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# **IATA–UPU Mail Safety Guidelines: Recommendations to Designated Postal Operators**

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## **I. Introduction**

### *A. Background*

Incidents involving lithium batteries continue to occur in airmail, with many hidden lithium batteries being detected despite being prohibited. This raises very significant safety concerns, given that all lithium batteries shipped by themselves (UN3480 and UN3090) are forbidden as cargo on passenger aircraft and that significant volumes of international mail are carried on passenger aircraft. Carriers are also facing safety concerns related to other dangerous goods found in the mail, mixed movement scenarios and other such phenomena.

That incidents involving lithium batteries occur in airmail is hardly surprising, given the vast number of such items offered for sale on e-commerce platforms. Lithium batteries have become ubiquitous in society: most people in the world have mobile phones or other personal electronic devices, and these devices are typically powered by lithium batteries.

Added to this threat is the fact that the capacities of these batteries are continually increasing in order to power ever-larger devices. The ratings of these batteries often far exceed the 100 Wh threshold, placing them in the fully regulated category. Moreover, increasing market demand for low-cost batteries is fuelling the manufacture of counterfeit and sub-standard lithium batteries. As these are batteries for common consumer goods, shippers are often unaware of the regulatory provisions that apply to the design, manufacture and transport of lithium batteries and the risks posed by sub-standard lithium batteries. It is hardly surprising, then, that these items are often encountered in the postal supply chain as undeclared dangerous goods.

### *B. History*

In 2011, the Universal Postal Union (UPU) amended the UPU Convention specifically to allow designated postal operators (DPOs) to accept portable electronic devices with installed lithium batteries, such as mobile phones, tablets and laptop computers, in international mail. The changes to the UPU Convention were made so that the DPOs could better serve commercial and individual postal customers, within the context of the treaty-level mandate to provide affordable universal postal services. At the 23rd meeting of the International Civil Aviation Organization (ICAO) Dangerous Goods Panel (DGP/23) in October 2011, the UPU proposed that the provisions of the ICAO Technical Instructions for the Safe Transport of Dangerous Goods by Air (Technical Instructions) be revised to incorporate the changes to the UPU Convention so as to permit lithium batteries contained in equipment in international airmail. After due consideration by a DGP–UPU joint working group, it was agreed that a DPO could accept lithium batteries contained in equipment in international airmail, provided it was specifically approved by its national aviation authority (NAA). The acceptance requirements stipulate that permissible lithium batteries must be installed in the equipment that they power and must be limited to two batteries (or four cells) per postal item. The maximum watt-hour rating or lithium metal content is also established by ICAO regulations.

Under the amended Technical Instructions effective as of 1 January 2013, the procedures of DPOs for controlling the introduction of dangerous goods into airmail are subject to review and approval by the NAA of the country where the mail is accepted.

The DGP put in place all of these requirements in an effort to improve the safety of mail shipped by air, given the increasing use of the post by e-commerce sellers and, consequently, the increased risk of dangerous goods being introduced into international mail, despite being generally prohibited.

Since these requirements were introduced, it is presumed that all relevant staff of DPOs have completed appropriate dangerous goods training, and that NAAs have reviewed and approved DPOs' dangerous goods training and procedures. While only 32 of 192 DPOs are listed as being approved to accept lithium batteries contained in equipment, this should not be taken to mean that the remaining DPOs are not in compliance. Indeed, many Posts have made a business decision not to seek approval to accept lithium batteries because they do not authorize such batteries in their operations.

### C. *Call to action*

The IATA Board of Governors tasked IATA with enhancing safety in the specific area of airmail and developing robust guidelines, endorsed by the UPU, to jointly address and improve the processes for preventing the introduction of dangerous goods, specifically lithium batteries, and other prohibited items into mail.

The desired outcome is not to change the regulations but to make sure that the regulations are effectively and correctly enforced, and compliance is maintained.

## II. **Mail safety programmes**

For many years, IATA has developed and published guidelines for the acceptance and carriage of dangerous goods under the Dangerous Goods Regulations (DGR). The DGR include all ICAO Technical Instructions, which are the legal instrument for the transport of dangerous goods by air, as well as additional operational requirements developed by IATA member airlines.

The various actors in the air cargo supply chain, in line with the requirements of their NAAs, must complete dangerous goods training in order to accept and handle dangerous goods and other prohibited items, including lithium batteries.

In the traditional air cargo business, a shipper (consignor) must be trained to properly classify, pack, mark, label and document dangerous goods. Freight forwarder personnel must be trained to identify prohibited items to prevent the introduction of undeclared dangerous goods into the air transport system. Airline personnel and their contracted third-party handling agents must also be trained to identify hidden dangerous goods to prevent the introduction of undeclared dangerous goods into air transport. Furthermore, personnel must be trained to verify that declared dangerous goods are packed, marked, labelled and documented in accordance with the DGR.

The UPU has also long provided guidance to DPOs on matters of dangerous goods. Regulations regarding dangerous goods restricted in international mail are contained in the UPU Convention Regulations, available at [www.upu.int/UPU/media/upu/files/UPU/aboutUpu/acts/manualsInThreeVolumes/actInThreeVolumesManualOfConventionMaj1En.pdf](http://www.upu.int/UPU/media/upu/files/UPU/aboutUpu/acts/manualsInThreeVolumes/actInThreeVolumesManualOfConventionMaj1En.pdf).

Article 19-001 lists the following dangerous goods as admitted exceptionally:

- Class 7 – Radioactive materials;
- Class 6.2 – Infectious substances;
- Class 9 – Lithium metal cells and lithium ion batteries contained in equipment.

Goods admitted exceptionally under all three classes must comply with specific limits and packing instructions contained in the ICAO Technical Instructions and UPU manuals. Article 19-002 of the UPU Convention Regulations, on controlling the introduction of dangerous goods, states: “Each designated operator shall establish procedures and training programmes with a view to controlling the introduction of admissible dangerous goods into its postal services, in compliance with national and international rules and regulations.” The UPU has developed guidance material, in line with the Technical Instructions, to aid DPOs in their efforts to educate and raise the awareness of employees and mailers. These materials include posters, flyers and videos developed in partnership with ICAO, IATA and the World Customs Organization.

In the traditional postal supply chain, the shipper (consignor) is an individual person delivering mail to a post office or a company (e.g. an e-tailer) that contracts a DPO to pick up and handle its mail. For individual senders, a customs declaration document (UPU form CN 22 or CN 23) must be completed either electronically or physically to declare the nature of the goods. The post office staff or electronic system should not accept generic descriptions (e.g. gift) that do not allow identification of the content.

Example of UPU CN 22 and CN 23 forms

**CUSTOMS DECLARATION CN 23**

Form (1) Designated operator: Name: Irene Sánchez, Business: Taberna S.A., Street: Escoriala, 17, Postcode: 28012, City: Madrid, Country: Spain. (+1)

To: (3) Name: John Smith, Business: Mail Imports, Street: 100 Parsloway, Postcode: 12044-5078, City: Stamfordville, Country: USA. (5)

(7) Detailed description of contents (1):

Quantity (2)	Net weight (3)	Value (4)	HS tariff number (5)	Country of origin of goods (6)
3	1.50	240	620131	HK
5	0.25	60	620711	HK
5	0.2	60	85243	UK
		(6) Net gross weight (3): 2.00	Net value (4): 360	Post charges/Fees (5): AIRSURE FEE GB 33.22+4.00

Category of item (7):  Documents,  Commercial sample,  Returned goods,  Other (please specify):

Comments (8):

Invoice (14): LOM 039AUC6, Date and sender's signature (15): 24/08/2017 Irene Sánchez

**CUSTOMS DECLARATION CN 22**

Designated operator: Irene Sánchez, Taberna S.A., Madrid, Spain. (7 + 1)

To: John Smith, Mail Imports, Stamfordville, USA. (5)

Quantity and details description (1):

Quantity (2)	Net weight (3)	Value and currency (4)	HS tariff number (5)	Country of origin (6)
3	1.50	240	620131	HK
5	0.25	60	620711	HK
5	0.2	60	85243	UK

Post charges/Fees (5): AIRSURE FEE GB 33.22+4.00

Date and sender's signature (15): 24/08/2017 Irene Sánchez

The DPO's frontline staff should be trained to ask questions and raise awareness of the impact of dangerous goods being introduced into the mail. For companies, the contract with the DPO should include a clause to ensure that no dangerous goods are introduced into the mail to be transported by air (unless specifically permitted by the DGR and the Technical Instructions). The DPO's sales and customer service staff should be trained to raise awareness and identify any aspect of the company's business for which dangerous goods might be included in the mail.

