Guide to the Centralized Postage Payment (CPP) System for Periodicals Mail

A. Explanation. This publication provides publishers with detailed information on how to apply for and mail under the centralized postage payment (CPP) system for Periodicals mail.

B. Availability. This publication is available only in an electronic format as follows:

1. For Postal Service customers, it is accessible on the Internet at http://www.usps.com (click on “Info,” then “Postal Periodicals and Publications,” then “Publications,” and then scroll down to Publication 406).

2. For Postal Service personnel, it is accessible on the corporate intranet at http://blue.usps.gov (click on “Information,” then “Policies and Procedures,” then “Publications,” then either “By Document ID Number” or “By Title,” and then scroll down to Publication 406).

C. Comments. Send comments and suggestions about the content of this handbook to the following address:

   MANAGER
   BUSINESS MAIL ACCEPTANCE
   US POSTAL SERVICE
   1735 N LYNN ST RM 3012
   ARLINGTON VA 22209-6030

D. Effective Date. This handbook is effective October 2001.

Michele Denny
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Marketing Technology and Channel Management
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1 Starting With the Basics

1-1 Understanding the Centralized Postage Payment (CPP) System

This guide provides publishers with detailed information on how to apply for and mail under the Centralized Postage Payment (CPP) system for Periodicals mail. Although many of the system functions are performed independently by the mailer, fulfillment house, or publisher, overall responsibility for coordinating the mailings of a Periodicals publication under the CPP system rests with the publisher.

The publisher is responsible for ensuring that mailings are prepared according to the mail preparation and presort mailing standards for Periodicals as outlined in the Domestic Mail Manual (DMM). A CPP System Service Agreement between the publisher and the Postal Service defines the responsibilities of both parties. The requirements of the DMM, the Agreement, and this publication are the controlling documents for the program.

The CPP system allows the publisher of an authorized Periodicals publication that meets the following requirements to pay postage at a single location — the New York Rates and Classification Service Center (NYRCSC), located in New York, NY. The publisher must:

- Have a USPS detached mail unit (DMU) located at each mailer plant site.
- Have multiple plant sites or multiple Periodicals publications at multiple plant sites.
- Average a minimum of 5 postage statements per issue.

Note: Publishers who do not meet the above criteria can request consideration from the NYRCSC.

1 In this document, the term “publisher” also refers to a publisher’s agent, if applicable.
1-2 System Description and Parties Involved

1-2.1 New York Rates and Classification Service Center (NYRCSC)

The manager of the NYRCSC authorizes publishers of Periodicals publications to pay postage and submit postage statements under the CPP system and ensures that all CPP system requirements are met.

The NYRCSC has primary responsibility to administer the CPP system and collect postage for all additional and/or destination entry Post Offices. Publishers must pay postage on all Periodicals publications authorized to mail under the CPP system to the NYRCSC via the Centralized Account Processing System (CAPS).

1-2.2 Detached Mail Unit (DMU) Serving Mailer’s Plant

The postmaster of the Post Office serving the mailer’s plant is responsible for establishing and staffing a detached mail unit (DMU) with trained, qualified employees to verify mail under the CPP system. This Post Office must be an authorized additional entry Post Office.

1-2.3 Destination Entry Post Office

A destination entry Post Office is a Post Office where copies of a Periodicals publication that are prepared as part of a plant-verified drop shipment (PVDS) mailing are deposited into the mailstream. The Postal Service does not collect postage at destination entry Post Offices for PVDS mailings of Periodicals publications.

1-2.4 Additional Entry Post Office

An additional entry Post Office is an office where a publisher is authorized by the Postal Service to present copies for Postal verification, mail deposit, and postage payment. The Postal Service does not collect postage at additional entry Post Offices for mailings of Periodicals publications authorized under the CPP System.

1-2.5 Original Entry Post Office

The original entry Post Office is the Post Office serving the known office of publication. The circulation records of a Periodicals publication must be maintained or be made available for examination at the known office of publication. This Post Office may also be a destination entry Post Office.

---

2 The mailer’s plant might be located at the printer’s plant.
1-3 Requirements

1-3.1 Application
The publisher must submit a completed PS Form 3542, Application to Mail Under the Periodicals Centralized Postage Payment (CPP) System, to the NYRCSC for determination. See Chapter 2 for a discussion of the application process and Appendix A for a copy of PS Form 3542.

1-3.2 Authorization
To be considered for authorization to be mailed using the CPP system, the publication must be authorized additional entry at all Post Offices serving the mailer site(s) and must meet the following specifications:

a. Have a USPS detached mail unit (DMU) at each mailer plant site.
b. Have multiple plant sites or multiple Periodicals publications at multiple plant sites.
c. Average a minimum of 5 postage statements per issue.

1-3.3 Location of Mailer’s Plant
The mailer’s plant where the publication is prepared for mailing must be located within the United States.

1-3.4 Mailing Under the CPP System
For publications authorized to be entered under the CPP system, the publisher must report all copies on the appropriate Periodicals postage statement (i.e., one of the forms in the PS Form 3541 series, such as PS Form 3541-N, PS Form 3541-R, etc.) and make postage payment to the NYRCSC. See 3-5 for information about enclosures mailed with CPP Periodicals publications.

1-3.5 Advance Deposit Account
The publisher must deposit funds into the appropriate advance deposit account at the NYRCSC using CAPS at least 1 business day prior to mailing. The NYRCSC is responsible for billing all postage statements for CPP mailings to the appropriate advance deposit account in CAPS.

1-3.6 Compliance With Applicable Requirements for Periodicals Mail
The publisher must continue to meet all eligibility, preparation, and reporting requirements to qualify to mail publications at Periodicals rates under the CPP system.
1-3.7 **Filing PS Form 3510**

To make changes in the conditions of an additional entry or to request a reentry, the publisher must file PS Form 3510, *Application for Additional Entry, Reentry, or Special Rate Request for Periodicals Publication*, at the original entry Post Office (for application processing) and concurrently furnish a copy to the NYRCSC as notification of the proposed change. See 3-6.3 for more information.

