

## SUBCHAPTER G—ADMINISTRATIVE PROGRAMS

### PART 102-191—GENERAL [RESERVED]

### PART 102-192—MAIL MANAGEMENT

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### Subpart A—Introduction to this Part

#### § 102-192.5 What does this part cover?

This part prescribes policy and requirements for the effective, economical, and secure management of incoming, internal, and outgoing mail in Federal agencies.

#### § 102-192.10 What authority governs this part?

This part is governed by Section 2 of Public Law 94-575, the Federal Records Management Amendments of 1976 (44 U.S.C. 2901-2904), as amended, that requires the Administrator of General Services to provide guidance and assistance to Federal agencies on records management and defines the processing of mail by Federal agencies as a records management activity.

#### § 102-192.15 How are “I”, “you”, “me”, “we”, and “us” used in this part?

In this part, “I”, “me”, and “you” (in its singular sense) refer to agency mail managers and/or facility mail managers. The context makes it clear which usage is intended in each case. “We”, “us”, and “you” (in its plural sense) refer to your Federal agency.

#### § 102-192.20 How are “must” and “should” used in this part?

In this part—

- (a) “Must” identifies steps that Federal agencies are required to take; and
- (b) “Should” identifies steps that the General Services Administration (GSA) recommends.

NOTE TO § 102-192.20: In their internal policy statements, agencies may require steps that GSA recommends. However, agencies may not change required steps into non-mandatory recommendations.

#### § 102-192.25 Does this part apply to me?

Yes, this part applies to you if you work in mail management in a Federal agency, as defined in § 102-192.35.

#### § 102-192.30 What types of mail does this part apply to?

- (a) This part applies to all materials that might pass through a Federal mail center, including—

- (1) All internal, incoming, and outgoing materials, regardless of whether or not they currently pass through a mail center; this includes envelopes, publications, postal cards, bulk mail, expedited mail, and individual packages up to 70 pounds that contain paper or publications; and

- (2) Materials carried by agency personnel, contractors, the United States Postal Service (USPS), and all other carriers of such items.

- (b) This part does not apply to shipments of parts or supplies from a material distribution center (a material distribution center is a warehouse that maintains and distributes an inventory of parts and supplies).

#### § 102-192.35 What definitions apply to this part?

The following definitions apply to this part:

*Accountable mail* means any mail for which the service provider and the mail center must maintain a record that shows where the mail piece is at any given time and when and where it was delivered; examples include USPS registered mail and all expedited mail (see definition below).

*Agency mail manager* means the person who manages the overall mail communications program of a Federal agency.

*Class of mail* means one of the five categories of domestic mail as defined by the United States Postal Service (USPS) in the Domestic Mail Manual, (C100 through C600.1.z). These are:

- (1) Express mail.
- (2) First class (includes priority mail).
- (3) Periodicals.
- (4) Standard mail (e.g., bulk marketing mail).
- (5) Package services.

*Commingleing* means combining outgoing mail from one facility or agency with outgoing mail from at least one other source.

*Commercial payment processes* means mechanisms for paying for USPS postage that are essentially the same as those used by private sector mailers. This means paying for postage before the postage is used (which the U.S. Treasury has determined is appropriate

for USPS postage). For meter or permit mail, this also means sending money to the USPS via Electronic Funds Transfer (EFT) transactions to commercial banks designated by the USPS as their financial agents. For stamps and other USPS services, this means paying the USPS directly via cash, charge card, debit card, and money order, depending on the specific service being purchased.

*Expedited mail* means mail designated for delivery more quickly than the USPS's normal delivery times (which vary by class of mail). Examples of expedited mail include USPS Express Mail and overnight and two-day delivery by other service providers.

*Facility mail manager* means the person responsible for mail in a specific Federal facility. There may be many facility mail managers within a Federal agency.

*Federal agency (or agency), as defined in 44 U.S.C. 2901(14)*, means—

- (1) Any executive department as defined in 5 U.S.C. 101;
- (2) Any wholly owned Government corporation as defined in 31 U.S.C. 9101;
- (3) Any independent establishment in the executive branch as defined in 5 U.S.C. 104; and
- (4) Any establishment in the legislative branch, except the Senate, the House of Representatives, the Architect of the Capitol, and all activities under the direction of the Architect of the Capitol.

*Federal facility (or facility)* means any office building, installation, base, etc., where Federal agency employees work; this includes any facility where the Federal government pays postage expenses even though few or no Federal employees are involved in processing the mail.

*Incoming mail* means any mail that comes into a facility delivered by any service provider, such as the USPS, United Parcel Service (UPS), FedEx, or DHL.

*Internal mail* means mail generated within a Federal facility that is delivered within that facility or to a nearby facility of the same agency, so long as it is delivered by agency personnel or a dedicated agency contractor.

*Large agency* means a Federal agency whose total payments to all mail serv-

ice providers exceed \$1 million per fiscal year.

*Mail* means the types of mail described in §102–192.30.

*Mail center* means an organization and/or place, within or associated with a Federal facility, where incoming and/or outgoing Federal mail is processed.

