



## Express Mail Manifesting Technical Guide

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Transmittal Letter

- A. Explanation.** This publication contains information for customers who are interested in participating in Express Mail manifesting. Postal Service representatives assisting customers must refer to Publication 97-A, *Express Mail Manifesting Implementation and Administration Guide*.
- B. Availability.** This publication is accessible on the corporate intranet and Internet web sites as follows:
- **Intranet:** Accessible at <http://blue.usps.gov> (click on "Information," then "Policies and Procedures," then "Pubs," and then the title of Publication 97).
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- C. Comments on Content.** Send written comments about the content of this publication to the following address:
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- D. Cancellations.** All previous issues of Publication 97 are obsolete.
- E. Effective Date.** This publication is effective May 2, 2002.

A handwritten signature in black ink, appearing to read "John J. Sadler".

John J. Sadler  
Manager  
Business Mail Acceptance

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# 1 Express Mail Manifesting — The Basics

## 1-1 Definition of Express Mail Manifesting

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Express Mail Manifesting (EMM) is an automated system that allows a mailer to document postage and fees for all pieces in an Express Mail mailing through the transmission of an electronic file to the U.S. Postal Service. Postage is paid through an Express Mail Corporate Account (EMCA) using the information in the mailer's electronic file. A mailer must utilize a one-ply address label and can have mailings accepted and dispatched from its facility. Domestic delivery information is available by retrieval of an extract file, through the USPS Track/Confirm Web page at [www.usps.com/cttgate](http://www.usps.com/cttgate), or by calling 1-800-222-1811. International delivery information is available through the USPS Track/Confirm Web page at [www.usps.com/cttgate](http://www.usps.com/cttgate) and by calling 1-800-222-1811, and in the future, it will be available by retrieval of an extract file.

## 1-2 Getting Started

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To participate in EMM, you must:

- a. Develop or purchase computer software that will give you the ability to meet EMM technical requirements.
- b. Obtain a DUNS<sup>®</sup> number<sup>1</sup> for each mailing location.
- c. Obtain USPS certification that your software and barcoded labels meet the technical EMM requirements. If you purchase software from a vendor to meet the technical requirements, you must demonstrate that you can properly use the software to transmit and retrieve electronic files and produce barcoded labels before obtaining USPS certification. Technical certification is performed by the National Customer Support Center (NCSC).
- d. Develop and administer effective quality assurance procedures that ensure the integrity of the system.

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<sup>1</sup> Assigned by Dun & Bradstreet, the unique 9-digit number is an international company identification standard.

- e. Meet the additional EMM requirements for the presentation and acceptance of mailings (see chapters 3 and 4). A service agreement authorizing you to present EMM mailings is issued by the district manager of Marketing. Both technical certification and authorization for acceptance of EMM mailings should be initiated concurrently.

## 1-3 What May Be Manifested

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EMM may be used to pay postage on domestic Express Mail service items and Global Express Mail service items as well as any applicable special services fees. EMM is for Express Mail service only — postage for other classes of mail cannot be paid through EMM. Custom-designed service and mailings to APO/FPO addresses are currently unavailable.

## 1-4 Volume Requirements

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EMM is designed for large-volume mailings. However, there are no volume requirements.

## 1-5 Verifying the Accuracy of the EMM System

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The Postal Service verifies the accuracy of the EMM system by selecting mailpieces at random and comparing the pieces against a verification manifest. Unless the sampling indicates that the total postage for the pieces sampled is understated by more than 1.5%, mailings are accepted at the postage shown on the manifest. When a sampling indicates that the total postage for the pieces sampled is understated by more than 1.5%, the Postal Service adjusts the total postage for the mailing accordingly.

## 1-6 Service Guarantee

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EMM mailings are covered by existing Express Mail service and postage guarantees.

# 2 Understanding Electronic File Requirements

## 2-1 Electronic File

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### 2-1.1 Overview

EMM involves the transmission to the USPS host computer of an electronic file containing information about each package in your mailing. The EMM file format is the same format that is used for Delivery Confirmation service and Signature Confirmation service electronic files. The layout of the EMM electronic file appears in Appendix A. Information to determine what fields in the electronic file are required for EMM is given at the beginning of Appendix A. Transmission protocols are covered in Appendix B.

✓ Mailers using electronic data interchange (EDI) should refer to Appendix B.

### 2-1.2 Electronic File Content

The electronic file consist of three distinct records: the Header Record, Detail Record 1, and Detail Record 2. Electronic files must contain one Header Record followed by a single Detail Record 1 for each mailpiece in the mailing. A Detail Record 2 is required only for each international mailpiece and must correspond with Detail Record 1.

### 2-1.3 Header Record

The Header Record contains general information pertaining to the mailer and a specific mailing (such as date and time of mailing) and a unique Electronic File Number. That number must remain unique for a period of 12 months. The Electronic File Number uses your DUNS<sup>®</sup> number to identify your company. For the Electronic File Number, the specific Service Type Code (STC) established is STC 50. When you submit PS Form 3152-E, *Express Mail Manifesting Certification*, with each mailing, you must include the Electronic File Number. See Appendix A for the file layout.

✓ The unique Electronic File Number in the EMM file must never duplicate an Electronic File Number used in a Delivery Confirmation electronic file.

### 2-1.4 **Detail Record 1**

Each Detail Record 1 contains information specific to one piece in the mailing. This includes a Package Identification Code (PIC) that must remain unique for a 12-month period. The PIC is represented on each package in the form of a barcode (see 2-4).

The PIC consists of an alpha prefix, a unique label number, a check digit, and the Express Mail Product Code "US." The alpha prefix will be provided on the PS Form 3152-E that is sent from the National Customer Support Center (NCSC). The unique label number is created from the sequential range of numbers furnished on the PS Form 3152-E. You will be furnished a PS Form 3152-E by the NCSC at the time of certification.

### 2-1.5 **Detail Record 2**

Detail Record 2 contains address information for international mail.

- ✓ Record layouts for the Header Record, Detail Record 1, and Detail Record 2 appear in Appendix A.

## 2-2 **File Transmission**

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### 2-2.1 **Transmission Methods**

The electronic file can be transmitted in either one of the following ways:

- a. File transfer protocol (FTP) by dialing our server toll-free (domestic and Canadian mailers only), or using the Internet.
- b. Electronic data interchange (EDI).

For further explanation, see Appendix B.

PKZip® software may be used to compress the file prior to transmission to the USPS host computer. This is the only approved compression software and can be used only in conjunction with point-to-point protocol (PPP) transfers. Multiple electronic files may be combined in one ZIP file. You may not send self-extracting files (.exe extensions) or files that require a password to be decompressed.

The electronic file containing all items in a mailing must be transmitted to the USPS host computer prior to or at the time the mail is tendered to the Postal Service. Multiple electronic files may be combined and sent together in one transmission. Each file must contain a mailing for only *one* entry facility. Under an EMM agreement, the mailpieces are picked up from the mailer's plant by the Postal Service or are presented by the mailer to a postal acceptance unit.

Mailers must maintain file quality of 95 percent or better. File quality is determined by the Product Tracking System and is calculated by dividing the number of Express Mail pieces containing a Manifest Acknowledgment (MA) record by the total number of Express Mail pieces mailed.

Examples of why a mailpiece would not have an MA include the following:

- a. No electronic file transmitted, or transmission failed.
  - b. Error(s) in the Header Record of the electronic file caused the entire file to be rejected.
  - c. Error(s) in Detail Record 1 of the electronic file caused the record to be rejected.
  - d. Error(s) in Detail Record 2 of the electronic file caused the record to be rejected.
- ✓ If after taking the appropriate actions you are still unable to transmit the file, call USPS Technical Support toll free at 1-877-245-1659.
  - ✓ A list of error and/or warning messages, edit checks, and a sample of a Manifest Data Edit Error/Warning Listing appear in Appendix C. (In the future, this report may be renamed the "Confirmation/Error/Warning Report.")
  - ✓ Mainframe passwords expire every 90 days. You must change your password on or before the expiration date.

## 2-2.2 Checking the File Transmission

After transmitting the electronic file for a mailing, allow at least 1 hour for processing, reestablish your connection, and retrieve the Manifest Data Edit Error/Warning Listing to verify that your electronic file was accepted without error.

Any errors in the Header Record will cause rejection of the entire file. Examples of error messages and edit checks being performed appear in Appendix C. Please note that *Warning* messages do not result in rejection of your electronic file, and resubmission or corrections of the electronic file are unnecessary.

If the errors occur only in the Header Record, make the corrections and resubmit the entire file.

If errors occur in Detail Record 1, make the corrections and resubmit the records in one of two ways:

- a. Resubmit the entire file.
- b. Resubmit only the corrected records (using the original Header Record).

**Note:** Whichever option you use, make sure the information in the Header Record is identical to the original, including the mailing date and time.

Corrections should be resubmitted as soon as possible, preferably within 24 hours, and must be resubmitted prior to presentation of a subsequent mailing. This will ensure your EMCA is properly credited and that all of your delivery information was received.

For the first 10 mailings under your EMM agreement, you must submit a photocopy of the successful Manifest Data Edit Error/Warning Listing to the detached mail unit (DMU) or acceptance post office within 24 hours (or by the

next business day) of submission of the mailing. The successful report confirms the receipt of and the accuracy of your electronic file. If there are consistent errors in your file, you will be contacted by a Technical Support representative, who will assist you with correction of the errors.

- ✓ Individual records containing errors are not accepted and posted to the database. Therefore, delivery status for the associated pieces will not be available.

## 2-3 Retrieval of Tracking Information Data

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### 2-3.1 Downloading Your Extract File

The Postal Service provides an option for customers to retrieve a file of tracking information. Once a day, an extract file — DETEXTRO — is created and placed in the customer's account to show the previous day's tracking/delivery scans for each package. It will contain any data relating specifically to the customer's DUNS<sup>®</sup> number.

The retrieval of the extract file is performed through the same method used to transfer the electronic file.

- ✓ EDI extract files follow EDI formats. For information on EDI transaction sets, call 1-800-847-1657.

The extract file is in comma-delimited format. A sample of a typical extract file appears in Appendix C. The file layout appears in Appendix D. Each file contains the following:

- a. Package Identification Code (PIC).
- b. The Electronic File Number (manifest number) of the mailing that contained the package.
- c. The name of the mailing company.
- d. The event type (see Appendix E).
- e. The event date and time.
- f. Optional information as provided to the Postal Service within the electronic file.

Each day a new extract file containing all of the previous day's information will be generated. The files will remain in your account for 30 days unless you delete them earlier. If you do not delete them, the oldest file will automatically be deleted after the thirtieth day.

If you are importing this data into a database, keep in mind that more than one event can occur for each record. The extract file is a snapshot only of the previous day's events — it is not cumulative. A new file is generated each day.

Extract files will be available each day at approximately 5:00 a.m. Central Time. These files include all events processed from midnight-to-midnight of the previous day.

If more than one event has occurred during the previous 24-hour period, all events will be listed for the same PIC.

- ✓ You may design your own customized application for Express Mail inquiries.

### 2-3.2 **Using the Internet to Obtain Tracking Information**

You may use the Internet to inquire about individual labels. Inquiries may be made on the status of each package by accessing the Postal Service Track/Confirm Web page at [www.usps.com/cttgate](http://www.usps.com/cttgate). Type in the PIC of the package for which you wish to know the status.

If the mailpiece was delivered, the delivery event will be described. If the piece has not yet been delivered, you will see the acceptance event with the date it was created. Prior event information is available by clicking on "See What Happened Earlier." Any delivery attempts, forwarding of the mailpiece, or return of the mailpiece to the shipper will be described.

### 2-3.3 **Using the "800" Number to Obtain Tracking Information**

Call 1-800-222-1811 to inquire about tracking information for individual labels.

## 2-4 **Barcode Requirements and Label Elements**

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### 2-4.1 **Barcode Requirements**

EMM barcoded labels are required on all mailpieces using the numbers assigned by the NCSC. See 2-1.4. The barcode on EMM labels must be printed following the requirements specified in Appendix F, and each label must contain a unique PIC that matches the PIC used in the electronic file record describing that mailpiece.

Express Mail labels must follow specific guidelines to ensure that each piece receives Express Mail service and that the USPS scanners can read the barcode on the label.

### 2-4.2 **Label Elements**

In addition to the barcode requirements and human-readable print specifications listed in Appendix F, address labels must contain specific information to facilitate acceptance and delivery. They must contain the information listed in Appendix G and Appendix H.

The Express Mail permit imprint (the postage indicia) must contain the following information:

- a. The words "Express Mail."
- b. The words "U.S. Postage Paid."
- c. The words "Express Mail Corporate Account" or the abbreviation "EMCA."

- d. The customer name or EMCA number.

EMM labels must contain the ship date. If the optional signature waiver is requested, the label must contain the “WAIVER OF SIGNATURE REQUESTED” statement as shown in Appendix G. The statements “NO DELIVERY WEEKEND,” “NO DELIVERY HOLIDAY,” or “NO DELIVERY WEEKEND OR HOLIDAY” may be printed as needed. The format of optional weekend or holiday delivery instructions is listed in Appendix G. If you will not use USPS-provided Express Mail service packaging (e.g., identified Express Mail service box, envelope, or stickers), the additional “Express Mail” identification shown in Appendix G (Label Options 1 and 3) or an Express Mail service indicator (Appendix G, Label Option 4) must appear on the label.

- ✓ To facilitate product recognition and proper handling, it is recommended that Express Mail service packaging be used and the label contain an Express Mail service indicator or the additional “Express Mail” identification shown in Appendix G. For international mail, the following Express Mail logo must appear on the label (see Appendix G, Label Options 2 and 3, and Appendix H):



The remainder of the label is for customer use and may include other package IDs, internal barcodes, customer information, etc.

- ✓ See Appendix F for barcode and human-readable print specifications, and see Appendix G and Appendix H for label elements.
- ✓ Labels must be placed on the address side of the mailpiece.

### 2-4.3 Label Options

#### USPS Label 11-SP

Mailers not able to format EMM labels as shown in Appendix G, Label Option 1, may use a USPS printed one-ply EMM label. The USPS printed label measures 3-1/2” by 3-3/4” and is designated as Label 11-SP. A sample of Label 11-SP is shown in Appendix G, Label Option 2. Mailers choosing to use USPS preprinted EMM labels will be required to print the following information directly on their shipping label:

- a. Name and address of sender and recipient.
- b. Express Mail permit imprint.
- c. Ship date (printed directly below the permit imprint).
- d. Waiver of Signature Requested statement (if applicable).
- e. NO DELIVERY (“WEEKEND” OR “HOLIDAY”) statement (if applicable).

The USPS preprinted EMM label is to be affixed to the address side of the package, above, below, or to the left or right of the shipping label. The EMM label must be placed adjacent to the shipping label and be aligned parallel to the address. Mailers using the USPS Label 11-SP must develop a process to

link the label barcode to a specific package and record it in the EMM electronic file. Label 11-SP will only be available to EMM certified mailers. Mailers choosing to use USPS Label 11-SP will receive a supply of labels following successful completion of the certification process. Additional supplies may be obtained by calling the Delivery Confirmation Support line at 1-877-264-9693.

### **Privately Printed Label 11-SP**

As an alternative, mailers may elect to privately print the Label 11-SP format directly on their shipping label as shown in Appendix G, Label Option 3. Privately printed labels must be nearly identical in design to the USPS Label 11-SP. Privately printed labels may be produced in black and white.

- ✓ Appendix G, Label Option 1, may only be used with domestic mail shipments.
- ✓ Appendix G, Label Options 2 and 3, may be used for domestic or international mail shipments.

## **2-5 Certification Procedures for Technical Requirements**

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Prior to using EMM, you must complete a testing and certification process through the NCSC, and meet the additional EMM requirements for the presentation and acceptance of EMM mailing found in Chapter 3.

