



Centralized Account Processing System (CAPS) Procedures

Handbook DM-111

November 2002
Transmittal Letter

- A. Explanation.** The Centralized Account Processing System (CAPS) is an electronic postage payment system that provides business mailers a convenient, cost-effective way to pay postage for all classes of mail from one centralized account. It also provides commercial customers with online and toll-free telephone access to their account information so they can monitor their postage expenses more closely. An important strategy of the Postal Service's comprehensive Transformation Plan is the use of technology to add value to postal products and services. This, in turn, can support growth. CAPS, which uses technology to make it easier and more convenient for commercial customers to do business with the Postal Service, supports this transformation strategy.
- B. Purpose.** This is the initial publication of Handbook DM-111, *Centralized Account Processing System (CAPS) Procedures*. It provides policies and procedures for the use of CAPS. The handbook is for use by postmasters, managers, supervisors, and personnel who work with the Permit System. It includes standard operating procedures for establishing CAPS accounts, activating links to the accounts, and preparing financial reports.
- C. Distribution.** This document is being distributed electronically to district business mail entry (BME) managers.
- D. Availability.** This handbook is accessible on the U.S. Postal Service corporate intranet at <http://blue.usps.gov/cpim/hbkid.htm>.

E. Comments. The information in this document is not found in other Postal Service publications. Address any comments or questions regarding the content, language, and organization of this document to:

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F. Effective Date. This handbook is effective November 2002.

A handwritten signature in black ink, appearing to read "John R. Wargo". The signature is written in a cursive, flowing style with a large initial "J" and "W".

John R. Wargo
Vice President
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1 CAPS Overview

The Centralized Account Processing System (CAPS) is an electronic postage payment system that provides business mailers a convenient and cost-effective way to pay postage for all classes of mail. CAPS customers pay postage for mailings at multiple Post Offices through a centralized account instead of maintaining trust accounts at each Post Office.

1-1 CAPS History

The U.S. Postal Service's first electronic payment system was the Centralized Trust Account System. In 1994, the Postal Service developed and piloted the system in response to customer requests to "pay postage in one place" for permit mailings. With this system, customers funded a centralized trust account electronically and used it to pay for permit mailings in multiple Post Offices. Customers had access to their accounts through personal computer software.

In 1996, again in response to customer requests, the Postal Service added a debit payment option and renamed the system the Centralized Account Processing System (CAPS). The CAPS debit account eliminates the need for customers to deposit funds before submitting mail. CAPS totals daily transactions and submits a debit to the customer's bank for payment the next business day. Account access, with download capability, became available through the Internet.

Beginning in 1997, the Postal Service offered an additional CAPS payment option, the International Centralized Account Processing System (ICAPS). ICAPS is a deferred debit payment option that eliminates the manual billing process for specific international products. Customers approved by International Business at Postal Service Headquarters use this option to defer payment for designated international products.

In 1998, the Postal Service added the option of paying Address Element Correction (AEC) fees through CAPS and updated the AEC application to include CAPS as a payment option.

In 2000, the Postal Service developed an interface between CAPS and the Electronic Marketing Reporting System (EMRS). The interface provides CAPS customers the option of funding Express Mail Corporate Accounts (EMCA) through CAPS.

1-2 Customer Benefits

CAPS makes it easier for business mail customers to do business with the Postal Service, providing the following benefits for CAPS account holders:

- a. **Convenience.** Customers pay for services using a simple process.
 - (1) Instead of maintaining local trust fund accounts at numerous Post Offices, customers use one centralized account for all Postal Service products and services funded through CAPS.
 - (2) Customers pay permit fees through their CAPS account instead of paying by check at each Post Office where a permit is held.
- b. **Control.** Customers can monitor their postage expenses more closely.
 - (1) The CAPS Web site gives customers access to current, detailed account information so they can check account balances and analyze mailing activity.
 - (2) CAPS account balance information is available 24 hours a day by touch-tone telephone. The toll free number is 800-884-2827.
- c. **Information.** Customers can easily access account information.
 - (1) Customers use the Internet to access their CAPS account information at any time. On the CAPS Web site, the CAPS *Account Inquiry* feature provides customized reports online and the capability to download transaction information to the customer's system for further analysis.
 - (2) Postage payments are easily associated with mailing locations and dates using information available online, simplifying reconciliation for most accounting departments.
 - (3) Customers use CAPS to track Postal Service expenses nationally and by mailing location.

Customers who use CAPS state that the primary advantages of CAPS are:

- a. Elimination of the check request process.
- b. Maintenance of permit fees.
- c. Payment when service is rendered.
- d. Online access to mailing transaction information.

1-3 Products Payable Through CAPS

CAPS accounts may be used to pay for these products and services:

- a. First-Class Mail.
- b. Standard Mail.
- c. Package Services.
- d. International mail.
- e. Address Element Correction (AEC).
- f. Business reply mail (BRM).

- g. Express Mail Corporate Account (EMCA).
- h. Merchandise return service (MRS).
- i. Periodicals.
- j. Postage due.
- k. Bulk parcel return service (BPRS).
- l. International Business Reply Service (IBRS).

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2 CAPS Account Types

Two types of CAPS accounts are available: centralized trust account and centralized debit account. These accounts have the following in common:

- a. The Postal Service assigns a CAPS account number to ensure proper administration of funds.
- b. Customers maintain their existing permit imprint, Periodical, and business reply account numbers.
- c. Customers choose which existing accounts to fund through the CAPS account.
- d. Customers use the account to fund domestic and international products and services.

2-1 Centralized Trust Account

A centralized trust account must have a balance sufficient to cover the postage amount of a mailing before the customer presents the mail. Postage statements processed through the Permit System reduce the customer's CAPS trust account by the total postage amount.

Customers use Electronic Funds Transfer (EFT) services to make deposits to CAPS accounts. CAPS offers two EFT options: ACH Credit and Fed Wire.

- a. **ACH Credit.** Automated Clearinghouse (ACH) is an overnight method of moving funds from one bank to another. The customer must initiate the ACH credit no later than the day before the desired mailing date to ensure the funds are applied to the CAPS account prior to presenting the mail. The bank charge for ACH transactions are very small, normally less than \$0.25.
- b. **Fed Wire.** A Fed Wire transfers funds from one bank to another in approximately 4–6 hours. The bank charge for a Fed Wire is higher than the overnight ACH.

Postal Service personnel may use the Permit System for a balance inquiry of a permit linked to CAPS to show the balance of the customer's CAPS trust account.

Customers can check their account balance on the CAPS Web site or by telephone using the CAPS Account Balance Information System (CABIS) at 800-884-2827.

2-2 Centralized Debit Account

With a CAPS debit account, no advance deposit of funds is required. Customers provide authorization through PS Form 6003, *Electronic Funds Transfer Authorization Agreement*, for CAPS to debit a bank account in their business name for Postal Service charges. On a daily basis, at 4 P.M. Pacific Time, CAPS totals all transactions received for the debit account, creates an ACH debit transaction, and sends it to the CAPS bank for processing. The customer's designated bank account receives the debit the next bank business day.

Entering postage statements through the Permit System creates a negative balance for the debit account. When Postal Service personnel perform a balance inquiry in the Permit System for a permit linked to a CAPS debit account, the system returns the wording "Debit Account," which indicates that mail should be accepted. When CAPS creates the daily debit transaction, the account balance returns to zero. Customers can check their account balance on the CAPS Web site or by telephone using CABIS at 800-884-2827.

2-3 Deferred Debit (ICAPS)

Customers who have a CAPS debit account and use international products, such as International Surface Air Lift™ (ISAL®) service and International Priority Airmail™ (IPA®) service, may apply for the ICAPS payment option, which provides deferred debiting for international products. ICAPS is not another CAPS account type — it is an extension of the CAPS debit account. CAPS debits the ICAPS customer's designated bank account on the 5th day and 20th day of each month for international mailing expenses incurred during the previous period. Please note that customs payments are not deferred.

To request the ICAPS payment option, customers submit a letter of request for ICAPS to the CAPS Service Center. The Service Center sends the request to International Business at Postal Service Headquarters for approval prior to processing the request. After receiving approval, the Service Center sends a letter to the customer to notify them of the date they may begin using the ICAPS option.

Customers can use the ICAPS option to fund products and services reported on the following postage statement forms:

- a. PS Form 3600-IPM, *Postage Statement – International Inbound Priority Mail Permit Imprint.*
- b. PS Form 3600-IR, *International Inbound First-Class Mail – Permit Imprint.*
- c. PS Form 3602-IR, *International Inbound Standard Mail Letters and Flats – Permit Imprint.*
- d. PS Form 3605-IPR, *Postage Statement – International Inbound Parcel Post Permit Imprint.*

- e. PS Form 3650, *Postage Statement – International Surface Air Lift.*
- f. PS Form 3651-LP, *Postage Statement – International Letter-post – Permit Imprint.*
- g. PS Form 3651-M, *Postage Statement – International M-Bag – Permit Imprint.*
- h. PS Form 3651-PP, *Postage Statement – International Parcel Post – Permit Imprint.*
- i. PS Form 3652, *Postage Statement – International Priority Airmail.*
- j. PS Form 3653, *Postage Statement – Global Priority Mail – Permit Imprint.*
- k. PS Form 3656, *Postage Statement for Global Direct – Canada Airmail (Permit Imprint).*
- l. PS Form 4000, *Postage Statement – International Commercial Packages – Permit Imprint.*

Exhibit 2-3

ICAPS Debit Schedule

Transaction Date*	Debit Date
1st – 15th day of the month	20th day of the month
16th – last day of the month	5th day of the following month

*The date postage statement information is entered into the Permit System.

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3 CAPS Customer Reports

At the CAPS Web site, customers can generate reports about their CAPS account information. The CAPS database uses real-time transaction data to provide consolidated reports of mailing activity sorted by permit site, permit number, and customer-defined date ranges in printed and electronic form. Customers use an account number and password to log on to their account over the Internet to generate reports or to download CAPS data to their own electronic reporting systems for customized analysis.

3-1 Report Types

The seven CAPS report types are listed here. See Appendix D for an example of each report and descriptions of the fields used in the report.

- a. **Transaction History Report.** Lists the transactions received during the specified date range and sorts the results by *Transaction Number*, *Permit Number*, *City*, or *Customer Reference ID Number*.
- b. **Future Fee Expirations Report.** Uses current permit expiration dates to calculate and list the permit and accounting fees due during the specified date range.
- c. **Past Fee Payments Report.** Lists fee payments made during the specified date range.
- d. **Debit Reconciliation Report.** Lists debit transactions and associated mailing transactions processed during the specified date range. Only customers with debit accounts may generate this report.
- e. **International Billing Report.** Lists pending ICAPS transactions for the specified date range. Only ICAPS customers may generate this report.
- f. **Express Mail Activity Report.** Lists Express Mail Corporate Account (EMCA) transactions made during the specified date range for a specific EMCA number or for all EMCAs linked to the CAPS account. Sorting options are *Transaction Number* and *Originating ZIP Code*.
- g. **EMCA Reconciliation Report.** Lists all EMCA funding requests, labeled *CAPS Receipt* on the report, and associated Express Mail transactions for the requested date range.

3-2 Generating Reports

CAPS generates customer reports in 5 minutes or less under normal conditions, depending upon the Internet connection, how busy the CAPS Web server is, and the amount of data requested.

Customers may generate CAPS reports using these steps:

1. Go to the CAPS Web site at *http://caps.usps.gov*.
2. Click on Account Inquiry.
3. On the *Account Inquiry* page:
 - (a) In the *Account Number* field, type the CAPS account number.
 - (b) In the *Password* field, type the password.
 - (c) In the *Activity Type* drop-down box, click on a report type.
 - (d) In the *Start Date* field, type the start date in the MMDDYY format. For example, for June 12, 2002, enter 061202.

Note: The start date must be a past date or the current date for all reports except the Future Fee Expirations report, which requires both future start and end dates. Date ranges for Transaction History and Debit Reconciliation reports cannot exceed 40 days.

- (e) In the *End Date* field, type the end date in the MMDDYY format.

Note: The end date must be a past date or the current date for all reports except the Future Fee Expirations report, which requires both future start and end dates. Date ranges for Transaction History and Debit Reconciliation reports cannot exceed 40 days.

- (f) In the *Results* drop-down box, click on the retrieval method.
- (g) Click *Get CAPS Account Information* to generate the report.