*Mail costs* means direct or allocated expenses for postage and all other mail costs (e.g., payments to service providers, mail center personnel costs, mail center overhead, etc.).

*Mail piece design* means laying out and printing items to be mailed so that they can be processed efficiently and effectively by automated mail-processing equipment.

*Official Mail Accounting System (OMAS)* means the U.S. Postal Service's government-specific system used to track postage used by many Federal agencies.

*Outgoing mail* means mail generated within a Federal facility that is going outside that facility and is delivered by a service provider.

*Personal mail* means incoming or outgoing mail that is not related to official business of the Federal government.

*Postage* means money due or paid to any service provider for the delivery of mail.

*Presort* means a mail preparation process used to receive a discounted mailing rate by sorting mail according to USPS standards.

*Program level* means a subsidiary part of a Federal agency that generates a significant quantity of outgoing mail ("significant" in this context is relative to the overall size of the agency's mail budget; half of a small annual mail budget may not be significant in a small agency, whereas one-tenth or less might be significant in a large agency). The term program level may apply to an agency organizational entity, program, or project.

*Program level mail manager* is the person at the program level responsible for mail policy implementation, operations, and financial management; the program level counterpart of the agency mail manager.

*Service provider* means any agency or company that delivers mail. Some examples of service providers are USPS,

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UPS, FedEx, DHL, courier services, the Military Postal Service Agency, the Department of State's Diplomatic Pouch and Mail Division, and other Federal agencies providing mail services.

*Special services* means those mail services that require extra payment over basic postage; e.g., certified mail, business reply mail, registered mail, merchandise return service, certificates of mailing, return receipts, and delivery confirmation.

*Unauthorized use of agency postage* means the use of penalty or commercial mail stamps, meter impressions, or other postage indicia for personal or unofficial use.

*Worksharing* means ways of processing outgoing mail that qualify for reduced postage rates; examples include presorting, bar coding, consolidating, and commingling.

### § 102–192.40 Where can we obtain more information about the classes of mail?

You can learn more about mail classes in the Domestic Mail Manual (DMM). The DMM is available online at <http://pe.usps.gov/default.asp> or you can order a copy from the Superintendent of Documents, U.S. Government Printing Office, P.O. Box 371954, Pittsburgh, PA 15250–7954.

### § 102–192.45 How can we request a deviation from these requirements, and who can approve it?

See §§ 102–2.60 through 102–2.110 of this chapter to request a deviation from the requirements of this part. The authority rests with the Administrator of General Services and those to whom the Administrator has delegated such authority.

## Subpart B—Financial Requirements for All Agencies

### § 102–192.50 What payment processes are we required to use?

All payments to the United States Postal Service or authorized service providers must be made using commercial payment processes.

(a) Agencies may no longer use the Intergovernmental Payment and Collection Payment (IPAC) process associ-

ated with the Official Mail Accounting System (OMAS), except where GSA has approved a temporary deviation for a specific agency, office, or component.

(b) Any deviation related to the requirements of this section that has not reached its expiration date on the effective date of this rule will continue in effect until it expires.

(c) Any new deviation request, or any request to extend an existing deviation, must include a plan for the agency to implement an accountable system for postage, as discussed in § 102–192.65.

(d) GSA provides detailed guidance on commercial payment processes and accountability on its web site, [www.gsa.gov/mailpolicy](http://www.gsa.gov/mailpolicy).

### § 102–192.55 Why must we use these commercial payment processes?

Federal agencies are required to use commercial payment processes because commercial payment requires obligation of the money before the postage is used (by contrast, use of the OMAS system allows the postage use and the obligation of funds to occur almost entirely independently of each other). Requiring the program level manager who generates the mail to obligate the money before the postage is used makes it much more likely that the same program level manager will be accountable for the money, thereby encouraging good judgment in using postage.

### § 102–192.60 How do we implement these commercial payment processes?

Guidance on implementing a compliant payment process is in the GSA Policy Advisory, Guidelines for Federal Agencies On Converting to Commercial Payment Systems for Postage, which can be found at [www.gsa.gov/mailpolicy](http://www.gsa.gov/mailpolicy).

### § 102–192.65 What features must our finance systems have to keep track of mail costs?

All agencies must have an accountable system for making postage payments; that is, a system that allocates postage expenses at the program level within the agency and then makes program level managers accountable for obligating and tracking those expenses.

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The agency will have to determine the appropriate program level for this requirement, because the level at which it is cost-beneficial differs widely. The agency's finance system(s) should track all mail costs separately to the program level or below, and should—

(a) Show allocations and expenses for postage and all other mail costs (e.g., payments to service providers, mail center personnel costs, mail center overhead, etc.) separate from all other administrative expenses;

(b) Allow mail centers to establish systems to charge their customers for mail costs; and

(c) Identify and charge mail costs that are part of printing contracts to the program level.

NOTE TO §102–192.65: To better accomplish these goals listed in this section, you should maintain separate accounts with the USPS and all other service providers for mail, as defined by this part. Shipment of non-mail items should be arranged and paid for through other accounts. This will make it possible for your annual mail management report to reflect only amounts paid for mail, as defined in §102–192.35.