The NCSC will certify that you meet the technical requirements of EMM by ensuring that you have the following abilities:

- a. Generate an electronic file that meets USPS specifications. See Appendix A for file layouts.
- b. Transmit the electronic file according to specifications.
- c. Prepare properly formatted barcoded labels.
- d. Retrieve the Manifest Data Edit Error/Warning Listing.

The NCSC will supply:

- a. Certification instructions.
- b. Developer ID Code.

Prior to certification, you must complete the application/authorization process. (Refer to “How to Apply” in Chapter 5.)

After your application has been entered into the system, you will be provided a “test kit” by the NCSC. The test kit will contain specific instructions on the procedures to be followed. If you have questions, call the NCSC at 1-800-279-2651.

The quality of the file that you have designed for transmission must be checked, and the Technical Support staff will review any edit errors with you.

Testing your electronic file for certification includes the following:

- a. File transmission.
- b. Format, length, and content of the fields.

- c. Accuracy of linking the unique PIC to its appropriate record in the file.

Upon certification, you will receive a notification letter and PS Form 3152-E, *Express Mail Manifesting Certification*, which is used when tendering your mail to the Postal Service. A sample notification letter appears in Appendix I, and a sample of PS Form 3152-E appears in Appendix J.

- ✓ If you purchase software from a vendor to meet the technical requirements, you must demonstrate that you can properly use the software to transmit and retrieve electronic files and produce barcoded labels. You must still follow the procedures listed above before obtaining certification and receiving your own PS Form 3152-E.
- ✓ If you intend to present international mailings, you must provide test records for both domestic and international mail. PS Form 3152-E will indicate whether you have been certified for both domestic and international mail.
- ✓ The San Mateo EDI service center will ensure that EDI mailers can create and transmit the electronic file in transaction set 215. The San Mateo EDI service center will then translate the file into standard EMM file format so it can be reviewed by the NCSC. For information on EDI, call 1-800-847-1657. Mailers using EDI must have their labels certified by the NCSC.

# **3 Additional Requirements for Presentation and Acceptance of EMM Mailings**

## **3-1 General**

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Besides meeting the technical requirements in Chapter 2, you must also meet additional EMM requirements to have your Express Mail manifest mailings verified and accepted. After you meet these additional requirements and receive authorization from your district office, you can begin EMM mailings.

## **3-2 Presentation of Mailings**

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Your district manager of Marketing must determine whether your EMM mailings justify the establishment of a detached mail unit (DMU) at your facility, or if mailings may be presented to the post office for verification and acceptance.

## **3-3 Detached Mail Unit (DMU)**

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If EMM mailings will be verified and accepted by a postal representative in a DMU, you must provide the Postal Service with sufficient space, equipment (including a telephone), and security. The area must be separate from the mailer's activities and must afford a safe working environment as required by the Postal Service. When possible, the space allocated for the DMU will be in an area that allows a postal employee to observe the loading of mail onto trailers.

## **3-4 Quality Assurance**

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You must develop and administer the quality assurance procedures found in Chapter 4. These procedures will ensure the integrity of your system.

## 3-5 Mailing Documentation

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### 3-5.1 Verification Manifest

Each mailing must be presented with a verification manifest, which provides mailer information, the unique PIC, weight, rate indicator, ZIP Code or country code, and postage for each package in the mailing along with a postage summary. The verification manifest may be a hard copy, or if a computer terminal or personal computer and printer are available for the postal acceptance clerk, you may provide your manifest information in an electronic format. The postal acceptance clerk must be able to access the electronic manifest and print selected pages, if necessary. If you use this electronic option, a hard copy manifest must still be presented within 24 hours of mailing, or by the next business day. See Appendix K for sample manifest.

If you are using additional special services (i.e., insurance, COD, return receipt), you must either submit PS Form 3877, *Firm Mailing Book for Accountable Mail*, or present a combined manifest/PS Form 3877, which functions as both a manifest and a PS Form 3877. Postal acceptance personnel will sign and date PS Form 3877 or the combined manifest/PS Form 3877. This will serve as your record of the pieces mailed. In Publication 401, *Guide to the Manifest Mailing System*, the exhibits contain examples of a combined manifest/PS Form 3877. Publication 401 is available on the corporate internet at <http://blue.usps.gov> and also on the Postal Service Web site at <http://www.usps.com>.

### 3-5.2 PS Form 3152-E

You must present with each mailing a photocopy of the PS Form 3152-E, *Express Mail Manifesting Certification*, issued by the NCSC. See Appendix J. Alternatively, you may present a facsimile PS Form 3152-E generated by your manifesting system. If you use a facsimile, you retain the original form and must provide a copy to the accepting post office for its records. The PS Form 3152-E must include additional information pertaining to the mailing you are presenting. This additional information includes:

- a. Number of pieces in the mailing.
- b. Total weight of pieces in the mailing.
- c. Total postage and special fees, if applicable, for mailing.
- d. EMCA number.
- e. Electronic File Number (manifest number) from Header Record positions 4 through 25. The unique Electronic File Number in the EMM file must never duplicate an electronic file number used in a Delivery Confirmation electronic file.
- f. Mailer signature.
- g. Date of mailing.

### 3-5.3 **Manifest Data Edit Error/Warning Listing**

For all mailings, you must retrieve and retain the Manifest Data Edit Error/Warning Listing that is made available by the host computer. An example of the Manifest Data Edit Error/Warning Listing appears in Appendix C. It indicates whether your file transmission was successful and identifies any errors or warnings. If your transmission was not successful, or if the file contained errors that prevented processing, you must correct the errors and retransmit the corrected records or the entire manifest file. (See 2-2.2.) For the first 10 mailings under a new EMM agreement, you must present a copy of the Manifest Data Edit Error/Warning Listing to the acceptance clerk for each mailing. (In the future, the Manifest Data Edit Error/Warning Listing may be renamed the "Confirmation/Error/Warning Report.")

### 3-5.4 **Indemnity Claims**

To file an indemnity claim for an item when postage was paid using EMM, you must submit all of the following documentation:

- a. PS Form 1000, *Domestic Claim or Registered Mail Inquiry*.
- b. Evidence of value for the item in question (see *Domestic Mail Manual* S010.2.5).
- c. A copy of the manifest page showing the Package Identification Code (PIC) for the item in question.
- d. The manifest summary page for the date the piece was mailed.
- e. A copy of the PS Form 3152-E round-stamped on the date of mailing by a Postal Service acceptance employee. **Note:** You may request a copy of PS Form 3152-E from the Postal Service if you did not obtain a copy at the time of mailing.
- f. A copy of your EMCA monthly statement that lists the Express Mail label number and postage for the mailpiece in question.
- g. If you purchased additional insurance or COD service, a signed and round-stamped copy of PS Form 3877, *Firm Mailing Book for Accountable Mail*.

# 4 Quality Assurance

## 4-1 Purpose

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An effective quality assurance (QA) program identifies potential or actual system failures at the earliest possible stage in mail preparation and documentation. To participate in EMM, you must implement the QA procedures listed below. These procedures will also be included as an attachment to the service agreement. (See Chapter 5.)

## 4-2 Procedures

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Initially the mailer must perform postage accuracy verifications for each mailing by reconciling the actual postage for a representative number of pieces against the manifest postage claimed for those pieces. This verification will be documented on PS Form 8159, *MMS Sampling/Postage Adjustment Worksheet (Single-Piece Rate Mailings)*, which is available in Publication 401 or from Business Mail Entry.

The sample size will be taken based on the number of pieces in the mailing as follows:

Pieces in Mailing		Sample Size
From	To	(Number of Pieces)
1	299	10% or 30 pieces (whichever is less)
300	1,999	30
2,000	3,999	40
4,000	5,999	50
6,000	7,999	60
8,000	9,999	70
10,000	99,999	100

Perform postage accuracy verifications on all mailings for the first 10 mailings. After that, when five consecutive mailings remain within the  $\pm 1.5$  percent accuracy level, the frequency may be reduced to the following schedule:

Number of Mailings Per Week	Number of Verifications Per Week
10 or more	1 per 5 mailings
2–9	1
1	verify each mailing

If any manifest mailing exceeds the  $\pm 1.5$  percent accuracy level, the next five mailings must be sampled. Each mailing must be within the  $\pm 1.5$  percent accuracy level before the reduced frequency sampling schedule can resume.

### 4-3 Alternate Quality Assurance Procedure

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To be able to use the alternate quality control procedures listed below, EMM mailings must meet the following criteria:

- a. No special services are requested.
- b. Pieces are individually weighed, or the same postage amount applies to all packages in the mailing (e.g., all packages weigh less than a half pound and are paid at the half-pound Express Mail rate).
- c. Volumes are low enough to be easily verified (to be determined by the district manager, Business Mail Entry).

The Alternate quality assurance procedures are as follows:

1. Ensure that the scale used to manifest accurately records weights.
2. Count the number of packages in the mailing.
3. Ensure that the number of packages counted matches the number of packages listed on the manifest and PS Form 3152-E.
4. Initial next to the total number of pieces shown on the hardcopy manifest.

- ✓ If the alternate quality assurance procedures are used and postal verifications disclose constant quality problems, the mailer must develop and perform additional quality control procedures.

### 4-4 Retaining Quality Assurance Documents

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Retain QA sampling reports (PS Form 8159) for 90 days unless errors are detected. If you detect errors during your sampling process, you must describe the corrective action taken on the sampling report and retain these reports for 1 year. You must follow these same procedures when the Postal Service finds and reports errors to you.

# 5 Application/Authorization Process

## 5-1 How to Apply

---

Follow these steps to apply and receive authorization to use EMM:

1. Complete an EMM application (Appendix L), provide the supporting documentation listed on the application, and submit the application and documentation to your Business Mail Entry office or to your Postal Service sales representative (if you have been working with one). If you wish to mail from more than one location, you must submit an application for each location.
2. Complete PS Form 1357-S, *Request for Computer Access*. This form is available from, and must be returned to, your Postal Service sales representative. It will be sent to the Expedited/Package Services Office at USPS Headquarters. Separate forms must be completed for each site that will be transmitting and receiving data. PS Form 1357-S is not necessary if you are currently participating in the Delivery Confirmation program and have already obtained a logon and password for the site transmitting and receiving data.
3. Establish an EMCA. It is preferred that an EMCA be established in the USPS district from which your mailings will be made. However, EMM postage can be withdrawn from an existing EMCA held in another USPS district. Your Postal Service sales representative can provide you with the information needed to establish an EMCA account. An EMCA can be funded by making deposits to the appropriate EMCA Post Office or through a Centralized Account Processing System (CAPS) account. CAPS provides customers the capability to electronically fund multiple permits located in one or more Postal units through one centralized account. General information on CAPS and CAPS application forms are available on the Postal Service web site at <http://caps.usps.gov>.
4. Obtain a DUNS<sup>®</sup> number for each of your company's mailing locations. (DUNS<sup>®</sup> is a registered trademark of Dun & Bradstreet.) You may obtain your DUNS<sup>®</sup> number by contacting Dun & Bradstreet by phone at 1-800-333-0505 or via the Internet at [www.dnb.com](http://www.dnb.com).
5. Develop or obtain software to create the required electronic file, barcoded labels, and verification manifest.
6. When you have submitted an EMM application and documentation, you will receive a test kit from the NCSC. If you have any questions, you

may call the NCSC at 1-800-279-2651. The San Mateo Information System Service Center facilitates the certification process for mailers using EDI for electronic file transmission. For information on EDI, call 1-800-847-1657.

## 5-2 Authorization

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Prior to issuing the service agreement authorizing you to present EMM mailings, the district manager of Marketing will ensure the following:

- a. You have an EMCA.
- b. You have received certification from the NCSC that your system meets the technical requirements for EMM, including the printing of barcoded labels.
- c. Your hard copy verification manifest meets USPS specifications.
- d. You have implemented the required QA procedures.
- e. A DMU has been established at your facility, or arrangements have been made for you to present mailings to a post office facility for verification and acceptance.
- f. Transportation has been scheduled to ensure that your EMM mailings will be dispatched to meet critical entry times and the acceptance event will be properly captured by a Mobile Data Collection Device (MDCD) scanner.

## 5-3 Service Agreement

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Once you have met the requirements for EMM, a service agreement will be implemented and you can begin to present mailings. The service agreement contains the terms and conditions for use of the EMM system.

## 5-4 Available Resources

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For more information, Appendix M contains a list of available resources.

# 6 How Express Mail Manifesting Works

When you've completed the certification process and obtained the required authorization, you may begin to present EMM mailings. You start by performing the QA procedures to ensure the postage for your mailing is accurately reported. If it is, you will transmit the electronic manifest file to the USPS host computer. If not, make the necessary corrections and then transmit your file. Present the EMM mailing to the DMU or designated post office with a photocopy or facsimile of the PS Form 3152-E that includes the required information pertaining to the mailing you are presenting. You must also present a hard copy verification manifest.

The acceptance clerk will select a sampling of packages from your mailing and will perform the postage verification. The clerk will compute actual postage for each selected package, and compare the total actual postage for all packages against the postage reported on your verification manifest. If the total reported postage is not underpaid by more than 1.5 percent, the mailing will be accepted without a postage adjustment. If postage is underpaid by more than 1.5 percent, the total postage for the mailing will be adjusted. You will then have the option to either have the additional postage withdrawn from your EMCA, or you may withdraw your mailing and present it again after making the necessary corrections.

When the mailing is accepted, the Electronic File Number reported on PS Form 3152-E is entered or scanned into an MDCD scanner for transmission to the USPS host computer. Postage will be electronically withdrawn from your EMCA, and the system will begin to provide tracking information. At this point, the mailing is dispatched on USPS transportation for expedited delivery.

## Appendix A

# EMM Electronic File Layout

This appendix contains the file layout for the Header Record, Detail Record 1, and Detail Record 2 of the electronic file.

In presenting the layout in Appendix A, the Postal Service is planning for the future. Record positions with the field name “Filler” (such as positions 098–130 in the Header Record) will be used for other USPS programs such as bulk insurance.

You may choose to use only the fields that are required for EMM as annotated in the Record Position column for “\*EM\*” (domestic and international mail) and “\*IEM\*” (international mail). The fields that are not required for EMM are shaded in gray. If you choose not to use the full layout, you must include the optional fields (those shaded in gray) as fillers composed of spaces. Record lengths cannot vary — they must be the exact size shown in the record formats (i.e. Header Record is 130 bytes, Detail 1 is 200 bytes, and Detail 2 is 352 bytes). No warning or error messages will be used for fields shaded in gray.

Field formats are described in standard COBOL terms. “X” indicates a field that can contain alphanumeric characters. “9” indicates a field that can contain only numbers. The numbers in parentheses following the “X” or “9” indicate the size of the field. A numeric field with a “V” in the format description indicates an implied decimal point. (For example, in Detail Record 1, the weight field, positions 046–054, is defined as “9(5)V9(4).” A weight of 7 pounds should be entered as “000070000.”)

For samples of transmission reports, common error messages, and a typical extract file, see Appendix C. Also included in Appendix C is a list of edit checks.

Chapter 2 contains a narrative explanation of the use of the DUNS<sup>®</sup> number in the Header Record (the Electronic File Number field, positions 004–025) and in Detail Record 1 (PIC field, positions 005–026, and Client DUNS<sup>®</sup> Number field, positions 122–130).

# Header Record

ELECTRONIC File Record Formats Version 1.3					
Header Record (130 bytes)					
Record Positions	Field Name	Format (Size)	Description	Example	Content Rules and Limitations
001–002 *EM*	Electronic File Header Record ID	X(2)	A 2 character system constant that identifies an electronic file header record.	H1	'H1' is required.
003 *EM*	Electronic File Type	9(1)	'1' – Postage Payment File '2' – Tracking File '3' – Postage & Tracking File	3	Numeric values only. Value of "3" mandatory for Express Mail.
004–025 *EM*	Electronic File Number	X(22)	Unique number assigned to identify the electronic file. 2 digits – Reserved for Application Identifier in UCC/EAN 128 2 digits – Must be '50,' which is the Service Type Code for an electronic file. 9 digits – DUNS <sup>®</sup> Number <sup>2</sup> 8 digits – Fixed length of 8 digits. Right justified with leading zeros. 1 digit – MOD 10 or 11 check digit	For UCC/EAN 128 symbology: 915094123331200 0012348 All other symbologies: 509412333120000 12348__	The first 2 positions for Application Identifier in UCC/EAN 128 barcode symbology must be '91.' For other symbologies, the first two positions must be '50' and last 2 positions must be spaces. NOTE: The DUNS <sup>®</sup> number must be that of the company transmitting the file. The Electronic File Number must be unique for 12 months. Fixed length sequential number would be right justified with a total of 8 digits with leading zeroes
026–033 *EM*	Date of Mailing	9(8)	Date mail is tendered to USPS.	1998-01-27 Entered as: 19980127	YYYY-MM-DD Date must be valid. Numeric values (0–9) only.
034–039 *EM*	Time of Mailing	9(6)	Time mail is tendered to USPS (estimated).	13:15:00 Entered as: 131500	HH:MM:SS Military format and time must be valid. Numeric values (0–9) only.
040–044 *EM*	Entry Facility	9(5)	5-digit ZIP Code of postal facility where the mail is tendered.	22201	Leading zeros required. Numeric only (0–9). One electronic file per Entry Facility.
045–054 *EM*	Payment Account Number	9(10)	USPS account number this mailing will be paid from: Permit Number Express Mail Corporate Account Number Federal Agency Number	0000345678	Leading zeroes required. Numeric values (0–9) only. This field mandatory if using Permit imprint, EMCA or Federal Agency Number. If using stamps, then fill with zeroes.
055–056 *EM*	Method of Payment	9(2)	Payment system used for mailing: '01' – Permit System '02' – Express Mail Corporate Account '03' – Federal Agency '04' – Other	02	For EMM must be 02.

<sup>2</sup> The DUNS<sup>®</sup> number in the Electronic File Number field must be that of the company transmitting the file.

## ELECTRONIC File Record Formats Version 1.3

## Header Record (130 bytes)

Record Positions	Field Name	Format (Size)	Description	Example	Content Rules and Limitations
057-061	Post Office of Account ZIP Code	9(5)	5-digit ZIP Code of post office issuing permit number, meter license, or pre-canceled stamp.	22042	Leading zeroes required. Numeric values (0-9) only. Default zeroes. Not applicable for Express Mail.
062-073	DSAS Confirmation Number	X(12)	Confirmation number received when making a scheduled appointment for mail drop at a postal facility.	AB1234567856	Alphanumeric values (A-Z, 0-9) only. No embedded spaces. For Drop Shipments. Default is spaces.
074 *EM*	Pickup Requested Indicator	X(1)	Indicator if mail is picked up by the USPS: 'Y' = Pickup <sup>3</sup> SPACE = No Pickup	Y	'Y' = Pickup SPACE = No Pickup
075-077 *EM*	USPS Electronic File Version Number	9(3) Defined as: 9(2)V9(1)	USPS Electronic File Version Number.	01.3 Entered as: 013	Provided by USPS.
078-080 *EM*	Developer ID Code	X(3)	A unique code that identifies the developer of the electronic file software.	123	Unique code provided by USPS.
081-088 *EM*	Product Version Number	X(8)	Developer's software product version number.	5.02.3A	A unique number the developer designates. Identifies product version of the electronic file.
089-097 *EM*	File Record Count	9(9)	Total number of all records in this file. Count to include Header and all Detail records.	1,517 Entered as: 000001517	Leading zeros required. Numeric values (0-9) only.
098-130 <sup>4</sup> *EM*	Filler	X(33)	Filler for future use.		Must be spaces.

<sup>3</sup> Use will be specified in Express Mail technical guide; use only when applicable fee has been paid.

<sup>4</sup> Record is fixed length.

# Detail Record 1

## ELECTRONIC File Record Formats Version 1.3

### Detail Record 1 (200 bytes)

Record Positions	Field Name	Format (Size)	Description	Example	Content Rules and Limitations
001–002 *EM*	Electronic File Detail Record ID	X(2)	A 2-character system constant that identifies an electronic file detail record.	D1	'D1' is required.
003–004 *EM*	Class of Mail	X(2)	A 2-character code for Class of Mail. Refer to Class of Mail table.	EX	USPS defined values. Valid values are "EX", "IE".
005–026 *EM*	Package Identification Code (PIC)	X(22)	Barcoded label number used to track the package. 2 alphas – EA 8 digits – sequential number 1 digit – check digit 2 alphas – US	EA123456782US —	The alpha prefix shown on PS Form 3152-E must be used. The 8-digit sequential number must be from the range of label numbers provided on PS Form 3152-E. The number must remain unique for 12 months. Refer to Appendix F for barcode specifications. For Express Mail service, use 13-digit label numbers; left justify with trailing spaces.
027–031 *EM*	Destination ZIP Code	9(5)	Destination 5-digit ZIP Code for Domestic. All zeroes for International.	22201	Left justified. Numeric values (0–9) only.
032–035 *EM*	Destination ZIP+4	X(4)	Destination ZIP+4 add-on of domestic ZIP Code.	2804	Numeric values only. Default spaces if not available.
036–037 *IEM*	Country Code	X(2)	Two character standardized 2-digit ISO International country code. Mandatory for International pieces.	JP	Mandatory for International. Default is spaces for Domestic.
038–044 *EM*	Postage	9(7) Defined as: 9(4)V9(3)	Postage (excluding special service fees and surcharges) less any workshare discount. For pieces subject to both a piece and pound rate, only enter piece rate.	\$5.69 Entered as: 0005690	Leading zeroes required. Numeric values (0–9) only. In unit of dollars and rounded to the nearest cent.
045 *EM*	Unit of Measure Code	9(1)	Unit of measurement for mail piece: '1' – lbs. '2' – oz. '3' – kilos	1	Field must contain a USPS defined valid code.
046–054 *EM*	Weight	9(9) Defined as: 9(5)V9(4)	Mail piece weight. In unit of measure and significant to 4 decimal positions.	14.3250 lbs. Entered as 000143250	Leading zeroes required. Numeric values (0–9) only.

## ELECTRONIC File Record Formats Version 1.3

## Detail Record 1 (200 bytes)

Record Positions	Field Name	Format (Size)	Description	Example	Content Rules and Limitations
055	Processing Category	X(1)	'0' – Cards '1' – Letters '2' – Flats '3' – Machinable Parcels '4' – Irregular Parcels '5' – Outside/Nonmachinable	3	Default is spaces for non-applicable products.
056	Destination Rate Indicator	X(1)	'B' – Destination BMC 'D' – Destination Delivery Unit 'E' – Inter-BMC Parcel Post 'I' – International Service Office 'S' – Destination SCF 'T' – Intra-BMC Parcel Post 'N' – None	D	Default is 'N' for non-applicable products.
057–058 *EM*	Rate Indicator	X(2)	Refer to Rate Indicator table at end of Appendix A.	PA	Valid values are "PA" (Post Office to Addressee), and "E4" (Express Mail Flat Rate Post Office to Addressee).
059–060	Zone	X(2)	Individual mail piece zone. Valid zones are: 'LC' – Local Zone '01' through '08' For Priority Mail only, pieces weighing 1 lb. to 5 lbs., no zone is required (use zero filler). For Priority Mail pieces weighing more than 5 lbs., zone data required.	Zone 3 Entered as: 03 Local Zone Entered as: LC	Mandatory for products with rates based on zones. Leading zeroes required if numeric. Default is spaces for non-applicable products.
061 *EM*	PO Box Indicator	X(1)	'Y' = Express Mail addressed to a PO Box.	Y	Mandatory for Express Mail. Default value is 'N'.
062 *EM*	Waiver of Signature	X(1)	'Y' = Mailer requests Waiver of Signature on delivery for Express Mail.	Y	Mandatory for Express Mail. Default value is 'N'.
063 *EM*	No Weekend/ Holiday Delivery	X(1)	1 = Normal (default) = regular delivery for Express Mail. 2 = NO WEEKEND delivery 3 = NO HOLIDAY delivery 4 = NO WEEKEND or HOLIDAY delivery	2	Mandatory for Express Mail. Default value is '1'.
064–070	Value of Article	9(7) Defined as: 9(5)V9(2)	Wholesale cost of article. Mandatory if insured.	\$200.00 Entered as: 0020000	Mandatory if insurance is being included as a special service. Default is zeroes.
071–075	COD Amount Due Sender	9(5) Defined as: 9(3)V9(2)	Dollar amount due on delivery	\$206.00 Entered as: 20600	Mandatory if package is COD. Default is zeroes.
076–079	Handling Charge	9(4) Defined as: 9(3)V9(2)	Handling charge for registered mail valued at more than \$25,000.00.	\$20.50 Entered as: 2050	Mandatory if First-Class Mail with registered service valued more than \$25,000. Default is zeroes.

## ELECTRONIC File Record Formats Version 1.3

## Detail Record 1 (200 bytes)

Record Positions	Field Name	Format (Size)	Description	Example	Content Rules and Limitations
080-081 *EM*	Special Service Code 1st Service	X(2)	Special service code. See Special Service Code table.	01	Field contains one special service code. Mandatory if any special services (insurance, COD, or Return Receipt) are purchased. Default is spaces.
082-086 *EM*	Fee for Special Service 1st Fee	9(5) Defined as: 9(3)V9(2)	Fee for 1st Special Service Code.	\$ .25 Entered as: 00025	Mandatory when special services are purchased. Default is zeroes.
087-088	Special Service Code 2nd Service	X(2)	Special service code. See Special Service Code table.	03	Field contains one special service code. Default is spaces.
089-093	Fee for Special Service 2nd Fee	9(5) Defined as: 9(3)V9(2)	Fee for 2nd Special Service Code.	\$1.40 Entered as: 00140	Default is zeroes.
094-095	Special Service Code 3rd Service	X(2)	Special service code. See Special Service Code table.	04	Field contains one special service code. Default is spaces.
096-100	Fee for Special Service 3rd Fee	9(5) Defined as: 9(3)V9(2)	Fee for 3rd Special Service Code.	\$ .85 Entered as: 00085	Default is zeroes.
101-102	Special Service Code 4th Service	X(2)	Special service code. See Special Service Code table.	06	Field contains one special service code. Default is spaces.
103-107	Fee for Special Service 4th Fee	9(5) Defined as: 9(3)V9(2)	Fee for 4th Special Service Code.	\$1.25 Entered as: 00125	Default is zeroes.
108-109	Special Service Code 5th Service	X(2)	Special service code. See Special Service Code table.	08	Field contains one special service code. Default is spaces.
110-114	Fee for Special Service 5th Fee	9(5) Defined as: 9(3)V9(2)	Fee for 5th Special Service Code.	\$2.75 Entered as: 00275	Default is zeroes.
115-116	Special Service Code 6th Service	X(2)	Special service code. See Special Service Code table.	11	Field contains one special service code. Default is spaces.
117-121	Fee for Special Service 6th Service	9(5) Defined as: 9(3)V9(2)	Fee for 6th Special Service Code.	\$5.40 Entered as: 00540	Default is zeroes.
122-130 *EM*	Client DUNS® Number	9(9)	This field is used for consolidators that mail for other customers. Must fill in a valid DUNS® Number for the company for which you are mailing. <sup>5</sup>	94121 Entered as: 00094121	Mandatory for consolidators. Numeric values only. No spaces. Leading zeroes required. Default is zeroes.

<sup>5</sup> See section titled *Special Rules for Consolidators and Fulfillment Operations*.

## ELECTRONIC File Record Formats Version 1.3

## Detail Record 1 (200 bytes)

Record Positions	Field Name	Format (Size)	Description	Example	Content Rules and Limitations
131–160 *EM*	Customer Reference Number	X(30)	Used for customer internal identification purposes. (Express Mail charge back number can be used.)	123456	Alphanumeric values (A–Z, 0–9) only. Spaces if not applicable.
161–162	Surcharge Type	X(2)	Surcharge type code. See Surcharge Type Code table.	01	Leading zeroes required. Default is spaces.
163–169	Surcharge Amount	9(7) Defined as: 9(5)V9(2)	In unit of dollars and rounded to the nearest cent.	\$1.65 Entered as: 0000165	Leading zeroes required. Default is zeroes for non-applicable products. Numeric values (0–9) only.
170–171	Non-Incidental Enclosure Rate Indicator	X(2)	See Non-Incidental Enclosure Rate Indicator table for valid codes for this field.	SP	Required if applicable. Default is spaces if not applicable.
172–173	Non-Incidental Enclosure Class	X(2)	Refer to Class of Mail codes shown above in Class of Mail field, positions 003–004.	FC	Required if applicable. Default is spaces if not applicable.
174–180	Non-Incidental Enclosure Postage	9(7) Defined as: 9(4)V9(3)	Postage amount for the non-incidental enclosure. In unit of dollars and rounded to the nearest cent.	\$.33 Entered as: 0000330	Required if applicable. Default is zeroes.
181–189	Non-Incidental Enclosure Weight	9(9) Defined as: 9(5)V9(4)	Individual weight of the non-incidental enclosure. In unit of lbs. and significant to 4 decimal positions.	0.2500 Entered as: 000002500	Required if applicable. Default is zeroes.
190–198 *EM*	Custom Designed Agreement Number	9(9)	Custom Designed Agreement Number for Express Mail.	202123499	Mandatory if Express Mail is Custom Design. Default value is zeroes.
199–200 <sup>6</sup> *EM*	Filler	X(2)	Filler area for future expansion.		Must be spaces.

<sup>6</sup> Record is fixed length.

## Detail Record 2

### ELECTRONIC File Record Formats Version 1.3

#### Detail Record 2 (352 bytes)

Record Positions	Field Name	Format (Size)	Description	Example	Content Rules and Limitations
001–002 *IEM*	Electronic File Detail Record ID	X(2)	A 2 character system constant that identifies an electronic file detail record.	D2	'D2' is required.
003–024 *IEM*	Package Identification Code (PIC)	X(22)	Barcoded label number used to track the package. This must be the same PIC used in the corresponding Detail Record 1.	EA123456782US	Alphanumeric values (A–Z, 0–9) only. No spaces except as defined in Detail Record 1 for position 005–026. Must be the same number put in position 005–026 in the Detail Record 1.
025–072 *IEM*	Name of Addressee	X(48)	Ship to name of addressee.	JOHN DOE	Mandatory for Accountable mail and International mail. Default is spaces.
073–120	Miscellaneous Address Information	X(48)	Miscellaneous Address Information in the destination address.	BUILDING A	Required if part of address. Default is spaces.
121–168	Secondary Unit Designator	X(48)	Secondary Unit Designator in the destination address. (This element may appear as part of the Delivery Address.) This field is not to be used for the city or state.	SUITE 400	Required if part of address. Default is spaces.
169–216 *IEM*	Delivery Address	X(48)	Delivery Address in the destination address. (May contain secondary unit designator, such as APT or SUITE, for Accountable mail.) This field is not to be used for the city or state.	123 MAIN ST	Mandatory for Accountable mail and International mail. Default is spaces.
217–244 *IEM*	City Name	X(28)	City name of the destination address.	Reston	Mandatory for International mail. Default is spaces.
245–246	State	X(02)	Two character state code of the destination address.	VA	Required where applicable. Default is spaces.
247–257 *IEM*	Postal Code	X(11)	Foreign country postal code or POSTNET representation.	A0A9A0	Mandatory for international mail. Left justified; default is spaces.
258–285 *IEM*	International Province Name	X(28)	International Province Name of the destination address.	Ontario	Mandatory for international mail to countries with Province Names. Default is spaces.
286–295 *IEM*	Customs Category Article 1	X(10)	Code of article in package using USITC Harmonized Tariff Schedule.	1702.20.22 Entered as: 17022022	Mandatory for international mail. First four characters are mandatory. Left justified; default is spaces.
296–297 *IEM*	Customs Count Article 1	9(2)	Total number of articles in package of this customs category.	20	Mandatory for international mail.

