



U.S. Department
of Transportation
Office of the Secretary
of Transportation

ORDER

1330.2

JUL 11 2017

SUBJECT: MAIL MANAGEMENT

1. PURPOSE: This Order establishes the policies, responsibilities, and concept of operations for the Department of Transportation (DOT) Mail Management program.
2. CANCELLATION: DOT Order 1330.1, U.S. Department of Transportation Mail Management Policy, dated February 6, 1995.
3. REFERENCES:
 - a. The Private Express Statutes set forth at 18 U.S.C. 1693-1699 and 39 U.S.C. 401, 404, 601-606.
 - b. Title 41, Code of Federal Regulations (CFR), Parts 102-192, "Mail Management."
 - c. Title 49, Code of Federal Regulations (CFR), Parts 100-185, "Hazardous Materials Regulations."
 - d. DOT Manual 1330.1, Mail Management Manual.
 - e. Executive Order 13693, "Planning for Federal Sustainability in the Next Decade."
4. BACKGROUND: In 2007, DOT relocated approximately 5,600 employees to its new headquarters building at Southeast Federal Center. The new headquarters (HQ) mail center and the Federal Aviation Administration (FAA) HQ mail center provide mail services for both the DOT HQ facilities and metropolitan area satellite offices. The Departmental Mail Manager worked with Mail Managers in each Operating Administration (OA) to assess and analyze the current mailing processes to identify and pursue opportunities to reduce costs and automate services, while continuing to meet mission requirements. Overstuffed envelopes, returned mail, over posting, lack of automation, mail metering, and their associated services were identified as areas where costs could be significantly reduced through strategic sourcing and improved management.

At the end of 2010, the Departmental Mail Manager conducted a headquarters analysis of our mailing processes which revealed that DOT/FAA HQ and field offices have room for improvement to reduce overall costs associated with mailing and shipping and implement practices that are environmentally sustainable.

5. ACRONYMS:

HQ: DOT HQ East and West Buildings located at 1200 New Jersey Avenue, SE, Washington, DC 20590. FAA Headquarters located at 800 Independence Ave, SW Washington, DC 20591. Satellite offices in the Washington, DC area.

OFIAM: Office of Facilities, Information and Asset Management (M-90).

OA: Operating Administration within DOT

USPS: United States Postal Service

GSA: General Services Administration

CFR: Code of Federal Regulations

COOP: Continuity of Operations Plan

UPS: United Parcel Service

6. DEFINITIONS:

Departmental/Agency Mail Manager: Individual who manages the overall mail communications of a Federal agency; works at managerial level and has professional mail certifications.

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

Federal facility (or facility): 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.

Mail Center Manager: Individual responsible for overseeing and managing the daily operations of a Federal mail facility.

Mail: Letters, flats, memoranda, post cards, documents, publications, packages, and other written or printed communications received for distribution from or dispatch by the USPS; express delivery services; or intra-department envelope.

Mail Center: An organization or place, within or associated with a Federal facility, where incoming or outgoing Federal mail is processed.

Mail Service Center or Mail Operations Center: Any location with the equivalent of one or more full time employee(s) (government or contractor(s)) working solely on mail and an average of at least five hundred dollars (\$500.00) or more in monthly postage expenditures.

Mail Service Location: Any location with less than the equivalent of one or more full time employee(s) (government or contractor(s)) working on mail and/or less than an average of five hundred dollars (\$500.00) in monthly mail expenditures.

Official Mail: Mail relating exclusively to the business of the Federal Government, and for the purpose of this Order, official business of DOT.

OA Mail Manager: Individual responsible for the oversight of all mail operations for their OA. There may be more than one OA Mail Manager per OA.

Safe Mail Program: A program consisting of a written mail security plan, annual review and rehearsal of the plan, and performance measures in place to indicate employee awareness or completion of the program.

United States Postal Service Payment Processes: 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 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.

7. **SCOPE AND EFFECTIVENESS:** This policy applies to all employees and contractors at DOT. This policy is effective upon signature.

8. **ROLES AND RESPONSIBILITIES:**
 - a. **Office of the Assistant Secretary for Administration, Office of Facilities, Information and Asset Management (OFIAM) :**
 - i. Establishes written policies and procedures to provide timely and cost effective dispatch and delivery of mail;
 - ii. Issues departmental policy and provide oversight and evaluation of mail programs;
 - iii. Develops, implements, and manages mail program policies for the DOT;
 - iv. Prepares all required consolidated reports for the mail program;
 - v. Conducts mail program audits and reviews as needed;
 - vi. Represents the Department with organizations within and outside the Federal Government for the mail program;
 - vii. Operates the mail program for the DOT HQ buildings;
 - viii. Ensures agency-wide awareness and compliance with standards and operational procedures established by all service providers used by the agency;
 - ix. Sets policies for expedited mail, mass mailings, mailing lists, and couriers;
 - x. Seeks opportunities to implement cost-effective improvements and to enhance performance of the agency's mission;

- xi. Develops and directs agency programs and plans for proper and cost-effective use of transportation, equipment, and supplies used for mail;
- xii. Develops a COOP for HQ mail centers and mail processes and reviews this plan annually;
- xiii. Ensures that facility and OA mail personnel receive appropriate certifications and training in order to successfully perform their assigned duties;
- xiv. Promotes professional certification for OA Mail Managers and mail center employees;
- xv. Ensures 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;
- xvi. Establishes written policies and procedures to minimize incoming and outgoing personal mail;
- xvii. Provides guidance to agency correspondence managers on mail program correspondence management decisions such as development and design of mailing materials including Business Reply Mail, letterhead, and mail piece design;
- xviii. Coordinates mass mailings within DOT to reduce costs;
- xix. Develops a five year DOT mail management plan;
- xx. Represents DOT in its relations with mail service providers (usually as a Contracting Officer's Representative), other agency mail managers, and the GSA Office of Government-wide Policy;
- xxi. Ensures DOT policy incorporates Federal hazardous materials requirements set forth in 49 CFR parts 100-185;
- xxii. Ensures DOT sustainable activities become part of the mail program;
- xxiii. Ensures safety and security requirements specified in 41 CFR §102-192.70 through §102-192.80 are fulfilled;
- xxiv. Provides an annual Mail Management Report to GSA on behalf of DOT as specified in 41 CFR Parts §102-192.85 through §102-192.105; and
- xxv. Performs all roles and responsibilities in accordance with Title 41 CFR, Parts 102-192, "*Mail Management*."

b. OAs and Departmental Offices:

- i. Implement policies promulgated by the Office of the Assistant Secretary for Administration;
- ii. Implement written policies and procedures to provide timely and cost effective dispatch and delivery of mail;
- iii. Establish field location mail accounts with USPS if needed;
- iv. Budget for official mail;
- v. Designate, in writing to the Departmental mail manager, a Mail Manager to oversee mail operations at HQ and in field locations; this designation must be updated annually and immediately if the person filling the position changes;
- vi. Mail center managers must develop security procedures and plans for the mail service centers or mail service locations in the field offices/regions;

- vii. OA Mail Manager must ensure completion of security plans and procedures for the field offices/regions;
- viii. Prepare and submit all required reports;
 - ix. Ensure quality of service, training and employee development, security, resource planning and disbursement associated with mail management within their respective OA;
 - x. Manage USPS Payment Processes within their respective OA, unless otherwise specified in this Order;
 - xi. Train mail center managers and new OA mail managers;
 - xii. Develop a COOP for mail centers and mail processes and review this plan annually for field offices/regions;
 - xiii. Maintain accurate programmatic documentation on all OA mail centers;
 - xiv. Develop a five year mail management plan for field offices/regions;
 - xv. Seek opportunities to implement cost-effective improvements and to enhance performance of the OAs mission;
 - xvi. Provide an annual Mail Management Report to the Departmental Mail Manager on behalf of its OA based on the data elements requested by GSA; and
 - xvii. All roles and responsibilities will be performed in accordance with Title 41, CFR, parts 102-192, "*Mail Management.*"
- c. DOT Office of Security:
 - i. Supports mail management in matters of physical security, operations security, and risk/vulnerability assessments.
- d. DOT Chief Information Officer:
 - i. Supports mail management in matters of information technology development, integration and deployment, and information security.

9. POLICY:

- a. The DOT must use the most cost-effective mail service consistent with program requirements for timely, efficient, and responsive service through the use of internal mail, USPS, express delivery services, and other carriers while still supporting the operational focus of the DOT mission. Any organization in a field location with a daily mail volume of 300 pieces or less, must consider an alternative method, such as, internet PC postage software to process First Class mail for delivery.
- b. Personnel shipping packages via an alternate carrier (FedEx, UPS, etc.) on behalf of DOT must use the most cost effective method as the standard for shipping. Expedited mail shall be used only when required. Arrangements must be made for next-day pickup by the addressee when overnight mail is used on Fridays, weekends, or the day before a holiday.
- c. The DOT employees are not authorized to use the DOT mail system for personal mail. Only mail related to official Government business is authorized to be sent using the DOT mail system. Receipt of personal mail at any DOT facility is

prohibited, with the exception for personnel living on a Federal facility, personnel stationed outside of the United States, or personnel in other situations who would otherwise suffer hardship.