3-3 Retrieving Report Results

Four retrieval choices are available when customers generate CAPS reports:

- a. **View in the browser.** Displays data in report form in the Web browser. To print or save the report, select *Print* or *Save As* from the browser's *File* menu.
- b. **Download comma separated data.** Displays data fields separated by commas in the Web browser. To print or save the report, select *Print* or *Save As* from the browser's *File* menu. Please note that the contents of the *Customer Ref/Reason Code/Trans#* field are enclosed in double quotes. Below is an example of comma-separated data:
 2001071409304400BM,06/12/2002,SEATTLE,WA,154526,BR,B,404,179,0,"55555,SEATTLE,WA"
- c. **Download tab separated data.** Displays data fields separated by tabs in the Web browser. To print or save the report, select *Print* or *Save As*

from the browser's *File* menu. Below is an example of tab-separated data:

```
20010903203475300F 09/03/2002 CALISTOGA CA 999 PI 0
20010903203475300F 09/03/2002 CALISTOGA CA 777 PI 0
20010903203475300F 09/03/2002                                0
```

- d. **Download Microsoft Access.** Displays the data in Microsoft Access. Customers download the report and then open the report in Access to view and save it.

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4 CAPS Account Requirements

4-1 Customer Requirements

CAPS was created primarily for high-volume customers and customers with multiple permits. Qualifying permits include permits held for any item on the Products Payable Through CAPS list and Express Mail Corporate Accounts (EMCA). To qualify for a CAPS account, customers must meet at least one of the following requirements:

- a. Three permits in two or more Post Offices and revenue of \$10,000 per year.
- b. Three or more permits in one location and revenue of \$50,000 per year.
- c. Permit revenue of \$500,000 per year.

Please note that customers must have at least one existing permit account or EMCA before applying for a CAPS account. Customers may not pay permit application fees through CAPS.

4-2 ICAPS Requirements

Customers who apply for ICAPS, the deferred debit payment option, must meet all of the following requirements:

- a. Have an existing CAPS debit account, or be in the process of applying for one.
- b. Use international products, such as International Surface Air Lift (ISAL) and International Priority Airmail (IPA).
- c. Be approved for the ICAPS option by International Business at Postal Service Headquarters.

4-3 Post Office Requirements

A CAPS site is defined as a Post Office with permits linked to CAPS. To become a CAPS site, the Post Office must meet both of the following requirements:

- a. Use the Permit System for permit account maintenance.

- b. Have a customer who elects to fund a locally held permit through a CAPS account.

A Post Office usually becomes a CAPS site at the request of the CAPS Service Center. The Service Center makes the request as the result of a customer request that one or more permits at that Post Office be linked to the customer's CAPS account. The Service Center works to determine the feasibility of installing Permit System equipment or an alternative means of accessing the Permit System at the Post Office before making it a CAPS site.

5 Account Setup Procedures

5-1 Applications

Customers must submit CAPS application forms to the CAPS Service Center. Personnel at the CAPS Service Center review and process the applications. The CAPS application is comprised of three forms available on the CAPS Web site and from the CAPS Service Center:

- a. **PS Form 6001, *Centralized Account Processing System (CAPS) Account Application***. The application form that customers submit to establish a national CAPS account.
- b. **PS Form 6002, *Accounts and Services to be Paid Through CAP***. The form that customers submit with a list of local mailing account numbers, such as permit imprint numbers, that customers want to fund through their CAPS account. The CAPS Service Center works with customers to determine CAPS availability for these accounts and to set dates for linking the accounts. For more information, see 4-3.
- c. **PS Form 6003, *Centralized Account Processing System (CAPS) Electronic Funds Transfer Authorization Agreement***. The form that customers submit to give the Postal Service the authority to debit the bank account specified by the customer for Postal Service products and services. Only customers applying for a centralized debit account need to submit this form.

To add ICAPS, the deferred debit payment option, to an existing CAPS debit account, customers submit a letter requesting ICAPS to the CAPS Service Center. Customers applying for a CAPS debit account for the first time may indicate their request for the ICAPS option on the application. CAPS Service Center personnel send the application to International Business at Postal Service Headquarters for approval before processing the application. Postal Service account representatives may submit signed ICAPS requests or applications directly to International Business on behalf of customers.

5-2 The Account Activation Process

5-2.1 Permit Imprint Accounts

Permit imprint accounts are electronically “linked” to CAPS accounts through the Permit System. CAPS customers continue to use their existing permit imprint, Periodical, and business reply account numbers. The CAPS Service Center is responsible for establishing CAPS accounts and coordinating the linking of any and all permit accounts specified by the customer. The Permit System must be in use at the Post Office holding the permit account.

The CAPS Service Center works with the customer to set the date for linking the customer’s permit accounts to CAPS. For more information, see 5-3.

5-2.1.1 Application Procedure

- a. **New CAPS Customer.** Submits the appropriate CAPS application forms to the CAPS Service Center.
- b. **Existing CAPS Customer.** Completes and submits either PS Form 6002 or a letter on company letterhead signed by a primary contact for the CAPS account to the CAPS Service Center to request that the Postal Service link one or more additional permit accounts to an existing CAPS account.

5-2.1.2 Activation Process

- a. **CAPS Service Center.** Works with the customer to set the date for linking the accounts to CAPS, notifies the Post Offices of the date the linking must take place, and sends a letter to the customer confirming the link date.
- b. **Post Office.** Zero-balances the designated account and uses the Permit System to link the account to CAPS.

5-2.2 ICAPS

CAPS customers who use international products may apply for ICAPS, the deferred debit payment option, by submitting a written request to the CAPS Service Center. The Service Center sends the request to International Business at Postal Service Headquarters for approval prior to processing the request. After receiving approval, the Service Center sends a letter to the customer to notify them of the date they may begin using the deferred debit payment option.

5-2.2.1 Application Procedure

- a. **New CAPS Customer.** Checks the ICAPS box on PS Form 6001 when submitting application forms to the CAPS Service Center.

- b. **Existing CAPS Customer.** Submits a letter on company letterhead signed by a primary contact for the CAPS account to the CAPS Service Center requesting ICAPS.

Note: The customer must have an existing CAPS *debit* account before submitting the letter.

5-2.2.2 **Activation Process**

CAPS Service Center. Sends the application to International Business at Postal Service Headquarters for approval before processing the application, and upon receiving approval, either establishes or changes the account payment option.

5-2.3 **Address Element Correction**

Address Element Correction (AEC) standardizes mailer addresses for a fee. CAPS customers may pay AEC fees through CAPS. To have AEC fees funded through a CAPS account, customers submit a written request to the CAPS Service Center. Upon receipt of the request, the Service Center activates the CAPS account for AEC. When customers submit a mailing list for AEC service, they can provide a CAPS account number on the AEC application as the method of payment.

5-2.3.1 **Application Procedure**

- a. **New CAPS Customer.** Checks the AEC box on PS Form 6002 when submitting application forms to the CAPS Service Center.
- b. **Existing CAPS Customer.** Completes and submits either PS Form 6002 or a letter on company letterhead signed by a primary contact for the CAPS account to the CAPS Service Center asking to use the CAPS account to fund AEC fees.

5-2.3.2 **Activation Process**

- a. **CAPS Service Center.** Activates the customer's CAPS account for AEC.
- b. **CAPS Customer.** When submitting a mailing list for AEC service, the customer indicates on the request form that CAPS is the method of payment.

5-2.4 **Bulk Parcel Return Service**

To link a bulk parcel return service (BPRS) account to CAPS, the Post Office holding the account must use the Permit System for BPRS account maintenance. To request the link, customers submit PS Form 6002 with information about their BPRS accounts to the CAPS Service Center. In lieu of submitting PS Form 6002, customers may submit a written request on company letterhead signed by a primary contact for the CAPS account.

The CAPS Service Center works with the customer to set the date for linking the customer's BPRS accounts to CAPS. For more information, see 5-3.

Note to Account Reps and Business Service Network (BSN): Currently, the availability of the Permit System for BPRS is limited. Please determine Post Office accessibility to the Permit System before recommending CAPS to the BPRS customer.

5-2.4.1 **Application Procedure**

- a. **New CAPS Customer.** Submits the appropriate CAPS application forms to the CAPS Service Center.
- b. **Existing CAPS Customer.** Completes and submits either PS Form 6002 or a letter on company letterhead signed by a primary contact for the CAPS account to the CAPS Service Center to request that the Postal Service link one or more additional BPRS accounts to an existing CAPS account.

5-2.4.2 **Activation Process**

- a. **CAPS Service Center.** Works with the customer to set the date for linking the accounts to CAPS, notifies the Post Offices of the date the linking must take place, and sends a letter to the customer confirming the link date.
- b. **Post Office.** Zero-balances the designated account and uses the Permit System to link the account to CAPS.

5-2.5 **Business Reply Mail**

To link a business reply mail (BRM) account to CAPS, the Post Office holding the account must use the Permit System for BRM account maintenance. To request the link, customers submit PS Form 6002 with information about their BRM accounts to the CAPS Service Center. In lieu of submitting PS Form 6002, customers may submit a written request on company letterhead signed by a primary contact for the CAPS account.

The CAPS Service Center works with the customer to set the date for linking the customer's BRM accounts to CAPS. For more information, see 5-3.

Note to Account Reps and Business Service Network (BSN): Currently, the availability of the Permit System for BRM is limited. Please determine Post Office accessibility to the Permit System before recommending CAPS to the BRM customer.

5-2.5.1 **Application Procedure**

- a. **New CAPS Customer.** Submits the appropriate CAPS application forms to the CAPS Service Center.
- b. **Existing CAPS Customer.** Completes and submits either PS Form 6002 or a letter on company letterhead signed by a primary contact for the CAPS account to the CAPS Service Center to request that the Postal Service link one or more additional BRM accounts to an existing CAPS account.

5-2.5.2 **Activation Process**

- a. **CAPS Service Center.** Works with the customer to set the date for linking the accounts to CAPS, notifies the Post Offices of the date the linking must take place, and sends a letter to the customer confirming the link date.
- b. **Post Office.** Zero-balances the designated account and uses the Permit System to link the account to CAPS.

5-2.6 **Express Mail Corporate Account**

To request funding for Express Mail Corporate Accounts (EMCAs) through CAPS, customers submit PS Form 6002 with information about their EMCAs to the CAPS Service Center. In lieu of submitting PS Form 6002, customers may submit a written request on company letterhead signed by a primary contact for the CAPS account. The CAPS Service Center verifies the account information, establishes the link between CAPS and the EMCA, and notifies the customer of the link date.

If funds remain in the local EMCA on the link date, the Electronic Marketing Reporting System (EMRS) uses those funds for postage before processing postage payment through the CAPS account. When CAPS is linked to an EMCA with a negative balance, the first mailing transaction after linking will result in a fund request to CAPS for the new charge, as well as the negative balance amount.

A CAPS/EMCA customer typically makes deposits only to its CAPS account but may also make deposits to the local EMCA. Service refunds and EMCA adjustments can also result in funds applied to the local EMCA. EMRS uses funds from the local EMCA until the balance is zero, and then funds any additional charges through the CAPS account. Customers will continue to receive EMCA mailing activity statements each accounting period (AP).

5-2.6.1 **Application Procedure**

- a. **New CAPS Customer.** Submits the appropriate CAPS application forms to the CAPS Service Center.
- b. **Existing CAPS Customer.** Completes and submits either PS Form 6002 or a letter on company letterhead signed by a primary contact for the CAPS account with information about the EMCA to the CAPS Service Center to request that the Postal Service link EMCA to an existing CAPS account.

5-2.6.2 **Activation Process**

CAPS Service Center. Works with the customer to set the date for linking the EMCA to CAPS, and then on the link date activates the link between CAPS and the customer's EMCA.

5-2.7 Merchandise Return Service

To link a merchandise return service (MRS) permit to CAPS, the Post Office holding the account must use the Permit System for MRS account maintenance. To request the link, customers submit PS Form 6002 with information about their MRS accounts to the CAPS Service Center. In lieu of submitting PS Form 6002, customers may submit a written request on company letterhead signed by a primary contact for the CAPS account.

The MRS standards in the *Domestic Mail Manual (DMM)* are the same for CAPS customers and for non-CAPS customers. CAPS fulfills the centralized account requirement for MRS noted in DMM S923. Only one permit fee is required, and unless the customer requests a separation of charges, only one accounting fee is required. Entering MRS charges through the Permit System to a CAPS account replaces the manual postage due invoice process.

The CAPS Service Center works with the customer to set the date for linking the customer's MRS accounts to CAPS. For more information, see 5-3.

Note to Account Reps/Business Service Network (BSN): Currently, the availability of the Permit System for MRS is limited. Please determine Post Office accessibility to the Permit System before recommending CAPS to the MRS customer.

