

## I - Mailer and Post Office Notification

Contact the mailer and the administering Post Office to arrange for a mutually agreeable date or date(s). You may notify the postmaster in writing of the review date and include a checklist of all the documents you will require to complete the review. The District or Business Mailer Support representative performing the audit will determine the number of jobs to be audited based on PS Form 3634, *Optional Procedural (OP) Job Review Frequency Guide*, contained in Publication 407, *Optional Procedure (OP) Mailing System*. The postmaster will select the jobs to be audited and request that the mailer provide complete job jackets for those mailings on the day of the review. The jobs selected should include at least one PVDS mailing, one automated rate mailing (if applicable), and one mailing from each audit trail (if applicable).

Date Mailer Notified	Date Post Office Notified
Mailer's Name	Mailer Contact Person
Address (Number, street, ste., city, state, ZIP+4)	Mailer Telephone Number <i>(Include area code)</i>
	Date of Review

## II - Post Office Review

This part of the review may be completed before or after the job jacket records review.

A. Ensure the following records are on file and current:

Yes	No	
<input type="checkbox"/>	<input type="checkbox"/>	OP agreement, including any addenda.
<input type="checkbox"/>	<input type="checkbox"/>	Plant-load application and service agreement.
<input type="checkbox"/>	<input type="checkbox"/>	Additional authorizations.

Comments:

B. Review refund requests and exception requests:

Yes	No	
<input type="checkbox"/>	<input type="checkbox"/>	Is there a pattern of repeat instances or a pattern of frequency that requires special attention from the mailer?

Comments:

C. Review the most recent district semi-annual review.

Yes	No	
<input type="checkbox"/>	<input type="checkbox"/>	Were discrepancies noted that required action by the mailer or the administering Post Office?
<input type="checkbox"/>	<input type="checkbox"/>	If so, has the mailer/Post Office responded satisfactorily to discrepancies noted? <i>(Determine if additional action is required.)</i>

Comments:

## III- Opening Conference

The purpose of the opening conference is to review the OP agreement with the mailer and to discuss any other current issues involving the mailer's agreement. If this is your first visit, it is important that you tour the plant with the mailer, to learn how the plant operates. You will need to explain the intent of the review and discuss the following, if applicable.

Yes	No	
<input type="checkbox"/>	<input type="checkbox"/>	Are there changes in operational procedures?
<input type="checkbox"/>	<input type="checkbox"/>	Are there changes in job jackets records?
<input type="checkbox"/>	<input type="checkbox"/>	Are there changes in staffing (i.e., in key contacts for Postal Service personnel)?
<input type="checkbox"/>	<input type="checkbox"/>	Are there changes in scheduling?

If "Yes" was checked for any of the above, list the specific changes on the "Comments" section on the next page:

### III - Opening Conference (Continued)

Comments:

### IV - Job Jacket Reviews

- A. Review the job jackets selected by the Post Office to determine if all documents required in the OP agreement are available and properly labeled (including sample pieces).
- B. List the job numbers reviewed:
- C. Review the postage statements in each job jacket for the following:

Yes	No	
<input type="checkbox"/>	<input type="checkbox"/>	Are they completed accurately by the mailer and the Post Office, including correct formats (computer generated), rates, endorsements, postage computation, certification clauses, and round-dating?
<input type="checkbox"/>	<input type="checkbox"/>	Do they contain only mailings for classes authorized under the OP agreement?
<input type="checkbox"/>	<input type="checkbox"/>	Do all mailings appear on the mailer's PS Form 3631, <i>Optional Procedure (OP) Summary of Mailings</i> ?
<input type="checkbox"/>	<input type="checkbox"/>	Have all postage statements been posted to either PS Form 3609, <i>Record of Permit Imprint Mailings</i> , or to the equivalent PERMIT System report?

Comments:

- D. Perform an in-depth review of the job jackets selected. On a separate sheet of paper, or customized worksheet, list all audit trail records required by the OP agreement and any other records provided. List the records in a logical sequence and indicate for each, where appropriate, the figure(s) by rate category that support the mailing. Explain any discrepancies or missing records. Determine the following during the review of job jackets:

Yes	No	
<input type="checkbox"/>	<input type="checkbox"/>	Does the job jacket support the piece counts and postage claimed on the postage statements?
<input type="checkbox"/>	<input type="checkbox"/>	Are the documents in the job jacket sufficient to support the audit trail?
<input type="checkbox"/>	<input type="checkbox"/>	Are all job jacket records available and properly labeled?
<input type="checkbox"/>	<input type="checkbox"/>	Are the primary records round-dated and initialed by the DMU clerk?
<input type="checkbox"/>	<input type="checkbox"/>	Was spoilage properly documented and debited, if applicable?
<input type="checkbox"/>	<input type="checkbox"/>	Were inkjet reorder reports properly maintained, and additional postage collected, if applicable?

