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# Mailer Move Update Process

Technical Guide



UNITED STATES  
POSTAL SERVICE®



## 1.0 GENERAL

In order to receive USPS® automation discounts on First-Class mailings customers must comply with Move Update requirements. Some customers consider their electronic addresses/ mailing lists too sensitive to provide to a third party to perform Move Update processing.

To meet the needs of these mailers the USPS created a computer based process that will allow these mailers to comply with the Move Update requirement and obtain automation discounts. This process is called the Mailer Move Update Process, commonly referred to in this guide as the "99% Test". If after processing the file and 1% or less obtains change of address matches, the file is considered to be Move Update compliant. Testing is performed by file name and only applies to that file.

## 2.0 DEFINITION

The 99% Test is a computer based process that performs USPS ZIP + 4® coding and change of address processing utilizing the customer's file as input. The 99% Test can be accomplished by submitting the files directly to the USPS for processing or we can bring the 99% process onsite to process the files.

The sole purpose of this agreement and the 99% Test is to determine that 1% or less of the addresses have a change of address on file and to identify addresses that do not ZIP + 4 code.

## 3.0 RESULTS

Upon successful completion of the Terms and Conditions on the 99% Test, the USPS will grant Move Update compliance to the lists/files processed. The mailer is only covered for the list/file processed and ***is not a blanket authorization for automation rates on all mail.***

## 4.0 FEES

### USPS Testing

Mailer shall pay the USPS a fee of \$1.00 per 1000 addresses, which is due at the time of processing. There is a \$100 minimum requirement for files processed at the USPS facility.

### Onsite Testing

There is a \$6000.00 minimum charge for onsite testing, which will be invoiced after final processing. Address files totaling over 6 million records, will be billed additionally at \$1.00 per 1000 records. The fee, which represents neither a purchase nor a sale, may be adjusted to reflect the current USPS cost of providing system support and auditing service.

The USPS may perform additional 99%Test quality reviews as frequently as it determines necessary. To ensure the integrity of the mailing lists, Mailers shall be prepared to demonstrate their continued compliance with their address quality and maintain the required 99% accuracy. Reviews can be conducted on or off site each year or as required by USPS.

## 5.0 GENERAL REQUIREMENTS

1. Applicants must complete and return the Mailer Move Update Processing Order Form enclosed along with two copies of the most recent PS Form 3553's.
2. All of the applicant's customer records must be run against the USPS ZIP + 4 Address Matching Engine and change of address process. A part or a segment of a file is not acceptable.
3. At least 90% of the total file must be able to be ZIP + 4 code.
4. The USPS will provide a report that will show the total record count, the number of ZIP + 4 coded records, Total records Matched and percentages of each. The report will provide a profile of the addresses that ZIP + 4 code as well as those that do not ZIP + 4 code.

5. The USPS will provide the applicant with a file containing all of the non ZIP + 4 coded records. The purpose of this file is to assist the applicant in identifying addresses that need to be researched and improved.
6. The USPS will provide the applicant with a file containing all of the change of addresses obtained during this process only if a score of 99% or greater is obtained.
7. Passing the 99% Test authorizes the applicant to present mail generated from the tested list/file as Move Update Qualified for one year. (Except as noted in section 10.6).
8. The applicant will revert to an Initial 99% Test (See section 10.2 ) if:
  - a. The tested mailing list/file has significantly changed from one audit to the next (more than 1% growth).
  - b. The tested mailing list/file has been affected by or resulting from company acquisitions, buy-outs, takeovers, or mergers.
  - c. Or they fall below the 99% requirement on a subsequent test.

