

**Bulk Proof of Delivery Program**

Publication 80

January 2008  
Transmittal Letter

- A. Explanation:** This publication will assist mailers participating in the Express Mail Manifesting (EMM) program or those using special services to obtain proof of delivery records in bulk rather than by individual requests.

Providing customers with added value, such as easily accessible information for our products and services, is an important part of the Transformation efforts of the U.S. Postal Service®. We're working to continue to provide affordable, universal service — when and where you need it.

- B. Availability:** This publication is available online on the Postal Service™ Internet:

- Go to [www.usps.com](http://www.usps.com).
- Click on *About USPS & News*, then *Forms & Publications*, then *Postal Periodicals and Publications*, and then *Publications*.

It is also available on the Postal Service PolicyNet Web site:

- Go to <http://blue.usps.gov>.
- Under “Essential Links” in the left-hand column, click on *References*.
- Click on *Publications*.

(The direct URL for the Postal Service PolicyNet Web site is <http://blue.usps.gov/cpim>.)

- C. Comments on Content.** Send comments and suggestions about the content of this publication to the following address:

PRODUCT INFORMATION REQUIREMENTS  
US POSTAL SERVICE  
475 L'ENFANT PLZ SW RM 4000 NB  
WASHINGTON DC 20260-4000

- D. Effective Date.** This publication is effective January 2008.



Nicholas Barranca  
Vice President  
Product Development



# Contents

- 1 Introduction..... 1**
- 2 Participation ..... 3**
  - 2-1 Eligible Mailers ..... 3
  - 2-2 DUNS/Mailer ID Number..... 4
  - 2-3 Certification..... 5
  - 2-4 PS Form 5053..... 5
  - 2-5 Key Codes ..... 6
  - 2-6 Third-Party Designee Solution ..... 6
    - 2-6.1 Selecting a Third-Party Designee ..... 6
    - 2-6.2 Changing a Third-Party Designee..... 7
    - 2-6.3 Removing a Third-Party Designee ..... 7
  - 2-7 Populating the Electronic File ..... 8
    - 2-7.1 Electronic File Type Code ..... 8
    - 2-7.2 DUNS Number ..... 8
    - 2-7.3 Special Services Code and Fee ..... 9
    - 2-7.4 Customer Reference Number ..... 9
  - 2-8 Customer Support ..... 9
  - 2-9 Payment ..... 10
    - 2-9.1 Fees..... 10
    - 2-9.2 Payment Options..... 10
  - 2-10 Payment Failure ..... 11
    - 2-10.1 Signature Extract File Option ..... 11
    - 2-10.2 CD-ROM Option ..... 11
  - 2-11 Completing PS Form 5054 ..... 12
- 3 Technical Solution ..... 13**
  - 3-1 Proof of Delivery Letter Facsimile Format ..... 13
  - 3-2 Indexing and Naming Conventions..... 14
  - 3-3 Letter Contents..... 17
  - 3-4 Signature Extract File or CD-ROM Options ..... 18
    - 3-4.1 Overview ..... 18
    - 3-4.2 Signature Extract File ..... 18
    - 3-4.3 CD-ROM ..... 19
  - 3-5 File Creation ..... 19
  - 3-6 System Requirements..... 20

This page intentionally left blank

# Exhibits

Exhibit 2-1  
Participation Checklist. . . . . 4

Exhibit 2-4  
PS Form 5053, Bulk Proof of Delivery Program Application. . . . . 6

Exhibit 2-11  
PS Form 5054, Bulk Proof of Delivery Payment Authorization Form . . . . . 12

Exhibit 3-1  
Sample Letter Facsimile in PDF Format . . . . . 14

Exhibit 3-2  
Sample Table of Contents in PDF Format. . . . . 17

This page intentionally left blank

# 1 Introduction

The United States Postal Service® allows mailers who purchase Signature Confirmation™ service or Express Mail® service to request individual proof of delivery records in letter format by e-mail, fax, or mail. Customers can make these requests through the Track & Confirm site on [usps.com](http://usps.com) or by calling 800-222-1811. Additionally, customers who purchase other extra services (previously called “special services”), such as Certified Mail™ service, can obtain individual proof of delivery records with recipient signatures by purchasing return receipt service. Return receipt service is available for purchase either at the time of mailing or after mailing, although the electronic return receipt service is available only at the time of mailing.

To better serve customers who send many items through the mail and want proof of delivery for all (or most) of those items, the Postal Service™ offers a bulk proof of delivery service. Bulk proof of delivery service meets three key customer needs:

- a. It frees the customer from having to request individual proof of delivery records or from placing PS Form 3811, *Domestic Return Receipt*, on each mailpiece.
- b. It allows mailers to retain signature records for longer than the Postal Service’s retention period.
- c. It provides mailers with a more efficient way to handle signature records.

Bulk proof of delivery service is available to mailers who participate with the following programs:

- a. Express Mail Manifesting (EMM).
- b. Signature Confirmation electronic option.
- c. Signature Confirmation retail option (when the customer prints its own labels).
- d. Certified Mail service, Registered Mail™ service, insured mail (more than \$200), and collect on delivery (COD) mail (when the customer prints its own labels and purchases return receipt service at the time of mailing).

