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# 1 Introduction

# 11 International Revenue, Volume, and Performance Measurement Systems

International mail consists primarily of three classes of mail: Letter Post, Parcel Post<sup>®</sup>, and Express Mail<sup>®</sup>. Letter Post and Parcel Post are sometimes referred to using their French acronyms, such as *LC/AO* (meaning letters and cards, and other objects) and *CP* (meaning parcel post).

The two primary sampling systems used to estimate Postal Service™ revenue, pieces, and weight of international mail are:

- a. The System for International Revenue and Volume, Outbound and International Origin-Destination Information System (SIRVO-IODIS).
- b. The System for International Revenue and Volume, Inbound (SIRVI).

These systems provide information on mail characteristics, volume flows, and transit time for the major categories of international mail. SIRVO-IODIS samples Letter Post and Parcel Post. SIRVI samples only Letter Post.

The Postal Service uses the information collected from these systems to:

- Develop estimates of revenue, number of pieces, and weight of outbound and inbound international mail for international reporting and analysis.
- b. Calculate terminal dues (the funds paid to designated operators for handling Letter Post mail from other countries).
- c. Advise senior management on budgeting and planning issues.
- d. Plan the Postal Service™ budget based on forecasts of mail volume, workloads, and overall productivity.
- e. Support revenue protection.
- f. Estimate the amount of airmail sent from each U.S. city to the U.S. exchange office.

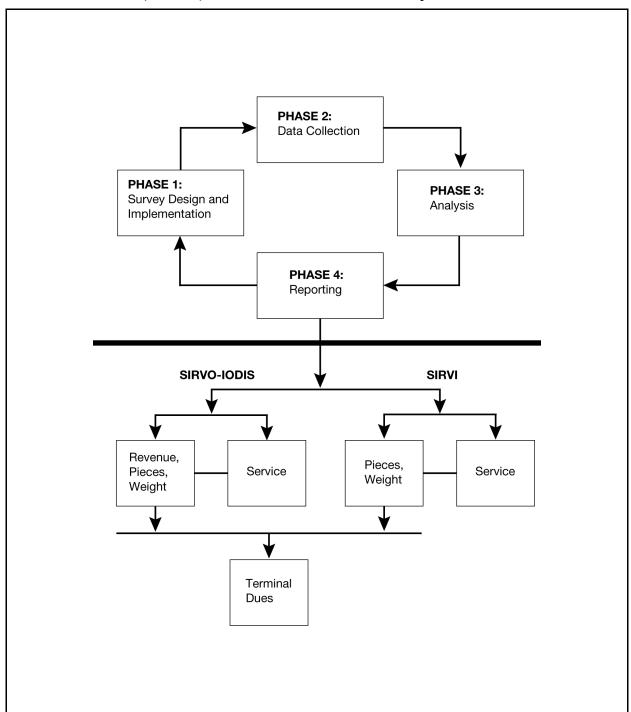
This chapter provides an overview of these systems.

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# 12 Phases

The International Revenue, Volume, and Performance Measurement Systems process consists of four major phases, as shown in Exhibit 12.

Exhibit 12 International Revenue, Volume, and Performance Measurement Systems Process



Introduction 121.2

# 121 Phase 1: Survey Design and Implementation

In the survey design and implementation phase, Headquarters personnel work with managers, supervisors, and Data Collection Technicians (DCTs) to develop and revise the data collection methods for SIRVO-IODIS and SIRVI. Global Business System (GBS) is a USPS<sup>®</sup> dispatch and receipt application. GBS Dispatch monitors the mail leaving the United States, and GBS Receipt monitors the mail entering the United States. Headquarters personnel provide GBS sample data files to automatically select sample units (receptacles) for data collectors conducting SIRVO-IODIS and SIRVI tests. The sample data files provide GBS with the criteria to determine receptacle selections from a subset of the total number of receptacles available on a test day. District managers develop the test schedules from the sample files in the Computerized On-Site Data Entry Systems (CODES) Web Base Unit (WBU).

The mail processing days in a quarter make up the SIRVO-IODIS frame (to represent the entire population of outgoing international mail). The SIRVO-IODIS sampling process uses a probability sample of mail destined for foreign countries each quarter to determine the number of samples. The SIRVO-IODIS samples are transmitted to GBS Dispatch each quarter. GBS Dispatch uses historical data to calculate the average weight of mail being dispatched from the international facilities, and assigns the weighted skip to select the test receptacles across each test day. The data collector's manager has the discretion to adjust the weighted skip before the test. GBS Dispatch notifies data collectors that a sample receptacle is available for testing. For some bulk containers, data collectors must manually select sample receptacles using bulk container procedures.

### 121.1 SIRVO-IODIS Test Criteria

A SIRVO-IODIS test is based on the following criteria:

- a. Destination country.
- b. U.S. Origin Exchange Office (OEO).
- c. Label Class (Letter-post (LP), Parcel Post (CP)).
- d. Mail Category/Transportation mode (Air, SAL).
- e. Receptacle type (letter trays, flat trays, bags, bulk containers, etc.).

#### 121.2 SIRVI Sample Types

SIRVI tests a random sample of inbound mail from foreign countries. The SIRVI samples are transmitted to GBS Receipt each quarter. GBS Receipt notifies data collectors that a sample is available for testing. Where GBS Receipt is not available, data collectors must manually select sample receptacles.

There are two SIRVI sample types:

a. The Day sample has one Test ID per day for each exchange office. This ID includes all of the tests scheduled for that day. Over a period of time, the daily sampled receptacles of mail should reflect the entire inbound mail volume and mail characteristics entering the international facilities.

b. The *Monthly* sample has one Test ID per calendar month, which often consists of multiple samples.

## 121.3 SIRVI Sample Selection Targets

The SIRVI sample selection targets particular receptacles for sampling based on:

- a. Origin country.
- b. U.S. Destination Exchange Office (DEO).
- c. Label class (Letter-post LP).
- d. Mail Category/Transportation mode (Air, SAL, Surface, and Priority by surface).
- e. Receptacle type (letter trays, flat trays, bags, bulk containers, etc.).

### 122 Phase 2: Data Collection

Data collectors conduct SIRVO-IODIS and SIRVI tests on laptop computers. For SIRVO-IODIS tests, data collectors record revenue, pieces, and weight for various international classes, subclasses, and extra services. For SIRVI tests, data collectors record piece and weight data for international mail shapes, and record the destination zip to measure domestic travel distance. Once data collectors complete and review the data for accuracy, transmit the SIRVO-IODIS or SIRVI test to the CODES Web Base Unit (WBU).