### Subpart C—Security Requirements for All Agencies

#### § 102–192.70 What security policies and plans must we have?

(a) You must have a written mail security policy that applies throughout the agency.

(b) You also must have a written mail security plan for each facility that processes mail, regardless of the facility's mail volume.

(c) If a contract that is in place on August 25, 2008 does not fully meet the requirements of this section, the contract must be modified to meet the requirement for a security plan within one year of August 25, 2008, unless the contract will expire prior to that date.

(d) The scope and level of detail of each facility mail security plan should be commensurate with the size and responsibilities of each facility. For small facilities, you may provide a general, standardized plan that is used in many similar locations. For larger locations, you must develop a plan that is specifically tailored to the threats and risks at your location. Agencies

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are free to determine for themselves which facilities are “smaller” and which are “larger” for the purposes of this section, so long as the basic requirement for a security plan is met at every facility.

(e) All mail facility managers should report annually the status of their facility mail security plans to agency headquarters. At a minimum, this report should assure that the facility mail security plan complies with the requirements of this part, including annual review by a subject matter expert and regular rehearsal of responses to various emergency situations by facility personnel.

(f) An outside security professional who has expertise in mail center security should review the agency's mail security plan annually. Review of facility mail security plans can be accomplished by outside subject matter experts such as agency security personnel. If these experts are not available within your agency, seek assistance from the Postal Inspection Service or other Federal authorities.

#### § 102–192.75 Why must we have written security policies and plans?

All Federal mail programs must identify, prioritize, and coordinate the protection of all mail processing facilities in order to prevent, deter, and mitigate the effects of deliberate efforts to destroy, incapacitate, or exploit the mail center or the national mail infrastructure. Homeland Security Presidential Directive HSPD–7 requires all agencies to protect key resources from terrorist attacks, and this is spelled out in the Postal and Shipping Sector Plan, which is part of the National Infrastructure Protection Plan (NIPP) prescribed by HSPD–7. All Federal mail centers are key resources under that plan. Details on the Postal and Shipping Sector Plan are not publicly available. Federal employees needing access to the plan should contact the Department of Homeland Security (DHS) at [NIPP@dhs.gov](mailto:NIPP@dhs.gov).

#### § 102–192.80 How do we develop written security policies and plans?

Agency mail managers must coordinate with their agency security service and/or the Federal Protective Service

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to develop agency mail security policies and plans. The Federal Protective Service has, working with the Inter-agency Security Committee which it chairs, developed standards for building construction and management, including standards for mail centers. At a minimum, the agency mail security plan must address the following topics—

- (a) Risk assessment;
- (b) Plan to protect staff and all other occupants of agency facilities from hazards that might be delivered in the mail;
- (c) Operating procedures;
- (d) Plan to provide a visible mail screening operation;
- (e) Training mail center personnel;
- (f) Testing and rehearsing responses to various emergency situations by agency personnel;
- (g) Managing threats;
- (h) Communications plan;
- (i) Occupant Emergency Plan (OEP);
- (j) Continuity of Operations Plan (COOP); and
- (k) Annual reviews.

NOTE TO §102–192.80: The agency mail manager and facility manager(s) need not prepare all of these plans themselves. They should participate actively in the development and implementation of each of these elements, but other parts of the agency or outside security professionals should take the lead in their respective areas of expertise.

### Subpart D—Reporting Requirements

#### §102–192.85 Who must report to GSA annually?

Large agencies (all agencies that spend in excess of \$1 million each fiscal year in total payments to mail service providers) must provide a Mail Management Report to GSA by January 15th of each year. If your agency is a cabinet-level or independent agency, the agency mail manager must compile all offices (or components) and submit one report for the department or agency as a whole (e.g., the Department of Defense or the Department of Health and Human Services).

#### §102–192.90 What must we include in our annual mail management report to GSA?

Your annual report must—

(a) Identify your agency mail manager; in addition you must promptly report the name of the agency mail manager whenever there is a change of the person serving in this role.

(b) State the total amounts paid to each service provider during the previous fiscal year:

(1) These amounts should include only amounts paid for mail; not amounts paid to any service provider to ship parts and supplies from a materiel distribution center (see the definition of mail in §102–192.30).

(2) These amounts should include all postage costs associated with mailing printed materials, regardless of whether the printing is accomplished by the agency or a contractor, and regardless of how the postage expense is paid (e.g., GSA's Federal Acquisition Service (FAS) produces a publication called "Marketips," which provides information about supplies and services available through GSA sources. GSA should include the postage that it uses to mail Marketips in the amounts that it reports, even though a printing company actually prints and mails the publication);

(c) Report actual results for the performance measures in use at the agency and facility levels;

(d) Describe your agency's accomplishments and plans to improve the economy and efficiency of mail operations in the current and future years;

(e) Identify how many Federal employees and contractors work in your agency's mail operations nationwide, and the number that have achieved industry certifications (e.g. Certified Mail and Distributions Systems Manager, Executive Mail Center Manager, Mailpiece Quality Control Specialist, Certified Mail Manager);

(f) Describe your agency's approach to ensuring that program level officials are accountable for postage; and

(g) Verify that a competent expert has reviewed your agency security policies and the mail security plan for each facility within the past year, or explain what steps your agency has taken in this regard.