5-2.7.1 Application Procedure

- a. **New CAPS Customer.** Submits the appropriate CAPS application forms to the CAPS Service Center.
- b. **Existing CAPS Customer.** Completes and submits either PS Form 6002 or a letter on company letterhead signed by a primary contact for the CAPS account to the CAPS Service Center to request that the Postal Service link one or more MRS accounts to an existing CAPS account.

5-2.7.2 Activation Process

- a. **CAPS Service Center.** Works with the customer to set the date for linking the accounts to CAPS, notifies the Post Offices of the date the linking must take place, and sends a letter to the customer confirming the link date.
- b. **Post Office.** Zero-balances the designated account and uses the Permit System to link the account to CAPS.

5-2.8 Postage Due

To link a postage due account to CAPS, the Post Office holding the account must use the Permit System for account maintenance. To request the link, customers submit PS Form 6002 with information about their postage due accounts to the CAPS Service Center. In lieu of submitting PS Form 6002, customers may submit a written request on company letterhead signed by a primary contact for the CAPS account.

The CAPS Service Center works with the customer to set the date for linking the customer's postage due accounts to CAPS. For more information, see 5-3.

Note to Account Reps/Business Service Network (BSN): Currently, the availability of the Permit System for postage due is limited. Please determine Post Office accessibility to the Permit System before recommending CAPS to the postage due customer.

5-2.8.1 **Application Procedure**

- a. **New CAPS Customer.** Submits the appropriate CAPS application forms to the CAPS Service Center.
- b. **Existing CAPS Customer.** Completes and submits either PS Form 6002 or a letter on company letterhead signed by a primary contact for the CAPS account to the CAPS Service Center to request that the Postal Service link one or more additional postage due accounts to an existing CAPS account.

5-2.8.2 **Activation Process**

- a. **CAPS Service Center.** Works with the customer to set the date for linking the accounts to CAPS, notifies the Post Offices of the date the linking must take place, and sends a letter to the customer confirming the link date.
- b. **Post Office.** Zero-balances the designated account and uses the Permit System to link the account to CAPS.

5-2.9 **International Business Reply Service**

To link an International Business Reply Service (IBRS) account to CAPS, the Post Office holding the account must use the Permit System for IBRS account maintenance. To request the link, customers submit PS Form 6002 with information about their IBRS account to the CAPS Service Center. In lieu of submitting PS Form 6002, customers may submit a written request on company letterhead signed by a primary contact for the CAPS account.

The CAPS Service Center works with the customer to set the date for linking the customer's IBRS accounts to CAPS. For more information, see 5-3.

Note to Account Reps and Business Service Network (BSN): Currently, the availability of the Permit System for IBRS is limited. Please determine Post Office accessibility to the Permit System before recommending CAPS to the IBRS customer.

5-2.9.1 **Application Procedure**

- a. **New CAPS Customer.** Submits the appropriate CAPS application forms to the CAPS Service Center.
- b. **Existing CAPS Customer.** Completes and submits either PS Form 6002 or a letter on company letterhead signed by a primary contact for the CAPS account to the CAPS Service Center to request that the

Postal Service link one or more additional IBRS accounts to an existing CAPS account.

5-2.9.2 **Activation Process**

- a. **CAPS Service Center.** Works with the customer to set the date for linking the accounts to CAPS, notifies the Post Offices of the date the linking must take place, and sends a letter to the customer confirming the link date.
- b. **Post Office.** Zero-balances the designated account and uses the Permit System to link the account to CAPS.

5-2.10 **Periodicals**

CAPS customers who link their Periodicals accounts to CAPS continue to use their existing publication numbers. The CAPS Service Center is responsible for establishing CAPS accounts and coordinating the linking of any and all permit accounts specified by the customer. For more information, see 5-3.

Note: All Centralized Postage Payment (CPP) customers must use a CAPS trust account to fund their CPP permits — they cannot use a CAPS debit account to fund their CPP permits.

5-2.10.1 **Application Procedure**

- a. **New CAPS Customer.** Submits the appropriate CAPS application forms to the CAPS Service Center.
- b. **Existing CAPS Customer.** Completes and submits either PS Form 6002 or a letter on company letterhead signed by a primary contact for the CAPS account to the CAPS Service Center to request that the Postal Service link one or more additional Periodicals accounts to an existing CAPS account.

5-2.10.2 **Activation Process**

- a. **CAPS Service Center.** Works with the customer to set the date for linking the accounts to CAPS, notifies the Post Offices of the date the linking must take place, and sends a letter to the customer confirming the link date.
- b. **Post Office.** Zero-balances the designated account and uses the Permit System to link the account to CAPS.

5-3 **The Link Process**

The CAPS Service Center notifies Post Offices of the requested link date for specified permits. The notification consists of a link letter (see 5-5) and CAPS Initialization Instructions for Local Offices. See Appendix B for instructions for linking accounts to CAPS.

Note: The local Post Office holding the permit does not process any trust fund deposits for permits linked to CAPS.

5-4 Fees

CAPS deducts annual presort mailing and accounting fees for accounts linked to CAPS. The local Post Office holding the permit is responsible for the accuracy of the local fee information and for notifying the CAPS Service Center of any fee problem.

5-5 CAPS Sample Link Letters

Exhibit 5-5a shows a sample link letter for a Trust Account.

Exhibit 5-5b shows a sample link letter for a Debit Account.

Exhibit 5-5a
Trust Account

CENTRALIZED ACCOUNT PROCESSING SYSTEM SERVICE CENTER



November 12, 2002

Attn: Horace Greeley
US Postal Service
P.O. 9270
Greeley, CO 80632-0927

Your customer, Go West, Inc., has chosen to link the permit(s) listed below to their account in the Centralized Account Processing System, #7000. The permit must be linked on December 2, 2002.

- 5555

This CAPS account is a **TRUST ACCOUNT**, which requires electronic deposit of funds prior to presentation of mail. Once this permit is linked to CAPS, you will be able to verify the account balance utilizing the balance and fees screen in the Permit System.

The local permit account balance must be zero at the time of conversion to CAPS. This may be accomplished by either transferring the balance to the CAPS account or by refunding the balance to the customer as follows:

- a. Funds from the local trust account may be transferred to the CAPS account at the time of linking. **Written authorization from the customer is required prior to transfer of funds.**
- b. If transfer of funds to CAPS is not requested, a refund must be made directly to the customer. This letter constitutes authorization to initiate the process to refund any remaining funds.

Any required optional procedure/alternate procedure audits and resulting refunds or adjustments must be reflected in the local trust account and must be performed before the conversion date. **Please contact the CAPS Service Center if the link date cannot be met.**

If you have any questions or require any assistance regarding CAPS, please call John Soule at 303-555-5555.

Rochelle McLachlan
Supervisor, CAPS Service Center

cc: Manager, Business Mail Entry File

2700 Campus Drive
San Mateo, CA 94497-0001
650-377-1334

Fax 650-377-5336

Exhibit 5-5b
Debit Account

CENTRALIZED ACCOUNT PROCESSING SYSTEM SERVICE CENTER



November 12, 2002

Attn: Katherine Lee Bates
U.S. Postal Service
P.O. 3270
Colorado Springs, CO 80901-0327

Your customer, America the Beautiful, Inc., has chosen to link the permit(s) listed below to their account in the Centralized Account Processing System, #5000. The permit must be linked on December 2, 2002.

- 5555

This CAPS account is a **DEBIT ACCOUNT**, which requires no advance deposit. Once this permit is linked to CAPS, the words "**DEBIT ACCT**" will appear on the balance and fees screen in the Permit system in lieu of a dollar amount. In the account maintenance portion of the Permit system, a negative balance may appear as their postage transactions for the day accumulate. At the end of the day, a debit transaction for collection of funds will be created by the CAPS Service Center and the account balance will once again be zero. **Mailings for a permit linked to a CAPS debit account should never be refused for insufficient funds.**

The local permit balance of the above listed permit(s) must be zero at the time of linking to CAPS. This letter constitutes authorization to initiate the process to refund any remaining funds.

Any required optional procedure/alternate procedure audits and resulting refunds or adjustments must be reflected in the local trust account and must be performed before the conversion date. **Please contact the CAPS Service Center if the link date cannot be met.**

If you have any questions or require any assistance regarding CAPS, please call William Palmer at 719-555-5555.

Rochelle McLachlan
Supervisor, CAPS Service Center
cc: Manager, Business Mail Entry File

2700 Campus Drive
San Mateo, CA 94497-0001
650-377-1334
Fax 650-377-5336

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6 Making Changes to an Existing CAPS Account

6-1 Linking Additional Accounts

To request that the Postal Service link one or more additional permit accounts to an existing CAPS account, customers must complete and submit to the CAPS Service Center either PS Form 6002 or a letter on company letterhead listing the additional permit number(s) and signed by a primary contact for the CAPS account.

6-2 De-linking Accounts

To request that the Postal Service de-link a permit account from CAPS, customers must submit a written request on company letterhead indicating the permit number, city, and state to the CAPS Service Center. A primary contact for the CAPS account must sign the request.

6-3 Updating Customer Contact Information

The CAPS application requires the customer to list a minimum of two primary contact persons who have the authorization to request modifications to the CAPS account. Modifications include linking additional permit accounts, de-linking permit accounts, and requesting refunds. Customers may send updated contact information in a letter to the CAPS Service Center signed by a primary contact, or they may update the information through the CAPS Web site by following these steps:

1. Go to the CAPS Web site at <http://caps.usps.gov>.
2. Click Account Inquiry.
3. In the *Account Inquiry* page, enter the Account Number and Password.
4. In the *Activity Type* drop-down list box, click Update Customer Information.
5. Complete the *Update Customer Information* page and click SUBMIT.

The CAPS Service Center will update the CAPS database with changes received in letterform or through the Web site within 5 business days.

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7 CAPS Standard Operating Procedures

7-1 Address Element Correction

Note: The procedures in this section are for use by designated National Customer Service Center (NCSC) personnel only. This information was copied with minor formatting changes from AEC documentation.

7-1.1 Logging into CAPS AEC Program via Netscape

1. Enter 56.224.3.140 in the *Netsite/Address* field and press ENTER or create and use a bookmark.
2. Enter user name.
3. Enter password.
4. Press the login key.

7-1.2 Processing AEC Withdrawals in CAPS

1. From the main menu, select Option 1 — Transactions entry.
2. Enter the following information from the AEC request for service:
 - (a) CAPS account number. All CAPS accounts activated for AEC will be listed. Select the proper account number. If the account number is not on the activated list, fax the application form to the CAPS Service Center at 650-377-5336. The CAPS Service Center will activate the account number for AEC and notify the AEC data entry site.
 - (b) Customer order number.
 - (c) Address count.

Note: The system will calculate the amount due based on the number of pieces entered. The user can override this calculated amount, if necessary.

3. File transaction. Verify the amount calculated and accept or change transaction. The message “Transaction successfully filed” appears, along with the transaction number.

4. To enter the next transaction, press the BACK button on the toolbar. The previous transaction will be displayed. Click RESET to clear the screen for the next entry.

7-1.3 Printing Reports and Verification

1. Press the BACK button on the toolbar or select the menu on the screen to go to the main menu.
2. Select Option 2 — Transaction Report and Reversals.
3. Enter the following information:
 - (a) Enter “All AEC accounts” in the *CAPS Account Number* field.
 - (b) Enter the current business date.
 - (c) Select transaction report.
4. Verify the total amount listed on the report on the total revenue line to the totals listed on the AEC requests for service.
5. Initial report.
6. Maintain a copy of the report to support the PS Form 1412-A entry, *Daily Financial Form*.
7. On the last day of the accounting period, print a report for the entire accounting period. Submit this report to the district Accounting Office along with the daily report and PS Form 1412-A. The AP report should match the amounts listed on PS Form 1412-A for the accounting period.
8. Perform the following:
 - (a) From the main menu, select AP Summary Report.
 - (b) Enter accounting period.

7-1.4 Posting PS Form 1412-A

1. Make the following entries to PS Form 1412-A from the Netscape AEC Report:
 - (a) AIC 093 (Retail Products).
 - (b) AIC 425 (National Trust Fund Offset).

Note: All transactions processed in CAPS must be entered to the PS Form 1412-A for the same business date. If the transactions are not posted correctly by the close of the accounting period, a statement of difference will be issued.
2. Submit PS Form 1412-A to the Nashville District Accounting Office.

7-2 Express Mail Corporate Account

Note: This information was copied with minor formatting changes from EMCA documentation.

