



# Mail Preparation Total Quality Management

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December 2007

Version 7.3.1





## Mail Preparation Total Quality Management

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- A. Explanation.** This guidebook is designed for mailers who are interested in a total quality management system for their mailing operations.
- B. Distribution.** Email requests to [mptqm@usps.gov](mailto:mptqm@usps.gov)
- C. Comments on Content.** Send comments and suggestions about the content of this handbook to the following address:  
  
MANAGER  
BUSINESS MAILER SUPPORT  
USPS  
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WASHINGTON DC 20260-0846
- D. Effective Date.** December, 2007
- E.** Mailers currently certified under a previous version of MPTQM may re-certify under the previous or new standards until December 31, 2007. New applications will only be accepted under 7.3 after October 30, 2007. After January 1, 2008, all participants must be certified under the Version 7.3 standards.

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**USPS**



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# 1 Executive Summary

The Mail Preparation Total Quality Management (MPTQM) program is designed to help businesses prepare mailings that meet or exceed USPS processing quality standards. Designed in cooperation with industry mailers, MPTQM is a systematic approach to quality control measures and standardized audit procedures. It applies to all aspects of the mail preparation process, from the generation and barcoding of mail to the final sorting and containerizing that takes place just prior to presenting the mailing to the USPS.

MPTQM is based upon three internationally recognized quality methodologies -- ISO 9001:2000, the Malcolm Baldrige Performance Excellence criteria, and Total Quality Management. By merging the relevant principles of these programs into MPTQM, commercial mailers and the USPS have created a new mailing industry benchmark for customer service and product quality.

## **ISO 9001: 2000**

Management responsibility  
Quality system  
Document control  
Purchaser supplied product  
Product identification and traceability  
Process control  
Inspection and testing  
Inspecting, measuring, and testing equipment  
Inspection and test status  
Control of nonconforming product  
Corrective action  
Handling, storage, packaging and delivery  
Quality records  
Internal quality audits  
Training  
Process ownership

## **Malcolm Baldrige Criteria**

Leadership  
Information and analysis  
Strategic planning  
Human resource development and management  
Process management  
Business results  
Customer focus and satisfaction

## **Total Quality Management**

Continuous process improvement  
Worker empowerment  
Training and education  
Teambuilding

## Executive Summary

### 1.1 The MPTQM Approach

The standards for this program outline the quality processes required for participants in this program. They precisely describe the minimal set of activities that must be accomplished to establish and maintain an effective and repeatable mail preparation process. The requirements are designed to encourage mailers to prevent errors **before** they occur, rather than just fixing them after they happen.

The standards are designed to be installed in the various phases of the mail preparation process, where applicable to a given operation.

For example:

- Mail Piece Elements (Mail Piece Design)
- Data Preparation
- Collecting & Receiving
- Mail Production (Printing, Inserting, Sorting, Containerizing)
- Presenting mail to the USPS
- Maintenance and Calibration

Compliance with MPTQM Standards is evaluated during periodic External and Internal Quality Audits:

- External Quality Audits are audits performed by USPS-sponsored quality audit teams and provide an objective determination of how completely mailers are meeting the MPTQM program requirements.
- Internal Quality Audits are self-audits performed by company owners, managers, Quality Assurance personnel, and employee work teams that provide learning opportunities and help mailers identify where their mailing operations can improve.

Quality Audits are conducted using a standardized checklist included in this Guidebook. When a mailer has successfully passed an external Quality Audit, they receive certification as a Quality Mail Partner. Section 1.2 shows examples of how the Quality Audit works.

### 1.2 Quality Audit Examples

#### **ME7 Mailpiece Problems**

As part of your Preventive Action Procedure, describe how mailpiece design problems are communicated back to the mailpiece designer, client or agent.

**To promote continuous improvement and customer satisfaction.**

**Required document: Written Procedure (QM6)**

Guidelines:

- This standard is applicable, whether the mailpiece was produced at your facility or received from a client or agent.

Possible Points <b>3</b>	Actual Points <b>3</b>	Audit Evidence: <b>Passed.</b> Reviewed the Preventive Action procedure which included the process for communicating mailpiece design problems back to the customer contact. Interviewed Chad who explained the process. Reviewed customer file for Doe Industries, Smith Plumbing, and Jones Marketing who were contacted according to the procedure.
Initials <u>RSK</u>		

**Executive Summary**

<p><b>OM1 Management Commitment</b></p> <p>Senior management will publish a Quality Mailing Mission Statement for the mailing site. The mission statement must be reviewed at least once each year and updated if needed.</p> <p><b>To identify your company's commitment to a quality mailing program.</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ "Publish" includes, posting on a wall or bulletin board; printed in the quality manual: or available on-line.</li> <li>◦ Mission statement for mailing operation dated within one year, or a discussion of the mission statement included in senior management meeting minutes within one year, is acceptable evidence.</li> </ul>		
Possible Points <b>3</b>	Actual Points <b>1.5</b>	Audit Evidence: <b>Minor Non-conformance.</b> Reviewed Quality Mailing Mission Statement posted in lobby. It was signed by the plant manager in August 2004. Although the Statement exists and was posted, there is no evidence that it has been reviewed within the last year.
Initials <u>RSK</u>		

<p><b>OM1 Management Commitment</b></p> <p>Senior management will publish a Quality Mailing Mission Statement for the mailing site. The mission statement must be reviewed at least once each year and updated if needed.</p> <p><b>To identify your company's commitment to a quality mailing program.</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ "Publish" includes, posting on a wall or bulletin board; printed in the quality manual: or available on-line.</li> <li>◦ Mission statement for mailing operation dated within one year, or a discussion of the mission statement included in senior management meeting minutes within one year, is acceptable evidence.</li> </ul>		
Possible Points <b>3</b>	Actual Points <b>0</b>	Audit Evidence: <b>Major Non-conformance.</b> Mission Statement was general and posted in lobby. It was signed by the plant manager in August 2004. Although a mission statement exists and was posted, there is no evidence that it has been reviewed within the last year and it did not relate to mailing.
Initials <u>RSK</u>		

**Executive Summary**

<p><b>MC1 Preventive Maintenance</b></p> <p>As part of your Preventive Action Procedure, establish a Preventive Maintenance (PM) schedule for each piece of equipment used in the production of mail:</p> <ol style="list-style-type: none"> <li>1) A current listing of all equipment used to produce mail including banding machines, tabbing, stapling, bursting, etc. must be maintained.</li> <li>2) The PM must meet or exceed the manufacturer’s recommendations for daily, weekly, monthly, semi-annually, and annually.</li> <li>3) All maintenance must be performed by qualified technicians.</li> <li>4) If PM is completed by manufacturer’s contracted employees, ensure that the contract is current.</li> </ol> <p><b>To prevent unnecessary downtime and delay in mail preparation.</b></p> <p><b>Required document: Written Procedure (QM6)</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ Logs or checklists may be used as evidence that preventive maintenance was completed.</li> <li>◦ If you use the <i>PostalOne!</i>® transportation assignment unit, it must be included in your PM schedule.</li> </ul>		
Possible Points <b>3</b>	Actual Points <b>3</b>	<p>Audit Evidence: <b>Concern.</b> Reviewed Maintenance Logs. All maintenance done annually and meets manufacturers recommendations. However, mailer’s procedures state all maintenance will be done semi-annually. Current listing of all equipment is maintained and maintenance is performed by qualified technicians. Mailer is meeting manufacturer’s recommendations, but not following mailer’s procedures.</p>
Initials <u>RSK</u>		

In the examples above, there is an example of a pass, nonconformance and concern.

**1.3 Implementing MPTQM**

This guidebook contains materials to help you develop and implement an MPTQM program. It includes:

- MPTQM Program Standards
- Detailed implementation guidance
- Quality Audit checklists
- Exhibits, sample forms and worksheets

**1.4 Mailer Benefits**

In addition to improving quality, there are many other advantages to adopting MPTQM in your mail preparation process:

- Offers certification into a program focused on quality mail preparation
- Provides access to industry standards that promote more efficient handling of the mail
- Allows more consistent service
- Provides review cycles and training that supports continuous improvement and standardized processes
- Maximizes organization’s resources

## **Executive Summary**

Certification adds even greater benefits - companies can reduce mailing costs, and decrease the number of mailpieces that are returned as undeliverable.

### **1.5 Registration**

A registration form is provided in Exhibit 6.1 of Section 6. Mail or fax it to the USPS MPTQM Program Manager shown on the form. You can use the MPTQM program internally to improve your mail process, or participate in the USPS certification program. If you are planning to complete the entire certification program, follow the process flowchart outlined in Section 3 Exhibit.3.3-2.

## Executive Summary

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## 2 MPTQM Program Overview

### 2.1 History of the MPTQM program

The Mail Preparation Total Quality Management (MPTQM) program started in 1996 for the presort bureau industry. The first presort bureau was certified in 1997. By the time the second version of the MPTQM program was released in June 1999, a total of 12 presort bureaus had been certified and over 190 companies had shown interest in the program. It became apparent that the MPTQM program needed to be expanded to include other types of mail preparers.

In May of 2001, the first List Mailers' version was released. By the end of December, four list mailers had been certified. As of May 2007 there were 17 List Mailers and 37 Presort Bureaus certified as MPTQM mailers.

Since its inception, the program has been reviewed annually and updated based on the mailing industry input and results of MPTQM audits.

MPTQM Version 7.3 simplifies, clarifies, and streamlines the previous version A 3.1 List Mailer and version 6.1 Presort Bureau standards into a single, streamlined set of 66 standards, making this version applicable to the entire mailing industry. The MPTQM program remains based on three internationally recognized quality methodologies:

- International Organization for Standardization (ISO) 9001:2000
- The Malcolm Baldrige Performance Excellence Criteria
- Total Quality Management

### 2.2 Scope of the Audit

The MPTQM program applies to letter-size mailpieces, flat-size mailpieces, and parcel-size mailpieces. Although there is one set of standards applicable to any type of mailing environment, mailers with multiple operations (i.e., presort bureau, letter shop, or parcel consolidation) may choose which operations they want to certify under the MPTQM program. Mailers will be certified as Presort Bureaus, List Mailers or Consolidators. Regardless of the type of certification, any hand sort operation must be incorporated into your quality process.

### 2.3 Quality Manual

A Quality Manual is required to document the processes used in your MPTQM program. You may choose to document all your processes in the form of written procedures. However, you must have the following six documented procedures in your Quality Manual:

- How you control documents – Document Control. (QM1)

A document is any form, letter, procedure, instruction, or any other piece of paper or electronic image used in your operation. A document may be updated or changed as needed.

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A documented procedure is a written description of the method(s) your company uses to fulfill the requirements of the standard. The document control procedure needs to state who controls the document, how the documents are identified, how they are updated, and how obsolete forms are controlled.

- How you control records – Record Control. (QM2)

A record is a form, document, or storage medium where information is recorded. Once data has been entered on a document, either manually or electronically, it becomes a record. A record must be controlled to prevent alteration. If records are stored electronically, you must explain how the records will be secured. **For example:** A log is completed by quality assurance to indicate that verification activities were completed; once the information has been entered on the log it becomes a record.

- How you plan, conduct and document your audits – Audit Plan and Procedure. (QM3)

Prior to certification, your company must complete a minimum of 3 internal audits and successfully pass the last one. After certification, your company must plan and conduct audits quarterly. Internal audits submitted for certification or re-certification must contain copies of records from the last audit as evidence processes were in place to meet the standards.

- How you control nonconforming product – Nonconforming Products. (QM4)

A nonconforming product is any product or service that does not meet specifications. Any mailing that does not pass verification is considered a nonconforming product. **For example:** A mailing claiming the automation letter rate that does not pass the tap test verification is considered a nonconforming product,

- How you identify, analyze and fix problems – Corrective Action. (QM5)

A corrective action is the systematic investigation of discrepancies and implementation of solutions in an attempt to prevent their recurrence of an identified problem.

- How you identify, analyze and implement preventive action – Preventive Action. (QM6)

A preventive action is a proactive process to identify opportunities for improvement rather than a simple reaction to problems or complaints.

Each Quality Manual standard must have a written procedure. All standards referenced in the Quality Manual (QM) standards must have their processes and procedures documented in the written procedure for the associated QM standard. For example:

<b>CR4 Nonconforming Product</b>		
As part of your Nonconforming Product Procedure, describe the process used to isolate nonconforming products <u>received</u> and the steps used to ensure future products have increased quality checks performed. Describe how suppliers are added or removed from the increased quality procedures.		
<b>To prevent nonconforming products from being used or mailed.</b>		
Required document: Written Procedure (QM4)		
Guidelines:		
◦ "Product" includes mail.		
Possible Points <b>3</b>	Actual Points	Audit Evidence:
Initials _____		

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This standard (CR4) references the written procedure in the Quality Manual, QM4. The written procedure in the Quality Manual, QM4, must include the written procedure for CR4 (Nonconforming Products found in Collecting and Receiving).

All standards must be addressed with some type of documentation. Some standards require specific types of documentation. When a specific document is identified in the standard, that type of document must be used to support the MPTQM program. There may be additional (unspecified) documentation needed to meet the standard. For MPTQM standards that do not identify a specific type of document, you may reference:

- Written procedures
- Work instructions
- Flowcharts
- Checklists
- Training records
- Logs
- Other types of documents

Each document or procedure must be marked to identify the applicable standard or standards and definitely support the purpose of the standard. You must be able to identify where in the documented procedure the applicable standard is met.

**NOTE:** In very rare instances, there may be a document that cannot be marked to identify the applicable standard. If this occurs, a listing of all standards and associated documents by name and title may be acceptable if approved in advance.

## 2.4 Elements of Certification

### 2.4.1 **Currently Certified MPTQM Mailers**

Mailers who are currently certified under MPTQM versions **6.1, A 3.1 or 7.2** will need to modify their MPTQM procedures to be certified under the new program. All applications submitted after October 1, 2007 must comply with version 7.3. All audits after January 1, 2008 will be conducted under version 7.3. A cross walk is provided in this guide (Sections 6.7 - 6.9) to assist versions A 3.1 and 6.1 to convert versions 7.2/7.3.

**NOTE:** The crosswalks do not provide a one-to-one correspondence of standards and mailers are responsible to ensure all elements of each MPTQM standard are included in their processes.

Once certified, the mailer's quality program must be auditable at all times

### 2.4.2 **Audits**

Version 7.3 will use a score sheet which "weights" each standard from one to seven points. Points are assigned to specific elements within the standard. Points will be credited for the elements within the standard that are met. Therefore, partial credit may be received for a standard when some of the elements are met.

#### 2.4.2.1 **Certification Audits**

New participants are subject to an on-site certification audit of all applicable standards. This audit will be scheduled and conducted (within six to eight weeks) following a review of the mailer's accuracy rating (as defined in Section 8) and a desk audit of their quality manual. New participants must meet 98% accuracy for a period of 90 days and pass the desk audit before a certification audit will be scheduled.

If the certification audit scores below 95%, the new participant must perform at least three self - audits, submit a new application package and begin the process again. If the mailer requests the

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certification audit earlier than six months from the date of the initial audit, the mailer must pay 75% of the audit costs.

### 2.4.2.2 Re-certification Audits

Previously certified mailers will be subject to an on-site re-certification audit conducted every three years to determine mailer compliance with the current MPTQM standards to maintain their certification status. As with the initial audit, the mailer will be required to provide an updated copy of their MPTQM program and maintain an acceptable accuracy rating. During the audit, all applicable standards will be reviewed.

If the re-certification audit scores below 95%, the mailer will not be re-certified. However, for scores between 90-95%, the mailer will be placed on probation and allowed no more than 60 days to address the nonconformances, perform a self-audit, and submit the self-audit to the lead auditor with evidence that nonconformances have been corrected. The USPS will confirm the supporting evidence during an on-site visit and determine if re-certification is justified.

For audits scoring less than 90%, a new certification audit will be necessary following the steps outlined in 2.4.2.1. The mailer will be removed from the MPTQM-Certified mailers list. If the mailer requests the certification audit earlier than six months from the date of the initial audit, the mailer must pay 75% of the audit costs.

### 2.4.2.3 Surveillance Audits

Certified mailers will be subject to on-site surveillance audits conducted annually or more frequently if necessary. These audits will verify that prior nonconformance(s) and/or any concerns noted in previous audits have been addressed. In addition, several MPTQM standards will be selected at random. Additional nonconformances and/or concerns may be identified during this audit and if the results during a surveillance audit show a major decline in the quality of their program, the mailer may be subject to a full audit, placed on probation or may be decertified.

## 2.4.3 Audit Findings

Audit findings can be categorized as the following:

### Nonconformance

A nonconformance is identified when audit evidence indicates a standard or element (part) of a standard has not been met or there is evidence that the outcome (product) of the quality program has been affected. There are two types of nonconformances: major and minor.

- Major Nonconformance

All of the elements of a standard are not met or a previous finding has not been corrected. A major nonconformance results in the loss of all points for the standard.

- Minor Nonconformance

One or more of the elements have not been met or the outcome (product) of the quality program has been affected. Points are deducted based on audit elements.

### Concern

A concern is identified when a mailer's process or procedure has not met the purpose of a standard and this has not been identified in any previous audits. A concern is also identified when the process/procedure being followed meets the intent of the standard; however, the performance does not meet the procedure in place. A concern may become a nonconformance if not addressed before a subsequent audit.

### Opportunity for Improvement

An opportunity for improvement may be identified when the auditor thinks there may be a better way to meet the standard. The audit team may identify various ways to save resources, or further improve quality without much effort.

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### Best Practice

This is process or practice done extremely well that deserves recognition and has not been seen in any MPTQM audits.

### 2.4.4 Accuracy Rating

Verification results will be examined to determine the mailer's accuracy rating prior to an initial certification audit and continually monitored to ensure compliance with the processes outlined below. Mailer's are responsible for monitoring their accuracy rating and implementing corrective and preventive action to ensure their accuracy rating is maintained at the prescribed levels.

The mailer's Accuracy Rating is determined by dividing the number of passing verifications by the total number of verifications performed. For example, if 100 MERLIN verifications are performed and all but one passes, the accuracy rating is 99% (99 divided by 100 = 0.99 or 99%). An accuracy rating is determined for each of the following verification procedures, where applicable, during a 90-day period or postal quarter:

MERLIN (Mailing Evaluation, Readability and Lookup INstrument)

- Manual (Initial and In-Depth)
- Manifest mailings
- MPCV (Mail Piece Count Verifications)

**EXCEPTION:** If less than 100 verifications are conducted, there may be no more than two failures per type of verification.

**NOTE:** Postal Quarters are three month periods beginning in October, January, April and July.

### Scheduling An Initial Certification Audit

Prior to scheduling an initial certification audit, a mailer must have demonstrated a 98% accuracy rating for each type of applicable verification during the most recent 90-day period. If a mailer's accuracy rating for the prior 90 days is below 98%:

The mailer must improve their accuracy rating to 98% for a 90-day period. This must be accomplished within 180 days.

- If achieved, the certification process outlined in Section 3 will continue.
- If not achieved, the application package will be returned to the mailer. Prior to resubmitting the application, the mailer must:
  - \* Perform an additional three self-audits.
  - \* Attain an acceptable accuracy rating for a 90-day period.

### Maintaining Certification

Following certification, a mailer must maintain a 98% accuracy rating. If a mailer's accuracy rating falls below 98% for a Postal quarter, the mailer may be placed on probation.

### Probation of MPTQM Certification

When a mailer is placed on probation, reduced frequency and rolling average privileges are suspended.

### The mailer who has been placed on probation:

- Is required to monitor accuracy rating and take corrective and preventive action to raise their accuracy rating to acceptable levels
- Has a total of 180 days to achieve an acceptable accuracy rating
- Is responsible for notifying the local Business Mailer Support Analyst when they have met the 98% accuracy rating level for a 90-day period during the probation period
  - \* The request must be in writing (email or fax is acceptable)

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- \* The request must include the verification information for the 90-day period
- May appeal the probation to the MPTQM Program Manager presenting any evidence to show why they should not be placed on probation.

If a mailer improves their accuracy rating to 98% during the 180-day probation period, all MPTQM privileges will be re-instated. If a mailer fails to attain the 98% accuracy rating, they will be de-certified. Following de-certification, mailers must request reinstatement and/or reapply for MPTQM certification as stated below.

### MPTQM De-certification

If the mailer has been de-certified from the MPTQM Program, the mailer may:

- Appeal the de-certification
  - \* The mailer may appeal to the MPTQM Program Manager presenting any evidence to show why they should not have been de-certified.
- Request Reinstatement (If de-certified for less than one year)
  - \* Maintain acceptable accuracy rating for 90 days
  - \* Submit sections QM4, QM5 and QM6 of the quality manual with all supporting documentation addressing what corrective and preventive actions were taken to ensure there were not verification failures or nonconforming products.
  - \* Pay 75% of audit costs if less than six months from last audit.
- Reapply for MPTQM (if de-certified over one year)
  - \* Maintain acceptable accuracy rating for 90 days
  - \* Submit new application containing all supporting documentation

## 2.5 MPTQM Standards

### 2.5.1 MPTQM Documentation

Your Quality Manual must identify how your company meets the MPTQM standards and may consist of procedures, forms, work instructions, flowcharts, logbooks, checklists, or other documents used by your company that demonstrate compliance. Your quality manual must include the written procedures required by the specific Quality Manual (QM) standards, the written procedures for the associated QM standards, and all the supporting documentation to meet all the other MPTQM standards.

