

US. Department of Energy
Washington, D.C.

ORDER

DOE 1410.2
4-29-85

SUBJECT: MAIL MANAGEMENT

-
1. PURPOSE. To establish policy and set forth responsibilities for mail management within the Department of Energy (DOE).
 2. SCOPE. The provisions of this Order apply to all Departmental Elements and contractors performing work for the Department as provided by law and/or contract and as implemented by the appropriate contracting officer.
 3. REFERENCES.
 - a. DOE 1325.1A, DEPARTMENT OF ENERGY CORRESPONDENCE MANUAL, of 6-18-81, which describes the system for routing and controlling incoming correspondence and preparing all outgoing correspondence.
 - b. DOE 1410.1B, 'ROUTING SYMBOL SYSTEM, of 5-23-83, which establishes the routing symbol system to facilitate the distribution of mail and other communications.
 - c. DOE 5632.1, PHYSICAL PROTECTION OF CLASSIFIED MATTER, of 7-18-79, , which describes procedures for the physical protection of classified matter.
 - d. DOE 5635.1, CONTROL OF CLASSIFIED DOCUMENTS AND INFORMATION, of 11-24-80, which prescribe methods, procedures, and policies for handling and controlling classified mail.
 - e. Federal Property Management Regulations (FPMR), subpart 101-11.4, 'Disposition of Federal Records,' which describes the requirements for the retention of financial records.
 - f. General, Services Administration (GSA) Bulletin FPMR B-22, "Guidelines for Preparing U.S. Government Mail," which describes proper methods of preparing mail for Government agencies.
 - g. GSA, FPMR, subpart 101-11.304, which establishes and defines the mail management function.
 - h. GSA Records Management Handbook; "Managing the Mail," 1971, which gives guidance for economical and efficient handling of mail in Government agencies.

DISTRIBUTION:
All Departmental Elements

INITIATED BY: "
Office of Administrative
Services

- i. Joint Committee on Printing (JCP), "Government Printing and Binding Regulations," paragraph 31, "Mail lists," which regulates the upkeep of mailing lists, and paragraph 32, "Mailing: Self-Mailers Technique," which deals with the use of self-mailers.
 - j. Title 18, U. S. C., chapter 31, Paragraph 1719, which addresses misuse of official mail.
 - k. Title 39, U. S. C., chapter 32, which defines the use of penalty and franked mail by executive agencies.
 - l. U.S. Postal Service (USPS), "Domestic Mail Manual," which governs the domestic mail services offered by USPS.
 - m. USPS Publication 2, "Packaging for Mail," which describes proper way to prepare packaging for mailing.
 - n. USPS Publication 42, "Instruction for mailers," which provides regulations and guidance for international mail.
4. APPLICATION. The provisions in this Order apply only to unclassified matter. Procedures for handling classified documents are found in DOE 5635.1, CONTROL OF CLASSIFIED DOCUMENTS AND INFORMATION.
5. POLICY. It is DOE policy to ensure that all Department Elements use the most economical class and type of mail service available consistent with security requirements and operational needs and that they comply with USPS regulations, GSA bulletins and regulation, Joint Committee on Printing regulations, and the United States Code in all matters related to mail.
6. RESPONSIBILITIES.
- a. Director of Administration (MA-2).
 - (1) Administers the DOE mail management program.
 - (2) Establishes overall mail processing procedures for DOE.
 - b. Director of Administrative Services (MA-23).
 - (1) Provides staff guidance and assistance to all Departmental Elements on matters relating to mail management and processing.

- (2) Provides liaison with USPS and with other Government agencies regarding policy, standards, and other matters related to mail management and processing.
- (3) Establishes Departmentwide standards for the use of postal services and reviews the performance of all Departmental Elements in applying these standards.
- (4) Establishes and maintains effective mail processing methods and operations for Headquarters.
- (5) Assembles data from the official mail reports of all Departmental Elements and estimates the annual reimbursement due the USPS for postage and fees, except for field elements authorized to use other procedures. Enters into reimbursement agreements with the USPS for repayment of postage and fees for DOE mail.
- (6) Negotiates with USPS for waiver of application of the prescribed average postage rates when application of such rates would be inequitable.
- (7) Controls use of the permit numbers for Permit Imprints, Business Reply, Express Mail, and Third-Class Bulk Mail, and establishes guidelines for their use. Maintains records of permit use for payments to USPS. Negotiates requests for the use of these permits with USPS.
- (8) Serves as Departmental diplomatic pouch certification officer.
 - (a) Establishes procedures for, and advises and assists all Departmental Elements on the use of, the diplomatic pouch service.
 - (b) provides liaison with the diplomatic pouch and courier operations division, Department of State, for use of the diplomatic pouch service.
 - (c) Authenticates Departmental and contractor documents and packages for diplomatic pouch transmission.

c. Director of Safeguards and Security (DP-34).

- (1) Establishes Departmental policies and procedures for the transmission of all classified material.
- (2) Authorizes the transmission of classified documents and packages via diplomatic pouch facilities for Headquarters Elements.

4-29-85

- d. Executive Secretary (MA-29) receives and controls all congressional mail.
- e. Heads of Headquarters Elements.
- (1) Authorized transmission of unclassified documents and packages by diplomatic pouch.
 - (2) Submit requests for special mailing privileges and permits through the Director of Administrative Services.
 - (3) Assure that current locator information on their organization and personnel is available to mailroom staff.
- f. Heads of Field Elements.
- (1) Submit requests for special mailing privileges and permits through the Director of Administrative Services.
 - (2) Authorize transmission of classified and unclassified documents and packages by means of diplomatic pouch for organizations under their jurisdiction.
 - (3) Submit an annual report of official mailings to the Director of Administrative Services.
 - (4) Maintain liaison with local postmasters to assure efficient service.
 - (5) Establish such procedures as are necessary to assure the prompt and efficient handling of their incoming and outgoing mail.
- g. Program Managers shall notify the contracting officer at the time a procurement is initiated which parts of this Order should be implemented in the contract.

BY ORDER OF THE SECRETARY OF ENERGY:



WILLIAM S. HEFFELFINGER
Director of Administration

TABLE OF CONTENTS

CHAPTER I - GENERAL PROCEDURES FOR OFFICIAL U.S. , INTERNATIONAL
AND DIPLOMATIC POUCH MAIL Page

1. Official U.S. Mail
a. Indicia Requirement I-1
b. Classes of Mail and Special Service.....I-2
 (1) General I-2
 (2) Classes of Domestic Mail I-2
 (3) Special Services I-3
2. International Mail I-4
a. International Parcel Post and Air Parcel Post. I-4
b. Endorsements on International Mail I-4
3. Diplomatic Pouch Mail I-5

CHAPTER II - HEADQUARTERS PROCEDURES FOR INTERNAL AND POUCH
MAIL FOR FIELD ELEMENTS

1. Internal Procedures... . II-1
a. U.S. Government Messenger Envelope II-1
b. Address Formats II-1
 Figure II-1 - Correct Formats for Addressing Mail II-1
c. Delivery II-1
d. Controlled Mail II-1
e. Blue Pouch II-2
2. Pouch Mail for Field Elements from Headquarters II-2
 Figure II-2 - Field Elements Sending and Receiving
 Pouch Mail Daily II-2

