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## **PVDS Compliance Plan – DDU Training**

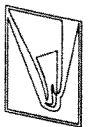
- Training to be complete by 2/19/10
  - Standard operating procedures developed for DDUs
  - Receipt of PS Form 8125 and eVS drop shipments
  - Target audience to include:
    - All EAS in DDU facility
    - All clerks performing acceptance
- Certification to be complete by 2/28/10
  - Site assessment checklist to be completed and signed by Postmaster/ Station Manager/ Branch Manager
  - Submit copy to District Operations Programs Support
  - Maintain original on site
  - Area Office provides documentation of completion to HQ, Customer Service Standardization



## **PVDS Compliance Plan – DDU**

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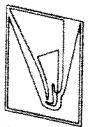
- ❑ Condition of mail requiring supervisor review and annotation of irregularity in comment section of 8125
  - Unsafe condition or unstable mailings
  - Shortage in containers
  - Portions of mailings are wet or damaged
  - Past In Home Dates
  - Past Event and Expiration Date
  
- ❑ Complete standardize irregularity form
  - eMail to Business Service Network (BSN)



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## **PVDS Compliance Plan - Plant Training**

- ❑ Comprehensive training at Network Distribution Centers and Mail Processing Facilities receiving PVDS mailings – NLT 2/8/10
  - Employees Accepting Drop Shipments at Destination
  - Distribution Supervisors/Managers
  - Area and Facility FAST Coordinators
- ❑ Easy to use guide defining standard operating procedures
- ❑ Visual aids posted in work area



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## **Irregularity Reports - Plant**

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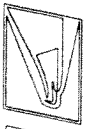
- ❑ **PS Form 8125**
  - Irregularities will be notated on 8125s
  - 8125s are logged for reconciliation by Facility FAST Coordinator
  - Forms will be filed and held for a period of 1 year
- ❑ **FAST**
  - SV Sites record irregularities into IMD which feeds FAST
  - For non-SV Sites, Facility FAST Coordinator enters into FAST
  - Enables tracking of systemic issues
- ❑ **Electronic Mail Improvement Reporting (eMIR)**
  - Irregularities entered into eMIR by Facility FAST Coordinator
  - Provides feedback mechanism to origin BMEU and BSN
  - Enables tracking of systemic issues



## **PVDS Compliance Plan - at Drop**

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- Surface Visibility scanning for trailer arrival (99Z barcode) and container scans (99M barcode where applicable)
- Verification of PS Form 8125 to shipment contents as outlined in the Pub 804
- Incomplete or altered PS Form 8125 no longer accepted
- Only PS Form 8125 will be accepted and processed; Bill of Lading will not be accepted
- Escalation to supervisor when irregularities occur
- Defined irregularity resolution process



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## **PVDS Compliance Plan - Appointments**

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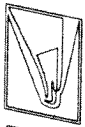
- Recording of arrival, appointment, and closeout information for mail processing facilities
  - PS Form 8125
  - Surface Visibility (SV)
  - Transportation Information Management Evaluation System (TIMES)
  - FAST



## **PVDS Compliance Plan - Process**

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- Publication 804 - *Drop Shipment Procedures for Destination Entry* defines the process
  - Training of USPS staff
  - Facility and Area reviews
  - Consistent enforcement of existing process
  - Update Publication 804 to include:
    - ◆ Process Guide
    - ◆ eMIR recording of drop shipment irregularities
  - Internal and external messaging



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## Key PVDS Risks

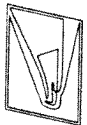
- No consistency in following verification procedures as outlined in Publication 804
- No mechanism to report irregularities to Origin BMEU for follow-up





## **KEY SOX Financial Controls**

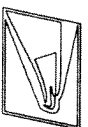
**Plant Verified Drop-Shipment SOX Compliance**



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## **BMA Handbook DM-109 2010 Revisions**

- Updated DM-109
- Submitted for Review: January 4
- Target Publication Date: February 17
- Updated and Clarified Sections:
  - Integrated Operating Plan
  - Acceptance Site Configuration and Mail Staging
  - Dashboard Management
  - Verifications
  - Managing Periodicals
  - Posta/One!* and MERLIN Outages
  - Plant Verified Drop Shipment

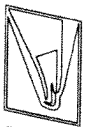


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# **BMA Compliance Training**

**Jan . 11 -- Jan. 29**

- Topic 1 Integrated Operating Plan**
- Topic 2 Acceptance Site Configuration for Check-In & Mail Staging**
- Topic 3 Managing the *Posta/One!* Dashboard**
- Topic 4 Check-in Process**
- Topic 5 Initial Verification**
- Topic 6 Determining In-depth Verification**
- Topic 7 Plant Verified Drop Shipment**
- Topic 8 Full-Service Verifications**
- Topic 9 Intelligent Mail Device Scanner**
- Topic 10 Finalizing Verification Results**
- Topic 11 End-of-Day Reconciliation**
- Topic 12 Managing Periodicals**
- Topic 13 *Posta/One!* System Outage Contingency Plan**



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## **BMA Compliance Training**

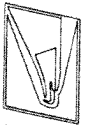
**Jan . 11 – Jan. 29**

- ❑ Complete Training Jan.11 – Jan. 29
- ❑ Correct Practices for Accepting, Verifying & Releasing Mail
- ❑ Focus on Revenue Completeness
- ❑ Web-based training
  - Topic based: 13 Topics
  - Review at end of each Topic
  - Comprehensive Test at the End
- ❑ Approximately ~~6~~<sup>7</sup> hours
  - 5 hours of Content
  - 2 hours of Reviews/Break/Comprehensive
- ❑ Local PEDC Staff and Manager, Learning Diversity and Development (MLDD) Oversight



## **Site & Employee Identification (Nov.25 – Jan 8)**

- Worked with Area Marketing Managers and CSPAS to Identify Sites and Employees
- All sites generating > \$1million including BMEUs, DMUs, AOs etc
- Identified Area Lead, District Lead and Site Lead
- Identified Acceptance Employees



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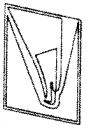
## BMA SOX Compliance Plan

<b>Dates</b>	<b>Action</b>
Nov. 25 – Jan. 8	Site Confirmation and Employee Identification
Jan. 11 – Jan. 29	Complete BMA Compliance Training
Feb. 1 – Feb. 19	Deploy BMA Compliance Processes - <i>offices</i>
Feb. 1 - Ongoing	BMA In-Depth Verification Training
Feb. 22 – Mar. 5	Complete Post-Training Assessment
Jan 11. – Mar. 31	Remediation



# **KEY SOX Financial Controls**

**Business Mail Acceptance SOX Compliance**



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## **KEY SOX Financial Controls**

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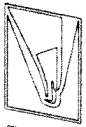
- ❑ Revenue Completeness
  - Mail released to Operations has been accurately paid for
    - ◆ Acceptance
    - ◆ Drop-Ship
  - Correct practices for acceptance, verification and induction of business mail
- ❑ Timely and accurate reporting of revenue
- ❑ Funds on Hand
- ❑ Identification of and action on bypass mail





## **KEY SOX Financial Controls**

- Need to be SOX Compliant per PAEA
- Developed a Plan for Business Mail Acceptance and Plant Verified Drop-Ship to focus on Revenue Completeness and the Key SOX Gaps
- Address by March 31
- Testing Follows



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# **Business Mail Acceptance & PVDS SOX Compliance**

**January 8, 2010**