7-2.1 Overview

CAPS interfaces with the Electronic Marketing Reporting System (EMRS) to allow customers to fund EMCA mailings through CAPS. The EMCA customer must have a local trust account but is not required to maintain a minimum balance when linking the account to CAPS. Customers may not transfer funds from a local EMCA to their CAPS account.

Typically, a CAPS/EMCA customer makes deposits only to their CAPS account, but they may make a local deposit. When an EMCA mailing is processed, the EMRS checks the local EMCA trust account for a balance and deducts postage from it until the balance is zero. The system automatically offsets any additional postage required against the customer's CAPS account. Local Express Mail offices process refunds for Express Mail service failures and other account corrections through EMRS.

7-2.2 Accounting Procedures

Expedited Services. Monitor EMCA local trust account activity and issue credits to accounts for service failures, as necessary. Distribute weekly EMCA reports to field offices.

District Accounting Offices (DAOs)/Postmasters. Verify local EMCA activity against the weekly EMCA reports to ensure that all local deposits and refunds have been credited. Withdrawals can be made on a CAPS-linked EMCA only if the account has funds held in the local trust account, and the withdrawal cannot exceed that amount.

DAOs/postmasters make the accounting entries reporting revenue and withdrawals from EMCA accounts using EMRS Report CED907P1, EMCA Weekly Activity Report to Trust Zip.

Report CED907P1 provides an itemization of Express Mail revenue for the week. The revenue amount identified as CAPS Postage must be offset by an entry to AIC 425, National Trust Fund Offset. The revenue amount identified as Local Postage must be offset by an entry to AIC 455, Express Mail Advance Deposits (withdrawal from the local trust account). The total of these revenue amounts is indicated as Total AIC 133, which must be entered to AIC 133. DAOs/Postmasters continue to do daily verification.

Example:

CAPS Postage (offset AIC 425)	\$100.00
Local Postage	\$71,609.10
Adjustments for Postage	\$0.00
Total AIC 133	\$71,709.10

PS Form 1412-A accounting entries:

AIC 133	\$71,709.10
AIC 425	\$100.00
AIC 455	\$71,609.10

San Mateo CAPS Service Center (San Mateo, CA). Record all CAPS deposits and withdrawals. Any withdrawals through EMCA will be offset to AIC 325. The CAPS Service Center notifies customers when their EMCA has been linked to their CAPS account and when/if their CAPS trust account balance becomes negative due to EMCA activity.

Eagan Accounting Service Center (Eagan, MN). Reconcile reported postage withdrawals from CAPS against the reported withdrawal amount by the CAPS Service Center. If the two figures reported in AIC 325 by the CAPS Service Center and AIC 425 by the local trust office do not agree, a *Statement of Difference* will be issued which must be resolved at the local office.

7-3 Permit Imprint Accounts

7-3.1 Requesting Permit System Setup

The CAPS Service Center may facilitate the setup of the Permit System in Post Offices where one or more of the customers apply and qualify for a CAPS account. The CAPS Service Center works with the Post Offices to determine the best method of setting up the system, either Permit System equipment or terminal emulation software for use on a PC.

7-3.2 Accounting

For procedures, see Appendix B, Section B-2.

7-3.3 The *CAPS Customer Reference ID* Field

Postal Service personnel must always make an entry in the *CAPS Customer Reference ID* field, which is abbreviated as the *CAPS Cust Ref ID* on postage statements, when entering postage statements into the Permit System. Customers use this field to identify mailings for their own internal purposes and the information in this field is important to the customer for account reconciliation and operational processes. Using the Permit System, Postal Service personnel enter information from the *CAPS Cust Ref ID* field at the end of mailing work screen #1. The field, called *cust ref* in the Permit System, is alphanumeric and accommodates 20 characters. If the customer leaves the field empty, Postal Service personnel must enter "NA" to satisfy the input requirement.

The *CAPS Cust Ref ID* information does not appear on the facsimile postage statement generated by the local Permit System. However, CAPS customers

do see this information — correct or incorrect — on reports they generate through the CAPS Web site.

7-3.4 **Mail Date**

Postal Service personnel must always check the *Mail Date* field for accuracy. Accuracy of the mailing date is critical to CAPS customers for management of their mail processes. CAPS records the exact date and time of all system transactions. It also captures the mailing or activity date of the transaction as entered in the Permit System. On Permit postage statement work screens, the current date appears in the *Mail Date* field automatically. In most cases, there is no need to change this field. However, when the date in the *Mail Date* field is different from the date of the postage statement entry in the Permit System, change the *Mail Date* field to reflect the actual mailing or activity date.

7-3.5 **Timely Entry of Postage Statements in the Permit System**

Postal Service personnel must record postage statement information in the Permit System on the same day the mailing is accepted unless otherwise authorized by the business mail entry manager. CAPS customers depend on timely entry of this information for management of postage funds.

The Postal Service records revenue based on the processing of postage statements and cannot collect postage for mailings funded through a CAPS debit account until CAPS receives the postage statement information from the Permit System. Unlike trust account customers, the CAPS debit customer has no funds on deposit with the Postal Service.

7-3.6 **Making Timely Reversals and Reentries**

When it is necessary to reverse a postage statement transaction for a permit linked to CAPS, Postal Service personnel perform the reversal and reentry of correct information at the same time. Delaying the reentry of the corrected postage statement can cause account issues for the customer, especially if the account is a debit account. When using the *Account Inquiry* feature on the CAPS Web site, customers see any and all transactions for permits linked to a CAPS account including reversals. Consecutive reversal and reentry transactions enable the customer to better understand the changes to the account. For example:

- **Wednesday.** Clerk enters a postage statement for \$50,000.
- **Thursday.** CAPS debits the customer's bank account for \$50,000. The clerk discovers the postage statement was incorrect and reverses it, but does not reenter the corrected postage statement.
- **Friday.** CAPS credits the customer's bank account for \$50,000. The clerk reenters the postage statement for \$40,000.
- **Monday.** CAPS debits the customer's bank account for \$40,000.

In this example, the problem is not that it takes the customer longer to reconcile the monthly bank statement, but the issues that arise when the three CAPS transactions over 3 days conflict with the end of the customer's accounting period.

7-3.7 Adjustments

The Permit System provides an "adjustment" capability used primarily to collect additional funds from a permit account for previously accepted mailings. Postal Service personnel must not use the Adjustment screen to enter total revenue for a mailing instead of entering complete postage statement information. Incorrect use of the Adjustment screen can cause premature debiting of an ICAPS account and possibly result in a returned debit charge for the Postal Service.

7-3.8 Timely AP Close Out of Local Permit System

CAPS closes no later than Monday following the end of the accounting period. To insure accurate accounting, Post Office personnel must enter all CAPS-linked permit transactions no later than Monday following the end of the Postal Service accounting period. CAPS reports all financial data for permit customers paying postage through CAPS at the end of the Postal Service accounting period. A delay in local Permit System closing may also delay national financial reconciliation.

After it closes, CAPS accepts no further transactions until the local Permit System closes. In other words, the CAPS host will know, for example, that AP 3 is closed and will not accept data from a local system that is still working as AP 3. When the site tries to file a CAPS transaction, this message appears: "Transaction aborted. Do your AP close before filing CAPS. Press RETURN."

CAPS transactions entered in a timely manner appear on PS Form 3083, *Trust Accounts Receipts and Withdrawals*, for the accounting period and day of business stored on the local Permit System. Rejected transactions will not be in the system and therefore will not show on any reports. Post Office personnel must reenter the transaction after the local system closes for the accounting period. The transactions will then appear on the current accounting period reports.

7-3.9 Permit Balance Query Function

Postal Service personnel use the *Balance Query* function to determine the trust account balance prior to the acceptance of mail. The response to the balance query indicates the type of CAPS account in use and the availability of funds.

- a. **Trust Account.** Balance query shows the amount of money available for postage.
- b. **Debit Account.** Balance query results in the response *Debit Account*, which indicates personnel should accept the mailing, because CAPS collects payment for postage.

A detailed inquiry for a permit linked to a CAPS debit account will normally reflect either a zero balance or a negative balance. The account balance increases each time CAPS receives a new transaction. Daily at 4 P.M. Pacific Time, CAPS totals transactions for each debit account and creates a debit transaction that is sent to the bank for collection. The balance goes to zero when CAPS creates the debit for the transaction.

7-3.10 **Setting Up CAPS Merchandise Return Service Accounts Correctly**

Postal Service personnel must setup Merchandise Return Service (MRS) CAPS accounts in the Permit System using a utility account — i.e., the old in-town accounts. Utility accounts have two parts:

- a. The basic number has an extension of -000, as in 157-000. The basic accounts receive the MRS annual fee.
- b. The sub-accounts have a numbered extension, as in 157-001. The sub-accounts receive the MRS accounting fee.

Note: Postal Service personnel must not setup MRS accounts as postage due accounts — postage due accounts do not correctly report MRS data because postage due does not have piece-count functionality.

If a postage due account exists for MRS activity, it must be converted to a proper MRS account. Call the CAPS Service Center at 650-377-1334 for instructions for converting a postage due account that is incorrectly invoicing MRS charges to an MRS account.

To setup an MRS CAPS account, perform the following tasks:

1. Set up a utility account using the Permit System.
2. Instruct the customer to send a fax to the CAPS Service Center at 650-377-5336 requesting the account link and automatic fee payment.
3. Link both parts of the accounts per the CAPS Service Center instructions.
4. Enter the annual fee and accounting fee locally as directed by the CAPS Service Center. Enter accounting fees locally by using a date that matches the annual fee. When the fees are due for renewal, CAPS will automatically update only the annual fee.

Until the process can be automated, local sites will have to enter the accounting fees when they fall due. Backdate the “fee payment” screen (1.6) to match the anniversary date of the annual fee. In the Permit System, fee payments are not financial transactions. There are no financial consequences to the local site. If there is a question about the proper anniversary date, call the CAPS Service Center at 650-377-1334.

Note: When a CAPS MRS customer pays the annual and accounting fees, both fees may be shared by all of the mailer’s CAPS accounts. If the fees are paid in one finance number, they are valid in any other finance number. The CAPS software automates the sharing of the \$125 annual fee, but the sharing of the \$375 accounting fee is not automated.

Both fees must have expiration dates to do MRS mailing without a supervisor's override.

7-3.11 **Transaction Discrepancies**

To resolve postage charge discrepancies from a CAPS transaction most efficiently, Postal Service personnel should direct customers to contact the Business Mail Entry Unit (BMEU) directly about the discrepancy, not the CAPS Service Center.

7-4 **BPRS, BRM, MRS, and Postage Due Accounts**

As with all permit links to CAPS, the Post Office must maintain these accounts in the Permit System to enable payment through CAPS. If the Post Office handling the account is not using the Permit System, personnel should consider alternate procedures to fulfill the customer request.

CAPS automatically deducts annual permit and associated accounting fees for all linked permits.

The value of BPRS, BRM, MRS, and postage due account transactions processed through CAPS appears on the permit unit's PS Form 3083, *Trust Accounts Receipts and Withdrawals*. Postal Service personnel enter this information into the Standard Field Accounting System (SFAS) in the normal course of financial reporting using the procedure described in Appendix B.

Entries for BPRS, BRM, MRS, and postage due accounts are not included in the automated Permit file for SFAS. All offices with BPRS, BRM, MRS, and postage due accounts linked to CAPS must provide a PS Form 3083 to their accounting office for manual input into SFAS.

7-5 **Refunds**

7-5.1 **Permit System**

Local Post Offices cannot process refund requests for permits linked to CAPS. Customers must submit written requests for refunds to the CAPS Service Center.

7-5.2 **EMCA**

The local trust account office can process EMCA refund requests if funds sufficient to cover the refund are available in the local account. The CAPS Service Center must process refund requests from an EMCA when local funds are not available. Customers submit written requests for refunds to the CAPS Service Center. Service failure refunds are credited to the local EMCA trust account.

7-6 Fee Letters

As a courtesy, the CAPS Service Center sends a letter to customers 60 days before an annual mailing or accounting fee is due. CAPS automatically debits the customer's CAPS account for the fee at the time it is due unless the customer contacts the CAPS Service Center to make alternate arrangements.

7-7 Account Cancellation

If a CAPS account shows no activity for 18 months, the CAPS Service Center initiates cancellation procedures. It sends a letter to the customer notifying them of impending cancellation and requests a response within 30 days. The account is cancelled if no response is received within the 30 days. If the CAPS Service Center cancels a customer's CAPS account, the customer may contact the CAPS Service Center at any time to request that their account be reactivated.

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8 CAPS Frequently Asked Questions

1. Can customers have more than one CAPS account?

Yes. Customers may have multiple CAPS accounts. While most customers desire a single source of information for all their permit accounts, some customers find that having more than one CAPS account works best for their particular business.