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NOTE TO §102-192.90: GSA is launching a long-term initiative to improve the usefulness of data collected through the annual mail management reports. The reports for each succeeding fiscal year will require an incrementally broader set of data, working towards measures that will give agency management a much clearer picture of the efficiency and effectiveness of their mail programs. The additional data will eventually require agencies to track cost per piece for all outgoing Federal mail.

### § 102-192.95 Why does GSA require annual mail management reports?

GSA requires annual agency mail management reports to—

- (a) Ensure that Federal agencies have the policies, procedures, and data to manage their mail operations efficiently and effectively;
- (b) Ensure that appropriate security measures are in place; and
- (c) Allow GSA to fulfill its responsibilities under the Federal Records Act, especially with regards to sharing best practices, training, standards, and guidelines.

### § 102-192.100 How do we submit our annual mail management report to GSA?

If your agency is a large agency, as defined in §102-192.35, you must submit annual reports using the GSA web-based Electronic Performance Support Tool (EPST). Agency mail managers and other authorized users will receive training from GSA on how to use the EPST.

### § 102-192.105 When must we submit our annual mail management report to GSA?

Beginning with the report covering Fiscal Year 2009, your annual report will be due on January 15<sup>th</sup> of each year for the previous fiscal year.

## Subpart E—Performance Measurement Requirements

### § 102-192.110 At what level(s) in our agency must we have performance measures?

You must have performance measures for mail operations at the agency level and in all facilities and for all program levels that spend more than \$1 million per year on postage. GSA provides a list of suggested performance

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measures, as part of the format for the annual report. You may also find these measures on GSA's web site, at [www.gsa.gov/mailpolicy](http://www.gsa.gov/mailpolicy).

### § 102-192.115 Why must we use performance measures?

Performance measures gauge the success of your mail management plans and processes by comparing performance over time and among organizations. Performance measures—

- (a) Help define goals and objectives;
- (b) Enhance resource allocation; and
- (c) Provide accountability.

## Subpart F—Agency Mail Manager Requirements

### § 102-192.120 Must we have an agency mail manager?

Yes, every Federal agency as defined in §102-192.35 must have an agency mail manager. Agencies that are not “large agencies” as defined in §102-192.35 may not need a full-time person in this position.

NOTE TO §102-192.120: GSA will post the names and official contact information for all large agency mail managers on its web site located at [www.gsa.gov/mailpolicy](http://www.gsa.gov/mailpolicy).

### § 102-192.125 What is the appropriate managerial level for an agency mail manager?

The agency mail manager should be at a managerial level that enables him or her to speak for the agency and fulfill the requirements of Subparts B, C, D, E, and F of this part. GSA recommends professional mail certification for agency mail managers.

### § 102-192.130 What are your general responsibilities as an agency mail manager?

In addition to carrying out the responsibilities in Subparts B, C, D, and E of this part, an agency mail manager should—

- (a) Establish written policies and procedures to provide timely and cost effective dispatch and delivery of mail;
- (b) Ensure agency-wide awareness and compliance with standards and operational procedures established by all service providers used by the agency;

(c) Set policies for expedited mail, mass mailings, mailing lists, and couriers;

(d) Seek opportunities to implement cost-effective improvements and to enhance performance of the agency's mission;

(e) Develop and direct agency programs and plans for proper and cost-effective use of transportation, equipment, and supplies used for mail;

(f) Ensure that facility and program level mail personnel receive appropriate certifications and training in order to successfully perform their assigned duties;

(g) Promote professional certification for mail managers and mail center employees;

(h) Ensure that expedited mail and couriers are used only when authorized by the Private Express Statutes (39 U.S.C. 601–606) and when necessary and cost-effective;

(i) Establish written policies and procedures to minimize incoming and outgoing personal mail;

(j) Provide guidance to agency correspondence managers on correspondence management decisions such as development and design of mailing materials including Business Reply Mail, letterhead, and mail piece design; and

(k) Represent the agency in its relations with mail service providers (usually as a Contracting Officer's Technical Representative), other agency mail managers, and the GSA Office of Governmentwide Policy.

### Subpart G—Mail Center Manager Requirements

#### § 102–192.135 Must we have a mail center manager at our facility?

Yes, every facility that has more than two full time people dedicated to processing mail must have a mail center manager.