Certified Mail service, Registered Mail service, insured mail (more than \$200), and COD mail customers requesting participation in the bulk proof of delivery program meet the “at the time of mailing” criteria because they agree to pay for all records. Mailers can make payment at the time of mailing (with the payment included in the postage affixed to the mailing) or with a credit card at the time the Postal Service compiles and provides the records. These

customers can find additional information on the bulk proof of delivery program in Publication 109, *Extra Services Technical Guide*.

At this time, records are available for items delivered only in the United States, including Alaska, Hawaii, the U.S. Virgin Islands, and Puerto Rico.

Participants in the bulk proof of delivery program must have a Postal Service-issued Mailer ID number.

**Note:** A participant who was in the program before August 2007 may continue to use the Data Universal Numbering System (DUNS®) number as the customer's Mailer ID number. (A DUNS number is a unique nine-digit number assigned by Dun & Bradstreet to identify a business.) Throughout this publication, the term "DUNS number" refers to the customer's unique nine-digit number, whether it is actually a DUNS number or a Mailer ID number. See [2-2](#) for more information.

A mailer may choose to have a third-party designee (consolidator, software vendor, etc.) receive its records. See [2-6](#) for more information.



# 2 Participation

## 2-1 Eligible Mailers

---

The bulk proof of delivery program is available to the following mailers:

- a. Mailers who participate in the Express Mail Manifesting (EMM) program.
- b. Mailers who use the Signature Confirmation service electronic option program.
- c. Mailers who use return receipt service with Certified Mail service, Registered Mail service, insured mail (more than \$200), collect on delivery (COD) mail, or Signature Confirmation service with labels that include the mailer's DUNS number (i.e., Signature Confirmation labels that mailers have printed themselves or that mailers have had printed on their behalf by the Postal Service or a third-party designee).
- d. Mailers who use return receipt service with Certified Mail service, Registered Mail service, insured mail (more than \$200), COD mail, or Signature Confirmation service with labels that include the DUNS number of a third-party designee (consolidator or vendor). In these instances, the third-party designee must submit an electronic file with the client's DUNS number placed in the Client DUNS number field in Record Position 122–130 in Detail Record 1.

Additional information on electronic file transmission and the Client DUNS number field is included in Publication 91, *Confirmation Services Technical Guide*.

Mailers who use labels procured from a Postal Service retail location (i.e., labels that do not contain the mailer's or third-party designee's DUNS number) cannot participate in the bulk proof of delivery program.

Some tasks that an applicant must complete are noted in [Exhibit 2-1](#) and discussed later in this chapter.

## Exhibit 2-1

**Participation Checklist**

1. Obtain a mailer ID number (or use a DUNS number already known by the Postal Service).
2. Receive certification (or use a certified third-party designee) for printing labels and/or sending/receiving files.
3. Designate whether the mailer or third-party designee will receive the records.
4. Complete PS Form 5053, *Bulk Proof of Delivery Application*.
5. Complete PS Form 5054, *Bulk Proof of Delivery Application Payment Authorization (if applicable)*.

## 2-2 DUNS/Mailer ID Number

---

Essential to procedures described in this publication is a unique nine-digit number used to identify a business. Throughout this publication, the nine-digit number is referred to as a DUNS® number — DUNS is an abbreviation for Data Universal Numbering System, which is administered by Dun & Bradstreet. Previously, Postal Service customers had to obtain a DUNS number in order to participate in the programs described in this publication. However, effective August 2007, the Postal Service replaced the DUNS number with a Mailer ID number — but this change does not impact any customer who had previously used a DUNS number, because the customer’s DUNS number still serves as the customer’s Mailer ID number. A new customer who applies for services will be assigned a Mailer ID number by Confirmation Services Support. Throughout this publication, the term “DUNS number” refers to the customer’s unique nine-digit number, whether it is actually a DUNS number or a Mailer ID number.

A participant must include its DUNS number in the label and/or electronic file in order for the Postal Service to compile records for this service. A mailer or its third-party designee must complete the appropriate certification process to begin using a DUNS number with its mailings (see [2-3](#)).

The Postal Service extracts information based on the “highest priority” BPOD-participating DUNS number in the electronic file. The possible locations for the participating DUNS number (in the order of precedence) are as follows:

1. Client DUNS number in Detail Record 1. If the customer is using a third-party designee, the DUNS number of the mail owner (the customer) will typically go in this field. However, if the customer prints its own labels (and its DUNS number is in the Package Identification Code (PIC) — the PIC is synonymous with the term “label ID”), then this field should contain all zeros.
2. PIC in Detail Record 1. The DUNS number within the PIC should be that of the private barcode printer (either the mail owner (customer) or the third-party designee).
3. Electronic File Number in the Header Record. The DUNS number included as part of the Electronic File Number in the Header Record

must contain the DUNS number of the entity that actually transmits the file.

The mailer is responsible for working with the third-party designee to ensure that the third-party designee provides the proper information to the Postal Service in the electronic file. See more information on correctly populating the electronic file in [2-7](#).

A single mailer may use multiple DUNS numbers; however, mailers with multiple DUNS numbers must register each DUNS number during certification.

A mailer can choose whether to receive either Signature Extract Files or CD-ROMs for each registered DUNS number, or to consolidate the various files under one DUNS number. If the mailer chooses to receive separate files for each DUNS number, the mailer must complete a separate PS Form 5053 for each DUNS number.

