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SUBJECT: Audit Report – Data Integrity Review of Address Management System  
Facility Data (Report Number IS-AR-07-005)

This report presents the results of our data integrity review of the Address Management System (AMS) facility data (Project Number 06BG009IS000). The objective of this audit was to determine if the data the AMS supplies to the Facility Database (FDB) is complete, accurate, and timely. Additionally, we evaluated whether controls in the FDB are adequate to properly maintain facility data the AMS provides. Information Technology management requested this audit.

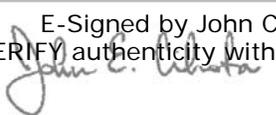
Facility data extracted from the AMS is provided to the FDB on a timely basis. However, the AMS database does not contain information for all U.S. Postal Service facilities. While the AMS facility data we reviewed is generally accurate, personnel do not always use FDB facility naming conventions when entering facility names into the AMS. In addition, we identified a small number of facility locale and address discrepancies for the organizations we reviewed. Additional guidance, training, and input and validation controls — supplemented by an independent quality assurance function — could enhance the reliability of the facility data.

We provided seven recommendations to management for strengthening controls over facility data. We recommended that the Postal Service develop and distribute a clear description of a facility and define the roles and responsibilities for all users who input, maintain, and certify facility data. We also recommended forming an independent quality assurance function to perform periodic validations of facility data; creating a standard facility naming convention; and ensuring that only the standard facility naming conventions are used when entering facility names into the AMS. Finally, we recommended development and implementation of an enhanced training program for entering and maintaining facility data, as well as performing a post implementation review of the FDB system.

Recommendation 3 could improve safety and the physical security of facilities because of improved accuracy and completeness of facility data, since the Postal Service relies on the FDB data for security purposes. Recommendations 4, 5, and 7 could indirectly improve customer service and maintain customer goodwill and reliance on the Postal Service brand. We will report these non-monetary impacts in our *Semiannual Report to Congress*.

Management agreed with our recommendations and non-monetary impacts related to recommendations 4, 5, and 7 and has initiatives in progress and corrective actions planned to address the issues in this report. Management did not comment on our non-monetary impact associated with recommendation 3. Management's comments and our evaluation of these comments are included in the report.

We appreciate the cooperation and courtesies provided by your staff during the audit. If you have any questions or need additional information, please contact Gary Rippie, Director, Information Systems, or me at (703) 248-2100.

E-Signed by John Cihota   
VERIFY authenticity with ApproveIt  


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## TABLE OF CONTENTS

<b>Executive Summary</b>	i
<b>Part I</b>	
<b>Introduction</b>	1
Background	1
Objective, Scope, and Methodology	2
Prior Audit Coverage	3
<b>Part II</b>	
<b>Audit Results</b>	5
Reduction in Facility Data Discrepancies	5
Address Management System Facility Data Discrepancies	7
Missing Facilities	7
Locale Types	9
Facility Naming Conventions	10
Address Discrepancies	11
Facility Database Post Implementation Review	11
Improvements to Facility Database and Address Management System	12
Recommendations	12
Management's Comments	12
Evaluation of Management's Comments	15
<b>Appendix A. Facility Data Flow</b>	16
<b>Appendix B. Management's Comments</b>	19

## EXECUTIVE SUMMARY

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### Introduction

This report presents the results of our data integrity audit of the Address Management System (AMS) facility data. The objective of this audit was to determine if the data AMS supplies to the Facilities Database (FDB) is complete, accurate, and timely. In addition, we evaluated whether controls in the FDB are adequate to maintain facility data provided by the AMS. Information Technology management requested this audit.

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### Results in Brief

Facility data extracted from the AMS is provided to the FDB on a timely basis. However, the AMS database does not contain all U.S. Postal Service facilities. While the AMS facility data we reviewed is generally accurate, FDB facility naming conventions are not always used when entering facility names into the AMS. In addition, we identified a small number of facility locale and address discrepancies for the organizations we reviewed. Additional guidance, training, and input and validation controls — supplemented by an independent quality assurance function — could enhance the reliability of the facility data.

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### Summary of Recommendations

We provided seven recommendations to management for strengthening controls over facility data. We recommended that the Postal Service develop and distribute a clear description of a facility and define the roles and responsibilities for all users who input, maintain, and certify facility data.

We also recommended forming an independent quality assurance function to perform periodic validations of facility data; creating a standard facility naming convention; and ensuring that only the standard facility naming conventions are used when entering facility names into the AMS. In addition, we recommended development and implementation of an enhanced training program for entering and maintaining facility data. These improvements could indirectly enhance facility safety and security or customer goodwill and the Postal Service brand.

