UNIVERSAL POSTAL UNION

Airport mail security manual

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Introduction

A robust security programme is not only necessary to maintain the integrity of the postal supply chain – it makes good business sense. This manual is intended to reflect “best practices” and is to be considered an aid and a model for all sectors that are integrally involved in ensuring the secure handling of mail at airports and transportation by air carriers. Its contents comply with the regulations of the Universal Postal Union (UPU) and represent the highest standards of procedures, routines and recommendations, including mail consignment/dispatch organization, receipt from and handover to air carriers, and inspection/control processes at airports.

The push for paper-free transport in the new digital information age has been accelerated in this sector by the rapid adoption of electronic data interchange (EDI) messaging and the UPU’s introduction of technical standards. EDI has allowed for information about mail to be sent in real time to multiple stakeholders with the scan of just one barcode. The electronic record can establish accountability in the tendering process. Furthermore, information at the parcel level can be used by Customs (which can obtain information ahead of a parcel’s arrival) and mail security to place holds on parcels meeting certain criteria, thus allowing those entities to better mitigate risk in the mail stream. At its latest Universal Postal Congress in Abidjan, the UPU addressed the technical messaging standards and specifically member countries’ compliance with the requirement to provide electronic advance data (EAD).

The information in the original version of the Airport Mail Security Manual, developed in 2007, was made possible through the UPU’s collaboration with the International Air Transport Association (IATA) and International Civil Aviation Organization (ICAO). It should be noted that the updates in this revised manual are also influenced by these two bodies, as well as the World Customs Organization (WCO).

Several key updates have been made to this manual since its creation in 2007, including the following:

– Inclusion of URLs for reference, further reading and other resources;

– Use of EDI messaging language along with the equivalent UPU forms;

– References to the UPU S58/S59 security standards.

This manual should be considered a living document that will allow for changes brought on by practical experience, external factors, and new advances in technology. The postal supply chain is also constantly facing new challenges and threats to its security. In those instances, where it warrants deviations from the manual, interested parties should collaborate and be prepared to pivot.

This manual touches on some of the basic principles of security and should be regarded as a guide. It would be difficult to exhaust such a complex and extensive subject in a manual of this type. However, the basic stages of the process have been covered and, if applicable, can be used or adapted within each Union member country. Further security-related information can be found on the UPU website at www.upu.int/en/Postal-Solutions/Programmes-Services/Postal-Supply-Chain/Security. The Postal Security Group (PSG), in collaboration with other UPU stakeholders, has also defined a minimum set of security requirements, which can be applied to all facets of the sector. More information on this topic can be found via the aforementioned link.

Chapter 1 – Postal airport coordinator

1.1 Postal airport coordinator

1.1.1 Position definition

Ideally, the postal airport coordinator is an employee or representative of the designated operator (DO), to whom responsibility is delegated for oversight of international mail operations and security at a specific international airmail office of exchange (OE) and the airport(s) serving that OE. The scope of this responsibility will cover, to the extent possible, monitoring postal and airline mail operations, including: how dispatches and consignments are prepared, the loading and offloading of transit and transhipment consignments from aircraft, and how consignments are staged at postal and airport facilities. If the DO has an inspection service organization, the postal airport coordinator should be a postal inspector, an official responsible for internal postal security or an operations representative. It is strongly recommended that the individual in this position have operational experience with the Post. The person in this role must also bear in mind that they will serve as a

proponent of embracing advances in technology and innovation. This principle is particularly important given the rapidly evolving landscape in the way digital information is shared between entities and DOs in the supply chain through EDI. This information can be harnessed to enhance security and help with regulatory compliance.

1.1.2 Duties and responsibilities

– Provide direct technical advice on operational and security requirements for international mail.

– Serve as the liaison and consultant on international airmail security requirements with airport authorities, airlines and DOs, as well as with any agency subcontracted by these entities to assist with mail transport.

– Coordinate training of airline and DO employees on operational procedures for the secure transportation of international airmail.