## 2-3 Certification

---

To participate in the bulk proof of delivery program, a mailer (or the mailer's third-party designee) must receive the appropriate certification to print labels or send and/or receive files. Certification information for Confirmation Services is available in Publication 91. Information regarding label certification for all other extra services is covered in Publication 109. Certification for Express Mail Manifesting is included in Publication 97, *Guide to Express Mail Manifesting*. Many consolidators/vendors have already received certification for label printing and/or sending electronic files. If applicable, a mailer should check with its third-party designee to see if additional certification is required.

## 2-4 PS Form 5053

---

After completing the general certification process, a mailer must submit PS Form 5053, *Bulk Proof of Delivery Program Application*, to request participation in the bulk proof of delivery program (see [Exhibit 2-4](#)). PS Form 5053 includes instructions for submitting the form.

In all cases, the *mailer* must complete the PS Form 5053. When the mailer chooses to have a third-party designee receive its files, the mailer must indicate on PS Form 5053 the third-party designee and record the third-party designee's DUNS number. PS Form 5053 serves as mailer authorization for the U.S. Postal Service to release proof of delivery records to a third-party designee.

Listed below are some (but not all) of the choices that a mailer must make when completing PS Form 5053:

- a. Choose between a Signature Extract File or a CD-ROM.
- b. Choose whether the mailer or a third-party designee will receive files.

- c. Choose who will send the electronic file (if applicable — required for mailers choosing the Pay at Mailing option).
- d. Choose payment method (postage meter or PC Postage® for the Pay at Mailing option, or credit card for the Pay as Compiled option).
- e. Choose whether an electronic file will always or will never be sent (if applicable — required for mailers choosing the Pay as Compiled option and receiving CD-ROMs).

**Note:** If a customer indicates that it or its third-party designee will provide an electronic file and none is provided, no bulk proof of delivery records will be created. If a customer indicates that it will not provide an electronic file, the DUNS number within the PIC will be used to identify the mailpiece as eligible for the bulk proof of delivery program.

- f. Choose whether to receive proof of delivery records that are combined into one file or that are parsed into individual files.

Exhibit 2-4

**PS Form 5053, Bulk Proof of Delivery Program Application**

Click on the link below to see the latest edition of PS Form 5053.

[www.usps.com/forms/\\_pdf/ps5053.pdf](http://www.usps.com/forms/_pdf/ps5053.pdf)

## 2-5 Key Codes

---

Key codes protect signature data files. After processing and approving a mailer's participation request, the Postal Service provides the mailer or the third-party designee with the appropriate information, as follows:

- a. If the mailer will receive its own records, the Postal Service Confirmation Services Customer Support team sends an e-mail to the customer point of contact with the mailer's key code information.
- b. If a third-party designee will receive a mailer's records, the Postal Service Confirmation Services Customer Support team sends an e-mail to the third-party designee informing the designee of the mailer's activation date for the program. The Postal Service will send the mailer's records to the third-party designee using the third-party designee's key code.

## 2-6 Third-Party Designee Solution

---

### 2-6.1 Selecting a Third-Party Designee

A mailer may choose to have a third-party designee receive its records. In these cases, the Postal Service releases proof of delivery information to the mailer's approved third-party designee. If the mailer does not give approval for a third-party designee, then a third-party designee cannot receive proof of delivery letters on behalf of the mailer.

When a mailer joins the bulk proof of delivery program and indicates that a third-party designee is to receive its records, the Postal Service sends an e-mail to the third-party designee informing the designee of the mailer's activation date for the program.

Each third-party designee has one universal key code for all records it receives, regardless of the number of mailers. When managing records for multiple mailers, the third-party designee must separate each mailer's records and provide each mailer with access to only its records. Under no circumstances can a third-party designee share its universal key code or allow one mailer to access the records of another mailer.

A third-party designee who has mailers wishing to participate in the bulk proof of delivery program must ensure that each customer completes PS Form 5053, which serves as authorization for the third-party designee to receive that mailer's records. As indicated in [2-1](#), the third-party designee must place the mailer's DUNS number in the PIC or in the Client DUNS Number field in the electronic file, Detail Record 1.

For each individual mailer that the third-party designee represents, the Postal Service may send to the third-party designee two separate types of PDF files:

- a. One type of PDF file contains all of the mailer's proof of delivery records (with a maximum of 1,000 proof of delivery records per file).
- b. The other type contains a corresponding Table of Contents.

If the third-party designee requests files on CD-ROMs, both types of PDF files will be on the CD-ROM; if the third-party designee requests Signature Extract Files, the Postal Service will send two separate types of PDF files. For example, if a third-party designee represents 20 mailers, it will receive 20 CD-ROMS (if using the CD-ROM option) or at least 40 individual PDF files (if using the Signature Extract File option).

**Note:** No Table of Contents file is provided when the customer elects to receive records individually. See [3-1](#) for more information.

A third-party designee who wishes to receive its own delivery records for personal mailings must establish a separate DUNS number and place it in the Detail Record 1 or Header Record (as stated in [2-1](#)), or must use a unique DUNS number in its PIC and files.

## 2-6.2 **Changing a Third-Party Designee**

If a customer decides to switch to a different third-party designee to receive its records, the mailer must complete and submit a new PS Form 5053. The Postal Service will process the request and send to the new third-party designee an e-mail containing the new mailer's information, and the new third-party designee will use its existing key code to access the mailer's records. The Postal Service will begin using the new third-party designee's key code to protect the mailer's records.

