

Full Service Mailer’s Checklist

Your Quality Manual includes the written procedures required by the Quality Manual (QM) standards and must also contain all the supporting documentation to meet the FULL SERVICE standards. Regardless of the type of certification (List Mailer, Presort Bureau, or Consolidator), your Quality Manual must address letters, flats, and parcels based on your operations. Your manual must declare organizational policies and the organization-wide objectives describing how you will meet the FULL SERVICE standards.

5.1 Quality Manual

The written procedures for the six standards in this section should describe in detail your company’s policies and dedication to the MTPQM program. These written procedures should be your company’s guide to handling all quality issues. Related standards associated with QM standards (all of these standards begin with “As part of your ...Procedure” and are identified within the QM standards) require a written procedure. Include within the written QM procedure, the entire written procedure to address the related standard. You may alternatively refer to a separate written procedure that describes in more detail the specific procedure for the associated standard. If you create separate written procedures to address the associated standard(s), these separate written procedures become part of your Quality Manual and you must identify them within the applicable QM standard. **For example, QM4, Nonconforming Products Procedure,** must address standards CR4 and PR3 within the written procedure for QM4 or reference these associated standards within QM4 and document the written procedure separately. If document these procedures separately, they become part of your quality manual.

QM1 Document Control

You must establish a written “Document Control Procedure” that identifies:

- 1) How your documents are created, used, modified, and controlled.
 - a) Documents must be identified with version and/or revision numbers.
 - b) Documents must be marked to identify the standards to which they apply.
 - c) Outdated documents must be collected and controlled.
 - d) Documents must be recorded on a master document listing with current versions/revisions.
- 2) The person(s) in your company who maintains the master document listing and who is authorized to change or modify documents.

To ensure only the most recent forms, documents, logs, checklists, and procedures are used.

Document Required: Written Procedure

Guidelines:

- Version and/or revision identification can be an alpha and/or numeric identification or a version/revision date.
- In very rare instances, there may be a document that cannot be marked to identify the applicable standard. If this occurs, a listing of all standards and associated documents by name and title may be acceptable if approved in advance.
- A document is any form, letter, procedure, instruction, or any other piece of paper or electronic image used in your operation that identifies or is used to show compliance with a standard included in your Quality Manual. A document may be modified as needed.
- A master document listing can be one central listing, or a listing by department. If the listing is kept by department, a list of all departments needs to be available.

Possible Points	Actual Points	Audit Evidence:
7		
Initials		

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QM2 Record Control

You must establish a written “Record Control Procedure” that identifies how records are collected, stored, and retrieved. The procedure must state the record retention period for each type of record. All records that support your FULL SERVICE program must be available on-site on the day of a full audit, or provided within 24 hours for a surveillance audit. All records used to support your FULL SERVICE program must be maintained for a minimum of one year unless otherwise required by FULL SERVICE standard(s).

To maintain the integrity of records and prevent alteration.

Document required: Written Procedure

Guidelines:

- A record is any document that is used to record evidence of compliance. Once a document is written on, it becomes a record and cannot be modified.
- Records may be retained in hardcopy or non-alterable electronic format.

Possible Points 6	Actual Points	Audit Evidence:
Initials _____		

QM3 Audit Plan and Procedures

- 1) You must establish a written “Audit Plan and Procedures” that:
 - a) Identifies how and when **internal** audits are to be conducted;
 - b) Ensures **internal** audits are scheduled at least once every four months and the schedule is published annually in advance;
 - c) Ensures at least three full internal audits are conducted annually;
 - d) Addresses how the auditor is to document the results of the audit. This must include how evidence is identified, gathered, and recorded to show compliance with a standard, how results of each audit are analyzed, and what constitutes a need for corrective or preventive action. Results of internal audits must be retained for one year.
- 2) Results of **external** audits must be maintained until the next full external audit and show that all nonconformances and/or concerns have been addressed and resolved.

To ensure that everyone knows when audits are scheduled, how they are to be completed and analyzed. Results of audits are to be used to improve processes whenever possible.

Document Required: Written Procedure

Guidelines:

- The schedule can specify dates, months, or range of time (e.g. January through March, April through June, July through September, October through December) when each audit will take place.
- External audits cannot be counted as one of the three full internal audits.
- “Publishing” the schedule means that the schedule must be available for all employees who are involved in the internal audit process to view in advance.

Possible Points 7	Actual Points	Audit Evidence:
Initials _____		

QM4 Nonconforming Products

You must establish a written “Nonconforming Products Procedure” that identifies:

- 1) How any nonconforming product is identified, controlled, and resolved.
- 2) Under what conditions a corrective action request is required. (Also see standard: PR3)
- 3) Under what conditions a customer/supplier is contacted. (Also see standard: CR4)

To prevent nonconforming items from being used by your company or entered into the mail stream.