There are a few MPTQM standards that require specific types of documentation, such as a written procedure. When specific documents are required, they are listed in the standard. Standards requiring specific documents may need additional documents to meet the standard and you must determine what those documents will be. For all standards not specifying documents, you must decide how to demonstrate compliance to each MPTQM standard and each standard must be documented.

All documents used in your quality program must be marked to identify to which MPTQM standard(s) they apply. These documents may be forms, checklists, work instructions, logbooks, or any other document used by your company. Indicate if any standards are not applicable (N/A) when you do not perform the process at your facility.

**NOTE:** In very rare instances, there may be a document that cannot be marked to identify the applicable standard. If this occurs, a listing of all standards and associated documents may be acceptable if approved in advance.

Your records must be maintained to support the quality processes in your MPTQM environment. All records are required to be maintained for a minimum of one year, unless otherwise stated (QM2).

## **MPTQM Program Overview**

### **2.5.2 Quality Manual Standards**

The Quality Manual must identify all the procedures used by your company to meet the MPTQM standards. All documents used in your quality program must be marked to identify to which MPTQM standard(s) they are used to demonstrate compliance. These documents may be forms, checklists, work instructions, log books, and any other document used by your company. There are six standards in this section of the MPTQM program. These standards include document and record control, audit planning, how you handle nonconforming products, and corrective and preventive actions.

### **2.5.3 Organization Management Standards**

The senior management representative at each MPTQM mailing site has the responsibility to ensure the success of implementing and maintaining the MPTQM program. These standards include oversight of all phases of the program and ensuring the necessary resources are available to accomplish the quality plan and quality mission, meetings and contingency plans. Maintaining communication with internal management and local USPS supports continuous improvement and is an important part of the MPTQM program. There are seven standards in this section of the MPTQM program.

### **2.5.4 Human Resources and Training Standards**

Human Resources generally determines job descriptions and training for employees. This section deals with job description, training, employee development and recognition. Job descriptions identify training requirements needed to perform job duties. Training ensures employees have the knowledge and skills to perform their jobs. Employees need to remain aware of the quality program. Training further encourages knowledge of the quality program and employee development. The employee recognition program provides incentives for employees to ensure quality. There are four standards in this section.

### **2.5.5 Program Management Standards**

This section deals with process flow and how jobs are controlled within the company, ensures that agreements with the USPS are maintained, mailings meet *Domestic Mail Manual* (DMM) and *International Mail Manual* (IMM) requirements, ensures suppliers are evaluated and USPS equipment is controlled. There are six standards in this section.

### **2.5.6 Customer Satisfaction Standards**

By maintaining customer focus and working with customers to increase the quality of their mailing, MPTQM Certified companies can meet or exceed customer expectations. This section has three standards to attain these goals.

### **2.5.7 Maintenance and Calibration Standards**

Machine setup and preventive maintenance, software installation, and scale calibration are critical to ensure proper mail preparation and postage payment. There are three standards in this section to attain these goals.

### **2.5.8 Mailpiece Elements Standards**

Designing mailpieces that meet DMM/IMM specifications ensures that mail will be processed efficiently through the USPS. The Mailpiece Quality Control (MQC) Program certification ensures that an employee is trained to understand DMM/IMM specifications and can assist with mailpiece design. Designing mailpieces properly and ensuring authorizations and permits are current prevents mail acceptance delays. There are eight standards in this section.

### **2.5.9 Data Preparation Standards**

Data preparation using certified software and data transfer between customer facilities and/or *PostalOne!*® is critical to ensure all DMM/IMM changes are incorporated, proper postage is paid and mailings can be accepted. There are eight standards in this section.

## **MPTQM Program Overview**

### **2.5.10 Collecting and Receiving Standards**

Mail or mailpiece components collected from other companies and mail/mailpiece components received at your company must have quality checks performed to ensure that nonconforming products are isolated and corrective action is taken. Quality assurance must be in place for cleared and staged mailings. There are six standards in this section.

### **2.5.11 Mail Production Standards**

Mail production covers the process from setup to sortation and containerization. This section has 12 standards to ensure proper mail preparation.

### **2.5.12 Presentation Standards**

Documentation is presented and mailings are staged for acceptance. This section has three standards.

# 3 MPTQM Certification Process

After receiving a completed registration form, the activities for MPTQM certification begin. This section details the process and expected timeline to achieve certification.

## 3.1 Activities for MPTQM Certification

This section lists in chronological order all activities that occur in support of the mailer's efforts to become MPTQM certified. It should be reviewed in conjunction with the MPTQM CERTIFICATION PROCESS found in Exhibit 3.4-1.

### 3.1.1 Pre-Review Activities for Initial Certification

1. Mailer registers for certification by downloading the registration form from the MPTQM website at [www.usps.com/mptqm/](http://www.usps.com/mptqm/). After completing the form, mail or fax it to 202-268-8271:  
MPTQM Program Manager  
475 L'Enfant Plaza SW 2P846  
Washington, DC 20260-0846
2. Mailer downloads the MPTQM Guidebook from the MPTQM website at [www.usps.com/mptqm/](http://www.usps.com/mptqm/).
3. Mailer creates and implements their procedures to satisfy the MPTQM standards and completes at least three self-audits and must pass at least the final self audit.
4. Mailer maintains acceptable accuracy rating as defined in Section 8. The MPTQM Program Manager will follow the policy outlined in Section 2.4.4.
5. Mailer requests external quality audit through the MPTQM Program Manager after completing at least three self-audits at a minimum of 30-day intervals. The mailer must pass the final audit with no less than 95%.
6. Along with the request, the mailer must submit a completed Exhibit 6-10, Application Checklist, that includes the following:
  - \* The last three self-audit checklists including audit summary as defined in Section 8.
  - \* One completed copy of each type of record reviewed during last self audit
  - \* Two hardcopies of their MPTQM program documentation (quality manual, documents and forms) and two electronic copy to show how the MPTQM program is structured.

**NOTE:** The mailer's full program must be in place for at least 90 days before the documentation is submitted.
7. The local Business Mailer Support Analyst is notified of the mailer's intent.
8. The Manager, Business Mail Entry (MBME) or designee is notified of the mailer's intent. The verification records for the last 90 days are requested to determine the mailer's accuracy rating.

## **MPTQM Certification Process**

The MBME is instructed to start a quality folder on the mailer and complete a pre-audit checklist.

9. If accuracy rating is acceptable, a desk audit is performed on the application package. If accuracy rating is unacceptable, the process in Section 2.4.4 will be followed.
10. The desk audit evaluates the MPTQM application package to ensure the quality program has effectively documented there are processes in place to meet the purpose of all applicable MPTQM Standards. The desk audit looks for evidence that these processes have been implemented and are in use based on records supplied.
11. Based on the results of the desk audit, the next step is determined. The mailer is notified whether they have met the requirements for the program and appear ready for an audit. Guidance is provided on what may be needed before the on-site review is set up.
12. The lead auditor will coordinate the review date (within six to eight weeks after completion of desk audit) and logistics with the mailer, local BMS analyst and MBME.
13. The lead auditor will develop a plan for the audit.

### **3.1.2 Pre-Review Activities for Re-Certification under 7.2/7.3**

1. Mailer maintains acceptable accuracy rating as defined in Section 8. The Program Manager will follow the policy outlined in Section 2.4.4.
2. Prior to major conversion to a new standards (i.e. version 7.2/7.3)
  - \* The mailer must complete a self audit under the new standards to which they are converting and score no less than 95%.
  - \* The mailer must submit:
    - The last self-audit checklist including audit summary
    - One completed copy of each type of record reviewed during last self-audit
    - One hardcopy of their MPTQM program documentation (quality manual, documents and forms) and one electronic copy to show how the MPTQM program is structured.
3. The verification records for the last 90 days are requested from the local BMSA to determine the mailer's accuracy rating.
4. The desk audit evaluates the MPTQM re-certification package to ensure the quality program has effectively documented there are processes in place to meet the purpose of all applicable MPTQM Standards. The desk audit looks for evidence that these processes have been implemented and are in use based on records supplied.
5. Based on the results of the desk audit, the "Go/No Go" is determined. The mailer is notified whether they have met the requirements for the program and appear ready for an audit. Guidance is provided on what may be needed before the on-site review is set up.
6. The lead auditor will coordinate the review date (within six to eight weeks after completion of desk audit) and logistics with the mailer, local BMS analyst and MBME.
  - The lead auditor will develop a plan for the audit.

### **3.1.3 Pre-Review Activities for Re-Certification**

1. Mailer maintains acceptable accuracy rating as defined in Section 8. The Program Manager will follow the policy outlined in Section 2.4.4.
2. The mailer will be contacted 12 weeks prior to the certification expiration date to schedule the re-certification audit. The re-certification audit will be conducted in the month prior to certification expiration.
3. No less than four weeks prior to the audit, the mailer must submit an electronic copy of the most current version of their MPTQM documentation.

## MPTQM Certification Process

4. Four weeks prior to the audit date, the lead auditor will request the verification records for the last 90 days from the local BMSA.
5. The lead auditor will coordinate the logistics with the mailer, local BMS analyst and MBME.
6. The lead auditor will develop a plan for the audit.

### 3.1.4 Primary Team Roles

- Lead Auditor – Coordinates the quality audit before the audit date, manages the audit acting as the interface between the mailer and the team members, and reports results to the MPTQM Program Manager. Lead auditors must have been certified as ASQ CQA.
- Business Mailer Support Analyst (BMSA) – BMSA performs mailing system audits. More than one BMSA may assist a lead auditor. The local BMSA provides mailing system expertise to the quality audit team. The analyst also interprets postal mailing standards for the team and performs the annual mailing system reviews as part of the MPTQM review. In addition, the local BMSA will conduct surveillance audits during years when full MPTQM audits are not conducted.
- Manager, Business Mail Entry (MBME) – The local district MBME or their designee brings local mailing and acceptance practices to the quality audit team, providing insight into local agreements and acceptance times. The MBME coordinates a complete verification of the mail with the local acceptance clerk on the day of the audit.
- Certified Quality Auditor (CQA) – An individual who has been recognized by the American Society for Quality (ASQ) as a Certified Quality Auditor. At least one audit team member will be an active ASQ CQA.

### 3.1.5 Review Day Activities

1. The audit team conducts an opening meeting to explain the audit process and what the mailer can expect to happen through out the process. After the opening meeting a tour of the plant is taken to familiarize the team with the operation.
2. The team conducts a quality audit of the MPTQM mailing system:
  - \* Reviewing
    - The processes and documentation in place to support the MPTQM standards
    - Mailing System agreements
    - Local agreements
    - Live mailing production processes
  - \* Conducting
    - A Product Audit for MPTQM standards QM4, PM4, ME4, DP4, MP8, and PR3
    - A review of the accuracy rating for the previous 90 days

**NOTE:** Total points for QM4, PM4, ME3, and DP4, MP8 and PR3 include points for the product audit. PR3 also includes points for the accuracy rating.
3. Any loss of points will result in a nonconformance. Corrective Action Requests (CARs) will be required for any nonconformance identified during the audit.
4. During the audit, the team may identify “best practices” that might be shared with other mailers as a help to their programs. These best practices will only be shared with the mailer’s permission. The USPS considers **all** information obtained during the audit as proprietary to the mailer and will not share with anyone without the mailer’s permission.
5. At the end of the quality audit, an exit conference facilitated by the lead auditor is held to discuss the results and any follow-up activities with the mailer. There will be a score sheet for the MPTQM audit, and mailers must have a score of 95% or more for certification.

## MPTQM Certification Process

### 3.1.6 Post Review Activities

1. The lead auditor notifies the program manager of the audit results by the next business day.
2. The lead auditor completes the final audit report within 10 business days and forwards it to the mailer, program manager and team members.
3. For audits scoring 95% or more, the program manager sends the certification plaque and certificate (initial certification) to the district office for presentation. Each district determines the place and manner of presentation.
4. For audits scoring less than 95%, the program manager will determine if the mailer will be placed on probation or whether mailer will be decertified. In the case of initial certification failure, the program manager will determine the next steps.
5. The program manager updates the MPTQM mailer database.
6. Any Corrective Action Request (CAR) required to be addressed by the mailer will be closed by the local BMSA.

### 3.2 Mailer's MPTQM Implementation Checklist

TASK	ESTIMATED TIME	STATUS
Register & Receive Guidebook	1 week	
Review Guidebook	1 week	
Designate a Lead Implementer	1 day	
Assign Functional Unit Roles	1 day	
Flowchart All Production Processes	2 weeks	
Identify Non-Applicable Standards	1 day	
Conduct Gap Analysis	3 weeks	
Create a Multi-Functional Unit Plan	1 week	
Update Policies/Procedures	3 months <sup>1</sup>	
Create Record Keeping System	3 months <sup>1</sup>	
Train Personnel	1 month	
Conduct 3 or More Self-Audits	3 months <sup>2</sup>	
Make Program Modifications	3 months <sup>2</sup>	
Prepare Materials for USPS Review	1 week	
Submit Materials to USPS	1 day	
Monitor Quality System Before USPS Review	5 weeks	
USPS Audit Day	1 day	
Maintain Accuracy Rating	Ongoing	
Maintain Certification	Ongoing	

<sup>1</sup> These two items executed concurrently

<sup>2</sup> These two items executed concurrently

## **MPTQM Certification Process**

### **Exhibit 3.2-1**

**NOTE:** Implementation of the MPTQM program is estimated to take between 9 -12 months.

### 3.3 Sample Itinerary

This itinerary gives an idea of what to expect and plan for on the day of an audit. The time of the audit will depend on the time that mail is being produced and when finished mail will be available. At the end of the day, the mailer will know the results of the audit. The official report will be sent to the mailer within 10 business days.

	<b>Participant</b>	<b>Daytime mailing operation</b>	<b>Afternoon/ Evening mailing operation</b>
Audit Preparation (Arrive at Company)	Audit team <sup>1</sup>	8:00 AM <sup>2</sup>	1:00 PM
Opening Meeting and Tour of Facility	Audit team & mailer	8:30 AM	1:30 PM
Audit	Audit team	9:00 AM	2:00 PM
Break 1-Review, Debriefing and Working Lunch	Audit team	1:00 PM	6:00 PM
Audit	Audit team	2:00 PM	7:00 PM
Break 2-Final Review and Debriefing	Audit team	5:30 PM	10:30 PM
Closing Meeting	Audit team & mailer	6:00 PM	11:00 PM

**Example 3.3-1**

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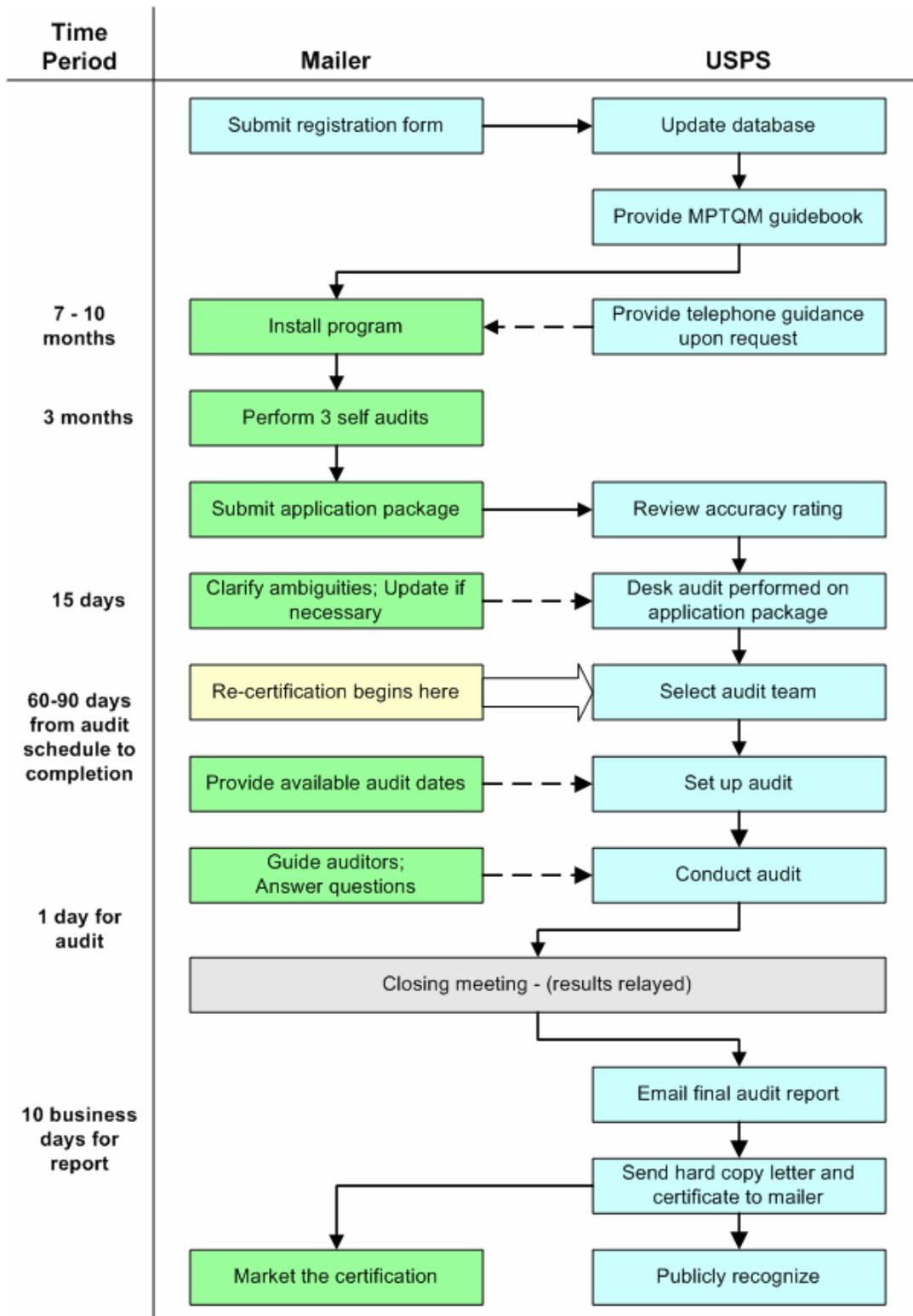
<sup>1</sup> Audit teams for full audits may consist of 3 to 4 team members. Audit team members for surveillance audits may consist of 2 team members.

<sup>2</sup> Times vary depending on the size of the mailing operation; schedules are customized for each MPTQM mailing site and are based on past history with the mailer.

**MPTQM Certification Process**

**Exhibit 3.3-2**

**MPTQM Certification Process**



# 4 Implementation

In this section of the guidebook, a series of guidelines and recommendations are provided to help you create an effective MPTQM program. The comments are entered from the perspective of a quality assurance technician (see exhibit 6.2); playing the role of a mailer trying to start a program of his own.

**NOTE:** Where you see **Example** in bold, the text following is from the perspective of a quality assurance technician (defined in Exhibit 6-2) who is developing a quality system for his company.

These guidelines do not describe the only way to create a quality program. In fact, there is no single most effective way to integrate quality into a company's operations. Using elements from ISO 9001:2000, the Malcolm Baldrige Performance Excellence criteria and Total Quality Management principles, MPTQM was designed specifically to help large and small mailing organizations increase process quality.

Use the information provided in this section as a starting point. Use it to enhance the quality assurance procedures already in place in your company and then "fill-in" the gaps you identify.

## 4.1 Implementation Overview

Regardless of the size or type of your mailing operation, there are some necessary activities in creating a MPTQM program. In some cases, your company already will have accomplished several of these. If not, don't be too concerned. The information contained in this section of the guidebook will help you modify your existing quality assurance system or create a new one from scratch.

The MPTQM program touches every aspect of the mail preparation process. If you take a planned approach to implementing MPTQM, your chances of success are much greater.

The chart below illustrates what should, as a minimum, be considered as you create an implementation plan:

## Implementation

### MPTQM Implementation

This chart describes the Creating an Implementation Plan, Communicating the Plan, Executing the Plan, and Administering the Program.

