

Management Instruction

Management of Policy and Procedure Information — Paper and On-Line

This instruction provides guidelines for developing and distributing electronic and paper documents that contain policy and procedures (regulations, instructions, and implementation guidelines). It is critical to anyone involved in developing business policies and procedures.

Policy

Document Management

It is Postal Service policy to manage its paper and on-line documents so that they are correct, up to date, easy to find, and in agreement with official postal policies and procedures.

Electronic and paper documents containing corporate policies and procedures (i.e., regulations, instructions, and implementation guidelines) must be published through Corporate Publishing and Information Management (CPIM), Information Systems, and maintained as part of a corporate directives repository for tracking and easy access.

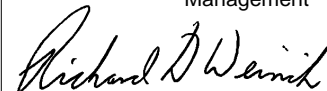
Originating offices contact CPIM to initiate the publication of new and revised documents and to obsolete documents when they become redundant or out of date.

Vice presidents who issue policies and procedures in memos to get information out quickly should ensure that a memo is managed with other corporate policy documents by using the LAN memo template designated "Policy Memo" (template Clearpol) and providing a copy of it to CPIM.

CPIM stores documentation pertaining to clearance of a document, but relies on the accountable originator to take necessary clearance steps. The approval of an accountable originator is sufficient to initiate publication and distribution.

Vice presidents regulate within their own organizations which employees can approve different types of documents.

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Policy. A statement of corporate position or intent.

Procedures. Actions to be taken, including regulations (required actions, often mandated by federal, state, or local laws), instructions (business practices, how-to's), and guidelines (suggested ways of implementing business practices).

Directive. A document containing policy or procedure information.

Document management. A system for cataloging, storing, and making available for retrieval current and past corporate documents.

Clearance. Agreement of those with vested interests.

Consequence management. Anticipation and control, through careful review by qualified personnel, of all potential negative consequences that might result from written documents.

Clearance

Originating organizations either assume full accountability for documents containing policy and procedure or they share accountability with others who need to be involved for any reason: to add needed expertise; to help minimize potential negative legal, contractual, or other business consequences; and/or to sign when formal concurrence is necessary.

Originators involve others early in the development process to make use of needed expertise and take steps necessary to manage legal, contractual, and business consequences. Others involved plan ahead to review necessary sections of the document within an agreed-upon time frame.

Originators use a clearance record to (1) simply approve documents themselves, (2) list those who worked with them and then approve documents themselves, or (3) obtain signatures of accountable partners and then sign themselves — as appropriate, considering the nature of the information.

Background

What is document management?

Document management is the process for producing, clearing, storing, and tracking documents so that they are correct, up-to-date, easy to find, and in agreement with official USPS policy.

What documents need document management?

Within the Postal Service, document management is especially important for documents that contain *policy* information, *procedure* information (regulations, instructions, guidelines), and *implementation* information (information that helps to implement policy or procedure). Any document — be it a handbook, a manual, a *Postal Bulletin* article, or a memo — containing these types of information is a candidate for document management. (See **Table 1**.)

What are the benefits of document management?

Document management ensures that information is:

- Accessible to those who need it.
- Accurate, consistent, and representative of the best practices.
- Revisable in a managed environment when those practices change.
- Auditable for legal and historical purposes.

What part does consequence management play in document management?

Consequence management is a vital part of document management that minimizes the possibility of expensive or embarrassing consequences to the Postal Service that can result from written information. Consequence management is achieved by involving, from the outset, qualified personnel to help develop, review, and approve the information in a document, and by keeping informed all those who will be affected by it.

Table 1
Information Types

	<i>Policy</i>	<i>Procedure</i>			<i>Information</i>
		Regulation	Instruction, business process	Guideline	
Description, Intent	Statement of position, commitment	Required action, consequences implied	Normal action, how-to, what business plan calls for	Useful action, priorities, or options, discretion involved	Announcement, notification, general information
Examples	<ul style="list-style-type: none"> - USPS will.... - USPS is committed to.... 	<ul style="list-style-type: none"> - Employees must.... - Mailers must.... - Supervisors may not.... 	<ul style="list-style-type: none"> - To X, do a, b, c.... - Use Form NNN to.... - The postmaster gives.... 	<ul style="list-style-type: none"> - A manager may.... - Do any of the following, as appropriate.... - Options to consider are.... 	<ul style="list-style-type: none"> - The new positions are.... - Flu shots will be given on....