CHAPTER III - MAIL PREPARATION

1. First-Class and Priority Mail III-1
a. First-Class Mail III-1
 Figure III-1 - First-Class Mail Requirements... . III-1
b. Priority Mail III-2
 Figure III-2 - Priority Mail Requirements III-2
 Figure III-3 - Example of a Priority Mail Endorsement III-2
c. Presorted First-Class Mail III-3
 (1) Description III-3
 (2) Requirements III-3

- 2. Second-Class and Controlled-Circulation Mail..... III-3
 - a. Description..... III-3
 - Figure III-4 - Example of a Presort Endorsement III-4
 - Requirements III-5
- 3. Third-Class Mail III-5
 - a. Requirements and Rates for Single-Piece and Bulk Mail. III-5
 - Figure III-5 - Example of a Second-Class Endorsement. III-5
 - Figure III-6 - Example of a Third-Class Endorsement III-5
 - Figure III-7 - Third-Class Mail Requirements. III-6
 - Figure III-8 - Example of a Third-Class Bulk Rate Endorsement. III-8
 - b. Carrier Route presort. III-8
- 4. Fourth-Class Mail. III-8
 - a. Description. III-8
 - b. Requirements and Rates III-9
 - Figure 111-9 - Parcel Post Requirements III-9
 - Figure 111-10 - Example of a Fourth-Class Endorsement . . . III-10
- 5. postage permit Imprints. III-11
 - a. Description and Procedures III-11
 - b. Requirements and Rates III-12
 - Figure 111-11 - Application for Permit to Authorize Contractor Use of Official Indicia. . . . III-13
 - c. Contractor Procedures. III-14
- 6. Business Reply Mail. III-16
 - Description. III-16
 - b. Application. III-16
 - Figure 111-12 - Illustration of Business Reply Mail III-16
 - c. Procedures III-17
- 7. Minimum Size Requirements. III-19
 - Surcharge for Nonstandard-Size Mail. III-19
 - b: Minimum Size III-19
 - c. Enforcement. III-19

(Note: Additional procedural chapters to this Order will be published to implement and supplement the U.S. Postal Service "Domestic Mail Manual," Federal Property Management Regulations and DOE 1325.1A; CORRESPONDENCE MANUAL, as required.)

CHAPTER I

GENERAL PROCEDURES FOR OFFICIAL U.S. , INTERNATIONAL, AND
DIPLOMATIC POUCH MAIL

1. OFFICIAL U.S. MAIL.

- a. Indicia Requirement. The use of envelopes with indicia, in lieu of postage stamps, simplifies and expedites the mailing process. DOE reimburses the U.S. Postal Service annually to cover the use of DOE indicia mail.
- (1) Official DOE mail sent through the U.S. Postal Service must be sent in an envelope with "Postage and Fees Paid" indicia or in a package with an indicia label. (If the mailing label and the printed envelope both have indicia on them, it does not result in a double postage fee.) The indicia shall be as prescribed in section 137.24 of the USPS "Domestic Mail Manual."
 - (a) Outgoing correspondence should include the sender's routing symbol under the return address printed on the envelope. Without this, mail returned to DOE is difficult to trace. A complete return address should be included in the body of the correspondence when a response is expected.
 - (b) The bottom line of the outgoing mail address should be city, State, ZIP Code, "attention."
 - (2) Return envelopes with indicia cannot be enclosed in a mailing for transmitting requested or required responses. Arrangements must be made with the Director of Administrative Services, MA-23, for providing "Business Reply" forms.
 - (3) All Departmental Elements are responsible for controlling the use of indicia within their organizations and for preventing the use of official envelopes, labels, and mailing tags for unofficial purposes.
 - (a) The use of postage-paid Departmental envelopes (penalty mail) for personal purposes is strictly prohibited and a violation of Title 18 U.S.C. 1719 and is subject to a fine of up to \$300 per violation.
 - (b) Under the provisions of 10 CFR part 1010, published as a final regulation in the "Federal Register" of 4-26-79, personal use of penalty mail is a violation of DOE standards of conduct and may result in disciplinary actions.

- (4) Mail dispatched by DOE through the U.S. Postal Service is sampled twice annually for the purpose of reimbursing the Postal Service. Heads of Field Elements shall be notified by the Director of Administrative Services of the dates selected. In addition, all mail dispatched by contractors on behalf of DOE must be reported to the U.S. Postal Services for the purpose of reimbursement.
- (5) All records regarding mail counts and postage and fee computations shall be retained for 6 years, in accordance with FPMR 101.11. , "General Records Schedule 12, " Item No. 7, for audit or other review purposes.

b. Classes of Mail and Special Services.

(1) General.

- (a) Many postal classes and special services are provided by the U.S. Postal Service. Guidelines in this Order governing their use should be followed.
- (b) To assure timely receipt and economy, the class of mail and any special services should be selected on the basis of the priority of the material being mailed. Consult the Chief of Mail, Transportation, and Travel, MA-235.1, to determine the appropriate class or service. For each mailing, it is the responsibility of the originating organization to determine the class and special service required and to prepare the material for mailing.
- (c) Unless otherwise marked, the mailroom shall dispatch all envelopes weighing 12 ounces or less as first-class mail and all other at the lowest rate.

- (2) Classes of Domestic Mail. To assure receiving the service desired and to avoid the need for judgmental decisions by Postal Service employees, all mail larger than letter size should be endorsed (marked) with the type of service" desired. The endorsement should appear in the area between the indicia and the mailing address in letters approximately one-half inch high. Improperly endorsed mail may be delayed in delivery or refused by the Postal Service.

- (a) First-Class Mail is the highest priority surface mail. Post cards, letters, and flats weighing 12 ounces or less shall receive first-class service unless otherwise endorsed. All mail exceeding 12 ounces and endorsed "Priority Mail" is treated as first-class mail. The minimum dimension for mailable envelopes, cards, and self-mailers is 3 1/2 by 5 inches and .007 inches in thickness. Priority mail may not exceed 70 pounds in weight or 108 inches in combined length and girth. For heavy packages, see Special Services and Special Handling.
 - (b) Second-Class Mail is used for periodicals which meet certain U.S. Postal Service requirements. Publications designed primarily for free circulation do not qualify for second-class privileges. Applications for second-class mailing privileges are available from the Office of Administrative Services.
 - (c) Third-Class Mail should be used for all nonurgent printed materials, circulars, books, catalogs, and parcels weighing more than 1 ounce and less than 16 ounces, because it is less costly than other classes of service.
 - (d) Third-Class Bulk Rates can be used for mailing identical pieces totaling at least 50 pounds or 300 pieces. Such mailings must be presorted by ZIP Code. This is the least expensive service available for printed matter weighing less than 8 ounces.
 - (e) Fourth-Class Mail is the least expensive service available for nonprinted matter. This service is not available for parcels weighing less than 1 pound or exceeding 40 pounds or 84 inches in combined length and girth.
 - (f) Special Fourth-Class Mail can be used for publications containing at least 24 bound pages, 22 or more of which are printed matter. These publications may not contain advertising except incidental announcements of books. Such publications which weigh more than 8 ounces and so do not qualify for the third-class bulk rate should be mailed at a special fourth-class book rate.
- (3) Special Services are offered by the USPS to guarantee delivery, provide indemnity, and expedite delivery of mail. Because most of these services are costly, they should only be used when the cost justifies the benefits the service can provide.
- (a) Registered Mail is available for mail requiring extra security, protection, and indemnity in case of loss or damages (see DOE 5635.1 for handling classified correspondence). It provides a

receipt to the sender at time of mailing and a post office record of mailing and handling. This service is available for first-class and priority mail only.

