision writer records, the service contract provider.

## **Systems Exempted From Certain Provisions of the Act**

Pursuant to 5 U.S.C. 552a(j) and (k), USPS has established regulations at 39 CFR 266.9 that exempt EEO discrimination complaint case records. Records in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access as permitted by 5 U.S.C. 552a(d)(5). The USPS has also claimed exemption from certain provisions of the Act for several of its other systems of records at 39 CFR 266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system continue to apply to the incorporated records.

## USPS 100.000

### System Name:

### General Personnel Records.

#### System Location

All USPS facilities and personnel offices; Integrated Business Solutions Services Centers; National Personnel Records Center; Human Resources Information Systems; Human Resources Shared Services Center; Headquarters; Computer Operations Service Centers; and contractor sites.

#### Categories of Individuals Covered by the System

Current and former USPS employees, their family members, and former spouses who apply and qualify for federal employee benefits under public law.

#### Categories of Records in the System

1. Employee, former employee, and family member information: Name(s), Social Security Number(s), Employee Identification Number, date(s) of birth, place(s) of birth, marital status, postal assignment information, work contact information, home address(es) and phone number(s), personal email address, finance number(s), duty location, and pay location.
2. *Official Personnel Folder (OPF) or eOPF (electronic version)*: Records related to appointment support, prior federal civilian employment, postal employment, personnel actions, anniversary dates, retirement, benefits, and compensation.
3. *Automated employee information*: Records generated, approved, and stored by electronic means such as *Notification of Personnel Actions*, health benefit elections, tax withholding changes, and address changes.
4. *Reference copies of all discipline or adverse actions*: Letters of warning; notices of removal, suspension and/or reduction in grade or pay; letters of decisions; and documents relating to these actions. These are used only to refute inaccurate statements by witnesses before a judicial or administrative body. They may not be maintained in the employee's OPF or eOPF but must be maintained in a separate file by Labor Relations.
5. *Nonbargaining unit employee discipline, grievance, and appeals records*.
6. *Job bidding records*: Records related to the employee's bid for a preferred assignment.
7. *Biographical summaries*: Records and photographs used for public relations purposes.
8. *Level 2 supervisors' notes*: Records of discussions, letters of warning, and any other relevant official records being maintained at the supervisor's discretion for the purpose of enabling effective management of personnel. (A level 2 supervisor directly supervises bargaining unit employees.)
9. *Email Addresses*: personal email address(es) for retired employees are retained in a separate database and file from other current and former employee information.

#### Authority for Maintenance of the System

39 U.S.C. 401, 410, 1001, 1005, and 1206.

#### Purpose(s)

1. To perform routine personnel functions.
2. To maintain a source of readily available information on employees for administrative purposes.
3. To administer the grievance and appeal procedure for nonbargaining unit employees.
4. To match a vacant position to the most qualified candidate in bids for preferred assignment.
5. To provide public relations information on USPS management personnel.
6. To provide federal benefit information to retired employees.

#### Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses

Standard routine uses 1. through 9. apply. In addition:

- a. Job bidding records may be disclosed on official bulletin boards in Postal Service facilities and to supervisory and other managerial organizations recognized by USPS.
- b. Records pertaining to financial institutions and to nonfederal insurance carriers and benefits providers elected by an employee may be disclosed for the purposes of salary payment or allotments, eligibility determination, claims, and payment of benefits.
- c. Records may be disclosed to the National Labor Relations Board (NLRB) in response to its request for investigative purposes, to the extent that the requested information is relevant and necessary.

#### Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

##### Storage

Automated database, computer storage media, digital files, and paper files. Duplicates of records in the OPF or eOPF and automated employee data may be maintained for localized employee administration or supervision. Records may be filed at

offices other than where OPF or eOPF is located, or may be duplicated at a site closer to where the employee works.

## Retrievability

By name, Social Security Number, Employee Identification Number, or duty or pay location.

## Safeguards

Paper records, computers, and computer storage media are located in controlled-access areas under supervision of program personnel. Access to these areas is limited to authorized personnel, who must be identified with a badge. Nonbargaining unit employee discipline, grievance, and appeals records maintained outside the OPF (hard or soft copy) are kept in locked filing cabinets or secured record storage rooms; and related automated records are protected with password security. Computers are protected by mechanical locks, card key systems, or other physical access control methods. The use of computer systems is regulated with installed security software, computer logon identifications, and operating system controls including access controls, terminal and transaction logging, and file management software.

