

# BANTA Mailbox

Banta Publications Group ■ 12 Salt Creek Lane, Suite 350, Hinsdale, IL 60521 ■ April 2002

## Simplifying the Process

### Applying for Periodicals Rates Made Easier

The USPS has revised the application forms used to apply for Periodicals mailing privileges. In the past, there were multiple application forms, one for each of the qualification categories (General, Requester, Institutions and Societies, State Departments of Agriculture, and Foreign). The USPS has consolidated these application forms into one single form, PS Form 3500. This form can be accessed online at [www.usps.com](http://www.usps.com). The completed application form must be accompanied by two copies of the publication and must be submitted to the post office serving the publisher's offices. The non-refundable application fee is currently \$350.

Once your application form has been accepted by the USPS, the publication is considered in Periodicals Pending status. At this point, you need to adhere to all the applicable Periodical regulations, including content, circulation requirements, and physical preparation of the mail, i.e. the mailing list must be presorted using Periodicals regulations. Adhering to these regulations will likely involve some changes to the format of your publication, such as removal of any bulk indicia or ancillary endorsements (e.g. Change Service Requested) you may have used while the publication was mailing at Standard or Package Services rates, and including the required ID statement inside the magazine.

While the publication is in this Pending status, postage must be paid at the Standard Mail (for pieces under one pound in weight) or Package Services (for pieces one pound or more) rates. Once the publication is approved for Periodicals mailing privileges, the USPS will issue a refund of the difference in postage between the Periodicals rates

and the Standard or Package Services rates that were actually paid. The approval process can take anywhere from a few months to over a year, depending on the complexity of the postal audit and USPS staffing available to perform the audit at your location.

The consolidated Periodicals application form, PS Form 3500, is available online at [www.usps.com](http://www.usps.com).

Periodicals have preferential postal rates (usually less expensive than Standard or Package Services rates) and delivery service. Some of the basic requirements to qualify are as follows:

- 1) Must be published at least 4 times per year or more frequently.
- 2) Must be formed of printed sheets.
- 3) Must be intended for the purpose of disseminating information, not primarily for advertising or promotional purposes.
- 4) Must be distributed primarily (50% plus one copy of the total circulation) to people who have paid for or requested the magazine.

There are many other eligibility requirements, but if your magazine meets the above criteria, it may be a good candidate for Periodicals mail privileges. For complete information regarding applying for Periodicals privileges, log on to the USPS web site at [www.usps.com](http://www.usps.com). Click on Service Guides, then on Domestic Mail Manual. See section E200 for the eligibility requirements.

If you intend to apply for Periodicals for your magazine, it is also a good idea to visit your local USPS Business Mail Entry (BME) office and speak with one of their Periodicals experts. They can walk you through the requirements and the application process. To locate the BME nearest you, log on to the USPS web site at [www.usps.com](http://www.usps.com). Click on Info, then on RIBBS, then on Business Mail Entry.

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**Banta Publications Group Distribution Contacts**

As a customer, you are encouraged to direct all of your communications to your plant Customer Service Representative. However, there may be occasions when you may need to contact someone in the distribution areas directly. To facilitate this, the following is a list of contacts:

**Entire Publications Group**

Director, Mailing & Distribution Services

Monica Lundquist  
816-792-6370 Phone  
816-792-3112 Fax  
mlundquist@banta.com

List Services Manager  
John Buck  
816-792-6349 Phone  
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jbuck@banta.com

**Long Prairie, MN plant**

Distribution Manager  
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320-732-7946 Phone  
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Distribution Supervisor  
Jane Zirbes  
320-732-7969 Phone  
320-732-7976 Fax  
jzirbes@banta.com

**Liberty, MO plant**

Distribution Manager  
Jeff Volkmann  
816-792-6402 Phone  
816-792-2031 Fax  
jvolkmann@banta.com

Mailing Coordinator  
Bobbie Hill  
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816-792-2031 Fax  
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Shipping Manager  
Steve Bieri  
816-792-6363 Phone  
816-792-6480 Fax  
sbieri@banta.com

**Greenfield, OH plant**

Postal Specialist  
Margaret Mobley  
937-981-2161 Ext. 320 Phone  
937-981-5032 Fax  
mmobley@banta.com

# Nonprofit Mailing

## Nonprofit postal regulations vary by class of mail

**P**ublishers who mail at nonprofit rates need to be aware of specific postal regulations that affect their mailings. These regulations vary by class of mail. To follow is a brief description of some of the regulations. For complete information regarding these regulations, consult the Domestic Mail Manual (DMM), available online at [www.usps.com](http://www.usps.com).