Finally, we recommended completion of a post implementation review for the FDB.

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**Summary of  
Management's  
Comments**

Management agreed with the recommendations and has initiatives in progress and corrective actions planned to address the issues in this report. Further, management agreed with our non-monetary impacts related to recommendations 4, 5, and 7 but did not comment on our non-monetary impact associated with recommendation 3. Management plans to publish a Management Instruction and a *Facility Database System User Guide (User Guide)* that will define "facility." In addition, management will ensure the Management Instruction clearly defines the roles and responsibilities of all users who input, maintain, and certify facility data.

Management has created a training program for FDB coordinators and developed the *User Guide* to assist all FDB users. The *User Guide* will serve as the primary source of training and reference. In addition, AMS Coordinators received FDB training in August 2006. Furthermore, the FDB Advisory Committee will work to develop a periodic validation of facility data in conjunction with AMS Quality Reviews.

FDB and AMS management agreed to coordinate efforts to create a naming convention policy for new facilities and to implement a control to ensure personnel adhere to this policy when putting information into the AMS.

Management will complete a post-implementation review by June 2007. Management's comments, in their entirety, are included in Appendix B.

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**Overall Evaluation of  
Management's  
Comments**

Management's actions taken or planned are responsive to the recommendations and should correct the issues identified in the findings.

## INTRODUCTION

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### Background

The current version of the Address Management System (AMS) was established in 1994 and contains the U.S. Postal Service's master addressing database for all valid delivery addresses in the U.S. Facility name, address, and contact information for over 40,000 facilities is extracted each week from the AMS to update the Facilities Database (FDB) information, as needed.

The FDB was established in 2003 to serve as the single source for facilities-related information, such as facility identification, physical characteristics, addresses, hours of operation, and products and services provided. Corporate Customer Contact call centers use FDB data to provide information on postal operations to mailers and the general public; marketing personnel use FDB data to coordinate marketing initiatives; and the Postal Inspection Service uses FDB data to assist them in evaluating facility security. In addition, the Postal Service uses the FDB for preparing for and responding to emergencies and natural disasters.

The Manager, Address Management, in Memphis, Tennessee, sponsors the AMS. The system resides on a mainframe computer at the San Mateo Host Computing Services in San Mateo, California. The San Mateo Integrated Business Systems Solutions Center staff supports the AMS database.

The Manager, Customer Service Operations, sponsors the FDB. The system resides on a mid-range computer at the Eagan Computer Operations Service Center in Eagan, Minnesota. The St. Louis Integrated Business Systems Solutions Center staff supports the database. The Manager, Delivery and Retail Systems Portfolio, provides information technology support for the AMS and the FDB.

AMS managers at each Postal Service district, as well as retail specialists and facility service officers, input the data that management later uses to create the FDB facility record. (See Appendix A.) Facility managers and FDB coordinators at the district and field levels are responsible

for validating and certifying facility data. AMS managers and FDB coordinators work together to ensure facility data is accurate and complete.

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**Objective, Scope, and Methodology**

The objective of this audit was to determine if the data the AMS supplies to the FDB is complete, accurate, and timely. Additionally, we evaluated whether controls in the FDB are adequate to properly maintain facility data provided by the AMS.

During our review, the Postal Service conducted its first comprehensive nationwide validation and certification of the accuracy of FDB information. The Postal Service's certification effort focused on the accuracy of existing FDB data and did not emphasize identifying missing facilities. We monitored the progress of this initiative and evaluated related discrepancy reports.

We selected five Postal Service organizations to evaluate controls over how facility information is entered into the AMS for delivery to the FDB. We selected the Postal Service's Law Department, the U.S. Postal Service Office of Inspector General (OIG), the Postal Inspection Service, and Vehicle Operations vehicle maintenance facilities (VMF) for review. Management expressed concerns that some facility data in the AMS and FDB for these four organizations was incomplete or inaccurate. For the fifth organization, we selected Information Technology and evaluated whether they included all business partners<sup>1</sup> in the AMS. We performed a comparative analysis of an AMS data extract, dated June 17, 2006, with the source documents we obtained from all five organizations.<sup>2</sup> We reviewed the accuracy and completeness of all facility names, addresses, and AMS locale types<sup>3</sup> for each of these organizations.

To evaluate system controls over the FDB, we examined system documentation, observed the features and functionality of the FDB, and interviewed key project sponsors and managers for AMS and FDB. We also interviewed area and district AMS managers and FDB

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<sup>1</sup> Information Technology uses the FDB to obtain a facility identification number prior to authorizing a telecommunications order to connect the business partners to the Postal Service network.

