

## Appendix A: Mailer Certification Testing

Mailer Certification testing consists of three phases. In Phase 1 the applicant is interviewed and its facilities are surveyed. If the *PostalOne!* Program Office determines that the applicant is eligible and capable of participating, the mailer will be permitted to proceed with *PostalOne!* Transportation Assignment System installation. After the installation is completed and the mailer has gained experience operating the system, the Phase 2 Post-Installation Test verifies correct installation, operation, communication, and effective utilization. The mailer is then awarded PASS Mailer Certification. Thereafter on a go-forward basis, the mailer is re-certified every two years through the Phase 3 Post-Implementation Follow-Up certification process.

### Phase 1: Pre-Qualification Interview

Site surveys are conducted to define the mailer production process to determine how *PostalOne!* can benefit mailer's operations by incorporating a partnering agreement with these mailers. The following detailed information is collected and reviewed for implementation of a *PostalOne!* Transportation Management Solution:

	Attribute	Criteria
<b>1.</b>	<b>Administrative Information</b>	
1.1	Company Reviewed and Location	None
1.2	Customer POC / Phone Number	None
1.3	USPS NAM / Phone Number	None
1.4	USPS Plant Manager / Phone Number	None
1.5	USPS AMC Manager / Phone Number	None
1.6	USPS S-AMS Specialist / Phone Number	None
1.7	USPS District Manager / Phone Number	None
1.8	USPS MOS / Phone Number	None
1.9	USPS DNO Manager / Phone Number	None
1.10	USPS RCSC Manager / Phone Number	None
<b>2.</b>	<b>Operational Characteristics</b>	
2.1	Mail Products	
2.1.1	Mail Type	FCM or PM
2.1.2	Average Daily Volume	300,000 FCM pieces per day for automatic systems. 100,000 FCM

	pieces or 300 PM sacks / outsides per day for manual systems
2.1.3 Presort and Automation Compatibility	Yes
2.1.4 Product Mix	Majority of letter (trayed) or parcel (sacked) products
2.1.5 Mailing Distribution	National (versus regional)
2.1.6 Plant Output (e.g., billing statements, credit cards, etc.)	None
2.2 Physical Plant	
2.2.1 Hours of Operation	Continuous (versus batch) processing
2.2.2 Cycle Time	None
2.2.3 Air Conditioning and Heating	Acceptable ambient temperature control
2.2.4 Lighting	Ample
2.2.5 Floors	Uncluttered
2.2.6 Space	Greater than 500 ft <sup>2</sup> for automatic systems, greater than 20 ft <sup>2</sup> for desktop systems

### **3. Mail Processing Details**

3.1 Production	
3.1.1 Printing and Insertion Equipment and Operation	Prefer high-integrity systems, mailpiece barcodes, and automated processes
3.1.2 Network and Systems	Prefer networked systems, mainframe presort, and tray nesting capability
3.1.3 Label Production	On-demand capability
3.2 Post-Production	
3.2.1 Sortation Equipment and Operation	None
3.2.2 Slewing	None
3.2.3 Strapping	Prefer in-line automatic strapping for automatic systems
3.3 Acceptance and Verification	
3.3.1 DMU hours of operation	DMU on-site
3.3.2 Mail Payment Method	Prefer CAPS account
3.3.3 Number of Postage Statements	None

- 3.4 Dispatching
- 3.4.1 MVS / PVS Collection Schedules Plant Load Agreement in place

**4. Customer Management**

- 4.1 Performance Measurement and Monitoring Yes
- 4.2 Quality Control Program Prefer MPTQM certification. QC procedures must be established and documented
- 4.3 Mail Seeding Preferred
- 4.4 Organizational Climate Open to change
- 4.5 Postal Relations Positive

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**Phase 2: Post-Installation Test**

The Post-Installation Test contains two parts. The first part of the test is designed to verify that the Transportation Assignment System has been installed and integrated properly with the mailer's systems and the local USPS S-AMS host. This test is an abbreviated form of the Vendor System Certification test configured to verify that all of the hardware components and the software have been installed properly and are functioning correctly.