Comments:

- E. Review the mailer's PS Form 3631 for the following:

Yes	No	
<input type="checkbox"/>	<input type="checkbox"/>	Does the record, at a minimum, contain the date of mailing, job number, postage statement sequence number, permit number, single piece weight (or range of weights for non-identical weight pieces), total pieces, and total postage?

Comments:

Yes	No	
<input type="checkbox"/>	<input type="checkbox"/>	Does the administering Post Office ensure that a Postal Service employee compares the mailer's PS Form 3631 against each billed postage statement or PS Form 3609 or PERMIT system equivalent at least once a week to ensure correct billing? (This employee must document the comparison by initialing and dating the applicable page(s) or entries.)

Comments:

## IV - Job Jacket Reviews (Continued)

F. Review the mailer's quality control (QC) records. The QC records should include records for mailpiece production, presort, and job jacket record retention.

Yes

No

Is the mailer in compliance with the terms of the agreement?

Do the records indicate errors found and corrective action taken?

Are the QC procedures adequate?

Comments:

## V - DMU Responsibilities/Operations

Review the DMU and plant operation, paying specific attention to the areas listed below.

A. Observe the overall operation to determine compliance with detached mail unit requirements in Handbook DM-109, *Business Mail*

*Acceptance:*

Yes

No

Is the location of the DMU and space provided safe and adequate for effective acceptance procedures?

Can the DMU be secured when clerks are not present?

Has the mailer provided an adequate staging area for identification of mailings and mail flow from production to loading?

Have the mailer and postal scales been certified as required and tested daily?

Does the DMU have all postal manuals and bulletins pertinent to its duties and responsibilities?

Is adequate security provided for accountable items?

Comments:

B. Observe the DMU clerks' acceptance and verification procedures to ensure the following:

Yes

No

Are mailings accepted in compliance with standards in Handbook DM-109, *Business Mail Acceptance*, including the "one pass/two pass" procedures?

Are presort verifications properly performed and documented?

Are samplings consistent with the size of the mailings verified?

Comments:

Yes

No

Are mailings presented in accordance with the terms of the OP agreement?

Are disqualified and bypass mailings adequately documented and problem areas corrected?

Comments:

C. Review, at a minimum, three live mailings (if available) for the following:

Yes

No

Is the mailpiece design and content correct for the class of mail and the rate claimed?

Is the mail properly prepared (including sortation, labeling, and presentation), and is the appropriate equipment used?

Was the documentation presented at or before the mailing, and is it accurate?

Comments:

D. Review procedures for loading and dispatching mail to determine the following:

Yes

No

Do DMU clerks observe the loading when required (plant-load)?

Are trailers properly dispatched, including correct use of revenue protection documents?

For PVDS mailings, are the PS Forms 8125 properly completed?

Comments:

## V - DMU Responsibilities/Operations (Continued)

E. Based on your review, determine whether the DMU staff is adequate and properly trained as follows:

- | Yes                      | No                       |   |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | Does the mailer provide a production schedule that allows the administering Post Office to effectively meet the mailer's needs? |
| <input type="checkbox"/> | <input type="checkbox"/> | Does the mailer provide sufficient resources to move mail, load vehicles, and respond to DMU questions?                         |

Comments:

F. For MEPPS sites, review the following:

- | Yes                      | No                       |  |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | Are all clerks using unique passwords, and is the administration of passwords handled correctly? |
| <input type="checkbox"/> | <input type="checkbox"/> | Is the computer secured from unauthorized access?  |
| <input type="checkbox"/> | <input type="checkbox"/> | Do the DMU clerks receive disks in a timely manner?  |

Comments:

## VI - Exit Conference

After completing the review, discuss your findings with the mailer. To ensure a mutual understanding of what corrective action the mailer must take, it is recommended that this meeting include a representative from the administering Post Office. Also, be sure that you advise the mailer of areas where no deficiencies were found.

If your review includes Post Office findings, you will need to conduct a separate exit interview with the administering postmaster. Discuss the areas needing corrective action and include your suggestions for methods of implementing that action.

Comments:

## VII - Participants

List name and title of each Postal Service participant completing the review:
