

# General information on UPU standards

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## Foreword

Postal services form part of the daily life of people all over the world. The Universal Postal Union (UPU) is the specialised agency of the United Nations that regulates the universal postal service. The postal services of its 192 member countries form the largest physical distribution network in the world. More than 5 million postal employees working in over 660 000 post offices all over the world handle an annual total of 434 billion letter-post items in the domestic service and 5,5 billion in the international service. More than 6 billion parcels are sent by post annually. Keeping pace with the changing communications market, postal operators are increasingly using new communication and information technologies to move beyond what is traditionally regarded as their core postal business. They are meeting higher customer expectations with an expanded range of products and value-added services.

Standards are important prerequisites for effective postal operations and for interconnecting the global network. The UPU's Standards Board develops and maintains a growing number of standards to improve the exchange of postal-related information between postal operators and promotes the compatibility of UPU and international postal initiatives. It works closely with postal handling organisations, customers, suppliers and other partners, including various international organisations. The Standards Board ensures that coherent standards are developed in areas such as electronic data interchange (EDI), mail encoding, postal forms and meters.

UPU standards are drafted in accordance with the rules set out in this publication and are published by the UPU International Bureau.

# **1 Introduction to the Universal Postal Union and its bodies**

## **1.1 Universal Postal Union (UPU)**

Established in 1874, the Universal Postal Union (UPU) is the second-oldest international organisation after the International Telecommunication Union.

With 192 member countries, the UPU is the primary forum for cooperation between postal services and helps to ensure a truly universal network of up-to-date products and services. In this way, the organisation fulfils an advisory, mediating and liaison role, and renders technical assistance where needed. It sets the rules for international mail exchanges and makes recommendations to stimulate growth in mail volumes and to improve quality of service for customers.

However, as a non-political organisation, it does not interfere in matters that fall within the domestic domain of national postal services. For example, designated postal operators set their own postage rates, decide which and how many postage stamps to issue, and how to manage their postal operations and staff.

By virtue of its mission to develop social, cultural and commercial communication between people through the efficient operation of postal services, the UPU is called upon to play an important leadership role in promoting the continued revitalisation of postal services.

## **1.2 Organisation of the Union**

### **1.2.1 The Acts of the Union**

The Constitution of the Universal Postal Union is the fundamental Act setting forth the aims and containing the fundamental rules of the Union. It is a diplomatic Act that requires ratification by the competent authorities of each member country. Amendments to the Constitution can only be made at a UPU Congress and are also subject to ratification. Provisions relating to the application of the Constitution and to the operation of the Union are contained in the General Regulations.

The common rules applicable to the international postal service and the provisions concerning letter-post and parcel-post services are found in the Universal Postal Convention and its Detailed Regulations. As with the Constitution and the General Regulations, these Acts are binding on all member countries. A separate optional Agreement, which is binding only on those member countries that are parties to it, governs the operations of postal financial services.

### **1.2.2 Membership of the Union**

Any member of the United Nations (UN) may accede to the UPU. Sovereign countries which are not members of the UN may also become members of the UPU, provided that their request is approved by at least two-thirds of the member countries of the Union. There were 192 member countries of the UPU in 2013.

## **1.3 Union bodies**

### **1.3.1 Universal Postal Congress**

The Universal Postal Congress, which brings together plenipotentiaries of all member countries, is the supreme authority of the Union. Congress meets, in principle, every four years. Although its main function is legislative, the recent tendency has been to delegate more regulatory power to the Council of Administration and the Postal Operations Council, leaving Congress to focus more on broad policy issues.

Among its other responsibilities, Congress elects the Director General and the Deputy Director General, as well as the members of the two Councils; it also sets the budget ceiling for the following four years.

### **1.3.2 The UPU Council of Administration**

The Council of Administration (CA) consists of a Chairman and 40 member countries and meets in principle each year at UPU headquarters in Berne. It ensures the continuity of the Union's work between Congresses, supervises Union activities and studies regulatory, administrative, legislative and legal issues of interest to the Union. In order to ensure the UPU's ability to react quickly to changes in the postal environment, the CA has been given the power to approve proposals from the Postal Operations Council (POC) for the adoption of regulations or new procedures until the next Congress has taken a decision on the matter. The CA can also take measures within its competence that it considers necessary to resolve urgent affairs. The CA approves the annual budget and accounts of the Union, as well as yearly updates of the UPU's Programme and Budget. It is also responsible for promoting and coordinating all aspects of technical assistance among member countries.

The chairmanship of the CA is automatically assumed by the host country of the preceding Congress.

### **1.3.3 The UPU Postal Operations Council**

The Postal Operations Council (POC) is the technical and operational body of the UPU and consists of 40 elected member countries. The POC deals with the operational, economic and commercial aspects of international postal services. It revises and updates the Detailed Regulations. It promotes the introduction of new postal products by collecting, analyzing and publicizing the results of trials of new products undertaken by some postal operators. It also prepares and issues recommendations to member countries concerning standards for technological, operational or other processes within its competence where uniformity of practice is essential. The POC's programme of work aims above all at helping postal operators to modernize and upgrade their postal products, including letter post EMS, postal parcels and postal financial services.

The chairmanship of the POC for the period between Congresses is decided through election by the Council. The POC meets annually in Berne.

### **1.3.4 The UPU Consultative Committee**

The Consultative Committee (CC) was created on 16 September 2004 by the 23rd Universal Postal Congress. This Committee represents the interests of the wider international postal sector and provides a framework for effective dialogue between postal industry stakeholders. It consists of non-governmental organisations representing customers, delivery service providers, workers' organisations, suppliers of goods and services to the postal sector and other organisations that have an interest in international postal services, including direct marketers, private operators, international mailers and printers. The CC meets annually at UPU headquarters in Berne, at the same time as the POC.

The Chairman of the CC is either a CC member country or an external stakeholder, and is elected by the CC members during the first meeting after Congress.

### **1.3.5 International Bureau**

The International Bureau (IB), established by the Treaty of Berne in 1874, is located in Berne, Switzerland, and provides secretariat and support facilities for the UPU's bodies. It serves as an organ of liaison, information and consultation, and promotes technical cooperation among Union members. It also acts as a clearing house for the settlement of accounts between designated postal operators for inter-administration charges related to the exchange of postal items.

The IB is responsible for ensuring the representation of the Union in its external relations, notably with international organisations. However, it does not intervene in relations between designated postal operators and their customers.

## 1.4 The UPU as a United Nations specialised agency

The UPU became a specialized agency of the United Nations on 1 July 1948. Since then its relations and active cooperation with other international bodies have grown and intensified. The UPU maintains particularly close ties with United Nations programmes such as the UNDP (United Nations Development Programme), UNOCD (United Nations Office on Drugs and Crime) and UNEP (United Nations Environment Programme); with specialized agencies including ITU (International Telecommunication Union), ICAO (International Civil Aviation Organization), WHO (World Health Organization), UNESCO (United Nations Educational, Scientific and Cultural Organization) and WTO (World Trade Organization); with intergovernmental organizations such as the WCO (World Customs Organization); and with non-governmental international organizations such as IATA (International Air Transport Association), ISO (International Organization for Standardization), CEN (European Commission for Standardization) and INTERPOL.

## 2 Standards Board

### 2.1 Introduction

Formally established by a UPU Congress resolution, the Standards Board (SB) is the UPU's standards definition and maintenance authority in the area of postal technical and messaging standards. Its objectives are to develop and maintain technical and communications standards aimed at improving postal operational efficiency and quality of service. It also aims to promote the interoperability and compatibility of all UPU and international postal telematics initiatives.

The UPU General Regulations and the Rules of Procedure of the POC apply to the SB, which reports to POC Committee 1 (Supply Chain Integration).

### 2.2 Working methods

The SB facilitates a neutral technical infrastructure within which the postal services can operate with diverse business, commercial and legal arrangements. The basic objective is to enable the provision to customers of the highest quality of mail service in the most efficient way. The Standards Board develops standards that are enabling but not prescriptive.

All standards activities take place within the SB in order to ensure that all the functions involved in defining and setting standards have a common view of the issues at hand and a coherent approach to standards. The SB ensures that technical standards form a stable basis for future developments. It attempts to foresee future issues and provide solutions which can be applied whatever decisions are taken from a commercial, regulatory or legal point of view.

The SB gathers together experts to enable the:

- definition of codes and data related to the exchange of information for postal applications;
- definition and maintenance of all standards concerned with computer-based electronic data exchange;
- development of UPU standards for the encoding of data on physical media (items, labels, documents, etc.), using printed characters and symbols such as bar codes and two-dimensional symbologies; and
- the definition, development and proposition/adoption of standards related to EDI between postal operators and airlines.



### **2.3 Standards Board intellectual property rights policy**

The UPU Standards Board intellectual property rights (IPR) policy, approved by the POC , applies to the UPU SB, the individuals and representatives participating in them and any ad hoc participants/consultants to the UPU SB. It applies to all types of IPR, including IPRs enshrined in common law, registered/applied for patents, copyright, trademarks and trade names. This policy applies to all UPU standards with an approval date after its publication on the UPU website. For standards existing prior to that date, it shall be applied as from the date on which the standard concerned is next updated.

The policy seeks to reduce the risk to the UPU, the SB, and others applying UPU standards, that investment in the preparation, adoption and application of UPU standards could be wasted as a result of an IPR for a UPU standard being unavailable, having restricted availability or resulting in excessive costs to implementers of the standard. In achieving this objective, the policy seeks a balance between the needs of standardization for use in the postal sector and the rights of IPR owners. The full text of the policy is publicly available at [www.upu.int/standards/en/standards\\_board\\_ipr\\_policy\\_en.pdf](http://www.upu.int/standards/en/standards_board_ipr_policy_en.pdf).

### **2.4 Standards Board and the European Committee for Standardization**

To ensure greater uniformity of international standards applicable to the postal industry, a memorandum of understanding (MoU) between the UPU and the European Committee for Standardization (CEN) was signed on 22 October 2001 by the Director General of the UPU and the Secretary General of CEN. The MoU, the full text of which is included at Annex 1, provides for mutual observer status, information exchange, cooperation on standardization work items of common interest and possible adoption of each other's postal sector standards.

### **2.5 Standards Board and the International Organization for Standardization (ISO)**

Given the growing involvement of postal services in new logistical, web-based and financial services, the possibilities offered by advances in information technologies and the consequent need for UPU participation in the development of related standards, a cooperation agreement between the UPU and the International Organization for Standardization (ISO) was signed on 30 January 2008 by the Director General of the UPU and the Secretary General of ISO. The full text of the cooperation agreement is included at Annex 2.

## **3 Standards approval process**

### **3.1 Introduction**

The standards development, approval and maintenance process describes the mechanism by which standards are developed and formalised. Since one of the basic tasks of the Standards Board is to establish standards that facilitate the interchange of data among postal operators, these standards must be created and maintained in a consistent manner.

Standards can be at one of six different stages in the approval process. To acquire a particular status, a number of requirements must be fulfilled and certain procedures must be followed. Detailed descriptions of each stage are given on the following pages, but can be briefly described as follows:

#### **3.1.1 Status P (Work item)**

This means that the POC has approved the work required to develop an idea. The subject of the standard is recognised and the first notes on how to proceed are listed. A full detailed proposal is not required to obtain this status. There should, however, be a basis for a study to be carried out. A description of how the project should proceed must be included. After this, Status P can be granted.

