**UPU operational efficiency and quality management certification**

**Questionnaire for the evaluation of the operational efficiency and quality of service of the designated operator of:**

**Respondent information**

To enable us to resolve any queries about the answers given, please provide the following contact information:

|  |
| --- |
| Name of designated operator |
| Full name of person completing the questionnaire | [ ]  Mr [ ]  Ms |
| Position/title |
| E-mail | Tel. |
| Date | Signature |
| Supervisor’s name and signature |

**Note. –**

* The designated operator must self-score the questionnaire and fulfil the prerequisites (all questions marked “mandatory requiring a positive answer”).
* This questionnaire must be accompanied by the required supporting documents specified.
* The responses to the questionnaire will be checked by the consultant during the on-site audit and cor­rected as necessary based on the observations in the field (international mail processing centres, offices of exchange, international sorting centres and other relevant facilities). If corrections are made, the score will be amended accordingly.
* Any discrepancies or inaccuracies detected by the consultant during the on-site audit, compared with the responses and supporting documents provided, will be recorded in the corresponding field of the questionnaire for consideration in the final evaluation of the designated operator.

**1 Operational processes**

*1.1 Mail collection*

|  |  | *Yes* | *No* | *Points* | *Comments* |
| --- | --- | --- | --- | --- | --- |
| 1.1.1 | Is there a plan with collection times, handover times and quality targets for all collection points in the country?[[1]](#footnote-2) | [ ]  | [ ]  | 1 |  |
| 1.1.2 | Are quality standards for international products documented and published (post office, website, etc.)?1 | [ ]  | [ ]  | 1 |  |
| 1.1.3 | Is address and customs data captured at the time of collection? | [ ]  | [ ]  | 1 |  |

*1.2 Office of exchange – Outbound operations*

*1.2.1 Mail concentration to the office of exchange*

|  |  | *Yes* | *No* | *Points* | *Comments* |
| --- | --- | --- | --- | --- | --- |
| 1.2.1.1 | Is the OE critical entry time (CET) for outbound international mail defined in accordance with the domestic collection and processing system?1 | [ ]  | [ ]  | 1 |  |
| 1.2.1.2 | Does the OE measure the age of incoming mail and compliance with the service levels agreed?  | [ ]  | [ ]  | 1 |  |
| 1.2.1.3 | Is the transport plan consistent with the CET at the OE? | [ ]  | [ ]  | 1 |  |

*1.2.2 Outbound office of exchange organization*

|  |  | *Yes* | *No* | *Points* | *Comments* |
| --- | --- | --- | --- | --- | --- |
| 1.2.2.1 | Is there a clearly defined operational plan for processing outgoing international mail arriving at the OE (E2E process mapping)?1 | [ ]  | [ ]  | 1 |  |
| 1.2.2.2 | Are critical processing times displayed? | [ ]  | [ ]  | 1 |  |
| 1.2.2.3 | Are failures recorded? | [ ]  | [ ]  | 1 |  |
| 1.2.2.4 | Are bag and tray labels correctly made up, including “P”, “G” and “E” indicators? | [ ]  | [ ]  | 1 |  |
| 1.2.2.5 | Do label barcodes comply with UPU standards?[[2]](#footnote-3) | [ ]  | [ ]  | 1 |  |
| 1.2.2.6 | Are tie-out instructions posted in the dispatch area? | [ ]  | [ ]  | 1 |  |
| 1.2.2.7 | Is a procedure in place to check if dispatches arrived at the destination OE as planned? | [ ]  | [ ]  | 1 |  |
| 1.2.2.8 | Is there a structured quality control system and programme for performance within the OE?1If yes, does this system cover accuracy checks on:1 | [ ]  | [ ]  |  |  |
|  | 1. Domestic transport arrival times?
 | [ ]  | [ ]  | 1 |  |
| 1. Manual sorting/mechanized sorting?
 | [ ]  | [ ]  | 1 |  |
| 1. Bundling/traying, bagging off and labelling?
 | [ ]  | [ ]  | 1 |  |
| 1. Equipment, including IT systems and machine maintenance?
 | [ ]  | [ ]  | 1 |  |
| 1. Irregularities in the presentation of bulk postings?
 | [ ]  | [ ]  | 1 |  |
| 1. Handling agents’ performance?
 | [ ]  | [ ]  | 1 |  |
| 1. Air carriers’ performance?
 | [ ]  | [ ]  | 1 |  |

