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BEFORE THE
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POSTAL RATE COMMISSION
OFFICE OF THE SECRETARY

POSTAL RATE AND FEE CHANGES, 1997

Docket No. R97-1

DOUGLAS F. CARLSON
INTERROGATORIES TO THE
UNITED STATES POSTAL SERVICE
(DFC/USPS-24-28)

November 28, 1997

Pursuant to sections 25 and 26 of the *Rules of Practice* and section 2(E) of the *Special Rules of Practice*, I, Douglas F. Carlson, hereby submit interrogatories to the United States Postal Service. Responses to these interrogatories will assist me in preparing my direct case. These interrogatories are not subject to the September 17, 1997, deadline for discovery on the Postal Service's direct case because the procedures for processing return receipts are outside the scope of all witnesses' testimony.

The instructions contained in my interrogatories to witness Fronk (DFC/USPS-T32-1-7) are incorporated herein by reference.

Respectfully submitted,



DOUGLAS F. CARLSON

Dated: November 28, 1997

DFC/USPS-24. This interrogatory concerns delivery of mail that is sent via certified mail, return receipt requested, to Franchise Tax Board, Sacramento, CA, using ZIP Code 94240 or 94267. For each part, if you do not confirm the statement in its entirety, please specify which parts of the statement you do confirm. Also, for every part that you do not confirm, please provide a full explanation of every aspect of the statement that you do not confirm.

a. Please confirm that the certified letters are picked up from the Sacramento P&DC by an authorized agent of the Franchise Tax Board with their Form 3811, Domestic Return Receipt, still attached.

b. Please confirm that the Franchise Tax Board, not the Postal Service, removes the Form 3811 from each certified letter.

c. Please confirm that the Postal Service in Sacramento considers it impractical or impossible for the Franchise Tax Board agents to sign each Form 3811 at the time of delivery.

d. For each part of this interrogatory, please provide the title of each person who provided the information on which the interrogatory response is based.

DFC/USPS-25. This interrogatory concerns delivery of mail that is sent via certified mail, return receipt requested, to Internal Revenue Service Center, Austin, TX 73301. For each part, if you do not confirm the statement in its entirety, please specify which parts of the statement you do confirm. Also, for every part that you do not confirm, please provide a full explanation of every aspect of the statement that you do not confirm.

a. Please confirm that the Forms 3811, Domestic Return Receipt, are detached from the certified letters before the letters are delivered to the IRS.

b. Please confirm that an IRS employee, not a Postal Service employee, stamps the Forms 3811 with the date of delivery.

c. Please confirm that a Postal Service employee does not constantly visually supervise the process by which the IRS stamps the Forms 3811 with the date of delivery.

d. Please confirm that the volume of certified mail affects the amount of time that is required for the IRS to return the Forms 3811 to the sender.

e. Please confirm that the Forms 3811 normally are mailed back to the sender within a range of one day to several weeks.

f. For each part of this interrogatory, please provide the title of each person who provided the information on which the interrogatory response is based.

DFC/USPS-26. This interrogatory concerns delivery of mail that is sent via certified mail, return receipt requested, to Internal Revenue Service Center, Memphis, TN 37501. For each part, if you do not confirm the statement in its entirety, please specify which parts of the statement you do confirm. Also, for every part that you do not confirm, please provide a full explanation of every aspect of the statement that you do not confirm.

a. Please confirm that the Postal Service delivers the mail to the IRS' Receiving and Control Department.

b. Please confirm that the IRS, in a particular processing stage, separates the certified mail from other First-Class Mail and gives those certified pieces to a Postal Service employee.

c. Please confirm that as many as 10 days may pass before a certified letter is given back to a Postal Service employee in the processing stage described in part (b). If you do not confirm, please specify the maximum number of days that may pass.

d. Please confirm that certified mail sometimes is delivered directly to the IRS before the Postal Service has recorded the date of receipt of each article in its delivery records.

e. Please confirm that certified mail sometimes is delivered directly to the IRS before the Postal Service has indicated the date of receipt on the Form 3811.

f. Please confirm that the postmaster in Memphis would characterize the Postal Service as having "limited control" over certified mail once it has been delivered to the IRS but before the date of receipt has been indicated on the Forms 3811.

g. For each part of this interrogatory, please provide the title of each person who provided the information on which the interrogatory response is based.

DFC/USPS-27. This interrogatory concerns delivery of mail that is sent via certified mail, return receipt requested, to Internal Revenue Service Center, Philadelphia, PA 19255. For each part, if you do not confirm the statement in its entirety, please specify which parts of the statement you do confirm. Also, for every part that you do not confirm, please provide a full explanation of every aspect of the statement that you do not confirm.

a. Please confirm that an IRS employee, not a Postal Service employee, indicates the date of receipt on each Form 3811, Domestic Return Receipt.

b. Please confirm that an IRS employee, not a Postal Service employee, removes each Form 3811 from each certified letter.

c. Please confirm that the Philadelphia post office is unable or unwilling to assist a customer who did not receive a return receipt for mail that he sent to the IRS.

d. Please confirm that the Philadelphia post office's Consumer Affairs unit recommends that customers who do not receive their return receipt write to the IRS directly.

e. For each part of this interrogatory, please provide the title of each person who provided the information on which the interrogatory response is based.

DFC/USPS-28. Suppose that a postal employee is aware or has reason to be aware that the procedures that he is following in a particular operation are inconsistent with postal regulations, directives from postal headquarters, or other recommendations or directions from his superiors. Suppose, further, that this postal employee's superior, or an employee at postal headquarters, contacts this postal employee to ask for details on how this employee is performing this particular operation.

a. Has the Postal Service ever encountered a situation in which a postal employee such as the one described in this hypothetical situation will provide inaccurate, false, or otherwise misleading information to the postal employee who is making the inquiry because the employee is reluctant to admit or reveal that his procedures violate regulations or directives?

b. If the answer to part (a) is not an unqualified yes, has the Postal Service ever independently investigated or observed an employee's actions to ascertain whether he has provided accurate and truthful information in response to his superiors' inquiry?

c. Please describe all steps that have been taken since July 1997 to conduct an independent observation or investigation of the procedures that the Philadelphia post office uses in delivering certified mail to the IRS Service Center.

d. In the event that a postal employee provides information to a customer in response to that customer's inquiry that conflicts with the information that the employee provides to other postal employees who are investigating the situation about which the customer was inquiring, might the Postal Service request that a unit such as the Postal Inspection Service conduct an independent audit to determine which information is true and correct?

e. If the information at issue is to be introduced as evidence in a Postal Rate Commission proceeding, and if an independent audit of the operation or procedures at issue has not been conducted, please explain why the information that a postal employee provides to another inquiring postal employee would necessarily be inherently more reliable than the information that the postal employee provided to the customer in response to the customer's inquiry.

CERTIFICATE OF SERVICE

I hereby certify that I have this day served the foregoing document upon the required participants of record in accordance with section 12 of the *Rules of Practice* and sections 3(B) and 3(C) of the *Special Rules of Practice*.



DOUGLAS F. CARLSON

November 28, 1997
Emeryville, California