

## **Postal Transport Guide**

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#### 1 Purpose of the Postal Transport Guide

#### 1.1 Introduction

This Postal Transport Guide is planned as a living document on the UPU website. It is to be easily updateable, as experience is gained or conditions change.

The guide is an information source for postal staff dealing with postal transport and transit.<sup>1</sup> It deals with all modes of international postal transport: air, maritime, road and rail.

It is intended as a means by which staff can become acquainted with the various aspects of postal transport and transit.

Bearing in mind that the guide provides updated, coherent and comprehensive information on UPU transportrelated matters, UPU designated operators (DOs) should include the guide in the syllabus of their postal schools.

The guide is maintained by the Transport Group of the UPU Postal Operations Council (POC).

For any questions, comments or suggestions concerning this guide, please contact: transport@upu.int.

- 1.2 International organizations involved
- Postal sector: Universal Postal Union (UPU) a specialized agency of the United Nations, catering to the needs of its 192 member countries, irrespective of their geographical location.
- Customs sector: World Customs Organization (WCO) intergovernmental organization for standards and technical support for the harmonization of customs procedures.
- Aviation sector:
  - International Air Transport Association (IATA) trade association for airlines for industry policy and standards.
  - International Civil Aviation Organization (ICAO) UN specialized agency responsible for developing international civil aviation standards.
- Rail sector:
  - Intergovernmental Organisation for International Carriage by Rail (OTIF) intergovernmental organization that promotes, improves and facilitates international traffic by rail.
  - Organization for Cooperation of Railways (OSJD) intergovernmental organization that works to improve the coordination of international rail transport of passengers and goods.
  - Others: International Coordinating Council on Trans-Eurasian Transportation (CCTT), International Rail Transport Committee (CIT), Community of European Railway and Infrastructure Companies (CER), etc.
- Maritime sector: International Maritime Organization (IMO) UN specialized agency with responsibility for the safety and security of shipping and the prevention of marine and atmospheric pollution by ships.

Regional governmental organizations such as the European Union (EU) will also impact postal transport.

#### 1.3 A perspective on postal transport

Most people reading this guide will have travelled internationally at some point.

<sup>&</sup>lt;sup>1</sup> For the purposes of this guide, "transport" is when a DO uses carriers such as airlines, rail companies or a shipping company, and "transit" is when an origin DO uses the services of another (transit) DO.

Consider all of the planning that you do to prepare for such a trip:

- Is the departure time convenient?
- Is the arrival time suitable?
- Are the transfers too short or too long?
- Is the transfer airport convenient?
- Is the transport available?
- What is the cost?
- Is the transport company reliable?

These questions, and others, are also important when planning for the international transport of postal items.

Now consider that in every country, customers can mail letters, packets, parcels and EMS items to any other country in the world, every day. Also consider that, from a service perspective, there are typically two categories: priority and non-priority.

The staff responsible for defining the postal operational network for an origin DO must plan direct international transport and transit to every destination country in the world, and do so such that it is reliable and logical for every day of the week and every season of the year, both for priority and non-priority postal items.

This can be a very complex task, especially considering the changeability of conditions: daily and seasonal mail volumes, transport schedules, carrier capacities, latest handover times (LHOTs) at origin, office of exchange (OE) and Customs working hours, service agreements with carriers, electronic data requirements in transit/destination countries, negotiations with transit DOs, arrangements for transhipment, LHOT at destination, etc.

There is also added complexity because the operational transport plan (e.g. flights, surface transport routes and transit arrangements) must be loaded into the IT dispatch system in a timely manner, so that when the origin OE creates a receptacle label, the routeing information is included.

The use of transit à découvert (open transit) and closed transit (both described later in this document) by an origin operator can, and does, simplify the planning required, but it is not uncommon for an origin DO to have dispatches to over 100 destination countries on a daily basis.

The quality of this transport and transit planning directly influences the quality of service. This complex and important task takes place in every origin and transit DO. It is important that, within the DO, these complexities are recognized and appropriately resourced.

#### 2 Basic postal process

#### 2.1 UPU postal products and services

The following diagram depicts the UPU products and services:



As depicted above, postal products are classified as letter post, parcel post or EMS. Letter post covers items such as letters and postcards, which are typically not subject to systematic customs control. Letter post also includes small packets and M bags (direct bags of printed papers for the same addressee at the same address), both of which are subject to customs control. Parcel post, including the ECOMPRO parcel, is subject to customs control. EMS items can contain either documents or goods. EMS items containing goods are subject to customs control. Those containing documents may be subject to customs control, depending on the national legislation of the destination country.

#### Registered/insured letter post

Registered letter post is a mandatory supplementary service. The add-on registered service does not apply to parcel post or EMS, as parcels and EMS items already have the same features as registered letter post.

Insured letter post is an optional service. Many DOs do not accept insured letter post. Insured parcel post is also optional but much more widely used than insured letter post.

As of 1 January 2014, registered (and insured) letter post must be dispatched as priority (category A or optionally D).

#### 2.2 Small packets/parcels

A small packet is a letter-post item weighing up to 2 kg that contains goods. The distinction between a letterpost small packet and a parcel is the mail stream in which the item is handled (letter post or parcel post) and the basic attributes of the product. The basic attributes of parcels include tracking, liability and signature on delivery. In general, to Customs, the assessment of duty and tax is the same for a packet or a parcel. However, the postal labelling of the items, the handling by the DOs, and the remuneration between DOs is different for small packets versus parcels, as indicated below:

	Small packet	Parcel	
Regulatory basis	Convention Regulations (Letter Post Regulations)	Convention Regulations –(Parcel Post Regulations)	
Customs declaration	CN 22 – optionally CN 23	CN 23 (may be part of CP 72 manifold set)	
Weight	0–2 kg	0–20 kg (optionally to 30 kg)	
Remuneration between DOs	Terminal dues	Inward land rates	
Dispatch bill/ receptacle label	CN 31 letter bill/CN 34, CN 35 or CN 36 receptacle labels	CP 87 parcel bill/CP 83, CP 84 or CP 85 receptacle labels	
Barcoded item identifier	A barcoded unique item identifier con- forming to UPU Technical Standard S10 is mandatory for electronic advance data (EAD) purposes (EAD is described later in this document)	<ul> <li>A barcoded unique item identifier cor</li> <li>forming to UPU Technical Standard S1</li> <li>a is mandatory. This may be applied sepa</li> <li>n rately or included on the CN 23.</li> </ul>	

#### 2.3 Products and services related to transportation

Some products and services are called supplementary services. Certain supplementary services are mandatory. Others are optional at the discretion of the origin, while yet others are optional requiring agreement between origin and destination.

Some products are related to transportation in that their presence must be indicated on labels or delivery billsfor example, registered items, insured items and tracked items.

#### 3 Definition of terms and overview of postal item, postal receptacle, dispatch and consignment

This section seeks to familiarize staff of DOs with the key elements involved in transport. It includes a special focus on "consignment", which is used only for transport.

The postal operation typically consists of the following hierarchical elements:<sup>2</sup>

 Postal item: A letter, postcard, letter post small packet, letter post M bag, parcel, EMS item, etc. Trackable items have a unique item identifier. Standard S10 is the applicable UPU technical standard for item ID, used on trackable items (e.g. registered, insured or express letter post, parcels, and EMS).<sup>3</sup>

It should be noted that an ordinary small packet containing goods also bears a S10 barcode, used to link the item-level information with the receptacle it is in, rather than for track-and-trace purposes for the customers.

- Postal receptacle: A unit of a dispatch. The postal receptacle is typically a bag or a tray containing postal items. It has a standard 29-character barcoded receptacle ID. Postal receptacles are a physical entity handled by carriers. The receptacle ID is used by carriers, as well as by DOs. The applicable UPU technical standard for the receptacle ID is S9.
- Postal dispatch: Each postal receptacle is a component of a postal dispatch and has a standard 20-character dispatch identifier. The dispatch identifier is part of the 29-character receptacle ID. The applicable UPU technical standard for the dispatch ID is S8.

<sup>2</sup> Within the UPU, the use of terminology related to items, receptacles, dispatches, dispatch series and consignments can be inconsistent. For the purpose of the Transport Guide, the terminology as described here is used.

<sup>&</sup>lt;sup>3</sup> UPU standards (both technical and messaging) are available for purchase (subscription or individual copy) via the UPU website at www.upu.int/en/Postal-Solutions/Programmes-Services/Standards.

- Postal dispatch series: Postal dispatches are sequentially numbered within a dispatch series that is
  established between the origin OE and destination OE. This dispatch series is 15 characters and is also
  part of the receptacle ID.
- Postal consignment: Postal receptacles are also included in consignments, for transport purposes. A
  consignment consists of the receptacles assigned to a specific transport, regardless of the dispatch (or
  dispatches) to which the receptacles belong.

The principle of postal dispatches is the basis for all operations and accounting between DOs. In its simplest form it operates as follows:

Each dispatch from an origin OE to a destination OE, for each class of mail (and where necessary, subclass), is sequentially numbered, with the number being reset for the first dispatch of the calendar year. This is the "dispatch number".

Each dispatch is accompanied by a paper (letter or parcel) bill describing the dispatch, in terms of the number of receptacles, weight, etc. DOs may agree bilaterally or multilaterally that the (letter or parcel) dispatches that they exchange need not be accompanied by a paper (letter or parcel) bill, as the PREDES 2.1 message provides similar information electronically. For the first dispatch of the calendar year, the last dispatch number of the previous calendar year is also included on the (letter or parcel) bill. The (letter or parcel) bill is placed inside one of the receptacles of the dispatch, typically the last one of the dispatch.

Destination OEs file the (letter or parcel) bills in order of dispatch number for each origin OE and product. Thus, a missing dispatch can be detected immediately on receipt of the next dispatch.

As an example, if priority letter-post dispatch number 0123 of 2012 from Zurich OE to Montreal OE has been received, but dispatch number 0122 has not, then Montreal can immediately know that dispatch number 0122 may have gone astray and can create a verification note so that Zurich OE can initiate investigations.

As well, a dispatch may consist of only one receptacle (e.g. bag or tray) or may comprise several receptacles, depending on the volume of mail at the time. But individual receptacles of a dispatch do not always stay together as they progress through the supply chain. The (letter or parcel) bill also identifies the number of receptacles dispatched, so the destination can ensure not only that the postal dispatch is duly received but also that each of the receptacles that made up the dispatch is received. Of course, it is of critical importance that the destination receives the bill. Accordingly, the label of the receptacle that carries the bill is marked with a large "F" (for "forms"). This receptacle is often called the "F bag".

#### 3.1 Dispatch series

Postal dispatches are sequentially numbered by dispatch series. The dispatch series consists of 15 characters:

- 6-char origin OE (international mail processing centre IMPC) code.
- 6-char destination OE (IMPC) code.
- 1-char mail category (A, B, C, or optionally D).
- 2-char mail subclass (the first character is mail class U, C, E, or T). The second character is used to distinguish different dispatch series within the mail class.

**Note.** – Mail category and dispatch-level mail subclass, linked together, form the 3-character "dispatch type". An example of a dispatch series is CAYMQACHZRHBAUN, where:

- CAYMQA is MONTREAL, the operator being Canada Post (code list 108<sup>4</sup>).
- CHZRHB is ZURICH 1, the operator being Swiss Post (code list 108).
- A refers to "airmail or priority mail" (code list 115).
- UN refers to "LETTERS LC/AO" (code list 117).

Another example of a dispatch series is CAYMQACHZRHBAUL. Mail in this dispatch series consists of LETTERS – LC.

The co-existence of two dispatch series for priority letter post from MONTREAL to ZURICH 1 indicates that there is a business reason for having the two. Otherwise there would be only one.

The dispatch series is an important element carried throughout all aspects of operations and accounting, and is defined in the Convention Regulations in articles 17-120 and 17-223. The term exists in the International Postal System (IPS) and appears on the CN 31 letter bill and the CP 87 parcel bill created by recent versions of IPS, even though it does not yet appear on the UPU model forms.

#### 3.2 Dispatch

Within each dispatch series, individual dispatches are created, each with a unique dispatch ID. UPU Technical Standard S8 defines the postal dispatch identifier, which consists of 20 characters:

- 15-char dispatch series.
- 1-char dispatch year ("2" is 1992, 2002, 2012, 2022, etc.).
- 4-char dispatch number, sequentially assigned.

A dispatch can consist of one or many receptacles, depending on the volume of mail at the time.

#### 3.3 Receptacle

Each receptacle of a dispatch has a receptacle ID. UPU Technical Standard S9 defines the postal receptacle identifier, which consists of 29 characters:

- 20-char dispatch ID.
- 3-char receptacle serial number.
- 1-char highest numbered receptacle indicator.
- 1-char registered/insured indicator.
- 4-char receptacle weight.

The 29-character receptacle ID is in barcoded format (symbology code 128) on receptacle labels. It is this entity that is created by origin OEs and scanned by transit and destination DOs and carriers such as airlines.

When the receptacle ID is scanned, the dispatch ID and the dispatch series are automatically captured. Thus, a single scan captures the origin and destination OEs, the mail category, the mail class and subclass, indicators as to whether the receptacle is the highest numbered in the dispatch and whether it contains registered or insured items, and the gross weight.

Entity name and example			Data element name	)	UPU refei	ence or content definition	Position Length Format	Example			
						IMPC of origin – coo	de	The origin	and destination IMPCs must be in UPU code list 108	1–6 6 Alpha	DEFRAA
		ries	SAAUN			IMPC of destination	– code			7–12 6 Alpha	NLAMSA
	027	atch-Se	NLAM:	/be		Mail category code		The mail of	ategory code must be in UPU code list 115	13 1 Alpha	A
258	Dispatch-ID LAMSAAUN40	Diens	<i>Disp</i> e DEFRAA	Dispatch-T)	AUN	Mail sub-class code (dispatch-level)	Mail class code 2nd character of mail sub-class	The mails (The 1st defined in	sub-class code must be in UPU code list 117 character of the mail sub-class is the mail class code – code list 116.)	14–15 2 Alpha (unless bilateral agreement as alphanumeric)	UN
e Identifier \40027002000	S8 DEFRAAN					Dispatch-year		Last digit e.g. 4 – 19 For each dispatch subseque	of calendar year, 994, 2004, 2014, 2024. dispatch-series, the dispatch-year is adjusted for the 1st of the calendar year and remains constant for each nt dispatch throughout the year.	16 1 Numeric	4
9 Receptacl						Dispatch-number		Numeric number is calendar dispatch t	(0001–9999). For each dispatch-series, the dispatch- initialized (typically to 0001) for the 1st dispatch of the year and is incremented by one for each subsequent proughout the year.	17–20 4 Numeric	0027
S. FRAAN						Receptacle serial nu	umber	Numeric ( dispatch.	001–999). This is the number of the receptacle within the	21–23 3 Numeric	002
DEI						Highest numbered r indicator (unless bila use an alternative)	receptacle aterally agreed to	0 – No 1 – Yes 9 –	The receptacle is not the highest numbered receptacle in the dispatch The receptacle is the highest numbered receptacle in the dispatch No information is available in the barcode	24 1 Numeric	0
						Registered/insured bilaterally agreed to alternative)	indicator (unless use an	0 – No 1 – Yes 9 –	Receptacle does not contain registered and/or insured items Receptacle contains registered and/or insured items No information is available in the barcode	25 1 Numeric	0
						Receptacle weight		Gross wei exceeds 9	ght in 1/10 kilos. The decimal is not included. (If this weight 199.8 kg, then the value 9999 is included).	26–29 4 Numeric	0258
29 char	20 char	15	5 char	3 cha	ar						

#### 3.4 Relationship between receptacle ID, dispatch ID, dispatch series, dispatch type

#### 3.5 Consignment

In the UPU Regulations, the term "consignment" is used in two different contexts: one refers to an optional postal product (see article 18-005 on the consignment service) and the other relates to transport (see article 17-011). Some documents use the term "item" and "consignment" interchangeably. This guide uses the article 17-007 meaning of the term "consignment".