## Retention and Disposal

1. Permanent OPF or eOPF records are permanently retained. Temporary OPF or eOPF records are generally retained 2 years and are purged upon the employee's separation from USPS.
2. Except as otherwise provided by a collective bargaining agreement, original or copies of discipline or adverse actions are maintained up to 2 years; or, if an additional or more recent disciplinary action has been taken, for a longer period. After 2 years, or lesser time specified in the decision, the employee may request the disciplinary record be purged from the OPF or eOPF provided no subsequent discipline was issued. Records that support a PS Form 50, *Notification of Personnel Action*, e.g., the separation of an employee for cause or the resignation of an employee pending charges, are considered permanent records and may not be purged at the request of an employee.
3. Reference copies of discipline or adverse actions. These records are kept for historical purposes and are not to be used for decisions about the employee. The retention of these records may not exceed 10 years beyond the employee's separation date. The records are maintained longer if the employee is rehired during the 10-year period. They may not be maintained in the employee's OPF or eOPF, but must be maintained in a separate file by Labor Relations.
4. Grievance and appeal records of nonbargaining unit employees are retained 7 years.
5. Job bidding records are retained 2 years.
6. Biographical summaries are retained for the duration of employment.
7. Records to provide federal benefit information to retired employees are retained for 10 years. Records may be purged at the request of the retired employee.

Records existing on paper are destroyed by burning, pulping, or shredding. Records existing on computer storage media are destroyed according to the applicable USPS media sanitization practice.

## System Manager(s) and Address

Director of Human Resources, USPS OIG, 1735 N. Lynn Street, 10<sup>th</sup> floor, Arlington, VA 22209.

Vice President, Employee Resource Management, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

Vice President, Labor Relations, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

## Notification Procedure

Individuals wanting to know if information about them is maintained in this system must address inquiries to the facility head where currently or last employed. Headquarters employees must submit inquiries to Corporate Personnel Management, 475 L'Enfant Plaza SW, Washington, DC 20260. Inquiries must include full name, Social Security Number or Employee Identification Number, name and address of facility where last employed, and the dates of USPS employment.

## Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and USPS Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

## Contesting Record Procedures

See Notification Procedure and Record Access Procedures above.

## Record Source Categories

Employees; employees' supervisors; USPS customers; law enforcement agencies; individuals who are personal references; former employers, including other federal agencies; and other systems of records.

## Systems Exempted From Certain Provisions of the Act

Records in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access as permitted by 5 U.S.C. 552a(d)(5). The USPS has also claimed exemption from certain provisions of the Act for several of its other systems of records at 39 CFR

266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system continue to apply to the incorporated records.

## USPS 100.000

### System Name:

### General Personnel Records.

#### System Location

All USPS facilities and personnel offices; Integrated Business Solutions Services Centers; National Personnel Records Center; Human Resources Information Systems; Human Resources Shared Services Center; Headquarters; Computer Operations Service Centers; and contractor sites.

#### Categories of Individuals Covered by the System

Current and former USPS employees, their family members, and former spouses who apply and qualify for federal employee benefits under public law.

#### Categories of Records in the System

1. Employee, former employee, and family member information: Name(s), Social Security Number(s), Employee Identification Number, date(s) of birth, place(s) of birth, marital status, postal assignment information, work contact information, home address(es) and phone number(s), personal email address, finance number(s), duty location, and pay location.
2. *Official Personnel Folder (OPF) or eOPF (electronic version)*: Records related to appointment support, prior federal civilian employment, postal employment, personnel actions, anniversary dates, retirement, benefits, and compensation.
3. *Automated employee information*: Records generated, approved, and stored by electronic means such as *Notification of Personnel Actions*, health benefit elections, tax withholding changes, and address changes.
4. *Reference copies of all discipline or adverse actions*: Letters of warning; notices of removal, suspension and/or reduction in grade or pay; letters of decisions; and documents relating to these actions. These are used only to refute inaccurate statements by witnesses before a judicial or administrative body. They may not be maintained in the employee's OPF or eOPF but must be maintained in a separate file by Labor Relations.
5. *Nonbargaining unit employee discipline, grievance, and appeals records*.
6. *Job bidding records*: Records related to the employee's bid for a preferred assignment.
7. *Biographical summaries*: Records and photographs used for public relations purposes.
8. *Level 2 supervisors' notes*: Records of discussions, letters of warning, and any other relevant official records being maintained at the supervisor's discretion for the purpose of enabling effective management of personnel. (A level 2 supervisor directly supervises bargaining unit employees.)
9. *Email Addresses*: personal email address(es) for retired employees are retained in a separate database and file from other current and former employee information.