### Periodicals

There are no additional content regulations for Periodicals that mail at nonprofit rates. The regulations are the same for both regular rate and nonprofit rate Periodicals. The only differences between regular and non-profit rates are:

**1) Requestor publications do not qualify to mail at nonprofit rates.**

**2) Nonprofit rates are generally less expensive than regular rates.** However, there are instances when it is actually less expensive to mail at Standard nonprofit rates than at Periodicals nonprofit rates. Banta can analyze your mailing list to make this determination upon request.

**3) When applying for Periodicals privileges, you will need to supply proof of your nonprofit status to the USPS.**

**4) If the advertising content of a non-profit publication exceeds 10% on any issue, the zoned pound rates of postage are the same as regular rate postage.** If the advertising content is less than 10%, the pound rates are not zoned and are applied at the lower non-profit rate.

**5) If your non-subscriber mailed distribution exceeds 10% of your total mailed distribution within a calendar year, any copies above the 10% level are subject to regular rates of postage.**

### Standard

There are additional content restrictions for Standard mailings at nonprofit rates. Some of the restrictions include:

**1) No cooperative mailings with unautho-**

**alized organizations.** A cooperative mailing is defined as a mailing produced by an authorized organization that cooperates with one or more organizations to share the risk, cost or benefit of the mailing. These cooperative mailings can only take place if all the participants are authorized at nonprofit rates at the mailing location. An authorized organization may use the permit of a mailing agent (who is not authorized for nonprofit rates) as long as there is proof that an actual principal-agent relationship exists.

**2) No credit or debit card ads.** You may mention the availability of these cards, but you cannot use any descriptive terms, such as "low rate" or "VISA."

**3) No travel ads.** These are defined as advertisements that include accommodations, transportation, and destinations. The only exceptions to this would be if the organization promoting the travel arrangement is authorized to mail at nonprofit rates, the arrangement is designed for and primarily promoted to members, donors, supporters, or beneficiaries of the organization, and the travel contributes substantially to one or more of the purposes of the organization. For example, if the organization were promoting a sightseeing tour for its members, this would not be acceptable. If the organization is promoting travel for an educational conference that is directly related to the purpose of the organization and contains a minimal amount of side trips or sightseeing, that may be acceptable.

**4) No insurance ads.** The only exception to this would be if the ads were for insurance that is offered exclusively to members of the organization and is not commercially available elsewhere.

**5) No ads for products that do not contribute substantially to the purpose of the organization.** For example, if a wildlife preservation organization included ads for mugs, t-shirts, etc. these would not be permissible. The only exception to this is if the mail piece meets the content require-

See **NONPROFIT** on page 4

# Package Services (Bound Printed Matter) Mail

Occasionally we produce printed heavy weight printed pieces that do not qualify for Periodicals mail. These pieces fall under the Package Services class of mail. This class of mail was formerly known as Fourth-class or Standard B. This class is for mail that weighs a pound or more and has a minimum of 300 pieces of identical weight mail. Items such as large catalogs, books, merchandise, and magazines that do not qualify for Periodicals rates will mail using this rate. The key that differentiates this mail class from the Standard Mail class is the weight break point of one pound. There are a number of rate categories within Package Services, such as Parcel Post, Parcel Select, Library Mail, Media Mail and Bound Printed Matter. For purposes of this article, we will discuss only Bound Printed Matter since this is the rate category that applies to the type of mail that Banta produces.

