Postal Rate Commission
Submitted 5/9/2005 4:23 pm
Filing ID: 44027
Accepted 5/9/2005

BEFORE THE
POSTAL RATE COMMISSION
WASHINGTON, D.C. 20268-0001

POSTAL RATE AND FEE CHANGES PURSUANT TO PUBLIC LAW 108-18	Docket No. R2005-1

RESPONSES OF THE UNITED STATES POSTAL SERVICE TO
INTERROGATORIES OF DOUGLAS CARLSON
[DFC/USPS-26-27]
(May 9, 2005)

The United States Postal Service hereby provides its responses to the above-listed interrogatories of Douglas Carlson, filed on April 25, 2005. Each interrogatory is stated verbatim and is followed by the response.

Respectfully submitted,

UNITED STATES POSTAL SERVICE

By its attorneys:

Daniel J. Foucheaux, Jr.
Chief Counsel, Ratemaking

_____
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CERTIFICATE OF SERVICE

I hereby certify that I have this date served the foregoing document in accordance with Section 12 of the Rules of Practice and Procedure.

_____
Michael T. Tidwell

RESPONSE OF UNITED STATES POSTAL SERVICE
TO INTERROGATORIES OF DOUGLAS F. CARLSON

DFC/USPS-26. Please refer to Library Reference USPS-LR-I-326 and 327 in Docket No. R2000-1. Please provide current statements of work or similar documents describing the operation of the EXFC measurement system, the PETE measurement system, the measurement system for Express Mail delivery times, and the measurement system for Delivery Confirmation scanning.

RESPONSE:

The statement of work for the EXFC measurement system and the PETE measurement system is filed in USPS Library Reference K-127.

The Express Mail Service Performance Reporting Requirements Document is attached to this response.

The Delivery Confirmation Scan Performance Report Requirements documentation also is attached. This documentation relates to using the PTS source system data and replicating the current WebEIS reports in the data warehouse. Original documentation for PTS scan performance reporting is unavailable.

REQUIREMENTS DOCUMENT
Product Tracking System

TITLE: **Express Mail Service Performance Reporting**

PROJECT ID: CCB 231
AUTHOR:
DATE: August 1, 2001

BUSINESS NEEDS DESCRIPTION

The USPS business need is to evaluate the service performance of Express Mail next day service. In quarter 3 of fiscal year 2002, Express Mail service performance will be measured as a compensable goal. The service performance for this goal will be reported on WebEIS for the initial reporting phase. The source data for this measurement will be PTS. A second business need is to provide diagnostic tools and data in an effort to help identify service improvements. Web EIS and the PTS data mart along with on-line analytical processing (OLAP) tools will be used for the analysis of Express Mail service performance. PTS will provide the source data for WebEIS and the data mart for this second phase. The following requirements document the PTS modifications needed to provide the Express Mail service performance data to WebEIS for the first phase of this effort. A subsequent or revised document will include more detailed information for the second phase.

FUNCTIONAL REQUIREMENTS

FR1 PTS must create a weekly summary file of Express Mail records. The summary file must contain records that represent the mail piece, not each individual scan on that mail piece. The file must contain records for domestic post office to addressee Express Mail as well as post office to post office Express Mail. This file must include mail pieces that have no acceptance information.

- Express Mail records must be determined by the class of mail - "EX" in the mail piece table.
- If the class of mail is ‘Null’, then the Service Type Code must be used to determine if the piece should be included in the Express Mail Summary file. All Express service type codes would be included with the exception of Custom Design (service type code = CD).
- Domestic Express Mail must be determined by a 5 digit destination ZIP Code in the mail piece table.
- Express Mail must have a service level of "B" for Post Office to Addressee service or "A" for PO to PO service in the mail piece table.

FR2 The summary file must be created from a daily extract file of raw data. This file shall contain individual scan information for each mail piece and will be the basis for the phase 2 extract file. This daily extract file must include all Express Mail records posted to the database that day – (the posting date/time stamp is equal to the system date/time). The extract file must contain labels with the following Service Type Codes:

- 'AB' - 'AZ', 'BA', 'DA','DB', 'EA' - 'EZ', 'FA', 'FB','GA', 'GB', 'HA ‘,'HB', 'IA', 'JA', 'JB', 'KA', 'KB', 'MA', 'MB', 'NA', 'NB', 'OA', 'OB', 'PA', 'PB', 'QA', 'QB', 'SA', 'SB', 'TA', 'TB', 'UA', 'UB', 'WA', 'WB', 'XA', 'XB', 'YA', 'YB', ‘ZA', 'ZB'.