## ELECTRONIC File Record Formats Version 1.3

## Detail Record 2 (352 bytes)

Record Positions	Field Name	Format (Size)	Description	Example	Content Rules and Limitations
298-305 *IEM*	Customs Value Article 1	9(8) Defined as: 9(6)V9(2)	Total value of articles in package of this customs category. In units of dollars and rounded to nearest cent.	\$100.00 Entered as: 00010000	Mandatory for international mail.
306-315	Customs Category Article 2	X(10)	Code of article in package using USITC Harmonized Tariff Schedule.	1702.20.22 Entered as: 17022022	Mandatory for international mail. First four characters are mandatory. Left justified; default is spaces.
316-317	Customs Count Article 2	9(2)	Total number of articles in package of this customs category.	10	Mandatory for international mail.
318-325	Customs Value Article 2	9(8) Defined as: 9(6)V9(2)	Total value of articles in package of this customs category. In units of dollars and rounded to nearest cent.	\$50.00 Entered as: 00005000	Mandatory for international mail.
326-335	Customs Category Article 3	X(10)	Code of article in package using USITC Harmonized Tariff Schedule.	1702.20.22 Entered as: 17022022	Mandatory for international mail. First four characters are mandatory. Left justified; default is spaces.
336-337	Customs Count Article 3	9(2)	Total number of articles in package of this customs category.	15	Mandatory for international mail.
338-345	Customs Value Article 3	9(8) Defined as: 9(6)V9(2)	Total value of articles in package of this customs category. In units of dollars and rounded to nearest cent.	\$300.99 Entered as: 00030099	Mandatory for international mail.
346-352 <sup>7</sup> *IEM*	Filler	X(7)	Filler for future use.		Must be spaces.

<sup>7</sup> Record is fixed length.

# Class of Mail Codes Table (Positions 003–004)

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<b>Rate Indicator</b>	<b>Description</b>
EX	Express Mail service
IE	Global Express Mail service

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## Rate Indicators Table (Positions 057–058 and 170–171)

<b>Rate Indicator</b>	<b>Description</b>	<b>Possible Classes of Mail</b>
SA	Same Day Airport	EX
CD	Custom Designed	EX
PP	Post Office to Post Office	EX
PA	Post Office to Addressee	EX, IE
E1	Express Mail Flat Rate Same Day Airport	EX
E3	Express Mail Flat Rate Post Office to Post Office	EX
E4	Express Mail Flat Rate Post Office to Addressee	EX

**Special Service Codes Table**  
(Positions 080–081, 087–088,  
094–095, 101–102, 108–109,  
and 115–116)

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<b>Rate Indicator</b>	<b>Description</b>
04	Insured
05	COD (Collect on Delivery)
06	Return Receipt

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## Communications Standards

### Introduction

The following standards are available for transmitting and receiving data for EMM:

- a. *File Transfer Protocol (FTP)*: This communication protocol is available through Internet FTP or dial-up FTP. Most commercial software communications and many shareware applications support FTP capabilities.
- b. *Internet Web Browser*: The easiest method to send or receive electronic files is via the Internet on our secure servers. If you do not already have Internet access, contact an Internet service provider (ISP) in your area.
- c. *Electronic Data Interchange (EDI)*: Customers currently using EDI for other business communications may choose to use this standard for EMM. Information for this standard is provided in this appendix.

✍ Files transferred through Internet FTP or an Internet Web Browser may NOT be compressed (zipped.)

### File Transfer Protocol (FTP)

There are two options for accessing USPS servers to upload and download EMM information — Internet FTP and dial-up FTP.

#### Internet FTP

The USPS FTP servers are accessible from the Internet. Connect to the Internet using your normal ISP. You can upload electronic files onto the USPS FTP server *ftp-in.usps.gov* using your logon ID and password, or you can upload them at the following USPS Web site: <http://www.usps.gov/cttgate/upload.htm>. Your reports and extracts are available from the USPS FTP server *ftp-out.usps.gov* using your logon ID and password.

There are numerous FTP client applications on the market. Many can be obtained from Internet sites as shareware. Although these applications may have different user interfaces, they do have much in common. The following

instructions are intended as general guidelines and do not describe a particular FTP application.<sup>8</sup>

### **Sending Electronic Files Using Internet FTP**

Do the following to send electronic files using Internet FTP:

- a. Go to *ftp-in.usps.gov* to connect to the proper USPS server using your logon ID and password.
- b. At the prompt, type in your logon ID and password.
- c. Click on the following directory: *cd/home/delconf/incoming*.
- d. At the prompt, type *put c:\[anyfile.dat] [logon ID].manifest* or, on a Windows system, click the Upload button.

**Note:** Enter your filename and logon ID where noted by brackets. If you receive a "Transfer Failed" message, try sending again with a different file name, such as one with the letter "a" added to the end of the original filename — e.g., use *mmc000a.manifest* to replace *mmc000.manifest*.

- e. To terminate the server connection, at FTP>, enter "bye" or click the Disconnect button.

### **Retrieving Electronic Reports Using Internet FTP**

Do the following to retrieve electronic reports using Internet FTP:

- a. Go to *ftp-out.usps.gov* to connect to the proper USPS server using your logon ID and password..
- b. At the prompt, type your logon ID and password. Enter *cd incoming* and then *dir* — or go to the "Incoming" directory.
- c. A list of available files will be displayed. The file names are as follows:
  - (1) Manifest Data Edit Error/Warning Listing:  
**ERRWRNO.RPT.MMDDHHMM.**
  - (2) Extract file: **DETEXTRO.RPT.MMDDHHMM.**
- d. Enter *get filename c:[anyfile.dat]*, or highlight the file name and click the Download button.

**Note:** Enter your filename where noted by brackets. This command retrieves the file from the server. This command must be executed once for each file to be retrieved.

- e. Once you have successfully downloaded the files, you may delete them from the server.
- f. To terminate the server connection, at FTP>, enter "bye" or click the Disconnect button.

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<sup>8</sup> Be sure your application is set to send and receive ASCII text.

## Dial-Up FTP

If you prefer not to use the Internet, you can access the USPS point-to-point protocol (PPP) server using our toll-free telephone number at 1-800-852-9437.

The PPP connection uses TCP/IP. The system can be accessed with Command Line (DOS), Windows 95/98, or NT-based applications.

## Connecting to USPS Servers<sup>9</sup>

Do the following to connect to USPS servers:

- a. Modem requirements: (28.8 bps V.34) 8 Data Bits; 1 Stop Bit; No Parity, Hardware Flow Control.
- b. At the configuration screen, type your choice of logon ID.<sup>10</sup>
- c. A *<hostname>* is not required.
- d. The domain name is *<usps.gov>*.
- e. Dial 1-800-852-9437.
- f. At the prompt enter your logon ID and your PPP password<sup>11</sup> using lowercase letters.
- g. Log into *smftp1.usps.gov* or *smftp2.usps.gov* (USPS Interlink server).
- h. Enter your logon ID and your mainframe password.<sup>12</sup>
- i. If you are sending a zipped file, be sure your application is set to send a binary file.
- j. Send a quoted (or site) command that properly formats the file prior to file transfer. The script used for this is: *QUOTE SITE ATTR (TNT352)*. If the quote command is accepted correctly, a response back of "200 OKAY, READY" is provided. If the quote command is not accepted, you may need to use the full quote command of: *QUOTE SITE SPACE(100,10) CY RECFM(FB) LRECL(352) BLKSIZE(27808)*.

## Sending Electronic Files Using Dial-Up FTP

Send your file using the following naming convention:

*CBCSMN.TNTEC.PS514.MANIFEST(+1)*<sup>13</sup>

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<sup>9</sup> *I/P addresses are dynamically assigned.*

<sup>10</sup> *This will become your default <logon ID> but is not required and may be skipped.*

<sup>11</sup> *This password refers to your network access password, which will be different from your mainframe password.*

<sup>12</sup> *The first time you log on, you may be asked to change your password. When prompted, type your old password followed by your new password. Remember to use your new password the next time you log on.*

<sup>13</sup> *In a DOS environment, use a PUT command. In Windows highlight the file to transfer, use the copy or transfer button, rename the file "CBCSMN.TNTEC.PS514.MANIFEST(+1)" and click "send."*

## Compressed Files

You may submit zipped or compressed files using PkZip and sending the file in binary. This option is available only with the FTP dial-up process and may not be used if you are transmitting your files using the Internet option.

You must notify us prior to sending a compressed file so we can set up your profile to accept compressed files.

You cannot send self-extracting files (those using an executable or “.exe” extension) or files that require a password to be decompressed.

## Retrieving Reports Using Dial-Up FTP

Approximately 1 hour after transmitting your electronic file, a Manifest Data Edit Error/Warning Listing will be generated in your account. You should reconnect to the USPS server and retrieve your Manifest Data Edit Error/Warning Listing. This report is named CBCSMN.TNTEC.PS514.ERRWRNO.GnnnnVnn and will confirm that the Postal Service received your file in addition to identifying any errors or warnings detected in the file.

- a. DOS: In a DOS environment, you will use the “GET” command: type *get filename c:\[anyfile.dat]*.  
**Note:** Enter the filename where noted by brackets.
- b. Windows: In a Windows environment, you will highlight the file you want to transfer, click on either the Copy or Transfer button, and then copy the file to: *<c:\[anyfile.dat]>*. This command retrieves the file from the server.
- c. The file names are as follows:<sup>14</sup>
  - (1) Extract file: **CBCSMN.TNTEC.PS551.DETEXTRO.GnnnnVnn.**
  - (2) Manifest Data Edit Error/Warning Listing: **CBCSMN.TNTEC.PS514.ERRWRNO.GnnnnVnn.**

## Internet Web Browser

Electronic files can be sent or received via the Internet. If you do not already have Internet access, contact an ISP in your area.

## Sending Electronic Files Using an Internet Web Browser

Do the following to send electronic files using an Internet web browser:

- a. From your Internet browser, go to the following web address:  
*http://www.usps.gov/cttgate/upload.htm.*

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<sup>14</sup> *GnnnVnn is the generation data set of the file ‘nxxx’ and will be an incremental number for the files as they are created. One of each file is generated for every 30 generation sets processed within a 20-minute processing period.*

- b. Click the "Browse" button to select the file you want to upload. Once you select the file, the full path and filename will be listed in the Fill-In box on the Web page. You may also type a file name directly in "File To Upload" using the full path and file name.
- c. Click the "Upload File" button to begin the transfer. After the file transfer is complete, a screen will confirm that your file was received, giving the size of the file. If an error message is displayed, you should print it for future reference. Often, problems uploading files using the Internet can be resolved by repeating the procedure after waiting a few minutes. If this does not work, report the problem to the Postal Service using the toll-free number 1-877-245-1659.
- d. If the USPS Manifest Upload Web page does not display a "Browse" button, your browser does not support the upload protocol. You can retrieve reports using that version of the browser, but in order to upload files, you will have to update the browser or install a different browser. The FTP protocol also can be used to access reports.

## Retrieving Electronic Files Using an Internet Web Browser

All browsers should be capable of retrieving reports. To retrieve an EMM report using the Internet, enter the following URL using all lowercase letters and, where noted in brackets, the logon ID and password provided to you by the Postal Service.

- a. *ftp://[logon ID]:[password]@ftp-out.usps.gov*
- b. A Web page will show your home directory.
- c. Click on "incoming" to access your files.
- d. From the list, click on the report(s) you want to download.

**Note:** Depending on which Internet browser you use, you may arrive at an FTP root directory instead of your home directory. If this occurs, select the red directory and then select the directory that contains your logon ID. You may also access the correct directory by entering the following URL:

- *ftp://[logon ID]:[password]@ftp-out.usps.gov/red/[logon ID]/incoming*

If your browser automatically displays files instead of downloading them, take the actions specified by your browser to download files. Right-clicking in the Windows browser can usually access information about downloading files.

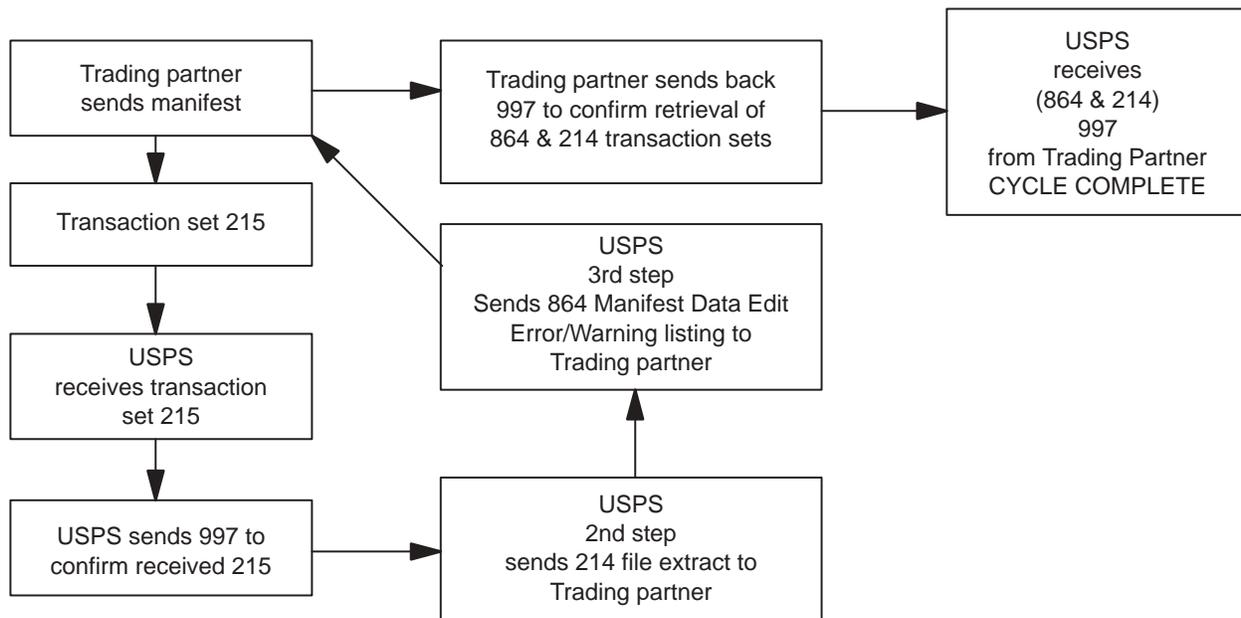
## EDI (Electronic Data Interchange)

USPS EDI processing is completed through a centralized environment in San Mateo, CA. The Postal Service operates multiple systems on various platforms (mainframe, mini, PC) and currently processes EDI information using Sterling and Harbinger software translators. The following transaction sets are used:

- a. Transaction set 215 is used for the electronic file.

- b. Transaction set 214 is used for the extract file.
- c. Transaction set 864 is used for the Manifest Data Edit Error/Warning Listing.
- d. Transaction set 997 is used to acknowledge the reception of a transaction from a sending trading partner.

The EDI processing center will interpret transaction set 215 into an applications format for processing by the Product Tracking System. For retrieval, the extract file will be translated into transaction set 214, and the Manifest Data Edit Error/Warning Listing will be converted into transaction set 864. The functional acknowledgment transaction set 997 will be used by each partner to validate the successful transmission of a transaction sent to trading partners.



The mailer is responsible for furnishing a hard copy Manifest Data Edit Error/Warning Listing to the DMU or postal acceptance unit prior to presentation of a subsequent mailing. This report is used to confirm that the file transmission was successful and the data was accurate.

The following EDI transfer methods are available:

- a. *Point-to-Point:* The use of point-to-point communications refers to a direct connection (e.g., phone line, cable, etc.) between trading partners (TPs). Implementation of point-to-point connections depends upon various business and communication factors. The Postal Service will address this approach on a case-by-case basis.
- b. *Third-Party Service / Network Interconnects:* Many firms make use of third-party value-added networks (VANs). Given the number of VANs providing similar services, it is not unusual for the trading partner, just like the Postal Service, to make use of several VANs. Consequently, the Postal Service utilizes VANs with interconnections to other VANs in order to provide flexibility in EDI communications.