## 2-6.3 **Removing a Third-Party Designee**

If a mailer decides to switch from having a third-party designee receive its records to receiving its own records itself, the mailer must complete and

submit a new PS Form 5053. Once the mailer has been appropriately certified to participate in the program and has established all necessary accounts (such as an FTP account if applicable), the Postal Service will process the request and send to the mailer an e-mail containing the mailer's new key code. The Postal Service will begin using the mailer's new key code to protect the mailer's records.

## 2-7 Populating the Electronic File

---

Publication 91 provides in-depth information concerning population of the electronic file. (See [2-1](#) for additional information about which types of bulk proof of delivery participation necessitate the use of an electronic file.) For participation in the bulk proof of delivery program, however, mailers must ensure that specific aspects of their electronic files conform not only to the rules outlined in Publication 91 but also to rules specific to this program. Note that a record in an electronic file might pass all error checks necessary for tracking, yet that record might not pass all edits necessary for bulk proof of delivery, therefore disqualifying that mailpiece from being part of a customer's Signature Extract File or CD-ROM.

### 2-7.1 **Electronic File Type Code**

For records to qualify for inclusion in the program, the electronic file must contain an appropriate electronic file type code in the Header Record (position 003). The following list contains the correct electronic file type codes to use for each service:

- a. For Signature Confirmation service, use Electronic File Type Code 2.
- b. For Express Mail service, use Electronic File Type Code 3.
- c. For Certified Mail service, use Electronic File Type Code 7.
- d. For Registered Mail service, use Electronic File Type Code 6.
- e. For insured mail (more than \$200), use Electronic File Type Code B.
- f. For COD mail, use Electronic File Type Code 8.

### 2-7.2 **DUNS Number**

As noted in earlier sections, mailers may elect to send their own electronic files or to have a third-party designee do so on their behalf. When using a third-party designee, a mailer must ensure that its DUNS number is included in the appropriate part of the electronic file. The options for DUNS number placement when using a third-party designee are as follows:

- a. A third-party designee mails one or more clients' mail using a unique DUNS number assigned to the client(s) (the bulk proof of delivery mailer) and places the number(s) in the Client DUNS Number field of Detail Record 1 (positions 122–130). The third-party designee then places its own DUNS number into the PIC and into the electronic file number within the Header Record.
- b. A third-party designee mails one or more clients' mail using a unique DUNS number assigned to the client(s) and places the number(s) into

the PIC field of Detail Record 1 (positions 005–026). The Client DUNS Number field of Detail Record 1 (positions 122–130) is left as the default (all zeroes). The third-party designee then places its own DUNS number into the electronic file number within the Header Record.

If a customer decides to submit its own electronic file, the DUNS number that it registered for the bulk proof of delivery program may be placed into the Client ID field, the PIC, or the electronic file number within the Header Record.

### 2-7.3 **Special Services Code and Fee**

Mailers electing to receive bulk proof of delivery records for Certified Mail service, Registered Mail service, insured mail (more than \$200), or COD mail must indicate an appropriate Special Services Code and Fee in their electronic files. The correct Special Services Code is 06 (return receipt). The current return receipt fee is available as follows:

- a. See the rates and fees section of *Mailing Standards of the United States Postal Service, Domestic Mail Manual (DMM®)* — under “Extra Services,” go to “Return Receipt.” Note that the appropriate rate is “requested at time of mailing (receive electronically).”
- b. Visit [usps.com/rates](https://usps.com/rates) and select *Extra Services* and then *Return Receipt*. Note that the appropriate rate is “requested at time of mailing (receive electronically).”

Mailers may choose to include this code and fee for every Detail Record in the electronic file, or just for some records. Return receipts will be generated only for those mailpieces for which the code and fee are included.

Customers electing to receive bulk proof of delivery records for Signature Confirmation service or Express Mail service do not need to indicate a special services code or fee in their electronic files.

### 2-7.4 **Customer Reference Number**

If a customer includes information within the Customer Reference Number field of the electronic file (positions 131–160 in Detail Record 1), that information will be included on the return receipt that is produced for that mailpiece. See [Exhibit 3-2](#) for an example of the Customer Reference Number within the return receipt. Note that the Postal Service does not validate or edit this information. The Postal Service does not recommend use of this field for personally identifiable information such as Social Security numbers.

## 2-8 **Customer Support**

---

The Postal Service’s Technical Support Team is available to assist mailers with certification and applications for the bulk proof of delivery program. Publication 91 provides complete information on certification procedures.

The mailer must complete and submit PS Form 5053 to the Technical Support Team as indicated on PS Form 5053.

Technical support for existing bulk proof of delivery mailers is as follows:

- a. Signature Extract File: Technical support for file transfer problems or issues is available by calling 877-264-9693, Option 2.
- b. CD-ROM: For a lost or damaged CD-ROM, contact the Technical Support team at 877-264-9693, Option 1, for a replacement. Replacement CD-ROMs are available for 30 days after the creation date.

## 2-9 Payment

---

### 2-9.1 Fees

Proof of delivery records are included in the price of Signature Confirmation service and Express Mail manifest items.