#### Authority for Maintenance of the System

39 U.S.C. 401, 410, 1001, 1005, and 1206.

#### Purpose(s)

1. To perform routine personnel functions.
2. To maintain a source of readily available information on employees for administrative purposes.
3. To administer the grievance and appeal procedure for nonbargaining unit employees.
4. To match a vacant position to the most qualified candidate in bids for preferred assignment.
5. To provide public relations information on USPS management personnel.
6. To provide federal benefit information to retired employees.

#### Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of Such Uses

Standard routine uses 1. through 9. apply. In addition:

- a. Job bidding records may be disclosed on official bulletin boards in Postal Service facilities and to supervisory and other managerial organizations recognized by USPS.
- b. Records pertaining to financial institutions and to nonfederal insurance carriers and benefits providers elected by an employee may be disclosed for the purposes of salary payment or allotments, eligibility determination, claims, and payment of benefits.
- b.c. Records may be disclosed to the National Labor Relations Board (NLRB) in response to its request for investigative purposes, to the extent that the requested information is relevant and necessary.

#### Policies and Practices for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System

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Automated database, computer storage media, digital files, and paper files. Duplicates of records in the OPF or eOPF and automated employee data may be maintained for localized employee administration or supervision. Records may be filed at

offices other than where OPF or eOPF is located, or may be duplicated at a site closer to where the employee works.

## Retrievability

By name, Social Security Number, Employee Identification Number, or duty or pay location.

## Safeguards

Paper records, computers, and computer storage media are located in controlled-access areas under supervision of program personnel. Access to these areas is limited to authorized personnel, who must be identified with a badge. Nonbargaining unit employee discipline, grievance, and appeals records maintained outside the OPF (hard or soft copy) are kept in locked filing cabinets or secured record storage rooms; and related automated records are protected with password security. Computers are protected by mechanical locks, card key systems, or other physical access control methods. The use of computer systems is regulated with installed security software, computer logon identifications, and operating system controls including access controls, terminal and transaction logging, and file management software.

## Retention and Disposal

1. Permanent OPF or eOPF records are permanently retained. Temporary OPF or eOPF records are generally retained 2 years and are purged upon the employee's separation from USPS.
2. Except as otherwise provided by a collective bargaining agreement, original or copies of discipline or adverse actions are maintained up to 2 years; or, if an additional or more recent disciplinary action has been taken, for a longer period. After 2 years, or lesser time specified in the decision, the employee may request the disciplinary record be purged from the OPF or eOPF provided no subsequent discipline was issued. Records that support a PS Form 50, *Notification of Personnel Action*, e.g., the separation of an employee for cause or the resignation of an employee pending charges, are considered permanent records and may not be purged at the request of an employee.
3. Reference copies of discipline or adverse actions. These records are kept for historical purposes and are not to be used for decisions about the employee. The retention of these records may not exceed 10 years beyond the employee's separation date. The records are maintained longer if the employee is rehired during the 10-year period. They may not be maintained in the employee's OPF or eOPF, but must be maintained in a separate file by Labor Relations.
4. Grievance and appeal records of nonbargaining unit employees are retained 7 years.
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Vice President, Employee Resource Management, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

Vice President, Labor Relations, United States Postal Service, 475 L'Enfant Plaza SW, Washington, DC 20260.

## Notification Procedure

Individuals wanting to know if information about them is maintained in this system must address inquiries to the facility head where currently or last employed. Headquarters employees must submit inquiries to Corporate Personnel Management, 475 L'Enfant Plaza SW, Washington, DC 20260. Inquiries must include full name, Social Security Number or Employee Identification Number, name and address of facility where last employed, and the dates of USPS employment.

