



# OFFICE OF INSPECTOR GENERAL

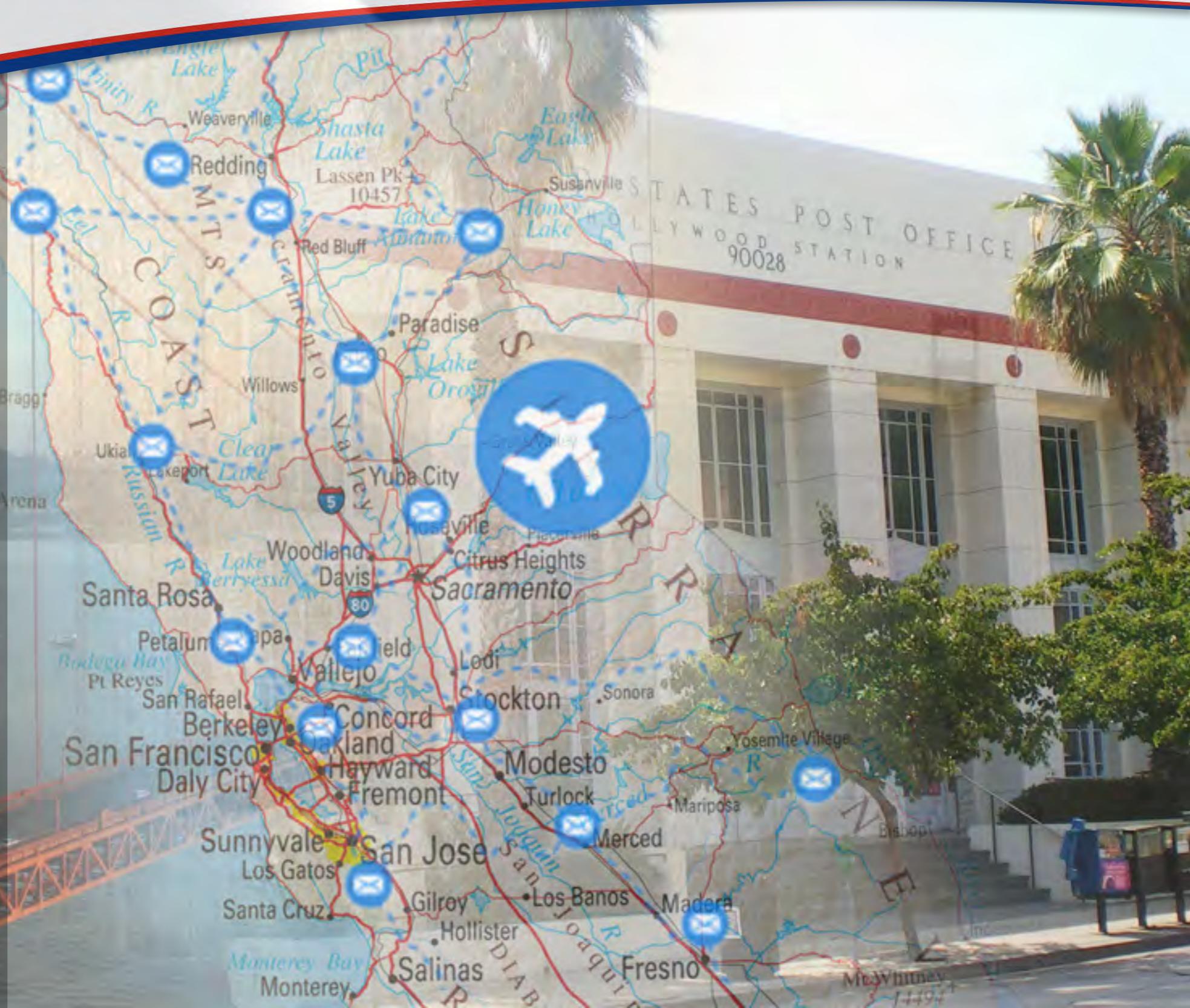
## UNITED STATES POSTAL SERVICE

### Facility Condition Reviews – Pacific Area

#### Audit Report

Report Number  
**SM-AR-17-007**

September 6, 2017





# OFFICE OF INSPECTOR GENERAL

## UNITED STATES POSTAL SERVICE

## Highlights

**Twenty-five (45 percent) of the facilities we reviewed had potential fineable OSHA violations.**

### Background

The U.S. Postal Service (USPS) has more than 30,000 leased and owned retail facilities nationwide. Over 1,600 of these facilities are in the Pacific Area. The post office lobby is the principal business office of the USPS. The lobby's appearance directly affects the USPS' image because it is the only close-up view of postal operations for many customers. The USPS must maintain a safe environment for employees and customers and follow safety laws set forth by the Occupational Safety and Health Administration (OSHA).

Our objective was to determine if USPS management adhered to building maintenance, safety and security standards, and employee working condition requirements at retail facilities. We reviewed 56 facilities in the Pacific Area and assessed items related to building safety, security, maintenance, customer complaints, workplace environment, and workplace violence. We also assessed whether each facility was handicap accessible.

This is the sixth in a series of audits assessing retail facility conditions nationwide.

### What the OIG Found

The USPS must improve adherence to building maintenance, safety and security standards, and employee working condition

requirements at its retail facilities. We reviewed 56 facilities and found:

- Twenty-five (45 percent) had building safety and security issues;
- Twenty-five (45 percent) had potential fineable OSHA violations;
- Thirty-six (64 percent) had cleanliness and maintenance issues;
- Thirty-four (61 percent) did not maintain a customer complaint log or monitor how promptly complaints are resolved;
- Fifty-two (93 percent) did not display workplace environment posters such as those that inform employees what to do when injured at work;
- Twenty (36 percent) did not display workplace violence posters, such as *Zero Tolerance Policy and Reporting Procedures*; and
- Three (5 percent) handicap areas needed maintenance or repairs.



# OFFICE OF INSPECTOR GENERAL UNITED STATES POSTAL SERVICE

Issues related to building safety, security, and maintenance occurred because of competing priorities and local management's failure to focus on cleaning, general maintenance and repairs, and housekeeping inspections. In addition, management did not provide sufficient oversight of, communicate with, or train employees effectively regarding requirements for reporting deficiencies; completing inspections and facility maintenance; the need to maintain a customer complaint log; or the need to display required posters.

Attention to these areas could reduce the risk of injuries to customers and employees and related costs, such as workers' compensation claims, loss of work and productivity, lawsuits, and OSHA fines and penalties. It could also improve employee morale and reduce employee turnover. Poorly maintained and unappealing lobbies can also reduce brand loyalty, which impacts revenue.

Local management took corrective action by immediately addressing certain deficiencies brought to their attention during our site visits, such as displaying missing posters and providing unrestricted access to fire extinguishers and electrical panels.

## What the OIG Recommended

We recommended management develop and implement an action plan to address all issues identified during our audit and direct retail facilities personnel and district management to timely input all applicable issues into the electronic

Facilities Management System and monitor the repair status of all reported issues, respectively. We also recommended management provide oversight to ensure compliance with policies and procedures relating to maintenance, security and safety standards, and customer complaint resolution. We further recommended management provide safety inspection training.



# Transmittal Letter

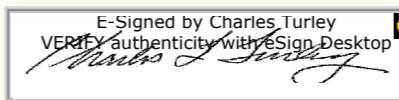


OFFICE OF INSPECTOR GENERAL  
UNITED STATES POSTAL SERVICE

September 6, 2017

**MEMORANDUM FOR:** LARRY P. MUÑOZ  
VICE PRESIDENT, PACIFIC AREA (ACTING)

TOM A. SAMRA  
VICE PRESIDENT, FACILITIES



**FROM:** Charles L. Turley  
Deputy Assistant Inspector General  
for Supply Management and Human Resources

**SUBJECT:** Audit Report – Facility Condition Reviews – Pacific Area  
(Report Number SM-AR-17-007)

This report presents the results of our audit of Facility Condition Reviews – Pacific Area (Project Number 17SMG015SM000).

We appreciate the cooperation and courtesies provided by your staff. If you have any questions or need additional information, please contact Lucine Willis, Acting Director, Supply Management and Facilities, or me at 703-248-2100.

Attachment

cc. Postmaster General  
Corporate Audit and Response Management

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# Findings

## Introduction

This report presents the results of our self-initiated audit of facility condition reviews in the Pacific Area (Project Number 17SMG015SM000). Our objective was to determine if U.S. Postal Service (USPS) management adhered to building maintenance, safety and security standards, and employee working condition requirements at retail facilities. See [Appendix A](#) for additional information about this audit.

**The post office lobby is the principal business office of the USPS and is the only close-up view of postal operations for most customers; therefore, its appearance directly affects the USPS' public image.**

The post office lobby is the principal business office of the USPS and is the only close-up view of postal operations for most customers; therefore, its appearance directly affects the USPS' public image. The USPS must maintain a safe environment for both employees and customers and follow federal safety laws set forth by the Occupational Safety and Health Administration (OSHA). USPS also follows internal policies and procedures regarding safety and security and the appearance of lobbies and facilities. It has more than 30,000 leased and owned retail facilities nationwide, 1,609 of which are in the Pacific Area.