For other extra services, such as Certified Mail, Registered Mail, insured mail (more than \$200), and COD mail service, there is a return receipt fee for every record. This fee is in addition to postage and must be paid at the time of mailing or at the time of record compilation. The current return receipt fee is available as follows:

- a. See the rates and fees section of *Mailing Standards of the United States Postal Service*, Domestic Mail Manual (DMM®) — under “Extra Services,” go to “Return Receipt.” Note that the appropriate rate is “requested at time of mailing (receive electronically).”
- b. Visit [usps.com/rates](http://usps.com/rates) and select *Extra Services* and then *Return Receipt*. Note that the appropriate rate is “requested at time of mailing (receive electronically).”

**Note:** The party who receives the records is responsible for payment. If a mailer chooses to use a third-party designee, then the third-party designee is responsible for making payments to the Postal Service. If a mailer receives the records, then the mailer is responsible for making payments.

### 2-9.2 Payment Options

#### 2-9.2.1 Pay at Mailing

The Pay at Mailing option requires that, prior to mailing, the mailer (or third-party designee) must send an electronic file that shows that the mailer (or third-party designee) has paid the extra service fee for the return receipt (Electronic) on the mailpiece. The mailer (or third-party designee) must pay postage using a postage meter or PC Postage. This fee information appears starting in Record Position 080 in Detail Record 1 of the electronic file.

The file must contain the appropriate special service code (06) and the appropriate fee. If the file does not indicate the correct fee, or if the Postal Service does not receive the file, or if the Postal Service refuses the file because of errors, then the Postal Service will not be able to provide the records for that mailpiece. (See Publication 91 or Publication 109 for details on special service codes and file errors.)



### 2-9.2.2 **Pay as Compiled**

With this option, a mailer must provide information regarding a credit card account that the Postal Service charges each time that it compiles records. The Postal Service's National Customer Support Center (NCSC) processes the payments. For example, if a mailer has chosen the Signature Extract File option, then each Monday morning when the Postal Service generates files the NCSC will charge the appropriate amount to the credit card account on file based on the number of records provided. If a mailer has chosen the CD-ROM option, then the NCSC will charge the appropriate amount to the credit card account on file on the first and fifteenth of the month when the Postal Service compiles the CD-ROMs.

An electronic file is not required for these mailings (unless the mailer or third-party designee is using electronic option Signature Confirmation service or Express Mail manifesting).

The Postal Service will provide the mailer or third-party designee with a copy of the charge slip and a summary report of the number of records provided.

## 2-10 Payment Failure

---

### 2-10.1 **Signature Extract File Option**

If the payment fails and the mailer or third-party designee does not make restitution, the Postal Service will deactivate the mailer's account. The Postal Service may release the current files but will not compile records, and the mailer or third-party designee cannot retrieve files for the period of time that the account is delinquent. Those records will not be accessible/provided via the bulk proof of delivery program. Once the mailer or third-party designee makes the appropriate payment, the Postal Service will reactivate the account and will resume compiling records on the date the payment is processed.

### 2-10.2 **CD-ROM Option**

If the payment fails, the Postal Service will not release the CD-ROM. If attempts for restitution fail, the Postal Service will deactivate the mailer's account. The Postal Service will not compile records, and the mailer or third-party designee cannot retrieve files for the period of time that the account is delinquent. Those records will not be accessible/provided via the bulk proof of delivery program. Once the mailer or third-party designee makes the appropriate payment, the Postal Service will release the current CD-ROM and will reactivate the account. The Postal Service will resume compiling records on the date the payment is processed.

## 2-11 Completing PS Form 5054

---

Before the Postal Service can activate the Pay as Compiled payment option for a mailer using fee-based services such as Certified Mail, Registered Mail, insured mail (more than \$200), and COD mail service, the mailer or the mailer's third-party designee must complete PS Form 5054, *Bulk Proof of Delivery Application Payment Authorization* (see [Exhibit 2-11](#)).

**Note:** If the mailer is receiving and paying for the records, then the mailer must complete PS Form 5054, but if the mailer has chosen a third-party designee to receive/manage its files and make payment, then the third-party designee must complete PS Form 5054 (and indicate the mailer's DUNS number). Instructions for submission are included on PS Form 5054.

PS Form 5054 is required only for the Pay as Compiled option. The only Pay as Compiled payment option is through a credit card. Pay at Mailing option customers pay for their records at the time of mailing, which requires an electronic file.

Exhibit 2-11

### **PS Form 5054, Bulk Proof of Delivery Payment Authorization Form**

Click on the link below to see the latest edition of PS Form 5054.

[www.usps.com/forms/\\_pdf/ps5054.pdf](http://www.usps.com/forms/_pdf/ps5054.pdf)

