UNITED STATES POSTAL SERVICE®

Extra Services Technical Guide: Postal Forms, Labels, and Electronic Files

A. **Explanation.** Publication 109 provides detailed information on designing form and labels and provides technical information on barcodes and electronic files.

B. **Availability.** Publication 109 is not available in hardcopy format at this time.

Publication 109 is available on the Postal Service PolicyNet Web site:

- Go to *http://blue.usps.gov*.

- Under "Essential Links" in the left-hand column, click on *References*.

- Click on *PUB 109*.

(The direct URL for the Postal Service PolicyNet Web site is *http://blue.usps.gov/cpim*.) It is also available on the Postal Service Internet:

- Go to *usps.com*.

- Click on *All Products & Services*, then *Publications*, then *Postal Periodicals and Publications*, and then *PUB 109*.

C. **Comments on Content.** Address comments or questions regarding the content of this handbook to:

VALUE ADDED AND SPECIAL SERVICES
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475 L'ENFANT PLZ SW RM 5536
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1735 N LYNN ST RM 3011
ARLINGTON VA 22209-6032

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A/Manager
Value Added and Special Services
Product Development

Contents

Contents

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Exhibits

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List of Tables

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1 General Information

1-1 How to Use This Publication

Publication 109 has been created to help Postal Service customers comply with requirements for creating Extra Services forms and labels and electronic files. Specifically, it is designed for customers who want to do the following:

a. Privately print extra services forms and labels.

b. Send and/or receive electronic files in order to obtain the delivery status of their accountable mailpieces.

c. Obtain their return receipts in bulk electronically.

Each of these topics is outlined in its own chapter of this publication. However, chapter 2 is the foundation for the other chapters. Everything covered by this publication presumes the private printing of forms and labels. Also, mail owners often designate third parties to do things for them — print their barcodes, do their mailings, transmit their files, and even receive delivery data — and so options involving third-party designees appear throughout this publication.

Although Publication 109 is a useful tool to help customers comply with the form and label requirements for domestic mailings as well as the electronic file format requirements, it does not provide detailed information about each extra service. Please refer to *Mailing Standards of the United States Postal Service*, Domestic Mail Manual (DMM®), section 503, for detailed information on each extra service. An electronic version of the DMM is accessible on the Internet at *http://pe.usps.gov*.

1-2 The DUNS/Mailer ID Number

Essential to procedures described in this publication is a unique nine-digit number used to identify a business. Throughout this publication, the nine-digit number is referred to as a DUNS® number — DUNS is an abbreviation for Data Universal Numbering System, which is administered by Dun & Bradstreet. Previously, Postal Service customers had to obtain a DUNS number in order to participate in the programs described in this publication. However, effective August 2007, the Postal Service replaced the DUNS number with a Mailer ID number — but this change does not impact any customer who had previously used a DUNS number, because the customer's DUNS number still serves as the customer's Mailer ID number. A new customer who applies for services will be assigned a Mailer ID number

by Confirmation Services Support (see 1-3). Throughout this publication, the term "DUNS number" refers to the customer's unique nine-digit number, whether it is actually a DUNS number or a Mailer ID number.

The customer's nine-digit number makes it possible for the Postal Service to provide delivery information in bulk. This number is associated with a particular business to identify the mailer. It allows mail owners or their third-party designees to generate a unique tracking number that distinguishes their mailpieces from those of other mailers. Whether the mail owner or a designated third party is the actual mailer, the barcode represents that mailer's identification number as part of the Package Identification Code (PIC). The PIC also appears as human-readable numbers below the barcode on the label.

1-3   Customer Service

The following are registered marks and trademarks of the United States Postal Service®:

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Post Office™.
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Priority Mail®.
Registered Mail™.
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Mail owners or their third-party designees can receive technical support for all processes described in this publication by contacting Confirmation Services Support at 877-264-9693, option 1.

2 Privately Printed Extra Services Forms and Labels

2-1 Introduction

The Postal Service refers to privately printed forms and labels as those that are created by the customer. Customers who prefer to print their own labels rather than use the labels provided by the Postal Service generally do so in order to automate the label process.

There are five forms and labels that customers are permitted to privately print:

a. PS Form 3800, *Certified Mail Receipt*.

b. PS Form 3813-P, *Insured Mail Receipt*.

c. Label 200, *Registered Mail*.

d. PS Form 3811, *Domestic Return Receipt*.

e. PS Form 3804, *Return Receipt for Merchandise*.

Except for PS Form 3811, all of these forms have barcodes.

Privately printed forms and labels must be nearly identical in design and color to those printed by the Postal Service. The Postal Service must approve all barcoded forms and labels before use to ensure that they satisfy technical requirements.

The Postal Service scans the barcodes on extra services labels and creates electronic records of the scans. These records are stored in a centralized database that interfaces with many other Postal Service databases to permit retrieval of this information for internal purposes and for Postal Service customers.

Customers who print their own barcoded labels can receive delivery status information, which includes the date and time of delivery in bulk (see chapter 3). Even though PS Form 3811 has no barcode, customers can receive return receipts electronically in bulk by participating in the Bulk Proof of Delivery (BPOD) program.

2-2   Things Needed Before Printing

For printing barcoded extra services forms and labels, a mail owner or third-party designee needs the following:

a. A DUNS/Mailer ID number (see chapter 1).

b. Review and approval of the mailpiece design from the local business mail entry manager and the mailpiece design analyst (MDA). To locate the nearest MDA, visit the Postal Service Web site at *http://pe.usps.gov/mpdesign/mpdfr_mda_lookup.asp*.

c. Certification from the National Customer Support Center (NCSC) for the barcode. Using an already certified third-party designee may substitute for mail owner certification (see 2-8.2).

2-3   Certified Mail — PS Form 3800

2-3.1   General Information

Certified Mail service provides the sender with a mailing receipt and, upon request, electronic verification that the Postal Service delivered or attempted to deliver an article. The recipient signs a delivery receipt — PS Form 3849, *Delivery Notice/Reminder/Receipt* — and the Postal Service stores the delivery information, including the recipient's signature. Customers may obtain the delivery record by purchasing return receipt service and providing a complete return address on the mailpiece. A Certified Mail item is dispatched and handled in transit as ordinary mail. No insurance is provided. Only mailable matter on which postage is paid at a First-Class Mail rate (including Priority Mail service) may be accepted for Certified Mail service.

2-3.2   Barcoded Form

A Certified Mail item must bear a barcoded green PS Form 3800, *Certified Mail Receipt*, as shown in Exhibit 2-3.2. Human-readable numbers corresponding to the barcode must appear below it, arranged in groups of four digits.

Exhibit 2-3.2
PS Form 3800, Certified Mail Receipt (sample of privately printed form)

2-3.3 Private Printing Instructions

2-3.3.1 Authorization

A mail owner must receive authorization from the Postal Service to use a privately printed PS Form 3800. The privately printed form must be nearly identical in design and color to the Postal Service form. The barcode and human-readable numbers must meet the Postal Service specifications in 2-8.

2-3.3.2 Dimensions

The Certified Mail barcoded label is the detachable portion of PS Form 3800 that affixes to a mailpiece. It must have a length of 3 inches to 3-1/2 inches and a height of 1-3/4 inches to 2-11/32 inches. This size includes the fold-over flap placed over the top of the envelope to identify Certified Mail items when placed in trays.

The Certified Mail receipt is the detachable portion of PS Form 3800 that must be completed by the mail owner and the origin Post Office. If the mail owner requires a receipt to be completed at the retail window, the imprint area for a privately printed Certified Mail receipt must be nearly identical in design to PS Form 3800 as specified below:

a. "Official Use": 3/4 inch down from the top; left edge of the box is 3-3/8 inches from the right edge of the form; 1/4 inch high; 3-1/4 inches long.

b. "Postage": 1 inch down from the top; left edge of the box is 2-3/8 inches from the right edge of the form; 1/4 inch high; 1 inch long.

c. "Certified Fee": 1-1/4 inches down from the top; left edge of the box is 2-3/8 inches from the right edge of the form; 1/4 inch high; 1 inch long.

d. "Return Receipt Fee": 1-1/2 inches down from the top; left edge of the box is 2-3/8 inches from the right edge of the form; 1/4 inch high; 1 inch long.

e. "Restricted Delivery Fee": 1-3/4 inches down from the top; left edge of the box is 2-3/8 inches from the right edge of the form; 1/4 inch high; 1 inch long.

f. "Total Postage & Fees": 2 inches down from the top; left edge of the box is 2-3/8 inches from the right edge of the form; 1/4 inch high; 1 inch long.

g. "Postmark Here": 1 inch down from top; left edge of the area is 1-3/8 inches from the right edge of the form; 1-5/16 inches high; 1-3/8 inches long.

2-3.3.3 Stock

PS Form 3800 must be printed on white OCR bond, 20-pound basis weight (17 inches × 22 inches, 500 sheets), equal to Joint Committee on Printing (JCP) Code O-25, with no more than a trace of fluorescence in the paper.

2-3.3.4 Printing

PS Form 3800 must be printed in reverse in a match of PANTONE® Matching System (PMS) 347 (green). Ink must be unreadable ("blind") to the scanning wands used with Postal Service automated recordkeeping systems

for accountable mail and have a print contrast signal of less than 10 percent as measured by a Postal Service envelope reflectance meter. Numbers must be printed in nonreflective black ink. Black ink must have a minimum print contrast signal of 50 percent.

2-3.3.5 Label Adhesive

A privately printed PS Form 3800 that will be affixed to a mailpiece must use a permanent adhesive or have another form of glue to securely affix the detachable barcoded label portion of the form to the mailpiece. The label must be easy to affix but able to withstand normal handling by the Postal Service. It must be coated on the back (within 1/16 inch of the outside edges of the piece) with a permanent-type, pressure-sensitive adhesive or another form of glue with similar strength. The adhesive must adhere immediately and firmly to various paper-type surfaces (e.g., kraft, sulfite, bond, spun-bonded olefin, and other manufactured materials). The adhesive must be such that any attempt to remove the label must destroy either the label or part of the paper surface to which it is adhered.

2-4 Insured Mail — PS Form 3813-P

2-4.1 General Information

NOTE
Articles insured for more than $200 must have a barcoded blue PS Form 3813-P.

Retail insured mail service provides up to $5,000 indemnity coverage for a lost, rifled, or damaged article, subject to the standards for the service and payment of the applicable fee. A bulk insurance discount is available for insured articles entered by authorized mail owners who meet the criteria (as defined in DMM 503.4.4.1) and have received the proper Postal Service authorization. Insured mail service provides the sender with a mailing receipt.

For articles insured for more than $200, the Postal Service maintains a delivery record (recipient's signature). Insured mailpieces are dispatched and handled in transit as ordinary mail. In addition, the mail must bear the complete names and addresses of both the sender and the addressee.

2-4.2 Barcoded Form

Insured mail with a value of more than $200 must bear a barcoded blue PS Form 3813-P, *Insured Mail Receipt*, as shown in Exhibit 2-4.2. Human-readable numbers corresponding to the barcode must appear below it, arranged in groups of four digits.

Exhibit 2-4.2
PS Form 3813-P, Insured Mail Receipt (sample of privately printed form)

2-4.3 **Private Printing Instructions**

2-4.3.1 **Authorization**

A mail owner must receive authorization from the Postal Service to use a privately printed PS Form 3813-P for domestic mail only. The privately printed form must be nearly identical in design and color to the Postal Service form. The barcode and human-readable numbers must meet the Postal Service specifications in 2-8.

2-4.3.2 **Dimensions**

The insured mail barcoded label is the detachable portion of PS Form 3813-P that affixes to a mailpiece. It must have a length of 3 inches to 3-1/2 inches and a height of 1-3/4 inches to 2-11/32 inches.

The insured mail receipt is the portion of PS Form 3813-P that must be completed by the mail owner and the origin Post Office. If the mail owner requires a receipt to be completed at the retail window, the imprint area for a privately printed insured mail receipt must be nearly identical in design to PS Form 3813-P as specified below:

a. "Official Use": 3/4 inch down from the top; left edge of the box is 3-1/8 inches from the right edge of the form; 1/4 inch high; 3-1/16 inches long.

b. "Postage": 1 inch down from the top; left edge of the box is 2-1/4 inches from the right edge of the form; 1/4 inch high; 1 inch long.

c. "Insurance Fee": 1-1/4 inches down from the top; left edge of the box is 2-1/4 inches from the right edge of the form; 1/4 inch high; 1 inch long.

d. "Insurance Coverage": 1-1/4 inches down from the top; left edge of the box is 1-1/4 inches from the right edge of the form; 1/4 inch high; 1 inch long.

e. "Restricted Delivery Fee": 1-1/2 inches down from the top; left edge of the box is 2-1/4 inches from the right edge of the form; 1/4 inch high; 1 inch long.

f.   "Special Handling Fee": 1-3/4 inches down from the top; left edge of the box is 2-1/4 inches from the right edge of the form; 1/4 inch high; 1 inch long.

g.   "Return Receipt Fee": 2 inches down from the top; left edge of the box is 2-1/4 inches from the right edge of the form; 1/4 inch high; 1 inch long.

h.   "Total Postage & Fees": 2-1/4 inches down from the top; left edge of the box is 2-1/4 inches from the right edge of the form; 1/4 inch high; 1 inch long.

i.   "Postmark Here": 1-1/2 inches down from top; left edge of the area is 1-1/4 inches from the right edge of the form; 1-1/16 inches high; 1-1/4 inches long.

2-4.3.3 Stock

PS Form 3813-P must be printed on white OCR bond, 20-pound basis weight (17 inches × 22 inches, 500 sheets), equal to Joint Committee on Printing (JCP) Code O-25, with no more than a trace of fluorescence in the paper.

2-4.3.4 Printing

PS Form 3813-P must be printed in reverse in a match of PANTONE® Matching System (PMS) 286 (blue) or the Natural Color System (NCS) Medium Blue #12. Ink must be unreadable ("blind") to the scanning wands used with Postal Service automated recordkeeping systems for accountable mail and have a print contrast signal of less than 10 percent as measured by a Postal Service envelope reflectance meter. Numbers must be printed in nonreflective black ink. Black ink must have a minimum print contrast signal of 50 percent.

2-4.3.5 Label Adhesive

A privately printed PS Form 3813-P that will be affixed to a mailpiece must use a permanent adhesive to securely affix the detachable barcoded label portion of the form to the mailpiece. The label must be easy to affix but able to withstand normal handling by the Postal Service. It must be coated on the back (within 1/16 inch of the outside edges of the piece) with a permanent-type, pressure-sensitive adhesive or another form of glue of similar strength. The adhesive must adhere immediately and firmly to various paper-type surfaces (e.g., kraft, sulfite, bond, spun-bonded olefin, and other manufactured materials. The adhesive must be such that any attempt to remove the label must destroy either the label or part of the paper surface to which it is adhered.

A privately printed PS Form 3813-P that is printed directly onto the mailpiece does not need a pressure-sensitive adhesive or any other form of glue.