- c. Internet/Secure EDI: The Postal Service has developed an electronic commerce solution for mission-critical EDI data. Harbinger Templar is a messaging system using software, services, and networking products that allows the secure and reliable transmission of trading partner EDI documents over an open network, such as the Internet. Templar resides on each trading partner's system between the EDI translator and the mailing system. At each end of the exchange, Templar applies the security policies the Postal Service and the trading partner have agreed upon. Templar also tracks messages at the EDI interchange level and provides an audit log that informs the trading partner.
- d. *USPS EDI Contacts*: If you would like to discuss any of this information or would like to establish your company as an EDI TP with the Postal Service, please call the EDI Service Center staff at 1-800-847-1657.

## Appendix C

# Troubleshooting Guide

This section contains typical error and warning messages and their meanings.

## Header Error Messages That Cause Rejection of an Entire Electronic File

<b>Electronic File Transmission Error Message</b>	<b>What It Means</b>
H1 HEADER REC TYPE MISSING	Header Record is missing.
H1/D1 HDR/DTL REC TYPES MISSING	The Electronic File Header Record ID of H1 and the Electronic File Detail Record ID of D1 are missing.
D1 – ELEC FILE DETAIL RECORD(S) MISSING	There were no detail records sent with the Header Record.
ELEC FILE SVC TYPE CODE NOT = 50	The first two characters of the Electronic File Number in the Header Record must be a Service Type Code of 50.
INVALID DUNS® NUMBER	The DUNS® number in Electronic File Number field of the Header Record does not appear in Customer Table. It is entered into the table as part of the Certification process.
DUNS® NUMBER NOT NUMERIC	The DUNS® number in Electronic File Number field of the Header Record is not a numeric value.
ELEC FILE SEQ NBR NOT NUMERIC	The significant digits in the Electronic File Number field of the Header Record are not numeric (all spaces).
INVALID SEQ NUMBER IN ELEC FILE-ID	The significant digits in the Electronic File Number field of the Header Record are not numeric.
INVALID MAILING DATE	The Mailing Date field in the Header Record must be between 01 and 12. The day must be valid for specific months (e.g., month 02 must be between 01 and 28, unless it is a leap year, then it must be between 01 and 29).
MAILING DATE IS NOT NUMERIC	The Mailing Date field <sup>15</sup> in the Header Record is not a numeric value (no hyphens, slash symbols, etc.).
INVALID MAILING TIME	The Mailing Time field in the Header Record is not a valid time.
MAILING TIME IS NOT NUMERIC	The Mailing Time field in the Header Record is not a numeric value > 0 and ≤ 2400.
INVALID ENTRY FACILITY	The Entry Facility field in the Header Record is not a valid 5-digit ZIP Code of a USPS facility that can accept this type of mailing.

<sup>15</sup> The Delivery Confirmation system is Year 2000 compliant.

<b>Electronic File Transmission Error Message</b>	<b>What It Means</b>
INVALID PAYMENT ACCOUNT NUMBER	The Payment Account Number field in the Header Record must contain a valid EMCA umber.
INVALID USPS ELEC FILE VERSION NUMBER	The USPS Electronic File Version Number field in the Header Record is not a valid number.
USPS ELEC FILE VERSION NBR NOT NUMERIC	The USPS Electronic File Version Number field in the Header Record is not a numeric value of 9(3).
CUSTOMER NOT CONFIGURED FOR EXPRESS	The customer has not been set up as a certified EMM customer. Customers must be certified for EMM as well as for Delivery Confirmation.
CUSTOMER PENDING FOR EXPRESS	The customer's status is pending — the customer has not yet been certified for EMM.
CUSTOMER DECERTIFIED FOR EXPRESS	The customer has been decertified for EMM.
INVALID DEVELOPER ID CODE	The Developer ID Code field of the Header Record is not a valid code compared to the table maintained by our NCSC in Memphis of certified developers.
DUPLICATE MANIFEST — CORRECTIONS MUST BE WITHIN 30 DAYS	The manifest ID was already posted to the database. This file is being considered a correction to the errors contained in the first manifest, but it is being rejected because it is outside the window for making corrections.
DUPLICATE MANIFEST — MUST USE SAME DT/TM	The manifest ID was already posted to the database. This file is being considered a correction to the errors contained in the first manifest, but it is being rejected because it does not have the same date and time of mailing as the original manifest.

## Detail Record *Error* Messages That Cause Non-Acceptance of Record

<b>Error Message</b>	<b>What It Means</b>
NOT A VALID DETAIL RECORD	Unrecognizable record; not a valid record.
INVALID CLASS OF MAIL	The Class of Mail field in Detail Record 1 is not a valid class of mail. See record layout and description for this field in Appendix A.
INVALID SERVICE TYPE CODE IN PIC	The Service Type Code in positions 7-8 of the Package Identification Code field in Detail Record 1 is not a valid Service Type Code.
INVALID DUNS NUMBER IN PIC	The DUNS® number in positions 9-17 of the Package Identification Code (PIC) field in Detail Record 1 does not appear in the Customer Table. It is entered into the table as part of the Certification process.
INVALID SEQ NUMBER IN PIC	The significant digits in the Package Identification Code (PIC) field of Detail Record 1 are not numeric.
INVALID BARCODE FORMAT FOR EXPRESS MANIFEST	If the Class of Mail field in Detail Record 1 is set to "EX," the PIC must be a 13-digit barcode label ID.

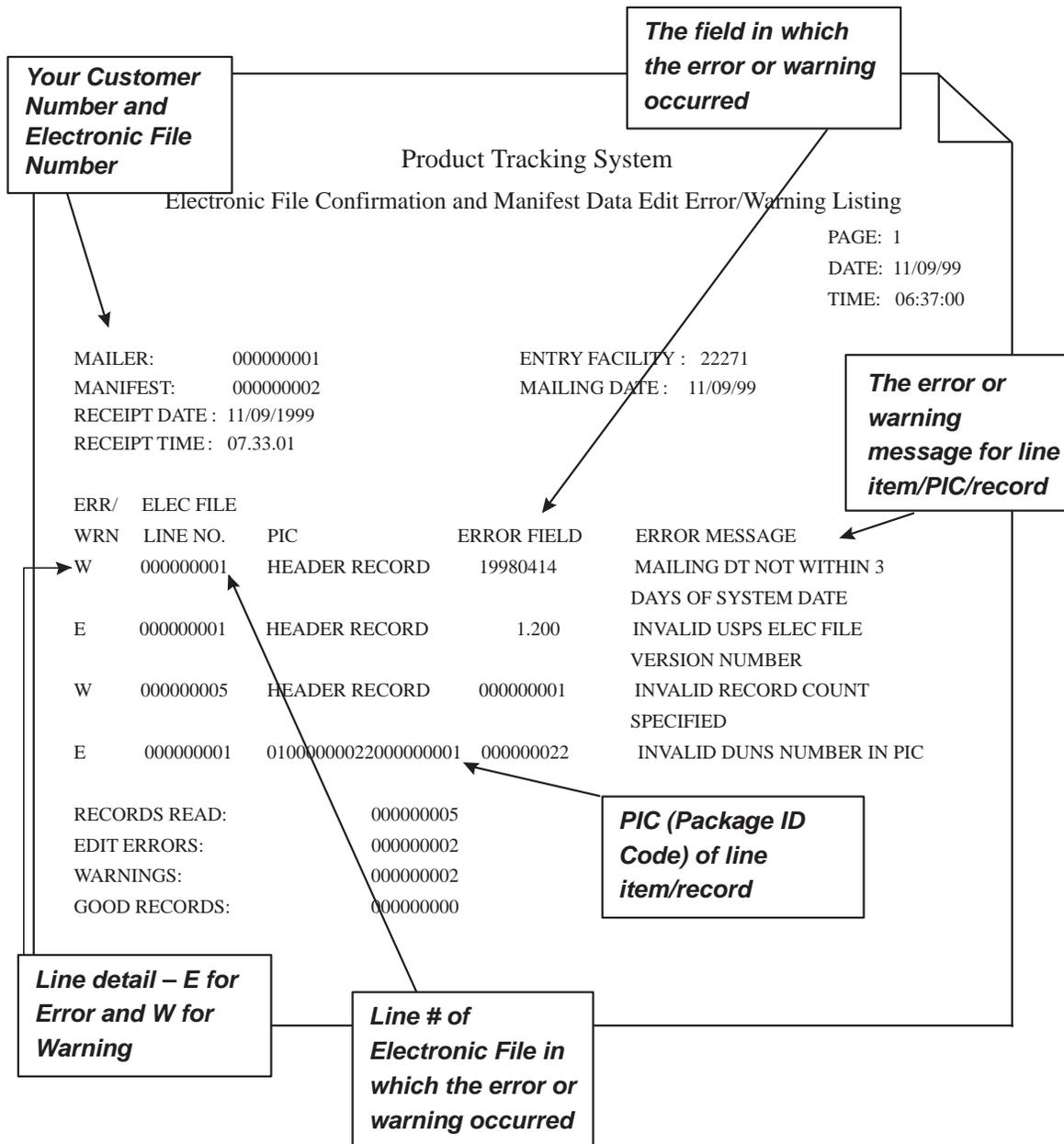
Error Message	What It Means
INVALID CTRY CODE	If Class of Mail field in Detail Record 1 is IE, country code in Country Code field in Detail Record 1 must be a valid record in Country Code table.
POSTAGE EQUALS ZERO	For Express Mail manifests, the Postage field in Detail Record 1 must be a valid number.
WEIGHT EQUALS ZERO	For Express Mail manifests, the Weight field in Detail Record 1 must be a valid number.
ERROR IN D1 — REJECTING D2	An error found in Detail Record 1 automatically rejects the matching Detail Record 2.
D2 FOUND WITHOUT MATCHING D1	There is no Detail Record 1 to match Detail Record 2.
INTL MAIL CLASS REQUIRES D2 RECORD	If the Class of Mail field in Detail Record 1 is set to "IE" for International Express Mail, a Detail Record 2 is mandatory for address information.
LABEL AND 3-DIGIT DEST ZIP PREVIOUSLY MANIFESTED	The combination of Package Identification Code (PIC) field in Detail Record 1 with the Destination ZIP Code field in Detail Record 1 indicates this record is duplicated from a previously submitted electronic file.

## Header or Detail Record *Warning* Messages That *Do Not* Cause Rejection

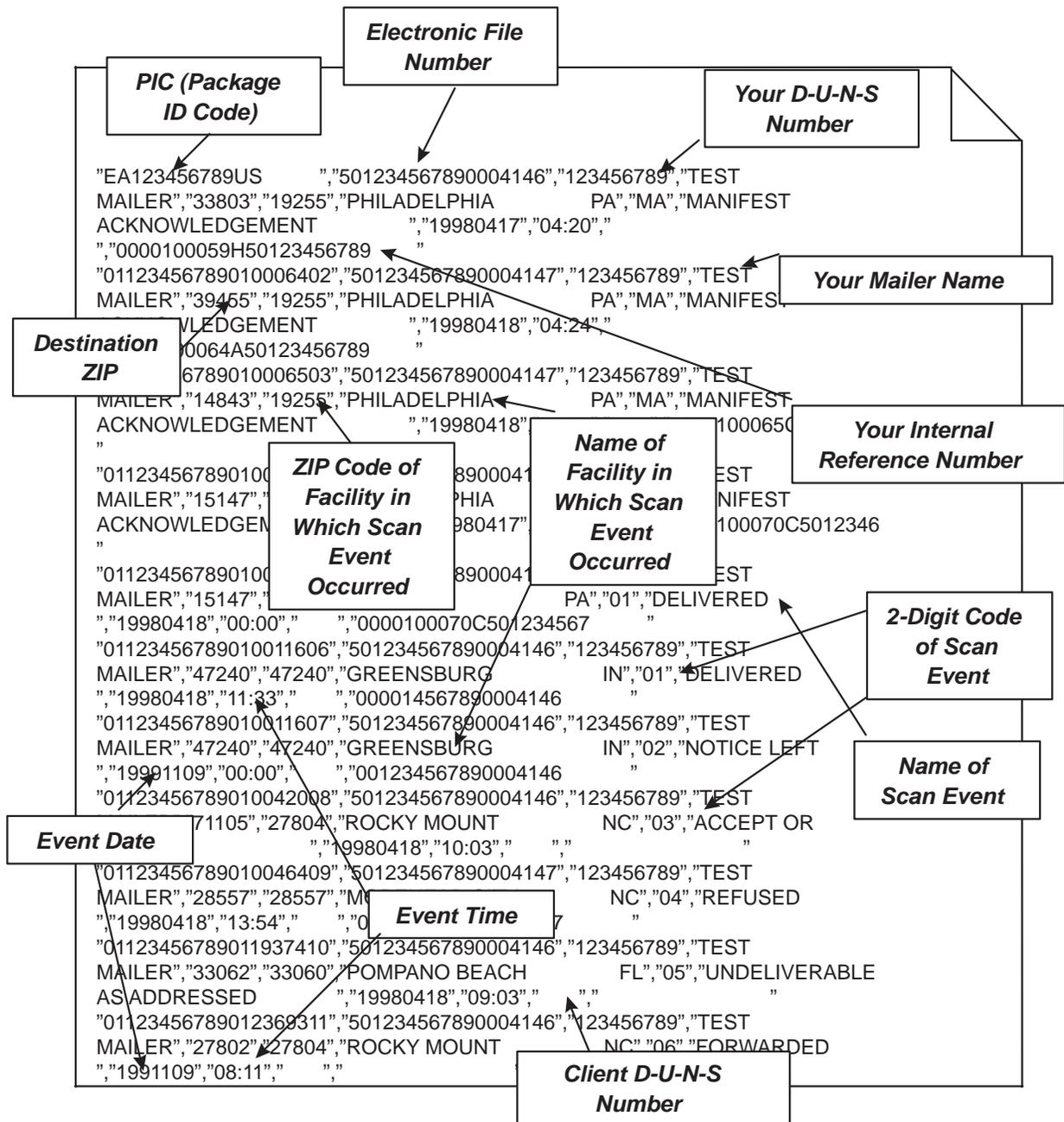
Warning Message	What It Means
MAILING DT NOT WITHIN 3 DAYS OF SYSTEM DATE	The Mailing Date field is not within 3 days of the system date (before or after).
INVALID ELEC FILE TYPE; DEFAULT TO ELEC FILE TYPE 2	If the Electronic File Type field in the Header Record is invalid, it will be changed to "2" to reflect an electronic file and not a postage manifest. Electronic File Type field must be "3" for EMM.
INVALID METHOD OF PAYMENT; DEFAULT TO PAYMENT TYPE 2	If the Electronic file Type field in the Header Record is set to "3" and the Method of Payment field in the Header Record is not valid, the system will default the Method of Payment to "02" Express Mail Corporate Account.
INVALID PICKUP REQUESTED INDICATOR; DEFAULT TO SPACE	The Pickup Requested Indicator must be set to "Y" if the mail is picked up by the USPS. The default is spaces.
DUPLICATE ELEC FILE FOUND – PROCESSED AS CORRECTIONS	A electronic file with this number in the Electronic File Number field of the Header Record has been submitted previously.
INVALID PRODUCT VERSION NUMBER	The product version number of the developer's software must be identified to the USPS at time of certification.
INVALID RECORD COUNT SPECIFIED	The File Record Count field in the Header Record does not match the USPS count of records in this transmission.
INVALID CLASS OF MAIL/SVC TYPE CD COMBO	The Class of Mail field in Detail Record 1 does not match the appropriate Service Type Code in the first 2 positions of the Package Identification Code (PIC) of Detail Record 1. The two-digit Service Type Codes for Express Mail electronic manifesting are EA through EV.