In September 2015, the USPS Office of Inspector General (OIG) reported on poor working conditions at a post office in New Mexico.<sup>1</sup> As a result of the unacceptable conditions found at this post office, the OIG is conducting a national series of audits that focus on conditions related to building appearance, safety and security, customer complaints, workplace environment and violence, and handicap accessibility. For this audit — the sixth in the series — we visited 18 statistically sampled and 38 judgmentally selected facilities.<sup>2</sup>

## Summary

The USPS must improve adherence to building maintenance, safety and security standards, and employee working condition requirements at its retail facilities. During our facility reviews, we found the following conditions:<sup>3</sup>

- Twenty-five (45 percent) had building security and safety issues;
- Twenty-five (45 percent) had potential fineable OSHA violations;
- Thirty-six (64 percent) had cleanliness and maintenance issues;
- Thirty-four (61 percent) did not maintain a customer complaint log or monitor how promptly complaints are resolved;
- Fifty-two (93 percent) did not display workplace environment posters such as those that inform employees what to do when injured at work;
- Twenty (36 percent) did not display workplace violence posters, such as *Zero Tolerance Policy and Reporting Procedures*; and
- Three (5 percent) handicap areas needed maintenance or repairs.

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1 *Working Conditions at the Jal Post Office* (Report Number HR-MA-15-004, dated September 2, 2015).

2 We judgmentally selected 38 facilities based on work performed by other OIG teams.

3 Some facilities may have more than one issue cited.

***Local management took corrective action by immediately addressing certain deficiencies brought to their attention during our site visits, such as displaying missing posters and providing unrestricted access to fire extinguishers and electrical panels.***

Issues related to building security, safety, and maintenance occurred because of competing priorities and local management's failure to focus on cleaning, general maintenance and repairs, and housekeeping inspections.<sup>4</sup> In addition, management did not provide sufficient oversight of, communicate with, or train employees effectively regarding requirements for reporting deficiencies; completing inspections and facility maintenance; the need to maintain a customer complaint log; or the need to display required posters.

Attention to these areas could reduce the risk of injuries to customers and employees and related costs, such as workers' compensation claims, loss of work and productivity, lawsuits, and OSHA fines and penalties. It could also improve employee morale and reduce employee turnover. Poorly maintained and unappealing lobbies can also reduce brand loyalty, which impacts revenue.

Local management took corrective action by immediately addressing certain deficiencies brought to their attention during our site visits, such as displaying missing posters and providing unrestricted access to fire extinguishers and electrical panels.

## **Building Security, Safety, and Maintenance**

The USPS must improve the security, safety, and maintenance of its retail facilities in the Pacific Area. We assessed the exterior and interior conditions of 56 postal facilities and observed the following:<sup>5</sup>

### **Building Security**

The USPS must improve security at its retail facilities. Specifically:

- Three (5 percent) did not prevent public access to employee work areas that should have been secured. The rear outside doors of the three facilities, as well as an inside lobby door of one of the facilities, were unlocked and not monitored, allowing unrestricted access.
- Two (4 percent) had unlocked inspection service lookout gallery doors, which are required to be locked.
- One (2 percent) had a customer access door with a broken lock that required a screwdriver to secure the building at night.
- One (2 percent) had an unfastened wire security mesh above the customer service window, allowing access to the employee work area.
- One (2 percent) had six USPS vehicles that were unlocked and unattended.
- One (2 percent) had the metal latch bar on an exit door altered to disable the automatic locking mechanism, allowing unrestricted access (see Figure 1).

**Figure 1. Altered Locking Mechanism on Exit Door**



Source: OIG photograph taken October 27, 2016, Santa Clarita Plant and Distribution Center, Santa Clarita, CA.

<sup>4</sup> Housekeeping inspections are required to be performed quarterly at facilities that have custodial maintenance provided by the USPS. Unit personnel are required to document satisfactory or unsatisfactory conditions at those facilities and submit them to district personnel.

<sup>5</sup> Some facilities had multiple issues.

Management is responsible for providing maximum protection for USPS employees, funds, and property.<sup>6</sup>

### Building Safety

The USPS must improve the safety of its retail facilities. Specifically:

- Thirteen (23 percent) had lighting issues such as bulbs needing replacement or inoperable light fixtures.
- Twelve (67 percent)<sup>7</sup> had fire extinguishers that were not inspected either monthly or annually as required.<sup>8</sup> One facility had a fire extinguisher that had not been inspected since 2001 and another had blocked access to the fire extinguisher (see Figure 2).
- Four (22 percent)<sup>9</sup> had blocked emergency exits or exits that were not properly marked. One leased facility's side door was nailed shut, preventing its use as an exit during an emergency (see Figure 3). This deficiency was reported in the eFMS in June 2016 with an urgent status; however, the lessor had not responded to the repair request. Subsequent to the OIG site visit in February 2017, management took appropriate action with the lessor and repaired the door in April 2017.
- Three (5 percent) had potential tripping hazards. Two of the facilities had uncovered electrical cords and wires in workroom paths. Another facility had damaged flooring and an uneven ramp surface used daily by carriers loading their vehicles (see Figure 4).

**Figure 3. Side Exit Door Nailed Shut**



Source: OIG photograph taken February 28, 2017, Darwin Main Office, Darwin, CA.

**Figure 2. Blocked Access to Fire Extinguisher**



Source: OIG photograph taken March 1, 2017, Summerland Main Office, Summerland, CA.

**Figure 4. Potential Tripping Hazard on Uneven Ramp Surface**



Source: OIG photograph taken March 22, 2017, Olivehurst Main Office, Olivehurst, CA.

6 Handbook PO-209, *Retail Operations Handbook*, Section 6.11.3.6.1, dated October 2012.

7 Results are from statistically selected site visits.

8 Occupational Safety and Health Standards, Section 1910.157 – Portable Fire Extinguishers.

9 Results are from statistically selected site visits.

- Three (5 percent) had exposed wires or blocked electrical panels (see Figure 5).
- Two (4 percent) had sanitary issues such as poorly maintained bathrooms, one of which contained disposable razors placed near a sink. Another contained excess restroom fixtures, including disconnected hoses, sinks, and toilets (see Figure 6).

**Figure 5. Blocked Electrical Panel**



Source: OIG photograph taken March 1, 2017, Summerland Main Office, Summerland, CA.

**Figure 6. Excess Disconnected Restroom Fixtures**



Source: OIG photograph taken March 30, 2017, Webster Street Station, Alameda, CA.

- Two (4 percent) had potential mold or asbestos exposure, including a facility with an entire wall containing an unknown substance that appeared to be mold (see Figure 7).
- One (2 percent) had a mounted smoke detector in the customer lobby with its cover and battery removed, rendering it inoperable (see Figure 8).

**Figure 7. Wall Covered With Unknown Substance/  
Potential Mold**



Source: OIG photograph taken March 30, 2017, Webster Street Station, Alameda, CA.

**Figure 8. Inoperable Smoke Detector**



Source: OIG photograph taken March 28, 2017, Phillipsville Main Office, Phillipsville, CA.

- One (2 percent) was without phone service for three weeks, preventing any outside communication in an emergency.

We found 48 potentially finable OSHA violations<sup>10</sup> at 25 of the 56 facilities we visited. These violations included:

- Potential asbestos and mold;
- Trip hazards;
- Blocked and unsecured electrical panels;
- Sanitary issues relating to cleanliness;
- Blocked emergency exits or exits that were not properly marked;
- Fire extinguishers that were not serviced monthly or annually;
- Inoperable smoke detector missing battery and cover;
- Inadequate interior and exterior lighting; and
- Missing required OSHA posters.

**We found 48 potentially fineable OSHA violations at 25 of the 56 facilities we visited.**

The USPS is required to maintain a safe environment for both employees and customers. In addition, OSHA requires employers to provide a safe and healthful workplace free of recognized hazards. USPS facilities with potentially fineable OSHA violations jeopardize the health, safety, and well-being of postal employees and customers.

Based on the 37 potentially fineable OSHA violations we found at 15 of 18 statistically selected facilities,<sup>11</sup> we projected there are 3,307 potentially finable violations across the 1,609 retail facilities in the Pacific Area. We recognize that, based on historical trends, it is unlikely that OSHA will inspect all facilities in the area. However, if the violations found at the sampled facilities are found at other retail facilities in the Pacific Area, the potential expected monetary value of these violations for the entire area, at the average fine of \$2,100<sup>12</sup> per incident, would be about \$7 million. This represents the risk exposure and worst case scenario based on the issues identified.

### Building Maintenance

The USPS must improve the maintenance of its retail facilities based on the following observations:<sup>13</sup>

- Twenty-five (45 percent) needed repair and maintenance of ceilings, walls, and floors. Some facilities had cracked or missing floor tiles; water-stained, damaged or missing ceiling tiles; and others needed fresh paint and repair to interior walls, exterior siding, and trim. One facility had damaged ceiling panels and the interior wall directly above the main customer entrance (see [Figure 9](#)).
- Nine (16 percent) had landscaping issues such as overgrown grass, shrubs, and trees and dead shrubs and barren grass areas; and one facility did not remove excess equipment from the property (see [Figure 10](#)).

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<sup>10</sup> This footnote is for all bulleted items. Occupational Safety and Health Standards, General Industry – Means of Egress – Section 1910.37(b)(2); Sanitation – Section 1910.141; Trip Hazards – Section 1910.22; Asbestos – Sections 1910.1001; Mold – Pub 3304-04N 2006; Electrical and Lighting – Section 1910.303; Fire Extinguishers – Section 1910.157; OSHA posters – Section 1903.2(a)(1); Fire Protection – Section 1910.164.

<sup>11</sup> We did not include the potentially finable OSHA violations found at the 38 judgmentally selected sites.