As noted, receptacles of a dispatch may not all travel together. And they may not travel on the same transport that was planned when the dispatch was created. Receptacles of several different dispatches may travel on a specific transport. An operator may receive receptacles created by another operator and forward them onward, along with its own originating receptacles. (This is called "closed transit".)

Thus, a consignment consists of the receptacles assigned to a specific transport (e.g. flight, origin and destination airports, date), regardless of the dispatch (or dispatches) to which the receptacles belong.

Whereas a dispatch is generally defined by a letter or parcel bill (forms CN 31, CN 32 and CP 87), a consignment is defined by a delivery bill (forms CN 37, CN 38, CN 41 and CN 47) or its electronic equivalent.

The consignment is used in the transportation function, both for operational control and for accounting between the DO and the carrier.

Operationally, the consignment moves the receptacles between an origin IMPC acting as a mail unit and a destination IMPC acting as a mail unit, typically via a carrier.

From an accounting perspective, the consignment is the basis for payment from the DO initiating the consignment to the carrier (e.g. an airline).

UPU Technical Standard S32 defines the consignment ID, which consists of up to 12 characters:

- 2-character ISO country code;
- Up to 10-character unique identifier for the consignment, structured according to national specifications.

It is important to note the difference between "dispatch ID" and "consignment ID". The dispatch ID is a component of the receptacle ID. Thus, the dispatch to which a receptacle belongs is immediately identifiable. However, the consignment ID is not a component of the receptacle ID. Thus, the consignment to which a receptacle belongs cannot be determined from the receptacle ID, or from the other information on the receptacle label. Moreover, a receptacle may be a component of more than one consignment as it is transported from origin OE to destination OE (e.g. in closed transit).

The delivery bills (CN 37, CN 38, CN 41, CN 47) are the UPU forms providing consignment information. The data element captioned "serial No." is the equivalent of the consignment ID. Within UPU electronic data interchange (EDI) messaging standards, the consignment is covered by the PRECON, which is sent to the destination DO, and the CARDIT, which is sent to the carrier.

Consignments (delivery bills and/or CARDIT messages) are very important to carriers, as they define the shipment as mail, and therefore subject to postal customs clearance. Typically, it is the presence of UPU consignment information (paper-based or electronic) that enables the receptacles to be moved from the custody of the carrier to that of the destination DO for postal customs clearance.

#### Dispatch versus consignment

A dispatch is a set of receptacles with the same dispatch ID. Thus, all of the receptacles of a dispatch share the characteristics in the dispatch ID: same origin, destination, mail category, mail class and subclass, and same dispatch number within the calendar year. The dispatch may comprise one receptacle or many receptacles. UPU forms CN 31/CN 32 letter bill and CP 87 parcel bill describe the dispatch. In an automated system, the PREDES message describes the dispatch, as well as the receptacle labels.

A consignment is quite different. Individual receptacles of a dispatch may not necessarily end up travelling together. Receptacles of a dispatch may be split up anywhere in the supply chain. A consignment is the list of receptacles assigned to a specific transport. Thus, a consignment may contain all the receptacles of a dispatch,

or only some of them. It may contain receptacles from more than one dispatch. Moreover, it may contain receptacles created by more than one DO. UPU delivery bill forms CN 37, CN 38, CN 41 and CN 47 for surface, air, surface airlifted (S.A.L.) and empty receptacles describe the consignment. In an automated system, the PRECON and CARDIT describe the consignment.

#### 3.6 International mail processing centres

This section is to familiarize staff of DOs with IMPCs. To manage transport, it is necessary to be very familiar with the principles of IMPCs. An IMPC may be either an OE, a mail unit, or both.

#### Offices of exchange

A key principle of international mail is that DOs of UPU member countries establish the OE from which all outbound mail is dispatched and at which all inbound mail is received. International mail exchanged between countries thus actually moves between OEs. DOs train and equip the staff in OEs to "internationalize" outbound mail based on standards and regulations, and to "domesticate" inbound mail, to the extent possible, based on its own products and processes. An operator in a large country may have only one OE or it may have several. The number of OEs is always far smaller than the number of postal facilities handling domestic mail. Work in an OE is typically quite specialized and distinct from that in an office processing domestic mail.

#### Office of exchange versus mail unit

Within the standards, an OE creates and receives dispatches. Thus, it creates and receives letter or parcel bills (CN 31, CN 32, CP 87), or the EMS equivalent, as well as receptacles. For inbound, an OE actually opens the receptacles. An OE creates and receives PREDES and RESDES messages.<sup>5</sup>

A mail unit creates and receives consignments. Thus, it creates and receives delivery bills such as CN 37, CN 38, CN 41 and CN 47. The term "mail unit" is a standards term. It is not used in the UPU Regulations.

An IMPC is typically both an OE and a mail unit. If, however, an OE creates dispatches (and thus receptacles) and forwards them to another office for consolidation onto transport (such as flights), then the IMPC is an OE but not a mail unit.

An outbound (export) IMPC that is only a mail unit receives receptacles created by OEs, records them on a delivery bill and manages the handover to the carrier (e.g. airline). An inbound (import) IMPC that is only a mail unit receives receptacles from the carrier, endorses their receipt, and forwards them to an OE to be opened, or it may forward them onward in another consignment.

An example of an IMPC that is a mail unit only is GBLGWA GATWICK AMU. This IMPC does the handover between the carrier and the DO, creating and receiving consignments. It does not originate postal receptacles, so it is not an OE.

#### IMPC registration

For accounting and operational purposes, it is essential that IMPCs be unambiguously identified in all communications between postal handling organizations and that all parties involved be aware of the categories and classes of mail that can be handled in any given IMPC.

To fulfil this need, the UPU has developed a mechanism for uniquely identifying IMPCs and a process for the registration and publication of their processing capabilities. Standard S34 defines the structure of the identification code used and specifies the procedures for the allocation of codes and for the registration, updating and publication of IMPC data.

The complete list of registered IMPCs is published in UPU code list 108 (Standards Code List Management System – SCMS), accessible via the Standards Section of the UPU website (www.upu.int);

<sup>5</sup> PREDES is the electronic equivalent of the letter/parcel bill, the receptacle labels and the list of trackable items. RESDES is the electronic confirmation of processing of the receptacle at destination. They are described in more detail later in this document.

All IMPCs are registered, each with a specific 6-character code. IMPCs have also evolved from being physical entities (such as buildings), to logical entities in many cases.

The IMPC registrations are defined in code list 108. The structure of the IMPC code, as defined in UPU standard S34, is as follows:

- Characters 1–5 are the UN/LOCODE of the IMPC location, of which characters 1–2 represent the ISO country code.
- Character 6 is a qualifier to enable more than one IMPC code to exist within a UN/LOCODE.

IMPC code lists are at www.upu.int/en/Postal-Solutions/Programmes-Services/Standards.

IMPCs are published in three text code lists: 108 (IMPC codes, open offices), 108c (IMPC codes, full list (closed and open IMPCs)), and reference list 108d (IMPC addresses). These UPU code lists are directly based on UPU standard S34. It should be noted that code list 108c actually comprises expired registration entries rather than closed offices. If an IMPC attribute changes, the previous registration with the old attributes will still be included on 108c. The office itself may not be closed.

#### IMPC attributes

IMPCs are registered with various attributes:

- IMPC name (both 12- and 35-character);
- DO code;
- DO name (both 12- and 35-character);
- Physical address
- Contact information
- Function: OE, mail unit, or both;
- Mail flows: any combination of import, export or transit;
- Mail categories inbound: any combination of values (A, B, C, D) based on code list 115;
- Mail categories outbound: any combination of values (A, B, C, D) based on code list 115;
- Mail classes inbound: any combination of values (U, C, E, T) based on code list 116;
- Mail classes outbound: any combination of values (U, C, E, T) based on code list 116;
- Special type indicator: extraterritorial office of exchange (ETOE), military unit;
- Bilateral agreement indicator;
- Special restrictions.

A key purpose of code list 108 is the registration of the IMPC and to identify the DO.

#### IMPC DO

It is important to note that the IMPC DO or the UPU member country cannot be derived from the IMPC code itself. As an example, USLAXL is an IMPC in Los Angeles, but the IMPC is not operated by the United States Postal Service. It is an ETOE operated by Deutsche Post.

An IMPC may be an ETOE, that is an office or facility operated by, or in connection with, a DO on the territory of another country. ETOEs are established by DOs for commercial purposes to draw business in markets outside their own national territory (Congress resolution C 6/2012).

National policies of UPU member countries on ETOEs vary and can be accessed on the UPU website at www.upu.int/en/Members-Centre/Policies-Regulation/Extra-Territorial-Offices-of-Exchange-(ETOEs). It should be noted that since military offices are not established for commercial purposes, they are not classed as ETOEs even though they may be on another country's territory.

The DO of an IMPC can only be determined by referring to code list 108. DOs should regularly review their own IMPCs to confirm that they correctly relate to their operations. Receiving DOs define whether an IMPC receives all mail classes or only some of them. DOs should also review the lists to ensure they are using valid and correct destination IMPCs.

Functional changes to IMPCs are often announced by DOs via International Bureau (IB) circulars. Users can also subscribe to updates to the code lists via the request form for mailing lists on the UPU website (www.upu.int/en/Postal-Solutions/Programmes-Services/Standards).

#### Physical versus logical

An IMPC is not necessarily a physical entity, such as a building. It has evolved to become more of a logical entity. Thus, there can be several IMPCs not only in the same UN/LOCODE area, but even in the same building. Similarly, functions of a single IMPC can take place in more than one building.

The sixth character of the IMPC code is the qualifier and is used to manage these situations.

#### 3.7 Mail category/mail class/mail subclass/dispatch year/dispatch number

This section seeks to familiarize staff of DOs with the data elements making up the receptacle ID.

#### Mail category

The term "mail category" is a UPU standards term. It is not (yet) well defined in the UPU Regulations but relates closely to boxes in the CN 31 and CN 32 letter bills and the CP 87 parcel bill.

It is important to note that the term "airmail" in the Regulations does not necessarily refer to a mode of transport. Rather, it can refer to a product. This is a common source of confusion. The UPU Regulations once referred to airmail as priority mail. However, between countries in close proximity, it can be faster to use surface transport. Many countries still call their fastest international letter or parcel mail product "airmail" in dealing with their customers, even though some of it travels by surface.

In UPU standards, mail category is defined in code list 115, as follows:

- A Airmail or priority mail
- B S.A.L. mail/non-priority mail
- C Surface mail/non-priority mail
- D Priority mail sent by surface transportation (optional code)

Mail category B is S.A.L., for "surface airlifted". S.A.L. can be implemented in a number of ways. An origin DO may decide that surface transport is not viable for its non-priority mail and may decide to use air transport at reduced priority for some or all destinations. This is usually based on a contract between the DO and the airline, and it is typical that an airline may have 7–14 days to provide the transportation. A minimum is needed so that S.A.L. does not erode priority mail volumes.

Another way origin DOs can implement S.A.L. is to have a separate product that is between the traditional airmail/priority and surface/non-priority. This gives customers three levels of service rather than two.

From a destination standpoint, inbound S.A.L. mail is equivalent to inbound surface mail in terms of priority and remuneration.

Mail category C (surface mail/non-priority mail) is sent by surface, which can be by sea, rail or land, or a combination.

Mail category D can be used for priority mail sent by surface, but it is generally preferable to use category A for priority mail – whether it is transported by air or surface. Mail category D can be used if, by bilateral agreement, the remuneration between DOs for priority mail sent by air differs from that for mail sent by surface.

#### Mail class

Mail classes are defined in code list 116, as follows:

- U Letters (LC/AO)
- C Parcels (CP)
- E EMS
- T Empty receptacles

In this context, "letters (LC/AO)" is synonymous with letter post. "LC/AO" is an abbreviation for the French "lettres et cartes postales/autres objets". "Parcels (CP)" is synonymous with parcel post. "CP" is an abbreviation for the French "colis postaux". "Empty receptacles" typically refers to the return of empty bags but may include the return of other equipment such as trays or containers.

#### Mail subclass

Mail subclass is a 2-character code, of which the first character is the mail class. In its simplest and most commonly used form, the second character is "N", which stands for "normal".

When there is a single dispatch series for a given mail category and class between two OEs, then the "N" variant is applied.

For example, if there is only one dispatch series for priority letter post, the mail subclass code is UN, and the dispatch type is AUN. Similarly, if there is only one dispatch series for surface/non-priority parcel post, the mail subclass code is CN, and the dispatch type is CCN.

However, there can be a business need for more than one dispatch series within a mail class between an origin OE and a destination OE. As an example, registered items are normally included with non-registered items in the same letter-post dispatch series. But an origin DO may opt to have a separate dispatch series containing exclusively registered items. It would then have one dispatch series as mail subclass UN (dispatch type AUN) and another as mail subclass UR (dispatch type AUR).

EMS is a good example of multiple mail subclass codes in common use. If origin DOs separate EMS documents from goods, then this is normally done at the dispatch-series level with mail subclass codes ED and EM (dispatch types AED and AEM). If documents and goods are commingled then the mail subclass code is EN (dispatch type AEN).

Some mail subclass codes are established to support multilateral agreements. An example is mail subclass CE, which is exclusively for EPG parcels (a multilaterally agreed parcel exchange network with remuneration conditions different from normal UPU parcels).

#### Dispatch-level versus receptacle-level mail subclass codes<sup>6</sup>

In UPU standards, mail subclass codes can be at dispatch level, receptacle level, and even item level. The receptacle ID uses only the dispatch-level mail subclass code. Thus, each receptacle in a dispatch has the same dispatch ID.

For example, a dispatch of mail subclass UN may include a receptacle of subclass UM (indicating it to be an M bag). In such a case, the characters "UN" would be in the barcoded receptacle ID that is on the receptacle label (in character positions 14–15 of the 29-character identifier) and in the receptacle ID for all receptacles in messages such as PREDES. The mail subclass code "UM" would be in the PREDES message in the receptacle class, which is a different data element in the PREDES message.

Dispatch-level mail subclass codes typically have a specific set of receptacle-level subclass codes (receptacle class) that are operationally logical. As an example, it is illogical for a dispatch of subclass type UM to have a receptacle of subclass UN.

<sup>6</sup> "Dispatch level" refers to all receptacles of a dispatch having the same value, whereas "receptacle level" refers to individual receptacles having different values.

In messages such as PREDES the mail subclass representing the receptacle class should be included only if the receptacle class is not the same as the dispatch-level mail subclass and only if the combination of the dispatch-level and receptacle-level mail subclass codes is permitted, based on code list 117a on allowed combinations.

Proper use of mail subclass codes, in conjunction with the handling class, at the dispatch and receptacle level is one of the largest areas of confusion for many operators.