## Record Access Procedures

Requests for access must be made in accordance with the Notification Procedure above and USPS Privacy Act regulations regarding access to records and verification of identity under 39 CFR 266.6.

## Contesting Record Procedures

See [Notification Procedure](#) and [Record Access Procedures](#) above.

## Record Source Categories

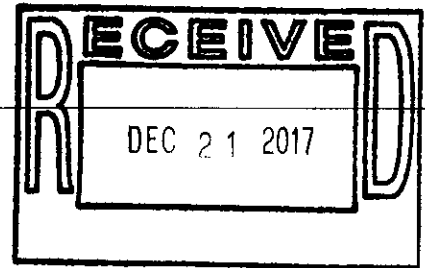
Employees; employees' supervisors; USPS customers; law enforcement agencies; individuals who are personal references; former employers, including other federal agencies; and other systems of records.

## Systems Exempted From Certain Provisions of the Act

Records in this system that have been compiled in reasonable anticipation of a civil action or proceeding are exempt from individual access as permitted by 5 U.S.C. 552a(d)(5). The USPS has also claimed exemption from certain provisions of the Act for several of its other systems of records at 39 CFR

266.9. To the extent that copies of exempted records from those other systems are incorporated into this system, the exemptions applicable to the original primary system continue to apply to the incorporated records.

LABOR RELATIONS



December 18, 2017

Mr. Brian Wagner  
President  
National Association of Postal Supervisors  
1727 King Street, Suite 400  
Alexandria, VA 22314-2753

Certified Mail Tracking Number  
7016 1970 0000 3442 6972

Dear Brian:

This is in further reference to our October 12 correspondence concerning the proposed revisions to Employee and Labor Relations Manual (ELM), Section 354, *Assignment of Unassigned Employees*.

The subject revisions are intended to clarify procedures used during a reduction in force (RIF) for non-bargaining unit employees. Additionally, the proposed revisions included a change to the notification period for impacted employees from 30 to 60 days before the RIF effective date.

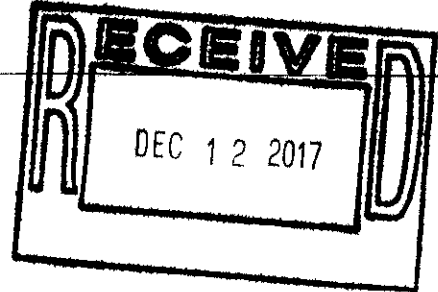
The Postal Service has decided, pursuant to Title 39, U.S. Code, Section 1004, to proceed with implementation of the revisions outlined in our October 12 correspondence.

Please contact Bruce Nicholson at extension 7773 if you have questions concerning this matter.

Sincerely,

A handwritten signature in black ink, appearing to read "Alan S. Moore".

Alan S. Moore  
Manager  
Labor Relations Policies and Programs



December 8, 2017

Mr. Brian J. Wagner  
President  
National Association of Postal Supervisors  
1727 King Street, Suite 400  
Alexandria, VA 22314-2753

**Certified Mail Tracking Number:**  
70161370000230147974

Dear Brian:

This letter is in further reference to the enclosed Postal Service notice dated June 26 regarding plans to replace component pieces of the mobile Point of Sale (mPOS) equipment.

As previously informed, the new mPOS equipment includes a sleeve for the iPad and a pin-pad and was scheduled for national deployment beginning in August.

Deployment of the equipment has been delayed and is currently scheduled to begin in January 2018. Additionally, the mPOS Learning Management System (LMS) training course has been updated to reflect the new equipment, information related to Informed Delivery, and handling of credit or debit cards that include computer chip technology.

Enclosed on compact disc are the following items:

- Updated mPOS deployment schedule
- LMS training course titled, *mPOS: A Users Guide*, course number 10023415

To view the training course open the file titled "index.html" and click on the link "10023415 mPOS - A User's Guide".

If you have any questions about this matter, please contact Shannon Richardson at extension 5842.