# 3 Technical Solution

## 3-1 Proof of Delivery Letter Facsimile Format

---

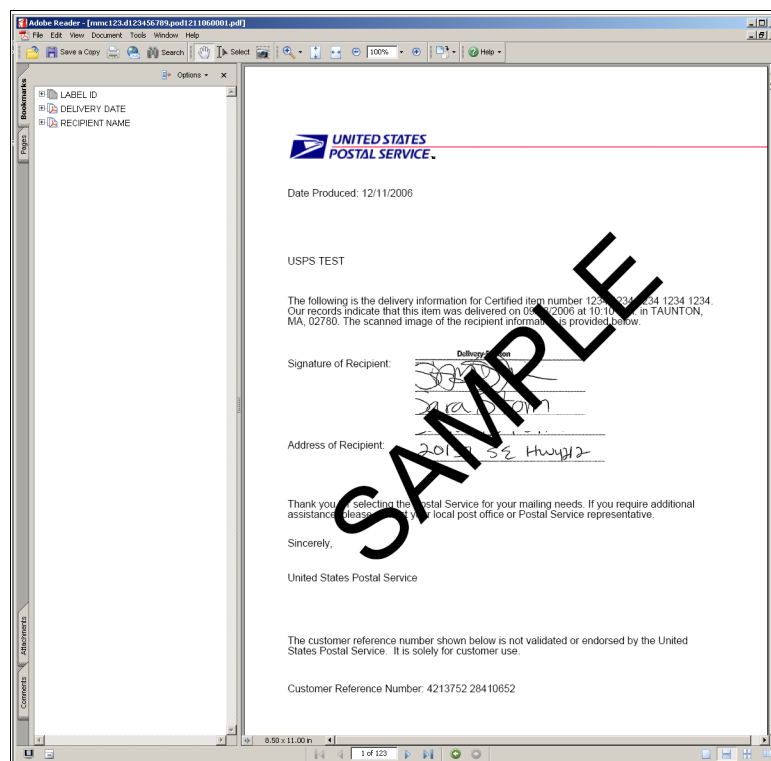
The Postal Service extracts mailpiece delivery data and associated signature and address images for participating mailers. The Postal Service produces letter facsimiles of delivery records, along with a Table of Contents file, and presents them to the mailer or the mailer's approved third-party designee in Adobe PDF format. A new feature of the bulk proof of delivery program is that customers may elect to receive their proof of delivery letters combined into one PDF file (with a maximum of 1,000 records per PDF file) or as individual PDF files (one delivery record per PDF file).

- a. The combined option has been available since the program began. When combined, the Signature Extract File mailers will receive at least two PDF files: one containing the letter facsimiles and one containing the Table of Contents. A mailer who has more than 1,000 return receipts will receive additional PDF files, with a maximum of 1,000 proof of delivery records per file. (For example, a mailer who has 2,632 records will receive three PDF files, the first two containing 1,000 records each and the third one containing 632 records, along with a Table of Contents file.) Customers using the CD-ROM mechanism with the combined method will receive two files only: one PDF file containing the proof of delivery records, and one PDF file containing the Table of Contents. There is no 1,000-record limit per PDF file for the CD-ROM mechanism.
- b. The individual letters option is new as of October 2007. Signature Extract File mailers who elect the new individual letter option will receive one PDF file for each delivery record that is included in the run. For instance, if a customer has 500 records, it will receive 500 PDF files. No Table of Contents file is included with the individual letter option. For CD-ROM mailers, the individual letter option works the same as with the Signature Extract File mechanism. Note that for ease of transmission, the individual PDF files are compressed, with 1,000 PDF files per compressed file. The mailer launches records in Adobe Acrobat Reader by selecting the PDF file. (Mailers can download Adobe Acrobat Reader at [www.adobe.com/products/acrobat/readstep2.html](http://www.adobe.com/products/acrobat/readstep2.html).)

The Postal Service indexes and provides records by the label ID, the delivery date, and the recipient's name (when available). A mailer or third-party designee has easy access to any specific letter facsimile by index and search

functions. The Postal Service protects all PDF files using 128-bit RC4 encryption techniques and provides a customer-specific key code to the mailer or the mailer's approved third-party designee to access the data. A mailer must use its key code to access its encrypted PDF files. [Exhibit 3-1](#) provides an example of a letter facsimile as viewed using Acrobat Reader. If a mailer chooses to use a third-party designee to receive and manage its files, the third-party designee maintains the single key code to access all files. The Postal Service provides each third-party designee with one key code for all files for all of its customers, regardless of the number of customers. The third-party designee cannot give its universal key code to individual mailers. The third-party designee needs to determine the best method of providing access to individual mailers while maintaining the security of each individual mailer's documents.

Exhibit 3-1  
**Sample Letter Facsimile in PDF Format**



## 3-2 Indexing and Naming Conventions

The Postal Service indexes each letter in the PDF file as follows:

- a. Label ID.
- b. Delivery date.
- c. Recipient's name (provided regularly for Express Mail and Signature Confirmation items only).

With each Signature Extract File or CD-ROM (when the combined file delivery method is chosen), the Postal Service provides a separate Table of

Contents file that lists the label ID, the delivery date, the recipient's name (when available), and a CD-ROM/File Identifier. The Table of Contents file is a cumulative file that provides a way to determine where the letter facsimile is stored on the Signature Extract File or CD-ROM. The mailer can search the cumulative Table of Contents for individual records and then determine which Signature Extract File or CD-ROM contains the record.

The CD-ROM/File Identifier contains the acronym "pod" (which stands for "proof of delivery") followed by the two-digit month, the two-digit day, and the last two digits of the year in which the Signature Extract File or CD-ROM was created. Additionally, for the Signature Extract File, a four-digit code is appended to denote which grouping of 1,000 records is being referenced. Records 1 through 1,000 are in a file ending with "0001," records 1,001 through 2,000 are in a file ending with "0002," etc. The file name content is "podmddyXXXX.pdf." Actual file names would be "pod0605070001.pdf," "pod0605070002.pdf," etc. (However, as shown in [Exhibit 3-2](#), the file name appearing in the "CD-ROM/File Identifier" column does not display the PDF extension.) The Table of Contents data is also in PDF format and has a similar naming convention — i.e., toc060607.pdf.