NAA's are responsible for oversight of the training programmes and procedures in place for DPOs and should also perform audits of DPOs to ensure that dangerous goods training is maintained and DPO employees are aware of and follow the documented procedures for dangerous goods. NAA's should also investigate any dangerous goods incidents, reports of undeclared dangerous goods in mail or recurrences of incidents in particular locations and for particular companies. However, differences have been observed in both the application of these requirements by NAA's and the imposition of penalties or actions against senders or companies offering dangerous goods via mail.

Once the mail to be transported by air is accepted at the post office, screening for dangerous goods (lithium batteries, aerosols, flammable liquids, corrosives, etc.) and other prohibited items differs from one country to another. In some countries, the DPO performs its own screening to meet regulatory requirements regarding the "bomb in the box" scenario. The training and security screening programmes required for these activities, which may be outsourced to a third party in some instances, must also be approved by the NAA, which is responsible for endorsing these programmes and taking any necessary action. The scope of dangerous goods screening can vary. It is up to each DPO to screen for dangerous goods and other prohibited items. In some countries, screening is limited by national regulations pertaining to the right to privacy. Some countries screen for lithium batteries only, while others screen for aerosols and other prohibited items.

### III. Recommendations

#### D. Training

Staff in all categories should receive dangerous goods training commensurate with their functions/responsibilities to ensure that noncompliant lithium batteries and other dangerous goods are not accepted for carriage by airmail, in line with tables 1–4 of the ICAO Technical Instructions (Table 1.5.A of the DGR).

<u>Aspects of transport of dangerous goods by air with which they should be familiar, as a minimum</u>	<u>Designated Postal Operators</u>		
	<u>A</u>	<u>B</u>	<u>C</u>
<u>General philosophy</u>	x	x	x
<u>Limitations</u>	x	x	x
<u>General requirements for shippers</u>	x		
<u>Classification</u>	x		
<u>List of dangerous goods</u>	x		
<u>Packing requirements</u>	x		
<u>Labelling and marking</u>	x	x	x
<u>Dangerous goods transport document and other relevant documentation</u>	x	x	
<u>Acceptance of the dangerous goods listed in 1:2.3.2</u>	x		
<u>Recognition of undeclared dangerous goods</u>	x	x	x
<u>Storage and loading procedures</u>			x
<u>Provisions for passengers and crew</u>	x	x	x
<u>Emergency procedures</u>	x	x	x

**KEY**

A — Staff of designated postal operators involved in accepting mail containing dangerous goods  
B — Staff of designated postal operators involved in processing mail (other than dangerous goods)  
C — Staff of designated postal operators involved in the handling, storage and loading of mail

In addition to the requirements above, screening staff must be trained in accordance with IATA category 12.

As a minimum, personnel should be familiar with following aspects on transport of dangerous goods by air, depending on the category.	Shippers and packers		Freight forwarders			Operators and ground handling agents						Security screeners	
	1	2	3	4	5	Category						12	
						6	7	8	9	10	11		
General philosophy	X	X	X	X	X	X	X	X	X	X	X	X	X
Limitations	X		X	X	X	X	X	X	X	X	X		X
General requirements for shippers	X		X			X							
Classification	X	X	X			X							X
List of dangerous goods	X	X	X			X				X			
General packing requirements	X	X	X			X							
Packing instructions	X	X	X			X							
Labelling and marking	X	X	X	X	X	X	X	X	X	X	X		X
Shipper's Declaration and other relevant documentation	X		X	X		X	X						
Acceptance procedures						X							
Recognition of undeclared dangerous goods	X	X	X	X	X	X	X	X	X	X	X		X
Storage and loading procedures					X	X		X		X			
Pilots' notification (NOTOC)						X		X		X			
Provisions for passengers and crew	X	X	X	X	X	X	X	X	X	X	X		X
Emergency procedures	X	X	X	X	X	X	X	X	X	X	X		X

- The training must contain clear acceptance procedures that align with the DGR (particularly the hidden dangerous goods section) and explain the actions to be taken where dangerous goods are detected in the mail. This should include the principles detailed in the alarm resolution procedures developed by IATA (AHM 350) and the UPU, available at [www.upu.int/en/Postal-Solutions/Programmes-Services/Postal-Supply-Chain/Security#scroll-nav8](http://www.upu.int/en/Postal-Solutions/Programmes-Services/Postal-Supply-Chain/Security#scroll-nav8).

- The training should include procedures for responding to high-risk mail and suspicious parcels, and implementing evacuation or sheltering, if appropriate.
- E-tailers and other e-commerce parties (including marketplaces under an e-tailer’s purview) should participate in joint programmes with the UPU and IATA to improve awareness of the impact of dangerous goods being included in the mail.