Document Required: Written Procedure

Guidelines:

- “Identifying” is determining the product is not acceptable.
- “Controlling” is isolating the nonconforming product to prevent it from being used.
- “Resolving” is correcting, rejecting, or accepting the product with conditions.
- Nonconforming products may include mail received from clients, mailpiece components received from suppliers, products used in your operations, and finished mail supplied to the USPS. Examples are: Mailpieces metered with old dates; damaged inserts received from a supplier; a mailing submitted to the USPS that subsequently fails verification.

Possible Points 6	Actual Points	Audit Evidence:
Initials _____		

QM5 Corrective Action

You must establish a written “Corrective Action Procedure” that identifies:

- 1) What requires corrective action and how it is documented.
- 2) How your company assigns a severity level to each type of identified problem.
- 3) An internal formal problem solving process, which must include:
 - a) Identifying the severity of the problem and whether a formal Corrective Action Request (CAR) is to be issued;

NOTE: You must create a CAR for any USPS verification failure. An initial CAR must be submitted within 24 hours to your local Business Mailer Support Analyst (BMSA) with a copy provided to the local Manager, Business Mail Entry (MBME). The initial CAR must include section I, and the “target date of completion” and “assigned to” blocks in Section II. The completed CAR must be submitted to the BMSA with a copy provided to the MBME. Only the BMSA may close a CAR for a verification failure.
 - b) Assigning the problem to the appropriate department;
 - c) Immediate corrective action requirement;
 - d) Root Cause Analysis;
 - e) Checking results of corrective action for effectiveness;
 - f) Identifying who can close CARs.
- 4) How a CAR is created, who analyzes and prioritizes each request. The CAR must indicate what priority level was assigned.
- 5) How unresolved or recurring problems are escalated to the next severity level.

(Also see standards: CS1, PR3, CR5, DP6)

To analyze each problem to determine the root cause and prevent the problem from occurring again. To be used for continuous improvement.

Document Required: Written Procedure

Guidelines:

- Your company may determine how to assign a severity level to each type of problem by using company history and adjusting as other problems are identified.
- When severity levels are assigned, priority levels also need to be assigned.
- “Root Cause Analysis” involves finding the real cause of the problem and correcting it rather than simply addressing the symptoms.

Possible Points 7	Actual Points	Audit Evidence:
Initials _____		

QM6 Preventive Action

You must establish a written “Preventive Action Procedure” that identifies how your company will ensure that any mailing produced meets all Domestic Mail Manual (DMM) and/or International Mail Manual (IMM) specifications and your quality program’s goals/objectives. You must list all quality assurance (QA) procedures for each phase from mailpiece design through presentation to the USPS, how often the QA checks are conducted, who performs the checks, and how the results are documented. (Also see standards: MC1, ME1, ME3, ME4, ME7, MP2, MP4, CR3, DP3, DP7, PM2)

*To prevent and correct problems before they happen and to drive continuous improvement.
Document Required: Written Procedure*

Guidelines:

“Producing” a mailing includes all functions related to completing the final mailing submitted to the USPS such as printing and/or assembling mailpieces, presorting, and presenting.

Possible Points 6	Actual Points	Audit Evidence:
Initials _____		

5.2 Organization Management

The senior management representative at each FULL SERVICE mailing site has the responsibility to ensure the success of implementing and maintaining the FULL SERVICE program. This includes oversight of all phases of the program and ensuring the necessary resources are made available to accomplish the quality plan and quality mission. Maintaining communication with internal management and local USPS personnel supports continuous improvement and is an important part of the FULL SERVICE program.

OM1 Management Commitment

Senior management will publish a Quality Mailing Mission Statement for the mailing site. The mission statement must be reviewed at least once each year and updated if needed.

To identify your company’s commitment to a quality mailing program.

Guidelines:

- “Publish” includes, but is not limited to, posting on a wall or bulletin board, printed in the quality manual, available on-line.
- Mission statement for mailing operation dated within one year, or a discussion of the mission statement included in senior management meeting minutes within one year is acceptable evidence.

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

OM2 Quality Goals and Objectives

Establish quality mailing goals and objectives that are measurable and tracked for the site. These must be reviewed annually by senior management and updated as needed.

To establish obtainable goals that will drive your quality program to produce a top quality product.