[Exhibit 3-2](#) provides an example of a Table of Contents viewed using Acrobat Reader.

The file names for the proof of delivery and Table of Contents files will vary slightly depending on the type of delivery mechanism selected (Signature Extract File or CD-ROM; combined or individual) and the recipient of the data (the customer or its third-party designee). Note that the signature extract files are placed into the recipient's six-digit directory (example, mmc001). More information about this directory is available through Publication 91, chapter 7 ("Communications").

The following examples outline the naming conventions based on various combinations of delivery mechanism and recipient (with the proof of delivery file noted first and the Table of Contents file noted second).

**Note:** In these examples, the customer's DUNS number is 123456789, the third-party designee's DUNS number is 999999999, and the label ID is eb11111111us.

- a. Signature Extract Files received by customer with combined method:
  - (1) pod0515070001.pdf.
  - (2) toc051507.pdf.
- b. Signature Extract Files received by third-party designee with combined method:
  - (1) d123456789.pod0515070001.pdf.
  - (2) d123456789.toc051507.pdf.
- c. CD-ROM received by customer with combined method:
  - (1) d123456789.pod051507.pdf.
  - (2) d123456789.toc051507.pdf.
- d. CD-ROM received by third-party designee with combined method:
  - (1) t999999999.d123456789.pod051507.pdf.
  - (2) t999999999.d123456789.toc051507.pdf.

- e. Signature Extract Files received by customer with individual method:
  - pod051507.eb11111111us.pdf.
- f. Signature Extract Files received by third-party designee with individual method:
  - d123456789.pod051507.eb11111111us.pdf.
- g. CD-ROM received by customer with individual method:
  - d123456789.pod051507.eb11111111us.pdf.
- h. CD-ROM received by third-party designee with individual method:
  - t999999999.d123456789.pod051507.eb11111111us.pdf.

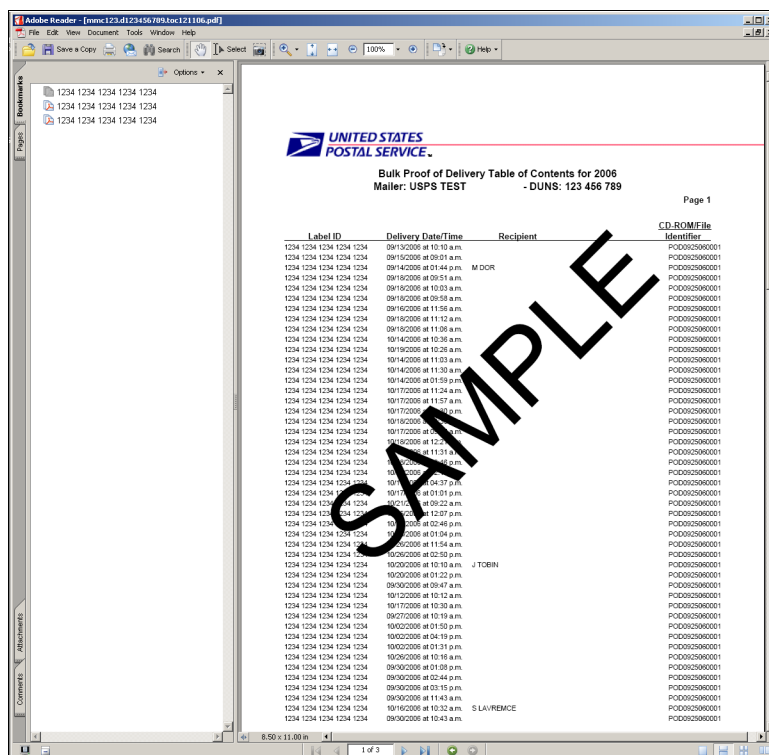
For Signature Extract Files (like the example files listed in item a above), the Postal Service places each file into the appropriate directory for retrieval. For CD-ROMs (like the example files listed in item c above), the Postal Service places both files on the CD-ROM that it mails to the mailer or the third-party designee.

All records received as individual files will be compressed. The following naming conventions will be used for the compressed file, where a maximum of 1,000 records are placed in each compressed file (the last four digits of the file name will increase by 1 with each 1,000 records):

- a. Signature Extract Files received by customer:
  - pod0515070001.tar.
- b. Signature Extract Files received by third-party designee:
  - d123456789.pod0515070001.tar.
- c. CD-ROM received by customer:
  - d123456789.pod0515070001.tar.
- d. CD-ROM received by third-party designee:
  - t999999999.d123456789.pod0515070001.tar.

The Table of Contents is a cumulative file that contains data for each calendar year. In January of each year, the Postal Service creates a new Table of Contents, regardless of the date that the mailer started participating in the program. The Postal Service recommends that mailers place a copy of the Table of Contents PDF file on a local PC or server to have unlimited access to the data.

Exhibit 3-2  
**Sample Table of Contents in PDF Format**



### 3-3 Letter Contents

Postal Service bulk proof of delivery letter facsimiles are very similar to the existing proof of delivery response letter that the Postal Service sends out when a mailer requests records individually by e-mail, fax, or mail. The wording used in the two types of letters is slightly different. Each letter contains the Postal Service logo and the following data elements and images.