Data collection is the cornerstone on which vital international statistics are based. Quality data and, ultimately, the ability to make accurate revenue, volume, and service performance estimates, depend on proper data collection techniques. It is crucial that data are collected consistently, in a manner that does not introduce error or bias, no matter who performs the test. Data collectors must follow procedures exactly and review them periodically to guarantee accuracy.

# 123 Phase 3: Analysis

The data are analyzed for accuracy on two levels. The data collector's manager, supervisor, or designee reviews and approves the tests. Once the data are approved, they are grouped with tests from other U.S. exchange offices. Headquarters personnel check the data a second time and develop specific estimates of outbound and inbound international mail based on the verified data.

# 124 Phase 4: Reporting

SIRVO-IODIS and SIRVI data produce reports for use by the Postal Service and the Postal Regulatory Commission. The Postal Service uses the data to develop estimates of the revenue, pieces, and weight of international mail by class, subclass, category, and extra service, and for service performance measurements. Estimates of inbound mail volume play a crucial role in the determination of international terminal dues, the funds paid to designated operators for handling mail from other countries.

# **2** Conducting the SIRVO-IODIS Test

# 21 Overview

SIRVO-IODIS tests are conducted at international exchange offices to capture revenue, pieces, and weight (RPW) data for U.S. origin mail destined for foreign countries. SIRVO-IODIS provides country-specific data to support terminal dues settlements and measures the service time for U.S. origin mail from the postmark at an origin U.S. city to the U.S. exchange office.

Statistical Programs at Headquarters generates a sample list of tests for each exchange office. Test files are sent to GBS Dispatch for automated sample selection and to CODES for the data collection laptops. Sample receptacles are selected automatically by GBS Dispatch, but, in some circumstances, manually by data collectors. Most outbound bulk containers are selected manually due to dispatch time constraints.

Trained data collectors conduct the SIRVO-IODIS test on CODES laptop computers. A SIRVO-IODIS test day overlaps tours, requiring more than one data collector to complete all tests. A *SIRVO-IODIS test day* is defined as a 24-hour period, generally beginning at midnight on the test day.

The data collector's manager is responsible for managing the available resources to ensure that data collectors are conducting the SIRVO-IODIS tests as scheduled. The data collector is responsible for sampling, recording, and returning the mailpieces and receptacles to operations in a timely manner.

# 211 Required Materials and Resources

### 211.1 Required Materials

The data collector must have the following items to conduct a SIRVO-IODIS test:

- a. CODES laptop computer with fully charged battery pack.
- b. AC power pack with a power cord.
- c. Extension cord with three-pronged safety.
- d. Data storage device (i.e., USB portable drive).
- e. Electronic scale with cable for power source and cable for computer connection.

**Note:** The scale must be accurate to one-tenth of an ounce. To ensure accuracy, check and level the scale before each test.

f. Barcode scanner.

- g. Domestic shape template.
- h. Marking slips to tag bulk containers scheduled for testing.
- i. Paper and pen or pencil.

#### 211.2 Additional Resources

The data collector must have access to these additional resources:

- a. Statistical Programs News.
- b. Statistical Programs PATS (Process Activated Training System).
- c. Statistical Programs Letters.
- d. The SIRVO-IODIS Reference Guide.
- e. This handbook.
- f. U.S. Origin (Outbound) International Mail Identification Flowchart for SIRVO-IODIS.

## 212 Procedures

The data collector performs the following tasks when conducting a SIRVO-IODIS test. The subchapters that follow describe the tasks in detail.

- a. Prepare for the test
- b. Obtain the GBS Dispatch selected receptacle or, if applicable for bulk containers, select the sample.
- c. Enter receptacle and mailpiece data using the CODES Laptop.
- d. Validate, finish, and transmit the test.
- e. Return the receptacle in GBS Dispatch and return the physical receptacle to Operations prior to dispatch.

# 22 Preparing for the Test

After Statistical Programs Headquarters personnel select the dates and sample units to be tested, the data collector's manager, the supervisor, or their designee performs several activities to prepare for the SIRVO-IODIS tests.

To prepare for the SIRVO-IODIS test, the data collector must:

- a. Review the test schedule or sample selection file in the CODES software.
- b. Access SIRVO-IODIS Selected Receptacles in GBS Dispatch to search for Opened status receptacles.
- c. Determine the appropriate time to perform the test. All the necessary mailpieces must be available during the time scheduled for the test, and the test must not delay mail processing.
- d. Communicate with facility personnel to gather pertinent testing information.

Data collectors must report to their assigned work area early enough to complete SIRVO-IODIS tests without delaying the mail.

# Receiving the Sample File, Test Schedule, and Software Update

Approximately 2 weeks before a postal quarter begins, Statistical Programs Headquarters personnel develop the sample file. A sample file consists of a list of Test IDs and their characteristics. The CODES WBU receives the SIRVO-IODIS sample file from Headquarters. Data collectors may download the sample file by accessing the CODES Main Menu/Communications/Download Samples screen. The data collector's manager may also download the sample file onto a data storage device for the data collector.

The field manager uses the list of tests, called the *sample selection file*, to develop the test schedule. The Statistical Programs manager or designee assigns trained data collectors to conduct the tests.

Each quarter, CODES software updates are distributed automatically to the CODES Laptop or mailed to sites.

# 222 Accessing the SIRVO-IODIS Sample Selection File

The SIRVO-IODIS sample selection file on the CODES laptop contains test schedule information and types of tests for the entire quarter. Sample selection files contain entries such as:

- Test ID.
- b. Test Date.
- c. Origin Office of Exchange.
- Destination Code.
- e. Destination Country.
- f. Destination Office of Exchange.
- g. Mail Category/Transportation Mode.
- h. Label Class.
- i. Receptacle Type.
- j. GBS Test.
- k. Status.

# **223 Communicating With Facility Personnel**

Before performing a SIRVO-IODIS test, speak with as many people as necessary to learn about the mail processing stream at the test facility. The cooperation and advice of facility personnel is essential for counting, recording, and returning the mailpieces to the appropriate mail stream.

Data collectors usually conduct the SIRVO-IODIS test in their work facility, where they are already familiar with the mail processing operations. Regardless, at least 24 hours before a test is scheduled to begin, the data collector must review changes in mail processing operations affecting SIRVO-IODIS tests with facility personnel, such as:

- a. Location of the GBS Dispatch workstation.
- b. Location of the designated Statistical Programs GBS workstation.

- c. Dispatch or lock-out times for specific mail streams (i.e., bulk containers).
- d. Temporary changes in mail processing during the holidays.
- e. Any of the four defining characteristics (destination country, mail category/transportation mode, label class, receptacle type).