2-5 Registered Mail — Label 200

2-5.1 General Information

Registered Mail service is the most secure service that the Postal Service offers. It utilizes a system of receipts to monitor the movement of the mail from the point of acceptance to the point of delivery. Registered Mail service provides the sender with PS Form 3806, *Receipt for Registered Mail*, as a mailing receipt. The recipient signs a delivery receipt — PS Form 3849 — and the Postal Service stores the delivery information, including the recipient's signature.

Only mailable matter on which postage is paid at a First-Class Mail rate (including Priority Mail service) may be registered. The face (address side) of the registered article must be at least 5 inches wide and 3-1/2 inches high, regardless of thickness.

2-5.2 Barcoded Label

A Registered Mail item must bear a barcoded red Label 200, *Registered Mail*, as shown in Exhibit 2-5.2. Human-readable numbers corresponding to the barcode must appear below it, arranged in groups of four digits. Large-volume mail owners or third-party designees can obtain Label 200 in rolls of 100 from a local Post Office.

Exhibit 2-5.2
Label 200, Registered Mail (sample of privately printed label)

2-5.3 Private Printing Instructions

2-5.3.1 Authorization

A mail owner must receive authorization from the Postal Service to use a privately printed Label 200 for domestic mail only. The privately printed label must be nearly identical in design and color to the Postal Service label. The barcode and human-readable numbers must meet the Postal Service specifications in 2-8.

2-5.3.2 Dimensions

A Registered Mail barcoded label must have a length of 3 inches to 3-1/2 inches and a height of 1-3/4 inches to 2-11/32 inches.

2-5.3.3 **Stock**

Label 200 must be printed on one of the following stocks:

a.   White OCR bond, 20-pound basis weight (17 inches × 22 inches, 500 sheets), equal to Joint Committee on Printing (JCP) Code O-25, with no more than a trace of fluorescence in the paper.

b.   Smudgeproof Litho Label, 50-pound basis weight (17 inches × 22 inches, 500 sheets), with general-purpose, permanent-type, pressure-sensitive adhesive coating on the back.

2-5.3.4 **Printing**

Label 200 must be printed in reverse in a match of PANTONE® Matching System (PMS) 185 (red). Ink must be unreadable ("blind") to the scanning wands used with Postal Service automated recordkeeping systems for accountable mail and have a print contrast signal of less than 10 percent as measured by a Postal Service envelope reflectance meter. Numbers must be printed in nonreflective black ink. Black ink must have a minimum print contrast signal of 50 percent.

2-5.3.5 **Adhesive**

A privately printed Label 200 that will be affixed to a mailpiece must use a permanent adhesive to securely affix the label to the mailpiece. The label must be easy to affix but able to withstand normal handling by the Postal Service. It must be coated on the back (within 1/16 inch of the outside edges of the piece) with a permanent-type, pressure-sensitive adhesive or another form of glue with similar strength. The adhesive must adhere immediately and firmly to various paper-type surfaces (e.g., kraft, sulfite, bond, spun-bonded olefin, and other manufactured materials. The adhesive must be such that any attempt to remove the label must destroy either the label or part of the paper surface to which it is adhered.

A privately printed Label 200 that is printed directly onto the mailpiece does not need a pressure-sensitive adhesive or any other form of glue.

2-6   Return Receipt — PS Form 3811

2-6.1 **General Information**

Return receipt service provides a mail owner with evidence of delivery (to whom the mail was delivered and the date of delivery). A return receipt also provides the recipient's actual delivery address if it is different from the address used by the sender. A return receipt may be requested before or after mailing. A mailer purchasing return receipt service at the time of mailing may choose to receive the return receipt by U.S. mail or electronically. A mailer who receives the return receipt by mail receives the actual signature on PS Form 3811, *Domestic Return Receipt*. A return receipt received electronically provides the mailer with a PDF file of a Proof of Delivery letter that includes a copy of the recipient's signature. Electronic return receipts requested at the time of mailing are also available in bulk (see chapter 4 for more information).

Return receipt service requires use of one of the following classes or domestic services:

a.   Certified Mail.

b.   Collect on delivery (COD).

c.   Express Mail (not available with electronic return receipt).

d.   Insured mail (if insured for more than $200).

e.   Registered Mail.

2-6.2   Form

> **NOTE**
> *Return receipt forms do not have a barcode.*
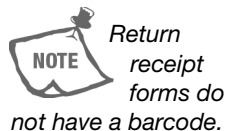
A return receipt by mail must bear a green PS Form 3811, *Domestic Return Receipt*, as shown in <u>Exhibit 2-6.2</u>. PS Form 3811 does not have a barcode.

Exhibit 2-6.2
**PS Form 3811, Domestic Return Receipt
(sample of privately printed form)**

2-6.3   Private Printing Instructions

2-6.3.1   Authorization

A mail owner must receive authorization from the Postal Service to use a privately printed PS Form 3811. The privately printed form must be nearly identical in design and color to the Postal Service form. A minimum of 10 privately printed preproduction samples must be submitted to the local business mail entry manager for review and approval by the MDA.

2-6.3.2   Dimensions

A return receipt must have an overall length of 7 inches to 7-1/8 inches and an overall height of 3-1/2 inches to 3-2/3 inches.

The detachable portion must have a length of 5 inches to 5-1/2 inches and a height of 3-1/2 inches to 3-2/3 inches.

Any form less than 5 inches in length or 3-1/2 inches high is nonmailable.

2-6.3.3 **Stock**

PS Form 3811 must be printed on stock that complies with the following specifications:

a. *Thickness*: The stock must have a minimum thickness of 0.007 inch and a maximum thickness of 0.016 inch.

b. *Weight*: The stock must be 89-pound U.S. postal card stock, 90-pound index, 100-pound tag, or similar quality stocks. Bristol or high-bulk stock is unacceptable. Another stock might be acceptable if it passes testing for machinability in Postal Service automation equipment.

c. *Color*: The color of the stock must meet one of the following requirements:

   (1) The color of the stock must be a close match of PANTONE® Matching System (PMS) 9561 (green). In lieu of matching PMS 9561, the green background reflectance values, as measured by a Postal Service envelope reflectance meter, must be a minimum of 60 percent in the red portions and 64 percent in the green portions of the optical spectrum.

   (2) The mail owner or printer may use white stock with a surface tint of PMS 9561 (green). If this option is used, the address block area may remain white. However, the green ink must remain uniform on the rest of the form, and the background reflectance values, as measured by a Postal Service envelope reflectance meter, must be a minimum of 60 percent in the red portions and 64 percent in the green portions of the optical spectrum.

2-6.3.4 **Printing**

PS Form 3811 must be printed using black ink on both sides, head-to-head. Facing Identification Mark (FIM) bars on the face must be within 1/16 inch from the top edge and 2-1/8 inches from the right-side perforation. If the address is preprinted on the face of the form, it must include a complete delivery address, including the ZIP+4, and a correct delivery point barcode. As required by DMM 708.9.0, if the address and barcode are preprinted, FIM C must be used on the face of PS Form 3811, and if the address and barcode are not preprinted, FIM B must be used on the face of PS Form 3811.

2-6.3.5 **Adhesive and Perforation**

A privately printed PS Form 3811 must use a permanent adhesive to securely affix the form to the mailpiece. The form must be easy to affix but able to withstand normal handling by the Postal Service.

PS Form 3811 must be perforated along the entire height, 3/4 inch from the left and right edges. The areas between the perforations and the outside edges must be coated with a 5/8-inch–wide solid strip of permanent pressure-sensitive adhesive suitable for adhering to paper, wood, metal, unprinted and unprinted spun-bonded olefin, and corrugated fiberboard products.

2-7   Return Receipt for Merchandise — PS Form 3804

2-7.1   General Information

NOTE *Return receipt for merchandise service is available on merchandise sent as Priority Mail, Standard Mail pieces subject to the residual shape surcharge, and Package Services (Parcel Post, Media Mail, Library Mail, or Bound Printed Matter).*

Return receipt for merchandise service is a type of return receipt service that provides the sender with a mailing receipt and recipient's actual signature as shown on PS Form 3811. The recipient signs a delivery receipt — PS Form 3849 — and the Postal Service stores the delivery information, including the recipient's signature. Return receipt for merchandise service also supplies the recipient's actual delivery address if it is different from the address used by the sender. Mail using this service is dispatched and handled in transit as ordinary mail. This service does not include insurance coverage. Return receipt for merchandise service does not require any other service, may not be requested after mailing, and cannot be combined with restricted delivery service.

2-7.2   Barcoded Form

A return receipt for merchandise item must bear a barcoded brown PS Form 3804, *Return Receipt for Merchandise*, as shown in Exhibit 2-7.2. Human-readable numbers corresponding to the barcode must appear below it, arranged in groups of four digits.

Exhibit 2-7.2
**PS Form 3804, Return Receipt for Merchandise
(sample of privately printed form)**

2-7.3   Private Printing Instructions

2-7.3.1   Authorization

A mail owner must receive authorization from the Postal Service to use a privately printed PS Form 3804. The privately printed form must be nearly identical in design and color to the Postal Service form. The barcode and human-readable numbers must meet the Postal Service specifications in 2-8.

2-7.3.2 **Dimensions**

The return receipt for merchandise barcoded label is the detachable portion of PS Form 3804 that affixes to a mailpiece. It must have a length of 3 inches to 3-1/2 inches long and a height of 1-3/4 inches to 2-11/32 inches.

The return receipt for merchandise receipt is the portion of PS Form 3804 that must be completed by the mail owner and the Post Office. If the mail owner requires a receipt to be completed at the retail window, the imprint area for a privately printed return receipt for merchandise receipt must be nearly identical in design to PS Form 3804 as specified below:

a.   "Official Use": 3/4 inch down from the top; left edge of the box is 3-1/2 inches from the right edge of the form; 1/4 inch high; 3-3/8 inches long.

b.   "Postage": 1 inch down from the top; left edge of the box is 2-1/2 inches from the right edge of the form; 1/4 inch high; 1 inch long.

c.   "Return Receipt for Merchandise Fee": 1-1/4 inches down from the top; left edge of the box is 2-1/2 inches from the right edge of the form; 1/4 inch high; 1 inch long.

d.   "Special Handling Fee": 1-1/2 inches down from the top; left edge of the box is 2-1/2 inches from the right edge of the form; 1/4 inch high; 1 inch long.

e.   "Total Postage & Fees": 1-3/4 inches down from the top; left edge of the box is 2-1/2 inches from the right edge of the form; 1/4 inch high; 1 inch long.

f.   "Postmark Here": 1 inch down from top; left edge of the area is 1-1/2 inches from the right edge of the form; 1-3/16 inches high; 1-1/2 inches long.

2-7.3.3 **Stock**

PS Form 3804 must be printed on white OCR bond, 20-pound basis weight (17 inches × 22 inches, 500 sheets), equal to Joint Committee on Printing (JCP) Code O-25.

2-7.3.4 **Printing**

PS Form 3804 must be printed in reverse in a match of Sinclair and Valentine J-30497 (brown). Ink must be unreadable ("blind") to the scanning wands used with Postal Service automated recordkeeping systems for accountable mail and have a print contrast signal of less than 10 percent as measured by a Postal Service envelope reflectance meter. Numbers must be printed in nonreflective black ink. Black ink must have a minimum print contrast signal of 50 percent.

2-7.3.5 **Label Adhesive**

A privately printed PS Form 3804 that will be affixed to a mailpiece must use a permanent adhesive or have another form of glue to securely affix the detachable barcoded label portion of the form to the mailpiece. The label must be easy to affix but able to withstand normal handling by the Postal Service. It must be coated on the back (within 1/16 inch of the outside edges of the piece) with a permanent-type, pressure-sensitive adhesive or another

form of glue with similar strength. The adhesive must adhere immediately and firmly to various paper-type surfaces (e.g., kraft, sulfite, bond, spun-bonded olefin, and other manufactured materials. The adhesive must be such that any attempt to remove the label must destroy either the label or part of the paper surface to which it is adhered.

A privately printed PS Form 3804 that is printed directly onto the mailpiece does not need a pressure-sensitive adhesive or any other form of glue.

2-8   Barcode Requirements

2-8.1   **Basic Information**

Privately printed domestic forms and labels must use USS Code 128 barcode symbology. The barcode represents the unique Package Identification Code (PIC), which comprises four fields totaling 20 characters. The PIC also appears in human-readable characters directly below the barcode.

As shown in Exhibit 2-8.1, barcode elements include the following:

a.   *Start Code*: All barcodes must begin with Start Code C. The start character does not appear in the human-readable presentation and is not manually keyed or transmitted.

b.   *Service Type Code (STC)*: This two-digit number identifies the type of product and service used for each item (see 2-8.5.2).

c.   *Customer ID*: This is the nine-digit DUNS number, which uniquely identifies business entities at specific physical addresses. Customers generating mailings at multiple locations must use the DUNS number appropriate for each mailing location.

d.   *Eight-Digit Sequential Number*: Customers assign their own eight-digit sequential number, which must remain unique for each Service Type Code for at least 2 years in order to ensure that it identifies only one mailpiece.

e.   *Check Digit*: A check digit is a digit added at the end of a sequence of numbers to validate the authenticity of the numbers. It is required for all customer-generated extra services forms and labels to detect errors resulting from manual data entry or errors from transmitted data. The algorithm for calculating the check digit appears in 2-8.5.3.

USS Code 128 barcodes for privately printed PS Forms 3800, PS Forms 3813-P, Labels 200, and PS Forms 3804 use weighted MOD 10 and MOD 103 check digits. The weighted MOD 10 check digit that follows the final digit of the eight-digit sequential number (reading from left to right) is considered a data element, and it must appear in human-readable form so that it is transmitted as data. The MOD 103 check digit, inherent in the USS Code 128 symbology, precedes the final Stop Code. It must *not* appear in human-readable form so that it is not transmitted as data.

f.   *Stop Code*: All barcodes end with a Stop Code. The Stop Code does not appear among the human-readable numbers below the barcode, and it is not manually keyed or transmitted.

Note: Elements b–f make up the PIC.

Exhibit 2-8.1
USS Code 128 Barcode Symbology

| | 7 | 1 | 9 | 9 | 1 | 2 | 0 | 9 | 9 | 9 | 9 | 9 | 9 | 9 | 9 | 9 | 8 | 3 | 4 | 9 | | |

Start
Code
C

Service
Type
Code
(2 Digits)

Customer ID DUNS Number
(9 Digits)

Identifier Serial Number
Fixed Length
(8 Digits)

MOD
10

MOD
103

Stop
Code
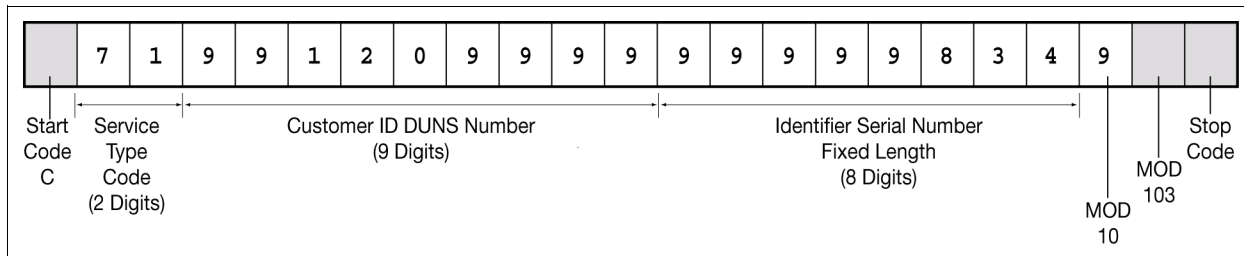
2-8.2 Privately Printed Barcode Certification

2-8.2.1 Certification Required

Mail owners or third-party designees who print their own forms and/or labels must receive certification of their privately printed barcoded labels from the National Customer Support Center (NCSC).

