

## Highway Contract Routes – Contract Delivery Service

Handbook SP-1

July 2013  
Transmittal Letter

- A. Explanation.** Handbook SP-1, *Highway Contract Routes – Contract Delivery Service*, is being revised to align policy regarding route surveys. Specifically, section 521 is revised to state that route surveys are not necessary in each contract year if the supplier, contracting officer, and administrative official agree that a survey is not necessary.

It is recommended that contract delivery service route surveys be conducted annually. However, if the route is not up for renewal, the supplier can opt out of the route survey. When a supplier opts out, the contract file must be appropriately documented. Ultimately, the contract file should include a route survey form or the formal opt-out documentation for each calendar year or the contract.

- B. Availability.** Handbook SP-1 is available on the Postal Service™ PolicyNet website:

- Go to <http://blue.usps.gov>.
- Under “Essential Links” in the left-hand column, click *PolicyNet*.
- Click *HBKs*.

(The direct URL for the PolicyNet website is <http://blue.usps.gov/cpim>.)

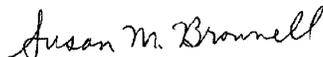
The handbook is also available on the Postal Service Internet site. The direct URL is:

- <http://about.usps.com/handbooks/sp1.pdf> (PDF version).
- <http://about.usps.com/handbooks/sp1/welcome.htm> (HTML 508-compliant version).

- C. Comments and Questions.** Submit comments, suggestions, or questions to:

MANAGER SURFACE TRANSPORTATION CMC  
U.S. POSTAL SERVICE  
1200 MERCANTILE LANE SUITE 109  
LARGO, MD 20774-5389

- E. Effective Date.** This revision is effective July 2013.



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# 1 General Contract Administration

## 11 Purpose

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This handbook establishes national policy and procedures for the operation and administration of Contract Delivery Service (CDS). This policy requires continuous close coordination among managers of various operations (including Mail Processing, Delivery Operations, and Surface Transportation Category Management Center (CMC) in matters pertaining to CDS.

## 12 Definitions

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### 121 **Contract Delivery Service**

A Contract Delivery Service route is a contract agreement between the Postal Service and a private individual or firm for the delivery of and collection of mail from homes and businesses. The services provided by the CDS carrier are similar to those provided by postal rural letter carriers, including delivery of mail and the sale of postal services. The supplier, depending on the contract requirements, performs specified duties such as casing mail; selling stamps, Certified Mail™, Collect on Delivery (COD), Priority Mail Express™, Registered Mail™, Standard Post™, merchandise returns, or money orders; picking up mail from collection boxes; and markup and forwarding of mail.

A route may be operated personally by the supplier (owner-operator) or the supplier may elect to hire employees. If the supplier's hired employees are used regularly, they must be paid the wages and fringe benefits in accordance with the Service Contract Act and the current wage determination attached to the contract. Also, the supplier is responsible for training its hired employees in accordance with the standardized training programs established by the Postal Service for CDS.

### 122 **Contracting Officer**

The Contracting Officer (CO) is a Postal Service employee specifically delegated authority to enter into contracts on behalf of the Postal Service. The Contracting Officer for CDS is the Area Manager, Transportation Contracts, or his delegated representative.

### 123 **Administrative Officials**

An Administrative Official is any postal official designated by the Area Manager, Transportation Contracts, to supervise and administer the performance of mail transportation and related services by suppliers. This involves managers or postmasters at processing and distribution centers/facilities (PDCs/Fs), mail processing facilities (MPFs), and associate offices. Each solicitation or contract names the responsible administrative office. The Administrative Official must cooperate fully with the Manager, Transportation Contracts, in administering these contracts so that the Postal Service will receive the best possible service, planning, and contract performance at the lowest cost. For matters involving the contract, the Administrative Official is directly responsible to the Manager, Transportation Contracts.

## 13 Responsibilities

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### 131 **Manager, Transportation Contracts**

#### 131.1 **Authority to Contract**

The Area Manager, Transportation Contracts, is the only postal official authorized to enter into, execute, and approve contracts for mail transportation and related services. This includes regular, temporary, and emergency surface transportation and inland domestic water contracts. The Manager, Transportation Contracts, and other delegated Contracting Officers have sole authority to enter into and to negotiate adjustments to those contracts.

#### 131.2 **Responsibilities Under the Contract**

The Manager, Transportation Contracts, or his or her designee, is responsible, under the contract general provisions, for:

- a. Ordering service changes that increase or decrease the supplier's annual rate of pay by no more than 10 percent, or \$2,500, whichever is the lesser amount. The Manager, Transportation Contracts, may either order-in or negotiate these changes.
- b. Negotiating other service changes with the supplier.
- c. Terminating the contract for cause (unsatisfactory service) or for the convenience of the Postal Service as specified within the clauses of the contract.

#### 131.3 **Accountability**

The Manager, Transportation Contracts, is held accountable for service performance and for the transportation budget in his or her respective geographic service area. Therefore, the local distribution networks office in each particular area must participate in all decisions concerning Contract Delivery Service.

**131.4 Contract Pay Administration**

The Manager, Transportation Contracts, must take necessary actions to ensure that suppliers are compensated properly and in a timely manner. This manager must also make appropriate deductions when the supplier fails to operate. The Contracting Officer will issue PS Form 7440, *Contract Route Service Order*, to deduct pay for omitted service, in accordance with the general provisions of the contract, unless such omission is for reasons beyond the control of the supplier, such as “Acts of God,” road conditions, or instructions of authorized postal personnel.

**132 District Managers (or Designees)**

The District Manager (or designee) must:

- a. Approve the establishment of a contract delivery route at a Post Office not having any such service.
- b. Approve recommendations to eliminate a contract delivery route by consolidation.
- c. Approve recommendations to transfer territory between postal facilities.
- d. Approve recommendations to relocate a contract delivery route from one Post Office to another.
- e. Review and concur with any proposed route changes recommended by an Administrative Official and/or manager, PDC/F. Upon district approval, the proposals will be submitted to the Manager, Transportation Contracts, for implementation.
- f. Provide the necessary support for Administrative Officials charged with the responsibility of day-to-day management of contract delivery operations.

**133 Processing and Distribution Centers/Facilities and Postmasters**

Postmasters must:

- a. Make recommendations for service changes through the district office.
- b. Ensure that accurate measuring devices are used to record Highway Contract Route (HCR) miles, supplier performance, and exceptional service performed.
- c. Notify District Managers and the Contracting Officer of any problems and corrective action being taken.

**134 Administrative Officials****134.1 Administrative Responsibilities**

An Administrative Official is any postal official designated by the Manager, Transportation Contracts, to supervise and administer the performance of mail transportation and related services by suppliers. Generally, Contract Delivery Service suppliers are administratively responsible to the postmaster at the head-out postal installation.

Suppliers are required to mark up undeliverable mail and forward mail for customers who have filed change of address orders. The Administrative Official or authorized representative, will instruct suppliers in the proper procedures to be followed.

#### 134.11 **Screening**

Administrative Officials must collect screening information from suppliers on the following forms:

- a. One original PS Form 2025, *Contract Personnel Questionnaire*.
- b. One original PS Form 2181-C, *Authorization and Release — Background Investigation*.
- c. Two original forms FD-258, *Fingerprint Card*.
- d. Original driving record (5-year motor vehicle record).
- e. Certification of negative drug screening results.
- f. Transmittal cover sheet, including the Administrative Official's name, telephone number, facility name, mailing address, and a notation if the applicant is a non-driving contract employee.

The Administrative Official must review each form, make sure they are complete and accurate, and mail the forms to:

POSTAL INSPECTION SERVICE  
MEMPHIS SISC  
225 N HUMPHREYS BLVD 4TH FLOOR  
MEMPHIS TN 38161-0008

Administrative Officials also issue and retrieve Contract Delivery Service identification badges when requested by the Manager, Transportation Contracts. Administrative Officials must keep all information developed in the screening process confidential and must retain in a locked file. Refer to the Management Instruction on Screening Highway Transportation Contract Employees.

#### 134.12 **Contract File Folder**

Administrative Officials must maintain up-to-date file folders for all contracts at their offices. Each CDS route should have two folders: a contract folder and an action folder. The contract folder should be assembled in the following manner: the right side will contain material of a permanent nature and the left side of the folder is used to hold forms and correspondence of a temporary nature, which periodically may be disposed of according to established instructions. The file folder must also include a detailed record of the supplier's performance on the route. The action folder must contain all actions taken on the route including PS Form 5500, *Contract Route Irregularity Report*, and any letters of warning.

#### 134.13 **Roster and Map**

The Administrative Official is responsible for maintaining a current route map indicating line of travel, residences, and box locations. The Administrative Official is responsible for maintaining a current line of travel and ensuring that the edit book is current.

The route map, line of travel, current schedule, training workbook and all other tools necessary to promote consistent and efficient delivery are to be maintained in a three-ring route book to be kept at the contract carrier's case, preferably in the slot designed for such in the 124-D case.

134.14 **Markups**

The Administrative Official will instruct the supplier on procedures to be followed in the forwarding and markup of mail. In those instances where central markup is available for postal personnel, it must also be made available to contract delivery suppliers. Where the Postal Automated Redirection System (PARS) has been implemented, the use of approved PARS procedures shall be required of Contract Delivery Service carriers.

134.15 **Reports**

Administrative Official prepares and maintains all regular and special reports requested by the Manager, Transportation Contracts, or District Manager, Operations Programs Support.