1-3.8 **Edition Codes**

Edition codes are assigned by the publisher to identify separate editions of the same issue (e.g., demographic, geographic, morning, evening). The edition codes may be alphabetical, numerical, or a combination of both.

1-3.9 **Placement of Edition Codes**

The edition code must be placed in one of the following locations on each addressed copy of each mailed edition:

a. If the address is printed directly on the publication or wrapper, the edition code must be placed in the address block.

b. If the address is affixed to the publication or wrapper by the use of paper labels, the edition code must be placed on the address label.

c. For perfect bound publications, the edition code may be placed on the spine.

1-3.10 **Computerized Postage Statements**

The publisher must be able to produce correctly calculated computer-generated postage statements and other required documents that meet Postal Service standards for content, format, and accuracy. The format and content of the computer-generated postage statements are subject to approval by the NYRCSC. See 3-4 for more information.

A publisher may submit postage statements using an approved electronic format, including Electronic Data Interchange (EDI).
2 Application

2-1 Submission

The publisher must submit a completed PS Form 3542, *Application to Mail Under the Periodicals Centralized Postage Payment (CPP) System*, to the manager of the NYRCSC for authorization to participate in the CPP system. See Appendix A for a copy of PS Form 3542. The application asks the publisher to provide the following information:

a. The types of editions that will be produced (demographic, geographic, morning, evening, etc.) and how editions are assigned codes. Include samples of edition codes placed on the mailpiece and sack/pallet labels showing the edition codes.

b. How the advertising percentages for each edition are computed. Describe the method used to measure the advertising percentages (square inches or column inches), and explain by whom, where, and when (at what point during the production) the advertising percentages are computed. Also provide an accurate marked copy or an unmarked copy of the publication accompanied by supporting documentation of the program that was used to calculate the advertising percentage for the issue.

c. How the data for postage statement generation is entered into the computer. Describe the step-by-step production process, including who maintains the address files, when the main file is closed, and how the file is maintained. Also include a production plan (creating the printing and mailing schedules, running the presort program, printing an issue, assigning entries, making container files, presorting the issue, and dispatching the mail). Also, for each supplemental (non-main file) copy, describe in the same manner how the data for postage statement generation is entered into the computer. Include the location where postage statements and copies of all editions are maintained for Postal Service review.

d. The postage payment schedule to be used. Indicate whether the single-payment-per-issue option or the multiple-payments-per-issue option will be used. See 3-1.3 and 3-1.4 for more information.

e. A distribution plan for each plant, including the names and ZIP Codes of the additional entry and destination entry Post Offices.
f. Samples of computerized postage statements from a previous issue of the publication. Produce and submit the required computer-generated individual postage statements, Summary of Postage Statements, and Register of Postage Statements. See 3-1, 3-4.3, and 3-4.4 for more information.

g. Presort and automation documentation that supports the rates claimed and that corresponds with the postage statements being submitted. This documentation must confirm the number of pieces mailed at each presort and automation level rate as required by the DMM. Include a zone analysis breakdown by postage statement. If the publication has automation rate mail, submit all supporting automation documentation as required by the DMM.

h. Sack/pallet reports for the corresponding mailing.

2-2 Approval

Publications will be authorized for mailing under the CPP System if they meet the following requirements:

a. A review has demonstrated the publisher’s ability to submit accurate computerized individual postage statements, Summary of Postage Statements, and Register of Postage Statements within the applicable time frame specified in 3-4.7.

b. The publisher is able to submit all required supporting automation and presort documentation on request.

c. The publisher can show that it maintains a complete audit trail and can produce accurate information within the required time frames.

d. The publisher has submitted an accurate marked copy or an unmarked copy of the publication accompanied by supporting documentation of the program that was used to calculate the advertising percentage for the issue.

e. The publisher has demonstrated the ability to transfer funds to the NYRCSC via CAPS.

f. The Postal Service has established a DMU at all mailer plant locations and each DMU has been staffed (within the publication’s printing hours) with qualified employees trained in the CPP system procedures and, if applicable, the PVDS program.

g. The publisher can demonstrate the ability to include all mailings (supplemental and main file) in one Summary of Postage Statements. See 3-4.6 for off-line mailings.

h. The publisher can use the appropriate postage statement to accurately and quickly include the weight of the copies submitted by the DMU.

i. The publisher meets all other CPP requirements.
2-3 Notification of Approval to Publisher

When the application is approved, the manager of the NYRCSC provides the publisher with a letter of authorization and a CPP System Service Agreement, which the publisher must sign prior to implementation. The authorization specifies the mailing date of the first issue that will be mailed under the CPP system. Upon receiving authorization, the publisher is responsible for notifying all the mailing locations and list or data processors that will be involved in the program on the effective date of the authorization. The publisher must advise these agents of their responsibilities for participation in the CPP program.

2-4 Notification of Approval to Affected Post Offices

When the application is approved, the NYRCSC notifies all affected Post Offices of the date of the last issue of the publication to be posted to the publisher’s advance deposit account at the Post Office(s) serving the mailer’s plant(s). After the postage statements for that issue have been posted to the publisher’s advance deposit account, those Post Offices prepare and mail the publisher a refund of any balance remaining in the advance deposit account for the publication. Postal Service officials must document and submit to the NYRCSC for postage collection any revenue deficiencies found to be owed to the Postal Service for mailings of CPP publications.

2-5 Denial of Application

If the application is denied, the manager of the NYRCSC notifies the publisher in writing. The publisher may appeal the denial decision in writing within 15 days from the date of receipt of the denial notice. The publisher must file the appeal with the manager of the NYRCSC and should include evidence showing why the CPP system application should be approved. The manager of the NYRCSC considers the content of the publisher’s appeal, and if sufficient reason is demonstrated, the manager of the NYRCSC may reverse the previous denial decision and approve the application.

If the publisher’s appeal does not provide sufficient reason for approval, the manager of the NYRCSC forwards the appeal for a final agency decision to the manager of Mail Preparation and Standards at USPS Headquarters.
3 Operating Under the CPP System

3-1 Postage Payment

3-1.1 Postage Account Maintenance at the NYRCSC
The publisher must ensure that sufficient funds are on account for the publication at least 1 business day prior to the presentation of the first mailing of an issue. The minimum required balance is determined from postage of previous issues. Payments must be made according to the single-payment-per-issue option or the multiple-payment-per-issue option, as approved by the NYRCSC and set forth in the CPP System Service Agreement. All payments must be made to the NYRCSC electronically via CAPS.