<sup>12</sup> The average fine amount the USPS paid for OSHA violations from 2012 to 2015, based on our findings.

<sup>13</sup> Some facilities had multiple building maintenance issues.

**Figure 9. Damaged Ceiling Panel Above Customer Entrance**



Source: OIG photograph taken March 21, 2017, Suisun City Main Office, Suisun City, CA.

**Figure 10. Excess Equipment Not Removed from Property**



Source: OIG photograph taken April 12, 2017, Danville Main Office, Danville, CA.

- Nine (16 percent) had dimly lit<sup>14</sup> interior or exterior areas, including the employee, post office box, and lobby areas. One facility had only one of four exterior lights working in an area that allowed 24-hour lobby access to customers.
- Eight (14 percent) had unappealing lobbies with issues such as dirty screens and cracked glass windows; damaged tables, counter tops, and walls; broken parcel lockers and post office boxes; a customer entrance walkway littered with tree droppings; and lobbies that appeared dark and gloomy. One facility had Priority Mail® packaging materials taped over the electrical outlets throughout the lobby (see Figure 11).
- Eight (14 percent) had interior maintenance issues such as restrooms with leaking faucets and a missing stall door; an exit door that allowed rain water to seep into the facility due to a damaged weather seal; and customer and employee work areas containing dirty skylights and unsanitary air vents (see Figure 12).

**Figure 11. Electrical Outlets in Lobby Covered with USPS Packing Products**



Source: OIG photograph taken February 23, 2017, Goldenwest Station, Westminster, CA.

**Figure 12. Unsanitary Air Vents**



Source: OIG photograph taken March 30, 2017, Webster Street Station, Alameda, CA.

<sup>14</sup> Lighting issues pertaining to safety include only facilities with more than 50 percent of lights not functioning.

- Seven (13 percent) had parking lot discrepancies such as faded or missing painted parking lane stripes and a customer parking lot that needed improvements to allow traffic to enter and exit safely.
- Fifteen (83 percent) did not complete housekeeping inspections as required<sup>15</sup> (see Table 1).

**Table 1. Housekeeping Inspections Performed**

District	No	Yes	N/A <sup>16</sup>
Bay-Valley PFC	2	0	0
Los Angeles PFC	2	0	0
Sacramento PFC	3	0	1
San Diego PFC	2	0	1
San Francisco PFC	2	0	1
Santa Ana PFC	1	0	0
Sierra Coastal PFC	3	0	0
<b>Total</b>	<b>15</b>	<b>0</b>	<b>3</b>

Source: PS Form 4851 requested during statistically selected facility visits in 2017.

- There were no deficiencies reported during prior safety inspections for 14 of 18 statistically selected facilities. While some hazards and risks may not have existed during the prior inspections, at least 20 of them at seven facilities were present but were not documented, such as noncompliant emergency exits and fire extinguishers, trip hazards, and poor sanitary conditions (see Table 2).

**Table 2. Hazards That Existed During Last Safety Inspection**

Facility	Last Safety Inspection Date <sup>17</sup>	Existing Hazards <sup>18</sup>
Darwin Main Office, Darwin, CA	2/27/2017	<ul style="list-style-type: none"> <li>• Emergency exit door nailed shut</li> <li>• Fire extinguisher not inspected annually</li> </ul>
Summerland Main Office, Summerland, CA	2/13/2017	<ul style="list-style-type: none"> <li>• Blocked electrical panel</li> <li>• Blocked fire extinguisher</li> </ul>
Olivehurst Main Office, Olivehurst, CA	1/13/2017	<ul style="list-style-type: none"> <li>• Trip hazards from broken floor tiles and uneven floor surface on ramp used by carriers</li> <li>• Fire extinguisher not inspected annually</li> </ul>

15 Handbook M-47, *Housekeeping - Postal Facilities*, Chapter 5, June 1, 1983.

16 Not applicable. Only facilities where the USPS provides custodial maintenance are required to conduct housekeeping inspections. Those with contract cleaning services are not required to perform housekeeping inspections.

17 Last safety inspection date as of April 2017

18 Issues identified during site visits in February and March 2017.

**Designated personnel were not properly trained to conduct safety inspections.**

Facility	Last Safety Inspection Date <sup>17</sup>	Existing Hazards <sup>18</sup>
Westminster-Goldenwest Station, Westminster, CA	2/23/2017	<ul style="list-style-type: none"> <li>• Emergency exits not marked</li> <li>• Poor sanitation in women's restroom</li> <li>• Fire extinguisher not inspected annually</li> </ul>
Alameda-Webster Station, Alameda, CA	3/30/2017	<ul style="list-style-type: none"> <li>• Poor sanitation in women's restroom</li> <li>• Potential mold substance in dispatch/storage hallway</li> <li>• Exposed wires from uncovered phone jack</li> <li>• Poor lighting in employee work area</li> <li>• Fire extinguisher not inspected annually</li> </ul>
Phillipsville Main Office, Phillipsville, CA	3/28/2017	<ul style="list-style-type: none"> <li>• Emergency exit not marked</li> <li>• Poor interior and exterior lighting</li> <li>• Smoke detector inoperable (missing battery)</li> </ul>
Covelo Main Office, Covelo, CA	3/28/2017	<ul style="list-style-type: none"> <li>• Emergency exit not marked</li> <li>• Blocked electrical panel</li> <li>• Fire extinguisher not inspected annually</li> </ul>

Source: OIG observations at statistically selected facilities.

The conditions related to building security, safety, and maintenance occurred because:

- Management did not provide sufficient training and oversight to ensure employees followed the door locking policy.<sup>19</sup>
- Designated personnel were not properly trained to conduct safety inspections. The USPS policy requires district safety personnel and local management to conduct safety inspections.<sup>20</sup>
- Management did not provide sufficient oversight to ensure monthly inspections or annual maintenance of fire extinguishers were completed. Current USPS policy gives postmasters the authority to procure services related to maintenance and testing of fire extinguishers.<sup>21</sup>
- Employees were not properly trained to recognize and report maintenance, safety, and security deficiencies, assumed the deficiencies were previously reported, or chose not to address them. Additionally, due to lack of management oversight, issues reported in eFMS were not resolved timely. USPS policy requires repair work to be reported and then tracked through the project manager, regardless of the dollar amount or the responsibility.<sup>22</sup>

19 Handbook PO-209, Section 6-11.3.6.1, Securing Doors, requires employees to firmly adhere to the policy of locking doors. Management is responsible for ensuring compliance to protect Postal Service employees, funds, and property.

20 *Employee Labor Relations Manual*, Section 824.33, requires collateral duty facility safety coordinators and at least one supervisor to conduct annual inspections of each installation with less than 100 work years of employment in the regular workforce and district and plant safety personnel to conduct a semiannual inspection of all installations with 100 or more work years of employment in the regular workforce.

21 Handbook MS-56, *Fire Prevention and Control*, Section 483, Services for hydrostatic testing, recharging, or other specialized maintenance on portable extinguishers is procured by the postmaster under local purchase authority in all owned or leased buildings, March 15, 2006.

22 *Standard Operating Procedures for HUB Repairs and Alterations*, Section 1.3, January 2014.

**We found 34 of 56 facilities (61 percent) did not maintain a customer complaint log or monitor how promptly complaints are resolved.**

- Maintenance management did not provide sufficient oversight to ensure housekeeping inspections were completed as required. Facilities under 25,000 square feet are required to perform quarterly self-assessments and maintenance managers are required to follow up yearly.<sup>23</sup>

Attention to these maintenance, safety, and security deficiencies could reduce the risk of injuries to customers and employees and related costs, such as workers' compensation claims, loss of work and productivity, lawsuits, and OSHA fines and penalties. It could also improve employee morale and reduce employee turnover. The post office lobby provides customers with their first and most lasting impression of the USPS; therefore, its appearance, convenience, and efficiency directly affect the USPS' public image. Poorly maintained and unappealing lobbies can reduce brand loyalty, which affects revenue.

#### **Customer Complaints**

The USPS must improve procedures for monitoring local customer complaints. We found 34 of 56 facilities (61 percent) did not maintain a customer complaint log or monitor how promptly complaints are resolved. These deficiencies occurred because district management did not provide sufficient oversight to ensure customer complaint logs were maintained.

The USPS requires facilities to maintain a customer complaint log and respond to complaints within a specified timeframe.<sup>24</sup> Without such a log, it is difficult to determine whether customer complaints are being addressed in a timely manner or if they are ever resolved. This could negatively impact the USPS' brand.

In our previous facility condition review reports,<sup>25</sup> the OIG noted manual customer complaint logs are not maintained at all retail facilities. We recommended USPS management reinforce the requirement to maintain customer complaint logs so customer complaints are recorded, tracked, and resolved timely. In June 2016, the chief operating officer and executive vice president sent letters to all area vice presidents and district managers reinforcing USPS' commitment to providing customers with the best experience possible, including being proactive and responsive in addressing customer concerns. Management was directed to adhere to the policy regarding customer complaint logs. To reinforce the policy, Pacific Area management communicated the contents of the June 2016 memorandum to district management, who confirmed they disseminated the policy to every facility. In addition, a Pacific Area newsletter issued in February and March 2017 reiterated the customer complaint log policy. However, log maintenance issues still exist.

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23 Handbook MS-47, *Housekeeping Postal Facilities*, Section 522, June 1, 1983.