*E. Safe and secure supply chain*

*i. Safety programme*

IATA and the UPU strongly encourage their members to engage with regulators and industry stakeholders to promote the safe and secure supply chain concept, which means securing cargo and mail upstream in the supply chain and maintaining its integrity until the point of loading onto an aircraft. Increased control over the process from acceptance through to delivery provides a clear path to origin in the event of a safety incident. Therefore, instituting training, developing procedures, incorporating additional measures over time and performing audits would be natural steps towards a robust worldwide safety environment.

IATA recommends that under the terms of the approvals and contracts granted by relevant authorities and customer organizations, agents should obtain security certification as NAA regulated agents (RAs). This includes developing, implementing and maintaining adequate cargo security measures to safeguard cargo and mail against acts of unlawful interference. RAs are entities that conduct business with aircraft operators and provide security controls that are accepted or required by the appropriate authority in respect of cargo or mail.

The UPU encourages DPOs to seek and obtain security certification through adherence to the UPU S58 and S59 security standards as part of a structured peer review.

The safe and secure supply chain value proposition enhances national security by preventing acts of unlawful interference, delivering economic benefits for the country (i.e. cost and time savings, job creation, tax revenues, standardization of systems) and promoting operational efficiency through the potential reduction of customs inspection and investigation costs, transit times and theft and loss, and the avoidance of breaking down mail transfer and unit load devices (ULDs).

The safety programme should include:

- a developing, implementing, maintaining and reviewing safety programme content, detailing the safety measures and procedures required for the postal operator’s activities (including those relating to air cargo and mail safety); defining and allocating tasks for the implementation of the safety programme and appointing a safety manager responsible for coordinating the implementation of the programme;
- b making available to relevant business partners an electronic or paper copy of the appropriate parts of the safety programme and other relevant information and guidelines to enable them to meet the requirements of the National Civil Aviation Security Programme (NCASP); establishing and maintaining letters of procedure for all safety functions to ensure compliance with the NCASP, including the measures relating to airmail safety (e.g. secure receipt/handover of freight from/to hauliers/cargo and mail terminal operators, maintenance of movement records, application of mail safety controls, safety training and records, verification of chain integrity (including verification of consignment security declaration information), protection of freight and incident reporting, investigation and management);
- c providing the necessary infrastructure, resources and facilities to implement the safety programme and conducting quality control activities to ensure deficiencies are rectified;
- d integrating mail safety requirements into the design and construction of new infrastructure;
- e re-evaluating the safety programme and relevant procedures following an incident and/or accident and taking the appropriate remedial action, establishing emergency procedures for use in managing and responding to safety issues or other emergencies, and maintaining an appropriate level of mail safety commensurate with the threat.

*ii Screening technologies*

- a IATA recommends the (global) harmonization of screening methodologies and requirements and the certification of screening equipment.
- b The airmail industry must be able to screen goods of all types and sizes, excluding exempt items,<sup>1</sup> at parcel level to avoid clusters when screening mail receptacles, using automated equipment to reduce human error and the need for intrusive practices. The equipment should be able to detect dangerous goods, with a low false alarm rate to avoid risking the safety of passengers, crew and the aircraft. The technology must also allow for simple regulatory certification.
- c It should be noted that aviation safety and security often fall within the remit of separate authorities but may be the responsibility of NAAs. Under this responsibility, NAAs should manage compliance programmes for mail. Screening of mail early in the supply chain does not prevent or detect tampering and sabotage at vulnerable points closer to air transport. To account for incidents involving insider threats within restricted air transport areas, ideally, mail should be screened as close to aircraft loading as possible. Where this is impractical, the less effective method of screening mail early in the supply chain is the only viable alternative.

*F. Safe operations landside and airside*

DPOs must understand their early impact on safe air cargo supply chains. An effort must be made to train staff to ensure safety awareness and implementation of safety programmes, with a particular focus on the handling of airmail.

*iii Preparation of consignments*

Due to the nature of postal consignments, for which production lines will accept mail until the last minute, particular consideration must be given to safe handling during the acceptance process for the identification of dangerous goods and other prohibited items. Additionally, handling procedures should be followed to prevent incidents or accidents. Damage and other discrepancies should be reported according to established reporting protocols and NAA requirements.