2. Must customers have a permit imprint account to get a CAPS account?

No. Any type of permit account or EMCA counts toward the requirements for a CAPS account. For more information, see 1-3.

3. What effect does opening a CAPS account have on a customer's permit numbers?

None. Customers continue to use the same permit numbers.

4. How are fees handled when a customer opens a CAPS account?

Fees in effect when linking a permit account to a CAPS account remain in effect until the current expiration date. Then, in advance of fee expiration dates, customers receive a notice listing fees about to expire with an explanation of the renewal process. Customers can use the CAPS account to pay the fees.

5. Should BRM, BPRS, MRS, and postage due accounts be managed through the Permit System?

Yes, whenever possible. The Permit System is the only source of this type of customer and product information. It also is the only way an account can be linked to a CAPS account.

6. Can regular trust account balances be transferred to a CAPS trust account?

Yes. When a CAPS trust account is established, the customer may elect to transfer funds in local trust accounts to the CAPS trust account. The exception is the EMCA. The Electronic Marketing Reporting System (EMRS) checks the customer's local EMCA trust account for a balance and deducts postage from it until the balance is zero. The system automatically offsets any additional postage against the customer's CAPS account.

7. How does CAPS affect revenue credit?

It doesn't. When a customer gets a CAPS account, there is no change from a revenue credit standpoint. Revenue for CAPS customer mailings is credited to the local Post Office holding the permit. The only exception is revenue credit from Centralized Postage Payment (CPP) customers. The New York Rates and Classification Service Center (NYRCSC) manages CPP, and revenue is credited to a New York finance number.

8. **Suppose that Company ABC's mail is included in a combined mailing prepared and presented by a mailhouse. Can the postage for Company ABC's portion of the mailing be deducted from its CAPS account?**

No. Mailhouses present combined mailings on a postage statement funded through their permit number. There is no way for the Postal Service to determine the number of pieces, weight, and other variables for the individual components of the combined mailing.

9. **Can the CAPS *Account Inquiry* function on the CAPS Web site be changed to report on individual permits instead of everything within a date range?**

Customers may use the *Account Inquiry* function to download data to their internal systems for analysis. This provides the flexibility needed for various analysis requirements such as reporting on a single permit number.

9 CAPS Stand-Up Talks

BME managers may use the following suggested Stand-Up Talks with their BMEU personnel.

9-1 Permit, CAPS, and the CAPS Customer Reference ID Field

All postage statements include a field in or near the permit holder's block called the *CAPS Customer Reference ID* (hereafter called *Cust Ref ID* for short). CAPS customers use the *Cust Ref ID* field to track their mailing activity in a variety of ways, such as plant location, vendor, or mailing segments, and it is very important to their operations. The following points will help clarify the proper use of the field by all concerned:

- a. The CAPS customer controls the entry of information in this field.
- b. It is the responsibility of the CAPS customer to provide the proper information for this field to all vendors and mailing agents.
- c. Postal Service personnel must not advise vendors to enter the CAPS account number in this field.
- d. Postal Service personnel must record all data present in the *Cust Ref ID* field on a postage statement in the Permit System at the end of mailing work screen #1. The field name in the Permit System is *cust ref*. If the customer has left the field empty, Postal Service personnel must enter "NA" to satisfy the input requirement.
- e. The facsimile mailing statement generated by the local Permit System does not include *Cust Ref ID* information. However, CAPS customers do see this information — correct or incorrect — on reports they produce through the CAPS Web site.
- f. CAPS customers report the following two errors most often:
 - (1) Lack of input of information that is physically on the postage statement.
 - (2) Postal Service personnel enter the 5-digit CAPS account number into the *cust ref* field.

Note: If a vendor repeatedly places the CAPS account number in the *Cust Ref ID* field, please contact the CAPS Service Center at 650-377-1334. The CAPS Service Center will ask the CAPS customer to contact the vendor, requiring that the situation be corrected.

With your cooperation, we can help our CAPS customers achieve good results. Thank you for your attention.

9-2 CAPS: Timely Entry of Postage Statements and Correct Mail Date

BMEU personnel can positively affect Postal Service finances and customer service by doing two things when entering postage statement information into the Permit System for permits linked to CAPS.

- a. First, enter the postage statements in a timely manner.
- b. Second, always check the *Mail Date* field for accuracy.

The following points explain why these two things are important.

9-2.1 Timely Entry of Postage Statements

- a. CAPS customers have online access to their accounts and expect to see postage statement information the same day, or the day after, the Postal Service accepts a mailing. More timely access to data is one reason customers choose to use CAPS to manage their Postal Service funds.
- b. CAPS trust account customers rely on an up-to-date balance for scheduling electronic funds transfers.
- c. The Postal Service also benefits from entering postage statements in a timely manner. CAPS debit accounts have no funds on deposit with the Postal Service. CAPS totals permit transactions daily at 4 P.M. Pacific Time to create the debit for collection from the customer's bank account the following day. A delay in entering a postage statement for a CAPS debit account results in a delay in actual postage collection. It is like leaving a customer's check in a drawer for a couple days before depositing it in the bank.

9-2.2 Use of Correct Mail Date

- a. Accuracy of the *Mail Date* field is critical to CAPS customers for management of their mail processes including reconciliation of postage statements and CAPS transactions.
- b. CAPS records the exact date and time a transaction is received and includes this information in a "transaction number." It also captures the mailing or activity date of the transaction as entered in the Permit System. Both the transaction number and the mailing/activity date appear on CAPS reports.
- c. On the Permit System postage statement work screens, the current date appears in the *Mailing Date Entry* field automatically. When the actual mailing date is different from the date of the postage statement entry, for whatever reason, Postal Service personnel must change the *Mailing Date Entry* field to reflect the actual mailing or activity date.

With your cooperation, we can get our money on time and help our CAPS customers achieve good results. Thank you for your attention.

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CAPS Contact Information

A-1 CAPS Customer Support

The CAPS Service Center is available to answer questions, provide application forms, and assist with problems Monday through Friday, from 6:30 A.M. until 4:30 P.M. Pacific Time. Please contact the CAPS Service Center by mail, telephone, fax, or e-mail as follows:

CAPS SERVICE CENTER
2700 CAMPUS DR
SAN MATEO CA 94497-9442
650-377-1334
FAX 650-377-5336
ssmctas@email.usps.gov

A-2 CAPS Web Site

To access the CAPS Web site, the customer's computer must be operational with a standard Web browser with JavaScript and Secure Sockets Layer (SSL) enabled, and an Internet connection. The Internet address for the CAPS Web site is as follows:

<http://caps.usps.gov>

A-3 CAPS Balance Inquiry

To get current balance and last deposit information, customers may call the CAPS Account Balance Information System (CABIS) at the following telephone number:

800-884-2827

A-4 Permit System Technical Support

For questions and problems with the Permit System, Postal Service personnel should call the following telephone number:

800-877-7435 (800-USPS-HELP)

CAPS Initialization Instructions for Local Offices

Note: This information was copied with minor formatting changes from CAPS Service Center documentation.

B-1 General Instructions

April 2002

The Centralized Account Processing System (CAPS) provides customers with a national account through which they may pay postage and fees for permit imprint, Address Element Correction, bulk parcel return service, business reply mail, Express Mail Corporate Accounts, merchandise return mail, postage due, International Business Reply Service, and Periodicals at each Post Office where they perform these transactions.

Two account types are available — trust and debit. The customer funds the CAPS trust account by means of electronic funds transfer in advance of mailing transactions. Advance funds are not required for a debit account; the Postal Service withdraws funds directly from the customer's bank account the day after the mailing transaction. No local trust account is necessary for a permit account funded through CAPS.

CAPS account balance information resides in a database maintained by the San Mateo Information Systems Service Center (ISSC). Permit System software allows permit users access to the database for posting transactions to CAPS-linked permits, entry of postage statement data, account adjustments, and reversals of transactions. The Post Office maintaining the customer permit must be an active Permit site to fund the permit through CAPS.

Post Offices cannot perform local trust accounting on a CAPS-linked account. For example, a customer cannot make a deposit to a CAPS trust account at a Post Office as it would with a local trust account. All deposits for CAPS accounts are made by Electronic Funds Transfer (EFT) through the CAPS bank. Similarly, local Post Offices may not process refunds to or from a CAPS account.

CAPS deducts annual fees for permits linked to CAPS accounts directly from the CAPS account. The local permit office is responsible for the accuracy of

the local fee information and for notifying the CAPS Service Center of any fee problem.

The local Post Office will experience the procedural changes described below when linking a permit to CAPS:

- a. Prior to linking a permit to CAPS, the local trust fund for that permit must have a zero balance.
 - (1) If the customer is applying for a CAPS debit account, the local BMEU/Accounting staff will refund, in accordance with local refund standard operating procedures, any funds on deposit for the permits designated.
 - (2) If the customer is applying for a CAPS trust account, the customer has the option of receiving a refund of applicable local account balances or transferring the balances to the CAPS account. Use local procedures for refunds. To transfer funds to CAPS, the customer must submit a written request, which is normally part of the CAPS application or additional link request process.
- b. Verify the balance is correct and initiate the transfer of funds transaction through the Permit System. The transaction will be included in the SFAS/Permit interface for SFAS offices, and PS Form 1412-A, *Daily Financial Form*, will show entries for AIC 242, Transfer of Funds–CAPS, and AIC 480, Trust Funds Withdrawn. The account book office will retain supporting documentation received from the BMEU as support for the trust funds withdrawal.
- c. To link a local permit to a CAPS account, BMEU personnel must log into the Permit System with a user name authorized to perform MAINTENANCE functions. BMEU personnel must link the permit on the scheduled date as determined by the CAPS Service Center. To link Permit Imprint or Business Reply permit accounts, follow the steps in Section I. To link Periodicals, follow the steps in Section II.
- d. The local Post Office will no longer handle trust fund deposits for any permit linked to CAPS.
- e. BMEU personnel will process postage statement transactions for these permits in the Permit System as usual. Permits linked to CAPS will automatically connect to the CAPS database, where the centralized trust account will be reduced by the amount of the transaction processed in the local Post Office or, for a centralized debit account, a debit transaction will be created for collection the next day.
- f. If there are insufficient funds in a CAPS trust account to cover a mailing, acceptance personnel should contact the CAPS Service Center at 650-377-1334 for assistance.
- g. The *CAPS Customer Reference ID* field on the postage statement work screen captures customer-defined information about the customer's mailing. BMEU personnel *must* input this data when processing the postage statement or enter "NA" if the customer leaves the field blank. Information describing the correct usage of this field is included in this document.

- h. Revenue will continue to be credited to the local Post Office's financial reports on a daily basis for all CAPS customer mailings. There is no change from a revenue credit standpoint.
- i. Information will appear on PS Form 3083, *Trust Accounts Receipts and Withdrawals*, which will identify the value of transactions processed through CAPS. The CAPS Service Center enters this information into Standard Field Accounting System (SFAS) in the normal course of financial reporting. Detailed instructions for CAPS-related financial reporting may be found in the CAPS Reporting Procedures section.
- j. To obtain a customer's CAPS account balance, BMEU personnel can select the BALANCE AND FEE INQUIRY option from the Main Menu. Once in this (P40000) screen, personnel press TAB, and then enter the local permit number. The customer's CAPS account number and balance will appear. If the account is a debit account, only the term "debit account" will be displayed and not the balance itself.
- k. When BMEU personnel are processing a customer's mailing in a postage statement work screen, the CAPS account balance appears in the current balance field. Debit account balances are displayed in parenthesis until the debit transaction is created at the end of the day.

Please forward instructions to the employee responsible for this action and ensure instructions are read and followed carefully.

B-2 Section I — Permit Imprint and Business Reply

B-2.1 Link Procedure

1. From the MAIN MENU, choose option 3-MAINTENANCE.
2. From the MAINTENANCE MENU, choose option 1-MASTER RECORDS.
3. On the MASTER RECORDS SELECT screen:
 - (a) Choose the appropriate Permit Type (PI, BR).
 - (b) Enter the permit number of the local account being linked to CAPS.
 - (c) Press ENTER.
4. On the COMMAND LINE:
 - (a) Choose option (L)INK, and then press ENTER.
 - (b) Choose option Link to (C)APS, and then press ENTER. The 5-digit CAPS account number will be supplied in the *CAPS Account Number* field.

The local permit is linked when the following message appears: "Please notice the CAPS account number and press RETURN to clear the screen."

B-2.2 De-link Procedure

Note: Do this only in conjunction with the CAPS Service Center.