## 6.0 SPECIFIC REQUIREMENTS

1. The applicant must fill out the "Move Update Alternative Processing Order Form prior to each test. A separate form is required for each list/file by name.
2. In order for the USPS to monitor Move Update compliance each file must have a specific name associated with the file. The name must have a meaning to the applicant and to the USPS. For the purpose of the 99% Test, a mailing list/file is a single file or a single file comprised of multiple databases that is designated/deemed/named/mailed as a single entity. For example: ABC telephone company may be comprised of several districts/zones/divisions that print and mail from the same facility. ABC telephone company is diversified so it has billing for long distance, cellular service and normal business and residential billing. If all of the billing files are combined as a single file for the 99% Test, then the name of this file should have meaningful name such as ABC Company All billing. If each of the diversified billings are submitted separately, then the name should correspond to that specific type of diversification (ABC Company Cell Phone Billing). If the files are separated by districts/zones/divisions then the name should indicate that (ABC Company All Billing (TX, AR, TN) or ABC Company Cellular Billing TX, AR, TN)
3. The Applicant must provide the USPS with copies of the last two PS Form 3553's. **The Form 3553 must pertain to their entire mailing list** and indicate the total number of records in the list, the number and percentage of records ZIP + 4 coded, number and percentage of records 5 digit coded. If the mailing list is comprised of several different lists/files that produce multiple 3553's at different times, then a single 3553 must be produced prior to submitting the file to the 99% Test.
4. The applicant will submit all address records that would result in an actual mail piece that is submitted to the USPS for delivery. Applicants may exclude addresses that are mailed out of the country, internet billing, addresses with out names or any address that will not produce an actual mail piece.
5. The list owner will provide the address list in the record format as defined in this document.
6. The applicant **must sort the file** in ascending order by ZIP Code®.
7. All addresses assigned a valid ZIP + 4 Code will be processed by the change of address software. A percentage is computed based on the moves obtained (number of matched moves divided by total ZIP + 4 records). This percentage will be applied to the non-coded records and the default ZIP + 4 records to ascertain the number of possible moves in those records. All moves will be combined and divided by the total ZIP + 4 coded addresses minus the number of default ZIP + 4 records. If this percentage exceeds 1%, the file is considered NOT to be Move Update compliant.
8. If the test is being performed on site, the applicant must provide the USPS technician sufficient work area to support a desktop PC and cartridge reader, sufficient power, a SVGA monitor, and a telephone to perform the test.

## 7.0 NON-ZIP + 4/Delivery Point Coded (DPC) ADDRESSES

1. For the 99% Test, non-ZIP + 4/ DPC addresses will not be matched by the change of address logic. After processing the file, if the percentage of non-ZIP + 4/DPC addresses exceeds 10%, the address file does not reflect the required percentage and will not qualify for Move Update compliance.
2. The move percentage found in the ZIP + 4 coded records will be applied to the non coded records and then added to the total moves.

## 8.0 DEFAULT ZIP + 4/DPC ADDRESSES

Default ZIP + 4 Coded addresses will not be matched with the change of address matching logic. The move percentage found in the ZIP + 4 coded records will be applied to the default ZIP + 4 coded records and then added to the total moves.

## 9.0 QUALITY STANDARDS AND TESTING CRITERIA

The accuracy of the name and address matching performed by the change of address equipped system in this environment depends upon the quality of the data passed to it from the applicant's address mailing list. The USPS name and address matching logic is standardized and tested by USPS prior to its deployment for the 99% Test to ensure the results desired by USPS. No match results will occur when incorrect input name or addresses are provided to the system from the applicant's list.

To evaluate the accuracy and validity of the Applicant's address mailing list, the 99% Test utilizes the USPS ZIP + 4 address coding engine and name and address matching logic that will determine if change of address data is present. This will be performed by the evaluation of the test results with respect to the following criteria:

1. The percentage of records that are ZIP + 4/ DPC and passed to the system from the applicant's list shall not be less than 90% of the total number of pieces in the original file.
2. The percentage of records containing a move identified by the system plus the possible moves for the records not presented to change of address matching logic shall not be less than 99% when compared to the ZIP + 4 Coded records minus the default ZIP + 4 records and records without a name.

$$\frac{(\text{Move\%} * \text{NoCode}) + (\text{Move\%} * \text{Default ZIP}) + \text{Num Moves}}{(\text{Total ZIP + 4 Coded} - (\text{Default ZIP + 4 No Name}))} = \frac{(.0658 * 287814) + (.0658 * 122194) + 194374}{((2952488) - (122194 + 0))} = 7.82\%$$