The rules:

- Must contain a permit imprint or indicia. This tells the USPS that postage has been paid on this piece. It serves the same purpose as a postage stamp or meter strip.
- Must be a minimum of 300 pieces of identical weight mail.
- Return address not required unless the piece has a company permit (see section on indicias) or an ancillary service endorsement (see below). Return address is always required for the other Package Services categories of Parcel Post, Library Mail and Media Mail.
- The indicia and return address must be printed in the same direction and orientation as the delivery address. Indicias must be located to the upper right of the delivery address. Return addresses must be located to the upper left of the delivery address. The indicia and/or return address may be printed on the mailing label or in the ink jet knock-out area if space permits.
- Ancillary endorsements, such as "Change Service Requested" may be printed in any

one of the following locations:

- Below return address
- Above delivery address
- To the left or below the indicia

The endorsement must be printed in a minimum of 8-pt. type and must have ¼" clear space all around it. It is highly recommended that you use one of these endorsements for Package Services mail because it can be very costly in returned mail postage charges if you do not. Please see the article on ancillary endorsements on pages 2 and 3 of the July/August issue of *Banta Mailbox*.

- You must have a permit at the plant location prior to mailing. The same permit may be used for Package Services mail that is used for Standard mail.
- There are no nonprofit rates or barcode discounts available for Bound Printed Matter Package Services mail.

## Indicias

The following are examples of indicias for Package Services Bound Printed Matter mail:

### Regular Permit:

BOUND PRINTED  
MATTER  
US POSTAGE PAID  
PERMIT # 123  
LIBERTY MO

### Company Permit:

BOUND PRINTED  
MATTER  
US POSTAGE PAID  
XYZ COMPANY

## Drop shipping

Drop shipping Bound Printed Matter mail can result in some very lucrative postal discounts. If you are mailing at Bound Printed Matter rates, make sure your list processor provides us with a mail.dat file so that your mailing can be analyzed for drop ship discounts. If your mailing list is processed by Banta Distribution Services, a mail.dat file is automatically produced for you at no additional charge and transmitted to the appropriate printing plant for use in drop ship analyses.

"Drop shipping Bound Printed Matter mail can result in some very lucrative postal discounts."

## BANTA Mailbox

is a monthly publication produced by the BANTA Publications Group. Any comments or questions are welcome. Please contact Monica Lundquist of the BANTA Publications Group by phone at 816-792-6370, by e-mail at [mlundquist@banta.com](mailto:mlundquist@banta.com), or write to BANTA Publications Group, Mailing & Distribution Services, 3401 Heartland Drive, Liberty, MO 64068-3378.

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# Clarification

## Mailing heavier weight Standard mail enclosures with Periodicals

In our February issue, we discussed a recent USPS Customer Support Ruling (PS-306) that limits the weight of any printed Standard mail enclosures mailed with Periodicals publications to no more than 150% of the weight of the host publication. Since that article was published, we have received information regarding what your mailing options are if you have a Standard enclosure that exceeds this 150% weight limit. The options are as follows:

1) Pay Periodicals rates on the magazine, Standard rates on the enclosure, but the resultant combined piece must be marked as Standard mail and is treated as Standard mail by the USPS for processing and delivery purposes.

2) Pay the Standard rates on the resultant combined piece (host publication and Standard enclosure).

3) Mail the two pieces separately.

The second option is a little puzzling in that it contradicts previous postal rulings that state that Periodicals publications can be mailed *up* the “class ladder” but may not be mailed *down* the “class ladder.” In other words, Periodicals may be mailed at Periodicals, First-class, Priority or Express mail rates (up the ladder), but may not be mailed at Standard or Package Services rates (down the ladder). Evidently the USPS is making an exception in this case, which is a good example of why postal regulations can be so confusing. We strongly recommend that you consult your local USPS Business Mail Entry office or one of the Banta plant distribution managers if you have Periodical pieces containing Standard enclosures so that the pieces may be reviewed prior to production and mailing.

### NONPROFIT continued from page 2

ments for a Periodical publication:

- Has a title
- Is formed of printed sheets
- Contains an identification statement consisting of the following:
  - Title
  - Issue date (if not on front cover)
  - Issue number (if not on front cover)
  - Statement of frequency
  - Name and address of the authorized organization
  - International Standard Serial Number (ISSN) if applicable
- Consists of at least 25% non-advertising in each issue

The best resource for additional information on these regulations is the USPS Publication 417, Nonprofit Standard Mail Eligibility. This can be accessed on the USPS web site, [www.usps.com](http://www.usps.com).

There are no non-profit rates available for the other classes of mail, such as First-class, Express, Priority or Package Services mail.

As always, we strongly recommend that you submit samples of your mail piece to your local Business Mail Entry unit prior to production to insure compliance with postal regulations.

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