Guidelines:

- Mailing goals may include passing USPS verifications, on-time delivery to the USPS, etc.
- Mailing objectives may include MERLIN/MPCV results, barcode readability, productivity, critical entry times, etc.
- Tracking can be accomplished using graphs, charts, etc.
- Documented goals dated within one year, or a discussion of quality goals included in senior management meeting minutes within one year, is acceptable evidence of an annual review.

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

OM3 Communicating Quality Goals and Objectives

Communicate within each mailing operation or production phase, the quality goals/objectives that contribute to the success in meeting the mailer’s overall quality mailing goals. Ensure each employee understands how their job contributes to the quality mailing goals and objectives.

To establish a communication process that ensures employees fully understand how they contribute to the quality goals and the overall quality system.

Guidelines:

“Communicating” quality goals/objectives is informing employees within their operation. Examples of communicating include, but are not limited to, training sessions, employee service talks, postings in the operation, etc.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

OM4 Organizational Chart

Publish a current organizational chart that clearly defines the lines of communication, responsibility, and authority within the operation including the quality manager’s position. The chart must identify all positions and include the name and title of each management and FULL SERVICE staff employee(s). It also must identify who is responsible for the FULL SERVICE program and the replacement during times of illness, vacation, or vacancy.

To provide a clear line of communication and establish who is responsible for the FULL SERVICE program.

Required document: Organizational Chart

Guidelines:

- “Publish” includes, but is not limited to, posting on a wall or bulletin board, printed in the quality manual, available on-line.
- “Who” is responsible for the FULL SERVICE program could include Quality Assurance Manager, Quality Assurance Technician, Quality Inspector or specific job titles within each department.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

OM5 Management Meetings

Conduct at regular intervals, no less than monthly, internal management meetings to review progress toward quality goals, status of the FULL SERVICE program, and customer satisfaction. Other topics such as postal regulation changes or any other relevant company or industry information should be included when they have an impact on the company.

To support management’s commitment to the quality program and continuous improvement.

Guidelines:

Meeting minutes and/or a meeting summary including FULL SERVICE topics is acceptable evidence.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

OM6 Postal Meetings

Document meetings and/or communication with local postal officials including plant operations to discuss any changes to mail volume, acceptance issues, delivery problems, DMM/IMM changes, and any action that impacts company or Postal Service operations.

To enhance local communications and strengthen the partnership.

Guidelines:

Maintain a postal communications file that contains such items as follow-up letters, emails, meeting minutes, etc. The file can be maintained in hardcopy or electronically.

Possible Points 1	Actual Points	Audit Evidence:
Initials _____		

OM7 Contingency Plan (“What If” Scenarios)

Maintain written scenarios that identify possible issues that could adversely affect production and presentation of mail to the USPS. The scenarios must include possible solutions, who to contact, and relevant phone numbers including USPS representatives. This plan must be shared with the appropriate local USPS management representative. Incorporate any changes as directed by the USPS when applicable.

To have a plan in place to cover emergencies or unexpected problems affecting the presentation of your mail to the USPS.

Guidelines:

- Issues to cover in the contingency plan include, but are not limited to, *PostalOne!*® applications, loss of power, machine breakdown, acts of God, transportation, staffing, etc.
- Local management could include USPS operations, transportation, BME, postmaster, etc.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

5.3 Human Resources and Training

This section deals with job description, training, employee development and recognition. Job descriptions identify skills and abilities needed to perform job duties. Training ensures employees have the knowledge and skills to perform their jobs. Training further encourages knowledge of the quality program and employee development. The employee recognition program provides incentives for employees to ensure quality.

HR1 Job Description

Provide a written description and qualification requirements for each job position within each production phase, equipment maintenance, quality, and supervision. In addition, identify how performance will be measured for each job position.

To provide a means through which all employees know what is expected for each position and how performance is measured.

Guidelines:

- "Identify" is establishing a method(s) to be used in determining the quality of employee job performance compared to job requirements. Performance can be measured through observation, testing, etc.
- Measuring an employee's job performance can be accomplished during established employee review periods (semi-annual, annual, etc.), or intermittently.

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

HR2 Training Program

Create and maintain a formal, comprehensive training program:

- 1) Identify the training requirements for each job position within each production phase, equipment maintenance, quality and supervision. Also, identify training needs associated with temporary or contracted employees.
- 2) Review the training program at least annually. Include individual and system performance analysis. Document the results of the review and analysis, and modify the training program as needed.
- 3) Maintain training records for all full-time and part-time employees.

NOTE: Training records must be retained until the next full re-certification audit.

To make the training program relevant to producing quality mail by ensuring personnel are trained, performance is analyzed, and the program is continuously improved using the results of the analysis.