The following table shows the functional requirements that will be tested:

Req. No.	Auto	Desk	Title	Description
FR101	X	X	Capture Distribution Label	The system successfully reads distribution tray label.
FR102	X	X	Select Transportation Route	The system shall select a surface or air route that meets the MVS pickup time and is designed to ensure that the tray arrives at the destination facility before the Critical Entry Time for that destination postal facility.
FR103	X	X	Print Transportation Label	The system shall print a transportation label for application to the top of the sleeved tray. This label will provide Postal Service

				personnel with necessary routing information to ensure proper tray dispatch and in route handling.
FR104	X		Verify Air And Surface Routing Tags	The system successfully verifies valid air D&R and surface tags and cancels missing or mismatched D&R and surface tags.
FR105	X		Strap/No-Strap Tray	The system shall determine whether or not to strap a tray in accordance with applicable mail preparation guidelines as promulgated in the current version of the DMM. Currently, all local and working mail is left unstrapped to facilitate processing at the origin postal facility.
FR106	X		Select Runout	The system shall contain a configurable number of accepted mail runouts for various dispatch modes and one reject runout. The system shall select the correct runout for tray sortation when configured with this option.
FR107		X	Verify Air And Surface Routing Tags	The system successfully verifies valid air D&R and surface tags and cancels missing or mismatched D&R and surface tags.
FR302	X	X	Capture Tray Weight	The system shall capture the tray weight using a scale accurate to one-tenth of one ounce.
FR305	X	X	Log Disposition Including Error Codes	The system shall log all system transactions.
FR404	X		Support Bypass Mode	The system should support a bypass mode in the event that the electronic link with the customer's manifesting system fails, the electronic link with the S-AMS system fails, or the runout system fails and required functionality can not be restored. This feature shall be used by the mailer when the risk of significant

operations interruption is likely.

For more information, please see the [PostalOne! Assignment Support System \(PASS\) Phase 2: Mailer Post-Installation Test Certification Package](#).

The second part of the test is designed to verify the mailer's competence in three areas:

- **Operations.** Is the mailer maximizing the use of the *PostalOne!* Transportation Assignment System? Is the system being used according to the mailer's Operations Plan? Is everything being done to minimize downtime? Are the Transportation Assignment System hours of operation consistent with the mailer's tray production profile and with USPS collection and acceptance processes?
- **Maintenance.** Is the equipment being maintained according to the manufacturer's schedule? Is the equipment adequately maintained? Are the maintenance schedule and records being kept properly? Is servicing being done by qualified personnel?
- **Training.** Are the *PostalOne!* Transportation Assignment System operators adequately trained? Are there procedures in place to ensure that only qualified personnel operate the system?

The following table shows the operational requirements that will be reviewed:

Req. No.	Auto	Desk	Title	Description
OP1	X	X	Maintenance Plan	The mailer has documented maintenance procedures and has maintenance contracts in place (as necessary) for system preventive and corrective maintenance.
OP2	X	X	Standard Operating Procedures	The mailer has documented procedures for equipment usage and the operators are properly trained on system operation.
OP3	X	X	Contingency Procedures	The mailer has documented procedures for contingency operations and has appropriate contact numbers for problem escalation.
OP4	X	X	Memorandum of Understanding	The mailer and USPS have a signed Memorandum of Understanding for system usage and support for sites where equipment has been installed for less than one year.

OP5    X    X    Transfer of Ownership Agreement    The mailer has a signed Transfer of Ownership Agreement and has assumed complete responsibility for system maintenance and operation for sites where equipment has been installed for more than one year.