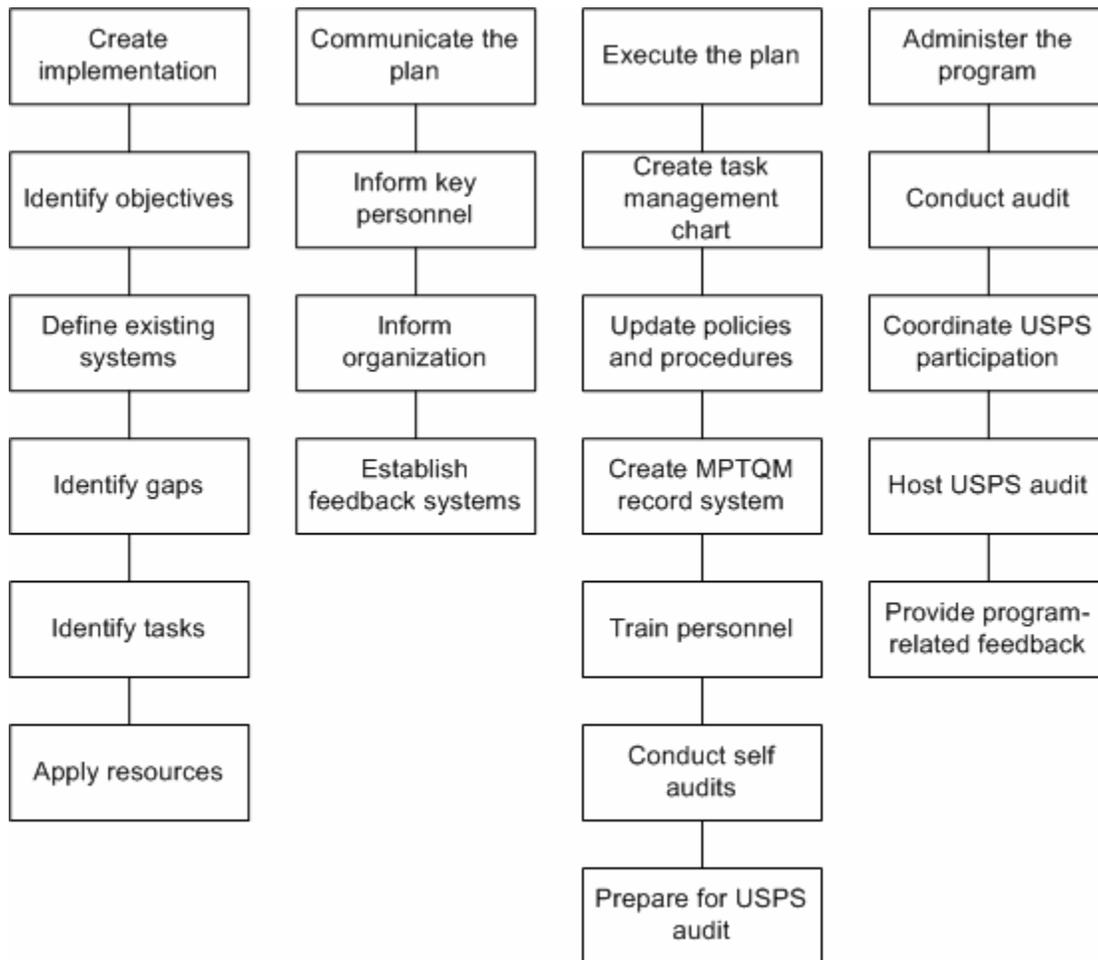


Exhibit 4.1-1

## 4.2 Create Implementation Plan

Participation in the MPTQM program should complement your existing business plans and objectives.

By creating an implementation plan, you improve the chances of ensuring that MPTQM implementation considers the current operating environment and focuses your attention on applying resources where they are needed the most.

To create an effective plan, you should involve all members of the organization through the use of teams. A team is made up of members from one or more functional areas. Each team works on a specific part of the process to see what must be done to comply with the MPTQM standards.

### Example:

The quality assurance technician knew that using teams was one of the most important things his company could do to ensure that MPTQM would work. His first action was to have each area provide a volunteer to become part of the MPTQM Team.

The quality assurance technician provided training on how to lead a team. Then the quality assurance technician determined which members would fill the roles of leader, facilitator,

## Implementation

timekeeper, and scribe. The team met two times a week for 90 minutes while they created an implementation plan.

### 4.2.1 Identify Objectives

While the overarching objective of the MPTQM program is to increase mail preparation quality, you should also identify specific objectives that align with your company's vision and goals. Specific objectives for the program will vary for each mailer.

Defining your objectives helps you achieve your goals!

Some of the factors to consider include:

- Selling customers with your quality programs
- Reducing administrative costs
- Participating in special mailing programs
- Analyzing staffing levels, trends and shift work considerations
- Maximizing computer and software system capabilities
- Improving internal communications systems and language considerations
- Developing training programs and tracking progress
- Managing fluctuating mail volumes
- Improving customer relations
- Enhancing existing quality management programs
- Working toward business growth and stability
- Creating a stronger partnership with local USPS personnel

Objective statements must be written using simple words that every member of the company can understand

Objectives should:

- Be realistic to attain.
- Be meaningful to workers and managers,
- Drive desired business outcomes.
- Be actively used to measure the success of MTPQM program implementation and administration.

#### Example:

After several meetings, the MPTQM Team and the quality assurance technician came up with objectives that addressed the major parts of the mail preparation process. A sample of one appears below:

- \* Objective:  
Handle volume fluctuations without decreasing quality
- \* Current Situation:  
Mail volume is heaviest 3 p.m. to 7 p.m. daily and on Mondays and Fridays weekly
- \* Implications:  
Mail quality is at great risk during peak periods
- \* Conclusion:  
Quality checks should be increased during these periods

## Implementation

- \* MPTQM activities that do not directly protect mail preparation quality should be minimized.
- \* Potential Improvements:
  - Schedule no training or administrative meetings or functions during peak periods
  - Ensure quality technicians are on the production floor during peak periods
  - Equipment calibrations and machine preventive maintenance should immediately precede peak periods

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### Create an objective that applies to your operation.

What is your objective: \_\_\_\_\_

What is the current situation: \_\_\_\_\_

What are the implications: \_\_\_\_\_

What is the conclusion: \_\_\_\_\_

List potential improvements: \_\_\_\_\_

#### Exhibit 4.2.1-1

### 4.2.2 Define Existing System

Your company may be starting “ahead of the game” because of previous quality assurance initiatives. If this is the case, you can save time and avoid redundancy by clearly defining your existing quality assurance system. This system definition will allow you to identify the gaps between your existing QC Program and MPTQM. Then you can focus on creating only those parts of the MPTQM program that don’t already exist within your operation.

A variety of methods can be used to define an existing system, including:

- Internal audit
- Sequential work flow diagramming
- Third-party reviews
- “As Is” modeling

#### Example:

The quality assurance technician elected to conduct an internal audit of the MPTQM sub-processes. He knew he’d get better data by developing work flow diagrams, but he didn’t have the personnel or financial resources needed to apply those tools right away. Instead, he scheduled a meeting with his floor supervisors and established a team for each MPTQM sub-process. Each team identified the quality assurance measures already in place. The next step was to identify the gaps between what he already had and what the MPTQM program defines.

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Identify the quality assurance measures already in place for each sub-process.

Sub-Process	Quality Assurance Measure in Place

#### Exhibit 4.2.2-1

## Implementation

### 4.2.3 Identify Gaps

Gap analysis is a technique growing in popularity with progressive companies seeking to improve their business practices. It consists of analyzing existing systems within your company and comparing them to desired systems.

Gaps are the difference between what currently exists and what is desired.



#### Exhibit 4.2.3-1

Your existing system should be your current mail preparation process. Your desired system is a mail preparation process that meets or exceeds the standards of the MPTQM program.

An MPTQM program gap analysis can be conducted in a number of ways. The final result, however, will be a comprehensive listing of differences between what exists today and what should exist after MPTQM is implemented. Some of the options for performing a gap analysis include:

- Use internal management/line personnel working group meetings
- Assign the Quality Assurance technician to identify gaps
- Hire an independent auditor to document the “As Is” and “To Be” processes

When accomplishing gap analysis, it’s important to ensure that the conclusions are complete and fact-based. Unless properly conducted, work teams don’t produce open and honest communication, especially when performance shortfalls are identified.

Methods that encourage free and total expression include:

- Collecting data anonymously
- Conducting team building exercises prior to group meetings
- Holding meetings in off-site locations to avoid distractions
- Assigning roles, such as scribe and timekeeper during meetings
- Using an expert facilitator during initial meetings

**NOTE:** A **facilitator** should not get involved in the activities of the team, but should help the team overcome obstacles or difficulties when they are not progressing. The **timekeeper** will help the team accomplish goals by staying on time. The **scribe** records the information and ideas that come from the meetings and can be used in the workplace.

#### Example:

The quality assurance technician decided to use internal management/employee work teams to accomplish the gap analysis. He instructed the three shift supervisors to select two members from each shift to represent the employees on the work teams. The shift supervisor and quality assurance technician completed each team. At the same time, a short survey was provided to each employee at a company meeting during which the MPTQM program was described. This allowed every member of the organization an opportunity to provide input to the new program.

The three teams all met together two different times. The first time, all three teams received an overview of the MPTQM program from the quality assurance technician and viewed the training videos provided by the USPS.

At the second meeting (conducted prior to the shift at a nearby office conference room), the members spent two hours comparing the company’s existing mail preparation and management

## Implementation

processes with the MPTQM program. One member, acting as the scribe of the group, documented all the gaps identified by the group.

Results from each of the teams were collected and consolidated by the quality assurance technician. The quality assurance technician and the other managers reviewed the results. They quickly learned that their quality program had much room for improvement. When he spoke to his shift managers about the gap analysis, the quality assurance technician specifically cited one area that needed a lot of help - documented procedures.

Group meetings help to ensure that every worker understands and accepts the program.

While operational procedures were available for all personnel to review, what the company had in place still fell short of the MPTQM program standards. The quality assurance technician stated "We need to make sure our procedures are posted in plain view of our operators and reviewed and updated at least once a quarter. We also need to have check sheets our operators can use to make sure they follow the procedures. We've got some work to do!"

Perform a simple gap analysis by choosing a sub-process and a relevant MPTQM standard and comparing it to your company's existing quality assurance activities.

SUBPROCESS:

MPTQM Standard	Existing Standard	Gap

Exhibit 4.2.3-2

### 4.2.4 Identify Tasks

Identifying specific tasks required to implement the MPTQM program is the first step in moving toward a higher level of mail preparation quality. It consists of not only defining an action that needs to take place, but also projecting a time frame for accomplishing it and defining a distinct indicator of completion.

Tasks required for implementation of MPTQM start with the translation of the gap into an action needed to remove the gap. An example of a gap is:

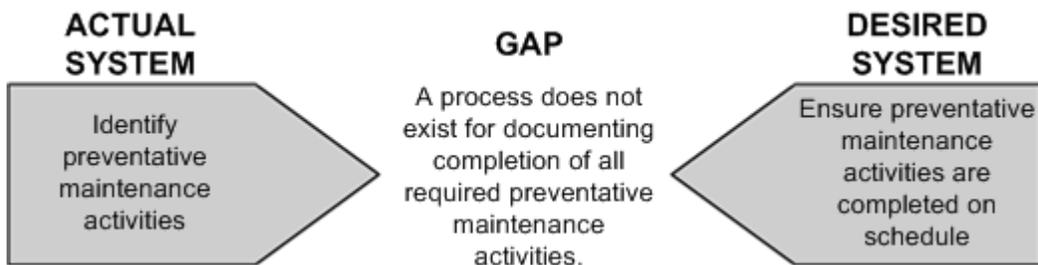


Exhibit 4.2.4-1

Actions needed to remove the gap:

- Formalize preventive maintenance procedures
- Document all preventive maintenance procedures
- Develop preventive maintenance checklists
- Develop filing system for preventive maintenance checklists
- Create supply of preventive maintenance checklists

## Implementation

- Train maintainers on use of checklists
- Check maintenance checklists daily for completion

Identification of tasks can be accomplished in a variety of ways:

Objective	Description of Tasks
Internal management and line personnel working group meetings	Joint local USPS and mailer working group meetings (for standards requiring USPS interface)
	Management analyst or consultant

### Exhibit 4.2.4-2

#### Example:

The quality assurance technician convened the same management/employee work teams to identify tasks that would help the company get rid of the gaps. First, however, the quality assurance technician and senior management looked at all the gaps and assigned each one to a work team.

The work teams met for two hours in the same off-site conference rooms. They followed a strict timeline with the assistance of the timekeeper, forcing them to spend no more than ten minutes identifying tasks for each gap.

For each task identified, the group also provided the following recommendations:

- \* Estimated date of completion
- \* Person(s) primarily responsible for accomplishing the task
- \* Materials required to accomplish the task
- \* Explanation of how the task aids implementation of MPTQM and/or increases mail processing quality



Take time now to practice identifying tasks that will reduce or eliminate the gap. Select one gap you know already exists in your operation then have a “brainstorming” session in which one or more people suggest any possible way to close the gap. After all of the ideas are collected, rate them highest to lowest and then reduce the list of ideas to ones that have the greatest potential for success.

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## Implementation

### 4.2.5 Apply Resources

Applying resources to tasks is a sensitive issue. In the mailing industry, as with any business, resources committed to quality assurance often are borrowed from line operations. Hundreds of business case studies from many industries, however, show that these quality investment costs pay off.

The first resource already assigned to MPTQM implementation will be the person responsible for the overall effort. This individual either should be part of or have direct access to senior management for issues regarding the program. Other resources to consider are office furniture, computer equipment, office supplies, travel budget, and office/storage space.

Decisions regarding resources assigned to accomplish each task must be a cooperative effort between the leader of the implementation effort and senior management. The recommendations made by the management/employee work teams should, however, receive heavy consideration. They also serve as a means for leadership to demonstrate commitment by adopting work team suggestions.

Establishing a timeline will help identify everything that needs to be done to implement a plan in the sequence necessary to ensure success. It also is a basis for scheduling when to have the resources available for accomplishing tasks.

#### Example:

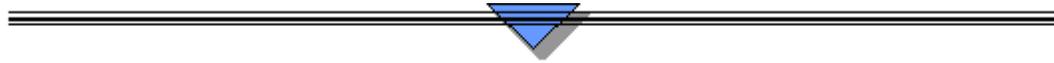
The quality assurance technician reviewed the task recommendations he received from the work teams with the senior management team. Together, they considered the overall state of the business and made the appropriate resource allocations. They realized that, due to resource limitations, the required resources could not all be applied to each task at the same time.

However, they were able to develop a schedule that staggered several of the tasks and still projected completion prior to their first scheduled USPS Audit. This timeline was displayed on a five-foot banner and placed on the production floor so everyone could prioritize and plan their activities.

Task	1st Month	2nd Month	3rd Month	4th Month	5th Month	6th Month
Provide MPTQM orientation training			X			
Initiate regular meetings with local USPS managers		X				
Accomplish first internal audit						X

At this point, the planning document was completed. The company now needed to communicate the plan to the rest of the staff.

## Implementation



Establish timeline targets that will help you accomplish your plan.

Task	1st Month	2nd Month	3rd Month	4th Month	5th Month	6th Month

Exhibit 4.2.5-1

### 4.3 Communicate the Plan

Careful planning makes a considerable contribution to the success of any project. A common source of project failure and frustration is when the plan is not adequately communicated to the responsible individuals for making the plan work. This includes passing information to key staff personnel as well as every worker in the organization. This communication process also includes creating an opportunity to receive feedback.

#### 4.3.1 Inform Key Personnel

Key personnel should learn about the details of the plan first. These are the managers and workers with primary responsibility for completing tasks outlined in the plan. This gives them time to prepare for questions that workers will ask and to figure out how the task will impact their day-to-day responsibilities.

**Example:**

The quality assurance technician wrote a personal letter to the key people, thanking each for accepting a role in such an important project. His senior managers then worked with each key person to make sure they understood the tasks they were assigned to lead.

#### 4.3.2 Inform the Organization

Everyone involved in the preparation of mail is involved in the MPTQM program. Therefore, they all should have an opportunity to learn not only about the program, but how it will be implemented and what the impact will mean to them.

Successful communication to the workforce varies widely due to size, work schedules, and demographics. A number of options exist and more than one method should be used:

<input type="checkbox"/> Company newsletters	<input type="checkbox"/> Personal letters
<input type="checkbox"/> Workplace postings	<input type="checkbox"/> "All hands" meetings
<input type="checkbox"/> Video tapes	<input type="checkbox"/> Electronic Mail

**Example:**

The quality assurance technician recognized the value of ensuring that the entire workforce understood what the MPTQM program meant to the future of the business. He asked members of the management/worker teams to recommend the most effective ways to communicate to the workforce.

## Implementation

The team members said it would help if a memorable event was associated with the announcement of MPTQM implementation. So the quality assurance technician went “all out.” His administrative assistant prepared a personal invitation to each employee to a “special event” that would take place in two weeks. The mystery captured the attention of the workforce immediately. On “the big day” the production facility was decorated and refreshments were served. The quality assurance technician asked for the group’s attention. He then unveiled the new company mascot that would be used as a symbol to recognize team and individual efforts of outstanding quality. He then gave each member of the organization a pen engraved with the new mascot and the name of their company’s MPTQM program.

### 4.3.3 Establish Feedback Systems

A necessary component of all quality systems is a built-in feedback process. The MPTQM program calls for this feedback throughout the mail preparation process. It’s also important, however, to collect, analyze and use feedback during program implementation.

Managers and supervisors need information and feedback from various points in a process to assess how well MPTQM Standards are being met and to identify potential process improvements.

Methods for collecting feedback include:

- Employee suggestion boxes
- Employee surveys
- Management and employee interviews

#### **Example:**

The quality assurance technician planned to make it a habit to roam around the plant and ask questions specific to the MPTQM implementation. At first, workers were hesitant to talk candidly with “the boss.” After they realized that the quality assurance technician really needed their honest observations and insights, they began to open up and provide some valuable input.

## 4.4 Execute the Plan

Implementation planning and communication are important, but are only the first steps toward the critical element of MPTQM implementation – Executing the Plan.

Execution does not just consist of accomplishing tasks. It involves managing the execution of the tasks. If some sort of management structure is not in place, the tasks likely will not occur as planned or they will produce results that don’t work in harmony with other parts of the MPTQM program.

### 4.4.1 Create Task Management Charts

A “Task Management Chart” is a general term used to describe any of a number of project management tools and methods that can be used to track task accomplishment. The following are some examples.

## Implementation

**GANTT Chart:** Diagrams that show the tasks, the individuals responsible, and the time line necessary to complete a project.

TASK	MONTH 1	MONTH 2	MONTH 3	MONTH 4	ASSIGNED TO:
Create task management chart	Day 15				Smith
Update policies and procedures			Day 20		Jones
Create MPTQM record system		Day 10			Martin
Train personnel				Day 30	Williams

**Exhibit 4.4.1-1**

**PERT Chart:** Program Evaluation and Review Technique charts are used by teams to develop action plans or activity schedules to show the time relationship between tasks.

Month 1	Month 2	Month 3	Month 4
<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">                     Establish point of contact in each division                      5<sup>th</sup>, B   Meyer                 </div> <div style="border: 1px solid black; padding: 5px;">                     Identify documentation that needs review                      20<sup>th</sup>, B   Lake                 </div>	<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">                     Identify computers and put into work stations                      10<sup>th</sup>, A   South                 </div> <div style="border: 1px solid black; padding: 5px;">                     Assign review and write changes                      30<sup>th</sup>, A, B   Foster                 </div>	<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">                     Team reviews changes and approves documents                      10<sup>th</sup>, A   Clark                 </div>	<div style="border: 1px solid black; padding: 5px;">                     Publish changes and distribute                      1<sup>st</sup>, A, C   Thomas                 </div>

**Exhibit 4.4.1-2**

- Activity A      Delay will cause a delay in the entire project
- Activity B      Requires temporary augmentation
- Activity C      Requires completion by external sources

The charts are used to track task accomplishment. When updated regularly and reviewed by managers, they help ensure tasks are completed and integrated as designed. Managers can use the chart information to make decisions about resource allocation, personnel actions and scheduling of upcoming activities.

## Implementation

### Example:

The quality assurance technician knew he wanted to use software to make his project and performance tracking easier. At the same time, he didn't want to spend a lot of money on expensive project management systems. With a little bit of study, he realized that the spreadsheet and graphic programs on his PC would do the trick. Reassigning an aggressive employee to work on spreadsheet development, a user-friendly document was created in just two weeks.

The quality assurance technician decided to provide a half-day of training on the basic functions of the software to his lead MPTQM QA technician. This would be enough to allow the manager to input new tasks, update existing tasks and produce a variety of reports senior management and supervisors could use. At first, the charts would be very simple and include only the task name and the anticipated completion date. In time, however, he'd have a powerful tool for effectively managing his growing business and thriving MPTQM program.

### 4.4.2 Update Policies & Procedures

Without exception, implementation of the MPTQM program will require modification to your policies and operational/maintenance procedures. Policy and procedure development should include input from the personnel who will be impacted. In many cases, production employees don't understand the larger impact their respective activities have on overall organizational performance. They do, however, understand their respective jobs and what will help them do those jobs better. Policies and procedures should be created with the employee in mind. The employee requirements analysis may be as simple as asking employees what they need with respect to the procedures they use.

**TIP:** When creating policies and procedures keep the following in mind:

- Policy and procedures documents must be easy to read
- Display format and location must make them convenient to access
- Use of words and pictures - use simple language and pictures
- Use of check sheets - employees must document accomplishment of key activities
- Identify a method for holding employees accountable for performance

When developing the policy and procedure format, employees must have an input. This may be another opportunity to use manager/employee work teams to develop procedures or refine existing ones.

A number of key areas need solid procedures:

- Training System – A system (established process) must be in place and always followed in order to ensure all employees are trained, when they need it, and that the efficiency of the operation does not suffer. Planning is critical in the training system.
- Operational Performance – Each operation must have established measures of success. These should be data driven as much as possible. In relation to your operational and quality goals, determine what you can measure, how you can measure it and how it gets reported.
- Corrective Actions – A disciplined procedure must be documented and followed for identifying and fixing problems.
- Others – To be defined based on your internal operations.

### Example:

The quality assurance technician admitted that procedures were one of his company's weakest areas. His operational procedures were out of date and

## Implementation

maintenance procedures didn't even exist. Training had gaps that needed to be closed. Since documented procedures are such a big part of the MPTQM program, he had to assign several resources to the effort.

Again, he called on manager/employee work teams to help. In addition, he contracted a technical writer who was an expert at operational procedure writing and formatting. He accounted for the expense of the contractor by considering how much quicker the procedures would be developed and the higher degree of usability that would be produced. The contract included delivery of a diskette containing all the procedures so updates could be easily made in-house.

### 4.4.3 Create an MPTQM Record System

To some degree, compliance with quality standards and criteria can be determined by observation. In most cases, though, supervisors, managers and internal/external auditors must rely on documentation to determine historical compliance.

**Remember: A document that has been filled out becomes a record.**

This heavy reliance on documentation makes establishment of an effective MPTQM record system very important.

