

***PostalOne!* External Contingency Plan**

Version 1.0

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1. Introduction

1.1 Purpose

The following instructions are provided for continuation of operations during a *PostalOne!* system outage, mailer outage or *PostalOne!* system delayed file transmission.

1.1.1 Definitions

- **A *PostalOne!* system outage** is defined as any time an acceptance employee cannot access the *PostalOne!* system to finalize hardcopy or electronic postage statements or mailers are unable to submit electronic mailing information because the *PostalOne!* system is not available. System outages can occur on a local or national basis.
- **A mailer outage** occurs when a mailer is unable to provide the acceptance employee with electronic documentation and postage statements due to an internal issue that prevents a mailer from submitting electronic documentation to *PostalOne!* (i.e. loss of power at mailer's facility, loss of internet connection, etc).
- **A *PostalOne!* system delayed file transmission** is when the time between the mailer's submission of their electronic mailing information and the time the postage statements appear on the *PostalOne!* system dashboard exceeds the Service Level Agreement (SLA) (attachment 1). Delayed file transmissions are considered rare occurrences and will be handled locally following the process described in this document. An example of when the contingency plan may be put into place is: Mailer submits electronic mailing information timely (in accordance with the SLA). There is a delay in *PostalOne!* with processing the job and the postage statements do not appear on the dashboard in time for the acceptance site to process them before closing. In this instance, the mailer can contact the *PostalOne!* Help Desk, obtain a ticket and the acceptance unit can process the mailing under the contingency plan.

This contingency plan is intended to provide information to the mailer on the modified acceptance policies and procedures during a *PostalOne!* system, mailer outage or *PostalOne!* system delayed file transmission. These instructions are designed to both manually support acceptance operations and provide support for system restoration. This contingency plan applies to all sites using the *PostalOne!* system for the acceptance and verification of Business Mail, including BMEUs, DMUs, and Post Offices. This plan allows for mailings to be accepted with as little impact to the mailer as possible.

For mailers who have Special Postage Payment Systems (SPPS) agreements authorized by Business Mailers Support, mailers and acceptance personnel are required to follow the contingency plan instructions and procedures identified within the SPPS agreements or Standard Operating Procedures (SOPs).

Sites with SPPS agreements or SOPs that do not contain contingency plan information are required to follow the instructions and procedures outlined in the *PostalOne!* Internal Contingency Plan.

1.2 Communications

USPS Headquarters Mail Entry will provide communication to all internal and external users during any planned or unplanned *PostalOne!* system outage.

In the event of an unplanned *PostalOne!* system outage, the following information will be sent to mailers through normal communication methods such as external stakeholder webinars/teleconferences and electronic communication. The information below will be provided as it becomes available and may be provided as updates.

- Notification of the incident and impact
- An expectation of when the system may be restored
- Notification on system restoration progress
- Notification of system restoration

2. *PostalOne!* or Mailer Outage – USPS Record of Mailings Log and Customer Mailing Log

2.1 Purpose

During a *PostalOne!* or mailer system outage, acceptance units will move to a manual process to record all mailings presented during the *PostalOne!* system or mailer outage. A *USPS Record of Mailings Log* will be maintained at acceptance units for each permit holder that presents a mailing while the *PostalOne!* or mailer system is not available.

Normal check acceptance procedures will remain in place during a *PostalOne!* system outage. Every mailing accepted will be recorded by the acceptance employee on the *USPS Record of Mailings Log*.

Postal Wizard, Mail.dat[®] and Mail.XML[™] mailers who normally submit their postage statements electronically must submit a *Customer Mailing Log* during an outage. The *Customer Mailing Log* can be submitted in either hardcopy or electronic format (with a customer supplied viewer if necessary). The *Customer Mailing Log* must contain at a minimum, the following information:

- Permit Holder
- Permit Number
- Total Pieces
- Total Postage
- Mailer Job ID

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

3. Submission of Postage Statements

3.1 Postage Statements submitted during a *PostalOne!* Outage, Mailer outage or *PostalOne!* system delayed file transmission

BMEUs, DMUs and Post Offices will continue to accept business mailings during a *PostalOne!* outage, mailer outage or a *PostalOne!* system delayed file transmission. The following steps are designed to provide instruction on how postage payment information is submitted during an outage. For mailers who have Special Postage Payment Systems (SPPS) agreements authorized by Business Mailers Support, mailers and acceptance personnel are required to follow the contingency plan instructions and procedures identified within the SPPS agreements or Standard Operating Procedures (SOPs).