#### Dispatch year

The dispatch ID includes a 1-character dispatch year.

UPU standards (and regulations) do not precisely define the dispatch date, or by extension the dispatch year. Some operators may base this on the dispatch-closed date, others on the receptacle creation date, and yet others on the departure date of the first planned transport. It is thought that the best practice is to base the dispatch year on the first planned transport date. This prevents the problem of some receptacles of the dispatch being created in year N and others in year N+1. However, it means that the date of the planned first transport must be known (and in the system) when the first receptacle is created. It also means that a dispatch closed on 31 December may have a dispatch number of 0001.

#### Dispatch number

For each dispatch series, the dispatch number is initialized (typically to 0001) for the first dispatch of the calendar year. The origin DO may, however, start at a number other than 0001, if there is a business reason to do so. For example, in cases of multiple dispatch series for the same mail category and class (but not subclass), the origin DO may choose to start one dispatch series for dispatch type AUN at 0001 and another for dispatch type AUL at 1001 so that the receptacle labels for the two-dispatch series are more distinguishable. Otherwise, it is possible to have two receptacle labels from different dispatches look very similar, i.e. the only difference being character 15 of the receptacle ID and thus hardly noticeable to the destination DO. Some operators also choose to have the first character of the dispatch number relate to a specific origin OE.

When initializing the dispatch number for a dispatch series at a number other than 0001, the origin DO must ensure that there are enough dispatch numbers available in the calendar year so that the dispatch numbering will be a logical increasing sequence throughout the calendar year. Using the first character to help identify the dispatch series limits the number of dispatches in the year to 999.

In addition, the (letter and parcel) bill of the first dispatch of the calendar year has the dispatch number of the last dispatch of the previous calendar year. This enables the destination DO to ensure that all dispatches are duly received, even when the numbering is re-initialized for the calendar year.

The PREDES message, which relates to the (letter or parcel) bill, also includes this feature. Thus, the first PREDES message for each dispatch series in the calendar year has, as an additional data element, the dispatch number of the last dispatch of the previous calendar year.

Ideally, automated systems should be designed such that there are no gaps in the numbering of dispatches. The current Regulations (which are based on manual numbering of dispatches) do not support having gaps in dispatch numbering. A "no mail" situation for a dispatch series on a specific transport (e.g. flight) can occur on any given date, especially for parcel post or EMS dispatches to low volume destinations. In such cases, the dispatch number should typically be automatically deferred to the next planned transport for the dispatch series.

#### 4 The mail pipeline

4.1 Process diagram (including EDI messages)



EMH: Unsuccessful (physical) delivery EMI: Final delivery

The typical physical flow and the supporting electronic messages related to transport are depicted in the diagram above. Please note that ITMATT messages, which serve as the electronic representation of customs declarations, are not depicted here. Please refer to section 4.3 for the EDI Guide, which provides comprehensive information on EDI messages.

The receptacle- and dispatch-level messages are quite closely related to international transport. The item event messages apply only to trackable (barcoded) items (e.g. registered or insured letter post, parcels, EMS) and can be indirectly related to transport, especially events EMC and EMD.

Typically, origin DOs create the EMC event and include item-level data in PREDES with a single scan.

The RESDIT, RESCON and RESDES messages are typically based on scanning the receptacle ID. As regards RESDES, this can be either on arrival at the destination OE, or it can be on opening the receptacle, as depicted above.

The process is as follows:

Operational event	Trackable item-level messaging	Dispatch- and receptacle-level messaging
Leg 1		
Item mailed at a post office	EMSEVT event EMA is captured and sent to destination DO. For some products this message is optional.	
Item arrives at outward OE	EMSEVT event EMB is captured and sent to destination DO. For some products this message is optional.	
Item is dispatched from outward OE	EMSEVT event EMC is sent to des- tination DO.	PREDES message is sent to destination DO. Note that PREDES establishes the item-ID-to-receptacle-ID linkage.

Operational event	Trackable item-level messaging	Dispatch- and receptacle-level messaging
Leg 2		
Receptacle with item is added to consignment (CN 37, CN 38, CN 41 and CN 47 delivery bill)		PRECON message is sent to destination of consignment, (which for closed transit will be a transit DO).
Consignment is handed over to carrier/handler for transportation		CARDIT message is sent to car- rier detailing the individual recep- tacles for which transport is requested.
Consignment is processed by carrier/handler at origin		RESDIT 74 message is sent by the carrier as confirmation (car- rier takes control/custody by reception/pickup).
Carrier surrenders control/ custody to consignee or agent at destination		RESDIT 21 message is sent by the carrier as confirmation that the consignment has been deliv- ered at the destination.
Receptacle arrives at destination of consignment (may be a transit DO or the destination DO)		Destination or transit DO sends a RESCON to origin DO that sent the PRECON.
Receptacle processed at inward OE – this may be arrival at inward OE or opening of the receptacle at inward OE		Destination DO sends RESDES message to origin DO who sent the PREDES.
Leg 3		
Item scanned after receptacle opened at inward OE	EMSEVT event EMD is sent to origin DO.	
Item presented to import Customs	EMSEVT event EDB is sent to origin DO.	
Item held by Customs (typically at inward OE)	EMSEVT event EME is sent to origin DO.	
Item returned from import Customs	EMSEVT event EDC is sent to origin DO.	
Item departs from inward OE (having cleared Customs)	EMSEVT event EMF is sent to origin DO.	
Item arrives at delivery office	EMSEVT event EMG is sent to origin DO. For some products this message is optional.	
Item arrives at collection point for pick-up	EMSEVT event EDH is sent to origin DO.	
Unsuccessful delivery (e.g. addressee not present to sign for item)	EMSEVT event EMH is sent to origin DO.	
Final delivery	EMSEVT event EMI is sent to origin DO.	

#### Transit item event

Operational event	Trackable item-level messaging	Dispatch- and receptacle-level messaging
Item arrives at transit OE (e.g. transit à découvert)	EMSEVT event EMJ is sent to origin DO.	
Item is dispatched from transit OE (e.g. transit à découvert)	EMSEVT event EMK is sent to origin DO.	

#### Notes. -

- Messaging Standards M48 and M49 clearly define the scanning sequence of different types of CARDIT and RESDIT messages. DOs and their respective carriers are requested to transmit the relevant types of consignment messages in accordance with the following standards.
- Several RESDIT events are expected to be provided by each carrier, to cover the transport stages of the mail. The list of possible RESDIT events is published in UPU code list 100. The events provided by each carrier depend on the exact process and agreement with the sending DO, but should be based on the event classification provided in UPU code list 100 (critical, supplementary and optional).

#### 4.2 S10 item ID/EMSEVT message

Almost everybody reading this guide will have used the S10 standard, as it is the 13-character barcoded item ID on all international trackable items (e.g. registered letters, parcels, EMS items). It is a standard used by the mailing public. Many DOs use the same standard for their domestic trackable items as well.

Standard S10 is a 13-character alphanumeric item identifier:

Characters	Content
1–2 alpha	Product/service indicator
3–10 numeric	Serial number
11 numeric	Check digit
12–13 alpha	Country code

The basic item-level events, as reflected in EMSEVT V3, are also depicted in the following diagram: note that the S10 item identifier is the reference for all these events.



#### 4.3 Electronic data interchange (EDI) guide

The UPU, IATA and International Post Corporation (IPC), with sponsorship from several EDI solution providers, have jointly developed and published an EDI guide entitled EDI: The key to post–airline supply chain integration. The guide shows the mail pipeline and associated postal EDI messaging, as well as the equivalent airline cargo messages. This guide is available on the UPU website at www.upu.int/UPU/media/upu/files/postalSolutions/ programmesAndServices/postalSupplyChain/Transport/UPU-IATA%20Cooperation/UpulatalpcEdiGuide2017SpreadEN.pdf.

The important features of the guide are as follows:

Highlights the importance of EDI for e-commerce and security;

- Provides an update on new versions of EDI standards and refers to EDI best practices;
- Places more emphasis on testimonials by EDI users;
- Includes a detailed introduction by the three organizations promoting EDI exchanges (IATA, UPU, IPC) and examines their joint collaborative initiatives;
- Offers a modern look and feel with improved readability.

#### 5 Types of transport and transit

This section outlines the various means of transport used in the international mail exchange.

For the purpose of this document, "transport" applies when only carriers (such as airlines) are involved; "transit" applies when a third-party DO is involved.

Transport refers to when a DO uses a single transport leg to move the mail directly from origin to destination.

Transit refers to when an origin DO uses the services of another (transit) DO for closed transit or open transit.

Transhipment (intraline or interline) refers to when an origin DO uses the services of one or two commercial carrier(s), such as airlines, to transfer mail from one flight to another at the transit airport without any involvement of the DO in a transit country.

Six types of transport and transit are used:

- i Direct transport
- ii Direct transhipment intraline
- iii Direct transhipment interline
- iv Closed transit
- v Transit à découvert (open transit)
- vi Closed small bags included in a receptacle

Note that when DOs and carriers exchange EDI messages the parties can agree that the transport be paperfree. This means that there will be no paper delivery bills, such as CN 38/CN 41, that follow the consignment from origin to destination.

#### 5.1 Direct transport

This is when a single transport leg moves the mail from origin to destination. This is the simplest and typically the most service-effective option. Several DOs are in "hub" countries where direct transport is readily available to many destinations. But the majority of DOs are in "spoke" countries, where transhipment or transit is required for most destinations.

The UPU Regulations encourage using the most direct route possible (see article 17-016). However, even when direct routeings are available, DOs may choose less direct routeings if the service requirements can be met and if they are more cost-effective.

Where maritime transport is involved, very few DOs can use direct routeing to many destinations.

#### 5.2 Direct transhipment – intraline

This is when the direct transhipment of consignments at the transit point is performed between transport routes operated by the same carrier. Typically, it is at a transit hub: e.g. KLM at Amsterdam, Lufthansa at Frankfurt, Cathay Pacific at Hong Kong.

Intraline transhipment has a high probability of success. It can also be quite easy to administer from an accounting standpoint, depending on the contract between the DO and the carrier.

Note that code sharing for air transport,<sup>7</sup> although common among airlines for passengers, typically does not include mail arrangements. When planning intraline transhipment, it can be important to determine the airline that actually operates the connecting flight in case of code sharing.

#### 5.3 Direct transhipment – interline

This is when the direct transhipment of consignments at the transit point is performed between transport routes operated by different carriers.

Interline transhipment requires careful planning. Without extensive planning and coordination involving the origin DO and the two carriers, as well as the ground handlers, this type of operation has a low probability of success.

Another method regularly used is for the origin DO to contract with one carrier for the whole route. This carrier is then responsible for contracting with the other carriers involved regarding all issues. This type of operation has a good probability of success.

<sup>7</sup> Code sharing is when one airline physically operates a flight, but other airlines include the same flight in their own passenger schedules using their own airline code and flight number.

#### 5.4 Closed transit

Closed transit is when receptacles are consigned to a transit DO to be forwarded onwards to the destination, along with the transit DO's own originating receptacles.

It can be important for the origin DO and transit DO to consult on closed transit arrangements. This is recommended in the Regulations, as some DOs may be better able to provide transit than others:

"Article 17-016 Routeing of dispatches

1 Dispatches, including closed transit dispatches, shall be forwarded by the most direct route possible.

2 When a dispatch consists of several receptacles, these shall as far as possible remain together and be forwarded by the same transportation.

3 The designated operator of origin may consult with the designated operator providing the closed transit service regarding the route to be followed by the dispatches sent in closed transit. The designated operator of the country of origin shall not enter information about the routeing to be followed by the designated operator providing the closed transit on the delivery bill (CN 37, CN 38, CN 41 or CN 47) or electronic equivalent, nor on the CN 34, CN 35 or CN 36 receptacle labels for letter post and the CP 83, CP 84 or CP 85 receptacle labels for parcels. The route information appearing on the delivery bill or electronic equivalent, and on the receptacle labels shall be limited to the route intended to transport the receptacles from the designated operator of origin to the designated operator providing the closed transit.

#### [...]"

With proper consultation and collaboration between the origin and transit DOs, closed transit can have a high probability of success. It has the significant advantage of not requiring the origin DO to plan and manage transport beyond the airport of transhipment, which can be quite complex. It can also be quite easy to administer from an accounting standpoint.

Closed transit is used when volumes warrant a closed dispatch, but the origin DO is not in a position to effectively plan the transportation all the way to the destination.

Closed transit is also very typical when maritime transport is involved.

#### 5.5 Transit à découvert (open transit)<sup>8</sup>

Transit à découvert is used when volumes do not warrant a closed dispatch.

Transit à découvert is when items (bundled letters, parcels) to a destination country are included inside receptacles (normally bags) dispatched to a third party (transit) DO. The transit DO then includes the transit à découvert postal items in its own receptacles along with its own originating items.

As outlined in the Regulations below, it is essential that the origin and transit DOs consult on transit à découvert arrangements. As with closed transit, some DOs are better than others as regards transit à découvert.

With consultation between the origin and transit DOs, transit à découvert can have a high probability of success. Note that such consultation is a regulatory requirement, both for letter and parcel post. It can also be quite easy to administer from an accounting standpoint.

"Article 17-117 Transit à découvert

1 The transmission of à découvert items to an intermediate designated operator shall be strictly limited to cases where the making up of closed mails for the country of destination is not justified. À

<sup>8</sup> The English version of the Regulations uses the term "transit à découvert".

découvert transmission shall not be used to countries of destination for which the weight of the mail exceeds three kilogrammes per mail or per day (when several dispatches are made in a day) and shall not be used for M bags.

[...]

3 The dispatching designated operator shall consult in advance the intermediate designated operators as to the suitability of using them for à découvert items to the destinations concerned. The dispatching designated operator shall notify the designated operators concerned of the date on which dispatch of mail in transit à découvert commences, providing at the same time the estimated annual volumes for each final destination. Unless otherwise agreed bilaterally by the designated operators concerned, this notification shall be renewed if, in a given statistical period (May or October) there were no à découvert items observed and, consequently, no account had to be issued by the intermediate designated operator. Items in transit à découvert shall, as far as possible, be sent to a designated operator which makes up mails for the designated operators of destination.

[...]

Article 17-219 Different methods of transmission

[...]

3 Designated operators may agree to effect exchanges in transit à découvert. The transmission of parcels in transit à découvert to an intermediate designated operator shall be strictly limited to cases where the make-up of closed mails for the country of destination is not justified. However, it shall be obligatory to make up closed mails if an intermediate designated operator states that the parcels in transit à découvert are such as to hinder its work.

- 3.1 Transit à découvert shall be possible only under the following conditions:
- 3.1.1 the intermediate designated operator makes up mails for the designated operator of destination;
- 3.1.2 the designated operator of origin and the intermediate designated operator agree to this service and to its date of commencement in advance and in writing or by e-mail.
- [...]"

As indicated in article 17-117.1, transit à découvert is not to be used for M bags. One way to comply with this regulation is for DOs to offer the M bag product only to those countries for which it has closed dispatches.

#### 5.6 Closed small bags included in a receptacle

This type of transit is (exceptionally) used when a DO is faced with forwarding a very small bag of mail that has arrived from an origin DO. Very small bags (i.e. with very few letter-post items) tend to be more vulnerable to errors.

The DO has the option of including the very small bags of postal items inside one of its own bags. Such receptacles can be more secure when they are forwarded in this manner.

Some DOs use this feature; others do not.

