



# U.S. Mail Management Handbook

*A Guide to Mail and Express Package Management at the U.S. Fish and Wildlife Service*



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# A Message from the Assistant Director - Business Management and Operations

Mail management plays an important role in helping the U.S. Fish and Wildlife Service (FWS / the Service) fulfill its mission to conserve, protect, and enhance fish, wildlife, and plants and their habitats for the continuing benefit of the American people. This U.S. Mail Management Handbook (handbook / mail handbook) was created to guide Service employees through the mail management process and help them understand the purpose behind the Service's mail policies and procedures. Please take some time to familiarize yourself with the handbook. It is the responsibility of every Service employee to comply with Federal mail regulations and ensure that official mail is processed in a responsible manner.

To ensure that the most up-to-date information is available to Service employees, we will update this handbook periodically. In addition, the handbook will be accessible via the Service's Web site.

If you have any questions about the mail management process or this handbook, please feel free to contact your Regional General Services office. A complete list of contacts is provided on the next page.

A handwritten signature in black ink, reading "Paul W. Henne". The signature is written in a cursive style with a long, sweeping underline.

Paul W. Henne

Assistant Director, Business Management and Operations

# Contacting Your General Services Office

While this handbook should serve as your first source of information on the mail management process, you may encounter special circumstances not addressed in the handbook or U.S. Mail and Express Package Policy (see 284 FW 1 through 3).

The Service's Regional General Services offices are knowledgeable about mail policy and available to assist you with mail-related questions and issues. Use the contact information in the table below for assistance with the mail process.

Region	Contact	Phone	Fax
1	Kristin Young	503-872-2827	503-231-6259
2	Rey Aragon	505-248-6792	505-248-6791
3	Cathy Vanatta	612-713-5205	612-713-5151
4	Wanda Purdy	404-679-4096	404-679-7309
5	Lisa Virgilio	413-253-8243	413-253-8450
6	Brian Ostenson	303-236-3636	303-236-4791
7	Claudette McDonald	907-786-3818	907-786-3439
8	Kristin Young	503-872-2827	503-231-6259
9	Jim McCaffery	703-358-2176	703-358-2264

# A Note on the Examples Provided in the Handbook

Each geographically-independent Service office or field station manages its own facility for the receipt, routing, and dispatch of mail, including express packages. Therefore, it is important for each facility to develop its own set of procedures for day-to-day operations and maintenance. The procedures and processes for managing mail may vary based on factors such as the volume of mail, type of physical facility, or number of staff. For example, a large Regional office with multiple mail staff processing hundreds of mail pieces a day will require a more extensive assessment and plan than a field station with one mail staff person and few, if any, daily mail "runs." It is important to note that the examples provided in this handbook are for explanation only and that personnel in each office should determine the level of mail management necessary for safe handling of their mail material.

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Guide to the Symbols in this handbook:



**Reference**



**Example**



**Hint**

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# Chapter 1: Purpose and Introduction

This section will help you answer the following questions:

- ✓ What is the purpose of this handbook?
- ✓ Who is the audience for this handbook?
- ✓ Which groups of Service employees have responsibilities during the mail management process?
- ✓ What are the types of mail classes and how do they differ?

## 1.1 Defining Mail Management

All employees of the U.S. Fish and Wildlife Service have a responsibility to understand the guidance pertaining to mail policy and procedures. This handbook provides guidance to individuals who handle or manage mail or express packages on behalf of the Service in any capacity. The handbook prescribes the Service procedures and operational details for mail and express package management to assist Service personnel in establishing and maintaining an effective mail operation within their areas of responsibility. Throughout the handbook, we offer suggestions for reducing costs (see summary in **Appendix E**).

The Service's formal mail policy, Service Manual Part 284, is available online at <http://www.fws.gov/policy-library/manuals>. This handbook serves as a reference guide for those employees who need detailed information on how to receive, process, or manage mail, or who need to understand mail-related security procedures at Service facilities and offices.



This handbook is a guide to assist Service employees in understanding relevant regulations, and does not replace or supersede the regulations. Employees should contact their Regional General Services offices for guidance on any situations not covered in the handbook. Employees may also access the regulations and policies directly by using the following links:

- United States Postal Service (USPS) Domestic Mail Manual (DMM) – [www.usps.gov](http://www.usps.gov)
- Service Manual Part 284 – <http://www.fws.gov/policy-library/manuals>
- Service Manual Part 432 (Physical Security in Service Facilities) - <http://www.fws.gov/policy-library/432fw1>
- Department of the Interior (DOI) Departmental Manual (DM) 382, Chapter 2, Records Operations, Mail Management – <http://elips.doi.gov/elips/release/3424.htm>
- General Services Administration (GSA) Security Plan – <http://www.gsa.gov>
- GSA Mail Management Overview – <http://www.gsa.gov/portal/content/104547>
- GSA Federal Management Regulations, Sub Chapter G, Part 102-192 Mail Management – <http://www.gsa.gov/portal/ext/public/site/FMR/file/FMRTOC102-192.html/category/21863/#wp437645>
- Department of Homeland Security (DHS) Interagency Security Committee (ISC) Physical Security for Federal Facilities – [http://www.dhs.gov/files/committees/gc\\_1194978268031.shtm](http://www.dhs.gov/files/committees/gc_1194978268031.shtm)

It is important to understand the distinction between a facility and an office. For our purposes, a mail facility is any location where mail is sorted, delivered, picked up, or sent out. An office is a group of Service employees with a shared purpose in promoting the Service's mission.

Term	Definition	Examples
Facility	Physical location where mail is sorted, delivered, picked up or sent out; may be a field station or administrative office. Multiple offices may be located within the same facility.	<ul style="list-style-type: none"> <li>• Refuge (e.g., Martin National Wildlife Refuge)</li> <li>• Hatchery (e.g., Bears Bluff National Fish Hatchery)</li> <li>• Washington Office Arlington Headquarters (4301, 4401 and 4501 North Fairfax Drive)</li> <li>• Northeast Regional Office (Region 5) in Massachusetts</li> </ul>
Office	Group of Service employees with a shared purpose in promoting the Service's mission. Each office is associated with one or more cost centers in the Service's financial system.	<ul style="list-style-type: none"> <li>• Office of External Affairs</li> <li>• Endangered Species Program located in a specific Region</li> <li>• Wildlife and Sport Fish Restoration Program within a specific Region</li> </ul>

*Exhibit 1. Definitions of Facility and Office*

**Appendix A** includes a full list of mail management terms and definitions.

## 1.2 Introducing Classes of Mail

The USPS divides mail into different services, called "classes." Each class of mail has different features, service levels, postage prices, and presort requirements. For most mailings, the content of the material and postage will determine the class of mail you select. The sections below highlight each of the mail classes established in USPS regulations that the Service uses.



The USPS Domestic Mail Manual (located at <http://pe.usps.com/>) contains more information about mailing classes and USPS services.

### 1.2.1 First-Class Mail and Priority Mail

**First-Class** (also known as private correspondence) is the highest priority mail. This is the class Service employees generally use to send correspondence, letters, and mailers.

Typically, the USPS handles postcards, letter-size envelopes, flats (envelopes larger than letter size), and mail weighing more than 312 grams (11 ounces) as First-Class mail unless the sender requests otherwise.

**Priority mail** is First-Class mail that weighs over 13 ounces. Priority mail requires expeditious handling and transportation, with a maximum weight of 70 pounds. The sender must place the word "Priority" prominently on each piece of mail in order to indicate that he / she would like to use this class

Items that Service employees should mail as First-Class or Priority mail include handwritten or typewritten material, bills, statements of account of invoices, personalized correspondence, credit cards, and any matter sealed against inspection.



Be sure to prominently place the word "Priority" on each piece of mail that you wish to send using the Priority class (labels are available from the post office or can be printed from the USPS Web site).

By using First-Class mail services, employees can also take advantage of the following additional services provided by the USPS:



- **Registered Mail:** USPS considers Registered Mail the most secure service that it offers. Registered Mail incorporates a system of receipts to monitor the movement of the mail from the point of acceptance to delivery. Registered Mail provides the sender with a mailing receipt and, upon request, electronic verification that an article was delivered or that a delivery attempt was made.
- **Certified Mail:** Certified Mail service provides the sender with a mailing receipt and, upon request, electronic verification that an article was delivered or that a delivery attempt was made.
- **Insured Mail:** Insured mail provides insurance against loss or damage.
- **Certificate of Mailing:** Certificate of Mailing serves as evidence that mail has been presented to the USPS for mailing. It does not give you a record of delivery.
- **Return Receipt:** Return receipt service provides a mailer with evidence of delivery (to whom the mail was delivered and date of delivery), along with information about the recipient's actual delivery address.
- **Delivery Confirmation:** Delivery Confirmation service provides the mailer with information about the date and time an article was delivered and, if delivery was attempted but not successful, the date and time of the delivery attempt.
- **Signature Confirmation:** Signature Confirmation service provides the mailer with information about the date and time an article was delivered and, if delivery was attempted but not successful, the date and time of the delivery attempt. A delivery record, including the recipient's signature, is maintained by the USPS and is available, via fax or mail, upon request.
- **Special Handling:** Special Handling service provides preferential handling, but not preferential delivery, to the extent practicable in dispatch and transportation. The service does not itself insure the article against loss or damage. Special Handling service is mandatory for material that requires extra care in handling, transportation, and delivery.

### **1.2.2 Periodicals**

The Periodicals (formerly called Second-Class mail) designation is typically reserved for newspapers, magazines, and other publications where the sender's primary purpose is sending information to an established list of subscribers or requestors. The advent of electronic communications has drastically reduced the frequency with which we use the Periodicals class. The USPS must approve an application before we can mail newspapers or publications at periodical rates. If you think the Periodicals category applies to your mailing, check with your local post office for additional details.

### **1.2.3 Standard Mail**

Standard mail (formerly called Third-Class mail) is any material that weighs less than 16 ounces and does not have to be mailed as First-Class or under the Periodicals class. Senders generally use Standard mail to send printed material, flyers, circulars, newsletters, bulletins, catalogs, and small parcels.

All Standard mail rates are bulk rates and each mailing must meet a minimum quantity of 200 pieces or 50 pounds (there are no single-piece rates). Although less expensive to mail than First-Class mail, it can take from 7 to 10 days to send Standard mail across the U.S. versus 3 to 4 days for First-Class mail. The price of Standard mail does not include return service. Return service is available for an additional fee. Standard mail cannot be used for sending personal correspondence, handwritten or typewritten letters, or bills and statements of account.

We typically do not send Standard mail. Please work with your Field Station Manager or Project Leader if you want to use the Standard mail class.

### **1.2.4 International Mail**

International mail includes material destined for foreign countries. International mail requires the sender to adhere to certain restrictions and use customs declaration forms. Employees who must send international mail should refer to the USPS International Mail Manual (IMM) to ensure that they meet all USPS requirements. The IMM is available online at <http://pe.usps.gov>. The correct international mail address format is shown in **Exhibit 2**.

U.S. Fish and Wildlife Service  
Division of Contracting and Facilities Management  
4301 N. Fairfax Drive  
Mail Stop 7118-43  
Arlington, VA 22203

OFFICIAL BUSINESS

**AIR MAIL**

JOHN DOE  
STATION 321  
OTTAWA ONTARIO K1A 0B1  
CANADA

*Exhibit 2. International Mail Address Format*

### **1.2.5 Express Mail**

Express mail provides shipment of time-sensitive packages and letters. Delivery is available to most locations every day of the year. For delivery the following day, senders must present express mail prior to 5:00 P.M. at the express mail window of a post office offering this service. Please check with your local post office to determine if they provide this service; rates, service details, and related information may change periodically. Fees vary depending on the type of services selected, the distance the mail will be sent, and the weight of the shipment. This class of mailing is the only way to provide overnight delivery to mailboxes and to P.O. boxes, and it is useful if you are trying to send a package or letter on short notice.



The USPS provides free tracking information on each piece of express mail. You can track your express mail by entering your tracking number in the USPS Track and Confirm tool (<https://tools.usps.com/go/TrackConfirmAction>).

### **1.3 Using Federal Express**



Federal Express (FedEx) provides express shipping services and is the preferred express package carrier of the Department of the Interior. Many of the Service's facilities offer Federal Express services to support the delivery of packages. Each Region or facility is responsible for the implementation and maintenance of its FedEx contracts. In the Washington office, the FedEx courier drops off all packages directly to the mail room. The mail room staff then screen and log each package and provide delivery directly to the recipient(s). Procedures may differ for other Regions.