Sincerely,

Richey R. Dean  
Manager  
Contract Administration (APWU)

Enclosures





June 26, 2017

Mr. Brian J. Wagner  
President  
National Association of Postal Supervisors  
1727 King Street, Suite 400  
Alexandria, VA 22314-2753

**Certified Mail Tracking Number:**  
70161370000230145215

Dear Brian:

As a matter of general interest, the Postal Service plans to replace component pieces of the mobile Point of Sale (mPOS) equipment where the technology is currently used. Additionally, the mPOS will be added to approximately 1,050 new locations and removed from about 220 locations where it is underutilized. There are also 228 locations that will receive walkie talkie two-way radios for use by the lobby assistant and back office employee to assist in the retrieving and delivering of items for pick-up to the front lobby.

The new equipment includes a sleeve for the iPad and a pin-pad and will be tested in the following eight locations where the technology is currently used beginning July 11:

- Main Post Office in Charlottesville, Virginia
- Lyndon Post Office in Louisville, Kentucky
- Saint Matthews Post Office in Louisville, Kentucky
- Antioch Post Office in Antioch, Illinois
- San Bernardino Main Post Office in San Bernardino, California
- Monterey Post Office in Lubbock, Texas
- Brandon Post Office in Brandon, Florida
- Joplin Post Office in Joplin, Missouri

Additionally, it is planned to test the new equipment in the following two locations where the technology is not currently used beginning on July 25:

- Cov-Erlanger Post Office in Erlanger, Kentucky
- Tampa-Sulpher Springs Post Office in Tampa, Florida

National deployment of the equipment is expected to begin in August and completed in October.

Enclosed on compact disc is the following:

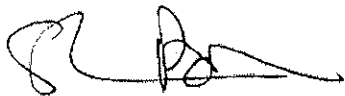
- mPOS Deployment Schedule that identifies the office location, deployment date, if the location is an existing site to receive replacement components, new equipment,

or have equipment removed, and if the site will receive the walkie talkie two-way radios

- Lobby Assistant Walkie Talkie Radio Standard Operating Procedure

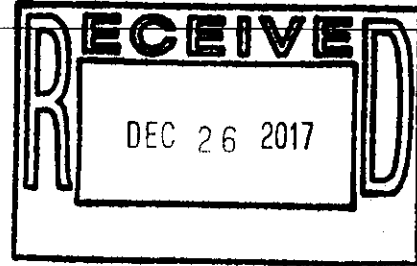
If you have any questions about this matter, please contact Shannon Richardson at extension 5842.

Sincerely,



*fw* Rickey R. Dean  
Manager  
Contract Administration (APWU)

Enclosure



December 20, 2017

Brian J. Wagner  
President  
National Association of Postal  
Supervisors  
1727 King Street Suite 400  
Alexandria, VA 22314-2753

Dear Brian:

This is in reference to our October 19, 2016 correspondence regarding the repurposing of the Akron Processing & Distribution Center (P&DC). The Akron, OH facility will be classified as an annex of the Cleveland Ohio P&DC, effective December 23.

The Postal Service will evaluate the earned staffing for the following jobs in aggregation with the Cleveland P&DC. The evaluation will be reflective of the current level of equipment and volume in the facility.

- Manager Distribution Operations
- Supv Distribution Operations
- Supv Maintenance Operations
- Supv Transportation Operations

Please contact Phong Quang at extension 2857 if you have questions regarding this matter.

Sincerely,

A handwritten signature in black ink, appearing to read "Bruce A. Nicholson".

Bruce A. Nicholson  
Manager  
Labor Relations Policy Administration

LABOR RELATIONS



December 4, 2017

Mr. Brian J. Wagner  
President  
National  
Association of Postal Supervisors  
1727 King Street, Suite 400  
Alexandria, VA 22314-2753

Dear Brian:

As a matter of general interest, the Postal Service is revising Employee and Labor Relations Manual, Chapter 2, *Job Evaluation* and Chapter 4, *Pay Administration*.

The subject revisions change the functional unit responsible for the organization's job evaluation processes.

We have enclosed two copies of the subject revisions, one with and one without changes identified.

Please contact Bruce Nicholson at 7773 if you have questions concerning this matter.

Sincerely,

A handwritten signature in blue ink, appearing to read "Alan S. Moore".