FR3 Only mail pieces that have both acceptance and a "stop the clock" scan must be included in the Express Mail service performance reports. WebEIS shall exclude those without acceptance.

FR4 The summary file must contain a method of acceptance indicator. This acceptance method indicator must be set to "MNF" when an Express Mail piece has an "MA" event.

FR5 Only retail Express Mail must be included in the Express Mail service performance reports - manifested Express Mail pieces will not be included. WebEIS must include only those mail pieces with an acceptance indicator of "RET".

FR6 The summary file must include a field indicating the service standard for the Express Mail piece. The service standard must be determined by the difference between the acceptance date and time and the scheduled delivery date and time. The indicators must include next day by noon (ND12), next day by 3:00 PM (ND03), next day by 10:00 AM (ND10), as well as 2 day by 10:00 AM (2D10), 2 day by noon (2D12), and 2 day by 3:00 PM (2D03). The committed service can sometimes be more than 2 days because of weekends/holidays or missed cut-off times for a 2 day service standard. (3D12, 4D12 etc.)

FR7 Only Express Mail pieces with a next day service standard must be included in the Express Mail service performance reports. WebEIS must exclude all mail pieces with a service standard equal or greater than 2 days (2D10, 2D12, 2D03, 3D10, 3D12 etc.). Express Mail records to be included must have a commitment of next day by noon (ND12), next day by 3:00 PM (ND03), or next day by 10:00 AM (ND10).

FR8 The summary file must contain Express Mail records where the earliest "stop the clock" event occurred within the previous Postal week (determined by the event date/time). The "stop the clock" events are included in the attachment.

FR9 The summary file must contain the earliest "stop the clock" event and the earliest "start the clock" (acceptance) event information. (Acceptance events include event 03 and event "MA" which is created from the receipt of an electronic file. There is also an 03 event that is created from the scan of the electronic file number at the time the mail is tendered. This is the true "start the clock" event. However, for this requirement, this electronic file acceptance event will not be captured in the summary file. When manifest Express Mail is included in service reporting, the file will have to be modified to include this information).

FR10 The summary file must contain a "manually entered" indicator for Express Mail records that have a "stop the clock" event that was manually entered. A manually entered scan shall be determined by an “M” in the tracking input indicator (MDCD manual entry) or a source type code of "EB" (EMRS batch) from the tracking event table. The new field must be populated with the following values:

M = MDCD manually entered
E = EMRS manually entered
S = Scanned

FR11 Express Mail service reports will not include any pieces where the "stop the clock" event has been manually entered. WebEIS must only include records with a "manually entered" indicator of "S".

FR12 PTS must determine whether a mail piece has met the service commitment by comparing the scheduled delivery date/time to the actual "stop the clock" event date/time. If the actual "stop the clock" event date/time is later than the scheduled delivery date/time, the service commitment has not been met. If the actual "stop the clock" event date/time is earlier than or equal to the scheduled delivery date/time, the service commitment has been met. The summary file must contain a field with the following values:

0 = Not On Time
1 = On Time
Spaces = no acceptance

FR13 The summary file must contain a field to indicate when the delivered ZIP Code is different than the acceptance destination ZIP Code. The "mismatched ZIP Code" field must be set to "Y" when these ZIP Codes are different.

FR14 PTS must create separate weekly, AP, and quarterly files containing the Express Mail records. Based on the "stop the clock" event date/time, the mail piece information must be assigned to the weekly, AP, quarterly files. The summary files must be created by concatenating and summarizing daily extract files to include 10 days of data prior to the reporting period, the days of the reporting period, and 4 days after the reporting period.