Guidelines:

- Acceptable evidence for training records includes forms or checklists indicating each of the individual requirements were met for the job position.
- Training records for temporary or contracted employees are not required.

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

5.4 Program Management

Program management ensures there is a process flow and jobs are controlled within the company. Management must also ensure that agreements with the USPS are maintained, mailings meet DMM/IMM requirements, suppliers are evaluated and USPS equipment is controlled.

PM1 Job Control

Describe the process to control a job from start-to-finish and include how problems are identified and communicated back to the customer.

To ensure the mail owner is made aware of problems or required changes.

Guidelines:

- A “job” may be a single-client mailing (from design to mail presentation/acceptance) or multi-client mailing (from client pick-up to mail presentation/acceptance).
- The process for controlling a job may include:
 - How the client provides acceptance of “proofs”;
 - Notification of changes that affect the progress of the job;
 - How mail is received;
 - The on-time presentation of the mail; and/or
 - How changes to the original purchase order, quote, or pick-up ticket are documented and approved.

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

PM2 Process Flowchart

Maintain a current mail process flowchart(s) showing all ways that mail can be processed within the site and identify where quality checks are completed. As part of your Preventive Action Procedure, show where quality assurance checks are completed in each operation.

To identify all mail preparation options and where quality checks are completed.

Required documents: Flowchart, Written Procedure (QM6)

Guidelines:

The flowchart may be maintained in hardcopy or electronically, but needs to be printable.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

PM3 Agreements

Confirm all agreements with the USPS are current and being followed. These include but are not limited to: Optional Procedure (OP), Alternate Mailing System (AMS), Manifest Mailing System (MMS), Combined Mailing System (COM), Value Added Refunds (VAR), Option 4 Drop Shipment, Multiple Acceptance Times (MAT), Plant Load, Postage Due Weight Averaging (PDWA), Parcel Return Service (PRS), and local agreements. Ensure all required documents associated with the agreements are completed correctly, on file, and available.

To ensure all agreements are current and being followed.

Guidelines:

- Recommend maintaining a master listing of all agreements to easily confirm that all agreements are current and being followed.
- The process needs to ensure there are signed PS Forms 8096 and required listings on file for Combine/Value-Added Refund (VAR) customers.
- Acceptable evidence that agreements are being followed includes audit review letters and responses when required, and quality control records.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

PM4 Move Update

Ensure that mail required to meet the Move Update requirement is in compliance and documented. If your mailing site does not provide Move Update service, obtain written documentation from your customer of compliance.

To ensure compliance with DMM requirements.

Guidelines:

- Acceptable methods for meeting the Move Update requirement are an appropriate ancillary endorsement or programs such as ACS, FASTforward® or NCOALINKTM.
- Written documentation includes PS Form 6014, a copy of an invoice, or process summary report showing when the update was completed.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

PM5 USPS Equipment

Ensure that USPS equipment is used only for the movement of mail and not left in unprotected outside locations.

To prevent damage, misuse, or shortage of postal equipment.

Guidelines:

Acceptable evidence is no visible equipment misuse.

Possible Points 1	Actual Points	Audit Evidence:
Initials _____		

5.5 Customer Satisfaction

By maintaining customer focus and working with customers to increase the quality of their mailing, FULL SERVICE- certified companies can meet or exceed customer expectations.

CS1 Complaint Handling

As part of your Corrective Action Procedure, create and maintain a customer/supplier quality management program for handling complaints. The process must include a way to identify the severity of the issue and the type of response required. Customer/suppliers include clients, USPS, consumers, contractors and material suppliers.

To meet or exceed your customers expectations.

Required document: Written Procedure (QM5)

Guidelines:

The complaint process may be individualized to the type of customer/supplier or a generalized process for all.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

5.6 Maintenance and Certification

Machine setup and preventive maintenance, software installation, and scale certification/calibration are critical to ensure equipment functions precisely.

MC1 Preventive Maintenance

As part of your Preventive Action Procedure, establish a Preventive Maintenance (PM) schedule for each piece of equipment used in the production of mail:

- 1) A current listing of all equipment used to produce mail including the *PostalOne!*® transportation management system, MLOCs, banding machines, tabbing, stapling, bursting, etc. must be maintained.
- 2) PM must meet or exceed the manufacturer's recommendations for daily, weekly, monthly, semi-annually, and annually.
- 3) All maintenance must be performed by qualified employees.
- 4) If PM is completed by manufacturer's contracted employees, ensure that the contract is current.

To prevent unnecessary downtime and delay in mail preparation.

Required document: Written Procedure (QM6)

Guidelines:

Logs or checklists may be used as evidence that preventive maintenance was completed.