### 223.1 Acquiring Bulk Container Information

Before beginning a bulk container test, the data collector must know the:

- Approximate number of bulk containers that operations will dispatch during the 24-hour test day.
- b. Average number of pieces per bulk container.
- c. Bulk container preparation location where operations processes mail for dispatch.
- d. Number of bulk containers already prepared for dispatch, if any.
- e. Dispatch times for bulk containers.

## 223.2 **Determining Dispatch Times**

The data collector must know when a selected receptacle needs to be returned to operations for dispatch. For GBS selected receptacles, the data collector can determine the dispatch or lock-out time from the SIRVO-IODIS Printer Notice sent to the Statistical Programs printer. For bulk container tests (non-GBS), the data collector must obtain the dispatch or lock-out time from facility personnel.

**Note:** Tests may have more than one dispatch or lock-out time because there may be more than one dispatch of the mail stream being tested on the test day.

The data collector must allow enough time to sample all test mail before the dispatch or lock-out time. For GBS tests, receptacles selected too close to the dispatch time will be impacted by GBS Dispatch's automatic *Bypassed Receptacles* procedure, described in the SIRVO-IODIS Reference Guide. If there is not enough time to finish a test without delaying the mail, the data collector must advise the Statistical Programs manager immediately. Once all mail is sampled, the data collector must return the mail operations for dispatch.

# 224 Global Business System Dispatch Workstations

As GBS operators scan receptacles for dispatch, GBS identifies and selects specific sample receptacles for GBS tests. Several GBS dispatch workstations may be used to select test mail. For instance, parcels may be containerized and labeled at one workstation, while flats are containerized and labeled at another.

Data collectors must know the location of the designated GBS workstation. This station creates a printed report, the *SIRVO-IODIS Printer Notice*, when a receptacle is selected for testing. The report identifies the GBS Dispatch workstation where the GBS operator sets aside selected receptacles for the data collector.

# 225 Rescheduling or Canceling SIRVO-IODIS Tests

The Statistical Programs manager is responsible for ensuring that data collectors conduct SIRVO-IODIS tests as scheduled. Do not reschedule or cancel tests as a means of managing resources. A manager should reschedule or cancel a test only as a last resort, following the strict procedures in Handbook F-95.

The SIRVO-IODIS test may be canceled or rescheduled for quarterly training.

# 23 Sample Selection

During a SIRVO-IODIS test, either GBS or the data collector selects receptacles, and the data collector records the mail within these receptacles. This sample statistically represents every mailpiece in the sample unit.

It is important that the data collector knows the procedures well. Strict adherence to the sampling procedures produces accurate statistical data, while poor attention may produce data with deviations and biases. Every mailpiece selected and recorded represents thousands of similar mailpieces from around the country that are not being tested. If operational processes or workload constraints make it difficult to follow standard written policies and procedures, contact the Statistical Programs Support Specialists (SPSSs) for guidance.

# 231 Receptacle Selection

### 231.1 Four Defining Characteristics

The sample selection targets receptacles for sampling at each Origin Exchange Office (OEO) based on four defining characteristics. A receptacle must meet each of these characteristics:

- a. Destination country Destination Exchange Office (DEO).
- b. Label class (Letter post or Parcel Post).
- c. Mail Category/Transportation mode (Air or SAL).
- d. Receptacle type (letter tray/IPC letter tray, flat tub/IPC flat tray, bag, bulk containers, other).

These characteristics must be present in every sample. The first three characteristics are found on the receptacle label (CN 34, 35, 36, etc.) and in the 29-digit UPU barcode. The last characteristic, receptacle type, is the physical description of the receptacle. The receptacle may indicate the receptacle type and, for certain countries such as Canada, position 25 of the barcode also indicates the receptacle type.

### 231.2 GBS Selected Receptacles

GBS Dispatch produces the dispatch documentation for outgoing mail. To indicate a GBS selected receptacle, Yes appears in the GBS Test column on the Conduct Test screen. GBS Dispatch interfaces with SIRVO-IODIS and selects a subset of receptacles based on an algorithm using the accumulated weight of the mail that has been scanned. GBS explicitly marks

all SIRVO-IODIS sample receptacle labels to indicate the receptacle is being set aside for sampling.

All SIRVO-IODIS tests span a 24-hour testing period. For a GBS test, the system automatically selects receptacles between the beginning and ending cutoff times, midnight to 23:59:59.

# 232 Bulk Container/Non-GBS Selected Receptacles

Not all SIRVO-IODIS tests are linked to GBS. GBS does not automatically select most bulk containers for SIRVO-IODIS sampling due to dispatch time constraints. To indicate a non-GBS selected receptacle, *No* will appear in the GBS Test column on the *Conduct Test* screen. Using the four defined characteristics, data collectors must manually isolate and select these bulk containers.

Select bulk containers in the following order of preference. Depending upon the level of the bulk container's completion, test procedures will vary.

- a. Completed bulk containers with the final barcode labels.
- b. Bulk containers close to completion.
- c. Temporary/interim containers (those without a final barcode label).

# 232.1 Sample Unit Cutoff Times

The beginning and ending times for a SIRVO-IODIS test are determined by the sample unit cutoff times. Each sample unit has two cutoff times: a beginning cutoff time and an ending cutoff time.

a. 24-hour sample unit. All SIRVO-IODIS tests span a 24-hour testing period. For non-GBS tests, the beginning cutoff times typically occur at midnight and 23:59:59. In some cases, the Statistical Programs manager adjusts cutoff times to match mail processing flows and dispatch times. For these tests, the cutoff times are scheduled to start and stop at any time during the test day, as long as they span a full 24hour period.

**Example:** There is a bulk container test for U.S. origin mail to Canada at an exchange office. The normal dispatch times for this mail are at 5 A.M., 2 P.M., and 10 P.M. The test is scheduled for Tuesday; however, the Statistical Programs manager sets the beginning cutoff time to 10 P.M. Monday to coincide with the dispatch date and time. Include all available mail at the air exchange office after the last dispatch on Monday (i.e., after the 10 P.M. dispatch). Continue to sample all mail throughout the 24-hour period (until 9:59:59 P.M. Tuesday).

b. Monday tests and tests after holidays. Cutoff times for a sample unit span a 24-hour period, including Sundays; therefore, it is not necessary to make any special adjustments for Monday tests or tests after holidays. However, when performing a non-GBS/Bulk Container test with cutoff times that do not occur at midnight, the data collector

may need to make special adjustments. Use the guidelines below for a Monday test or tests scheduled after a holiday.