*1.3 Office of exchange – Inbound operations*

*1.3.1 Operations flow, mail entering the country*

|  |  | *Yes* | *No* | *Points* | *Comments* |
| --- | --- | --- | --- | --- | --- |
| 1.3.1.1 | Is there a clearly defined operational plan for processing inbound international mail arriving at the OE (E2E process mapping)?1 | [ ]  | [ ]  | 1 |  |
| 1.3.1.2 | Are critical processing times displayed? | [ ]  | [ ]  | 1 |  |
| 1.3.1.3 | Are you using specific defined times for inbound operations (latest arrival time (LAT), CET, critical scan time (CST), etc.)?[[3]](#footnote-4) | [ ]  | [ ]  | 1 |  |
| 1.3.1.4 | Are procedures in place for when irregularities occur at the airport (failures with regard to dispatches, security measures taken at airport inbound scanning, pro­hibited imports, damage to dispatches)?*(To be provided as an annex to the questionnaire in order to receive points)* | [ ]  | [ ]  | 1 |  |
| 1.3.1.5 | Are procedures in place for when irregularities occur at the postal operator’s facilities – OE, sorting centre, etc. (failures with regard to dispatches or their con­tents – items missing, damage to dispatches or items, etc.)?*(To be provided as an annex to the questionnaire in order to receive points)* | [ ]  | [ ]  | 1 |  |

*1.3.2 Operations flow, postal operator: office of exchange, sorting centre, customs zone*

|  |  | *Yes* | *No* | *Points* | *Comments* |
| --- | --- | --- | --- | --- | --- |
| 1.3.2.1 | Is a clear operational plan defined for the processing of mail?1If yes, does it cover the following steps:1 | [ ]  | [ ]  |  |  |
| 1. Unloading at postal operator’s facilities?
 | [ ]  | [ ]  | 1 |  |
| 1. Inbound scanning of bag labels?
 | [ ]  | [ ]  | 1 |  |
| 1. Segregating?
 | [ ]  | [ ]  | 1 |  |
| 1. Transferring?
 | [ ]  | [ ]  | 1 |  |
| 1. Processing (opening the bags, checking the dispatches and comparing the documents)?
 | [ ]  | [ ]  | 1 |  |
| 1. Dispatching items to other processing points?
 | [ ]  | [ ]  | 1 |  |
| 1. Determination of mail (bags, items) for customs zone?
 | [ ]  | [ ]  | 1 |  |
| 1.3.2.2 | Are clear instructions provided at key processing points? | [ ]  | [ ]  | 1 |  |
| 1.3.2.3 | Are relevant user manuals provided for employees? Please indicate (e.g. operational manual for OE). | [ ]  | [ ]  | 1 |  |
| 1.3.2.4 | Are pre-advice messages (via IPS, QCS, CAPE, etc.) used to check scheduled arrival times and volumes of mail? | [ ]  | [ ]  | 1 |  |
| 1.3.2.5 | Do you have separate procedures for opening separate categories of mail (par­cels, letter items/small packets)? |  |  |  |  |
| 1. Parcels
 | [ ]  | [ ]  | 1 |  |
| 1. Letter items/small packets
 | [ ]  | [ ]  | 1 |  |
| 1.3.2.6 | Do you keep reports and statistics on identified errors for trend analysis? | [ ]  | [ ]  | 1 |  |
| 1.3.2.7 | Is someone responsible for coordinating activities at key processing phases between different sections so that no mail is overlooked at cut-off times? | [ ]  | [ ]  | 1 |  |