Note: This requirement is applicable for privately printed PS Form 3800, PS Form 3813-P, Label 200, and PS Form 3804. It is not applicable to PS Form 3811. Only the MDA needs to review and approve PS Form 3811.

2-8.2.2 Certification Process

2-8.2.2.1 Mail Owners or Third-Party Designees

To receive certification, mail owners or third-party designees must do the following:

a.   Submit 10 barcoded sample forms/labels to the local business mail entry manager and MDA.

b.   Complete PS Form 109, *Application to Print Extra Services Barcoded Forms/Labels* (see Exhibit 2-8.2.2.1) and send it to the NCSC either by fax to 901-681-4646 or by mail to the following address:

CONFIRMATION SERVICES SUPPORT
NATIONAL CUSTOMER SUPPORT CENTER
UNITED STATES POSTAL SERVICE
6060 PRIMACY PKWY STE 201
MEMPHIS TN 38188-0001

Exhibit 2-8.2.2.1
**PS Form 109, Application to Print Extra Services Barcoded Forms/
Labels**

Click on the link below to find the latest edition of PS Form 109.
www.usps.com/forms/_pdf/ps109.pdf

2-8.2.2.2 **Postal Service**

After receiving a certification request, the Postal Service will do the following:

a.   The local business mail entry manager will provide the 10 sample forms/labels to the MDA for review and approval of the mailpiece design (see 2-2b).

b.   The MDA will review and approve the form/label design and forward 10 samples to the National Customer Support Center (NCSC) for review and approval of the barcode.

c.   The NCSC will:

(1)   Verify the accuracy of the DUNS number.

(2)   Determine if the software has already been previously certified.

(a)   If yes, the NCSC will provide an exemption to the certification process, and the mailer may proceed with printing the labels.

(b)   If no, the NCSC must certify sample barcodes produced by the software, and will send the applicant an Extra Services Certification Test Instruction Guide containing all of the information necessary for the applicant to print sample labels for the NCSC to test.

Upon receiving the sample barcodes, the NCSC will test them. If they pass, the NCSC will send the applicant an approval letter certifying the barcode, and the applicant may then proceed to privately print the labels.

2-8.2.3 **Recertification**

In the event that barcode print quality falls out of tolerance after certification, the Postal Service will contact the printer of those forms and/or labels and initiate an effort to jointly resolve the problem. The Postal Service may require that printing and use of noncompliant privately printed forms and/or labels be discontinued until they are recertified.

2-8.3 **Barcode Print Specifications**

2-8.3.1 **Dimensions**

As noted in Exhibit 2-8.3.1, the following standards apply:

a.   The preferred range of widths of narrow bars and spaces is 0.015 inch to 0.017 inch. The width of any narrow bar or space shall be no less than 0.013 inch nor greater than 0.021 inch.

b.   The height of the barcode must be a minimum of 0.75 inch.

Exhibit 2-8.3.1
Barcode Print Specifications

	Minimum	**Maximum**
Preferred x-dimension	0.015 inch	0.017 inch
Allowable x-dimension	0.013 inch	0.021 inch
Height of barcode	0.75 inch	—

Note: The x-dimension is the width of the average measured narrow element, whether bar or space. The x-dimension must be uniform within the barcode.

2-8.3.2 **Clear Zone**

No printing may appear in an area 0.125 inch above or below the barcode. On either side of the barcode, a minimum clear zone equal to 10 times (10x) the average measured narrow element (bar or space) width and extending the full height of the barcode must be maintained, per specifications by the Association for Automatic Identification and Mobility (AIM). When feasible, a left and right clear zone of 0.25 inch is recommended. Exhibit 2-8.3.2 illustrates these zones.

Exhibit 2-8.3.2
Barcode Specifications (Not to Scale)
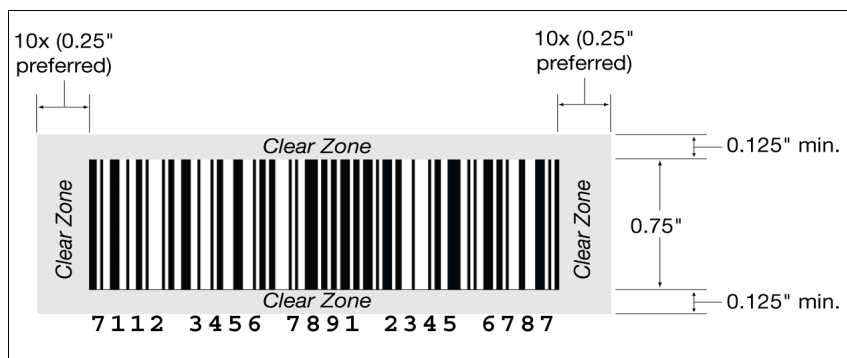
2-8.3.3 **Reflectance**

When measured in the red spectral range between 630 nanometers and 675 nanometers, the minimum white space reflectance (Rs) must be greater than 50 percent, and the maximum bar reflectance (Rb) must be less than 25 percent. The minimum print reflectance difference (Rs – Rb) is 40 percent. The measurements must be made using a Postal Service–specified reflectance meter or a Postal Service–approved barcode verifier.

2-8.4 **Barcode Quality**

2-8.4.1 **Grade**

All barcodes in each mailing must measure the minimum grade A, B, or C as specified in American National Standards Institute (ANSI) Bar Code Print Quality Guidelines, INCITS 182. At least 70 percent of the privately printed barcodes must measure ANSI grade A or B, and none of the remaining portion can measure lower than ANSI grade C.

Copies of ANSI documents are available from the following address:

> ATTN: CUSTOMER SERVICE DEPARTMENT
> GLOBAL ENGINEERING DOCUMENTS
> 15 INVERNESS WAY EAST
> ENGLEWOOD CO 80112
>
> *Web site: http://global.ihs.com*

2-8.4.2 Specifications

The symbol construction is based on the AIM specification ANSI/AIM BC4 — International Symbology Specification (ISS) Code 128.

This specification is available from the following address:

> THE ASSOCIATION FOR AUTOMATIC IDENTIFICATION AND MOBILITY (AIM)
> 125 WARRENDALE-BAYNE RD
> WARRENDALE PA 15086-7570
>
> *Web site: www.aimglobal.org*

2-8.5 Human-readable Numbers (the PIC)

2-8.5.1 Specifications

The human-readable numbers must appear no less than 0.125 inch below the barcode, a distance at least 10x the minimal barcode x-dimension. The numbers must be centered below the barcode, in a sans-serif font no less than 10 points, and arranged into groups of four digits.

2-8.5.2 Service Type Code

A Service Type Code (STC) must be used as the first two digits in each barcode on any privately printed extra services form or label. Exhibit 2-8.5.2 lists the Service Type Code that is required for each extra service.

Exhibit 2-8.5.2
Service Type Code Required for Each Extra Service

Service	Form/Label	Code
Certified Mail	PS Form 3800	71
Insured Mail	PS Form 3813-P	73
Registered Mail	Label 200	77
Return Receipt for Merchandise	PS Form 3804	81

2-8.5.3 Check Digit Algorithm

2-8.5.3.1 Overview

The USS Code 128 Subset C 20-digit barcode PIC uses a weighted MOD 10 check digit. The weighted MOD 10 check digit for these forms and labels may be calculated by listing in positional order digit number 1 up to and including the appropriate two-digit Service Type Code. Digit positions are numbered from right to left for this calculation so that the weighted MOD 10 check digit is always listed in position 1.

2-8.5.3.2   **Example Calculation**

Assume that a PS Form 3800 PIC number is 7112345678912345678?, consisting of the following:

a.   Service Type Code = 71

b.   Customer ID (DUNS number) = 123456789

c.   Eight-digit sequential number = 12345678

d.   Weighted module 10 check digit = ?

The weighted MOD 10 check digit is calculated using the following steps.

Step 1

Set up a two-row matrix, labeled 20 through 1, with 1 being the most significant position in the matrix (i.e., the rightmost position). Starting from the least significant position of the matrix (position 20), copy each digit of the PIC all the way to position 2 (excluding the position of the check digit, shown in the example below by a "?").

Position	20	19	18	17	16	15	14	13	12	11	10	9	8	7	6	5	4	3	2	1
PIC	7	1	1	2	3	4	5	6	7	8	9	1	2	3	4	5	6	7	8	?

Note: For the following forms and labels, the dimension length of the matrix (maximum number of cells) is always 20, including the cell for the check digit:

a.   PS Form 3800, *Certified Mail Receipt*.

b.   PS Form 3813-P, *Insured Mail Receipt*.

c.   Label 200, *Registered Mail*.

d.   PS Form 3804, *Return Receipt for Merchandise*.

Step 2

Starting from position 2 of the matrix, add up the values in the even-numbered positions.

Position	20	19	18	17	16	15	14	13	12	11	10	9	8	7	6	5	4	3	2	1
PIC	7	1	1	2	3	4	5	6	7	8	9	1	2	3	4	5	6	7	8	?

For the example: 8 + 6 + 4 + 2 + 9 + 7 + 5 + 3 + 1 + 7 = 52

Step 3

Multiply the result of Step 2 by the number 3.

For the example: 52 x 3 = 156

Step 4

Starting from position 3 of the matrix, add up the values in the odd-numbered positions, skipping position 1 because it is the position of the check digit.

Position	20	19	18	17	16	15	14	13	12	11	10	9	8	7	6	5	4	3	2	1
PIC	7	1	1	2	3	4	5	6	7	8	9	1	2	3	4	5	6	7	8	?

For the example: 7 + 5 + 3 + 1 + 8 + 6 + 4 + 2 + 1 = 37

Step 5

Add up the results for steps 3 and 4.

For the example: 156 + 37 = 193

Step 6

The check digit is the smallest number which, when added to the result obtained through step 5, gives a number that is a multiple of 10.

For the example: 193 + ? = 200

? = 7

7 = Check Digit

In this example, 7 is the smallest number that, when added to 193, results in a multiple of 10. Therefore, the check digit is 7.

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3 Electronic File Transmission

3-1 Introduction

This chapter is intended for customers who want to receive electronic transmissions of the delivery status (date and time of delivery or delivery attempt) of their Certified Mail and Registered Mail articles in bulk.

3-2 Things Needed to Get Started

3-2.1 Transmitting and Receiving Electronic Files

For transmitting and receiving electronic files, the mail owner or third-party designee needs to already have the following:

a. *DUNS Number*. The DUNS number of whoever actually handles the mailing (either the mail owner or a third-party designee) must appear in the PIC in the privately printed barcode (see 2-8) and in the Detail Records of an electronic file (see 3-4.3). The DUNS number of whoever actually transmits the electronic file (either the mail owner or a third-party designee) must appear in the Header Record of that electronic file (see 3-4.2).

b. *Postal Service Approval*. For privately printed barcoded forms and/or labels, a Postal Service MDA must approve the design, and the NCSC must certify for the barcodes (see 2-8.2).

c. *Entry Facility ZIP Code*. If the entry facility is a bulk mail center or sectional center facility, then the mail owner or third-party designee enters the ZIP Code for that facility rather than for a Post Office.

d. *Client DUNS number* (if a third-party designee is transmitting files on behalf of the mail owner/client, so that the Postal Service knows where to send extracted delivery information in bulk). Client DUNS number allows a third-party designee three options:

(1) Mail one or more clients' mail using a unique DUNS number assigned to the client(s) and placing the number(s) in the Client DUNS Number field of Detail Record 1. The third-party designee's DUNS number appears in the Header Record and in the PIC.

(2)   Mail one or more clients' mail using a unique DUNS number assigned to the client(s) and placing the number(s) in the PIC. The third-party designee's DUNS number appears in the Header Record.

(3)   Mail its own mailings using a separate DUNS number assigned to it for this purpose. This DUNS number appears in the PIC and either in the Header Record of the electronic file or in the Client DUNS Number field of Detail Record 1.

e.   *Customer Reference Number*. The mail owner or third-party designee has the option of using this number for internal purposes. Only the mail owner or third-party designee uses this number — the Postal Service neither validates nor endorses it. The number must not contain personal information that can be traced back to an individual (e.g., a social security number or driver's license number).

3-2.2   Formatting Electronic Files

Remember these basic things in setting up electronic files:

a.   The file is an ASCII text, fixed field length.

b.   A line feed and carriage return is needed at the end of every record except the last record of the electronic file.

3-3   Certification Process for Electronic File Transmission

3-3.1   Establish a Profile

3-3.1.1   Submit the Forms

The mail owner or designee must complete and submit PS Form 109, even if the Postal Service has already certified the barcode software. For sending electronic files, the mail owner or designee must also submit PS Form 1357-S, *(Customer) Request for Computer Access*. The NCSC will process these submissions, create a customer profile, and contact the applicant with a log-on ID and password to connect to the Postal Service.

3-3.1.2   Choose Method of Transmission

NOTE *Mail owners or third-party designees who later may want to receive return receipts in bulk (see chapter 4) may want to choose FTP rather than EDI as their method of transmission. EDI is unavailable for downloading Signature Extract Files.*

Files may be transmitted using the File Transfer Protocol (FTP) via the Internet, or by using Electronic Data Interchange (EDI). See 3-5.3 for more information. Once the application process is complete, Confirmation Services Support will conduct a short test of the electronic file and barcodes.

3-3.2 **The Instruction Guide**

After receiving the application, the NCSC will send to the applicant an instruction guide that provides detailed instructions for the certification process. The certification process tests sample electronic files for the following:

a.   Transmission.

b.   File format.

c.   Accuracy of content.

In testing for accuracy of content, the NCSC verifies that the PIC on the applicant's barcoded forms and/or labels matches the appropriate PIC in the electronic file. The NCSC also reviews any errors and warnings with the applicant.

Once the NCSC certifies the applicant's electronic files and ability to transmit them, the applicant can begin processing electronic files for transmission.

3-4   Electronic File Format

3-4.1 **The Two Records**

Mail owners or designees can be certified for transmission of electronic files only if the Postal Service has already certified their privately printed barcoded labels (see chapter 2).

The electronic file record formats are a set of character positions or fields. Mandatory fields must be populated, and optional fields may be filled with spaces (see 3-4.2 and 3-4.3). Edit checks are not performed on optional fields; therefore, no warning or error messages will be issued for them.

The electronic file consists of two records:

a.   Header Record (H1)

b.   Detail Record 1 (D1)

Electronic files must contain one Header Record followed by a Detail Record 1 for each mailpiece in the mailing. Any number of Detail Record 1 records may follow a single Header Record in a file.