## 10.0 TESTING PROCEDURES

1. Preliminary file review: Prior to testing the applicant must submit a test file in the proper format. This will allow the USPS the opportunity to process the file and verify the format and identify any potential problems. The file may contain live names or fake names.
2. Initial 99% Test: This test will test all files for which the applicant is claiming to be Move Update compliant. The results will ascertain if the applicant meets the specific requirements and testing standards. If the applicant fails to meet the standards they are authorized to re-apply after 185 days.
3. First Year Audit: This test will occur approximately One (1) year from the initial 99% Test to ensure continued compliance with the current standards.
4. Second Year Audit: This test will occur approximately Two (2) years from the initial 99% Test to ensure continued compliance with the current standards.
5. Third Year Audit: This test will occur approximately Three (3) years from the initial 99% Test to ensure continued compliance with the current standards. If successful (i.e. within compliance for three years) then audits will occur every fourth year there after.
6. Subsequent Audits: After successful completion of step 5, an Audit will occur approximately every fourth year as long as the applicant continues to show the mailing list is still in compliance with the

current standards. Any failure to meet compliance standards will result in reverting to the initial testing (e.g., step 2) until the applicant again passes three consecutive years.

7. Mailers who have completed step six are required to submit an **annual letter** to the Postal Service stating their current status for eligibility and detailing any business or company modifications, as outlined below:
  - Any merger or acquisition of the company whose list is certified
  - An annual increase in the customer base, or address data that makes up the mailing list, that is greater than 1% of the total base.
  - Any change in, or modifications related to, the address matching tools used (CASS™, MASS™, NCOA, FASTforward®, NCOALink™ process)
  - Any change in the type of business originally certified
  - Any change in the customer method for notification or update process made to the business systems that maintain customer address information.
8. After receiving and reviewing the mailer's annual update letter, the Postal Service will determine whether or not the list needs to recertify. If recertification is required, recertification testing must be performed within 90 days of receipt of the annual update letter.

## 11.0 FILE FORMATS

The file(s) submitted to the USPS for input will utilize the following format below. The file must be sorted by the 5 Digit ZIP. The input file will be a fixed format ASCII file. All null characters and blank fields must be represented as spaces. The input file(s) returned must be Standard Label/EBCDIC Format and the media must be externally labeled to show the company name and file name. Input media may be returned on a 3480 Cart(s), 3490 Cart(s), or a CD(s). Each file cannot contain more than 10 million records. (If a single file to be processed contains more than 10 million records, it must be divided into multiple files for processing.)

### File Layout – INPUT

RECORD FROM	POSITION TO	FIELD NAME AND DESCRIPTION	LENGTH	COBOL
1	5	Input five digit ZIP	05	PIC X(05)
6	45	Input Name	40	PIC X(40)
46	95	Input Address	50	PIC X(50)
96	135	Input City, State, ZIP (five digit ZIP)	40	PIC X(40)
136	155	Input Customer/Account number (optional but recommended)	20	PIC X(20)
156	165	Input parsed primary number (optional)	10	PIC X(10)
166	173	Input parsed secondary number (optional)	8	PIC X(08)
174	178	Input five digit ZIP	5	PIC X(05)
179	182	Input ZIP + 4	4	PIC X(04)

The Parsed Primary Number and Secondary number along with the input ZIP + 4 can be utilized to attempt a MOVE MATCH when our ZIP + 4 system is unable to produce a ZIP + 4 match on the input records. If the 99% system is unable to obtain a ZIP + 4 and if the Input ZIP + 4 is valid and a Parsed Primary Number is present, the record will be counted as if a ZIP + 4 match was obtained by the 99% system.

Please note: In the case of Rural Route, Highway Contract, and PO BOX type address, the Parsed Primary address will consist of the BOX NUMBER.

RR 1 BOX 710            HC 1 BOX 710            PO BOX 710

In all cases listed above the Parsed Primary number will be 710 and the Parsed secondary would be spaces.

Move Update REVIEW File Format - file returned to customer indicating potential problems with transactions. This file will be returned regardless if the list passes or fails the test.