*1.4 Mail delivery*

|  |  | *Yes* | *No* | *Points* | *Comments* |
| --- | --- | --- | --- | --- | --- |
| 1.4.1 | Is the delivery of letter-post items and parcels offered to your customers in your country through the following channels? (Tick all that apply – cumulative points)  |  |  |  |  |
| 1. Delivery to home address (doorstep delivery)[[4]](#footnote-5)
 | [ ]  | [ ]  | 1 |  |
| 1. Delivery to the post office1
 | [ ]  | [ ]  | 1 |  |
| 1. Delivery to the parcel terminal (parcel station/parcel box) with SMS notifica­tion
 | [ ]  | [ ]  | 1 |  |
| 1. Delivery to your partner (petrol stations, shops, train stations, etc.)
 | [ ]  | [ ]  | 1 |  |
| 1. Other (please specify)
 | [ ]  | [ ]  | 1 |  |
| 1.4.2 | Is any delivery pre-advice provided? | [ ]  | [ ]  | 1 |  |
| 1.4.3 | Is the delivery data transmitted immediately to the electronic data system? | [ ]  | [ ]  | 1 |  |
| 1.4.4 | Are items stored at the delivery post office following unsuccessful delivery attempts before being returned to sender, in accordance with the retention period published in the relevant compendia? |  |  |  |  |
| 1. Parcels
 | [ ]  | [ ]  | 1 |  |
| 1. Letter items/small packets
 | [ ]  | [ ]  | 1 |  |

**2 Mail visibility**

*2.1 Electronic data interchange*

Please indicate whether your operator provides the following UPU standard messages. For a full description of these messages, refer to UPU standard M30 (Electronic data interchange between postal handling organizations).

*2.1.1 Postal items*

|  |  | *Yes* | *No* | *Points* | *Comments* |
| --- | --- | --- | --- | --- | --- |
| 2.1.1.1 | EMSEVT V3.0 (“EMS event”): provides track-and-trace capabilities for postal mail items that are barcoded according to UPU standards[[5]](#footnote-6) | [ ]  | [ ]  | 1 |  |
| 2.1.1.1.1 | EMA – Posting/collection  | [ ]  | [ ]  | 1 |  |
| 2.1.1.1.2 | EMB – Arrival at outward OE | [ ]  | [ ]  | 1 |  |
| 2.1.1.1.3 | EMC – Departure from outward OE | [ ]  | [ ]  | 1 |  |
| 2.1.1.1.4 | EMJ – Arrival at transit OE | [ ]  | [ ]  | 1 |  |
| 2.1.1.1.5 | EMK – Departure from transit OE | [ ]  | [ ]  | 1 |  |
| 2.1.1.1.6 | EMD – Arrival at inward OE | [ ]  | [ ]  | 1 |  |
| 2.1.1.1.7 | EDB – Item presented to import Customs | [ ]  | [ ]  | 1 |  |
| 2.1.1.1.8 | EME – Item held by import Customs | [ ]  | [ ]  | 1 |  |
| 2.1.1.1.9 | EDC – Item returned from import Customs | [ ]  | [ ]  | 1 |  |
| 2.1.1.1.10 | EMF – Departure from inward OE | [ ]  | [ ]  | 1 |  |
| 2.1.1.1.11 | EMG – Arrival at delivery office | [ ]  | [ ]  | 1 |  |
| 2.1.1.1.12 | EDH – Item arrival at collection point for pick-up (by recipient) | [ ]  | [ ]  | 1 |  |
| 2.1.1.1.13 | EMH – Attempted/unsuccessful (physical delivery) | [ ]  | [ ]  | 1 |  |
| 2.1.1.1.14 | EMI – Final delivery | [ ]  | [ ]  | 1 |  |
| 2.1.1.2 | ITMATT (“ITeM ATTribute”): for a party (normally an origin DO) to advise another party (normally a delivery DO) of the existence, attributes and impending arrival of a postal mail item[[6]](#footnote-7) | [ ]  | [ ]  | 1 |  |
| 2.1.1.3 | CUSITM (“CUStoms ITeM”) or other: for the DO to provide an electronic repre­sentation of the UPU paper forms CN 22, CN 23 and CP 72 to the local customs authority | [ ]  | [ ]  | 1 |  |
| 2.1.1.4 | CUSRSP (“CUStoms ReSPonse”) or other: for the local customs authority to transmit its decisions on postal mail items to the local DO, usually in response to a CUSITM message | [ ]  | [ ]  | 1 |  |

