



# NCOA<sup>Link</sup>® PROCESSING ACKNOWLEDGEMENT FORM

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

## LIST OWNER

I, the undersigned, an authorized representative of:

Company Name

Address

City

State

ZIP+4

Telephone Number

NAICS

USPS Mailer ID

E-mail Address

Parent Company Name

Marketing or "DBA" Company Name or Primary Affiliate Company Name

Name (Please print)

Title

Signature

Date

do hereby acknowledge that I have received and reviewed the NCOA<sup>Link</sup> Information Package supplied to me by Lorton Data Inc., an NCOA<sup>Link</sup> Full Service Provider Licensee. I also understand that the sole purpose of the NCOA<sup>Link</sup> service is to provide a mailing list correction service for lists that will be used for preparation of mailings. Furthermore, I understand that NCOA<sup>Link</sup> may not be used to create or maintain new movers lists.

## LICENSEE

**Lorton Data Inc**

Business Name (Please print)

**Joshua Evans**

Name (Please print)

**NCOA<sup>Link</sup> Product Manager**

Title

Signature

Date

**612-362-0290**

Telephone Number

**612-362-0299**

Fax Number

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

Business Name (Please print)

Address

City/State/ZIP+4

Name (Please print)

Title

Signature

Date

Telephone Number

E-mail Address

NAICS

### For Licensee Use Only

PAF ID:

Broker/Agent ID:

List Administrator ID:

## List of common NAICS codes

### List Owners

541810 Advertising Agencies  
713990 All Other Amusement and Recreation Industries  
561499 All Other Business Support Services  
541990 All Other Professional, Scientific, and Technical Services  
511199 All Other Publishers  
561990 All Other Support Services  
453920 Art Dealers  
511130 Book Publishers  
813910 Business Associations  
721120 Casino Hotels  
813410 Civic and Social Organizations  
561440 Collection Agencies  
611310 Colleges, Universities, and Professional Schools  
323110 Commercial Lithographic Printing  
518210 Data Processing, Hosting, and Related Services  
541860 Direct Mail Advertising  
511140 Directory and Mailing List Publishers  
611110 Elementary and Secondary Schools  
622110 General Medical and Surgical Hospitals  
453220 Gift, Novelty, and Souvenir Stores  
524210 Insurance Agencies and Brokerages  
448310 Jewelry Stores  
921120 Legislative Bodies  
454113 Mail-Order Houses  
541613 Marketing Consulting Services  
541910 Marketing Research and Public Opinion Polling  
712110 Museums  
711130 Musical Groups and Artists  
441110 New Car Dealers  
511110 Newspaper Publishers  
541110 Offices of Lawyers  
621111 Offices of Physicians (except Mental Health Specialists)  
323119 Other Commercial Printing  
624190 Other Individual and Family Services  
813319 Other Social Advocacy Organizations  
511120 Periodical Publishers  
813940 Political Organizations  
813920 Professional Organizations  
711310 Promoters of Performing Arts, Sports, and Similar Events with Facilities  
711320 Promoters of Performing Arts, Sports, and Similar Events without Facilities  
515111 Radio Networks  
515112 Radio Stations  
813110 Religious Organizations  
541710 Research and Development in the Physical, Engineering, and Life Sciences  
541720 Research and Development in the Social Sciences and Humanities  
624120 Services for the Elderly and Persons with Disabilities  
448210 Shoe Stores  
511210 Software Publishers  
451110 Sporting Goods Stores  
711110 Theater Companies and Dinner Theaters