- (b) Certified Mail provides regular first-class service with a record of delivery. Only domestic first-class or priority mail can be certified. Certified mail should be used only when required by law, for mailing confidential material (see DOE 5635.1), or when deemed absolutely essential.
 - (c) Special Delivery provides delivery as soon as practicable after mail arrives at the addressee's post office. In most cases, the advantage of special delivery is not worth the cost and the use of this special service is not recommended.
 - (d) Special Handling is a less costly alternative to priority rate for sending packages which need to be delivered in a short time. By paying the extra fee for special handling, third-class and fourth-class packages will receive the same treatment as first-class, and the standards for delivery of first-class mail apply.
 - (e) Return Receipts provide proof of delivery. They may be obtained when sending registered or certified mail. Due to the additional costs, return receipts should be used only when absolutely necessary or required by law.
 - (f) Express Mail is the fastest and most expensive USPS service available for intercity delivery. This service may be used only in the most extreme circumstances. The use of express mail instead of first-class or priority service must be justified in writing, approved by the head of the mailroom, and processed through the official mailroom control point.
2. INTERNATIONAL MAIL includes Universal Postal Union mail and parcel post destined for foreign countries. Mail sent to Army Post Offices (APO'S) or Fleet Post Offices (FPO's) is considered international mail. For information on mail preparation, customs forms, and limitations on international delivery, consult USPS Publication 42 or MA-235.1.
- a. International Parcel Post and Air Parcel Post. Consult USPS Publication for specific information on rates, weights and dimension limits, packaging suggestions, customs declarations, and special services for international parcel post and air parcel post.
 - b. Endorsements on International Mail. Printed matter addressed to foreign countries must bear endorsements prescribed by the Universal Postal Union. Rates for these different classes- are given in section 223.52a, USPS Publication 42. These endorsements differ from the endorsements required on domestic mailings of printed matter.

3. Diplomatic Pouch Mail services are limited to the transmission of essential, official matter when this serves the best interests of the United States.
 - a. All diplomatic pouch material shall meet the following size and weight restrictions:
 - (1) "Air pouch: maximum weight 24 pounds, maximum length 18 inches.
 - (2) Surface pouch: maximum weight 40 pounds, maximum length 24 inches.
 - b. Address wrappers and/or envelopes shall be addressed to intended recipients by name and title and," when appropriate, the foreign service post. Indicate desired means of conveyance, i.e., via surface pouch or air pouch.
 - c. Field elements should affix an outer wrapper addressed to:

U.S. Department of Energy
Chief of Mail, Transportation, and
Travel Management Branch, MA-235. 1
Washington, DC 20585
 - d. All Headquarters diplomatic pouch material should be directed to the Chief of Mail, Transportation, and Travel Management Branch, MA-235.1.

CHAPTER II
HEADQUARTERS PROCEDURES FOR INTERNAL AND POUCH MAIL
FOR FIELD ELEMENTS

1. INTERNAL PROCEDURES.

- a. U.S. Government Messenger Envelope. All Items to be handled by the internal mail system must be properly packaged. For most correspondence, a Standard Form 65, "U.S. Government Messenger Envelope," is sufficient. Correspondence addressed only with a routing slip is easily separated from the routing slip. Indicia envelopes shall not be used in the internal mail system.
- b. Address Formats. Mail with an incorrect or insufficient address cannot undergo regular sorting and delivery, but requires special locator service. This slows down delivery. All employees are urged to use proper and complete addresses on internal correspondence and to ensure that people with whom they correspond outside the Department are aware of their proper DOE address. The correct formats for addressing mail are shown in Figure II-1.

<u>INTERNAL MAIL</u>	<u>POSTAL SERVICE MAIL</u>
-Addressee's Name	-Addressee's Name
-Title	-Title, Routing Symbol
-Routing Symbol	-Building Code
-Building Code	-U.S. Department of Energy
	-City, State, ZIP Code

Figure II-1
Correct Formats for Addressing Mail

- c. Delivery within and between buildings is scheduled to provide the most cost-effective service possible. Delivery schedules and postal service pickup/delivery schedules are posted in the Headquarters mailroom.
- d. Controlled Mail consists of all mail for which the mailroom maintains a records, such as registered, certified, express, and insured mail. Recipients sign a receipt (HQ F 1410.2) when controlled mail is received. "The receipts are retained for 1 year by mailroom personnel."

e. Blue Pouch Mail is an expedited service between Headquarters buildings. Schedules of available service are posted in the various Headquarters mailrooms. The sender is responsible for preparing the package (using DOE F 1450.1, "Blue Pouch Messenger Envelope"), taking it to the central mailroom, and advising the recipient of the time at which the package will arrive at the receiving mail room. The recipient is responsible for picking up the package from the receiving mail room. Properly used, this service is less extensive and as fast as special messenger service.

2. POUCH MAIL FOR FIELD ELEMENTS FROM HEADQUARTERS. DOE field elements listed below (Figure II-2) send and receive daily batch pouches to and from Headquarters. Material going to the field in these pouches should be prepared as for internal mail, with a clear address indicated. Such material must be received in the Forrestal or Germantown mailroom by 3:30 p.m. to be included in the same day's pouch.

<u>ENERGY TECHNOLOGY CENTERS</u>			
Pittsburgh	(PETC)	Morgantown	(METC)
<u>OPERATIONS OFFICES</u>			
Albuquerque	(AL)	Chicago	(CH)
Idaho	(ID)	Nevada	
Oak Ridge	(OR)	Richland	(RL)
San Francisco	(SAN)	Savannah River	(SR)
<u>LABORATORIES</u>			
Argonne	(ANL)	Brookhaven	(BNL)
Lawrence Berkeley	(LBL)	Lawrence Livermore	(LLNL)
Los Alamos	(LASL)	Oak Ridge	(ORNL)
Pacific Northwest	(PNL)	Environmental Measurements	(EML)
Sandia, Albuquerque	(SASL)	Sandia, Livermore	(SL)
<u>OTHER</u>			
Office of Scientific and Technical Information		Bartlesville Project Office	(BPO)

Figure II-2
Field Elements Sending and Receiving Pouch Mail Daily

CHAPTER 111
MAIL PREPARATION

1. FIRST-CLASS AND PRIORITY MAIL.

a. First-Class Mail.

- (1) Mail weighing 12 ounces or less receives expeditious handling and transportation when it consists of mailable postal cards, matter wholly or partially handwritten or typed, matter closed against postal inspection, bills, and statements of accounts. Requirements for first-class mail are shown in Figure III-1. (All postal rates and requirements are subject to change by the U.S. Postal Service.)
- (2) First-class mail is automatically forwarded or, if undeliverable, returned to sender at no extra charge. Address correction service can be provided at a cost of 25 cents per address (requires special endorsement).

ENVELOPES, SELF-MAILERS

Small: Up to 6.125 by 11.5 inches, weighing 2 ounces or less.

Medium: Up to 11 by 13 inches, weighing over 2 ounces but not over 5 ounces.

Large: Up to 11 by 13 inches, weighing over 5 ounces but not over 12 ounces.

Nonstandard: Larger than 6.125 by 11.5 by 25 inches, but weighing 1 ounce or less.

POSTAL CARDS

Not less than 3.5 by 5 by .007 inches nor larger than 4.125 by 6 by .0095 inches.

Figure 111-1
First-Class Mail Requirements

b. Priority Mail.