– Maintain a liaison with Airport Coordinators at airmail OEs of other DOs of UPU member countries, for the purpose of promptly communicating delay/theft/damage/irregularity information on incoming and forwarded international airmail dispatches.

– Assist airlines, airport authorities, and UPU DOs in resolving delay/theft/damage/irregularity problems.

– Provide oversight and direction for periodical surveys (also characterized as audits or reviews) of airport and airmail OE procedures with airlines, airport authorities and DOs to assure compliance with existing requirements.

– Participate in local airport consultative group meetings on security and operational issues.

– Maintain close relations with the police authorities of the airport as well as of the OE locality.

Chapter 2 – Scheduling, forwarding and receipt of air dispatches/consignments

2.1 Transportation scheduling priorities

DOs are responsible for assuring selected air transportation which results in the safe and expeditious forwarding of mail. Reducing the number of times mail is handled and/or transferred between origin and destination points can lower the risk of mail loss, damage, depredation or theft. Therefore, direct flights between the origin and destination OEs generally provide the best security for mail, as stated in article 17-015 of the UPU Convention Regulations, with the recommended alternative being to choose flights with the least number of stop points. Preference may be given to an airline carrier with indirect routeing if the chosen airline carrier provides sealable containers for mail that will enhance security. The DO must also take into consideration whether the service of the carrier under consideration provides sufficient guarantees of secure and regular mail conveyance to reduce the total mail transport time.

2.2 Outbound airmail

2.2.1 Analysis of forwarding/routeing alternatives

This phase of mail operations requires a detailed analysis of flight alternatives between origin and destination to be conducted to ensure mail is transported rapidly, safely and regularly. Consider the following when choosing mail conveyance:

– Opt for transhipment airports which offer the shortest possible transit time;

– Review the type of aircraft to be used, giving preference to aircraft using containers and allowing the DOs to use such equipment;

– Utilize airline carriers offering minimal airport staging times in cases of transhipment and transport of consignments;

– Minimize cut-off times for mail handover to the airlines;

– Keep to a minimum the incidences of transhipment and transport of mails;

– Consider agreements with airline carriers, particularly with respect to the priority given to mail consignments;

– If possible, request and review the security plans for airlines being considered;

– Re-evaluate the above on a periodic basis and make adjustments as necessary;

– Preference should be given to carriers that are currently applying UPU EDI messaging standards.

Based on their internal business decisions, each DO may implement revised or different steps with regard to forwarding/routeing processes.

2.3 International mail transport

2.3.1 Definitions

– International airmail transport: The movement of consignments, originating with one DO and destined for another, that are transported directly or offloaded and redirected at an intermediary stop at an airport in the country of a third DO. The different types of international airmail transport are defined below.

– Direct transport: Consignments of mail that are moved from origin to destination via a single transport leg.

– Transhipment – intraline: Transhipment of consignments at the transit point that is performed between transport routes operated by the same carrier, without the involvement of the transit DO at the transhipment point.

– Transhipment – interline: Transhipment of consignments at the transit point that is performed between transport routes operated by different carriers, without the involvement of the transit DO at the transhipment point.

– Closed transit: Receptacles are consigned to a transit DO to be forwarded to the final destination, along with the transit DO's own originating receptacles.

– Transit à découvert (open transit): Items (bundled letters, parcels) for a destination country are included in 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.

A more detailed description and pictorial representations of the above can be found in the Postal Transport Guide.

2.3.2 Recommended actions

– DOs that forward mail, with or without the participation of postal services in intermediary countries, should be prepared to provide all necessary information on consignments in transport, i.e. weight, origin, destination, number of receptacles, flight number, airline carrier and date. It is important to remember that receptacles from an originating DO are included in the transit DO's consignment, and thus would be listed on the transit DO's CN 38 delivery bill and included in the UPU messaging standard PRECON and CARDIT message.[1]

– When using interline or intraline transhipment, the intermediary DO at the transhipment point most likely will not have any involvement in the movement of the consignment, but should be aware that assistance may be needed in the event of any incidents involving the mail (being waylaid or seized owing to the detection of dangerous goods in a receptacle, for example) while within their country.

