

Internal SPM Audit Measures

Phase	Level 1	Level 2	Level 3	#	Audit Criteria (Yardstick)	Audit Information
First Mile	Is FM data Accurate?	Are Design (e.g. requirements, SOPs, business rules) and Execution of <b>First Mile</b> processes accurate?	Is First Mile sampling accurately completed by carriers?	1	Procedures for sampling should be written and training provided regularly.	Validate that the sampling procedures are up-to-date and comprehensive.
First Mile	Is FM data Accurate?	Are Design (e.g. requirements, SOPs, business rules) and Execution of <b>First Mile</b> processes accurate?	Is First Mile sampling accurately completed by carriers?	2	There should be processes to identify anomalies between expected and actual number of scans based on the collection box density.	Validate whether processes exist to verify the accuracy of the sampling responses.
First Mile	Is FM data Accurate?	Are Design (e.g. requirements, SOPs, business rules) and Execution of <b>First Mile</b> processes accurate?	Is First Mile Back Office sampling accurately completed by carriers?	30	There should be processes to identify anomalies between expected and actual number of Back Office Sampling scans based on the volume expected.	Validate whether processes exist to verify the accuracy of the sampling responses.
First Mile	Is FM data Accurate?	Are Design (e.g. requirements, SOPs, business rules) and Execution of <b>First Mile</b> processes accurate?	Is the collection box density data accurate and complete?	3	Density tests should be performed on every active collection point annually and data collected should accurately reflect the volume in the boxes during the testing period.	Verify that there is a process to load/use cpms density data
Last Mile	Is LM data Accurate?	Are Design (e.g. requirements, SOPs, business rules) and Execution of <b>Last Mile</b> processes accurate?	Is Last Mile sampling accurately completed by carriers?	4	Procedures for sampling should be written and training provided regularly.	Validate that the sampling procedures are up-to-date and comprehensive.
Last Mile	Is LM data Accurate?	Are Design (e.g. requirements, SOPs, business rules) and Execution of <b>Last Mile</b> processes accurate?	Is Last Mile sampling accurately completed by carriers?	5	There should be processes to identify anomalies between expected and actual number of scans based on the expected pieces in inventory.	Validate whether processes exist to verify the accuracy of the sampling responses.
Reporting/ Processing Duration Data	Is Reporting/ Data Accurate?	Are Design (e.g. requirements, SOPs, business rules) and Execution of <b>Reporting</b> processes accurate?	Are reporting procedures and requirements established and being executed per design to produce accurate results?	6	Reporting requirements should be documented and align with regulatory reporting requirements.	Quarterly verification of requirements and report contents should occur.

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Reporting/ Processing Duration Data	Is Reporting/ Data Accurate?	Are Design (e.g. requirements, SOPs, business rules) and Execution of <b>Reporting</b> processes accurate?	Are reporting procedures and requirements established and being executed per design to produce accurate results?	7	Exclusions, exceptions and limitations should be documented in the IV system and in the final reports.	Validate whether Attachment A - Exclusion Reasons Breakdown and Attachment B - Total Measured/Unmeasured are accurately produced for Internal SPM.
Reporting/ Processing Duration Data	Is Reporting/ Data Accurate?	Are Design (e.g. requirements, SOPs, business rules) and Execution of <b>Reporting</b> processes accurate?	Do non-automated exclusions and special exceptions (e.g. curtailments, local holidays, non-certified mail, proxy data, special low volume exclusions, etc.) create unbiased performance estimates	8	Documented approval process should exist and be followed for all manual/special exclusions and exceptions and for adding and/or changing exclusions or other business rules.	Review approval process for all manual exclusions and special exceptions. Review process and decisions for any exclusions to confirm the focus is on measurement accuracy and not biased.
First Mile	Is FM data Reliable?	Are First Mile results designed and executed to produce reliable results?	Is use of imputations for FM Profile results limited to provide FM measurement that represents the District's performance?	9	All 67 Districts should have a limited amount of volume for which imputed results are used within the quarter.	Review the volume of mail for which imputations are required.
First Mile	Is FM data Reliable?	Are First Mile results designed and executed to produce reliable results?	Is use of proxy data for FM Profile results limited to provide FM measurement that represents the District's performance?	10	All 67 Districts should have a limited amount of volume for which proxy results are used within the quarter.	Review the volume of mail where proxy data are used.
Last Mile	Is LM data Reliable?	Are Last Mile results designed and executed to produce reliable results?	Is use of imputations for LM Profile results limited to provide FM measurement that represents the District's performance?	11	All 67 Districts should have a limited amount of volume for which imputed results are used within the quarter.	Review the volume of mail for which imputations are required.
Last Mile	Is LM data Reliable?	Are Last Mile results designed and executed to produce reliable results?	Is use of proxy data for LM Profile results limited to provide LM measurement that represents the District's performance?	12	All 67 Districts should have a limited amount of volume for which proxy results are used within the quarter.	Review the volume of mail where proxy data are used.
Reporting/ Processing Duration Data	Is Reporting/ Data Reliable?	Does the Internal SPM system produce reliable results?	Are changes to SPM documented and available for reference?	13	Program and SPM changes are documented in an IV repository for reference.	Review documentation of systems' modifications and validate availability and robustness.