Document Development Procedures

Following these document development procedures will help you clear your document in the easiest way appropriate to your material and initiate management of your document within the corporate directives system.

Early in the planning stage...

1. **Announce your project.**

Once you have determined that there is a need for your document, let others know about it as appropriate, both to inform them and to allow them to assist you throughout the development process. Use cc:Mail.

2. **Plan your project.**

A. Verify that funding is available by checking with your department's budget coordinator.

Originator. The author of a document who is responsible and accountable for seeing it through the document management process, including arranging for any type of clearance required.

Development team. Staff who agree to help and advise an originator with the content of a developing document and to arrange for and provide the level of clearance that the document requires.

Production team. Staff (usually in CPIM) who agree to advise and help an originator with the writing, editing, production, publication, and distribution of a document.

B. Choose a document type. (See *Table 2*.) Focusing on the information need — what type of information you want to convey, who uses the information, how it is used, how it might best be structured and presented — helps you decide on what type of document to use. Other factors to consider are the length of the material, how soon it may change, and the urgency for distributing it.

C. Contact Corporate Publishing and Information Management (CPIM) to assemble a production team to provide editorial, graphic, and composition services for your document. CPIM can also help you obtain those services from a vendor.

CPIM will provide the following as necessary:

- Guidance on graphic and electronic standards.
- Help with information design so that your document can be easily read and understood.
- The official directive number for locating your document once it has been issued.
- Information necessary to establish a production schedule.
- Assistance in selecting a clearance option and choosing development team members. (See *D* below.)

If you are planning a Postal Bulletin article, contact the *Postal Bulletin* editor within CPIM for a schedule of publication and deadlines and any special instructions you will need.

D. Identify and assemble a development team of those whom you need to assist you. Once assembled, your team members can, if necessary, help determine the nature and scope of their involvement, develop a schedule, and establish whether formal concurrence will be required. (See *E*, following.)

Your development team should include:

- Any others with whom you share authority with regard to the document information. (Both Human Resources and Finance, for example, may share authority for a document on pay.)
- Any others needed to provide guidance in managing potential consequences, especially General Counsel, the Inspection Service, or Labor Relations. (See **Who should be included for consequence management?**)
- Any others with a substantive interest or significant expertise.
- Any others from whom a sign-off may later be required.

If you do not know who is the correct contact within a functional organization, CPIM can help you identify the right person.

Table 2
Document Types

Type of Document	Description	Distribution
Drafts for the Code of Federal Regulations	Contain federal statutes, including those that define the Postal Service's mandate and responsibilities and its ability to establish policy and regulations.	NA
Manuals	Contain the basic policy information for the Postal Service.	In all post offices; other installations as needed. Stocked in material distribution centers.
DMM <i>Domestic Mail Manual</i>	Regulations and information about domestic mail services.	Also available from Government Printing Office.
IMM <i>International Mail Manual</i>	Regulations and information about international mail services.	Also available from Government Printing Office.
POM <i>Postal Operations Manual</i>	Policies for operation of post offices and for mail processing, transportation, and delivery.	Also available from Government Printing Office.
ASM <i>Administrative Support Manual</i>	Policies for USPS administrative and support functions.	Also available from Government Printing Office.
ELM <i>Employee and Labor Relations Manual</i>	Personnel policies and regulations governing USPS employment.	Stocked in the Somerville Material Distribution Center.
FMM <i>Financial Management Manual</i>	Overview of USPS financial policies, including accounting, budgeting, planning, and controlling assets.	Also available from Government Printing Office.
Handbooks	Operating procedures, usually including instructions. Generally contain more procedural than policy information.	Most stocked in material distribution centers.
Publications	Appear in a variety of formats such as books, brochures, reports, etc. Generally, do not focus on policy as extensively as manuals; nor on task descriptions as extensively as handbooks. Often contain material intended primarily for the public, such as mailing guidelines or marketing information.	Most stocked in material distribution centers.
Management Instructions	Short, permanent instructions for specific employee groups. Contain material too specialized, technical, volatile, or otherwise unsuitable for manuals or handbooks.	HQ, areas, districts, and other offices. Stocked in material distribution centers.
Policy Memos	Memos for quickly distributing, to a target audience, policy information that may later appear in a more permanent form. Can be written with the use of an electronically stored template.	Hard copies generally stored in material distribution centers.
Posters	Often (though not always) contain policy information that for any reason requires public display.	Most stocked in material distribution centers.
Labels , Signs, Tags, and Kits	Brief instructions, information, identification, promotional material, safety and energy messages.	Most stocked in material distribution centers.
Postal Bulletin	Published biweekly. Used for temporary and emergency instructions and fast issuance of permanent instructions before printing in permanent directives.	All postal installations. Stocked in the Somerville Material Distribution Center for one year.