*NOTE In some cases a work item may result in an updated version of a published standard that requires the updated standard to co-exist with the original standard for a period of time. This therefore results in a new standard with its corresponding number. In such a case, Status P (work item) need not be proposed to the SB for this new standard. Nevertheless, the SB should be informed of the progress of the work item and of the intention to replace the existing standard at least one meeting before the new standard is to be presented for adoption.*

#### **3.1.2 Status 0 (Working draft)**

This is a specification which has been approved for publication as the basis for tests. It is the product of a thinking process on the subject. It may, however, still be theoretical. If at all possible, some preliminary testing should have been performed before Status 0 was granted and a project plan should have been provided together with the Status 0 request. When Status 0 has been granted, testing can be done in a live environment, or in a simulation of a live environment. Participants should realise that the proposal may change considerably when going through this phase.

#### **3.1.3 Status 1 (Tested draft standard)**

Based on tests in a live environment or in a simulation of the live environment, the proposal may be modified or expanded and Status 1 can then be granted. Once at Status 1, the standard can be used in production (as opposed to test). Minor adjustments can still be made. During this phase the usefulness and stability of the standard must become clear.

#### **3.1.4 Status 2 (Approved UPU standard)**

Subject to approval by the POC, this status can be acquired after the standard has been available for use by any interested party and has been used effectively by several parties. After Status 2 is granted, the standard is very stable; any change to it normally requires reverting first to a lower status.

#### **3.1.5 Status S (Superseded standard)**

This status indicates that a standard has been superseded by another and users are encouraged to use the replacement standard. New users should not implement the superseded standard but should use the replacement standard. A reference to the replacement standard is provided.

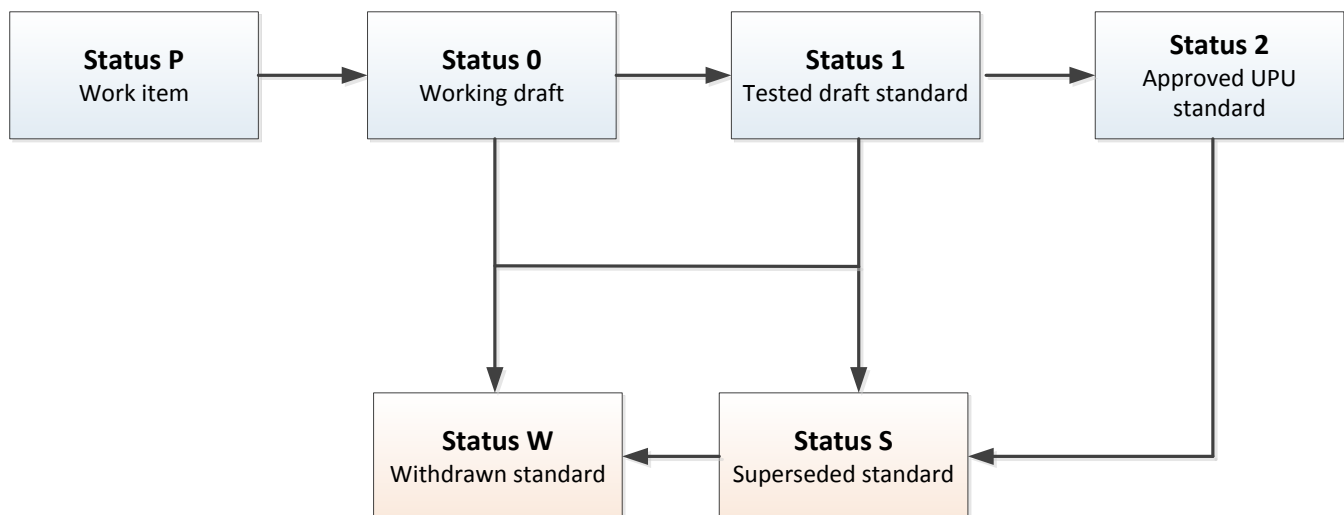
### 3.1.6 Status W (Withdrawn standard)

This status means that a standard has been withdrawn altogether. A reference to it is still listed for documentary reasons in the “Catalogue of UPU standards”. A standard with Status W should not be used.

The table below provides a short description, an overview of the expected usage and the scope of changes to be expected for each status:

| Status                    | Short description                                         | Expected usage                   | Scope of changes to be expected |
|---------------------------|-----------------------------------------------------------|----------------------------------|---------------------------------|
| P (Work item)             | Need defined in a written document                        | Possibly preliminary tests       | Very large                      |
| 0 (Working draft)         | Solution being developed, complete draft available        | Tests, prototype                 | Large                           |
| 1 (Tested draft standard) | Complete solution tested                                  | Limited production or production | Small                           |
| 2 (Approved UPU standard) | Standard widely used, technically operational             | Production                       | Very small to none              |
| S (Superseded standard)   | Replaced by another more recent standard but still in use | Phasing out                      | None                            |
| W (Withdrawn standard)    | Not used and no longer valid                              | None                             | None                            |

The figure below illustrates the standards statuses and the possible progression from one status to another.



### 3.2 Overview

Formal procedures with respect to the establishment and maintenance of standards are necessary for the following reasons:

- to enable the progression of work from the concept of a new standard to its adoption as an approved UPU standard;
- to avoid uncoordinated, ill-conceived or poorly timed changes;
- to allow for the analysis of enhancements to existing standards;

- to respond quickly to the changing needs of the postal world;
- to ensure that only those standards that serve the genuine interests of UPU member countries and their designated operators are approved.

These procedures require the creation and maintenance of a standards library as well as a register of current standards. The procedures help ensure that proposed standards and modifications to them are considered on their merit and that the results are documented and published.

The International Bureau reviews and edits UPU standards publications before their distribution in order to ensure consistency and uniformity in the publication and revision of UPU standards.

Where a standard is in principle approved by the SB, with only minor objections by one or two members (observers and invitees not included), the SB may approve the draft, subject to changes being made that satisfy those members with objections. Making these changes is the responsibility of the IB, and the standard is considered to be fully approved after the objecting SB members have indicated their satisfaction with it. Hence there is no need for the standard to be reviewed again by the SB.

Development working groups are responsible for the technical development work, testing, and evaluation relating to proposed standards. They may also be assigned tasks by the SB, such as the preparation of a working draft for a work item proposal submitted from another source. This development working group may be one of the permanent groups such as the Data and Code Definition Group. It may also be a POC study group that has been assigned a technical development task, or any other group of interested organisations working together on a specific project.

The development working groups are responsible for preparing the work program for each project, including target dates for completion of each stage. Progress reports should be given to the SB and other interested groups on a regular basis.

### **3.3 Development of UPU standards**

The process to be followed for the attainment of each status is illustrated by a flow chart, which is followed by written descriptions of the procedures to be followed for the attainment of each status. A checklist showing the requirements to obtain a particular status is also provided.

*NOTE Documents that are jointly published by the UPU and CEN may be amended only after prior consultation between CEN/TC 331 and the UPU SB, in accordance with the memorandum of understanding between CEN and the UPU (the full text of the MoU is presented at Annex 1).*

### **3.4 Modifications to standards**

Standards may be updated to reflect changes in ongoing work without requesting a change in status. Whenever a standard is updated, the SB must reconsider the status of that standard. If all requirements are met for the current status of the standard, it should retain its status. If, however, the standard has been altered to the extent that the requirements of its current status are no longer met, then it should be given the appropriate lower status.

It is also possible that the standard has been altered to such a degree that it is actually a new standard and requires a new number. In this case, the SB must determine which status should apply to the new standard.

## 3.5 Procedure to obtain Status P (Work item)

### General

In a work item proposal, a party formally requests the POC to recognise a particular subject as a potential standard. Existing standards from other organisations can also be presented as work item proposals.

Work item proposals would typically be made by:

- a member country or a group of member countries working together;
- an existing SB development working group/team;
- a POC Committee, standing group or task force;
- the International Bureau.

### Documentation

A work item proposal is submitted to the Secretariat using the below template for providing business requirements. The Secretariat carries out a basic assessment of the proposal's completeness .

#### 1 Requestor(s)

< Identify the requester and the stakeholders submitting the work item. >

##### 1.1 Entity

< Item proposals made by ... >

- member country or group of member countries working together
- an existing SB development group/team
- a POC committee, standing group or task force
- the International Bureau

##### 1.2 Business and financial stakeholders

< List the stakeholders consulted for this document in the following table in alphabetical order. >

| <i>Stakeholder</i> | <i>Role</i> | <i>Consulted</i> |
|--------------------|-------------|------------------|
|                    |             | < Yes/No >       |
|                    |             | < Yes/No >       |
|                    |             | < Yes/No >       |

#### 2 Context

##### 2.1 Document conventions

< Describe any standards or typographical conventions that were followed, e.g. fonts or highlighting that has special significance. >

##### 2.2 Intended audience and organization of document

< Describe the intended readership of the document. Describe how the document is organized. >

### 2.3 References

< List any related documents, e.g. user interface style guides, contracts, standards, use case documents, vision and scope document. >

## 3 Scope

< Describe the perspective, users, benefits and standards affected (if any). >

### 3.1 Perspective

< Describe the context and origin of the business requirement, e.g. state whether this request affects some products or services, and whether it replaces existing standards or is a new, self-contained standard. >

### 3.2 User profiles (characteristics)

< Identify the various user groups, DOs, etc. that you anticipate will use this standard. User groups may be differentiated based on frequency of use, subset of product functions used, technical expertise or experience. Describe the pertinent characteristics of each user group. Certain requirements may pertain only to certain user groups. For this standard, distinguish user groups most affected from those less affected. >

### 3.3 Added value and benefits

< Identify the expected benefits. >

### 3.4 Impacts on existing products/services/standards

< Identify the impacts on the existing environment. >

### 3.5 Time frame

< Specify the time frame envisioned for implementation. >

## 4 Business expectations

< Provide a short description of the requirements and indicate whether they are of high, medium or low priority. You could also include ratings for specific components, such as benefit, penalty, cost and risk (each rated on a relative scale from a low of 1 to a high of 9). >

### 4.1 Business alignment

| <i>Strategic business goals and objectives</i> | <i>Additional information</i> |
|------------------------------------------------|-------------------------------|
| <b>Goal 1:</b>                                 |                               |
| Objective 1.1:                                 |                               |
| Objective 1.2:                                 |                               |
| <b>Goal 2:</b>                                 |                               |
| Objective 2.1:                                 |                               |
| Objective 2.2:                                 |                               |
| <b>Goal 3:</b>                                 |                               |
| Objective 3.1:                                 |                               |
| Objective 3.2:                                 |                               |

4.2 *Legislative and regulatory alignment*

| <i>Legislation/regulations</i> | <i>Additional information</i> |
|--------------------------------|-------------------------------|
| A.                             |                               |
| B.                             |                               |
| C.                             |                               |