134.2 **Supervisory Responsibilities**

134.21 **General**

Administrative Officials must carry out the supervisory responsibilities in [134.22](#) through [134.29](#).

134.22 **Compliance With Regulations**

Ensure that mail is properly delivered to customers. The Administrative Official must be familiar with the terms of the contract and all regulations and policies pertaining to contract delivery operations, and he or she must supervise the operation efficiently in accordance with the contract regulations and policies.

134.23 **Service Changes**

Place service changes into effect only upon approval from the District, Manager Operations Programs Support (MOPS) (or designee). Postmasters may authorize additional boxes along the line of travel encouraging box clusters, wherever possible. Unless otherwise specified in the contract, suppliers receive an adjustment for an increase or decrease of 14 or more in-line boxes. Therefore, an aggregate change in boxes of 14 or more must be reported immediately to the Contracting Officer via PS Form 5454, *Highway Contract Route Enroute Box Change*, for supplier payment adjustment.

134.24 **Monitoring**

134.241 **Adhering to Schedule**

Ensure that suppliers report at times provided in their contracts and depart for their routes as close as possible to the published schedule.

134.242 **Reviewing and Certifying Performance Data**

Review supplier performance data daily on PS Form 5399, *Contract Route Performance Record*. This includes reporting time, departure time, return time, detours, and omitted service. PS Form 5399 must be certified monthly and signed by the Administrative Official or designee.

134.243 **Reporting Operating Failures**

Report any serious operating failures promptly to the local distribution networks office for the area and immediately issue a PS Form 5500.

134.244 **Monitoring Performance and Operational Problems**

Monitor contract route operations and counsel suppliers on performance and/or operational problems. The schedules for suppliers with casing responsibilities will be posted at the end of each case for ready referral. The current PS Form 5399 will be maintained on a clipboard at each case, completed daily by the supplier, reviewed daily by the Administrative Official or designee, and certified monthly by the Administrative Official. The completed PS Form 5399 will be maintained by the Administrative Official locally for historical review. Consult with the Manager, Transportation Contracts, concerning performance failures.

134.245 **Recommending Corrective Action**

Prepare recommendations to the Contracting Officer in the area for corrective action for supplier irregularities beyond the counseling stage after the supplier has been issued a corrective letter.

134.25 **Exceptional Service**134.251 **General**

Certify, on the last day of the month, all detours and additional service on PS Form 5429, *Certification of Exceptional Contract Service Performed*. Submit copies to:

ACCOUNTING SERVICE CENTER  
PO BOX 80191  
ST LOUIS MO 63180-9191

Copies must also be provided to the appropriate District Manager, to the respective local distribution networks office in the area, and to the supplier. Document all omitted service and submit it to the Contracting Officer in the area no later than the end of the month in which the service was omitted.

134.252 **Detours**

Detours are compensable to the contract delivery supplier as required to perform their daily functions. All detours must be reported to the Administrative Official and recorded daily on the PS Form 5399 by the supplier. The Administrative Official is responsible for validating the necessary detour and mileage required as well as ensuring that the alternate line of travel is safe for the carrier to traverse. The Administrative Official is then responsible to authorize the detour via completion of a PS Form 5397, *Contract Route Extra Trip Authorization*, and then process payment on the first business day of the month after the detour mileage was incurred via a PS Form 5429. Payments are processed after the detour service has run for a number of days in the preceding month.

134.26 **Staffing**

The Administrative Official must:

- a. Provide adequate staffing to meet departure and arrival schedules and to process by clearance or dispatch times.

- b. Provide proper supervision and training to monitor and record all aspects of CDS operations. This includes providing standardized training in a manner conducive to supplier learning. This training will be provided as required as contracts are awarded or renewed. Required documentation for such training will be completed in a timely manner and submitted to the appropriate officials.
- c. Provide a safe work area at the postal facility.

134.27 **Surveys and Counts**

134.271 **When to Conduct Survey**

A survey will be conducted annually when the Administrative Official, CDS supplier, or Contracting Officer (CO) elects to do so. If the Administrative Official, CO and the supplier indicate that a survey is not desired, the route will not be surveyed and only en route boxes will be adjusted. A survey must be conducted when the end term of the contract is the following year in March or June (contract renewal).

Based on the guidelines and training provided by Delivery Operations and training provided by the Manager, Operations Programs Support (or designee), the Administrative Official must conduct annual surveys during the last two weeks in September and forward a copy of the report on PS Form 5408-X, *Box Delivery Contract Route Survey*, along with the complete survey packet and other documentation to the appropriate District Manager or designee. Postal personnel performing route inspections must refrain from making commitments to the supplier, verbal or otherwise, regarding changes in the existing contract specifications. The District Manager will forward the survey to the Manager, Transportation Contracts, after approval.

134.272 **Mail Counts**

A mail count will be conducted annually when the Administrative Official, CDS supplier, or CO elects to do so. A mail count **must** be conducted when the end term of the contract is the following year in March or June (contract renewal).

A 1-week count of mail will be conducted on a route data volume count sheet, PS Form 5405-X, *Contract Route Mail Count Form*, furnished by the Manager, Transportation Contracts. The six-day period selected for the mail count period must be during the last two weeks in September. When a mail count is conducted, the data sheet should be included in the survey packet. Mail counts will be conducted in accordance with procedures established by Delivery Operations in Headquarters. This mail count must accompany the PS Form 5406, *Contract Delivery Service Route Survey*, furnished to the Manager, Transportation Contracts.

134.273 **Additional Requirements**

Additional surveys and volume counts on the route data volume count sheets may be required by the Manager, Transportation Contracts, at other times during the year. Such counts will generally occur:

- a. Immediately prior to or following resolicitation of a contract.
- b. When the supplier requests a change in the contract rate due to increase in customers or boxes and mail volume.

Mail volume counts are one criteria used in evaluating a supplier's workload and adjusting the contract rate. It is important that these counts be accurate depending upon the individual route and circumstances involved. Other factors or alternate methods may be necessary to evaluate work hour requirements (i.e., seasonal routes or routes having extreme volume fluctuations).

134.274 **Copies for Supplier**

The Administrative Official must provide the supplier a copy of all route surveys, box counts, and mail volume counts.

134.28 **Vehicle Inspections**

134.281 **Inspection Frequency**

The Administrative Official must inspect all vehicles to be used on the contract prior to the effective date of award or renewal and periodically during the year to ensure contract compliance.

134.282 **Visual Inspection Requirements**

The Administrative Official makes periodic checks of the supplier's vehicle to ensure the following:

- a. No mail is being left in the vehicle.
- b. Vehicle meets or exceeds the requirements of the contract.
- c. Vehicle offers adequate protection against loss or damage of the mail, including possible damage due to adverse weather conditions.
- d. All doors and locks work properly.
- e. Round trip mileage does not exceed the authorized mileage of the route. If excessive mileage frequency is shown, the reason must be determined and appropriate corrective action taken.
- f. Anonymous mail procedures are being followed as required, including identifying and isolating anonymous mail in the vehicle.

134.29 **Route Analysis**

134.291 **Forms Used**

The Administrative Official analyzes the supplier's operating data recorded on PS Form 5399, for service and economic performance.

134.292 **Supplier Work Area**

The Administrative Official periodically checks the supplier's work area to determine:

- a. Is the routebook complete and current?
- b. Are the entries of forwarding orders legible and complete?
- c. Is PS Form 3982, *Change of Address* (card), being used properly?
- d. Is the case properly labeled?

134.293 **Operations Analysis**

The Administrative Official evaluates supplier's operations to identify problems, takes necessary action, and passes along recommendations to the local distribution networks office in the area for action by the Manager, Transportation Contracts.

**134.294 Service Changes**

The Administrative Official recommends changes to contract delivery routes from a service and/or economic standpoint and keeps the local distribution networks office in the area informed of all advance planning that will affect contract requirements, i.e., Post Office closings and new housing or business developments.

**134.3 Responsibilities to Supplier****134.31 General**

The Administrative Official is responsible to the supplier for the items in [134.32](#) through [134.36](#).

**134.32 Office Equipment**

The Administrative Official must furnish the type of office equipment necessary for the supplier to be able to perform efficiently including items such as mail cases, case lights, straps, trays, and postal forms. The supplier may not use non-standard equipment in the Post Office without the approval of the Administrative Official.

**134.33 Training**

Administrative Officials must provide route training for operators of newly awarded Contract Delivery Service routes, as needed. This formal training will be up to a total of 24 hours. This includes 8 hours of computer-based training (CBT), supplemented by up to 16 hours of on-the-job training (OJT). OJT training hours provided will be determined by the individual background and prior delivery experience of each individual trainee. The supplier will be compensated for training at the hourly rate as identified in the contract. Training of hired drivers will be the sole responsibility of the CDS supplier. Administrative Officials must notify the local distribution networks office in their area when training is completed and training provided must be documented on the Contract Delivery Service Supplier Training Certification Form and Checklist. Supplier training will include work methods, procedures, labeling of cases, maintenance of edited books, scanning procedures, mail products and special services provided, forwarding of mail, and sanctity of mail.

**134.34 Keys**

The contract carrier must sign out keys on a daily basis. All keys must be returned at the end of each day. No carrier will accept keys, key cards, or combinations or key substitutes to gain access into customers' mailboxes or premises to effect delivery.

The postmaster will make arrangements for return of keys in the event the Post Office is closed when the supplier returns.