Many of the MPTQM standards make specific reference to the documentation you're required to maintain. Others, however, allow the flexibility to create a documentation trail that fits the specific needs of the company. The standards section of your program guidebook provides guidance for the types of records and logbooks that will satisfy the needs of your quality program.

#### **Example:**

The quality assurance technician recognized that he had no way to prove that critical operational procedures or preventive maintenance activities were performed correctly or completely around the clock.

Rather than designing checklists and worksheets from scratch, the quality assurance technician decided to modify the digitized samples provided by the USPS through the MPTQM program. These included machine maintenance checklists, training documentation worksheets, audit checklists, daily quality assurance procedures and many others. The worksheets provided spaces for employees to initial and write in the time and date when a task was accomplished.

On a daily basis, assign a quality assurance technician to track accomplishment of key activities in a simple computer spreadsheet program. Then, when a problem is identified, it is easy to search the computer system to see what was done when the problem happened before and to determine if there is an ongoing problem. This system also allows the quality assurance technician to compare performance records between the work shifts, introducing a healthy competition between them.

The investment in the record keeping system paid off handsomely when the USPS came for the first audit. With all the records maintained in a central location and highly automated, the review team was able to accomplish the review quickly and easily -- and recognized those employees who made particularly significant contributions to the company MPTQM program.

### 4.4.4 Train Personnel

By communicating facts about the MPTQM program, all personnel can become aware of its value. In order to contribute effectively, however, managers and employees need to gain understanding through training.

The kind and amount of personnel training required to fully implement the MPTQM program will vary widely depending on the size and type of mailing operation your company conducts.

Certain key elements of a successful training program should include:

- Completion of USPS provided training

## Implementation

- Employee involvement in conducting training
- On-the-job training
- Development of position - specific certification plans
- Monthly refresher training for all personnel

### **Example:**

The quality assurance technician gave the responsibility for training workers to the teams created for procedure development. Each team was responsible for developing a training strategy for their respective shift. Then, he and the managers would review each training strategy, take the best ideas from each one and fold those back into the overall plan for each shift. The quality assurance technician kept the following in mind:

- Assign managers most familiar with MPTQM to work on the plant floor and demonstrate how to use new procedures and checklists
- Create a one-page “training tip of the day” sheet workers must read each day
- Dedicate one break per shift to a training topic presented by the shift supervisor
- Discuss a training subject during daily shift changeover briefings
- Create two-person operator teams responsible for checking each other’s performance

### **Example:**

The quality assurance technician wanted to make the message loud and clear -- Quality was a top priority and needed to be something everyone thought about every day. He’d instruct shift supervisors to spend five minutes discussing one standard prior to each shift. The quality assurance technician created a MPTQM “question of the day” that shift supervisors could discuss with each member of the shift individually.

### **4.4.5 Conduct Self-Audits**

The MPTQM program, just like ISO 9001:2000 and the Malcolm Baldrige National Quality Award criteria, requires a company to accomplish internal performance audits; the MPTQM program refers to these as self-audits.

The concept of self-audits is an inherent part of continuous process improvement. It provides managers valuable information regarding production effectiveness and efficiency.

Conducting self-audits is also the best way to prepare for USPS audits. Self-audits should be conducted by full-time staff members, although a consultant may provide useful assistance for the first few. They should be tailored to meet the unique needs of your company, but include all of the standards prescribed by the MPTQM program. Finally, self-audit results should be maintained as part of the MPTQM record system and provided for all employees to review.

Early in the development of the MPTQM program, self-audits should be accomplished frequently; perhaps bi-weekly. This not only familiarizes personnel with the concept, but provides training opportunities for in-house reviewers. Additionally, the audit teams should use the checklists provided in the MPTQM guidebook prior to the first USPS audit.

### **Example:**

The quality assurance technician decided to assign one primary self-audit leader per shift. Each shift self-audit leader was given the title “Lead Assessor” required to conduct monthly meetings with the shift reviewers to discuss audit results and issues. Finally, the quality assurance technician required that the results of self-audits be presented to senior management quarterly and compared between shifts. He was hoping that the shifts would start competing to be the “best” in the company. When a team achieved this status, he would host a “pizza feed” for the highest rated shift.

## Implementation

### 4.4.6 Prepare for USPS Audit

As stated in previous sections, the best way to prepare for a USPS audit is by conducting self-audits. The USPS will use the same checklists contained in this guidebook. There will be no surprises.

Your full MPTQM program needs to be in operation for three months prior to the date of the review. You then will have a solid, documented record of MPTQM in action at your plant. Remember, the team needs to review documentation (checklists, etc.) to verify that your program is working.

Prior to receiving an external audit, you must submit your MPTQM program which includes your MPTQM quality manual, documentation, and self-audits. Ensure your

self-audits are annotated to show how you meet each MPTQM standard. If further documentation is needed to understand how you meet the standards, it also should be submitted. Your material will be reviewed and you will be called if additional information is required before the team makes the arrangements to visit your operation.

The date and time of the external audit must be arranged with the USPS MPTQM Program Manager. An external audit routinely lasts only one business day. Before the audit team leaves your facility, you will know the results of the review. You will have an opportunity to discuss the findings and perhaps clarify any misperceptions, prior to the results becoming "final".

#### **Example:**

The quality assurance technician knew his employees needed to understand the external audit process and their required participation in the audit. He visited each production area and explained to the employees: the types of questions that would be asked, the records that would be requested, and the interviewing and observation process that would be used by the external auditors.

The quality assurance technician knew he needed to finish preparing for the external audit. He submitted his MPTQM program that included detailed documentation, copies of all forms used in the program and the last 3 self-audits. He reviewed everything to make sure the package was complete. He ensured that the last self-audit scored more than 95% and included copies of records reviewed to support the compliance with each of the standards. Because he developed a detailed implementation plan, he knew he was ready for the audit.

## 4.5 Administer the Program

The number one potential source of MPTQM program failure is poor administration. If a day-to-day commitment to continuous improvement and applying the MPTQM standards doesn't exist, the program will not succeed. This commitment manifests itself when senior leaders clearly define the vision and focus of the organization and provide the resources necessary to implement a quality program.

The senior leaders of the company bear overall responsibility for creating an environment that fosters continuous improvement. They must actively participate in existing and emerging quality programs and hold people accountable for the results of MPTQM program-related activities.

In addition to active senior management, program administration also includes:

- Conducting internal audit meetings
- Coordinating USPS participation
- Hosting external quality audits
- Acting upon MPTQM program feedback

## Implementation

### 4.5.1 Set-up and Conduct Review Meetings

Internal staff review meetings provide managers and employees an opportunity to continually assess and improve mail preparation quality. The format of these internal meetings will vary according to shift schedules and workforce size. The frequency, content and attendees of these meetings also will vary depending upon your needs.

Initially, however, these meetings should occur at least weekly to discuss the progress of MPTQM program implementation. They should include the owner/general manager, MPTQM manager, on-duty quality assurance technician and operations supervisors.

#### **Example:**

The quality assurance technician incorporated MPTQM and quality topics into his existing schedule of daily operational status report meetings. Then he was prepared to discuss MPTQM-related issues on a daily basis. On a monthly basis, the quality assurance technician was required to provide a detailed report which included:

- \* Self audit results
- \* Comparative shift performance levels
- \* Detailed MPTQM implementation status
- \* On-going continuous improvement initiatives

### 4.5.2 Coordinate USPS Participation

The MPTQM program specifies that company personnel meet periodically with local USPS Business Mail Entry and Operations personnel. This standard is based not only on Malcolm Baldrige and ISO 9001:2000 standards, but also on industry studies that proved such meetings, if conducted effectively, will result in improved relations with the USPS and increased mail quality. There are several steps you can take to ensure the success of these meetings:

1. Prepare the meeting environment. Have the necessary equipment in place before the meeting begins such as chairs, equipment (projector, screen, flipchart, whiteboard), supplies (paper, pencils, markers, information sheets or packages).
2. Develop the agenda. Determine the objective of the meeting, list the agenda topics, prioritize the agenda topics and assign the amount of time to be spent on each topic. Reviewing the agenda topics for any necessary changes should be the first thing done before meetings begin since the work environment is always changing.
3. Assign meeting roles. Select the leader, timekeeper, scribe, and facilitator. The leader will guide the group through the various agenda items. The timekeeper monitors the time spent on each topic as set by the agenda and gives regular updates. The scribe records the group ideas, decisions and recommendations. The facilitator helps maintain an environment free of obstacles or difficulties. Assigning the roles can also be done after the meeting starts.
4. Conclude the meeting. Go over loose ends to make sure everyone understands the meeting outcome by reviewing ideas, decisions, and recommendations.

During the meetings, the USPS and your personnel should candidly discuss any issue relating to the MPTQM program or any other issue related to mail preparation and the USPS-Mailer industry relationship. Agenda items will vary according to local requirements. As a minimum however, they should include the items shown in the example below. Meetings conducted via telephone should be documented similarly, and any email correspondence maintained.

## Implementation

AGENDA				
OBJECTIVE				
<b>Leader:</b>	_____	<b>Timekeeper:</b>	_____	
<b>Scribe:</b>	_____	<b>Facilitator:</b>	_____	
	TOPIC	PRIORITY	TIME	START
1.	Set roles, agenda items, priorities, time	1	2	10:00
2.	Review recent USPS mail verification results	1	5	10:02
3.	Feedback on mail quality from USPS Operations manager	1	5	10:07
4.	Changes to USPS mailing equipment and containerizing requirement	2	5	10:12
5.	Review of Multiple Acceptance Times effectiveness	1	5	10:17
6.	Changes to company mail preparation capabilities	1	5	10:22
7.	Review arrangements for accepting mail in emergency situations (power outages, etc.)	2	5	10:27
8.	Joint USPS/company continuous improvement projects	1	15	10:32
9.	Specify other topics based on local requirements	1 or 2	13	10:47
10.	Wrap-up (Review loose ends, ideas, decisions and recommendations)	2	2	11:00

**Exhibit 4.5.2-1**

\*These topics can be decided prior to the meeting or when completing the first item. The meeting can include as many topic items as required but should be kept to a reasonable amount of time. Another meeting can always be scheduled to address additional topics.

The quality assurance technician had never conducted a formal meeting with the local USPS management prior to implementation of MPTQM. He decided to call the local Business Mail Entry Manager and second shift operations supervisor to arrange a meeting.

Uncertain about what the USPS would like to discuss at the meeting, the quality assurance technician created an agenda based on the recommendations in the MPTQM guidebook. The USPS agreed to meet on a quarterly basis and more frequently, if needed. The quality assurance technician volunteered to prepare the minutes of the meeting, which included specific tasks for both he and the USPS managers. He also recommended either his company or the USPS publish minutes.

### 4.5.3 Host USPS Audits

Hosting USPS personnel who conduct audits is another critical element of ongoing MPTQM program administration.

Accomplishing self-audits provide opportunities to improve performance.

External reviews provide an objective, third party audit of program compliance. They routinely last one business day and are conducted by a small team (three to four) of USPS employees. After the initial audit, similar audits will be conducted periodically to re-validate the results.

**Example:**

## Implementation

The quality assurance technician recognized that hosting external audits represented the “moment of truth” for his mail preparation operation. He wanted to make sure the USPS representatives had full cooperation.

To facilitate external audits, he knew he'd have to plan as far in advance as possible. During the audit, the lead quality assurance technician accompanies the team. In advance, he would make sure all the documents and materials necessary to illustrate the company's satisfaction of the standards and criteria were readily available. He'd also be sure that he planned and conducted a self-audit less than two weeks prior to the USPS visit.

**IMPORTANT: Follow-up activities after an audit are critical. Findings during the audit will be discussed at the closing meeting. Any concerns or nonconformances will be identified. Nonconformances will require a completed Corrective Action Request (CAR).**

### 4.5.4 Provide Program Related Feedback

Employees need not only participate in MPTQM implementation, they also should be included in the ongoing administration of the program. This gives them a greater feeling of involvement in the processes that impact them, while relieving your managers of some of the responsibility for the program. One easy way to keep workers involved is through a proactive feedback program.

The feedback program does not need to be overly elaborate. In some cases, monthly “all hands” meetings to discuss the MPTQM program and recognize significant quality-related achievements may be adequate. In larger, shift-work oriented operations, a more formalized newsletter or cascade meeting approach may be more appropriate. Experience has shown that employee involvement improves interest, morale and loyalty to the company.

The overarching objective is to maintain open and active lines of communication between managers and employees. This communication may be electronic, by phone, or in-person.

#### **Example:**

The quality assurance technician recognized that worker participation in the program would be a great advantage to the company. Not only would he get operational information from the source, but he would increase worker self-esteem by proving their input was important.

He placed boxes throughout the plant to collect suggestions. He knew that many of the submissions would be unrealistic requests or negative criticism. He also knew, however, that this would be an easy way to illustrate an interest in feedback and collect some good ideas. It would have an especially large impact when he was able to announce the first worker suggestion that was implemented in the operation!

He also planned to keep the manager/worker teams intact after program implementation. He'd encourage these teams to meet monthly to discuss issues affecting the organization. He also committed to attending one of the meetings each quarter to get the suggestions first-hand.

## 4.6 Summary

Implementing a Mail Preparation Total Quality Management program is not an easy task. It requires commitment and hard work, but the dividends pay off handsomely for companies that remain persistent.

Preventing errors before they occur is the foremost objective of the MPTQM program. Designed by a joint mailing industry/USPS team, the program is designed to help you attain ever-increasing levels of production efficiency and effectiveness.

## 5 Standards Checklist

The MPTQM Standards are contained in this section. Each standard has an alpha-numeric identifier and a short title of the MPTQM standard. The italicized statement below the standard describes the intent of the standard. The standards contain guidelines to assist mailers in understanding the meaning of the standard and what evidence will be required to prove the standard is met. There is a space for total possible points and actual points earned for the standard. There is a space for audit evidence and auditor initials.

Audit evidence must be recorded and should include who was interviewed, the document examined, or the process observed and the results of each. This objective audit evidence is used to determine if the standard is met and how many points are earned. When a product audit is included in the standard, that evidence needs to be included. The auditors' initials should be placed on the checklist.

Some MPTQM standards require specific types of documentation, such as a written procedure. When specific documents are required, they are listed in the standard. Standards requiring specific documents may also need additional documents to meet the standard and you must determine what those documents will be. For all standards not specifying documents, you must decide how to demonstrate compliance to each MPTQM standard and each standard must be documented.

As a reminder, your Quality Manual must include all the procedures used by your company to meet the MPTQM standards and all documents used in your quality program to demonstrate compliance. These documents may be forms, checklists, work instructions, logbooks, and any other document used by your company. All documents must be marked to identify to which standard they apply.

This checklist is used during internal and external audits, by company managers and quality specialists, as well as USPS representatives, to audit the MPTQM program. Audit results should be consistent since both the mailer and the USPS review the same standards. Audit evidence must include a statement of what was observed or reviewed with an explanation of the conditions found; or who was interviewed and what was said.

Your Quality Manual includes the written procedures required by the Quality Manual (QM) standards and must also contain all the supporting documentation to meet the MPTQM standards. Regardless of the type of certification (List Mailer, Presort Bureau, or Consolidator), your Quality Manual must address letters, flats, and parcels based on your operations. Your manual must declare organizational policies and the organization-wide objectives describing how you will meet the MPTQM standards.

### 5.1 Quality Manual

The written procedures for the six standards in this section should describe in detail your company's policies and dedication to the MPTQM program. These written procedures should be your company's guide to handling all quality issues. Related standards associated with QM standards (all of these standards begin with "As part of your ...Procedure" and are identified within the QM standards) require a written procedure. Include within the written QM procedure, the entire written procedure to address the related standard.

**Standards Checklist**

You may alternatively refer to a separate written procedure that describes in more detail the specific procedure for the associated standard. If you choose to create separate written procedures to address the associated standard(s), these separate written procedures become part of your Quality Manual and you must identify them within the applicable QM standard. For example, QM4, Nonconforming Products Procedure, must address standards CR4 and PR3 within the written procedure for QM4 or reference these associated standards within QM4 and document the written procedure separately. If you choose to document these procedures separately, they become part of your quality manual.

**QM1 Document Control**

You must establish a written "Document Control Procedure" that identifies:

- 1) How your documents are created, used, modified, and controlled.
  - Documents must be identified with version and/or revision numbers.
  - Documents must be marked to identify the standards to which they apply.
  - Outdated documents must be collected and controlled.
  - Documents must be recorded on a master document listing with current versions/revisions.
- 2) The person(s) in your company who maintains the master document listing and who is authorized to change or modify documents.

**To ensure only the most recent forms, documents, logs, checklists, and procedures are used.**

**Document Required: Written Procedure**

Guidelines:

Version and/or revision identification can be an alpha and/or numeric identification or a version/revision date.

In very rare instances, there may be a document that cannot be marked to identify the applicable standard. If this occurs, a listing of all standards and associated documents by name and title may be acceptable if approved in advance.

A document is any form, letter, procedure, instruction, or any other piece of paper or electronic image used in your operation that identifies or is used to show compliance with a standard included in your Quality Manual. A document may be modified as needed.

A master document listing can be one central listing, or a listing by department. If the listing is kept by department, a list of all departments needs to be available.

Possible Points <b>7</b>	Actual Points	Audit Evidence:
Initials  _____		

**Standards Checklist**

<p><b>QM2 Record Control</b></p> <p>You must establish a written “Record Control Procedure” that identifies how records are collected, stored, and retrieved. The procedure must state the record retention period for each type of record. All records that support your MPTQM program must be available on-site on the day of a full audit, or provided within 24 hours for a surveillance audit. All records used to support your MPTQM program must be maintained for a minimum of one year unless otherwise required by MPTQM standard(s).</p> <p><b>To maintain the integrity of records and prevent alteration.</b></p> <p><b>Document required: Written Procedure</b></p> <p>Guidelines:</p> <p>A record is any document that is used to record evidence of compliance. Once a document is written on, it becomes a record and cannot be modified.</p> <p>Records may be retained in hardcopy or non-alterable electronic format.</p>		
Possible Points <b>6</b>	Actual Points	Audit Evidence:
Initials _____		

<p><b>QM3 Audit Plan and Procedures</b></p> <p>You must establish a written “Audit Plan and Procedures” that: Results of external audits must be maintained until the next full external audit and show that all nonconformances and/or concerns have been addressed and resolved.</p> <p>1) Identifies how and when internal audits are to be conducted;</p> <ul style="list-style-type: none"> <li>• Ensures internal audits are scheduled at least once every four months and the schedule is published annually in advance;</li> <li>• Ensures at least three full internal audits are conducted annually;</li> </ul> <p>2) Addresses how the auditor is to document the results of the audit. This must include how evidence is identified, gathered, and recorded to show compliance with a standard, how results of each audit are analyzed, and what constitutes a need for corrective or preventive action. Results of internal audits must be retained for one year.</p> <p><b>To ensure that everyone knows when audits are scheduled, how they are to be completed and analyzed. Results of audits are to be used to improve processes whenever possible.</b></p> <p><b>Document Required: Written Procedure</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ The schedule can specify dates, months, or range of time (e.g. January through March, April through June, July through September, October through December) when each audit will take place.</li> <li>◦ External audits cannot be counted as one of the three full internal audits.</li> <li>◦ “Publishing” the schedule means that the schedule must be available for all employees who are involved in the internal audit process to view in advance.</li> </ul>		
Possible Points <b>7</b>	Actual Points	Audit Evidence:

**Standards Checklist**

Initials _____	
-------------------	--

**QM4 Nonconforming Products**

You must establish a written “Nonconforming Products Procedure” that identifies:

- How any nonconforming product is identified, controlled, and resolved.
- Under what conditions a corrective action request is required. (Also see standard: PR3)
- Under what conditions a customer/supplier is contacted. (Also see standard: CR4)

To prevent nonconforming items from being used by your company or entered into the mail stream.

**Document Required: Written Procedure**

Guidelines:

“Identifying” is determining the product is not acceptable.

“Controlling” is isolating the nonconforming product to prevent it from being used.

“Resolving” is correcting, rejecting, or accepting the product with conditions.

Nonconforming products may include mail received from clients, mailpiece components received from suppliers, products used in your operations, and finished mail supplied to the USPS. Examples are: Mailpieces metered with old dates; damaged inserts received from a supplier; a mailing submitted to the USPS that subsequently fails verification.

Possible Points <b>6</b>	Actual Points	Audit Evidence:
Initials _____		

**Standards Checklist**

**QM5 Corrective Action**

You must establish a written "Corrective Action Procedure" that identifies:

- 1) What requires corrective action and how it is documented.
- 2) How your company assigns a severity level to each type of identified problem.
- 3) An internal formal problem solving process, which must include:
  - Identifying the severity of the problem and whether a formal Corrective Action Request (CAR) is to be issued;

**NOTE:** You must create a CAR for any USPS verification failure. An initial CAR must be submitted within 24 hours to your local Business Mailer Support Analyst (BMSA) with a copy provided to the local Manager, Business Mail Entry (MBME). The initial CAR must include section I, and the "target date of completion" and "assigned to" blocks in Section II. The completed CAR must be submitted to the BMSA with a copy provided to the MBME. Only the BMSA may close a CAR for a verification failure.

  - Assigning the problem to the appropriate department;
  - Immediate corrective action requirement;
  - Root Cause Analysis;
  - Checking results of corrective action for effectiveness;
  - Identifying who can close CARs.
- 4) How a CAR is created, who analyzes and prioritizes each request. The CAR must indicate what priority level was assigned.
- 5) How unresolved or recurring problems are escalated to the next severity level.

(Also see standards: CS1, PR3, CR5, DP6)

**To analyze each problem to determine the root cause and prevent the problem from occurring again. To be used for continuous improvement.**

**Document Required: Written Procedure**

Guidelines:

- Your company may determine how to assign a severity level to each type of problem by using company history and adjusting as other problems are identified.
- When severity levels are assigned, priority levels also need to be assigned.
- "Root Cause Analysis" involves finding the real cause of the problem and correcting it rather than simply addressing the symptoms.

Possible Points <b>7</b>	Actual Points	Audit Evidence:
Initials _____		

**Standards Checklist**

<b>QM6 Preventive Action</b>		
<p>You must establish a written "Preventive Action Procedure" that identifies how your company will ensure that any mailing produced meets all <i>Domestic Mail Manual (DMM)</i> and/or <i>International Mail Manual (IMM)</i> specifications and your quality program's goals/objectives. You must list all quality assurance (QA) procedures for each phase from mailpiece design through presentation to the USPS, how often the QA checks are conducted, who performs the checks, and how the results are documented. (Also see standards: CS3, MC1, ME1, ME3, ME4, ME7, MP2, MP4, CR3, DP3, DP7, PM2, PM5)</p> <p><b>To prevent and correct problems before they happen and to drive continuous improvement.</b></p> <p><b>Document Required: Written Procedure</b></p> <p>Guidelines:</p> <p>"Producing" a mailing includes all functions related to completing the final mailing submitted to the USPS such as printing and/or assembling mailpieces, presorting, and presenting.</p>		
Possible Points <b>6</b>	Actual Points	Audit Evidence:
Initials _____		

**5.2 Organization Management**

The senior management representative at each MPTQM mailing site has the responsibility to ensure the success of implementing and maintaining the MPTQM program. This includes oversight of all phases of the program and ensuring the necessary resources are made available to accomplish the quality plan and quality mission. Maintaining communication with internal management and local USPS personnel supports continuous improvement and is an important part of the MPTQM program. This section has seven standards

<b>OM1 Management Commitment</b>		
<p>Senior management will publish a Quality Mailing Mission Statement for the mailing site. The mission statement must be reviewed at least once each year and updated if needed.</p> <p><b>To identify your company's commitment to a quality mailing program.</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ "Publish" includes, but is not limited to, posting on a wall or bulletin board, printed in the quality manual, available on-line.</li> <li>◦ Mission statement for mailing operation dated within one year, or a discussion of the mission statement included in senior management meeting minutes within one year is acceptable evidence.</li> </ul>		
Possible Points <b>3</b>	Actual Points	Audit Evidence:
Initials _____		

**Standards Checklist**

<p><b>OM2 Quality Goals and Objectives</b></p> <p>Establish quality mailing goals and objectives that are measurable and tracked for the site. These must be reviewed annually by senior management and updated as needed.</p> <p><b>To establish obtainable goals that will drive your quality program to produce a top quality product.</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ Mailing goals may include passing USPS verifications, on-time delivery to the USPS, etc.</li> <li>◦ Mailing objectives may include MERLIN/MPCV results, barcode readability, productivity, critical entry times, etc.</li> <li>◦ Tracking can be accomplished using graphs, charts, etc.</li> <li>◦ Documented goals dated within one year, or a discussion of quality goals included in senior management meeting minutes within one year, is acceptable evidence of an annual review.</li> </ul>		
Possible Points <b>3</b>	Actual Points	Audit Evidence:
Initials _____		

<p><b>OM3 Communicating Quality Goals and Objectives</b></p> <p>Communicate within each mailing operation or production phase, the quality goals/objectives that contribute to the success in meeting the mailer’s overall quality mailing goals. Ensure each employee understands how their job contributes to the quality mailing goals and objectives.</p> <p><b>To establish a communication process that ensures employees fully understand how they contribute to the quality goals and the overall quality system.</b></p> <p>Guidelines:</p> <p>“Communicating” quality goals/objectives is informing employees within their operation. Examples of communicating include, but are not limited to, training sessions, employee service talks, postings in the operation, etc.</p>		
Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

**Standards Checklist**

<p><b>OM4 Organizational Chart</b></p> <p>Publish a current organizational chart that clearly defines the lines of communication, responsibility, and authority within the operation including the quality manager’s position. The chart must identify all positions and include the name and title of each management and MPTQM staff employee(s). It also must identify who is responsible for the MPTQM program and the replacement during times of illness, vacation, or vacancy.</p> <p><b>To provide a clear line of communication and establish who is responsible for the MPTQM program.</b></p> <p>Required document: Organizational Chart</p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ “Publish” includes, but is not limited to, posting on a wall or bulletin board, printed in the quality manual, available on-line.</li> <li>◦ “Who” is responsible for the MPTQM program could include Quality Assurance Manager, Quality Assurance Technician, Quality Inspector or specific job titles within each department.</li> </ul>		
Possible Points	Actual Points	Audit Evidence:
<b>2</b>		
Initials		
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<p><b>OM5 Management Meetings</b></p> <p>Conduct at regular intervals, no less than monthly, internal management meetings to review progress toward quality goals, status of the MPTQM program, and customer satisfaction. Other topics such as postal regulation changes or any other relevant company or industry information should be included when they have an impact on the company.</p> <p><b>To support management’s commitment to the quality program and continuous improvement.</b></p> <p>Guidelines:</p> <p>Meeting minutes and/or a meeting summary including MPTQM topics is acceptable evidence.</p>		
Possible Points	Actual Points	Audit Evidence:
<b>2</b>		
Initials		
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**Standards Checklist**

<p><b>OM6 Postal Meetings</b></p> <p>Document meetings and/or communication with local postal officials including plant operations to discuss any changes to mail volume, acceptance issues, delivery problems, DMM/IMM changes, and any action that impacts company or Postal Service operations.</p> <p><b>To enhance local communications and strengthen the partnership.</b></p> <p>Guidelines:</p> <p>Maintain a postal communications file that contains such items as follow-up letters, emails, meeting minutes, etc. The file can be maintained in hardcopy or electronically.</p>		
Possible Points <b>1</b>	Actual Points	Audit Evidence:
Initials _____		

<p><b>OM7 Contingency Plan (“What If” Scenarios)</b></p> <p>Maintain written scenarios that identify possible issues that could adversely affect production and presentation of mail to the USPS. The scenarios must include possible solutions, who to contact, and relevant phone numbers including USPS representatives. This plan must be shared with the appropriate local USPS management representative. Incorporate any changes as directed by the USPS when applicable.</p> <p><b>To have a plan in place to cover emergencies or unexpected problems affecting the presentation of your mail to the USPS.</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ Issues to cover in the contingency plan include, but are not limited to, <i>PostalOne!</i>® applications, loss of power, machine breakdown, acts of God, transportation, staffing, etc.</li> <li>◦ Local management could include USPS operations, transportation, BME, postmaster, etc.</li> </ul>		
Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

### 5.3 Human Resources and Training

This section has four standards and deals with job description, training, employee development and recognition. Job descriptions identify skills and abilities needed to perform job duties. Training ensures employees have the knowledge and skills to perform their jobs. Training further encourages knowledge of the quality program and employee development. The employee recognition program provides incentives for employees to ensure quality.

<b>HR1 Job Description</b>		
Provide a written description and qualification requirements for each job position within each production phase, equipment maintenance, quality, and supervision. In addition, identify how performance will be measured for each job position.		
<b>To provide a means through which all employees know what is expected for each position and how performance is measured.</b>		
Guidelines:		
<ul style="list-style-type: none"> <li>◦ “Identify” is establishing a method(s) to be used in determining the quality of employee job performance compared to job requirements. Performance can be measured through observation, testing, etc.</li> <li>◦ Measuring an employee’s job performance can be accomplished during established employee review periods (semi-annual, annual, etc.), or intermittently.</li> </ul>		
Possible Points <b>3</b>	Actual Points	Audit Evidence:
Initials _____		

<b>HR2 Training Program</b>		
Create and maintain a formal, comprehensive training program:		
<ul style="list-style-type: none"> <li>◦ Identify the training requirements for each job position within each production phase, equipment maintenance, quality and supervision. Also, identify training needs associated with temporary or contracted employees.</li> <li>◦ Review the training program at least annually. Include individual and system performance analysis. Document the results of the review and analysis, and modify the training program as needed.</li> <li>◦ Maintain training records for all full-time and part-time employees. <b>NOTE:</b> Training records must be retained until the next full re-certification audit.</li> </ul>		
<b>To make the training program relevant to producing quality mail by ensuring personnel are trained, performance is analyzed, and the program is continuously improved using the results of the analysis.</b>		
Guidelines:		
<ul style="list-style-type: none"> <li>◦ Acceptable evidence for training records includes forms or checklists indicating each of the individual requirements were met for the job position.</li> <li>◦ Training records for temporary or contracted employees are not required.</li> </ul>		
Possible Points <b>3</b>	Actual Points	Audit Evidence:

**Standards Checklist**

Initials _____	
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**HR3 Quality Training**

Organize, at a minimum, yearly management training sessions for awareness of current industry-wide quality topics or company-wide quality related events. This training is to be presented to managers and key employees from all functional areas of mail production.

**To keep all key employees alert to the subject of quality and stimulate thinking for improvements.**

Guidelines:

- Acceptable quality topics include quality audit techniques, quality manager techniques, postal-related topics, ASQ or ISO seminars, etc.
- If company-wide training is conducted with a limited number of employees attending, the training should be brought back to key employees from each facility using a “train-the-trainer” format with the training documented.

Possible Points <b>3</b>	Actual Points	Audit Evidence:
Initials _____		

**HR4 Employee Recognition**

Create and maintain an employee recognition program that recognizes suggestions, outstanding performance, or special contributions that affect your quality program.

**To maintain employee awareness of the quality program and to recognize employees who go above and beyond.**

Guidelines:

Acceptable evidence is:

- Posting employees’ names, pictures, certificates, etc. with their accomplishment(s).
- Maintaining a file or listing (hardcopy or electronic) of employees who have been recognized.
- Maintaining certificates, letters of commendation, etc. in an individual’s employee file.

Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

## 5.4 Program Management

Program management ensures there is a process flow and jobs are controlled within the company. Management must also ensure that agreements with the USPS are maintained, mailings meet DMM/IMM requirements, suppliers are evaluated and USPS equipment is controlled. This section has six standards.

<b>PM1 Job Control</b>		
Describe the process to control a job from start-to-finish and include how problems are identified and communicated back to the customer.		
<b>To ensure the mail owner is made aware of problems or required changes.</b>		
Guidelines:		
<ul style="list-style-type: none"> <li>◦ A “job” may be a single-client mailing (from design to mail presentation/acceptance) or multi-client mailing (from client pick-up to mail presentation/acceptance).</li> <li>◦ The process for controlling a job may include:                             <ul style="list-style-type: none"> <li>• How the client provides acceptance of “proofs”;</li> <li>• Notification of changes that affect the progress of the job;</li> <li>• How mail is received;</li> <li>• The on-time presentation of the mail; and/or</li> <li>• How changes to the original purchase order, quote, or pick-up ticket are documented and approved.</li> </ul> </li> </ul>		
Possible Points <b>3</b>	Actual Points	Audit Evidence:
Initials _____		

<b>PM2 Process Flowchart</b>		
Maintain a current mail process flowchart(s) showing all ways that mail can be processed within the site and identify where quality checks are completed. As part of your Preventive Action Procedure, show where quality assurance checks are completed in each operation.		
<b>To identify all mail preparation options and where quality checks are completed.</b>		
<b>Required documents: Flowchart, Written Procedure (QM6)</b>		
Guidelines:		
The flowchart may be maintained in hardcopy or electronically, but needs to be printable.		
Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

**Standards Checklist**

<p><b>PM3 Agreements</b></p> <p>Confirm all agreements with the USPS are current and being followed. These include but are not limited to: Optional Procedure (OP), Alternate Mailing System (AMS), Manifest Mailing System (MMS), Combined Mailing System (COM), Value Added Refunds (VAR), Option 4 Drop Shipment, Multiple Acceptance Times (MAT), Plant Load, Postage Due Weight Averaging (PDWA), Parcel Return Service (PRS), and local agreements. Ensure all required documents associated with the agreements are completed correctly, on file, and available.</p> <p><b>To ensure all agreements are current and being followed.</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ Recommend maintaining a master listing of all agreements to easily confirm that all agreements are current and being followed.</li> <li>◦ The process needs to ensure there are signed PS Forms 8096 and required listings on file for Combine/Value-Added Refund (VAR) customers.</li> <li>◦ Acceptable evidence that agreements are being followed includes audit review letters and responses when required, and quality control records.</li> </ul>		
Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

<p><b>PM4 Move Update</b></p> <p>Ensure that mail required to meet the Move Update requirement is in compliance and documented. If your mailing site does not provide Move Update service, obtain written documentation from your customer of compliance.</p> <p><b>To ensure compliance with DMM requirements.</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ Acceptable methods for meeting the Move Update requirement are an appropriate ancillary endorsement or programs such as ACS, FASTforward® or NCOALINKTM.</li> <li>◦ Written documentation includes PS Form 6014, a copy of an invoice, or process summary report showing when the update was completed.</li> </ul>		
Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

**Standards Checklist**

<p><b>PM5 Supplier Evaluation</b></p> <p>As part of your Preventive Action Procedure, establish an evaluation process for suppliers that identifies expectations and monitors quality and on-time performance.</p> <p><b>To select suppliers on the basis of their ability to meet or exceed your needs.</b></p> <p><b>Required document: Written Procedure (QM6)</b></p> <p>Guidelines:</p> <p>“Suppliers” include, but are not limited to, vendors who provide equipment, parts, mailpiece components, mailing supplies, software, etc.</p>		
Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

<p><b>PM6 USPS Equipment</b></p> <p>Ensure that USPS equipment is used only for the movement of mail and not left in unprotected outside locations.</p> <p><b>To prevent damage, misuse, or shortage of postal equipment.</b></p> <p>Guidelines:</p> <p>Acceptable evidence is no visible equipment misuse.</p>		
Possible Points <b>1</b>	Actual Points	Audit Evidence:
Initials _____		

**5.5 Customer Satisfaction**

By maintaining customer focus and working with customers to increase the quality of their mailing, MPTQM- certified companies can meet or exceed customer expectations. This section has three standards.

<p><b>CS1 Complaint Handling</b></p> <p>As part of your Corrective Action Procedure, create and maintain a customer/supplier quality management program for handling complaints. The process must include a way to identify the severity of the issue and the type of response required. Customer/suppliers include clients, USPS, consumers, contractors and material suppliers.</p> <p><b>To meet or exceed your customers expectations.</b></p> <p>Required document: Written Procedure (QM5)</p> <p>Guidelines:</p> <p>The complaint process may be individualized to the type of customer/supplier or a generalized process for all.</p>		
Possible Points <b>2</b>	Actual Points	Audit Evidence:

**Standards Checklist**

Initials _____	
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<p><b>CS2 Customer Focus</b></p> <p>Demonstrate a proactive process through which both internal and external customers are queried on the quality of their business transactions and whether you meet their expectations. Document the results.</p> <p><b>To identify any quality improvements needed based on customer feedback.</b></p> <p>Guidelines:</p> <p>Acceptable documentation may include surveys, telephone scripts and logs, customer visit logs, etc.</p>		
Possible Points	Actual Points	Audit Evidence:
<b>2</b>		
Initials _____		

<p><b>CS3 Customer Mail Improvement</b></p> <p>As part of your Preventive Action Procedure, establish procedures for working with clients to make process and quality improvements, including improving the quality of their mailing.</p> <p><b>To support continuous improvement by linking all parties who can have an impact on quality.</b></p> <p><b>Required document: Written procedure (QM6)</b></p> <p>Guidelines:</p> <p>Acceptable evidence the procedure is being followed includes phone logs, documented meetings, etc.</p>		
Possible Points	Actual Points	Audit Evidence:
<b>2</b>		
Initials _____		

## 5.6 Maintenance and Certification

Machine setup and preventive maintenance, software installation, and scale certification/calibration are critical to ensure equipment functions precisely. This section has three standards.

<b>MC1 Preventive Maintenance</b>		
As part of your Preventive Action Procedure, establish a Preventive Maintenance (PM) schedule for each piece of equipment used in the production of mail:		
<ol style="list-style-type: none"> <li>1) A current listing of all equipment used to produce mail including the PostalOne!® transportation management system, MLOCs, banding machines, tabbing, stapling, bursting, etc. must be maintained.</li> <li>2) PM must meet or exceed the manufacturer's recommendations for daily, weekly, monthly, semi-annually, and annually.</li> <li>3) All maintenance must be performed by qualified employees.</li> <li>4) If PM is completed by manufacturer's contracted employees, ensure that the contract is current.</li> </ol>		
<b>To prevent unnecessary downtime and delay in mail preparation.</b>		
Required document: Written Procedure (QM6)		
Guidelines:		
Logs or checklists may be used as evidence that preventive maintenance was completed.		
Possible Points <b>3</b>	Actual Points	Audit Evidence:
Initials _____		

<b>MC2 Scale Certification</b>		
Describe how all scales (including the scale used with PostalOne!® transportation) used to verify mailings or weigh-verify products or components received are:		
<ol style="list-style-type: none"> <li>1) Certified/calibrated according to manufacturer specifications, or annually if specifications are not available, by an industry-recognized company or qualified technician.</li> <li>2) Tested daily before use to verify the weight of a single piece or to apply postage using 1-oz and 4-oz test weights for mailpieces less than one pound.</li> <li>3) Tested daily before use to verify the weight of a single piece or to apply postage using at least a 5-lb test weight for mailpieces weighing one pound or more.</li> <li>4) Tested using weights that have been validated annually by an industry-recognized company.</li> </ol>		
<b>To ensure proper postage payment.</b>		
Guidelines:		
<ul style="list-style-type: none"> <li>◦ Acceptable evidence is a sticker with the date of certification/calibration applied to the scale when it is certified/calibrated or an invoice, bill, etc. showing that the scale(s) was certified.</li> <li>◦ Logs may be used as evidence that daily checks were completed.</li> </ul>		
Possible Points <b>3</b>	Actual Points	Audit Evidence:

**Standards Checklist**

Initials _____	
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**MC3 Software**

Describe the process used to install and test new software in equipment used to produce mailings. Maintain vendor-supplied documentation for the last two releases. Maintain a software log showing date software was received, date installed, and any problems noted for each installation.

**To prevent costly errors during mail production.**

**Required document: Software Log**

Guidelines:

Vendor-supplied documentation identifies the software release and what is being upgraded (e.g. camera upgrade, presort software, labeling lists, 5-digit schemes, etc.).

Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

**5.7 Mailpiece Elements**

Designing mailpieces that meet DMM/IMM specifications ensures that mail will be processed efficiently through USPS equipment. The Mailpiece Quality Control (MQC) Program certification ensures that an employee is trained to understand DMM/IMM specifications and can assist with mailpiece design. Designing mailpieces properly and ensuring authorizations and permits are current prevent mail acceptance delays. This section has eight standards.

**ME1 Pre-Production**

As part of your Preventive Action Procedure, describe how mailpiece design is verified to ensure:

- 1) All mailpieces (including customer-supplied) meet DMM/IMM specifications and processing capability with manufacturing equipment.
- 2) Mailpiece design has been approved by an authorized representative of the company.
- 3) Customer-approved electronic images are safeguarded to ensure integrity throughout the production process.

**To ensure mailpieces meet DMM/IMM specifications.**

**Required document: Written Procedure (QM6)**

Guidelines:

This standard is not applicable if your facility does not design and/or print mailpieces.

Possible Points <b>3</b>	Actual Points	Audit Evidence:
Initials _____		

**Standards Checklist**

<p><b>ME2 MQC Certification</b></p> <p>At least one individual must have current certification under the USPS Mailpiece Quality Control (MQC) Program.</p> <p><b>To provide on-site assistance in mail preparation and design.</b></p> <p>Guidelines:</p> <p>Copies of current MQC certificates, or individual(s) names listed on the MQC website. (MQC link at <a href="http://ribbs.usps.gov">http://ribbs.usps.gov</a>).</p>		
Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

<p><b>ME3 Print Quality</b></p> <p>As part of your Preventive Action Procedure, describe the printing procedures from start-to-finish ensuring that all printed material meets originally intended customer specifications and DMM/IMM requirements. Include how all print jobs are controlled and released for printing.</p> <p><b>To prevent rework, regulate workflow and equipment usage.</b></p> <p><b>Required document: Written Procedure (QM6)</b></p> <p>Guidelines:</p> <p>This standard is not applicable if your facility does not print material.</p>		
Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

<p><b>ME4 Mailpiece Characteristics</b></p> <p>As part of your Preventive Action Procedure, establish a process to ensure that address elements, postage payment information, meter dates, endorsements, return address elements, processing category, and barcodes are correct and meet all DMM/IMM specifications including proper placement. This applies to all mailpieces, inserts and reply pieces. When guidance is needed, contact the USPS Mailpiece Design Analyst (MDA).</p> <p><b>To prevent reworking mail.</b></p> <p><b>Required document: Written Procedure (QM6)</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ Current USPS MDA's name and phone number should be included in this procedure.</li> <li>◦ This standard is applicable whether the mailpiece was produced at your facility or received from a client or agent.</li> </ul>		
Possible Points <b>3</b>	Actual Points	Audit Evidence:
Initials _____		

**Standards Checklist**

<p><b>ME5 Content</b></p> <p>Ensure the contents of each mailpiece meet DMM/IMM specifications and are correctly classified for the intended rate of postage.</p> <p><b>To meet rate eligibility and proper mail classification.</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ This standard does not apply to First-Class Mail.</li> <li>◦ Examining the contents of Standard Mail, Periodicals, and Package Services (Parcel Post, Library Mail, Media Mail and Bound Printed Matter) is necessary to ensure proper classification, including non-profit authorization for Standard Mail, as well as eligibility and permissible attachments/enclosures for Periodicals, Library Mail, Bound Printed Matter and Media Mail.</li> <li>◦ This standard is applicable, whether the mailpiece was produced at your facility or received from a client or agent.</li> </ul>		
Possible Points	Actual Points	Audit Evidence:
<b>2</b>		
Initials		
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<p><b>ME6 Postage</b></p> <p>If postage is applied using adhesive stamps or meter impressions, describe the process used to verify that the correct postage is applied. For permit imprint mail, describe the process used to ensure that non-identical weights are controlled and separated unless authorized by the USPS to commingle non-identical weight permit imprint mail.</p> <p><b>To ensure proper postage payment.</b></p> <p>Guidelines:</p> <p>"Authorized by the USPS" is an authorization under an approved mailing system.</p>		
Possible Points	Actual Points	Audit Evidence:
<b>2</b>		
Initials		
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<p><b>ME7 Mailpiece Problems</b></p> <p>As part of your Preventive Action Procedure, describe how mailpiece design problems are communicated back to the mailpiece designer, client or agent.</p> <p><b>To promote continuous improvement and customer satisfaction.</b></p> <p><b>Required document: Written Procedure (QM6)</b></p> <p>Guidelines:</p> <p>This standard is applicable whether the mailpiece was produced at your facility or received from a client or agent.</p>		
Possible Points	Actual Points	Audit Evidence:
<b>2</b>		
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**Standards Checklist**

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<p><b>ME8 Authorizations and Fees</b></p> <p>Ensure that all required permits and authorizations are current and appropriate fees have been paid.</p> <p><b>To prevent mail rejection at the time of acceptance.</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ Acceptable evidence that authorizations are current and fees have been paid should be obtained through the client and may be verified by the USPS.</li> <li>◦ A consolidated listing of permit numbers, client names, nonprofit authorizations, etc. may be maintained instead of individual documents for each client.</li> </ul>		
Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

**5.8 Data Preparation**

<p><b>DP1 Software Certification</b></p> <p>Ensure all CASS/MASS-certified, PAVE-certified, and/or MAC-certified software is the current version. Ensure that presort software conforms to standardized documentation requirements in the DMM, manifest software conforms to the current manifesting requirements in Publication 401, and software supporting carrier-route sequencing is updated at the required frequency.</p> <p><b>To ensure that all current DMM/IMM changes are incorporated.</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ Acceptable documentation for address matching is a CASS/MASS certificate.</li> <li>◦ Acceptable evidence for MAC or PAVE is current version of certified software listed on links at <a href="http://ribbs.usps.gov">http://ribbs.usps.gov</a>.</li> <li>◦ Acceptable documentation to support Enhanced Carrier Route (ECR) may include CDS reports, DSF reports, etc.</li> <li>◦ If entering customer-applied barcoded mail, a CASS Report may be required at the time of mailing.</li> </ul>		
Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

**Standards Checklist**

<b>DP2 Predetermined Weights</b>		
Describe the process used to calculate and validate predetermined weights to ensure final mailpiece weights are accurate.		
<b>To ensure proper postage payment.</b>		
Guidelines:		
This standard is not applicable to facilities that weigh each mailpiece or facilities that do not use predetermined weights.		
Possible Points <b>3</b>	Actual Points	Audit Evidence:
Initials _____		

<b>DP3 Address Management</b>		
As part of your Preventive Action Procedure, describe the process for updating in-house address lists and verifying customer-supplied address lists meet DMM/IMM specifications. This process must explain how addresses are received, processed, and verified against output data.		
<b>To ensure that all address elements are correct and updated in a timely manner to enable accurate delivery of the mailpieces.</b>		
<b>Required document: Written Procedure (QM6)</b>		
Guidelines:		
This standard is not applicable to facilities that do not process mail utilizing in-house or customer-supplied address lists.		
Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

<b>DP4 Mail Parameters</b>		
Demonstrate a process to validate the parameters (mailpiece characteristics) entered into the presort software are accurate.		
<b>To ensure mail is properly prepared and matches documentation.</b>		
Guidelines:		
This standard is not applicable to facilities that process mail solely on MLOCR/BCS equipment.		
Possible Points <b>3</b>	Actual Points	Audit Evidence:
Initials _____		

**Standards Checklist**

<p><b>DP5 Discount Rates</b></p> <p>Describe the process to validate that mailpieces meet the requirements for postage discounts, including barcodes (POSTNET, UCC/EAN Code 128, intelligent mail, etc.). For any presort rates or destination discounts, ensure that mailings meet minimum volume requirements.</p> <p><b>To ensure mail is eligible for the rate claimed.</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ Use current templates and DMM to ensure barcodes meet specifications prior to production.</li> <li>◦ CASS reports provide evidence of client's address block barcode compliance.</li> </ul>		
Possible Points	Actual Points	Audit Evidence:
<b>2</b>		
Initials		
_____		

<p><b>DP6 Customer Notification</b></p> <p>As part of your Corrective Action Procedure, identify how problems with address lists are communicated back to the list owner.</p> <p><b>To provide a standardized communication process with the customer to correct address list errors.</b></p> <p><b>Required document: Written Procedure (QM5)</b></p> <p>Guidelines:</p> <p>This standard is not applicable to facilities that process mail solely on MLOCR/BCS equipment.</p>		
Possible Points	Actual Points	Audit Evidence:
<b>1</b>		
Initials		
_____		

**Standards Checklist**

<p><b>DP7 Data Transfer/Merge</b></p> <p>As part of your Preventive Action Procedure, describe the process to ensure electronically transferred or merged mailing data is accurate. This includes matching mail received against electronic file(s) to ensure all information is accurate.</p> <p><b>To ensure transferred/merged data accurately represents the mail presented.</b></p> <p><b>Required document: Written Procedure (QM6)</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ This standard is applicable to facilities transferring mailing data electronically for mail production purposes.</li> <li>◦ This standard is applicable to facilities transferring/merging mailing data within the facility or transferring/merging mailing data and mail from one facility to another.</li> </ul>		
Possible Points <b>3</b>	Actual Points	Audit Evidence:
Initials _____		

<p><b>DP8 PostalOne!®</b></p> <p>Describe your process for the successful transmission of data to the PostalOne! ® server.</p> <p><b>To ensure mail verification and acceptance can be completed.</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ The process should include validating transmissions and a trouble-shooting and re-transmission process when the initial transmission fails.</li> <li>◦ Include contingency plan in OM7.</li> <li>◦ This standard is applicable to <i>PostalOne!®</i> authorized users who submit electronic mailing information/payment such as ePostage, eVS, Postage Statement Wizard, etc.</li> </ul>		
Possible Points <b>3</b>	Actual Points	Audit Evidence:
Initials _____		

**Standards Checklist**

**5.9 Collecting and Receiving**

<b>CR1 Collecting</b>		
Describe the process for collecting mail from clients to be presorted or combined with other mail:		
<ul style="list-style-type: none"> <li>◦ Identifying and segregating mail by customer.</li> <li>◦ Comparing the customer-supplied information to the mail collected.</li> <li>◦ Verifying the mail is separated by payment method, rate, and/or ounce-increment or as required by your company.</li> </ul>		
<b>To ensure the entire shipment is received from each customer and mail is separated by postage payment method, and for permit imprint mail, by weight increment.</b>		
Guidelines:		
<ul style="list-style-type: none"> <li>◦ Customer-supplied information may include tray/sack counts, piece counts, class of mail and postage payment method(s), may be provided on such forms as a collection document or pick-up ticket.</li> <li>◦ Include nonconforming product procedure in CR4.</li> </ul>		
Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

<b>CR2 Receiving</b>		
Describe your process for checking all material at receiving. This includes supplies, inserts, envelopes, mail transferred from other sites, and all client-prepared mail to ensure that the correct material is received. (See ME4 for mailpiece characteristics that are checked at receiving.)		
<b>To ensure correct material was received.</b>		
Guidelines:		
<ul style="list-style-type: none"> <li>◦ If there is a separate process for checking client-prepared mail and checking supplies, inserts, etc., and/or transferred mail, describe each process.</li> <li>◦ Include nonconforming product procedure in CR4</li> </ul>		
Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

**Standards Checklist**

<p><b>CR3 Quality Checks</b></p> <p>As part of your Preventive Action Procedure, describe all quality assurance procedures used to verify that:</p> <ol style="list-style-type: none"> <li>1) Mailing supplies and materials received are acceptable.</li> <li>2) Client-prepared mail and/or mail transferred from other facilities meet all DMM/IMM requirements.</li> </ol> <p><b>To prevent nonconforming product from being used or mailed.</b></p> <p><b>Required document: Written Procedure (QM6)</b></p> <p>Guidelines:</p>		
Possible Points	Actual Points	Audit Evidence:
<b>2</b>		
Initials		
_____		

<p><b>CR4 Nonconforming Products</b></p> <p>As part of your Nonconforming Products Procedure, describe the process used to isolate nonconforming products received and the steps used to ensure future products have increased quality checks performed. Describe how suppliers are added or removed from the increased quality checks.</p> <p><b>To prevent nonconforming products from being used or mailed.</b></p> <p><b>Required document: Written Procedure (QM4)</b></p> <p>Guidelines:</p> <p>“Product” includes mail.</p>		
Possible Points	Actual Points	Audit Evidence:
<b>3</b>		
Initials		
_____		

**Standards Checklist**

<p><b>CR5 Corrective Action</b></p> <p>As part of your Corrective Action Procedure, describe how nonconforming products received are addressed with the supplier and what actions will be taken to ensure the integrity of future products.</p> <p><b>To improve customer/supplier communications.</b></p> <p><b>Required document: Written Procedure (QM5)</b></p> <p>Guidelines:          "Product" includes mail.</p>		
Possible Points	Actual Points	Audit Evidence:
<b>2</b>		
Initials		
_____		

<p><b>CR6 Staging Cleared Mail</b></p> <p>Describe the process used to ensure that only products that have been verified by quality assurance are released for processing and staged by class, postage payment method, and/or job number.</p> <p><b>To ensure only mail meeting the quality standards is properly separated by client or job for processing.</b></p> <p>Guidelines:          Clearly identify and segregate mail that is cleared for processing.</p>		
Possible Points	Actual Points	Audit Evidence:
<b>3</b>		
Initials		
_____		

**Standards Checklist**

**5.10 Mail Production**

Mail Production encompasses all equipment and processes used to create, presort and containerize mail in order to present mailings to the USPS.

<b>MP1 Set Up</b>		
Describe the process used to set up, test and inspect each piece of production equipment to ensure the equipment is producing a quality product.		
<b>To ensure equipment used for mail production is functioning properly.</b>		
Guidelines:		
<ul style="list-style-type: none"> <li>◦ If there is a separate process for setting up, testing and inspecting different types of equipment, describe each process.</li> <li>◦ Tests and inspections could include barcode legibility, print quality, inserting, etc.</li> </ul>		
Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

<b>MP2 Inserts and Enclosures</b>		
As part of your Preventive Action Procedure, for mailpieces that contain inserts or enclosures, describe the process used to ensure that only the intended material is properly inserted or packaged.		
<b>To prevent reworking the mailing.</b>		
<b>Required document: Written procedure (QM6)</b>		
Guidelines:		
This standard includes inserts and enclosures that are manually or mechanically inserted.		
Possible Points <b>1</b>	Actual Points	Audit Evidence:
Initials _____		

**Standards Checklist**

<p><b>MP3 Operators</b></p> <p>Describe the process used by operators to:</p> <ul style="list-style-type: none"> <li>◦ Ensure mail is processed using the appropriate sort scheme.</li> <li>◦ Profile mail.</li> <li>◦ Log any equipment problems showing the date and time the problem was identified and corrected (downtime).</li> </ul> <p><b>To track each customer’s mail and to identify additional equipment issues not identified during preventive maintenance.</b></p> <p><b>Required document: Downtime Log</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ Acceptable evidence may include a production log that documents the scheme used and how mail has been profiled.</li> <li>◦ “Profiling” includes separating by client, job ID, postage payment method, amount of applied postage and weight increment, when applicable.</li> <li>◦ This standard is only applicable to facilities that process mail on MLOCR/BCS equipment.</li> </ul>		
Possible Points	Actual Points	Audit Evidence:
<b>3</b>		
Initials		
_____		

<p><b>MP4 Quality Checks</b></p> <p>As part of your Preventive Action Procedure, describe what quality checks are completed throughout the production run, frequency of the checks, who performs the checks, and how they are documented.</p> <p><b>To identify problems in production and prevent costly reworking.</b></p> <p><b>Required document: Written Procedure (QM6)</b></p> <p>Guidelines:</p>		
Possible Points	Actual Points	Audit Evidence:
<b>3</b>		
Initials		
_____		

**Standards Checklist**

<p><b>MP5 In-Line Sortation</b></p> <p>Describe how all presort requirements are met during production.</p> <p><b>To ensure that each mailing meets DMM/IMM requirement for the rate claimed.</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ “Presort requirements” include bundling, sacking/traying, and palletizing/containerizing as required by DMM/IMM preparation requirements and the rates claimed.</li> <li>◦ Acceptable means to validate correct sorting may include the use of the USPS Qualification Report, manifest report, “break marks”, and/or optional endorsement line.</li> <li>◦ This standard is not applicable to facilities that process mail solely on MLOCR/BCS equipment.</li> </ul>		
Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

<p><b>MP6 Defective, Damaged and Spoiled Pieces</b></p> <p>Describe the process for handling defective, damaged and/or spoiled pieces, including reordered pieces.</p> <p><b>To maintain rate qualification and discounts and to be able to account for pieces not mailed.</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ Characteristics of “defective” pieces include: unsealed/sticky envelopes, illegible meter imprints, incorrect meter date, improper endorsement, etc.</li> <li>◦ For customers with a postage payment system agreement that requires a description for handling damaged/spoiled/reordered pieces, ensure your process is the same as stipulated in your agreement.</li> </ul>		
Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

**Standards Checklist**

<p><b>MP7 MLOCR/BCS Sorting</b></p> <p>Describe how all processing requirements are met including proper handling of rejects, and identification and segregation of second-pass mail.</p> <p><b>To ensure that mail is accurately processed and each mailing meets DMM specifications for the rate claimed.</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ “Rejects” are mechanical rejects that may need to be reprocessed in “no-count” mode, or unread rejects that need to be counted when they are reprocessed.</li> <li>◦ If your MLOCR is able to function without the barcode verifier, ensure it is “on” during processing.</li> <li>◦ This standard is not applicable if your facility does not process mail on an MLOCR/BCS.</li> </ul>		
Possible Points	Actual Points	Audit Evidence:
<b>3</b>		
Initials		
_____		

<p><b>MP8 Tray, Sack, or Pallet</b></p> <p>Describe the process used to ensure that the correct mail is placed in the correct tray, sack or on the correct pallet, and each tray, sack or pallet meets all minimum and maximum DMM/IMM requirements.</p> <p><b>To ensure delivery of the mail to the intended destination.</b></p> <p>Guidelines:</p> <p>Written procedure, work instructions, or checklist could include DMM/IMM minimum and maximum container requirements.</p>		
Possible Points	Actual Points	Audit Evidence:
<b>3</b>		
Initials		
_____		

**Standards Checklist**

<p><b>MP9 Labels</b></p> <p>Describe the process used to ensure that all old tags, stickers, labels, and damaged label holders are removed. Describe the process to verify that all container labels show the correct destination (line 1), contents CIN (line 2), and mailer information (line 3), and all barcodes are readable and have the correct human readable numeric equivalent printed below.</p> <p><b>To prevent misrouting of mail.</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ “Tags” include old D&amp;R tags.</li> <li>◦ ”Containers” include sacks, trays, pallets, or other USPS-approved containers.</li> </ul>		
Possible Points	Actual Points	Audit Evidence:
<b>2</b>		
Initials		
_____		

<p><b>MP10 Tray Slewing and Strapping</b></p> <p>Describe the process used to ensure mail is sleeved and strapped per DMM and local USPS instructions. Maintain a copy of local USPS instructions.</p> <p>To maintain the integrity of the mail in trays.</p> <p>Guidelines:</p>		
Possible Points	Actual Points	Audit Evidence:
<b>3</b>		
Initials		
_____		

<p><b>MP11 <i>PostalOne!</i> Transportation</b></p> <p>Describe the process used to check the print quality of D&amp;R tags and for verifying that the correct tag is affixed to each tray.</p> <p><b>To prevent misrouting of mail.</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ Ensure all items on the D&amp;R tag are readable.</li> <li>◦ For surface routes, ensure that the D&amp;R tag destination matches the sack/tray label.</li> </ul>		
Possible Points	Actual Points	Audit Evidence:
<b>3</b>		
Initials		
_____		

**Standards Checklist**

<p><b>MP12 Containerization</b></p> <p>Describe the process used to ensure that transport containers are loaded according to national (DMM) and local USPS instructions and are correctly placarded. Maintain a copy of local USPS instructions.</p> <p><b>To prevent misrouting mail.</b></p> <p>Guidelines:</p> <ul style="list-style-type: none"> <li>◦ “Transport containers” include: All-Purpose Containers (APCs), Over-The-Road (OTR) containers, or any other USPS-approved container.</li> <li>◦ This standard applies to secondary containers used to transport mail.</li> </ul>		
Possible Points <b>3</b>	Actual Points	Audit Evidence:
Initials _____		

**5.11 Presentation**

<p><b>PR1 Staging</b></p> <p>Describe the process for staging and identifying individual mailings:</p> <ol style="list-style-type: none"> <li>1) Separately by class (when required).</li> <li>2) Presenting mixed AADC mail separately from other automation mail.</li> <li>3) Separately staging single-piece mail.</li> <li>4) Separately staging reworked mailings for re-verification.</li> </ol> <p><b>To ensure proper verification and acceptance.</b></p> <p>Guidelines:</p> <p>“Reworked mail” is mail that has previously failed verification and has been corrected.</p>		
Possible Points <b>2</b>	Actual Points	Audit Evidence:
Initials _____		

<p><b>PR2 Documentation</b></p> <p>Describe the process used to ensure that required documents are accurate, correctly completed and presented with each mailing on-time, as required.</p> <p><b>To ensure proper verification and acceptance.</b></p> <p>Guidelines:</p> <p>Documents include postage statements, USPS Qualification Reports, PS Forms 8125, and any other documents required by an authorized postage payment system agreement (e.g., primary record, manifest listing, etc.).</p>		
Possible Points <b>3</b>	Actual Points	Audit Evidence:
Initials _____		

**Standards Checklist**

Initials _____	
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<p><b>PR3 Failed Acceptance</b></p> <p>Establish documented procedures that address the following:</p> <ul style="list-style-type: none"> <li>◦ As part of your Nonconforming Products Procedure, describe the process used to isolate mailings that have failed acceptance and what steps are taken to resolve the nonconforming product.</li> <li>◦ As part of your Corrective Action Procedure, describe the process used when mail fails acceptance for any reason.</li> </ul> <p><b>To ensure a plan is in place when mailings fail acceptance.</b></p> <p><b>Required document: Written Procedure (QM4,QM5)</b></p> <p>Guidelines:</p> <p>“Resolving” could include correcting the mailing or paying the additional postage due identified by USPS verifications.</p>		
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Possible Points <b>6</b>	Actual Points	Audit Evidence:
Initials _____		

## **6 Exhibits**

**Exhibit 6-1 Registration Form**

**Exhibit 6-2 Quality Assurance Technician**

**Exhibit 6-3 Example MPTQM Certificates**

**Exhibit 6-4 MP3 Sample Log**

**Exhibit 6-5 OM4 Sample Organization Chart**

**Exhibit 6-6 Sample Corrective Action Request (CAR)**

**Exhibit 6-7 Crosswalk of Version A 3.1 List Standards to 7.3 Standards**

**Exhibit 6-8 Crosswalk of Version 6.1 Presort Standards to 7.3 Standards**

**Exhibit 6-9 Crosswalk of 7.3 Standards to Old (A 3.1/6.1) Standards**

**Exhibit 6-10 Application Checklist**

6.1 Exhibit 6-1 Registration Form

## Mail Preparation Total Quality Management Program Registration Form

**Congratulations on your decision to participate in the Mail Preparation Total Quality Management Program. Please complete this form and send to:**

MPTQM Program Manager  
Business Mailer Support  
475 L'Enfant Plaza SW Rm 2P846  
Washington, DC 20260-0846

- I want to use the program for my internal operations only at this time
- I prepare and present mailings. I want to register for full program participation; to include USPS-sponsored audits

Company Name \_\_\_\_\_

Facility Manager (Title/ Name) \_\_\_\_\_

MPTQM Contact Person (Title/  
Name) \_\_\_\_\_

Mailing Address \_\_\_\_\_

Phone Number \_\_\_\_\_

Fax Number \_\_\_\_\_

Email Address \_\_\_\_\_

Indicate class and volume of each applicable processing category below

Class	Letters	Flats	Parcels
First-Class			
Periodicals			
Standard Mail			
Package Services			

Location of mail acceptance     BMEU     DMU     Other

Number of work shifts per day     One     Two     Three

Type of Operation:

- Presort Service Bureau
- Other MLOCR operation
- Print/Insert/Barcode Sorter (BCS)
- Sorting performed from address lists
- Consolidator
- Other. Please describe: \_\_\_\_\_

## 6.2 Exhibit 6-2 Quality Assurance Technician

### 6.2.1 MAJOR RESPONSIBILITIES

- Directs the planning, coordination, training, implementation and management of the MPTQM Program and its activities
- Installs all Quality procedures to ensure an efficient, quality, cost effective process to best support daily production output of mail to be presented to the USPS.
- Ensures MPTQM standards requirements are met.
- Ensures consistent communications throughout the operation regarding the MPTQM Program.

### 6.2.2 RELATIONSHIP TO OTHERS:

- Rarely has direct supervision of subordinates.
- Often acts in an advisory capacity to all production units, ensuring all Quality procedures are adhered to and that all Quality documentation is maintained daily.
- Coordinates Quality requirements with production manager and supervisors.
- Responsible to and reports directly to upper management, advising in a timely manner all problems that arise in production relating to the quality of mail being produced.

### 6.2.3 TASKS:

#### 6.2.3.1 Develops the MPTQM Program –

- Coordinates, designs, and develops all procedures required for production, maintenance, and administrative support personnel.
- Interprets USPS MPTQM requirements and related *Domestic Mail Manual* (DMM) and *International Mail Manual* (IMM) standards.

#### 6.2.3.2 Administers the MPTQM Program –

- Provides recommendations for improvements, including fixes for breakdowns in quality, focusing on the prevention of future breakdowns.
- Manages the Program and maintains all related documentation (forms, checklists, reports).
- Applies changing USPS standards (MPTQM, DMM/IMM, labeling lists) and Operating Plans to the Program.
- Monitors the Program from top to bottom including supervisor and employee adherence to all procedures.
- Audits quality on a daily basis including execution of the MPTQM Results Standards.
- Evaluates, analyzes and prepares reports, charts, and graphs on quality indicators established in the Program.
- Trains and helps motivate all managers and employees on Program procedures and company Quality goals.
- Communicates Quality matters throughout the plant.
- Reports Program status and progress, including success stories and deviations and breakdowns to senior management.
- Serves as the primary interface with the USPS MPTQM Program Manager and technicians.

**Exhibits**

**6.3 Exhibit 6-3 - Example MPTQM Certificates**

Portrait style



Landscape style



Exhibits

6.4 Exhibit 6-4 MP3 Sample Log

Rev August 2007

SAMPLE

MP3

**THIS SAMPLE SHOULD BE TAILORED BY THE MAILER KEEPING THE PARTICULAR MPTQM STANDARD IN MIND**

**MP3 Operators**

Describe the process used by operators to:  
 Ensure mail is processed using the appropriate sort scheme.

- Profile mail.
- Log any equipment problems showing the date and time the problem was identified and corrected (downtime).

**To track each customer’s mail and to identify any additional equipment issues not identified in the preventive maintenance.**

**Required document: downtime log**

Guidelines:

- Acceptable evidence may include a production log that documents the scheme used and how mail has been profiled.
- “Profiling” includes separating by client, job ID, postage payment method, amount of applied postage and weight increment, when applicable.
- This standard is only applicable to facilities that process mail on MLOCR/BCS equipment.

The log below is only an example and should be tailored to match your company’s production phases.

Date	Shift	Operator	Job # or client	Meter Postage Affixed	Permit Ounce weight	Type equip-ment	Sort Scheme	Start time	Stop time	Machine downtime	Problems/ comments

## 6.5 Exhibit 6-5 OM4 Sample Organization Chart

Rev August 2007

SAMPLE

OM4

**THIS SAMPLE SHOULD BE TAILORED BY THE MAILER KEEPING THE PARTICULAR MPTQM STANDARD IN MIND**

### **OM4 Organizational Chart**

Publish a current organizational chart that clearly defines the lines of communication, responsibility, and authority within the operation including the quality manager's position. The chart must identify all positions and include the name and title of each management and MPTQM staff employee(s). It also must identify who is responsible for the MPTQM program and the replacement during times of illness, vacation, or vacancy.

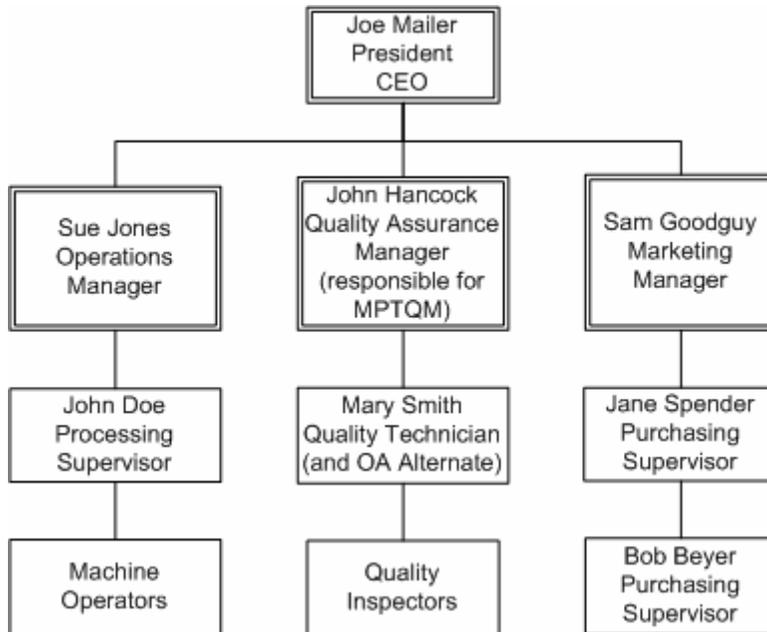
**To provide a clear line of communication and establish who is responsible for the MPTQM program.**

**Required document: Organizational chart**

Guidelines:

- "Publish" includes, but is not limited to: Posting on a wall or bulletin board, printed in the quality manual, available on-line.
- "Who" is responsible for the MPTQM program could include Quality Assurance Manager, Quality Assurance Technician, and Quality Inspector or specific job titles within each department.

**Ensure the MPTQM organizational chart is published for YOUR organization. The chart below is only an example and should be tailored to match your company's structure.**



**Exhibits**

**6.6 Exhibit 6-6 Sample Corrective Action Request (CAR)**

This form is used to document an “issue” and its priority level, the corrective and preventive action taken, and the verification that such action was effective.

<b>Corrective Action Request</b>				
<b>Section I Finding</b>	<b>Priority Level</b>	<b>Severity Level</b>	_____	<b>CA R No:</b> _____
Initiator _____		CAR Owner _____		
Reference Document: _____		Date Issued: _____		
Description of Problem:				
Initiator's Signature: _____				
<b>Section II Corrective Action</b>		Target Date of Completion	_____	
Assigned to: _____				
By CAR Owner _____		Actual Date of Completion	_____	
Description of the Root Cause of the Problem:				
Corrective Action(s) to Fix the Problem Now (short term):				
Corrective Action(s) to Eliminate the Root Cause of the Problem (long term):				
Assignee's Signature _____			Date _____	
Dept. Mgr's Signature: _____			Date _____	

**Exhibits**

<b>Section III Preventative Action</b>		Target Date of Completion	_____
Assigned to:	_____		
By CAR Owner	_____	Actual Date of Completion	_____
Description of Action(s) Take to Monitor Recurrence of the Problem:			
_____			
_____			
_____			
Assignee's Signature	_____	Date	_____
Dept. Mgr's Signature:	_____	Date	_____
<b>Section IV Verification of Action Taken</b>			
Follow-up Verifications to Ensure Compliance:			
Dates of Verification:	_____	_____	_____
Comments:	_____		
_____			
_____			
Was corrective and preventative action suitable and effective?	YES	NO	
If no, new CAR #	_____	Date:	_____
Initiator Verification And Closure Signature	_____	Date:	_____

**Exhibits**

**6.7 Exhibit 6-7 Crosswalk of Version A 3.1 List Standards to 7.3 Standards**

old standard	LIST mailer old subject	NEW standard	NEW section	NEW subject
<b>Mailpiece Design</b>				
MD1	design process flow	PM1	Program management	job control
MD2	mailpiece design quality	ME4	mailpiece elements	mailpiece characteristics
MD3	nonprofit mailpiece design	ME5	mailpiece elements	content
		ME8	mailpiece elements	authorizations and fees
		ME1	mailpiece elements	pre-production
MD4	design vs. equipment	ME1	mailpiece elements	pre-production
MD5	electronic imaging	PM1	Program management	job control
MD6	receiving QC	CR2	collecting and receiving	receiving
		CR4	collecting and receiving	nonconforming product
		QM6	quality manual	preventive action
MD7	design problem communications	ME7	mailpiece elements	mailpiece problems
MD8	postal MQC certification	ME2	mailpiece elements	MQC certification
MD9	scale accuracy	MC2	maintenance and certification	scale calibration
MD10	MDA contact	ME4	mailpiece elements	mailpiece characteristics
MD11	First-Class Addressing Requirements	PM4	process management	move update
<b>Data Processing</b>				
DP1	CASS	DP1	Data preparation	software certification
DP2	software logs	MC3	maintenance and certification	software
DP3	PAVE	DP1	Data preparation	software certification
DP4	mail preparation changes	MC3	maintenance and certification	software
DP5	piece weight software validation	DP2	data preparation	predetermined weights
DP6	overall address management process	DP3	data preparation	address management
DP7	address quality/file conversion	DP3	data preparation	address management
DP8	First-Class addressing requirements	PM4	process management	move update
DP9	correcting problem addresses	DP3	data preparation	address management
DP10	improving list quality (n/a)	DP3	data preparation	address management
DP11	carrier route capability	DP5	data preparation	discount rates
		MP5	mail production	inline sortation
DP12	manifesting capability	DP1	data preparation	software certification
DP13	PAVE use	DP4	data preparation	mail parameters
DP14	tray/pallet tags (data prep)	DP1	data preparation	software certification
		MP9	mailpiece elements	labels
DP15	mail qualification report	MP5	mail production	in-line sortation
DP16	list problems communication	DP6	data processing	customer notification
<b>Mailpiece Manufacturing (Printing)</b>				
MP1	printer preventative maintenance	MC1	maintenance and certification	preventive maintenance

**Exhibits**

<b>old standard</b>	<b>LIST mailer old subject</b>	<b>NEW standard</b>	<b>NEW section</b>	<b>NEW subject</b>
MP2	software logs (printing)	MC3	maintenance and certification	software
MP3	printer setup	MP1	mail production	setup
MP4	sample accuracy (printing)	ME1	mailpiece elements	pre-production
		ME3	mailpiece elements	print quality
MP5	print quality	ME3	mailpiece elements	print quality
MP6	print job control	PM1	program management	job control
MP7	matching addresses with text (printer)	ME3	mailpiece elements	print quality
MP8	printer quality checks	ME3	mailpiece elements	print quality
		QM6	quality manual	preventive action
<b>Mailpiece Manufacturing (Inserting, Inkjet, Cheshire Labeler)</b>				
MS1	scale accuracy (inserting area)	MC2	maintenance and certification	scale calibration
MS2	inserter preventative maintenance	MC1	maintenance and certification	preventive maintenance
MS3	software logs (inserter)	MC3	maintenance and certification	software
		DP1	data preparation	software certification
MS4	USPS authorizations (inserter)	ME8	mailpiece elements	authorizations and fees
MS5	piece weight software validation (inserter)	DP2	data preparation	predetermined weights
MS6	inserter setup	MP1	mail production	setup
		MP3	mail production	operators
MS7	inserter quality	ME4	mailpiece elements	mailpiece characteristics
		ME5	mailpiece elements	content
		MP4	mail production	quality check
MS8	inserter mailpiece job control	PM1	program management	job control
MS9	inserter QC	MP6	mail production	defective, damaged and spoiled pieces
MS10	permit weight increments (inserting)	CR6	collecting and receiving	staging cleared mail
<b>Mailpiece Manufacturing (Finishing)</b>				
MF1	machine preventative maintenance (finishing)	MC1	maintenance and certification	preventive maintenance
MF2	finished pieces	MP2	mail production	inserts and enclosures
		MP4	mail production	quality checks
<b>Sorting/Preparing (MLOCR/BCS Only) Offline Sorting</b>				
SP1	machine preventative maintenance (MLOCR/ BCS)	MC1	maintenance and certification	preventive maintenance
SP2	MASS (MLOCR)	DP1	data preparation	software certification
SP3	software logs (MLOCR/ BCS)	MC3	maintenance and certification	software
SP4	PAVE (MLOCR/BCS)	DP1	data preparation	software certification
SP5	sort scheme accuracy (MLOCR/BCS)	MC3	maintenance and calibration	software
		DP1	data preparation	software certification
SP6	staging (MLOCR/BCS)	CR6	collecting and receiving	staging cleared mail

**Exhibits**

<b>old standard</b>	<b>LIST mailer old subject</b>	<b>NEW standard</b>	<b>NEW section</b>	<b>NEW subject</b>
		MP7	mail production	MLOCR/BCS Sorting
		DP1	data preparation	software certification
SP7	customer barcodes	DP5	data preparation	discount rates
SP8	sort scheme	MP3	mail production	Operators
SP9	verifiers	MP7	mail production	MLOCR/BCS Sorting
SP10	proper profiling	MP3	mail production	Operators
SP11	defective mail	QM4	quality manual	nonconforming products
		MP4	mail production	quality checks
SP12	barcode readability (MLOCR/BCS)	QM6	quality manual	preventive action
		QM4	quality manual	nonconforming product
SP13	barcode correction	QM5	quality manual	corrective action
SP14	inkjet & lens cleaning (MLOCR/BCS)	MC1	maintenance and calibration	preventive maintenance
SP15	double counting	MP7	mail production	MLOCR/BCS Sorting
SP16	tray tags	MP9	mail production	labels
SP17	bin sorting (MLOCR/BCS)	MP8	mail production	tray, sack or pallet
SP18	bin to trays	MP4	mail production	quality check
SP19	single piece	PR1	presentation	staging
		MP7	mail production	MLOCR/BCS Sorting
SP20	migrating mail (MLOCR/BCS)	MP8	mail production	tray, sack or pallet
		CR6	collecting and receiving	staging cleared mail
SP21	mail segregation	PR1	presentation	staging
SP22	tray check (MLOCR/BCS)	QM6	quality manual	preventive action
		DP1	data preparation	software certification
SP23	tray/pallet tags (MLOCR/BCS)	MP9	mail production	labels
SP24	daily machine setup (MLOCR/BCS)	MP1	mail production	setup
SP25	staging	MP7	mail production	MLOCR/BCS sorting
SP26	system data merging	DP7	data preparation	data transfer/merge
<b>Sorting/Preparing (Inserting, Inkjet, Cheshire Labeler) Inline Sorting</b>				
SN1	machine preventative maintenance (in-line sorting)	MC1	maintenance and calibration	preventive maintenance
SN2	defective mail (inserter)	QM4	quality manual	nonconforming products
SN3	barcode readability (inserter/printer)	QM6	quality manual	preventive action
SN4	tray separation (inserter)	MP5	mail production	in-line sortation
SN5	tray tags (inserter)	MP9	mail production	labels
SN6	tray mail (inserter)	MP8	mail production	tray, sack or pallet
SN7	tray check (inserter)	QM6	quality manual	preventive action
		QM6	quality manual	preventive action
SN8	carrier route accuracy (inserter)	MP5	mail production	in-line sortation
<b>PostalOne!® Transportation Management</b>				
PO1	PostalOne!® verifier	OM7	organization management	contingency plan
PO2	D & R accuracy	MP9	mail production	labels
PO3	PostalOne!® SOP	OM7	organization management	contingency plan
PO4	PostalOne!® phone lines		n/a	

## Exhibits

old standard	LIST mailer old subject	NEW standard	NEW section	NEW subject
PO5	Daily <i>PostalOne!</i> ® accuracy checks	MC2	maintenance and calibration	scale calibration
PO6	daily D & R tag accuracy checks	MP11	mail production	<i>PostalOne!</i> ® Transportation
PO7	machine preventative maintenance	MC1	maintenance and calibration	preventive maintenance
<b>Containerization</b>				
CT1	staging		n/a	
CT2	sleeving & strapping	MP10	mail production	tray sleeving and strapping
CT3	transportation equipment	MP12	mail production	containerization
<b>Presenting</b>				
PR1	mail presentation	ME6	mailpiece elements	postage
		PR1	presentation	staging
PR2	documentation presentation	PR2	presentation	documentation
PR3	failed acceptance	PR3	presentation	failed acceptance
<b>Quality Inspection</b>				
QI1	daily piece design QC	ME1	mailpiece elements	pre-production
		ME3	mailpiece elements	print quality
		QM6	quality manual	preventive action
QI2	daily data prep QC	DP4	data processing	mail parameters
		DP8	data processing	<i>PostalOne!</i> ® eDoc and ePostage
		PR2	presentation	documentation
		QM6	quality manual	preventive action
		ME3	mailpiece elements	print quality
QI3	daily finished piece QC	ME4	mailpiece elements	mailpiece characteristics
		MP1	mail production	setup
		MP4	mail production	quality checks
		QM6	quality manual	preventive action
QI4	daily MLOCR reviews	MP4	mail production	quality checks
		QM6	quality manual	preventive action
QI5	daily processing QC	MP4	mail production	quality checks
		QM6	quality manual	preventive action
QI6	daily containerizing QC	MP4	mail production	quality checks
		MP12	mail production	containerization
		QM6	quality manual	preventive action
QI7	daily <i>PostalOne!</i> ® quality control	DP8	data processing	<i>PostalOne!</i> ® eDoc and ePostage
<b>Organizational Management</b>				
OM1	company vision	OM1	organization management	Management Commitment
		OM2	organization management	quality goals
OM2	MPTQM org chart	OM4	organization management	organizational chart
OM3	job qualifications	HR1	human resource	job description
OM4	training program	HR2	human resource	training program
OM5	training in quality	HR3	human resource	quality training

## Exhibits

old standard	LIST mailer old subject	NEW standard	NEW section	NEW subject
OM6	management reviews	OM5	organization management	Management Meetings
OM7	supplier evaluations	PM5	process management	supplier evaluation
OM8	USPS issues	OM6	organization management	postal meetings
		CS1	customer satisfaction	complaint handling
OM9	meetings with local Postal Officials	OM6	organization management	postal meetings
<b>Process Management</b>				
PM1	job control	PM1	process management	job control
PM2	process/ system flowcharts	PM2	process management	process flowchart
PM3	mailing agreement	PM3	process management	agreements
PM4	CAR/problem analysis	QM5	quality manual	corrective action
PM5	customer mail improvements	CS3	customer satisfaction	customer mail improvement
PM6	USPS equipment	PM6	program management	USPS equipment
PM7	what if scenarios	OM7	organization management	contingency planning
PM8	daily house cleaning	n/a		
PM9	spoilage	MP6	mail production	defective, damaged and spoiled pieces
PM10	document control	QM1	quality manual	document control
		QM2	quality manual	record control
PM11	First Class Addressing requirements/ move update	PM4	process management	move update
<b>Continuous Improvement Management</b>				
CIM1	problem solving system	QM5	quality manual	corrective action
CIM2	self assessment	QM3	quality manual	audit plan and procedures
CIM3	external assessment	QM3	quality manual	audit plan and procedures
CIM4	quality trending	OM3	organization management	communicating quality goals and objectives
CIM5	employee recognition	HR4	human resource	employee recognition
CIM6	quality management system	CS1	customer satisfaction	complaint handling
		CR5	collecting and receiving	corrective action
CIM7	customer focus	CS2	customer satisfaction	customer focus
no standard previously		ME6	mailpiece elements	postage
no standard previously & usually N/A to list mailers		CR1	collecting and receiving	collecting
no standard previously & usually N/A to list mailers		CR3	collecting and receiving	quality checks

## 6.8 Exhibit 6-8 Crosswalk of Version 6.1 Presort Standards to 7.3 Standards

presort bureau standard	subject	NEW standard	section	subject
<b>Setup</b>				
S1	daily house cleaning		n/a	setup
S2	basic daily machine maintenance	MP1	mail production	setup
S3	daily barcode quality test	MP1	mail production	setup
		QM6	quality manual	preventive action
S4	daily scale accuracy checks	MC2	maintenance and calibration	scale certification
		QM6	quality manual	preventive action
S5	daily <i>PostalOne!</i> ® accuracy checks	MC2	maintenance and calibration	scale certification
		QM6	quality manual	preventive action
S6	daily D&R tag accuracy checks	MP11	mail production	<i>PostalOne!</i> ®Transportation
		QM6	quality manual	preventive action
<b>Collecting</b>				
C1	driver mail collection	CR1	collecting and receiving	collecting
C2	collection mail segregation	CR1	collecting and receiving	collecting
<b>Receiving</b>				
R1	mail segregation	CR2	collecting and receiving	receiving
R2	pick-up ticket	CR1	collecting and receiving	collecting
R3	pre-canceled stamp mail	CR3	collecting and receiving	quality checks
R4	nonprofit standard mail	CR3	collecting and receiving	quality checks
R5	permit imprint mail	CR3	collecting and receiving	quality checks
R6	mail defects	CR4	collecting and receiving	nonconforming product
		QM4	quality manual	nonconforming product
		QM6	quality manual	preventive action
R7	failed mail	CR4	collecting and receiving	nonconforming product
		CR5	collecting and receiving	corrective action
		QM4	quality manual	nonconforming products
		QM5	quality manual	corrective action
		QM6	quality manual	preventive action
R8	tightened inspection	CR4	collecting and receiving	nonconforming product
		CR5	collecting and receiving	corrective action
		QM5	quality manual	corrective action
		QM6	quality manual	preventive action
R9	internal & reworked mail	CR3	collecting and receiving	quality checks
		CR4	collecting and receiving	nonconforming product
R10	permit weight increments	CR5	collecting and receiving	corrective action
		CR6	collecting and receiving	staging cleared mail