- d. Participation in USPS-offered discount mailings shall be maximized.
- e. The DOT must analyze processes to implement operations and initiatives to support sustainable practices in the mail centers.
- f. DOT must analyze processes to implement operations and initiatives to support federal hazardous materials requirements set forth in 49 CFR parts 100-185.
- g. The DOT operates consolidated mail centers in cities and locations where consolidation results in improved business efficiencies and an overall reduction in risk and life cycle costs. A Safe Mail Program shall be established at these facilities.
- h. The DOT mail centers establish a security program with the objective of assuring employee safety and facility survival. Mail center security plans are verified, updated, and endorsed annually by each OA mail manager. The results are reported annually to the departmental mail manager.
- i. The DOT must pay the USPS using one or more of the following:
The U.S. Treasury Intergovernmental Payment and Collection Payment (IPAC) process associated with the Official Mail Accounting System. The USPS Centralized Account Processing System (CAPS) associated with commercial payments; or another U.S. Treasury approved means of paying the USPS. Payments made to service providers other than USPS must be made by U.S. Treasury payment methods such as automated clearing house-electronic funds transfer, or another U.S. Treasury approved means of paying the vendor.
- j. The Departmental Mail Manager schedules and facilitates a program review of each OAs Mail Management Program every twenty-four months.
- k. Delivery of official mail to a personal residence without management approval is prohibited. Employees who are teleworking must have DOT mail delivered to a DOT facility, scanned, and emailed to them, unless otherwise approved by their management. Each OA must set up an accounting system to track postage expenditures mailed on behalf of DOT from a place of personal residence; and ensure there is a mail security plan in place for teleworking employees.
- l. The DOT 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 makes program level managers accountable for obligating and tracking those expenses. Each OA must determine the appropriate program level for this requirement because the level at which it is cost effective differs widely. The finance systems should track all mail expenditures separately to the program level or below, and should show expenses for postage and all other mail expenditures, payments to service providers, etc., separate from all other administrative expenses; allow mail centers to establish systems to charge their customers for mail expenditures; and identify and charge the mail expenditures that are part of printing contracts down to the program level.

10. MAIL MANAGEMENT COMMITTEE: Reviews current mail-handling practices, promotes information sharing, and plans implementation of any mail program changes.

The committee consists of representatives from the Office of the Secretary and each OA. The committee is chaired by a representative from the Office of the Assistant Secretary for Administration. Each OA and Departmental offices may have one or more representatives; all representatives must have the authority to make decisions concerning mail processes. The mail management committee is responsible for analyzing and developing departmental projects to achieve cost savings and efficiencies in the DOT Mail Management Program and providing policy input to the DOT Mail Management Program for Department-wide application. The committee is also responsible for implementing and executing Department-wide projects and programs and ensuring OA participation in support of each program.

11. REPORTS: Reporting requirements in addition to the annual Mail Management Report are described in the DOT Mail Management Manual update.
12. CERTIFICATIONS: Training and professional certification for mail managers, mail center managers, and mail center employees are described in the DOT Mail Management Manual update.
13. MONITORING FOR POLICY COMPLIANCE: A process for tracking the amount of cost reduction and automation will be implemented in support of this policy initiative, including periodic internal audits. This process will also be used for required reporting related to sustainable practices. This effort will be undertaken by the OFIAM.
14. POLICY EXCEPTION REQUIREMENTS: OAs will submit all policy exception requests directly to their OA Mail Manager who will submit them to OFIAM. Departmental offices will submit their requests directly to OFIAM. OFIAM will also monitor all approved requests.
15. DISTRIBUTION: This policy is distributed to all Departmental Officers, Heads of OAs and OA mail managers.
16. CONTACT: If you have specific questions related to this policy, please contact the DOT Mail Management Program Office within OFIAM at 202-366-2458.

FOR THE SECRETARY OF TRANSPORTATION



Bryan Slater
Assistant Secretary for Administration

[Handwritten signature]