<sup>2</sup> The source documents we obtained included a total of 1,317 facilities for the five organizations we reviewed.

<sup>3</sup> Locales are defined according to the function of the facility.

coordinators in the Capital Metro, Eastern, and Southeastern Areas.

We conducted this audit from March through December 2006 in accordance with generally accepted government auditing standards and included such tests of internal controls as we considered necessary under the circumstances. We used manual and automated techniques to analyze computer-processed data. Based on these tests and assessments, we concluded the data were sufficiently reliable for meeting the objective of our review. We discussed our observations and conclusions with management officials and included their comments where appropriate.

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**Prior Audit Coverage**

The OIG issued an audit report titled *Data Input Validation for the Facilities Database* (Report Number IS-AR-06-006, dated March 30, 2006) that examined the accuracy, completeness, and timeliness of data elements in the FDB Products and Services module. We recommended that management: (1) develop a management instruction to document Postal Service's requirements for maintaining and validating information within the FDB; (2) develop and implement a method of monitoring and enforcing employee compliance with Postal Service requirements for maintaining and validating FDB data; and (3) update the *Facilities Database System User Guide* to include instructions and requirements for validating and maintaining FDB information. Management agreed with the recommendations. Management has taken corrective action on the second recommendation and has corrective actions in progress for recommendations one and three.

Additionally, the OIG issued an audit report titled *Facilities Database Application Development Review* (Report Number EM-AR-02-003, dated March 26, 2002) that assessed the Postal Service's FDB development effort in the final stages of the concept phase in the systems development life cycle. We recommended management: (1) complete a feasibility study on the FDB prior to obtaining funding approval; (2) ensure independent software quality assurance functions are performed throughout the FDB project; and

(3) complete the cost benefit analysis prior to moving forward with a request for funding. Management agreed with the recommendations and completed corrective actions.

## AUDIT RESULTS

Facility data extracted from the AMS is provided to the FDB on a timely basis. The Postal Service's effort to certify the accuracy of FDB data has reduced the number of facility data discrepancies. However, the AMS database does not contain all Postal Service facilities. While the AMS facility data we reviewed is generally accurate, FDB facility naming conventions are not always used when entering facility names into the AMS. In addition, we identified a small number of facility locale and address discrepancies for the organizations we reviewed. Additional guidance, training, and input and validation controls — supplemented by an independent quality assurance function — could enhance the reliability of the facility data.

### Reduction in Facility Data Discrepancies

Postal Service management informed us that they initiated a major effort in March 2005 to update FDB information. This effort included a comprehensive nationwide review and certification of FDB data accuracy. We monitored the progress of reducing discrepant data from January<sup>4</sup> through September 2006 and found the Postal Service significantly decreased the number of discrepancies, as shown in Table 1 below.

Table 1. Reduction in FDB Facility Data Discrepancies

Type	1/02/06	6/26/06	9/18/06
More than One Parent Locale <sup>5</sup>	1,826	250	235
No Parent Locale	746	55	31
Mismatched Subtype	Not Tracked	24	17
No Physical Address	17	2	1
Records Not Linked	647	395	226
Free Formed Address	1,200	558	468
No Facility User	695	337	230
Incorrect Classification Flag	114	64	36
Incorrect Time Zone	Not Tracked	1,379	247

Needed changes were either made directly to the FDB or passed to AMS managers for correction. In addition, between May and September 2006 the Postal Service reduced the number of facilities requiring certification from

<sup>4</sup> The Postal Service began tracking the majority of discrepancies in January 2006.

<sup>5</sup> This occurs when one or more records with the same address are all flagged as parent locales.

over 40,000 to 200. The accuracy of facility information in the FDB depends on the collective and coordinated efforts of many individuals and organizations. (See Appendix A.)

**Address Management  
System Facility Data  
Discrepancies**

We found data discrepancies within AMS that could impact the accuracy of FDB facility data. For example, the AMS does not contain all facility records. To a lesser degree, we also identified incorrect locale types, inconsistencies in facility names, and variances between the addresses in the source records and the AMS for a small number of facilities.