To answer these questions, the *PostalOne!* Program Office will rely primarily on an audit at the mailer's plant and a review of the system performance measures as determined using the *PostalOne!* Data Analysis Tool. The following detailed information is collected and reviewed for PASS Phase 2: Mailer Post-Installation Test:

Attribute	Value	Mailer Information			
Mailer Information					
Mailer Name					
Alias	Previous Name / CBCIS Name				
Address 1	Corporate Address				
Address 2	Corporate Address				
City	Corporate Address				
State	Corporate Address				
Zip +4	Corporate Address				
Customer Type	Printer, Presorter, Lettershop, Fulfillment				
Customer Number	CBCIS				
PERMIT Number	Customer PERMIT number, May be more than one				
Activation Date	Initial Install and Activation Date				
Contact Information					
Contact Name					
Organization	Mailer Name, USPS				
Title					
Email					
Phone					
Fax					
Shipping System Information					
Shipping System Key	Shipping System (SS) Sequential Number				
Shipping System Type	Automatic, Semi-automatic, Manual for SS				

Vendor	Carter, CODEplus, Lockheed, or Custom for SS				
Software Name and Version	For SS				
DAT Software Version	For SS				
Workstation Serial Number	For SS				
Server Serial Number	For SS (N/A for desktop)				
Printer Serial Number	For SS				
Scale Base Serial Number	For SS				
Scale Indicator Serial Number	For SS (N/A for automated)				
Scanner1 Serial Number	For SS				
Scanner2 Serial Number	For SS (N/A for desktop)				
UPS Serial Number	For SS (N/A for automated)				
Modem Serial Number	For SS				
PCAnywhere Phone Number	Note same if one PCAnywhere for multiple systems				
PCAnywhere Access	Note same if one PCAnywhere for multiple systems				
Mailer S-AMS Phone Number	For SS				
Address 1	Address for SS (note if same)				
Address 2	Address for SS (note if same)				
City	Address for SS (note if same)				
State	Address for SS (note if same)				
Zip +4	Address for SS (note if same)				
Operational Information					
Year	Postal Fiscal Year (PFY)				
Annual Revenue	Dollars for PFY Key				
Annual Volume	Places for PFY Key				
Average Daily Volume	Trays				
Percent Surface	Percent of Total Trays				
Percent Surface Direct	Percent of Total Trays				
Percent Air	Percent of Total Trays				

Percent Air Direct	Percent of Total Trays				
Number of Runouts	Number of Automated Runouts (including Reject)				
Number of Separations	Number of Direct Separations				
Air Separation Name	Placard Name				
Surface Separation Name	Placard Name				
<i>PostalOne!</i> Operator	USPS or Mailer				
Number of Employees	Answer if USPS operated equipment				
Hours of Operation	Answer if USPS operated equipment				
Certification / Test Information					
Test Date					
Testers	Name of Testers and Mailers				
Technical Eval Test Score	Mailer Assessment Sheet				
Tech Eval Findings	Mailer Certification Test Packet				
Tech Eval Recommendations	Mailer Certification Test Packet				
Quality Eval Test Score	Mailer Assessment Sheet				
Maintenance Plan (OP1)	Pass / Pass Conditionally / Fail / NA				
Standard Operating Procedures (OP2)	Pass / Pass Conditionally / Fail / NA				
Contingency Procedures (OP3)	Pass / Pass Conditionally / Fail / NA				
Memorandum of Understanding (OP4)	Pass / Pass Conditionally / Fail / NA				
Transfer of Ownership (OP5)	Pass / Pass Conditionally / Fail / NA				
Overall Mailer Evaluation	Mailer Assessment Sheet				
Recert Date	Required Annually				

The purpose of this audit is to determine if the mailer is properly operating the *PostalOne!* Transportation Assignment System. The mailer must demonstrate that the system has been integrated into the production process. Evidence of this may include installed conveyors connecting the sorting machines to the Transportation Assignment System, modified Standard Operating Procedures document describing the process flow with the system integrated, and records showing that the staff has been adequately trained in the procedures and operation of this equipment. These procedures should also contain contingency plans for operations with system degradations.



For more information, please see the [PostalOne! Assignment Support System \(PASS\) Phase 2: Mailer Post-Installation Test Certification Package](#).