*iv Unit load device safety*

- a When airmail is loaded by DPO staff in ULDs, for storage/repositioning/transfer and delivery to the ramp staff outside the DPO's facility, or for delivery directly to the aircraft for loading, general safety requirements must be considered during the movement of ULDs.
- b DPO staff handling ULDs must be trained to evaluate their serviceability, as they are an integral part of an aircraft and, if defective, can cause serious safety incidents/accidents during handling on the ground or while the aircraft is airborne.
- c When airmail is offloaded from ULDs, particular care must be taken to store empty ULDs properly. Specific safe areas must be designated to store ULDs, which cannot be placed on the ground.
- d Safety principles must be followed by all stakeholders for the build-up and closing of airmail to be loaded in ULDs.

<sup>1</sup> As stated in UPU standard S59, § 5.2, on items exempt from screening: "When despatching mail consisting of international postal items up to 500 grammes, the DO may despatch it without additional screening if the DO has adhered to the security measures outlined in UPU standard S58. There may be other applicable international and/or national regulations which may define different thresholds for exemptions. Any exemptions applied should be in agreement with the appropriate national legislation or regulation. UPU member countries may agree to permit exemptions from screening or the use of alternative security measures because of the special nature of some types of mail. Such exemptions should be clearly defined in UPU member countries' NCASP."



v *Acceptance by DPOs*

All DPOs must have procedures in place for controlling the introduction of dangerous goods into the postal system and into air transport. Even if a DPO chooses not to accept those dangerous goods that are allowed in the mail, it must still have procedures to prevent undeclared or hidden dangerous goods from entering the mail system. The Technical Instructions require the civil aviation authority (CAA) to assess these procedures in cooperation with the DPO.

The Supplement to the Technical Instructions for the Safe Transport of Dangerous Goods by Air (Doc 9284) provides countries with guidance in assessing DPOs' procedures for controlling the introduction of dangerous goods. This guidance helps DPOs to collaborate effectively with their CAAs. The items below, which are outlined in the guidance, should be included in DPOs' procedures for controlling the introduction of dangerous goods into air transport.

DPOs must comply with the UPU's guidance on the following matters for the acceptance of goods:

- Nature of goods
- Hidden dangerous goods
- Contracts with clauses
- Embargoes
- Customs restrictions
- Kyoto Protocol

*Methods of informing postal customers about which goods are admissible in mail at acceptance points (e.g. street post boxes, post offices, agencies, websites)*

DPOs should have in place measures to inform the public of mailing regulations, including information about which dangerous goods are acceptable in mail. This information should be available at all locations where mail is deposited (post offices, street/collection boxes, contract postal units). It should also be made available to customers even if a DPO chooses not to accept dangerous goods. A number of examples are provided as attachments to this document. These are taken from a range of different Posts and should be adapted to the rules and regulations of the particular Post and national legislation.

Examples:

- Warning posters about dangerous goods allowed in mail at postal facilities (official and contracted offices)
- Customer briefings by postal representatives
- Warning information for customers on DPO websites
- Other notices to customers, such as mailed warnings and advertisements

### Keep me safe to get me there faster

Your Post is committed to providing quality service and delivering your packages and parcels as expeditiously as possible. But it can only do so with your help.

If you are sending a package abroad, be aware that some items, materials and substances are prohibited from traveling in the international mail stream.

Some products\* are considered dangerous and present a safety hazard if traveling on aircraft. That's why international airline rules prohibit their inclusion in postal packages. These include ammunition, lighters, oil paints, perfumes, matches or mercury compounds, for example.

Other products, such as counterfeit or pirated goods, coins and valuable goods and live animals, are also prohibited from being sent through the post.


You are responsible for the content of packages you give to the Post for delivery. A package containing something it shouldn't will be handled in accordance with the relevant national legislation and likely be destroyed. Failure to comply with prohibitions and restrictions will also affect your ability to claim compensation.

Refer to this flyer for information and contact your Post's customer service for advice and guidance.

[www.upu.int/keepmesafe](http://www.upu.int/keepmesafe)

\*Conditions may differ if these items, materials or substances are traveling domestically only; check with your Post.