Although the Postal Service is making progress in resolving data discrepancies, additional efforts are needed to clarify the definition of a facility, communicate roles and responsibilities, ensure data is entered accurately, ensure only standard facility naming conventions are entered, and provide training to all users who validate and enter data. Management Instruction AS-860-2003-2, *Data Stewardship: Data Sharing Roles and Responsibilities*, requires that the data steward develop standard definitions for data elements, develop requirements for data collection and maintenance to ensure data is accurate and up-to-date, and develop “data use” guidelines for maximum availability. Incomplete and inaccurate data for those organizations we analyzed could adversely affect environmental operations, emergency preparedness, and Postal Inspection Service security functions.

**Missing Facilities**

Integrity tests of facility data for five selected organizations determined that 324 of 1,317 facilities we tested were not included in the AMS. Table 2 provides the number of facilities we identified as missing from the AMS.

Table 2. Missing Facilities

Entity	Total Facilities	Facilities Not In AMS	
		Number	Percentage
Postal Inspection Service	260	198	76
OIG	49	36	73
Law Department	15	7	47
VMF	322	6	2
Business partners	671	77	11
<b>Totals</b>	1,317	324	

Although district AMS managers and FDB coordinators are diligent in identifying facilities and including them in the AMS, we noted several reasons why not all facility records are in the AMS:

- The Postal Service has different definitions for AMS facilities<sup>6</sup> and FDB facilities.<sup>7</sup> Several AMS managers and FDB coordinators we interviewed informed us that the definitions were not entirely clear. Although the FDB facility definition includes approved organizational units, it was not always clear to some users when an organizational unit is a facility, allowing for misinterpretations of data entry requirements.
- The Postal Service has not issued a management instruction documenting roles and requirements for maintaining and validating facility data. For example, the OIG and Postal Inspection Service do not have an appointed liaison to ensure compliance with this requirement. Further, the Postal Service has not updated the *Facilities Database System User Guide* to document the steps needed to validate and update data. The Postal Service is scheduled to complete these documents by December 2006.
- Not all users received training to properly validate and update FDB facility data. Responsible parties who had not received training may not be aware of their responsibilities for entering facility information.
- The Postal Service did not ask organizations such as the Postal Inspection Service, the OIG, and the Law Department to participate in the FDB certification effort. Involving these organizations would have increased the Postal Service's efforts in ensuring the completeness of the data.

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<sup>6</sup> AMS management defines a facility as "Any building or part of a building where a postal employee works, or any building or part of a building where a business or individual that has a contract with the United States Postal Service to provide postal service, such as a contract station or Community Post Office."

<sup>7</sup> FDB management defines a facility as "An approved organizational unit or real property where employee resources conduct postal business, Postal assets are deployed, real estate is owned or leased by the Postal Service, or systems are allowed connection to secure Postal Service information infrastructures."

- An independent quality assurance function does not exist to perform periodic validations of facility data. An independent quality assurance function would assist in ensuring that all facilities are entered in the AMS.

An incomplete list of Postal Service facilities could impact employee safety and security of facilities. The Postal Service relies on the FDB data for measuring facility security needs; preparing for and responding to emergencies in the event of environmental disasters and homeland security threats; and for conducting internal audits of fuel tanks.

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Locale Types

Locale types were entered into the AMS incorrectly for a small number of facilities we reviewed. The purpose of the locale type is to determine:

- How the FDB classifies facilities.
- Data fields that must be maintained in the FDB (updated and/or validated) for each facility type.
- Which facility records in the FDB are passed to other systems.

We found eight facilities with incorrect locale types, as shown in Table 3.

Table 3. Incorrect Locale Type

Entity	Number of Facilities <sup>8</sup>	Number
Postal Inspection Service	62	1
OIG	13	2
Law Department	8	0
VMF	316	2
Business partners	594	3
<b>Total</b>	993	8

Inaccurate locale types in the AMS result in incorrect classification of facilities in the FDB. Consequently, FDB users have to maintain data fields that are not applicable to their facility. For example, if a VMF is improperly classified

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<sup>8</sup> As of June 17, 2006, the AMS database contained 993 of 1,317 facilities for the five organizations we reviewed.

as a station, the manager would need to input data relevant to a station such as dock and ramp, post office box, and products and services to meet the certification requirement.

Facility Naming  
Conventions

During our review, we compared source records with the AMS and identified facilities that were inconsistently named. Table 4 provides the number of such facilities.

Table 4. Inconsistent Facility Names

Entity	Number of Facilities	Number
Postal Inspection Service	62	45
OIG	13	10
Law Department	8	2
VMF	316	131
Business partners	594	109
<b>Total</b>	993	297

FDB management has not designated a standard naming convention for use by AMS personnel when entering official facility names. While the FDB provides suggestions on naming conventions for entering official facility names, this guidance is only available through the on-line help system. The *Facilities Database System User Guide* did not include this guidance, so it needs to be updated. Since the Postal Service does not have an official FDB training program, AMS managers may not have been aware of the suggested naming convention. In addition, the AMS does not have a control to ensure that only the designated naming convention is entered.