– At the airport of a transhipment, the waiting transhipment time between the arriving flight and the nominated departure flight should be reduced to a minimum.

– The airline carrier(s) responsible for the mail should ensure that, during the time between the arrival and reforwarding of the mail, it is stored in premises providing the best possible security.

– In the case of closed or open transit where the intermediary DO is involved, that DO must also abide by the above.

[1] Terms such as PRECON, CARDIT, RESCON and RESDIT are part of the UPU's EDI messaging standards explained later in this chapter and in the annex. Resources for further reading are also made available in the annex.

2.4 Inter-airline and intra-airline transfers

– In this stage of shipping consignments, the DO as well as the airline carriers will take all necessary measures to assure that transhipment operations involving mail occur under the most optimum and secure conditions.

– Receipt and verification systems to assure examination of dispatches on ramp transfer are crucial.

– The most rapid means of communication should be used to communicate consignment information between origin and destination DOs. The EDI transmission network put into place by the UPU should be used in the form of standard messages (PRECON, CARDIT, RESCON, RESDIT, etc.). In cases when this is not practicable, any other existing electronic communications network may be used.

– For intra-airline transfers of postal consignments specifically, it is necessary that the responsible airline carriers assure priority in transhipment through expeditious transfer of the mail between flights. The use of a postal ramp clerk or airport coordinator to spot-check the transfer of mail is recommended.

2.5 Inbound airmail

2.5.1 Choosing facilities for receipt of mail

DOs, with the mutual agreement of airline carriers and airport authorities, should have access to a facility for the receipt of mail from the airlines. This facility should be located as close as possible to the area where the plane is being unloaded.

2.5.2 Control of mail consignments/dispatches

The offloading of mail should take place immediately after the offloading of passenger baggage, preferably under the supervision of a postal employee and in an area as close as possible to the baggage offloading area. The mail should then be handed over to the DO. Following this, the first action consists of checking that all mail receptacle/dispatches mentioned on the CN 38, CN 41 or CN 47 delivery bills are accounted for, or electronically in the EDI PRECON message. Any discrepancy must be reported on the CN 43 verification note (VN), in accordance with articles 17-011, 17-132 and 17-133 of the UPU Convention Regulations.

2.5.3 Reduce handling steps

Reduce to a minimum the number of handling steps and the handling times for the handover of mail.

Chapter 3 – Airport mail handover and receiving operations

3.1 Introduction

This chapter will provide instructions for airport mail handling by postal and customs personnel, employees of other interested agencies, and airport authorities. The duties of airline employees are outlined in chapter 5. The process of handling mailbags at airports may be straightforward and uncomplicated. However, the movement of mail is unique aside from this process, owing in part to the UPU regulations which govern it. Therefore, mail requires different handling procedures, which provide mail security and help facilitate timely handover. This should be impressed upon personnel working directly and indirectly with mail. Any security audits, surveys or reviews conducted by the DO and ramp officers should include a review of these activities at the airports, to identify gaps or opportunities for improvement.

3.2 Functions of DO personnel and forms

3.2.1 Location of the airmail facility

It is ideal for a DO to locate airmail operations in the customs area of the airport with airside access. The alternative should be at the airport with direct airside access or in another location as near as possible to the airport or the customs area. This concept of proximity to entities within the postal supply chain can serve a couple of purposes: first, it can be more cost-effective; and second, it can provide mail customers with the level of service they desire from a DO, namely rapid, regular and secure mail processing.