### Keep me safe to get me there faster



#### Dangerous goods prohibited in international mail


- Class 1 Explosives**
  - Fireworks
  - Firecrackers
  - Ammunition
  - Gunpowder
  - Flares
- Class 2 Compressed Gases**
  - Pepper tanks
  - Diving tanks
  - Aerosol spray cans
  - Bursting gas
  - Fire extinguishers
- Class 3 Flammable Liquids**
  - Lighters
  - Lighters fuel
  - Oil paints, wood varnishes and enamels - solvent based
  - Adhesives
  - Perfumes and after-shaves
  - Nail varnish, polish and gel
- Class 4 Flammable Substances**
  - Matches
  - Charcoals
- Class 5 Oxidizing Substances**
  - Pool chemicals
  - Hydrogen Peroxide
  - bleach
- Class 6 Toxic and Infectious Substances**
  - Pesticides
  - Agricultural chemicals
  - Mercury compounds
  - Bacteria
  - Viruses
- Class 7 Radioactive materials**
  - Radioactive wastes
  - Radioactive sources
  - Smoke detectors
- Class 8 Corrosives**
  - Wet batteries
  - Mercury
  - Hydrochloric acid
- Class 9 Miscellaneous Dangerous Goods\***
  - Magnetized goods
  - Dry ice
  - Lithium batteries

Mail items may be returned if content description on the customs form does not make it clear that no dangerous goods are enclosed.

	unacceptable	acceptable
Household goods	<ul style="list-style-type: none"> <li>May contain pressurized aerosol cans, flammable paints, or adhesives</li> </ul>	<ul style="list-style-type: none"> <li>Chocolates</li> <li>Candies</li> <li>Shirts</li> <li>Dresses</li> </ul>
Sporting goods	<ul style="list-style-type: none"> <li>May contain ammunition or compressed gases</li> </ul>	<ul style="list-style-type: none"> <li>Racket</li> <li>Ball</li> <li>Shoes</li> </ul>
Camping goods	<ul style="list-style-type: none"> <li>May contain compressed gas, cooking fuel or matches</li> </ul>	<ul style="list-style-type: none"> <li>Tent</li> <li>Sleeping bags</li> </ul>
Diving goods	<ul style="list-style-type: none"> <li>May contain compressed gases</li> </ul>	<ul style="list-style-type: none"> <li>Wet suits</li> <li>Diving masks</li> <li>Fins</li> <li>Snorkels</li> </ul>
Medicine, drugs	<ul style="list-style-type: none"> <li>May contain alcohol or be packed in dry ice</li> </ul>	<ul style="list-style-type: none"> <li>Insulin</li> <li>Antibiotic tablets</li> </ul>
Cosmetics	<ul style="list-style-type: none"> <li>May contain flammable perfume, manicure goods, or nail polish remover</li> </ul>	<ul style="list-style-type: none"> <li>Soap</li> <li>Lip gloss</li> </ul>
Automobile components	<ul style="list-style-type: none"> <li>May contain flammable fuel additives, aerosols or compressed gas</li> </ul>	<ul style="list-style-type: none"> <li>Mirror</li> <li>Seat cover</li> </ul>
Medical devices	<ul style="list-style-type: none"> <li>May contain blood pressure measurement devices or thermometers that contain mercury</li> </ul>	<ul style="list-style-type: none"> <li>Stethoscopes</li> </ul>


\* The Post can carry some of the substances in these categories in very limited quantities. Check with your Post for details.

The "Have you declared it?" posters should also be displayed at counters and acceptance points.



## Have You Declared it?

Cargo containing dangerous goods is subject to national and international regulation. Such cargo must be properly declared and clearly identified as containing dangerous goods.



Dangerous goods include articles and substances which are flammable, corrosive, toxic, oxidizing, explosive, radioactive, infectious, or otherwise compressed gases, dangerous when wet, sports safety equipment, self-heating, organic peroxides, dangerous to the environment and other regulated materials.

*Methods of informing account customers about restrictions and regulations regarding dangerous goods*

DPOs should be able to show how information regarding dangerous goods in the mail is communicated to customers. This information may be delivered on the DPO website, in e-mails, mailed communications or postings in external publications, or through the personal interactions of DPO account representatives.

*Examples of possible compliance measures include, but are not limited to:*

- providing information pamphlets or brochures on dangerous goods to customers on a periodic basis;
- ongoing training efforts by DPOs to inform customers about acceptable or prohibited, dangerous goods in the mail;
- providing information on penalties for account holders who improperly ship dangerous goods;
- including clauses in contracts with account customers regarding dangerous goods not permitted in the mail.

DPO account representatives should provide information to account customers about what can and cannot be mailed internationally. Information provided to account customers should refer to specific sections of the DPO's mailing requirements or regulations. It might also direct customers to other documentation containing specific references to dangerous goods and prohibited items. These documents should be updated regularly by the DPO to reflect the current regulations.