- (1) For a test that is scheduled for Monday at a facility that does not process mail on Sunday, include all mail made available since the Saturday cutoff time. If mail is processed on Sunday, include all mail made available since the beginning cutoff time on Sunday.
- (2) For a test after a holiday, include all mail made available after the ending cutoff time on the day before the holiday.
- (3) When a holiday falls on a Monday and a test is scheduled for Tuesday, include all mail made available after the ending cutoff time on Saturday if the facility does not process mail on Sunday. If mail is processed on Sunday, include all mail made available after the ending cutoff time on Sunday.

## 232.2 Avoid Double Counting and Missed Mail

Data collectors should follow the test description closely, ask their managers to clarify any inconsistencies in the sample unit description, and know the facility's mail processing stream well enough to identify any potential for double counting or missing test mail. Data collectors must avoid double counting and must include all test mail when conducting a bulk container/non-GBS test. Each mailpiece tested by the data collector represents thousands of similar pieces from around the country that are not tested. The integrity of the test data is threatened if a mailpiece has the potential to be counted more than once, or if it *never* has a chance to be counted.

When looking for mailpieces that have the potential to be double counted, pay close attention to receptacles holding only mail sorted to the wrong destination country (missent mail).

- a. To help prevent double counting, ask these questions:
  - (1) If every possible test was conducted on the same day, could any mailpiece from this test be counted in any of the other tests?
  - (2) Could any of the mail being tested have the potential to be tested on more than one day?
- b. To avoid missing any mailpiece, ask these questions:
  - (1) Could there be any mailpieces belonging to this test that might be excluded in the sampling?
  - (2) Where could this excluded mail be located?

# 233 Receptacle Contents

After identifying and recording receptacle information, the data collector must record information for the sample mailpieces that are contained within the receptacles. The data collector records product and service information for a subset of the receptacle contents (service pieces), then records only product information for the remaining items (non-service pieces).

## 233.1 Subsampling of Service Pieces

Service pieces are sampled to measure the service time from the U.S. origin city to the U.S. exchange office. The software targets a number of service

pieces for each shape group (packets, parcels, letters, flats) within a given receptacle type. The data collector enters a skip interval for a letter tray, flat tub, bag, or bulk container, and the software provides a random start number.

To obtain a skip interval, divide the approximate number of pieces for each shape group in the selected receptacle by the target number of service pieces requested by the software. For example, there are 24 packets in the receptacle. To select 8 pieces to sample, divide the total number of pieces by the target (24/8 = 3). The skip is 3. CODES generates a random start number.

If the skip interval generates more or fewer pieces than expected, enter the service information for all selected pieces. If the receptacle contains fewer pieces than the target number, enter a skip interval of 1 and enter the service information for all pieces.

There are five different rules for sampling *Service Information* based on the type of container or receptacle.

**Note:** Collect Service Information for airmail only, not for SAL receptacles.

- a. GBS Selected Receptacle. For letter trays, flat tubs, IPC letter trays, and IPC flat trays, enter a skip interval that will allow Service Information sampling for approximately 50 pieces in the receptacle. If the receptacle contains fewer than 50 pieces, enter a skip interval of 1 and enter the service information for all pieces.
- b. **GBS Selected Receptacles.** For bags, at the *Receptacle Contents* screen enter skip intervals that will generate approximately 8 packets/parcels, 16 letter-shape pieces, and 16 flat-shape pieces for *Service Information* sampling.
- c. Non-GBS/Bulk Containers Loose items (CIs):
  - (1) At the *Receptacle Contents* screen enter a skip that will generate approximately 50 sample pieces.
  - (2) Select 10 pieces to enter Service Information.
- d. Bulk Containers Subreceptacles:
  - (1) Enter bulk container information, including subreceptacle types.
  - (2) The software displays the number of subreceptacles to sample. Ensure that selected subreceptacles will not ultimately receive an individual receptacle label.
  - (3) For the selected letter trays or flat tubs, enter a skip that will allow Service Information sampling for approximately 50 pieces in the receptacle.
  - (4) For the selected bags, enter skip intervals that will generate approximately 8 packets/parcels, 16 letter shape pieces, 16 flat shape pieces for *Service Information* sampling.
- e. **Outside Parcels (PCs).** Select 10 pieces to enter *Service Information*. **Note:** After entering the *Service Information* and product information for these pieces, stop recording *Service Information* by selecting the *End Service Info Sampling* button.

### 233.2 Non-Service Pieces

After recording service pieces, record product information for non-service pieces based on the type of container or receptacle.

- a. GBS Selected Receptacle. For letter trays, flat tubs, IPC letter trays, and IPC flat trays, select and record product information for all remaining mailpieces.
- b. **GBS Selected Receptacles.** For bags, select and record product information for all remaining mailpieces.
- GBS and Non-GBS/Bulk Containers Loose items (CIs) Record product information for the remaining selected mailpieces (approximately 40).
- Bulk Containers Subreceptacles. For the selected letter trays, flat tubs, and bags select and record product information for all remaining mailpieces.
- e. **Outside Parcels (PCs).** Record product information for all remaining mailpieces.

**Note:** To record non-service pieces efficiently, group mailpieces with the same characteristics (shape, type of mailer, postage, weight, indicia).

# 24 Entering Data into the CODES Laptop

The CODES software prompts data collectors to enter information concerning the selected receptacles and their contents. The SIRVO-IODIS Reference Guide contains additional data entry instructions.

Perform these steps to conduct a SIRVO-IODIS test:

- a. For GBS selected receptacles, access GBS and to the *International Dispatch/GBS Stat Programs/Receptacle Selection* screen to search for receptacles in an *Opened* status. Locate all GBS Dispatch workstations to collect sample receptacles.
- b. For bulk container/non-GBS selected receptacles, determine where mail is prepared for dispatch.
- c. Verify that selected receptacles meet the four defining characteristics.
  - **Note:** For GBS selected receptacles, compare the 29-digit barcode printed on the SIRVO-IODIS Printer Notice to the 29-digit barcode found on the dispatch label. The two barcodes should match. For a non-GBS test, verify that the contents inside all selected bulk containers do not have receptacle labels.
- d. Attach an electronic scale that allows recording of weight to the nearest tenth of an ounce to the CODES laptop. Level the electronic scale and determine if calibration is necessary before using the scale in a SIRVO-IODIS test. Always place the scale on a stable surface.
- e. Attach a barcode scanner to the CODES laptop.
- f. Use the keyboard to navigate through the software screens and data entry fields.