Example:

H1750123456789600000011 . . .

D1PM71123456789000050015 . . .

D1PM71123456789000058424 . . .

D1FC71123456789000055249 . . .

D1FC71123456789000057502 . . .

3-4.2 **Header Record (H1)**

The Header Record contains information about the actual mailer (i.e., either the mail owner or the third-party designee), the date and time of mailing, a unique Electronic File Number, and an entry facility ZIP Code for that mailing. The Electronic File Number in the Header Record contains the DUNS number that identifies the mailer. The Electronic File Number must not be repeated for a period of 12 months.

See Exhibit 3-4.2 and Table 3-4.2 for mandatory and optional Header Record fields (mandatory fields must be populated, and optional fields may be filled with spaces).

Exhibit 3-4.2
Key Elements in a Header Record

Table 3-4.2
Header Record (130 positions total)

Note: Required fields only; for more information about optional fields, contact Confirmation Services Support (see chapter 1)

Record Positions	Field Name	Description	Content Rules and Limitations
001–002 (2 positions)	Header Record ID	An alphanumeric (ASCII) field that identifies an Electronic File Header Record	**H1** is required
003 (1 position)	Electronic File Type	An alphanumeric (ASCII) field that identifies type of service	6 Registered Mail 7 Certified Mail
004–025 (22 positions)	Electronic File Number	Unique number assigned to identify the electronic file, followed by 2 zeros. USS Code 128 Symbology: **2 digits** - Service Type Code **9 digits** - DUNS Number of actual mailer **8 digits** - eight-digit sequential number **1 digit** - MOD 10 check digit 2 spaces	The Service Type Code must be **50** (for the Header Record in electronic files). The Electronic File Number must be unique for 12 months from date of first use.
026–033 (8 positions)	Date of Mailing	Number indicating date mail is tendered to the Postal Service	YYYYMMDD
034–039 (6 positions)	Time of Mailing	Number indicating estimated time mail is tendered to Postal Service	HHMMSS 24-hour time format
040–044 (5 positions)	Entry Facility	ZIP Code of Postal Service facility where the mail is tendered	Unique ZIP Code for each Postal Service facility where mail will be tendered
045–074 (33 positions)	These fields are not applicable to this publication and should be populated with spaces.		
075–077 (3 positions)	Postal Service Electronic File Version Number	Postal Service Electronic File Version Number	Current version 1.3
078–080 (3 positions)	Unique Developer ID Code	A unique alphanumeric (ASCII) code provided by Postal Service to identify the developer of the shipping manifesting system.	Code provided by USPS Technical Support
081–088 (8 positions)	Product Version Number for Shipping/ Manifesting Software	A product version number for the shipping/ manifesting software (alphanumeric, or ASCII)	Left justified, trailing spaces. Unique number the software developer designates, or USPS Technical Support provides
089–097 (9 positions)	File Record Count	Total number (up to nine digits) of all records in electronic file, including Header Records and all Detail Records	Leading zeros required
098–130 (33 positions)	These fields are filler for future use and should be populated with spaces.		

3-4.3 ## Detail Record 1 (D1)

Detail Record 1 contains information specific to a single piece of mail including the 20-digit Package Identification Code (PIC) — the same thing as the tracking or barcode number — and the destination ZIP Code. The same PIC must not be repeated in any 24-month period from the date of first use. The PIC comprises a Service Type Code, the DUNS number, a unique eight-digit sequential number, and a check digit (see 2-8.5).

Note: The PIC incorporates many of the same numbers that appear in the Electronic File Number in the Header Record, also made up of 20 digits, but the two number sets are not identical. For example, the eight-digit sequential number in the PIC differs from the eight-digit sequential number in the Electronic File Number.

See Exhibit 3-4.3 and Table 3-4.3 for mandatory and optional Detail Record 1 fields (mandatory fields must be populated, and optional fields may be filled with spaces).
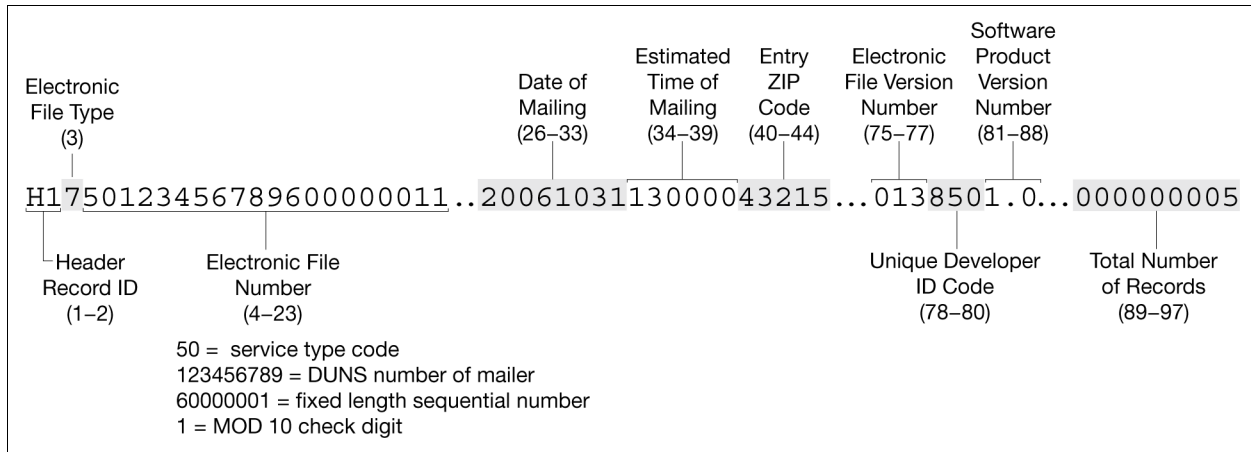
Exhibit 3-4.3
Key Elements in Detail Record 1

Table 3-4.3
Detail Record 1 (200 positions total)

Note: Required fields only; for more information about optional fields, contact Confirmation Services Support (see chapter 1).

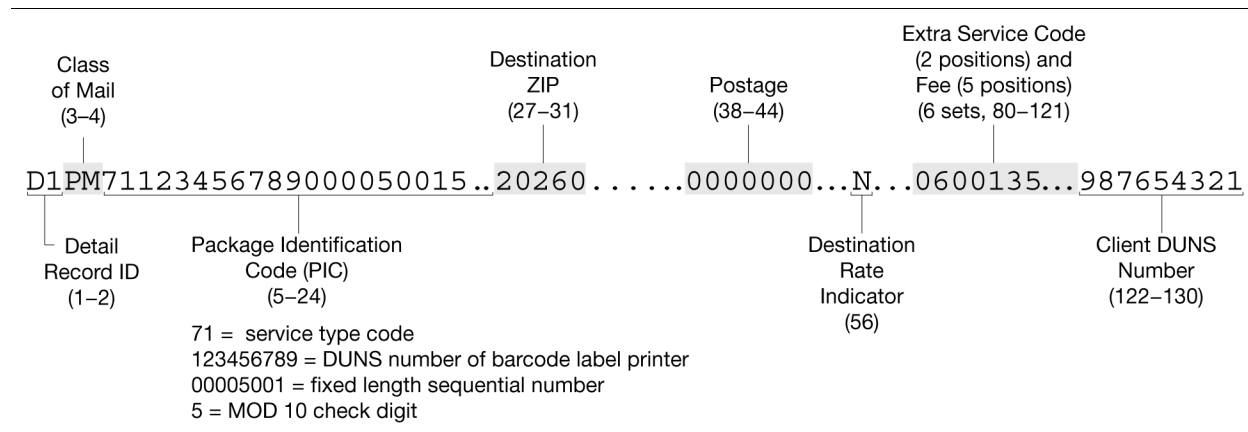| Record Positions	Field Name	Description	Content Rules and Limitations
001–002 (2 positions)	Detail Record ID	An alphanumeric (ASCII) field that identifies an Electronic File Detail Record 1	**D1** is required
003–004 (2 positions)	Class of Mail	An alphanumeric (ASCII) field for class of mail.	**PM** Priority Mail **FC** First-Class Mail
005–026 (22 positions)	Package Identification Code (PIC)	Unique number assigned to identify a package: **2 digits** - Service Type Code **9 digits** - DUNS Number of barcode label printer **8 digits** - eight-digit sequential number **1 digit** - MOD 10 check digit 2 spaces	The eight-digit sequential number must be unique for 24 months from date of use. Service Type Codes for PIC: **71** Certified Mail **77** Registered Mail When fewer than 22-digits are used, the numbers must be left justified with trailing spaces.
027–031 (5 positions)	Destination ZIP	Destination ZIP Code	
032–035 (4 positions)	Destination ZIP+4	+4 add-on for destination five-digit ZIP Code	Default is spaces. Do not include dash.
036–037 (2 positions)	These fields are not applicable to this publication and should be populated with spaces.		
038–044 (7 positions)	Postage	Postage (excluding extra services fees)	Default is zeros; leading zeros required; in dollars, rounded to the nearest cent
045–055 (11 positions)	These fields are not applicable to this publication and should be populated with spaces.		
056 (1 position)	Destination Rate Indicator		Default is **N** for nonapplicable services.
057–079 (23 positions)	These fields are not applicable to this publication and should be populated with spaces.		
080–121 (42 positions)	Extra Service Codes and Fees (6 sets)	Six sets of seven numbers, each set comprising an extra service code (2 positions) and its fee (5 positions).	Used for up to six extra services. If a field is not used, its default population is two spaces for the extra service code, five zeros for the fee. **03** Certified Mail **06** Return Receipt **10** Registered Mail Codes appear in positions 080–081, 087–088, 094–095, 101–102, 108–109, and 115–116. The extra services fee must appear after the code (i.e., $0.85 entered as 00085).
122–130 (9 positions)	Client DUNS Number	For anyone to receive Extract Files. Reference 3-2.1.d	Default is zeros

Table 3-4.3
Detail Record 1 (200 positions total)

Note: Required fields only; for more information about optional fields, contact Confirmation Services Support (see chapter 1).

Record Positions	Field Name	Description	Content Rules and Limitations
131–160 (30 positions)	Customer Reference Number	Used by customer for internal identification purposes	Default is spaces
161–200 (40 positions)	These fields are not applicable to this publication and should be populated with spaces or zeros. For more information see table 5-2 in Publication 91, *Confirmation Services Technical Guide*.		

3-5 Uploading Electronic Files (Header and Detail Records)

3-5.1 Overview

Multiple electronic files may be combined (concatenated) and sent together in one transmission. There is no limit to the number of electronic files that may be sent in any single file transmission. An electronic file is defined as one Header Record with any number of Detail Records.

3-5.2 What Is Necessary for Uploading

3-5.2.1 Entry Facility ZIP Code

An electronic file represents mail tendered to one particular Postal Service entry facility. In the Header Record of the electronic file, the entry facility ZIP Code Field must contain the ZIP Code for the Postal Service facility where the mail is tendered.

3-5.2.2 Log-on ID and Password

Before attempting to transmit files to the Postal Service for the purpose of receiving delivery status and return receipts/proof of delivery letters in bulk electronically, the mail owner or third-party designee must obtain a case-sensitive log-on ID and password through the application process (see 3-3.1).

3-5.3 Methods of Transmission

3-5.3.1 Overview

The mail owner or third-party designee may choose to send electronic files by one of the methods described in 3-5.3.2, 3-5.3.3, and 3-5.3.4. Only the one transmission method chosen during the certification process will be available. A mail owner or designee needing to change the transmission method must call Confirmation Services Support at 877-264-9693, option 1, to modify the account.

Note: Throughout these instructions for FTP, wherever <logonid> appears within an example directory or filename, mail owners or third-party designees must substitute their own log-on IDs in their commands. For security purposes, Internet connections must have forward/reverse lookup enabled. The Postal Service servers use standard FTP commands and can be accessed using any standard graphical user interface (GUI) or command line client software. The example commands used in this section are typical of command-line FTP client software. Mail owners or third-party designees should refer to their software's documentation for specific information on using their software.

3-5.3.2 **FTP Using the Internet**

Note: Do not send compressed files using Internet FTP. All file names, directories, log-on IDs, and passwords are case-sensitive. The server *ftp-in.usps.gov* is where mail owners or their designees send files to the Postal Service.

To send files using Internet FTP, mail owners or third-party designees must follow these steps:

1. With an Internet connection, FTP client software, log-on ID, and password, connect to *ftp-in.usps.gov*.

2. Change the directory by using this command (all lowercase):

    cd /home/delconf/incoming

    This is the directory where mail owners or designees will be placing electronic files.

3. Set the transmission mode to ASCII. Binary mode is not an option because Internet FTP cannot accommodate compress files.

4. Name files using the convention *<logonid>.manifest*.

    Example: mmcw93.manifest

    If sending more than one file within one session, transmitters must use a letter of the alphabet after the log-on ID to distinguish one file from the next and avoid overwriting previously uploaded files.

    Examples:

    mmcw93a.manifest

    mmcw93b.manifest

    mmcw93c.manifest

5. Transfer the files using the put command (*<localfilename>* stands for the location of the file on a transmitter's computer):

    Example: put <localfilename> mmcw93a.manifest

The file is uploaded to the directory */home/delconf/incoming*.

Note: To change the password for Internet FTP, transmitting mail owners or third-party designees must change passwords on both *ftp-in.usps.gov* and *ftp-out.usps.gov* because the accounts and passwords are maintained independently. The first six characters of the password must contain at least two alphabetic characters and at least one numeric or special character.

In both accounts, they will be prompted to enter the password again, and then to enter and confirm the new password.

3-5.3.3 **FTP Using Internet Browser**

As an alternative to using standard FTP software, mail owners or third-party designees may upload electronic files to a Web-based site.

Note: Do not send compressed files using this FTP method. This method does not allow information to be viewed or retrieved.

To use this method, mail owners or third-party designees must follow these steps:

1. Within an Internet browser, go to *www.usps.gov/cttgate/upload.htm*.

2. Click the "Browse" button to find on the computer the file to be uploaded. The full path and filename appear on the Web page.

3. Click the "Upload File" button to begin the transfer. After the file transfer is complete, a screen confirms that the file was received, giving the size of the file.

Mail owners or designees who later may want to receive return receipts in bulk (see chapter 4) may want to choose FTP rather than EDI as their method of transmission. EDI is unavailable for downloading Signature Extract.

3-5.3.4 **Electronic Data Interchange**

Mail owners wishing to use Electronic Data Interchange (EDI) should call Confirmation Services Support (see 1-3) to be established as an EDI trading partner.

3-6 Retrieving Confirmation/Error/Warning Reports

3-6.1 **Overview**

When transmitting electronic files to the Postal Service, mail owners or third-party designees connect to one of the Postal Service's servers, either via the Internet or an EDI connection. The transmitted files then pass to a mainframe computer for processing. To be certain that a file was received and processed, wait 1 hour after uploading, then reconnect to their Postal Service account and view or download the Confirmation/Error/Warning Report.

When establishing a Postal Service account, mail owners or third-party designees must choose to receive this report in either a text format (the default) or a data format (similar to the Header and Detail Record formats). The text format is the default, but mail owners or third-party designees may have their accounts switched over to the data format by contacting Confirmation Services Support (see 1-3). For an example of the default format, see Exhibit 3-6.1.