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Reporting/ Processing Duration Data	Is Reporting/ Data Reliable?	Does the Internal SPM system produce reliable results?	Are changes to SPM documented and available for reference?	14	PRC Reports denote major methodology and process changes in quarterly results.	Review method and process changes as well as PRC Report narratives.
Reporting/ Processing Duration Data	Is Reporting/ Data Reliable?	Does the Internal SPM system produce reliable results?	Are changes to SPM documented and available for reference?	15	For each product measured, the on-time performance scores should have margins of error lower than the designed maximums for the quarter.	Review statistical precision by product and reporting level.
Reporting/ Processing Duration Data	Is Reporting/ Data Reliable?	Does the Internal SPM system produce reliable results?	Do processes exist to reliably store and maintain official results?	16	Processes should be established for storing final quarterly results	Validate that essential scoring data are “frozen” for quarter close and that these data are maintained in accordance with data retention policy.
Reporting/ Processing Duration Data	Is Reporting/ Data Reliable?	Does the Internal SPM system produce reliable results?	Does the schedule allow for the production of reliable quarterly results given data and system constraints?	17	All critical defects and data repairs should be completed for the quarter prior to finalizing results. All data loading, ingestions, associations, consolidations and aggregations should be completed.	Validate that there is a process to close the quarterly reporting period which includes the following: 1. Process to review outstanding defects to determine impact or potential impact. 2. Process to review completed data repairs/defect repairs for comprehensiveness. 3. Process to review any data processing backlogs impacting the quarter.
First Mile	Is FM data Representative?	Do the design and business rules support representative results for First Mile Performance?	Does mail picked up from points outside the sample perform the same as mail included?	18	Carrier pickup procedures should be similar to First Mile for collection mail.	Review Standard Operating Procedures for the handling of mail picked up by carriers at delivery points should be similar to those for mail picked up from collection points.
First Mile	Is FM data Representative?	Does the execution of the First Mile measurement process yield representative results?	Do the sampling results indicate that all collection points were included (districts, ZIP Codes, box types, box locations)?	19	Across the year, more than 98% of boxes should be selected for sampling at least one time. Across the year, more than 90% of all collection points should have at least one valid sampled piece.	Across 4 quarters, measure the total number of collection points which were selected for sampling and which resulted in valid samples to identify whether there is any systematic non-coverage of boxes.
First Mile	Is FM data Representative?	Does the execution of the First Mile measurement process yield representative results?	Do the back office sampling results indicate that all offices were included as appropriate?	31	All eligible back office sampling locations should contribute data to the profile for some dates and mail types in the quarter.	Across 4 quarters, measure the total number of offices which were selected for sampling and which resulted in valid samples to identify whether there is any systematic non- coverage of back offices in sampling.