- (1) First-class mail weighing more than 12 ounces and other mail which requires expeditious-handling and transportation, with a maximum weight of 70 pounds may be sent as priority mail. The word "PRIORITY" must be placed prominently on each piece of mail. Requirements are shown in Figure III-2. Figure III-3 is an example of a properly prepared priority mail envelope.
- (2) Priority mail is automatically forwarded or, if undeliverable, returned to sender at no extra charge. Address correction service can be provided at a cost of 25 cents per address (requires special endorsement).

<u>ENVELOPES</u>	
Over 12 ounces but not over 2 pounds.	
<u>PACKAGES</u>	
<u>Small:</u>	14 pounds or less.
<u>Medium:</u>	Over 14 pounds but not over 27 pounds.
<u>Large:</u>	Over 27 pounds but not <i>over 40</i> pounds.
<u>Extra Large:</u>	Over 40 pounds but not over 70 pounds.

Figure III-2
Priority Mail Requirements

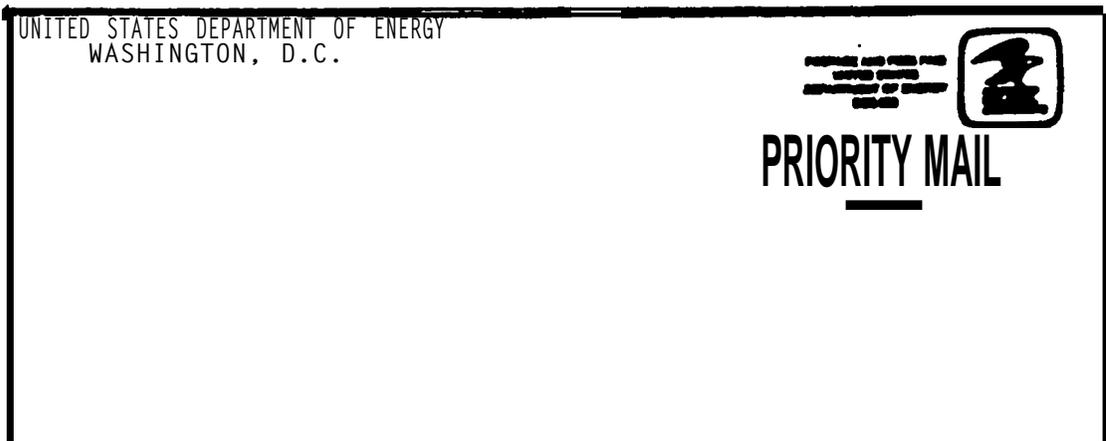


Figure III-3
Example of a Priority Mail Endorsement

c. Presorted First-Class Mail.

(1) Description.

- (a) The presorted first-class mail rate is equal to the single-piece rate less 2 cents for each letter and 1 cent for each card that is part of any group of:
 - 1 10 or more pieces sorted to the same 5-digit ZIP Code prefix;
or
 - 2 50 or more pieces sorted to the same 3-digit ZIP Code prefix.
- (b) The mail must be presented at one post office as part of a single mailing of not less than 500 pieces of first-class mail of identical size and weight, each weighing 12 ounces or less.
- (c) Full first-class postage must be paid on the residue of the 500 pieces not sorted to groups of 5 or 3 ZIP Code digits.

(2) Requirements.

- (a) Mail must be presorted and otherwise prepared in accordance with USPS, "Domestic Mail Manual," chapter 3.
- (b) Mailings made at presort discount rates must be paid by permit imprint.
- (c) Mailers who qualify for the first-class presort discount must complete and submit a mailing statement, USPS Form 3602, with each mailing. When verification reveals a disqualification for the 2-cents per presort discount, the mailer may elect to Pay full rates in lieu of correcting the deficiency.
- (d) The identifying words "PRESORTED FIRST-CLASS" must be incorporated as part of the permit imprint. "PRESORTED FIRST-CLASS" and the permit imprint may be overprinted on indicia envelopes (postage and fees indicia must be totally obliterated). Figure III-4 is an example of an envelope with presort endorsement.

2. SECOND-CLASS AND CONTROLLED-CIRCULATION MAIL.

- a. Description. Second-class mail consists of newspapers and periodical publications which meet the following requirements:

- (1) Issued at a stated frequency of no less than four issues per year.
- (2) Issued and mailed at a known office of publication.

4-29-85

- (3) Published to disseminate information of public character.
- (4) Have a list of paid subscribers. Free or nominal rate publications do not qualify.

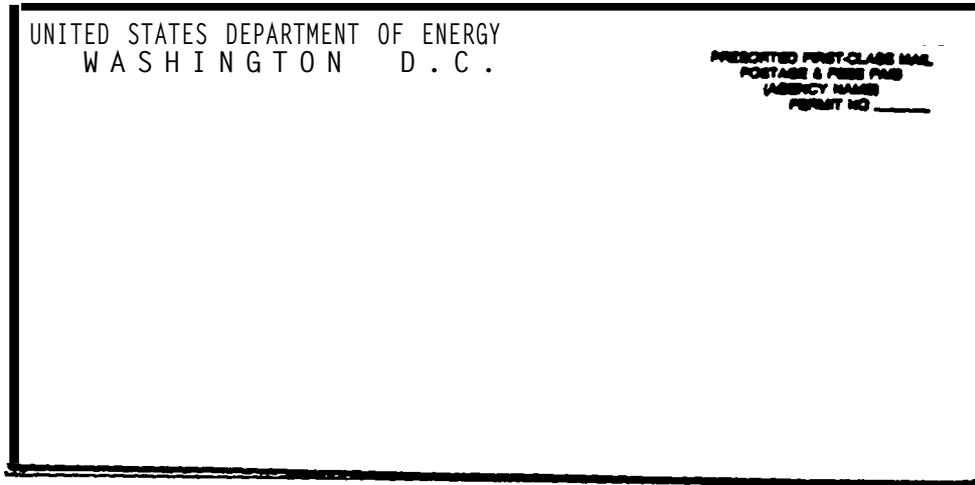


Figure III-4
Example of a Presort Endorsement

b. Requirements.

- (1) Application must be made and approved in accordance with section W137.273b, "U.S. Postal Service Manual, "before publications can be mailed at second-class rates. A fee of \$160 is charged for each original-entry second-class application. Applications should be processed through the Chief of Mail, Transportation, and Travel Management.
- (2) Official mail approved for second-class rates must be presorted and otherwise prepared and mailed in accordance with USPS, "Domestic Mail Manual," chapter 4. Consult the Chief of Mail, Transportation, and Travel Management. Endorsement must be specifically authorized and requires official application. Figure III-5 is an example of an envelope with a second-class endorsement.

3. THIRD-CLASS MAIL.

a. Requirements and Rates for Single-Piece and Bulk Mail.

- (1) The Single-piece Rate is applied to each piece according to its weight. No presort or special preparation is required. Pieces should be endorsed "THIRD-CLASS." Figure III-6 is an example of an envelope with a third-class endorsement figure III-7 details third-class mail requirements.