1. Go to the MASTER RECORDS SELECT screen.
2. Choose the appropriate permit type and permit number, and then press ENTER.
3. Choose DELIN(K).
4. Confirm that you really want to de-link by responding with a “Y” when prompted, and then press ENTER.

B-2.3 Report Changes

The following changes to your reports will reflect the fact that you are using a CAPS account:

- a. PS Form 3083 will display local activity as well as national (CAPS) activity.
- b. The Transaction Summary will flag CAPS account transactions with an asterisk (*). It will also contain blanks in the *Ending Balance* field for CAPS-linked accounts. This is a normal condition and indicates that the CAPS bank holds the customer’s trust account funds.
- c. Master Balance reports will display a single asterisk (*) before a CAPS-linked account. The *Account Balance* field for a CAPS-linked account will be blank, as will the *Last Deposit* field. Again, this is a normal condition reflecting the fact there is no trust activity occurring locally.
- d. Changes on the Customer Assistance screens indicate that the account is a CAPS trust account.

B-2.4 Postage Statement Entry

BMEU personnel enter postage statements in the usual manner, using the locally issued permit number to access the account, although there may be a momentary delay as the computer connects to the CAPS database and a slightly slower response time in filing the transaction.

For any questions regarding this matter, contact the CAPS Service Center at 650-377-1334.

B-3 Section II — Periodicals

B-3.1 Link Procedure

1. From the MAIN MENU, choose option 5-CUSTOMER ASSISTANCE.
2. From the CUSTOMER ASSISTANCE MENU, choose option 1-CUSTOMER ASSISTANCE MASTER RECORD.
3. On screen CA505, enter the Customer USPS or ISSN number and press ENTER. The account information will be displayed.

4. On the command line, choose option (L) to link the account and press ENTER.
5. Choose option Link to (C)APS and then press ENTER.
6. Enter your password when prompted.

The local permit is linked when the following message appears: "Please notice the CAPS account number and press RETURN to clear the screen."

Note: When a Periodicals account is linked to a master account, BMEU personnel must de-link the account from the master account prior to linking that account to the CAPS database. See Periodical System User Guide, Chapter 5 ("Customer Assistance"), Section 5.2 ("Master Account Record"), "Viewing USPS Accounts" (the last subsection of Section 5.2) at <http://blue.usps.gov/mrktsys/periodical.pdf>. Read and follow the instructions carefully in the third and fourth paragraphs of "Viewing USPS Accounts." To de-link the Periodicals account from a master account, enter "D" when prompted by the system and press ENTER in order to delete one or all of the publications linked to the master account. Choose ALL only if de-linking all publications attached to the master account and linking them to the CAPS account.

B-3.2 Report Changes

The following changes to your reports will reflect the fact that you are using a CAPS account:

- a. PS Form 3083 report display local activity as well as CAPS activity.
- b. The Transaction Summary will flag CAPS account transactions with an asterisk (*).
- c. The Periodicals Mail Balance Sheet report will display a single asterisk (*) before a CAPS-linked account. The *Current Balance* field for a CAPS account will be blank, as will the *Last Deposit* field. This is a normal condition reflecting the fact that there is no trust activity occurring locally.
- d. Changes on the Customer Assistance screens indicate that the account is a CAPS trust account.

B-3.3 Postage Statement Entry

BMEU personnel enter postage statements in the usual manner, using the locally issued Periodicals number to access the account. There may be a momentary delay as the computer connects to the CAPS database and a slightly slower response time in filing the transaction.

For any questions regarding this matter, contact the CAPS Service Center at 650-377-1334.

B-4 Please Read — Information for Offices with CAPS Customers

A field called *CAPS Customer Reference ID* (hereafter called *Cust Ref ID*) appears on postage statements. Customers whose permits are linked to the CAPS may choose to add information to the field for their own internal purposes, and the information in this field is important to the customer for account reconciliation and operational processes. BMEU personnel must enter the information customers provide into the Permit System when they input the postage statements. If the customer leaves the field empty, enter “NA” (Not Applicable) to satisfy the input requirement.

The Permit System identifies the *Cust Ref ID* field as *Cust Ref*. This field appears only when you enter mailings against a CAPS-linked account. The *Cust Ref* field is a required field, which means that an entry is required in the field. After BMEU personnel enter all necessary information on work screen #1, the following prompt appears at the bottom of work screen #1:

CUST REF: _____

1577 FORMAT IS: ENTER CUST REF FIELD FROM POSTAGE STATEMENT OR NA, IF BLANK

The information recorded in the *Cust Ref* field on the work screen does not appear on the postage statement facsimile generated by the local Permit System. However, the Permit System transfers the information to the CAPS database and customers do see this information — correct or incorrect — on reports they generate through the CAPS Web site.

Direct questions regarding proper use of the *Cust Ref ID* to the CAPS Service Center at 650-377-1334.

B-5 AIC 425

Note: This information was copied with minor formatting changes from CAPS Service Center documentation.

Revised May 7, 1998

B-5.1 CAPS Reporting Procedures

PS Form 3083, *Trust Accounts Receipts and Withdrawals*, has been modified to reflect national (CAPS) activity along with local office activities in the Permit System.

A new AIC 425, National Trust Fund Offset, will be used to offset all national (CAPS) activity for the local office. Activate AIC 425 in the AIC table in the Standard Field Accounting System (SFAS).

Note: Set the following flags:

- a. 1412-A, yes
- b. 1555, yes

- c. 1557, yes
- d. Daily Entry 1412-A, yes
- e. Trust Type, leave blank
- f. Default Master/Detail, leave blank

IMPORTANT: AIC 425 is *not* a trust or suspense AIC. The Trust Type and Default Master/Detail flags must be left blank.

Before establishing a CAPS account, the appropriate office (Finance, BMEU, Mailing Requirements, or whichever office is tasked to do so) must zero-balance the existing local advance deposit account and initiate the refund.

B-5.2 Section I

B-5.2.1 Accounting Office Daily Procedures for SFAP Reporting Site

After the successful upload of data from the Retail Consolidation Unit (RCU), using the PS Form 3083 as your support document, verify that the amount in AIC 425 on the PS Form 1412-A is the same as PS Form 3083 AIC 425, under the grand total column, on the PS Form 3083.

B-5.2.2 Accounting Office AP Verification for SFAP Reporting Site

Request and establish a procedure with each CAPS Post Office to submit its Permit System AP 3083, in addition to their daily 3083, on the last Friday of each AP. The Permit System AP 3083 will indicate the sum of all national CAPS mailings in AIC 425. The following verification procedures must be completed prior to the close of the last day of the AP.

1. Via SFAS, print an AP Consolidated PS Form 1412-A for each SFAP site with CAPS activity.
2. Verify AIC 425, under the grand total column, on the Permit System AP 3083 to AIC 425 on the AP Consolidated PS Form 1412-A.
3. If the amounts are the same, no other action is required.
4. If the amounts are not the same, run an AIC Range Inquiry report from SFAS for AIC 425 for the CAPS unit and AP in question.
 - (a) Compare the AIC Range Inquiry report to AIC 425 on the Permit System daily Forms 3083.
 - (b) If there is a mismatch in amounts, make the necessary adjustments to the last day of the AP.

B-5.3 Section II

B-5.3.1 Procedures for Non-SFAP Site

1. Follow verification procedures as outlined in Handbook F-1, *Post Office Accounting Procedures*.
2. CAPS activity shall be recorded on the PS Form 1412-A.

3. Verify that the Permit System 3083 amounts shown under the subtotal in the national (CAPS) section, under the grand total column, and AIC 425, under the grand total column, are the same.
4. From the PS Form 3083, record the amounts listed in the national (CAPS) section, under the grand total column, for mailings by AIC category onto the PS Form 1412-A.
5. Record the amount shown in AIC 425 onto the PS Form 1412-A.
6. Consolidate the PS Form 1412-A to the unit's PS Form 1412-A.

B-5.3.2 **Non-SFAP Site AP Verification Procedures**

Establish a procedure in your office requiring the acceptance unit to submit the Permit System AP 3083, in addition to their daily 3083, on the last Friday of each AP. The Permit System AP 3083 will indicate the sum of all national CAPS mailing in AIC 425. The following verification procedures must be completed prior to the close of the last day of the AP.

1. Verify AIC 425, under the grand total column, on the Permit System AP 3083 to AIC 425 on the Accountbook.
2. If the amounts are the same, no other action is required.
3. If the amounts are not the same, compare the Accountbook entries to AIC 425 to the Permit System daily Forms 3083 for the AP in question.
4. If you find a mismatch in amounts, make the necessary adjustments to the last day of the AP.

B-5.4 **Section III**

B-5.4.1 **Reconciliation AIC 325, National Trust Fund Offset, and AIC 425, National Trust Fund Offset**

If a discrepancy cannot be resolved by the Eagan Accounting Service Center (ASC) or the San Mateo CAPS Service Center, the discrepancy will be referred to the local accounting office or Post Office for resolution. The review by Eagan and San Mateo verifies that the error was not a system error. Verification of daily input amounts now would have to be done by the local accounting office or Post Office.

B-5.4.2 **Accounting Office Procedures for SFAP Site**

1. Run a Trial AIC report from SFAS for AIC 425 for the unit and AP in question.
2. Compare to AIC 425 on the Permit System daily Forms 3083.
3. If you find a mismatch in amounts, make the necessary adjustments immediately.

B-5.4.3 **Procedures for Non-SFAP Sites**

1. Compare the Accountbook entries to AIC 425 to the Permit System daily Forms 3083 for the AP in question.
2. If you find a mismatch in amounts, make the necessary adjustments immediately.

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Appendix C

CAPS Glossary

AEC	Address Element Correction is a service offered through the National Customer Service Center (NCSC) that focuses on inaccurate addresses that cannot be matched to a ZIP+4 using Coding Accuracy Support System (CASS)-certified software. AEC can correct or provide missing address elements resulting in complete standardized addresses.
AIC	The account identifier code (AIC) is a 3-digit number used by finance for assigning revenue to products.
BRM	Business reply mail (BRM) is a service that allows an authorized permit holder to provide customers with specially printed cards and envelopes that they may use to reply to the permit holder without prepayment of postage. The Postal Service collects postage and fees from the permit holder only for those cards and envelopes that customers mail back to the permit holder.
CAPS	The Centralized Account Processing System (CAPS) is an electronic postage payment system that provides business mailers a convenient and cost-effective way to pay for all classes of mail. CAPS customers pay for mailings at multiple locations through a single account instead of maintaining trust accounts at each permit office.
EMCA	An Express Mail Corporate Account (EMCA) is a trust account used to pay for Express Mail shipments, thereby eliminating the need to apply postage prior to mailing.
EMRS	The Electronic Marketing Reporting System (EMRS) collects and reports data on Express Mail shipments including volume, revenue, and service performance. EMRS maintains EMCA accounts and produces AP statements for customers.
ICAPS	International Centralized Account Processing System (ICAPS) is a deferred debit payment option that eliminates the manual billing process for specific international products.
Link date	The date any permit account is linked to a CAPS account.
Link letter	A letter that the CAPS Service Center sends to a Post Office holding a customer's permit accounts that notifies the Post Office of the date that the Post Office must link those permit accounts to the customer's CAPS account. The letter includes instructions for completing the link process.
MRS	Merchandise return service (MRS) is a service that allows an authorized permit holder to provide customers with specially designed labels that they may use to return parcels to the permit holder without prepayment of postage. The Postal Service collects postage and fees from the permit holder only for those parcels that customers return to the permit holder using the specially designed labels.

NCSC	The National Customer Service Center (NCSC) is a Postal Service facility in Memphis, Tennessee, that supports address management programs and other related initiatives.
Permit site	A permit site is any Post Office or detached mail unit (DMU) that uses the Permit System.
Postage Due Account	A postage due account is a trust account customers establish with the Postal Service to pay for mail with insufficient postage and/or address correction services.

Appendix D

CAPS Report Samples

Samples and explanations of CAPS reports appear on the following pages.

D-1 CAPS Transaction History Report

The CAPS Transaction History report lists the transactions received during the specified date range and sorts the results by *Transaction Number*, *Permit Number*, *City*, or *Customer Reference ID Number*. CAPS generates two versions of the report, one for customers with trust accounts and one for customers with debit accounts. Following are samples of the reports and descriptions of the fields used in the reports.