Exhibit 3-6.1
Confirmation/Error/Warning Report (Text Format)

```
USPS                                       PRODUCT TRACKING SYSTEM               PAGE:  1
REPORT: CBD514C0                       CONFIRMATION/ERROR/WARNING REPORT         DATE:  06/29/2007
                                                                                TIME:  16:40:59

        MAILER:          112233445                    ENTRY FACILITY:  00000
        E-FILE:          200001029                    MAILING DATE:    06/29/2007
        RECEIPT DATE:    06/29/2007
        RECEIPT TIME:    15.38.30


        *********************************************************************************
        ENTIRE ELECTRONIC FILE REJECTED DUE TO HEADER RECORD ERROR
        *********************************************************************************

        RECORDS READ:              000000011
        RECORDS REJECTED:          000000011
        TOTAL RECORDS ACCEPTED:    000000000
        #D1 RECORDS ACCEPTED:      000000000
        #D2 RECORDS ACCEPTED:

   ERR/  E-FILE
   WRN   LINE NO.        PIC/E-FILE NUMBER        ERROR FIELD     ERROR MESSAGE

   E     000000001       HEADER RECORD            00000           INVALID ENTRY FACILITY


USPS                                       PRODUCT TRACKING SYSTEM               PAGE:  1
REPORT: CBD514C0                       CONFIRMATION/ERROR/WARNING REPORT         DATE:  06/29/2007
                                                                                TIME:  16:40:59

        MAILER:          112233445                    ENTRY FACILITY:  85007
        E-FILE:          200001036                    MAILING DATE:    06/29/2007
        RECEIPT DATE:    06/29/2007
        RECEIPT TIME:    15.38.33




        RECORDS READ:              000000011
        RECORDS REJECTED:          000000000
        TOTAL RECORDS ACCEPTED:    000000011
        #D1 RECORDS ACCEPTED:      000000010
        #D2 RECORDS ACCEPTED:

   ERR/  E-FILE
   WRN   LINE NO.        PIC/E-FILE NUMBER        ERROR FIELD     ERROR MESSAGE

   W     000000004       71112233445000010323     03              SPECIAL SERVICE 1 NOT EQUAL TO 06; NO POD PROVIDED
   W     000000007       71112233445000010385     03              SPECIAL SERVICE 1 NOT EQUAL TO 06; NO POD PROVIDED
```

This report verifies that a file was successfully transmitted and that the data quality of the file itself was good. The report may include what are called "edit errors" or "edit warnings," and includes summary information such as how many records in the file were read and how many contain errors or warnings. About errors, transmitters must note the following:

a.   Even one error in the Header Record will cause the entire file to be rejected. Errors in a Detail Record 1 will cause the rejection of that record (and any associated Detail Record 2). If transmitters do not correct errors in a Detail Record 1, delivery information about the described mailpiece will be unavailable.

b.   Transmitters may correct errors in the original file and retransmit it or send a new file. If retransmitting a file with a corrected Detail Record 1, they must be sure that the Header Record remains exactly as sent originally.

c.   To ensure receipt of all delivery information, transmitters should submit corrections as soon as possible, usually within 24 hours.

Edit warnings do not cause an electronic file or individual records to be rejected; however, transmitters should address these warnings and make corrections for future electronic file transmissions.

3-6.2 **Methods of Downloading Reports**

3-6.2.1 **Internet FTP**

To retrieve reports using Internet FTP, mail owners or third-party designees must follow these steps:

1.   Connect to the Internet; using FTP client software, log on to *ftp-in.usps.gov*.

2.   Change the directory by using the following command (all lowercase):

     cd /red/<logonid>/incoming

     The electronic files to be retrieved are in this directory.

3.   To see what files are available for pickup, use the directory list command:

     dir /red/<logonid>/incoming

4.   To retrieve files from the directory, use the *get* command:

     Example: get errwrno1.rpt.11201820

     The report file naming convention for the numerical suffix (11201820 in the example above) is *MMddhhmm*, in which:

     a.   MM = numeric representation of the month.

     b.   dd = day of the month.

     c.   hhmm = the hour and minute that the file or report was generated.

5.   Save the files to the local computer. To delete files from the Postal Service directory, use the delete command:

     Example: del errwrno1.rpt.mmddhhmm

If a mail owner or designee does not delete the files, the Postal Service will automatically delete the oldest copy (generation) of each file type on the thirty-first generation of that file.

3-6.2.2 **EDI**

Mail owners using Electronic Data Interchange receive Confirmation/Error/Warning Reports in EDI formats. For information on EDI transaction sets, call 877-264-9693, option 1.

3-6.3 **Error Messages**

The following tables show common types of error or warning messages for electronic files:

a.   Table 3-6.3a, Error Messages That Cause Rejection of Entire Electronic File.

b.   Table 3-6.3b, Detail Record Error Messages That Cause Nonacceptance of Record.

c.   Table 3-6.3c, Header Record Warning Messages (No File Rejection).

d.   Table 3-6.3d, Detail Record Warning Messages (No File Rejection).

Table 3-6.3a
Error Messages That Cause Rejection of Entire Electronic File

Error Message	What It Means
H1 HEADER RECORD TYPE MISSING	Header Record is missing.
H1/D1 HEADER/DETAIL RECORD TYPES MISSING	The Electronic File Header Record Identifier of H1 and the Electronic File Detail Record Identifier of D1 are missing.
D1 - DETAIL RECORD(S) MISSING	There were no Detail Records sent with the Header Record.
ELECTRONIC FILE SERVICE TYPE CODE NOT = 50	The first two characters of the Electronic File Number in the Header Record must be Service Type Code 50.
INVALID DUNS NUMBER	The DUNS Number in the Electronic File Number field of the Header Record is not a certified customer DUNS Number.
DUNS NUMBER NOT NUMERIC	The DUNS Number in Electronic File Number field of the Header Record is not a numeric value.
ELECTRONIC FILE SEQUENCE NUMBER NOT NUMERIC	The eight sequential digits in the Electronic File Number field of the Header Record are not numeric (all spaces).
INVALID SEQUENCE NUMBER IN ELECTRONIC FILE-NUMBER	The eight sequential digits in the Electronic File Number field of the Header Record are not numeric.
INVALID MAILING DATE	The Mailing Date field in the Header Record must be a valid numeric date.
MAILING DATE NOT NUMERIC	The Mailing Date field in the Header Record is not a numeric value (no hyphens, slash symbols, etc.).
INVALID MAILING TIME	The Mailing Time field in the Header Record is not a valid time.
MAILING TIME IS NOT NUMERIC	The Mailing Time field in the Header Record is not a numeric value >0 and <=2400.
INVALID ENTRY FACILITY	The Entry Facility field in the Header Record is not a valid 5-digit ZIP Code of a Postal Service facility that can accept this type of mailing.
INVALID USPS ELECTRONIC FILE VERSION NUMBER	The Postal Service Electronic File Version Number field in the Header Record is not a valid number.
USPS ELECTRONIC FILE VERSION NUMBER NOT NUMERIC	The Postal Service Electronic File Version Number field in the Header Record is not a numeric value.
INVALID DEVELOPER ID CODE	The Developer ID Code found in the Header Record is not in our database. Please call the Confirmation Services Certification Support to receive a valid Developer ID Code.
INVALID PRODUCT VERSION NUMBER	The Product Version Number found in the Header Record is not in our database.
INVALID ELECTRONIC FILE NUMBER IN HEADER	Not a valid barcode for an Electronic File Header Record.
DUPLICATE ELECTRONIC FILE; CORRECTIONS MUST BE WITHIN 30 DAYS	The electronic file was already posted to the database. This file is being considered a correction to the errors contained in the first manifest, but it is being rejected because it is outside the window for making corrections.

Table 3-6.3a
Error Messages That Cause Rejection of Entire Electronic File

Error Message	What It Means
CORRECTION MUST USE ORIGINAL ELECTRONIC FILE NUMBER, TYPE, ENTRY FACILITY, MAILING DATE AND TIME	The electronic file was already posted to the database. This file is being considered a correction to the errors contained in the first manifest, but it is being rejected because it does not have the same date and time of mailing as the original manifest.
INVALID SERVICE TYPE CODE	The service type code in the PIC is not a valid service type code.
INVALID ELECTRONIC FILE NUMBER FORMAT	The electronic file number is not a valid format of application identifier (if applicable) service type code, DUNS number, sequence number and check digit.
CUSTOMER DECERTIFIED FOR REGISTERED FILE	Registered Mail file from customer will no longer be accepted.
CUSTOMER NOT CONFIGURED FOR REGISTERED FILE	Customer has not been certified to send Registered Mail files.
CUSTOMER PENDING FOR REGISTERED FILE	The DUNS number found in the header record has not been certified to send a Registered Mail file.
CUSTOMER DECERTIFIED FOR CERTIFIED FILE	Certified Mail file from customer will no longer be accepted.
CUSTOMER NOT CONFIGURED FOR CERTIFIED FILE	Customer has not been certified to send Certified Mail files.
CUSTOMER PENDING FOR CERTIFIED FILE	The DUNS number found in the header record has not been certified to send a Certified Mail file.

Table 3-6.3b
Detail Record Error Messages That Cause Nonacceptance of Record

Error Message	What It Means
INVALID DETAIL RECORD	Unrecognizable record; not a valid record.
INVALID CLASS OF MAIL	The Class of Mail field in Detail Record 1 is not a valid class of mail. See record layout and description for this field.
INVALID SERVICE TYPE CODE IN PIC	Detail Record 1 is not a valid Service Type Code.
INVALID DUNS NUMBER IN PIC	The DUNS Number in positions 7-14 and starting in the 3rd position of the PIC field is not in the Customer profile.
INVALID SEQUENCE NUMBER IN PIC	The significant digits in the Package Identification Code (PIC) field of Detail Record 1 are not numeric.
LABEL PREVIOUSLY RECEIVED	One or more of Customer ID on the Header, Manifest Sequence Number on the Header, and Destination Zip Code on the Detail record have changed from a previously submitted label on an electronic file.
INVALID BARCODE FORMAT FOR REGISTERED ELECTRONIC FILE	The barcode does not pass the Postal Service barcode edits specific to this type electronic file.
INVALID BARCODE FORMAT FOR CERTIFIED ELECTRONIC FILE	The barcode does not pass the Postal Service barcode edits specific to this type electronic file.
INVALID PIC IN DETAIL RECORD	The barcode does not pass the Postal Service barcode edits in general.
SERVICE TYPE CODE 50 NOT VALID FOR DETAIL	The service type code of 50 should only be used in the electronic file number in the header record.
SPECIAL SERVICE FEE 1 NOT > OR = $0.85; NO POD PROVIDED	If special service fee for electronic Return Receipt service is not correct, record is rejected and can be resubmitted with correct fee.
SPECIAL SERVICE FEE 2 NOT > OR = $0.85; NO POD PROVIDED	When Special Service Code 2nd service is 06 and the corresponding fee is not greater than or equal to $0.85, no POD records are provided for the mailpiece.
SPECIAL SERVICE FEE 3 NOT > OR = $0.85; NO POD PROVIDED	When Special Service Code 3rd service is 06 and the corresponding fee is not greater than or equal to $0.85, no POD records are provided for the mailpiece.
SPECIAL SERVICE FEE 4 NOT > OR = $0.85; NO POD PROVIDED	When Special Service Code 4th service is 06 and the corresponding fee is not greater than or equal to $0.85, no POD records are provided for the mailpiece.
SPECIAL SERVICE FEE 5 NOT > OR = $0.85; NO POD PROVIDED	When Special Service Code 5th service is 06 and the corresponding fee is not greater than or equal to $0.85, no POD records are provided for the mailpiece.
SPECIAL SERVICE FEE 6 NOT > OR = $0.85; NO POD PROVIDED	When Special Service Code 6th service is 06 and the corresponding fee is not greater than or equal to $0.85, no POD records are provided for the mailpiece.

Table 3-6.3c
Header Record Warning Messages (No File Rejection)

Warning Message	What It Means
DUPLICATE ELECTRONIC FILE FOUND; PROCESSED AS CORRECTIONS	An electronic file with this number in the Electronic File Number field of the Header Record has been submitted previously.
INVALID RECORD COUNT SPECIFIED	The File Record Count field in the Header Record does not match the USPS count of records in this transmission.
MAILING DATE NOT WITHIN 3 DAYS OF SYSTEM DATE	The Mailing Date field is not within 3 days of the system date (before or after).
MULIPLE FACILITY TYPES RETURNED FOR ENTRY FACILITY ZIP	The entry facility ZIP Code matches the ZIP Code of more that 1 facility.

Table 3-6.3d
Detail Record Warning Messages (No File Rejection)

Warning Message	What It Means
INVALID CLASS OF MAIL/SERVICE TYPE CODE COMBO	The Class of Mail field in Detail Record 1 does not match the appropriate Service Type Code in the first 2 positions of the Package Identification Code (PIC) of Detail Record 1. See table 3-3.3, positions 003–004, for list of Service Type Codes.
INVALID DESTINATION ZIP CODE	The 5-digit ZIP Code in the Destination ZIP Code field of Detail Record 1 is not a valid ZIP Code as compared to the current USPS ZIP Code table. We store first three digits unless not numeric, then nulls. We do not give back anything in the extract if we only store 3.
POSTAGE NOT NUMERIC; DEFAULT TO 0	The Postage field of Detail Record 1 is not a numeric value of 9(7).
CLIENT DUNS NUMBER NOT A VALID DUNS NUMBER	The DUNS number in the Client DUNS number field of Detail Record 1 is not valid DUNS number.
SPECIAL SERVICE 1 NOT EQUAL TO 06; NO POD PROVIDED	The special service of electronic Return Receipt was not indicated, therefore no Proof of Delivery (POD) will be provided.
POSTAGE EQUALS ZERO	The Postage amount is equal to zero. A valid postage amount greater than zero must be in this field.
SPECIAL SERVICE 1 FEE EQUALS ZEROS	When a Special Service Code is in the field, this fee cannot be zeros.
SPECIAL SERVICE 1 FEE NOT NUMERIC; DEFAULT TO 0	The fee must be numeric.
SPECIAL SERVICE 1 NOT 04, 05, 06; DEFAULT TO SPACE	Currently 04, 05, and 06 are the only valid Special Service Codes. Other codes will be defaulted two spaces.
SPECIAL SERVICE 2 FEE EQUALS ZEROS	When a Special Service Code is in the field, this fee cannot be zeros.
SPECIAL SERVICE 2 FEE NOT NUMERIC; DEFAULT TO 0	The fee must be numeric.
SPECIAL SERVICE 2 NOT 04, 05, 06; DEFAULT TO SPACE	Currently 04, 05, and 06 are the only valid Special Service Codes. Other codes will be defaulted two spaces.
SPECIAL SERVICE 3 FEE EQUALS ZEROS	When a Special Service Code is in the field, this fee cannot be zeros.
SPECIAL SERVICE 3 FEE NOT NUMBERIC; DEFAULT TO 0	The fee must be numeric.
SPECIAL SERVICE 3 NOT 04, 05, 06; DEFAULT TO SPACE	Currently 04, 05, and 06 are the only valid Special Service Codes. Other codes will be defaulted two spaces.
SPECIAL SERVICE 4 FEE EQUALS ZEROS	When a Special Service Code is in the field, this fee cannot be zeros.
SPECIAL SERVICE 4 FEE NOT NUMERIC; DEFAULT TO 0	The fee must be numeric.
SPECIAL SERVICE 4 FEE 04, 05, 06; DEFAULT TO SPACE	Currently 04, 05, and 06 are the only valid Special Service Codes. Other codes will be defaulted two spaces.
SPECIAL SERVICE 5 FEE EQUALS ZEROS	When a Special Service Code is in the field, this fee cannot be zeros.