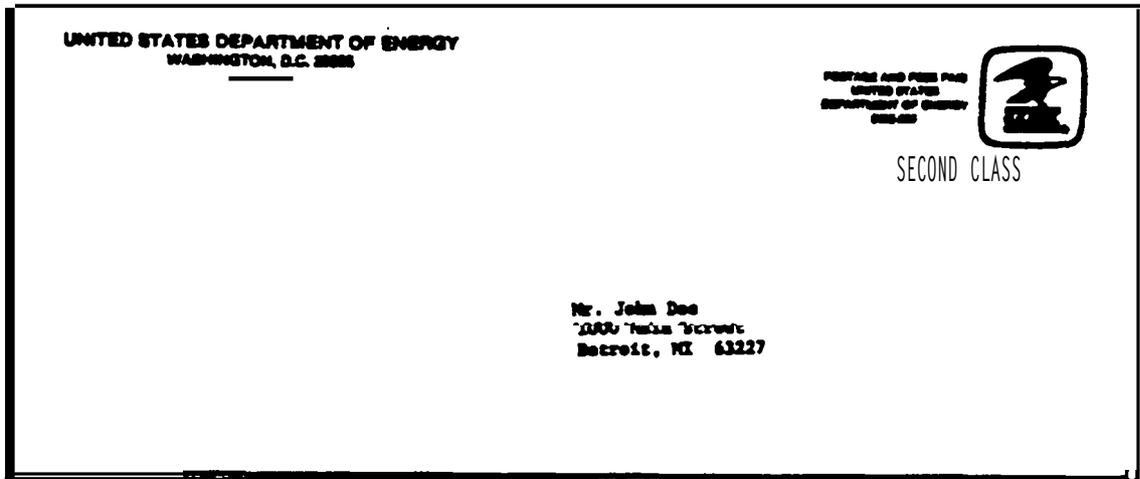


Figure III-5
Example of a Second-Class Endorsement

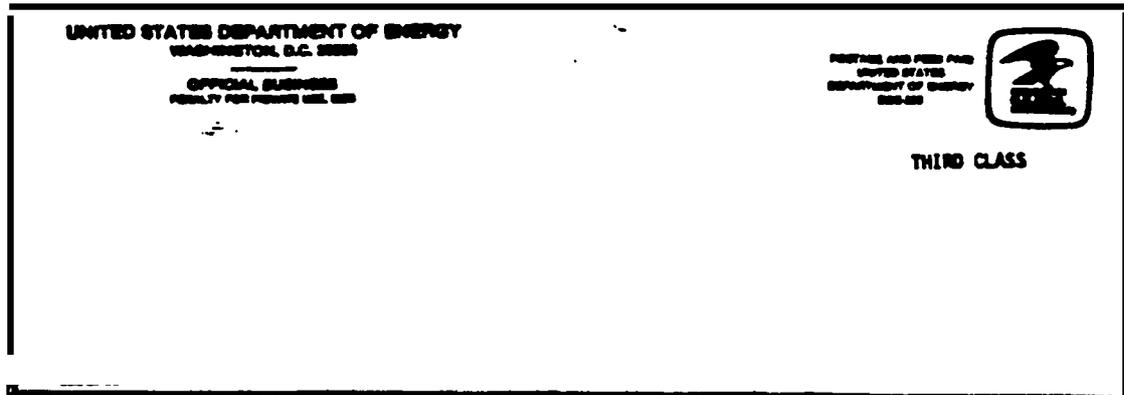


Figure III-6
Example of a Third-Class Endorsement

(2) Third-Class Bulk Rates may be applied to mailings of identical pieces separately addressed to different addressees in quantities of not less than 50 pounds or 200 pieces. All pieces in a bulk mailing must be identical in size and weight, but the printed text need not be identical. Postage is computed at pound-rates on the entire bulk mailed at one time, but in no case shall less than the minimum charge per piece be paid.

(a) The minimum rate per piece for third-class bulk penalty mail consisting of merchandise or miscellaneous printed matter weighing less than 16 ounces is \$0.084 per piece. The bulk third-class pound rate is \$0.41 per pound.

<u>Small:</u>	Up to 6.125 by 11.5 inches, weighing 2 ounces or less.
<u>Medium:</u>	Larger than 6.125 by 11.5 inches, weighing over 2 ounces but not over 8 ounces.
<u>Large:</u>	Weighing over 8 ounces but less than 16 ounces.
<u>Nonstandard:</u>	Larger than 6.125 by .25 inches, weighing 1 ounce or less.

Figure III-7
Third-Class Mail Requirements

(b) To qualify as a book or catalog mailable at bulk third-class rates, the item must weigh less than 1 pound and have 24 or more bound pages, at least 22 of which are printed. The bulk third-class rate for books or catalogs is \$0.36 per pound with a minimum of \$0.084 per piece. Books weighing 1-pound or more may be mailed as fourth-class.

(3) Avoid mailing third-class bulk penalty mail during the following peak mailing periods:

(a) The last week of November and throughout the month of December.

(b) From the 1st to the 5th and from the 26th to the end of the month.

- (4) Official mail sent under third-class bulk rates must be presorted and otherwise meet the preparation requirements of USPS, "Domestic Mail Manual," chapter 6. The address side of each piece, or its envelope or wrapper, must be plainly marked "THIRD-CLASS BULK RATE," preferably in a position beneath the postage and fees paid indicia and above the address of the recipient. Figure III-8 is an example of a "third-class bulk-rate endorsement.
- (5) Third-class bulk rate mail must be presented for mailing at a post office. A USPS Form 3602-PC must be completed in duplicate by the mailing agency and presented to the post office at the time of mailing. The duplicate copy will be initialed by the accepting postal employee after verification and returned to the mailer, who shall provide a copy to the Chief of Mail, Transportation, and Travel Management Branch, MA-235.1, Washington, DC 20585. The following items must be completed on the USPS Form 3602-PC:
 - (a) Name of agency;
 - (b) Address of agency;
 - (c) Telephone number of person to contact concerning mailing;
 - (d) Signature of agency representative;
 - (e) post office of entry and ZIP Code;
 - (f) Date and total number of pieces in mailing;
 - (g) Designation of type of matter mailed, such as circulars, books, or catalogs, as indicated by appropriate block; and
 - (h) The weight of a single piece indicated in ounces and carried five places to the right of the decimal point. Examples:
 - 1 1 ounce to be written as 1.00000;
 - 2 2/3 oz. to be written as .66667.
 - (i) Varying weight pieces are not to be entered on the same USPS Form 3602-PC. Each weight category must meet the minimum weight/piece category and may not be combined to meet the minimum requirement for mailing as third-class bulk rate matter.