**134.35 Arrow Locks**

In offices with multiple Contract Delivery Service routes, all such CDS routes may share the use of one Arrow Lock series, provided no contract carrier picks up boxes for another Post Office. In that case, that carrier would use a unique arrow lock series for those boxes to enhance postal security.

### 134.36 **Scanning Devices**

Contract delivery carriers will be issued hand held scanners/data collection devices on a daily basis and will be required to return them at the end of the day. Generally, the supplier will obtain the scanner from the cradle and return it to the cradle at the end of the day. The supplier shall be responsible for ensuring the validity of set up data in the device and for the accuracy of all inputs.

The postmaster will make arrangements for return of the scanners in the event that the Post Office is closed when the supplier returns.

## 134.4 **Responsibilities to Customers**

### 134.41 **General**

The Administrative Official and supplier are responsible for providing prompt and efficient service to the customer.

### 134.42 **Complaints**

The Administrative Official must ensure that contract delivery route customer complaints are handled properly and expeditiously with prompt referral to the appropriate postal official.

### 134.43 **Requests for Service**

The Administrative Official must process customer requests for service that will result in a change in contract service promptly and ensure that such requests meet minimum guidelines and policy.

### 134.44 **Accountable Mail**

In situations where delivery has been extended for out of bounds boxes and for situations where delivery has been extended for approaches over 1/2 mile or 1 mile round-trip, the contract delivery carrier should leave a PS Form 3849, *Sorry We Missed You*, in the customer's mailbox.

## 135 **Suppliers**

### 135.1 **Performance Level**

Suppliers are required to perform 100 percent of the service specified in their contracts. This includes delivering the mail correctly, maintaining the contract schedule, providing the proper equipment, and adhering to individual contract requirements. PS Form 5500 will be issued by the Administrative Official each time an irregularity occurs. Suppliers not responding to PS Form 5500 within 10 days accept admission that the facts as stated in Section 1 are correct. Responsibilities of the supplier can be found in the Statement of Work and Specifications in the contract.

### 135.2 **Screening**

Suppliers and their employees must immediately complete and return screening forms to the Administrative Official (except for awards, supplier will submit forms to the Manager, Transportation Contracts), unless current screening records are on file. These forms include:

- a. PS Form 2025, *Contract Personnel Questionnaire*.

- b. Two original forms FD 258, *Fingerprint Card*.
- c. Original 5-year motor vehicle record.
- d. Certification of “negative” drug screening results.
- e. PS Form 2181-C, *Authorization and Release – Background Investigation*.
- f. Passport-size photos for inclusion on PS Forms 5139 and 5140 (two full-face color photos 1 1/4 inches x 1 1/4 inches).

The supplier is responsible for returning terminated supplier/employee badges and for reporting lost badges to the Administrative Official immediately. For further information, refer to the management instruction on *Screening Highway Transportation Contract Employees*.

### 135.3 **Equipment**

The supplier is responsible for furnishing and properly maintaining the vehicle and any other equipment required by the contract. Equipment must comply with applicable federal, state, and local laws.

### 135.4 **Hired Employees**

Suppliers hiring relief employees to service the route on a regularly scheduled basis must, by law, pay such employees wages and fringe benefits outlined in the wage determination incorporated into the contract. Occasional relief employees are exempt from wage determination requirements, but must be paid as instructed in the clauses of the contract. In conducting contract operations, the supplier should not employ any individual who is: lacking sufficient intelligence to perform properly the required duties; not able to understand or respond to directions provided by supervisory personnel, not a reliable and trustworthy person of good moral character; or is barred by law or Postal Service regulations from performing such duties. A list of ineligible suppliers can be reviewed on the Postal Service Intranet at: <http://blue.usps.gov/purchase/infrastructure/debar.htm>.

### 135.5 **Inquiries and Correspondence**

The supplier is directly responsible to the Administrative Official for efficient performance of the contract, and any inquiry concerning the performance requirements should be directed to the Administrative Official. All other inquiries are to be directed to the manager of the local distribution networks office in the area and the Manager, Transportation Contracts. Suppliers must respond promptly to all correspondence received and, when requested to do so, negotiate contract changes with the Manager, Transportation Contracts, in a fair and reasonable manner. All correspondence concerning compensation must be directed to the Manager, Transportation Contracts.

### 135.6 **Duties**

The suppliers and/or replacements must perform duties described in Chapter [3](#) and must follow all instructions from the Manager, Transportation Contracts, Administrative Official, or their authorized representatives.

**135.7 Communication With Customers**

Suppliers must be able to communicate effectively with the Administrative Officials and with their customers. Suppliers must cooperate with Administrative Officials to ensure that customers are aware of the following:

- a. Customers must file complaints on mail service with the postmaster and not with the supplier.
- b. Suppliers will dismount when necessary to transact business involving delivery of Registered Mail, Certified Mail, Insured Mail, COD, Standard Post, Priority Mail Express, and other special services (See [333.4, Dismounting](#)).
- c. Requests for service changes, box relocation requests, PS Forms 4027, *Petition for Change in Rural Delivery*, etc., must be filed with the postmaster.
- d. Customers' boxes must be placed so that they may be safely and conveniently served by the carriers and must be located on the right side of the road in the direction of travel.
- e. Boxes must conform to postal regulations. Mailboxes are installed at a height of 41 to 45 inches from the road surface to the bottom of the mailbox or point of mail entry.
- f. Customers are responsible for keeping approaches to mailboxes clear of snow, ice, mud, parked vehicles, or other obstructions.
- g. When more than one family uses a box, written agreement to such use must be filed with the postmaster. The number of families permitted to use a single box is limited to five.

Customers may use locks on boxes, providing the box has a slot large enough to accommodate the normal daily mail volume. The supplier will neither open boxes that are locked, nor accept keys for this purpose. All other information as deemed appropriate by the Administrative Official.

# 2 Service Changes

## 21 Existing Contract

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### 211 Requirements

#### 211.1 Initiation

The supplier, plant manager, customer service district manager, or Administrative Official may initiate recommendations for service changes. The Manager, Transportation Contracts, must be provided with all relevant information.

#### 211.2 Route Extensions

##### 211.21 Policy

Postal Service policy is that contract delivery service extensions will be made in a timely manner. Extension will not be made until approved by the Manager, Operations Programs Support.

##### 211.22 Petitions for Extensions

Submit petitions for route extensions on PS Form 4027. Extensions should serve an average of at least one new residence per mile, including retrace (new residence is defined as an address where delivery has not been established previously). Extensions are not allowed to improve existing service, or to provide door-to-door curbside service, or service over private roads, driveways, or lanes.

Delivery will not be extended into cul-de-sacs unless local factors such as lot size, driveway and apron paving dimensions, and public road acceptance indicate a clear and safe line of travel. Where cul-de-sac extension is practical, establish boxes at one location in the throat of the cul-de-sac if possible based on local conditions. Otherwise, curbside boxes or authorized collection box units (CBUs) and parcel lockers approved by the Postal Service should be erected at the intersection of the cul-de-sac on the contract carrier's existing line of travel.

Each proposal must be evaluated on its individual merits. New boxes will be located on the right-hand side of the road in the direction of travel by the carrier. Curbside boxes will be clustered, if possible.

**211.23 Permanent Mobile Homes/Trailer Courts, Subdivisions**

In these areas, delivery may be made to:

- a. A single point (delivery made to management office that provides final delivery to each resident). Ensure that proper agent status is established.
- b. Apartment-type receptacles in a central location.
- c. Cluster box units. Delivery to individual boxes along the extended line of travel will not be approved.

**211.24 Transient Mobile Homes/Trailer Courts**

Delivery will be provided only to a single delivery point (management office or other designated point), even though a minor portion of occupants may be permanent residents. Permanent residents may elect to provide a cluster box unit along the route line of travel outside the trailer court.

**211.3 Hardship Delivery**

When a customer submits a request in writing for hardship delivery and it is authorized by the Administrative Official, a copy of the original request and the response granting such request will be kept on file in the route book for that serving route. When the individual for whom the hardship has been granted vacates the premises, whether through forwarding notification or death, the supplier will stop the hardship delivery and notify the Administrative Official or designee. For this reason, the customer must maintain the original conforming mode of delivery receptacle in serviceable condition. The box should be blocked temporarily to prevent the inadvertent delivery of mail to the box while in a hardship status. Also, if the hardship delivery is in an area not previously delivered, no additional boxes should be allowed to be erected between the previous line of travel and the new hardship delivery due to the temporary nature of the new delivery point.

**211.4 Administrative Official**

Request for extension package can be obtained from the Manager, Transportation Contracts. For any service change request, the Administrative Official must:

- a. Ensure that PS Form 4027 from the customer meets the minimum requirements as stated in postal regulations.
- b. Complete PS Form 5406 and provide a new line of travel data on PS Form 5408, *Contract Delivery Route Description*.
- c. Submit the above completed forms with other supporting documentation within 5 days of receipt of request from customer forward to MOPS. Within 7 days of receipt, the MOPS will approve or disapprove and advise the Administrative Official. If approved, the MOPS will forward the package to the Manager, Transportation Contracts, for adjustment in compensation to the contract.

