PostalOne!
Contingency Plan

Version 2.3
June 2016

1. *Executive Summary*

1.1 Purpose

The following instructions are provided for continuation of operations in the event a mailer is not able to submit an electronic postage statement to the United States Postal Service (USPS) due to a USPS system/application (including but not limited to: *PostalOne!,* eVs, SASP, CAPS, FAST, Business Customer Gateway, etc.) issue/outage or mailer issue/outage. System issues/outages can occur on a local or national basis.

A *USPS* system issue/outage is defined as any time there is a defect or issue with a USPS system (i.e. PostalOne!) that prevents and/or impacts:
- acceptance employees from accessing customer balance or fee information
- acceptance employees from entering and/or finalizing hardcopy postage statements
- acceptance employees from accessing and/or finalizing electronic postage statements
- mailers from submitting electronic documentation (eDoc) including postage statement
- mailers from accessing information, such as container status (eInduction) or account balances, necessary for continuation of operations
- mailers from making payments via the CAPS application

A *mailer* issue/outage is defined as any time there is a defect or issue with a mailer system that prevents and/or impacts:
- Mailers from submitting eDoc including postage statements

Mailers experiencing an issue with their system must contact the *PostalOne!* Help Desk at 800-522-9085 to open a ticket. **Note:** This only applies when a mailer experiences an issue with their system; mailers do not have to call the Help Desk during a USPS issue.

1.2 Process Overview

Communications: In the event a system issue or outage impacts internal or external users, the USPS will distribute communications through email and system login screens (if available) advising users that a system issue impacting normal business processes has occurred and Acceptances units must continue to accept mailings and follow processes outlined in this contingency plan document. Details of the communications can be found in Section 2 of this document.

Acceptance of mailings during a System Issue or Outage: During a system issue or outage Acceptance units will remain open during normal business hours and continue to accept and process customer mailings. Acceptance employees will follow the steps outlined in Section 3 of this document.

Release of Mailings to Operations:
Mailings accepted during a system issue or outage will be released to Operations without delay. Additional details of this process can be found in Section 4 of this document.

eInduction Mailings: In the event a system issue or outage impacts the eInduction program USPS processing facilities will be notified of the issue and instructed to accept containers following the procedures outlined in Section 5 of this document.

eVs Mailings: During a USPS or mailer system issue/outage impacting eVs, mailers may continue to transport their packages to destination locations. Hardcopy postage statements or PS Form 8125s during a system outage are not required. Additional details can be found in Section 6 of this document.

POSTALONE! CONTINGENCY PLAN

System Restoration and Reconciliation: Upon system restoration, "all clear" messaging will be distributed internally and externally using the same methods described in the Communications section of this document. In the event the system issue or outage prevented the processing of postage statements acceptance units will begin processing postage statements as described in Section 7 of this document.

2.   *Communications*

USPS Mail Entry Headquarters will distribute communications to all internal and external users during any planned or unplanned system issue/outage (*PostalOne!,* eVs, CAPS, FAST, Business Customer Gateway, etc.).Communications will include:
- Notification of the incident and impact
- An expectation of when the system may be restored
- Notification on system restoration progress
- Notification of system restoration

EXTERNAL COMMUNICATIONS		
eMail Communications	**Log-On Page(s)**	**Webpage(s)**
PostalOne! Users	FAST log in screen	PostalPro (when deemed appropriate)
FAST Users	Business Customer Gateway log in screen	
Industry Alert (during core business hours)		
DMM Advisory (when deemed appropriate)		
MTAC User Groups (as applicable)		
DMM Advisory (when deemed appropriate)		

INTERNAL COMMUNICATIONS		
eMail Communications	**Log-On Page(s)**	**Webpage(s)**
PostalOne! Users	*PostalOne!*	BMA Webpage (when deemed appropriate)
BMA Advisory	FAST	
P&C Weekly (when deemed appropriate)	Surface Visibility Scanners	

3. *Acceptance of Mailings during a System Issue or Outage*

During a USPS or mailer system issue/outage, acceptance units will move to a manual process to record all mailings presented.

As mailings are presented, acceptance employees must record information about each mailing on the USPS Record of Mailings Log. Information about the mailing can be obtained in one of two ways:
- Although not required, information about the mailing could be provided by the mailer; or
- Acceptance employees can capture information about the mailing through a physical review of the mailing.