As use of the FDB expands, the use of a standard naming convention is of increased importance. Inconsistent facility names could result in incorrect queries that the user or the customer does not recognize. Inconsistent facility names provided to the public could direct customers to the wrong location, affecting goodwill or the Postal Service brand.

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**Address Discrepancies** We also identified physical facility addresses in AMS that differed from the source records FDB organizations provided us. Table 5 provides the number of such facilities.

Table 5. Address Discrepancies

<b>Entity</b>	<b>Number of Facilities</b>	<b>Number</b>
Postal Inspection Service	62	24
OIG	13	1
Law Department	8	0
VMF	316	39
Business partners	594	86
<b>Total</b>	993	150

When evaluating addresses that did not match, we did not make an assessment as to which address was accurate or inaccurate, but identified them as “discrepant.” For example, we identified a VMF in the AMS with a street address of “201 North Wood Avenue,” whereas the source record provided us specifies the address as “210 North Seminary Street.” A discrepancy in an address could mean that the address in the AMS is incorrect. If this occurs, Postal Service Environmental Operations, for example, may not be able to perform an internal audit on a fuel tank they cannot locate. Furthermore, incorrect facility addresses provided to the public could direct customers to the wrong location. This could affect goodwill or the Postal Service brand.

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**Facility Database Post Implementation Review** We also noted that management had not conducted a post-implementation review for the FDB. According to the Postal Service’s *Integrated Solutions Methodology*, this is an essential component of the benefits management process. The review confirms whether the Postal Service has achieved the benefits, including those agreed to in the business case, and identifies opportunities for future improvements. A post-implementation review would help the Postal Service ensure that the FDB meets the needs of its users and customers.

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Improvements to Facility Database and Address Management System	<p>During our review, management made several system enhancements to increase FDB utility, including increased use of drop-down boxes, enhanced data element descriptions, and a control to prevent users from certifying incomplete data in the products and services module. Management also corrected system defects relating to “Bulk Mail Acceptance” and “Drop Ship Receiving Times.”</p> <p>In addition, the audit team provided management with the list of discrepancies and anomalies we identified in the AMS.</p>
<b>Recommendation</b>	<p>We recommend the Acting Vice President, Delivery and Retail, direct the Manager, Customer Service Operations, to:</p> <ol style="list-style-type: none"><li>1. Create and distribute a clear and descriptive definition of “facility” in the management instruction and <i>Facilities Database System User Guide</i>.</li></ol>
<b>Management’s Comments</b>	<p>Management agreed with the recommendation and stated they will include the definition in the Management Instruction and the <i>Facilities Database System User Guide</i> they plan to publish by December 31, 2006.</p>
<b>Recommendation</b>	<ol style="list-style-type: none"><li>2. Update the management instruction to clearly define the roles and responsibilities of all users who input, maintain, and certify facility data. This includes the Office of Inspector General, the Postal Inspection Service, the Law Department, Vehicle Operations, and Information Technology.</li></ol>
<b>Management’s Comments</b>	<p>Management agreed with the recommendation and stated they will clearly define the roles and responsibilities of stakeholders who input, maintain, and certify facility data in the new Management Instruction they plan to publish in December 2006.</p>
<b>Recommendation</b>	<ol style="list-style-type: none"><li>3. Form an independent quality assurance team to periodically validate facility data added to the Facilities Database.</li></ol>

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<b>Management's Comments</b>	Management agreed with the recommendation and stated the Facilities Database Advisory Committee will develop a periodic validation of facility data in conjunction with AMS Quality Reviews. Management has scheduled completion of corrective actions for September 2007.
<b>Recommendation</b>	4. Create a standard facility naming convention for the Facilities Database and inform applicable Postal Service personnel.
<b>Management's Comments</b>	Management agreed with the recommendation and non-monetary benefit. AMS management agreed they are responsible for both developing and implementing this policy. Facilities Database and AMS management will coordinate to determine a naming convention policy for new facilities. Management also stated the recommendation has no direct quantifiable dollar impact; however, the recommendation can improve customer satisfaction and negate potential brand impact. Management has scheduled completion of corrective actions for September 2007.
<b>Recommendation</b>	5. Develop and implement an enhanced training program to provide Address Management System managers and Facilities Database coordinators with the knowledge of how to properly enter and maintain facility data.
<b>Management's Comments</b>	Management agreed with the recommendation and non-monetary impact. Management stated they have developed a training program for Facilities Database Coordinators and will implement it during fiscal year (FY) 2007. They have also developed a <i>Facilities Database System User Guide</i> for all FDB users, including retail specialists and field users. This guide should serve as the primary source of training and reference. Additionally, AMS Coordinators received FDB training at the AMS conference in Memphis, Tennessee, in August 2006. Management has scheduled completion of corrective actions for June 2007.