Administrative Officials must keep the MOPS and Manager, Transportation Contracts, informed of possible impact due to operational changes such as

mail transportation changes, presence of delivery sequenced mail and office closings to be considered or developed in recommending a change:

- a. Schedule must be realistic and accurately reflect the daily average running time requirement.
- b. Forms submitted by the Administrative Official through the MOPS to the Manager, Transportation Contracts, should have all items completed.
- c. Map, when necessary, must clearly show the recommended changes and distances to the nearest 1/10 of a mile.
- d. The Administrative Official may not transfer the casing, markup, forwarding of mail, and other related duties that are presently being performed by craft employees to highway suppliers or contract employees, except as indicated: if the Administrative Official has an unusual or questionable case (one that may possibly warrant a transfer of duties), a recommendation proposing the change must be submitted through the Customer Service District (CSD) to the Manager, Transportation Contracts, together with all supporting facts. The Manager, Transportation Contracts, will review the request and advise the MOPS of the approval or disapproval of each request. The Manager, Transportation Contracts, must obtain Headquarters concurrence with all approvals.

## 212 **Compensation Adjustment**

### 212.1 **Manager, Transportation Contracts Authority**

The Manager, Transportation Contracts, or designee, may order a service change that does not increase or decrease the supplier's pay by more than \$2,500. All other changes must be negotiated by the Manager, Transportation Contracts. The Administrative Official is not authorized to negotiate compensation or otherwise amend the contract.

### 212.2 **En Route Boxes – Changes in Box Total**

Unless otherwise specified in the contract, the Administrative Official will inform the MOPS and the Manager, Transportation Contracts, when the supplier's boxes are increased or decreased by 14 or more via PS Form 5454. However, the supplier also will be entitled to any net increase of boxes occurring within the postal fiscal year (October 1–September 30) as verified by a fall survey.

### 212.3 **Adjustment Considerations**

#### 212.31 **Estimated Annual Contract Hours**

The Manager, Transportation Contracts will make adjustments for compensation. The estimated contract hours will be established as follows:

##### 212.311 **Office**

- a. Establish a volume factor based on the average rural volume factor for the District.
- b. Multiply the number of boxes by the District volume factor (week).

- c. Add 5 minutes per day for miscellaneous office functions.
- d. Add 5 minutes per day for withdrawal.

212.312 **Street**

- a. Add 2 minutes per day for each mile.
- b. Add 1 minute per week for each centralized box.
- c. Add 1.82 minutes per week for curbside delivery.
- d. Add 4 minutes per day for every 100 boxes for other street functions (includes mail collection time, parcel delivery time, and scanning time).

212.32 **Estimated Annual Contract Miles**

The estimated annual contract miles are established by multiplying the daily miles times the frequency (e.g., 303.07 for K7, daily except Sundays and holidays).

212.33 **Adjustment Factors**

Adjustments for additional boxes and miles are based on Office (a and b only) and Street (a–d). Office (c–d) will be adjusted, if needed, based on an annual volume count. The Manager, Transportation Contracts, will make adjustments for compensation.

212.34 **Economic Adjustments**

Certain economic adjustments may be allowed for by the terms of the contract. It is the supplier's responsibility to request these adjustments through the Manager, Transportation Contracts.

## 22 Rural Delivery Service Versus Contract Delivery Service

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### 221 **Supersedure of Rural Delivery Service by Contract Delivery Service**

#### 221.1 **Requirements**

Contract service may be established or extended to provide for delivery and collection service to postal customers served by a rural route under the following conditions:

- a. When a rural route becomes vacant and does not serve a minimum of one family per mile it may be converted to contract delivery service.
- b. Parts of rural routes may be converted to contract delivery service to remove duplication of service.
- c. In cases where segments of a rural route become detached from the rural route so that it is impractical for the carrier to serve these segments, the segments may be converted to contract delivery service. Detached means a physical separation, such as the construction of a dam, separating a rural route from a portion of its territory. In these cases, delivery will be established to the detached portion as determined by management.

- d. If it is determined to conduct a survey relative to supersedure of rural delivery by contract delivery service, notify the concerned NRLCA steward in writing of the Postal Service intent to survey and of the possibility that the route may be superseded and, therefore, not posted.

#### 221.2 **Conditions**

As required by part 911a of Handbook M-38, *Management of Rural Delivery Services*, a physical survey of the route must be made to determine if the route serves less than one family per mile. The survey may be conducted either when it is learned that the route will become vacant or when it actually becomes vacant. Include in the family count all businesses which receive mail on that route but are not operated out of a family-resided residential property. Once completed, the survey determining the actual family count must be used as a conversion predicate within a reasonable period of time. Conversion of rural delivery to contract delivery service normally will not be considered unless a cost reduction would result.

### 222 **Conversion of Contract Delivery Service to Rural Delivery Service**

#### 222.1 **Requirements**

A contract route will not be superseded by rural delivery service during the contract period unless the supplier consents in writing or there is a worthwhile improvement in service. A contract route will not be superseded by rural delivery service at the end of the contract period unless there will be a worthwhile service improvement or a reasonable cost reduction.

#### 222.2 **Exceptions**

Exceptions may be made when post offices on routes are discontinued, making it impractical to continue contract delivery service.

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# 3 Supplier Duties

## 31 General

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Supplier responsibilities include, but are not limited to, the following:

- a. Reporting for work promptly, as scheduled.
- b. Casing, delivery, and collection of mail.
- c. Presenting a neat, clean, and professional appearance reflecting a positive postal image.
- d. Protecting all mail, monies, and postal equipment entrusted.
- e. Returning all mail, monies, and postal equipment to the Post Office upon return from the route.
- f. Providing and maintaining a vehicle of required size with necessary equipment (including chains, warning lights, emergency equipment, and fire extinguisher) free of extraneous matter. The vehicle should reflect a professional and positive image of the Postal Service and be able to serve the route safely, efficiently, and in accordance with federal, state, and local motor vehicle laws and regulations.
- g. Displaying a courteous and helpful attitude to customers and postal personnel.
- h. Developing and maintaining the skills necessary to satisfactorily and safely perform all duties assigned.
- i. Following the directions of on-site Postal Service management.
- j. Complying with Aviation Security Anonymous Mail Standard Operating Procedures as well as other established physical and vehicle security procedures.

**Note:** Supplier employees or replacements are subject to the same duties and responsibilities as the supplier.

### 311 Service

#### 311.1 Service Requirements

The supplier is required to deposit all mail in the appropriate mailboxes of customers placed along the assigned line of travel on the route. The supplier is also required to receive all mail properly tendered by customers and collect all mail from mailboxes placed along the line of travel, when a flag is displayed to indicate that a box contains mail to be taken.

**311.2 New Service Request**

Suppliers must not circulate or encourage the circulation of petitions for changes in service. All questions relating to schedules, extensions, or new service must be referred to the Administrative Official.

**311.3 En Route Changes**

Suppliers must report all changes in boxes to the postmaster.

**311.4 Full Mail Service Features Required**

In addition to delivery and collection of ordinary mail, the supplier will be required to perform the following duties:

- a. Sell stamps and supplies.
- b. Accept money with applications for money orders and give receipts.
- c. Accept and give receipts for matter presented for registration, certification, insurance, COD service, Priority Mail Express or mail requiring a return receipt.
- d. Deliver Registered, Certified, or Insured Mail; COD; outside parcels (Priority Mail<sup>®</sup>); Priority Mail Express; other special services; and postage due mail. Acquire signatures and scan as required for each product. Suppliers will be required to deviate up to ½ mile and retrace (total of 1 mile) to transact or dismount, when necessary, involving the delivery of above classes of mail.
- e. When required and authorized, transport mail between post offices located on the official line of travel.
- f. Provide carrier pickup services upon customer request.
- g. Follow current Anonymous Mail procedures.
- h. Follow existing revenue protection guidelines including mail matter found in boxes without payment of postage.

**312 Sanctity of the Mail****312.1 Examining Mail**

Suppliers must not open, read, or search mail. Mail must not be exhibited or delivered to anyone other than the addressee or addressee's authorized agent.

**312.2 Riders in Vehicles**

While performing their contractual duties, suppliers and their employees should not transport individuals in their vehicles who have not been screened. The only exception is for domestic water routes as specified in the contract statement of work (SOW). In conducting operations under this contract, the supplier should not employ any individual who is: lacking sufficient intelligence to perform properly the required duties; not a reliable and trustworthy person of good moral character; or is barred by law or Postal Service regulations from performing such duties.

**313 Safety****313.1 Accidents**

If involved in an accident, suppliers or drivers should remain at the scene, if practical, until they have:

- a. Obtained aid and assistance for injured persons.
- b. Safeguarded the scene against further accident.
- c. Secured and protected the mail.
- d. Notified the Administrative Official.
- e. Notified local or state police.

**313.2 Firearms**

Suppliers and their employees are prohibited from carrying firearms, explosives, or other dangerous or deadly weapons, either openly or concealed, into or on postal property or in vehicles while performing postal duties.

**313.3 Insurance Requirements**

The supplier is required to maintain a policy or policies of liability insurance for all motor vehicles in accordance with the terms of the contract.

**313.4 Office Practices**

The supplier should practice good safety habits in the office and refrain from doing anything that would jeopardize either his or her individual safety or the safety of others. The following are just some of the good safety practices that should be employed:

- a. Do not jump or step over obstacles such as equipment, or empty or full sacks of mail.
- b. Use steps, ramps, and handrails, as provided. Do not jump from one level to another such as from loading docks or platforms to the parking lot.
- c. Place empty equipment (such as mail sacks or hampers) in designated locations; do not leave them in aisles or walkways.
- d. Do not engage in horseplay.
- e. Report hazardous conditions to your Administrative Official.
- f. Follow directions of on-site postal management.
- g. Only use approved cutting tools to remove plastic strapping.
- h. Place cut straps, bands, plastic wraps, and other waste in appropriate trash receptacles.