Alan S. Moore  
Manager  
Labor Relations Policies and Programs

Enclosures

## ELM Chapter 2 and 4 Revisions

### 212.2 Compensation

Compensation:

a. Ensures that the job evaluation policy reflects the Postal Service's commitment to an open, equitable, and cost-effective method of determining the relative value of positions and grade levels, using the appropriate job classification system....

### 212.5 Reviewing Offices

Each reviewing office reviews RFRs and processes them as follows:

- a. If the reviewing office concurs, it submits the recommendations as to the validity of a request to the next review level.
- b. If the reviewing office does not concur, it returns the request to the requesting official, explaining the reasons for denial.

Management levels of review are defined as follows:

Initiating or Reviewing Office	Level of Review
Post Office/Plant	District
District	Area
Area	Compensation
Headquarters unit	Compensation

### 213.11 Compensation

Compensation maintains a master file of all job descriptions for bargaining unit and nonbargaining unit positions throughout the Postal Service.

### 221 Job Descriptions

Compensation develops and maintains job descriptions, the basic documents used to describe and evaluate all nonbargaining unit positions. A job description includes information that describes the functional purpose of the position, the essential duties and responsibilities, and the organizational reporting relationship. Information concerning the knowledge, abilities, and skills required to perform the duties and tasks of a position are contained in the position's qualification standards.

### 222.22 Action at Management Review Levels

Reviewing managers will:

- a. Ensure that each RFR is accurate and properly stated.
- b. Determine whether the job description assigned to the employee is consistent with the actual duties and responsibilities of the position.
- c. Provide a written evaluation that either supports or refutes the RFR. An RFR that does not include a recommendation — either positive or negative — may be returned.
- d. Forward the RFR through normal management channels to:
  - (1) The appropriate district office; or
  - (2) For area or Headquarters jobs, Compensation.

### 222.4 Action by Areas

Area Human Resources managers analyze the RFR and take one of the following courses of action:

- a. Deny the request and prepare a memorandum stating the reasons.

b. Forward the request, with comments and a summary of the analysis, to Compensation for review.

#### 222.5 Action by Compensation

For a position that may need nationwide review and for any area or Headquarters position, Compensation analyzes the RFR and takes one of the following courses of action:

#### 232.12 Conditions

If a position's duties and responsibilities change or a new position is needed, the Installation Head, functional manager, or designee must complete a PS Form 820 with assistance from Compensation. *Exception:* If a position changes as a result of a national review of bargaining unit positions, Compensation completes the form.

#### 232.5 Action by Compensation

Compensation takes one of the following courses of action:

a. If Compensation does not concur with the area's conclusions, it returns the PS Form 820 to the area with a memorandum stating the reasons for nonconurrence.

b. If Compensation concurs, it takes the following steps:

(1) Evaluates the job against an existing key or standard position, then either:

(a) Revises an existing standard position; or

(b) Establishes a new standard position.

(2) After completing the job evaluation, Compensation forwards the new or revised job description to Labor Relations for review, craft determination, and any further action required under terms of the applicable national agreement.

(3) After final approval, Compensation sends a formal response to the area Human Resources manager that includes steps for implementation.

#### 240 Other Bargaining Unit Positions

To establish or change bargaining unit positions that are not covered by a particular collective bargaining unit agreement, this requires submission of a narrative request or PS Form 820. Employees should direct questions regarding these position evaluations to Compensation.

#### 250 Position Reviews

To ensure proper identification of a position and proper evaluation of the position's duties and responsibilities, Compensation or other appropriate management officials may review any position at any time — by correspondence or on-site interview. These officials may direct appropriate action to correct the improper evaluation or identification of a position.

#### 251.22 Qualification Standards Online

Qualification standards for Postal Service nonbargaining unit (except PCES) and bargaining unit positions are available in electronic form on the Postal Service Intranet, as follows:

a. Go to <http://blue.usps.gov/wps/portal>.

b. In the right column, under Human Resources, click *HR Home*.

c. Click *Resource Library*.

d. Under *Pay & Benefits*, click on *Systems and Tools*.

e. Click on *Pay Programs*, then click on the hyperlink to *JDOnline*.