It is a variation of closed transit and has a high probability of success in getting the mail to the right destination.

PREDES V2.1 supports the accounting for this type of transit.

The diagrams on the following pages further explain the six types of transport.





A single airline is involved and the airline has its own, or contracted, ground handling arrangements at origin and destination airports. This type of transport has the highest probability of success.

## **Direct transhipment – intraline**



## **Direct transhipment – interline**



## **Closed transit**



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## **Open transit (transit à découvert)**





#### 6 Postal transport and transit – cost and accounting principles

#### 6.1 Letter Post Compendium and Parcel Post Compendium

The Letter Post Compendium Online (LPCO) and the Parcel Post Compendium Online (PPCO) are UPU publications that offer operational information on international letter- and parcel-post services for all countries. These resources are accessible on the UPU website at www.upu.int/en/Postal-Solutions/Programmes-Services/Compendia.

#### 6.2 Air transport

There are two international treaties that define the rules, regulations, forms, etc., for transport by air:

- The Warsaw and Montreal Conventions of the International Civil Aviation Organization (ICAO) do not include mail<sup>9</sup> in the definition of cargo; hence mail cannot be used under cargo conditions. This specifically means that mail cannot be carried under an IATA airway bill document and must instead be carried under a UPU CN 38 document.
- The UPU Convention and Regulations cover mail.

It is for this reason that all air cargo must be documented by an air waybill, whereas, from an air transport perspective, mail transported by air is documented by the UPU delivery bill (UPU form CN 38 or CN 41).

Notwithstanding the use of postal or cargo documents, whether or not an item can be mailed is a question entirely for the UPU, but the question of what can or cannot be transported by air is within the legal jurisdiction of ICAO.

For the transport of dangerous goods, the ICAO Conventions apply equally to mail.

The same principles that apply to air transport for dangerous goods also apply to the surface transport of mail.

Training on dangerous goods is available via the UPU website: www.upu.int/en/Universal-Postal-Union/ Outreach-Campaigns/Dangerous-Goods. More communication tools on the Dangerous Goods and Prohibited Campaign can also be found on the webpage.

The delivery bill (e.g. CN 38) and/or its electronic equivalent and receptacle labels (e.g. CN 35, CN 36, CP 84, CP 85) are very important – to DOs and airlines – for many reasons, including customs at airports. For the airline, the delivery bill and UPU standard receptacle labels define a shipment as being mail, rather than cargo or freight, and enable the airline processes relating to mail to be applied.

The UPU has memoranda of understanding or other arrangements with international organizations dealing with air transport (IATA for airlines and ICAO for civil aviation).

The origin DO is responsible for transporting mail to the destination or transit DO and incurs the cost of doing so. These costs are typically determined by the contract that the origin DO has negotiated with the transportation company. This applies to air transport, maritime transport and road transport. The UPU Convention and Regulations do not deal with this cost. However, for air transport, in the absence of a contract, DOs and airlines may use the basic airmail conveyance rate (BACR), even though the BACR is intended for financial settlements between DOs such as for accounting for closed transit and determining the rate for internal air conveyance (IAC) where it is applicable.

For air transport, the origin or transit DO must arrange transport to a suitable international airport in the country of destination. There is no UPU publication that defines which international airports are deemed suitable. This can typically be determined based on the IMPC code list. If there is any ambiguity, the origin DO should consult the destination DO.

Example: Halifax (YHZ) is an international airport in Canada. However, the DO in Canada does not have an OE in Halifax. From this it can be deduced that YHZ is not a suitable destination airport for mail, whereas Montreal (YUL), Toronto (YYZ) and Vancouver (YVR) are all suitable airports for mail.

<sup>9</sup> The rules applicable to dangerous goods are an exception. In these cases, the ICAO conventions can also refer to mail.

The origin DO must arrange for the airline to hand the mail over to the destination DO at a suitable location at the airport. Many DOs have airmail units with ramp-side access for this purpose. Alternatively, the arrangement may be that the airline must make the mail available at the airline facility for pickup by the destination DO.

If, for air transport, an origin DO uses direct transhipment, either intraline or interline, it is responsible for arranging payment to the airline (intraline) or airlines (interline). In the case of interline transhipment, the origin DO may arrange to pay both airlines directly, or it may arrange to pay one airline and have that airline pay the other. It is very important for the arrangements, both operational and accounting, to be defined in detail between the three parties.

The IATA–UPU Contact Committee has developed a framework for a postal service agreement between an airline and a DO. DOs can use this model agreement when negotiating and drawing up contracts. It is available on the UPU website at www.upu.int/en/Postal-Solutions/Programmes-Services/Postal-Supply-Chain/ Transport. Note that this framework is continually being improved.

The guidelines for using the Framework for a Postal Service Agreement between an airline and a DO aim to provide supplementary information on the provisions of the framework agreement in order to help DOs and carriers better understand and use the provisions. The guidelines can be accessed at www.upu.int/en/Postal-Solutions/ Programmes-Services/Postal-Supply-Chain/Transport.

#### 6.3 Maritime transport

Maritime transport typically involves close collaboration between the origin and destination DOs, along with bilaterally agreed operational and accounting arrangements. The UPU has already reached out to specialized agencies such as the IMO to enhance cooperation and interoperability in surface transport, as part of its goal to support DOs in developing different modes of transport solutions.

The origin DO should consult the destination DO as regards suitable ports of entry (related information can also be found in the Letter Post Compendium and Parcel Post Compendium). Note that ports of entry are not necessarily littoral, as there may be intermodal transport whereby containers are offloaded from vessels and transported to an inland port via rail.

Note that article 27-002 of the Regulations refers to maritime transport, as follows:

"Article 27-002 Application of transit charges

1 In the absence of agreement, direct sea conveyance between two countries by the ships of one of them shall be regarded as a third-party service.

2 Sea transport shall begin when the mail dispatches are handed over to the shipping company appointed by the sending designated operator and shall end when the mail dispatches are handed over to the designated operator of destination, or when the designated operator of destination has been given the delivery order or any other relevant document, whichever is the earlier. Sea transit charges, payable by the sending designated operator, include all costs incurred by the shipping company at the port of arrival. If the designated operator of destination has to pay additional charges for services incurred prior to notification, such as port charges, canal tolls, terminal or pier charges for related service and any other similar charges for handling containerized or bulk dispatches, the designated operator of destination shall obtain reimbursement of these additional charges from the dispatching designated operator. However, any storage costs incurred after notification by the shipping company that the mail dispatches are available and physically accessible for collection, shall be borne by the designated operator of destination.

- 2.1 Notwithstanding the provision of 2, the designated operator of destination of the mails shall collect from the designated operator of origin the sum corresponding to the port storage charges, when the dispatching office fails to send a copy of the CN 37 bill in time as provided for in art-icle 17-009.4.1.
- 2.2 Reimbursement of additional sea transit charges shall be claimed by means of a CN 62bis detailed account as in article 35-011."

#### 6.4 Rail transport

The POC Transport Group has developed guidelines to transport mail by rail. The document "Guidelines for establishing an international postal rail transport service (2022)" can be accessed on the UPU website at www.upu.int/en/Postal-Solutions/Programmes-Services/Postal-Supply-Chain/ Transport.

The guidelines were developed by a task force consisting of various DOs and international rail organizations, the WCO, EU, and the different national customs administrations. The work was undertaken by the task force in the light of Istanbul Congress work proposal 010 relating to transport.

The guidelines aim to provide a holistic overview of the circumstances for mail transport by rail, the operational procedures and stakeholder responsibilities along the route, and the way forward, especially regarding EAD exchanges for customs declaration and prior risk assessment purposes. They are intended to be a generic description of the mail-transport-by-rail initiative and to serve as a source of information for any interested stakeholders that are considering taking part. Aside from specific operational procedures, additional information has been incorporated in the guide to enable readers to familiarize themselves with relevant information about the sector, which is intended to be beneficial in the evaluation and implementation phases. This additional information may range from lessons learned from initial pilots to plans for EAD exchanges between DOs and railway carriers.

The guidelines will be non-mandatory in nature and could serve as a potential model for DOs and rail companies in other parts of the world.

The guidelines will be a living document that will be updated when needed.

#### 6.5 Closed transit – principles of accounting between DOs

Based on the UPU Regulations, the principles of accounting for reforwarding closed transit, both by air and by surface, are similar, with the exception of closed transit of surface parcels:

- The transit DO includes the receptacles on its delivery bill (CN 38 for air, CN 37 for surface, CN 41 for S.A.L. and CN 47 for empty receptacles).
- In the case of transport by air, the applicable transport rate is the basic air conveyance rate (see article 34-101). In the case of land and sea transport, the applicable transport rate is defined in the Regulations. The Regulations also define the handling charges (see article 27-003).
- conveyance dues are to be borne by the origin DO. procedure for the origin DO paying the air conveyance dues is described in the Regulations. It is important to note that the transit DO pays the air conveyance dues to the airlines and then invoices the origin DO for transportation and handling.

#### CP 88 special parcel bill

In accordance with the UPU Regulations, the principles of accounting for the closed transit of surface parcels are based on UPU form CP 88, which is sent from the origin DO to the destination DO. This applies only to surface parcels.

#### 6.6 Open transit/transit à découvert – principles of accounting between DOs

Under the Regulations, the principles of accounting are very different for letter post and parcel post.

Letter post is based on annual statistics conducted alternatively in May and October and derived from UPU form CN 65. Otherwise, if the transit DO so requests, the accounting is based on actual weights.

Transit à découvert accounting for parcel post is based on the inclusion of the cost on the CP 87. The cost applicable for each parcel dispatched as transit à découvert is included in a specific column of the CP 87 parcel bill. The rates for determining this cost are published by transit DOs in forms CP 81 and CP 82. Note that the columns of the CP 87 are the only direct financial settlement values (i.e. in SDR) in any dispatch document. The fact that these values, in SDR, must be on the dispatch document is significant. It means that information from the transit DO's CP 81 and CP 82, which may change twice yearly, must be incorporated into the origin DO's system before a dispatch including parcels being forwarded as transit à découvert can be

accurately (as regards accounting information) made. Information on how to complete the CP 81 and CP 82 tables are provided through the form completion instruction documents (FCDs) published on the UPU website: www.upu.int/en/Postal-Solutions/Programmes-Services/Physical-Services/Parcel-Post-Forms.

CP 81 and CP 82 information can be difficult to manage. The maintenance of these tables by transit DOs, the distribution of the information to origin DOs, and the interpretation by origin DOs (including incorporating the relevant data into the origin system) can be challenging.

#### 6.7 Former CN 68 list

The CN 68 list contained the airmail information for each country of the UPU or each dependent territory of a member country. The list has been discontinued, and any relevant information has been transferred to the Letter Post Compendium, the Transport section of the UPU website, or the Quality Control System (QCS).

The CN 68 list essentially consisted of three parts. An overview is provided below, describing the content of each part and where this information can now be found.

Part A: contained airmail information specific to each member country/designated operator, for use by other member countries/designated operators. Relevant questions from this section are now available in the Letter Post Compendium (Question 39 – Airmail).

Part B: contained information relating to internal air conveyance rates. This information is now published in the Transport section of the UPU website (Basic rate and Internal air conveyance rates).

Part C: contained lists of airmail dispatches sent to and received from each designated operator, intended to be used for transit planning purposes. The CN 68 list of dispatch series has been developed as a tool to enable origin designated operators to use QCS Mail PREDES data to see the list of dispatches sent to each designated operator – for all required categories and classes of mail.

#### 6.8 Transit Compendium

The Transit Compendium, available on the UPU website at www.upu.int/en/Postal-Solutions/Programmes-Services/Remuneration/Transit-charges, contains country-specific rate information concerning transit costs of letter post.

#### 6.9 Basic airmail conveyance rate

The BACR is used when mail is reforwarded by air between DOs. It can be applied to cover reforwarding by air for:

- receptacles received in closed transit;
- misrouted receptacles received;
- items received as transit à découvert;
- items received as missent items.

The BACR is not intended as the transport rate between a DO and an airline, as such rates are typically negotiated and contractually agreed. Contract rates such as these are typically confidential.

However, a DO and an airline may agree to use the BACR in the event that their contracts do not cover specific situations.

The BACR is governed by the UPU and determined by the POC, based on airline cost statistics from ICAO, according to a specific mathematical formula (defined in article 34-101 of the UPU Convention Regulations).

The POC (in 1995) also decided on the following:

- If application of the formula results in a change less than or equal to 3%, the BACR will not be changed.
- If application of the formula results in a change greater than 5% (either increase or decrease), the BACR will be adjusted to a maximum of 5%.

Thus, notwithstanding the formula, the maximum annual change in BACR is 5%.

The formula is applied by the IB without any involvement of UPU members or DOs.<sup>10</sup> There is no information that needs to be provided by DOs.

It should be noted that the amount of annual increase or decrease in BACR can have an indirect impact on DOs and airlines. This can happen if, in their contracts, the percentage change in BACR is the trigger for a similar percentage change in their contract rate.

As regards the conveyance of empty bags, the Regulations provide for a maximum rate of 30% of the BACR.

There is no specific BACR for S.A.L. mail. If mail is reforwarded as S.A.L., unless there is a bilateral agreement between DOs, the BACR is applied equally to priority mail and S.A.L. mail.

The BACR is communicated annually via an IB circular to that effect, and can also be found on the transport page of the UPU website: www.upu.int/en/Postal-Solutions/Programmes-Services/Postal-Supply-Chain/ Transport.

#### 6.10 Airmail distance

When applying the BACR to determine a cost per kilogramme (or per tonne) between an origin airport and a destination airport, it is necessary to determine the distance. The UPU publishes a list of airmail distances on its website at: www.upu.int/en/Postal-Solutions/Programmes-Services/Postal-Supply-Chain/Transport.

Airmail distances between two points are established on the basis of the great-circle distance as determined by IATA, plus 2.5%, which is an average to cover intermediate stops. Airmail distances are rounded up to the nearest hundred when the last two figures are equal to or exceed 50.

#### 6.11 Internal air conveyance

The principle of IAC was based on the premise that the remuneration that the destination operator receives from the origin operator (letter post terminal dues, or TD; parcel post inward land rates, or ILRs) is not sufficient to cover the cost of air transport within the country of destination. It is particularly relevant to countries that have a large geographic area and must use air transport for a portion of their domestic priority letter mail posted in the same city as the inward OE.

By extension, these countries use air transport for a portion of their inbound international mail.

IAC was more prevalent in the past, when there was a fixed rate for terminal dues.

The terminal dues system has since evolved toward a target system based in part on each country's domestic letter rate. Each year, a number of countries have moved from the TD transitional system (which is based on the single rate) to the target system (based in part on the domestic rate).

The following table shows whether the destination is eligible for IAC:

	Origin in target system	Origin in transitional system
Destination in target system	No	Yes
Destination in transitional system	Yes	Yes

<sup>10</sup> UPU members and/or DOs can review the IB's application of the formula at each POC.

Thus countries in the TD target system are eligible to receive IAC only from countries in the transitional system. For parcel post, the equivalent to terminal dues is inward land rates. The process for establishing the ILRs for each country has changed, eliminating IAC. In its place, to compensate for the cost of air transport within the country of destination, countries may have a different ILR for priority parcels versus non-priority parcels.

As a result of these changes to the remuneration systems for both letter post and parcel post, the application of IAC to compensate for air transport within the country of destination is limited to priority letter post received from countries still in the TD transitional system.