3.2.2 CN 38, CN 41 and CN 47 delivery bills/EDI messaging

The group of mailbag receptacles (also referred to as the consignment), when tendered by the DO to the air carriers, must be accompanied by information about that mail. It is strongly recommended that this information also be provided electronically using the latest version of the relevant UPU EDI messaging standards of PRECON/RESCON (electronic information about the consignment sent between origin and destination DO) and CARDIT/RESDIT (electronic information about the consignment sent between the DO and the air carrier). Where this is not possible, information is conveyed in a properly completed physical delivery bill, referred to as UPU forms CN 38, CN 41 and CN 47. The carrier is required to store this information and share the data with the associated entity responsible for ground services at the points of origin, transhipment and destination, including, but not limited to, airports, other ports of entry and train stations.

Further reading on EDI messaging can be found in the UPU document entitled “An introduction to postal EDI exchanges”. The description and purpose of these delivery bills can also be found in articles 17-010 and 17-011 of the Convention Regulations, or under several chapters of the UPU Postal Transport 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 currently available on the UPU website at www.upu.int/UPU/media/upu/files/postalSolutions/programmesAndServices/postalSupplyChain/Transport/UPU-IATA%20Cooperation/UpuIataIpcEdiGuide2017SpreadEN.pdf.

3.2.3 Mail transfer and accountability

Article 17-009 of the UPU Convention Regulations details the process of accountability for the transfer of mail. It is important to note again that when DOs and carriers exchange EDI information, the parties may agree that the transport can be paper-free. Security personnel should be somewhat familiar with this process, both physical and electronic, as it can help determine the last known point of consignments if an investigation is warranted. During periodic audits, this knowledge can help the reviewer determine weaknesses and vulnerabilities in the supply chain caused by lack of controls by stakeholders and partners.

This documentation is necessary for assigning responsibility for the entities entrusted with the mail. Postal personnel should never deliver mailbags to air carrier personnel without some evidence of having tendered it, such as corresponding signed delivery bills from the air carrier personnel (CN 38) and/or confirmation of a “received” EDI RESDIT message at the time of handover. The UPU rules on accountability of mail in the supply chain are outlined below.

Article 17-009 is reproduced here verbatim:

> “1 All mail dispatches shall be handed over by designated operators in good condition. However, a dispatch may not be refused because of damage or theft.
>
> 2 Delivery bill information shall be prepared by the sending office and provided to the destination office as well as other parties, if any, involved in the transport of dispatches, including dispatches of letter-post items posted in bulk. The information shall preferably be provided electronically, using the latest version of the relevant UPU EDI Messaging Standards of PRECON and CARDIT; when this is not possible, the delivery bill information shall instead be shared via UPU forms.
>
> 3 The following rules apply to the exchange of electronic messages corresponding to delivery bill information:
>
> 3.1 Among designated operators (PRECON/RESCON):
>
> 3.1.1 A PRECON message shall be sent by the origin designated operator to the designated operator to which the consignment is addressed.
>
> 3.1.2 The designated operator taking receipt of the consignment shall send a RESCON message to the origin designated operator, in order to acknowledge receipt of the receptacles.
>
> 3.2 Between designated operators and carriers (CARDIT/RESDIT):
>
> 3.2.1 The origin designated operator shall send a CARDIT message to carrier(s) involved in the transport of the mail to the consignment destination, in accordance with UPU EDI Messaging

Standard M48. Depending on the exact process and agreement, there may be more than one CARDIT message per consignment and carrier.

3.2.2 Carriers receiving CARDIT are expected to respond with RESDIT messages, in accordance with UPU EDI Messaging Standard M49.

3.2.3 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 designated operator, but should be based on the event classification provided in UPU code list 100 (critical, supplementary and optional).

3.3 In the event of an inquiry, the designated operators shall share the available information, including that received from the carriers.

4 When UPU forms are used, the following delivery bill forms apply, depending on the type of mail and conveyance:

4.1 CN 37 for surface mail (mail categories C and D) other than dispatches of empty receptacles;

4.2 CN 38 for airmail (mail category A) other than dispatches of empty receptacles;

4.3 CN 41 for surface airlifted (S.A.L.) mail (mail category B) other than dispatches of empty receptacles;

4.4 CN 47 for dispatches of empty receptacles, for all mail categories.

5 The following rules apply to the generation of delivery bill forms:

5.1 The dispatching office shall retain a copy of the delivery bill; if a carrier is involved, this service or an associated agent shall sign this copy as a receipt for the consignment.