#### § 102–192.140 What are your general responsibilities as a Federal mail center manager?

A Federal mail center manager should—

(a) Implement policies and procedures developed by the agency mail manager, including cost control procedures;

(b) Improve, streamline, and reduce the cost of mail practices and procedures by continually reviewing work processes throughout the facility and seeking opportunities for cost-effective change;

(c) Work closely with all facility personnel, especially printing specialists and the program level users who develop large mailings, to minimize postage and associated printing expenses through improved mail piece design, electronic transmission of data in lieu of mail, reducing the number of handwritten addresses on outgoing mail, and other appropriate measures;

(d) Ensure that all addresses on mailing lists have been validated using USPS-approved tools such as ancillary endorsements, CASS-certified software, Move Update, and NCOALink® (more information can be found on the United States Postal Service website at [www.usps.com](http://www.usps.com));

(e) Keep current on new technologies that could be applied to reduce agency mailing costs;

(f) Collaborate and maintain professional relationships with the USPS and all other service providers;

(g) Establish performance measures and goals for mail center operations, such as a maximum time for processing and delivery of incoming mail;

(h) Ensure that expedited mail and couriers are used only when authorized by the Private Express Statutes (39 U.S.C. 601–606) and when necessary and cost-effective;

(i) Manage all incoming and outgoing mail processing activities at the facility, including all regularly scheduled, small package, and expedited service providers, couriers, equipment and personnel;

(j) Be attentive to unauthorized use, loss, or theft of postage, including any unauthorized use of penalty or commercial mail stamps, meter impressions or other postage indicia, and immediately report such incidents to the agency Inspector General, internal security office, the Postal Inspection Service, or other appropriate authority;

(k) Track incoming packages and accountable mail;

(l) Provide training to mail center employees at all levels on cost-effective mailing practices for incoming, outgoing, and internal mail, as well as mail security;

(m) Provide opportunities for training leading to professional certification for mail center personnel;

(n) Ensure that outgoing mail meets all the standards established by your service provider(s) for weight, size, hazardous materials content, etc.;

(o) Ensure that your facility has a written security plan, and implement that plan;

(p) Establish, publish, and maintain consistency in the facility's mail delivery and pickup times, based on need for service as established through study of mail volumes and service requirements;

(q) Collaborate with agency finance officials to establish procedures for timely processing of funds owed to service providers; and

(r) Report all information necessary for your agency's annual mail management report.

**Subpart H—Program Level Mail Responsibilities**

**§ 102–192.145 Which program levels should have a mail manager?**

Every program level within a Federal agency that generates a significant quantity of outgoing mail should have its own mail manager. Each agency must decide which programs will have a full-time or part-time mail manager. In making this determination, the agency should consider the total volume of outgoing mail that is put into the mail stream by the program itself or by printers, presort contractors, or others on the program's behalf.

**§ 102–192.150 What are your general responsibilities as a program level mail manager?**

Your responsibilities at the program level include—

(a) Working closely with the agency mail manager and mail center managers who handle significant quantities of mail or print functions for your program, as well as mail technical experts;

(b) Ensuring that your program complies with all applicable mail policies and procedures, including this part;

(c) Coordinating with your program personnel to minimize postage and associated printing expenses through improved mail piece design, electronic transmission of data in lieu of mail, and other appropriate measures;

(d) Ensuring that all addresses on mailing lists have been validated using USPS-approved tools such as ancillary endorsements, CASS-certified software, Move Update, and NCOalink® (more information can be found on the United States Postal Service website at *www.usps.com*);

(e) Keeping current on new technologies and practices that could reduce your mailing costs or make your use of mail more effective;

(f) Coordinating all of your program's large mailings and associated print jobs to ensure that the most efficient and effective procedures are used;

(g) Providing mail training opportunities to your program level personnel;

(h) Collaborating with agency finance officials to establish procedures for timely processing of funds owed to service providers; and

(i) Reporting total amounts paid to each service provider during the previous fiscal year to the agency mail manager (See § 102–192.90(b)(1) for more information).

**Subpart I—Other Agency Responsibilities**

**§ 102–192.155 What should our agency-wide mail management policy statement cover?**

You should have a written, agency-wide mail management policy statement that, at a minimum, addresses—

(a) Mail center security, as discussed in §§ 102–192.70, 102–192.75 and 102–192.80;

(b) Your expectations regarding program level accountability, postage expenditure data, and commercial payment processes;

(c) Your approach to performance measurement and performance management for mail;

(d) Centralized mail processing, worksharing, consolidation, and commingling to obtain postage savings;

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(e) Tracking incoming packages and accountable mail;

(f) Maintaining centralized control of outgoing mail, especially outgoing express packages and letters;

(g) Tracking and managing mail costs within printing contracts;

(h) Training and professional certification for mail center managers and employees;

(i) Addressing, including machine readability, formatting, use of correct street addresses, and minimizing use of hand-written addresses;

(j) Ensuring that a USPS mail piece design analyst is consulted when creating a new mail piece;

(k) Reviewing large mailings by mail managers before they are sent to printing or a print contractor;

(l) Acceptance and processing of incoming and outgoing personal mail;

(m) Limiting unsolicited mail and mail addressed to unknown persons and former employees; and

(n) Reporting all activities to include all postage costs associated with mailing, printing, and materials, to the agency mail manager.

NOTE (1) TO §102-92.155(1) AND (m): Every agency should establish specific policies for incoming and outgoing personal mail. In general, personal mail should be discouraged or prohibited. However, an agency may establish a policy to accept and process personal mail for personnel living on a Federal facility, personnel stationed outside the United States, or personnel in other situations who would otherwise suffer hardship.