Sufficient information must be recorded on this log to support the reconciliation of entries to postage statements in *PostalOne!* when the system comes back up.   Mailers are not required to present additional documentation such as qualification reports.
- Electronic Postage Statements - If mailers provide Information about their mailings the information can be provided verbally or through documentation (electronically or hardcopy)
  - The information could include some or all of the following:
    - Permit Holder
    - Total Pieces – either an exact or approximate piece count
    - Total Postage
    - Mailer Job ID
    - eInduction mailing: Yes or No
  - If Mailers cannot provide information about their mailings:
    - Acceptance employees must collect enough information from the physical mailpieces/mailings presented during an issue/outage to support the reconciliation process.

Note: The process to collect mailing information must not delay the acceptance of any mailing.

Note: Some mailers, who typically provide electronic mailing information, also provide courtesy hardcopy postage statements to acceptance employees located in DMU as part of established acceptance procedures. Hardcopy postage statements provided to acceptance employees to support those processes should not be entered into the *PostalOne!* system.

- Mailers who have Special Postage Payment System (SPPS) agreements authorized by Business Mailers Support will follow the contingency plan instructions and procedures identified within the SPPS agreements or Standard Operating Procedures (SOPs).

- Mailers who normally submit hardcopy postage statements for postage payment will continue to submit a hardcopy postage statement during a *PostalOne!* system outage
  - If the *PostalOne!* system is accessible by the acceptance employee the Hardcopy Postage Statements must be entered.
    - These statements are not required to be entered on the USPS Record of Mailings Log
  - If the *PostalOne!* system is NOT accessible by the acceptance employee the mailing information must be recorded on the USPS Record of Mailings Log. The postage statements must be secured.

- Mailers who normally submit hardcopy postage statements will be required to continue providing presort documentation with their mailings.

- This log will be maintained at acceptance units and will be used in the reconciliation process once the issue/outage is resolved.

- Verifications are not required during a system issue/outage.

o Upon system restoration, if verifications are requested, acceptance employees will select "*PostalOne!* is down" as the reason for the verification not being performed.
    ▪ On verifications where this selection is not available, acceptance employees will select "verification not performed."
o In all cases, "August 2016" must be recorded in the comments section.

Note: In August 2016 functionality will be added to the *PostalOne!* system that will allow for verifications not performed during an outage to be dismissed from reporting. (A data repair will be done once the functionality is in place to remove existing non-compliances).

3.5 System Restoration Process

In the case of a PostalOne! system or mailer outage, once the system is restored; an electronic postage statement must be submitted by the mailer for each mailing identified on the Customer Mailing Log. When there is a PostalOne! system delayed file transmission, the postage statements will appear on the dashboard when the system finishes processing the mailer's job.

3.6 System Restoration

3.6.1 Mailers who Normally Submit Hardcopy Postage Statements

Acceptance employees will ensure that all normally submitted hardcopy statements are entered into the system and processed as soon as possible after the system is restored. Compare system hard copy entries to the USPS Records of Mailing Log to ensure that all statements have been entered.

3.6.2 Electronic Document Submission – Postal Wizard, Mail.dat / Mail.XML

Mailers who normally submit electronic postage statements using Postal Wizard, Mail.dat or Mail.XML must submit electronic postage statements for all mailings presented and accepted during the outage. Once the PostalOne! system is restored acceptance employees
will begin processing all the postage statements received during the outage.
NOTE: Mailers who submit electronic postage statements via Postal Wizard cannot submit a "mixed" mailing (a mailing containing both Full-Service and non-Full-Service pieces) through Postal Wizard.

3.6.3 Full-Service Discount

To retain the Full-Service discount, electronic postage statements and documentation must be submitted to the PostalOne! system within three (3) business days after the PostalOne! system is restored or the mailer system outage is corrected. If the electronic postage statements and documentation are not available to the acceptance employee in the PostalOne! system after three (3) business days, the Full-Service discount will be deducted from a permit imprint account identified by the mailer. If no account is identified, the Full-Service discount will be deducted from the same permit imprint account used to pay the postage for the mailing presented during the outage.

3.6.4 PostalOne! System Delayed File Transmission

When there is a PostalOne! system delayed file transmission, the postage statements will appear on the dashboard when the system finishes processing the mailer's job.
Acceptance employees will compare the information on the electronic postage statement to the mailer submitted Customer Mailing Log and process the electronic statement. The
PostalOne! Help Desk ticket number will be entered in the comments section.