Chapter 4 of this handbook, *Special Services*, provides additional detail regarding the use of FedEx.

## 1.4 Understanding Mailing Class Features

Exhibit 3 highlights the various features of each major mail class.

Class of Mail	Speed	Low Cost	Free Forwarding and Return	Special Services	Pre-sort Discounts
Express Mail	Yes	No	Yes	Yes	No
Priority Mail	Yes	Maybe	Yes	Yes	No
First-Class Mail	Yes	Yes	Yes	Yes	Yes
Periodicals	Yes	Maybe	Yes	No	Yes
Standard Mail	No	Yes	No	Parcels Only	Yes
Package Services	Yes	Yes	No	Yes	Yes

Exhibit 3. Mail Classes (Source: USPS)



Select the lowest cost class of mail that will get the mail to its destination in time to support the Service's mission.

# Chapter 2: Operational Guidelines

This chapter will help you answer the following questions:

- ✓ How does the Service manage incoming mail?
- ✓ How does the Service manage outgoing mail?
- ✓ How do I use intra- and inter-office mail?
- ✓ How do I handle extenuating circumstances like incorrectly addressed mail?

## 2.1 Managing Incoming Mail

This section provides an overview of how the Service handles incoming mail, along with suggestions and tips for efficient routing. Each facility may have its own system or set of procedures based on the size and location of staff and departments.



A Facility Manager or Project Leader who has facility operational responsibilities must incorporate mail policy requirements and guidance into any site-specific mail procedures.

Incoming mail is any mail received from the USPS and other couriers (e.g., FedEx) for distribution and delivery throughout the Service. Mail staff should sort and deliver incoming mail in a timely manner upon receiving it.

Each facility must establish an internal mail service that supports their needs. Examples of mail arrangements include the following:

- Dedicated Service mail room (mail room serves one or many Service locations – e.g., mailroom at 4401 North Fairfax Drive in Arlington, VA serving multiple Arlington facilities)
- Dedicated DOI mail room (the Service shares mail room with other DOI Bureaus – e.g., mailroom at DOI Main Interior Building)
- Shared mail room (multiple Federal agencies in the same building share a mail room)
- No formal mail room (mail sorted and distributed in an office or open area -- e.g., a small refuge)

The procedures in each facility vary, depending on the size of the office and the types of services that the mail room staff provides. The mail service should provide such services as sorting and delivering mail, preparing mail for pickup, and distributing interoffice mail. To expedite delivery, the sender should provide the recipient's name, office, and mail stop. (See 2.1.2 for information on mail stops.)

Mail service "runs," or deliveries should coincide with the USPS delivery and pickup times. To make certain that the mail is processed or rerouted the same day, we recommend that mail staff complete a minimum of two mail runs each day. The mail staff should complete at least one mail run in the morning and another in the afternoon. Some offices may require additional runs because of heavier mail volume.

Each Project Leader or Facility Manager should document and publish how messages and other documents move within the facility. This documentation should include the following items:

- Assigned time of scheduled trips
- Number of trips that the mail staff complete each day
- Length of time it takes for a member of the mail staff to complete a trip
- Cut-off times for mail pickup by the USPS
- Protocols for maintaining a record of any problems (e.g., mis-delivered mail, damaged mail, employees who have left the Service)

Each office should review this process annually to identify and eliminate any problems and to ensure that they are providing efficient internal mail service.

### **2.1.1 Processing Mail**

Each office or facility should prepare written instructions for processing incoming mail that are user-friendly and can be clearly understood by mailroom staff and other personnel who handle mail. At a minimum, the instructions should address the following topics:

- How to collect and distribute incoming mail
- How to handle incorrectly delivered and returned mail
- How to process electronically-transmitted messages such as facsimile and telegram transmissions

Each facility that processes incoming mail should ensure that the operating times of the mail room, or hours of the mail room staff, are clearly noted and distributed to all employees. Some facilities (e.g., a small refuge) may only require one staff member to take a few minutes to distribute mail each day, while other facilities (e.g., the Service's Arlington offices) may have a dedicated mail room with multiple full-time staff members. The Facility Manager must determine what level of instruction best fits the needs of the facility.

In addition to operating times, the Facility Manager should formally determine the routing process and procedure for incoming mail by asking the following questions:

- Where and how will mailroom employees distribute incoming mail and packages? To mail slots or cubbies? Directly to employees? To administrative staff?
- How many times per day will mail staff deliver mail to individuals or offices?
- Who will sign for and deliver packages?

Developing thoughtful procedures will help make processing incoming mail efficient and effective and reduce the number of errors and redirection of mail pieces.



Remember that express packages may require signature upon delivery. Build a procedure into your office's mail delivery process for handling express mail signatures.

### **2.1.2 Managing and Updating Mail Stops**

The term 'mail stop' is used to identify a location internally. Internal mail requires a four-digit mail stop to expedite delivery. Senders must use mail stop codes in the return address of all outgoing mail. Each facility must assign mail stop codes according to guidelines already established by the mail manager.

Regional offices should develop a process for assigning and maintaining mail stops. Contact your Regional General Services office for more information on your Region.



Facility Managers should establish a mail stop for ten or more employees receiving mail at a location.

#### **2.1.2.1 Updating the Service Directory**

Employees should add their mail stops in their Service profiles by completing the following steps:

- Go to the Service Intranet (<http://inside.fws.gov>).
- Click on "My Profile."
- Update your street address to include your mail stop.

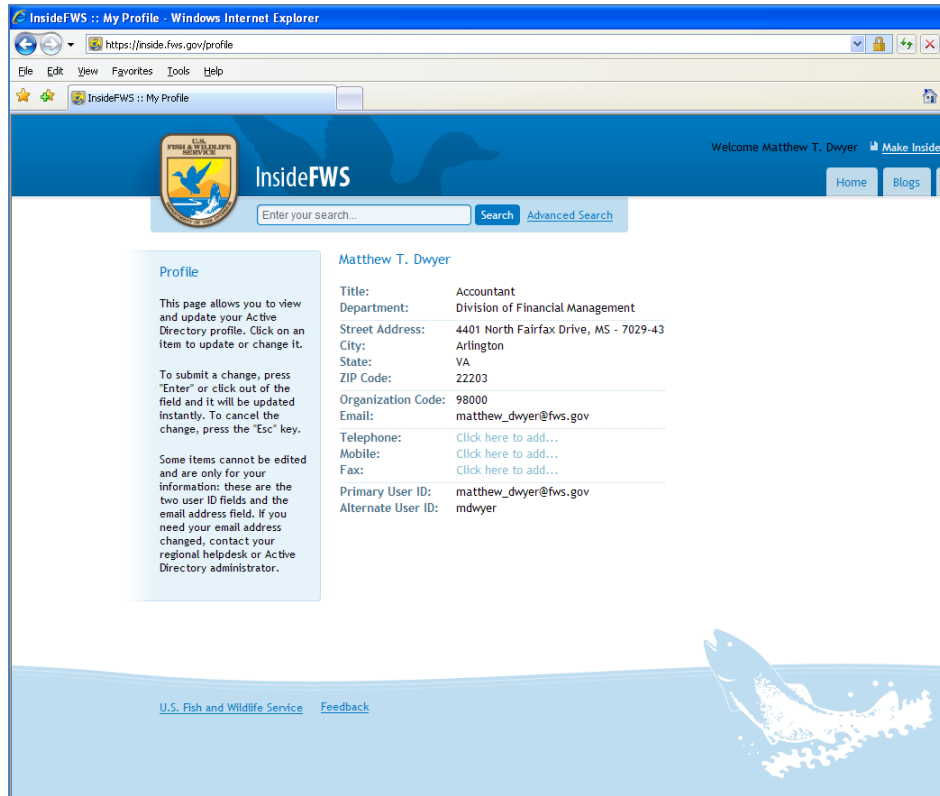


Exhibit 4. Service Profile

**2.1.2.2 Updating Washington, DC Mail Stops (Washington Office employees only)**

The Correspondence Control Unit (CCU) manages the Service mail stop routing list for the Washington Office (WO). Employees should contact CCU at (202) 208-7248 to report mail stop changes or additions in the WO. **Exhibit 5** below shows an excerpt from a WO routing slip. Visit <http://www.fws.gov/forms/3-1936.pdf> to obtain a current version of the routing slip.

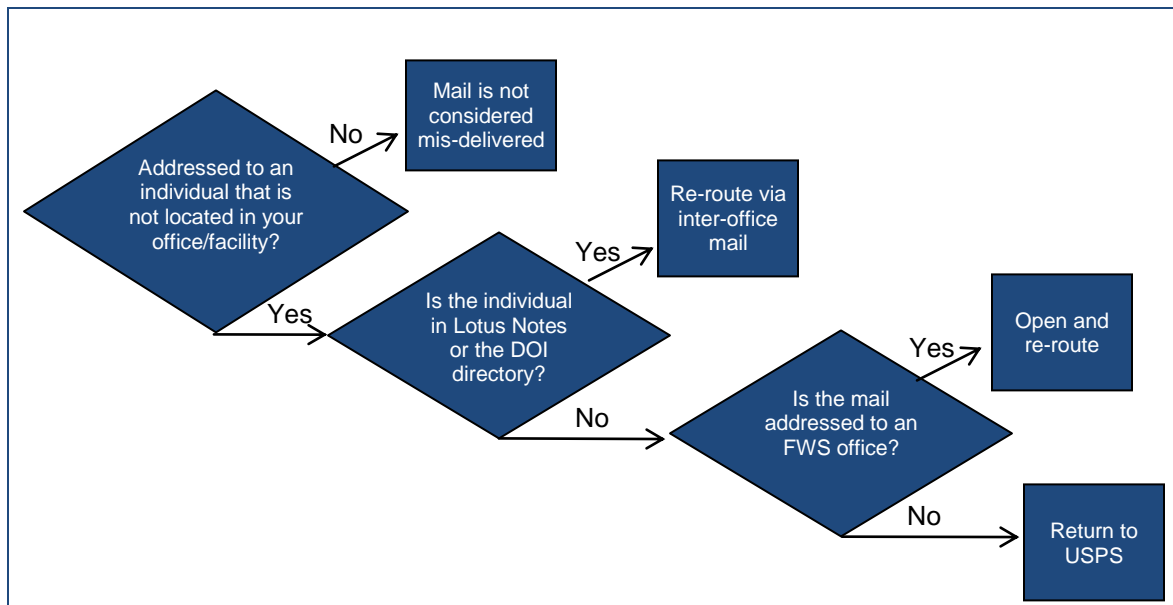
U.S. Fish and Wildlife Service Routing Slip		
TO	Mail Stop	ATTENTION
<input type="checkbox"/> D- Director, Deputy Directors	3331-MIB	_____
<input type="checkbox"/> CCU - Correspondence Control Unit	3331-MIB	_____
<input type="checkbox"/> Office of the Science Advisor	3331-MIB	_____
<input type="checkbox"/> ARLSQ Office of the Science Advisor	222-44 ARLSQ	_____
<input type="checkbox"/> ARL SQ Office of Diversity, Inclusive Workforce Management (ODIWM)	7072-43 ARLSQ	_____
<input type="checkbox"/> AEA-Assistant Director External Affairs	3331-MIB	_____
<input type="checkbox"/> DAEA - Deputy Assistant Director ARLSQ	330-44 ARLSQ	_____
<input type="checkbox"/> CLA - Division of Congressional and Legislative Affairs	330-44 ARLSQ	_____
<input type="checkbox"/> NCTC - National Conservation Training Center	330-44 ARLSQ	_____
<input type="checkbox"/> NAL - Native American Liaison	330-44 ARLSQ	_____
<input type="checkbox"/> DCP - Division of Program and Partnership Support	3103-45 ARLSQ	_____
<input type="checkbox"/> PA - Division of Communications	330-44 ARLSQ	_____

Exhibit 5. Mail Excerpt from Routing Slip (Washington Office)

### 2.1.3 Extenuating Circumstances

Even in the most efficiently run offices, circumstances may occur that inhibit our ability to effectively manage mail. The most common extenuating circumstances are listed below.