4.3 *Business requirements*

| <i>Requirement</i><br>< <i>The nested requirement IDs below are for illustrative purposes only. Adjust as required.</i> > | <i>Priority</i> | <i>Additional information</i> |
|---------------------------------------------------------------------------------------------------------------------------|-----------------|-------------------------------|
| <b>Functionality</b>                                                                                                      |                 |                               |
| RQ 1:                                                                                                                     |                 |                               |
| RQ 1.1:                                                                                                                   |                 |                               |
| RQ 2:                                                                                                                     |                 |                               |
| RQ 2.1:                                                                                                                   |                 |                               |
| <b>Interoperability</b>                                                                                                   |                 |                               |
| RQ 3:                                                                                                                     |                 |                               |
| RQ 4:                                                                                                                     |                 |                               |
| <b>Usability</b>                                                                                                          |                 |                               |
| RQ 5:                                                                                                                     |                 |                               |
| RQ 6:                                                                                                                     |                 |                               |

4.4 *Return on investment*

< Indicate the return on investment expected. >

**5 Functional and technical expectations**

5.1 *Summarize the advantages and benefits of the proposed solution*

< Summary. >

5.2 *Functions, data flow diagram and object class diagram*

< Summarize the major functions the standard must encompass. Details will be provided in section 3 above, so only a high-level summary (e.g. a bulleted list) is needed here. A depiction of the major groups of related requirements and how they relate, such as a top-level data flow diagram or object class diagram, could be provided. >

5.3 *Assumptions and dependencies*

< List any assumed factors (as opposed to known facts) that could affect the requirements. >

5.4 *Design and implementation constraints*

< Describe any items or issues that will limit the options available, e.g. corporate or regulatory policies; hardware limitations; interfaces to other applications; specific technologies, tools and databases to be used; parallel

operations; language requirements; communication protocols; security considerations; design conventions; or programming standards. >

## **6 Project management**

### *6.1 Project team and responsibilities*

< List the people involved in the project and describe the responsibilities for implementation of the work item. >

### *6.2 Deliverables*

< List the deliverables. >

### *6.3 Milestones*

< Provide the project time frame. >

### *6.4 Resources*

< List the anticipated financial cost (CHF) and human workload (man-days) to conduct the project. >

### *6.5 Constraints*

< Identify events or facts that could disrupt the project. >

## **Approval**

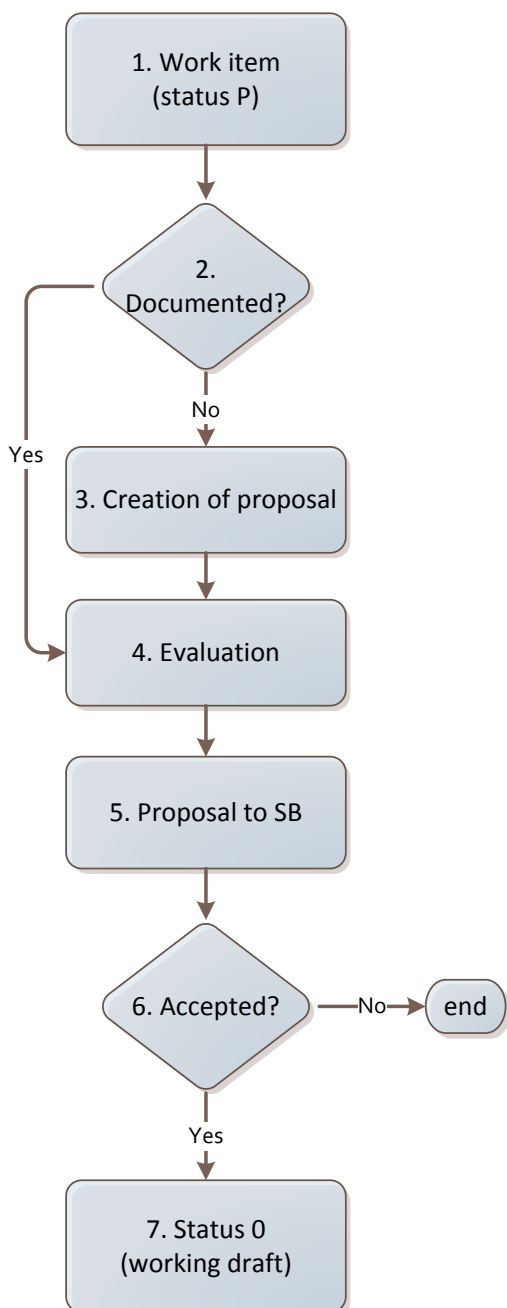
The proposal is presented to the POC. The POC reviews the proposal according to agreed criteria and decides whether it is sufficiently documented and whether the subject should be pursued for standardisation within the UPU. If this is the case, Status P is given to the proposal.

## **Next steps**

The POC then refers the work item to the SB for development towards Status 0.



### 3.6 Procedure to obtain Status 0 (Working draft)



An approved Status P document must exist.

The group working on the development of the document decide whether the standard is sufficiently documented to be proposed as a Status 0 standard.

The group creates the proposal for a standard. Information to be provided can be found in the checklist of information to be provided in an application for Status 0.

The group evaluates the proposal on the basis of the checklist of information to be provided.

The proposal (revised by a standards group of experts if necessary) is put forward to the SB for approval of Status 0.

Decision during SB Meeting.

The approved Status 0 document is published.

#### General

After acceptance by the POC, the work item proposal (Status P) is referred to the SB which is responsible for carrying out the tasks as specified in the work item proposal. The SB can request input for development from a group of experts or project team (development group) interested in developing the specification. It is then determined whether the Status P proposal already contains a full specification of the standard, and therefore included enough detail to be proposed as a Status 0 standard directly. This is done by verifying the proposal against the checklist of information to be provided in an application for Status given below. If all information necessary to obtain Status 0 is not yet available, the SB or development group needs to develop and document the proposal that contains this information. The development group evaluates the proposal against the agreed criteria, after which it is then presented to an SB meeting for approval of Status 0.

## Documentation

The proposal that is presented to the SB must consist of:

- a document containing all the mandatory information described in the checklist of information to be provided in an application for Status 0.
- a separate annex to that document, containing a complete proposed standard, which follows the standard template.

A template must be used when preparing standards. The template is provided to the author of a standards document by the Secretariat.

## Approval

After discussion by the SB, the Chair determines whether there is a consensus, characterised by the absence of sustained opposition to the proposal. If consensus cannot be obtained, approval by a two-thirds majority of SB members is sufficient for the proposal to be approved and registered as a working draft standard.

## Next steps

Once a work item proposal has been documented as a suitable working draft standard and is accepted by the SB, the working draft stage is completed. The Status 0 standard is then published. If wider consultation is judged to be necessary (i.e. with all members of the POC), this is also decided at the SB meeting. Following acceptance, the working draft standard is then included in the SB's work programme to continue the development towards Status 1.

## Checklist of information to be provided in an application for Status 0: Working draft

An overview of the activities carried out following the Status P approval of the standard.

A description of any necessary adjustments to information provided in the Status P request, such as:

- scope of the proposed standard (a precise definition of the standard. What it includes, and what it excludes);
- relationship of the proposed standard to other existing standards, to other standards related projects, or to the activities of other international bodies;
- purpose and justification of the standard, including the assessment of the technical advantages which would result from the adoption of the proposed standard.

A full assessment of the benefits and potential costs of the proposed standard covering the interests of all UPU member countries and their designated operators.

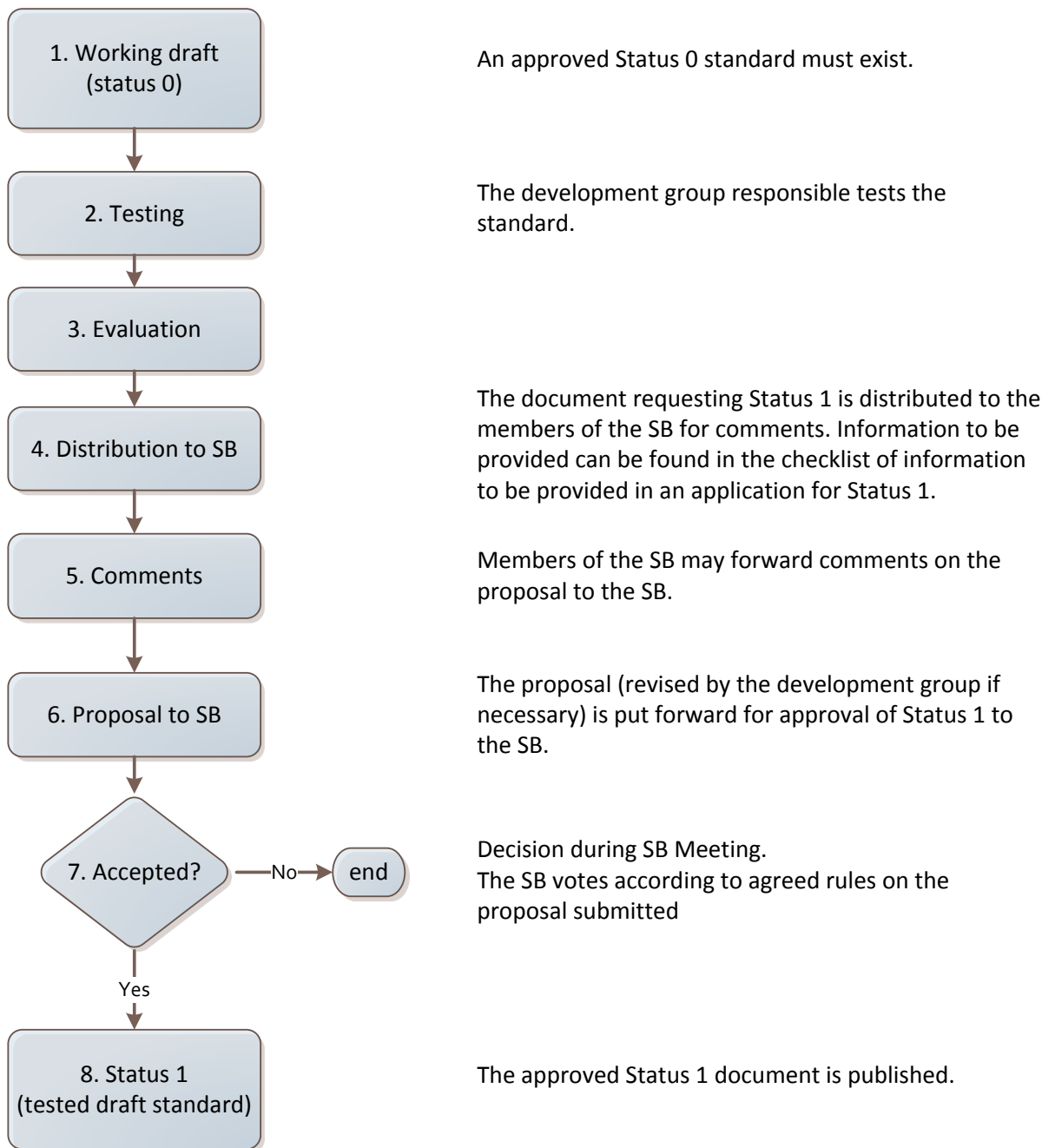
Project plan for the completion of the next phase. At least the following information must be provided:

- responsibility for the following phase;
- participants;
- deliverables;
- milestones;
- tests to be performed (including test participants and a description of the tests to be carried out);
- critical success factors;
- evaluation procedures to be used (who will perform, dates, etc.).