5.2 A copy is sent to the destination office of exchange.

5.3 If a carrier is involved, an additional copy is given to this carrier and shall be transported to the destination; this copy shall be retained by the carrier after being signed by the receiving office.

5.4 In case of air transport, the two copies of the delivery bill that are transported to the destination office shall be inserted in a CN 45 envelope. These shall be conveyed in the aircraft's flight portfolio or other special pouch in which the flight documents are kept. Upon arrival at the airport of offloading of the consignment, the first copy, duly signed as a receipt for the consignment, shall be kept by the carrier which has carried the consignment. The second copy shall accompany the receptacles containing the postal items to the post office to which the delivery bill is addressed.

5.5 Designated operators that have developed an electronic receipting system for receptacles that they receive from carriers may use the receipting records of that system instead of the delivery bill process described under 5.4. In lieu of the signed copy of the delivery bill forms, the receiving designated operator can provide the carrier with a printed copy of the electronic receipting record for those receptacles.

5.6 When the transfer of receptacles between two corresponding offices involves a sea service, an additional copy shall be sent to destination, preferably electronically, or otherwise via airmail, in order to pre-advise destination.

5.7 If delivery bills are produced by electronic means and transmitted online to a carrier or a cooperating agent without the direct participation of the designated operator's staff and printed out there, the designated operators or companies involved in the transport operations may agree that a signature shall not be required on the delivery bills.

5.8 The weight of bags or other receptacles containing insured air parcels shall be shown separately on the CN 38 delivery bill. The letter "V" shall also be written in the "Observations" column opposite this entry."

3.2.4 Condition of mail dispatch bags/receptacles

Prior to handover of the dispatches to the air carrier, a designated postal employee should review the mailbags/receptacles to ensure they are in good condition. Any receptacle containing mail that is torn or has holes should be taken out of service. The employee should remove the receptacle label (if one has already been affixed), withdraw the mail items from the damaged mailbag, enclose them in a mail receptacle that is in good condition, and affix the original receptacle label.

3.2.5 Sealing devices on mailbags

In addition to reviewing the physical condition of the mail receptacles, the designated employee must ensure that the device used to seal the receptacle is in good order. This observation should be both visual and physical. The mail receptacle must be physically handled as well. The sealing device must be examined to ensure it is in good condition to reduce the potential for undetected and unauthorized intrusion. Reviews should be regularly conducted to ensure those personnel handling bags are sealing them properly, and if not, to provide corrective action if necessary.

3.2.6 Dispatch labels

Dispatch labels on the mailbags should be reviewed to ensure they are legible, that all necessary routeing information is noted, and that the barcode on the label is in good enough condition to be scanned.

3.2.7 Handover of mailbags without documentation or electronic receipt

As stated in article 17-011 of the UPU Convention Regulations (Missing CN 37, CN 38, CN 41 or CN 47 delivery bill):

> “1 Designated operators may agree to make systematic use of electronic mail or any other appropriate means of telecommunication for settling cases where the delivery bill is missing.
>
> 2 An electronically transmitted delivery bill form, duly signed by the sending designated operator, printed by the carrier at destination or at an intermediate location, shall be considered valid by the destination office.
>
> 3 In the absence of the delivery bill or its electronic equivalent, the receiving office shall prepare one as a substitute in accordance with the consignment received and have the carrier countersign it. This substitute delivery bill may be sent to the dispatching office as an attachment to a CN 43 (for letter post) or CP 78 (for parcels) verification note or be kept in case of later disputes over the consignment concerned.”

A service level agreement should be established between DOs and the airlines regarding their respective responsibilities.