The formula that is used to determine IAC is defined in article 34-101. It is based on the principle that the origin DO should compensate the destination DO for the additional cost of using air transport rather than surface transport. However there is one caveat – the maximum air transport rate per tonne-kilogramme (TKM) used to calculate the IAC is capped at the level of the BACR, which is set annually by the POC. Thus if a country's actual domestic air rate per TKM is less than the BACR, the actual domestic air rate is used. If the actual domestic air rate is higher than the BACR, then the BACR is used.

The formula is thus used to first determine the effective rate per TKM for which the origin should compensate the destination. This is as follows: Effective rate = (lesser of BACR or actual domestic air rate) minus the domestic surface rate.

The IAC rate is then calculated as follows: IAC = (effective rate per TKM) times (the weighted average distance)

In order to be eligible for IAC, the destination DO must provide the following information to the IB:

- Information to determine the weighted average distance that inbound priority letter post is transported internally by air;
- The domestic air transport rate;
- The domestic surface transport rate.

The determination of the weighted average distance is done by sampling mail for a suitable period and compiling the results as in the following table:

From	То	Kilogrammes	Distance (kilometres)	Kilogramme- kilometres
Airport of inward OE	(Local delivery or transported further by surface)	1,500	0 (Airmail transport distance is zero)	0
	Airport A within destination country	500	400	200,000
	Airport B within destination country	700	600	420,000
	Airport C within destination country	1,200	500	600,000
Total		3,900		1,220,000

In this case, the weighted average distance is the ratio (total kg-km)/(total kg) = 1,220,000/3,900 = 312.8 km. The domestic air transport rate is typically a contract rate.

The domestic surface transport rate is typically determined by estimating the weight of a cubic metre of mail and determining the average cost to transport a cubic metre by surface.

DOs requesting IAC rates to be published are required to respond to an IB circular letter requesting the information by 30 September each year. In the past, the IAC rates were communicated via the CN 68 list of airmail services. This is no longer the case. They are now published by IB circular. IB circulars on IAC are also published in the transport section of the UPU website (www.upu.int/en/Postal-Solutions/Programmes-Services/ Postal-Supply-Chain/Transport).

#### 6.12 Return of empty bags

It should be noted that the Regulations permit DOs to establish a value for their bags and to charge destination DOs that have not returned them. Some DOs apply this provision; others do not. The provision does serve to illustrate that the supply of equipment (in this case, bags) to dispatch mail is very important.

The principles of the operations and accounting process for the return of empty bags are somewhat different than for all other classes.

The key differences are:

- The owner of the bags (i.e. the destination DO of the dispatch of empty bags) can specify the routeing to be used for the return of its bags.
- The airline bills the owner of the bags rather than the DO that created the consignment (i.e. the CN 47 delivery bill, specific for empty bags). The CN 47 is to be used by the DO returning the bags.
- These principles can create practical challenges in the process for returning empty bags. As an example, a DO needing to return empty bags may not have any business relationship with the airline that the owner of the bags selected. Furthermore, when closed transit is used to transport the mail to the destination via a transit DO, the origin DO has no direct business relationship with the airline used by the transit DO.

Because of these challenges, some DOs have adopted a method to reduce the complications:

- Some DOs have developed single-use bags that do not need to be returned. However, if the destination DO cannot dispose of the bags in a low-cost and environmentally friendly manner, it can still return the bags at the owner's cost.
- Some DOs have also indicated that airmail bags should be returned by surface transport.
- Some DOs allow and encourage destination DOs to use their own bags to dispatch mail back to the owner of the bags.
- Some DOs participate in a multilateral bag-pooling arrangement, using common bags. IPC manages this arrangement.
- In many DOs, ensuring an adequate supply of bags is an ongoing challenge. DOs often ask the IB to issue circulars requesting the return of their bags, especially when the peak volume period is approaching.

The following are some best practices DOs may consider:

- Origin DOs should make sure that their bags are clearly identified as belonging to them. Having only a logo and not a country name printed on the bag can make it difficult to identify the owner.
- Origin and destination DOs should make every effort to use bags in both directions.
- Origin DOs should periodically review and update their information about returning their bags. Twice yearly is recommended.
- Destination DOs returning bags should regularly ensure that the frequency of dispatch of empty bags to all countries is appropriate so that empty bags needed by the owners are not stored for a lengthy period.
- Destination DOs returning bags should ensure that their dispatches of empty bags are documented in a PREDES message. Like PREDES messages for all letter post, parcel post and EMS, PREDES for empty bags can be very useful to the destination DO.
- As bags are typically very lightweight, it can be cost-effective to bilaterally agree to return empty bags in a dispatch of mail. The empty bags can be dispatched as exempt from terminal dues.
- The return of empty bags should be managed in the same process as that of exchanging mail, in the absence of agreement between the DOs concerned.

For reference, please see article 17-015 (Return of empty receptacles).

The IATA–UPU Contact Committee approved the practical method of application given below:

- i The owning DO shall have the right to choose the route and the carrier for the return of the bags. The owning DO can stipulate details such as the timing, frequency and office of return for its empty bags. In this regard, it should seek bilateral rate and operational agreements with a given carrier or carriers and inform sending DOs and carriers about these details. *Financial settlements will, therefore, in principle be limited to bills raised by the participating carrier against the owning DO.*
- ii Empty bags should in principle be returned to one OE as stipulated in article 17-015, and as communicated by each DO via the UPU Compendium of Information.
- iii it is desirable that airlines and DOs discuss and coordinate, to the maximum possible extent, arrangements for the return of empty bags.
- iv As the return of empty bags by air is paid for by the owning DO, the airline should accept liability for any loss of the bags.
- A heading labelled "DO owning empty receptacles" has been created on the CN 47 Delivery Bill for mails of empty bags. The returning (i.e. non-owning) DO will indicate the DO owning the bags, and participating airlines will bill the owning DO on this basis.
- vi Bags returned by air will always be sent in separate dispatches and accompanied by the CN 47 only. The airlines and DOs concerned should mutually agree upon any alternate procedure.
- vii Carriers will bill owning DOs for the carriage of empty bags by listing the dates, serial dispatch numbers and the DO of origin of the CN 47s to which each invoice refers so that owning DOs can account for their equipment.
- viii In cases where no prior bilateral agreement has been made and empty bags are handled and carried at a point of transit by a non-contracted airline as per instructions on the CN 47 issued by the sending DO, the non-contracted carrier will bill such carriage to the owning DO at the applicable carrier's rate.
- ix In cases where a transit DO is involved, the transit DO will be entitled to claim, from the owning DO, charges for handling the empty bag dispatch. The DO of transit shall prepare the CN 55 and CN 56 statements from the particulars on the CN 47 delivery bill.

Under article 34-101, the air conveyance rate payable for empty bags will, at the most, be 30% of the applicable UPU BACR. Article 17-011 applies, with appropriate changes, to CN 47 bills.

#### Empty bags returned by surface

For billing for land and sea transit charges for dispatches of empty receptacles, the following procedure applies:

- Return of empty receptacles by direct route between DO A and DO B (DO to which receptacles belong): transit charges should be billed by DO A to DO B, on the basis of the transit charges indicated in article 27-003 for the distance between A and B;
- Return of empty receptacles from DO A to DO C (to which the receptacles belong) through DO of transit B:
  - transit charges for conveyance from A to B should be billed by DO A to DO C, on the basis of the transit charges indicated in article 27-003 for the distance between A and B;
  - transit charges for conveyance from B to C should be billed by DO B to DO C, on the basis of the transit charges indicated in article 27-003 for the distance between B and C."

#### 7 UPU forms and messaging

#### 7.1 Delivery bills

Delivery bills are the basis for payment between carriers and origin DOs.

- CN 37 Surface
- CN 38 Air
- CN 41 S.A.L.
- CN 47 Empty receptacles

#### 7.2 Receptacle labels

Postal receptacle labels are probably the single most important UPU form as regards quality of service. The information content on the label is of critical importance to both DOs and carriers such as airlines.

The durability of the label, i.e. its ability to withstand the rigours of transport, is also extremely important.

#### Label form numbers

In the UPU Regulations, label form numbers are allocated by mail class and mode of transport, as follows:

	Surface	Air	S.A.L.
Letter post	CN 34	CN 35	CN 36
Parcel post	CP 83	CP 84	CP 85
EMS	Not applicable	EMS CN 35	Not applicable

Some DOs that use the classification system based on the speed of treatment of items (article 17-101) deviate slightly from this, applying receptacle label form numbers based on priority rather than mode of transport. The difference is that priority mail forwarded by surface, such as by road between countries in close proximity, will have label form numbers CN 35 and CP 84 rather than CN 34 and CP 83.

#### Label colours

The use of colour is an important element of receptacle labels.

The colours in most common use are:

- Parcel post: yellow ochre;
- EMS: blue/orange striped (with the EMS logo);
- Empty bags: green;
- Ordinary letter post: white, blue, red;
- M bag/receptacles with registered or insured items: must incorporate some red colour;
- Bulk letter post: violet, red.

The distinction between the use of white versus blue on ordinary letter-post labels can depend on the classification system (article 17-101 Basic services – speed of treatment versus contents) applied by the origin DO. The most common, and the recommended application, is to use white for priority mail (including that transported by surface) and blue for non-priority mail, including S.A.L.

Red is used on letter post labels if the receptacle contains registered or insured items and/or the letter bill.<sup>11</sup> In such cases the entire label may be red, or a small red flasher may be applied. It is important that there be some red colour visible to the destination OE to ensure that the registered or insured items and/or the letter bill is properly handled as the receptacle is opened.

#### F label

The label containing the CN 31 or CN 32 letter bill or the CP 87 parcel bill must have a large F, for "*Feuille d'avis*" or "*Feuille de route*" (the French name of the letter/parcel bill)) near the top right corner. Note that, unlike for letter post, the parcel post receptacle containing the CP 87 is not required to have any colour red. This is because it is much easier to detect a parcel bill in a receptacle of parcels than it is to detect a letter bill in a receptacle of letters or printed papers.

<sup>11</sup> However, DOs may agree, in their bilateral relations, to dispense with the use of red labels in favour of, for security reasons, any mutually agreed alternative method.

#### Creating receptacle labels

DOs use a number of methods to create receptacle labels. The most common is to produce an adhesive label on white paper stock and then to adhere it to an appropriately coloured backing tag that also has an eyelet. The label is adhered to the backing tag and the tag then affixed to the bag via a bag seal. In the case of trays, the adhesive label may be adhered directly to the tray.

DOs may also have more sophisticated systems that print directly on coloured material.



Size 130 x 90 mm

Most DOs now have automated dispatch systems in which labels are computer generated.

#### Standard S47

UPU Technical Standard S47<sup>12</sup> defines the data elements for DOs with automated systems and their placement on the label. It should be noted that there is a direct linkage between the data on the receptacle label and the EDI message standard PREDES (reference M41 PREDES V2.1 or M14 PREDES V2.0).

DOs should make every effort to comply with the S47 standard to the fullest extent possible.

An example of a CN 35 label based on S47 is shown below. As there are a wide variety of label attributes, it is important to refer to the specification.



<sup>12</sup> UPU technical/message standards can be at one of the following six different stages in the approval process:
Status P (work item)
Status 0 (working draft)
Status 1 (tested draft standard)
Status 2 (approved UPU standard)
Status S (superseded standard)
Status W (withdrawn standard)

Some key features of S47:

- The S9 receptacle ID barcode is in the middle of the label, thereby better protecting it.
- The origin and destination IMPC DO and IMPC codes and names, from code list 108 are included.
- The dispatch type (mail category plus mail subclass) is included.
- The receptacle type, from code list 121, is included.
- The "format of contents" required for format-separated terminal dues from code list 120 is included.
- The receptacle-level mail subclass from code list 117 is included.
- The planned transport is displayed (one line per leg). For each leg, the date (day of month only), origin location, conveyance reference (e.g. flight) and destination location are included.

#### Best practices regarding receptacle labels

- Ensure that the S9 barcoded receptacle ID is included on all labels from all origin OEs for all mail classes.
- Some origin DOs create receptacle labels in one process and then scan the receptacle ID in a subsequent process, for example, to include the receptacle in a consignment. This is a built-in quality check of the barcode. Origin DOs that do not do this should have processes in place to make sure that all labels they create are scannable. This is because it is possible for a label printer to have a technical problem and create non-scannable labels, which cause significant problems for destination DOs and carriers. The origin DO can, for example, systematically scan receptacle labels created by each label printer.
- Origin DOs should periodically review their label construction to ensure that durable and waterproof paper stock is used, that the adhesive is suitable, that the ink does not smear even if wet, that the eyelet is strong, etc. This is because the receptacle label is the only UPU form that must withstand the rigours of transport, which is critical for quality of service and security of the mail.
- 7.3 Other UPU forms related to transport
- Letter and parcel bills CN 31, CN 32 (for bulk mail) and CP 87: These define each dispatch and include its expected transport, at the time of finalizing the dispatch.
- CP 81 (surface parcels) and CP 82 (air parcels) tables: These forms are created by transit DOs and sent to origin DOs. They define the transit rates for sending parcels as transit à découvert. The origin DO must include the charges for each parcel in the CP 87 parcel bill.
- CN 43 and CP 78 verification notes: These are exception reports between OEs and can identify transport issues.

Details on how to complete the UPU forms are available from: www.upu.int/en/Postal-Solutions/Programmes-Services/Physical-Services/Letter-Post-Forms and www.upu.int/en/Postal-Solutions/Programmes-Services/Physical-Services/Parcel-Post-Forms.

The PREDES/RESDES, PRECON/RESCON and CARDIT/RESDIT data flows are depicted on the following pages (with air transport taken as an example):



Note: PRECON consists of receptacles allocated to a specific designated transport. The receptacles may be from a single dispatch, or many dispatches. Receptacles of a specific dispatch may be split and thus not be on the same consignment. Receptacles may be either originating (from the same operator) or being forwarded as closed transit (from another operator). There can be more than one consignment allocated to a specific transport.



be either originating (from the same operator) or being forwarded as closed transit (from another operator). There can be more than one consignment allocated to a specific transport



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In general, it is recommended always to use the newest version of the EDI messages. Terms used:

- EDI: electronic data interchange.
- ITMATT: ITeM ATTribute, item-level message from origin DO to destination DO. Includes the item contents. Relates to CN 22 or CN 23 customs declaration. Used for customs declarations and clearance.
- EMSEVT: Item-level tracking message. Originally for EMS EVenT but now used for all mail classes.
- PREDES/RESDES: PRE-advice of DESpatch and RESponse to DESpatch dispatch-, receptacle- and item-level messages between DOs.
- PRECON/RESCON: PRE-advice of CONsignment and RESponse to CONsignment. Consignment- and receptacle-level messages between DOs.
- CARDIT/RESDIT: CARrier Documents International Transport and RESponse to Documents International Transport. Consignment- and receptacle-level messages between DOs and carriers such as airlines.
- AR (applicable regulations) flag: Serves within the CARDIT message as confirmation from the origin DO that all required EAD has been submitted and that there is no known outstanding referral (i.e. RFI request for information; RFS request for scanning; DNL do not load) at the time of transmission of the CARDIT message and handover to the carrier (risk assessment status). For more information on IT tools and settings for the AR flag please refer to the UPU website at www.upu.int/en/Postal-Solutions/Technical-Solutions/Postal-Technology-Centre/Email-Campagne/AR-information.