3-1.2 Centralized Account Processing System (CAPS)
The Centralized Account Processing System (CAPS) allows a publisher to establish a separate account for each publication’s postage for Periodicals mailings and Standard Mail enclosures, or to have one account serving all of the publisher’s CPP publications. The deposit for this account must be transmitted via the standard automated clearing house (ACH) banking mechanisms to the bank servicing CAPS accounts. The publisher has easy access to view and print all transactions for each CAPS account. CPP publishers must contact the NYRCSC to request authorization to use CAPS.

3-1.3 Single-Payment-Per-Issue Option
Before each issue or supplemental mailing is mailed under the CPP system, the publication’s account at the NYRCSC must contain sufficient funds to pay the postage for the complete issue and any supplemental mailings. The amount of postage required for each complete issue must be equivalent to the highest postage charge for a complete issue (including supplemental mailings) mailed during the previous 12 months. This does not include special issues.
3-1.4 **Multiple-Payments-Per-Issue Option**

This multiple-payments-per-issue option is available to mailers whose mailings of an issue are made over an extended period (e.g., several weeks). If the publisher selects this option for a complete issue, the publisher must submit a deposit schedule to the NYRCSC with the application for approval. The publisher determines the deposit schedule by completing PS Form 406, *Centralized Postage Payment (CPP) System Multiple Payment Schedule Worksheet*, which must show the number of payments per issue and when those payments will be made. See Appendix B for a copy of PS Form 406.

The publisher determines the amount of each deposit to be made by dividing the number of deposits by the highest postage charge for an issue during the previous year. The deposits must be made at least 1 business day prior to the agreed-upon payment dates. If the publisher knows the total postage charges for an issue before the required date of the last deposit, the last deposit should be computed so that, when it is added to previous deposits, the sum equals the total postage charges for that issue.

3-1.5 **Additional Charges**

If the postage charges for the mailing of a regular issue exceed the amount of the initial deposit, the publisher is required to furnish the amount outstanding at the time the publisher is aware of this new amount. This new higher total postage charge becomes the minimum amount that must be placed in the advance deposit account at the NYRCSC before the next issue is mailed.

3-2 **Computation of Postage**

3-2.1 **Weights Per Copy**

Using PS Form 3629, *Centralized Postage Payment System – Running Summary*, the Postal Service provides the publisher with the weight per copy for each edition from the DMU(s) servicing the publication’s mailer location(s). The publisher must calculate the postage for the edition of each issue by using the per-copy weight(s) provided by the Postal Service. For supplemental or previous issues, the publisher must follow the standards described in the DMM. For submission of the publisher’s own generated weights, see the Publishers Generated Weights (PGW) program in 4-1.

3-2.2 **Advertising Percentage**

The publisher must document the advertising percentage on the postage statements as described in the DMM.
3-2.3 **Computation Standards**

The publisher must use the computation standards on the postage statements as described in the DMM.

### 3-3 Documentation Required by Publisher

#### 3-3.1 **Production Documentation Requirements**

The publisher must provide the DMU with a tentative production schedule for each issue of the publication at least 48 hours prior to the start-up of the production of mailed copies. The Post Office serving the mailer’s plant uses this schedule to ensure that the DMU employees are scheduled to perform presort verifications, plant-verified drop shipment (PVDS) functions, and other CPP system functions. The schedule must include the following:

- a. A list of all editions and their corresponding edition codes.
- b. A scheduled production/printing date and time for each edition.
- c. Scheduled dispatch dates and times to each destination entry Post Office.
- d. A proposed distribution plan and container file.

#### 3-3.2 **Final Production Plan**

The publisher must provide the DMU with a final production plan prior to preparing the job or mailing. This plan must include the items listed in 3-3.1. The publisher must notify the DMU (prior to the dispatch) and the NYRCSC (prior to submitting postage statements) of changes to the distribution plan or container file. All distribution changes must be reflected on the corresponding postage statements. The production schedule must be easy to compare with the actual mail being produced.

#### 3-3.3 **Presort Documentation Requirements**

The publisher must submit to the DMU presort documentation that confirms the number of pieces mailed at each presort level rate as required by DMM P012 with the first mailing made under the CPP system, and on request thereafter. (Included in each CPP System Service Agreement is the amount of lead time needed by the publisher to produce specific documentation requested by the Postal Service.) The documentation must be in a Postal Service-approved standardized format or must be generated using Presort Accuracy Verification and Evaluation (PAVE)-certified presort software.

#### 3-3.4 **Documentation Requirements for Automation Rate Mailings**

The publisher must submit documentation confirming the number of pieces claimed at the automation rates. If a mailing originates from a single mailer site, the publisher must submit to the DMU PS Form 3553, *Coding Accuracy*...
Support System (CASS) Summary Report, and the summary page of the presort report (the total number of pieces at each rate category). The publisher must also submit a copy of the summary page to the NYRCSC.

For mailings with multiple mailer sites, the publisher must submit to the NYRCSC PS Form 3553 along with the postage statements. Publishers may submit documentation on electronic media as referenced in DMM P012. A publisher must notify the NYRCSC and the DMU(s) involved when initially claiming automation rates. A publisher must be authorized to mail automation rates for a single publication at multiple mailer sites by the NYRCSC. If supplemental mailings are kept on a separate file from the main file, the publisher must submit separate documentation.

3-4 Submitting Postage Statements

3-4.1 Postage Statements

For each Periodicals publication, the publisher must produce the required computer-generated postage statements (see 3-4.2, 3-4.3, and 3-4.4) on the basis of the per-copy weights provided by the DMU and the advertising percentages that the publisher has computed. Instead of signing each postage statement, the publisher can submit a signed cover statement along with the individual postage statements, the Summary of Postage Statements, and the Register of Postage Statements for each issue. The cover statement should read substantially as shown in Exhibit 3-4.1.