Possible Points 3	Actual Points	Audit Evidence:
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Initials _____	
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MC2 Scale Certification

Describe how all scales (including the scale used with *PostalOne!*® transportation) used to verify mailings or weigh-verify products or components received are:

- 1) Certified/calibrated according to manufacturer specifications, or annually if specifications are not available, by an industry-recognized company or qualified technician.
- 2) Tested daily before use to verify the weight of a single piece or to apply postage using 1-oz and 4-oz test weights for mailpieces less than one pound.
- 3) Tested daily before use to verify the weight of a single piece or to apply postage using at least a 5-lb test weight for mailpieces weighing one pound or more.
- 4) Tested using weights that have been validated annually by an industry-recognized company.

To ensure proper postage payment.

Guidelines:

- Acceptable evidence is a sticker with the date of certification/calibration applied to the scale when it is certified/calibrated or an invoice, bill, etc. showing that the scale(s) was certified.
- Logs may be used as evidence that daily checks were completed.

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

MC3 Software

Describe the process used to install and test new software in equipment used to produce mailings. Maintain vendor-supplied documentation for the last two releases. Maintain a software log showing date software was received, date installed, and any problems noted for each installation.

To prevent costly errors during mail production.

Required document: Software Log

Guidelines:

Vendor-supplied documentation identifies the software release and what is being upgraded (e.g. camera upgrade, presort software, labeling lists, 5-digit schemes, etc.).

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

5.7 Mailpiece Elements

Designing mailpieces that meet DMM/IMM specifications ensures that mail will be processed efficiently through USPS equipment. The Mailpiece Quality Control (MQC) Program certification ensures that an employee is trained to understand DMM/IMM specifications and can assist with mailpiece design. Designing mailpieces properly and ensuring authorizations and permits are current prevent mail acceptance delays.

ME1 Pre-Production

As part of your Preventive Action Procedure, describe how mailpiece design is verified to ensure: All mailpieces (including customer-supplied) meet DMM/IMM specifications and processing capability with manufacturing equipment.

Mailpiece design has been approved by an authorized representative of the company.

Customer-approved electronic images are safeguarded to ensure integrity throughout the production process.

To ensure mailpieces meet DMM/IMM specifications.

Required document: Written Procedure (QM6)

Guidelines:

This standard is not applicable if your facility does not design and/or print mailpieces

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

ME2 MQC Certification

At least one individual must have current certification under the USPS Mailpiece Quality Control (MQC) Program.

To provide on-site assistance in mail preparation and design.

Guidelines:

Copies of current MQC certificates, or individual(s) names listed on the MQC website. (MQC link at <http://ribbs.usps.gov>).

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

ME3 Print Quality

As part of your Preventive Action Procedure, describe the printing procedures from start-to-finish ensuring that all printed material meets originally intended customer specifications and DMM/IMM requirements. Include how all print jobs are controlled and released for printing.

To prevent rework, regulate workflow and equipment usage.

Required document: Written Procedure (QM6)

Guidelines:

This standard is not applicable if your facility does not print material.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

ME4 Mailpiece Characteristics

As part of your Preventive Action Procedure, establish a process to ensure that address elements, postage payment information, meter dates, endorsements, return address elements, processing category, and barcodes are correct and meet all DMM/IMM specifications including proper placement. This applies to all mailpieces, inserts and reply pieces. When guidance is needed, contact the USPS Mailpiece Design Analyst (MDA).

To prevent reworking mail.

Required document: Written Procedure (QM6)

Guidelines:

- Current USPS MDA's name and phone number should be included in this procedure.
- This standard is applicable whether the mailpiece was produced at your facility or received from a client or agent.

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

ME5 Content

Ensure the contents of each mailpiece meet DMM/IMM specifications and are correctly classified for the intended rate of postage.

To meet rate eligibility and proper mail classification.

Guidelines:

- This standard does not apply to First-Class Mail.
- Examining the contents of Standard Mail, Periodicals, and Package Services (Parcel Post, Library Mail, Media Mail and Bound Printed Matter) is necessary to ensure proper classification, including non-profit authorization for Standard Mail, as well as eligibility and permissible attachments/enclosures for Periodicals, Library Mail, Bound Printed Matter and Media Mail.
- This standard is applicable, whether the mailpiece was produced at your facility or received from a client or agent.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

ME6 Postage

If postage is applied using adhesive stamps or meter impressions, describe the process used to verify that the correct postage is applied. For permit imprint mail, describe the process used to ensure that non-identical weights are controlled and separated unless authorized by the USPS to commingle non-identical weight permit imprint mail.