- g. Enter receptacle barcode information:
  - (1) *Electronically.* Scan the 29-digit UPU barcode, whenever possible. This saves time and improves accuracy of the test.
  - (2) *Manually.* When you are unable to scan the barcode, enter the information manually.
- h. Enter receptacle content information for selected mailpieces:
  - (1) Product Type.
  - (2) Multiple Identical Pieces.
  - (3) Mail Preparation/Sortation Marking.
  - (4) International Mail Shape.
  - (5) Type of Mailer.
  - (6) Indicia.
  - (7) Forever<sup>®</sup> Stamps and IBI screens, if applicable.
  - (8) Number of pieces.
  - (9) Total weight of pieces (lbs.).
  - (10) Nonmachinability.
  - (11) Extra Services.
  - (12) Total Mailpiece Revenue.
- i. Enter mailpiece service information for the selected service pieces only:
  - (1) Postmark Date.
  - (2) Origin ZIP Code™.
- j. Review the *Contents Data* screen before proceeding to another mailpiece.

# 25 Completing the Test

# Return Sampled Receptacles in GBS Dispatch and to Mail Processing

All mail must be returned to mail processing before the dispatch time. Data collectors must coordinate with each other to ensure that all receptacles selected from a sample unit are dispatched on time. For GBS selected receptacles, access GBS International Dispatch Stat Programs and press the Return Receptacle button to change the status from Opened to Returned.

Return all missorted or postage due mailpieces to the appropriate mail processing operation. Inform mail processing personnel that you removed some mailpieces and adjust the weight of the receptacle to account for the removed pieces. For GBS selected receptacles, access the GBS Stat Programs interface in the GBS International Dispatch system. Select the Receptacle Selection tab and then select the applicable receptacle. Click the Read Scale tab to adjust the weight. For Parcels only, enter the piece count and then select the Modify Pieces tab to adjust the pieces count, if needed.

## 252 Validate and Finish the Test

Data collectors must validate and finish their test session once they enter the mailpiece information for all of the selected receptacles. Review the data for accuracy, and then select *Validate/Finish Test*. This screen provides the following options:

- a. **Suspend Test.** If you have not completed the test but are ready to save all the data entered, select the *Suspend Test* button.
- b. **Continue Test.** If you need to enter more data for the current test, select the Continue Test button.
- c. **Abort Test.** If you do not want to save the data for the current test, select *Abort Test*. This will delete all entered data.

# 253 Length of Test

The data collector tracks the data recording time for each selected receptacle. Before ending and saving the test, the SIRVO-IODIS software will prompt the data collector to enter the amount of time taken to conduct the test.

#### 253.1 Data Collector's Time

For *DCT Time*, record the total time to prepare for and complete the sampling of the receptacle(s) related to the test. Include the time used to obtain and return the receptacle(s) **within** the test facility. Also include time spent (a) communicating with operations about the test; (b) setting up the computer; (d) sorting the mailpieces for entering the data; and (e) entering, reviewing, and sending data. Enter the total time in hours and minutes. Do not include time waiting for mail to arrive or any time not on the clock.

Each data collector records their own time in their test session. However, when one data collector is recording and another is assisting, but not recording, then the recording data collector adds the times together.

### 253.2 Travel Time

For *Travel Time*, enter travel time to and from your home worksite to the test worksite. Enter the total time in hours and minutes. If the home worksite is the same as the test worksite, leave these fields blank.

### 254 End and Save the Test

When you have completed the test and are ready to save the data, select *End Test and Save.* 

## 255 Transmit the Test

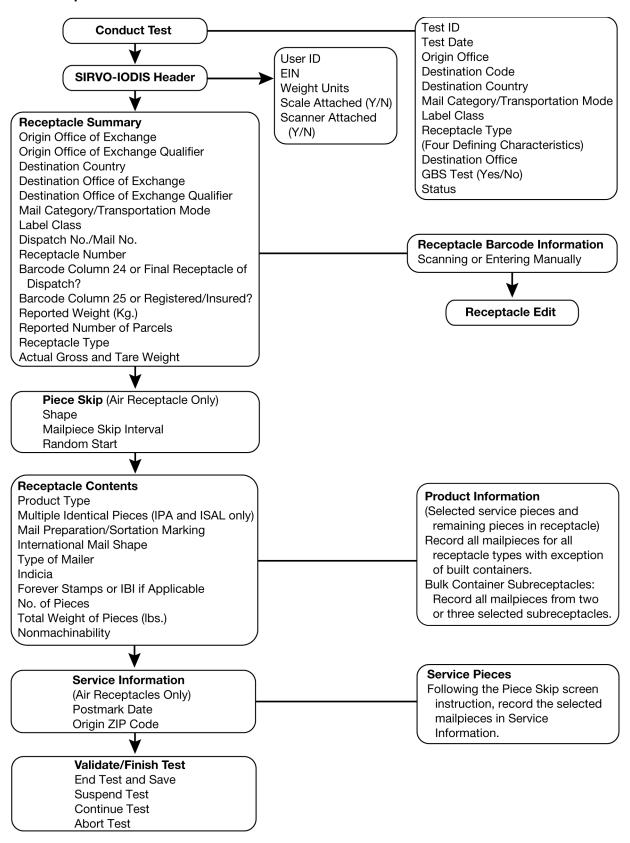
From the SIRVO-IODIS Main Menu, select *Transmit Test* to transfer the test data to the WBU.

If for any reason it is not possible to transmit the test electronically, transmit the test to an external storage (i.e., USB portable) device. Notify the Statistical Programs manager or designee and contact CODES Support for additional help.

# 256 Relationship Between Software Screens and Test Data

The flowchart in  $\underline{\text{Exhibit 256}}$  shows the relationship between the software screens and the test process.

Exhibit 256
Relationship of SIRVO-IODIS Software screens to SIRVO-IODIS Test



International Revenue, Volume, and Performance Measurement Systems

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# **3** Conducting the SIRVI Test

# 31 Overview

When foreign designated operators dispatch Letter Post mail to the United States, they pay terminal dues to the Postal Service to deliver that mail to its final U.S. address. The measurement of weight and volume (pieces) passing from one designated operator to another is determined by the destination country. The Postal Service collects census (known) weight information from postal documents and estimates mail volume by using the data from SIRVI. Accurate estimates of the mail volume dispatched to the United States and accurate data collection techniques ensure that the Postal Service is collecting all of the revenue that is due from foreign postal operators.

Statistical Programs at Headquarters generates a sample list of tests for each exchange office. Test files are sent to GBS Receipt for automated sample selection and to CODES for the data collection laptops. Sample receptacles are generally selected automatically by GBS Receipt, but, in some circumstances, manually by data collectors.

A trained data collector conducts the SIRVI test during a SIRVI test day on a Computerized On-Site Data Entry System (CODES) laptop. A *SIRVI test day* is defined as a 24-hour period (from midnight to 23:59:59 of the test day). A SIRVI test day overlaps tours, requiring more than one data collector to complete all sample target receptacles for a single SIRVI test.