D-1.1 Sample CAPS Transaction History Report — Trust Account

Transaction Number		Date	City	State	Permit#EMCA#	Type	Class	Pieces	Transaction Amount	Balance	Customer Ref/Reason Code, Trans#																																																																																																												
 CAPS Transaction History Report																																																																																																																							
Account: 55555																																																																																																																							
Customer Name: CENTRALIZED TRUST MAILER																																																																																																																							
Balance: \$256,790.43 as of 09/21/2001 01:57:51 PM Eastern																																																																																																																							
Date Range: 07/01/2001 thru 07/03/2001																																																																																																																							
Sorted by: Transaction																																																																																																																							
<table border="1"> <thead> <tr> <th>Date Range Summary</th> <th colspan="11"></th> </tr> </thead> <tbody> <tr> <td>Start Date</td> <td colspan="11">07/02/2001</td> </tr> <tr> <td>Opening Balance</td> <td colspan="11">\$0.00</td> </tr> <tr> <td>Ending Date</td> <td colspan="11">07/03/2001</td> </tr> <tr> <td>Closing Balance</td> <td colspan="11">\$418,442.20</td> </tr> <tr> <td>Total Transactions</td> <td colspan="11">8</td> </tr> <tr> <td>Withdrawals</td> <td>6</td> <td>For</td> <td colspan="9">\$69,557.80</td> </tr> <tr> <td>Deposits</td> <td>2</td> <td>For</td> <td colspan="9">\$488,000.00</td> </tr> <tr> <td>Other</td> <td>0</td> <td>For</td> <td colspan="9">\$0.00</td> </tr> </tbody> </table>												Date Range Summary												Start Date	07/02/2001											Opening Balance	\$0.00											Ending Date	07/03/2001											Closing Balance	\$418,442.20											Total Transactions	8											Withdrawals	6	For	\$69,557.80									Deposits	2	For	\$488,000.00									Other	0	For	\$0.00								
Date Range Summary																																																																																																																							
Start Date	07/02/2001																																																																																																																						
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Withdrawals	6	For	\$69,557.80																																																																																																																				
Deposits	2	For	\$488,000.00																																																																																																																				
Other	0	For	\$0.00																																																																																																																				
20001070205001000DA	07/02/2001	SYRACUSE	NY		344001	BR	B		\$50,000.00	\$50,000.00	FUNDS XFER FROM #035836																																																																																																												
20001070205201600BM	07/02/2001	SYRACUSE	NY		344001	BR	B	3	\$1.88	\$0.00	55556																																																																																																												
20001070205210100BM	07/02/2001	SYRACUSE	NY		344001	BR	B	2	\$0.72	(\$500.00)	55556																																																																																																												
20001070216065900M1	07/02/2001	RANDOLPH	MA			PI		3 86400	\$16,830.70	(\$400.00)	Princess																																																																																																												
20001070218155000M1	07/02/2001	SAINT CLOUD	MN		1867	PI		3 86308	\$19,261.06	\$0.00	Viking																																																																																																												
20001070304474200BM	07/03/2001	SYRACUSE	NY		344001	BR	B	1	\$0.44	(175.00)	55556																																																																																																												
20001070314235300M1	07/03/2001	RANDOLPH	MA			PI		3 172774	\$33,463.00	\$0.00	Princess																																																																																																												
20001070315216900D	07/03/2001								\$438,000.00	\$418,442.20	INCOMING WIRE DEPOSIT																																																																																																												

D-1.2 Field Descriptions – Trust Account

- Account:** The account number entered on the *Account Inquiry* page in the CAPS Web site.
- Customer Name:** The customer name associated with the account number in the account field.
- Balance:** The current balance of the account.
- Date Range:** The date range of the report taken from the dates entered on the *Account Inquiry* page.
- Sorted by:** The name of the field used to sort the report.
- Transaction Number:** Each CAPS transaction is assigned a transaction number. The number has *four primary* parts: date of transaction (year, month, and date), time of transaction (hour/minute

and seconds), sequence number, and transaction code. For example, the transaction number 2001010515395300D breaks down as follows:

Year	Month	Date	Hr/Min	Seconds	Seq#	Code
2001	01	05	1539	53	00	D

- g. **Date:** The mailing or activity date.
- h. **City:** The city where the permit is held.
- i. **State:** The state where the permit is held.
- j. **Permit#EMCA#:** The permit or EMCA number used by the customer.
- k. **Type:** The type of permit for the permit number listed.
- l. **Class:** A code that describes the type of mailing transaction. If the field is empty, the transaction was not a mailing transaction.

Class Code	Description
1	First-Class Mail
2	(Future use)
3	Standard Mail
4	Package Services
5	International Mail
6	Priority Mail
7	Bulk Business Mail
8	Parcel Post
9	Manifest Mail
B	BRM/MRS/BPRS/Postage Due
E	Express Mail
P	Periodicals

- m. **Pieces:** The number of mailpieces.
- n. **Transaction Amount:** The total amount of the transaction entered into the Permit System, or the total of all transactions for the day.
- o. **Balance:** The running balance of the account.
- p. **Customer Ref/Reason Code, Trans#:** This field has a dual purpose. For mailing transactions, the report displays the CAPS *Customer Reference ID* as entered into the Permit System from the postage statement. "NA" indicates there was no *Customer Reference ID* on the postage statement. If the transaction is a reversal, the report shows a reason code and the original CAPS transactions number of the transaction being reversed.
- q. **Start Date:** The first date in the range selected by the user.
- r. **Opening Balance:** The initial account balance on the *Start Date*.
- s. **Ending Date:** The last date in the range.
- t. **Closing Balance:** The final account balance on the *Ending Date*.

- u. **Total Transactions:** The total number of transactions during the date range.
- v. **Withdrawals:** The funds withdrawn from the account, other than postage and fees.
- w. **Deposits:** The funds deposited to the account.
- x. **Other:** The funds used for other activity types.

D-1.3 Sample CAPS Transaction History Report — Debit Account

 CAPS Transaction History Report											
Account:		55555									
Customer Name:		CENTRALIZED DEBIT MAILER									
Balance:		(\$81,551.18.) as of 08/10/2001 02:03:09 PM Eastern									
Date Range:		07/20/2001 thru 07/20/2001									
Sorted by:		Transaction									
Transaction Number	Date	City	State	Permit#EMCA#	Type	Class	Pieces	Transaction Amount	Balance	Customer Ref/Reason Code, Trans#	
2001072009515800BM	07/20/2001	WARRENTON	WA	42001	BR	B	5	\$3.45	(\$45,143.21)	55555	
2001072009530000BM	07/20/2001	WARRENTON	WA	95028000	BR	B	1	\$0.60	(\$45,143.81)	55555	
2001072010270100BM	07/20/2001	SAN DIEGO	CA	154526	BR	B	346	\$153.96	(\$45,297.77)	EMCA910000 07/19/2001	
2001072010583400M1	07/20/2001	WARRENTON	WA	566230	SC	P	643	\$723.21	(\$46,020.98)	na	
2001072011020400M6	07/20/2001							\$5638.15	(\$40,3828.83)	DEBIT PAYMENT	
2001072012350700BM	07/20/2001	DENVER	CO	1040526	BR	B	33	\$11.88	(\$40,394.71)	55555	
Date Range Summary											
Start Date	07/20/2001										
Opening Balance	(\$45,139.76)										
Ending Date	07/20/2001										
Closing Balance	(\$40,394.71)										
Total Transactions	6										
Withdrawals	5	For	\$893.10								
Deposits	1	For	\$5638.15								
Other	0	For	\$0.00								

D-1.4 Field Descriptions – Debit Account

- a. **Account:** The account number entered on the *Account Inquiry* page in the CAPS Web site.
- b. **Customer Name:** The customer name associated with the account number in the account field.
- c. **Balance:** The current balance of the account.
- d. **Date Range:** The date range of the report taken from the dates entered on the *Account Inquiry* page.
- e. **Sorted by:** The name of the field used to sort the report.
- f. **Transaction Number:** Each CAPS transaction is assigned a transaction number. The number has *four primary* parts: date of transaction (*year, month, and date*), time of transaction (*hour/minute*

and seconds), sequence number, and transaction code. For example, the transaction number 2001010515395300D breaks down as follows:

Year	Month	Date	Hr/Min	Seconds	Seq#	Code
2001	01	05	1539	53	00	D

- g. **Date:** The mailing or activity date.
- h. **City:** The city where the permit is held.
- i. **State:** The state where the permit is held.
- j. **Permit#EMCA#:** The permit or EMCA number used by the customer.
- k. **Type:** The type of permit for the permit number listed.
- l. **Class:** A code that describes the type of mailing transaction. If the field is empty, the transaction was not a mailing transaction.

Class Code	Description
1	First-Class Mail
2	(Future use)
3	Standard Mail
4	Package Services
5	International Mail
6	Priority Mail
7	Bulk Business Mail
8	Parcel Post
9	Manifest Mail
B	BRM/MRS/BPRS/Postage Due
E	Express Mail
P	Periodicals

- m. **Pieces:** The number of mailpieces.
- n. **Transaction Amount:** The total amount of the transaction entered into the Permit System, or the total of all transactions for the day.
- o. **Balance:** The running balance of the account.
- p. **Customer Ref/Reason Code, Trans#:** This field has a dual purpose. For mailing transactions, the report displays the CAPS *Customer Reference ID* as entered into the Permit System from the postage statement. "NA" indicates there was no *Customer Reference ID* on the postage statement. If the transaction is a reversal, the report shows a reason code and the original CAPS transactions number of the transaction being reversed.
- q. **Start Date:** The first date in the range selected by the user.
- r. **Opening Balance:** The initial account balance on the *Start Date*.
- s. **Ending Date:** The last date in the range selected by the user.
- t. **Closing Balance:** The final account balance on the *Ending Date*.

- u. **Total Transactions:** The total number of transactions during the date range.
- v. **Withdrawals:** The funds withdrawn from the account, other than postage and fees.
- w. **Deposits:** The funds deposited to the account.
- x. **Other:** The funds used for other activity types.

D-2 CAPS Fee Expiration Report

The CAPS Fee Expiration Report uses current permit expiration dates to calculate and list the permit and accounting fees due during the specified date range. Following is a sample of the report and descriptions of the fields used in the report.

D-2.1 Sample CAPS Fee Expiration Report

		CAPS Fee Expiration Report				
Account:	55555					
Date Range:	12/01/2000 thru 01/02/2001					
City	State	Permit Number	Type	Expiration Date	Description	Amt
IRVINE	CA	125 PI		12/05/2001	1st Class Presort	\$125.00
CAROL STREAM	IL	100 PI		12/05/2001	1st Class Presort	\$125.00
CAROL STREAM	IL	100 PI		12/05/2001	Standard Mail	\$125.00
LOS ANGELES	CA	3199 PI		12/11/2001	Standard Mail	\$125.00
SAN DIEGO	CA	238 PI		12/14/2001	1st Class Presort	\$125.00
CONYERS	GA	131 PI		12/15/2001	1st Class Presort	\$125.00
HAYWARD	CA	125 PI		12/31/2001	1st Class Presort	\$125.00
HAYWARD	CA	125 PI		12/31/2001	Standard Mail	\$125.00
TULSA	OK	9088000 BR		12/31/2001	BRM Permit	\$125.00
TULSA	OK	9088001 BR		12/31/2001	BRM Permit (shared)	\$0.00
TULSA	OK	9088003 BR		12/31/2001	BRM Permit (shared)	\$0.00
TULSA	OK	9088001 BR		12/31/2001	BRM Accounting	\$375.00
Total:						\$1,500.00

D-2.2 Field Descriptions

- a. **Account:** The account number entered on the *Account Inquiry* page on the CAPS Web site.
- b. **Date Range:** The date range of the report taken from the dates entered on the *Account Inquiry* page.
- c. **City:** The city where the permit is held.
- d. **State:** The state where the permit is held.
- e. **Permit Number:** The permit number used by the customer.
- f. **Type:** The type of permit for the permit number listed.

- g. **Expiration Date:** The expiration date of the permit.
- h. **Description:** The type of fee paid.
- i. **Amt:** The amount of the transaction.

D-3 CAPS Fee Payment Report

The CAPS Fee Payment Report lists fee payments made during the specified date range. Following is a sample of the report and descriptions of the fields used in the report.