As a separate annex to the proposal: a complete standard, as proposed for publication.

A document template must be used when preparing a standard for presentation to the SB. The template is provided to the author of a standard by the Secretariat.

### 3.7 Procedure to obtain Status 1 (Tested draft standard)



#### General

After acceptance by the SB, the working draft (Status 0) standard is referred back to the assigned development group which is responsible for carrying out the activities for the next stage, as described in the proposal that led to Status 0. All testing, formal trials, and other technical activities indicated in the plan for the completion of the next phase as outlined in the application for Status 0 are performed at this stage according to the specified calendar.

Once the testing activities are concluded, the results are compiled and an evaluation is made by the development group. The results, the evaluation, and a final proposal to obtain Status 1 (tested draft standard) are circulated to all SB members (and observers, unless otherwise determined by the Chair). Comments on the proposal are solicited with a clear indication of the closing date for the submission of replies to the Secretariat. The tested draft standard, or a revision based on the comments received, is then presented to the SB for approval of Status 1.

## Documentation

- A document containing all the mandatory information as described in the checklist of information to be provided in an application for Status 1.
- A separate annex to that document, containing a complete proposed standard.

A template must be used when preparing standards. The template is provided to the author of a standards document by the Secretariat.

## Approval

After discussion by the SB, the Chair determines whether there is a consensus, characterised by the absence of sustained opposition to the proposal. If consensus cannot be obtained, approval by a two-thirds majority of SB members is sufficient for the proposal to be approved and registered as a tested draft standard.

The time necessary for completion of the tested draft standard phase may vary considerably depending on the subject of the standard. Therefore, no predefined time limit can be assigned for this stage.

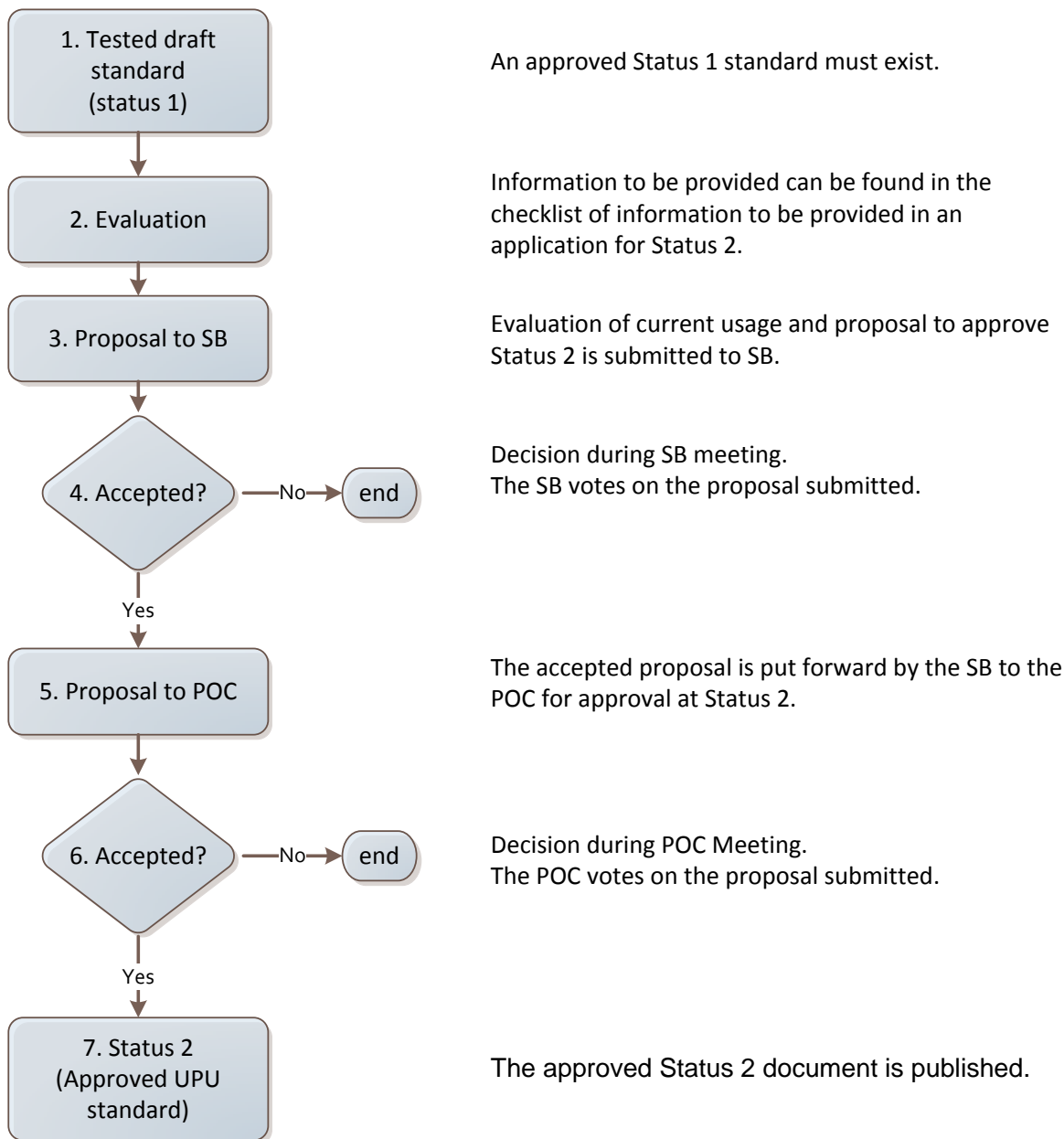
## Next steps

Once a work item proposal has been documented as a suitable tested draft standard and is accepted by the SB, the tested draft standard stage is completed. The standard is then published with its new status. Following acceptance, the tested draft standard is then included in the SB's work programme to continue the development towards Status 2.

## Checklist of information to be provided in an application for Status 1: Tested draft standard

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| An overview of the activities carried out following the Status 0 approval of the standard.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Detailed description of the testing of the standard, including details of the test: <ul style="list-style-type: none"><li>– participants;</li><li>– test criteria applied;</li><li>– results obtained;</li><li>– evaluation of the results;</li><li>– conclusions reached.</li></ul>                                                                                                                                                                                                                                                                                                                                              |
| Changes to the standard as a result of the tests carried out, resulting in: <ul style="list-style-type: none"><li>– necessary adjustments to the scope of the standard;</li><li>– necessary adjustments to the purpose of and justification for the standard, including:<ul style="list-style-type: none"><li>• the technical advantages which would result from the adoption of the proposed standard;</li><li>• the cost-benefit analysis covering the interests of all UPU member countries and their designated operators;</li></ul></li><li>– necessary adjustments to the detailed specification of the standard.</li></ul> |
| A description of who is going to monitor the standard and investigate its usage in order to move the standard forward to Status 2. At least the following information should be provided: <ul style="list-style-type: none"><li>– responsibility for the following phase;</li><li>– evaluation procedures to be followed (who will perform, dates, etc.);</li><li>– deliverables.</li></ul>                                                                                                                                                                                                                                       |
| As a separate annex to the proposal: a complete standard, as proposed for publication.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| A document template must be used when preparing a standard for presentation to the SB. The template is provided to the author of a standard by the Secretariat.                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |

### 3.8 Procedure to obtain Status 2 (Approved UPU standard)



#### General

This final status can be acquired after a period of time in which the standard has been available for use by any interested party. During this period, the usefulness and stability of the standard must be proven. If the standard turns out to be stable for a reasonable period of time (minor changes may occur), Status 2 can be requested by the development group responsible for the standard.

#### Documentation

The proposal presented to the SB must consist of:

- a document containing all the mandatory information described in the checklist of information to be provided in an application for Status 2;
- a separate annex to that document, containing a complete proposed standard.

A template must be used when preparing standards. The template is provided to the author of a standards document by the Secretariat.

### **Approval**

The final proposal is placed on the agenda of the SB meeting. A formal vote by the SB is taken. Endorsement by a two-thirds majority of SB members is required for the proposal to be accepted. The proposal cannot be accepted if one fourth of the votes cast are negative. If endorsed by the SB, the proposed UPU standard is presented to the POC for approval. The time necessary for completion of the approved UPU standard phase may vary considerably depending on the subject of the standard. Therefore, no realistic time estimate can be made for this stage.

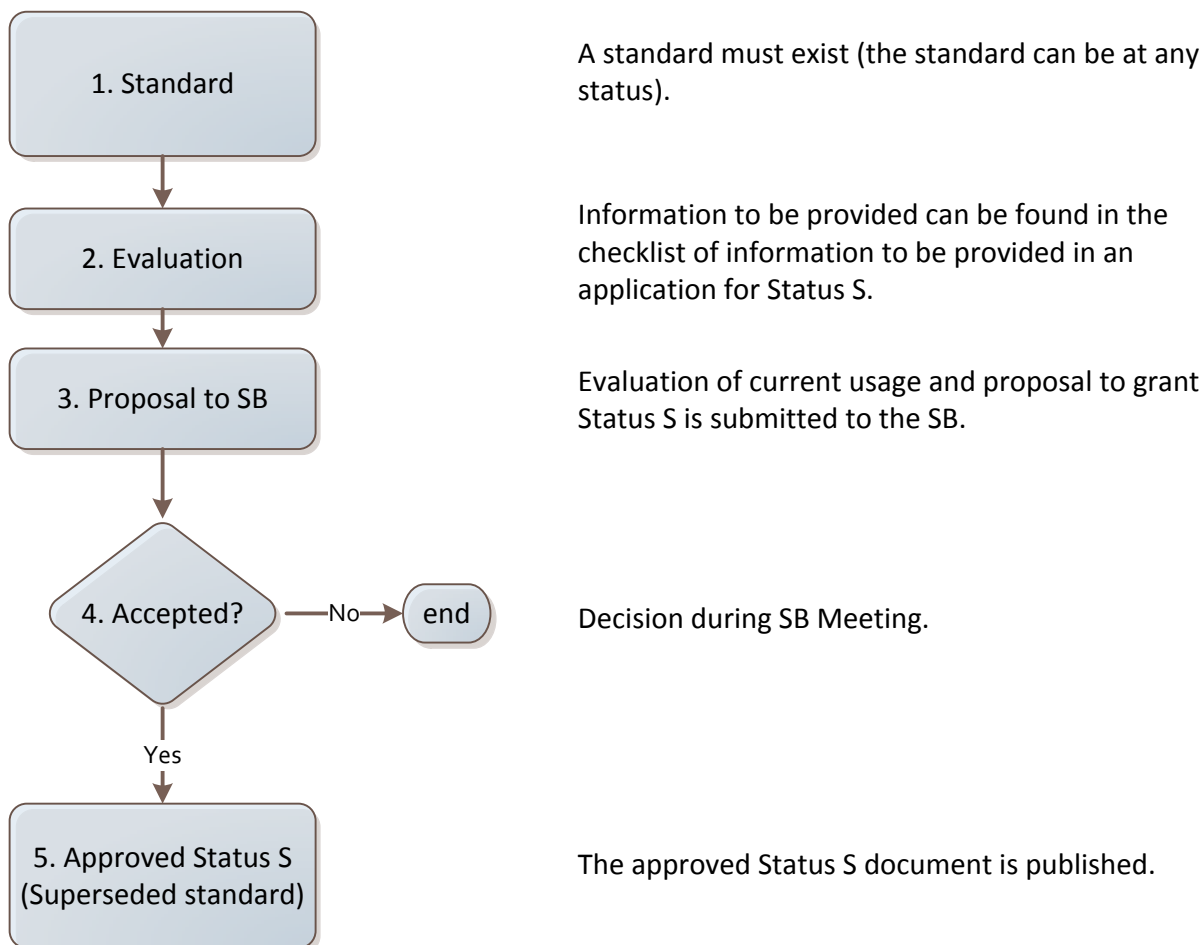
### **Publication**

When a tested draft standard is accepted by the POC to become an approved UPU standard, the standard is republished as a Status 2 standard by the Secretariat.