3.6.5 Adjust Check-in Time and Mailing Date

Acceptance sites must ensure that all statements are processed as soon as possible after PostalOne! system is restored. For each mailing that was accepted and cleared during the PostalOne! system outage, you must manually adjust the Check-In time and the mailing date to reflect the date that the mailing was actually received and the date released to mail processing. The Postage Statement Arrival Information

section located at the bottom of the Job Details screen will allow users to adjust the "Checked-in Time" of a postage statement.

In the "Adjusted Check-In Time" box of the "Job Detail" window, change the time to match the time that the mail arrived and was recorded on your site USPS Record of Mailings Log. The time cannot be greater than the current time. You must select "System Not Available" as the reason for the adjustment, and click the "Update" button.
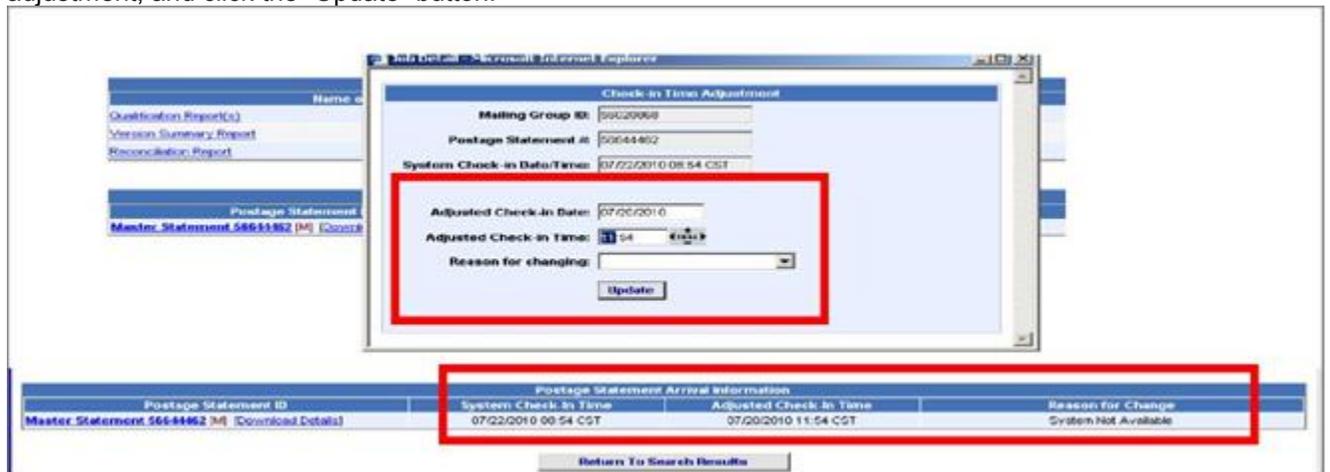
When entering postage statement information into PostalOne! following system restoration, acceptance sites must adjust the mailing date and enter the date that the mailing was actually released to mail processing.

a.   Select "None (Verification Previously Accessed)" for the "Verification Type" on the 1st PostalOne! screen when you enter the statement.
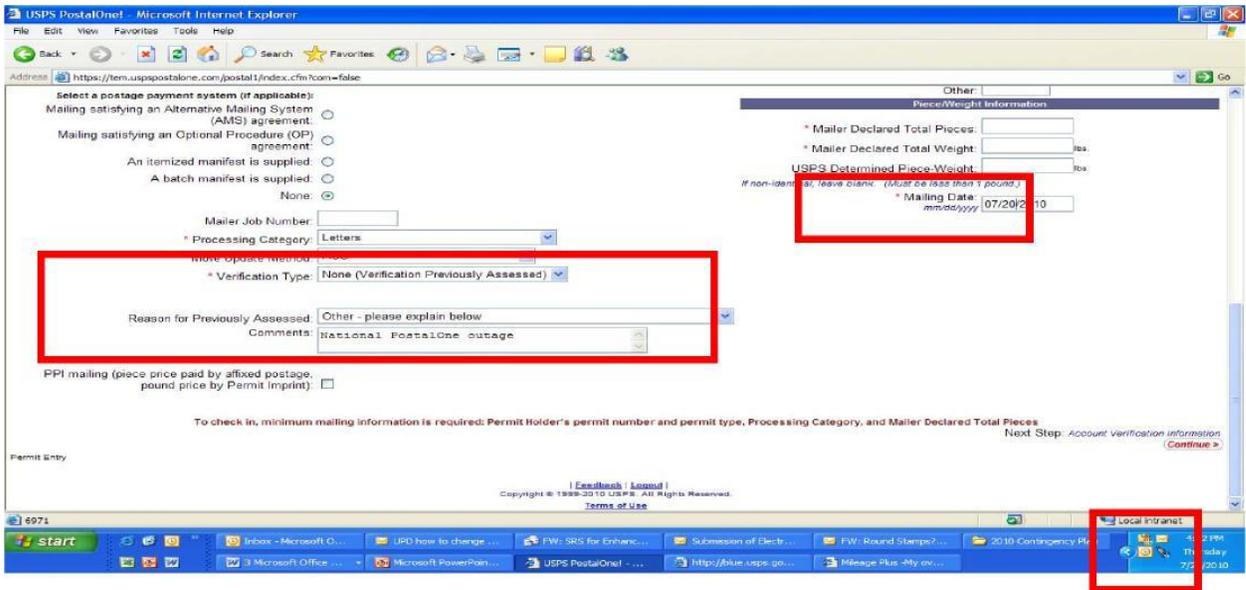