### File Layout – 99REVIEW

RECORD FROM	POSITION TO	FIELD NAME AND DESCRIPTION	LENGTH	COBOL
1	40	Input Name	40	PIC X(40)
41	90	Input Address	50	PIC X(50)
91	130	Input City, State, ZIP	40	PIC X(40)
131	150	Input Customer/Account number	20	PIC X(20)
151	160	Input parsed primary number	10	PIC X(10)
161	168	Input parsed secondary number	8	PIC X(08)
169	173	Input five digit ZIP	5	PIC X(05)
174	177	Input ZIP + 4	4	PIC X(04)
178	179	ZIP + 4 return code	2	PIC X(02)
180	181	ZIP + 4 record type	2	PIC X(02)
182	183	Modified return code	2	PIC X(02)
184	209	ZIP + 4 return footnotes	26	PIC X(26)
210	211	Carriage Return Line Feed (CRLF)	2	PIC X(02)

The file contains potential issues/problems/transactions with return codes. All records that are unable to be ZIP + 4 coded by the USPS ZIP + 4 engine will be returned for your review. Please consult the AMSAPIUG.PDF for ZIP + 4 return codes and footnote codes which is located at the following web address: <http://ribbs.usps.gov/files/AMSAPI/AMSAPIUG.PDF> .

The 99% system may also produce modified return codes. The modified return codes are as follows:

Modified return code	Description
01	Five digit ZIP not numeric or 00000
02	Unique Five digit ZIP
03	Input Five digit ZIP different than ZIP + 4 return
04	Non delivery point match by ZIP + 4
05	Greater than 9 words in an address
06	No surname present
19	Reverse 9 digit ZIP + 4 lookup failed

The USPS will provide the applicant with a file containing all of the change of addresses obtained during this process only if a score of 99% or greater is obtained.

### File Layout – 99FMATCH

RECORD FROM	POSITION TO	FIELD NAME AND DESCRIPTION	LENGTH	COBOL
1	5	Input five digit ZIP Code	5	PIC X(05)
6	45	Input name	40	PIC X(4)
46	95	Input address	50	PIC X(50)
96	135	Input city, state, ZIP	40	PIC X(40)
136	155	Input account number	20	PIC X(20)
156	165	Input parsed primary number	10	PIC X(10)
166	173	Input parsed secondary number	8	PIC X(08)
174	178	Input five digit ZIP Code	5	PIC X(05)
179	182	Input ZIP + 4	4	PIC X(04)
183	183	Filler	1	PIC X(01)
184	184	Filler	1	PIC X(01)
The following are ZIP + 4 results of input				
185	234	ZIP + 4 address	50	PIC X(50)
235	262	ZIP + 4 city	28	PIC X(28)
263	264	ZIP + 4 State	2	PIC X(02)

265	269	ZIP + 4 five digit ZIP	5	PIC X(05)
270	273	ZIP + 4 four digit add-on	4	PIC X(04)
274	276	ZIP + 4 DPBC	3	PIC X(03)
277	280	ZIP + 4 Carrier Route Id (CRID)	4	PIC X(04)
281	281	ZIP + 4 address record type	1	PIC X(01)
282	283	ZIP + 4 Return code	2	PIC X(02)
		The following are ZIP + 4 return codes		
284	284	ZIP Corrected	1	PIC X(01)
285	285	City State corrected	1	PIC X(01)
286	286	Invalid city state ZIP	1	PIC X(01)
287	287	No ZIP assigned	1	PIC X(01)
288	288	ZIP assigned for multiresp	1	PIC X(01)
289	289	No ZIP available	1	PIC X(01)
290	290	Reserved	1	PIC X(01)
291	291	Secondary number missing	1	PIC X(01)
292	292	Insufficient / incorrect data	1	PIC X(01)
293	293	Dual input address – used PO BOX	1	PIC X(01)
294	294	Dual input address – used non PO BOX	1	PIC X(01)
295	295	Delivery address component	1	PIC X(01)
296	296	Changed street name spelling	1	PIC X(01)
297	297	Standardized delivery address	1	PIC X(01)
298	298	Reserved for future use	1	PIC X(01)
299	299	Better delivery address exists	1	PIC X(01)
300	300	Reserved for future use	1	PIC X(01)
301	301	Reserved	1	PIC X(01)
302	302	Invalid secondary number	1	PIC X(01)
303	303	Reserved	1	PIC X(01)
304	304	Unofficial Post Office™ name	1	PIC X(01)
305	305	Undeliverable city state	1	PIC X(01)
306	306	Small town default	1	PIC X(01)
307	307	Unique ZIP Code default	1	PIC X(01)
308	308	Reserved	1	PIC X(01)
309	309	Reserved	1	PIC X(01)
310	313	Filler	4	PIC X(04)
		The following contains the new address and/or the reason for non delivery		
314	371	Return matched name	58	PIC X(58)
372	421	Return new address	50	PIC X(50)
422	449	Return new city	28	PIC X(28)
450	451	Return new state	2	PIC X(02)
452	456	Return new five digit ZIP	5	PIC X(05)
457	460	Return new ZIP + 4	4	PIC X(04)
461	462	Return Delivery point bar code	2	PIC X(02)
463	463	Return DPBC check digit	1	PIC X(01)
464	467	Return Carrier Route ID	4	PIC X(04)
468	473	Return Move effective date (YYYYMM)	6	PIC X(06)
474	474	Return LACS™ indicator	1	PIC X(01)
475	475	Return COA move type (F,I,B)	1	PIC X(01)
476	476	Return Forwarding flag (M,K,G,F)	1	PIC X(01)
477	477	Return Match flag value 1	1	PIC X(01)
478	478	Return response flag value Y	1	PIC X(01)