3.1.1 *PostalOne!* System Outage Postage Payment Information Submission

Mailers are required to submit postage payment information as described below for each mailing presented to a BMEU, DMU or Post Office during a *PostalOne!* system or mailer system outage.

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

3.1.1.1 Mailers Submitting Electronic Documentation

Mailers who normally submit electronic postage statements using the Postal Wizard, Mail.dat or Mail.XML postage statement submission methods will provide, in either electronic or hardcopy format, a *Customer Log of Mailings* to the BMEU, DMU or Post Office during the outage. Each line entry on the *Customer Mailing Log* must represent a postage statement. The *Customer Mailing Log* must contain (at a minimum) the following information:

- Permit Holder
- Permit Number
- Total Pieces
- Total Postage
- Mailer Job ID

Once the *PostalOne!* system is restored, an electronic postage statement in Postal Wizard, Mail.dat or Mail.XML format must be submitted within three (3) business days for each line item on all *Customer Log of Mailings* submitted during the *PostalOne!* system outage.

NOTE: Mailers who submit electronic postage statements via Postal Wizard cannot submit a “mixed” mailing (a mailing containing both Full-Service and non-Full-Service pieces) through Postal Wizard.

NOTE: Combined Mailers who submit a Master Statement and child statements to support each postage payment method (Permit Imprint, Meter, Precancelled Stamp) in the mailing will follow the contingency plan instructions and procedures identified within the SPPS agreements or Standard Operating Procedures (SOPs). If there is not a contingency

plan within the SPPS agreement or SOP, Combined mailers will list the Master Statement and the child statements on the *Customer Log of Mailings*. The mailer will indicate the child statements that support the master statement.

3.1.1.2 Mailers Submitting Hardcopy Postage Statements

Mailers who normally submit hardcopy postage statements will continue to submit the hardcopy postage statement during a *PostalOne!* system outage.

3.1.2 Mailer System Outage Postage Statement Submission

If a mailer is unable to present electronic documentation and postage statements to the *PostalOne!* system due to a mailer outage, a help desk ticket must be initiated and the *Customer Mailing Log*, as described in Section 3.1.2.1 must be submitted for each mailing presented during the mailer outage.. Once the mailers system is restored, the mailer must submit all electronic postage statements and documentation within three (3) business days.

3.1.2.1 Mailers Submitting Electronic Documentation

Mailers who normally submit electronic postage statements using the Postal Wizard, Mail.dat or Mail.XML postage statement submission method will provide, in either electronic or hardcopy format, a *Customer Mailing Log* to the BMEU, DMU or Post Office during their system outage. Each line entry on the *Customer Mailing Log* must represent a postage statement. The *Customer Mailing Log* must contain (at a minimum) the following information:

- Permit Holder
- Permit Number
- Total Pieces
- Total Postage
- Mailer Job ID

Once the *PostalOne!* system is restored, an electronic postage statement in Postal Wizard, Mail.dat or Mail .XML format must be submitted within three (3) business days for each line item on all Customer Log of Mailings submitted during the *PostalOne!* system outage.

NOTE: Mailers who submit electronic postage statements via Postal Wizard cannot submit a “mixed” mailing (a mailing containing both Full-Service and non-Full-Service pieces) through Postal Wizard.

3.1.3 *PostalOne!* System Delayed File Transmission Postage Statement Submission

If a mailer transmits their electronic documentation to the *PostalOne!* system and there is a delay in the postage statements appearing on the *PostalOne!* system dashboard outside of the SLA in attachment 1, a help desk ticket must be initiated and a *Customer Mailing Log*, as described in Section 3.1.3.1, must be submitted for each mailing presented to a BMEU, DMU or Post Office.