To ensure proper postage payment.

Guidelines:

"Authorized by the USPS" is an authorization under an approved mailing system.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

ME7 Mailpiece Problems

As part of your Preventive Action Procedure, describe how mailpiece design problems are communicated back to the mailpiece designer, client or agent.

To promote continuous improvement and customer satisfaction.

Required document: Written Procedure (QM6)

Guidelines:

This standard is applicable whether the mailpiece was produced at your facility or received from a client or agent.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

ME8 Authorizations and Fees

Ensure that all required permits and authorizations are current and appropriate fees have been paid.

To prevent mail rejection at the time of acceptance.

Guidelines:

- Acceptable evidence that authorizations are current and fees have been paid should be obtained through the client and may be verified by the USPS.
- A consolidated listing of permit numbers, client names, nonprofit authorizations, etc. may be maintained instead of individual documents for each client.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

5.8 Data Preparation

DP1 Software Certification

Ensure all CASS/MASS-certified, PAVE-certified, and/or MAC-certified software is the current version. Ensure that presort software conforms to standardized documentation requirements in the DMM, manifest software conforms to the current manifesting requirements in Publication 401, and software supporting carrier-route sequencing is updated at the required frequency.

To ensure that all current DMM/IMM changes are incorporated.

Guidelines:

- Acceptable documentation for address matching is a CASS/MASS certificate.
- Acceptable evidence for MAC or PAVE is current version of certified software listed on links at <http://ribbs.usps.gov>.
- Acceptable documentation to support Enhanced Carrier Route (ECR) may include CDS reports, DSF reports, etc.
- If entering customer-applied barcoded mail, a CASS Report may be required at the time of mailing.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

DP2 Predetermined Weights

Describe the process used to calculate and validate predetermined weights to ensure final mailpiece weights are accurate.

To ensure proper postage payment.

Guidelines:

This standard is not applicable to facilities that weigh each mailpiece or facilities that do not use predetermined weights.

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

DP3 Address Management

As part of your Preventive Action Procedure, describe the process for updating in-house address lists and verifying customer-supplied address lists meet DMM/IMM specifications. This process must explain how addresses are received, processed, and verified against output data.

To ensure that all address elements are correct and updated in a timely manner to enable accurate delivery of the mailpieces.

Required document: Written Procedure (QM6)

Guidelines:

This standard is not applicable to facilities that do not process mail utilizing in-house or customer-supplied address lists.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

DP4 Mail Parameters

Demonstrate a process to validate the parameters (mailpiece characteristics) entered into the presort software are accurate.

To ensure mail is properly prepared and matches documentation.

Guidelines:

This standard is not applicable to facilities that process mail solely on MLOCR/BCS equipment.

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

DP5 Discount Rates

Describe the process to validate that mailpieces meet the requirements for postage discounts, including barcodes (POSTNET, UCC/EAN Code 128, intelligent mail, etc.). For any presort rates or destination discounts, ensure that mailings meet minimum volume requirements.

To ensure mail is eligible for the rate claimed.

Guidelines:

- Use current templates and DMM to ensure barcodes meet specifications prior to production.
- CASS reports provide evidence of client's address block barcode compliance.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

DP6 Customer Notification

As part of your Corrective Action Procedure, identify how problems with address lists are communicated back to the list owner.

To provide a standardized communication process with the customer to correct address list errors.

Required document: Written Procedure (QM5)

Guidelines:

This standard is not applicable to facilities that process mail solely on MLOCR/BCS equipment.

Possible Points 1	Actual Points	Audit Evidence:
Initials _____		

DP7 Data Transfer/Merge

As part of your Preventive Action Procedure, describe the process to ensure electronically transferred or merged mailing data is accurate. This includes matching mail received against electronic file(s) to ensure all information is accurate.

To ensure transferred/merged data accurately represents the mail presented.

Required document: Written Procedure (QM6)

Guidelines:

- This standard is applicable to facilities transferring mailing data electronically for mail production purposes.
- This standard is applicable to facilities transferring/merging mailing data within the facility or transferring/merging mailing data and mail from one facility to another.

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

DP8 PostalOne!®

Describe your process for the successful transmission of data to the *PostalOne!®* server.

To ensure mail verification and acceptance can be completed.

Guidelines:

- The process should include validating transmissions and a trouble-shooting and re-transmission process when the initial transmission fails.
- Include contingency plan in OM7.
- This standard is applicable to *PostalOne!®* authorized users who submit electronic mailing information/payment such as ePostage, eVS, Postage Statement Wizard, etc.