### **Checklist of information to be provided in an application for Status 2: Approved UPU standard**

|                                                                                                                                                                                                                                                                               |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| An overview of the activities carried out following the Status 1 approval of the standard.                                                                                                                                                                                    |
| An overview of the usage of the standard. At least the following information should be provided: <ul style="list-style-type: none"><li>– Who is using the standard.</li><li>– What has been the experience with the standard.</li><li>– How stable is the standard.</li></ul> |
| As a separate annex to the proposal: the complete standard, as proposed for publication.                                                                                                                                                                                      |
| A document template must be used when preparing a standard for presentation to the SB. The template is provided to the author of a standard by the Secretariat.                                                                                                               |

### 3.9 Procedure to obtain Status S (Superseded standard)



#### General

If it becomes apparent that a standard has been superseded, a request can be made to the SB to assign Status S to the older standard. The superiority of another, newer standard must be demonstrated in terms of use and usefulness before Status S can be granted to the older standard.

#### Documentation

The proposal presented to the SB must consist of a document containing all the mandatory information as described in the checklist of information to be provided in an application for Status S. It is not strictly necessary to include a complete proposed standard if the proposal only requests a change in the status of the standard to S. Typically, a request to give Status S would be part of the presentation of a new standard being proposed to supersede the existing standard.

#### Approval

After discussion by the SB, the Chair determines whether there is a consensus, characterised by the absence of sustained opposition to the proposal. If consensus cannot be obtained, then a formal vote takes place. The voting rules to be applied are the rules of the current status of the standard (i.e.: if a Status 1 standard is proposed to be superseded, then the voting rules for a Status 1 standard apply).

## Next steps

Once Status S is approved, the Secretariat will republish the standard with the updated status. The standard, although still completely documented as a UPU standard, will be clearly marked as being superseded.

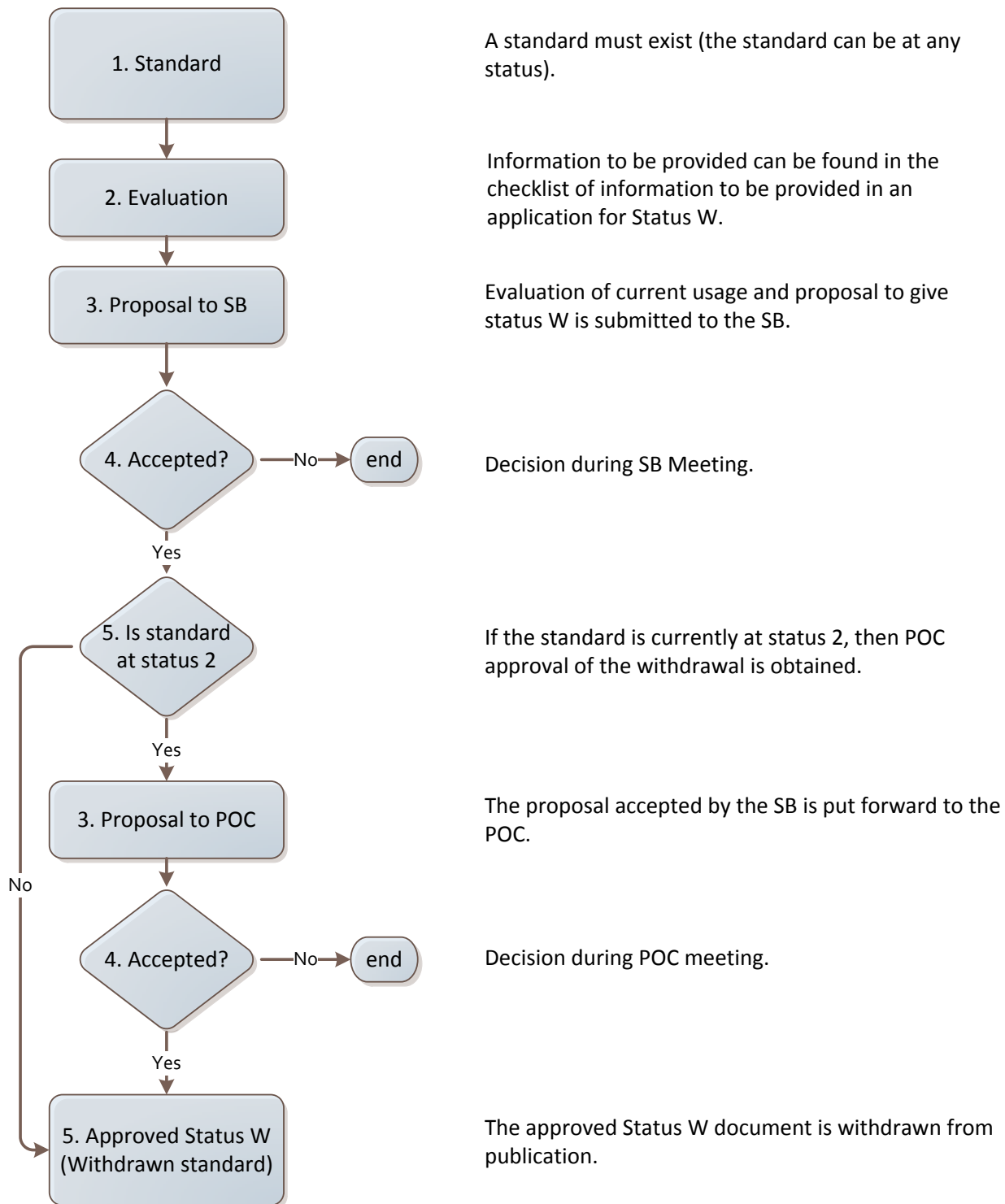
Checklist of information to be provided in an application for Status S: Superseded standard

A description of the reasons for requesting the status modification. At least the following information should be provided:

- an explanation of the reasons why the standard should no longer be recommended for implementation.
- an overview of the alternatives that exist for the standard that is to be declared superseded.
- a justification of the benefits of using these alternatives.
- a description of the standard which is proposed to be recommended for implementation instead of the standard for which Status S is being requested.



### 3.10 Procedure to obtain Status W (Withdrawn standard)



#### General

If it becomes apparent that a standard has not been used for some time and/or serves no practical purpose, a request can be made to the SB to assign the standard Status W.

## Documentation

A thorough evaluation, containing all the information shown in the checklist in table 3.6, must be presented to the SB as the basis for assigning Status W to a particular standard.

## Approval

The SB takes a formal vote. The voting rules to be applied are the rules of the current status or status it had before Status S, i.e. if a Status 1 standard is proposed to be withdrawn, then the voting rules for a Status 1 standard apply). If approved by the SB, and ONLY if the standard was originally at Status 2, the proposed withdrawal of the UPU standard is presented to the POC for approval .

## Publication

This decision concludes the life of a UPU standard and it is withdrawn from publication. It shall continue to be noted in the “Catalogue of UPU standards”. This is done in order to ensure that the sequential numbering range of UPU standards remains intact if standards are withdrawn.

### Checklist of information to be provided in an application for Status W: Withdrawn standard

A description of the reasons for requesting the status modification of the standard. At least the following information should be provided:

- An explanation of the reasons why the standard should be withdrawn as a standard.
- An evaluation showing how the standard no longer serves any useful purpose.

## 4 Numbering and version control of standards

### 4.1 Introduction

The maintenance of UPU standards will generate over time a considerable number of documents describing and relating to standards. The role of the Secretariat is to record all proposals for new and amended standards as well as the documentation of the agreed versions. The registration procedure is based on the numbering system described below. Once a reference number has been given to a standard, it must not be used again for a standard with a different content and/or title.

### 4.2 Numbering of UPU standards

Standards have an identifier made up of the following components:

- a reference number, composed of two sub-parts:
  - a prefix, indicating the type of standard: possible values are ‘S’ for a technical standard and ‘M’ for an EDI messaging standard;
  - a sequence number identifying the particular standard;
- (optional component) a lower-case letter identifying a sub-part of the standard;
- a hyphen (“-”), separating reference and version number;
- a version number identifying different versions of the same standard.

*Example: S10–4: version 4 of the description of the technical standard with reference number S10*

*M17–2: version 2 of the description of the EDI Messaging Standard M17*

*S19a–1: version 1 of part a of the technical standard S19*

*S19b–2: version 2 of part b of the technical standard S19*

### 4.3 Assignment of standard reference numbers

Reference numbers will be handed out in sequential order of acceptance of the standards and be associated only with that particular standard. If a standard is no longer valid, the number will no longer be used. This means that in time gaps will appear in the sequence of accepted standards numbers. For a complete overview of all numbers issued, please refer to the “Catalogue of UPU standards”, which shows all standards in sequential order, including any withdrawn standards/numbers.

### 4.4 Standard sub-parts

Long standards may be divided into parts, which may be updated individually. The sub-parts of a standard are labelled with a lower-case letter, in alphabetical order, starting at “a”. Over time, some parts may be withdrawn while others still exist, resulting in gaps among sub-parts.

Important restriction: sub-parts may only be used for technical standards.

#### **4.5 Version control of standards**

When an existing standard needs to be updated or replaced, the SB (or the Publications Editorial Board, if so designated) must decide, on a case-by-case basis, to either:

- issue a new version of the existing standard that supersedes the old version or necessitates its withdrawal;
- or
- issue a new standard altogether.

Once a standard number (i.e. an “S”/“M” number) has been assigned, it is associated with that particular standard and any updates to that standard will mean a change in its version number (i.e. S56–1; S56–2 or M40–1; M40–2).

If a new standard is established, it will be assigned a new number altogether. This can be an entirely new standard or a standard which describes something which already exists but is a significant change such as an entirely new basis for a standard.

#### **4.6 Issuance of new standards**

The determining factor for whether or not a new standard is issued is coexistence. If a new standard means that the existing version can be deleted, the new standard will keep the same standard number but be assigned a new version number. If the current version of the standard cannot be deleted, i.e. the old version needs to coexist alongside the new one, then a new standard number will be given to the standard. In this way, either one version of a standard replaces an earlier version, or the standards coexist (with different standard numbers).

#### **4.7 Retiring older standards**

As standards are no longer needed, they will be assigned status “W”, meaning that the standard has been withdrawn altogether. Withdrawn standards shall be noted in the “Catalogue of UPU standards”. In this way, there will be some reference to an extinct standard.