Warning Message	What It Means
DEST ZIP MUST BE ALL ZEROES FOR INTL	If the Class of Mail field in Detail Record 1 is IE, then the Destination ZIP Code field in Detail Record 1 must be all zeroes.
DESTINATION ZIP CODE IS NOT VALID	The 5-digit ZIP Code in the Destination ZIP Code field of Detail Record 1 is not a valid ZIP Code as compared to the current USPS AIS table; stored as a null value.
RATE INDICATOR NOT PA OR E4; DEFAULT TO PA	For EMM, the Rate Indicator field in Detail 1 Record must be either "PA" for the Express Mail service "Post Office to Addressee" or "E4" for "Express Mail Flat Rate." The default is "PA" — "Post Office to Addressee."
PO BOX INDICATOR NOT Y OR N; DEFAULT TO N	A "Y" in the PO Box Indicator field in Detail Record 1 indicates that the Express Mail is addressed to a PO box. The default is "N" – indicating the Express Mail is not addressed to a PO box.
WAIVER OF SIGNATURE NOT Y OR N; DEFAULT TO N	A "Y" in the Waiver of Signature field in Detail Record 1 indicates that the mailer requests a waiver of signature on the Express Mail delivery. The default is "N" – indicating that the mailer has not waived the signature.
WEEKEND/HOLIDAY DELIV NOT 1,2,3,4; DEFAULT TO 1	The No Weekend/Holiday Delivery field in the Detail Record 1 is used to indicate whether the mailer requested its Express Mail not to be delivered on a weekend or holiday. The default is "1" for normal delivery.
COD AMOUNT DUE SENDER EQUALS ZERO	If one of the Special Service Code fields in Detail Record 1 is a COD special service code of "05," the amount must be entered in the COD Amount Due Sender field.
SPECIAL SERVICE NOT = 05; REJECTING COD AMOUNT	The COD Amount Due Sender field in Detail 1 Record is filled and there is no COD code of "05" in any of the Special Service Code fields.
SPECIAL SERVICE NOT 04, 05, 06; DEFAULT TO SPACE	A Special Service Code field in Detail Record 1 for an Express Mail manifest has a value that does not correspond with a valid special service for Express Mail.
SPECIAL SERVICE FEE EQUAL ZEROES	A Special Service Code field in Detail Record 1 has a valid special service code for Express Mail, but there is no value in the corresponding Fee for Special Service field.
INVALID DUNS® NBR IN CLIENT	The DUNS® Number in the Client DUNS® Number field of Detail Record 1 is not a valid DUNS® Number.

# Sample of Manifest Data Edit Error/Warning Listing



# Sample of Extract File



## Edit Checks

### Edit Check for Class of Mail

This edit check compares the Class of Mail field in Detail Record 1 (Positions 3 and 4) to the Service Type Code used in the PIC field (Positions 5–26) in Detail Record 1. If the Service Type Code is not a valid code for the class of mail listed, you will get a warning message. The two-digit Service Type Codes for Express Mail electronic manifesting are EA through EV.

<b>*If Class of Mail =</b>	<b>And Service Type Code =</b>	<b>Then</b>	<b>Else</b>
EX	EA – EV	OK	Warning Message
PM	01	OK	Warning Message
	05		
	07		
	09		
	11		
	12		
BS	02	OK	Warning Message
BL	06		
BP	08		
BB	10		

### Other Edit Checks Not Listed in Error/Warning Messages

These edit checks do not produce error or warning messages but may affect data that is provided by you in the electronic file and returned to you with a specific record in the extract file.

<b>Field Name</b>	<b>Edit Check</b>
Destination ZIP+4 Code in Detail Record 1	If not numeric or equal to spaces, do not store in database; give no warning message
Customer Reference Number in Detail Record 1	No edit, but if not spaces, store it for inclusion in Extract File

## Appendix D

# Extract File Layout

The file layout on the following pages defines the extract file you can download for incorporation into an in-house customer service/inquiry application. A sample of the extract file appears in Appendix C, Troubleshooting Guide.

EXPRESS MAIL MANIFESTING EXTRACT File Record Formats					
Tracking Data (quote and comma-delimited fixed length text strings, LRECL=280)					
Record Positions	Field Name	Size/Format	Description	Example	Content Rules and Limitations
001	Delimiter	X(1)	Quote delimiter.	"	"
002-023	Package Identification Code (PIC)	X(22)	Barcoded label number used to track the package. 2 alphas – EA 8 digits – sequential number 1 digit – check digit 2 alphas – US	EA123456782US —	The label numbers must be from the series of label numbers provided from the USPS. This number must be unique for 12 months. Refer to Appendix F for barcode specifications. For Express Mail use the 13-digit numbers provided by USPS; left justify with trailing spaces.
024-026	Delimiter	X(3)	Quote, comma, quote delimiter.	","	","
027-048	Electronic File Number	X(22)	Electronic File Number of the electronic file that included the mailpiece with this Package Identification Code (PIC). Uniquely identifies the electronic file for a given customer for at least 12 months.	UCC/EAN 128 915094123331200 0012348 All Others 509412333120000 12348__	Taken from Header Record position 004-025.
049-051	Delimiter	X(3)	Quote, comma, quote delimiter.	","	","
052-060	Mailer ID	9(9)	DUNS® Number unique to this mailer obtained from Dun & Bradstreet.	941233312	Numeric value only
061-063	Delimiter	X(3)	Quote, comma, quote delimiter.	","	","
064-083	Mailer Name	X(20)	Mailer name associated with Mailer ID.	ABC Company	Alphanumeric
084-086	Delimiter	X(3)	Quote, comma, quote delimiter.	","	","
087-091	Destination ZIP	9(5)	Destination ZIP as given by Electronic File.	33511	Taken from Detail Record 1 position 027-031.
092-094	Delimiter	X(3)	Quote, comma, quote delimiter.	","	","
095-098	Destination ZIP+4	X(4)	Destination ZIP+4 as given by Electronic File.	1857	Taken from Detail Record 1 position 032-035.
099-101	Delimiter	X(3)	Quote, comma, quote delimiter.	","	","
102-106	Scanning Facility ZIP	9(5)	If scanning event, 5-digit ZIP Code of facility. If manifest event, entry facility ZIP Code.	21201	Valid ZIP Code
107-109	Delimiter	X(3)	Quote, comma, quote delimiter.	","	","

## EXPRESS MAIL MANIFESTING EXTRACT File Record Formats

## Tracking Data (quote and comma-delimited fixed length text strings, LRECL=280)

Record Positions	Field Name	Size/Format	Description	Example	Content Rules and Limitations
110–140	Scanning Facility Name	X(31)	Name of postal facility or city/state where event happened: – For MA event (see Event Code in Appendix E), it is the entry facility. – For 01/02 (delivered/attempted), it is the destination city/state. – For anything else, it is the city/state of the postal facility where the event happened.		Alphanumeric. Further defined for city/state event: 28 characters for city, 1 for comma, 2 for state alpha abbreviation.
141–143	Delimiter	X(3)	Quote, comma, quote delimiter.	“ , ”	“ , ”
144–145	Event Code	X(2)	Code for tracking event.	01	See Appendix E for current listing of Event Codes.
146–148	Delimiter	X(3)	Quote, comma, quote delimiter.	“ , ”	“ , ”
149–188	Event Name	X(40)	Name of tracking event corresponding to event code.	Delivered	Alphanumeric — see Event Code in Appendix E.
189–191	Delimiter	X(3)	Quote, comma, quote delimiter.	“ , ”	“ , ”
192–199	Event Date	9(8)	Date of tracking event.	1998-03-01 Entered as: 19980301	YYYYMMDD numeric. Leading zeroes given.
200–202	Delimiter	X(3)	Quote, comma, quote delimiter.	“ , ”	“ , ”
203–206	Event Time	9(4)	Time of tracking event.	13:15 Entered as: 1315	HH:MM Military format and time must be valid. Numeric values (0–9) only.
207–209	Delimiter	X(3)	Quote, comma, quote delimiter.	“ , ”	“ , ”
210–218	Client DUNS® number	9(9)	Client DUNS® number.	941233312	Taken from Detail Record 1 position 122–130.
219–221	Delimiter	X(3)	Quote, comma, quote delimiter.	“ , ”	“ , ”
222–251	Customer Reference No.	X(30)	Customer's internal reference number.	1223ABC	Alphanumeric values. Customer defined.
252–254	Delimiter	X(3)	Quote, comma, quote delimiter.	“ , ”	“ , ”
255–256	Destination Country Code	X(2)	Code for Destination Country.	GB	Valid Country Code
257–259	Delimiter	X(3)	Quote, comma, quote delimiter.	“ , ”	“ , ”
260–279	Recipient Name	X(20)	Name of Recipient.	J DOE	First initial, space, last name
280	Delimiter	X(1)	Quote delimiter.	“	“
281–282	Carriage Return Line Feed	X(2)	End-of-record indicator.		Not a data field. Hex values: Carriage return = X'0D' Line Feed = X'0A'

## Appendix E

# Event Codes

This Appendix lists all the possible event codes (both current and planned) for EMM. The codes appear in positions 144–145 of the EMM extract file and on the Internet lookup site.

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<b>Domestic Event Codes</b>	<b>Event Name</b>
MA	Manifest Acknowledgment
01	Delivered
02	Attempted
03	Accept or Pickup (by carrier)
04	Refused
05	Undeliverable as Addressed
06	Forwarded
07	Arrival at Unit
08	Missent
09	Return to Sender
10	Enroute
11	Dead Letter

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<b>Return to Sender Codes</b>	
21	No Such Number
22	Insufficient Address
23	Moved, Left No Address
24	Forward Expired
25	Addressee Unknown
26	Vacant
27	Unclaimed
28	Deceased
29	Other

---

<b>International Event Codes</b>	<b>Event Name</b>
AR	Inbound International Arrival
CO	Inbound Out of Customs
DD*	International Dispatch Ready
C1	Into Customs
TA	Transit Mail Arrival
DT	Transit Mail Dispatch
EA	Enroute Arrival
ED	Enroute Dispatch
K1	Forwarding to US Customs
K2	Contact US Customs
K3	Forwarded by USPS
K4	Return to Sender: Improper Documentation
K5	Return to Sender: Abandonment
K6	Return to Sender: Duty Nonpayment
K7	Picked up at Customs Unit
RE	Refused Entry by Customs
A0	Foreign Acceptance
B0	Foreign Arrival at Outward Office
C0	Foreign International Dispatch
D0	Arrived Abroad
E0	Into Foreign Customs
F0	Out of Foreign Customs
G0	At Foreign Delivery Unit
H0	Attempted Delivery Abroad
I0	Delivered Abroad
H8	Foreign Return to Sender
J0	Arrival at Transit Office from Exchange
K0	Depart from Transit Office of Exchange

## Barcode Specifications

### Symbology

For domestic EMM, the barcode label may be printed in either of the following two symbologies:

- USS Code 128 — Subset B is required for alpha characters
- USS Code 39

For international EMM, the barcode label must be printed in the following symbology:

- USS Code 39

### Barcode Length (Fixed Length)

A fixed-length 13-digit barcode, in the format previously described, is required with the following symbologies:

- USS Code 128
- USS Code 39

## Barcode Elements

EMM will use a 13-character package ID barcode. The data elements include the following:

Barcode Data	Overhead
	Start Code
	USS Subset Shift Characters
Service Type Code — 2-digit alpha	
Sequential Package ID — 8 digits*	
Check Digit — MOD 10 (Domestic Mail Only) or MOD 11 (Required for International Mail and may be used for Domestic Mail with USS Code 39)	
Express Mail Product Code — “US”	
	Mod 103 Check Digit (USS Code 128 only)
	Stop Code

\* Use 8-digit sequential Express Mail numbers supplied by the Postal Service on PS Form 3152-E.

## USS Code 128 Barcode Elements

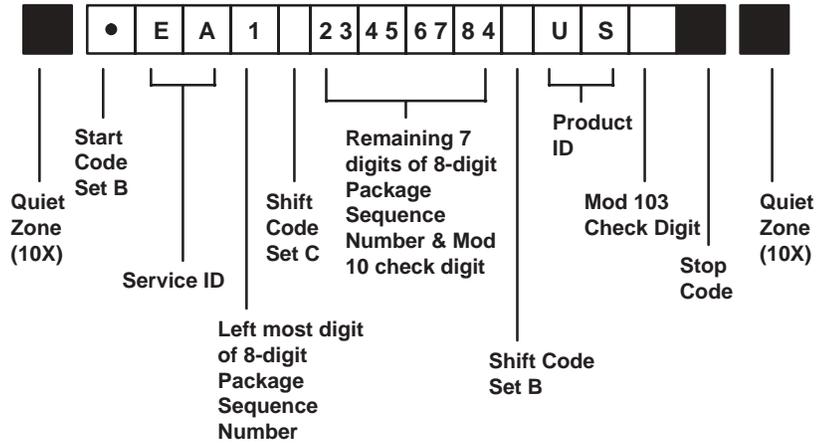
The following USS Code 128 barcode data elements and barcode structure are recommended:

1. Quiet Zone: An area before the start character clear of any printed information, the minimum value equals 10 times the narrowest bar width.
2. Start Code Set B: Mandatory barcode start character, start code B completes a subset transition that allows encodation of alpha/numeric characters. The start character is not shown in the human-readable presentation nor is it manually keyed or transmitted.
3. Express Mail Service ID: The 2-digit Service Type Codes for Express Mail electronic manifesting. The 2-digit alpha prefix provided by the USPS on PS Form 3152-E must be used.
4. Data: Express Mail package sequence identification number. Customers are assigned blocks of 8-digit sequential package identifiers (label numbers) on PS Form 3152-E. The customer must assign individual sequential package ID numbers from this block to each Express Mail service piece. The package IDs must remain unique for at least 12 months.
5. Modulo 10 check character: Barcode symbol check digit algorithm, which is a user-supplied checksum algorithm that is calculated from the package ID number. A MOD 10 check digit is positioned as the last

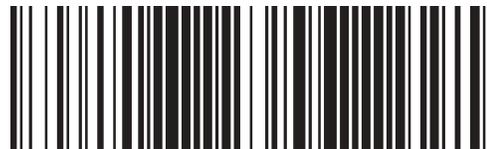
numeric data character following the package ID. It is used to detect errors resulting from manual data entry or errors resulting from failed data transmissions.

6. Shift to Code Set C: Numeric only transition code that allows barcode encodation at twice the character density.
7. Express Mail Product Code: "US."
8. Modulo 103 check character: USS barcode symbol check digit algorithm, not part of the user data.
9. Stop Code: Last character used to conclude all USS Code 128 barcodes characters. All barcodes must have a symbol stop code. The stop character is not shown in the human-readable presentation nor is it manually keyed or transmitted.
10. Quiet Zone: An area after the stop character clear of any printed information, the minimum value equals 10 times the narrowest bar width.

**Data Format USS Code 128**



**Sample of USS Code 128 Barcode**

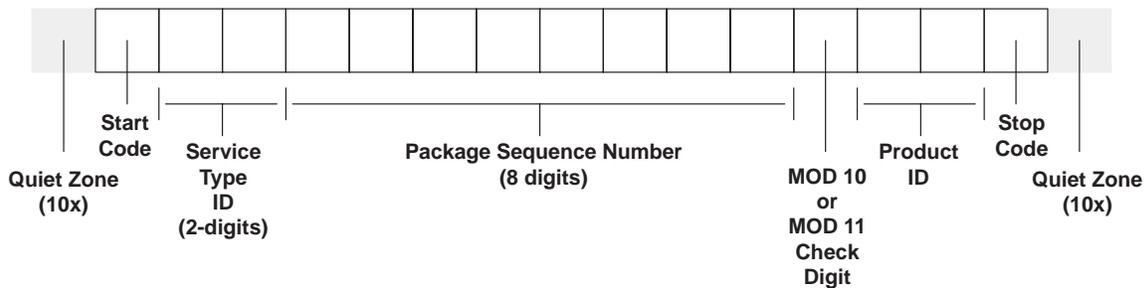


**EA 12345678 4 US**

## USS Code 39 Barcode Elements

The following USS Code 39 barcode data structure pattern is required (wide/narrow bar ratio  $\geq 2.5$ ):

1. Quiet Zone: An area before the start character clear of any printed information, the minimum value equals 10 times the narrowest bar width.
2. Start Code: Start character that identifies beginning of barcode.
3. Express Mail Service ID: The 2-digit Service Type Codes for Express Mail electronic manifesting. The 2-digit alpha prefix provided by the USPS on PS Form 3152-E must be used.
4. Data: Express Mail package sequence identification number. Customers are assigned blocks of 8-digit sequential package identifiers (label numbers) on PS Form 3152-E. The customer must assign individual sequential package ID numbers from this block to each Express Mail service piece. The package IDs must remain unique for at least 12 months.
5. Modulo 10 check character (for domestic mail only) or Modulo 11 check character (required for international mail, may be used for domestic mail) barcode symbol check digit algorithm: This is a user-supplied checksum algorithm that is calculated from the package ID number. A MOD 10 or MOD 11 check digit is positioned as the last numeric data character following the package ID. It is used to detect errors resulting from manual data entry or errors resulting from failed data transmissions.
6. Express Mail Product Code: "US."
7. Stop Code: Last character used to conclude barcodes symbol.
8. Quiet Zone: An area after the stop character clear of any printed information, the minimum value equals 10 times the narrowest bar width.