#### 443.312 Postal Service Administration

FLSA classification determinations are made by the office of Compensation.

## ELM Chapter 2 and 4 Revisions

### 212.2 ~~Organizational Effectiveness~~Compensation

#### ~~Organizational Effectiveness~~Compensation:

a. Ensures that the job evaluation policy reflects the Postal Service's commitment to an open, equitable, and cost-effective method of determining the relative value of positions and grade levels, using the appropriate job classification system....

### 212.5 Reviewing Offices

Each reviewing office reviews RFRs and processes them as follows:

- a. If the reviewing office concurs, it submits the recommendations as to the validity of a request to the next review level.
- b. If the reviewing office does not concur, it returns the request to the requesting official, explaining the reasons for denial.

Management levels of review are defined as follows:

Initiating or Reviewing Office	Level of Review
Post Office/Plant	District
District	Area
Area	<del>Organizational Effectiveness</del> Compensation
Headquarters unit	<del>Organizational Effectiveness</del> Compensation

### 213.11 ~~Organizational Effectiveness~~Compensation

~~Organizational Effectiveness~~Compensation maintains a master file of all job descriptions for bargaining unit and nonbargaining unit positions throughout the Postal Service.

### 221 Job Descriptions

~~Organizational Effectiveness~~Compensation develops and maintains job descriptions, the basic documents used to describe and evaluate all nonbargaining unit positions. A job description includes information that describes the functional purpose of the position, the essential duties and responsibilities, and the organizational reporting relationship. Information concerning the knowledge, abilities, and skills required to perform the duties and tasks of a position are contained in the position's qualification standards.

### 222.22 Action at Management Review Levels

Reviewing managers will:

- a. Ensure that each RFR is accurate and properly stated.
- b. Determine whether the job description assigned to the employee is consistent with the actual duties and responsibilities of the position.
- c. Provide a written evaluation that either supports or refutes the RFR. An RFR that does not include a recommendation — either positive or negative — may be returned.
- d. Forward the RFR through normal management channels to:
  - (1) The appropriate district office; or
  - (2) For area or Headquarters jobs, ~~Organizational Effectiveness~~Compensation, Employee Resource Management.

#### 222.4 Action by Areas

Area Human Resources managers analyze the RFR and take one of the following courses of action:

- a. Deny the request and prepare a memorandum stating the reasons.
- b. Forward the request, with comments and a summary of the analysis, to [Organizational Effectiveness Compensation](#) for review.

#### 222.5 Action by [Organizational Effectiveness Compensation](#)

For a position that may need nationwide review and for any area or Headquarters position, [Organizational Effectiveness Compensation](#) analyzes the RFR and takes one of the following courses of action:

#### 232.12 Conditions

If a position's duties and responsibilities change or a new position is needed, the Installation Head, functional manager, or designee must complete a PS Form 820 with assistance from [Organizational Effectiveness Compensation](#).

*Exception:* If a position changes as a result of a national review of bargaining unit positions, [Organizational Effectiveness Compensation](#) completes the form.

#### 232.5 Action by [Organizational Effectiveness Compensation](#)

[Organizational Effectiveness Compensation \(OE\)](#) takes one of the following courses of action:

- a. If [Compensation OE](#) does not concur with the area's conclusions, it returns the PS Form 820 to the area with a memorandum stating the reasons for nonconcurrency.
- b. If [Compensation OE](#) concurs, it takes the following steps:
  - (1) Evaluates the job against an existing key or standard position, then either:
    - (a) Revises an existing standard position; or
    - (b) Establishes a new standard position.
  - (2) After completing the job evaluation, [Compensation OE](#) forwards the new or revised job description to Labor Relations for review, craft determination, and any further action required under terms of the applicable national agreement.
  - (3) After final approval, [Compensation OE](#) sends a formal response to the area Human Resources manager that includes steps for implementation.

#### 240 Other Bargaining Unit Positions

To establish or change bargaining unit positions that are not covered by a particular collective bargaining unit agreement, this requires submission of a narrative request or PS Form 820. Employees should direct questions regarding these position evaluations to [Organizational Effectiveness Compensation](#).