- **Opening Mail:** The Service typically distributes mail unopened unless we have to open it to identify the recipient, conduct an official law enforcement investigation, or address security concerns. When necessary, open the mail to locate and verify the intended recipient. Then, attach the full address of the sender to the now-opened envelope for delivery. Do not open suspicious mail under any circumstance—contact your security officer or the appropriate law enforcement official immediately. See Chapter 5 for more information on security considerations.
- **Mis-delivered Mail:** If mail is sent to the wrong office, the individual office / facility must determine whether to send the mail back to the USPS as undeliverable or to route it to the correct location. If you locate a piece of mis-delivered mail, consider the points listed below and illustrated in **Exhibit 6**.
  - Use the Lotus Notes directory (see Section 2.1.2) or the DOI Directory to determine the recipient's location. If you can identify and locate the Service recipient, re-route the mail via internal mail services (Section 2.2.2).
  - If you cannot determine the recipient's location but the mail is addressed to the U.S. Fish and Wildlife Service, open the mail to identify the recipient. Then, attach the full address of the sender to the now-opened envelope for delivery. (Note that any mail addressed to the Service becomes the property of the Service and can be opened if needed.)
  - If the mail is not addressed to the Service or you cannot determine the recipient (individual or office) after opening the mail, mark "return to sender" on the envelope and place it with your office's outgoing mail.



*Exhibit 6. Mis-delivered Mail*

- **Special Deliveries.** When couriers deliver flowers or other specialty items, it is not the responsibility of the mailroom to deliver them. The courier must follow facility-specific procedures to contact the recipient.
- **Government Shutdown:** In the event of a Government shutdown, Service facilities should be ready to take appropriate steps to ensure continuity of operations. When planning for a potential shutdown, Facility Managers should complete the following activities:
  - Develop a plan of action in case of emergency or shutdown

- Coordinate your mail services plan with your office of response and emergency recovery services
- Coordinate your mail services plan with your office of continuity of operations
- Determine how Facility Managers will notify the USPS and all commercial carriers and provide specific instructions on delivery, holding, and securely storing mail, correspondence, parcels, and packages
- Coordinate with contracting officers to develop a plan for contract employees
- Coordinate with agency programs for essential mail that must be delivered (i.e., court documents, administrator / secretary mail, emergency information)
- Develop a list of essential personnel needed during the shutdown

## 2.2 Managing Outgoing Mail

Outgoing mail is mail that the USPS or other couriers transport outside of the Service. Mail managers or representatives should establish guidelines for outgoing mail to cover the requirements specific to their office or facility.

Official Mail is a designation for mailing articles, documents and packages that relate solely to Government business. Personal correspondence such as job resumes, applications, appeals, complaints, and grievances may not be sent as Official Mail.



Remember that it violates Service policy to send or receive personal mail items of any kind to or from the workplace. This includes the receipt of incoming mail, dispatch of outgoing mail, use of mail processing equipment, and use of package services.

### 2.2.1 Envelope and Package Preparation

All Service mail must have a complete return address (office, mailing address, and mail stop) in the upper left corner of each mailpiece. The words “Official Business” should be printed immediately below the return address. Service employees should not hand write or type the return address.

Prepare all envelopes for mailing in a manner that will be compatible with USPS automated processing equipment. You should use the smallest standard size envelope that will accommodate the contents, as this is the most economical process for processing mail.

#### 2.2.1.1 Sizing

Make sure that your letter and flat mail are the proper size. (Mailpieces smaller than minimum letter-size dimensions below are not mailable.) A mailpiece that exceeds any of the dimensions will incur a surcharge and be processed through slower and less efficient manual methods. All letter-size mail must be compatible with the USPS automated mail processing equipment.

**Exhibit 7** highlights the minimum and maximum sizes for letters and flat-size mail:

Type of Package	Minimum Size	Maximum Size	Thickness
Letter	5" by 3 ½"	11 ½" by 6 1/8"	.007" to ¼"
Flat Mail or Packages	11 ½" by 6 1/8"	15" by 12"	¼" to ¾"

*Exhibit 7. Return Address Format*



### 2.2.1.2 Addressing

When senders include complete and accurate address information on mail, the USPS automated mail processing equipment, such as postage meters, can quickly process and separate the mail. All outgoing official mail must have a return address and a correct recipient's address that includes the ZIP code. The following are examples of the information a sender must include in the return address and recipient address.

Description	Example
Agency / Bureau	U.S. Fish and Wildlife Service
Sender / Office Name	John Doe
Mail Stop Code	MS 30188
Address	Federal Building, 6th Floor 1 Federal Drive
City, State, ZIP Code	Fort Snelling, MN 55111-4056

*Exhibit 8. Return Address Format*

Description	Example
Recipient / Office Name	Jane Doe
Address	123 4th Street, NW
City, State, Zip Code	Washington, DC 20001-0001

*Exhibit 9. Recipient Address Format*

Senders should also consider the following items when addressing mail:

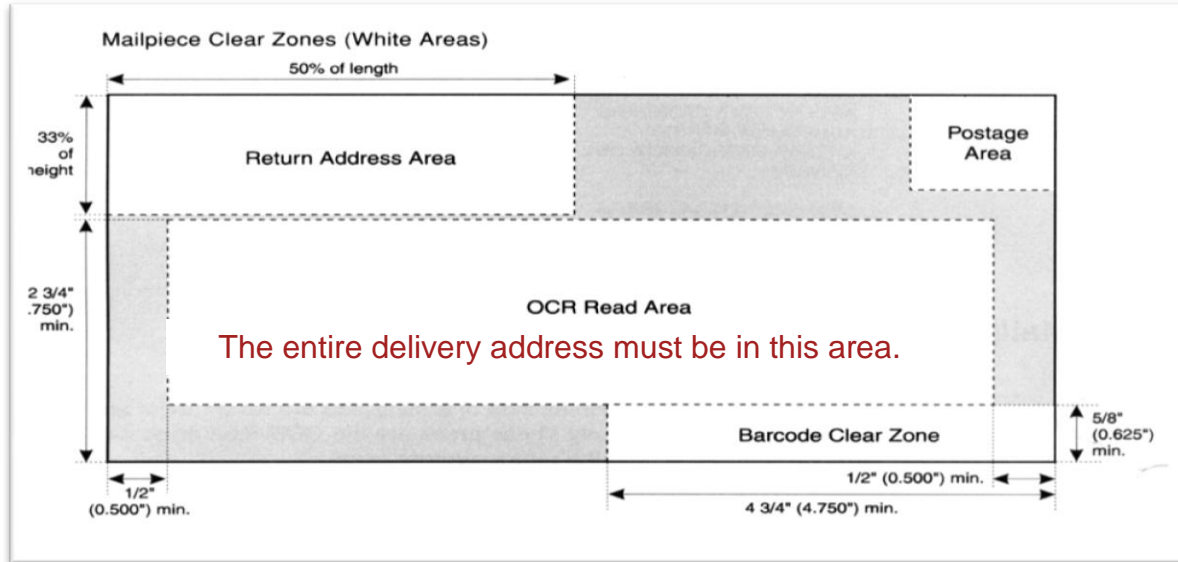
- Place the **city, state and ZIP Code or ZIP+4 on the bottom line** of the address. If all three elements cannot fit onto one line, place the ZIP Code or ZIP+4 on the line immediately below the city and state, aligned with the left edge of the address block.
- Spell city names in their entirety; do not abbreviate.
- Use approved two-letter State abbreviations.
- If possible, use a printer or typewriter with dark ink on a light background. Use a font where the letters do not touch (i.e., do not use script).



You can look up ZIP codes on the USPS Web site at [https://tools.usps.com/go/ZipLookupAction\\_input](https://tools.usps.com/go/ZipLookupAction_input).

### 2.2.1.3 Placement

There are several places on the address side of a letter-size mailpiece that are reserved for addressing and related information only. These areas are the return address area, the Optical Character Recognition (OCR) read area, and the barcode clear zone. **Exhibit 10** shows the area on letter mail where senders must place address information so that meter machines and other automated postal equipment can read the information.



*Exhibit 10. Mailpiece Clear Zones (Source: USPS)*

Additional tips for properly labeling and addressing material for routing through the USPS are listed below.

- **OCR Read Area:** The complete delivery address must be within the OCR read area. Extraneous printing or markings should appear as high on the mail piece and as far away from the address as possible.
- **Return Address:** Always keep the OCR read area clear of the return address information. If all or part of the return address appears in the read area and the OCR reads this address, the mailpiece will be returned.
- **Barcode Clear Zone:** This area must remain clear of all printing. It is reserved for the barcode that will be printed by the OCR.
- **Barcode:** All letter-size mail that has a pre-printed barcode must have the 11-digit delivery point barcode, except business reply mail. The delivery point of the barcode is made from the last two numbers of the street address or box number. Please contact your Region's Publication Coordinator (**Appendix C**) for more information.
- **ZIP Codes:** Include the five-digit ZIP Code, and whenever possible, the complete ZIP+4 code.

Endorsements or forwarding approvals on the mailpiece allow the sender to provide additional information on what to do with a piece of mail if it is not deliverable to the original address. The endorsements consist of one keyword: "Address," "Return," "Change," or "Forwarding," followed by "Service Requested." The endorsements are the same for all classes of mail, but the treatment and cost differ by class of mail.

Employees should print endorsements in no smaller than 8-point type. There must be a ¼ inch clear space around the endorsement. The endorsement must be placed in one of the four positions listed below and illustrated in **Exhibit 11**:

- Directly below the return address.
- Directly above the delivery address area.
- Directly to the left of the postage area.
- Directly below the postage area.



Exhibit 11. Ancillary Service Endorsements Placement (Source: USPS)

Self-mailers (i.e., mail that is not in a separate envelope) must be secured (tabbed; wafer sealed; sealed with a gummer foil, paper device, or glue) to prevent an open edge from jamming high-speed processing equipment. Wafer seals are typically a variation of a self-adhesive sticker. Tabs, wafer seals, tape, or glue must not interfere with postage or the facing identification mark, rate markings, required address information, or barcode. The bound edge must be at the bottom and parallel to the longest dimension and the address of the mailpiece.

### 2.2.2 Internal Mail Services (Intra- and Inter-Office Mail)

Service employees use internal mail service to send letters to one another. Intra-office mail is mail sent within a single office; inter-office mail is mail sent between offices.



An employee in the Office of External Affairs (located in the 4501 North Fairfax Drive building) would use *intra*-office mail to send a signed request for shared drive access to Information Resources and Technology Management (IRTM) located next door in the 4401 North Fairfax Drive facility.

An employee in the Washington office would use *inter*-office mail to send material to the Rocky Mountain Arsenal National Wildlife Refuge.

Each facility must establish and disseminate guidelines for delivery of internal mail. In general, employees who need to send correspondence to other Service employees / offices should follow these steps:

- **Obtain the appropriate type of envelope.** There are two types of envelopes used to send inter- and intra-office mail – "Special Attention Mail" envelopes and inter-office envelopes. "Special Attention Mail" envelopes (also known as "blue" envelopes) are delivered to the addressee unopened by mailroom personnel. This mail is for official use only, and typically for information that is sensitive or confidential. **Exhibit 12** highlights the descriptors of a special attention envelope.

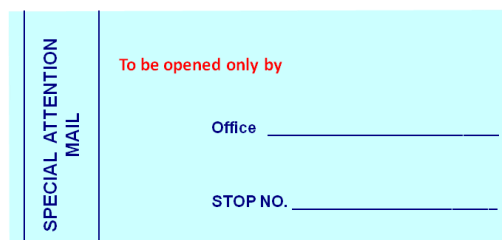


Exhibit 12. Special Attention Envelope



Contact the Bureau of Land Management (BLM) Printed Materials Distribution Section (PMDS) Warehouse at [BLM\\_OC\\_PMDS@blm.gov](mailto:BLM_OC_PMDS@blm.gov) to obtain special attention envelopes. See **Appendix D** for complete ordering instructions.

The Service uses inter-office envelopes, also known as "holey Joes," repeatedly for internal mailings. "Holey Joes" are for items that are not confidential in nature, as the material inside the envelope is visible through the open holes. We use this envelope as a conservation measure, since the envelope is used multiple times until all lines for addressing to recipients are completed. When using inter-office envelopes, make sure all previous markings have been crossed out. The intended recipient should always appear on the last line, and the sender should include the recipient's name or title, agency, organizational unit, and mail stop code. **Exhibit 13** highlights the descriptors of an inter-office envelope.