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

5.9 Collecting and Receiving

CR1 Collecting

Describe the process for collecting mail from clients to be presorted or combined with other mail:

- 1) Identifying and segregating mail by customer.
- 2) Comparing the customer-supplied information to the mail collected.
- 3) Verifying the mail is separated by payment method, rate, and/or ounce-increment or as required by your company.

To ensure the entire shipment is received from each customer and mail is separated by postage payment method, and for permit imprint mail, by weight increment.

Guidelines:

- Customer-supplied information may include tray/sack counts, piece counts, class of mail and postage payment method(s), may be provided on such forms as a collection document or pick-up ticket.
- Include nonconforming product procedure in CR4.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

CR2 Receiving

Describe your process for checking all material at receiving. This includes supplies, inserts, envelopes, mail transferred from other sites, and all client-prepared mail to ensure that the correct material is received. (See ME4 for mailpiece characteristics that are checked at receiving.)

To ensure correct material was received.

Guidelines:

- If there is a separate process for checking client-prepared mail and checking supplies, inserts, etc., and/or transferred mail, describe each process.
- Include nonconforming product procedure in CR4

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

CR3 Quality Checks

As part of your Preventive Action Procedure, describe all quality assurance procedures used to verify that:

- 1) Mailing supplies and materials received are acceptable.
- 2) Client-prepared mail and/or mail transferred from other facilities meet all DMM/IMM requirements.

To prevent nonconforming product from being used or mailed.

Required document: Written Procedure (QM6)

Guidelines:

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

CR4 Nonconforming Products

As part of your Nonconforming Products Procedure, describe the process used to isolate nonconforming products **received** and the steps used to ensure future products have increased quality checks performed. Describe how suppliers are added or removed from the increased quality checks.

To prevent nonconforming products from being used or mailed.

Required document: Written Procedure (QM4)

Guidelines:

"Product" includes mail.

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

CR5 Corrective Action

As part of your Corrective Action Procedure, describe how nonconforming products **received** are addressed with the supplier and what actions will be taken to ensure the integrity of future products.

To improve customer/supplier communications.

Required document: Written Procedure (QM5)

Guidelines:

“Product” includes mail.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

CR6 Staging Cleared Mail

Describe the process used to ensure that only products that have been verified by quality assurance are released for processing and staged by class, postage payment method, and/or job number.

To ensure only mail meeting the quality standards is properly separated by client or job for processing.

Guidelines:

Clearly identify and segregate mail that is cleared for processing.

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

5.10 Mail Production

Mail Production encompasses all equipment and processes used to create, presort and containerize mail in order to present mailings to the USPS.

MP1 Set Up

Describe the process used to set up, test and inspect each piece of production equipment to ensure the equipment is producing a quality product.

To ensure equipment used for mail production is functioning properly.

Guidelines:

- If there is a separate process for setting up, testing and inspecting different types of equipment, describe each process.
- Tests and inspections could include barcode legibility, print quality, inserting, etc.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

MP2 Inserts and Enclosures

As part of your Preventive Action Procedure, for mailpieces that contain inserts or enclosures, describe the process used to ensure that only the intended material is properly inserted or packaged.

To prevent reworking the mailing.

Required document: Written procedure (QM6)

Guidelines:

This standard includes inserts and enclosures that are manually or mechanically inserted.

Possible Points 1	Actual Points	Audit Evidence:
Initials _____		

MP3 Operators

Describe the process used by operators to:

- 1) Ensure mail is processed using the appropriate sort scheme.
- 2) Profile mail.
- 3) Log any equipment problems showing the date and time the problem was identified and corrected (downtime).

To track each customer's mail and to identify additional equipment issues not identified during preventive maintenance.

Required document: Downtime Log

Guidelines:

- Acceptable evidence may include a production log that documents the scheme used and how mail has been profiled.
- "Profiling" includes separating by client, job ID, postage payment method, amount of applied postage and weight increment, when applicable.
- This standard is only applicable to facilities that process mail on MLOCR/BCS equipment.

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

MP4 Quality Checks

As part of your Preventive Action Procedure, describe what quality checks are completed throughout the production run, frequency of the checks, who performs the checks, and how they are documented.

To identify problems in production and prevent costly reworking.

Required document: Written Procedure (QM6)

Guidelines:

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

MP5 In-Line Sortation

Describe how all presort requirements are met during production.

To ensure that each mailing meets DMM/IMM requirement for the rate claimed.