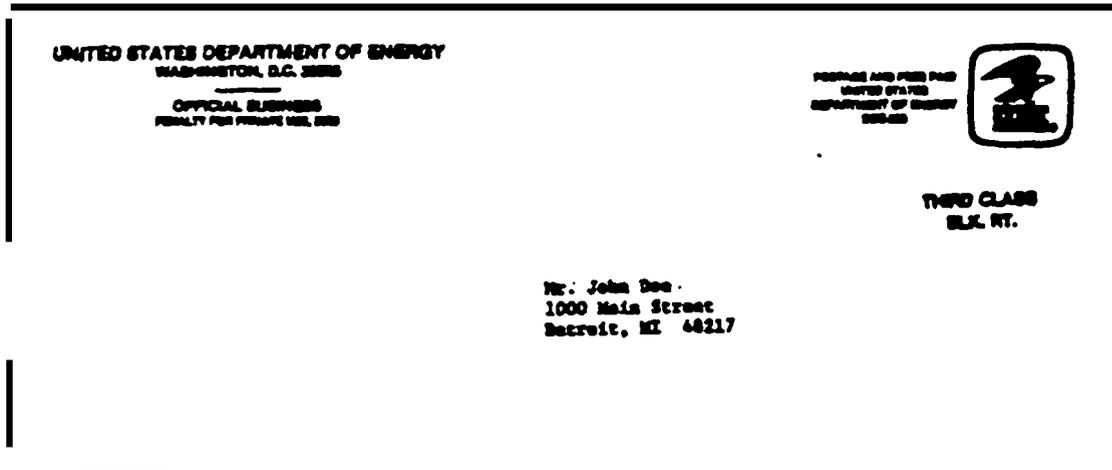


Figure III-8
Example of a Third-Class Bulk Rate Endorsement

- (6) If third-class bulk mail is not prepared in accordance with U.S. Postal Service regulations, the local postmaster will accept the mail and file an exception report with the Manager of the Government Revenue and Examination Branch. The mailing agency will be billed at the regular third-class, single-piece rate.
- (7) Federal agencies may apply by letter or memorandum to mail at regular third-class bulk rates. Applications may be filed at the post office where the mailings will be presorted or sent directly to the Director of the Office Of Mail Classification, U.S. Postal Service, Washington, DC 20260. Applications filed at the local post office will be forwarded by the postmaster.
- b. Carrier Route Presort. According to the Domestic Mail Manual, Section 360, this classification was implemented on 1-28-79 on a temporary basis. For information concerning this new rate consult the Chief of Mail, Transportation and Travel Management, or the appropriate local field post office.
4. FOURTH-CLASS MAIL.
- a. Description. Fourth-class mail consists of mailable matter not mailed or required to be mailed as first-class, weighing 16 ounces or more, and not entered as second-class mail. Maximum weight is 40 pounds. Five fourth-class rate categories are available to Federal agencies.

b. Requirements and Rates.

- (1) Single-Piece Zone Rate (Parcel Post) is available for all items meeting the fourth-class definition. No endorsement is required; however, a "PARCEL POST" endorsement is recommended. Parcel post categories are described in Figure III-9.

Small: 14 pounds **or** less.

Medium: Over 14 pounds but not over 27 pounds.

Large: Over 27 pounds but not over 40 pounds.

Extra Large: Over 40 pounds but not over 70 pounds.

Figure III-9
Parcel Post Requirements

- (2) Bulk Zone Rates (Parcel Post) apply to mailings of 300 or more pieces of fourth-class mail of identical weight. The rate to be paid on each piece shall be the single-piece rate for that weight for a parcel going to that zone. Mailers must separate pieces by zone, prepare the mailing under permit imprint procedures, and present USPS Form 3605, "Statement of Mail-Bulk Zone Rates," to the post office at the time of mailing. The requirement for identical pieces and separation by zone can be waived if the mailer can otherwise provide records to permit accurate verification audit of bulk rate parcel mailing. The USPS Manager, Government Revenue and Examination Branch, must grant such waivers and specifically approve procedures for the acceptance of such mailing.
- (3) Special Fourth-Class Rate (Books) applies to pieces containing at least 4 pages, at least **22** of which are printed and consist wholly of reading matter with incidental blank spaces for notations. It may not contain advertising except incidental announcements of books. Pieces must be endorsed "SPECIAL FOURTH-CLASS RATE (per Postal Bulletin of 4-19-79) on the address side. The full fourth-class book rate for each piece is \$0.63 for the first pound and \$0.23 for each additional pound or fraction thereof through 7 pounds, and then \$0.14 a pound for each additional pound. Items such as films and sound recordings may also be sent at this rate. Consult with MA-235.1 for additional information and required endorsement. See Figure 111-10 for an example of a fourth-class endorsement.

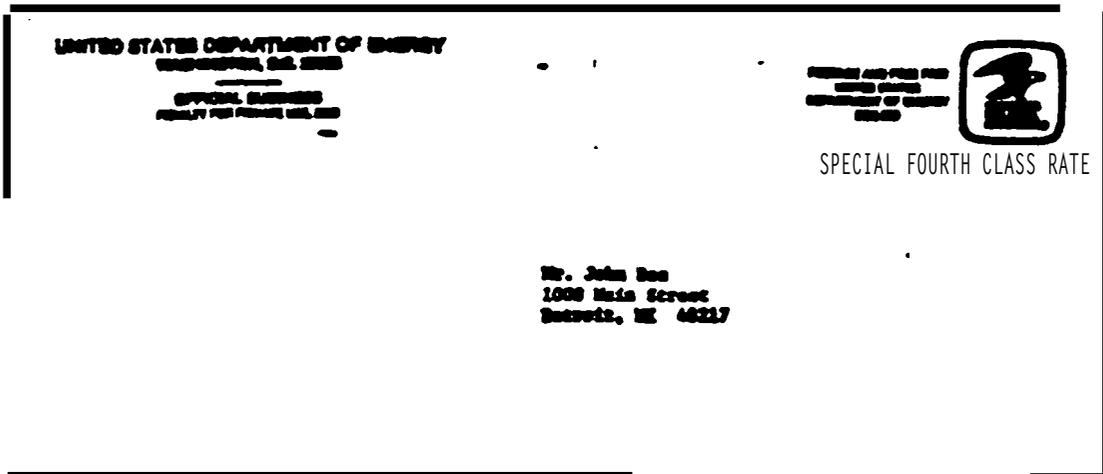


Figure III-10
Example of a Fourth-Class Endorsement

(4) Bound Printed Matter.

(a) Only specifically described material may be mailed at the bound printed matter rates contained in USPS, "Domestic Mail Manual," chapter 7. Bound printed matter is fourth-class matter that weighs 1 pound or more but less than 10 pounds and which:

- 1 Consists of advertising; promotional, directory, or editorial material; or any combination of these.
- 2 Is securely bound by permanent fastenings such as staples, spiral binding, glue, or stitching. Looseleaf binders and similar fastenings are not considered permanent.
- 3 Consists of sheets of which at least 90 percent are imprinted with letters, characters, figures, or images, or any combination of these, by a process other than handwriting or typewriting.
- 4 Is not personal correspondence.
- 5 Is not a book eligible for mailing as special fourth-class rate mail.
- 6 Is not a book which would be eligible for mailing as special fourth-class rate mail but for the inclusion of advertising matter other than incidental announcements of books that are not permanently bound in the book or do not form an integral part of the book.
- 7 Is not stationery, such as pads of blank printed forms.

- (b) The words "BOUND PRINTED MATTER" must be printed or rubber stamped conspicuously on the address side of each single-piece rate article, its envelope, or wrapper, preferably in a position beneath the postage and fees paid indicia and above the address of the recipient. Mailings must have permit imprints and be prepared in accordance with bulk mailing procedures. A completed USPS Form 3605 must be presented with the mail at the post office when bound printed matter is sent at bulk rates.
- (5) Special Fourth-Class Bulk Presort Discount of the single-piece rate is available on mailings of special fourth-class rate matter presorted and otherwise prepared in accordance with USPS, "Domestic Mail Manual," chapter 7. Mailings in these categories must be mailed under permit imprint procedures. The word "PRESORTED" must be incorporated as part of the permit imprint or be printed (or rubber stamped by the mailer on each piece above the address and immediately below or to the left of the permit imprint. There are two discount categories:
 - (a) Discount Level A, 7 cents per piece, applies to 500 or more sackable pieces or 500 or more unpackable presorted pieces.
 - (b) Discount Level B, 4 cents per piece, applies to 2,000 or more sackable presorted pieces.

5. POSTAGE PERMIT IMPRINTS.

a. Description and Procedures.