The data collector is responsible for sampling, recording, and returning the mailpieces and receptacles to operations in a timely manner.

The Statistical Programs manager is responsible for managing available resources to ensure that SIRVI tests are conducted as scheduled.

# Required Materials and Resources

### 311.1 Required Materials

The data collector must have the following items to conduct the test:

- a. CODES laptop computer with a fully charged battery pack.
- b. AC power pack with a power cord.
- c. Extension cord with three-pronged safety.
- d. Electronic scale with cable for power source and cable for computer connection.

**Note:** The scale must be accurate to one-tenth of a kilogram. To ensure accuracy, balance and level the scale before each test.

- e. Barcode scanner.
- f. Paper and pens or pencils.
- g. International Shape template.

#### 311.2 Additional Resources

The data collector must have access to these additional resources:

- a. Statistical Programs News.
- b. Statistical Programs PATS (Process Activated Training System).
- c. Statistical Programs Letters.
- d. The SIRVI Reference Guide.
- e. This handbook.

### 312 Procedures

The data collector performs the following tasks when conducting a SIRVI test. The subchapters that follow describe the tasks in detail.

- a. Preparing for the test.
- b. Sample selection.
- c. Entering data into the CODES laptop.
- d. Completing the test.

# 32 Preparing for the Test

Statistical Programs Headquarters personnel select the dates and sample units to be tested. The Statistical Programs manager or designee performs several activities to prepare for the SIRVI tests. Data collectors must report to their assigned work area early enough to complete SIRVI tests without delaying the mail.

To prepare for a SIRVI test, the data collector must:

- a. Review the test schedule or sample selection file in the CODES software.
- b. Access *SIRVI Selected Receptacles* in GBS Receipt to search for receptacles in an *Opened* status.
- c. Determine the appropriate time to perform the test. All the necessary mailpieces must be available during the time scheduled for the test, and the test must not delay mail processing.
- d. Communicate with facility personnel to gather pertinent testing information.

# Receiving the Sample File, Test Schedule, and Software Update

Approximately 2 weeks before a calendar quarter begins, Statistical Programs Headquarters personnel select sample units to develop the sample file. The Web Base Unit (WBU) receives the SIRVI sample files from Headquarters. Data collectors download sample files by accessing the

CODES Main Menu/Communications/Download Samples screen. The Statistical Programs manager may also download the sample file onto a data storage device for the data collector. A sample file consists of a list of Test IDs and their characteristics.

The Statistical Programs manager develops the test schedule by accessing the sample file in the WBU or by accessing the sampling test details in GBS *International Receipt SERVI Test Maintenance*. The manager or designee assigns trained data collectors to conduct each test.

Each quarter, CODES software updates are distributed automatically to the CODES laptops or mailed to the sites.

# 322 Accessing the SIRVI Sample Selection File

The SIRVI sample selection file on the CODES laptop contains test schedule information, such as testing locations for the entire quarter. Sample selection files contain entries such as:

- a. Test ID.
- b. Test Date.
- c. Status of the Test
- d. Target Receptacles.

# 323 Communicating With Facility Personnel

Before performing a SIRVI test, speak with as many people as possible to learn about the mail processing stream at the test facility. Identify all mail flows in the sample unit to be tested. The cooperation and advice of facility personnel are essential for collecting, counting, recording, and returning the mailpieces to the mail stream.

Data collectors usually conduct the SIRVI test in their work facility, where they are already familiar with the mail processing operations. At least 24 hours before a test is scheduled to begin, the data collector must review the changes in operations with facility personnel, such as:

- a. The normal patterns for receiving incoming mail for the target receptacles.
- b. Location of the GBS Receipt workstations.
- c. Location of the designated Statistical Programs GBS workstation.
- d. Where to return sampled receptacles for inbound processing.
- e. Any of the four defining characteristics (origin country, mail category/ transportation mode, label class, receptacle type).

# 324 GBS Receipt Workstations

As GBS operators scan the inbound mail, GBS automatically selects sample receptacles that meet the sample criteria. The GBS Receipt system displays a screen instructing the GBS operator to set aside the receptacle for Statistical Programs. In most facilities the GBS operators set aside selected samples near their GBS Receipt workstation. GBS Receipt creates and sends a sampling notice to a designated printer notifying data collectors that

a sample receptacle has been identified. The SIRVI Printer Notice identifies the GBS Receipt workstation where the sample receptacles are located.

### 325 Non-GBS Locations

The data collector must identify where the mail is received when the test is not linked to GBS. These receiving points may vary depending on mail shape, day of the week, or tour. It is the data collector's responsibility to tag the receptacle for testing.

### 326 U.S. Customs and Border Protection

Some of the mail in the sample unit may be diverted to U.S. Customs and Border Protection (CBP). Ask the Statistical Programs manager or facility manager how to locate this mail as it leaves the CBP unit.

# 327 Canceling SIRVI Tests

The Statistical Programs manager should not cancel a SIRVI test as a means of managing resources. The manager is responsible for ensuring that data collectors conduct tests as scheduled. The Statistical Programs manager may cancel a SIRVI test for quarterly training purposes; however, the manager may never reschedule SIRVI tests.

# 33 Sample Selection

During a SIRVI test, either GBS or the data collector selects receptacles, and the data collector records the mail within these receptacles. View sample units on the *Target Receptacles* screen in the CODES SIRVI software. All sample selections must meet the four defining characteristics listed in <u>332.1</u>.

It is important that the data collector know the procedures. Strict adherence to the sampling procedures produces accurate statistical data, while poor attention may produce biased data. Every mailpiece selected and recorded represents thousands of similar mailpieces from around the country that are not being tested. If operational processes or workload constraints make it difficult to follow standard written policies and procedures, contact the Statistical Programs Support Specialists (SPSSs) for guidance.

# 331 Sample Types

#### 331.1 Day Sample

The SIRVI day sample consists of one Test ID per day for each exchange office. The Test ID consists of the first two digits of the U.S. Destination Exchange Office (DEO), the last digit of the calendar year, the two-digit month, and two-digit day. For example, IJF20701 represents a SIRVI test at JFK for July 1, 2012.

The sample mixture of receptacles is based on historical data of receptacles received at the given exchange office. Over the course of a month, the mix of daily test receptacles generally reflects the same proportions as they exist in the population. Each test starts and ends on the same calendar date.