When an existing standard obtains Status 2, the SB may consider whether a recommendation should be made to phase out any earlier standard on the same subject.

#### **4.8 Numbering of other documents**

The numbering system described above covers standards only and those documents assigned a sequential number by the Secretariat, i.e. proposals for new standards. Other documents related to standardisation work, such as requesting a modification to an existing standard, etc., are not covered by this numbering system. If appropriate, other documents will follow the existing numbering system for UPU documentation for various groups.

## **5 Publication of UPU standards**

### **5.1 Introduction**

UPU standards are regularly reviewed in order to ensure that they contain the most up-to-date information. All standards that have acquired a particular status in the UPU standards approval procedure (Status 0, 1, 2, S) are published. Reference to the most recent version published is found in Part I List of Standards in the “Catalogue of UPU standards”. Those with Status W (Withdrawn standard) are not published but a reference to them is made in the catalogue to avoid confusion. Work items with Status P are also not published in their entirety but are listed together with a brief description in the catalogue.

### **5.2 Publication of UPU standards**

In principle, updates to UPU standards follow the cycle of meetings of the SB which approves all standardisation proposals. Updates to UPU standards are therefore normally published four times a year.

Because UPU standards change regularly, it is very important that standards users not only purchase a copy of the standards, but also subscribe to their updates. Users can thus be assured of having the latest complete version available. Each time a standard is updated, users will be notified through an International Bureau circular letter and via the UPU website. This notification will alert countries (both subscribers and non-subscribers) that an update has been published and reminds users to keep their documents current. If no update is necessary after a SB meeting, a notification will be issued to that effect.

### **5.3 Maintenance of UPU standards**

UPU standards are published in their entirety. When standards are first purchased in the paper version, the publication "General information on UPU standards" and the "Catalogue of UPU standards" along with a complete set of standards, are provided. Thereafter, subscribers will receive only the updated standards and an update of the “Catalogue of UPU standards” (if necessary). If the standards are purchased electronically, each update will consist of all standards along with the general information and catalogue.

It is the responsibility of users to ensure that they have the most current version of any standard. This can be done by referring to the “Catalogue of UPU standards”, which is also available on the UPU website ([www.upu.int](http://www.upu.int)).

# Annex 1

## MoU between UPU and CEN

### MEMORANDUM OF UNDERSTANDING

Made by and between the

**UNIVERSAL POSTAL UNION**, a specialised agency of the United Nations, having its Headquarters at Welpoststrasse 4, 3000 Berne 15, Switzerland ("**UPU**").

And the

**COMITE EUROPEEN DE NORMALISATION**, an international non-profit association under Belgian law, having its registered office at Avenue Marnix 17, B-1000 Brussels, Belgium, ("**CEN**").

### INTRODUCTION

#### The parties, recognising:

- 1 the competence of the Universal Postal Union to develop world-wide postal standards to enable better interoperability between postal networks and to serve the interests and business objectives of the postal administrations of the UPU and their partners and customers;
- 2 the competence of CEN to develop European postal standards to enable better interoperability between postal networks and better postal quality of service as provided by the 97/67 EC Postal Directive and the mandates it has received from the European Commission;
- 3 the need for mutual recognition between UPU and CEN according to their respective missions and powers in the technical standardization-related activities in relation to the postal sector;
- 4 the involvement of both organisations in common areas as well as in distinct areas of technical standardization work;
- 5 the growing need for common standards within the postal world, which should, wherever possible and appropriate, be adopted within both UPU and CEN, while avoiding copyright and intellectual property rights (IPR) limitations and, as far as possible, any formatting and interpretation differences;
- 6 the need to closely monitor and control the timely development and approval of postal standards;
- 7 the need to involve, in the development of postal standards, all parties concerned, including postal operators, relevant industry players, consumers and regulators/ministries;
- 8 the standards approval processes that are in place within the respective organisations and which facilitate the development and formal recognition of any standards that are developed (see Annex – table 1).

**have agreed** to strengthen information exchange and co-operation between them as follows:

#### 1 Information through Liaison Status

- 1.1 Each party hereby grants observer status to the other, authorising the other to participate, without voting rights, in all its relevant meetings and events in relation to standardization within the postal sector.

- 1.2 On request, each party will make all reasonable endeavours to secure the participation of the other in any postal standardization activities which it may conduct in co-operation with a third party.
- 1.3 Each party shall keep the other informed of its work in the field of postal standardization through the communication of relevant documentation, in particular all proposals for allocation of work item status and all standards proposals which are circulated for comment and/or approval.
- 1.4 Each party shall provide the other with reasonable opportunity to comment on drafts and proposed standards, shall formally review such comments and shall advise the other of their disposition.
- 1.5 The establishment and maintenance of such liaison is the responsibility of the respective CEN/TC and UPU Standards Board secretariats.

## **2 Co-operation on Standards Development**

### **2.1 Modes of co-operative development**

Where both parties express an interest in a particular area of work within the field of postal standardization, the parties shall agree the mode of co-operation to be applied in the work area concerned.

This may be:

- Development led by CEN with UPU participation (See clause 2.2 and Annex – Table 2)
- Development led by UPU with CEN participation (See clause 2.2 and Annex – Table 3)
- Independent development, under which the parties independently develop standardisation proposals in the area concerned (See clause 2.3).

### **2.2 Developments led by one party**

- 2.2.a Developments led by one party shall be conducted in accordance with that party's rules and procedures, taking into account the requirements of the other party. The other party shall be entitled to appoint a reasonable number of experts to participate fully in the development work, subject to such experts' agreement to the lead party's relevant regulations regarding such participation.
- 2.2.b The lead party shall draw up plans and timetables for the execution of the work, taking into account the time needed by the other party, and shall submit these for consideration by the Contact Committee to be set up in accordance with clause 5.
- 2.2.c In addition to the provisions of clause 1, the lead party shall make regular reports on the progress of the work. In case of non-observance of the target time table, the other party shall be entitled to revert to independent development after due consultation with the Contact Committee.
- 2.2.d Within any resulting standard, the lead party shall include a reference to the contribution made by the other party, together with a stipulation that any proposal for changes should be communicated to the other party in accordance with clause 1.
- 2.2.e The deliverables produced in accordance with the lead party's process [e.g. work item/ Status P standard, prEN / Status 0 standard, EN / Status 1 standard, revised EN/ Status 2 standard] shall be submitted to the other party for it to consider their adoption in accordance with clause 3.

### **2.3 Independent development**

- 2.3.a Independent development shall apply only in cases in which, after consideration in the Contact Committee, the parties are unable to agree the allocation of a leadership role to one of the parties.

- 2.3.b Notwithstanding the independent nature of the development process, the provisions of Clause 1 shall apply and the parties shall make all reasonable endeavours to ensure that the resulting standards are compatible at least in so far as their application within the European Union and European Free Trade Association is concerned.
- 2.3.c Either party may decide, at any time, to abandon its independent approach and to participate in the development work under the other's leadership, in accordance with Clause 2.2.

### **3 Adoption by one party of standards developed by the other**

- 3.1 Postal sector standards developed by one party may, and in the cases described in clause 2.2 shall, be considered for adoption by the other party. Such consideration shall be in accordance with the prospective adopting party's rules and procedures.
- 3.2 To facilitate such adoption, each party is hereby granted the right to reference or incorporate, in its standards publications, in the original language(s) or in translation, part of or the entire contents of the other's postal sector standards, as determined by the parties based on the recommendations of the Contact Committee. Except as otherwise agreed on a case by case basis, such right is granted free of charge and any income from publications shall accrue to the publisher.
- 3.3 The use of such right shall be subject to appropriate acknowledgement and clear documentation of any deviation from the source text.
- 3.4 Each party recognises that the other party retains copyright and exploitation rights in its own publications whatever the origin of their content.
- 3.5 Wherever reasonably possible, the parties shall give preference to the use of an 'endorsement notice' procedure, under which an adopted standard is either only referred to or has its content published in its entirety.
- 3.6 To facilitate the use of the endorsement procedure by CEN, UPU agrees to adopt, as soon as reasonably practicable, ISO/IEC Directive Part 3 for the structure and drafting of its standards. For pre-existing standards, the Directive will be adopted as from the date of next review.
- 3.7 Any translation made in accordance with clause 3.2 shall be prepared at the cost of and under the responsibility of the translating party. Except as otherwise agreed on a case by case basis, such translation shall be provided free of charge to the other party.
- 3.8 Where one party decides not to adopt one of the other party's standards after considering such adoption under this clause, the reasons for such non-adoption shall be communicated to the other party together, if appropriate, with recommendations for revision of the standard concerned.

### **4 Maintenance of standards**

- 4.1 Where a standard published by one party is adopted by the other, the party responsible for the original development of the standard shall retain responsibility for review and maintenance of the specification. The other party may request the initiation of a review, which request shall not unreasonably be rejected.
- 4.2 Prior to the conduct of a review, the reviewing party shall inform the other party and invite it to participate in the review process.
- 4.3 Modified versions of standards, prepared by one party in accordance with this clause, shall be submitted to the other party for consideration of their adoption in accordance with clause 3.



## **5 Supervision of the Memorandum of Understanding – Contact Committee**

5.1 A Contact Committee, consisting of six members, shall be charged with overseeing the proper implementation and execution of this Memorandum of Understanding. Each party shall appoint three members.

Observers (EC, EFTA,...) may be invited, subject to agreement by both parties.

5.2 The Contact Committee shall consider and make recommendations to the two parties regarding:

- progress in postal services standardization,
- new areas in which postal standardization work is needed,
- potential common areas of work,
- the scope of application of this Memorandum of Understanding and, in particular, the work items and standards falling under its provisions,
- any issue or dispute which may arise at a working level, in particular with regard to the allocation or timely execution of leadership roles, and the number of experts appointed in accordance with clause 2.2.a,
- any additional measure needed to ensure efficient and proper co-ordination and planning,
- any necessary modification to the “free of charge” basis referred to in clauses 3.2 and 3.7,
- the implementation of the present Memorandum of Understanding and any improvement or revision required.

5.3 The Contact Committee shall, as far as reasonably possible, conduct its business by electronic mail but shall meet at least once per year alternatively in Berne and in Brussels. The first such meeting shall take place within three months after the signing by both parties of the present Memorandum of Understanding. Additional meetings may be called at the initiative of either of the two parties.

5.4 Each party's Secretariat shall ensure that its decisions and actions based on the recommendations of the Contact Committee are taken and communicated to the other party in a timely manner.