U. S. Government Messenger Envelope

NAME (OR TITLE) OF ADDRESSEE, AGENCY, ORGANIZATIONAL UNIT, ADDRESS, AND ROOM		NAME (OR TITLE) OF ADDRESSEE, AGENCY, ORGANIZATIONAL UNIT, ADDRESS, AND ROOM	
	STOP		
	STOP		
	STOP		

*Exhibit 13. Inter-office Envelope*



Use of "holey Joes" can reduce waste and save money on envelope use. Order "holey Joes" through the GSA Global Supply catalog (<http://www.gsa.gov/portal/content/100014>).

- Clearly identify the recipient by name or title, agency, organizational unit, and mail stop code on the envelope.
- Place the envelope in the proper location (e.g., mail cubby, outbox) as specified by your facility.

Mailroom or other administrative staff should follow these guidelines when handling inter-office mail:

- Consolidate mail addressed to the same Service office and use one envelope or package for transmittal.
- Separate internal mail from domestic and international mail.
- Deliver internal mail on the same day. Any mail received on the last pickup that cannot be delivered while en route may be held for next-day delivery.
- Follow applicable security procedures for internal mail. See Chapter 5 for information on security procedures.

**Exhibit 14** highlights the most popular internal routing methods:

From	To	Item	Suggested Method of Transport
Regional office	Field Station	Standard Size Envelope	Metered mail (First-Class mail)
Washington office	Regional Offices (1-8)	Standard Size Envelope	Metered mail (First-Class mail)  or  Provide to mailroom for consolidation in a Federal Express envelope (if multiple letters can be sent together)

From	To	Item	Suggested Method of Transport
Washington Program Office (4501 N Fairfax)	Region 9 DFM (4301 N Fairfax)	Social Event Invitation	Interoffice mail "holey Joe" envelope
Regional Office Staff	Regional Office Staff	Confidential Information	Special Attention Envelope

*Exhibit 14. Inter-office Routing Methods*



The Service operates a shuttle bus for travel between Arlington Square and the DOI Main Interior Building (MIB) in Washington. Staff must not give items to the shuttle driver to deliver to MIB. For urgent matters, personnel should give the items to mail room personnel, who then give it to the driver for delivery. The driver gives the mail to the Control Correspondence Unit (CCU) at MIB.

# Chapter 3: Financial Processing and Penalty Mail

This section will help you answer the following questions:

- ✓ What is the difference between penalty mail and commercial postage?
- ✓ When should I use a commercial postage meter?
- ✓ How do I obtain a commercial postage meter?
- ✓ What is penalty mail and when can I use it?
- ✓ How does the Service allocate penalty mail costs to its Regions and programs?

## 3.1 Paying for Postage

To understand how the Service processes and pays for the mail we send, it is important to distinguish between commercial payment processes and penalty mail payment processes.

**Commercial mail** requires that the sender prepay for postage. Commercial payment processes include using stamps, commercial postage meters, and indicia. This is the way that individuals and private companies pay for mail.

**Penalty mail** refers to official mail that the U.S. Government sends without prepaying for postage. The Service pays for penalty mail through the Official Mail Accounting System (OMAS). GSA generally discourages the use of penalty mail, but the Service permits it in certain instances (see Section 3.2).

### 3.1.1 Use of OMAS

OMAS is the USPS Governmentwide system to track postage. It is used in conjunction with a Department of Treasury online payment and accounting system. GSA's Federal Management Regulation, 41 CFR 102-192.55(c), mandates that as of December 31, 2003, all Executive and Congressional agencies move away from OMAS to using the commercial payment processes. However, many agencies have experienced difficulty with the transition to commercial payment processes and continue to use OMAS.

Unlike penalty mail payment, commercial payment requires obligation of the money before postage is used. This increases accountability and encourages good judgement in using postage. Over the past several years, DOI has requested and received several extensions regarding its conversion to commercial payment processes.

Service policy (284 FW 2) prohibits the use of penalty mail stamps or government postage meters. For information on penalty mail, please see Section 3.2 of this handbook. There are several acceptable forms of postage, including the use of postage evidencing systems (see Section 3.1.2) and stamps (see Section 3.1.3).

### 3.1.2 Postage Evidencing Systems

Postage meters and Personal Computer Postage (PC Postage) products are collectively identified as "postage evidencing systems." A postage evidencing system is a device or system a customer uses to print evidence that postage required for mailing has been paid. Postage evidencing systems print indicia, such as meter imprints or information-based indicia (IBI), to indicate postage payment. The indicia are printed directly on a mailpiece or on a label that is affixed to a mailpiece. Product categories include postage meters and PC Postage products. The primary characteristics of postage meters and PC Postage products are described below.

**Postage meters** are devices that allow for the download, storage, and accounting of postage in the device. Meters print indicia, which may be IBI or non-IBI, to indicate postage payment. IBI are digitally-generated indicia that include a two-dimensional barcode. Postage meters are available only through authorized providers (see section 3.1.2.1).

**PC postage** products are software-based solutions for managing postage accounts. Mailers purchase postage using a computer and print indicia using desktop or label printers. PC postage products print IBI indicating payment directly onto mailpieces, shipping labels, and USPS-approved customized labels. PC postage products are offered by commercial providers approved by the USPS, typically through subscription service agreements. Section 3.1.2.2 provides information on PC postage solutions.

**Service offices/facilities that spend more than \$1,000 per fiscal year in postage should use commercial postage meters; those that spend less than \$1,000 per year should use stamps or PC postage products.**



Additional information on product categories and authorized providers is available online at [www.usps.com/postagesolutions](http://www.usps.com/postagesolutions).

### 3.1.2.1 Postage Meters

Offices that spend **more than \$1,000** per year on postage should use a commercial postage meter. **Project Leaders and Facility Managers should be sure that their meter is a commercial postage meter.** If the meter says "penalty for private use" somewhere, this means it is a non-commercial meter. The table below summarizes restrictions related to meter and stamp usage.

Type	Restrictions
Penalty Meter	<input type="checkbox"/> Discontinue use
Commercial Postage Meter	<input checked="" type="checkbox"/> Acceptable (recommended for offices that spend more than \$1,000 per year on postage)
Postage Stamps	<input checked="" type="checkbox"/> Acceptable (recommended for offices that spend less than \$1,000 per year on postage)
PC Postage	<input checked="" type="checkbox"/> Acceptable (recommended for offices that spend less than \$1,000 per year on postage)

*Exhibit 15. Mail Usage and Restrictions*

Use the following steps to convert a penalty meter to a commercial postage meter or set up a new meter.

### **Step 1 - Select a postage meter vendor**

Obtain commercial postage meters using the GSA schedule. Meter suppliers include the following:

Authorized Meter Providers	GSA Contract Number
FP Mailing Solutions 140 N Mitchell Ct, Ste 200 Addison, IL 60101-5629 800-341-6052 <a href="http://www.fpusa.net">www.fpusa.net</a>	GS-25F-0014R
Hasler, Inc. 478 Wheelers Farms Road Milford CT 06461 800-995-2035 <a href="http://www.haslerinc.com">www.haslerinc.com</a>	GS-25F-0168M
Neopost, Inc. 478 Wheelers Farms Road Milford CT 06461 800-624-7892 <a href="http://www.neopostinc.com">www.neopostinc.com</a>	GS-25F-0110M
Pitney Bowes, Inc. 1 Elmcroft Road Stamford, CT 06926-0700 800-322-8000 <a href="http://www.pitneybowes.com">www.pitneybowes.com</a>	GS-25F-0010M

*Exhibit 16. Meter Providers*

### **Step 2 - Work with meter vendor to select a postage meter**

Once you have selected a meter vendor, work with the vendor to select a meter that is right for your office. Make sure your meter vendor knows you need:

- An Official Mail Reporting Systems (OMRS) meter, which is used only for Government accounts, and
- A meter that has Information Based Indicia Program (IBIP) capability. IBIP standard is a security measure to track and eliminate fraud. The digitally signed barcode verifies the integrity of the information and the validity of the meter that produced it.

Postage meter manufacturers conduct inspection of certain meters on a regular basis. When obtaining a meter, offices will need to agree to make the meter available for provider inspection or USPS examination when required. Meters also must have an Internet connection to download postage, etc.

### **Step 3 - Initiate agreement with the USPS**

Federal agencies pay the USPS directly (rather than the meter vendor) for postage. Offices that have meters pay one vendor for the meter (e.g., Neopost) and another vendor (the USPS) for the postage that is loaded onto it.

An office may enter into an agreement with the USPS for authorization to use postage evidencing systems. By entering into the agreement, the office accepts responsibility for control and use of the system and agrees to abide by all rules and regulations governing its use. The meter provider typically initiates the agreement with the Service on behalf of the USPS. Ask your meter provider for details.

### **Step 4 - Obtain TMS account number**

The meter vendor establishes a Tele Meter Setting (TMS) account and provides you with an eight-digit TMS account number. This account houses the postage funds.





Keep your TMS account number in a safe place. You will need it to order postage.

### **Step 5 - Prepare a purchase order (PO) for postage**

Prepare a purchase order (PO) for postage. (Note that this PO is separate from the PO used to obtain the meter / equipment.) Follow these guidelines to prepare the PO:

- Consider capturing your office's estimated annual postage meter costs on a single PO (one PO can cover multiple meters).
- Do not use a purchase card to obtain postage for your meter, even if the amount is below the micro purchase limits.
- Use the vendor name *U.S. Postal Service*.
- Use the vendor code in the financial system that corresponds to the brand of meter that you have (e.g., Neopost uses vendor code 627875818).
- Use the following vendor address, regardless of the brand of meter: U.S. Postal Service, 2825 Lone Oak Parkway, Eagan, MN 55121-9610. This address only accepts Automated Clearing House (ACH) payments.
- Include the following description on the order: *Purchase postage from the USPS [list field station, office, and location] for the period [date] through [date]*.
- Include your TMS number in the description.
- Release and approve the PO per Regional guidelines and Financial Business Management System (FBMS) procedures.



When offices obligate funds for postage, they can obligate the amount for a period of 1 fiscal quarter, 1 year, or multiple years. They may also choose to do a Blanket Purchase Agreement (BPA).

Once the office makes the payment, postage is loaded onto the meter. If postage remains on the meter at the end of the fiscal year, the office can simply continue using it during the next fiscal year.

### **Step 6 - Pay for postage**

There are two steps associated with paying for postage. First, prepare SF 1034 "Public Voucher for Purchase and Services Other Than Personal," which is used as the invoice. The form is available on the GSA Web site at <http://www.gsa.gov/portal/forms/type/ALL>.

Then, pay the invoice in FBMS using your TMS number as the invoice number. You should also reference your USPS purchase order by PO number.

### **Step 7 - Download postage to your meter**

Postage is available for download approximately 3 days after submitting the SF 1034 for payment. Use the instructions provided by your meter vendor and your TMS number to download the postage to your meter. Once you have loaded the postage onto the meter, you can begin using the meter. When you need to add additional postage to the meter, repeat the invoice process. If there are no funds remaining on the PO, return to Step 5 to create another PO.



Once you've converted from a penalty meter to a commercial meter, OMAS will give us credit for any postage left on the penalty meter at the time of conversion. Contact the Division of Financial Management (DFM) to obtain a credit.




**3.1.2.2 Personal Computer Postage (PC Postage)**

PC postage enables mailers to print the exact postage needed and keep track of mailing expenses. Employees use PC postage technology from their computers. To use this service, employees must obtain PC postage software and services from an authorized provider. PC postage providers will guide users through the online application process. PC postage is cost effective for facilities that mail fewer than 300 pieces of mail per day. In addition, it allows users to generate reports on mail usage and costs. The cost of using PC postage services varies based on service locations, number of users, selected PC postage vendor, and service options.

To find out more about PC postage, visit [www.usps.com/postagesolutions](http://www.usps.com/postagesolutions). **Exhibit 17** shows a graphic of a PC postage imprint; **Exhibit 18** provides a list of authorized providers.