Table 3-6.3d
Detail Record Warning Messages (No File Rejection)

Warning Message	What It Means
SPECIAL SERVICE 5 FEE NOT NUMERIC; DEFAULT TO 0	The fee must be numeric.
SPECIAL SERVICE 5 NOT 04, 05, 06; DEFAULT TO SPACE	Currently 04, 05, and 06 are the only valid Special Service Codes. Other codes will be defaulted two spaces.
SPECIAL SERVICE 6 FEE EQUALS ZEROS	When a Special Service Code is in the field, this fee cannot be zeros.
SPECIAL SERVICE 6 FEE NOT NUMERIC; DEFAULT TO 0	The fee must be numeric.
SPECIAL SERVICE 6 NOT 04, 05, 06; DEFAULT TO SPACE	Currently 04, 05, and 06 are the only valid Special Service Codes. Other codes will be defaulted two spaces.
INVALID ZIP + 4	The ZIP + 4 is not a valid ZIP + 4.
INVALID SPECIAL SERVICE 1 CODE; DEFAULT TO SPACES	The Special Service Code in not valid. See table 3-3.3, positions 080–121.
SPECIAL SERVICE 2 NOT EQUAL TO 06; NO POD PROVIDED	The special service of electronic Return Receipt was not indicated, therefore no Proof of Delivery (POD) will be provided.
INVALID SPECIAL SERVICE 2 CODE; DEFAULT TO SPACES	The Special Service Code in not valid. See table 3-3.3, positions 080–121.
SPECIAL SERVICE 3 NOT EQUAL TO 06; NO POD PROVIDED	The extra service of electronic Return Receipt was not indicated, therefore no Proof of Delivery (POD) will be provided.
INVALID SPECIAL SERVICE 3 CODE; DEFAULT TO SPACES	The Special Service Code in not valid. See table 3-3.3, positions 080–121.
SPECIAL SERVICE 4 NOT EQUAL TO 06: NO POD PROVIDED	The special service of electronic Return Receipt was not indicated, therefore no Proof of Delivery (POD) will be provided.
INVALID SPECIAL SERVICE 4 CODE; DEFAULT TO SPACES	The Special Service Code in not valid. See table 3-3.3, positions 080–121.
SPECIAL SERVICE 5 NOT EQUAL TO 06: NO POD PROVIDED	The special service of electronic Return Receipt was not indicated, therefore no Proof of Delivery (POD) will be provided.
INVALID SPECIAL SERVICE 5 CODE; DEFAULT TO SPACES	The Special Service Code in not valid. See table 3-3.3, positions 080–121.
SPECIAL SERVICE 6 NOT EQUAL TO 06: NO POD PROVIDED	The special service of electronic Return Receipt was not indicated, therefore no Proof of Delivery (POD) will be provided.
INVALID SPECIAL SERVICE 6 CODE; DEFAULT TO SPACES	The Special Service Code in not valid. See table 3-3.3, positions 080–121.

3-7 Retrieving Data Extract Files

3-7.1 Overview

Mail owners or third-party designees receive delivery information electronically in Extract Files representing all the mailpieces recorded in the Header and Detail Records transmitted to the Postal Service. The Extract File is a snapshot in time. Sixteen times daily, Extract Files are created and placed in an account.

3-7.2 Delivery Data Within the File

Each file provides information about the delivery or attempted delivery of a mailpiece.

See Exhibit 3-7.2 and Table 3-7.2a for mandatory and optional Extract File fields (mandatory fields must be populated, and optional fields may be filled with spaces). See Table 3-7.2b for Event Codes for Extract Files.
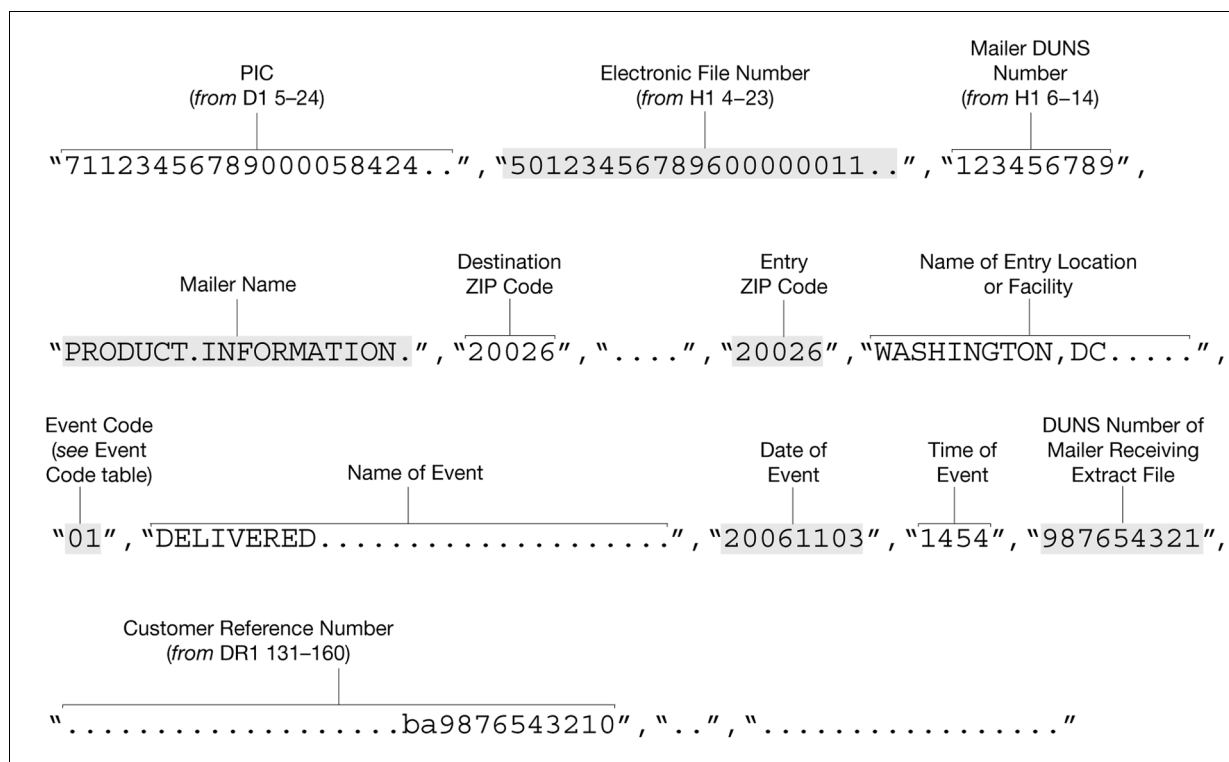
Exhibit 3-7.2
Key Elements in a Data Extract File

Table 3-7.2a
Data Extract File (280 positions total)

Note: Required fields only; for more information about optional fields, see Publication 91, *Confirmation Services Technical Guide*.

Format (Size): A = ASCII text (alpha-numeric); N = Numeric; Number in parenthesis = field size

Record Positions	Field Name	Format (Size)	Description	Example	Content Rules and Limitations
001	Delimiter	A(1)	Comma-delimited format.	"	
002–023	Package Identification Code (PIC)	A(22)	A two-character field which identifies the Electronic File Detail Record 1.	9121941233312000012348 21941233312000012348	Taken from the Electronic File Detail Record 1 positions 005–026.Both examples are left justified. Second example is also filled with spaces.
024–026	Delimiter	A(3)	Comma-delimited format.	","	
027–048	Electronic File Number	A(22)	The PIC in positions 002–023 was contained in this electronic file.	9150941233312000012348 50941233312000012348	Taken from the Electronic File Header Record, positions 004–025. Both examples are left justified. Second example is also filled with spaces.
049–051	Delimiter	A(3)	Comma-delimited format.	","	
052–060	Mailer ID	N(9)	DUNS Number unique to this mailer as shown in the Postal Service database.	941233312	Taken from the Electronic File Header Record, positions 005–026.
061–063	Delimiter	A(3)	Comma-delimited format.	","	
064–083	Mailer Name	A(20)	Mailer name associated with Mailer ID.	ABC Company	
084–086	Delimiter	A(3)	Comma-delimited format.	","	
087–091	Destination ZIP Code	A(5)	Destination ZIP Code.	33511	Taken from the Electronic File Detail Record 1 positions 027–031.
092–094	Delimiter	A(3)	Comma-delimited format.	","	
095–098	Destination ZIP+4	A(4)	Destination ZIP+4.	1857	Taken from Detail Record 1, positions 032–035.
099–101	Delimiter	A(3)	Comma-delimited format.	","	
102–106	Scanning Facility ZIP	N(5)	If scanning event, 5-digit ZIP Code of facility. If manifest event, entry facility ZIP Code.	21201	
107–109	Delimiter	A(3)	Comma-delimited format.	","	

Table 3-7.2a
Data Extract File (280 positions total)

Note: Required fields only; for more information about optional fields, see Publication 91, *Confirmation Services Technical Guide*.

Format (Size): A = ASCII text (alpha-numeric); N = Numeric; Number in parenthesis = field size

Record Positions	Field Name	Format (Size)	Description	Example	Content Rules and Limitations
110–140	Scanning Facility Name	A(31)	Name of Postal Service facility or city/state where event happened.	Baltimore, MD	Provided by the Postal Service. Further defined for city/state event: 28 characters for city, one for comma, two for state alpha abbreviation.
141–143	Delimiter	A(3)	Comma-delimited format.	","	
144–145	Event Code	A(2)	Code for tracking event.	01	See Tables section for current listing of Event Codes.
146–148	Delimiter	A(3)	Comma-delimited format.	","	
149–188	Event Name	A(40)	Name of tracking event corresponding to Event Code.	Delivered	See Tables section for current listing of Event Codes descriptions.
189–191	Delimiter	A(3)	Comma-delimited format.	","	
192–199	Event Date	A(8)	Date of tracking event.	20030320	YYYYMMDD
200–202	Delimiter	A(3)	Comma-delimited format.	","	
203–206	Event Time	N(4)	Time of tracking event.	1315	HHMM 24-hour time format and time must be valid.
207–209	Delimiter	A(3)	Comma-delimited format.	","	
210–218	Client DUNS Number	N(9)	Client DUNS Number of the mailer also receiving extract data for this mail piece.	941233312	Taken from the Electronic File Detail Record 1, positions 122–130.
219–221	Delimiter	A(3)	Comma-delimited format.	","	
222–251	Customer Reference Number	A(30)	Customer's internal reference number.	ZZ123456X	Taken from the Electronic File Detail Record 1, positions 131–160.
252–254	Delimiter	A(3)	Comma-delimited format.	","	
255–256	Destination Country Code	A(2)	Destination Country Code.		International mail only. Taken from the Electronic File Detail Record 1, positions 036–044.
257–259	Delimiter	A(3)	Comma-delimited format.	","	

Table 3-7.2a
Data Extract File (280 positions total)

Note: Required fields only; for more information about optional fields, see Publication 91, *Confirmation Services Technical Guide*.

Format (Size): A = ASCII text (alpha-numeric); N = Numeric; Number in parenthesis = field size

Record Positions	Field Name	Format (Size)	Description	Example	Content Rules and Limitations
260–279	Recipient Name	A(20)	Name of recipient for Signature Confirmation service.	J DOE	First initial, space, last name.
280	Delimiter	A(1)	Comma-deliminated format.	"	

Table 3-7.2b
Event Codes

Event Code	Name
MA	Electronic Shipping Info Received
BE	Bulk Enroute
01	Delivered
02	Attempted / Notice Left
03	Accept or Pickup (by carrier)
04	Refused
05	Undeliverable as Addressed
06	Forwarded
07	Arrival at Unit
08	Mis-sent
09	Return to Sender
	Subset of Return To Sender (09)
	21 No Such Number
	22 Insufficient Address
	23 Moved, Left No Address
	24 Forward Expired
	25 Addressee Unknown
	26 Vacant
	27 Unclaimed
	28 Deceased
	29 Other
10	Enroute
11	Dead Letter
12	Visible Damage
13	Authorized Agent
14	Arrival at Pickup Point
15	Mis-shipped
16	Available for Pickup
17	Picked Up by Agent
18	Random Sampling

3-7.3 **How to Retrieve Extract Files**

Mail owners or third-party designees may view or download Extract Files using the same method used to retrieve Confirmation/Error/Warning Reports (see 3-6).

Example: get detextro1.rpt.11201820

In the example, note that the file naming convention for the numerical suffix is also the same as for the Confirmation/Error/Warning Reports, *mmddhhmm*, in which:

a.   MM = numeric representation of the month.

b.   dd = day of the month.

c.   hhmm = the hour and minute that the file or report was generated.

Again, as with the Confirmation/Error/Warning Reports, the Postal Service servers maintain 30 days worth of Extract Files in an account, unless mail owners or third-party designees choose to delete them from the account after downloading or viewing the files.

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4 Bulk Return Receipts (Electronic)

4-1   Benefits

This chapter assists mail owners using extra services to obtain their return receipts in bulk rather than by individual requests. This service meets three key customer needs:

a.   It saves time and frees the mail owner from having to request individual proof of delivery records or from placing PS Form 3811, *Domestic Return Receipt*, on each mailpiece.

b.   It allows mail owners to retain signature records for longer than the Postal Service's retention period.

c.   It provides mail owners with a more efficient way to handle signature records.

Mail owners can receive mailpiece recipient signatures in bulk by participating in the Bulk Proof of Delivery (BPOD) program. BPOD allows participants using privately printed Certified Mail, insured mail (more than $200), or Registered Mail barcoded labels to add return receipt service and receive those return receipts electronically in bulk. With this scenario, when a Postal Service employee delivers a signature-service mailpiece, the recipient signs his or her name on PS Form 3849, *Delivery Notice/Reminder/Receipt*. The Postal Service employee scans the customer's information on the form, and it is then linked to the delivery event for the mailpiece. This process usually takes place within 24 hours.

Mail owners who request to receive their return receipts in bulk must pay for all records at the time of mailing (with the payment included in the postage affixed to the mailing) or with a credit card at the time the Postal Service compiles the records (electronically appending signatures to the records) and provides them to the mail owner.

The process for uploading electronic files is almost identical to that described for Certified Mail and Registered Mail services in chapter 3. However, instead of Data Extract Files, the Postal Service provides PDF signature letters on CD-ROM or in Signature Extract Files. See 4-6 for details on electronic files.