**Data Format USS Code 39****Sample of USS Code 39 Barcode**

**EA 12345678 4 US**

**Check Digit****Check Digit (USS Code 128)**

Both MOD 10 and MOD 103 are used as mandatory checksums for the USS Code 128 symbology. The MOD 103 checksum for USS Code 128 is part of the symbology overhead and not presented in the human-readable text. The MOD 10 checksum is positioned as the last numeric digit of the package identifier and is part of the human-readable presentation of data. It is also manually keyed and transmitted as data. The MOD 103 checksum is the last data character and follows the MOD 10-check digit. It is NOT part of the human-readable presentation of data. It is also *not* manually keyed or transmitted as data.

**Check Digit (USS Code 39)**

A MOD 10 checksum may be used only for domestic mail. A MOD 11 checksum *must* be used for international mail and *may* be used for domestic mail. Code 39 requires a MOD 10/MOD 11 checksum in the eleventh position in lieu of the optional standard MOD 43 checksum in order to meet USPS requirements. It should precede the product ID "US." The standard MOD 43 checksum must be omitted; otherwise, it will cause an invalid barcode that cannot be read.

The algorithms for calculating the MOD 10 and MOD 11 check digits appear at the end of this appendix. This mandatory MOD 10 or MOD 11 check digit is a data element, must appear in human-readable form, and is transmitted as data.

# Print Specifications

## Dimensions

The preferred range of widths of narrow bars and spaces is 0.015 inch to 0.017 inch. The width of any narrow bars or spaces must not be less than 0.013 inch, or no greater than 0.021 inch. All bars must be at least 0.75 inch high.

The ratio of wide-to-narrow element widths for Code 39 symbologies referred to as "N" must be 2.5 to 3.0 inclusive.

## Clear Zone

No printing may appear in an area 0.125 inch above or below the barcode. A minimum clear zone (also called quiet zone) equal to 10 times the average measured narrow element (bar or space) width shall be maintained on either side of the barcode per Automatic Identification Manufacturers International (AIM), Inc. specifications. When feasible, a left/right clear zone of 0.250 inches is recommended.

## Reflectance

When measured in the red spectral range between 630 nanometers and 675 nanometers, the minimum white space reflectance ( $R_s$ ) must be greater than 50%, and the maximum bar reflectance ( $R_b$ ) must be less than 25%. The minimum print reflectance difference ( $R_s - R_b$ ) is 40%. The measurements must be made using a USPS-specified reflectance meter or a USPS-approved barcode verifier.

## Barcode Quality

At least 70% of the barcodes must measure American National Standards Institute (ANSI) grade A or B, and none of the remaining portion can measure lower than ANSI grade C.

Information concerning ANSI barcode guidelines are in standard X3.182, Bar Code Print Quality Guideline, and may be obtained from:

AMERICAN NATIONAL STANDARDS INSTITUTE  
11 W 42ND ST  
NEW YORK NY 10036-8002

Telephone: 212-642-4900  
Web site: [www.ansi.org](http://www.ansi.org)

## Specifications

AIM, Inc. offers written technology standards for the barcode symbologies used for EMM:

- a. Uniform Symbology Specification, USS Code 128

b. Uniform Symbology Specification, USS Code 39

These specifications can be obtained from:

AIM INC.  
634 ALPHA DR  
PITTSBURGH PA 15238-2802

Telephone: 412-963-8588 (ask for Technical Department)  
Web site: [www.aimi.org](http://www.aimi.org)

## Barcode Identification

### Text

Bold text, placed no less than 0.125 inch and no more than 0.5 inch above the barcode, must read "USPS EXPRESS MAIL." The minimum size of this text is 12-point sans-serif bold type. Larger text is preferred but should not exceed the length of the barcode. The text must be printed in uppercase letters.

### Numbers

A human-readable numeric representation of the barcode must appear no less than 0.125 inch and no more than 0.5 inch below the barcode. The minimum size of this text is 10-point sans-serif bold type. It is recommended that the human-readable numbers should be in groups of four or less to facilitate manual entry when required.

### Identification Bars

Bold horizontal lines at least 0.062 inch thick must appear between 0.125 inch and 0.5 inch above and below the human-readable text and numbers to segregate the Express Mail barcode from other information on the shipping label. The length of the line must be equal to the length of the barcode.

Minimum (Not To Scale)



## Grouping of Human-readable Numbers

The human-readable representation of the barcode should be placed into groups of four with the remaining digits grouped at the end.

## MOD 10 Check character calculation

To calculate the MOD 10 check character (for domestic Express Mail only) for the PIC, follow the six steps explained below.

Digit positions are numbered from right to left for this calculation so that the MOD 10 check character position counts as position 1. For this example, assume that the PIC number is 12345678.

The MOD 10 check character is calculated using the following steps:

### Step 1

Set up a two-row matrix, labeled 1 through 9, with 1 being the most significant position in the matrix (i.e., the right-most position). Starting from the least significant position of the matrix (position 9), copy each digit of the PIC all the way to position 2 (excluding the position of the check character shown in the example below by an "?").

Position	9	8	7	6	5	4	3	2	1
PIC	1	2	3	4	5	6	7	8	?

### Step 2

Starting from position 2 of the matrix, add the values in the even-numbered positions.

Position	9	8	7	6	5	4	3	2	1
PIC	1	2	3	4	5	6	7	8	?

For the example:  $8 + 6 + 4 + 2 = 20$

### Step 3

Multiply the result of Step 2 by 3. For the example:  $20 \times 3 = 60$

### Step 4

Starting from position 3 of the matrix, add the values in the odd-numbered positions, skipping position 1 because it is the position of the check character.

Position	9	8	7	6	5	4	3	2	1
PIC	1	2	3	4	5	6	7	8	?

For the example:  $7 + 5 + 3 + 1 = 16$

### Step 5

Add up the results for steps 3 and 4. For the example:  $60 + 16 = 76$

### Step 6

The check character is the smallest number that, when added to the result obtained through Step 5, gives a number that is a multiple of 10.

For the example:  $76 + 4 = 80$ ;  $X = 4$

The check character is 4, because 4 is the smallest number that, when added to 76, results in a multiple of 10. The label ID would be “RB123456784US.”

### MOD 11 Check Character Calculation

To calculate the MOD 11 check character (*must* be used for international mail, *may* be used for domestic mail) for the PIC, follow the 13 steps explained below: The MOD 11 check digit formula is used only with a USS Code 39 Barcode. For this example, assume that the PIC number is 12345678.

Example: Label ID = EF123456785US

Weighted MOD 11 Check-digit Calculation:

1. Multiply the first digit by 8.
2. Multiply the second digit by 6.
3. Multiply the third digit by 4.
4. Multiply the fourth digit by 2.
5. Multiply the fifth digit by 3.
6. Multiply the sixth digit by 5.
7. Multiply the seventh digit by 9.
8. Multiply the eighth digit by 7.
9. Sum all the products of the multiplication in steps 1 through 8.
10. Divide the sum in step 9 by 11.
11. If the remainder is zero, the check-digit becomes “5.”
12. If the remainder is one, the check-digit becomes zero.
13. Otherwise, subtract the remainder from 11 and that becomes the check-digit.

Example:

Number is:	1	2	3	4	5	6	7	8	
Multiply by	8	6	4	2	3	5	9	7	
Sum of all products	8 +	12 +	12 +	8 +	15 +	30 +	63 +	56 =	204

For Step 10:  $204 \text{ divided by } 11 = 18 \text{ with a remainder of } 6.$

For Step 13:  $11 - 6 = 5$

The check character is 5. The label ID would be “RB123456785US.”

## Appendix G

# One-Ply Express Mail Labels (Domestic Mail)

Samples of the four options for One-Ply Express Mail labels appear on the following pages, with explanations of their various components. The four label options are as follows:

- Label Option 1: Standard Domestic One-Ply Label.
- Label Option 2: USPS Preprinted Label 11-SP with Sample Shipping Label (Vertical Orientation).
- Label Option 3: Privately Preprinted Label 11-SP with Sample Shipping Label (Horizontal Orientation).
- Label Option 4: Label With Service Indicator.

**Note:** Label Options 2 and 3 may also be used for International Mail.

## Label Option 1 — Standard Domestic One-Ply Label

Show the following information on the label as noted below:

- Express Mail permit imprint indicating postage payment using Express Mail Corporate Account (EMCA). Show *either* the name of the customer that owns the EMCA *or* the EMCA number. Permit imprint must appear in upper right portion of address area.
- Only when the service is requested, print the optional signature waiver and/or weekend or holiday delivery instructions. Preferred placement is below the return address on shipping label.
- Domestic: If identified EM service packaging (EM box, sticker) is not used, the “Express Mail” identification is required.
- Ship date.
- “USPS Express Mail” text, barcode, human-readable barcode information (blocks of Express Mail numbers will be assigned by USPS), and bold horizontal lines.
- Remainder of label is for customer use and may include other internal package IDs, barcodes, customer information, contact telephone numbers, etc.

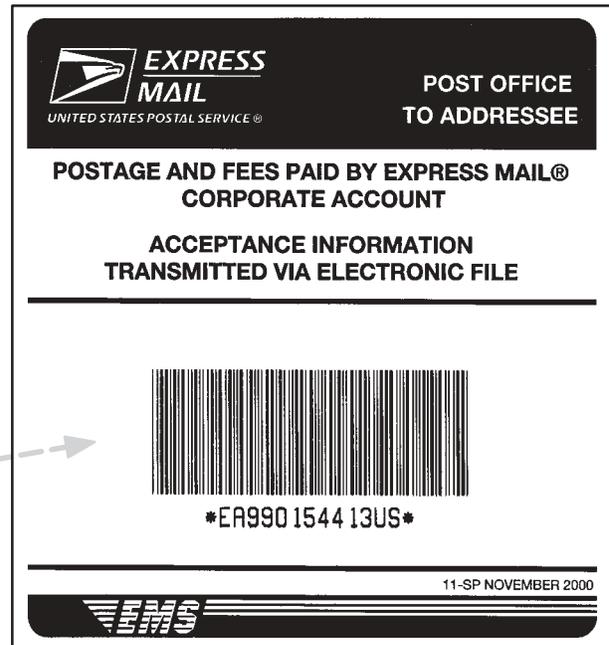
MAILER OR SHIPPER 555 ANY STREET ANY CITY, CA 95603-0955	<div style="border: 1px solid black; padding: 2px; width: fit-content; margin: 0 auto;">                     EXPRESS MAIL                      U.S. POSTAGE PAID                      EXPRESS MAIL                      CORP ACCT                      [CUSTOMER NAME or                      CORPORATE ACCT #]                 </div>
WAIVER OF SIGNATURE REQUESTED NO DELIVERY WEEKEND OR HOLIDAY	<b>SHIP DATE: 05/01/2002</b>
<b>EXPRESS MAIL</b> UNITED STATES POSTAL SERVICE®	
SHIP TO: JOE ADDRESSEE 123 MAIN AVE HOUSTON TX 77058-2377	
<hr style="border: 1px solid black;"/> <b>USPS EXPRESS MAIL</b>  <hr style="border: 1px solid black;"/> <b>EA 12345678 4 US</b> <hr style="border: 1px solid black;"/>	

**Notes:**

1. For return receipt service, attach PS Form 3811 to mailpiece and show endorsement “Return Receipt Requested” above the delivery address and to the right of the return address.
2. For COD, attach PS Form 3816 or 3816-AS to mailpiece.
3. To facilitate product recognition and proper handling, it is recommended that Express Mail service packaging be used and the label contain the additional “Express Mail” identification shown above.

## Label Option 2 — USPS Preprinted Label 11-SP With Sample Shipping Label (Vertical Orientation)

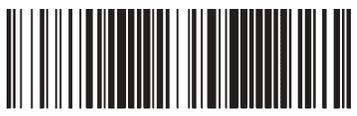
- USPS preprinted Label 11-SP is affixed to the address side of the package, above, below, or to the left or right of the shipping label. The label must be placed adjacent to the shipping label and be aligned parallel to the address.
- Mailers using the USPS preprinted Label 11-SP must develop a process to link the label barcode to a specific package and record it in the EMM electronic file.
- Express Mail permit imprint appears on address label in upper right portion of address area.
- The ship date must be printed directly below the Express Mail imprint.
- Only when the service is requested, print the optional signature waiver and weekend or holiday delivery instructions below the return address on shipping label.



### Notes:

1. For COD or Return Receipt see notes to Label Option 1.
2. Preprinted label may be used for domestic or international shipments. For International Express Mail see notes in Appendix H.
3. To facilitate product recognition and proper handling, it is recommended that USPS Express Mail packaging be used.

### Label Option 3 — Privately Printed Label 11-SP With Sample Shipping Label (Horizontal Orientation)

	<p>EXPRESS MAIL U.S. POSTAGE PAID EXPRESS MAIL CORP ACCT ANY COMPANY</p>		<p>POST OFFICE TO ADDRESSEE</p>
<p>Any Company 12984 East Rd. Anywhere ST 99999</p>	<p>SHIP DATE: 10/10/2000</p>	<p>POSTAGE AND FEES PAID BY EXPRESS MAIL® CORPORATE ACCOUNT</p>	
<p>WAIVER OF SIGNATURE REQUESTED NO DELIVERY WEEKEND OR HOLIDAY</p>		<p>ACCEPTANCE INFORMATION TRANSMITTED VIA ELECTRONIC FILE</p>	
<p>SHIP TO: Bill Thompson 1298 Versipinay Dr Whatakert, IL 53892</p>		<p>USPS EXPRESS MAIL</p>	
			
		<p>EA 12345678 4 US</p>	
			

**Notes:**

1. For COD and Return Receipt see notes to Label Option 1.
2. For ship date, Express Mail imprint, optional signature waiver, and weekend or holiday delivery instructions, see instructions for Label Option 2.
3. Eagle emblem is optional.
4. EMS logo is optional on domestic mailings.
5. Label Option 3 may be used for domestic or international shipments. For International Express Mail see notes in Appendix H.
6. To facilitate product recognition and proper handling, it is recommended that USPS Express Mail packaging be used.

## Label Option 4 — Label With Service Indicator

Show the following information on the label as noted below:

- Service Icon. The service icon appears in a 1-inch square in the upper left corner of the shipping label. The letter "E" must be printed inside the 1-inch square and must be no smaller than 0.75 inch (3/4 inch). A minimum 3/4-point line must border the 1-inch square.
- Service Banner. The service banner appears directly below the postage payment area and the service icon, and extends across the shipping label. The text "USPS EXPRESS MAIL®" must be printed in minimum 20-point bold sans serif typeface, uppercase letters, centered within the banner, and bordered above and below by minimum 1-point separator lines. There must be a 1/16-inch clearance above and below the text.
- Only when the service is requested, print the optional signature waiver and/or weekend or holiday delivery instructions. Preferred placement is below the return address on shipping label.
- If the registered trademark symbol cannot be inserted after the Express Mail text, the following statement must be added to the bottom of the label in at least Helvetica 6-point type: "Express Mail is a registered trademark of the U.S. Postal Service."