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Management also stated they agree that training initiatives for the Facilities Database could indirectly improve customer satisfaction and negate potential brand impact; however, there would be monetary costs for training, travel, and materials.

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<b>Recommendation</b>	6. Complete the post-implementation review for the Facilities Database.
<b>Management's Comments</b>	Management agreed with the recommendation and stated they will complete the post-implementation review for the Facilities Database based on the <i>Facilities Database Roadmap</i> they developed in FY 2005 during the transition of the Facilities Database to Delivery and Retail. Management has scheduled completion of corrective actions for June 2007.
<b>Recommendation</b>	We recommend the Senior Vice President, Intelligent Mail and Address Quality, direct the Manager, Address Management System, to:  7. Coordinate with the Manager, Customer Service Operations, to implement a control to ensure that only the standard facility naming convention is used when entering facility names into the Address Management System.
<b>Management's Comments</b>	Management agreed with the recommendation and non-monetary benefit. AMS management has reaffirmed its commitment to improve its standard facility naming convention and will coordinate with the Manager, Customer Service Operations, to: (1) establish a standard facility naming convention to be used across the AMS and Facilities Database; (2) provide job aids and training to AMS and Facilities Database field managers and their staffs regarding naming convention standards; and (3) develop a control that will periodically check the AMS for names that do not meet the naming convention standards.  Management also stated the establishment of a standard facility naming convention through field education and job aids and training — along with periodic data integrity checks regarding such standards — should minimize the negative impact on users, including customers.

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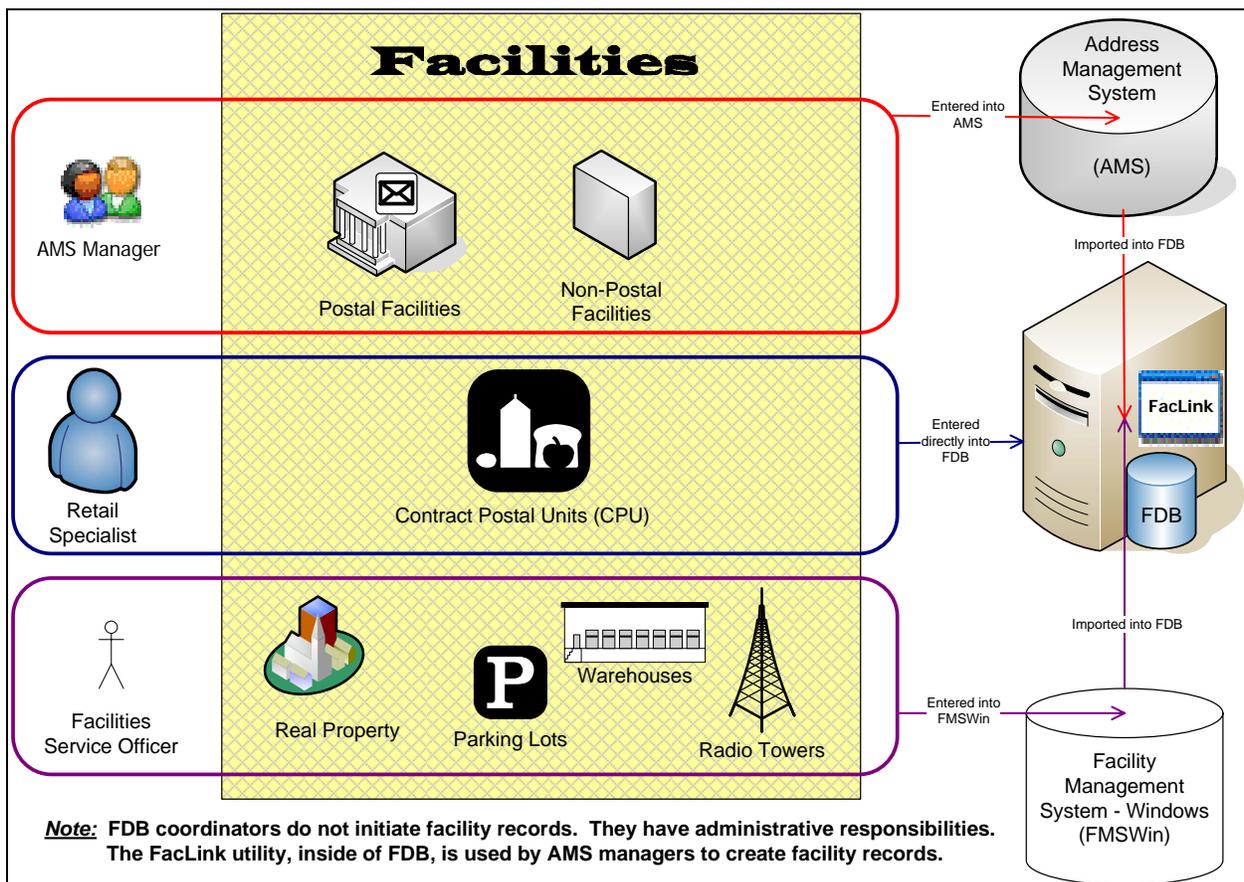
**Evaluation of  
Management's  
Comments**