b.   Select "Other – please explain below" as the "Reason for Previously Assessed"
c.   Type "National PostalOne Outage" in the "Comments" box

Enter all hardcopy PS Form 2866 verification errors into the PostalOne! system.
You must also select a "Container Placard Option" and select "Print Later" before the PostalOne!
system will allow you to finalize the statement.

3.7 Hard Copy Postage Statements

Ensure that all normally submitted hardcopy statements are entered into the system and processed as soon as possible after the system is restored. Compare the USPS Record of Mailings Log to the hardcopy system entries to ensure that all statements have been entered.

After the system is restored, sites must ensure that item numbers (21) PostalOne! Entry: Date Entered, (22) PostalOne! Entry: Initials, and (23) PostalOne! Entry: Transaction Number on the USPS Record of Mailings Log are completed when each line item is entered into PostalOne!; regardless of whether hardcopy or eDoc postage statement information was used when entered into PostalOne!.

3.8 eDoc Submission – Mail.dat / Mail.XML/Postal Wizard

When the PostalOne! system is restored, acceptance sites must compare the Customer Mailing Log to eDoc mailings that are on the PostalOne! dashboard, and process the mailings using the electronic statement and documentation that was submitted for those mailings.
When the electronic postage statement and documentation are available on the dashboard, and the acceptance employee has finalized the electronic postage statement, the acceptance employee must record a check mark in (25) eDoc PS Finalized on the USPS Record of Mailings Log.

3.9 Managing the Dashboard following System Restoration – Log Reconciliation

- Statements already in the system, and already finalized (prior to the outage) - this can be identified by going to the Dashboard, pick "FIN" & "FPP" and use the "Include Closed Jobs" filter (shown below). FIN statements require no action, but sites should check to see if the statements brought in by the mailer close to the outage were already finalized in order to prevent double-billing the customer. Statements in FPP status should be verified with CPP publishers to ensure the status is valid and it will be processed correctly.

- Statements already in the system, but are not yet finalized (and should be once the system is back up) - this can be identified by going to the Dashboard and use the default filter (or pick INC, UPD, AVW, PAV, PEN, FAI, and PAS) to retrieve all the statements that are in a non-final stage. Compare these to the hardcopy statements listed on the USPS Record of Mailings Log during the outage and finalize accordingly.
- Not yet in the system, but should be entered and finalized - If, after comparing the statements that were already in the system (finalized or not) to the statements on the USPS Record of Mailings, the hardcopy statements that are not accounted for are the statements that need to be manually entered into the system and finalized.
- Transaction Summary Report - Acceptance sites should also run a PostalOne! Transaction Summary Report as a final assurance that all transactions have been entered in the system against the mailing listed in the appropriate log. The "Begin Date" should be the initial date of the PostalOne! system outage; the "End Date" should be left blank and users must check the "Include open transactions" checkbox. Generate the report by permit number.