The following table provides a general overview of all UPU messaging standards. Those not related to transport are highlighted by shading.

Message standard	From/to	General description	Business purpose
M40 EMSEVT V3	Exchanged between DOs handling trackable items (e.g. registered, insured and tracked letter post, parcel post, EMS).	Item-level event tracking message for trackable items as they progress along the supply chain. The relevant item ID stand- ard is S10. M40 is based on 25 defined events. A subset of these events is used for measurement that impacts financial settle- ments.	Track and trace for custom- ers, enabling visibility of their items on DOs' web- sites. Quality of service measure- ment, in some cases as an element of financial settle- ments.
M41 PREDES V2.1	Origin OE to destination OE.	Dispatch-, receptacle- and item-level message. It defines the item-to-receptacle rela- tionship, i.e. the logical loca- tion or receptacle ID, for track- able items (e.g. registered, insured and tracked letter post, parcel post, EMS). Relates to UPU forms: - CN 31/CN 32 letter bill - CP 87 parcel bill	<ul> <li>PREDES/RESDES enables:</li> <li>Operational control of receptacles.</li> <li>Analysis of the OE-to-OE component of the supply chain for quality of service.</li> <li>Network analyses related to volumes.</li> <li>It also supports financial settlement processes.</li> </ul>

Message standard	From/to	General description	Business purpose
M41 PREDES V2.1 (cont.)	Origin OE to destination OE.	<ul> <li>CN 33/CN 16 special lists</li> <li>CN 34/CN 35/CN 36/ CP 83/CP 84/CP 85 receptacle labels.</li> <li>From 1 March 2020, S10 (postal item identifier) and S9 (postal receptacle identifier) will be electronically linked (nested) and included in the PREDES messages when dispatching items for which EAD is to be provided (article 08-002 of the Convention Regulations).</li> </ul>	
M13 RESDES V1.1	Destination OE to origin OE.	Receptacle-level message. RESDES is the response to PREDES.	Provides origin OE with pos- itive confirmation, including date/time of processing of receptacles, as well as some other receptacle-level attributes from a destination perspective.
M10 PRECON V1.1	Origin mail unit to destina- tion mail unit.	Consignment- and receptacle- level message. PRECON defines receptacles allo- cated to a specific consign- ment (i.e. transport from origin to destination).	Provides destination mail units with pre-advice of receptacles in transit to them.
M12 RESCON V1.1	Destination mail unit to origin mail unit.	Receptacle-level message. RESCON is the response to PRECON.	Provides origin mail unit with positive confirmation, includ- ing date/time of arrival of receptacles, as well as other attributes.
M48 CARDIT V2.1	Origin mail unit to carrier.	Consignment- and receptacle- level message. CARDIT defines receptacles allo- cated to a consignment (set of transport from origin to destination), for carrier oper- ations and billing purposes. Relates to UPU delivery bills CN 37, CN 38, CN 41 and CN 47.	Provides carrier with origin operator consignment and receptacle information, including intended transport (e.g. flights). When dispatching recepta- cles for which EAD is required for certain destina- tion countries, the origin DO will ensure that all such country-specific EAD requirements have been duly met and that the rele- vant CARDIT message is transmitted, including any AR flag, in compliance with UPU Messaging Standard M48 (article 08-002 of the Convention Regulations).

Message standard	From/to	General description	Business purpose
M49 RESDIT V1.1	Carrier to origin DO of con- signment.	M49 RESDIT is the carrier response message to M48 CARDIT V2.1.	Enables the carrier to pro- vide information regarding receptacles as they pro- gress through the supply chain. The information provided (events and locations) is typ- ically agreed between the
			origin DO and the carrier.
	100. Some examples:	at the receptacle level. The ev	ents are described in code list
	RESDIT 74:Received: Carrier	takes control/custody by recept	otion/pickup
	RESDIT 21 Delivered: Carrier	surrenders control/custody to	consignee or agent
M33 ITMATT	Origin DO to destination DO.	Item-level message. ITeM ATTribute pre-advice. ITMATT messages are the electronic representation of the customs declaration, equivalent to UPU paper forms CN 22, CN 23 and CP 72.	Primary purpose is to pro- vide customs-related data to the destination DO. ITMATT is intended as a source of data for M43a CUSITM.
Note. – The foll customs organi	owing message standards are zations.	in the process of being implem	ented by some DOs and their
M43a CUSITM	Destination DO to its customs organization.	Item-level message.	Provides Customs with information to enable cus- toms control, such as deter- mination of duty or tax.
M43b CUSRSP	Customs to destination DO.	Item-level message.	Provides destination DO with feedback from Customs concerning the item, includ- ing customs clearance of the item.
M37 EVTRPT	This is in minimal use. The ne	eed for M37 has been met by M	140 EMSEVT V3.
M42 eVN	DO sending a verification note to another DO.	Relates to UPU forms CN 43 and CP 78.	Replaces the exchange of paper verification notes.

#### 7.5 Overview of technical standards

Many technical standards are not related to the exchange of international mail. For example, some are related to placement areas on envelopes, and some are related to radio-frequency identification (RFID). The technical standards related to the exchange of international mail are the following:

Standard	Name	Comments	Related message standards
S8	Postal dispatches	Referenced in modules 2	PREDES
S9	Postal receptacles	and 4. It is recommended to use the user's guide on the website rather than the standard.	
S10	Identification of postal items – 13-character identifier	Referenced in module 1.	EMSEVT/PREDES

Standard	Name	Comments	Related message standards
S32	Postal consignments	Referenced later in this module under PRECON/ RESCON.	PRECON/CARDIT
S34	Registration of international mail processing centres	Referenced in modules 2 and 4 (available on ).	EMSEVT/PREDES
S47	Postal receptacle labels	This standard is currently at status 1 and version 4. It relates to the format and data contents for receptacle labels. The current version was adopted in April 2015.	PREDES

**Note.** – The UPU provides basic transport-related training materials for DO staff in the form of nine postal transport modules, available on the UPU's Trainpost platform. To start using the Trainpost platform and access the nine modules, users must login at www.upu-trainpost.com/moodle/login/?lang=en.

#### UPU forms and their corresponding messaging and technical standards

The relationship between UP	J forms and standards is dep	picted in the following table:
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Level	UPU letter post form (and EMS equivalent)	UPU parcel post form	Combined letter post/ parcel post form	UPU technical standard	UPU messaging standard
Article	Customs declara	ations:			
description	CN 22	CP 72 <sup>13</sup>	CN 23 <sup>14</sup>		M33 ITMATT
Item	Item-level labels				
	CN 04 registered CN 05 recorded delivery CN 05bis tracked CN 06 insured	CP 73 ordinary parcel CP 74 insured parcel		S10 Item ID (13-char barcode)	M40 EMSEVT M41 PREDES
	Item-level forms	: CP 87			
	list – registered items	parcel bill <sup>15</sup>			
	CN 16 special list – insured items				

<sup>&</sup>lt;sup>13</sup> The CP 72 is a manifold form set that includes a CN 23 customs declaration and a CP 73 parcel label.

 $<sup>^{14}</sup>$  The CN 23, rather than the CN 22, can optionally also be used for letter post.

<sup>&</sup>lt;sup>15</sup> Parcels are individually listed on the CP 87 parcel bill, which is functionally similar to the CN 33 for registered letter post.

Level	UPU letter post form (and EMS equivalent)	UPU parcel post form	Combined letter post/ parcel post form	UPU technical standard	UPU messaging standard	
Receptacle	Receptacle Receptacle-level labels:					
	CN 34 surface CN 35 air CN 36 S.A.L.	CP 83 surface CP 84 air CP 85 S.A.L.		S9 receptacle ID S47 receptacle label	M41 PREDES M13 RESDES	
Dispatch	Dispatch-level for	orms:				
	CN 31 letter bill CN 32 letter bill for bulk mail	CP 87 parcel bill		S8 dispatch ID	M41 PREDES M13 RESDES	
Article description	Customs declar	ations:				
	CN 22	CP 72 <sup>16</sup>	CN 23 <sup>17</sup>		M33 ITMATT	
Consignment			Consignment-level forms:			
			CN 37 delivery bill – surface CN 38 delivery bill – air CN 41 delivery bill – S.A.L. CN 47 delivery bill – empty bags	S32 consignment ID	M10 PRECON M12 RESCON M48 CARDIT and M49 RESDIT	

#### 8 Routeing mail

#### 8.1 Delivery standards

Each DO publishes its delivery standards in three publications.

For letter post, in the compendium of delivery standards on the UPU website at www.upu.int/en/Postal-Solutions/Programmes-Services/Compendia.

For parcel post, in an annex to the Parcel Post Compendium Online at www.upu.int/en/Postal-Solutions/ Programmes-Services/Compendia.

For EMS, in the EMS Operational Guide, available to registered users at www.emsog.post.

Each of these publications defines the delivery standard from arrival at each inward OE, to delivery to postcode zones in the destination country. The delivery standards are typically based on domestic standards, with the inward OE serving as a proxy for the (domestic) office of posting.

<sup>16</sup> The CP 72 is a manifold form set that includes a CN 23 customs declaration and a CP 73 parcel label.

<sup>&</sup>lt;sup>17</sup> The CN 23, rather than the CN 22, can optionally also be used for letter post.

The publications also define the latest time that inbound mail must arrive, either at the airport (air transport) or at the port or the OE (surface transport), in order to receive the same level of service as domestic originating mail posted the same day.<sup>18</sup> This time is called the "latest arrival time", or LAT.

#### 8.2 Some best practices

The challenge of routeing mail can vary significantly depending on the country. Some countries are "hub" countries, with daily direct flights to many destinations. Others are "spoke" countries with direct flights to only a few destinations; these countries must rely on transhipment or transit to provide service to many destinations.

For some countries, only a very small number of destinations can be served directly – sometimes only one or two destinations.

#### *i* Consultation with carriers

Similarly, the volume of mail can vary extensively, depending on the country. In some cases, it is critically important to plan transport capacity with the carrier. In other cases, capacity planning is not as critical. However, in all cases, the origin DO should first check with the carriers involved to assure proper and acceptable schedules are used and to assure, to reasonable certainty, that adequate capacity will in fact exist on the planned itinerary to accommodate the mail – throughout the scheduled period.



#### ii Consideration of transport leg critical times between DOs and carriers

#### Latest dispatch closure time (LDCT)

LDCT specifies the latest time a dispatch containing a sorted mail item has to be closed in order to leave the origin OE on a transport to arrive and be handed over at the entry point of destination before its critical entry time (proof of delivery – POD). Each dispatch needs to consider the flight times, as well as the departure of ground transport to the airmail unit (AMU) or to the airport.

It specifies the closing time for leg 1, measured by the dispatch closure time in PREDES or alternatively the latest time a mail item ID is scanned and recorded – i.e. when being enclosed in a receptacle prior to dispatch closure as measured by the EMC event.

<sup>&</sup>lt;sup>18</sup> Time spent in customs is typically not included.

#### Latest consignment closure time (LCCT)

LCCT specifies the latest time a consignment has to be closed, with a mail item already enclosed (and nested) in a receptacle assigned to the consignment. The consignment closure time is the latest time by which the receptacles with enclosed mail items need to be released for transfer of custody to the carrier at the origin OE (by road) or an AMU (proof of custody – POC). The release of control by the DO to the carrier is either the physical handover to the carrier or the staging in an agreed area where the carrier collects the consignment from the DO. The LCCT is set in order for the consignment to still be planned to depart on a transport to arrive and be handed over at the entry point of destination before its critical entry time.

#### Latest arrival time (LAT)

LAT specifies the latest arrival time the consignment must arrive at the destination (latest time of transport arrival) recommended by the destination DO to make processing possible for the destination OE on the same day. Every effort should be made to have mail arrive before the LAT, although unreliable connections should be avoided. The LAT is only to be used by the origin DO for planning purposes.

#### Critical tag time (CTT)

The origin DO must make every effort to have the mail handed over to the destination DO before CTT, even when the mail has arrived after the LAT.

#### Latest handover time (LHOT)

LHOT specifies the latest handover time for the consignment between the carrier and DOs (both in the country of origin and destination) and should be included in the CARDIT message.

#### Latest processing time (LPT)

Specifies the latest time an item must have its first scan upon arrival at the inward OE, after opening of the receptacle. It confirms the arrival of the item at the inward destination OE (entry point corresponding to item's respective postcode range) for further processing, yet allows it to be forwarded (mixed with domestic mail) to the delivery office on time for delivery according to the end-to-end and inbound standards (e.g. next day).

#### iii Establishment of mail handover process between DOs and carriers

To facilitate efficient handling of postal containers and enhance visibility, it is essential to establish a welldefined mail handover process between DOs and carriers, including their ground handlers. To mitigate any potential disputes, the origin DO should work with the carrier to confirm the handover of mail consignments at the origin OE through a proof of custody provided by the carrier. Similarly, the destination DO should take reasonable measures to assist the origin DO in engaging with the carrier or its agent at destination, where applicable, to ensure that the delivery of mail consignments at the destination OE is confirmed by a proof of delivery.

Proof of custody (POC): A positive check of all mail received by the carrier by positive data capturing of mail receptacle identifiers enclosed in the proper EDI messages generated by the carrier, and/or by the signature of the documents, or by other agreed methods of data exchange. It is the confirmation that the mail is under the responsibility of the carrier. Proof of custody is subject to the critical handover time specified by the carrier for a given volume of mail. The release of control by the DO to the carrier is either the physical handover to the carrier or the staging in an agreed area where the carrier collects the consignment from the DO. It may also be called proof of acceptance.

Proof of delivery (POD): A positive check of all mail received by the DO at destination or by its agent by positive data capturing of receptacle identifiers enclosed in the proper EDI messages generated by the carrier, and/or by the signature of the documents, or by other agreed methods of data exchange. It is the confirmation that the responsibility of the mail has moved from the carrier to the DO. Proof of delivery is subject to the critical handover time defined by the carrier for a specified volume of mail, and to the local DO's availability to sign or exchange a POD.

#### iv Direct flights, transhipment and transit

Direct flights should be used whenever possible. Depending on various factors, it may be better to hold the mail until the following day for a direct flight. To ensure the availability of direct flights and enhance leg 2 performance, it is recommended that the origin DO increase the proportion of self-controlled capacity, such as procuring postal airlines or arranging charter flights.

- Direct is preferred, followed by intraline transhipment.
- Interline transhipment is to be used only when third-party logistics are agreed.
- Closed transit can be better than interline transhipment.
- The number of transit à découvert countries should be minimized.

Where intraline is not available, third-party interline transhipment – only with the major carrier at the hub – can be arranged for many destinations, while closed transit can be set up for other destinations.

#### v Consistency

When transhipment or transit is required, every effort should be made to have a consistent routeing plan throughout the schedule period (e.g. the winter/summer airline schedules).

#### vi Consultation between origin and transit DOs

It is important for origin DOs to consult with, and maintain close dialogue with, actual and potential transit DOs.

When direct transhipment is being considered, it is important to ensure that the airline (or airlines) agrees that the connection is operationally viable. This especially applies to interline transhipment, but also to intraline transhipment, in particular where code-shared flights may appear in passenger schedules. It is also important to know what airline actually operates the flight and whether the ground handling arrangements are in place.