### Brokers / List Administrators

541611 Administrative Management and General Management Consulting Services  
541810 Advertising Agencies  
541870 Advertising Material Distribution Services  
561499 All Other Business Support Services  
561990 All Other Support Services  
511130 Book Publishers  
323112 Commercial Flexographic Printing  
323110 Commercial Lithographic Printing  
541512 Computer Systems Design Services  
332115 Crown and Closure Manufacturing  
541511 Custom Computer Programming Services  
518210 Data Processing, Hosting, and Related Services  
323115 Digital Printing  
541860 Direct Mail Advertising  
511140 Directory and Mailing List Publishers  
541430 Graphic Design Services  
454113 Mail-Order Houses  
541613 Marketing Consulting Services  
541910 Marketing Research and Public Opinion Polling  
511110 Newspaper Publishers  
541219 Other Accounting Services  
561439 Other Business Service Centers (including Copy Shops)  
323119 Other Commercial Printing  
541519 Other Computer Related Services  
511120 Periodical Publishers  
323122 Prepress Services  
541614 Process, Physical Distribution, and Logistics Consulting Services  
541820 Public Relations Agencies  
323114 Quick Printing  
511210 Software Publishers  
624310 Vocational Rehabilitation Services  
517110 Wired Telecommunications Carriers

Lorton Data Inc. is a non-exclusive Licensee of the USPS® (United States Postal Service®) to provide Full Service NCOALink processing, ZIP + 4® Coding, DPV™, LACSLink™ and SuiteLink™.

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

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

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

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

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

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

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

The data contained within the NCOALink Product is comprised of approximately 40% family moves, 54% individual moves, and 6% business moves.

All matches made to the NCOALink file require a ZIP + 4 coded, parsed input address.

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

#### **Standard Processing Mode (S)**

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

#### **Business and Individual Processing Mode (C)**

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

### **Individual Processing Mode (I)**

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

### **Business Processing Mode (B)**

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

### **Residential Processing Mode (R)**

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

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

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

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

The standard output of a USPS NCOA<sup>Link</sup> process is:

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

NCOA<sup>Link</sup> processing has the potential to reduce returned mail, yet the USPS does not make any guarantees, express or implied, on the reduction of such mail. Thus any costs associated with returned mail are the customer’s sole responsibility.

An NCOA<sup>Link</sup> customer with questions about the specific results returned from an NCOA<sup>Link</sup> process must first contact the processor for explanation and resolution.

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

The following trademarks are owned by the United States Postal Service®: CASS, DPV, LACS<sup>Link</sup>, NCOA<sup>Link</sup>, United States Postal Service, USPS, Suite<sup>Link</sup> and ZIP + 4.

# Completing a NCOA<sup>Link</sup>® Processing Acknowledgment Form

## What is a Processing Acknowledgment Form?

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

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

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

The Postal Service™ requires that each NCOA<sup>Link</sup> Licensee collect a completed NCOA<sup>Link</sup> Processing Acknowledgment Form from each customer prior to providing the NCOA<sup>Link</sup> service.

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

Prior to any NCOA<sup>Link</sup> processing, and once annually thereafter, a completed and signed NCOA<sup>Link</sup> Processing Acknowledgment Form is required from each list owner.

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

A faxed Processing Acknowledgment Form is acceptable.

## Who must complete the Processing Acknowledgment Form?

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

Brokers, Agents and List Administrators are also required to provide information about themselves.

Service requests submitted on behalf of a list owner by third parties must be fully disclosed. All Brokers, Agents, or List Administrators the list passes through must sign a Processing Acknowledgment Form for that list.

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

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

### List Owner

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

### Broker / Agent

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

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

### List Administrator

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

The list administrator uses the output from NCOA<sup>Link</sup> to update their database, but does not forward the updated data to the list owner.

## How to complete a Processing Acknowledgment Form

Complete all information in the appropriate section of the Processing Acknowledgment Form.

### List Owner Section

The list owner must complete this section. There are no longer exceptions to this rule.

### Licensee Section

The NCOA<sup>Link</sup> Licensee will complete this section of the form. **Do not write in this section.**

### Broker/Agent, List Administrator Section

All parties who handle the list in the course of submitting lists for NCOA<sup>Link</sup> processing must complete this portion of the form.

## Helpful information

*E-mail address* – Required if available.

*USPS Mailer ID* – Required if available. Assigned as part of USPS Intelligent Mail® barcode.

*NAICS* – The North American Industry Classification System, which replaced Standard Industry Code, is used to classify industries. If you need assistance in finding your code, go to the following link:  
<http://www.census.gov/epcd/naics02/>

*Parent Company Name* – Complete if applicable.

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

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