**314 Maintenance of Schedule****314.1 Delays**

Suppliers must operate on the published schedule. In some instances, Administrative Officials, or their authorized representatives, may detain suppliers for mail from a connecting late trip or because of other unusual

circumstances. When a supplier is held beyond the scheduled dispatch time, the Administrative Official should issue a PS Form 5466, *Late Slip*. The issuance of PS Form 5466 does not automatically result in a decrease in pay.

#### 314.2 **Detours**

Suppliers must report detours, customer problems, and potential route changes to the Administrative Official or designee as soon as possible.

## 32 Office Work

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### 321 **Reporting Time**

Suppliers must report for duty at the time specified in the contract or, if no specific time is stated, they must report in sufficient time to case (if contract requires casing), load, and depart on schedule. Suppliers must record on PS Form 5398, *Transportation Performance Record*, or PS Form 5399, *Contract Route Performance Record*, the time they begin work, leave the office, return to the office, and complete their duties daily.

### 322 **Casing Mail**

When a supplier is required to case mail, he or she should label the case in order of delivery from left to right. The address of the customer must appear on case labels. At the supplier's option, the name may be added. All case labels utilized must be computer generated by the Address Management System (AMS) utilizing the AMS case labeling system.

### 323 **Delivery Point Sequence Mail**

The supplier and contract carrier should follow the guidance of the Administrative Official in the handling of Delivery Point Sequence (DPS) mail. Generally, if the vehicle is right hand drive, the contract carrier would be expected to take the DPS mail directly to the street. On routes with other vehicle types, this decision is based on average mail volume, vehicle capacity, vehicle type, and the contract carrier's ability to adhere to the schedule. Contract carriers may shift DPS mail to other containers including half trays for ease of use on the street.

### 324 **Strapping and Loading**

#### 324.1 **Strapping**

After all mail has been cased, it must be trayed or strapped into bundles marked in delivery sequence. A supplier may reverse a letter, or use some other method, as a reminder that a customer has a parcel or other article that has not been cased. Load all mail into the vehicle in sequence of delivery to ensure that time is not lost searching for the proper bundles, parcels, or

containers. In most cases, the systems used are divided into three categories:

- a. One-bundle system:
  - (1) When the one-bundle system is used, case both letter and flat mail into the letter case separations.
  - (2) Using this system, after considering the volume and mix of mail on the route, the manager determines the width of separations and number of addresses per separation.
- b. Modified one-bundle system:
  - (1) If management approves, flats and letters may be sorted and strapped out separately using only one case.
  - (2) This system is authorized only if it does not delay the redistribution and delivery of missorted preferential mail.
- c. Two-bundle system:
  - (1) Under the two-bundle system, case letter mail first.
  - (2) When the available letter mail has been cased, concentrate on the flat-size mail.
  - (3) Case flat-size mail into a 143-D or 144-D flat case containing horizontal separations that conform to the break points in the letter case.

#### 324.2 **Casing Method**

The casing method utilized by the supplier must be approved by the Administrative Official or designee.

#### 324.3 **Simplified Address Mail (Box Holders)**

This refers to the distribution of mail without individual names and addresses. Normally, deliver one piece for each box (or one for each family) except as noted in [333.2](#). This type of mail must be handled as a separate bundle on the street.

### 325 **Accountable Items**

#### 325.1 **Accountable Mail**

The Administrative Official will instruct suppliers as to the method of receipt for accountable items. See subchapter [34](#) for specific delivery instructions for accountable mail.

#### 325.2 **Post Office Keys**

If the supplier serves Post Office collection boxes or lobby lockups, the Administrative Official will issue keys to the supplier at the start of each day. The supplier is responsible for turning in the keys at the end of each day. If postal employees are not on duty when the supplier returns, the Administrative Official must provide a key drop. Suppliers who lose keys will be responsible for the cost of replacing affected locks and keys.

**325.3 Scanning Devices**

Scanners are to be picked up daily by the supplier/driver and returned to the docking station daily. They are to be treated as sensitive electronic equipment and handled at all times with the same care as registered mail.

**325.4 ID Badges**

ID badges are to be worn above the waist and visible while performing carrier functions. Suppliers are responsible for the return of all ID badges upon expiration or termination of hired drivers.

**326 Privacy**

The supplier may not directly or indirectly furnish to others the names and addresses of customers. The supplier may not use customer names to further personal business schemes and if the suppliers case mail, they must maintain a current alphabetical roster of addresses.

**327 Fixed Credits****327.1 Stamp Stock**

Suppliers must maintain a supply of stamp stock sufficient to meet the needs of the route. An adequate quantity of postage stamp fixed credits is issued to a supplier, unless he or she prefers to purchase stamp stock with personal funds. Suppliers must have access to stamp stock replenishment in the office and must not be required to purchase stock from a window clerk in the service lobby.

**327.2 Fixed Credits**

Postage stamp fixed credits are normally issued to suppliers. The originating head-out office issues and replenishes fixed credits. If a supplier serves an intermediate office, that portion of credit equal to the stamps sold at the intermediate office to customers of that office must be replenished.

**327.3 Responsibility for Fixed Credit**

When a supplier accepts responsibility for a fixed credit, he or she signs a PS Form 3369, *Consigned Credit Receipt*, retains the duplicate, and returns the original to the person who issued the stock. When it is necessary to increase or decrease the regular amount of a fixed credit, a new PS Form 3369 must be signed, and the previous form canceled and returned. If assigned a fixed credit, a supplier is strictly accountable for the amount of the credit. If any shortage occurs, the supplier is financially liable unless he or she has exercised reasonable care in the performance of duties. In this regard, management audits supplier fixed credit no less frequently than once every 4 months.

## 33 Route Performance

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### 331 **Line of Travel**

Suppliers must follow the official line of travel described in the contract or they should proceed directly to the first box on the route where mail is to be delivered and/or collected and begin service. Even if there is no mail for a particular box, the supplier must stop to make collection when the signal flag is raised. The official starting and ending point of delivery is the designated loading and unloading area of the head-out office.

### 332 **Consistent Service**

Suppliers should regulate travel to arrive at boxes within a 20-minute span daily in an effort to provide consistent mail service.

### 333 **Delivery of Mail**

#### 333.1 **Deliver as Addressed**

Mail must be delivered as addressed unless the supplier has a completed change of address on file. Mail addressed to a box and route number must be delivered even though there is no customer name on the mail. Return undeliverable mail to the Post Office.

#### 333.2 **Occupant or Simplified Address Formats Mail**

Deliver one piece of mail addressed in one of the alternative addressing formats to each box on the route until the supply is exhausted. If sufficient quantity is received, deliver one to each single box, return excess to Post Office. When the supply of occupant or simplified address mail is insufficient, the supplier should tell the Administrative Official how many will be needed to provide full coverage. Suppliers can use any excess to complete coverage.

#### 333.21 **Mail Addressed Postal Customer**

Deliver one piece to each box on the route beginning with the first box and continuing until the supply is exhausted. Do not deliver a piece to a box where a customer has made a request of a mailer not to receive their mailing.

#### 333.22 **Mail Addressed Residential Customer**

Deliver one piece to each residential customer box beginning with the first residential customer box and continuing until supply is exhausted. Residential customer boxes are defined as those boxes where residential customers receive mail in the box and those boxes that serve primarily residential customers with an incidental business at the same address. Do not deliver a piece to a box where a customer has made a request of a mailer not to receive their mailing.

#### 333.3 **Parcels**

Parcels are to be taken out for delivery on the first trip after receipt. If a parcel is too large for the box, the supplier is required to attempt delivery to the

customer's residence if on the line of travel, or within ½ mile on the line of travel and retrace (total of 1 mile) to transact business, when necessary, to affect delivery. (Dismount, if necessary; see [333.4](#).) If the parcel cannot be delivered on the first trip, leave a PS Form 3849 in the customer's box. A second attempt to deliver should be made if the customer desires. Packages may be left in a protected location by the contract carrier when a carrier release is granted by the mailer.

When packages are too large for a box, they may be left outside the box if the customer has filed a written request with the Administrative Official and there are no safety, theft, or weather issues. However, never leave parcels outside boxes during inclement weather. Anonymous mail should not be delivered to customers. If discovered in the office, these pieces should be taken to the Anonymous Mail Unit prior to departure. If discovered on the route, these pieces should be taken to the Anonymous Mail Unit upon return to the office. However, mailpieces bearing label DDD-2, *Important Customer Information*, and Label 127, *Surface Transportation Only*, must be returned to customers. The customer requests should be filed in the supplier's route book.

#### 333.4 **Dismounting**

Normally, mail is designed to be delivered to boxes without dismounting. If suppliers serve apartment houses or other multiple dwellings that use apartment house receptacles, cluster box units, or NDCBUs, they may be required to dismount to serve these. They will also dismount, when necessary, to transact business involving Registered Mail, Certified Mail, Insured Mail, COD, customs, other special services, outside parcels, and Priority Mail Express. When boxes are temporarily blocked, suppliers should dismount and deliver mail if it is safe to do so. In such circumstances, notify the Administrative Official so they may assist in minimizing such circumstances.