# Mailer Move Update Process Order Form

## Customer Information (Please print)

Customer Name		Tax Identification Number	
Company Name			
Street Address, PO Box, or Rural/Hwy Contract Route and Box Number			Apt/Suite
City		State	ZIP + 4 <sup>®</sup>
Telephone Number (Include area code)		Fax Number (Include area code)	
Email Address			

## Input Media (Check one)

All input files must be in Standard Labeled/EBCDIC format. Media must be externally labeled showing the company name and the file name.

- IBM 3480 Cart     
  IBM 3490 Card     
  CD ROM

## Mailing List (One per application)

Enter the name of the mailing list that will be tested. A separate application must be completed for each mailing list.

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## Input Records

<input type="text"/> Actual Quantity	<input type="text"/> Quantity rounded up to the nearest 1,000	$\div$ 1,000 =	<input type="text"/> Quantity	X \$1.00 =	<input type="text"/> <b>Total Price</b>
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**Note:** There is a \$6,000 minimum charge for onsite testing. Address files totaling over 6 million records will be billed an additional \$1 per 1,000 records.

## Documentation (Required)

Copies of the two most recent PS Form 3553 are required and must accompany this order form.

## Payment Options

Indicate the method of payment and mail this completed form and payment to the address below. (Returned checks will incur a **\$25.00 fee**). Please allow 10 business days for processing and delivery. Customers who need assistance may call the Move Update Department at 1-800-232-3443. Prices subject to change without prior notice.

<p style="text-align: center;"><b>Payment Method</b></p> <p>Make check or money order payable to "United States Postal Service"</p> <p> <input type="checkbox"/> Check                <input type="checkbox"/> Money Order                <input type="checkbox"/> Visa                <input type="checkbox"/> MasterCard  <input type="checkbox"/> Discover                <input type="checkbox"/> Diners Club                <input type="checkbox"/> American Express         </p> <p>Card # <input style="width: 150px; height: 20px;" type="text"/></p> <p>Card expiration date: ____ / ____ (MM/YY)</p> <hr/> <p>Authorized Personnel (Please print)</p> <hr/> <p>Signature</p> <p><i>The signature above accepts total responsibility governing the use of this card and agrees to comply with the terms of the issuer.</i></p>	<p><b>Mail order form and payment to:</b></p> <p>           MOVE UPDATE SUPPORT DEPARTMENT            NATIONAL CUSTOMER SUPPORT CENTER            UNITED STATES POSTAL SERVICE            6060 PRIMACY PKWY STE 201            MEMPHIS TN 38188-0001         </p> <hr/> <p style="text-align: center;"><b>USPS<sup>®</sup> Use Only</b></p>
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