*2.1.2 Postal dispatches and receptacles*

|  |  | *Yes* | *No* | *Points* | *Comments* |
| --- | --- | --- | --- | --- | --- |
| 2.1.2.1 | PREDES V2.1 (“PRE-advice of DESpatch”): pre-advice information on the routeing and accounting of a group of receptacles and postal items from the origin to destination OE1 | [ ]  | [ ]  | 1 |  |
| 2.1.2.2 | RESDES (“RESponse to DESpatch”): quality and accounting information sent to the origin OE of the receptacles of a dispatch that has been processed at the destination OE, in response to a PREDES message1 | [ ]  | [ ]  | 1 |  |
| 2.1.2.3 | PRECON (“PRE-advice of CONsignment”): routeing information about a con­signment of mail which has been prepared for handover to a carrier | [ ]  | [ ]  | 1 |  |
| 2.1.2.4 | RESCON (“RESponse to CONsignment”): information about a consignment of mail that has been received from a carrier, in response to a PRECON message | [ ]  | [ ]  | 1 |  |

*2.1.3 Postal consignments*

|  |  | *Yes* | *No* | *Points* | *Comments* |
| --- | --- | --- | --- | --- | --- |
| 2.1.3.1 | CARDIT (“CARrier Documents International Transport”): information sent by the origin or transit DO to its local carrier or transport handling agent about a con­signment of postal mail that is handed over to a carrier[[7]](#footnote-8) | [ ]  | [ ]  | 1 |  |
| 2.1.3.2 | RESDIT (“RESponse to Documents International Transport”): information about the consignment of postal mail that has been received by the carrier | [ ]  | [ ]  | 1 |  |

*2.2 IT tools*

*2.2.1 IT systems*

|  |  | *Yes* | *No* | *Points* | *Comments* |
| --- | --- | --- | --- | --- | --- |
| 2.2.1.1 | International Postal System (IPS) or other1 | [ ]  | [ ]  | 1 |  |
| 2.2.1.2 | Customs Declaration System (CDS) or other1 | [ ]  | [ ]  | 1 |  |
| 2.2.1.3 | Internet-Based Inquiry System (IBIS), Registered Articles Inquiry System (RAIS) or other1 | [ ]  | [ ]  | 1 |  |
| 2.2.1.4 | GMS Statistical System for Analysis and Reports (STAR) or other | [ ]  | [ ]  | 1 |  |
| 2.2.1.5 | Global Track and Trace (GTT), IPS Web Tracking or other | [ ]  | [ ]  | 1 |  |

