



NCOA^{Link}® PROCESSING ACKNOWLEDGEMENT FORM

The collection of information on this Processing Acknowledgement Form (PAF) is required by the Privacy Act of 1974. The United States Postal Service[®] (USPS[®]) requires that each NCOA^{Link} Licensee have a completed NCOA^{Link} PAF for each of their NCOA^{Link} customers prior to providing the NCOA^{Link} service. The Licensee is also required by the USPS to retain a copy of the completed form for each of its customers and to obtain an updated PAF from each of its customers at minimum once per year. Any signature upon this PAF shall be considered valid for all purposes and have the same effect whether it is an ink-signed hardcopy document or equivalent alternative.

LIST OWNER

I, the undersigned, an authorized representative of:

Company Name

Address

City

State

ZIP+4

Telephone Number

NAICS

USPS Mailer ID
(optional)

E-mail Address
(optional)

Parent Company Name

Marketing or "DBA" Company Name or Primary Affiliate Company Name
(if applicable)

Company Website (optional)

Name (Please print)

Title

Signature

Date

do hereby acknowledge that I have received and reviewed the NCOA^{Link} Information Package supplied to me by Shelby County, Tennessee an NCOA^{Link} Service Provider. I also understand that the sole purpose of the NCOA^{Link} service is to provide a mailing list correction service for lists that will be used for preparation of mailings. Furthermore, I understand that NCOA^{Link} may not be used to create or maintain new movers' lists.

LICENSEE

Business Name (Please print)

Name (Please print)

Title

Signature

Date

Telephone Number

Fax Number

BROKER/AGENT **LIST ADMINISTRATOR** (Check applicable box)

Business Name (Please print)

Website (optional)

Address

City/State/ZIP+4

Name (Please print)

Title

Signature

Date

Telephone Number

NAICS

USPS Mailer ID
(optional)

For Licensee Use Only

PAF ID:

Broker/Agent ID:

List Administrator ID:

NCOA^{Link}® : I @@SERVICE PROVIDER

Service Provider is a non-exclusive Licensee of the USPS[®] (United States Postal Service[®]) to provide Full Service NCOA^{Link} processing.

It is important to note that not all Service Providers can offer the same level of service. Data quantity differs based on license level. Full Service Providers receive the full 48 month data set while Limited Service Providers receive an 18 month data set. All data fulfillments to Service Providers are provided weekly under direct license from the USPS.

The full NCOA^{Link} file is a consolidated file of move information that on average contains approximately 160 million permanent changes-of-address (COAs) filed with the United States Postal Service (USPS). These COAs are retained on the file for a four-year period from the move-effective date and the file is updated weekly.

Before being added to the NCOA^{Link} file, the **Old** address supplied by the Postal customer must be ZIP + 4[®] coded. The **New** addresses must be ZIP + 4 coded and validated using the USPS' proprietary database of actual delivery points. (NOTE: The delivery point database does not include NAMES or COA information.) Each delivery point confirmed **New** address is included on the NCOA^{Link} file. If unable to validate the **New** address, the NCOA^{Link} process will indicate that a move exists but will not provide the undeliverable **New** address.

New address information is provided only when a match to the input name and address is attained. The typical profile of the **New** address information contained on the NCOA^{Link} file is as follows:

- 80.92% Forwardable moves containing delivery point confirmed **New** addresses –
New address provided
- 1.18% Moves containing unconfirmed **New** addresses – **New** address not
provided
- 13.80% Moved, left no address
- 3.92% PO Box Closed
- 0.18% Foreign moves

When possible, postal customers who move multiple times within the NCOA^{Link} time period are “linked” or “chained” to ensure that the latest address is furnished when an NCOA^{Link} match is attained. This is not always possible if subsequent COAs are not filed in exactly the same manner as a COA filed previously (e.g., name spelling differences or conflicting secondary information).

The provision of change of address information is controlled by strict name and address matching logic. NCOA^{Link} processing will only provide new address information when queried with a specific algorithm of the name and input address from a mailers address list which matches the information on the NCOA^{Link} Product. Data contained in and information returned by NCOA^{Link} is determined by the name and move type (Business, Individual, or Family) indicated on a Postal customer's Change of Address form.