4-2 Basic Considerations

4-2.1 Mail Owner and Third-Party Designee

Discussed throughout this chapter are the two basic options of the mail owner handling the entire process or delegating it to a third party. The choice of these two scenarios is included throughout this chapter. Mail owners using scenarios other than these two basic options should contact Confirmation Services Support (see 1-3).

4-2.2 The DUNS/Mailer ID Number

The Postal Service's ability to provide bulk proof of delivery information relies on the use of a DUNS number in the barcoded label and the electronic file, so a mail owner or its third-party designee must have already registered its DUNS number with the Postal Service to begin mailing (see 1-2).

The Postal Service extracts information based on the "highest priority" BPOD-participating DUNS number in the electronic file. The possible locations for the participating DUNS number and the order of precedence are as follows:

a.   Client DUNS number in Detail Record 1. If the customer is using a third-party, the DUNS number of the mail owner (the customer) typically goes in this field. However, if the customer prints its own labels (and if its DUNS number is in the PIC), then this field should contain all zeros.

b.   PIC in Detail Record 1. The DUNS number within the PIC should be that of the private barcode printer, either the mail owner (customer) or the third-party designee.

c.   Electronic File Number in the Header Record. The DUNS number included as part of the Electronic File Number in the Header Record must contain the DUNS number of the entity that actually transmits the file.

A mail owner may use multiple DUNS numbers for more than one business location, but must register each DUNS number by submitting PS Form 109 (see 2-8.2). A mail owner can choose to receive either CD-ROMs or Signature Extract Files for each registered DUNS number, or to consolidate the various records under one DUNS number. A mail owner who chooses to receive separate files or CD-ROMs for each DUNS number must complete a separate PS Form 5053, *Bulk Proof of Delivery Application*, for each DUNS number.

4-2.3 Key Codes

The Postal Service protects all PDF files using encryption techniques and provides a key code to the mail owner or the third-party designee to access the data (see 4-3.2.1). A mail owner must use its customer-specific key code to access its encrypted PDF files. A third-party designee, possessing a single key code to access all its customers' files, must not give its universal key code to individual mail owners. The third-party designee needs to determine

the best method of providing access to individual mail owners while maintaining the security of each mail owner's documents.

Key codes protect signature data files. After processing and approving a mail owner's participation request, the Postal Service provides the mail owner or the third-party designee with the appropriate information, as follows:

a.   If the mail owner will receive its own records, the Postal Service Confirmation Services Customer Support team sends an e-mail to the customer point of contact with the mail owner's key code information to the mail owner.

b.   If a third-party designee will receive a mail owner's records, the Postal Service Confirmation Services Customer Support team sends an e-mail to the third-party designee informing the designee of the mail owner's activation date for the program. The Postal Service will send the mail owner's records to the third-party designee using the third-party designee's key code.

4-3   Responsibilities

4-3.1   Mail Owner Responsibilities

4-3.1.1   Overview

A mail owner must:

a.   Obtain a Mailer ID number, or use a DUNS number already known by the Postal Service (see chapter 2).

b.   Complete the certification process (or use a certified third-party designee) for printing labels or sending/receiving files (see chapters 2 and 3).

c.   Determine whether the mail owner or a third-party designee will receive the records (see 4-3.1.2).

d.   Submit a completed PS Form 5053, *Bulk Proof of Delivery Application*.

e.   Submit a completed PS Form 5054, *Bulk Proof of Delivery Application Payment Authorization*, or have the third-party designee fill out the form.

4-3.1.2   PS Form 5053

Mail owners certified for printing labels or sending/receiving files must submit PS Form 5053, *Bulk Proof of Delivery Application*, to request return receipts in bulk. PS Form 5053 (see Exhibit 4-3.1.2) includes instructions for submitting the form.

Only the mail owner — not a third-party designee — may complete PS Form 5053. If designating a third party, the mail owner must indicate the designee and the designee's DUNS number on PS Form 5053, which then serves as the mail owner authorization for the Postal Service to release proof of delivery records to a third-party designee.

When a mail owner indicates that a third-party designee will receive its records, the Postal Service will inform the designee by e-mail of the mail owner's activation date for the BPOD program.

Listed below are some of the choices that a mail owner must make when completing PS Form 5053:

a.   Choose between receiving a CD-ROM or Signature Extract File.

b.   Choose whether it or a third-party designee will receive files.

c.   Choose whether an electronic file will always or will never be sent.

d.   Choose who will send the electronic file (necessary for mail owners choosing the Pay at Mailing option — see 4-2.2).

e.   Choose payment method (postage meter, PC Postage/Pay at Mailing, or credit card/Pay as Compiled — see 4-2.2).

f.   Choose whether to receive proof of delivery letters that are combined into one file or that are parsed into individual files.

Exhibit 4-3.1.2
PS Form 5053, Bulk Proof of Delivery Application

> Click on the link below to find the latest edition of PS Form 5053.
>
> *http://www.usps.com/forms/_pdf/ps5053.pdf*

4-3.1.3   Changes in Third-Party Designation

4-3.1.3.1   Choosing a New Third-Party Designee

If a mail owner decides to have a different third-party designee receive its records, the mail owner must complete and submit a new PS Form 5053. The Postal Service will process the request and send to the new third-party designee an e-mail containing the mail owner's information. The new third-party designee will use its existing key code to access the mail owner's records. The Postal Service will begin using the new third-party designee's key code to encrypt the mail owner's records.

4-3.1.3.2   Removing a Third-Party Designee

If a mail owner decides to stop having a third-party designee receive its records and to start receiving its own records itself, the mail owner must complete and submit a new PS Form 5053. The Postal Service will process the request and send to the mail owner an e-mail containing the mail owner's new key code. The Postal Service will begin using the mail owner's new key code to encrypt the mail owner's records.

4-3.2   Third-Party Designee Responsibilities

4-3.2.1   Key Codes (Privacy/Security)

Third-party designees often serve more than one mail owner. Each third-party designee has one universal key code for all records it receives, regardless of the number of mail owners it represents. When managing records for multiple mail owners, the third-party designee must separate each mail owner's records and provide each mail owner with access to only its records. Under no circumstances can a third-party designee share its

universal key code or allow one mail owner to access the records of another mail owner.

4-3.2.2 **PS Form 5053 and the DUNS Number**

A third-party designee who has mail owners wishing to receive return receipts in bulk must ensure that each mail owner completes PS Form 5053 to authorize the third-party designee to receive that mail owner's records. As indicated in 4-2.2, the mail owner's DUNS number must be either in the PIC or in the Client DUNS Number field in Detail Record 1.

A third-party designee who wishes to receive its own delivery records for personal mailings must establish a separate DUNS number and place it in the Client DUNS Number field in Detail Record 1, or must use a unique DUNS number in its PIC and files.

For more information about third-party designees and the DUNS number, see 3-3.1.

4-3.2.3 **PS Form 5054**

If the mail owner chooses the Pay as Compiled payment option (see 4-4.2), then the party who will receive and pay for the records — either the mail owner or third-party designee — must also complete PS Form 5054, *Bulk Proof of Delivery Application Payment Authorization*. A third-party designee who completes the form must indicate the mail owner's DUNS number. PS Form 5054 (see Exhibit 4-3.2.3) includes instructions for submission.

PS Form 5054 is required only for the Pay as Compiled option, which requires payment by credit card.

Exhibit 4-3.2.3
PS Form 5054, Bulk Proof of Delivery Payment Authorization Form

Click on the link below to find the latest edition of PS Form 5053.

http://www.usps.com/forms/_pdf/ps5054.pdf

4-4   Payment

4-4.1 **Fees**

For Certified Mail, insured mail (more than $200), and Registered Mail service, there is a return receipt fee for every record. This fee is in addition to postage and must be paid at the time of mailing or at the time of record compilation. For the current fee, see the rates and fees section in the DMM, or visit *www.usps.com/rates* and then click on *Extra Services* and then on *Return Receipt* — the applicable return receipt fee is the one titled "requested at time of mailing (receive electronically)."

Note: The party who receives the records is responsible for making payments to the Postal Service. If a mail owner receives the records, then the mail owner is responsible for making payments; if a mail owner chooses to use a third-party designee, then the third-party designee is responsible for making payments.

4-4.2 Payment Options

4-4.2.1 Pay at Mailing

The Pay at Mailing option has the following requirements:

a. Before mailing, the mail owner or third-party designee must send an electronic file that shows that the mail owner or third-party designee has paid the extra service fee for the return receipt (electronic) on the mailpiece.

b. At the time of mailing, the mail owner or third-party designee must pay postage using a postage meter or PC Postage.

c. The extra service code and fee must appear starting in position 80 in Detail Record 1 (see 4-6).

If any of the following conditions is present, the Postal Service will not be able to provide a record for a mailpiece:

a. If the file does not indicate the correct code or fee for return receipt (electronic) service.

b. If the Postal Service does not receive the file.

c. If the Postal Service rejects the file because of errors.

See chapter 3 for details on extra service codes and file errors.

4-4.2.2 Pay as Compiled

An electronic file is not required for the Pay as Compiled option. Mail owners may choose this payment method if they are unable to transmit files.

However, a mail owner must provide information regarding a credit card account that the Postal Service will charge each time that it compiles records (electronically appending signatures to the records). The NCSC processes the payments as follows:

a. If a mail owner chooses the CD-ROM option, on the first and fifteenth of the month when the Postal Service compiles the CD-ROMs, the NCSC charges the appropriate amount to the credit card account on file.

b. If a mail owner chooses the Signature Extract File option, each Monday morning when the Postal Service generates files, the NCSC charges the appropriate amount (based on the number of records provided) to the credit card account on file.

The Postal Service provides the mail owner or third-party designee with a copy of the charge slip and a summary report of the number of records provided.

4-4.3 Payment Failure

4-4.3.1 CD-ROM Option

If the payment fails, the Postal Service will not release the CD-ROM. If attempts for restitution fail, the Postal Service will deactivate the mail owner's account. The Postal Service will not compile records, and the mail owner or third-party designee will not be able to retrieve files while the

account is delinquent. Once the mail owner or third-party designee makes the appropriate payment, the Postal Service will release the current CD-ROM and will reactivate the account. The Postal Service will resume compiling records on the date the payment is processed.

4-4.3.2 Signature Extract File Option

If the payment fails and the mail owner or third-party designee does not make restitution, the Postal Service will deactivate the mail owner's account. The Postal Service may release the current file, but it will not compile records, and the mail owner or third-party designee will not be able to retrieve files while the account is delinquent. Once the mail owner or third-party designee makes the appropriate payment, the Postal Service will reactivate the account and will resume compiling records on the date the payment is processed.

4-4.4 Completing PS Form 5054

Before the Postal Service can activate the Pay as Compiled payment option for a mail owner using Certified Mail, insured mail, or Registered Mail service, the party who will receive and pay for the records — either the mail owner or third-party designee — must also complete PS Form 5054, *Bulk Proof of Delivery Application Payment Authorization*. A third-party designee who completes the form must indicate the mail owner's DUNS number. PS Form 5054 (see Exhibit 4-3.2.3) includes instructions for submission.

PS Form 5054 is required only for the Pay as Compiled option, which requires payment by credit card.

4-5   Customer Support

The Postal Service's Confirmation Services Support team at the NCSC is available to assist mail owners with certification and applications for the BPOD program. See also chapter 3 for more information on certification.

The mail owner must complete and submit PS Form 5053 to Confirmation Services Support as indicated on PS Form 5053.

Technical support for existing bulk proof of delivery mail owners is as follows:

a.   *CD-ROM*: To replace a lost or damaged CD-ROM, contact Confirmation Services Support at 877-264-9693, option 1. Replacement CD-ROMs are available for 30 days after the creation date.

b.   *Signature Extract File*: To request technical support for file transfer problems or issues, contact Confirmation Services Support at 877-264-9693, option 2.

4-6 Technical Solution

4-6.1 Electronic Files (Pay at Mailing Option)

4-6.1.1 Header and Detail Records

Publication 91, *Confirmation Services Technical Guide*, provides in-depth information concerning population of the electronic file. (See 2-1 for additional information about which types of bulk proof of delivery participation necessitate the use of an electronic file.) For participation in the bulk proof of delivery program, however, mailers must ensure that specific aspects of their electronic files conform not only to the rules outlined in Publication 91 but also to rules specific to this program. Note that a record in an electronic file might pass all error checks necessary for tracking, yet that record might not pass all edits necessary for bulk proof of delivery, therefore disqualifying that mailpiece from being part of a customer's Signature Extract File or CD-ROM.

4-6.1.1.1 Electronic File Type Code

For records to qualify for inclusion in the program, the electronic file must contain an appropriate electronic file type code in the Header Record (position 003). The following list contains the correct electronic file type codes to use for each service:

a. For Signature Confirmation service, use Electronic File Type Code 2.

b. For Express Mail service, use Electronic File Type Code 3.

c. For Certified Mail service, use Electronic File Type Code 7.

d. For Registered Mail service, use Electronic File Type Code 6.

e. For insured mail (more than $200), use Electronic File Type Code B.

f. For COD mail, use Electronic File Type Code 8.

4-6.1.1.2 DUNS/Mailer ID Number

As noted in earlier sections, mailers may elect to send their own electronic files or to have a third-party designee do so on their behalf. When using a third-party designee, a mailer must ensure that its DUNS/Mailer ID number is included in the appropriate part of the electronic file. The options for DUNS number placement when using a third-party designee are as follows:

a. A third-party designee mails one or more clients' mail using a unique DUNS number assigned to the client(s) (the bulk proof of delivery mailer) and places the number(s) in the Client DUNS Number field of Detail Record 1 (positions 122–130). The third-party then places its own DUNS number into the PIC and into the electronic file number within the Header Record.

b. A third-party designee mails one or more clients' mail using a unique DUNS number assigned to the client(s) and places the number(s) into the PIC field of Detail Record 1 (positions 005–026). The Client DUNS Number field of Detail Record 1 (positions 122–130) is left as the default (all zeroes). The third-party then places its own DUNS number into the electronic file number within the Header Record.

If a customer decides to submit its own electronic file, the DUNS/Mailer ID number that it registered for the bulk proof of delivery program may be placed into the client ID field, the PIC, or the electronic file number within the Header Record.

4-6.1.1.3 **Special Services Code and Fee**

Mailers electing to receive bulk proof of delivery records for Certified Mail service, Registered Mail service, insured mail (more than $200), or collect on delivery (COD) mail must indicate an appropriate Special Services Code and Fee in their electronic files. The correct Special Services Code is 06 (return receipt). The current return receipt fee is located in the rates and fees section in the DMM — note that the appropriate rate is for "records received electronically." Mailers may choose to include this code and fee for every Detail Record in the electronic file, or just for some records. Return receipts will be generated only for those mailpieces for which the code and fee are included.

Customers electing to receive bulk proof of delivery records for Signature Confirmation service or Express Mail service do not need to indicate a special services code or fee in their electronic files.