D-3.1 Sample CAPS Fee Payment Report

		CAPS Fee Payment Report				
Account:	555555					
Date Range:	12/01/2000 thru 01/02/2001					
City	State	Permit Number	Type	Payment Date	Description	Amt
SAN DIEGO	CA	90064000	BR	06/22/2001	BRM Permit	(\$125.00)
FREDERICKSBURG	VA	1040525	BR	07/21/2001	BRM Accounting	\$375.00
TUCSON	AZ	1040526	BR	07/26/2001	BRM Accounting	\$375.00
TUCSON	AZ	1040527	BR	07/26/2001	BRM Accounting	\$375.00
TUCSON	AZ	1040528	BR	07/26/2001	BRM Accounting	\$375.00
LISLE	IL	1040526	BR	08/08/2001	BRM Accounting	\$375.00
Total:						\$1,750.00

D-3.2 Field Descriptions

- a. **Account:** The account number entered on the *Account Inquiry* page in the CAPS Web site.
- b. **Date Range:** The date range of the report taken from the dates on the *Account Inquiry* page.
- c. **City:** The city where the permit is held.
- d. **State:** The state where the permit is held.
- e. **Permit Number:** The permit number used by the customer.
- f. **Type:** The type of permit for the permit number listed.
- g. **Payment Date:** The date the fee was paid.
- h. **Description:** The type of fee paid.
- i. **Amt:** The amount of the transaction.

D-4 CAPS Debit Reconciliation Report

The CAPS Debit Reconciliation Report lists debit transactions and associated mailing transactions processed during the specified date range. Only

customers with debit accounts can generate this report. Following is a sample of the report and descriptions of the fields used in the report.

D-4.1 Sample CAPS Debit Reconciliation Report

		CAPS Debit Reconciliation Report					
Account:	55555						
Date Range:	07/20/2001 thru 07/20/2001						
Transaction Number	Date	City	State	Permit Number	Type	Debit Amt	Transaction Amt
2001072019401600MO	07/20/2001	CAROL STREAM	IL	9	PI		\$6,429.93
2001072021074900MO	07/20/2001	SAN DIEGO	CA		PI		\$20.50
2001072023005800EM	07/20/2001	SAN DIEGO	CA	1389	:		\$1,613.29
2001072100373200MO	07/20/2001	SAN DIEGO	CA	1389	PI		\$2,820.00
2001072103462600F	07/20/2001	FREDERICKSBURG	VA	1040526	BR		\$375.00
2001072100394200MO	07/20/2001	DENVER	CO	1040526	BR		\$23.04
2001072119004711DD	07/22/01					\$11,281.76	
						Total:	\$11,281.76 \$11,281.76

D-4.2 Field Descriptions

- Account:** The account number entered on the *Account Inquiry* page in the CAPS Web site.
- Date Range:** The date range of the report taken from the dates entered on the *Account Inquiry* page.
- Transaction Number:** Each CAPS transaction is assigned a transaction number. The number has *four primary* parts: date of transaction (*year, month, and date*), time of transaction (*hour/minute and seconds*), sequence number, and transaction code. For example, the transaction number 2001010515395300D breaks down as follows:

Year	Month	Date	Hr/Min	Seconds	Seq#	Code
2001	01	05	1539	53	00	D

- Date:** The mailing or activity date.
- City:** The city where the permit is held.
- State:** The state where the permit is held.
- Permit Number:** The permit number used by the customer.
- Type:** The type of permit for the permit number listed.
- Debit Amt:** The amount debited from the customer's bank account. This amount also appears on the customer's bank statement.

- j. **Transaction Amt:** The total amount of the transaction entered into the Permit System, or the total of all transactions for the day.

D-5 CAPS International Billing Report

The CAPS International Billing Report lists pending ICAPS transactions for the specified date range. Only ICAPS customers can generate this report. Following is a sample of the report and descriptions of the fields used in the report.

D-5.1 Sample CAPS International Billing Report

		CAPS International Billing Report			
Account:	55555				
Date Range:	08/01/2001 thru 08/10/2001				
Transaction Number	Activity Date	City	State	Permit Number/Type	Transaction Amt
20010801163908 00M6	08/01/2001	JAMAICA	NY	9032 PI	\$4222.69
20010801164043 00M4	08/01/2001	JAMAICA	NY	9032 PI	\$3258.54
20010802175528 00M6	08/02/2001	JAMAICA	NY	9032 PI	\$1484.41
20010802175618 00M4	08/02/2001	JAMAICA	NY	9032 PI	\$4208.32
20010803193328 00M6	08/03/2001	JAMAICA	NY	9032 PI	\$1658.23
20010803193430 00M4	08/03/2001	JAMAICA	NY	9032 PI	\$2907.81
20010807063308 00M4	08/06/2001	JAMAICA	NY	9032 PI	\$2914.31
20010807063554 00M6	08/06/2001	JAMAICA	NY	9032 PI	\$3567.20
20010808055939 00M6	08/07/2001	JAMAICA	NY	9032 PI	\$9253.71
20010808172646 00M4	08/08/2001	JAMAICA	NY	9032 PI	\$3971.87
20010808172728 00M6	08/08/2001	JAMAICA	NY	9032 PI	\$8523.54
20010809060814 00M4	08/08/2001	JAMAICA	NY	9032 PI	\$4922.89
Total:					\$50,893.52

D-5.2 Field Descriptions

- a. **Account:** The account number entered on the *Account Inquiry* page in the CAPS Web site.
- b. **Date Range:** The date range of the report taken from the dates entered on the *Account Inquiry* page.
- c. **Transaction Number:** Each CAPS transaction is assigned a transaction number. The number has *four primary* parts: date of transaction (*year, month, and date*), time of transaction (*hour/minute*)

and seconds), sequence number, and transaction code. For example, the transaction number 2001010515395300D breaks down as follows:

Year	Month	Date	Hr/Min	Seconds	Seq#	Code
2001	01	05	1539	53	00	D

- d. **Activity Date:** The mailing or activity date.
- e. **City:** The city where the permit is held.
- f. **State:** The state where the permit is held.
- g. **Permit Number/Type:** The permit number used by the customer and the type of permit for the permit number listed.
- h. **Transaction Amount:** The total amount of the transaction entered into the Permit System.

D-6 Express Mail Activity Report

The Express Mail Activity Report lists Express Mail Corporate Account (EMCA) transactions made during the specified date range for a specific EMCA number or for all EMCAs linked to the CAPS account. Sorting options are *Transaction Number* and *Originating ZIP Code*. Following is a sample of the report and descriptions of the fields used in the report.

D-6.1 Sample Express Mail Activity Report

Date		Charge Back	Label Number	Orig ZIP	Dest ZIP	Trans Type	Postage	Pickup Fee	Delivery Fee	Deposits	Withdrawals	CDA LEG
EMCA Account: 910000												
7/18/01						E				\$16.25		
7/18/01			EL790569300US	74136	98114	M	\$12.45					
7/18/01				92121		P		\$10.25				
7/19/01		720000		74136		P		\$10.25		\$32.95		
7/19/01				92121		P		\$10.25				
7/20/01						E				\$20.50		
7/20/01				92121		P		\$10.25				
7/20/01						E				\$10.25		
Total:							\$12.45	\$41.00	\$0.00	\$79.95	\$0.00	

D-6.2 Field Descriptions

- a. **Date:** The mailing or activity date.
- b. **Charge Back:** An optional code — not to exceed six digits — that may be added by the customer to the EMCA number for internal purposes.
- c. **Label Number:** The ID number on an Express Mail item used for tracking the item.
- d. **Orig ZIP:** The ZIP code of the originating Post Office.
- e. **Dest ZIP:** The ZIP code of the destination or delivery address.
- f. **Trans Type:** The code that represents the type of transaction. See Appendix E for a list of EMCA codes and their meaning.
- g. **Postage:** The amount of postage charged for the transaction.
- h. **Pickup Fee:** The amount charged for pickup service.
- i. **Delivery Fee:** The amount charged for delivery of Express Mail Custom Designed shipment.
- j. **Deposits:** The funds received for credit to the EMCA.
- k. **Withdrawals:** The funds withdrawn from the account, other than postage and fees.
- l. **CDA Leg:** A 3-digit number appended to a Custom Designed Agreement (CDA) number and used to identify the scheduled destination of that shipment.
- m. **EMCA Account:** The EMCA account number entered on the *Account Inquiry* page in the CAPS Web site.

D-7 CAPS EMCA Reconciliation Report

The EMCA Reconciliation Report lists all EMCA funding requests, labeled CAPS Receipt on the report, for the requested date range and their associated Express Mail transactions. Please note that the Express Mail transactions total dollar amount will not equal the funding request if the local EMCA has funds at the time transactions are posted. The system uses local funds before submitting a funding request to CAPS. Following is a sample of the report and descriptions of the fields used in the report.

D-7.1 **Sample CAPS EMCA Reconciliation Report**

UNITED STATES POSTAL SERVICE®		United States Postal Service CAPS Customer Inquiry System CAPS EMCA Reconciliation Report CAPS Account 55555: EMCA Account: (ALL) Funding Period: 07/18/2001 - 07/21/2001								
Date	Charge Back	Label Number	Orig ZIP	Dest ZIP	Postage	Pickup Fee	Delivery Fee	Deposits	Withdrawals	CDA LEG
7/18/01	CAPS RECEIPT							\$16.25		
7/17/01	000720	EL790569295US	74136	98114	\$16.25					
7/19/01	CAPS RECEIPT							\$32.95		
7/18/01		EL790569300US	74136	98114	\$12.45					
7/12/01		Pickup fee	92121			\$10.25				
7/13/01		Pickup fee	92121			\$10.25				
7/20/01	CAPS RECEIPT							\$20.50		
7/17/01		Pickup fee	92121			\$10.25				
7/17/01		Pickup fee	92121			\$10.25				
7/21/01	CAPS RECEIPT							\$10.25		
7/17/01	720000	Pickup fee	74136			\$10.25				

D-7.2 **Field Descriptions**

- a. **Date:** The mailing or activity date.
- b. **Charge Back:** An optional code — not to exceed six digits — that may be added by the customer to the EMCA number for internal purposes.
- c. **Label Number:** The ID number on an Express Mail item used for tracking the item.
- d. **Orig ZIP:** The ZIP code of the originating Post Office.
- e. **Dest ZIP:** The ZIP code of the destination or delivery address.
- f. **Postage:** The amount of postage charged for the transaction.
- g. **Pickup Fee:** The amount charged for pickup service.
- h. **Delivery Fee:** The amount charged for delivery of Express Mail Custom Designed shipment.
- i. **Deposits:** The funds received for credit to the EMCA.
- j. **Withdrawals:** The funds withdrawn from the account, other than postage and fees.
- k. **CDA Leg:** A 3-digit number appended to a Custom Designed Agreement (CDA) number and used to identify the scheduled destination of that shipment.

CAPS Transaction Codes

Each CAPS transaction is assigned a transaction number that appears in several types of CAPS reports. The number has *four primary* parts: date of transaction (year, month, and date), time of transaction (hour/minute and seconds), sequence number, and transaction code. CAPS reports use transaction codes for the following transactions.

E-1 Non-mailing Transactions

A	adjustment (permit and business reply)
A2	adjustment (periodicals)
D	deposit (ACH Credit and incoming wire)
DD	ACH Debit Deposit
DN	Netpost Deposit
DP	PPC Debit Deposit
DQ	ACH Debit Deposit for International Billing
EA	Customs Fee Advance
EF	Customs Fee Payment
EJ	Customs Fee Adjustment
EW	Customs Fee Wire Charge
EP	Debit Pre-Note
EZ	AEC (address element correction)
EM	Express Mail Payment
EP	Debit Pre-note
F	fee payment
FW	incoming wire fee
R	refund
RF	refund-from
RT	refund-to
TF	transfer-from

TT transfer-to
V verified received

E-2 Business Reply

BM BRM/MRS/BPRS Mailing-3582
BP Postage Due
BW BR Mailing-8172 (Weight Averaging Postage)

E-3 Periodicals

M1 3541 Mailing Statement
MA 3541 Mailing Statement Commingled
MB Monthly Billing
MC CPP Mailing Statement Commingled
MP CPP Mailing Statement
NV National Verification Adjustment
VA Annual Audit Adjustment National Verification

E-4 Permit Domestic Mail

M0 3600: First-Class Mail
M1 3602: Standard Mail
M2 3605: Package Services
M3 3608: Media Mail, Library Mail

E-5 Permit International Mail

M4 3650: ISAL
M5 3651: International Imprint/meter
M6 3652: IPA
M7 3653: Global Priority
MJ 4000: International Commercial Packages

E-6 Express Mail Transaction Type

C	delivery charge
D	deposit
E	CAPS receipts
F	return, receipt, COD, or insurance fee
M	mailing
P	pickup fee
R	basic postage refund
X	pickup fee refund
Y	delivery fee refund
T	transfer to PM
W	withdrawal
1	basic postage adjustment
2	pickup fee adjustment
3	delivery fee adjustment
4	return, receipts, COD, or insurance fee adjustment

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