The final part of PASS Phase 2: Mailer Post-Installation Test is to assess the information collected during the technical and operational reviews. The completed test results are input into a spreadsheet which calculates a weighted technical and operational evaluation score. Based on the results of the two tests, the mailer may be awarded one of the following PASS certification levels:

- **Score 90% to 100% - GOLD Certification Rating.** The mailer exemplifies the *PostalOne!* program goals and has effectively integrated their processes with the Postal Service processes.
- **Score 80% to 89% - SILVER Certification Rating.** The mailer is fully participating in *PostalOne!* and has integrated their processes with the Postal Service processes.
- **Score 70% to 79% - BRONZE Certification Rating.** The mailer has met the minimum standards to ensure adequate system operation and process integration.
- **Score less than 69% - FAILED.** The mailer does not meet the minimum requirements for PASS Certification. The local *PostalOne!* coordinator will work with the mailer to schedule a retest date.

The tester completes the sections highlighted in gray in the spreadsheet for mailer name and location. The applicability and compliance sections are completed as follows:

- The applicability and compliance data for the technical evaluation are obtained from the Mailer Post-Installation Test Certification Package in the section labeled Technical Requirements Matrix. Applicability is determined by the check mark next to a specific functional requirement based on the system under test (i.e., if the requirement is not checked, then Applicability = "0"). Compliance is determined based on the result of the review for applicable attributes. A PASS result is awarded 1.0 points, a PASS CONDITIONAL result is awarded 0.75 points, and a FAIL result is awarded 0.0 points.
- Likewise, the applicability and compliance data for the operational evaluation are obtained from the Mailer Post-Installation Test Certification Package in the section labeled Operational Requirements Matrix. Applicability is determined based on the value for the particular attribute (i.e., if the value is "NA", then Applicability = "0"). Compliance is determined based on the result of the review for applicable attributes. A PASS result is awarded 1.0 points, a PASS CONDITIONAL result is awarded 0.75 points, and a FAIL result is awarded 0.0 points.

The following table is the *PostalOne!* Assignment Support System (PASS) Mailer Assessment Sheet.

Mailer Name:

	Applicable	Points	Compliance	Score	Possible
<b>Technical Evaluation</b>					
FR101		5		0	0
FR102-a		1		0	0
FR102-b		1		0	0
FR102-c		1		0	0
FR103		5		0	0
FR104-a		3		0	0
FR104-b		3		0	0
FR105		1		0	0
FR106		3		0	0
FR107-a		3		0	0
FR107-b		3		0	0
FR302		5		0	0
FR305		2		0	0
FR404		3		0	0
<b>Operational Evaluation</b>					
OP1		2		0	0
OP2		2		0	0
OP3		2		0	0
OP4		2		0	0
OP5		2		0	0
<b>Total</b>				<b>0</b>	<b>0</b>

Total Score: 0      Gold      90 - 100%  
 Total Possible: 0      Silver      80 - 89%  
 Overall Percent Correct:      Bronze      70 - 79%  
    Fail      0 - 69%

Technical Evaluation:  
 Operational Evaluation:  
 Final Evaluation:

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### Phase 3: Post-Implementation Follow-Up

The Post-Implementation Follow-Up is intended to verify that the mailer continues to effectively utilize the Transportation Assignment System. These reviews will be conducted on an ongoing basis by Mailer Preparation Total Quality Management (MPTQM) audits. The specifications and standards for these reviews are contained in the MPTQM Guidebooks for Presorters and List Mailers. In general, the MPTQM audit is designed to verify the mailer's competence in three areas:

- **Operations.** Is the mailer maximizing the use of the *PostalOne!* Transportation Assignment System? Is the system being used according to the mailer's Operations Plan? Is everything being done to minimize downtime? Are the Transportation Assignment System hours of operation consistent with the mailer's tray production profile and with USPS collection and acceptance processes?
- **Maintenance.** Is the equipment being maintained according to the manufacturer's schedule? Is the equipment adequately maintained? Are the

- maintenance schedule and records being kept properly? Is servicing being done by qualified personnel?
- **Training.** Are the *PostalOne!* Transportation Assignment System operators adequately trained? Are there procedures in place to ensure that only qualified personnel operate the system?

For additional details on Post-Implementation Follow-Up, see the MPTQM Guidebooks.