24 *Postal Operations Manual* (POM), Section 164.4, requires postmasters and station or branch managers to maintain one or more customer complaint control logs. In addition, Section 165.1 requires the USPS to make initial customer contact within one business day of receiving a complaint and issue a final response within three business days.

25 *Facility Condition Reviews – Capital Metro Area* (Report Number SM-AR-16-009, dated July 18, 2016); *Facility Condition Reviews – Great Lakes Area* (Report Number SM-AR-16-010, dated September 2, 2016); *Facility Condition Reviews – Northeast Area* (Report Number SM-AR-17-001, dated November 9, 2016); *Facility Condition Reviews – Southern Area* (Report Number SM-AR-17-003, dated April 28, 2017); *Facility Condition Reviews – Eastern Area* (Report Number SM-AR-17-004, dated May 10, 2017).

## Workplace Environment and Workplace Violence Policies

The USPS must improve the process for displaying required information relating to workplace environment, violence, and emergency preparedness policies. Fifty-two facilities (93 percent) did not display workplace environment posters and 20 (36 percent) did not display workplace violence posters.<sup>26</sup> Specifically, we observed the following:

- Forty-three (77 percent) did not display the required OSHA posters — Poster 3165 and Poster 3167, *Job Safety and Health Protection* (in English and Spanish, respectively).<sup>27</sup>
- Twenty-five (45 percent) did not display Poster CA-10, *What a Federal Employee Should Do When Injured at Work*.<sup>28</sup>
- Seventeen (30 percent) did not have emergency contact numbers next to each phone.
- Fifteen (27 percent) did not display the Fire Prevention Plan (FPP)<sup>29</sup> as required at postal facilities with more than 10 employees.
- Thirteen (23 percent) did not display the *Zero Tolerance Policy and Reporting Procedures poster*.<sup>30</sup>
- Twelve (21 percent) did not display Poster 7, *Rules, and Regulations Governing Conduct on Postal Property*.<sup>31</sup>
- Six (11 percent) did not display an Emergency Action Plan (EAP)<sup>32</sup> plan at postal facilities with more than 10 employees.
- Twenty (36 percent) did not display the OIG poster,<sup>33</sup> though it is not required.

The *Postal Operations Manual* and *Supervisor's Safety Handbook* require management to post workplace environment information at each facility. For the facilities that did not display the required posters, personnel were not aware they were missing the poster and local management did not provide oversight to ensure all appropriate forms were displayed. Not displaying the required posters may leave employees unaware of what to do in the event of an emergency or injury and of their rights and responsibilities regarding the zero tolerance policy.

In most instances, OIG auditors provided copies of the required posters to facilities that did not have them. Local management took immediate corrective action and placed the posters in areas visible to both the public and employees.

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26 Some facilities were missing multiple posters.

27 The OSHA poster outlines management and employee responsibilities and rights under OSHA.

28 U.S. Department of Labor – Office of Workers' Compensation, Division of Federal Employees Compensation.

29 EL-801 Section 8-18 (d).

30 *Threat Assessment Team Guide*, Publication 108, dated May 2015, requires the *Zero Tolerance Policy and Reporting Procedures poster* to be issued to employees by quarter 2 of each fiscal year and posted in a conspicuous place. The poster identifies employee rights and management responsibilities relating to a work environment that is free of harassment and other inappropriate conduct such as discrimination.

31 POM, Issue 9, Section 124, dated July 2002, provides rules and regulations for conduct on all real property under the charge and control of the USPS. Section 124.1 requires Poster 7 to be displayed in a conspicuous place on all such property.

32 EL-801 Section 8-18 (c).

33 OIG's *How to Report Fraud, Waste, and Abuse* poster.

### **Handicap Accessibility**

The USPS must improve handicap accessibility of its retail facilities. Specifically, we observed the following:

- Two automatic door opener controls for handicap access were not functioning due to expired batteries.
- One handicap ramp was inaccessible due to the placement of plowed snow from the parking lot (see Figure 13).

**Figure 13. Obstruction of Handicap Accessible Ramp**



Source: OIG photograph taken February 22, 2017, Running Springs-Green Valley Lake Br, Green Valley Lake, CA.

The Architectural Barriers Act requires the design, construction, and alteration of facilities that allow physically handicapped persons ready access to and use of them.<sup>34</sup> These facilities are in compliance with the standards; however, management did not provide oversight to ensure the automatic door openers were operational and the handicap accessible ramp was cleared of snow. USPS should continue its efforts to promote accessibility to employees and customers with disabilities.

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<sup>34</sup> Architectural Barriers Act (ABA) of 1968. 42 U.S.C. §4151 et seq. Postal facilities constructed prior to the ABA may obtain waivers from meeting the handicap accessibility requirements.

# Recommendations

***We recommend management develop and implement an action plan to address all building safety and security, maintenance, workplace environment, workplace violence policy, and handicap accessibility issues identified during our audit.***

We recommend the acting Vice President, Pacific Area, in coordination with the Vice President, Facilities:

1. Develop and implement an action plan to address all building safety and security, maintenance, workplace environment and violence policy, and handicap accessibility issues identified during our review. This plan should include a timeline for completing items.

We recommend the acting Vice President, Pacific Area:

2. Instruct district managers to ensure local management at retail facilities comply with policies and procedures pertaining to complaint resolution, so customer complaints are recorded, tracked, and resolved timely.
3. Reiterate policy instructing retail facilities personnel to report all applicable safety, security, and maintenance issues to the electronic Facilities Management System; and direct district management to monitor the status of all reported issues through completion.
4. Direct district maintenance managers to ensure retail facilities with Postal Service-provided custodial services complete and submit Postal Service Form 4851, Housekeeping Inspections, quarterly as required.
5. Establish an oversight mechanism to ensure that local management at retail facilities adhere to Postal Service policies and procedures relating to:
  - Maintenance and housekeeping standards to improve the customer retail experience.
  - Maintenance and inspection of fire extinguishers.
  - Security standards for facilities and vehicles to protect Postal Service employees, property, and the mail.
  - Consistent display of required posters so they are available to employees.
  - Maintenance of devices and ramps that are installed for handicap accessibility.
6. Provide safety inspection training to district safety personnel and local management.

## Management's Comments

Management agreed with our findings and recommendations.

Regarding recommendation 1, management stated that the area, in conjunction with Facilities, has developed an action plan to address concerns identified during our review, including a checklist to track and ensure deficiencies are corrected. Management also stated that the Safety Toolkit monitors and tracks inspections entered into the system to ensure each facility is inspected. The target implementation date is December 31, 2017.

Regarding recommendation 2, management stated that they issued a memo to district managers communicating the expectation to maintaining a Complaint Handling Log. In addition, management conducted training at all offices along with 12 random follow-up audits per month. Management further stated that they published an article to reinforce the need to provide customers with a positive experience via the Complaint Handling Log, reissued a letter regarding proper complaint handling, and updated Customer Experience Local Operations Center operating instructions to include adherence to using the log to document customer complaints and inquiries. Management also provided supporting documentation for the corrective actions they have taken to address this issue.

Regarding recommendation 3, management stated that they have previously issued directives to all Pacific Area retail facilities personnel on proper procedures for reporting issues into eFMS and that area maintenance will reissue the procedures to district managers for redistribution to all postmasters. Additionally, management stated that all postmasters and field maintenance managers will review the *Postmaster's Guide to Housekeeping and Maintenance* webinar, which covers facility maintenance and housekeeping guidelines. Management also provided supporting documentation for the corrective actions they have taken to address this issue.

Regarding recommendation 4, management stated that the area vice president issued a memorandum directing district managers, the managers of Operations Program Support, and field maintenance managers to reiterate to postmasters the need to complete housekeeping inspections, including the requirement to forward PS Forms 4851 to the district maintenance manager for review. Management also provided supporting documentation for the corrective actions they have taken to address this issue.

Regarding recommendation 5, management stated that the area will communicate to district managers the need for installation heads to conduct monthly inspections of fire extinguishers and that the oversight mechanism for compliance will be certification of monthly fire extinguisher checks that will be completed during required periodic fire inspections. The area will also provide district managers with samples of required postings for distribution to all Pacific Area facilities. Management further stated that current unit closeout procedures include a certification process to ensure vehicles are locked and secured. Management also provided supporting documentation for the corrective actions they have taken to address issues pertaining to maintenance and housekeeping standards, fire extinguishers, security standards for vehicles, posters, and handicap accessibility ramps; however, management did not provide supporting documentation related to security standards for facilities. The target implementation date for this remaining action is September 15, 2017.

Regarding recommendation 6, management stated the area safety manager will work with the districts to ensure each facility installation head or facility safety coordinator is assigned to conduct inspections according to guidelines. In addition, the installation head and/or facility safety coordinator along with district safety personnel will complete the Workplace Inspections class. The target implementation date is September 30, 2017.

See [Appendix D](#) for management's comments in their entirety.

## Evaluation of Management's Comments

The OIG considers management's comments responsive to the recommendations and corrective actions should resolve the issues identified in the report.

Regarding recommendation 1, management stated that they have developed an action plan to address the concerns identified during our review; however, management did not provide the action plan to the OIG. As such, management will need to provide the action plan for closure of this recommendation.

Regarding recommendations 2, 3, and 4, management provided supporting documentation for the corrective actions they have taken to address the issues identified in the report. We reviewed this documentation and determined the corrective actions are sufficient to close these recommendations.