*Exhibit 17. PC Postage Imprint*

Authorized PC Postage Providers	GSA Contract Number
Endicia.com (PSI Systems Inc.) 247 High Street Palo Alto, CA 94301-1099 800-576-3279 x140 <a href="http://www.endicia.com">www.endicia.com</a> 	Contract number not available. However, Endicia has a program for Federal clients. Contact Sales @endicia.com for additional information.
Pitney Bowes, Inc. 1 Elmcroft Road Stamford, CT 06926-0700 800-322-8000 <a href="http://www.pitneybowes.com">www.pitneybowes.com</a> 	GS-25F-0010M
Stamps.com 12959 Coral Tree Place Los Angeles CA 90066-7020 888 407 8267 email: <a href="mailto:federal@stamps.com">federal@stamps.com</a> <a href="http://www.stamps.com/enterprise/government/">http://www.stamps.com/enterprise/government/</a> 	GS-03F-0052V

*Exhibit 18. PC Postage Providers*

### 3.1.3 Stamps

Renting or leasing a commercial meter may be cost prohibitive for mail rooms whose postage needs are minimal. Consider using stamps for postage costs if your facility spends **less than \$1,000 a year** on postage. It is up to the facility or mail manager and management team at each facility to determine whether using stamps best fits the office's postage needs.



Exhibit 19. Stamp

Stamps are available in various denominations and the buyer does not need a permit to purchase them. Offices can pay for stamps with a Government purchase card. Employees may purchase stamps at the following locations:

- Your local post office, or
- Online at the USPS Web site.

### 3.1.4 Postage Rate Increases

The USPS periodically increases postage rates and lists the changes on its Web site at <http://pe.usps.com/text/dmm300/Notice123.htm>. The USPS also provides a postage rate calculator at <http://postcalc.usps.gov/>.

If you are using a commercial postage meter, work with your meter vendor to obtain software to update your meter with the correct rates. Some meter vendors may contact your office directly to communicate rate changes and assist with software updates.

## 3.2 Understanding Penalty Mail

### 3.2.1 Defining Penalty Mail

Penalty mail is official mail that relates solely to the business of the U.S. Government and may be carried without the prepayment of postage. As discussed in Section 3.1, USPS charges the Service for penalty mail through the OMAS. **Exhibit 20** lists the types of penalty mail.


Penalty Mail Type	Description
Penalty mail stamps (prohibited)	Penalty mail stamps are adhesive stamps available through the USPS Post Office Accounting Manager. <div style="text-align: center;">  </div>
Postage indicia (permit imprint)	Indicia are markings used on address labels or bulk mail as a substitute for stamps. Offices can apply to use penalty permit imprint by completing USPS Form 3615. Refer to Section 3.2.2.1 for additional information.
Penalty metered mail (prohibited)	Penalty metered mail is processed via a penalty mail postage meter; postage costs are charged to the Service via OMAS.
Penalty reply mail	Penalty reply mail is a USPS service that allows us to pay return postage for survey responses. To use penalty reply mail, you need to register for a permit using USPS Form 3615. Refer to Section 3.2.2.2 for additional information.
Penalty periodicals imprint mail	Offices may apply for penalty periodicals mailing privileges if they meet USPS eligibility requirements regarding periodical distribution. (Note: The Service does not currently use this type of penalty mail.)

Exhibit 20. Types of Penalty Mail



Visit the USPS Domestic Mail Manual Section 703, Chapter 7.0 (<http://pe.usps.com/text/dmm300/703.htm#1114075>) for additional information on penalty mail.

### 3.2.2 Using Penalty Mail

In 2003, GSA required that all Government agencies move away from OMAS. However, the transition has been difficult and many Federal agencies continue to use OMAS. The Service therefore permits the use of penalty mail only in limited circumstances (as discussed below). There are two primary reasons for the movement away from penalty mail:

- Penalty mail does not require an obligation of funding before postage is used. Commercial postage procedures do require an obligation of funding, which increases accountability and encourages good judgement in using postage.
- It is difficult for the Service to accurately track penalty mail costs and distribute them to the correct cost center.

As directed in 284 FW 2, the Service prohibits the use of two types of penalty mail: penalty mail stamps and penalty metered mail. Service employees must use stamps or commercial postage meters instead.

The Service does allow employees to use penalty mail in limited circumstances. Employees may use penalty permit imprints (e.g., for a mass mailing), or penalty reply mail (e.g., for a return reply postcard for a survey). **Exhibit 21** summarizes penalty mail usage.

Penalty Mail Type	Restrictions
Penalty mail stamps	<input checked="" type="checkbox"/> Discontinue use
Postage indicia (permit imprint)	<input checked="" type="checkbox"/> Acceptable for mass mailings
Penalty metered mail	<input checked="" type="checkbox"/> Discontinue use
Penalty reply mail	<input checked="" type="checkbox"/> Acceptable for large-scale surveys

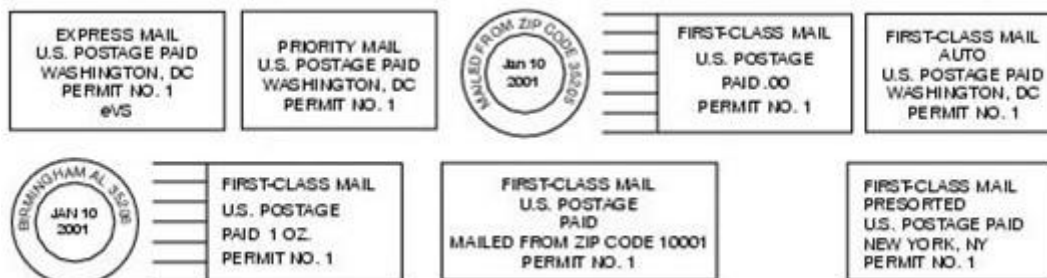
*Exhibit 21. Penalty Mail Usage and Restrictions*



Penalty mail got its name from the statement printed on it: "OFFICIAL BUSINESS. Penalty for private use, \$300." Government correspondence that is not sent via the penalty mail system should include the label "OFFICIAL BUSINESS" without the penalty mail statement.

#### 3.2.2.1 Permit Imprint


Permit imprints are a popular way for offices to pay for high-volume mailings. Instead of using stamps or a postage meter, the sender prints postage information in the upper right corner of the mailpiece. The permit imprint can be printed directly on the mailpiece or on a label, including the address label that is permanently affixed to the mailpiece. A permit imprint must include the class of mail, city and State where the permit is held, and the mailer's mailing permit number.



*Exhibit 22. Sample Permit Imprints (Source: USPS)*

Follow these steps to prepare a permit imprint mailing:

- Work with your Regional Publication Coordinator (see **Appendix C**) to complete USPS Form 3615 *Mailing Permit Application and Customer Profile* (available from your local post office) and apply for a permit. See **Exhibit 23** for an excerpt from the form.
- Section A, Item 9 of the form requires you to enter your Federal Agency Cost Code (121 + first 5 digits of the accounting string). Be sure to use the correct code so DFM can properly allocate costs associated with your mailing.
- Complete all required sections including Section B, Item 1 of the form relating to Permit Imprint Authorization.

United States Postal Service® <b>Mailing Permit Application and Customer Profile</b> <i>(See instructions on reverse)</i>		<b>A. Applicant Information (Please print or type)</b>					
Two types of identification are required. One must contain a photograph of the addressee(s). Social Security cards, credit cards, and birth certificates are unacceptable as identification. The agent must write in identifying information. Subject to verification.		1. Individual or Company Name		2. Date			
5a. Enter first ID number.		3. Applicant's Signature 		4. Email Address			
5b. Enter second ID number.		6. Address (Street and number, apt. or suite no., city, state, and ZIP + 4)		7. Other Names Under Which Company Does Business (If applicable)			
Acceptable identification includes: valid driver's license or state non-driver's identification card; armed forces, government, university or recognized corporate identification card; passport or alien registration card or certificate of naturalization; current lease, mortgage or Deed of Trust; voter or vehicle registration card; or a home or vehicle insurance policy. A photocopy of your identification may be retained by agent for verification.		8. How can we Contact You? <input type="checkbox"/> Phone <input type="checkbox"/> Email <input type="checkbox"/> Mail		9. Federal Agency Cost Code (If applicable) _ _ _ _ _			
		10. Will Present Plant Verified Drop Shipment (PVDS)? <input type="checkbox"/> Yes <input type="checkbox"/> No		11. Contact Person			
		12. Telephone (Include area code)					
<b>B. Check Type of Permit/Authorization Requested</b>			<b>For Postal Service Use</b>				
			Permit Number	Date Issued	Date Fee Paid	Date Canceled	Sample Approved
1. <input type="checkbox"/> Permit Imprint Authorization (Fee applies) <input type="checkbox"/> First-Class® Mail <input type="checkbox"/> Std. Mail <input type="checkbox"/> Pkg. Svcs. <input type="checkbox"/> Company Permit							
2. <input type="checkbox"/> Precanceled Stamp or Government							

*Exhibit 23. Excerpt from Form 3615*

- Prepare your mail according to USPS specifications (refer to the Domestic Mail Manual at [http://pe.usps.com/text/dmm300/dmm300\\_landing.htm](http://pe.usps.com/text/dmm300/dmm300_landing.htm)).
- Take your mail to the postal facility.
- USPS bills the Service for postage through OMAS. DFM allocates the costs to the Region or program; the Region or program, in turn, allocates costs to the appropriate cost centers. (Refer to Section 3.2.3 for information on cost allocation.)



The Migratory Birds program used a permit imprint for its outgoing surveys. Using a permit imprint saved staff members the time it would take to run each piece of mail through a postage meter or purchase prepaid envelopes (which become wasteful when the cost of postage changes). The Migratory Birds program paid the postage through OMAS, and DFM allocated the associated charges to the appropriate Migratory Birds cost center.

### 3.2.2.2 Penalty Reply Mail

Penalty reply mail (sometimes referred to as penalty business reply mail or BRM) is a service offered by the USPS. BRM uses preprinted First-Class mailpieces for which the sender, and not the recipient, pays the return postage. The Service purchases a permit (approximately \$200) and then only pays for the pieces that are returned (approximately \$1.20 per piece).

The two types of business reply mail are listed below.

- **Basic BRM:** Applicable if fewer than 890 returned pieces are expected in 1 year.
- **High Volume BRM:** Suggested if more than 890 returned pieces are expected in 1 year.



The Migratory Birds program uses penalty reply mail for its survey responses. The program includes prepaid postage envelopes with its surveys to make it easy for hunters to respond. The program only pays postage for those surveys that are returned.

BRM is useful in instances when the Service requests feedback, responses, or packages from its audience, such as surveys or office-specific mailings. Offices may use BRM as needed. To use BRM, follow these steps:

- Work with your Regional Publication Coordinator (see **Appendix C**) to complete USPS Form 3615 *Mailing Permit Application and Customer Profile* (available from your local post office) and apply for a BRM permit.
  - Section A, Item 9 of the form requires you to enter your Federal Agency Cost Code (121 + first 5 digits of the accounting string). Be sure to use the correct code so DFM can properly allocate costs associated with your mailing.
  - Complete all required sections including Section B, Item 4 relating to BRM.
- Prepare your mail according to detailed USPS specifications (refer to the Domestic Mail Manual at [http://pe.usps.com/text/dmm300/dmm300\\_landing.htm](http://pe.usps.com/text/dmm300/dmm300_landing.htm)). **Exhibit 24** shows a sample mailpiece with the penalty BRM format.



Exhibit 24. BRM Format (Source: USPS)

- Take your mail to the postal facility.
- USPS bills the Service for postage through OMAS. DFM allocates the costs to the Region or program; the Region or program, in turn, allocates costs to the appropriate cost center. (Refer to Section 3.2.3 for information on cost allocation.)



Do not send BRM to someone from whom a reply is required by law or regulation (e.g., a grantee required to submit a progress report). These respondents must pay for their own postage.

### 3.2.3 Allocating penalty mail costs

This section describes how the Service allocates penalty mail costs to its Regions and programs.