**3 Supply chain**

*3.1 Customs procedures*

|  |  | *Yes* | *No* | *Points* | *Comments* |
| --- | --- | --- | --- | --- | --- |
| 3.1.1 | Is there a clearly defined customs clearance process for international mail (E2E process mapping)?1 | [ ]  | [ ]  | 1 |  |
| 3.1.2 | Do you or your Customs sort inbound mail according to WCO recommendations (in compliance with the International Convention on the Simplification and Harmonization of Customs Procedures and Revised Kyoto Convention), i.e. post­cards and letters containing personal messages only, literature for the blind, and printed papers not subject to import duties and taxes should not normally have to be presented to Customs?[[8]](#footnote-9)If not, please describe the procedures applied. | [ ]  | [ ]  | 1 |  |
| 3.1.3 | Is customs process mapping (agreed by Customs) clearly defined for: |  |  |  |  |
| 1. Parcels
 | [ ]  | [ ]  | 1 |  |
| 1. Letter-post items
 | [ ]  | [ ]  | 1 |  |
| 3.1.4 | Are addressees notified about international items presented to Customs? | [ ]  | [ ]  | 1 |  |
| 3.1.5 | Is customs address data captured at source (by sender)? | [ ]  | [ ]  | 1 |  |
| 3.1.6 | Are CN 22/23 forms in compliance with UPU standards? | [ ]  | [ ]  | 1 |  |
| 3.1.7 | Has a service-level agreement (SLA) or memorandum of understanding been con­cluded between Post and Customs? | [ ]  | [ ]  | 1 |  |
| 3.1.8 | Does the OE send ITMATT messages to those DOs that are capable of receiving them? | [ ]  | [ ]  | 1 |  |
| 3.1.9 | Does the OE exchange CUSITM and CUSRSP or other similar messages with local Customs? | [ ]  | [ ]  | 1 |  |

*3.2 Transport*

|  |  | *Yes* | *No* | *Points* | *Comments* |
| --- | --- | --- | --- | --- | --- |
| 3.2.1 | Are shuttle schedules posted at dispatch and dock areas? | [ ]  | [ ]  | 1 |  |
| 3.2.2 | Provide the timetable for the transport of mail between the airport and the postal operator’s facilities.1*(To be provided as an annex to the questionnaire in order to receive points)* | ❑ | ❑ | 1 |  |
| 3.2.3 | Are scheduled transports of mail between the airport and the postal operator recorded and respected? | [ ]  | [ ]  | 1 |  |
| 3.2.4 | Provide transport schedules (from all included countries) for inbound mail (all cate­gories).[[9]](#footnote-10)*(To be provided as an annex to the questionnaire in order to receive points)* | [ ]  | [ ]  | 1 |  |

*3.3 Security*

|  |  | *Yes* | *No* | *Points* | *Comments* |
| --- | --- | --- | --- | --- | --- |
| 3.3.1 | Are you certified against S58 and S59? | [ ]  | [ ]  | 1 |  |
| 3.3.2 | Is equipment used? If yes, please list the different equipment (CCTV, X-ray machines, etc.). | [ ]  | [ ]  | 1 |  |
| 3.3.3 | Does the postal operator have a special security unit? | [ ]  | [ ]  | 1 |  |

**4 Service reliability**

*4.1 E2E process mapping*

|  |  | *Yes* | *No* | *Points* | *Comments* |
| --- | --- | --- | --- | --- | --- |
| 4.1.1 | Is the international mail process defined, mapped and documented for all inter­national products from posting to delivery (for outbound) and from arrival of the aircraft up to delivery (for inbound)?[[10]](#footnote-11) *(To be provided as an annex to the questionnaire in order to receive points)* | [ ]  | [ ]  | 1 |  |
| 4.1.2 | Are quality of service objectives for international parcels and untracked letters defined? If yes, please complete the following table.1 | [ ]  | [ ]  | 1 |  |

|  |  |  |  |
| --- | --- | --- | --- |
|  | *Domestic standardse.g. J[[11]](#footnote-12)+1 95%* | *International outbound standardse.g. J2+1 90%* | *International inbound standardse.g. K[[12]](#footnote-13)+1 90%* |
| *UPU parcels* | *Untracked letters* | *UPU parcels* | *Untracked letters* | *UPU parcels* | *Untracked letters* |
| City |  |  |  |  |  |  |
| Outskirts/rural |  |  |  |  |  |  |
| Whole country |  |  |  |  |  |  |