All recommendations require OIG concurrence before closure. Consequently, the OIG requests written confirmation when corrective actions are completed. Recommendations should not be closed in the Postal Service's follow-up tracking system until the OIG provides written confirmation that the recommendations can be closed. We consider recommendations 2, 3, and 4 closed with the issuance of this report.

# Appendices

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## **Appendix A: Additional Information**

### **Background**

The USPS has more than 30,000 retail facilities nationwide. The majority of these properties — about 22,500 — are leased and some have been occupied for more than 100 years. The Pacific Area has 1,609 retail facilities – 1,076 of them are leased and 491 are owned. The USPS is responsible for maintaining its owned facilities, while leased property owners are responsible for some building maintenance, as specified in individual lease agreements. The post office lobby is the principal business office of the USPS and is the only close-up view of postal operations for many customers; therefore, its appearance, convenience, and efficiency directly affect the USPS' public image.

The USPS is required to maintain a safe environment for both employees and customers. In addition, like any other employer, the USPS must follow federal OSHA safety laws. The USPS also follows general policies and procedures regarding safety and security and the housekeeping and appearance of its lobbies and facilities.

In September 2015, the OIG issued a management alert that identified poor working conditions at a post office in New Mexico. We found problems with heating and air conditioning, lighting, and electrical and plumbing systems, as well as deteriorating building conditions. Management agreed with our recommendations to resolve the identified problems, conduct periodic observations and develop an action plan, and provide safety training to employees. Because of the unacceptable conditions found at that post office, the OIG is conducting a series of facility condition reviews at retail facilities nationwide.

This is the sixth in a series of audits assessing retail facility conditions nationwide.

### **Objective, Scope, and Methodology**

Our objective was to determine if USPS management adhered to building maintenance, safety and security standards, and employee working condition requirements at retail facilities in the Pacific Area.

To accomplish our objective we:

- Conducted unannounced site visits at 56 facilities in the Pacific Area from March 2016 through April 2017 (see [Table 3](#)).
  - Statistically sampled 18 facilities in seven districts.<sup>35</sup>
  - Judgmentally reviewed 38 facilities in seven districts.
- Used an OIG-developed checklist that focused on facility appearance, safety and security, customer complaints, workplace environment and violence, and handicap accessibility.
- Interviewed facility managers and USPS personnel about inspections, policies and procedures, and other matters relating to facility management.
- Reviewed facility repair and maintenance requests entered into the electronic Facility Management System (eFMS);<sup>36</sup> facility inspections; and safety inspections.

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<sup>35</sup> The Pacific Area includes eight districts; however, management decided to eliminate the Honolulu site visit and not replace with any samples from the Hawaii District.

<sup>36</sup> The official record for real property inventory and the management system for administering all property related projects including acquisition, design, construction, disposal, repairs, health and safety mitigation, and property inspections. In addition, the program manages all aspects of the Postal Service-leasing program.

- Analyzed fineable OSHA violations to project the potential impact to the USPS based on prior fines.

**Table 3. Facilities Visited in the Pacific Area**

Number	District	Leased/ Owned	Unit Name	City, State	Zip Code
1	Bay-Valley	Owned	Suisun City Main Office	Suisun City, CA	94585-3402
2	Bay-Valley	Leased	Alameda - Webster Street Station	Alameda, CA	94501-3824
3	Bay-Valley	Leased	San Jose - Colonnade Station*	San Jose, CA	95112-9998
4	Bay-Valley	Leased	San Jose - Eastridge Retail Store*	San Jose, CA	95122-1412
5	Bay-Valley	Owned	San Jose – St. James Park Station*	San Jose, CA	95113-9998
6	Bay-Valley	Owned	Watsonville Main Office*	Watsonville, CA	95076-9998
7	Bay-Valley	Owned	Capitola Main Office*	Capitola, CA	95010-9998
8	Bay-Valley	Leased	Los Gatos Main Office*	Los Gatos, CA	95030-9998
9	Bay-Valley	Leased	Martinez Main Office*	Martinez, CA	94553-9998
10	Bay-Valley	Owned	Danville Main Post Office*	Danville, CA	94526-9998
11	Bay-Valley	Leased	San Leandro Main Office*	San Leandro, CA	94577-9998
12	Bay-Valley	Owned	Antioch Main Office*	Antioch, CA	94509-9998
13	Los Angeles	Owned	Santa Monica Main Office	Santa Monica, CA	90401-9997
14	Los Angeles	Leased	Surfside Main Office	Surfside, CA	90743-9800
15	Los Angeles	Owned	EI Segundo Branch*	EI Segundo, CA	90245-9998
16	Los Angeles	Owned	Harbor City Main Office*	Harbor City, CA	90710-9998
17	Los Angeles	Owned	South Gate Main Office*	Los Angeles, CA	90280-9998
18	Los Angeles	Leased	Lomita Main Office*	Lomita, CA	90717-9998
19	Los Angeles	Leased	Los Angeles - Commerce Station*	Los Angeles, CA	90040-9998
20	Los Angeles	Owned	Los Angeles - Preuss Station*	Los Angeles, CA	90035-9998
21	Los Angeles	Leased	Torrance Main Office*	Torrance, CA	90503-9998
22	Sacramento	Owned	Olivehurst Main Office	Olivehurst, CA	95961-9998
23	Sacramento	Leased	Oak Run Main Office	Oak Run, CA	96069-9998
24	Sacramento	Leased	Canyondam Main Office	Canyondam, CA	95923-9998
25	Sacramento	Leased	Rio Oso Main Office	Rio Oso, CA	95674-9998
26	Sacramento	Owned	Industrial - West Sacramento*	West Sacramento, CA	95799-0100
27	San Diego	Leased	Mount Laguna Main Office	Mount Laguna, CA	91948-9800
28	San Diego	Leased	Running Springs - Green Valley Lake Branch	Green Valley Lake, CA	92341-0400

Number	District	Leased/ Owned	Unit Name	City, State	Zip Code
29	San Diego	Leased	Bloomington Main Office	Bloomington, CA	92316-1891
30	San Diego	Owned	Carlsbad - La Costa Station*	Carlsbad, CA	92011-9998
31	San Diego	Owned	ML Sellers P&DC Post Office*	San Diego, CA	92199-9792
32	San Diego	Owned	San Bernardino Main Office*	San Bernardino, CA	92401-9998
33	San Diego	Owned	San Diego - Encanto Station*	San Diego, CA	92114-9998
34	San Diego	Owned	San Diego - Navajo Station*	San Diego, CA	92119-9998
35	San Diego	Leased	San Diego - San Ysidro Station*	San Ysidro, CA	92173-9998
36	San Diego	Owned	San Diego - Mira Mesa Station*	San Diego, CA	92126-9998
37	San Diego	Leased	San Diego - Southeastern Station*	San Diego, CA	92113-9998
38	San Diego	Owned	Spring Valley Main Office*	Spring Valley, CA	91977-9998
39	San Francisco	Leased	Phillipsville Main Office	Phillipsville, CA	95559-9998
40	San Francisco	Leased	Cobb Main Office	Cobb, CA	95426-9900
41	San Francisco	Leased	Covelo Main Office	Covelo, CA	95428-9903
42	San Francisco	Leased	Daly City Main Office*	Daly City, CA	94015-9998
43	San Francisco	Owned	Menlo Park Main Office*	Menlo Park, CA	94025-9998
44	San Francisco	Owned	Mill Valley Main Office*	Mill Valley, CA	94941-1515
45	San Francisco	Owned	San Bruno Main Office*	San Bruno, CA	94066-1599
46	San Francisco	Leased	San Francisco Station 57 - Macys*	San Francisco, CA	94102-9993
47	San Francisco	Leased	San Francisco - Sutter Station*	San Francisco, CA	94104-9991
48	Santa Ana	Leased	Westminster - Goldenwest Station	Westminster, CA	92684-9992
49	Santa Ana	Leased	Garden Grove - West Garden Grove Station C*	Garden Grove, CA	92846-9998
50	Santa Ana	Owned	Trabuco Canyon - Rancho S Margarita Branch*	Rancho Santa Margarita, CA	92688-9998
51	Sierra Coastal	Leased	Summerland Main Office	Summerland, CA	93067-9997
52	Sierra Coastal	Leased	Darwin Main Office	Darwin, CA	93522-9997
53	Sierra Coastal	Leased	Calif Hot Springs Main Office	Calif Hot Springs, CA	93207-9998
54	Sierra Coastal	Owned	Tarzana Main Office*	Tarzana, CA	91356-9998
55	Sierra Coastal	Owned	Glendale - Verdugo-Viejo Station*	Glendale, CA	91206-9998
56	Sierra Coastal	Owned	Castaic - Santa Clarita P&DC*	Santa Clarita, CA	91355-9998

Source: OIG statistically and judgmentally selected sample from the Postal Service's eFMS.

\*Judgmentally selected facilities.

We conducted this performance audit from February through September 2017, in accordance with generally accepted government auditing standards and included such tests of internal controls as we considered necessary under the circumstances. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objective. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objective. We discussed our observations and conclusions with management on August 1, 2017, and included their comments where appropriate.

We obtained facility information from the eFMS and compared a statistical sample of retail facilities to outside databases and mapping applications to verify the facilities' existence. We determined that the data were sufficiently reliable for the purposes of this report.