#### Step 1 - Receive OMAS report

When the Service uses penalty mail, DFM receives a monthly OMAS Statement of Usage (see [Exhibit 25](#)). The report includes the following information:

- Current period summary, including the types of penalty mail (permit imprint, periodicals, meters, BRM, and stamps) used during the period and charges associated with each type.
- Activity history for each type of penalty mail with a breakout by ZIP code, meter serial number, agency cost code (as entered on the USPS Form 3615) and permit number

TYPE OF MAIL	POSTAGE	FEE	TOTAL
MINNEAPOLIS IBSSC REPORT HSP823F1 AGENCY 121			
UNITED STATES POSTAL SERVICE OFFICIAL MAIL ACCOUNTING SYSTEM STATEMENT OF USAGE FOR AGENCY			
DATE: 11/03/03 PAGE: 1			
FOR PERIOD: 02/01/11 THROUGH 02/28/11			
CURRENT PERIOD SUMMARY OF POSTAGE AND FEES BY TYPE OF MAILING OR SERVICE			
AGENCY NAME: U S FISH & WILDLIFE SVCS/DOI ADDRESS: 4401 NORTH FAIRFAX DR (ARL SQ) ARLINGTON, VA 22203-1610			
PERMIT IMPRINT			
PRESORT FIRST-CLASS	\$1,859.99		
BULK THIRD-CLASS	\$3,694.81		
ALL OTHER	\$ .00		
TOTAL, PERMIT IMPRINT	\$5,554.80	\$185.00	\$5,739.80
PERIODICALS	\$ .00	\$ .00	\$ .00
METERS	\$9,549.85	\$ .00	\$9,549.85
BUSINESS REPLY MAIL	\$27,955.45	\$ .00	\$27,955.45
MERCHANDISE RETURN	\$ .00	\$ .00	\$ .00
POSTAGE DUE	\$ .00	\$ .00	\$ .00
PRINTED EMS ENVELOPES	\$ .00	\$ .00	\$ .00
PENALTY MAIL STAMPS	\$450.00		\$450.00
EXPRESS MAIL	\$ .00		\$ .00
<b>TOTAL</b>	<b>\$43,510.10</b>	<b>\$185.00</b>	<b>\$43,695.10</b>

Exhibit 25. OMAS Statement of Usage

Since there is a single OMAS report for the entire Service, DFM must manually redistribute the charges to the Regions/programs. Regional Budget and Finance offices can then redistribute costs to the appropriate Regional/program cost centers.

#### Step 2 - Create Redistribution Data Sheet

The DFM accountant creates a Redistribution Data Sheet (RDS) to allocate the penalty mail costs. The accountant uses the ZIP codes, meter serial numbers, and cost codes in the report to identify the source of each charge, by Region/program. The accountant distributes costs to cost centers.

**Exhibit 26** includes a sample of cost centers. It is not a complete list.

Cost Center	Description
FF09G700	Service-wide- Washington Office Management Services
FF01G00200 (Region 1)	Region 1 - Regionwide Administrative Account
FF01G00200 (Region 8)	Region 8 - Regionwide Administrative Account
FF02G08100	Region 2 - Division of Contracting and General Services
FF03G0DF00	Region 3 - FFS Coordinator
FF04G08800	Region 4 - Division of Budget, Planning and Financial Services
FF05G08100	Region 5 - Division of Contracting and General Services
FF06G08000	Region 6 - Assistant Regional Director- Budget and Administration
FF07G00500	Region 7- Common Space Services
FF09M20000	Division of Migratory Bird Management
FF09R90000	Division of Refuge Law Enforcement
FF09X31000	National Conservation Training Center
FF09L21000	Supv Criminal Investigation - Albuquerque, NM
FF09L52000	Supv Criminal -Valley St

*Exhibit 26. Sample Penalty Mail Organizational Codes*



When using penalty reply mail or a permit imprint, be sure to include the correct Federal Agency Cost Code (121 + first 5 digits of the accounting string) on the USPS Form 3615. This will help DFM properly allocate costs associated with your mailing. If the 5-digit accounting string is left blank (i.e., 00000), DFM uses the ZIP code to determine who should receive the charge.

**Step 3 - Email RDS to the Regions**

DFM sends the RDS to the Regions/programs via email. The RDS shows how DFM distributed costs in FBMS.

Contact the DFM, Branch of National Financial Policy and Analysis, if you would like to receive the monthly RDS emails.

**Step 4 - Further distribute costs within Region/program**

Regions/programs can further allocate charges within their Region/program to specific programs/divisions/branches or field stations.



# Chapter 4: Other Mail Services and Federal Express

This section will help answer the following questions:

- ✓ What are some of the services that the USPS provides and how can I use them?
- ✓ When should I use Federal Express (FedEx)?
- ✓ How do I create a FedEx account?
- ✓ How do I prepare packages for FedEx pickup?

## 4.1 Using USPS Special Services

The USPS provides a number of special services including registered mail, certified mail, special handling, and business reply mail. This handbook only covers the services most commonly used at the Service: bulk mail, permit imprint, and business reply mail. Contact your local mail / facility manager or local post office before using a special service not currently available at your facility.

### 4.1.1 Bulk Mail

The term "bulk mail" refers to large quantities of mail prepared for mailing at a reduced postage rate. The USPS uses the terms "bulk" and "pre-sorted" interchangeably. The USPS offers lower prices for bulk mailings because you do some of the work that would otherwise be completed by the USPS (for example, sorting the mail by ZIP code or transporting the mail to a different postal facility).

The minimum quantity for First-Class bulk mail (the Service's preferred delivery method) is 500 pieces. The minimum quantity for Standard bulk mail is 200 pieces.



When planning a large or specialized mailing, please contact your Facility Manager or Project Leader. Facilities that do not have a dedicated mail room should consider using a contractor to assist with large mailings.

Follow these steps to mail using bulk rates:

- Obtain a mailing permit (permission to mail) from your post office and pay the annual mailing fee using the office purchase card.
- Pay postage using postage meter or permit imprint (See Chapter 3 of this handbook).
- Coordinate with your Publication Coordinator (see **Appendix C**) and the Government Printing Office (GPO) to prepare your mailpiece.
- Consider the size, shape, and weight of your mailpiece to save money.
- Ensure that the addresses are accurate.
- Presort the mailpieces (separate or sort your mail by ZIP Code).
- Take your mail to the post office where you hold your mailing permit.



Visit the USPS Postal Explorer Web site at <http://pe.usps.com/businessmail101/getstarted/bulkmail.htm> for additional information on obtaining a mail permit and sorting mail.

### **4.1.2 Permit Imprint**

Permit imprint mailings are a form of postage that uses indicia (unique markings) to pay postage instead of metering or using adhesive stamps. Refer to Section 3.2.2.1 of this handbook for information and step-by-step instructions on permit imprint mailings.

### **4.1.3 Business Reply Mail**

BRM relies on pre-printed first-class mail pieces for which the Service, and not the recipient, pays the return postage. Refer to Section 3.2.2.2 of this handbook for information and step-by-step instructions on BRM mailings.

## **4.2 Sending Mail and Packages by FedEx**

In cases in which USPS does not meet your shipping needs, offices may use FedEx, the preferred private express package carrier specified by the Department. FedEx provides domestic, express, and ground delivery services. Many of the Service's facilities offer FedEx to support the delivery of packages. Each Region or facility is responsible for developing procedures for receiving, distributing, and sending FedEx packages, and for implementing and maintaining its FedEx contracts.



The following services are available to our offices:

- Express Small Package (same day, next day, 2-day, 3-day);
- Express Heavyweight; and
- Ground Small Package.

DOI has a Blanket Purchase Agreement (BPA) with FedEx through the GSA Federal Supply Service Schedule Contract #GS-23F-1070L. The BPA helps reduce costs associated with searching for sources, developing technical documents, and evaluating offers. Regions and facilities may contact FedEx to obtain an account number so that employees may use their purchase cards to pay for services.



Contact the Department's Mail Manager (currently Sondra White - [Sondra\\_C\\_White@nbc.gov](mailto:Sondra_C_White@nbc.gov)) to obtain a copy of the BPA, including negotiated rates.

### **4.2.1 Initiating a FedEx Account**

Employees who want to use FedEx should work with their Facility Manager or Project Leader to determine if they have a FedEx account before creating one. Follow these steps to create an account:

#### **Step 1 - Register with FedEx**

To receive the discounted rates negotiated by the National Business Center (NBC) under the Department's BPA, create a FedEx account by contacting Federal Express Government Account Services at 1-800-645-9424. Reference the National Account 2008 (Department of the Interior) and request an account. Provide an account contact name, address, telephone number, and credit card information. Before getting off the phone, verify that your account will receive the discounted Government rates. It will take up to 24 hours for FedEx to process your request.

#### **Step 2- Receive FedEx account number**

FedEx will provide you with an account number. You will need this number when you mail packages.

#### **Step 3 - Provide account information to NBC**

After opening a FedEx account, provide your account number to the Department's Mail Manager at the NBC ([Sondra\\_C\\_White@nbc.gov](mailto:Sondra_C_White@nbc.gov)).

#### **Step 4 - Pay via purchase card**

Pay for FedEx services via the standard purchase card process. Each office is responsible for maintaining its own FedEx account and paying associated invoices.

#### 4.2.2 Preparing FedEx Mail and Packages

Once the FedEx account is active, employees can begin sending FedEx letters and packages. FedEx offers a variety of shipping options, and employees should select the most cost-effective option that meets their needs. Consider the size of the item, when the recipient needs to receive it, and whether it needs special handling. The FedEx Service Guide summarizes shipping options and is available on the FedEx Web site ([http://images.fedex.com/us/services/pdf/Rates\\_Guide\\_2011.pdf](http://images.fedex.com/us/services/pdf/Rates_Guide_2011.pdf)).

After selecting the FedEx service, complete the shipping label. Prepare the shipping label manually or online. Additional information on each option is provided below.

- **Manual Shipping Label Preparation.** Complete a paper US Airbill (**Exhibit 27**). Be sure to include your account number, the type of service desired, and the complete mailing addresses (see Section 2.2.1.2 for address guidelines). If multiple programs / offices are sharing a single account, complete the "internal billing reference" section of the airbill to allocate shipping costs to the appropriate cost center.



Exhibit 27. US Airbill (Source: FedEx)

- **Online Preparation.** Using online shipping labels over the Internet is very efficient. The user can track packages, view invoices and shipment detail, schedule Electronic Funds Transfer payments or pay with a credit card, create reports, complete administrative functions, question shipment charges, and download invoice data. Visit the FedEx Web site at <http://www.fedex.com/us/service-guide/our-services/create-labels/index.html> to learn more about electronic shipping tools.

Employees should follow their facility's specific procedures for package drop-off and pickup. Facilities may designate a drop-off area in the office, request that senders take FedEx packages to the facility's mailroom, or require senders to take packages to the local FedEx office.



FedEx may not be available in all locations. For example, FedEx may not serve certain field stations in remote areas of Alaska (Region 7). Visit <http://fedex.com/us/freight/international-tools/alaska.html> to learn more about using FedEx in Alaska, or use the USPS to mail items to those locations.

In addition, FedEx does not deliver to post office boxes.

#### 4.2.3 Determining when to use FedEx

FedEx offers a range of services and is convenient. However, it is not always the most cost-effective way to send mail. Consider the following questions before using FedEx:

- ✓ Can I send the package using the USPS instead of FedEx? (The USPS is often less expensive. Consider a range of USPS service offerings including Express Mail, Priority Mail, and Ground Packages.)

- ✓ Does the recipient have Internet access? Is this a document that I can share electronically—either via email or by posting it on a Web site? (Consider using digital signatures or scanning hard copy signatures into PDF files when appropriate.)

If you determine that FedEx is the most efficient shipping method, consider the following additional questions when selecting a FedEx service offering:

- ✓ When does the item need to arrive at its destination? Is overnight service required or is FedEx Express Saver (third business day) sufficient?
- ✓ What time of day does the item need to arrive? First thing in the morning? By the afternoon?
- ✓ Does the item require special handling?
- ✓ Does the item require a signature upon acceptance?
- ✓ Should the item be held at a FedEx location for pickup?
- ✓ Can I consolidate my item with other items going to the same location?



Consider consolidating items before sending them. For example, if a large field station frequently sends documents to its Regional office, the station should consider having a designated mail slot in its mail room. At the end of each day, a staff person can gather the items destined for the Regional office and mail them in a single FedEx envelope or box.

# Chapter 5: Security

This section will help you answer the following questions:

- ✓ What are the Service's mail security requirements?
- ✓ How does my office conduct a risk assessment?
- ✓ Where can I obtain information on developing site-specific mail security procedures?

## 5.1 Understanding Federal Security Guidelines

Mail center security is an important facet of mail management. A wide range of potential threats can be introduced into a Government facility by way of the mail center. Threats that involve chemical, biological, radiological, nuclear, or explosive substances are both dangerous and disruptive. The Department of Homeland Security (DHS) and GSA have developed several useful resources on mail security. Some of these documents are For Official Use Only (FOUO) and are available on an as-needed basis. The resources and corresponding availability are listed in the table below.