In some cases, direct transhipment may look feasible based on passenger flight schedules (only where a special agreement is in place between the DOs and carriers, as not all flights are open for mail) but is unworkable for mail. After appropriate consultation, it may be that closed transit is a more reliable alternative than direct transhipment.

#### vii Monitoring of dispatch-closed times compared with planned transport departure times

OEs sometimes close dispatches too far in advance of planned transport departure, so that mail that could have been dispatched "today" must wait for the next dispatch, possibly "tomorrow". A systemic practice of closing dispatches too early may not be readily evident.

Similarly, it can happen that OEs close dispatches too late for the planned transport. (However, this is typically noticed each time it occurs.)

Periodic monitoring of dispatch-closed times can improve end-to-end service.

Note that the PREDES/RESDES messages include the dispatch-level information exchanged between the origin DO and the destination DO, while the PRECON/RESCON and CARDIT/RESDIT messages contain the consignment-level information exchanged between DOs and carriers. This information can be used for this monitoring.

#### viii Proactivity by destination DO

Normally it is the origin DO that should monitor the quality of its planned transport. However, the destination DO can also do this. Both DOs can be impacted by service failures. Whenever the destination DO notices that the planned transport arrangements used by the origin DO systematically fail, the destination DO should inform the origin DO. Note that the PRECON/RESCON, CARDIT/RESDIT and PREDES/RESDES messages are useful and important for this monitoring.

When dispatching mail to a transit DO as closed transit, the origin DO must not include any onward routeing on the receptacle label or the delivery bill, as indicated in article 17-016. Inclusion of onward routeing information can cause confusion by giving the appearance that direct transhipment is planned. It is typically unrealistic for an origin DO to specify the routeing to be used by a transit DO because mail in closed transit is, in principle, forwarded by the same transportation used by the DO of the country of transit for the transport of its own mails (reference 17-016).

#### x Barcoded receptacle ID

The quality of the receptacle label is critical. One of the most important factors for success – for carriers, transit DOs and destination DOs – is the barcoded receptacle ID. Origin DOs should make every effort to ensure that all receptacle labels have a barcoded receptacle ID, from all origin OEs, for all mail categories (priority, S.A.L., non-priority) and for all mail classes (letter post, parcel post, EMS and empty receptacles). Regular checks should be established of the labels created, at least daily.

#### xi OE-to-OE quality of service monitoring

Resources should be allocated to the ongoing monitoring of the OE-to-OE component, outbound and inbound, using the available EDI tools. All classes (letter post, parcel post and EMS) should be monitored. The differences can be revealing. Partner DOs can be contacted to share analyses or to arrange joint analyses.

#### xii Involving customer service (claims and inquiries)

Customer complaints can be used as another method of detecting systemic problems. Issues can be followed up with partner DOs.

#### 9 Paper-free initiative in transport

The POC Transport Group attaches great importance to facilitating and accelerating the transition to paperfree operations and accounting. Going paper-free is an initiative to benefit from technical solutions, mainly EDI exchanges, in order to gain efficiency and reduce costs. It is a key part of the digital transformation of the postal sector and international supply chain, and also contributes to reducing the environmental footprint.

The paper-free route implementation guidelines for Posts and carriers (2022) can be found on the UPU website at www.upu.int/en/Postal-Solutions/Programmes-Services/Postal-Supply-Chain/Transport.

#### 10 EDI and EAD compliance in transport

#### 10.1 Use of EDI to monitor transport operations

Prior to EDI messaging the only method to monitor the OE-to-OE component of the supply chain was for the origin DO to include a CN 44 trial note in the dispatch. The destination DO would indicate the date/time of arrival and return the form to the origin DO. The origin DO would then analyze the returned CN 44 forms. This was a cumbersome process, and often the CN 44 trial notes were not returned in a timely manner.

One of the purposes of the S9 barcoded receptacle ID and message sets such as PREDES/RESDES, PRECON/RESCON and CARDIT/RESDIT is to enable origin and destination DOs to more easily and thoroughly monitor the OE-to-OE component of the supply chain.

At a minimum, this monitoring can identify dispatch series that are performing well, versus those that are not performing well, so that resources can be focused on the latter.

Often the probable cause of failures can be deduced by applying analytical reasoning and business knowledge to the EDI information. This probable cause then just needs to be confirmed, e.g. through e-mail to a carrier or partner DO. Then, of course, the problem needs to be fixed.

By having a central database whereby origin and destination DOs can access the same information and work collaboratively to improve the quality of the OE-to-OE component of the supply chain, significant improvement in the end-to-end quality of service is possible at low administrative cost.

The following should be noted:

- The EDI messaging data that can be used for transportation is at the receptacle level not just the dispatch level (as is the case with the CN 44). Every receptacle can be tracked. This is particularly important because receptacles of a dispatch do not always travel together.
- The potential for end-to-end service improvement is not just for trackable items. It is for all products, including ordinary non-registered letter post - the largest volume product.
- Rather than being based on a small sample of items, EDI messaging can cover 100% of the mail.
- Three message sets can be used to monitor the quality of the OE-to-OE component of the supply chain. These are PREDES/RESDES, PRECON/RESCON and CARDIT/RESDIT.

Of the three, PREDES/RESDES is the most advanced in terms of coverage and potential for immediate use for quality improvement. Many DOs are already sending PREDES/RESDES. Some of these are making extensive use of a central database to improve quality of service. Many other DOs, although they are sending PREDES/RESDES, do not make use of its service improvement potential.

The CARDIT/RESDIT message set can provide additional information for the origin DO. This is especially the case if the carrier sends RESDIT messages from the destination, indicating that the receptacle has been handed over to the destination DO.

At this time, the PRECON/RESCON message set is less widely used than the PREDES/RESDES. A primary use of PRECON/RESCON is to advise the transit DO of receptacles en route as closed transit.

In order to make business use of the data that already resides in central databases, DOs need the ability to view and extract the data - in useful, user-friendly, formats. Some DOs already have this capability, but most do not.

The POC Transport Group's work plan includes further improving the visibility of mail while in transport through increased synergies with carriers and use of EDI messaging, e.g.:

- by maximizing the benefit of PREDES/RESDES messaging; and
- by developing reporting tools in the UPU's QCS and Integrated Quality Reporting System (IQRS) based on PREDES/RESDES so that all DOs have access to a basic set of reporting tools.

In conjunction with the work that is being undertaken by the POC Transport Group, it is recommended that DOs send PREDES/RESDES messages for all dispatch series and make maximum use of the reporting tools available from central database managers.

It is also recommended that DOs establish CARDIT/RESDIT exchanges and reporting with their carriers, to the maximum extent possible (for example, arranging CARDIT/RESDIT with each carrier, striving for RESDIT 21-delivery at destination).

#### Mail registration device

There are an increasing number of IT tools available to monitor leg 2 processes. One of them is the mail registration device (MRD). The MRD provides a complete view of handover processes between DOs and carriers at both origin and destination, enabling seamless visibility from outbound DO to inbound DO.

The MRD allows a quick and simple registration of mail handovers between DOs and carriers at postal facilities situated in handover locations (e.g. airports). The device is installed by DOs at the point where handlers from the carriers deliver postal containers to the postal staff and/or where postal staff handover mail consignments to carriers, which usually takes place at the entrance of the mail units at the handover locations. The MRD consists of a touchscreen terminal, a scanner, a label printer and technical infrastructure to manage the data produced.

The main benefit of MRD use is increased visibility over one of the operational grey areas within mail transportation (accurate information on mail status), progressively eliminating the visibility gap in the mail transportation pipeline. Two separate and independent processes can be registered through an MRD: the delivery of mail consignments at destination (proof of delivery – POD MRD) and the handover of mail consignments at origin (proof of custody – POC MRD).

MRD data is collected and consolidated by IPC, and the Transport Group will analyze the possibility of wider use of this system in many DOs' networks. For more information on MRD, please refer to the IPC website: www.ipc.be/services/supply-chain-integration-services/mrd.

#### 10.2 Transport-related EAD compliance project

Checking compliance with UPU standards is an additional tool to facilitate interoperability between DOs, customs authorities and carriers, especially in the transport sector. More information on the EDI message compliance project can be found at: www.upu.int/en/Postal-Solutions/Programmes-Services/Quality-of-service/ Compliance-to-UPU-Standards.



#### *i* Compliance dashboard

Details per mail class:

Mail class	EMSEVT	PREDES	RESDES	ITMATT	own IMPC	partner IMPC	EMSEVT unique events
C (parcels)	99.53	76.89	99.9	85.86	100	100	97.88
E (EMS)	98.81	96.47	100	89.74	100	100	91.95
U (letters)	99.38	75.95	99.92	77.14	100	100	99.27

#### Evolution per indicator in last 6 months:

Туре	indicator	2020.11	2020.12	2021.01	2021.02	2021.03	2021.04
-	overall compliance	92.66	89.73	89.31	89.99	86.71	91.87
EDI	common features	100	100	100	100	100	100
	EMSEVT	99.44	99.46	99.45	99.22	99.4	99.38
	PREDES	78.13	63.98	74.83	77.05	75.99	77.44
	RESDES	99.83	99.81	99.88	99.98	99.88	99.93
	PRECON	100	100	100	100	100	99.9
	RESCON	98.5	98.23	99.51	99.65	99.81	99.44
	CARDIT	80.56	88.06	70.07	81.94	75.77	87.87
	ITMATT	76.72	78.29	68.41	79.53	81.02	79.38
other	own IMPC	100	100	100	100	100	100
	partner IMPC	99.98	99.98	99.25	99.18	99.71	99.96
	msg upgrade	100	100	99.41	99.62	99.63	99.63
	EDI connectivity	95.18	95	95.06	97.87	98.19	97.54
	1st flight quality	86.26	77.27	74.52	58.65	70.32	81.09
	ongoing flight quality	68.97	36.67	60.44	49.23	64.63	50
	unique dispatch ID	100	99.98			100	100
	EMSEVT unique events	98.97	99.02	98.88	99.01	98.98	98.95
	EMA-EMC mismatch				98.89	98.85	98.97



#### *ii* EAD dashboard for transport (as of 15 March 2023)



#### iii CARDIT report

#### CARDIT compliance - February 2021

### Sampling period: 15-21 Feb 2021

Operator:

# Overview of messages sent Message EDI Total address messages CARDIT 101 291

#### 1. Summary of issues per sending EDI address

CARDIT MX101	counted in		
Description	dashboard?	No. msg	% msg
142 Main flight departure date-time before consignment completion date-time		13	4.5%
151 Transit time too short between two flights		8	2.7%
152 Invalid flight date		11	3.8%

#### 2. Error details (first 10 occurrences of each type of error)

CARDIT	101			
Issue: 142	- Main flig	ht departure	date-time before consignment completion date-time	counted in dashboard: 🖌
EDI dest	intref	mesref	Line / error details	
	20808	24579	TDT+20+ +4'	
Consignmen			Error:Flight dpt: 21-02-06 20:45, consignment completion: 21-02-15 07:06	
	6485	2836	TDT+20+ +4'	
Consignmen			Error:Flight dpt: 21-02-15 05:00, consignment completion: 21-02-17 23:21	
	15808	16534	TDT+20+ +4'	
Consignmen			Error:Flight dpt: 20-12-17 21:55, consignment completion: 21-02-19 12:14	
	15808	16534	TDT+20+ +4'	
Consignment			Error:Flight dpt: 20-12-18 20:50, consignment completion: 21-02-19 12:14	
	15808	16535	TDT+20+1000 4'	
Consignmen			Error:Flight dpt: 20-12-17 21:55, consignment completion: 21-02-19 12:14	

#### Compliance of EAD information in CARDIT iv

	# CARDIT msg	ar-flag provided	EAD line ok (issue #157)	offices provided (issue #159)	ar-ref ID ok (issue #160)	all EAD fields ok			
volume	489	413	0	0	413	0			
percentage		84.5	0	0	84.5	0			
Details on compliance issues can be found in the CARDIT compliance report: - issue #157: invalid EAD information - issue #159: origin and/or destination offices missing - issue #160: EAD information, invalid applicable security regulation *: the EU customs territory comprises the 27 EU members + Norway and Switzerland.									
Other EAD related ind	icators (from	compliance da	ashboard):	CARDIT co	ompliance (%)	70.2			
				ITMATT co	ompliance (%)	96.7			

#### EAD information in CARDIT from outside the European Union (EU) to the EU \*: (origin of first transport is outside the EU, destination of last transport is inside the EU)

#### 11 Security issues

Safeguarding the postal supply chain is critical. Nearly every DO has experienced a significant increase in the volume of goods associated with e-commerce. In a commercial product fulfilment model, there is no value for the mailing business if a DO cannot protect commercial products and deliver them to paying customers. In simple terms, if a DO cannot reliably and safely deliver e-commerce products, mailers will understandably seek alternative delivery providers.

Security measures must protect the postal supply chain from criminal threats, mistreatment, loss, and unnecessary delay. Another significant threat is dangerous goods. Each DO must have procedures in place for controlling the introduction of dangerous goods into postal networks. Most DOs currently devote significant resources to preventing the mailing of prohibited lithium batteries, flammable and toxic substances, and improvised explosive devices. In addition to safeguards to protect postal personnel and the public, a priority should be placed on dangerous goods that could be a threat to aviation. Related training materials on dangerous goods and lithium batteries is available on the UPU website: www.upu.int/en/Postal-Solutions/ Programmes-Services/Postal-Supply-Chain/Security.

The UPU recognizes that the safety and security of the postal sector as part of the global supply chain is critical to supporting worldwide commerce and communication. To facilitate the development and implementation of security standards and best practices among DOs, the UPU has established the Postal Security Group.

The UPU provides a number of publications, documents and references to assist DOs in implementing an effective security programme. UPU security standards S58 and S59 are now mandatory for all DOs.

- S58 General security measures defining the minimum physical and process security requirements applicable to critical facilities within the postal network.
- S59 Office of exchange and international airmail security defining minimum requirements for secure operations relating to the transport of international mail.

#### Consignment security declaration

The consignment security declaration (CSD) uses a standard format to provide evidence of the security status of a consignment, including information on who secured what consignment, how and when. If a DO has been granted Regulated Agent (RA) status, it can screen mail items and use a paper CSD. DOs that do not have RA status will need to put in place contractual arrangements with airlines or other eligible entities for security screening and the issuance of the CSD.

#### Electronic Consignment Security Declaration Guidelines (eCSD)

Instead of using a paper form, the CSD information could be included in M48 CARDIT 2.1 messages in the form of an e-CSD. Detailed information about the eCSD is available in document POC C 1 2018.2–Doc 5e. The eCSD is the electronic representation of the CSD. It is based on the CN 70, i.e. the paper representation of the CSD, which is aligned with IATA specifications.

#### Alarm resolution

The POC Transport Group carried out a study relating to occurrences during conveyance that raise suspicions at transit locations in which an item cannot advance until the matter is resolved. The term "alarm" is considered a catch-all phrase, and an alarm situation may occur during the handling of dangerous goods or prohibited inadmissible or wrongly admitted items. Airlines were also consulted on the alarm resolution study within the framework of the IATA–UPU Contact Committee. The Transport Group recommended some changes to existing regulations with specific instructions for alarm resolution remediation at transit locations. The 2016.1 POC approved the following two articles to the Convention Regulations: 19-101 and 19-201.

#### Electronic advance data

The UPU postal model for EAD depicted below comprises eight data flows. It has been developed in close consultation with all parties involved, including ICAO, the WCO, IATA, the European Commission and carriers.