## Prior Audit Coverage

Report Title	Objective	Report Number	Final Report Date	Monetary Impact (in millions)
<i>Facility Condition Reviews – Eastern Area</i>	Determine if Postal Service management adhered to building maintenance, safety and security standards, and employee working condition requirements at retail facilities.	SM-AR-17-004	5/10/2017	None
<i>Facility Condition Reviews – Southern Area</i>	Determine if Postal Service management adhered to building maintenance, safety and security standards, and employee working condition requirements at retail facilities.	SM-AR-17-003	4/28/2017	None
<i>Facility Condition Reviews – Northeast Area</i>	Determine if Postal Service management adhered to building maintenance, safety and security standards, and employee working condition requirements at retail facilities.	SM-AR-17-001	11/9/2016	\$10.6
<i>Facility Condition Reviews – Great Lakes Area</i>	Determine if Postal Service management adhered to building maintenance, safety and security standards, and employee working condition requirements at retail facilities.	SM-AR-16-010	9/2/2016	None
<i>Facility Condition Reviews – Capital Metro Area</i>	Determine if Postal Service management adhered to building maintenance, safety and security standards, and employee working condition requirements at retail facilities.	SM-AR-16-009	7/18/2016	None
<i>Working Conditions at the Jal Post Office</i>	Assess working conditions at the Jal Post Office in New Mexico.	HR-MA-15-004	9/2/2015	None
<i>Deputy Postmaster General Use of Data</i>	Determine whether the Deputy Postmaster General effectively uses internal and external business data to manage business activities and mitigate risk.	SM-AR-15-002	3/19/2015	None

## Appendix B: Observation Summary

**Table 4. Summary of Statistically Sampled Facilities**

District	Bay-Valley	Los Angeles	Sacramento	San Diego	San Francisco	Santa Ana	Sierra Coastal	No Issue	Deficiency	Not Applicable or Not Observed	Deficiency %
Facility	Suisun City, CA Webster Street Station, Alameda, CA	Santa Monica, CA Surfside, CA	Olivehurst Oak Run, CA Canyondam Rio	Mount Laguna, CA Green Valley Lake, CA - Running Springs Bloomington, CA	Phillipsville Cobb, CA Covelo, CA	Westminster, CA - Goldenwest Station	Darwin, CA California, Hot Springs, CA - Cali Hot Springs Summerland, CA				
<b>Building Appearance</b>											
Is the building clean and well maintained?	✓	D	✓	✓	✓	✓	✓	D	✓	✓	D
Are paint, plaster, wall, floor, and ceiling coverings in good condition?	D	D	D	✓	D	✓	✓	D	D	D	D
Is the lobby inviting?	✓	✓	✓	✓	✓	✓	✓	D	✓	✓	✓
Is landscaping well maintained and is all excessive equipment removed from the facility?	✓	X <sup>1</sup>	✓	✓	✓	✓	✓	✓	✓	✓	✓
Is there sufficient lighting inside/outside the facility?	✓	D	✓	✓	✓	✓	✓	✓	D	✓	✓
Are docks, platforms, and parking areas properly marked?	✓	X	✓	✓	D	✓	✓	✓	✓	✓	✓
<b>Building Safety and Security</b>											
Are non-retail doors of the facility secured and are all vehicles locked and empty of mail?	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Is the building free of obvious OSHA safety hazards?	✓	D	✓	D	D	✓	D	D	D	✓	D
Are all other safety concerns in working order?	✓	D	✓	✓	D	✓	D	D	✓	✓	✓

✓ - No Deficiency, D - Deficiency, X<sup>1</sup> - Not Applicable, X<sup>2</sup> - Not Observed

District	Bay-Valley	Los Angeles	Sacramento	San Diego	San Francisco	Santa Ana	Sierra Coastal	No Issue	Deficiency	Not Applicable or Not Observed	Deficiency %
Facility	Suisun City, CA Webster Street Station, Alameda, CA	Santa Monica, CA Surfside, CA	Olivehurst Oak Run, CA Canyondam Rio	Mount Laguna, CA - Green Valley Lake, CA - Running Springs Bloomington, CA	Phillipsville Cobb, CA Covelo, CA	Westminster, CA - Goldenwest Station	Darwin, CA California, Hot Springs, CA - Cali Hot Springs Summerland, CA				
Customer Complaints											
Are one or more customer complaint control logs maintained at the facility?	D	D	D	D	✓	D	D	D	D	D	✓
Are all initial contacts and final responses with the customer made within required timeframes, after receiving the comment or complaint?	D	D	D	D	✓	D	D	D	D	D	✓
Workplace Environment											
CA-10, <i>What a Federal Employee Should Do When Injured at Work.</i> Is the CA-10 posted for review by employees?	D	D	D	D	D	✓	✓	D	D	D	✓
Are the 3165 (English) and 3167 (Spanish) OSHA Posters on display?	D	D	D	D	D	D	D	D	D	D	0
The facility Emergency Action Plan (EAP) (ELM 820) is required at facilities with more than 10 employees. Is the EAP posted for review by employees?	✓	X <sup>1</sup>	✓	X <sup>1</sup>	D	X <sup>1</sup>	X <sup>1</sup>	✓	✓	X <sup>1</sup>	8
The facility Fire Prevention Plan (FPP) (ELM 820) is required at facilities with more than 10 employees. Is the FPP posted for review by employees?	✓	X <sup>1</sup>	D	X <sup>1</sup>	D	X <sup>1</sup>	X <sup>1</sup>	✓	X <sup>1</sup>	X <sup>1</sup>	4

✓ - No Deficiency, D - Deficiency, X<sup>1</sup> - Not Applicable, X<sup>2</sup> - Not Observed

District	Bay-Valley	Los Angeles	Sacramento	San Diego	San Francisco	Santa Ana	Sierra Coastal	No Issue	Deficiency	Not Applicable or Not Observed	Deficiency %
Facility	Suisun City, CA Webster Street Station, Alameda, CA	Santa Monica, CA Surfside, CA	Olivehurst Oak Run, CA Canyondam Rio	Mount Laguna, CA - Green Valley Lake, CA - Running Springs Bloomington, CA	Phillipsville Cobb, CA Covelo, CA	Westminster, CA - Goldenwest Station	Darwin, CA California, Hot Springs, CA - Cali Hot Springs Summerland, CA				
Are emergency contact numbers placed by each phone? If all phones in the facility do not have emergency contact numbers, is there an alarm system or some other mechanism in place that would justify not having emergency contact numbers by each phone?	D D	D D	✓ ✓ ✓ D	D D D	D ✓ D	✓ D	D ✓ ✓	7	11	0	61%
Although not required, does the facility have an OIG poster displayed?	✓ ✓	✓ ✓	✓ ✓ ✓ ✓	D ✓ ✓	D ✓ D	✓	D D ✓	13	5	0	28%
Workplace Violence											
Does the facility have the <i>Zero Tolerance Policy and Reporting Procedures</i> poster displayed?	✓ D	✓ D	✓ ✓ ✓ ✓	✓ D D	✓ ✓ D	✓	D D D	10	8	0	44%
Does the facility have a <i>7 Rules and Regulations Governing Conduct on Postal Property</i> poster displayed?	✓ ✓	✓ ✓	✓ ✓ ✓ D	✓ ✓ ✓	✓ ✓ ✓	✓	✓ ✓ D	16	2	0	11%
Other											
Is the facility handicap accessible?	✓ ✓	✓ D	✓ ✓ ✓ ✓	✓ D ✓	✓ ✓ ✓	✓	✓ ✓ ✓	16	2	0	11%
Totals											
No Issue	14	5	13 10	10 16 14 13	11 7 9	9 13 7	10 13 14				
Deficiency	6	11	7 8	10 2 4 7	8 11 11	9 5 10	9 10 6 5				
Not Applicable or Not Observed	0	4	0 2	0 2 2 0	1 2 0	2 2 3	1 0 1 1				

✓ - No Deficiency, D - Deficiency, X<sup>1</sup> - Not Applicable, X<sup>2</sup> - Not Observed

## Appendix C: Assist Work Observation Summary

**Table 5. Summary of Judgmentally Selected Facilities**

District	Bay-Valley									Los Angeles				Sacramento				
Facility	Colonnade	Eastridge Retail Store	St James Park	Watsonville	Capitola	Los Gatos	Martinez	Danville	San Leandro	Antioch	El Segundo	Harbor City	South Gate	Lomita	Commerce Station	Preuss Station	Torrance	Industrial West Sacramento
<b>Building Appearance</b>																		
Is the building clean and well maintained?	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	D	✓	✓	✓	D	✓
Are paint, plaster, wall, floor, and ceiling coverings in good condition?	✓	✓	✓	D	✓	D	✓	D	✓	✓	D	D	✓	✓	✓	✓	D	D
Is the lobby inviting?	✓	✓	✓	✓	✓	D	✓	✓	✓	✓	✓	D	D	✓	✓	✓	D	D
Is landscaping well maintained and is all excessive equipment removed from the facility?	X <sup>1</sup>	X <sup>1</sup>	X <sup>1</sup>	✓	D	✓	✓	D	✓	D	D	✓	D	✓	✓	✓	✓	✓
Is there sufficient lighting inside/outside the facility?	✓	✓	✓	D	✓	D	✓	✓	X <sup>2</sup>	✓	✓	✓	✓	✓	✓	D	✓	✓
Are docks, platforms, and parking areas properly marked?	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
<b>Building Safety and Security</b>																		
Are non-retail doors of the facility secured and are all vehicles locked and empty of mail?	X <sup>2</sup>	X <sup>2</sup>	X <sup>2</sup>	✓	✓	✓	X <sup>2</sup>	X <sup>2</sup>	X <sup>2</sup>	D	✓	✓	X <sup>2</sup>	✓	✓	✓	X <sup>2</sup>	✓
Is the building free of obvious OSHA safety hazards?	D	✓	✓	✓	✓	✓	✓	✓	✓	D	✓	✓	✓	✓	✓	✓	D	D
Are there other safety concerns?	D	✓	✓	D	D	D	✓	✓	✓	✓	✓	✓	X <sup>2</sup>	D	✓	✓	✓	✓