3.10   End-of-Day Reconciliation following System Restoration

At the close out of the first day that the PostalOne! or customer system is restored, an End-of-Day Close-out (Reconciliation) Report (EOD) will be performed as already required in User Guide for Dashboard Management & Maintenance, Job Arrival Time (JAT) Check-in, and End-of-Day Close-out Reconciliation, located on the BMA website at http://blue.usps.gov/bma/training.htm.

4.   *Release of Mail to Operations*

While the *PostalOne!* system is not available or the mailer cannot transmit their eDoc, acceptance employees will not be able to generate PS Form 3607-P, Mail Release Placard.
- o   A manual PS Form 3607 must be completed for every mailing accepted, verified and postage collected at a BMEU or Post Office.
- o   **Mail cannot be staged in a cleared area without a manual PS Form 3607 physically attached.**

5.   *eInduction Process Details*

5.1   USPS System Issue/Outage (National)

During a National system issue/outage, postal facilities will follow the following processes:
- Accept and scan all placarded containers
  - o   **Note:** If the load is a mixed load (containing eInduction containers and regular Plant Verified Drop Shipment mail (PVDS)) reconcile appropriate containers to 8125 forms.
  - o   Collect 1 placard from each unloaded container for those not reconciled to 8125 forms

- In the SV-IMD, update all unresolved containers with a 99M barcode to Accept status
- Release reconciled containers, and containers from which a placard was removed, into operations
- Retain container placards and, for mixed loads, PS Form 8125s for reconciliation

- Non-eInduction mailings will continue to submit PS Form 8125

- **Note:** eInduction mailers are not required to provide any additional documentation (i.e. hardcopy 8125 or listing of container barcodes, etc.) at the BMEU, DMU or destinating postal facility.

5.2 USPS System or Mailer Issue/Outage (Local)

When a local system issue/outage impacts USPS or mailer systems the following processes should be followed:
- Mailer contacts the *PostalOne!* Help Desk at 800-522-9085 to report the issue
- Mailer informs the Help Desk Agent this issue could impact eInduction containers
- Help Desk assigns mailer a ticket and communicates issue to the FAST Help Desk
  - In the event a container cannot be reconciled to a PS Form, dock personnel are required to contact the FAST Help Desk. Help Desk personnel will instruct the dock employee to follow the contingency process.

5.3 Issues with Acceptance of Mail

Mailers experiencing acceptance issues at a DDU or Processing Facilities should contact the FAST Help Desk at 877-569-6614.

6. *Electronic Verification System (eVs) Process Details*

6.1 eVs Acceptance Process

During a USPS or mailer system issue/outage eVs mailers may continue to transport their packages to destination locations. eVs mailers will not be required to provide hardcopy postage statements or PS Form 8125s during a system outage.

6.2 Submission of Electronic Postage Statements after System Issue/Outage Resolution

Once the USPS or mailer issue is resolved mailers must submit electronic postage statements to the USPS immediately.

Mailers must submit all postage statements associated to mailings presented during a system outage within 48 hours of the system issue being resolved. Mailers may still experience a delay in jobs in file submission after an issue/outage has been resolved. If after the 48 hour period a mailer is still experiencing issues with the submission of electronic documentation, the mailer must contact the *eVs* Help Desk at 877-264-9693 option 4 to report the issue and have a ticket assigned.

6.3   Issues with Acceptance of Mail

Mailers experiencing acceptance issues at a BMEU, DMU, or eInduction issues at a DDU or Processing Facility should contact the eVs Help Desk at 877-264-9693 option 4.

7.   *System Restoration and Reconciliation*

Once the USPS or mailer issue is resolved mailers must begin submitting their electronic postage statements to the USPS immediately.

- Mailers and acceptance units may still experience a delay in jobs appearing on the *PostalOne!* dashboard after an issue/outage has been resolved. Acceptance units will continue to accept mailings under the *PostalOne!* and eInduction contingency for the next 48 hours.

- If after the 48 hour period a mailer is still experiencing issues with the submission of electronic documentation, the mailer must contact the *PostalOne!* Help Desk at 800.522.9085 to report the issue and have a ticket assigned. The mailer must present the ticket number at time of acceptance. Acceptance units will continue to accept these mailings under the *PostalOne!* contingency plans until the ticket is resolved.

Immediately after the system issue is resolved acceptance employees will begin reconciling the mailings listed on the manual USPS Mailing Log to electronic or hardcopy submitted postage statements.
- Once identified the postage statement will be finalized and funds for that mailing will be deducted from the paying account.