NOTE (2) TO §102-92.155(1) AND (m): Mailing costs associated with filing travel vouchers, and the payment of Government sponsored travel card billings, are considered to be "incidental expenses" covered by the traveler's "per diem allowance," as provided for in the Federal Travel Regulation (41 CFR 300-3.1). Such mailing costs must, therefore, be paid out of the employee's per diem allowance.

NOTE (3) TO §102-92.155 (1) AND (m): Every reasonable attempt must be made to deliver first class mail, priority mail, and express mail (regardless of carrier), or to return it to the sender if the addressee cannot be identified. On the other hand, agencies may establish written policies that permit discarding of unwanted periodicals, bulk mail, and bound printed matter under specified circumstances.

### § 102-192.160 What less costly alternatives to expedited mail and couriers should your agency-wide mail management policy address?

Your policy statement should address the following alternatives to expedited mail and couriers:

(a) Electronic transmission via e-mail.

(b) Facsimile transmission.

(c) Internet.

### § 102-192.165 What authorities must I follow when contracting out all or part of the mail function?

Any contract for a mail function must require compliance with—

(a) This part (41 CFR part 102-192);

(b) The Private Express Statutes (39 U.S.C. 601-606);

(c) All agency policies, procedures, and plans, including the agency-wide mail security plan and, if applicable, facility mail security plans; and

(d) All applicable acquisition statutes and regulations.

## Subpart J—GSA's Responsibilities and Services

### § 102-192.170 What are GSA's responsibilities in mail management?

44 U.S.C § 2904(b) directs the Administrator of General Services to provide guidance and assistance to Federal agencies to ensure economical and efficient records management. 44 U.S.C. § 2901(2) and (4) (C) define the processing of mail by Federal agencies as part of records management. In carrying out its responsibilities under the Act, GSA is required to—

(a) Promulgate standards, procedures, and guidelines;

(b) Conduct research to improve practices and programs;

(c) Collect and disseminate information on training programs, technological developments, etc.;

(d) Establish an interagency committee (i.e., the Interagency Mail Policy Council) to provide an exchange of information among Federal agencies;

(e) Conduct studies, inspections, or surveys;

(f) Promote economy and efficiency in the selection and utilization of space, staff, equipment, and supplies; and

## § 102–192.175

(g) In the event of an emergency, communicate with agencies.

### § 102–192.175 What types of support does GSA offer to Federal agency mail management programs?

GSA supports Federal agency mail management programs by—

(a) Assisting in the development of agency policy and guidance in mail management and mail operations;

(b) Identifying better business practices and sharing them with Federal agencies;

(c) Developing and providing access to a Governmentwide management information system for mail;

(d) Helping agencies develop performance measures and management information systems for mail;

(e) Maintaining a current list of agency mail managers;

(f) Establishing, developing and maintaining interagency mail committees;

(g) Maintaining liaison with the USPS and other service providers at the national level;

(h) Maintaining a web site for mail communications policy; and

(i) Serving as a point of contact for mail issues.

NOTE TO § 102–192.180: You may contact GSA at: General Services Administration, Office of Governmentwide Policy, Mail Management Policy Division (MTT), 1800 F Street, NW., STE 1221, Washington, DC 20405; or e-mail: [federal.mail@gsa.gov](mailto:federal.mail@gsa.gov).

## PART 102–193—CREATION, MAINTENANCE, AND USE OF RECORDS

Sec.

102–193.5 What does this part cover?

102–193.10 What are the goals of the Federal Records Management Program?

102–193.15 What are the records management responsibilities of the Administrator of General Services (the Administrator), the Archivist of the United States (the Archivist), and the heads of Federal agencies?

102–193.20 What are the specific agency responsibilities for records management?

102–193.25 What type of records management business process improvements should my agency strive to achieve?

AUTHORITY: 40 U.S.C. 486(c).

## 41 CFR Ch. 102 (7–1–11 Edition)

SOURCE: 66 FR 48358, Sept. 20, 2001, unless otherwise noted.

### § 102–193.5 What does this part cover?

This part prescribes policies and procedures related to the General Service Administration's (GSA) role to provide guidance on economic and effective records management for the creation, maintenance and use of Federal agencies' records. The National Archives and Records Administration Act of 1984 (the Act) (44 U.S.C. chapter 29) amended the records management statutes to divide records management responsibilities between GSA and the National Archives and Records Administration (NARA). Under the Act, GSA is responsible for economy and efficiency in records management and NARA is responsible for adequate documentation and records disposition. GSA regulations are codified in this part and NARA regulations are codified in 36 CFR chapter XII. The policies and procedures of this part apply to all records, regardless of medium (e.g., paper or electronic), unless otherwise noted.

### § 102–193.10 What are the goals of the Federal Records Management Program?

The statutory goals of the Federal Records Management Program are:

(a) Accurate and complete documentation of the policies and transactions of the Federal Government.

(b) Control of the quantity and quality of records produced by the Federal Government.

(c) Establishment and maintenance of management controls that prevent the creation of unnecessary records and promote effective and economical agency operations.