### 334 **Unusual Conditions**

#### 334.1 **Delays**

The supplier is responsible for the delivery of all mail in all situations. In the event of an unforeseen substantial delay, while delivering the mail, such as detour, hazardous road conditions due to inclement weather, vehicle breakdown, or accident, the supplier must first ensure the safety of the mail and then telephone the Administrative Official (collect, if necessary) immediately.

#### 334.2 **Unfavorable Road Conditions**

##### 334.21 **Service Requirements**

Suppliers must make every reasonable effort to perform service to as many customers as possible during severe weather conditions.

##### 334.22 **Reporting for Work**

The supplier should, if possible, report for work regardless of weather conditions. The Administrative Official will carefully consider traffic advisories

and media reports in determining whether to request that the supplier attempt normal delivery, make necessary detours, or suspend delivery altogether. Safety factors must be considered by the Administrative Official.

334.23 **Route Deviations**

Suppliers should use alternate roads and retrace when necessary or authorized by the Administrative Official. A supplier is not expected to dismount and serve blocked portions of a route. For example, if a paving crew has blocked a subdivision street due to fresh paving, the supplier is not expected to dismount and walk the street. Individual boxes blocked on an infrequent basis should be dismounted and served. Report all route deviations as soon as possible, with an odometer record of miles traveled, to the Administrative Official or designee. Use the reverse side of PS Form 5399 as well.

334.24 **Detours Requiring Customer Notices**

When an extensive detour becomes necessary as no reasonable alternative is available to deliver to customers, the supplier should ask the Administrative Official or designee, when practical, to prepare notices to customers. These notices could request customers to:

- a. Temporarily relocate their mailboxes.
- b. Arrange to receive mail through other customer boxes.
- c. Make other arrangements for receiving mail until normal service can be restored or accept reduced delivery frequency until condition is corrected.

335 **Box Problems**

Suppliers should report any problems affecting delivery or collection to the Administrative Official or designee who will investigate any deficiencies and issue written notices to the customers. It is the Administrative Official's responsibility to resolve these problems with the customers. The supplier will issue PS Form 4056, *Your Mailbox Needs Attention*, where appropriate, for the signature of the Administrative Official, and deliver to the customer.

336 **Signs**

The use of a "U.S. Mail" sign on a vehicle is permissible, but only when the vehicle is actually carrying mail. Any other use of the Postal Service emblem facsimile is prohibited.

337 **Warning Lights**

Vehicles used on Contract Delivery Service routes must be equipped in accordance with the contract. Generally, this will be with roof mounted warning light(s) visible from all directions. Strobe-type lights are recommended in lieu of flashing/rotating lights in areas where state or local law permits.

## 34 Special Services and Accountable Mail

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### 341 **General**

#### 341.1 **Responsibility**

Responsibility for accountable mail is assumed by the supplier upon receipt from the Administrative Official. All special service mail and Priority Mail Express must be delivered to a residence or business. Do not leave it in a mailbox as a result of a telephone call or a signed PS Form 3849 left in the mailbox by the addressee. However, a customer may arrange for future delivery by notifying the Post Office when someone will be available for delivery. Route deviation and dismounting may be required to transact business involving the delivery of special services and accountable mail. Any certified accountable mail found mixed in with the regular mail should be attempted for delivery by the supplier as if it had been signed out in the normal process. The clearance clerk will update the accountable records on the supplier's return.

#### 341.2 **Customer Notification**

##### 341.21 **Telephone Notification**

Postmasters or clerks may telephone customers to inform them to meet the supplier at the box for special services and accountable mail, including Priority Mail Express, when their residence is more than 1/2 mile off the current line of travel. Telephone notification may also be necessary when there is an extremely large number of parcels for the same customer, or a parcel(s) is extremely cumbersome or heavy.

##### 341.22 **Written Notification/Receipt**

PS Form 3849 is used to notify customers and/or obtain receipts for all accountable or other special services mail (with the exception of Customs Duty Mail, which is discussed in [342.75](#)). PS Form 3849 is mandatory to provide notices to customers on all appropriate types of mail. Suppliers should follow the procedures established by the Administrative Official. Care should be taken to ensure the safe return of completed forms to the Administrative Official or designee daily.

### 342 **Delivery**

#### 342.1 **All Special Service Mail, Accountable Mail, and Priority Mail Express**

Unless the customer has requested otherwise, these types of mail will be delivered on the first trip following their receipt. The following specific conditions apply to the delivery of special service, accountable mail (Registered Mail, Certified Mail, USPS Tracking, mail insured for more than minimum, Priority Mail Express, and COD, as well as mail for which a return receipt or a return receipt for merchandise is requested or for which the sender has specified restricted delivery). At delivery, the supplier should scan or enter the mailpiece barcode, enter the appropriate event code, and obtain

the recipient's signature and printed name on PS Form 3849 if appropriate. The supplier should collect all customer signatures on PS Form 3849. The supplier should also collect a signature on Customs Form 3419 for Customs Duty Mail. The recipient's first initial and last name should be entered as data in the data collection device for Priority Mail Express items. The supplier should scan the PS Form 3849 barcode after the recipient's signature and printed name have been obtained. The mailpiece barcode ID should be written on PS Form 3849 with the corresponding signature. Up to 5 mailpiece IDs can be recorded on a single PS Form 3849. The supplier must ensure that the delivery address is recorded on the barcoded side of PS Form 3849. If a data collection device is not available, has not been assigned to a supplier's route, or does not scan or accept keyed-in information at a delivery point for a mailpiece being delivered, the mailpiece or firm receipt barcode ID, event, date, and time must be recorded on the corresponding signed PS Form 3849. The addressee or addressee's representative may obtain the sender's name and address, and may look at the mailpiece while it is held by the supplier before accepting delivery and endorsing the delivery receipt. Suitable identification is required if the recipient is unknown before the article is delivered. When delivery is not restricted at the sender's request, mail may be delivered to whoever mail for that location is usually delivered. Accountable mail should not be delivered to minors. Articles endorsed "restricted delivery" must be delivered to the addressee or to an agent the addressee authorizes. PS Form 3849 can be used for this authorization. An accompanying authorized agent scan on the supplier's data collection device is required. The authorizing signature, agent's name, and agent's signature must all be on the same PS Form 3849. Ensure proper postage has been paid for such service, and collect postage due, if necessary.

If the mailpiece cannot be delivered on the first trip, leave a PS Form 3849 in the customer's box. The mailpiece must be endorsed with the supplier's initials and the date. Appropriate scanning, as explained above, must be completed. When the supplier returns to the office, the mailpiece must be returned to the accountable clerk for clearance. A second attempt to deliver should be made if the customer desires. Leave PS Form 3849 endorsed "Final Notice" if delivery cannot be made on the second attempt. In addition, if a return receipt is desired and paid for by the mailer, suppliers must obtain the customer's signature on PS Form 3811, *Domestic Return Receipt*.

#### 342.2 **Registered Mail**

Due to the inherent value of registered mail, extra care must be taken in handling and securing these items.

#### 342.3 **Insured Mail Insurance With Signature**

#### 342.31 **Insurance Not Requiring a Signature**

PS Form 3813, *Receipt for Domestic Insured Parcel*, is used for insurance items \$200 and under. These packages now require a scan at delivery, but a signature is not required. The PS Form 3813 is a black and white form.

**342.32 Insurance Requiring a Signature**

PS Form 3813-P, *Insured Mail Receipt*, is used for packages with insurance greater than \$200. These packages require both a scan at delivery and a signature. The PS Form 3813-P is blue in color.

Carriers should use PS Form 3849 to leave notice if they cannot make delivery.

**342.4 USPS Tracking**

USPS Tracking items will be delivered as ordinary parcels. No customer's signature is required for these articles. Scan in accordance with approved scanning protocol.

**342.5 Certified Mail**

Deliver articles endorsed restricted delivery to addressee only or to an agent the addressee authorizes, in writing, to receive the restricted delivery mail. PS Form 3849, or a letter from the addressee, can be used for this authorization. An accompanying authorized agent scan on the supplier's data collection device is required. The authorizing signature, agent's name, and agent's signature must all be on the same PS Form 3849. Instructions for the delivery of certified mail are the same as those in [342.1](#).

**342.6 Postage Due Mail**

Postage due mail is delivered only after the full amount due has been paid. Use PS Form 3849 to notify customers when delivery cannot be made. Some carriers, in order not to inconvenience their customers, pay the postage due amounts with their own funds and leave the mail with a PS Form 4245, *Carrier's Statement*, for reimbursement. This is done at the option of the carrier.

**342.7 COD Mail****342.71 Document Examination**

Examination of the documents may be made only after charges have been paid and delivery accomplished.

**342.72 Collection of Charges**

The supplier will collect the required charges. If there is a difference between the amount of charges shown on the tag and the amount on the package, collect the higher amount. The recipient may remit the amount due by cash or by check payable to the mailer. The Postal Service forwards checks to the mailer and collects COD fees. If the recipient pays by cash, a postal money order is sent to the mailer and the fee amount is collected. The amount collected from the addressee may not exceed \$1,000. Other instructions for the delivery of COD mail are the same as those in [342.1](#).

**342.73 Delivery Procedure**

Detach PS Form 3816, *COD Mailing and Delivery Receipt*, from the parcel and have the customer sign PS Form 3849. Suppliers must enter date of delivery and initials and return the tag with the funds to the Administrative

Official or designee together with undelivered COD mail. Tags will be receipted by the clearing employee and maintained at the Post Office.