E. Decide on an appropriate clearance process, considering who has authority for the document; who needs to assist you; whether there are labor relations, legal, or audit issues that require the involvement of General Counsel, Labor Relations, or the Inspection Service; and whether formal written concurrence is required to document the involvement of others. (See **Table 3**.)

Table 3
Options for Clearance

	<i>If...</i>		<i>Then...</i>
Option 1.	You are solely accountable	<i>and</i>	there are no legal or labor relations consequences to be managed,
			Sign off on the Option 1 clearance record memo or the policy memo yourself.
Option 2.	You partner with others in document development	<i>and</i>	there are no legal or labor relations consequences to be managed,
			List team members and sign off on the Option 2 clearance record memo yourself.
Option 3.	You want formal concurrence from team participants	<i>or</i>	there are legal or labor relations consequences to be managed,
			Get signatures from representatives of other accountable organizations and sign off on the Option 3 clearance record memo yourself.

*Note: Delegation of authority to sign off on documents is a matter for vice presidents to handle within their own organizations. (For guidance in this matter, see **Clarifications, Who should sign off?**)*

Examples

You might use **Option 1** (sign yourself), for example, if you are a vice president issuing a policy statement by policy memo or a staff person delegated to issue a clarifying announcement in a *Postal Bulletin* article.

You might use **Option 2** (list those involved and sign) if you need input but not approval, if you are the originator of a user manual or implementation guidelines, or if you are reissuing previously cleared information with no substantive changes.

You should use **Option 3** (get formal concurring signatures and sign) when:

- There may be legal consequences, so concurrence by the General Counsel is required.
- There may be an impact on wages, hours, or working conditions, or on salary or other issues affecting supervisors, so concurrence by Labor Relations and union notice and/or management association consultation are required.
- There may be an impact on security or audit procedures, so concurrence by the Inspection Service is required.
- There is another functional organization sharing *authority* for the document content, so concurrence by that organization is required.

You may also use Option 3 when, for any reason, you want to maintain a formal clearance trail. (For more information about using Option 3, see ***Who should be included for consequence management?*** and ***Who should sign off?***)

During document development...

3. *Involve the others you have identified to help you and use their expertise.*

Work with your ***development team***. Some members may need to work with you throughout development, helping you write and structure the information. Others may assist with consequence management by framing problematic sections or doing a formative review of certain issues.

Work with your ***production team*** to obtain the editorial, graphic, and composition services agreed upon during the planning stage.

4. *Plan for formal concurrence.*

If you have determined that you will need formal concurrence (clearance Option 3), agree with those involved on what sections they will need to cover and how much time they will need for review.

Formal concurrence. Official signatures on an Option 3 clearance record memo by qualified personnel indicating their involvement during a document's development and their approval of the final draft.

When a stable draft is ready...

5. *Provide copies of the document for review.*

If you have decided you will need formal concurrence, give each member of your development team (and any others from whom you want formal concurrence) a copy of the draft and a clearance review and signature request memo identifying what is needed from each of them and noting the agreed-upon time frame for review. (See ***Attachment D*** for a sample taken from the LAN template Clearreq.)

If the document is a revision of an existing document, add a summary of changes.

Send the draft (along with the summary of changes if your document is a revision) and the memo by cc:Mail so that the reviewer may choose whether to print it out and mark it or work on line to mark requested changes using the revision feature of Microsoft Word.