## 331.2 Monthly Sample

The monthly sample tests are taken over a period of one month in order to capture a representative sample of mail arriving from countries with low volumes or irregular dispatches. The SIRVI monthly test sample consists of one Test ID per month for each exchange office. The Test ID will end in 00. For example, IJF20700 represents a SIRVI monthly test at JFK for July 2012.

The total number of monthly target receptacles will appear on the *Target Receptacles* screen under one Test ID ending in *00* that appears on the first day of each month on the SIRVI *Select Test* screen. GBS or the data collector selects the target receptacles for the monthly sample as they arrive throughout that month. Do not record receptacles under the monthly Test ID ending in *00*. Use the current date's Test ID to record receptacles for the monthly test. Record monthly receptacles that are selected on a Sunday or holiday under the most recent Test ID prior to the date the receptacle is selected.

# 332 Receptacle Selection

## 332.1 Four Defining Characteristics

The sample selection consists of receptacles that meet the four defining characteristics listed on the *Target Receptacle* screen.

- a. Origin country.
- b. Label class (Letter Post).
- Mail Category/Transportation mode (Air, SAL, Surface, Priority by Surface).
- d. Receptacle type (letter trays, flat trays, bags, bulk containers, other).

These characteristics must be present in every sample. The first three characteristics are contained on the receptacle label (CN 34, 35, 36, etc.) and in the 29-digit UPU barcode on the receptacle label. The last characteristic, receptacle type, is a physical description of the receptacle. The receptacle label may indicate the receptacle type and, for certain countries such as Canada, position 25 of the barcode also indicates the receptacle type.

#### 332.2 Excluded Receptacles

Exclude the following receptacle types from SIRVI sample selection:

a. **Exempt/Return to Sender Receptacles.** Exempt mail is undeliverable mail, exchanged with other countries, and returned to the sender in the United States. Exempt mail will have U.S. postage in the indicia area. An affixed receptacle label indicates exempt mail with the symbol x next to the word Exempt. Data collectors must not sample receptacles containing exclusively or predominantly exempt mail, whether or not the receptacle label indicates a marking.

**Note:** When commingled exempt mail is found in a receptacle containing predominantly non-exempt mail, do not exclude the selected receptacle for sampling. Record the commingled exempt mail. *Non-exempt mail* is mail with foreign postage.

b. **Transit Mail (Closed).** *Transit Mail* is foreign originating and destinating mail (as indicated on the receptacle label) that is in transit in the United States on the way to the final destinating country.

**Note:** When a selected receptacle contains commingled transit mail in a receptacle destined to the United States, record the commingled transit mail as non-exempt.

- c. **M-bags.** *M-bags* contain printed matter to a single destination addressee. The letter *M* appears on an M-bag label.
- d. **Registered (UR).** Registered receptacles with Subclass "UR". Although registered receptacles are sampled in SIRVI, the registered receptacles with Subclass UR are not. *Subclass UR* indicates that the dispatch is exclusively registered and the piece counts are provided on the dispatch documents.

**Note:** If GBS selects one of the previous receptacles, you must delete the receptacle from GBS to generate another sample receptacle. Inform the GBS Receipt operator of any data entry errors.

## 332.3 GBS Selected Receptacles

The data collector must be able to identify the locations of GBS Receipt workstations where receptacles may be set aside for sampling and must know the location of the designated GBS printer for Statistical Programs. Yes will appear under the GBS Test? column in the Target Receptacles screen in the SIRVI software to indicate that this is a GBS selected receptacle test. GBS Receipt will send a receptacle sampling notice to the designated printer notifying the data collector of a receptacle selection. GBS Receipt selects a receptacle for sampling up to and including 23:59:59 hours of the test day.

**Example:** GBS selects a receptacle at 23:59:59 on August 2. The data collector must use the Test ID of August 2, not August 3, although the receptacle information will be entered into the CODES Laptop at 00:05 on August 3.

GBS Receipt does not mark the receptacle labels to indicate a SIRVI sample. Unlike SIRVO-IODIS, GBS Receipt does select bulk containers at most DEOs.

#### 332.4 Non-GBS Selected Receptacles

GBS Receipt does not select all receptacles for sampling in SIRVI tests. *No* will appear under the *GBS Test?* column in the *Target Receptacles* screen in the SIRVI software to indicate that this is a non-GBS selected receptacle. A data collector must manually select non-GBS receptacles. The data collector must determine where operations processes non-GBS selected receptacles that meet the four defining characteristics listed in 332.1.

### 332.41 Manual Receptacle Selection

If only one receptacle is received on the sample day, sample that receptacle. If more than one receptacle is received on the sample day, use the procedures in <u>332.42</u> to determine the random start number and <u>332.43</u> to determine the skip interval.

#### 332.42 Random Start

Use the last digit of the Test ID to determine the random start number. Follow the procedures below:

- a. Even Number. If the last digit of the Test ID number is even, the start number is 2.
- b. *Odd Number.* If the last digit of the Test ID number is odd, the start number is 1.

### 332.43 Skip Interval

To determine the skip interval, divide the total number of receptacles received by the number of target receptacles for the test date. The number of target receptacles is on the *Target Receptacles* screen of the SIRVI software under the column *No. of Receptacles*.

**Note:** For Test ID IJE20815, 2 bulk containers are targeted and 8 bulk containers were received. The random start is 1 (Test ID ends with an odd number) and the bulk container skip is 4 (8/2 = 4).

#### 332.44 Monthly Tests

For monthly tests, obtain a representative mix of receptacles of the month. Establish cooperation with operations and provide them with a copy of the monthly sample. For countries that dispatch a large number of receptacles, attempt to spread the sample over the month. For countries with irregular or infrequent shipments, obtain the target number of receptacles as early as possible in the month to ensure completion.

## 332.45 Avoid Double Counting and Missed Mail

Data collectors must avoid double counting and include all test mail. Each mailpiece tested by the data collector represents thousands of similar pieces from around the country that are not tested. The integrity of the test data is threatened if a mailpiece has the potential to be counted more than once or if it *never* has a chance to be counted.

To help prevent double counting, mark selected receptacles, and identify receptacles included in the skip.

- a. When looking for mailpieces that have the potential to be double counted, ask these two questions:
  - (1) If every possible test was conducted on the same day, could any mail from this test be counted in any of the other tests?
  - (2) Could any of the selected containers have the potential to be included in more than one test?
- b. To avoid missing any mailpiece, ask these questions:
  - (1) Could there be any mail belonging to this test that might be excluded in the sampling?
  - (2) Where could this excluded mail be located?

# 333 Receptacle Contents

After identifying and recording receptacle information, the data collector must record information for the sample mailpieces that are contained within

these receptacles. The data collector records product and service information for the receptacle contents.