- (1) Permit imprints are available to Government agencies to facilitate accountability procedures for large centralized mailings; are required for all first-class, third-class, third-class piece rate, and fourth-class mail when contractors are employed to handle the mailings; and are required unless a meter is used for presort discount and fourth-class bulk rate mailings mailed by a Government agency.
- (2) Authorization for a Government agency to use permit imprints and be billed centrally by the Manager of the Government Revenue and Examination Branch, U.S. Postal Service Headquarters, may be obtained by submitting a letter, memorandum, or USPS Form 3601, "Application to Mail Without Affixing Postage Stamps," to the post office where the mailings will be made or to the Director of the Office of Mail Classification, U.S. Postal Service, Washington, DC 20260. A \$40 application fee will be added to the initial billing to the agency for permit imprint service. An application is required for each mailing point (post office). Applications are prepared by the Office of Administrative Services. Questions should be directed to the

“Chief of Mail, Transportation, and Travel Management. There is no other fee for use of permit imprints as long as the permit is active. Official mail sent under permit imprint shall meet the provisions of USPS, ‘Domestic Mail Manual,’ chapter 1, part 145.

- (3) Permit imprints may be made by a printing press, handstamp lithography, mimeograph, Multigraph, Addressograph, or similar device. They may not be typewritten or hand drawn. The imprints must match, both in type and content, one of the forms shown in Figure 111-11. No other forms of imprints may be used. The imprint must be legible and of a color that contrasts sufficiently with the paper to make the imprint readable. The entire imprint must be placed in the upper right corner of the address side of each piece, parallel with the length of the piece.

b. Requirements and Rates.

- (1) Except as stated in USPS, “Domestic Mail Manual,” chapter 1, part 145. minimum quantities that can be mailed at one time are as follows:
 - (a) First-Class Mail. Three hundred pieces of identical weight.
 - (b) First-Class Presort Rate. Five hundred pieces of identical size and weight.
 - (c) Fourth-Class Mail. Two hundred fifty pieces of identical matter.
 - (d) Special Fourth-Class Presort Rate. Five hundred or more pieces of identical matter for the Level A rate; 2,000 or more pieces of identical matter for the Level B rate.
 - (e) International Mail. Three hundred pieces of identical matter (see USPS Publication 42, “International Mail”).
- (2) When any mailing consists of less than the required minimum, an explanation may be entered on USPS Form 3602, “Statement of Mailing Matter With Permit Imprints.” Exceptions may be made for the following reasons only:
 - (a) First-Class Mail. Occasional exception for a mailer whose total daily mailings are not much more than 300 pieces but who, to cooperate with the post office, presents a portion of his or her mailings early in the day.

Exhibit F

Subject: Application for Contractor Use of Agency Official Mail

To: Manager
Government Revenue and
Examination Branch
Finance Department
U. S. Postal Service
Washington, DC 20260

Date of Request

From: Agency
Department or Bureau
Address
Contact Person
Telephone No.

**TO BE COMPLETED
BY USPS**

Agency Number

Assigned Number

Identity of Contractor
Name
Address

Point of Entry
Post Office
Address

Type of Service

Permit Imprint

Third Class Bulk Rate

Postage Meter

Second Class or Controlled Circulation

Permit No.

Approved by: _____

Date:

USPS Distribution
cc: To Agency
Post Office of Entry
Files

Figure 111-11
Application for Permit to Authorize Contractor
Use of Official Indicia

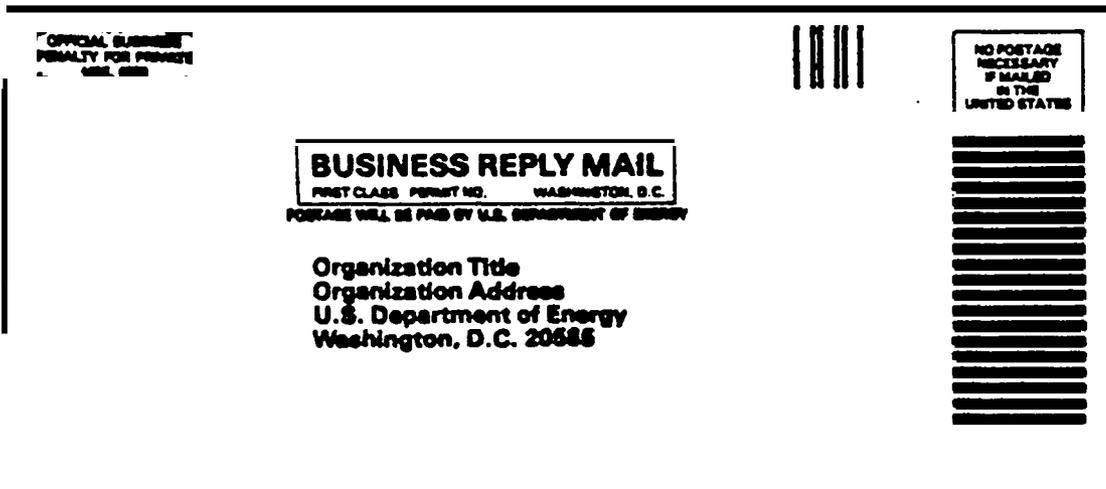
4-29-85

- (b) All Classes of Mail. When a large mailing extends over 2 or more consecutive days and the last deposit which complete the mailing is less than the minimum.
- (3) The mailer must arrange all pieces in a permit imprint mailing with the address side facing the same way. It is recommended that the mailer separate the pieces to the finest extent possible in toe-w manner prescribed in USPS, "Domestic Mail Manual," chapter 1, part 145.63. Each class of mail requires a separate USPS Form 3602. Fourth-class mailings on which postage is paid at different zone rates must be separated according to the postage chargeable on each piece.
- (4) The mailer must deposit mail at the post office authorized by the Director of the Office of Mail Classification, USPS, or at a station or branch of the post office designated by the postmaster. Permit imprint mail shall be accepted at the main post office or at classified stations and branches where there is a separation of financial and mail-handling activities.
- (5) The mailer must prepare and sign a USPS Form 3602 or 3605 for each . The form must be completed (in duplicate), in ink, indelible pencil, or by typewriter, with the mailer's address, permit number, class of mail, number of pieces in the mailing, and weight of a single piece. The duplicate copy will be initialed by the accepting postal employee after verification and returned to the mailer, who will provide a copy to the Chief of Mail, Transportation, and Travel Management, MA-235.1, Washington, DC 20585.
- c. Contractor Procedures. Federal Government agencies which engage contractors, either directly or through the Government Printing Office, to handle official mailings must obtain a permit for the contractor before such mailings may be entered into the mainstream. Basic requirements are as follows:
- (1) A separate application must be submitted for each contractor on an annual basis.
- (2) The method of mailing must be permit imprint, third-class bulk rate permit, second-class or controlled circulation, the postage meter concept prescribed for Federal Government agencies, or express mail.
- (3) Mailing contractors and the point of entry through which they will mail must be fully identified. Improperly prepared mail may be refused by the receiving post office. Also, contractors not properly identified to the U.S. Postal Service may not be able to enter matter into the mainstream.