Weekly - 10 days prior
7 day reporting period
4 days after

AP - 10 days prior
28 day reporting period
4 days after

QTR - 10 days prior
84 day reporting period
4 days after

FR15 The summary file must contain the following fields:

- Label ID
- Class of mail
- Earliest Acceptance Date
- Earliest Acceptance Time
- Earliest "Stop the Clock" Date
- Earliest "Stop the Clock" Time
- “Stop the Clock” event code
- Origin Zip Code
- Destination/Delivered Zip Code
- Mismatched Delivery Zip Code Indicator
- Service level (PO to Addressee, PO to PO)
- Scheduled delivery date/time
- Service standard/commitment (ND10, ND12, ND03, DY02)
- Manual entry indicator (M, E, or blank)
- Commitment met/not met indicator (0 or 1)
- Acceptance Method Indicator (RET, MNF)
- Customer Number
- Transportation Mode
- Responsive/Non Responsive (Y or N)
- Compensable/Non Compensable (Y or N)
- Total Delivery Scans (all stop the clock except for ‘Attempt”)
- Total Attempt Scans
- Total Retail Acceptance
- Total Manifested Acceptance

FR16 The daily extract file must contain (at a minimum) the following fields:

- Label ID
- Class of mail
- Earliest Acceptance Date
- Earliest Acceptance Time
- Earliest "Stop the Clock" Date
- Earliest "Stop the Clock" Time
- “Stop the Clock” event code
- Origin Zip Code

- Destination/Delivered Zip Code
- Mismatched Delivery Zip Code Indicator
- Service level (PO to Addressee, PO to PO)
- Scheduled delivery date/time
- Service standard/commitment (ND10, ND12, ND03, DY02)
- Manual entry indicator (M, E, or blank)
- Commitment met/not met indicator (0 or 1)
- Acceptance Method Indicator (RET, MNF)
- Customer Number
- Origin city and country (inbound international)
- Destination/Delivered ZIP Code
- Destination city and country (outbound international)
- Weight
- Postage
- Method of payment
- Account number
- Special service codes/fees
- Service standard/commitment
- Transportation Mode
- Responsive/Non Responsive (Y or N)
- Compensable/Non Compensable (Y or N)
- Total Delivery Scans (all stop the clock except for ‘Attempt”)
- Total Attempt Scans
- Total Retail Acceptance
- Total Manifested Acceptance

DOCUMENTATION/APPENDICES:

APPROVALS:

_____ Team Leader

_____Business Needs Requestor

_____ Change Board

_____ Manager, E/PS IS

Configuration Change Request No.: _____CR # _
Configuration Title: EDW Scan Performance Reporting

Program/Subsystem:	EDW
Initiator:	
Business Owner:	Product Information Requirements
Date Initiated:	2/10/05
Req. Comp. Date:	
Date Received:	
Assigned To:	
Type (New or Amendment to Previous Changes):	New

Description (Summary) and Initially Identified System Component Impacts:

Scan performance requirements for EDW scan performance reports.

DOES THIS REQUEST REQUIRE CHANGES TO THE FOLLOWING PROCESSES?
(INDICATE Y/N, AND SPECIFIC INFORMATION AS APPLICABLE):

INPUTS:	Yes/No	Comments
IRT/POS Acceptance or Delivery?	N	
Interface In (indicate)?	N	
MDCD Software (Indicate Drop No.)?	N	
Mailer Manifest File?	N	
OSW Software?	N	
Other?	N	

DATA HANDLING CHANGES:	Yes/No	Comments
Event Code?	N	
Service Type Code?	N	
Bar Code (subroutine)?	N	
Other?	N	

OUTPUTS	Yes /No	COMMENTS
IVR?	N	
Agent Application (CCM)?	N	
API?	N	
Intranet?	N	
Internet?	N	
Mailer Extract File?	N	
Interface File(s)Outgoing? (indicate)	N	
Other?	N	

DOES THIS REQUEST REQUIRE CHANGES TO THE FOLLOWING PROCESSES?
INDICATE Y/N, AND SPECIFIC INFORMATION AS APPLICABLE):

PTS REPORTS:	Yes /No	COMMENTS
End of Run?	N	
Mailer Error/Warning Report?	N	
Manual/Multiple?	N	
Retail Revenue?	N	
Scan Performance?	N	
Service Performance?	N	
Unmatched Signature/Delivery?	N	
Summary File?	N	
Other?	N	

WebEIS:	Yes /No	COMMENTS
Folders/Menu Items?	N	
Manual/Multiple?	N	
Scan Performance?	N	
Service Performance?	N	
WebEIS Extract?	N	
Other?	N	