*Example of contract language*

*Mailability and importability*

All items mailed under this Agreement shall meet the mailability requirements of the designated postal operator as detailed in the regulations of the latter and shall be subject to the importation restrictions of the destination country. Mailers shall be solely responsible for the importation status of the products mailed under this Agreement

*Compliance*

- 1 Mailers shall comply with all applicable regulations, orders and demands and all other applicable laws.
- 2 All items mailed under this Agreement shall meet the mailability requirements of the DPO and shall be subject to the importation requirements of the destination country. Mailers shall be solely responsible for the importation status of the products mailed under this Agreement.
- 3 Mailers shall provide any necessary documentation, including electronic data, in connection with each mailing, in the form and at the time specified by the DPO, customs agencies, local civil aviation authorities, the governments of destination countries or other relevant authorities. Mailers further understand that failure to provide any such necessary documentation may result in refusal at acceptance points, delays in processing, involuntary seizure by authorities and/or return of mail to sender.
- 4 Mailers shall comply with any regulation or order promulgated by the DPO, customs agencies, civil aviation authorities, the governments of destination countries or other government departments with jurisdiction over mail, to facilitate the customs processing of mail in line with the requirements set out by those authorities.
- 5 This Agreement may be terminated immediately on grounds of the Mailer's failure to comply with any regulation, order or demand or any other applicable law.

*Examples of possible compliance measures include:*

- including standard contract language in all business contracts;
- providing information pamphlets or brochures on dangerous goods to customers on a periodic basis;
- ongoing training efforts by DPOs to inform customers about acceptable or prohibited, dangerous goods in the mail;
- including penalty clauses in contracts for account holders who improperly ship dangerous goods.

### *Procedures for the handling of packages rejected from transport*

DPOs should have in place written standard operating procedures for handling packages that are rejected from air transport. These procedures may already be incorporated into existing safety and security procedures, e.g. marking packages “not for transport by air” where they contain items that cannot be transported by air but can be transported by other modes. It is important that security and safety procedures be communicated to employees. Communication methods vary and might include formal training, team briefings, verbal and written instructions and leaflets. The level of information/instruction required will depend on which risks are likely to be encountered at the workplace.

### *Emergency procedures*

DPOs should have in place written standard operating procedures for emergency responses to incidents and accidents involving declared and undeclared dangerous goods. These procedures may already be incorporated into existing safety and security procedures, e.g. treating as hazardous spills packages that leak unknown substances. It is important that security and safety procedures be communicated to employees. Communication methods vary and might include formal training, team briefings, verbal and written instructions and leaflets. The level of information/instruction required will depend on which risks are likely to be encountered at the workplace.

### *Retention of documents*

DPOs should have in place a written policy for the retention of documents relating to dangerous goods. In accordance with the Technical Instructions, any required documentation for the transport of dangerous goods by air must be retained for at least three months after the flight on which the dangerous goods were transported.

### *vi Ramp operations and handover*

Where DPO facilities (landside) are not automated and DPO transport staff are required to drive airmail to the airside, these staff must be trained in the safe operation of vehicles. While driving, DPO staff must ensure the stability of loads and have full visibility according to the company’s occupational health and safety instructions. When handing over airmail to ramp personnel, a final safety check should be performed according to company policy. Any incidents, accidents and/or damage must be immediately reported according to the emergency and contingency plans in place.

Coordination must be arranged and approved by carrier load control to deliver airmail to the aircraft. DPO staff must receive training on how to safely drive on the ramp. This includes being aware of danger zones (blast and suction) and the movements (and parking areas) of vehicles around the aircraft, and how to approach an aircraft in parking position. It is also the responsibility of all DPO staff to be aware of foreign object debris and to act accordingly in a safe and responsible manner. Any incidents, accidents and/or damage must be immediately reported according to the emergency and contingency plans in place.

### *G. Role of the national aviation authority*

- IATA recommends that regulators ensure strong harmonization and standardization of oversight programmes to aid support of and collaboration with all stakeholders in the area of safety requirements.
- NAAs should develop and perform audits on a regular basis, compile reports received by airlines and take action when dangerous goods or other prohibited items are discovered in airmail.
- The UPU must continue to encourage compliance with the minimum required security standards, as outlined in UPU standards S58 and S59, through structured peer-led reviews, and compile incident reports received by postal operators.
- With respect to chapter 15 of Annex 6 to the ICAO Convention on International Civil Aviation, which provides that “the State of the operator shall ensure that the operator establishes policy and procedures for that purpose which include the conduct of a specific safety risk assessment on the transport of items in the cargo compartment”, items should be understood to include mail and the risk assessment should address the safety of the entire supply chain for items to be transported. Within this framework, IATA recommends full transparency on the safety and security processes in place at DPO facilities, enabling airlines to perform their risk assessments and comply with ICAO requirements. Airlines are aware of the

challenges facing the postal industry and are willing to help to streamline this process by performing their own audits if requested.