3.1.3.1 Mailers Submitting Electronic Documentation

Mailers who normally submit electronic postage statements using Mail.dat or Mail.XML postage statement submission method will provide, in either electronic or hardcopy format, a *Customer Mailing Log* to the BMEU, DMU or Post Office. Each line entry on the *Customer Mailing Log* must represent a postage statement. The *Customer Mailing Log* must contain (at a minimum) the following information:

- Permit Holder
- Permit Number
- Total Pieces
- Total Postage
- Mailer Job ID

4. Supporting Documentation

4.1 Required Mailing Documentation

All mailing documentation as defined in sections 334, 344, 364, 374 and 384 of the *Domestic Mail Manual* (DMM) must be submitted with each hardcopy postage statement, or *Customer Mailing Log* as described in Section 3, submitted during a *PostalOne!* system or mailer system outage.

4.2 Exception to Required Mailing Documentation Submission

Presort documentation will not be required to accompany any mailing normally submitted through Postal Wizard, Mail.dat or Mail.XML processes until after the third (3rd) business day of the outage. The qualification summary report is acceptable in lieu of the entire qualification report.

NOTE: After the third (3rd) business day of an outage, applicable presort documentation must only be submitted upon request to support mailings selected for an In-Depth verification.

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

5. End-of-Day Reconciliation Prior to System Restoration

5.1 Reconciliation Process

Prior to the close of business on each day of the *PostalOne!* system or mailer outage, acceptance employees must validate each hardcopy postage statement and mailing entry on the *Customer Mailing Log* that is presented by a mailer, to a line item on the *USPS Record of Mailings Log* to determine all mailings presented and accepted during the outage have been accounted for.

This End-of-Day Reconciliation during the outage, and after system restoration, will ensure that sties are able to account for each mailing that was submitted and ensure it is finalized in the *PostalOne!* system .

Acceptance employees are required to follow-up with the mailer to check the status of the electronic postage statement(s) and when the customer believes the electronic statement will be available in the *PostalOne!* system for finalization

6. System Restoration/Successful Postage Statement Submission Process

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

6.1 System Restoration

6.1.1 Mailers who Normally Submit Hardcopy Postage Statements

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

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

Mailers who normally submit electronic postage statements using Postal Wizard, Mail.dat or Mail.XML must submit electronic postage statements for all mailings presented and accepted during the outage. Once the *PostalOne!* system is restored acceptance employees will begin processing all the postage statements received during the outage.

NOTE: Mailers who submit electronic postage statements via Postal Wizard cannot submit a “mixed” mailing (a mailing containing both Full-Service and non-Full-Service pieces) through Postal Wizard.

6.1.2.1 Full-Service Discount

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

discount will be deducted from the same permit imprint account used to pay the postage for the mailing presented during the outage.

6.1.3 PostalOne! System Delayed File Transmission

When there is a *PostalOne!* system delayed file transmission, the postage statements will appear on the dashboard when the system finishes processing the mailer's job.

Acceptance employees will compare the information on the electronic postage statement to the mailer submitted *Customer Mailing Log* and process the electronic statement. The *PostalOne!* Help Desk ticket number will be entered in the comments section.

7. Electronic Verification System (eVS)

7.1 eVS System Outage

If there is a system outage:

- Hard copy postage statements will not be required.
- Mailings will not be held.

If mailers do not see a file in PostalOne/eVS:

- Contact the eVS help desk (877-264-9693 Option 4 or eVS@usps.gov) to ensure that mailer files have been received.
- Provide the helpdesk with EFNs or file names along with transmission date and time.

7.2 PTS System Outage

If there is a system outage that impacts the receipt and processing of the files:

- Non-compliance fee for manifest file requirement will not be assessed.

If mailers do not receive a CEW report within 4 hours after file submission:

- Verify mailer system is functioning correctly.
- Contact the eVS or confirmation services help desk to ensure that mailer files have been received. Provide the helpdesk with EFNs or file names along with transmission date and time.

7.3 eVS Mailer Outage

- If a mailer is unable to submit file(s) due to a mailer outage, a help desk ticket must be initiated and provide the details of the issue as well as any pertinent information

about the mailing. Once the mailers system is restored, all files must be submitted immediately.