✓ - No Deficiency, D - Deficiency, X<sup>1</sup> - Not Applicable, X<sup>2</sup> - Not Observed

District	Bay-Valley									Los Angeles					Sacramento			
Facility	Colonnade	Eastridge Retail Store	St James Park	Watsonville	Capitola	Los Gatos	Martinez	Danville	San Leandro	Antioch	El Segundo	Harbor City	South Gate	Lomita	Commerce Station	Preuss Station	Torrance	Industrial West Sacramento
<b>Customer Complaints</b>																		
Are one or more customer complaint control logs maintained at the facility?	X <sup>2</sup>	X <sup>2</sup>	X <sup>2</sup>	D	D	✓	D	D	D	D	D	D	D	✓	✓	✓	D	D
Are all initial contacts and final responses with the customer made within required timeframes, after receiving the comment or complaint?	X <sup>2</sup>	X <sup>2</sup>	X <sup>2</sup>	D	D	X <sup>1</sup>	D	D	D	D	D	D	D	✓	✓	✓	D	D
<b>Workplace Environment</b>																		
CA-10, <i>What a Federal Employee Should Do When Injured at Work.</i> Is the CA-10 posted for review by employees?	✓	D	✓	D	✓	✓	✓	✓	D	✓	✓	D	✓	✓	✓	✓	✓	✓
Are the 3165 (English) and 3167 (Spanish) OSHA Posters on display?	D	D	✓	✓	D	✓	D	D	D	D	D	D	D	D	D	D	D	D
The facility Emergency Action Plan (EAP) (ELM 820) is required at facilities with more than 10 employees. Is the EAP posted for review by employees?	X <sup>1</sup>	X <sup>1</sup>	✓	✓	✓	✓	D	✓	✓	✓	D	X <sup>1</sup>	✓	✓	✓	✓	D	D
The facility Fire Prevention Plan (FPP) (ELM 820) is required at facilities with more than 10 employees. Is the FPP posted for review by employees?	X <sup>1</sup>	X <sup>1</sup>	✓	D	✓	✓	D	✓	✓	✓	D	X <sup>1</sup>	D	✓	✓	D	D	D

✓ - No Deficiency, D - Deficiency, X<sup>1</sup> - Not Applicable, X<sup>2</sup> - Not Observed

District	Bay-Valley										Los Angeles					Sacramento		
Facility	Colonnade	Eastridge Retail Store	St James Park	Watsonville	Capitola	Los Gatos	Martinez	Danville	San Leandro	Antioch	El Segundo	Harbor City	South Gate	Lomita	Commerce Station	Preuss Station	Torrance	Industrial West Sacramento
Are emergency contact numbers placed by each phone? If all phones in the facility do not have emergency contact numbers, is there an alarm system or some other mechanism in place that would justify not having emergency contact numbers by each phone?	D	X <sup>2</sup>	X <sup>2</sup>	✓	✓	X <sup>2</sup>	✓	✓	✓	✓	✓	D	✓	✓	✓	✓	D	✓
Although not required, does the facility have an OIG poster displayed?	D	D	D	✓	D	✓	✓	✓	✓	✓	D	✓	D	✓	✓	D	D	D
Workplace Violence																		
Does the facility have the <i>Zero Tolerance Policy and Reporting Procedures</i> poster displayed?	D	D	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	D
Does the facility have a <i>7 Rules and Regulations Governing Conduct on Postal Property</i> poster displayed?	✓	D	✓	D	✓	✓	D	✓	✓	D	✓	✓	✓	✓	✓	✓	D	D
Other																		
Is the facility handicap accessible?	D	✓	X	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Totals																		
No Issue	7	8	13	12	14	14	13	14	13	14	12	10	10	19	19	15	7	10
Deficiency	7	5	1	8	6	4	6	5	5	6	8	7	9	1	1	5	12	10
Not Applicable or Not Observed	6	7	6	0	0	2	1	1	2	0	0	3	1	0	0	0	1	0

✓ - No Deficiency D - Deficiency X<sup>1</sup> - Not Applicable X<sup>2</sup> - Not Observed

District	San Diego							San Francisco					Santa Ana	Sierra Coastal											
Facility	Carlsbad - La Costa	ML Sellers	San Bernardino	Encanto	Navajo Station	San	Mira Mesa Station	Southeastern	Spring	Daly City	Menlo Park	Mill Valley	San Bruno	Station 57 - Macys	Sutter Station	West Garden Grove	Rancho S Margarita	Tarzana	Verdugo-Viejo	Santa Clarita P&DC	No Issue	Deficiency	NA or NObs	Deficiency %	
<b>Building Appearance</b>																									
Is the building clean and well maintained?	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	D	D	✓	✓	D	✓	✓	✓	✓	✓	33	5	0	13%	
Are paint, plaster, wall, floor, and ceiling coverings in good condition?	D	✓	✓	D	D	D	✓	✓	✓	✓	✓	D	✓	✓	D	D	✓	✓	✓	✓	24	14	0	37%	
Is the lobby inviting?	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	X	✓	✓	✓	32	5	1	13%	
Is landscaping well maintained and is all excessive equipment removed from the facility?	✓	✓	✓	D	✓	✓	D	D	X	✓	✓	✓	✓	X	X	✓	D	✓	✓	✓	23	9	6	24%	
Is there sufficient lighting inside/outside the facility?	✓	✓	✓	D	✓	✓	✓	✓	D	✓	✓	✓	✓	D	✓	D	✓	✓	✓	✓	30	7	1	18%	
Are docks, platforms, and parking areas properly marked?	✓	✓	✓	D	D	D	✓	D	✓	✓	✓	✓	✓	X	X	✓	✓	✓	✓	✓	32	4	2	11%	
<b>Building Safety and Security</b>																									
Are non-retail doors of the facility secured and are all vehicles locked and empty of mail?	X	✓	✓	X	✓	X	✓	✓	✓	✓	X	D	X	✓	✓	X	X	✓	✓	D	20	3	15	8%	
Is the building free of obvious OSHA safety hazards?	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	34	4	0	11%	
Are there other safety concerns?	✓	✓	✓	D	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	D	✓	✓	✓	30	7	1	18%	
<b>Customer Complaints</b>																									
Are one or more customer complaint control logs maintained at the facility?	✓	✓	✓	X	✓	✓	D	D	X	✓	D	D	✓	X	D	D	X	✓	✓	D	13	18	7	47%	
Are all initial contacts and final responses with the customer made within required timeframes, after receiving the comment or complaint?	X	✓	✓	X	✓	✓	D	D	X	✓	D	D	✓	X	D	D	X	✓	✓	D	11	18	9	47%	

✓ - No Deficiency, D - Deficiency, X<sup>1</sup> - Not Applicable, X<sup>2</sup> - Not Observed

District	San Diego							San Francisco					Santa Ana	Sierra Coastal											
Facility	Carlsbad - La Costa	ML Sellers	San Bernardino	Encanto	Navajo Station	San	Mira Mesa Station	Southeastern	Spring	Daly City	Menlo Park	Mill Valley	San Bruno	Station 57 - Macys	Sutter Station	West Garden Grove	Rancho S Margarita	Tarzana	Verdugo-Viejo	Santa Clarita P&DC	No Issue	Deficiency	NA or NObs	Deficiency %	
<b>Workplace Environment</b>																									
CA-10, <i>What a Federal Employee Should Do When Injured at Work.</i> Is the CA-10 posted for review by employees?	✓	✓	D	✓	✓	✓	✓	✓	D	✓	✓	✓	D	D	✓	D	D	✓	✓	✓	28	10	0	26%	
Are the 3165 (English) and 3167 (Spanish) OSHA Posters on display?	✓	✓	D	D	✓	✓	✓	✓	✓	D	D	D	D	✓	✓	D	D	D	D	✓	13	25	0	66%	
The facility Emergency Action Plan (EAP) (ELM 820) is required at facilities with more than 10 employees. Is the EAP posted for review by employees?	✓	✓	✓	✓	✓	✓	✓	✓	D	✓	✓	✓	✓	X	X	✓	✓	✓	✓	✓	28	5	5	13%	
The facility Fire Prevention Plan (FPP) (ELM 820) is required at facilities with more than 10 employees. Is the FPP posted for review by employees?	✓	✓	✓	✓	✓	✓	✓	✓	D	✓	D	D	✓	D	X	X	D	✓	✓	✓	21	12	5	32%	
Are emergency contact numbers placed by each phone? If all phones in the facility do not have emergency contact numbers, is there an alarm system or some other mechanism in place that would justify not having emergency contact numbers by each phone?	✓	✓	✓	✓	✓	✓	✓	✓	D	D	D	✓	✓	✓	✓	✓	✓	✓	✓	✓	29	6	3	16%	
Although not required, does the facility have an OIG poster displayed?	D	✓	✓	✓	✓	D	✓	✓	✓	✓	✓	D	✓	✓	✓	✓	D	D	✓	✓	D	23	15	0	39%
<b>Workplace Violence</b>																									
Does the facility have the Zero Tolerance Policy and Reporting Procedures poster displayed?	✓	✓	D	✓	✓	✓	✓	✓	D	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	33	5	0	13%