Note: If supplemental mailings are submitted within a separate group of postage statements, the publisher must submit a separate cover sheet statement for them.

3-4.2 Individual Postage Statements

In lieu of the appropriate PS Form 3541 issued by the Postal Service, the publisher must use computer-generated individual postage statements containing all of the required elements from the appropriate PS Form 3541. All postage statements must include the finance number “35-5826” and a uniquely assigned serial number. The serial numbers must be sequential and the serial numbers assigned to an issue must be unique to that issue.
Exhibit 3-4.1

Cover Statement for Postage Statements

I hereby certify that all of the information furnished on the attached forms is accurate and truthful, that the items do not contain any dangerous articles prohibited by Postal regulations, that the mailing(s) meet all applicable CASS/MASS standards for address and barcode accuracy, and that the material presented qualifies for the rates of postage claimed. The attached postage statements, numbered [number] through [number], include all copies of the [name of issue] issue of [Title of Publication], which were submitted to the entry Post Offices under the CPP system from [MM/DD/YYYY] through [MM/DD/YYYY]. Submitting a false, fictitious, or fraudulent statement may result in imprisonment of up to 5 years and a fine of up to $10,000 (18 U.S.C. 1001). In addition, a civil penalty of up to $5,000 and an additional assessment of twice the amount falsely claimed may be imposed (31 U.S.C. 3802).

For Nonautomation Rate Regular Periodicals Only: I certify that the ZIP Codes appearing on pieces in the mailings described in these postage statements have been verified and corrected where necessary within 12 months of the date of these mailings, using a USPS-approved method.

For Automation Rate Regular Periodicals Only: I certify that all Business Reply, Courtesy Reply, or Metered Reply letter-sized cards or envelopes enclosed in the pieces described in these postage statements bear the correct facing identification marking (FIM) and barcode per DMM C810.

[Signature and Title]

3-4.3 Summary of Postage Statements

The publisher must use a computer program that can accurately accumulate all data elements from all of the individual postage statements into one Summary of Postage Statements for each issue. The publisher must submit the Summary of Postage Statements to the NYRCSC along with the individual postage statements for each issue. The format and data elements of the Summary of Postage Statements are essentially the same as the individual postage statements, with the following exceptions:

a. The words “Summary of Postage Statements” must appear in the heading.

b. The inclusive serial numbers for the individual postage statements on which the summary statement is based must be shown in the heading. This should be a range of numbers. The mailing date(s) may also be a range if the publication is to be mailed over multiple days.

c. The number of copies, pieces, and pounds reported on the summary statement must be the exact sums of those items from the individual postage statements.
3-4.4 **Register of Postage Statements**

The publisher must prepare a Register of Postage Statements that lists each individual postage statement for the issue in numerical order by its unique serial number. Each line on the register must include the following:

a. Unique postage statement serial number.
b. Entry Post Office.
d. Average weight per copy.
e. Advertising percentage.
f. Number of pieces.
g. Number of copies.
h. Total pounds.
i. Postage statement total postage.

The publisher must subtotal the volume and dollars for each destination entry Post Office and must total them for the entire mailing.

3-4.5 **Supplemental Mailings Presented for Mailing Between Main File Mailings**

When the publisher creates supplemental postage statements for copies prepared from a non-main file, the publisher must incorporate those supplemental postage statements when submitting the Summary of Postage Statements for the next main file issue.

For publications whose frequency is monthly or less, publishers whose supplemental files are maintained by someone other than the person who maintains the main file may submit one separate set of individual postage statements, Summary of Postage Statements, and Register of Postage Statements. In all other circumstances, publishers must submit only one set of postage statements per issue.

3-4.6 **Off-Line Mailings Presented to a Post Office**

Off-line mailings are supplemental mailings that are not mailed from a mailer site. The publisher must submit the appropriate PS Form 3541 with the mail to the Post Office where the mailing is being presented for Postal verification. This Post Office must be authorized for additional entry. The publisher must write the following note on the postage statement: “CPP Mailing, Do Not Compute, Send This Form to NYRCSC.” Postage for all CPP mailings is paid at the NYRCSC. The publisher must include this off-line mailing in the Summary of Postage Statements presented to the NYRCSC with the next issue, unless stipulated in the CPP System Service Agreement. The publisher must notify the NYRCSC and entry Post Office in writing prior to the initial mailing.
3-4.7 Submitting Postage Statements

The publisher must ensure that the NYRCSC receives the following items after the last dispatch of the last regular mailing of an issue from the mailer’s plant, in the applicable time frame noted in Exhibit 3-4.7:

a. The Summary of Postage Statements.
b. The Register of Postage Statements for all mailings of the issue of the publication.
c. A copy of each of the individual postage statements, including postage statements for previous issues mailed after the period covered by the last Summary of Postage Statements.
d. A signed cover sheet attesting to the accuracy of the postage statements.

Exhibit 3-4.7

<table>
<thead>
<tr>
<th>Frequency of Periodical</th>
<th>Time Frame</th>
</tr>
</thead>
<tbody>
<tr>
<td>More frequently than weekly</td>
<td>7 days</td>
</tr>
<tr>
<td>Weekly or less frequently</td>
<td>14 days</td>
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</tbody>
</table>

Note: For the purposes of CPP, a week is considered to begin on Monday and end on Sunday. The actual time frame for filing postage statements within the applicable 7-day or 14-day requirement, and as agreed to by the publisher and the Postal Service, is stated in the CPP System Service Agreement for each publication.

3-4.8 When Postage Rates Change During the Mailing of an Issue

The publisher must submit separate Summary of Postage Statements when postage rates change during the mailing of an issue of a publication — one summary for all copies mailed at the old rates, and a separate summary for all copies mailed at the new rates.

3-4.9 Data Retention and Retrieval

The publisher must retain the documentation supporting the submitted postage statements (the appropriate PS Forms 3541) for 120 days in a format that will facilitate the rerunning of the individual postage statements, the Summary of Postage Statements, and the Register of Postage Statements, if corrections are required.