Data Warehouse:	Yes /No	COMMENTS
Data Elements?	Y	Need to exclude certain mail pieces based on business rules.
Report Layouts?	Y	New report
Service Performance Reporting?	N	
Quality Assurance Reporting?	N	
Other?	N	

Attachment(s)	Info No.:
- Attached Requirements Document	

Configuration Control Board

	$	Hours
Estimated Total Cost :	_____	_____
Estimated Total Savings :	_____	_____
Actual Cost:	_____	_____
Risk Assessment :	_____	_____

CCB Comments:

CCB Approvals:

_____

CCB Chairperson Signature

REQUIREMENTS DOCUMENT
Product Tracking System

REFERENCE:

Change Request No.:
Change Request Name: EDW Scan Performance reporting
Author:
Rev./Date: 2/10/05

BUSINESS NEEDS DESCRIPTION

Scan performance reports allow field managers and HQ employees to monitor how well the field provides stop the clock scan for mail pieces that it has accepted.

FUNCTIONAL REQUIREMENTS

FR1 **TO BE DISCUSSED IN FURTHER DETAIL.** Scan performance reports apply to mail pieces with valid Package Services, Priority Mail, Certified (Service Type Codes 70 and 71 only), Registered (Service Type Codes 77 or RA to RZ only), Express Mail, or First Class Parcels service type codes and mail classes as specified in the service type code and information outputs document. These are the current rules that are used to identify these products:

- Check the service type code of the piece.
  - If it is 03, 04, 14, 23, 24, or 34, take the following steps:
    - Check the class of mail.
      - If it is blank, place the piece on the First Class, Priority, and Package Services split files.
      - If it is not blank, place the piece on the appropriate split file according to its mail class (First Class, Priority, or Package Services).
  - If it is NOT 03, 04, 14, 23, 24, or 34, take the following steps:
      - If it is a Special Services service type code (05 to 12, 25, 26, 29 to 32, 60, 70, 71, 73, 74, 75, 77, 78, 79, 80, 81, 82, 83, 85, M, N, P, Z, R, RA to RZ, VA to VZ, V), place the piece on the special services split file.
      - If it is a Priority service type code (01, 05, 07, 09, 11, 12, 21, 25, 29, 31, 32) take the following steps:
        - Check the class of mail.
          - If it is First Class, place the piece on the First Class split file.
          - If it is NOT First Class, place the piece on the Priority split file.
      - If it is a Package Services service type code (02, 06, 08, 10, H, 22, 26, 30, S) place the piece on the Package Services split file.
      - If it is an Express mail service type code, place the piece on the Express mail split file according to existing rules.

FR2 The scan performance score reflects what percentage of mail pieces that were committed for a reporting week received a valid stop the clock scan. This is evaluated specifically as:

If the label is valid and the scheduled delivery date falls within the reporting period (week, month, quarter, etc), then that piece counts as one in the accepted volume bucket.

If the above is true and that piece received a valid stop the clock scan ((total delivered scan gt 0) or (total attempted scan gt 0) on the summary file) then that piece counts as one in the delivered volume bucket.

From there, the score is delivered volume/accepted volume * 100.

Here is an example of how the report would look:

Destination ZIP Code	Accepted Volume	Delivered Volume	% Delivered
00850	1000	900	90%

FR3 User shall be able to drill to mail pieces contained within the selected report. Template shall include the following elements: PIC, Origin ZIP Code, Destination ZIP Code (either Stop the Clock or destination ZIP Code from acceptance event), Shipper DUNS (if available), Manifest Number (if available), Tracking Device ID, Deleted? (indicates whether mail piece was associated with a manifest that is deleted. See rules below.)

FR4 Users shall be able to advance drill from the template to Destination location, Origin location, shipper, customer (for those with appropriate access), scheduled delivery date, product.

FR5 The report shall display reports at the National, Area, District, 3-digit, and 5-digit destination ZIP Code levels. The destination ZIP Code shall be the stop the clock ZIP Code or the destination ZIP Code from the MA event if there is no stop the clock.

FR6 Users must be able to Group By shipper, shipper location, and customer (if they have the correct permissions).