Resource	Availability
<b>Best Practices for Mail Screening and Handling</b>	Contact the Combating Terrorism Technical Support Office (CTTSO), Technical Support Working Group (TSWG):  CTTSO/TSWG Attn: CBRNC Program Manager P.O. Box 16224 Arlington, VA 22215
<b>DHS Interagency Security Committee (ISC) Standard - Physical Security Criteria for Federal Facilities</b>	Government users with a need to know may access the Interagency Security Committee standards that are FOUO. Request access from the Service's Security and Emergency Manager in the Division of Refuge Law Enforcement, National Wildlife Refuge System.  You may also request access by sending an email to <a href="mailto:ISC@DHS.gov">ISC@DHS.gov</a> with your full name and contact information including email, the name of your agency, and the reason you need access to the site.
<b>GSA Mail Communications Policy Office, Mail Center Security Guide</b>	Available for download on the GSA Web site at <a href="http://www.gsa.gov/portal/category/21255">http://www.gsa.gov/portal/category/21255</a> or by visiting <a href="http://www.gsa.gov/mailpolicy">www.gsa.gov/mailpolicy</a> and clicking on "Mail Center Security."
<b>2007/ISC Best Practices for Safe Mail Handling</b>	Available for download on the DHS Web site at <a href="http://www.dhs.gov/files/committees/gc_1194978268031.shtm">http://www.dhs.gov/files/committees/gc_1194978268031.shtm</a>

*Exhibit 28. Mail Security Resources*

## 5.2 FWS Security Requirements

Project Leaders and Facility Managers (through their respective Regional Mail Coordinators, Regional Physical Security Managers, and Regional Directors) are responsible for ensuring practices follow the Service's mail security policies.

Service manual chapter 432 FW 1 prescribes the requirements for establishing and maintaining facility security procedures and conducting physical security surveys. The procedures and surveys must address mail operations as part of the facility's overall security.



The physical layout of the mail room is an important element of mail security. When developing a mail room for a new facility, work with your architect and engineer to design a mail room that complies with GSA requirements. The GSA Mail Center Security Guide (<http://www.gsa.gov/portal/category/21255>) includes information on mail room setup, including entry/exit points, alarm systems, personal storage, and ventilation.

### 5.3 Conducting a Risk Assessment

The first step in developing security procedures is to complete a site-specific risk assessment for your mail center and its operation, in coordination with your overall security assessment. The objective of a risk assessment is to determine the likelihood that identifiable threats will harm the Service or its mission. Each site has different threats and risk levels that lead to different security measures. A thorough understanding of the risk assessment process will allow you to better prepare for potential threats and eliminate or mitigate consequences. A risk assessment incorporates asset and mission identification, threat assessment, vulnerability assessment, impact assessment, and risk analysis. Management should base decisions about mail center security on the results of the risk assessment.



The risk assessment process described in this handbook is based on the GSA Mail Center Security Guide (available for download on the GSA Web site at <http://www.gsa.gov/portal/category/21255>). Although not required, you should consider this and other risk assessment frameworks that may work for your facility.

Components of a risk assessment include the following:

- **Asset and mission identification:** Identify the assets and missions that might be damaged by threats that could come through the mail.
- **Threat assessment:** Identify potential threats and the likelihood of each. At a minimum, consider natural events, criminal acts, accidents, and acts of terrorism.
- **Vulnerability assessment:** Analyze the extent to which the mail center is vulnerable to each of the potential threats identified in the threat assessment (i.e., how likely is it that the threat will occur?).
- **Impact assessment:** Determine the impact on the mail center, facility, or office if a specific asset were damaged or destroyed, or if mission-critical activities were impaired or temporarily halted.
- **Risk analysis:** Summarize the likelihood and extent of possible damage to facilities or operations based on the impact, threat, and / or vulnerability assessments.

When assessing risk, you should rely on data and information obtained from research and interviews, not simply on intuition. **Exhibit 29** includes some questions to consider during a risk assessment:

Sample Risk Assessment Questions
• What is the mission of the Service? How does your facility relate to the Service's overall mission?
• Who are your adversaries?
• Has anyone in your facility received a threat?
• Is your office involved in research, products, or services that are controversial?
• What can you do to ensure that your vulnerabilities are limited and countermeasures are applied?
• Do employees in your facility ever deal internationally, or have they been foreign affairs officers or the primary focus of a recent crisis or focus of other public interest?

*Exhibit 29. Sample Risk Assessment Questions*

### 5.3.1 Step One: Asset and mission identification – what are you trying to protect?

The first step in a risk assessment is to identify the assets and missions that must be protected. In the asset identification step, management identifies and focuses only on those assets important to the mission or operation. Assets can be tangible (e.g., people, facilities, and equipment) or intangible (e.g., information, processes, and reputations). Mail center assets can include personnel, postage meters and other equipment, computers, accountable mail, high-value shipments, the safe or vault and its contents, stamps, pre-printed permit stationery, and the mail delivery roster.

**Exhibit 30** shows a partial sample of a risk assessment. List your assets and missions in the first column of the risk assessment.



Assets and Missions	Threats	Vulnerability	Impact	Overall Risk Evaluation
Postage meters and/or stamps				
Mail center personnel				
Facility personnel				
...				

*Exhibit 30. Sample Risk Assessment (Step 1)*

### 5.3.2 Step Two: Threat assessment – what bad things could happen?

The next step in the risk assessment is to examine potential threats. The threat assessment looks at the full spectrum of threats for a given location, including natural, criminal, accidental, and terrorist threats. The team should examine supporting information to evaluate the likelihood of each threat occurring. Consider the following items when completing a threat assessment:

- For natural threats, look at historical data that shows the frequency with which tornadoes, hurricanes, floods, fires, and earthquakes occur in the area.
- For criminal threats, look at local crime rates and consider whether the facility's assets and missions make it more attractive to criminals.
- For accidents, look at the layout and machinery in the mail center, and consider your building's mechanical equipment, especially plumbing. Also look at your historical accident rate (you should be keeping accessible, long-term records of accidents).
- For terrorist threats, look at the missions performed at your facility and the visibility of Federal executives located in those facilities.

For each of these categories, identify the specific threats that might impact your mail center or your facility, determine how they might enter the mail center, and then consider how likely each threat is. Significant threats may include the following:

- **Foreign terrorism:** Agencies with high public visibility or international missions have a greater risk of being targeted by foreign terrorists. Also, agencies located in proximity to significant targets may be victims of collateral effects.
- **Domestic hate groups:** Some citizens are actively involved with anti-Government and hate groups and have adopted tactics similar to foreign terrorists.
- **Disgruntled employees / workplace violence:** Reorganizations, layoffs, and terminations may lead to theft, sabotage, or violence.

- **Accidents:** Accidents such as workplace accidents, vehicle accidents, floods from major plumbing leaks, and building fires can impact the facility and its operations.
- **Acts of nature:** Wildfires, floods, severe weather, earthquakes, and similar acts of nature can disrupt operations.

A threat may be introduced by anyone who sends anything through the mail with the intent to frighten, injure, or otherwise disrupt operations.

Update the risk assessment with threats for each asset/mission as shown in **Exhibit 31**.



Assets and Missions	Threats	Vulnerability	Impact	Overall Risk Evaluation
Postage meters and/or stamps	<ul style="list-style-type: none"> <li>• Fraudulent use by employees</li> <li>• Damage by natural disaster</li> </ul>			
Mail center personnel	<ul style="list-style-type: none"> <li>• Workplace injury</li> <li>• Loss of life</li> </ul>			
Facility personnel	<ul style="list-style-type: none"> <li>• Workplace injury</li> <li>• Loss of life</li> </ul>			
...	...			

*Exhibit 31. Sample Risk Assessment (Step 2)*

### **5.3.3 Step Three: Vulnerability assessment – what are your facility's weaknesses?**

Once you have identified assets, missions, and threats, the next step is to determine how vulnerable your assets and missions are to the threats. In this step, look for exploitable situations created by inappropriate design, inadequate equipment, or deficient security procedures. In the mail center, examples of typical vulnerabilities may include the following:

- Poor controls for limiting access to the building,
- Lack of x-ray equipment,
- Inadequate security training or rehearsal,
- Lack of stringent service contract management, and
- Unscreened visitors in secure areas.



Determine the relative vulnerability rating (4=Very High, 3=High, 2=Moderate, 1=Low) for each identified asset / mission.



Assets and Missions	Threats	Vulnerability	Impact	Overall Risk Evaluation
Postage meters and/or stamps	<ul style="list-style-type: none"> <li>Fraudulent use by employees</li> <li>Damage by natural disaster</li> </ul>	High (3)		
Mail center personnel	<ul style="list-style-type: none"> <li>Workplace injury</li> <li>Loss of life</li> </ul>	Moderate (2)		
Facility personnel	<ul style="list-style-type: none"> <li>Workplace injury</li> <li>Loss of life</li> </ul>	Low (1)		
...	...	...		

Exhibit 32. Sample Risk Assessment (Step 3)

### 5.3.4 Step Four: Impact assessment – what if your security measures failed?

The next step is to determine what the impact or consequence would be if an asset was lost, damaged, or destroyed—if your agency was temporarily prevented from or impaired in performing a mission. The overall value of the asset or mission is based on the severity of this effect.

For example, if your mail center was flooded by an overflowing stream or the building’s plumbing and you could not get back into the mail center for several days, how significant would be impact be on your mission?

Determine a relative impact rating (4= Devastating, 3=Severe, 2=Noticeable, 1=Minor) for each asset / mission and threat.



Assets and Missions	Threats	Vulnerability (Likelihood)	Impact	Overall Risk Evaluation
Postage meters and/or stamps	<ul style="list-style-type: none"> <li>Fraudulent use by employees</li> <li>Damage by natural disaster</li> </ul>	High (3)	Noticeable (2)	
Mail center personnel	<ul style="list-style-type: none"> <li>Workplace injury</li> <li>Loss of life</li> </ul>	Moderate (2)	Devastating (4)	
Facility personnel	<ul style="list-style-type: none"> <li>Workplace injury</li> <li>Loss of life</li> </ul>	Low (1)	Devastating (4)	
...	...	...	...	...

Exhibit 33. Sample Risk Assessment (Step 4)

### 5.3.5 Step Five: Risk analysis – what does it all mean?

The final step in the risk assessment process is to combine the four previous steps. This means that you must evaluate, for each asset and each mission, how the impact, threat, and vulnerability assessments interact. **Exhibit 34** shows how to determine the overall risk rating based on vulnerability and impact.

Impact	Vulnerability			
	Very High	High	Moderate	Low
Devastating	HIGH	HIGH	HIGH	MODERATE
Severe	HIGH	HIGH	MODERATE	LOW
Noticeable	HIGH	MODERATE	MODERATE	LOW
Minor	MODERATE	MODERATE	LOW	LOW

*Exhibit 34. Risk Ratings (Source: Applied Research Associates/ GSA Mail Center Security Guide)*

Complete the risk assessment with your overall risk ratings.

Assets and Missions	Threats	Vulnerability (Likelihood)	Impact	Overall Risk Evaluation
Postage meters and/or stamps	<ul style="list-style-type: none"> <li>Fraudulent use by employees</li> <li>Damage by natural disaster</li> </ul>	High (3)	Noticeable (2)	Moderate
Mail center personnel	<ul style="list-style-type: none"> <li>Workplace injury</li> <li>Loss of life</li> </ul>	Moderate (2)	Devastating (4)	High
Facility personnel	<ul style="list-style-type: none"> <li>Workplace injury</li> <li>Loss of life</li> </ul>	Low (1)	Devastating (4)	Moderate
...	...	...	...	...

*Exhibit 35. Sample Risk Assessment (Step 5)*

The risk assessment helps you identify the risks that your facility faces. Understanding these risks should help you to determine which countermeasures to develop to mitigate the risks. For example, if the risks associated with mail center personnel are rated as "high," you might focus on countermeasures related to staff training, mail screening, and mailroom access.

The risk assessment results should also influence the resources your facility devotes to mail security. If you have several high risk areas, you may consider devoting additional resources to mail management, specifically in the areas you have identified as high risk.

## 5.4 Developing Security Measures and Procedures

The risk assessment, ISC requirements regarding the physical security designation level, and requirements in 432 FW 1 drive decisions about mail center operating procedures and mail security. To protect FOUO information, this handbook does not include specific recommendations for security countermeasures. DHS can provide a range of tools to assist with your mail security planning (see **Exhibit 28**). When developing security procedures, consider the topics listed in **Exhibit 36** below.