3-4.10 Clearance Documents

The publisher must submit an appropriate PVDS clearance document (i.e., one of the forms in the PS Form 8125 series, such as PS Form 8125, PS Form 8125-C, etc.) with all mail to be entered at a destination entry Post Office. The publisher must submit the appropriate PS Form 8125 to the DMU for signature. For each CPP publication that will use an appropriate facsimile PS Form 8125, the publisher must submit to the NYRCSC a letter and a copy
of the form for authorization. Upon approval of the form, the NYRCSC provides a copy to the DMU(s). The publisher must supply any missing clearance documents (i.e., the appropriate PS Forms 8125) to the affected destination entry Post Office(s) on request.

3-5 Enclosures Mailed With CPP Periodicals Publications

3-5.1 Procedures

For CPP publications that contain Standard Mail enclosures, publishers must pay the additional postage due at the NYRCSC prior to the first mailing. At least 1 business day prior to mailing, the publisher must notify the NYRCSC in writing (and provide a copy to each DMU involved) identifying the publication and the issue or edition(s) in which the enclosure will be contained. To pay postage at the Standard Mail presorted rates, the publisher must have an active permit imprint account (under the publisher’s or publication’s name) and must have paid a Standard Mail annual bulk mailing fee at the Post Office serving the DMU at the mailer’s plant from which the enclosure is being mailed. If the NYRCSC has no record documenting payment of the annual bulk mailing fee to the Post Office serving the plant, the NYRCSC will request that the publisher send to the NYRCSC a copy of the PS Form 3544, Post Office Receipt for Money, it received for that payment. For First-Class Mail enclosures, contact the NYRCSC.

3-5.2 Postage Statements

The publisher must submit the applicable postage statements for the enclosures (depending on class and type) to the NYRCSC with the Periodicals postage statements. A publisher who claims discounted entry rates must submit individual postage statements for each entry. The publisher must also submit a Consolidated Postage Statement that encompasses all the individual postage statements. If the publisher does not claim discounted entry rates, then the publisher may submit one single postage statement (if applicable for all rates in the mailing) to cover all the enclosed pieces.

3-5.3 Documentation

When presenting the mailing production schedule to the DMU, the publisher must include the edition codes of the issue that will contain the enclosure. The DMU and the NYRCSC must receive the actual enclosure for weight verification purposes prior to mailing. CPP publications may use a special CPP endorsement such as “Standard Mail Enclosed, Postage Paid Under the CPP System at the NYRCSC.” The publisher must follow all endorsement placement options as per DMM P070.2.
3-6 Reporting Requirements

3-6.1 Statement of Ownership
The publisher must annually file an original PS Form 3526, *Statement of Ownership, Management and Circulation*, for each publication at the publication’s original entry Post Office. Concurrently, the publisher must send a copy to the NYRCSC.

3-6.2 Marked-for-Advertising Copies
The publisher must submit a marked copy of the basic edition, along with a listing of every edition mailed, to the original entry Post Office. This listing (in hard copy or electronic media format) must show each edition by code and the corresponding advertising and nonadvertising percentages. On request, the publisher must be able to submit a marked copy of any or all editions of any issue within 6 months of the current issue. Every marked copy that is submitted must be clearly identified with the same edition code used on the production schedule and the corresponding postage statement. If a Post Office other than the original entry office receives the marked-for-advertising copies, the publisher must still submit to the original entry office one copy (not marked for advertising) of every edition of each issue.

3-6.3 Changes in Additional Entry or Reentry
The publisher must file a PS Form 3510, *Application for Additional Entry, Reentry, or Special Rate Request for Periodicals Publication*, to add or change an additional entry (i.e., a Post Office serving the mailer’s plant), to request reentry (changes to title, frequency, etc.), or to request the special rates. The publisher must file the PS Form 3510 at the original entry Post Office, unless the request is to change the original entry Post Office, in which case the publisher must file the PS Form 3510 at the new original entry Post Office. For requests to add or change an additional entry office, the publisher must file PS Form 3510 at least 30 days prior to the requested effective date of the change, as required in DMM D230. Requests for reentry or the special rates must be filed as required in DMM E214 or E270, as applicable. The publisher must file a copy of each PS Form 3510 with the NYRCSC.

*Note:* If a publication’s frequency does not change but the date of publication changes from year to year (such as religious holidays or opening/closing dates for school terms), the publisher only needs to present a letter stating the new publishing dates to the NYRCSC and the original entry Post Office at the beginning of each calendar year.

3-6.4 Changes in Mailing Locations
Prior to implementing any changes in mailing locations, the publisher must notify the NYRCSC and the Post Office serving the mailer’s plant, in writing, as soon as possible, but at least 45 days prior to the change. The publisher
should provide this notification even prior to submitting the PS Form 3510, as described in [3-6.3].

The publisher’s letter to the NYRCSC and DMU Post Offices must include the following:

a. The location of the current mailer’s facility and the location of the new facility, showing the complete mailing address for each.

b. The effective date of the proposed change in location.

c. A description of any change the move will create to the following:
   (1) The method used to assign edition codes.
   (2) The documentation methods that support generation of postage statements.
   (3) The flow of information necessary to complete postage statements.
   (4) Where, when, and how advertising and nonadvertising content and percentages for marked copies are developed.

d. A copy of the PS Form 3510 requesting the change in additional entry office.

Before a publication can be approved for mailing under the CPP system at a new mailing location, the NYRCSC must ensure the following:

a. That the Post Office selected to serve the new mailer’s plant will be able to staff a DMU with trained, qualified employees to verify mailings entered under the CPP system, including verifying the average per-copy weights.

b. That the publisher will continue to meet all CPP system requirements at the new facility.

The NYRCSC may delay implementing the CPP system at the new mailing location until these requirements are met.

3-6.5 Changes to Distribution Plan

To modify the distribution plan, the publisher must file PS Form 3510 and notify the NYRCSC in writing prior to submitting postage statements. The publisher must also change the appropriate PS Forms 8125 to reflect changes in the distribution plan, and must have the DMU authorize the clearance documents with a signature and date.