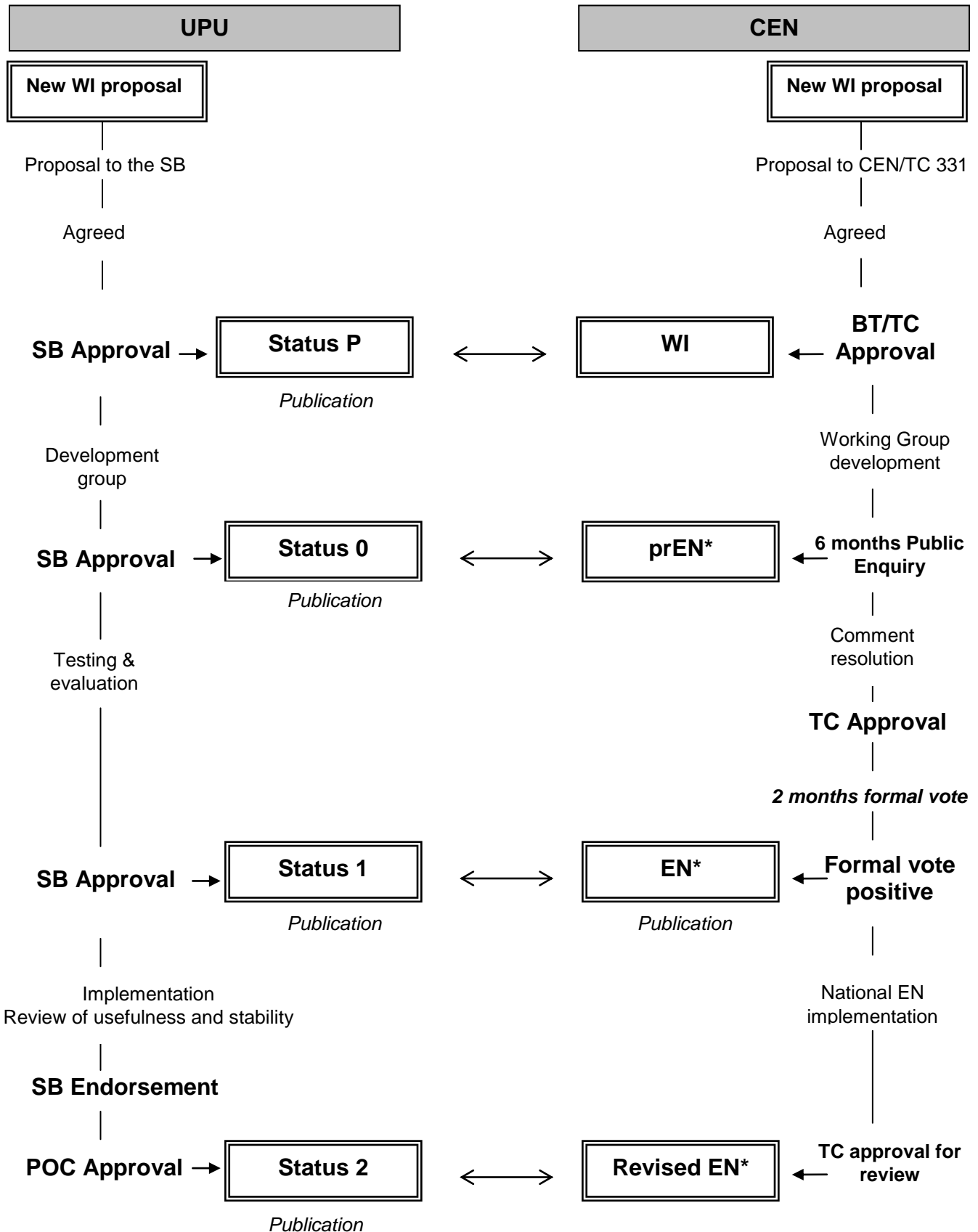
## **6 Termination of the Memorandum of Understanding**

This Memorandum of Understanding shall continue in force unless and until terminated by one of the parties. Notice of termination shall be given in writing and shall be effective six calendar months later. The reasons for such notification shall preferably constitute the subject of an extra-ordinary meeting of the Contact Committee. Termination shall not affect the right of either party to continue to make use of the other's standards, as provided in clause 3, when such use precedes the giving of notice of termination.

7 Nothing in this Memorandum of Understanding shall limit the right of either party, acting in accordance with its own rules and procedures, to adopt or reject any standardization proposal put before it.

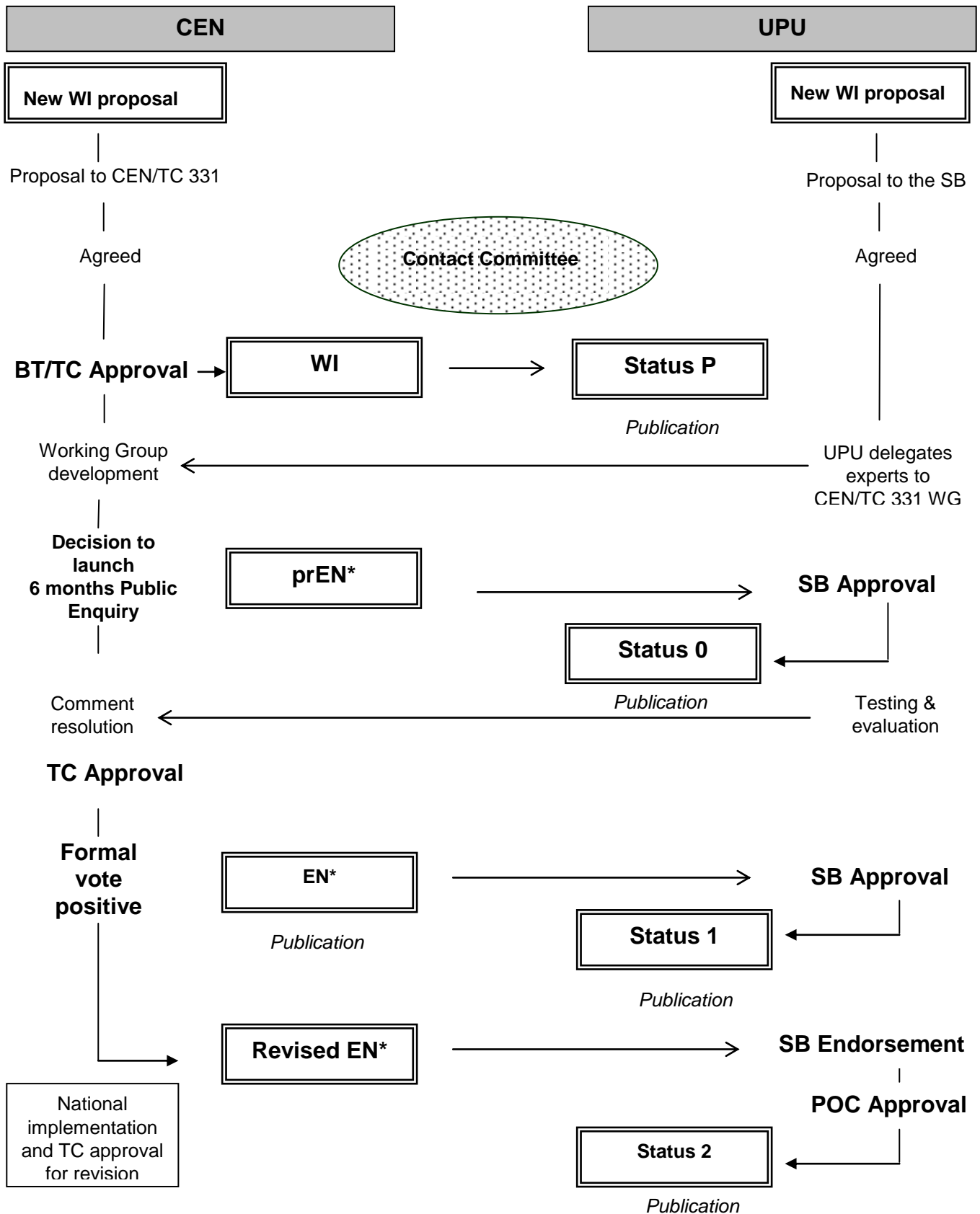
SIGNED IN TWO ORIGINAL COUNTERPARTS AS MEMORANDUM OF THE PARTIES' UNDERSTANDING ON 22 OCTOBER 2001 IN BERNE.

**Table 1:  
Process and deliverable comparison**



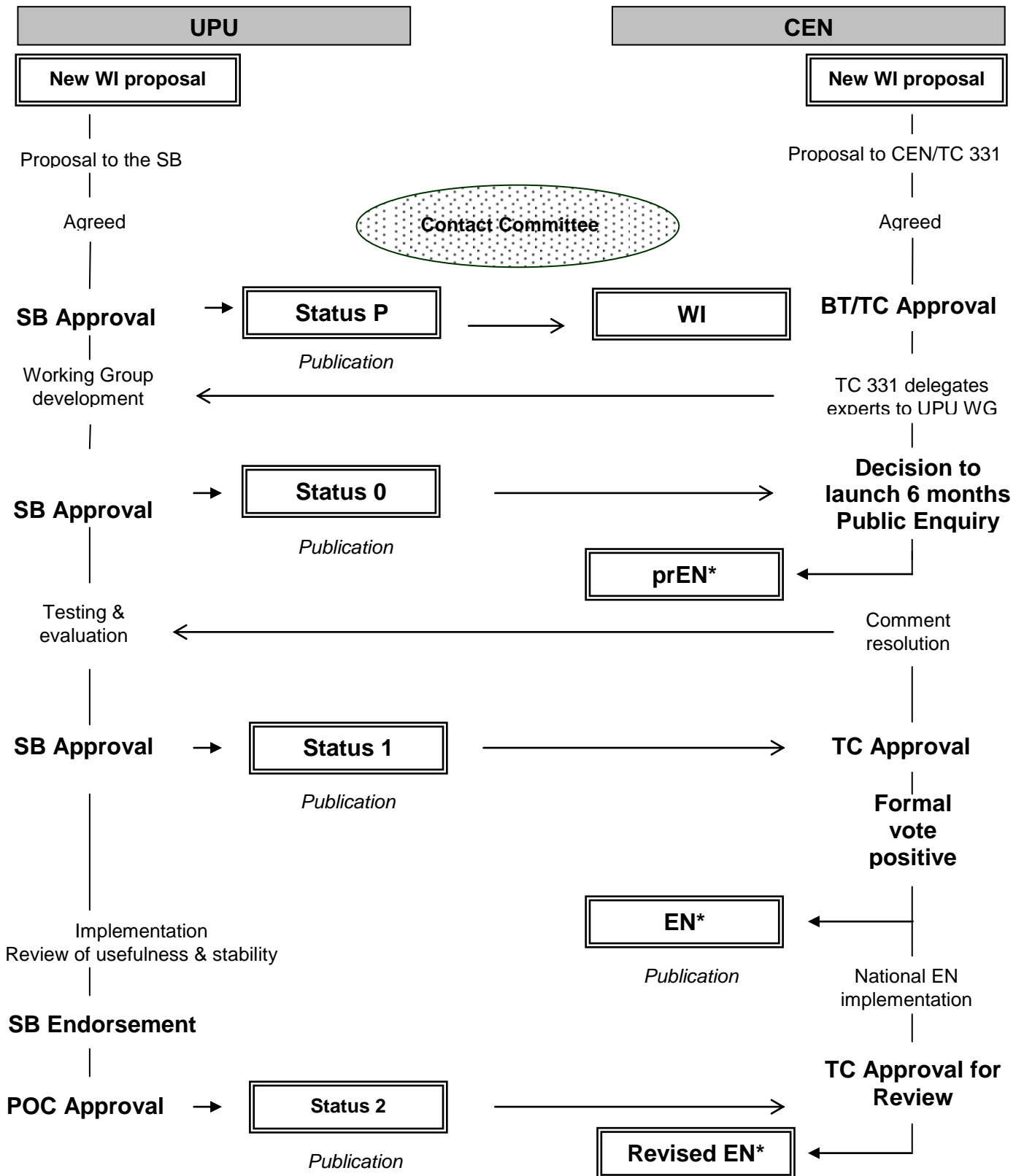
\* Other CEN deliverables (e.g. CEN/TS) to be detailed and documented later

Table 2:  
CEN Lead



\*Other CEN deliverables (e.g. CEN/TS) to be detailed and documented later

**Table 3:  
UPU Lead**



\* Other CEN deliverables (e.g. CEN/TS) to be detailed and documented later.