Area of Consideration	Countermeasures to consider
<b>Physical Security Measures</b>	<ul style="list-style-type: none"> <li>• Locked doors</li> <li>• Ventilation</li> <li>• Badges</li> <li>• Posters</li> <li>• Closed-circuit television (CCTV) cameras</li> </ul>
<b>Operating Procedures</b>	<ul style="list-style-type: none"> <li>• Cleaning requirements</li> <li>• Personal protective equipment (e.g., gloves, masks, etc.)</li> </ul>
<b>Mail Screening</b>	<ul style="list-style-type: none"> <li>• X-ray screening</li> <li>• Visual screening</li> <li>• Decontamination stations</li> </ul>
<b>Training</b>	<ul style="list-style-type: none"> <li>• Review of mail procedures</li> <li>• Annual staff training</li> <li>• Annual plan review</li> </ul>
<b>Testing Procedures</b>	<ul style="list-style-type: none"> <li>• Annual reporting</li> <li>• Annual plan review</li> </ul>
<b>Plans</b>	<ul style="list-style-type: none"> <li>• Communications plan</li> <li>• Occupant emergency plan</li> <li>• Continuity of operations plan</li> <li>• Threat management</li> </ul>

*Exhibit 36. Security Operations and Administrative Criteria*



Remember that mail security is a part of overall physical security. Project Leaders and Facility Managers must include mail center security as part of their facility security procedures, physical security surveys, and training requirements. See 432 FW 1 or contact the Service's Physical Security Manager in the Division of Refuge Law Enforcement or your Regional Physical Security Manager for more information.

# Appendix A: Mail Management Terms

Term	Definition
Bulk mail	Large quantities of mail prepared for mailing at reduced postage rates.
Business Reply Mail (BRM)	Use of preprinted First-Class mailpieces that allow the sender to pay for return postage.
Courier	An individual who delivers letters, flat mail, or packages to the Service for distribution to employees.
Facility	Any location where mail is sorted, delivered, picked up, or sent out
Field Station	Any satellite office of the Service. Field stations are found throughout the U.S. and support the Service's mission; the size and arrangement of field stations vary.
Indicia	Markings used on address labels or bulk mail as a substitute for stamps.
Information Based Indicia Program (IBIP)	A standard that tracks and eliminates fraud. The digitally signed barcode verifies the integrity of the information regarding the barcode's origination and the validity of the meter that produced it.
Mail Room	The room or area where mail is screened and sorted.
Mail Stop	Mail stops are used to identify locations within Service facilities. Each office, field office, or other Service facility has been assigned a four-digit mail stop code. All internal mail requires a mail stop to expedite delivery. Mail stop codes must be used in the return address of all outgoing mail. Each facility must assign mail stop codes according to guidelines already established by the mail manager.
Office	Group of Service employees with a shared purpose in promoting the Service's mission. Each office is associated with one or more cost centers in the Service's financial system.
PC Postage	PC postage enables mailers to print the exact postage needed and keep track of mailing expenses. Employees use PC postage technology from their computers.
Penalty mail	Official mail sent by U.S. Government agencies and related solely to the business of the U.S. Government that is authorized to be carried in the mail without prepayment of postage.
Permit Imprint	Generally used for large-quantity mailings. Instead of using a postage meter, the mailer prints postage information in the upper right-hand corner of the mailpiece. This postage block is called the indicia. To use a permit, offices can set up an account with the post office. The costs associated with each mailing is deducted from the account each time it is used.
Postage meter	Devices that allow download, storage, and accounting of postage in the device. Meters print indicia that may be IBI or non-IBI, to indicate postage payment. IBI are digitally generated indicia that include a two-dimensional barcode. Postage meters are available only through authorized providers.
Program	A unit that accomplishes a single objective—not related to physical location. For example, the Migratory Birds Program.
Recipient	The individual listed on the mailpiece label or an individual accepting a package on behalf of another.
Sender	An individual who prepares a piece of mail for processing. The sender is not necessarily the person listed in the return address.
Wafer Seal	A round seal used to close mailpieces that do not require an envelope.

# Appendix B: Resources

Resource	Description	Contact
<b>Interagency Mail Policy Council (IMPC)</b>	Group of Federal agencies that meet on a quarterly basis to share information, best practices, and provide training. This group was established in 1997 and is officially chartered by the administrator of the GSA.	GSA Web site ( <a href="http://www.gsa.gov/portal/content/104593">http://www.gsa.gov/portal/content/104593</a> )
<b>GSA Listing of Mail Conferences and Seminars</b>	List of national conferences / seminars that will help mail managers stay informed of the latest developments in the industry and identify networking opportunities.	GSA Web site ( <a href="http://www.gsa.gov/portal/content/104599">http://www.gsa.gov/portal/content/104599</a> )
<b>Business Mail 101</b>	USPS-sponsored tool / Web site for beginning and infrequent mailers.	USPS Web site ( <a href="http://pe.usps.com/businessmail101/">http://pe.usps.com/businessmail101/</a> )
<b>USPS Postal Explorer</b>	Virtual library of postal information designed for business mailers.	USPS Web site ( <a href="http://pe.usps.com/">http://pe.usps.com/</a> )
<b>Postage Price Calculator</b>	Tool that enables users to obtain postage rates for a specified destination, mailing date, and service type.	USPS Web site ( <a href="http://postcalc.usps.gov/">http://postcalc.usps.gov/</a> )
<b>Best Practices for Mail Screening and Handling</b>	Handbook that provides recommendations on mail screening and security.	Contact the Combating Terrorism Technical Support Office (CTTSO), Technical Support Working Group (TSWG):  CTTSO/TSWG Attn: CBRNC Program Manager P.O. Box 16224 Arlington, VA 22215
<b>DHS Interagency Security Committee (ISC) Standard - Physical Security Criteria for Federal Facilities</b>	DHS standard that establishes a baseline set of physical security measures for Federal facilities.	Government users with a need to know may access the ISC standards that are FOUO. To request access, please send an e-mail to <a href="mailto:ISC@DHS.gov">ISC@DHS.gov</a> with your full name and contact information, including email, the name of your agency, and the reason you need access.
<b>GSA Mail Communications Policy Office, Mail Center Security Guide</b>	Guide designed to assist mail center managers in keeping mail centers safe and secure.	Available for download on the GSA Web site at <a href="http://www.gsa.gov/portal/category/21255">http://www.gsa.gov/portal/category/21255</a> or by visiting <a href="http://www.gsa.gov/mailpolicy">www.gsa.gov/mailpolicy</a> and clicking on "Mail Center Security."
<b>2007/ISC Best Practices for Safe Mail Handling</b>	Handbook that provides recommendations on mail handling.	Available for download on the DHS Web site at <a href="http://www.dhs.gov/files/committees/gc_1194978268031.shtm">http://www.dhs.gov/files/committees/gc_1194978268031.shtm</a>

# Appendix C: Publication Coordinators

Region	Publication Coordinator
<b>Region 1/8</b>	<p>Glenda Franich            Division of Refuges            911 NE 11th Avenue            Portland, OR 97232-4181</p> <p>Phone: 503.872.2705</p>
<b>Region 2</b>	<p>Art Needleman            Division of Visitor Services            National Wildlife Refuge System            500 Gold Avenue, SW/ Room 4501            Albuquerque, NM 87102</p> <p>Phone: 505.248.6822</p>
<b>Region 3</b>	<p>Tom Kelley            Division of Refuges            5600 American Boulevard West, Suite 1042            Bloomington, MN 55437-1458</p> <p>Phone: 612.713.5435</p>
<b>Region 4</b>	<p>Ellen Marcus            Office of External Affairs            1875 Century Blvd.            Atlanta, GA 30345</p> <p>Phone: 404.679.7179</p>
<b>Region 5</b>	<p>Kathy Whittemore            U.S. Fish and Wildlife Service            300 Westgate Center Drive            Hadley, MA 01035</p> <p>Phone: 413.835.5184</p>
<b>Region 6</b>	<p>Melvie Uhland            Division of Education and Visitor Services            National Wildlife Refuge System            U.S. Fish and Wildlife Service            PO Box 25486, DFC            Lakewood, CO 80225</p> <p>Phone: 303.236.4395</p>
<b>Region 7</b>	<p>Laura Whitehouse            Office of External Affairs            1011 East Tudor Road - MS101            Anchorage, AK 99503</p> <p>Phone: 907.786.3373</p>
<b>Washington Office</b>	<p>Pete Maccini <i>or</i> Mark Newcastle            Branch of Printing &amp; Publishing            4401 N. Fairfax Dr., MS-EA 3119            Arlington, VA 22203</p> <p>Phone: 703.358.2196</p>

# Appendix D: Special Attention Envelope Ordering Procedures

BLM offers a selection of supplies, including Special Attention blue envelopes, through the BLM Printed Material Distribution Service (PMDS). Follow the steps below to place an order:

- Email the BLM group ordering email address at [BLM\\_OC\\_PMDS@blm.gov](mailto:BLM_OC_PMDS@blm.gov) to request the supply and price list.
- Review the list and select the items you want to order. PMDS has both small and large blue Special Attention envelopes.
- Email [BLM\\_OC\\_PMDS@blm.gov](mailto:BLM_OC_PMDS@blm.gov) to place your order.
- Include the following items in your email:
  - Numerical listing of items being requested (e.g., *DI-0318 Blue Special Attention Envelope Small - 3 boxes*).
  - Complete physical street address, including agency and office name, mail stop, city, state and ZIP code. (PMDS ships items via FedEx.)
  - Telephone and fax numbers.
  - Email address.
  - Credit card information including number, expiration date, and name as they appear on the card. (Note: The BLM email address is associated with a secure Departmental email account. However, if you are not comfortable putting credit card data in the email, include a sentence in the email instructing BLM to call to obtain credit card information.)

# Appendix E: Cost Reduction Strategies

Throughout this handbook, we have included cost reduction strategies. The checklist below summarizes some of the ways you can help the Service reduce its mailing costs.

Recommendation	Considerations	Reference
<b>Follow proper USPS and Service formatting guidelines</b>	<ul style="list-style-type: none"> <li>✓ Did you use a standard size envelope (if appropriate)?</li> <li>✓ Did you correctly address the mailpiece with a 5-digit ZIP code?</li> <li>✓ Did you include a mail stop in the address to facilitate delivery?</li> <li>✓ Did you use the correct amount of postage? (Using too much postage is wasteful; if you use too little postage, the USPS will return the mail.)</li> </ul>	Section 2.2
<b>Consider using electronic communications</b>	<ul style="list-style-type: none"> <li>✓ Does the recipient have access to the Internet?</li> <li>✓ Can you transmit the document electronically instead of by mail?</li> <li>✓ Have you considered scanning documents or using electronic signatures if appropriate?</li> </ul>	n/a
<b>Follow guidelines for using commercial postage meters and penalty mail</b>	<ul style="list-style-type: none"> <li>✓ Are you using a commercial postage meter (instead of a penalty meter) as directed by Service policy?</li> <li>✓ Has your office eliminated the use of penalty mail stamps?</li> </ul>	Chapter 3, all sections
<b>Use inter-office mail when appropriate</b>	<ul style="list-style-type: none"> <li>✓ Can you send your item using inter-office mail? Avoid sending mail via the USPS if inter-office mail is available (e.g., from FWS-WO to Main Interior).</li> <li>✓ What is the nature of the information you are sending? Can you use a "holey-Joe" instead of a blue Special Attention envelope?</li> <li>✓ Have you included a mail stop on your envelope?</li> </ul>	Section 2.2.2
<b>Consider when and how to use FedEx</b>	<ul style="list-style-type: none"> <li>✓ Can you send the package using USPS instead of FedEx? (USPS is often less expensive.)</li> <li>✓ Are you taking advantage of FedEx-negotiated rates by using the Department's BPA?</li> <li>✓ When does the item need to arrive at its destination? Is overnight service required or can you use FedEx Express Saver (third business day)?</li> <li>✓ Can you consolidate your item with other items going to the same location?</li> </ul>	Section 4.2
<b>Select a postage method that fits the size of your office/field station</b>	<ul style="list-style-type: none"> <li>✓ Is your office using stamps (instead of a postage meter) if your mail costs are less than \$1,000 annually?</li> <li>✓ Are your postage stamps stored in a secure location to deter theft?</li> </ul>	Chapter 3, all sections