Guidelines:

- “Presort requirements” include bundling, sacking/traying, and palletizing/containerizing as required by DMM/IMM preparation requirements and the rates claimed.
- Acceptable means to validate correct sorting may include the the use of the USPS Qualification Report, manifest report, “break marks”, and/or optional endorsement line.
- This standard is not applicable to facilities that process mail solely on MLOCR/BCS equipment.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

MP6 Defective, Damaged and Spoiled Pieces

Describe the process for handling defective, damaged and/or spoiled pieces, including reordered pieces.

To maintain rate qualification and discounts and to be able to account for pieces not mailed.

Guidelines:

- Characteristics of “defective” pieces include: unsealed/sticky envelopes, illegible meter imprints, incorrect meter date, improper endorsement, etc.
- For customers with a postage payment system agreement that requires a description for handling damaged/spoiled/reordered pieces, ensure your process is the same as stipulated in your agreement.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

MP7 MLOCR/BCS Sorting

Describe how all processing requirements are met including proper handling of rejects, and identification and segregation of second-pass mail.

To ensure that mail is accurately processed and each mailing meets DMM specifications for the rate claimed.

Guidelines:

- “Rejects” are mechanical rejects that may need to be reprocessed in “no-count” mode, or unread rejects that need to be counted when they are reprocessed.
- If your MLOCR is able to function without the barcode verifier, ensure it is “on” during processing.
- This standard is not applicable if your facility does not process mail on an MLOCR/BCS.

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

MP8 Tray, Sack, or Pallet

Describe the process used to ensure that the correct mail is placed in the correct tray, sack or on the correct pallet, and each tray, sack or pallet meets all minimum and maximum DMM/IMM requirements.

To ensure delivery of the mail to the intended destination.

Guidelines:

Written procedure, work instructions, or checklist could include DMM/IMM minimum and maximum container requirements.

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

MP9 Labels

Describe the process used to ensure that all old tags, stickers, labels, and damaged label holders are removed. Describe the process to verify that all container labels show the correct destination (line 1), contents CIN (line 2), and mailer information (line 3), and all barcodes are readable and have the correct human readable numeric equivalent printed below.

To prevent misrouting of mail.

Guidelines:

- "Tags" include old D&R tags.
- "Containers" include sacks, trays, pallets, or other USPS-approved containers.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

MP10 Tray Sleevling and Strapping

Describe the process used to ensure mail is sleeved and strapped per DMM and local USPS instructions. Maintain a copy of local USPS instructions.

To maintain the integrity of the mail in trays.

Guidelines:

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

MP11 *PostalOne!* @Transportation

Describe the process used to check the print quality of D&R tags and for verifying that the correct tag is affixed to each tray.

To prevent misrouting of mail.

Guidelines:

- Ensure all items on the D&R tag are readable.
- For surface routes, ensure that the D&R tag destination matches the sack/tray label.

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

MP12 Containerization

Describe the process used to ensure that transport containers are loaded according to national (DMM) and local USPS instructions and are correctly placarded. Maintain a copy of local USPS instructions.

To prevent misrouting mail.

Guidelines:

- “Transport containers” include: All-Purpose Containers (APCs), Over-The-Road (OTR) containers, or any other USPS-approved container.
- This standard applies to secondary containers used to transport mail.

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

5.11 Presentation**PR1 Staging**

Describe the process for staging and identifying individual mailings:

- 1) Separately by class (when required).
- 2) Presenting mixed AADC mail separately from other automation mail.
- 3) Separately staging single-piece mail.
- 4) Separately staging reworked mailings for re-verification.

To ensure proper verification and acceptance.

Guidelines:

“Reworked mail” is mail that has previously failed verification and has been corrected.

Possible Points 2	Actual Points	Audit Evidence:
Initials _____		

PR2 Documentation

Describe the process used to ensure that required documents are accurate, correctly completed and presented with each mailing on-time, as required.

To ensure proper verification and acceptance.

Guidelines:

Documents include postage statements, USPS Qualification Reports, PS Forms 8125, and any other documents required by an authorized postage payment system agreement (e.g., primary record, manifest listing, etc.).

Possible Points 3	Actual Points	Audit Evidence:
Initials _____		

PR3 Failed Acceptance

Establish documented procedures that address the following:

- 1) As part of your Nonconforming Products Procedure, describe the process used to isolate mailings that have failed acceptance and what steps are taken to resolve the nonconforming product.
- 2) As part of your Corrective Action Procedure, describe the process used when mail fails acceptance for any reason.

To ensure a plan is in place when mailings fail acceptance.

Required document: Written Procedure (QM4, QM5)

Guidelines:

“Resolving” could include correcting the mailing or paying the additional postage due identified by USPS verifications.

Possible Points 6	Actual Points	Audit Evidence:
Initials _____		