3-7 Postage Payment Reviews

The Postal Service will perform an annual postage payment review for each CPP publication. Publishers with multiple publications mailing from the same plant and using the same vendors may have only one of those publications reviewed. The NYRCSC will initiate the review. For every mailing, the publisher must present to the DMU involved all authorized documentation.
that supports every rate claimed on the postage statements. This documentation must include the following:

b. A standardized documentation/qualification report.
c. A sack/pallet report or container file.

3-8 Discrepancies

3-8.1 Nonrevenue Discrepancies

For an exception for all nonrevenue-related discrepancies, the publisher must receive authorization from the RCSC that serves the Post Office where the mailer’s plant is located. (An example of such a discrepancy would be an incorrect identification statement.)

3-8.2 Production Schedule Discrepancies

For production schedule discrepancies (e.g., book makeup different from print order, the number of copies printed for an edition exceeding the number stated on the production schedule, etc.), the DMU uses the highest weight or highest postage charge when exact counts or sizes cannot be determined. It is the responsibility of the publisher to submit accurate information to the DMU for easy verification.

3-8.3 Revenue Deficiencies Discovered During Annual Postage Payment Review

If an annual postage payment review reveals errors exceeding 1 percent, then the Postal Service considers the publisher to have a revenue deficiency, and the Postal Service will review the next possible issue. The Postal Service will notify the publisher in writing of all findings resulting from an annual postage payment review.

3-8.4 General Revenue Deficiencies

The Postal Service will notify the publisher of all errors and/or revenue deficiencies immediately by telephone or in writing through PS Form 3749, *Irregularities in the Preparation of Mail Matter*.

3-8.5 Notification Procedures

The NYRCSC will notify the publisher, in writing, of the revenue deficiency. The publisher will have 15 days from the date of the letter assessing the deficiency to appeal the decision. After the fifteenth day (or when a final agency decision is made), the publisher must submit funds to the NYRCSC to cover the deficiency. The NYRCSC will withdraw the deficiency amount on that date. Failure to comply may be grounds for the Postal Service to revoke the publisher’s CPP agreement.
3-9 Notification of Authorizations

The publisher must receive authorization to use the following programs, and must provide a copy of the authorization to the NYRCSC (if the NYRCSC is not the authorizing office) and to the DMU Post Office serving the mailer’s plant:

a. Co-palletization of either rates and/or publications.
b. Co-mailing (two or more publications in one addressed and sealed mail piece) or combined mailing (two or more publications in one package).

Note: Periodicals publications authorized to be mailed under the CPP system may be part of a co-mailing or combined mailing only when all of the publications in the co-mailing or combined mailing have been authorized to be mailed under the CPP system.
c. Advertising percentage program in lieu of submitting marked copy.
d. Printer site and mailer site in two different locations for same mailings.
e. All exceptions in palletization, sacking, or traying.
f. All exceptions that vary from the standards set forth in the DMM.

3-10 Revocation Procedures

If a publisher fails to meet CPP system requirements, the manager of the NYRCSC will notify the publisher and provide a reasonable time frame for the publisher to correct the discrepancies. If the publisher is unable to correct the discrepancies within the time allowed, the manager of the NYRCSC may revoke the publisher’s authorization to mail under the CPP system.

A publisher wishing to appeal a revocation decision must submit the appeal in writing to the manager of the NYRCSC within 15 days from the date of receiving the revocation notice. The publisher’s appeal should contain evidence showing why the CPP system authorization should not be revoked. If the evidence provided by the publisher indicates that the authorization should be continued, the manager of the NYRCSC may reverse the revocation decision.

If the manager of the NYRCSC does not find evidence sufficient to reverse the revocation decision, the manager forwards the appeal to the manager, Mail Preparation and Standards, USPS Headquarters, who will issue the final agency decision.

The publisher may continue to mail under the CPP system while an appeal is pending.
4 Special Programs

4-1 Publisher Generation of Weights (PGW) Program

4-1.1 General Information

4-1.1.1 Purpose
The Postal Service may authorize publishers to submit their own per-copy weights to be used on the postage statements.

Any publisher who is authorized to mail through the CPP system may apply to participate in the Publisher Generation of Weights (PGW) program. This program allows the publisher to use per-copy weights that are internally generated by the publisher’s system.

4-1.1.2 Quality Control
The publisher must have quality control methods in place to qualify for the PGW program. These methods must ensure the integrity of the process, the accuracy of the documentation, and the consistency of the calculation method. The publisher must demonstrate the ability to quickly troubleshoot any discrepancy through internal quality control procedures, detect at what stage of the process a problem is occurring, and promptly correct the problem.

4-1.1.3 Documentation
The publisher must have a system that properly documents the components contained in each edition of an issue of a publication, including the following:

- Paper stock.
- Paper weight.
- Trim size.
- Number of pages.
- Cover stock.
- Inserts.
- Enclosures.
- Weight of wrappers (polywrap, Kraft wrap, etc.).
The publisher must submit documentation at the same time as the mailing production schedule — i.e., 48 hours in advance of start of mailing — to both the DMU and the NYRCSC.

*Note:* The Postal Service has published specifications for calculating per-copy weights for Periodicals in DMM P013.

### 4-1.2 Application Process

#### 4-1.2.1 Application

The publisher must submit a letter to the manager of the NYRCSC to apply for participation in the PGW program. The letter must explain how the publisher’s calculation process works and must include a flowchart and all quality control procedures that will be used in the system.

#### 4-1.2.2 Parallel Run

The NYRCSC will oversee a parallel run to determine the accuracy of the publisher’s system for generating per-copy weights. For each mailing made during the parallel run, the publisher must submit to the NYRCSC the individual postage statements, a Consolidated Postage Statement, and the Register of Postage Statements that have been computed using the publisher’s weights. This will be done parallel with the current procedures in 3-2 for obtaining Post Office–provided per-copy weights.

### 4-1.3 Authorization Process

#### 4-1.3.1 Approval

The manager of the NYRCSC will approve applications when the parallel runs for three consecutive issues have demonstrated that the publisher’s system generates an accurate weight per-copy.

#### 4-1.3.2 PGW Program Agreement

When the application is approved, the manager of the NYRCSC provides the publisher with a letter of authorization and a PGW Program Agreement, which the publisher must sign prior to implementation.