(d) Simplification of the activities, systems, and processes of records creation, maintenance, and use.

(e) Judicious preservation and disposal of records.

(f) Direction of continuing attention on records from initial creation to final disposition, with particular emphasis on the prevention of unnecessary Federal paperwork.

**§ 102-193.15 What are the records management responsibilities of the Administrator of General Services (the Administrator), the Archivist of the United States (the Archivist), and the Heads of Federal agencies?**

(a) The Administrator of General Services (the Administrator) provides guidance and assistance to Federal agencies to ensure economical and effective records management. Records management policies and guidance established by GSA are contained in this part and in parts 102-194 and 102-195 of this chapter, records management handbooks, and other publications issued by GSA.

(b) The Archivist of the United States (the Archivist) provides guidance and assistance to Federal agencies to ensure adequate and proper documentation of the policies and transactions of the Federal Government and to ensure proper records disposition. Records management policies and guidance established by the Archivist are contained in 36 CFR chapter XII and in bulletins and handbooks issued by the National Archives and Records Administration (NARA).

(c) The Heads of Federal agencies must comply with the policies and guidance provided by the Administrator and the Archivist.

**§ 102-193.20 What are the specific agency responsibilities for records management?**

You must follow both GSA regulations in this part and NARA regulations in 36 CFR chapter XII to carry out your records management responsibilities. To meet the requirements of this part, you must take the following actions to establish and maintain the agency's records management program:

(a) Assign specific responsibility to develop and implement agencywide records management programs to an office of the agency and to a qualified records manager.

(b) Follow the guidance contained in GSA handbooks and bulletins and comply with NARA regulations in 36 CFR chapter XII when establishing and implementing agency records management programs.

(c) Issue a directive establishing program objectives, responsibilities, au-

thorities, standards, guidelines, and instructions for a records management program.

(d) Apply appropriate records management practices to all records, irrespective of the medium (e.g., paper, electronic, or other).

(e) Control the creation, maintenance, and use of agency records and the collection and dissemination of information to ensure that the agency:

(1) Does not accumulate unnecessary records while ensuring compliance with NARA regulations for adequate and proper documentation and records disposition in 36 CFR parts 1220 and 1228.

(2) Does not create forms and reports that collect information inefficiently or unnecessarily.

(3) Reviews all existing forms and reports (both those originated by the agency and those responded to by the agency but originated by another agency or branch of Government) periodically to determine if they can be improved or canceled.

(4) Maintains records economically and in a way that allows them to be retrieved quickly and reliably.

(5) Keeps mailing and copying costs to a minimum.

(f) Establish standard stationery formats and styles.

(g) Establish standards for correspondence to use in official agency communications, and necessary copies required, and their distribution and purpose.

**§ 102-193.25 What type of records management business process improvements should my agency strive to achieve?**

Your agency should strive to:

(a) Improve the quality, tone, clarity, and responsiveness of correspondence;

(b) Design forms that are easy to fill-in, read, transmit, process, and retrieve, and reduce forms reproduction costs;

(c) Provide agency managers with the means to convey written instructions to users and document agency policies and procedures through effective directives management;

(d) Provide agency personnel with the information needed in the right place, at the right time, and in a useful format;

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(e) Eliminate unnecessary reports and design necessary reports for ease of use;

(f) Provide rapid handling and accurate delivery of mail at minimum cost; and

(g) Organize agency files in a logical order so that needed records can be found rapidly to conduct agency business, to ensure that records are complete, and to facilitate the identification and retention of permanent records and the prompt disposal of temporary records. Retention and disposal of records is governed by NARA regulations in 36 CFR chapter XII.

**PART 102-194—STANDARD AND OPTIONAL FORMS MANAGEMENT PROGRAM**

Sec.

102-194.5 What is the Standard and Optional Forms Management Program?

102-194.10 What is a Standard form?

102-194.15 What is an Optional form?

102-194.20 What is an electronic Standard or Optional form?

102-194.25 What is an automated Standard or Optional format?

102-194.30 What role does my agency play in the Standard and Optional Forms Management Program?

102-194.35 Should I create electronic Standard or Optional forms?

102-194.40 For what Standard or Optional forms should an electronic version not be made available?

102-194.45 Who should I contact about Standard and Optional forms?

AUTHORITY: 40 U.S.C. 486(c).

SOURCE: 66 FR 48358, Sept. 20, 2001, unless otherwise noted.

**§102-194.5 What is the Standard and Optional Forms Management Program?**

The Standard and Optional Forms Management Program is a Governmentwide program that promotes economies and efficiencies through the development, maintenance and use of common forms. The General Services Administration (GSA) provides additional guidance on the Standard and Optional Forms Management Program through an external handbook called Standard and Optional Forms Procedural Handbook. You may obtain a copy of the handbook from:

Standard and Optional Forms Management  
Office General Services Administration  
(Forms-XR)

1800 F Street, NW.; Room 7126

Washington, DC 20405-0002

(202) 501-0581

<http://www.gsa.gov/forms>

**§ 102-194.10 What is a Standard form?**

A Standard form is a fixed or sequential order of data elements, prescribed by a Federal agency through regulation, approved by GSA for mandatory use, and assigned a Standard form number. This criterion is the same whether the form resides on paper or purely electronic.