The data contained within the NCOA^{Link} Product is comprised of approximately 40% family moves, 54% individual moves, and 6% business moves.

All matches made to the NCOA^{Link} file require a ZIP + 4 coded, parsed input address.

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The five types of processing modes are Standard (S); Business and Individual (C); Individual (I); Business (B); and Residential (R).

Standard Processing Mode (S)

- Standard Processing Mode requires inquiries in the following order:
 - Business – Match on business name.
 - Individual – Match on first name, middle name, surname and title required. Gender is checked and nickname possibilities are considered.
 - Family – Match on surname only.
- **Under no circumstances shall there be a “Family” match only option.**

Business and Individual Processing Mode (C)

- The NCOA^{Link} customer may choose to omit all “Family” match inquiries and allow only “Individual” and “Business” matches to be acceptable. This matching process is also known as C Processing Mode.

Individual Processing Mode (I)

- The NCOA^{Link} customer may also choose to omit “Business” match inquiries when processing individual names for mailing lists that contain no business addresses.

Business Processing Mode (B)

- The NCOA^{Link} customer may choose to process for only “Business” matches when processing a “Business-to-Business” mailing list which contains no residential (Individual or Family) addresses.

Residential Processing Mode (R)

- The NCOA^{Link} customer may choose to omit “Business” match inquiries and allow only “Individual” and “Family” matches to be acceptable under Residential Processing Mode. This matching process is also known as R Processing Mode.

The USPS has opted to remove soundex from the matching logic process. Consequently, the USPS has established a process called the “Rules Table.” This process will produce matches that otherwise would not be possible, i.e. JOHNY and JOHNNY, without the risks associated with soundex.

All nickname possibilities are derived from a standard USPS nickname list. In considering alternate presentations of an input name, only reasonable derivatives of the original input name are acceptable. If an input name and address do not match to NCOA^{Link} and alternative queries are attempted, any variations which obtain NCOA^{Link} matches will be provided to the NCOA^{Link} customer for analysis.

When a match or a near match of an input name and address to NCOA^{Link} is identified, a standard NCOA^{Link} return code is provided indicating the type of match made or reason that a match could not be made.

The standard output of a USPS NCOA^{Link} process is:

- a) Each original unaltered input name and address as it was presented.

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- b) The standardized input address appended with the correct ZIP + 4/DPC, other postal values and any other intelligence flags or footnotes that result from the CASS™ processing segment.
- c) For each mailing address for which there is a match to the NCOA^{Link} Product, a standardized new address with 11-digit Delivery Point Barcode (DPBC) and standard return codes.
- d) When a match is made, the following elements must be returned: the move effective date, the specific name and address utilized in the query that obtained the match, and the move type. The move type is determined by the Interface based on the specific name inquiry utilized to obtain the match.
- e) For each mailing address for which there is not a match to the NCOA^{Link} Product, the Interface shall return all elements as appropriate under items a and b as well as any standard return codes as may be appropriate.
- f) The urbanization name information, when applicable.
- g) The carrier route information for new (updated) addresses.
- h) DPV[®] results for the input address, if requested.
- i) LACS^{Link}® results, if requested.
- j) Suite^{Link}™ results, if requested.
- k) Processing summary report containing information to identify the specific list and the statistics resulting from the NCOA^{Link} process performed on the list.

Although every record must be returned, the format of the records returned by a Service Provider to their clients is determined by a separate agreement between the processor and the customer.

NCOA^{Link} processing has the potential to reduce returned mail, yet the USPS does not make any guarantees, express or implied, on the reduction of such mail. Thus any costs associated with returned mail are the Licensees' and/or their customers' sole responsibility.

An NCOA^{Link} customer with questions about the specific results returned from an NCOA^{Link} process must first contact the processor for explanation and resolution.

Prior to the processing of NCOA^{Link} data, every customer must have completed and returned to their NCOA^{Link} Licensee the "NCOA^{Link} PROCESSING ACKNOWLEDGEMENT FORM" provided to them by their Licensee or Agent. It is inappropriate to misrepresent any of the information on the form. Punitive action will be taken by the USPS if the customer, agent or licensee is found to have knowingly supplied false information. Depending on the severity of the offense, actions may include litigious or even criminal charges being brought against the offender.