The reviewer should call to negotiate an extension if he or she cannot return the document within the time frame established.

6. *Provide a copy to Labor Relations for consultation with the management associations if requested.*

If your Labor Relations team member so requests, provide a copy of the review draft for consultation with the management associations.

Consultation copies. Advance copies of a draft document provided to management associations for the purpose of consultation.

Information copies. Final copies of a document provided as a courtesy to those with a right to know or vested interest in its content.

Notification copies. Final copies of a document provided to labor unions for the purpose of official notification.

When the review period has elapsed...

7. *Integrate changes.*

Negotiate to resolve remaining differences with reviewers and integrate changes to prepare a final draft.

8. *Be accountable for conflict resolution.*

Determine with management consultation whether you can assume accountability for overriding any changes considered mandatory by reviewers. If necessary, prepare a summary of unresolved issues for your vice president.

If reviews are not returned, contact the reviewer, determining with management consultation whether you can assume accountability for bypassing further consultation.

9. *Complete the final copy.*

Have editorial, graphic, and composition work completed and final copy prepared.

When the final copy is ready...

10. *Provide information and notification copies.*

Provide copies as follows:

- **To Labor Relations** if the necessity for union notice and/or management association consultation was established during earlier team work or at the time of review.
- **To the Inspection Service** (Legal Liaison) if a copy was not provided previously for their formal concurrence on issues affecting law enforcement or auditing responsibilities. (Note that the Inspection Service *always* receives some type of copy of every directive — either a formal review copy or an information copy.)
- **To the Chief Operating Officer** if the document deals with operational issues.
- **To other functional and area vice presidents** not involved in the development process who may be affected.
- **To your team members.**

When you are ready for paper publication and/or electronic distribution...

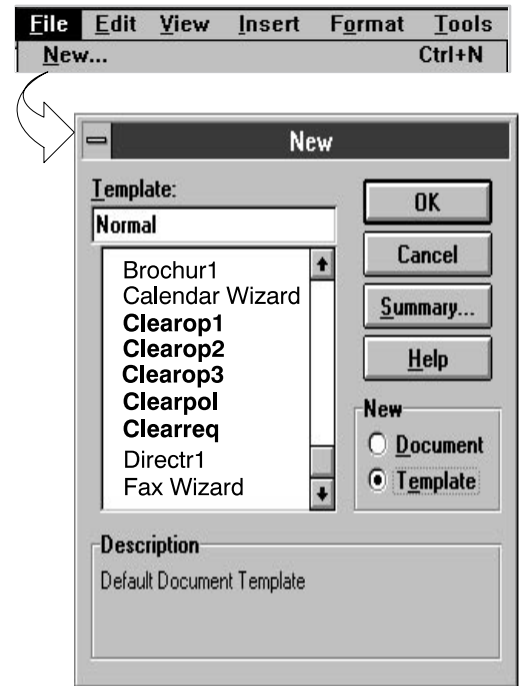
11. *Provide materials to CPIM.*

If CPIM has done your production work, camera copy and an electronic file will already be available. If you have had production work done by a vendor, provide camera copy and an electronic file to CPIM.

Provide also:

- Form 187, *Document Distribution Plan*, to direct initial distribution — paper and electronic — of your document.
- Form 1888, *Printing, Composition, or Graphics Request*, to document the availability of funding for printing your document.
- The clearance record memo that shows your clearance option and registers your accountability. (See **Attachments A, B, and C** for samples taken from the LAN templates Clearop1, Clearop2, and Clearop3.) Request the signature of your manager if your functional organization delegation policy requires it.
- If you have asked for formal concurrence, the marked review copies and signed clearance review and signature request memos to document your clearance trail.

Note that CPIM will accept the signature of an accountable originator as evidence that all necessary clearance steps have been taken and will produce and distribute the document solely on that basis. As the accountable originator, however, *you* will want to ensure that any official clearance documentation is saved and available for review, so make sure you submit any such documentation along with your document.



Clarifications

Who should be included for consequence management?

Consequence management minimizes the possibility of document consequences that are costly, embarrassing, or otherwise hazardous by making sure that the right expertise is used during document development and that those impacted are aware of what is being issued.

The consequence management process starts when you assemble a development team. Your team's role in the consequence management process is to help you frame specific issues during the drafting period; help you choose a clearance option; and then, if necessary, provide formal concurrence.

Representatives from the following groups should be included in your development team and provide formal concurrence if your document touches on legal, financial, or labor relations issues.

General Counsel. There are some general guidelines that will help you predict whether or not your document will need formal concurrence from General Counsel. First, if your document is an update or revision to the

Code of Federal Regulations or to DMM, IMM, or Publication 41, *USPS Procurement Manual*, you can probably assume that it will need to be signed off on by General Counsel.

Second, if the *subject matter* of your document involves another federal agency or federal statutes; if it involves purchasing contracts, procurement acts, or labor relations; if it touches on issues having to do with the mailing regulations, delivery and collection of mail, mail preparation or postage payment; then you will be wise to consider formal concurrence from General Counsel.

Contact the Chief Legislative Counsel for assistance in finding a team member who can help you with legal consequence management.

Labor Relations. Labor Relations can assist you in minimizing labor relations issues and problems when policies and procedures affect either bargaining unit or nonbargaining unit employees. In addition, Article 19 of the national labor agreements requires that unions be notified of changes in Postal Service documents that potentially affect wages, hours, and working conditions, and the Postal Reorganization Act requires that management associations be consulted about changes related to salary or other issues affecting supervisors.

If there is any reason to believe that your document deals with information that touches on any of these issues, ask for a Labor Relations contact and consult early in the process. Only Labor Relations can finally determine whether notification or consultation is contractually required.

To locate appropriate team members in Labor Relations, start by contacting the manager of Programs and Systems (within Labor Relations) who will direct you either to Management Association Relations and/or to one of the Contract Administration units (APWU/NPMHU or NALC/NRLCA).

Note that if consultation with management associations is required, Management Association Relations may want an early draft (see **Step 6**, above), but the Contract Administration units will need a *finished* copy for purposes of union notification.

Inspection Service. To predict whether your document will need Inspection Service consequence management, consider whether it deals with any issues that affect the Inspection Service's mandate within the Postal Service. First, if your document pertains to issues of personnel safety or facility security — for example, building security systems, burglary, personnel identification, or employee clearances — you will want to ask the Inspection Service for formal concurrence.

Second, if your document deals with revenue, procurement, or other financial matters — for example, internal audits and controls, record keeping, revenue protection, fraud, waste, or abuse — you can assume that it needs formal concurrence from the Inspection Service.

Note that a copy of *any* document published must be provided the Inspection Service to assist in the satisfaction of its oversight responsibilities.

Contact Legal Liaison within the Inspection Service for help in finding a team member to review your document.

Who should sign off?

Whether or not an originator has authority to sign off on a given document is determined by the policy established within his or her own functional organization. Authority determination may be based on factors pertinent to the organizations. Suggestions include:

- Type of information (for example, policy and regulation vs. business process, guideline, or information).
- Type of document (for example, policy manual or procedure handbook vs. *Postal Bulletin* article with a simple announcement or clarification).
- Case-by-case determination.

How can document management be provided for previously distributed documents?

If you believe that a previously distributed document does in fact contain policy, procedure, or implementation information that should have gone through the document management process, but did not, CPIM can help you arrange to do this retroactively.

You, as the originator, should provide copy, camera and electronic if possible, to CPIM. CPIM will collect the necessary identifying data and document location, distribution, and accountability information; provide an identifying number; and initiate the document tracking and management process.

Responsibilities

Vice presidents and managers are responsible for:

- Understanding the clearance and document management processes.
- Promoting an environment of collaboration.
- Using and supporting the use of the process.
- Establishing a delegation policy for their functional organizations.
- Seeing that documents are obsoleted when they become redundant or out of date.

Originators are responsible for:

- Understanding the clearance and document management processes.
- Determining:
 - The type of information to be conveyed (policy, instruction, regulation, guideline, or implementation information).
 - The best type of document to use for conveying that information.
 - The clearance requirements of the document, based on an assessment of its contents.
 - The document management requirements of the document, based on an assessment of the future need to access its contents.
- Choosing one of the three clearance options.
- Involving others as needed in developing the document.
- Carrying out the clearance steps as identified.
- Arranging for final review and sign-off.
- Ensuring that each reviewer understands what the changes to the document are and why.
- Distributing copies before publication to those who will be affected by the document and to Labor Relations for union notice.
- Effecting closure of the process.
- Being timely throughout.

Others involved are responsible for:

- Understanding the clearance and document management processes.
- Providing the needed expertise during document development.
- Helping determine the nature of any review ultimately necessary and establishing a realistic time frame.
- Being timely in contributions and, if formal concurrence is required, review and sign-off.

CPIM is responsible for:

- Providing consultative editorial and publishing support.
- Providing consultative clearance support.
- Initiating the publication of documents based on a request from an accountable originator.
- Organizing and providing information management, including cataloging, storing, access, sunseting, and archiving the document and archiving the clearance trail.



Document Management — Clearance Record Option 1: Sign It Yourself

[__ date __]

[__ name of editor assigned to your organization __]

Corporate Publishing and Information Management

Included in this package are:

- Camera-ready material.
- Electronic copy.
- Form 187, *Document Distribution Plan*
- Form 1888, *Printing, Composition, or Graphics Request*

for [__ document number, name, date ____]

My functional organization has authority for this document and I am fully accountable.

Please initiate publication and distribution.

[__ signature __]

[__ name __]

[__ functional organization __]



Document Management — Clearance Record Option 2: List Others Involved and Sign

[__ date __]

[__ name of editor assigned to your organization __]

Corporate Publishing and Information Management

Included in this package are:

- Camera-ready material.
- Electronic copy.
- Form 187, *Document Distribution Plan*
- Form 1888, *Printing, Composition, or Graphics Request*

for [__ document number, name, date __]

My functional organization has authority for this document. The following individuals assisted in development:

_____ [__ name __] _____ [__ functional organization __] _____
_____ [__ name __] _____ [__ functional organization __] _____
_____ [__ name __] _____ [__ functional organization __] _____
_____ [__ name __] _____ [__ functional organization __] _____
_____ [__ name __] _____ [__ functional organization __] _____
_____ [__ name __] _____ [__ functional organization __] _____

Please initiate publication and distribution.

[__ signature __]

[__ name __]

[__ functional organization __]



Document Management — Clearance Record Option 3: Get Concurring Signatures and Sign

[__ date __]

[__ name of editor assigned to your organization __]

Corporate Publishing and Information Management

Included in this package are:

- Camera-ready material.
- Electronic copy.
- Form 187, *Document Distribution Plan*
- Form 1888, *Printing, Composition, or Graphics Request*

for [__ document number, name, date __]

My functional organization has authority for this document. The following individuals assisted in development and share accountability. Their signed review memos and marked changes are attached:

_____ [__ name __] _____ [__ functional organization __] _____

_____ [__ name __] _____ [__ functional organization __] _____

_____ [__ name __] _____ [__ functional organization __] _____

_____ [__ name __] _____ [__ functional organization __] _____

_____ [__ name __] _____ [__ functional organization __] _____

_____ [__ name __] _____ [__ functional organization __] _____

Please initiate publication and distribution.

[__ signature __]

[__ name __]

[__ functional organization __]



Clearance Review and Signature Request

[__ date __]

[__ name __]

[__ functional organization __]

Attached is a copy of the review draft of [__ document number, name __]

Please review [__ part of the document and nature of issues agreed upon for this individual's review __]

You indicated that you would need [__ time frame agreed upon __] for review, so I will expect to receive the finished document by [__ date __] unless you call me to ask for an extended review period.

Please mark your suggested changes on the draft, putting a check mark by any that you consider so essential that they are mandatory. If you wish to work on line, type in your changes, using the revision marking feature of MS Word. Use three asterisks after any change that you consider mandatory.

When you have completed your review, please attach the marked-up draft to this memo, sign below, and return the draft and memo to me.

Signature of Reviewer

[__ signature __]

[__ name __]

[__ functional organization __]

Attachment E
Template Clearpol



Policy Memo