#### 250 Position Reviews

To ensure proper identification of a position and proper evaluation of the position's duties and responsibilities, [Organizational Effectiveness Compensation](#) or other appropriate management officials may review any position at any time — by correspondence or on-site interview. These officials may direct appropriate action to correct the improper evaluation or identification of a position.

#### 251.22 Qualification Standards Online

Qualification standards for Postal Service nonbargaining unit (except PCES) and bargaining unit positions are available in electronic form on the Postal Service Intranet, as follows:

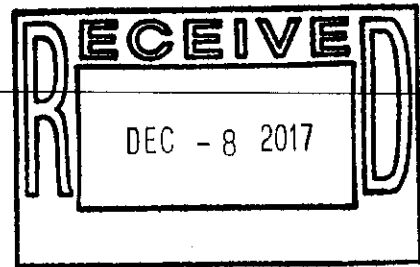


- a. Go to <http://blue.usps.gov/wps/portal>.
- b. In the right column, under Human Resources, click *HR Home*.
- c. ~~In the HR Department section, click~~ [Employee Resource Management](#) [Resource Library](#).
- d. ~~Scroll down to Who Are We?~~ and click [Organizational Effectiveness](#) [Under Pay & Benefits](#), click on [Systems and Tools](#).
- e. ~~Scroll down to Essential Links and click Job Descriptions/Qualification Standards (JD OnLine)~~ [Click on Pay Programs](#), then click on the hyperlink to [JDOnline](#).

443.312 Postal Service Administration

FLSA classification determinations are made by the office of [Organizational Effectiveness](#) [Compensation](#).

LABOR RELATIONS



December 4, 2017

Mr. Brian J. Wagner  
President  
National Association of Postal Supervisors  
1727 King Street, Suite 400  
Alexandria, VA 22314-2753

**Certified Mail Tracking Number:**  
70161370000230147912

Dear Brian:

After carefully considering the relevant factors under Article 32 of the National Agreement, the Postal Service has made the decision to contract with a third-party to provide initial scanning on ePacket sacks arriving at the Chicago O'Hare International Airport (ORD) from other countries such as China and Great Britain.

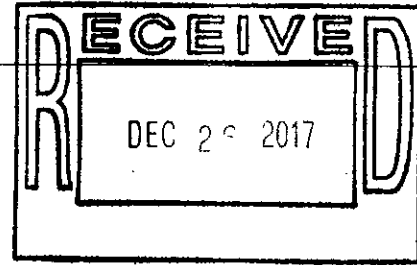
This is a pilot project designed to alleviate congestion at the Chicago International Service Center (ISC) associated with the growing international inbound volume of ePacket mail. This growing inbound volume is interfering with both inbound and outbound operations at the ISC and causing safety and security concerns as well as contributing to delayed mail and adverse service performance impacts. Contracting out the initial scanning of the ePacket sacks will improve efficiency and allow the ePacket mail to expeditiously move from the airport ramp and into the mail stream. No significant impact to the bargaining unit is anticipated with this pilot program.

If you have any questions about this matter, please contact Dion Mealy at extension 6861.

Sincerely,

A handwritten signature in black ink, appearing to read "David E. Mills".

David E. Mills  
Manager  
Corporate Outsourcing



December 21, 2017

Mr. Brian J. Wagner  
President  
National Association of Postal Supervisors  
1727 King Street, Suite 400  
Alexandria, VA 22314-2753

**Certified Mail Tracking Number:**  
70161370000230148285

Dear Brian:

As a matter of general interest, the Postal Service has implemented a web-based application called, Informed Visibility Employee Scheduler (IVES).

IVES is intended to serve as a tool to assist local managers and supervisors in mail processing operations (Function 1) in managing the staffing and scheduling of employees. The application will help users create and timely post weekly/daily schedules based on factors such as scheduled leave, operational considerations/projections, and scheduled overtime.

There is no anticipated impact on bargaining unit employees. Weekly or daily schedule postings for bargaining unit employees will continue to be done in accordance with the appropriate collective bargaining agreement.

Please contact Shannon Richardson at extension 5842 if you have any questions concerning this matter.

Sincerely,

A handwritten signature in black ink, appearing to read "Rickey R. Dean". The signature is stylized and somewhat illegible.

Rickey R. Dean  
Manager  
Contract Administration (APWU)