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First Mile	Is FM data Representative?	Does the execution of the First Mile measurement process yield representative results?	Are the sampling response rates sufficient to indicate that non-response biases are immaterial? If not, does the data indicate differences in performance for under-represented groups?	20	All response rates should exceed 80% at a District level.	Calculate sampling response rate for each district.
First Mile	Is FM data Representative?	Does the execution of the First Mile measurement process yield representative results?	If the sampling response rates do not meet district threshold, does the data indicate differences in performance for under-represented groups?	21	Coverage ratios should meet acceptable thresholds at the 3-digit ZIP Code, box type and box location levels.	For District response rates below thresholds, calculate coverage ratios at the 3-digit ZIP Code, box type and box location level. For example, if a district falls below response threshold, examine coverage ratios of ZIP Codes and box types. For ratios outside the acceptable range, assess impact of the missing/under-coverage.
First Mile	Is FM data Representative?	Does the execution of the First Mile measurement process yield representative results?	Are all valid collection points included in the collection profile (collection points, ZIP Codes and collection dates)?	22	All eligible collection points in CPMS should be measured in the profile.	Assemble full frame of collection points and assess whether all are represented in the profile. If no, determine extent of missing points.
First Mile	Is FM data Representative?	Does the execution of the First Mile measurement process yield representative results?	Are all retail locations included in the final retail results for all shapes, dates, ZIP Codes?	23	All eligible retail locations should contribute data to the profile for some dates and mail types in the quarter.	Assemble a full frame of eligible retail locations and measure how many have at least one piece measured during the quarter.
First Mile	Is FM data Representative?	Does the execution of the First Mile measurement process yield representative results?	Are all Back Office Sampling locations included in the final results for all shapes, dates, ZIP Codes?	32	All eligible back office sampling locations should contribute data to the profile for some dates and mail types in the quarter.	Assemble a full frame of eligible back office sampling locations and measure how many have at least one piece measured during the quarter.
Reporting/ Processing Duration Data	Is Processing Duration data Representative?	Does the execution of the Processing Duration and overall measurement process yield representative results?	How much of the population is included in measurement for each measured product?	24	At least 80% of the population is measured for each product.	Take the total measured volume for the quarter and the total population pieces from RPW for each product (PRC product reporting levels) and calculate the percent of mail in measurement.

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Reporting/ Processing Duration Data	Is Processing Duration data Representative?	Does the execution of the Processing Duration and overall measurement process yield representative results?	Does the percentage of mail not included in measurement represent a small enough proportion of the mail as to have minimal impact on overall estimates of performance?	25	If population in measurement is below 80%, the missing data should be "missing at random", that is, in such a way that the missing data is not likely to create measurement bias. If not, does the mail which is not included in measurement differ in performance from mail included?	Take the total unmeasured volume for the quarter and review the reason it was not included. Can performance be determine from any of the segments and does it differ from the measured results?
Reporting/ Processing Duration Data	Is Processing Duration data Representative?	Does the execution of the Processing Duration and overall measurement process yield representative results?	Are all destinating ZIP Codes and dates represented in the final data?	26	Each active ZIP Code should have mail receipts for all products during the quarter.	Summarize the final data from the quarter by destination 5- digit ZIP Code and product and assess against full frame.
Reporting/ Processing Duration Data	Is Processing Duration data Representative?	Does the execution of the Processing Duration and overall measurement process yield representative results?	Are all originating plants and dates represented in the final data?	27	Each plant should have mail originating for all products.	Summarize the final data for a quarter by origin plant and product and assess against the full frame of plants/products to see if 100% complete.
Last Mile	Is LM data Representative?	Does the execution of the Last Mile measurement process yield representative results?	Are the sampling response rates sufficiently high to indicate that non- response biases are immaterial?	28	Response rates should be greater than 80% for each district for the quarter.	Measure the last mile sampling response rate by district.
Last Mile	Is LM data Representative?	Does the execution of the Last Mile measurement process yield representative results?	If the sampling response rates do not meet district threshold, does the data indicate differences in performance for under-represented groups?	29	Response rates below 80% at the District level should be measured by 3-digit ZIP Code, Delivery Point Type and Carrier Route Type for the quarter.	Measure response rates by 3-digit ZIP Code, delivery point type and carrier route type.