4-6.1.1.4 **Customer Reference Number**

If a customer includes information within the Customer Reference Number field of the electronic file (positions 131–160 in Detail Record 1), that information will be included on the return receipt that is produced for that mailpiece. See Exhibit 4-6.2.1 for an example of the Customer Reference Number within the return receipt. Note that the Postal Service does not validate or edit this information. The Postal Service does not recommend use of this field for personally identifiable information such as Social Security numbers.

4-6.1.2 **Confirmation Services Error/Warning Report**

After uploading electronic files, the transmitter will wait 1 hour and then reconnect to the Postal Service account and view or download the Confirmation/Error/Warning Report. Tables 4-6.1.2a, 4-6.1.2b, and 4-6.1.2c display common error and warning messages for return receipt (electronic) (BPOD) files.

Table 4-6.1.2a
Error Messages That Cause Rejection of Entire Electronic File

Error Message	What It Means
CUSTOMER DECERTIFIED FOR INSURED, CERTIFIED, OR REGISTERED FILE	Insured, Certified, or Registered file from customer will no longer be accepted.
CUSTOMER NOT CONFIGURED FOR INSURED, CERTIFIED, OR REGISTERED FILE	Customer has not been certified to send Insured, Certified, or Registered files.
CUSTOMER PENDING FOR INSURED, CERTIFIED, OR REGISTERED FILE	The DUNS number found in the Header Record has not been certified to send an Insured, Certified, or Registered file.

Table 4-6.1.2b
Detail Record Error Messages That Cause Nonacceptance of Record

Error Message	What It Means
SPECIAL SERVICE FEE 1 NOT > OR = $0.85; NO POD PROVIDED	If special service fee for electronic Return Receipt service is not correct — record is rejected and can be resubmitted with correct fee.
SPECIAL SERVICE FEE 2 NOT > OR = $0.85; NO POD PROVIDED	When Special Service Code 2nd service is 06 and the corresponding fee is not greater than or equal to $0.85, no POD records are provided for the mailpiece.
SPECIAL SERVICE FEE 3 NOT > OR = $0.85; NO POD PROVIDED	When Special Service Code 3rd service is 06 and the corresponding fee is not greater than or equal to $0.85, no POD records are provided for the mailpiece.
SPECIAL SERVICE FEE 4 NOT > OR = $0.85; NO POD PROVIDED	When Special Service Code 4th service is 06 and the corresponding fee is not greater than or equal to $0.85, no POD records are provided for the mailpiece.
SPECIAL SERVICE FEE 5 NOT > OR = $0.85; NO POD PROVIDED	When Special Service Code 5th service is 06 and the corresponding fee is not greater than or equal to $0.85, no POD records are provided for the mailpiece.
SPECIAL SERVICE FEE 6 NOT > OR = $0.85; NO POD PROVIDED	When Special Service Code 6th service is 06 and the corresponding fee is not greater than or equal to $0.85, no POD records are provided for the mailpiece.

Table 4-6.1.2c
Detail Record Warning Messages That Do Not Cause File Rejection

Warning Message	What It Means
INVALID BARCODE FORMAT FOR INSURED ELECTRONIC FILE	The barcode does not pass the Postal Service barcode edits specific to this type electronic file.
SPECIAL SERVICE 1 NOT EQUAL TO 06; NO POD PROVIDED	The special service of electronic Return Receipt was not indicated, therefore no Proof of Delivery (POD) will be provided.
SPECIAL SERVICE 2 NOT EQUAL TO 06; NO POD PROVIDED	The special service of electronic Return Receipt was not indicated, therefore no Proof of Delivery (POD) will be provided.
SPECIAL SERVICE 3 NOT EQUAL TO 06; NO POD PROVIDED	The special service of electronic Return Receipt was not indicated, therefore no Proof of Delivery (POD) will be provided.
SPECIAL SERVICE 4 NOT EQUAL TO 06: NO POD PROVIDED	The special service of electronic Return Receipt was not indicated, therefore no Proof of Delivery (POD) will be provided.
SPECIAL SERVICE 5 NOT EQUAL TO 06: NO POD PROVIDED	The special service of electronic Return Receipt was not indicated, therefore no Proof of Delivery (POD) will be provided.
SPECIAL SERVICE 6 NOT EQUAL TO 06: NO POD PROVIDED	The special service of electronic Return Receipt was not indicated, therefore no Proof of Delivery (POD) will be provided.

4-6.1.3 **CD-ROMs or Signature Extract Files**

Instead of Data Extract Files, mail owners or third-party designees receive mailed CD-ROMs containing signature files, or download Signature Extract Files from their Postal Service FTP accounts. CD-ROMs are produced and mailed on the first and fifteenth of each month. The Signature Extract File is produced weekly on Monday.

For each individual mailer that the third-party designee represents, the Postal Service sends to the third-party designee two separate types of PDF files — one type of PDF file contains all of the mailer's proof of delivery records (with a maximum of 1,000 proof of delivery records per file), and the other type contains a corresponding Table of Contents. If the third-party designee requests files on CD-ROMs, both PDF files will be on the CD-ROM; if the third-party designee requests Signature Extract Files, the Postal Service will send two separate files. For example, if a third-party designee represents 20 mailers, it will receive 20 CD-ROMS (if using the CD-ROM option) or 40 individual PDF files (if using the Signature Extract File option). Note that no Table of Contents file is provided when the customer elects to receive records individually.

4-6.2 **Proof of Delivery Letter Format**

4-6.2.1 **PDF Format**

The Postal Service extracts mailpiece delivery data and associated signature and address images for participating mail owners. Then letter facsimiles of delivery records are produced and presented to the mail owner or third-party designee in Adobe PDF format. Bulk proof of delivery customers have the option to receive their records grouped in one of two ways:

a. Combined Records: In this option, multiple proof of delivery letters are aggregated into a single PDF file. This option includes a Table Of Contents file.

b. Individual Records: In this option, each proof of delivery letter is received as an individual PDF file. There is no Table of Contents file included in this option. All individual PDF files are compressed using a .tar extension.

The mail owner selects one of these two options when completing PS Form 5053, *Bulk Proof of Delivery Application*. The mail owner uses Adobe Acrobat Reader to select the PDF file and display the record (see Exhibit 4-6.2.1). Mail owners can download Adobe Acrobat Reader at *www.adobe.com/products/acrobat*.

Exhibit 4-6.2.1
Sample Letter Facsimile in PDF Format
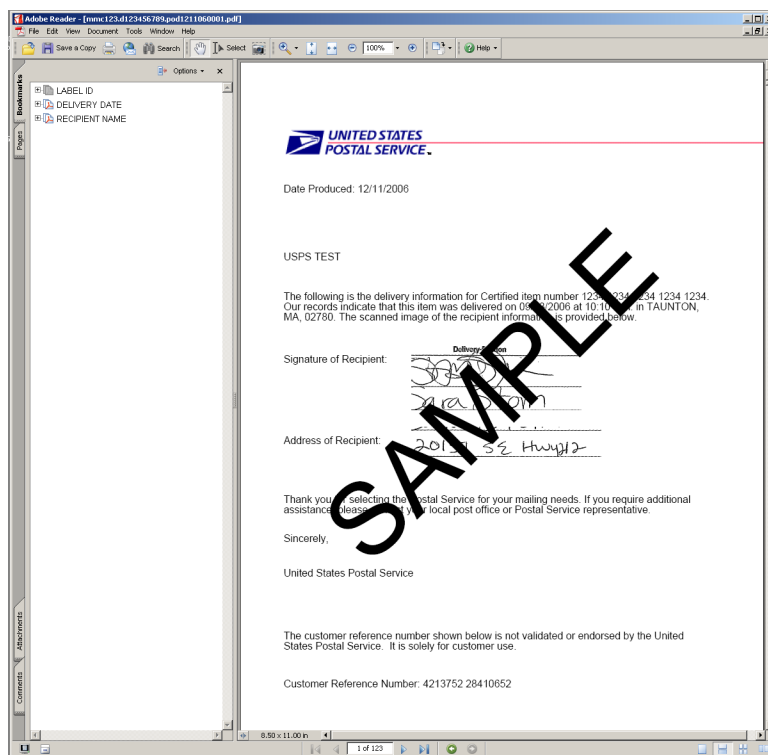
4-6.3 ## Indexing and Naming Conventions

The Postal Service indexes each letter in the PDF file as follows:

a.   Label number.

b.   Recipient's last name (provided regularly for Express Mail and Signature Confirmation items only).

c.   Delivery date.

With each CD-ROM or Signature Extract File (when the combined file delivery method is chosen), the Postal Service provides a separate Table of Contents file that lists the PIC/label number, the recipient's last name (when available), the delivery date, and a CD-ROM/File Identifier. The Table of Contents file is a cumulative file that provides a way to determine where the letter facsimile is stored on the CD-ROM or Signature Extract File. The mailer can search the cumulative Table of Contents for individual records and then determine which CD-ROM or Signature Extract File contains the record.

The CD-ROM/File Identifier contains the acronym "pod" (which stands for "proof of delivery") followed by the two-digit month, the two-digit day, and the last two digits of the year in which the CD-ROM or Signature Extract File was created. Additionally, for the Signature Extract File, a four-digit code is appended to denote which grouping of 1,000 records is being referenced. Records 1 through 1,000 are in a file ending with "0001," records 1,001 through 2,000 are in a file ending with "0002," etc. The file name content is podmmddyyXXXX.pdf. Actual file names would be "pod0605070001.pdf," "pod0605070002.pdf," etc. (However, as shown in Exhibit 4-6.3, the file

name appearing in the "CD-ROM/File Identifier" column does not display the PDF extension.) The Table of Contents data is also in PDF format and has a similar naming convention — i.e., toc060607.pdf.

Exhibit 4-6.3 provides an example of a Table of Contents file viewed using Acrobat Reader.

Exhibit 4-6.3
Sample Table of Contents in PDF Format

The file names for the proof of delivery and Table of Contents files will vary slightly depending on the type of delivery mechanism selected (Signature Extract File versus CD-ROM, combined versus individual) and the recipient of the data (the customer or its third-party designee). Note that the Signature Extract Files are placed into the recipient's six-digit directory (example: mmc001). More information about this directory is available through the communications section of Publication 91. The following list outlines the naming conventions based on various combinations of delivery mechanism and recipient (with the proof of delivery file noted first and the Table of Contents file noted second). In these examples, note that the customer's DUNS/Mailer ID number is 123456789, the third-party's DUNS/Mailer ID number is 999999999, and the label ID is eb111111111us.

a. Signature Extract Files received by customer with combined method:

  (1) pod0515070001.pdf.

  (2) toc051507.pdf.

b. Signature Extract Files received by third-party designee with combined method:

  (1) d123456789.pod0515070001.pdf

  (2) d123456789.toc051507.pdf.

    c.   CD-ROM received by customer with combined method:

        (1)   d123456789.pod051507.pdf.

        (2)   d123456789.toc051507.pdf.

    d.   CD-ROM received by third-party designee with combined method:

        (1)   t999999999.d123456789.pod051507.pdf.

        (2)   t999999999.d123456789.toc051507.pdf.

    e.   Signature Extract Files received by customer with individual method:

- pod051507.eb111111111us.pdf.

    f.   Signature Extract Files received by third-party designee with individual method:

- d123456789.pod051507.eb111111111us.pdf

    g.   CD-ROM received by customer with individual method:

- d123456789.pod051507.eb111111111us.pdf.

    h.   CD-ROM received by third-party designee with individual method:

- t999999999.d123456789.pod051507.eb111111111us.pdf.

For Signature Extract Files (like the example files listed in items a, b, e, and f above), the Postal Service places each file into the appropriate directory for retrieval. For CD-ROMs (like the example files listed in item c above), the Postal Service places both files on the CD-ROM that it mails to the mailer or the third-party designee.

All records received as individual files will be compressed. The following naming conventions will be used for the compressed file, where a maximum of 1,000 records are placed in each compressed file (the last four digits of the file name will increase by 1 with each 1,000 records):

    a.   Signature Extract Files received by customer:

- pod0515070001.tar

    b.   Signature Extract Files received by third-party designee:

- d123456789.pod0515070001.tar

    c.   CD-ROM received by customer:

- d123456789.pod0515070001.tar

    d.   CD-ROM received by third-party designee:

- t999999999.d123456789.pod0515070001.tar

The Table of Contents is a cumulative file that contains data for each calendar year. In January of each year, the Postal Service creates a new Table of Contents, regardless of the date that the mailer started participating in the program. The Postal Service recommends that mailers place a copy of the Table of Contents PDF file on a local PC or server to have unlimited access to the data.

4-6.4 **Letter Contents**

The Postal Service bulk proof of delivery letter facsimile is very similar to the existing proof of delivery response letter that the Postal Service sends out when a mailer requests records individually by e-mail, fax, or mail. The wording used in the two types of letters is slightly different. Each letter contains the Postal Service logo and the following data elements and images:

a.   Data Elements:

(1)   Package Identification Code (PIC).

(2)   Delivery date.

(3)   Delivery time.

(4)   Delivery city.

(5)   Delivery state.

(6)   Delivery ZIP Code.

(7)   Recipient's name (first initial and last name) (when available).

(8)   Customer reference number (if provided by customer).

b.   Images:

(1)   Signature image.

(2)   Address image.

The Postal Service does not provide a signature or address image in the letter facsimile if at the time of delivery the recipient exercised the signature waiver feature that the mailer authorized at the time of mailing. The header section of each letter identifies the mailer. The Postal Service does not provide a letter facsimile for an item that does not have a delivery scan or if a signature image is not present.

Additionally, for the Pay at Mailing option for other extra service items, the Postal Service does not include information in the CD-ROM or Signature Extract File if the file does not indicate payment or the proper payment amount (see additional detail in 4-6.1.1.3).

4-6.5 **CD-ROM and Signature Extract File Delivery**

4-6.5.1 **CD-ROMs**

The Postal Service processes bulk return receipt records and the TOC twice a month — on the first day and the fifteenth day — and the National Customer Support Center produces the CD-ROMs and mails them via First-Class Mail service within 3 days.

Note: The Postal Service does not recommend the CD-ROM option for companies having a ZIP Code beginning with 202, 203, 204, or 205. These ZIP Codes are in the Washington, DC, area, and because of additional security measures, the mail addressed to these ZIP Codes is subject to irradiation techniques that can damage CD-ROMs.

4-6.5.2   **Signature Extract Files**

4-6.5.2.1   **Binary Transmission**

Although mail owners traditionally use ASCII when they retrieve their Error/ Warning Reports and Data Extract Files, ASCII will not work for Signature Extract Files. The FTP transmission mode must be binary.

4-6.5.2.2   **Available Monday**

Mail owners or third-party designees can download files after 8:00 a.m. CT every Monday, using the same directories that they currently use to download Error/Warning Reports and Data Extract Files. The Postal Service removes files from the directory after 30 days, and it cannot reproduce unclaimed files.

4-6.5.2.3   **Electronic Data Interchange Unavailable**

Electronic Data Interchange (EDI) transmission is not available for Signature Extract Files. Mail owners who continue to use the EDI method of file retrieval for their Extract Files must use the CD-ROM option for receiving bulk proof of delivery records. Alternately, EDI users may establish an FTP account, as described in 3-5.3, to retrieve Signature Extract files.