The ANK^{Link}™ option is available through Limited Service Provider Licensees to enable mailers to make informed choices regarding a specific customer contact. If the data indicates a move, the mailer may choose to suppress the record from their list or attempt to determine the actual new address by engaging the services of an NCOA^{Link} Full Service Provider (FSP) Licensee.

Mailers choosing to engage the services of an FSP Licensee may submit only those ANK^{Link} matches for which they need additional processing provided that:

- 1) The mailer informs the FSP Licensee that the list is derived from a prior ANK^{Link} process.

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- 2) The list submitted to the FSP for processing meets the mailing list requirement of at least 100 unique names and addresses.
- 3) The final results are incorporated back into the original list.
- 4) The records separated for processing are not used to create a derivative product.

The following trademarks are owned by the United States Postal Service®: ANK^{Link}, CASS, NCOA^{Link}, DPV, LACS^{Link}, Suite^{Link}, United States Postal Service, USPS and ZIP + 4.

Completing an NCOA^{Link}® Processing Acknowledgment Form

What is a Processing Acknowledgment Form?

A Processing Acknowledgment Form is a USPS® document that collects information required by the Privacy Act of 1974.

Why does the United States Postal Service® require a Processing Acknowledgment Form?

Due to the Privacy Act of 1974, the USPS is required by law, to collect the information on the Processing Acknowledgment Form. When information provided through the NCOA^{Link} Service is released, the USPS must maintain records of all to whom the information was disclosed.

The Postal Service™ requires that each NCOA^{Link} Licensee collect a completed NCOA^{Link} Processing Acknowledgment Form from each customer prior to providing the NCOA^{Link} service.

How often does a Processing Acknowledgment Form have to be completed?

Prior to any NCOA^{Link} processing, and once annually thereafter, a completed and signed NCOA^{Link} Processing Acknowledgment Form is required from each list owner.

Can I send a faxed copy of the Processing Acknowledgment Form?

A faxed Processing Acknowledgment Form is acceptable.

Who must complete the Processing Acknowledgment Form?

The form must be completed and signed by the owner of the list being processed.

Brokers, Agents and List Administrators are also required to provide information about themselves. Service requests submitted on behalf of a list owner by third parties must be fully disclosed. All Brokers, Agents, or List Administrators the list passes through must sign a Processing Acknowledgment Form for that list.

Under no circumstances shall a third party Broker, Agent, or List Administrator be considered the list owner nor have the authority to sign on behalf of the list owner.

The USPS must effectively track all entities that will have access to the new addresses provided by NCOA^{Link}. No matter how many entities touch the list, each must sign a Processing Acknowledgment Form.

List Owner

- The company that owns the names and addresses to be processed.
- Any entity renting a list is considered the owner of the list.
- Any person who sets up a trade with other businesses or organizations to use their list is considered the list owner.

Broker / Agent

- The company that submits the list for processing, on behalf of the list owner.
- An ad agency, marketing agency, lettershop, printer, or other service bureau.

The broker / agent typically provide the updated data back to the list owner.

List Administrator

- The company that maintains the list owner's database.
- List management companies.

The list administrator uses the output from NCOA^{Link} to update their database, but does not forward the updated data to the list owner.

How to complete a Processing Acknowledgment Form

Complete all information in the appropriate sections:

- List Owner Section – The list owner must complete this section.
- Licensee Section – Do not write in this section.
- Broker/Agent, List Administrator Section – All parties who handle the list in the course of submitting lists for NCOA^{Link} processing must complete this portion of the form.

Helpful information

E-mail address, Website & USPS Mailer ID – Optional

NAICS – North American Industry Classification System (NAICS) is used to classify industries. To find your code, go to: <http://www.census.gov/epcd/naics02/>

Parent Company Name – Complete if applicable.

Marketing or "DBA" Company Name or Primary Affiliate Company Name – Complete if applicable.

Name – Company representative who has the authority to sign this document.