- Airlines and DPOs are strongly encouraged to closely collaborate with their NAA to develop a joint safety programme that clearly defines the roles and responsibilities of the parties and the information to be provided to customers and employees.
- Safety campaigns must be rolled out on a regular basis by the various parties to encourage customers (e-tailers) to participate in joint safety programmes and to raise awareness of their impact on the air cargo supply chain (safety is everyone's responsibility).
- All stakeholders must work together to invest in appropriate screening technologies, not only to guarantee the safety and security of passengers, crew, aircraft and the mail to be transported, but also to ensure the safe development of trade and the facilitation of cross-border commerce.

*Tracking dangerous goods accidents and incidents and reporting them to civil aviation authorities and/or other national authorities*

UPU letter No. 4293(DOT.PSP)1013 of 11 February 2013 set out a process for reporting dangerous goods accidents and incidents to the UPU, which would then be shared with ICAO. Local NAAs and other national authorities may also have procedures for reporting these incidents at the national level.

*Reporting of hidden and undeclared dangerous goods to civil aviation authorities*

UPU letter No. 4293(DOT.PSP)1013 of 11 February 2013 set out a process for reporting discovered hidden and undeclared dangerous goods to the UPU, which would then be shared with ICAO. Local NAAs and other national authorities may also have procedures for reporting the discovery of hidden and undeclared dangerous goods at the national level.

#### **IV. Conclusion**

Each DPO should meet with its respective NAA at the earliest opportunity so that it can explain the operations and business model of its postal organization. Both parties can then consider this information when discussing how best to address dangerous goods training and procedures for preventing the introduction of dangerous goods into mail and air transport and prioritizing safety. Efforts should be made to foster robust relationships with airlines that transport mail for DPOs, and to develop an understanding of how best to work together to ensure safety on and off the airfield. It is important to remember that all DPOs, irrespective of whether or not they wish to transport equipment containing lithium batteries or other admissible items outlined in article 19-003 of the Convention Regulations, should have in place procedures for controlling the introduction of dangerous goods into their postal networks in order keep mail safe and secure.

**Terms and definitions**

*Designated Postal Operator (DPO)*: Any governmental or non-governmental entity officially designated by the member country to operate postal services and to fulfil the related obligations arising out of the UPU Acts of the Union on its territory.

*Mail*: Dispatches of correspondence and other items tendered by, and intended for delivery to, postal services in accordance with the rules of the UPU.

*Screening*: Examination of mail by technical or other non-intrusive means that is intended to identify and/or detect explosives.

## References

The following referenced documents are indispensable for the application of this document. For dated references, or references to a version number, only the edition cited applies. For undated references and where there is no reference to a version number, the latest edition of the referenced document (including any amendments) applies.

Annex 18 to the Convention on International Civil Aviation: Safe Transport of Dangerous Goods by Air

ICAO Technical Instructions for the Safe Transport of Dangerous Goods by Air (Doc 9284)

IATA Dangerous Goods Regulations

Link to IATA Standards

UPU Standard S58, Postal security standards – General security measures

UPU Standards S59, Postal security standards – Office of exchange and international airmail security, defining minimum requirements for securing operations relating to the transport of international mail

Annex 17 to the Convention on International Civil Aviation: Security – Safeguarding International Civil Aviation against Acts of Unlawful Interference

**Note 1.** – The Convention on International Civil Aviation Annexes 1 to 18 are available at [www.icao.int/safety/airnavigation/NationalityMarks/annexes\\_booklet\\_en.pdf](http://www.icao.int/safety/airnavigation/NationalityMarks/annexes_booklet_en.pdf).

International Civil Aviation Organization, Aviation Security Manual (Doc 8973 – Restricted)

**Note 2.** – Requests for copies of Doc 8973 should be submitted directly to ICAO's Document Sales Unit ([sales@icao.int](mailto:sales@icao.int)). Distribution of Doc 8973 is restricted to authorized entities and individuals.