|  |  | *Yes* | *No* | *Points* | *Comments* |
| --- | --- | --- | --- | --- | --- |
| 4.1.3 | Are performance reports available for international products? | [ ]  | [ ]  | 1 |  |
| 4.1.4 | Is there a structured quality control system and programme for quality perfor­mance?[[13]](#footnote-14) | [ ]  | [ ]  | 1 |  |
| 4.1.5 | Is transponder data analyzed? | [ ]  | [ ]  | 1 |  |
| 4.1.6 | Are diagnostic gateways located at handover points? | [ ]  | [ ]  | 1 |  |
| 4.1.7 | Do all inbound items pass through those gateways? | [ ]  | [ ]  | 1 |  |
| 4.1.8 | Are there procedures to ensure that all items carrying transponders pass through the diagnostic gateways? | [ ]  | [ ]  | 1 |  |

*4.2 Service-level agreements with carriers, Customs and other actors*

|  |  | *Yes* | *No* | *Points* | *Comments* |
| --- | --- | --- | --- | --- | --- |
| 4.2.1 | Is there an agreed handover time between the carrier/handling agent and the postal operator? | [ ]  | [ ]  | 1 |  |
| 4.2.1.1 | Do you monitor adherence to the agreed handover times and take action if nec­essary?Please give examples. | [ ]  | [ ]  | 1 |  |
| 4.2.2 | Are the results of the quality controls used as a basis for corrective actions or bonus payment systems (SLA) with carriers?[[14]](#footnote-15)If so, how? | [ ]  | [ ]  | 1 |  |
| 4.2.3 | Are staff aware of quality of service objectives? | [ ]  | [ ]  | 1 |  |
| 4.2.4 | Are performance indicators and results visible to staff? |  |  |  |  |
| 1. UPU parcels reports
 | [ ]  | [ ]  | 1 |  |
| 1. GMS, QCS, QCS Big Data, IQRS, etc.
 | [ ]  | [ ]  | 1 |  |
| 1. Other
 | [ ]  | [ ]  | 1 |  |
| 4.2.5 | Is data in the UPU Letter Post and Parcel Post Compendia, EMS Operational Guide, PRIME standards manual, and other such publications updated?1How often do you revise that data? | [ ]  | [ ]  | 1 |  |
| 4.2.6 | Are there instructions for staff on: |  |  |  |  |
| 1. Dispatch opening times?[[15]](#footnote-16)
 | [ ]  | [ ]  | 1 |  |
| 1. Cut-off times?1
 | [ ]  | [ ]  | 1 |  |
| 1. Dispatch closing times?1
 | [ ]  | [ ]  | 1 |  |
| 1. Transport loading and departure times?1
 | [ ]  | [ ]  | 1 |  |
| 4.2.7 | Are follow-up actions taken if irregularities or failures are identified? | [ ]  | [ ]  | 1 |  |

1. Mandatory requiring a positive answer. [↑](#footnote-ref-2)
2. Mandatory requiring a positive answer. [↑](#footnote-ref-3)
3. Mandatory requiring a positive answer. [↑](#footnote-ref-4)
4. Mandatory requiring a positive answer. [↑](#footnote-ref-5)
5. Mandatory requiring a positive answer. [↑](#footnote-ref-6)
6. Mandatory requiring a positive answer. [↑](#footnote-ref-7)
7. Mandatory requiring a positive answer. [↑](#footnote-ref-8)
8. Mandatory requiring a positive answer. [↑](#footnote-ref-9)
9. Mandatory requiring a positive answer. [↑](#footnote-ref-10)
10. Mandatory requiring a positive answer. [↑](#footnote-ref-11)
11. Date of posting (for domestic items and international outbound items). [↑](#footnote-ref-12)
12. Date of arrival at the OE (for international items arriving before LAT). [↑](#footnote-ref-13)
13. Mandatory requiring a positive answer. [↑](#footnote-ref-14)
14. Mandatory requiring a positive answer. [↑](#footnote-ref-15)
15. Mandatory requiring a positive answer. [↑](#footnote-ref-16)