Management's actions taken or planned are responsive to all the recommendations and should correct the issues identified in the findings.

## APPENDIX A. FACILITY DATA FLOW

The AMS managers in the Postal Service districts are responsible for entering the facility's data (such as its name, address, and phone number) into the AMS. A locale file, containing facility data such as facility names, addresses, locale types, and phone numbers, is extracted from AMS on a weekly basis and the data is placed into a staging file in the FDB.

Figure 1. Origin of Facility Records  
Legend: See page 17.



<p><b>Legend</b></p>	<p><i>Facility categories are created by the audit team, and defined below for clarity.</i></p>		<p><b>Source Facility Data Input</b></p> <p> <span style="border: 1px solid red; display: inline-block; width: 15px; height: 10px; vertical-align: middle;"></span> AMS input                        <span style="border: 1px solid blue; display: inline-block; width: 15px; height: 10px; vertical-align: middle;"></span> CPU input                        <span style="border: 1px solid purple; display: inline-block; width: 15px; height: 10px; vertical-align: middle;"></span> FSO input                 </p>	
 <p>AMS Manager</p>	<p>Enters facility data into the AMS. The AMS locale file is imported into the FDB</p>	 <p>AMS</p>	<p>Contains locale records that denote either a Postal Service facility. Locale records have attributes including a key, a name, an abbreviated name, addresses, and phone numbers.</p>	
 <p>Retail Specialist</p>	<p>Enters CPU data directly into the FDB.</p>	 <p>FacLink FDB</p>	<p>FDB is the primary data store for facilities-related information within the Enterprise Data Warehouse. FacLink is an internal utility that associates multiple AMS records to a FMS record, or and AMS record to a CPU record.</p>	
 <p>Facilities Service Officer</p>	<p>Enters facility data into the Facilities Management System – Windows (FMSWin). The FDB receives data from FMSWin daily.</p>	 <p>FMSWin</p>	<p>Provides the official record of all Postal-controlled real property, whether by ownership, lease, permit or other means. This is the Windows version of FMS.</p>	
 <p>Postal Facilities</p>	<p>Postal Facilities include: 1) post offices 2) mail processing facilities 3) other support facilities and organizations, data processing centers; such as vehicle maintenance facilities, Law Department, OIG, and USFIS.</p>	 <p>Real Property</p>	<p>Real property owned or leased by the Postal Service; including unused land controlled by the Postal Service. These facilities may or may not conduct postal business. Physical structures are the focus.</p>	
 <p>Non-Postal Facilities</p>	<p>External companies which: 1) are business partners of the Postal Service; or 2) have Postal personnel on-site at their facility.</p>	 <p>Parking Lots</p>	<p>Parking lots owned/leased/used by the Postal Service. They may or may not be connected to Postal facilities. They may also be used for storage, or unused, but controlled by the Postal Service.</p>	
 <p>Contract Postal Units</p>	<p>A post office that is located inside a retail establishment and operated by the retailer's employees. CPUs provide postal services to remote, under-served, and seasonal locations where traditional post offices are not available or are over burdened.</p>	 <p>Warehouses</p>	<p>Warehouses owned/leased/used by the Postal Service. They may be used by employees performing postal-related activities, or used for storage. They may also be empty.</p>	
		 <p>Radio Towers</p>	<p>A telecommunications device used for radio communications of the Postal Service. They can be attached to buildings that are Postal-owned, Postal-leased, or non-Postal.</p>	

Postal Service retail specialists are responsible for entering contract postal unit data directly into the FDB. Facility Service Officers enter real estate data into the Facility Management System – Windows (FMSWin), and this real estate data is sent daily to a staging file in the FDB.