<b>E</b>	EXPRESS MAIL U.S. POSTAGE PAID EXPRESS MAIL CORP ACCT [CUSTOMER NAME or CORPORATE ACCT #]
<b>USPS EXPRESS MAIL®</b>	
<b>SHIP DATE: 05/01/2002</b>	
ANY COMPANY 555 ANY STREET ANY CITY, CA 95603-0955	
WAIVER OF SIGNATURE REQUESTED NO DELIVERY WEEKEND OR HOLIDAY	
<b>JOE ADDRESSEE</b> <b>123 MAIN AVE</b> <b>HOUSTON TX 77058-2377</b>	
<b>USPS EXPRESS MAIL</b>	
	
<b>EA 12345678 4 US</b>	

### Notes:

Service indicator format is recommended for all ordinary domestic Express Mail.

## Appendix H

# One-Ply Express Mail Label (International Mail)

A copy of a One-Ply Express Mail label for use with International Mail appears on the following page, with explanations of its various components.

**Note:** Label Options 2 and 3 shown in Appendix G may also be used for International Mail.

## International Showing Required “EMS” Logo

Show the following information on the label as noted below:

- Express Mail imprint indicating postage payment using Express Mail Corporate Account (EMCA). Show *either* the name of the customer that owns the EMCA *or* the EMCA number. Imprint should appear in upper right portion of address area.
- Ship date.
- International: “EMS” logo is required. There is no specific size requirement for the logo, but it must be readily visible on the label. A color logo is preferred but not required. For color logos, use Pantone Matching System (PMS) 286 (blue) for the letters “EMS” and PMS 151 (orange) for the graphic “wings” on either side of the letters “EMS.”
- “USPS Express Mail” text, barcode, human-readable barcode information (blocks of Express Mail numbers will be assigned by USPS), and bold horizontal lines.
- Because label is one-ply, there will be no mailing label for the delivery employee to remove. Barcode information should appear on the label in the same relative position as shown on the sample.
- Remainder of label is for customer use and may include other internal package IDs, barcodes, customer information, contact telephone numbers, etc.

MAILER OR SHIPPER  
555 ANY STREET  
ANY CITY, CA 95603-0955

EXPRESS MAIL  
U.S. POSTAGE PAID  
EXPRESS MAIL  
CORP ACCT  
[CUSTOMER NAME or  
CORPORATE ACCT #]



UNITED STATES POSTAL SERVICE TM

SHIP DATE:

SHIP TO: Pieter Haas  
Heerengracht 43  
1015-HT Amsterdam  
NETHERLANDS

---

**USPS EXPRESS MAIL**



**EA 12345678 4 US**

---

### Notes for International Express Mail:

1. The barcode label must be printed using the USS Code 39 symbology.
2. The appropriate customs document must be attached to the mailpiece.

## Appendix I

# **Sample Customer Notification Letter**

A sample customer notification letter appears on the following page.

Dear Postal Customer,

Congratulations! Your electronic file and barcoded labels are now certified for Express Mail Manifesting (EMM). Enclosed is your copy of PS Form 3152-E, *EMM Certification*, along with instructions on its use.

By copy of this letter, we are notifying all appropriate parties that you have completed the EMM certification process. However, before presenting mailings, you must also receive EMM authorization from your district indicating that the additional requirements for EMM presentation and verification are met. The district will ensure that the following conditions are met:

- Your hard copy verification manifest meets USPS specifications.
- You have implemented the required quality assurance procedures.
- Detached mail unit (DMU) or post office acceptance procedures have been established.
- Transportation has been scheduled to ensure that mailings will be dispatched to meet critical entry times.
- An Express Mail Corporate Account (EMCA) has been established.
- A local procedure has been implemented to capture the acceptance date and time of your mailings so we can determine if our service commitments are being met.
- An EMM agreement has been implemented.

For the first 10 days of mailing, you must submit a photocopy of the successful Manifest Data Edit Error/Warning Report to the DMU within 24 hours or by the next business day to verify transmission and receipt of your electronic manifest by our Product Tracking System. If your file contains warnings or errors, they must be resolved to ensure efficient handling of your mailings.

If your file or barcode falls below the minimum accuracy requirements, we will contact you to resolve the problem. Please keep in mind that a reduction in file or barcode quality could warrant suspension of your certification until the quality issues are resolved.

If you are a software vendor and will not be presenting EMM mailings, your clients cannot be certified until they demonstrate that they can use your software to transmit and retrieve files and produce barcoded labels.

If you have any questions or need additional information, please call Deborah Gardner at 800-279-2651.

Sincerely,

Jancie E. Caldwell  
Manager, Address Management  
/0018BAR.DOC

cc Postmaster (Office of Mailing)  
Manager, Business Mail Entry  
Expedited Service Specialist  
Manager Marketing  
Rates & Classification Service Center

Appendix J

## **PS Form 3152-E**

A copy of PS Form 3152-E, *Express Mail Manifesting Certification*, appears on the following page.

United States Postal Service

# Express Mail® Manifesting Certification

## Company Information

Company Name

Address (No., street, ste. no., city, state, ZIP + 4)

DUNS® Number

## Electronic File

The electronic file submitted by the company shown above has been certified by the National Customer Support Center (NCSC) to be complete and accurate in both content and transmission and to meet the requirements as defined in Publication 97, *Express Mail Manifesting Technical Guide*.

Authorized NCSC Signature

Date Signed

## Barcoded Labels

The barcoded labels printed and submitted by the company shown above have been certified by the National Customer Support Center (NCSC) to meet the standards and specifications as prescribed in the *Express Mail Manifesting Technical Guide*, and the appropriate ANSI or AIM published standards.

Authorized NCSC Signature

Date Signed

## Instructions for Completing and Submission With Mailing

Keep the original of this form in a safe place. Make a photocopy for each mailing and place a label printed with a barcode representing the Express Mail Manifesting Electronic File Number from the electronic file for this specific mailing in the space indicated below. If you cannot print a barcoded label, fill in the sequence number and check digit (the last nine characters) of your Express Mail Manifesting Electronic File Number (positions 17-25 in the Header Record) for this specific mailing in the space indicated.

## Required Mailing Information

Number of Express Mail Pieces in This Mailing

Total Postage for This Mailing

Total Weight of Pieces in This Mailing

Express Mail Corporate Account Number

## Express Mail Manifesting Electronic File Number

5 0

Prefix

DUNS® Number

Sequence Number

You have been certified for:

**Express Mail**

Your company has been assigned the following prefix and range of Express Mail barcode/label numbers:

Prefix

through

Range of Label Numbers

## Endorsements

Signature of Mailer

Date of Mailing

Round Stamp

Acceptance Employee Signature

## Appendix K

# Express Mail Verification Manifest (Sample)

**Note:** The rates used in this sample Express Mail verification manifest are current as of the publication date for this document. However, rates are subject to change. If necessary, contact the Postal Service for current rates.

## Domestic and International Mail (With Cumulative Postage Column)

Mailer's Name and Address	Post Office of Mailing	Date of Manifest
	Manifest Sequence Number	Express Mail Corporate Account No.

Package ID Code	Weight (lbs.)	Rate Indicator	ZIP Code or Country Code	Postage	Cumulative Postage
EA600013571US	22.0	PA	60697	51.30	51.30
EA600013582US	5.0	PA	60194	24.85	76.15
EA600013603US	8.0	PA	70788	31.65	107.80
EA600034563US	2.0	E4	55401	16.25	124.05
EA600034574US	2.0	E4	33386	16.25	140.30
EA600034585US	21.0	PA	41268	50.00	190.30
EA600035796US	7.0	PA	20260	30.45	220.75
EA600045677US	1.0	PA	76543	16.25	237.00
EA600045698US	4.0	IE	FI	35.00	272.00
EA600053593US	.5	IE	AR	22.25	294.25
<b>Page Totals: 10 Pieces</b>	<b>72.50</b>			<b>\$294.25</b>	
<b>Cumulative Page Totals: 10 Pieces</b>	<b>72.50</b>				<b>\$294.25</b>

Mailer's Name and Address  
Itemized Manifest Summary  
Express Mail

Page 1

Service	Number of Pieces	Weight (lbs.)	Postage
PA	6	64.0	204.50
IE	2	4.5	57.25
E4	2	4.0	32.50
<b>Totals:</b>	<b>10</b>	<b>72.50</b>	<b>\$294.25</b>

PA = Post Office to Addressee (Domestic)  
E4 = Express Mail Flat Rate Post Office to Addressee (Domestic)  
IO = International On Demand

Note: Other Express Mail options are currently not available for EMM.

## Appendix L

# **Express Mail Manifest System Application**

The Express Mail Manifest System Application appears on the following pages.



**Express Mail® Service Manifest System Application**

1. Express Mail Service Corporate Account No.

**Customer Information**

2. Company Name		3. Dun & Bradstreet No. (DUNS®)	4. Post Office Where Express Mail Service Corporate Account is Held (City, State, ZIP + 4)
5. Address (No., street, ste. no., city, state, ZIP + 4)			6. Estimated Start Date
7. Name of Company Representative Responsible for Manifest System			
8a. Company Representative Phone Number (Include area code)	8b. Company Representative Email Address		8c. Company Representative Fax No.
9. Applicant's Signature	10. Date Signed	11. Are you currently certified or pending certification for Confirmation Service™? <input type="checkbox"/> Yes <input type="checkbox"/> No	

**Technical Information**

12. How will you send your electronic files to the USPS host computer? Choosing the option that best suits your situation will shorten the process by two weeks.

a.  Internet FTP      b.  Dial-up (modem) Zipped      c.  Dial-up (modem) UnZipped      d.  Electronic Data Interchange (If checked go to item 15)

13a. IT Manager's Name	13b. Phone Number/Extension/Fax No.	13c. Email Address
14a. Shipping Manager's Name	14b. Phone Number/Extension/Fax No.	14c. Email Address
15a. Will commercial vendor software be used to produce the electronic file and/or labels? <input type="checkbox"/> Yes. Please furnish the following vendor information: <input type="checkbox"/> No. We will develop our own system. (Skip to question 16 below.)		
15b. Software Company Name	15c. Product Name and Version Number	
15d. Contact Name and Title	15e. Phone Number and Extension	
16. Packaging a. <input type="checkbox"/> Customer Provided b. <input type="checkbox"/> USPS Provided c. <input type="checkbox"/> None	17. Reserved	18. Type of Payment a. <input type="checkbox"/> Stamps      d. <input type="checkbox"/> Other b. <input type="checkbox"/> Meter c. <input type="checkbox"/> Manifest
19. Estimated Mail Quantity per Week	20a. What kind of barcode labels will customer use? i. <input type="checkbox"/> Express Mail Manifesting - USPS Preprinted ii. <input type="checkbox"/> Express Mail Manifesting - Customer Preprinted	
20b. Send preprinted labels to: (No., street, ste. no., city, state, ZIP + 4)		21. Are you a consolidator? <input type="checkbox"/> Yes <input type="checkbox"/> No
20c. Telephone Number (Include area code)		22a. If "YES", are you using vendor software? <input type="checkbox"/> Yes <input type="checkbox"/> No b. Product Name & Version: _____
		23. Are you a vendor? <input type="checkbox"/> Yes <input type="checkbox"/> No

**General Information**

24a. Post Office Where Express Mail Service Manifest Mailings Will Be Presented (City, state, ZIP + 4)

24b. What Express Mail service options will you use? Check all that apply.  
 Post Office to Addressee       Global Express Mail       COD       Insured       Return Receipt

25a. Have arrangements been made for the verification and acceptance of your Express Mail service packages?  
 Yes       No (Please contact your postmaster)

**General Information (Cont.)**

26. What is the projected daily volume and total daily postage?

\_\_\_\_\_ Volume

\_\_\_\_\_ Postage

27. Is your software Manifest Analysis and Certification (MAC) Program or MAC-Gold certified?

Yes

No. Explain how your manifest system ensures against duplicate mailpiece identification numbers within a mailing (identification numbers must be right-justified in alphanumeric sequence before your application can be approved):

28. How are piece weights determined?

By weighing after the mailpiece is produced.

Using predetermined weight(s), explain how predetermined weights are calculated and how often they are updated in your system:

29. How often are the scales calibrated and certified?

Yearly

Other (Describe):

30. How are the rate matrices updated in your system?

Vendor Updates

Other (Describe):

31. Can you print rate matrices from your system?

Yes. Include copies with this application.

No. Explain how rate tables are obtained:

32. Which data elements require manual input to generate your manifest?

Package ID Number

Weight     Address

Other (Specify):

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33. Do you agree to allow reasonable access to mail preparation areas for USPS employees to observe mail preparation and verify mailing records?

- Yes
- No. Refer to *Express Mail Manifest Agreement*, Article 8.

34. Instead of providing a hard copy verification manifest at the time of mailing, will you furnish the manifest electronically and provide access to a terminal in your facility to view the manifest for verification against actual postage?

- Yes
- No, we will present only a hard copy manifest

35. Do you agree to perform the quality assurance procedures described in Chapter 4 of Publication 97, *Express Mail Manifesting Technical Guide*?

- Yes
- No (*Explain*):

#### Applicant

Please submit the following documentation with this application. These samples must be produced from the actual software and hardware that will be used:

Sample of verification manifest. (*Only if you will also be furnishing terminal access to your system, include print screens with this application.*)

Sample Express Mail Service one-ply label

Rate matrix (*if applicable*)

Form 1357-S, *Customer Request for Computer Access*. This form is not required if you are currently participating in a Confirmation Services program and have already obtained a logon and password.

#### USPS Representative

Please fax this application, Form 1357-S (if required), and the attachment on the next page to Product Information Requirement, Product Development, USPS Headquarters at 202-268-7596, and to the USPS National Customer Support Center at 901-681-4440. Send the original Form 1357-S to:

PRODUCT INFORMATION REQUIREMENTS PRODUCT DEVELOPMENT  
UNITED STATES POSTAL SERVICE  
475 L'ENFANT PLZ SW RM 4200 NB  
WASHINGTON DC 20260-4299

A logon ID and password cannot be issued until the original Form 1357-S is received. Submit this form to the Manager, Business Mail Entry, with the documentation listed in the *Applicant* section above.

## Appendix M

# Resource Information

Web Site Addresses	Information Contained On Site
www.aimi.org	AIM, Inc. — standards for EMM barcode symbologies.
www.ansi.org	American National Standards Institute (ANSI) — barcode print quality guidelines.
www.dnb.com	Dun & Bradstreet web site.
www.ribbs.usps.gov	Current mailer news, weather alerts affecting delivery, and more.
http://pe.usps.gov	Postal Explorer — <i>Domestic Mail Manual</i> , <i>International Mail Manual</i> , rate calculator, business forms.
www.usps.com/cttgate	Delivery information lookup.
www.usps.com (click “Mail/Ship”)	Business Mail Entry locator, business and rate information, publications, supplies.
www.usps.com/ publications	Publication 97, Publication 97-A, Publication 401, and other postal publications.

Resource Name	Phone Number	Type of Support
Dun & Bradstreet	800-333-0505	Obtain a DUNS® number.
Electronic Data Interchange (EDI) Service Center	800-847-1657	EDI communication issues/questions.
Expedited/Package Services	877-264-9693	Technical support related to electronic file, transmission protocols, and retrieval of Manifest Data Edit Error/Warning Listing.
National Customer Support Center (NCSC) — Delivery Confirmation	800-279-2651 (phone) 901-681-4440 (fax)	Electronic file certification process, generation of barcoded labels, obtaining copies of Publication 97 and Publication 97-A.
Raleigh Communication Support	877-245-1659	Electronic transmission.
USPS Customer Service	800-275-8777	Rate and other postal information, and district manager of Business Mail Entry.
USPS Customer Service — Express Mail Supply Center	800-222-1811	Delivery status, requesting pickup service, ordering Express Mail supplies.