342.74 **COD Not Delivered**

When delivery cannot be made, suppliers should endorse the article with the reasons, initial it, and return it with the tag still attached to the Administrative Official or designee. PS Form 3849 should be completed and left at the customer box.

342.75 **Customs Duty Mail**

The carrier must collect from the customer the amount shown on Customs Form 3419, *Mail Entry*, plus the postage due indicated on the parcel. At delivery, the carrier should scan or enter the left “Mail Entry” barcode only, and enter the appropriate event code. The customer signs on the bottom line of the original Customs Form 3419 and PS Form 3849. The carrier signs the duplicate PS Form 3419 and PS Form 3849 and delivers it with the parcel to the addressee. The carrier should scan the PS Form 3849 barcode after the recipient’s signature and printed name have been collected. The carrier then returns the original Customs Form 3419 and all money collected to the Administrative Official or designee.

342.8 **Priority Mail Express Mail**

342.81 **Delivery Procedure**

Have the addressee or agent sign the “Delivery” section of PS Form 3849 except for when the “waiver of signature” section is checked. Do not use any other record or receipt. Use appropriate scanning procedures described in [342.1](#). Please note that additional screens may be present in the scanning sequence. Remove the proof of delivery copy. Give the article to the agent or addressee, and return the forms to the Post Office for clearance.

342.82 **Priority Mail Express Mail Not Delivered**

When delivery cannot be made, complete and leave PS Form 3849. Using the hand-held scanner assigned to his or her route, the carrier should scan the Priority Mail Express barcode, follow the prompts, and indicate article was “attempted delivery”.

342.83 **Waiver of Signature**

If the sender has signed the waiver of signature, this authorizes the delivery employee to sign for the mailpiece, and it may be left in a secure location. The supplier can complete PS Form 3849, sign for the addressee, remove the proof of delivery copy, and return the proof of delivery copy of the Priority Mail Express label and PS Form 3849 to the Post Office. Other instructions for the scanning procedures for Priority Mail Express are the same as those in [342.1](#).

## 35 Collection and Disposition

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### 351 **General**

#### 351.1 **Collection Procedure**

The supplier will collect any properly stamped First-Class Mail® from mailboxes placed along the line of the route when the box signal flag is up indicating that the box contains mail for collection. Customers may present items such as click-n-ship for which postage has been pre-paid. These items are to be collected and returned to the Post Office. Other classes of mail (single-rate pieces) will be collected provided the customer meets the supplier and provides the supplier with sufficient funds to cover the mailing. The article will be taken to the next Post Office for mailing, and any excess money will be returned to the customer on the next trip.

Mailpieces weighing more than 13 ounces, bearing only postage stamps as postage that are found in unattended locations such as on counters and docks; in lobbies, lobby drops, and collection receptacles; and at postal facility side doors should be isolated, placarded as anonymous mail, and deposited in the designated anonymous mail container(s) at the Anonymous Mail Unit upon return to the postal facility.

Mailpieces weighing more than 13 ounces, bearing only postage stamps as postage from business or residential customers may not be accepted. Customers should be advised to take these items to an employee at a retail service counter at a Post Office for proper acceptance.

Mailpieces weighing more than 13 ounces, bearing only postage stamps as postage left for collection at a customer's mailbox or a business's outgoing mail collection point should **not** be collected. Decal DDD2 should be applied over the destination address, city, state, and ZIP, leaving the addressee's name visible and the piece should be returned to the customer's mailbox or the business's outgoing mail collection point.

Mailpieces weighing more than 13 ounces without postage and with sufficient funds to cover postage are acceptable for collection as long as the return address matches the address at the point of pickup and the customer/business is known to reside or do business at that location.

The CDS supplier must isolate this mail and take it to an employee at the retail service counter upon return to the Post Office.

#### 351.2 **Affixing Postage**

During the month of December, a supplier is not required to affix stamps to letter mail and greeting cards placed in a customer's box for collection. During the remainder of the year, he or she should make every effort to urge all customers to affix stamps to letter mail. The supplier is not required to affix stamps to more than five pieces of letter-size mail from a box. If a customer continually leaves an unreasonable number of articles in the box requiring the supplier to affix postage, this should be reported to the Administrative Official or designee for corrective action.

## 352 **Special Service and Accountable Mail**

### 352.1 **Registered Mail**

Customers may register an article by paying the required postage and fees. Suppliers prepare PS Form 3896, *Receipt for Registered Article*, in duplicate, and give carbon copy to the customer. Return the article together with the original PS Form 3896, the stub from the carbon copy, and money for postage and fees to the Administrative Official or designee for registering. Always keep registered mail separate from other mail collected.

### 352.2 **Insured Mail**

The treatment of pieces is determined by the insurance amount:

Retail pieces insured for \$200 or less: The mailer must affix a barcoded PS Form 3813 to each piece above the delivery address and to the right of the return address. No signature is obtained.

Retail pieces insured for more than \$200: The mailer must affix a barcoded PS Form 3813-P to each piece above the delivery address and to the right of the return address.

Mail for which insurance is purchased online must include the text "Insured" in the indicia area of the online label.

All insured pieces, regardless of insurance amount, must be postmarked unless postage is paid by postage meter stamp, permit imprint, or PC Postage (when insurance is purchased online).

### 352.3 **COD Mail**

The supplier furnishes the sender a PS Form 3816, *COD Mailing and Delivery Receipt*, of which there are two types: one is eyeleted for tying to parcels and one is to be attached by gummed tape. The tag must be completed by the sender and attached to the article after affixing stamps to cover postage and fees. Suppliers issue the sender the customer's receipt portion of PS Form 3816 on the next delivery day.

### 352.4 **Certified Mail**

The customer must complete a PS Form 3800, *Certified Mail Receipt*, for all certified items to be mailed. The supplier should collect all fees and postage due. Attach the certified number to the article; the receipt will be returned to the customer after acceptance at the Post Office. If the customer desires a return receipt, he or she should fill out PS Form 3811. Attach PS Form 3811 to the reverse side of the article and return to the Post Office for mailing.

### 352.5 **Return Receipt for Merchandise**

Issue the customer PS Form 3804, *Return Receipt for Merchandise*, and PS Form 3811. The customer should enter on the receipt part of the return receipt for merchandise, the name and complete address of the person or firm to whom the mail is addressed. Affix the numbered part of the gummed label from PS Form 3804 to the mailpiece. Enter the return receipt for merchandise number on the PS Form 3811. The customer should address the form to their address and attach it to the front of their mailpiece. Attach

enough postage to pay for the postage rate desired and the return receipt for merchandise fee. The receipt will be returned after acceptance at the Post Office.

352.6 **Priority Mail Express Mail**

Give your Administrative Official or designee, all articles accepted and the accompanying forms as soon as possible after arrival at the office.

353 **Money Orders**

CDS customers may buy a money order by filling out PS Form 6387, *Money Order Transaction Application*. When completed PS Form 6387, with money and fee, is received from the customer, issue the customer the receipt portion of PS Form 6387 (In U.S. currency, coin, or traveler's checks payable in U.S. dollars). If change cannot be made, provide it on the next trip along with the PS Form 6387 application section, customer's receipt, and money order. Turn in application and money to the head-out Post Office unless there is an intermediate office that can process the money order without delay. When a supplier leaves the office before issuance of the money order, the supplier should be given a receipt on PS Form 1096.

354 **Unstamped Mail and Shortpaid Mail**

354.1 **Amount of Postage Unknown**

When mail is given to suppliers with money for postage and the suppliers are unable to determine the amount of postage, they should accept from the sender an amount sufficient to ensure full payment of postage. Return any excess money to the customer on the next trip using PS Form 4245, *Carrier's Statement* (brown envelope).

354.2 **Insufficient Postage**

When mail matter is left in a box for mailing without postage, insufficient postage, or insufficient money for postage, leave notice that the matter cannot be mailed until sufficient postage is paid along with the short paid article. If the sender of the matter cannot be identified, or the delivery and return addresses are identical, do not accept from the customer.

355 **Recall of Mail**

Suppliers should direct all customer requests for recall to the Administrative Official or designee. Mail deposited in a collection box may be recalled, upon proper identification, by the sender or the sender's representative who sent the mail. PS Form 1509, *Sender's Application for Recall of Mail*, must be submitted to the postmaster at the office of mailing prior to return of mail.

# 4 Office Work After Return to Office

## 41 Left Notice Parcels

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When suppliers are unable to deliver ordinary and insured parcels, they will leave a completed PS Form 3849 in the customer's mailbox. The item will be annotated with date and initial. Upon return to the office, the parcel will be placed in a location designated by the Administrative Official or designee.

## 42 Markup and Forwarding

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Carriers are required to mark up undeliverable mail and forward mail for customers who have filed change of address orders. The Administrative Official, or authorized representative, will instruct carriers in the proper procedure to be followed.

## 43 Change of Address

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Carriers should use the procedures established by the Administrative Official to record changes of address. Generally, all changes of address received by a carrier on the route are submitted to the Centralized Forwarding System office for scanning. Suppliers do not maintain records of new customer addresses.

If a contract box numbering system is in use, the Administrative Official is responsible for assignment of contract box numbers. Street addressing or 911 addressing is the preferred mode of addressing and is assigned by local government authority.