- a. Data Elements:
  - (1) Label ID.
  - (2) Delivery date.
  - (3) Delivery time.
  - (4) Delivery city.
  - (5) Delivery state.
  - (6) Delivery ZIP Code™.
  - (7) Recipient’s name (first initial and last name) (when available).
  - (8) Customer reference number (if provided by customer).
- b. Images:
  - (1) Signature image.
  - (2) Address image.

The Postal Service does not provide a signature or address image in the letter facsimile if at the time of delivery the recipient exercised the signature waiver feature that the mailer authorized at the time of mailing. The header section of each letter identifies the mailer. The Postal Service does not provide a letter facsimile for an item that does not have a delivery scan or if a signature image is not present.

For electronic rate Signature Confirmation service items, Express Mail Manifest items, or Pay at Mailing items, the Postal Service does not include information in the Signature Extract File or CD-ROM if the mailer did not provide the initial electronic manifest acknowledgement record or if the Postal Service rejected the file due to an error. Additionally, for the Pay at Mailing option for other extra services items, the Postal Service does not include information in the Signature Extract File or CD-ROM if the file does not indicate payment or the proper payment amount (see additional details in [2-7.3](#)).

## 3-4 Signature Extract File or CD-ROM Options

---

### 3-4.1 Overview

The Postal Service provides bulk proof of delivery records either in a Signature Extract File obtained using File Transfer Protocol (FTP) or on a CD-ROM. This is a separate file from the electronic option Signature Confirmation, Express Mail, or other extra services extract files that contain scan event data.

To open the encrypted file, the mailer uses the access key code that the Postal Service provides to the mailer, via e-mail, when it approves the customer's request to participate in the program. If a mailer chooses a third-party designee to receive its records, the third-party designee will provide the mailer with a key code to open its records.

### 3-4.2 Signature Extract File

The Signature Extract File requires that the mailer or third-party designee have the ability to receive files via dial-up or internet File Transfer Protocol (FTP). For a full description of this process, see Publication 91, chapter 7 ("Communications").

The Postal Service prepares Signature Extract Files and Table of Contents files for mailers who retrieve their files electronically via dial up or internet FTP. Although mailers traditionally use ASCII when they retrieve their Confirmation Services event extract files and Error/Warning Report, ASCII will not work for the bulk proof of delivery PDF files. When retrieving data, a mailer must choose the binary setting in its FTP program. Mailers can download files after 8:00 a.m. CT every Monday. Mailers can use the same directories that they currently use to download Confirmation Services Extract and Error/Warning Report files. Publication 91 contains additional information. The Postal Service removes files from the directory after 30 days, and it cannot reproduce unclaimed files.



Electronic Data Interchange (EDI) transmission is not available for Signature Extract Files. Mailers who continue to use the EDI method of file retrieval for their Confirmation Services event extract files must use the CD-ROM option for receiving bulk proof of delivery records. Alternately, EDI users may establish an FTP account, as described above, to retrieve signature extract files.

#### 3-4.3 **CD-ROM**

The Postal Service processes bulk proof of delivery records and the Table of Contents twice a month — on the first day and the fifteenth day — and the National Customer Support Center produces the CD-ROMs and mails them via First-Class Mail® service within 3 days.

**Note:** The Postal Service does not recommend the CD-ROM option for companies having a ZIP Code beginning with 202, 203, 204, or 205. These ZIP Codes are in the Washington, D.C., area, and because of additional security measures, the mail addressed to these ZIP Codes are subject to irradiation techniques that can damage CD-ROMs.

## 3-5 File Creation

---

When a Postal Service employee delivers a Signature Confirmation, Certified Mail, or other signature-service mailpiece, the recipient signs his or her name on PS Form 3849, *Delivery Notice/Reminder/Receipt*. Postal Service employees scan the customer's information on the form, and it is then linked to the delivery event for the mailpiece. This process usually takes place within 24 hours.

The Postal Services creates letter facsimiles for all records with signature images that arrived in the Postal Service database since the time it created the last Signature Extract File or CD-ROM.

**Example:** The Signature Extract Files that the Postal Service posts on Monday morning contain records for any item for which the Postal Service linked the signature image during the prior week. If the Postal Service delivered an item on Saturday and the signature image is not yet available, then that record will be included in a future file. Similarly, in the CD-ROM production process, if a signature image is not yet available, then the Postal Service will include that record on a future CD-ROM. The Postal Service does not provide letters without signature images because they are not considered valid proof of delivery records.

## 3-6 System Requirements

---

Because computer systems vary widely, the Postal Service does not recommend any singular or minimum system requirements for participation in this program. However, participants will need to use either Adobe Acrobat Reader or a different PDF viewing tool in order to view their proof of delivery records.

Currently, the Postal Service encrypts the bulk proof of delivery files using 128-bit RC4 encryption. Thus, the PDF files may be viewed using Adobe Acrobat versions 5.0 and higher. In the future, the Postal Service plans to move toward using 128-bit AES (Advanced Encryption Standard) security in its PDF files for this program. Thus, to be prepared for this higher standard of security, customers may want to begin using Adobe Acrobat version 7.0 or higher, as lower versions of that software cannot handle the AES security.

Mailers who are participating in the Signature Extract File option and have chosen the dial-up transmission method can generally expect to receive data at a transfer rate of 1MB every 3 minutes. For example, a 20 MB file may take 1 hour to download. Mailers who have chosen the Internet transmission method for use with a broadband Internet connection may receive data three times to ten times faster than dial-up connections. The size of an individual proof of delivery record is, on average, 15 KB.