The Global Postal Model is seen as a way of enabling all supply chain stakeholders (Customs, border agencies, carriers and DOs) to meet regulators' needs and objectives, delivering the pre-loading advance cargo information (PLACI) outcome in a harmonized way. The EAD model:

- Provides EAD to allow pre-loading risk assessment;
- Addresses late intelligence scenarios by providing a link between pre-loading and pre-arrival filings;
- Ensures that the most appropriate entity files at the most appropriate time (dual filing);
- Provides clarity of accountability;
- Is aligned with other supply chain models, while adapted to that of the postal sector;
- Will minimize disruption, costs and effort for all involved parties.



Data flows 7 and 8 relate to the role of the DO of origin and the contracted carrier. Conceptual processes can be summarized as follows, although a pilot should be conducted before commercial implementation.

In flow 7, the DO sends a CARDIT message to the carrier, including:

- EAD indicator (AR flag);
- Postal air waybill (PAWB) number (if required, and if range provided in advance);
- where relevant, security status and physical screening information (eCSD).

The DO hands over the postal consignment to the carrier or its agent.

Article 08-002 of the UPU Convention Regulations states that "When dispatching receptacles for which electronic advance data (EAD) is required for certain destination countries, the designated operator of origin shall ensure that all such country-specific EAD requirements have been duly met and that the relevant CARDIT message is transmitted, including any applicable regulations (AR) flag, in compliance with UPU Messaging Standard M48."

In flow 8, the carrier:

- checks material flow against CARDIT;
- checks presence of EAD indicator;
- assigns a PAWB number to receptacles (if required);
- files manifest information (which receptacle is loaded on which transport) as requested by Customs, including PAWB number and receptacle IDs if required;
- either transfers list of receptacle IDs (and eCSD) from mail management system to cargo management system or files EAD from mail management system.

#### 12 Annex – Key UPU regulations

The UPU Convention Regulations contain many references to transport issues.

The table below contains the regulations thought to be the most significant, as well as comments regarding their operational interpretation. An ellipsis ["..."] refers to text from the article or regulation that has been omitted to shorten the text in the table. Readers can refer to the complete text in the UPU Convention Regulations (the latest version can be found at docs.upu.int/cep/27 under "POC Definitive Regulations – Updates"). Note that there is some repetition of text between this annex and the other sections of the Postal Transport Guide.

This table is periodically updated by the POC Transport Group.

Subject	Reference	Text	Comments
Freedom of transit	Article 04-001 Application of freedom of transit	Member countries not providing the insured items service or not accepting lia- bility for insured items carried by their sea or air services shall nonetheless be bound to forward, by the quickest route and the most secure means, closed mails passed to them by other member countries.	Freedom of transit is a fundamental principle of the UPU. However, it is important, and in some cases man- datory, for there to be consultation between the origin operator and the transit operator. This con- sultation is essential to ensure effective and effi- cient operations.
Transit à découvert	Article 17-117 Transit à découvert	3 The dispatching designated operator shall consult in advance the inter- mediate designated operators as to the suitability of using them for à découvert items to the destinations concerned. The dispatching designated operator shall notify the designated operators concerned of the date on which dispatch of mail in transit à découvert commences, providing at the same time the estimated annual volumes for each final destination. Unless otherwise agreed bilaterally by the designated operators concerned, this notification shall be renewed if, in a given statistical period (May or October) there were no à découvert items observed and, consequently, no account had to be issued by the intermediate designated operator. Items in transit à découvert shall, as far as possible, be sent to a designated operator which makes up mails for the designated opera- tors of destination.	This article clarifies that consultation is manda- tory for letter post transit à découvert. Note that articles 17-015 (Routeing of dispatches) and 17-011 (Preparation and checking of CN 37, CN 38, CN 41 or CN 47 delivery bills) encourage consultation for closed transit.

Subject	Reference	Text	Comments
Postal security	Article 08-001 Postal security	<ol> <li>Member countries and their designated operators shall adhere to UPU Technical Standards S58, "Postal security – General security measures" and S59, "Postal security – Office of exchange and international airmail security", and aim to:         <ol> <li>raise quality of service as a whole;</li> <li>increase employee awareness of the importance of security;</li> <li>create or reinforce security units;</li> <li>share operational, security and investigative information on a timely basis;</li> </ol> </li> <li>propose to legislatures, wherever necessary, specific laws, regulations and measures to improve the quality and security of worldwide postal ser- vices;</li> <li>provide guidelines, training methods and assistance to postal officials to enable them to deal with emergency situations that could endanger life or property or could hamper the mail transport chain, in order to maintain the continuity of operations.</li> </ol>	The UPU security standards referenced in this article are UPU technical standards S58 (General security measures) and S59 (Office of exchange and international airmail security), available from the UPU Standards Programme. S58 and S59 became mandatory for DOs with effect from 1 January 2020. S59 is of crucial importance for airmail security. The standards are also available on the postal security section of the UPU website at www.upu.int/ en/Postal-Solutions/Programmes-Services/Postal- Supply-Chain/Security.
Closed transit	Article 17-015 Routeing of dispatches	1 Dispatches, including closed transit dispatches, shall be forwarded by the most direct route possible.	By including closed transit dispatches, this regu- lation ensures that the transit operator uses the same transport for receptacle being reforwarded as for its own originating dispatches. It also encourages direct routeings.
		2 When a dispatch consists of several receptacles, these shall as far as possible remain together and be forwarded by the same transportation.	This regulation encourages steps to be taken to keep receptacles in a dispatch on the same means of transport, but also recognizes the real- ity that this is not always possible.

Subject	Reference	Text	Comments
Closed transit (cont.)		3 The designated operator of origin may consult with the designated oper- ator providing the closed transit service regarding the route to be followed by the dispatches sent in closed transit. The designated operator of the country of origin shall not enter information about the routeing to be followed by the desig- nated operator providing the closed transit on the delivery bill (CN 37, CN 38, CN 41 or CN 47) or electronic equivalent, nor on the CN 34, CN 35 or CN 36 receptacle labels for letter post and the CP 83, CP 84 or CP 85 receptacle labels for parcels. The route information appearing on the delivery bill or electronic equivalent, and on the receptacle labels shall be limited to the route intended to transport the receptacles from the designated operator of origin to the desig- nated operator providing the closed transit.	This regulation encourages consultation between origin and transit operators for closed transit. Such consultation should be considered as being extremely important. It also clarifies that origins must not include onward routeing information (i.e. from the transit location to the destination) on labels and delivery bills.
		4 Dispatches in closed transit shall, in principle, be forwarded by the same transportation used by the designated operator of transit for the transport of its own dispatches. If, on a regular basis, there is insufficient time between arrival of the dispatches in closed transit and transport departure, or the volumes reg- ularly exceed the capacity of a transport vehicle, the designated operator of origin shall be so informed.	This regulation aims to ensure that transit opera- tors use the same transport for receptacles being reforwarded as for their own originating dis- patches. It also requires transit operators to consult with origin operators in the event of systemic or recur- ring problems.
		5 In the event of a change in a route for the exchange of dispatches sent in closed transit established between two designated operators via one or more designated operators providing closed transit, the designated operator of origin of the dispatches shall inform those designated operators providing closed transit of the change of route.	This regulation requires the origin operator to inform the transit operator of changes.
Direct transhipment	Article 17-007 Direct transhipment of postal consignments	<ol> <li>The provisions of this article shall apply regardless of the mode of transport used, including, without limitation, carriers such as airlines, land-based transportation companies, railway undertakings and sea services.</li> <li>Direct transhipment of consignments at the transit point shall preferably be performed between transport routes operated by the same carrier (intraline transhipment) but, where this is not possible, it may be performed between transport routes operated by different carriers (interline transhipment). The des- ignated operator of origin shall make prior arrangements with the carrier(s) involved. The designated operator of origin may request one carrier to make arrangements with the other carrier; in this regard, the designated operator of origin shall have confirmation that such arrangements, including ground han- dling and accounting, are in place. The use of the additional CN 42 label should also be determined.</li> </ol>	This regulation illustrates that intraline direct transhipment is preferable to interline direct tran- shipment.

Subject	Reference	Text	Comments
Direct transhipment (cont.)		3 In case of direct transhipment, the designated operator of origin shall enter information about the transhipment point on the delivery bill (CN 37, CN 38, CN 41, CN 47) or electronic equivalent, and on the receptacle label (CN 34, CN 35, CN 36 for letter post; CP 83, CP 84, CP 85 for parcels).	
		4 If a consignment documented for direct transhipment fails to connect with the scheduled transportation at the transhipment point, the designated operator of origin shall ensure that the carrier follows the arrangements in its agreement with the other carrier for direct transhipment referred to under 2, or contacts the designated operator of origin for instructions. Such arrangements for direct tran- shipment shall include provision for later transportation operated by the same carrier.	This regulation refers to the need for an arrange- ment to be specified between the origin operator and the carrier such that in the case of a failed connection, the consignment is not handed over to the DO at the transhipment point.
		5 Consignments transhipped directly at the transit point, either between transport routes operated by the same carrier (intraline transhipment) or between transport routes operated by different carriers (interline transhipment), shall not be subject to transit charges between the designated operator at the transhipment point and the designated operator of origin.	This regulation recalls that closed transit is an option and refers to the applicable regulation.
		6 In the cases referred to under 2 and where the designated operators of origin and of destination and the carrier concerned agree in advance, the carrier making the transhipment may prepare, if necessary, a special delivery bill to replace the original CN 37, CN 38, CN 41 or CN 47 delivery bill. The parties concerned shall mutually agree on the relevant procedures and form in conformity with articles 17-010 and 17-011.	This regulation enables carriers to prepare the necessary UPU form, subject to agreement between affected DOs.
		7 Where arrangements for direct transhipment are not possible, the desig- nated operator of origin may plan closed transit, in accordance with art- icle 17-015.	
		8 When surface mails from a designated operator are forwarded as closed transit by air by another designated operator, the conditions of such closed transit shall be covered by a special agreement between the designated operators concerned.	
		<i>Commentary</i> Closed transit is when the transit is performed via a DO and is subject to transit charges. It differs from direct transhipment, which is when transit is performed by carriers, without involving the DO at the transhipment point.	This commentary text further explains direct tran- shipment.

Subject	Reference	Text	Comments
Direct transhipment (cont.)		Depending on the arrangements, it may be practical to limit the use of the CN 42 label to interline direct transhipment and to require the carrier to remove the label at the transfer point.	
		Practical application formula for the direct transhipment of airmails by the air- lines:	
		<ul> <li>Direct transhipment of airmails between flights of the same airline per- forming successive stages of the journey (direct intraline transhipment)</li> </ul>	
		A DO desiring direct transhipment of its mails, at an airport in another DO's country, between flights of the same airline performing successive stages of the journey shall reach agreement with the local representative of that airline on the transhipment procedure.	
		<ul> <li>B. Direct transhipment of airmails between flights of two different airlines (direct interline transhipment)</li> </ul>	
		i A DO desiring direct transhipment of its airmails between two dif- ferent airlines at an airport in another DO's country shall provide the representative of the first airline with all relevant information.	
		ii If the first airline agrees to convey the mails over the first part of the route and considers that there is sufficient time for the transhipment at the transit airport, it shall contact the representative of the second airline concerned. It shall also contact any other involved parties, such as private ground handlers, and determine if there will be any additional costs involved which must be notified to and agreed by the origin DO.	
		iii Before agreeing to convey the mails over the second part of the route, the second airline shall make sure that, under normal condi- tions, there is nothing foreseeable to prevent them from being refor- warded by the second airline (available capacity, commercial rights, etc.).	
		iv Having obtained the agreement of the second airline, the first air- line shall inform the dispatching DO.	

Subject	Reference	Text	Comments
Direct transhipment (cont.)		v The dispatching DO shall reach agreement with the first airline on the number of copies of the CN 38 delivery bill to be supplied to it if the number required for the transhipment exceeds that provided for by the Regulations, and also on the provision of an additional copy of the CN 45 envelope.	
		vi Following an alteration in the airline timetables, the dispatching DO shall review, in consultation with the first airline, the arrangements made for the transhipment.	
		Unplanned closed transit is not a solution for failure of direct transhipment. It can be very disruptive to the DO at the transhipment point.	
Implementing provisions for providing electronic advance data	Article 08-002 Implementing provisions for providing electronic advance data	<ol> <li>Items containing goods may be subject to specific import customs- and security-based requirements for providing electronic advance data as referred to in article 8.1 of the Convention and further specified in the respective provisions of the Regulations. All member countries and their designated operators shall have the option of informing other member countries and their designated operators of their specific security requirements (in accordance with the aforementioned provisions) via the relevant compendium. Letters, postcards, printed papers (other than books) or letter-post items containing correspondence or items for the blind, which are not subject to customs duties, shall be exempted from these requirements.</li> <li>Each item for which electronic advance data is provided shall be accompanied by the appropriate UPU customs declaration form.</li> <li>The electronic advance data required to meet such requirements shall, in all cases, replicate data documented on the appropriate UPU customs declaration form.</li> <li>Each item for which electronic advance data is provided shall bear a unique item identifier, in both human-readable and barcode format, conforming to UPU Technical Standard S10. All exchanges of electronic advance data provided for customs and security reasons shall be compliant with UPU EDI Messaging Standard M33 and shall correspond to the content of the UPU customs declaration form.</li> </ol>	The proposal is designed to address the increased security requirements of the interna- tional sector, more specifically by acknowledging the concept of EAD (also referred to in other doc- uments as AEI, or advance electronic infor- mation) on certain types of postal items. The avi- ation security interest implies that, in all cases, the electronic data needs to be provided within a time frame prior to loading of the consignments. This article is intended to specify which catego- ries of postal items member countries may sub- ject to the requirement of EAD, and under what conditions.

Subject	Reference	Text	Comments
Implementing provisions for providing electronic advance data (cont.)		5 When dispatching items for which electronic advance data is to be pro- vided for customs and security reasons, the designated operator of origin shall ensure that each dispatched item's unique S10 barcoded identifier has been electronically linked (nested) to the S9 barcoded label of the receptacle contain- ing that item, and that this information is included in the PREDES (UPU Technical Standard M41) electronic dispatch messaging sent to the designated operator of destination.	
		6 When dispatching receptacles for which electronic advance data (EAD) is required for certain destination countries, the designated operator of origin shall ensure that all such country-specific EAD requirements have been duly met and that the relevant CARDIT message is transmitted, including any applicable regulations (AR) flag, in compliance with UPU Messaging Standard M48.	
		7 Electronic advance data shall be used in a manner consistent with the relevant provisions of the Acts of the Union regarding the processing of personal data. Without prejudice to the foregoing, the exchange of such data may be additionally governed by bilateral or multilateral agreements or protocols regarding the protection of personal data and other technical aspects relating to data exchanges.	
		8 Certain items may be subject to extra security measures as per the rele- vant procedures adopted by the UPU in consultation with other relevant stake- holders. Such measures may include, <i>inter alia</i> , the tracing and/or option of fur- ther conveyance of individual items.	
		9 In order to safeguard the smooth flow of the items referred to herein, member countries and designated operators implementing the provisions of this article shall do so in a manner that is consistent with the capacity of the global postal network and the available infrastructure for implementation thereof, and also take into account whether the requirements for providing electronic advance data can be met by all concerned parties in the international postal transport chain.	