FR7 Users must be able to the data in the following ways:

- all of the data for non-API mailers **(API mailers will be defined below)**
- data that was included for non-API mailers **(exclusion logic will be outlined below)**
- data that was excluded for non-API mailers (only viewable to users with correct access or permission)
- all of the data for API mailers
- data that was included for API mailers
- data that was excluded for API mailers (only viewable to users with correct access or permission)

FR8 API mailers enable customers to submit electronic files through a web interface, but PTS does not capture retail acceptance events on these pieces. Thus, the customers may never tender a package to the Postal Service for which they have submitted an electronic file, and there would never be a delivery. The piece then counts as a failure against the Post Office to which the mail piece was destined in the electronic file. As such, the Postal Service still reports on this mail, but it is just separated out of the mail that counts towards NPA scores in the report.

The following DUNS and all associated mail should be treated as API customers:

FR9 The Postal Service must be able to add and delete customers from the list as necessary.

PRIORITY MAIL AND PACKAGE SERVICES

FR10 Mail pieces that belong to test mailers or manifests that do not pass HQ quality requirements must be excluded from scan performance reports.

a. The mail piece should be excluded if the customer is a test customer.
b. Mail pieces must be marked for deletion for failing to meet guidelines. The mail piece should be excluded if it is marked for deletion. The manifest is marked for deletion if it meets the following criteria:

- **Priority Mail with Delivery Confirmation**: Volume is greater than 49 pieces and the percent of that volume receiving valid stop the clock scans is less than or equal to 87.9%.
- **Package Services with Delivery Confirmation**: Volume is greater than 19 pieces and the percent of that volume receiving valid stop the clock scans is less than or equal to 69.9%.
- **Priority Mail with Signature Confirmation**: Volume is greater than 10 pieces and the percent of that volume receiving valid stop the clock scans is less than or equal to 88%.
- **Package Services with Signature Confirmation**: Volume is greater than 10 pieces and the percent of that volume receiving valid stop the clock scans is less than or equal to 69.9%.

c. Delivery Confirmation is defined by service type codes:

Service Type Code
01*
02
03 %*
04 %*
05*
06
07*
08
09*
10
11*
12*
14*
H

* Priority Mail and First Class Service Type Code
% Retail Service Type Code

d. Signature Confirmation is defined by service type codes:

Service Type Code
21*
22
23 %*
24 %*
25*
26
29*
30
31*
32*
34*
S

* Priority Mail and First Class Service Type Code
% Retail Service Type Code

FR11 This program shall run once per week and once per Quarter on the following schedule:

- Priority Mail: Run on the Thursday following the close of the reporting week and run on the 29th of the month following the reporting month.
- Package Services: Run on the 2nd Thursday following the close of the reporting week. There is currently no Quarterly run, but that may change in the future.
- Express Mail: Run on the Wednesday following the close of the reporting week, run on the 2nd Wednesday following the close of the reporting month, and run on the 2nd Wednesday of the month following the reporting quarter.

FR12 The program office would like to be able to manipulate these volumes, percentages, and run times as changes in performance dictate.

EXPRESS MAIL

FR13 The mail piece must have a valid stop the clock ZIP Code or destination ZIP Code from the acceptance event. The ZIP Code must be validated against the CALLCITY_ACTIVE_ZIP_LKP from AMS. Each week, the CALLCITY_ACTIVE_ZIP_LKP must be purged of all records and loaded from the current weekly CALLCITY file. The resulting table will be used for zip validation when processing any period of Express Mail Scan performance. This frequency is needed because ZIP Codes can become active or inactive from week to week.

FR14 The mail piece must have a valid scheduled delivery time of '1000', '1200', '1500', '1700'.

FR15 The mail piece must have another event besides an acceptance record, TM, MA, or 03.

ACCEPTANCE CRITERIA

RISK ASSESSMENT

Approvals:

_____

Project Manager

_____

Manager, IP Product Tracking

_____

Chairperson, CCB

RESPONSE OF THE UNITED STATES POSTAL SERVICE
TO INTERROGATORIES OF DOUGLAS CARLSON

DFC/USPS-27. Suppose an EXFC test letter between two cities whose First-Class Mail service standard is three days is mailed on a Friday and delivered on Monday. Assuming no holiday occurs on Friday, Saturday, Sunday, or Monday, please provide the number of days to delivery that will be calculated and reported in the EXFC system for this letter.

RESPONSE:

The number of days for delivery for the scenario as given is three days.

Induction on a Friday; first day is Saturday; second day is Sunday; delivery is due

Monday.