✓ - No Deficiency, D - Deficiency, X<sup>1</sup> - Not Applicable, X<sup>2</sup> - Not Observed

District	San Diego								San Francisco						Santa Ana	Sierra Coastal								
Facility	Carlsbad - La Costa	ML Sellers	San Bernardino	Encanto	Navajo Station	San	Mira Mesa Station	Southeastern	Spring	Daly City	Menlo Park	Mill Valley	San Bruno	Station 57 - Macys	Sutter Station	West Garden Grove	Rancho S Margarita	Tarzana	Verdugo-Viejo	Santa Clarita P&DC	No Issue	Deficiency	NA or NObs	Deficiency %
Does the facility have a <i>7 Rules and Regulations Governing Conduct on Postal Property</i> poster displayed?	✓	✓	D	✓	✓	✓	D	D	D	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	28	10	0	26%	
Other																								
Is the facility handicap accessible?	✓	✓	✓	✓	✓	✓	X	X	X	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	33	1	4	3%	
Totals																								
No Issue	16	20	16	11	17	17	14	10	12	18	13	14	16	12	12	10	12	19	19	16				
Deficiency	2	0	4	6	3	2	5	9	4	2	6	6	3	2	4	9	4	1	1	4				
Not Applicable or Not Observed	2	0	0	3	0	1	1	1	4	0	1	0	1	6	4	1	4	0	0	0				

✓ - No Deficiency, D - Deficiency, X<sup>1</sup> - Not Applicable, X<sup>2</sup> - Not Observed

## Appendix D: Management's Comments



August 18, 2017

LORI LAU DILLARD  
DIRECTOR, AUDIT OPERATIONS

SUBJECT: Facility Condition Reviews – Pacific Area (Report Number [SM-AR-17-DRAFT])

The Pacific Area has reviewed the draft Facility condition Reviews – Pacific Area Report and management agrees with the audit's findings and recommendations as they pertain to the importance of maintaining safe and clean working environments.

### Findings

*Finding 1:* Potential tripping hazard on uneven ramp surface at the Olivehurst Main Office

Upon identification of the tripping hazard at the Olivehurst Main office due to an uneven ramp surface local management initiated repairs through the Facilities Single Source Provider Response Line. Since receipt of the repair request, Facilities has completed the necessary repairs to level the ramp and ensure an even surface, thus removing the tripping hazard.

*Finding 2:* Two (4 percent) had potential mold or asbestos exposure, including a facility with an entire wall containing an unknown substance that appeared to be mold

Facilities identified as having potential mold were inspected by a Facilities Environmental Specialist and no mold was found to be present. Employees at these offices were also unaware of any mold concerns being present. In fact the unknown substance identified as potential mold at the Alameda CA Webster Street Station was found to be efflorescence and was subsequently cleaned up immediately.

*Finding 3:* Damaged glass panel above customer entrance at the Suisun City Main Office

With the identification of the damaged glass panel above the customer entrance at the Suisun City Main Office, local management initiated repairs through the Facilities Single Source Provider Response Line. Upon receipt of the repair request, Facilities took immediate action to address the concern and has completed the repairs.

### Recommendations

#### Recommendation 1:

Develop and implement an action plan to address all building safety and security, maintenance, workplace environment and violence policy, and handicap accessibility issues identified during our review. This plan should include a timeline for completing items.

#### Management Response/Action Plan:

Management agrees with this recommendation. The Pacific Area in conjunction with Facilities has developed an action plan to address concerns identified belonging to responsible parties identified. A

checklist specific to the individual issues identified in the OIG site visits has been created to facilitate tracking and ensuring all deficiencies are corrected.

HQ Safety, Area, and District offices have a plan in place and it is implemented and tracked each year. The STK (Safety Toolkit) monitors all inspections entered into the system. It tracks to ensure each facility is inspected by the appropriate assigned personnel. District Safety Conducts inspections in facilities with >50 work years. Trained FSC (Facility Safety Coordinator) conduct their own inspection and enter into the STK.

**Target Implementation Date:**

December 31, 2017

**Responsible Official:**

Facilities Customer Relations Manager  
Area Safety Manager

**Recommendation 2:**

To instruct district managers to ensure local management at retail facilities comply with policies and procedures pertaining to complaint resolution, so customer complaints are recorded, tracked, and resolved timely.

**Management Response/Action Plan:**

Management agrees with the recommendation and has issued a memo to all District Managers to include the COO Complaint Handling Letter to District Managers for communicating the expectation to maintain a Complaint Handling Log. In addition, ECC Replication Training was conducted in all offices with a minimum of 12 random follow up audits per month. Audit results are documented and shared at District Marketing Manager and Executive Leadership Meetings. Article was published in the Pacific Area Leader to reinforce the need to provide our customers with a positive experience with documentation via the Complaint Handling Log. Reissued COO letter regarding proper complaint handling. Smart Customer Moment issued in Pacific Area Leader dated Feb. 2017. Updated Customer Experience Local Operations Center (CELOC) Operating Instructions to include adherence to utilizing the Customer Complaint Log to document customer complaints and inquiries.

**Target Implementation Date:**

Complete with documents attached (Attachment #1)

**Responsible Official:**

Pacific Area Marketing Manager

**Recommendation 3:**

Reiterate policy instructing retail facilities personnel to enter all applicable safety, security, and maintenance issues into the electronic Facilities Management System; and direct district management to monitor the status of all reported issues through completion.

**Management Response/Action Plan:**

Management agrees with this recommendation. Area and District Maintenance and Operations Programs Support have previously issued directives to all Pacific Area retail facilities personnel on proper reporting procedures for reporting all applicable safety, security, and maintenance issues into

eFMS. In addition to the Postmaster tracking of work completion, District Maintenance monitors the status of problems they accept and schedules work completion. Area Maintenance will reissue the proper reporting procedures to all District Managers for their redistribution to all SOMs and Postmasters on July 19, 2017. In addition, all Postmasters and Managers of Field Maintenance will review the Postmaster's Guide to Housekeeping and Maintenance webinar on July 20, 2017. Topics covered will be key sections of the MS-110, Associate Office Postmaster Facility Maintenance Guidelines, and the MS-47, Housekeeping Postal Facilities.

**Target Implementation Date:**

Complete with documentation attached (Attachment #2)

**Responsible Official:**

Area Manager Maintenance Operations

**Recommendation 4:**

Direct district maintenance managers to ensure retail facilities with Postal Service-provided custodial services complete and submit Postal Service Form 4851, Housekeeping Inspections, quarterly as required.

**Management Response/Action Plan:**

Management agrees with this recommendation. The Area Vice President's memo directs District Managers, Managers Operations Programs Support, and Managers Field Maintenance to continue to communicate to all Postmasters of their need to complete their PS Form 4851, Housekeeping Inspection, per the MS-47 guidelines. Their requirement will be to forward those PS Form 4851s to the District Maintenance Manager for review at the LLT, and for filing.

**Target Implementation Date:**

Complete with documentation attached (attachment #3)

**Responsible Official:**

Area Manager Maintenance Operations

**Recommendation 5:**

Establish an oversight mechanism to ensure that local management at retail facilities adhere to Postal Service policies and procedures relation to:

- Maintenance and housekeeping standards to improve the customer retail experience.
- Maintenance and inspection of fire extinguishers
- Security standards for facilities and vehicles to protect Postal Service employees, property, and the mail
- Consistent display of require posters so they are available to employees.
- Maintenance of devices and ramps that are installed for handicap accessibility.

**Management Response/Action Plan:**

Management agrees with this recommendation:

- Pacific Area Safety will communicate to District Managers of the need for installation heads to conduct monthly inspections of portable fire extinguishers and annotate on Form 4705 according to MS-56, Section 480. The oversight mechanism to ensure compliance will be the

certification of monthly fire extinguisher checks that will be completed during required periodic fire inspections as outlined in ELM 824.

- Area HR will provide District Managers (DMs) samples of required postings with instructions for distribution to all Pacific Area facilities. DMs will instruct Installation Heads to certify posting of the documents NLT 8/15/17.
- Current Unit closeout procedures include a PM certification process to ensure that "VEHICLES ARE FREE OF MAIL, TRASH, & ARE LOCKED & SECURE". The (daily) oversight mechanism is the unit submitting a "POST" indicating that all areas of the closeout are compliant. If a unit does not submit, Districts will see the office did not "POST", and should contact the unit to determine the cause.

**Target implementation Date:**

Complete with documents attached (Attachment #4)

**Responsible Official:**

Area Manager Maintenance Operations  
Area Human Resource Department

**Recommendation 6:**

Provide safety inspection training to district safety personnel and local management.

**Management Response/Action Plan:**

The Area Safety Manager will work with District Manager HRs to ensure each facility Installation Head and/or Facility Safety Coordinator (FSC) is assigned to conduct inspections per ELM 824 guidelines. The Installation Head and/or FSC along with district safety personnel will complete the SAF: SS: Workplace Inspections class in the Learning Management System (LMS) NLT 9/30/17.

**Target Implementation Date:**

9/30/2017

**Responsible Official:**

Human Resource Department – Pacific Area Human Resource



Larry Munoz  
Vice President Area Operations (Acting)  
Pacific Area



Tom A. Samra  
Vice President Facilities

cc: Manager, Corporate Audit Response Management



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