At any time, the manager of the NYRCSC may modify the PGW Program Agreement. If the program consistently fails to show accuracy in the predetermined weights, the NYRCSC will review the system to determine continuance of the program.

#### 4-1.3.3 Notification

Upon receiving authorization and signing the PGW Program Agreement, the publisher is responsible for notifying all affected mailers and data or list processors of the effective date of the authorization and to advise them of their responsibilities for participation in the PGW program.
4-1.3.4 Denial

When an application is denied, the manager of the NYRCSC will notify the publisher in writing and will explain the reasons for the denial. At any time, the publisher may resubmit an application if the reasons for denial have been corrected.

A publisher wishing to appeal a denial decision must submit the appeal in writing to the manager of the NYRCSC within 15 days from the date of receiving the denial notice. The publisher’s appeal should contain evidence showing why participation in the PGW program should be authorized. If the evidence provided by the publisher indicates the system may be approved, the manager of the NYRCSC may reverse the denial decision.

If the manager of the NYRCSC does not find evidence sufficient to reverse the denial decision, the manager of the NYRCSC forwards the appeal to the manager, Mail Preparation and Standards, USPS Headquarters, who will issue the final agency decision.

4-1.4 Verification

The Postal Service verifies the accuracy of the PGW by comparing postal weights for random editions with the per-copy weights provided by the publisher. If the total cumulative weight of the verified editions is heavier than the PGW by 1.5 percent or more, the Postal Service will adjust the total postage of the mailing by the percentage of difference that was found. If the difference is heavier than the PGW by less than 1.5 percent, or if it is lighter than the PGW, the Postal Service makes no adjustment and accepts the PGW.

4-1.5 Revocation

If a publisher fails to meet PGW program requirements, the manager of the NYRCSC will notify the publisher and provide a reasonable time frame for the publisher to correct the discrepancies. If the publisher is unable to correct the discrepancies within the time allowed, the manager of the NYRCSC may revoke the authorization to mail under the PGW program.

A publisher wishing to appeal a revocation decision must submit the appeal in writing to the manager of the NYRCSC within 15 days from the date of receiving the revocation notice. The publisher’s appeal should contain evidence showing why the CPP system authorization should not be revoked. If the evidence provided by the publisher indicates that the authorization should be continued, the manager of the NYRCSC may reverse the revocation decision.

If the manager of the NYRCSC does not find evidence sufficient to reverse the revocation decision, the manager of the NYRCSC forwards the appeal to the manager, Mail Preparation and Standards, USPS Headquarters, who will issue the final agency decision.

The publisher may continue to mail using the PGW program while an appeal is pending.
4-2 Additional Programs

4-2.1 Daily Publications Program
The daily publications program allows publishers of daily newspapers to apply for the CPP system without having DMU employees staffed at their mailer locations. Publishers of daily newspapers must perform additional internal procedures to be authorized for this program. Contact the NYRCSC for more information.

4-2.2 Supplemental Advertising Report in Lieu of Marked Copy
A publisher may request authorization to submit documentation in lieu of presenting a marked copy to the original entry office. The NYRCSC authorizes CPP publications. Contact the NYRCSC for more information.
Appendix A

PS Form 3542, Application to Mail Under the Periodicals Centralized Postage Payment (CPP) System

This appendix contains a copy of PS Form 3542, Application to Mail Under the Periodicals Centralized Postage Payment (CPP) System.

This form is also accessible in an electronic format:

- For Postal Service customers, it is accessible on the Internet at http://www.usps.com (click on “Forms,” then “Periodicals,” and then scroll down to PS Form 3542).

- For Postal Service personnel, it is accessible on the corporate intranet at http://blue.usps.gov (click on “Information,” then “Policies and Procedures,” then “Forms,” then either “Alphabetical List by Title” or “Numerical List,” and then scroll down to the appropriate form).
PS Form 3542

**Application to Mail Under the Periodicals Centralized Postage Payment (CPP) System**

Instructions to the Publisher: Please ensure that all information is complete. Please type or print legibly.

1. The publisher of the publication named in item 1b. must complete this application.
2. Before you complete this application, read Publication PO 403, Guide to the Centralized Postage Payment System for Periodicals Mail, and applicable Domestic Mail Manual requirements in their entirety.
3. Complete a separate application for each publication you wish to mail under the CPP system.
4. Submit your completed application and any other supporting documentation to:
   
   **NY RATES AND CLASSIFICATION SVC CTR**  
   **US POSTAL SERVICE**  
   **1250 BROADWAY 14TH FL**  
   **NEW YORK NY 10086-9699**  
   Identify all supporting documentation appropriately, as prescribed on this application.

**Part 1 - General Information**

<p>| | |</p>
<table>
<thead>
<tr>
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<tbody>
<tr>
<td>1a. USPS Number</td>
<td>1e. Original Entry Post Office</td>
</tr>
<tr>
<td>1b. Publication Name</td>
<td></td>
</tr>
<tr>
<td>1c. Address (No., street, apt./ste.no./PO box, city, state, and ZIP + 4)</td>
<td>1f. Frequency of Issue</td>
</tr>
<tr>
<td></td>
<td>1g. Attach a list of all additional entry post offices (these are the offices where mail is verified by postal employees). Identify it as &quot;Attachment 1g.&quot;</td>
</tr>
<tr>
<td>1d. Contact Person Name</td>
<td>1h. Alternate Contact Person Name</td>
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**Part 2 - Printing and Mailing Information**

Enter the name(s) and address(es) of printer/mailer plant(s) for publication. If you have more than two plants, attach an additional sheet including all information as shown below. Identify it as "Attachment 2."