## 44 Report of Exceptional Service

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Suppliers must report and explain to the Administrative Official or designee daily any deviation from the scheduled line of travel, such as a detour or curtailment of service on the annotated section of PS Form 5399. The report must include the miles scheduled on that day and the miles actually traveled, shown to the nearest 1/10 of a mile.

## 45 Disposition of Postal Funds

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Postal funds must be kept separate from personal money. All postal funds must be turned in upon completion of route service to the appropriate postmaster, supervisor, or designated employee. If the postal facility is not open, the Administrative Official or designee will make necessary arrangements. If suppliers do not wish to hold postal funds while on layover at an outer office, arrangements may be made with the local Post Office to hold such funds for safekeeping.

# 5 Surveys

## 51 Definition

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The survey of a contract delivery route is the physical inspection of the route conditions made by the Administrative Official or authorized representative while following or accompanying the supplier during the performance of the route.

## 52 Frequency

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### 521 **Initiation**

Contract delivery service routes are surveyed annually; more frequent surveys may be conducted when the supplier, administrative official, and the contracting officer (CO) agree that a survey should be conducted. Surveys are not required more than once a year unless unusual operation changes occur or circumstances dictate. If the Administrative Official, CO, and the supplier agree that a survey is not necessary, the route will not be surveyed and only en route boxes will be adjusted. The decision not to conduct the annual survey must be documented in the contract file. A survey must be conducted if the contract term ends in March or June of the upcoming year.

### 522 **Survey Forms**

PS Form 5408-X, *Box Delivery Contract Route Survey*; PS Form 5408, *Contract Delivery Service Route Description*; and the mail count form, PS Form 5405-X, *Contract Route Mail Count Form*, when conducted, must be completed entirely for all surveys. Completed forms are to be submitted to the Manager, Transportation Contracts, through the District Manager, Operations Programs Support. Also, PS Form 5407, *Highway Contract Route*, must be completed along with PS Form 5406 for combination routes having both delivery and transportation duties.

## 53 Survey Period

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Surveys are to be conducted during the last 2 weeks in September on Contract Delivery Service routes. The 1-day physical survey will be conducted on one of the days in the week selected for the daily count of mail

documented on PS Form 5405-X. This period may be designated by the District Manager, Operations Programs Support, if guidance is not provided by Headquarters Delivery Operations. See [134.272](#).

## 54 Purpose

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The purpose of the survey is to obtain current and accurate data, including (but not limited to) route and delivery conditions, number of boxes served, and minimum stops possible to serve all boxes on the route. Route layout is reviewed by management to identify necessary route travel changes to improve efficiency and economy of service. In addition, any potentially hazardous conditions and safety issues must be reviewed and action taken to correct them. This includes U-turns, left turns, retraces, and blind spots.

## 55 Supplier Responsibilities

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During the survey, box delivery suppliers must:

- a. Travel the route and deliver the mail precisely as they do the rest of the year.
- b. Inform the Administrative Official or authorized representative making the inspection of any boxes that have remained vacant for over 90 days.

Assist in identifying hazardous conditions on the route and recommend actions to eliminate or reduce them.

Appendix A

## Abbreviations and Acronyms Used in Highway Transportation Box Delivery Service

AO	Administrative Official
CBU	Cluster Box Unit
CDS	Contract Delivery Service
CO	Contracting Officer
COR	Contracting Officer's Representative
CSD	Customer Service District
DMM®	Mailing Standards of the United States Postal Service, Domestic Mail Manual
DN	Distribution Networks
HCR	Highway Contract Route
HCR-TPC	Highway contract route transportation pay cycle
MOPS	Manager, Operations Programs Support
MPF	Mail Processing Facility
NDCBU	Neighborhood Delivery Cluster Box Unit
PARS	Postal Automated Redirection System
POOM	Post Office Operations Manager
PDC/F	Processing and Distribution Center/facility
PVS	Postal vehicle service
RFP	Request for proposals
TANS	Transportation and Networks

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## Appendix B

# Forms Glossary

Appendix B provides a list of the forms cited in this handbook and a reference to the sections in which they are cited.

<b>Form Number</b>	<b>Title</b>	<b>Reference</b>
CF 3419	<i>Mail Entry – Customs (3-part set)</i>	<a href="#">342.1</a> , <a href="#">342.75</a>
PS 1096	<i>Receipt</i>	<a href="#">353</a>
PS 1509	<i>Sender’s Application for Recall of Mail</i>	<a href="#">355</a>
PS 2025	<i>Contract Personnel Questionnaire</i>	<a href="#">134.11</a> , <a href="#">135.2</a>
PS 2181-C	<i>Authorization and Release – Background Investigation (USPS Contractors and Employees of Contractors)</i>	<a href="#">134.11</a> , <a href="#">135.2</a>
PS 3369	<i>Consigned Credit Receipt</i>	<a href="#">327.3</a>
PS 3800	<i>Certified Mail Receipt</i>	<a href="#">352.4</a>
PS 3804	<i>Return Receipt for Merchandise</i>	<a href="#">352.5</a>
PS 3811	<i>Domestic Return Receipt</i>	<a href="#">342.1</a> , <a href="#">352.4</a> , <a href="#">352.5</a>
PS 3813	<i>Receipt for Domestic Insured Parcel</i>	<a href="#">342.3</a> , <a href="#">352.2</a>
PS 3813-P	<i>Insured Mail Receipt</i>	<a href="#">342.3</a> , <a href="#">352.2</a>
PS 3816	<i>COD Mailing and Delivery Receipt</i>	<a href="#">342.73</a> , <a href="#">352.3</a>
PS 3849	<i>Sorry We Missed You</i>	<a href="#">134.44</a> , <a href="#">333.3</a> , <a href="#">341.1</a> , <a href="#">341.22</a> , <a href="#">342.1</a> , <a href="#">342.32</a> , <a href="#">342.5</a> , <a href="#">342.6</a> , <a href="#">342.73</a> , <a href="#">342.74</a> , <a href="#">342.75</a> , <a href="#">342.8</a> , <a href="#">41</a>
PS 3896	<i>Receipt for Registered Article</i>	<a href="#">352.1</a>
PS 3982	<i>Change of Address</i>	<a href="#">134.292</a>
PS 4027	<i>Petition for Change in Rural Delivery</i>	<a href="#">135.7</a> , <a href="#">211.22</a> , <a href="#">211.4</a>
PS 4056	<i>Your Mailbox Needs Attention</i>	<a href="#">335</a>
PS 4245	<i>Carrier’s Statement</i>	<a href="#">342.6</a> , <a href="#">354.1</a>
PS 5139	<i>Non-Postal Service Temporary Employee</i>	<a href="#">135.2</a>
PS 5140	<i>Non-Postal Service Contract Employee</i>	<a href="#">135.2</a>
PS 5397	<i>Contract Route Extra Trip Authorization</i>	<a href="#">134.252</a>
PS 5398	<i>Transportation Performance Record</i>	<a href="#">321</a>
PS 5399	<i>Contract Route Performance Record</i>	<a href="#">134.242</a> , <a href="#">134.244</a> , <a href="#">134.252</a> , <a href="#">134.291</a> , <a href="#">321</a> , <a href="#">334.23</a> , <a href="#">44</a>
PS 5405-X	<i>Contract Route Mail Count Form</i>	<a href="#">134.272</a> , <a href="#">522</a> , <a href="#">53</a>
PS 5406	<i>Contract Delivery Service Route Survey</i>	<a href="#">134.272</a> , <a href="#">211.4</a> , <a href="#">522</a>
PS 5407	<i>Highway Contract Route</i>	<a href="#">522</a>
PS 5408	<i>Contract Delivery Service Route Description</i>	<a href="#">211.4</a> , <a href="#">522</a>
PS 5408-X	<i>Box Delivery Contract Route Survey</i>	<a href="#">134.271</a> , <a href="#">522</a>
PS 5429	<i>Certification of Exceptional Contract Service Performed</i>	<a href="#">134.251</a> , <a href="#">134.252</a>

<b>Form Number</b>	<b>Title</b>	<b>Reference</b>
PS 5454	<i>Highway Contract Route Enroute Box Change</i>	<a href="#">134.23</a> , <a href="#">212.2</a>
PS 5466	<i>Late Slip</i>	<a href="#">314.1</a>
PS 5500	<i>Contract Route Irregularity Report</i>	<a href="#">134.12</a> , <a href="#">134.243</a> , <a href="#">135.1</a>
PS 6387	<i>Money Order Transaction Application</i>	<a href="#">353</a>
PS 7440	<i>Contract Route Service Order</i>	<a href="#">131.4</a>

Appendix C

## Other Forms Associated With Highway Transportation Contracts

<b>Form Number</b>	<b>Title</b>
PS 7319-C	<i>Representations and Certifications (Type of Business Organization)</i>
PS 7405	<i>Transportation Services Bid or Proposal and Contract for Regular Services</i>
PS 7406	<i>Amendment to Transportation Services Contract</i>
PS 7435	<i>Solicitation for Transportation Services Contract</i>
PS 7447	<i>Transportation Services Renewal Contract for Regular Service</i>
PS 7448	<i>Notice of Renewal of Transportation Services Contract for Regular Services</i>
PS 7463	<i>Cost Statement – Highway Transportation Contracts</i>
PS 7463-A	<i>Negotiated Cost Statement – Highway Transportation Contracts</i>
PS 7468-A	<i>Highway Transportation Contract – Bid or Renewal Worksheet</i>

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