### 333.1 Sampling Receptacle Contents

Select mailpieces, based on the type of container or receptacle.

- a. GBS Selected Receptacle. For letter trays, flat tubs, IPC letter trays, and IPC flat trays, select all mailpieces.
- b. **GBS Selected Receptacles.** For bags, select all mailpieces.
- c. Bulk Container Receptacles. A bulk container has a receptacle label and contains loose items or subreceptacles (letter trays, flat tubs, or bags). Subreceptacles do not have receptacle labels. A bulk container test requires the data collector to subsample the containers and contents.

### (1) Bulk Containers — Loose items (CI):

- (a) At the *Bulk Container Skip Loose Items* screen, follow the CODES software instructions by entering the skip interval that will generate approximately 50 sample pieces.
- (b) If the receptacle contains fewer than 50 pieces, enter a skip interval of 1 and enter the service information for all pieces. CODES software will display the random start number.

#### (2) Bulk Containers - Subreceptacles:

- (a) Enter bulk container information, including type of subreceptacles.
- (b) If the bulk container contains more than one type of subreceptacle (i.e., mixed subreceptacles), enter the quantity of each subreceptacle type. The software will display the number of subreceptacles to sample (one of each type).
- (c) If the bulk container contains only one type of subreceptacle (e.g., letter trays, flat tubs, or bags), sample two subreceptacles of that type.
- (d) Ensure that selected subreceptacles do not display individual receptacle labels.
- (e) Sample all mailpieces in each of the selected subreceptacle types (i.e., letter trays, flat tubs, bags).
- d. Outside Piece (CP). Select the outside piece.

### 333.2 Recording Service Information

Separate the selected mailpieces contained in the receptacle into groups by status (Non-Exempt USPS IBRS, etc.) and international mail shape. Then:

- a. Enter the number of pieces and total weight for each group.
- Record service information for non-exempt mail only. The software displays the number of non-exempt mailpieces to select for service information recording.

# 34 Entering Data into the CODES Laptop

When entering data into the CODES laptop for a SIRVI test, the software program requests information concerning the selected receptacle and its contents. The SIRVI Reference Guide contains additional date entry instructions.

Perform these steps to conduct a SIRVI test:

- a. For GBS selected receptacles, access GBS and go to the *International Receipt/GBS Stat Programs/Receptacle* screen to search for receptacles in an *Opened* status. Locate all GBS Receipt workstations that select receptacles for the test.
- For non-GBS selected receptacles, determine the points in the mail processing stream where mail is received. See section <u>332</u> for information on the differences between GBS and non-GBS selected receptacles.
- c. Attach an electronic scale that records metric weight (kilograms and grams) to the CODES laptop. Level the electronic scale and determine if calibration is necessary before using the scale in a SIRVI test. Always place the scale on a stable surface.
- d. Attach a barcode scanner to the CODES laptop.
- e. Use the keyboard to navigate through the software screens and the data entry fields.
- f. Enter receptacle Information:
  - Receptacle barcode information (enter electronically or manually).
  - (2) Receptacle type.
  - (3) Actual gross and tare weight.
- g. Enter the number of pieces by shape:
  - (1) Non-exempt.
  - (2) Exempt/Undeliverable-Return to US Sender (USPS indicia only).
  - (3) USPS IBRS items.
  - (4) Restricted Delivery (remettre en main propre).
  - (5) Open Transit (not originating or destinating in the United States).
- h. Enter service information:
  - (1) International shapes (letter, flat, packet, and parcel).
  - (2) Postmark date.
  - (3) Destination ZIP Code™.

# 35 Completing the Test

# Return Sampled Receptacles in GBS Receipt and to Mail Processing

Return all mail to the mail processing stream.

Return GBS selected receptacle to the inbound work stream by accessing GBS International Receipt/GBS Stat Programs/Receptacle Selection Information and press the Return Receptacle button to change the status from Opened to Returned.

### 352 Validate and Finish the Test

Data collectors must validate and finish their test session once they enter the mailpiece information for all of the selected receptacles. Review the data for accuracy, and then select *Validate/Finish Test*. The screen provides several options:

- a. **Suspend Test.** If you have not completed the test, but are ready to save all entered data, select the *Suspend Test* button.
- b. **Continue Test.** If you need to enter more data for the current test, select the *Continue Test* button.
- c. **Abort Test.** If you do not want to save the data for the current test, select *Abort Test.* This will delete all entered data.

### 353 End and Save the Test

When you have completed the test and are ready to save the data, select *End Test and Save.* 

### 354 Transmit the Test

From the SIRVI Main Menu, select *Transmit Test* to transfer the test data to the WBU.

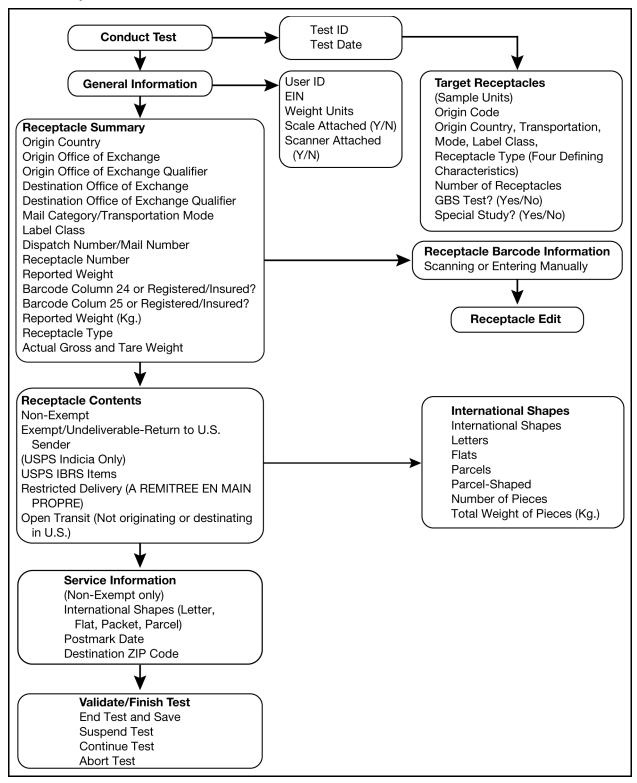
If for any reason it is not possible to transmit the test electronically, transmit the test to an external storage (i.e., USB portable) device, notify the Statistical Programs manager or designee and contact CODES Support for additional help.

# Relationship Between Software Screens and Test Data

The flowchart in Exhibit 355 shows the relationship between the software screens and the test process.

Exhibit 355

Relationship of SIRVI Software Screens to SIRVI Test



International Revenue, Volume, and Performance Measurement Systems

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