General users cannot view staging data within the FDB until an AMS manager initiates and completes the FacLink process. The FacLink process is the synchronization of data in the AMS locale file record with the real estate data in the FDB, resulting in a new facility record in the FDB. This occurs when the AMS manager in the district manually links a facility's address from the AMS locale file to the facility's building record in the FDB. Figure 2 shows additional information on facility data flow among organizations.

**Redacted**

## APPENDIX B. MANAGEMENT'S COMMENTS



December 15, 2006

KIM H. STROUD  
DIRECTOR  
AUDIT REPORTING

SUBJECT: Response to Draft Audit Report – Data Integrity Review of Address Management  
System Facility Data (Report Number IS-AR-07-DRAFT)

After review of the Audit Report Number IS-AR-07-DRAFT, management is in agreement with the initial findings. Our responses and action plans are contained in the detailed discussion below.

Recommendation 1:

Create and distribute a clear and descriptive definition of “facility” in the Management Instruction and Facilities Database System (FDB) User Guide.

Response:

We agree. This definition will be included in the Management Instruction and the User Guide, both slated to be published by the end of December 2006.

Target Completion Date: December 2006

Recommendation 2:

Update the Management Instruction to clearly define the roles and responsibilities of all users who input, maintain, and certify facility data. This includes the Office of the Inspector General, the Postal Inspection Service, the Law Department, Vehicle Operations, and Information Technology.

Response:

We agree. Stakeholders who input, maintain and certify facility data will have their roles and responsibilities clearly defined in the new Management Instruction to be published.

Target Completion Date: December 2006

Recommendation 3:

Form an independent quality assurance team to periodically validate facility data added to the Facilities Database.

Response:

We agree. The FDB advisory committee will work to develop a periodic validation of facility data in conjunction with AMS Quality Reviews.

Target Completion Date: September 2007

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-2-

Recommendation 4:

Create a standard facility naming convention for the Facility Data Base and inform applicable Postal Service personnel.

Response:

We agree to the necessity of a standard naming convention. As indicated in recommendation seven, AMS agrees that they have the lead on both developing and implementing this policy. The FDB will work with AMS to determine a naming convention policy for new facilities. There is no direct quantifiable dollar impact; however, the impact can improve customer satisfaction and negate potential brand impact.

Target Completion Date: September 2007

Recommendation 5:

Develop and implement an enhanced training program to provide Address Management System managers, Facilities Database coordinators, with the knowledge on how to properly enter and maintain facility data.

Response:

We agree. A training program for FDB Coordinators has been developed and will be implemented during fiscal year (FY) 2007. A Users Guide has been developed for all FDB Users, including retail specialists and field users and should serve as the primary source of training and reference. Additionally, AMS Coordinators have already received FDB training at the AMS Conference in Memphis, Tennessee during the week of August 15, 2006.

We agree that the training initiatives for FDB could indirectly improve customer satisfaction and negate potential brand impact. However, there will be monetary costs incurred for training, travel and materials.

Target Completion Date: June 2007

Recommendation 6:

Complete the post implementation review for the Facilities Database.

Response:

We agree. The post implementation review will be completed. This review will be based on the FDB Roadmap developed in FY2005 when the FDB was transitioned to Delivery and Retail.

Target Completion Date: June 2007

Recommendation 7:

Coordinate with the Manager, Customer Service Operations, to implement a control to ensure that only the standard facility naming convention is used when entering the facility names into the AMS.

Response:

We agree. The AMS has reaffirmed its commitment to improve its standard facility naming convention. The Manager, Address Management will coordinate with the Manager, Customer Service Operations to: (1) Establish a standard facility naming convention to be used across the Address Management System (AMS) and Facilities Database (FDB) (2) Provide job aids and training to AMS and FDB field managers and their staffs regarding naming convention standards (3) Develop a control that will periodically check the AMS database for names not meeting the naming convention standards.

-3-

The establishment of a standard facility naming convention with field education through relative job aids and training, along with periodic data integrity checks regarding such standards, should minimize potential negative impact on users, including customers, based on inconsistent or non-standardized facility information.

Target Completion Date: September 2007

If you have any questions regarding our responses, please contact Annette Raney, Manager Customer Service Support (202) 268-4307 or Janice Caldwell, Manager Address Management (901) 683-7661.



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