- (4) When permit imprint is used, format and procedures described at page 111-11, paragraph 5, should be used. A fee of \$40 is required for each post office of entry. An application identifying each mailing point is required for each contractor.
- (5) A USPS Form 3602 must be prepared in full for each mailing. If a receipt is desired, the mailer must present a duplicate copy of USPS Form 3602, which will be initialed by the accepting employee after verification and returned to the mailer.
- (6) Contractors engaged through the Government Printing Office may use two legible copies of GPO Form 712, "Certificate of Conformance," in lieu of duplicate copies of USPS Form 3602. If used, all comparable quantitative data must be indicated, including weight of a single piece.
- (7) Third-class bulk rate mailing by a contractor requires an annual fee of \$40 for each post office where such mailings are made.
- (8) The procedures covering third-class bulk rate mailings are the same as those described on page III-5, paragraph 3a(2); however, each contractor and point of entry must be identified to the U.S. Postal Service.
- (9) A USPS Form 3602-PC must be completed in accordance with USPS; "Domestic Mail Manual," chapter 1, part 145.65, for each mailing presented.
- (10) Application for permit to authorize contractor use of official indicia will be executed in conformance with the form on page 111-13, Figure 111-11. Applications are prepared by the Office of Administrative Services. Any questions should be directed to the Chief of Mail, Transportation, and Travel Management Branch, MA-235.1. Requests are submitted to the Manager, Government Revenue and Examination Branch, Finance Department, U.S. Postal Service, Washington, DC 20260.
- (11) Copies of approved permits shall be distributed as follows:
 - (a) MA-235.1;
 - (b) Post office at point of entry; and
 - (c) U.S. Postal Service control file.
- (12) Fees for contractor permits must be included as part of the formal year-end documentation

6. BUSINESS REPLY MAIL.

- a **Description.** Business reply mail is available to Government mailers to enable them to pay postage and fees only on the mail that is returned to them from their original mailings. Indicia envelopes cannot be used for this purpose. Specially printed business reply cards, envelopes, cartons, and labels are distributed by mailers for use in sending mail to the agency without prepayment of postage. Annual fees, accounting fees, postage, and business reply charges shall be paid by Federal Government agencies in accordance with the reimbursement procedures of USPS "Domestic Mail Manual," section 137.21. All other postal regulations pertinent to the preparation and distribution of business reply mail are applicable to such mail prepared and distributed by Federal agencies. Figure 111-12 is an example of a business reply envelope.



c. Procedures.

(1) Format.

(a) General. Any photographic, mechanical, or electrical process or any combination of such processes; other than handwriting, typewriting, or handstamping, may be used to prepare the address side of business reply mail. The background of business reply mail pieces may be a light color that allows the address, postmark, and other required endorsement to be readily discerned: Brilliant colors may not be used. Green diamond and other printer borders are not authorized on business reply letters and cards; however, they may be included on business reply labels and cartons and envelopes larger than 6 by 11 inches.

(b) Preprinted Endorsements.

1 The endorsement "NO POSTAGE NECESSARY IF MAILED IN THE UNITED STATES" must be printed in the upper right corner of the face of the piece. The arrangement of the endorsement may vary, but it may extend no further than 1-3/4 inches from the right edge of the mail piece.

2 The appropriate "BUSINESS REPLY" legend must appear above the address and must be in capital letters at least 3/16 inch in height. Authorized legends are shown in Figure 111-12 above.

3 Immediately below the "BUSINESS REPLY" legend the words "FIRST-CLASS, PERMIT NO..." followed by the permit number and the name of the issuing post office (City and State) must be shown in capital letters.

4 The legend "POSTAGE WILL BE PAID BY ADDRESSEE" must appear above the address.

5 The complete address, including ZIP Code, must appear in accordance with USPS, "Domestic Mail Manual," sections 122.1 and 122.2. A margin of at least 1 inch is required between the left edge and the address.

(c) Required Markings.

1 Horizontal Bars parallel to the length of the mail piece must be printed immediately below the endorsement "NO POSTAGE NECESSARY IF MAILED IN THE UNITED STATES" to facilitate rapid recognition of business reply mail. The bars must be uniform in length, at least 1 inch long and 1/16- to 3/16-inch thick. The spacing between the bars must be nearly equal to the

thickness of the bars. A 5/8-inch space must be left between the bottom horizontal bar and the bottom edge of the mail piece on business reply letters and cards. The series of horizontal bars on business reply labels must be at least 1-1/2 inches high.

- 2 Facing Identification Mark is a vertical bar code pattern in the top right portion of the address side which functions as an orientation mark for automatic facing and canceling equipment. An area measuring 5/8 of an inch in height and 1-1/4 inches in length, located along the top edge of the piece and to the left of the endorsement "NO POSTAGE NECESSARY IF MAILED IN THE UNITED STATES" is reserved for the use of the Facing Identification Mark (FIM). The FIM area begins 3 inches from the right edge of the piece and extends 1-1/4 inches to the right. In all cases, U.S. Postal Service specifications and negatives must be used. The specifications and negatives for FIM can be obtained from local post office customer services representatives. FIM must be used on all letter-size business reply mail and on business reply post cards.
- 3 Legend Box. It is recommended that the "BUSINESS REPLY" legend and other preprinted endorsements described above be placed in a box for greater visual impact.
- 4 Agency Logo, used as part of the company name, may appear in the address provided it is located no lower than the top of the street address line or the post office box line and does not interfere with any of the required business reply endorsements.
- 5 Space for Permit Holder's Use. The upper left corner of the address side is available for use by the permit holder. This area is bordered on the right by the FIM area and the legend "BUSINESS REPLY MAIL" and on the bottom by the address. It may contain the return address, logos, distributor codes, or strap marks. (See USPS, "Domestic Mail Manual," section 917.6.)
- 6 Attention Lines. Attention lines or key lines may be included as the first or second line of the distributor's address.
- 7 Window Envelopes, if used, must comply with USPS "Domestic Mail Manual, section 141."

- (2) Distribution. Business reply cards, envelopes, cartons, and labels may be distributed in any quantity for return to any post office in the United States and its territories and possessions, including military post offices overseas, except in the Canal Zone, where they may not be returned without prepayment of postage. They should not be sent to any foreign country.
- (3) Permit Holder. The permit holder guarantees payment of postage on delivery of returned business reply mail. Any concern distributing business reply cards, envelopes, cartons, or labels under one permit for return to its branches or dealers guarantees to pay postage on any returns refused by any authorized addressees.

7. MINIMUM SIZE REQUIREMENTS.

- a. Surcharge for Nonstandard-Size Mail. All first-class mail weighing 1 ounce or less and single-piece rate third-class mail weighing 1 ounce or less are nonstandard and subject to a 7-cent surcharge in addition to the applicable postage and fees, if any of the following size limits are exceeded:
 - (1) Length exceeds 11.5 inches;
 - (2) Height exceeds 6.125 inches;
 - (3) Thickness exceeds .25 of an inch; or
 - (4) Height-to-length-aspect ratio does not fall between 1 to 1.3 inches and 1 to 2.5 inches, inclusive.
- b. Minimum Size. All mailing pieces which are .25 of an inch or less in thickness will be nonmailable unless they are rectangular in shape, at least 3.5 inches high, 5 inches long, and at least .007 of an inch thick. Keys and other identification devices are excluded from the minimum size requirements if they are at least .007 of an inch thick.
- c. Enforcement. Federal Government agencies are expected to comply with these requirements. Official U.S. Government mail which does not meet the minimum size requirements is not to be accepted and will be returned to the sender if found in the mailstream. Official U.S. Government mail which is subject to the nonstandard-size surcharge is to be delivered to the addressee; however, agencies are required to record and report all nonstandard envelopes mailed during their assigned sampling periods. They are also urged, where possible, to fold contents and use smaller envelopes for mailing pieces which would otherwise be subject to the surcharge.