## Annex 2

# Cooperation Agreement between UPU and ISO

### COOPERATION AGREEMENT

(Hereinafter the “Cooperation Agreement”)

between

the *International Organization for Standardization (ISO)*<sup>1</sup> and

the *Universal Postal Union (UPU)*<sup>2</sup>

The UPU and ISO may also be individually referred to as “Party”, or collectively as “Parties”.

### INTRODUCTION

#### The Parties, recognising:

- 1 the scope of the Universal Postal Union to secure the organization and improvement of the postal services;
- 2 the mission of the Universal Postal Union to facilitate communication by guaranteeing the free circulation of postal items over a single postal territory composed of interconnected networks and encouraging the adoption of fair common standards and the use of technology, ensuring the cooperation and interaction among stakeholders and ensuring the satisfaction of customers’ changing needs;
- 3 the role of ISO in developing and promulgating voluntary international standards in all fields except the electrical, electronic engineering and telecommunications fields, wherein these fields are addressed by, or in collaboration with, the International Electrotechnical Commission (IEC) and the International Telecommunication Union, respectively;
- 4 the need for mutual cooperation between UPU and ISO according to their respective missions and powers in technical standardization activities related to the postal sector;
- 5 the involvement of both Parties in common areas as well as in distinct areas of technical standardization activities;
- 6 the growing need for common international standards within the postal world, which should, wherever possible and appropriate, be adopted within both the UPU and ISO;
- 7 the need to closely monitor and control the timely development and approval of international postal standards;
- 8 the need to engage and involve all concerned stakeholders in the development of international postal standards, including postal operators, governmental authorities, relevant industry players and consumers;
- 9 the standards approval processes that are in place within the respective Parties and which facilitate the development of international standards;

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<sup>1</sup> ISO is a worldwide federation of national standards bodies represented by its Secretary-General, having its registered office at Chemin de Blandonnet 8, 1214 Vernier, Geneva, Switzerland (hereinafter “ISO”).

<sup>2</sup> UPU is a specialized agency of the United Nations represented by the Director General of its International Bureau, having its headquarters at Weltpoststrasse 4, 3015 Berne, Switzerland (hereinafter the “UPU”).

**have agreed** to strengthen information exchange and cooperation on standardization activities between the Parties as follows:

## **1 Information through Liaison Status**

Each Party shall be invited to participate in the meetings of the relevant bodies of the other Party, in compliance with the respective rules of procedure of such body, and without voting rights.

- 1.1 Upon request of the other Party, each Party will make all reasonable endeavours to secure the participation of the other Party in any postal standardization activities which the Party concerned may conduct in cooperation with a third party.
- 1.2 Each Party shall keep the other Party informed of its work in the field of postal standardization through due communication of the relevant documentation, in particular all proposals for allocation of work item status and all standards proposals which are circulated by the Party concerned for comment and/or approval.
- 1.3 Each Party shall provide the other Party with reasonable opportunity to comment on drafts and proposed standards, formally review such comments as sent by the other Party, as well as advise the other Party of their disposition.
- 1.4 The establishment and maintenance of such liaison is the responsibility of the respective ISO committee and the UPU Programme for Standards and Certification. A list of the contact persons of each Party is attached to the present agreement.

## **2 Cooperation on Standards Development**

### **2.1. Modes of cooperative development**

Where both Parties express an interest in a particular area of work within the field of postal standardization, the Parties shall mutually agree on the mode of cooperation to be applied in the area of work concerned.

Such modes of cooperative development may be as follows:

- Developments led by ISO with UPU participation (see clause 2.2);
- Developments led by the UPU with ISO participation (see clause 2.2);
- Independent developments under which the Parties independently develop standardization proposals in the area concerned (see clause 2.3).

### **2.2 Developments led by one Party with participation of the other Party**

- 2.2(a) Developments led by one Party shall be conducted in accordance with that Party's rules and procedures, taking into account, to the maximum possible extent, the requirements of the other Party. The other Party shall be entitled to appoint a reasonable number of experts to participate fully in the development work, subject to such experts' agreement to the lead Party's relevant rules and procedures regarding such participation.
- 2.2(b) The lead Party shall draw up plans and timetables for due execution of the development work, taking into account, to the maximum possible extent, the time needed for participation by the other Party, and shall submit such plans and timetables for consideration by a "Contact Committee" to be set up in accordance with clause 5 below.
- 2.2(c) In addition to the provisions of clause 1 above, the lead Party shall make regular reports on the progress of the development work. In case of non-observance of the target plans and timetables, the other Party shall be entitled to revert to independent development after due consultation with the Contact Committee.
- 2.2(d) For any resulting standard, the lead Party shall include an explicit reference to the contribution made by the other Party, together with a stipulation that any proposal for changes should be communicated to the other Party in accordance with clause 1 above.
- 2.2(e) Any resulting standards produced in accordance with the lead Party's rules and procedures shall be submitted to the other Party for it to consider their adoption in accordance with clause 3 below.

### 2.3 Independent developments

- 2.3(a) Independent development shall apply in cases in which, after due consideration in the Contact Committee, the Parties are unable to agree on the allocation of a leadership role to one of the Parties.
- 2.3(b) Notwithstanding the independent nature of the development process, the provisions of clause 1 shall apply, and the Parties shall make all reasonable endeavours to ensure that the resulting standards are fully compatible with each other.
- 2.3(c) Either Party may decide, at any time, to abandon its independent approach and participate in the development work under the other Party's leadership, subject to the provisions of clause 2.2 above.
- 2.4 In any case, nothing in this Cooperation Agreement shall limit the right of either Party, acting in accordance with its own rules and procedures, to adopt or reject any standardization proposal put before it.

### **3 Adoption by one Party of standards developed by the other Party**

- 3.1 International postal standards developed by one Party may, and in the cases described in clause 2.2 above shall, be considered for adoption by the other Party. Such consideration shall nevertheless be subject to the prospective adopting Party's rules and procedures.
- 3.2 To facilitate such adoption, each Party is hereby granted the right to reference or incorporate, in its standards publications, in the original language(s) or in translated form, part of or the entire content of the other Party's international postal standards, as jointly agreed upon and determined by the Parties based on the recommendations of the Contact Committee. Except as otherwise agreed on a case-by-case basis, such right is granted free of charge and any income from publications shall accrue to the Party and/or publisher concerned.
- 3.3 The use of such right by one Party shall be subject to prior written consent of the other Party, and shall be subject to appropriate acknowledgement and clear documentation of any deviation from the source text of the standard concerned.
- 3.4 Each Party shall retain all copyrights and related intellectual property rights in its own publications.
- 3.5 Wherever reasonably possible, the Parties shall give preference to the use of normative referencing, under which an adopted standard is only referred to or has its content published in its entirety without modifications.
- 3.6 Any translation made in accordance with clause 3.2 above shall be prepared at the cost of and under the responsibility of the translating Party. Except as otherwise agreed on a case-by-case basis, such translation shall be provided free of charge to the other Party.
- 3.7 Where one Party decides not to adopt one of the other Party's standards after considering such adoption under this clause, the reasons for such non-adoption shall be communicated to the other Party together, if appropriate, with recommendations for revision of the standard concerned.

### **4 Maintenance of standards**

- 4.1 Where a standard published by one Party is adopted by the other Party, the Party responsible for the original development of the standard shall retain responsibility for review and maintenance of such standard's specifications. The other Party may request the initiation of a review of a standard's specifications; such request for review shall not be unreasonably rejected by the Party responsible for the original development of the standard.
- 4.2 Prior to the conduct of a review, the reviewing Party shall inform the other Party and invite the latter to participate in the review process.
- 4.3 Modified versions of standards prepared by one Party in accordance with this clause, shall be submitted to the other Party for consideration of their adoption in accordance with clause 3 above.

## **5 Contact Committee**

- 5.1 A Contact Committee consisting of 6 (six) members shall be charged with overseeing the proper implementation and execution of this Cooperation Agreement. Each Party shall respectively appoint 3 (three) members for the Contact Committee.
- 5.2 The Contact Committee shall consider and make recommendations to both Parties on the following matters:
- (a) progress in postal services standardization;
  - (b) new areas in which postal standardization work is needed;
  - (c) potential common areas of work;
  - (d) the scope of application of this Cooperation Agreement and, in particular, the areas of work and standards falling under the provisions of the Cooperation Agreement;
  - (e) any issue or dispute which may arise at a working level, in particular with regard to the allocation or timely execution of leadership roles, and the number of experts appointed in accordance with clause 2.2(a) above;
  - (f) any additional measure needed to ensure efficient and proper coordination and planning between the Parties;
  - (g) any necessary modification to the “free of charge” basis referred to in clauses 3.2 and 3.6 above;
  - (h) the implementation of the present Cooperation Agreement and any recommendations for improvement or revisions thereof.
- 5.3 The Contact Committee shall, as far as reasonably possible, conduct its business by electronic mail or other remote means, but shall meet at least once per year alternatively in Berne and in Geneva. The first such meeting shall take place within 3 (three) months after the signature by both Parties of this Cooperation Agreement. Additional meetings may be called and organized at the initiative of either of the two Parties.
- 5.4 Each Party’s Secretariat shall ensure that its decisions and actions based on the recommendations of the Contact Committee, taken in conformity with each concerned Party’s legal framework, are communicated to the other Party in a timely manner.

## **6 Entry into force, duration and termination**

- 6.1 This Cooperation Agreement shall come into effect on the last date of its signature by the Parties as indicated below and remain valid for a period of 3 (three) years (hereinafter the “Initial Term”), and then automatically renewed for consecutive periods of 1 (one) year.
- 6.2 This Cooperation Agreement may be terminated by mutual consent of the Parties, or by either Party giving 3 (three) months prior written notice to the other Party, in the case of termination notices sent during the Initial Term, or 30 (thirty) days prior written notice to the other Party, in the case of termination notices sent during each renewal period following the Initial Term.
- 6.3 The relevant provisions of this Cooperation Agreement shall remain in force beyond the date of such termination as described above to the extent necessary to permit an orderly settlement of all arrangements made with respect to ongoing cooperation activities. In particular, termination shall not affect the right of either Party to continue to make use of the other Party’s standards as provided in clause 3 above, when such use precedes the sending of a written notice of termination by either Party.

## **7 Amendment**

- 7.1 This Cooperation Agreement may be amended at any time by written mutual agreement signed by both Parties.
- 7.2 This Cooperation Agreement and any amendments thereof shall supersede any previous cooperation agreements or memorandums of understanding signed by the Parties and related to the standardization activities as described in this Cooperation Agreement.