<p>| | |</p>
<table>
<thead>
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<tbody>
<tr>
<td>2a. Printer/Mailer Name</td>
<td>2b. Printer/Mailer Name</td>
</tr>
<tr>
<td>Address (No., street, apt./ste.no./PO box, city, state, and ZIP + 4)</td>
<td>Address (No., street, apt./ste.no./PO box, city, state, and ZIP + 4)</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Contact Person Name</td>
<td>Contact Person Name</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Title</td>
<td>Title</td>
</tr>
<tr>
<td>Telephone Number (Include area code)</td>
<td>Telephone Number (Include area code)</td>
</tr>
</tbody>
</table>

**Part 3 - Editions**

<p>| | |</p>
<table>
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<tbody>
<tr>
<td>3a. Are the issues of this publication prepared in geographic/demographic editions?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Yes  No</td>
</tr>
<tr>
<td>3b. If you checked &quot;Yes&quot; in 3a., describe how edition codes are assigned and attach a listing of the edition codes for a recent issue. Include corresponding production schedule. Identify this listing as &quot;Attachment 3b.&quot;</td>
<td></td>
</tr>
<tr>
<td>3c. Are edition codes shown in the address area of mailing pieces and on sacks/pallet labels as required?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Yes  No</td>
</tr>
<tr>
<td>Include a sample of each as they will be generated under the CPP system. Identify these as &quot;Attachment 3c.&quot;</td>
<td></td>
</tr>
</tbody>
</table>

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<tbody>
<tr>
<td>3d. Are mailpieces claimed at the automation site? If &quot;Yes,&quot; enclose all supporting documentation. Identify these as &quot;Attachment 3d.&quot;</td>
<td>3e. Is your presort software PAVE Certified?</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Yes  No</td>
</tr>
<tr>
<td>3f. What presort software do you use?</td>
<td></td>
</tr>
<tr>
<td>3g. Who provides your address matching services?</td>
<td></td>
</tr>
</tbody>
</table>

PS Form 3542, July 2001 (Page 1 of 2)
### Part 4 - Postage Payment and Postage Statements

4a. Which postage deposit/payment method will you be using?

- [ ] Single Payment per Issue
- [ ] Multiple Payments per Issue

Qualified publishers who chose the multiple payment per issue must attach a completed Centralized Postage Payment System - Multiple Payment Schedule Worksheet.

(See Publication 406.)

4b. You must be able to produce the required computer-generated individual postage statements, a summary of postage statements, and a register of postage statements before applying for CPP system authorization. Include with this application a complete issue of individual computerized postage statements on diskette, and a hard copy of the summary of postage statements and register of postage statements. Identify these as "Attachment 4b."

4c. Where will the computerized postage statements be prepared?

4d. When will the computerized postage statements be prepared in relationship to the dispatch of the last regular mailing of an issue?

### Part 5 - Advertising/Non-Advertising Percentages and per Copy Weights

5a. Describe how, where, and by whom copies are marked to identify advertising/non-advertising content and percentages for each edition/issue.

5b. What method of measurement is used to develop advertising/non-advertising percentages?

- [ ] Column Inches
- [ ] Page
- [ ] P.A.G.E
- [ ] Square Inches
- [ ] Other (Describe):

5c. How and when is the information regarding advertising/percentages provided to the unit that generates postage statements?

5d. How and when is per copy weight data for each edition/issue provided to the unit that generates postage statements?

---

### Statement of Adherence

I certify that the information provided in this application is accurate to the best of my knowledge. Upon approval of this application to mail under the CPP system, I will comply with all applicable postal standards governing Periodicals mail. I recognize that failure to comply will result in revocation of CPP authorization.

**Title (Please print)**

**Signature**

**Date**

Submit the completed application and all required attachments to the Manager of the New York Rates and Classification Service Center.

PS Form 3542, July 2001 (Page 2 of 2)

### Checklist of Required Attachments

- [ ] a. List of additional entry post offices
- [ ] b. List of printers (or plant(s), including contact person(s))
- [ ] c. Listing of edition codes for recent issue and corresponding production schedule
- [ ] d. Sample of address label and sack or pallet label showing edition code
- [ ] e. Supporting documentation for automation rate mailpieces.
- [ ] f. Set of computer-generated mailing statements on diskettes and a hard copy of the summary of postage statements and register of postage statements.
- [ ] g. Flowchart of information (and narrative) necessary for completion of postage statements.
Appendix B

PS Form 406, Centralized Postage Payment (CPP) System Multiple Payment Schedule Worksheet

This appendix contains a copy of PS Form 406, Centralized Postage Payment (CPP) System Multiple Payment Schedule Worksheet.

This form is also accessible in an electronic format:

- For Postal Service customers, it is accessible on the Internet at http://www.usps.com (click on “Forms,” then “Periodicals,” and then scroll down to PS Form 406).
- For Postal Service personnel, it is accessible on the corporate intranet at http://blue.usps.gov (click on “Information,” then “Policies and Procedures,” then “Forms,” then either “Alphabetical List by Title” or “Numerical List,” and then scroll down to the appropriate form).
Centralized Postage Payment (CPP) System Multiple Payment Schedule Worksheet

**Instructions:** To be completed by the publisher or publisher's agent and submitted to the NYRCSC.

<table>
<thead>
<tr>
<th>Name of Publication</th>
</tr>
</thead>
<tbody>
<tr>
<td>USPS Number</td>
</tr>
<tr>
<td>_______ _______</td>
</tr>
</tbody>
</table>

**Instructions**

a. In Column 1, list the dates of mailing for a typical recent issue, in chronological order starting with the earliest, for each additional entry office.

b. In Column 2, list the additional entry offices to correspond with the dates of mailing in Column 1.

c. In Column 3, enter the total postage for a representative recent issue for each additional entry office listed in Column 2.

d. Draw horizontal lines to divide the data into groups for which you will make separate deposits into your advance deposit account.

e. Calculate what percentage of the total postage for the issue (total of Column 3) is included in each deposit group identified in item d above.

**Note:** Use additional sheets if necessary.

<table>
<thead>
<tr>
<th>Column 1</th>
<th>Column 2</th>
<th>Column 3</th>
<th>Column 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dates of Mailing (show earliest first)</td>
<td>Additional Entry Offices</td>
<td>Total Postage For Office</td>
<td>Deposit Groups (percent of total postage)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Total Postage for All Additional Entry Offices:** $

Signature of Publisher or Publisher's Agent | Date
|__________________________________________|______|

**PS Form 406, September 2001**