## Exhibits

presort bureau standard	subject	NEW standard	section	subject
<b>Staging</b>				
ST1	staging	CR6	collecting and receiving	staging cleared mail
ST2	customer applied barcodes	CR6	collecting and receiving	staging cleared mail
ST3	second pass	MP7	mail production	MLOCR/BCS Sorting
<b>MLOCR Processing</b>				
P1	sort scheme	MP3	mail production	Operators
P2	verifiers	QM6	quality manual	preventive action
		MP3	mail production	Operators
P3	cleared mail	CR6	collecting and receiving	cleared mail
P4	proper profiling	DP4	data preparation	mail parameters
		MP3	mail production	Operators
P5	defective mail	QM4	quality manual	nonconforming product
		QM5	quality manual	corrective action
P6	barcode readability	MP6	mail production	defective, damaged and spoiled pieces
P7	barcode correction	QM6	quality manual	preventive action
P8	inkjet & lens cleaning	QM4	quality manual	nonconforming product
		QM5	quality manual	corrective action
P9	double counting	MC1	maintenance and calibration	preventive maintenance
P10	tray tags	MP7	mail production	MLOCR/BCS Sorting
		QM4	quality manual	nonconforming product
P11	sweepers	MP9	mail production	labels
P12	sweepers	QM6	quality manual	preventive action
P13	trayed mail	QM6	quality manual	corrective action
		QM5	quality manual	preventive action
P14	SNGLP	PR1	presentation	staging
P15	migrating mail	MP7	mail production	MLOCR/BCS Sorting
		MP8	mail production	tray, sack or pallet
P16	mail segregation	PR1	presentation	staging
P17	move update	PM4	program management	move update
<b>PostalOne!® Transportation Management</b>				
PO1	PostalOne!® verifier	OM7	organization management	contingency plan
PO2	D & R accuracy	MP9	mail production	labels
		MP11	mail production	PostalOne!® transportation
PO3	PostalOne!® SOP	OM7	organization management	contingency plan
PO4	PostalOne!® phone lines	n/a		
<b>Containerizing</b>				
CT1	trays	MP4	mail production	quality checks
		MP8	mail production	tray, sack or pallet
		MP9	mail production	labels
		QM6	quality manual	preventive action

presort bureau standard	subject	NEW standard	section	subject
CT2	sleeving/ strapping	MP10	mail production	tray sleeving and strapping
CT3	APCs/ Pallets	MP12	mail production	containerization
<b>Presenting</b>				
PR1	mail presentation	PR1	presentation	staging
PR2	document presentation	PR2	presentation	documentation
		DP7	data preparation	data transfer/merge
PR3	failed acceptance	PR3	presentation	failed acceptance
		QM4	quality manual	nonconforming product
<b>Quality Inspection</b>				
Q1	daily receiving reviews	CR3	collecting and receiving	quality checks
		CR4	collecting receiving	nonconforming product
		QM6	quality manual	preventive action
Q2	daily MLOCR reviews	QM5	quality manual	corrective action
		MP4	mail production	quality checks
Q3	daily processing reviews	QM6	quality manual	preventive action
		MP4	mail production	quality checks
		QM5	quality manual	corrective action
Q4	daily containerizing reviews	QM6	quality manual	preventive action
		MP4	mail production	quality checks
		QM5	quality manual	corrective action
Q5	daily PostalOne!® reviews	QM6	quality manual	preventive action
		MP4	mail production	quality checks
		QM5	quality manual	corrective action
<b>Organizational Management</b>				
OM1	company vision	OM1	organization management	Management Commitment
		OM2	organization management	quality goals and objectives
OM2	org chart	OM4	organization management	organizational chart
OM3	job qualification	HR1	human resource	job description
OM4	training program	HR2	human resource	training program
OM5	management reviews	OM5	organization management	Management Meetings
<b>Process Management</b>				
PM1	machine preventive maintenance	MC1	maintenance and calibration	preventive maintenance
PM2	scale calibration	MC2	maintenance and calibration	scale certification
PM3	MASS	MC3	maintenance and calibration	software
		DP1	data preparation	software certification
PM4	MLOCR and BCS software	MC3	maintenance and calibration	software
		DP1	data preparation	software certification

## Exhibits

presort bureau standard	subject	NEW standard	section	subject
PM5	PAVE	MC3	maintenance and calibration	software
		DP1	data preparation	software certification
PM6	sort scheme accuracy	MC3	maintenance and calibration	software
		DP1	data preparation	software certification
PM7	mailing agreement	PM3	program management	agreements
PM8	customer authorizations	ME8	mailpiece elements	authorization and fees
PM9	USPS equipment	PM6	program management	USPS equipment
PM10	VAR	no new standard -- covered under DMM and mailing agreement		
PM11	Drop Ship Meters	no new standard -- covered under DMM and mailing agreement		
PM12	"What if" scenarios	OM7	organization management	contingency planning
PM13	system flowcharts	PM2	program management	process flowchart
PM14	major change notices	no new standard -- covered under DMM and mailing agreement		
PM15	document control	QM1	quality manual	document control
		QM2	quality manual	record control
PM16	move update	PM4	program management	move update
<b>Continuous Improvement Management</b>				
CIM1	Self Assessments	QM3	quality manual	audit plan and procedures
CIM2	USPS Assessments	QM3	quality manual	audit plan and procedures
CIM3	System quality trends	OM3	organization management	communicating quality goals and objectives
CIM4	Problem solving system	QM5	quality manual	corrective action
CIM6	employee knowledge	OM6	organization management	postal meetings
		OM3	organization management	communicating quality goals and objectives
		HR4	human resource	employee recognition
CIM7	training in quality	HR3	human resource	quality training
CIM8	employee recognition	HR4	human resource	employee recognition
CIM9	meetings with local postal officials	OM6	organization management	postal meetings
CIM10	customer mail improvements	CS3	customer satisfaction	customer mail improvement
CIM11	quality management system	CS1	customer satisfaction	complaint handling
	no standard previously	PM5	program management	supplier evaluation
	no standard previously	CS2	customer satisfaction	customer focus
	no standard previously	ME2	mailpiece elements	MQC certification
	no standard previously	ME4	mailpiece elements	mailpiece characteristics
	no standard previously	ME5	mailpiece elements	content
	no standard previously	ME6	mailpiece elements	postage
	no standard previously	ME7	mailpiece elements	mailpiece problems
	no standard previously	DP5	data preparation	discount rates
	no standard previously	DP5	data preparation	Postalone! ® eDoc and ePostage
	no standard previously & usually N/A to presort bureaus	ME1	mailpiece elements	pre-production
	no standard previously & usually N/A to presort bureaus	ME3	mailpiece elements	print quality

<b>presort bureau standard</b>	<b>subject</b>	<b>NEW standard</b>	<b>section</b>	<b>subject</b>
no standard previously & usually N/A to presort bureaus		DP2	data preparation	predetermined weights
no standard previously & usually N/A to presort bureaus		DP3	data preparation	address management
no standard previously & usually N/A to presort bureaus		DP6	data preparation	customer notification
no standard previously & usually N/A to presort bureaus		MP2	mail production	inserts and enclosures
no standard previously & usually N/A to presort bureaus		MP5	mail production	in-line sortation

Exhibits

6.9 Exhibit 6-9 Crosswalk of 7.3 Standards to Old (A 3.1/6.1) Standards

standard	subject	presort bureau version 6.1	list mailer version A 3.1
<b>Quality Manual</b>			
QM1	document control	PM15	PM10
QM2	record control	PM15	PM10
QM3	audit plan and procedures	CIM1, CIM2	CIM2, CIM3
QM4	nonconforming products	P5, P7, P9, R6, R7, PR3	SP11, SP13, SN2, PR3
QM5	corrective action	R7, R8, P5, P7, P13, Q1, Q3, Q4, Q5, CIM4	PM4, CIM1, SP13
QM6	preventive action	S3, S4, S5, S6, R6, R7, R8, P2, P6, P11, P12, P13, CT1, Q1, Q2, Q3, Q4, Q5	MD6, MP8, SP12, SP22, SN3, SN7, SN8, Q11, Q12, Q13, Q14, Q15, Q16, Q17
<b>Organization Management</b>			
OM1	management commitment	OM1	OM1
OM2	quality goals and objectives	OM1	OM1
OM3	communicating quality goals and objectives	CIM3, CIM6	CIM4
OM4	organizational chart	OM2	OM2
OM5	management meetings	OM5	OM6
OM6	postal meetings	CIM5	OM8, OM9
OM7	contingency plan	PO1, PO3, PM12	PM7, PO1, PO3
<b>Human Resources and Training</b>			
HR1	job description	OM3	OM3
HR2	training program	OM4	OM4
HR3	quality training	CIM7	OM5
HR4	employee recognition	CIM6, CIM8	CIM5
<b>Program Management</b>			
PM1	job control	NA	MD1, MD5, MP6, MS8, PM1
PM2	process flowchart	PM13	PM2
PM3	agreements	PM7	PM3
PM4	move update	P17, PM16	PM11, MD11, DP8
PM5	supplier evaluation	new standard for presort bureau	OM7
PM6	USPS equipment	PM9	PM6
<b>Customer Satisfaction</b>			
CS1	complaint handling	CIM11	CIM6, OM8
CS2	customer focus	new standard for presort bureau	CIM7
CS3	customer mail improvement	CIM10	PM5
<b>Maintenance and Calibration</b>			
MC1	preventive maintenance	P8, PM1	MP1, MS2, MF1, SP1, SP14, SN1, PO7
MC2	scale certification	S4, S5, PM2	MD9, MS1, PO5
MC3	software	PM3, PM4, PM5, PM6	DP2, DP4, MP2, MS3, SP3, SP5
<b>Mailpiece Elements</b>			
ME1	pre-production	n/a unless design/print	MD4, MP4, Q11
ME2	MQC certification	new standard for presort bureau	MD8
ME3	print quality	n/a unless mailpieces printed	MP4, MP5, MP7, MP8, Q11, Q13
ME4	mailpiece characteristics	new standard for presort bureau	MD2, MD10, MS7, Q13
ME5	content	new standard for presort bureau	MD3, MS7
ME6	postage	new standard for presort bureau	PR1
ME7	mailpiece problems	new standard for presort bureau	MD7
ME8	authorizations and fees	PM8	MS4, MD3
<b>Data Preparation</b>			
DP1	software certification	PM3, PM4, PM5, PM6	DP1, DP3, DP12, DP14, MS3, SP2, SP4, SP5, SP7, SP23
DP2	predetermined weights	n/a unless software is used to determine piece weights	MS5, DP5

standard	subject	presort bureau version 6.1	list mailer version A 3.1
DP3	address management	n/a unless mailings are processed using in-house or customer supplied lists	DP6, DP7, DP9, DP10
DP4	mail parameters	P4	DP13, QI2
DP5	discount rates	new standard for presort bureau	DP11, SP7
DP6	customer notification	n/a unless mailings are processed using in-house or customer supplied lists	DP16
DP7	data transfer/merge	PR2	SP26
DP8	PostalOne!®	new standard	QI2, QI7
<b>Collecting and Receiving</b>			
CR1	collecting	C1, C2, R2	n/a presort bureau only
CR2	receiving	R1	MD6
CR3	quality checks	R3, R4, R5, R9, Q1	n/a presort bureau only
CR4	nonconforming product	R6, R7, R8, R9, Q1	MD6
CR5	corrective action	R7, R8, R9	CIM6
CR6	staging cleared mail	R10, P3, ST1, ST2	MS10, SP6
<b>Mail Production</b>			
MP1	setup	S2, S3	MP3, MS6, SP24, QI3
MP2	inserts and enclosures	new n/a for presort bureau	MF2
MP3	operators	P1, P2, P4	SP8, SP10, MS6
MP4	quality checks	CT1, Q2, Q3, Q4, Q5	SP12, SP18, QI3, QI4, QI5, QI6, MS7, MF2
MP5	in-line sortation	n/a when mail is solely processed on MLOCR/BCS	SN4, SN8, DP11, DP15
MP6	defective, damaged and spoiled pieces	P5	MS9, PM9
MP7	MLOCR/BCS sorting	ST3, P9, P15	SP6, SP9, SP15, SP20, SP25
MP8	tray, sack or pallet	CT1, P15	SP17, SP20, SN6
MP9	labels	PO2, P10, CT1	SP16, SN5, PO2, DP14, SP23
MP10	tray sleeving and strapping	CT2	CT2
MP11	PostalOne!® Transportation	S6, PO2	PO6
MP12	containerization	CT3	CT3, QI6
<b>Presentation</b>			
PR1	staging	P14, P16, PR1	SP19, SP21, PR1
PR2	documentation	PR2	PR2, QI2
PR3	failed acceptance	PR3	PR3
no new standards		S1, PO4, PM10, PM11, PM14	CT1, PM8, DP15

## 6.10 Exhibit 6-10 Application Checklist

To request an external quality audit through the MPTQM Program Manager:

Perform 3 self-audits at a minimum of 30-day intervals. The most recent audit must have a score of 95% or greater.

Submit the Application Checklist with the following documents to:

**MPTQM PROGRAM MANAGER  
BUSINESS MAILER SUPPORT  
475 L'ENFANT PLAZA SW  
ROOM 2P846  
WASHINGTON DC 20260-0846:**

From the last 3 self-audits include the following:

- Audit checklist (with comments section completed briefly explaining how you satisfy the criteria)
- Audit summary (list of standards that are concerns or nonconformances and explanations)
- One completed copy of each type of record reviewed during the last audit  
(As an example, if a checklist is used to meet the standard - submit the most recent page of the checklist that was completed; for job descriptions - submit a copy of one job description reviewed)

From your MTPQM program include the following:

- 2 hard copies quality manual
- 2 hard copies of documents/forms
- 2 electronic copies of MPTQM program including quality manual and documents/ forms  
(preferably a "zipped" Microsoft Word file submitted via email or on a CD.)

The USPS will conduct an external audit once the following steps have been completed:

- Your MPTQM program has been fully implemented
- Your 3 self-audits have been conducted
- You have corrected any shortcomings discovered in your audits
- Your last self-audit must have scored 95% or greater
- Your procedures or documents used to support each standard reference the applicable standard. (This can be done near the header or footer of the document.)
- Your accuracy rating is acceptable
- You successfully pass the USPS desk audit

*Thank you for your commitment to quality.*

## 7 Additional Resources

Additional program information may be found at <http://www.usps.com/mptqm/>.

Questions regarding MPTQM may be emailed to [mptqm@usps.gov](mailto:mptqm@usps.gov).

## Additional Resources

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# 8 MPTQM Terms and Definitions

The following MPTQM Terms and Definitions are provided to promote understanding of the MPTQM program. This list is not inclusive and may be updated as needed.

## Accuracy Rating

The results of USPS verifications conducted on all mailing presented. This is determined by dividing the number of mailings that pass verifications by the total number of verifications conducted. For example: If there were 100 MERLIN verifications conducted and 98 passed, the accuracy would be 98 divided by 100 or 98%. If 150 MPCV were conducted and 147 passed verification the accuracy would be 98%.

## Application package

This package contains all the supporting documentation; such as the quality manual, written procedures, forms, checklists, etc that have been created and used by the mailer to support their quality program.

## Audit

The systematic way of verifying a procedure, action, and outcome meets a specified standard and is effective. A review is also known as an audit.

## Audit evidence

Audit evidence is the documentation of findings. This written evidence contains information regarding sampling records, interviews, and observations. Audit evidence is objective and verifiable.

## Audit findings

There are four types of audit findings: nonconformance, concern, opportunity for improvement and best practice.

## Audit Plan

The audit plan is the written description of how internal audits are conducted. The plan **must** contain a schedule of activities, who will participate, when the audit is to be conducted.

## Audit Report

The audit report is the documented results of an audit.

## Audit Summary

The audit summary should include the mailer's name, auditor name(s), score of the audit, number of nonconformances, concerns, and/or opportunities for improvement and a listing of each nonconformance, concern, and opportunity for improvement.

## **MPTQM Terms and Definitions**

### Audit Types

A first-party audit is an internal audit conducted by management on its quality program. A second-party audit is generally conducted on suppliers. A third-party audit is an external audit conducted by an outside party to determine if the customer has met the standards of the quality program.

### Best Practice

This is something done extremely well that deserves recognition and has not been seen in any MPTQM audits.

### Certification

MPTQM certification is earned by companies that successfully pass a USPS external audit with a score of no less than 95%.

### Conformance

A conformance means the procedure meets the purpose of the standard and all elements of the standard have processes and/or procedures in place and are being followed.

### Concern

A concern is identified when a mailer's process or procedure has not met the purpose of a standard and this has not been identified in any previous audits. A concern is also identified when the process/procedure being followed meets the intent of the standard; however, the performance does not meet the procedure in place. A concern may become a major or minor nonconformance if not addressed before a subsequent audit.

### Consolidator

A mailer who collects mail (i.e. parcels, flats) from multiple clients and presorts them into mailings that are presented to the USPS.

### Corrective Action

A corrective action is the systematic investigation of discrepancies to identify the root cause and implementation of solutions in an attempt to prevent the recurrence of an identified problem.

### Corrective Action Record

A completed corrective action request showing all steps taken to correct and prevent future occurrences of the same type.

### Corrective Action Request (CAR)

A corrective action request is a formal request for corrective action. Generally it is issued as the result of an internal or external audit when a nonconformance is identified. A corrective action request may be issued anytime a nonconformance is identified or the quality program's outcome does not meet the expected results.

### Document

A document is any form, letter, procedure, instruction, or any other piece of paper or electronic image used in your operation. A document may be updated or changed as needed.

### External Audit

An audit conducted by the USPS on a potential or certified MPTQM mailer; also known as a third-party audit.

### Goal

A goal is a broad statement describing a desired future condition of achievement without being specific about how much and when (e.g., provide customer satisfaction through quality mailings submitted to the USPS).

### In-Line

In-line is a process in which mailpieces are created and sorted in sequence from address lists.

### Internal Audit

An audit conducted by the mailer on its own quality program; also known as a first-party audit.

### List Mailer

A mailer who may or may not control the design and manufacture of the mailpiece and primarily uses address lists to presort mailings.

### Major Nonconformance

A major nonconformance is identified when audit evidence indicates that all of the elements of a standard have not been met or a previous minor nonconformance has not been corrected. A major nonconformance results in the loss of all points for the standard.

### Measurable Goals

Goals which can be quantified using some form of measurement (e.g., the goal of maintaining 98% accuracy on MERLIN verifications is a measurable goal)..

### Minor Nonconformance

A minor nonconformance is identified when one or more of the elements have not been met or the outcome (product) of the quality program has been affected. Points are deducted based on audit elements.

### Nonconformance

A nonconformance results when a standard or part of a standard has not been met or there is evidence that the outcome of the quality program has been affected. There are two types of nonconformances a major nonconformance resulting in the loss of all points for the standard and a minor nonconformance resulting in the loss of points for each applicable audit element

### Non-conforming Products

A non-conforming product does not meet a specified quality standard. A mailing that fails any USPS verification is considered a non-conforming product.

### Objectives

An objective is a statement of a desired specific short-term condition or achievement; including measurable end results to be accomplished within time limits (e.g. MERLIN and MPCV verification results can be used to measure that quality mailings are submitted to the USPS).

### Off-Line

Off-line is a process in which finished mailpieces are sorted after production (i.e., a location where mailpiece generation and sorting are two separate processes).

### Opportunity For Improvement

An opportunity for improvement is a situation where it has been determined or identified there may be a better way to meet the standard.

## MPTQM Terms and Definitions

### Presort Bureau

A presort bureau is a mailer who collects mail (letters or flats) from multiple clients and presorts them using MLOCR/BCS technology into mailings that are presented to the USPS.

### Priority level

Priority level is the order of desired attention.

### Probation

The status of an MPTQM-certified mailer who has lost reduced frequency and rolling average privileges.

### Problem solving

Problem solving is the act of defining a problem; determining the cause of the problem; identifying, prioritizing and selecting alternatives for a solution; and implementing a solution.

### Product

A product is the goods or services produced by a company..

### Record

A record is a form, document, or other communication where information is recorded. Once data has been entered on a document, either manually or electronically, it becomes a record.

### Reorders

Mailpieces that were damaged or destroyed during the production process and are regenerated. These pieces are designated as immediate or non-immediate reorders.

### Root Cause

A root cause is the ultimate factor that caused a nonconformance.

### Scale Certification/Calibration

A process conducted by an industry recognized company or qualified technician performed according to manufacturer specifications to ensure scale accuracy.

### Scope of an Audit

Mailers may elect to certify the entire mailing operation or limit the certification to the list mailer operation, presort bureau operation, or consolidator only. The auditors will look at the standards applicable to the mailing operation being audited.

### Severity of an Issue

Used to determine when and what type of corrective action must be used to correct or improve a process or procedure. EXAMPLE: Low Severity – Results in little or no effect on the goods or service furnished. High Severity – Results in the goods or service being rejected or unusable.

### Spoilage

Spoilage is mailpieces that are damaged during production process. These pieces will not be entered into mailstream and will not be re-created.

### Standard

A standard is a stated requirement to which mailers must demonstrate or document compliance.

### Supplier

Suppliers are vendors who provide equipment, parts, mailing supplies or products, software, etc. or clients submitting mailpieces.