**§ 102-194.15 What is an Optional form?**

An Optional form is approved by GSA for nonmandatory Governmentwide use and is used by two or more agencies. This criteria is the same whether the form resides on paper or purely electronic.

**§ 102-194.20 What is an electronic Standard or Optional form?**

An electronic Standard or Optional form is an officially prescribed set of data residing in an electronic medium that is used to produce a mirror-like image or as near to a mirror-like image as the creation software will allow of the officially prescribed form.

**§ 102-194.25 What is an automated Standard or Optional format?**

An automated Standard or Optional format is an electronic version of the officially prescribed form containing the same data elements and used for the electronic transaction of information in lieu of using a Standard or Optional form.

**§ 102-194.30 What role does my agency play in the Standard and Optional Forms Management Program?**

Your agency head or designee's role is to:

(a) Designate an agency-level Standard and Optional Forms Liaison representative and alternate, and notify GSA, in writing, of their names, titles, mailing addresses, telephone numbers, fax numbers, and e-mail addresses within 30 days of the designation or redesignation.

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## § 102-194.40

(b) Promulgate Governmentwide Standard forms under the agency's statutory or regulatory authority in the FEDERAL REGISTER, and issue procedures on the mandatory use, revision, or cancellation of these forms.

(c) Ensure that the agency complies with the provisions of the Government Paperwork Elimination Act (GPEA) (Public Law 105-277, 112 Stat 2681), Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 74d), as amended, the Architectural and Transportation Barriers Compliance Board (Access Board) Standards (36 CFR part 1194), and OMB implementing guidance. In particular, agencies should allow the submission of Standard and Optional forms in an electronic/automated version unless the form is specifically exempted by §102-194.40.

(d) Issue Governmentwide Optional forms when needed by two or more agencies and announce the availability, revision, or cancellation of these forms. Forms prescribed through a regulation for use by the Federal Government must be issued as a Standard form.

(e) Obtain GSA approval for each new, revised or canceled Standard and Optional form, 60 days prior to planned implementation. Certify that the forms comply with all applicable laws and regulations. Provide an electronic form unless exempted by §102-194.40. Revised forms not approved by GSA will result in cancellation of the form.

(f) Provide GSA with both an electronic (unless exempted by §102-194.40) and paper version of the official image of the Standard or Optional form prior to implementation.

(g) Obtain the prescribing agency's approval for exceptions to Standard and Optional forms, including electronic forms or automated formats prior to implementation.

(h) Review annually agency prescribed Standard and Optional forms, including exceptions, for improvement, consolidation, cancellation, or possible automation. The review must include approved electronic versions of the forms.

(i) Coordinate all health-care related Standard and Optional forms through GSA for the approval of the Inter-

agency Committee on Medical Records (ICMR).

(j) Promote the use of electronic forms within the agency by following what the Government Paperwork Elimination Act (GPEA) prescribes and all guidance issued by the Office of Management and Budget and other responsible agencies. This guidance will promote the use of electronic transactions and electronic signatures.

(k) Notify GSA of the replacement of any Standard or Optional form by an automated format or electronic form, and its impact on the need to stock the paper form. GSA's approval is not necessary for this change, but a one-time notification should be made.

(l) Follow the specific instructions in the Standard and Optional Forms Procedural Handbook.

### **§ 102-194.35 Should I create electronic Standard or Optional forms?**

Yes, you should create electronic Standard or Optional forms, especially when forms are used to collect information from the public. GSA will not approve a new or revision to a Standard or Optional form unless an electronic form is being made available. Only forms covered by §102-194.40 are exempt from this requirement. Furthermore, you should to the extent possible, use electronic form products and services that are based on open standards. However, the use of proprietary products is permitted, provided that the end user is not required to purchase a specific product or subscription to use the electronic Standard or Optional form.

### **§ 102-194.40 For what Standard or Optional forms should an electronic version not be made available?**

All forms should include an electronic version unless it is not practicable to do so. Areas where it may not be practicable include where the form has construction features for specialized use (e.g., labels), to prevent unauthorized use or could otherwise risk a security violation, (e.g., classification cover sheets), or require unusual production costs (e.g., specialized paper or envelopes). Such forms can be made available as an electronic form only if the originating agency approves

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an exception to do so. (See the Standard and Optional Forms Procedural Handbook for procedures and a list of these forms).

**§ 102-194.45 Who should I contact about Standard and Optional forms?**

For Standard and Optional forms, you should contact the:

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Standard and Optional Forms Management  
Office General Services Administration  
(Forms-XR)  
1800 F Street, NW.; Room 7126  
Washington, DC 20405-0002  
(202) 501-0581

**PART 102-196—FEDERAL FACILITY  
RIDESHARING [RESERVED]**

**PARTS 102-197—102-220  
[RESERVED]**

**SUBCHAPTERS H-Z [RESERVED]  
CHAPTERS 103-104 [RESERVED]**