3.2.8 Delivery bills received from air carriers

When delivery bills are received from an air carrier where all or part of the mail is missing, the procedures outlined in article 17-132 of the UPU Convention Regulations must be followed, most notably in terms of the requirement that the facts should immediately be established by two officials. Corrections on the bills can be made physically through EDI in the RESDES message, if agreed upon by the DOs. Additionally, a CN 43 or its electronic equivalent must be prepared.

3.3 Functions of customs personnel

3.3.1 General information

The DO of the country of origin and that of the country of destination are authorized to submit postal items for customs examination in accordance with the legislation of those countries. EDI messaging serves to support this process as well. ITMATT EDI messaging acts as the digital equivalent of the CN 22/CN 23 customs declaration forms on postal parcels. This information, once entered by the customer, is transmitted digitally to postal operations and Customs ahead of the item in the supply chain. The benefit of having this electronic information is that it allows for holds to be placed on items if needed, or for clearance to be expedited. The information transmitted includes the following:

– Sender and recipient's full name, address and contact details, and tax code/VAT number;

– Category, total value and total weight of the item;

– The complete contents of the item including, for each article contained within the item, the description, quantity, weight, value, harmonized system (HS) tariff number and origin country;

– Postal charges including insurance;

– Information about associated documents such as a licence, certificate or invoice.

3.3.2 Purpose of customs examinations

The purpose of customs inspections is to prevent postal items containing dutiable articles from evading declaration on importation. It is also designed to seek merchandise subject to prohibition, restriction or control.

3.3.3 Location of customs examination

Customs officials should conduct the examination of mail items in a location under the control of the DO and preferably as close as possible to that DO's facility. The purpose of this requirement is to lessen the risk of theft/damage while the mail is transported from one facility to another and to expedite forwarding.

3.3.4 Customs examination

The DO should reach an agreement with the customs authorities, so that mail is examined quickly to reduce any delay in its circulation and handover.

3.3.5 Opening postal items

Letter-post items to be submitted for customs examination must be provided with a green CN 22 label. The presence of this label on an item authorizes automatic opening of it by the Customs.

It would be useful for postal officials to be familiar with the customs laws of their respective country concerning the opening of mail.

3.3.6 Seizing postal items

The customs authorities must provide a seizure report when items are seized. In agreement with Customs, the destination DO should in turn notify the origin DO. In ITMATT messaging, it is usually sent electronically in the CUSRSP message.

3.4 Functions of airport authorities

3.4.1 General information

Airport authorities can be defined as those managing the organization responsible for the administration, safety and security of the airport facility. They must have general knowledge of the movement of mail receptacles between postal facilities and air carriers. This requires periodic consultation with postal officials as well as customs officials.

3.4.2 Security of the airport ramp

Under ICAO rules, the security forces ensure that ramp security is organized at the airport in such a way that only authorized use can be made of the area. Those same rules set out that only authorized personnel and vehicles should have access to the ramp and air carrier planes. More information can be found at www.icao.int/security/sfp.

3.4.3 Access control/ramp passes

Annex 17 of the ICAO Convention further specifies that ramp passes should be restricted to persons who have a genuine need to enter the ramp area. Such identification should have a limited period of validity and be worn visibly at all times when in the restricted areas. Random identification verification and checks of personnel, including crew, should be conducted periodically. Controlling access to the ramp area by using ramp passes allows the airport authority to easily identify unauthorized persons and remove them from the restricted area.

3.4.4 Mailbags found in unusual places

Mailbags, whether rifled, damaged or in good condition, found by personnel in unusual places in the airport facilities should be immediately reported and/or taken to the postal facility for identification and investigation. A written record of the discovery, with specific facts as to the location, time and date of the discovery, should be made and turned over with the mailbags to the postal airport coordinator or other postal personnel as soon as possible. See also section 11.5.4.

Chapter 4 – Responsibilities of designated operators

4.1 Make-up of international mail dispatches/consignments

Various documents are used in the make-up of international mail dispatches/consignments in accordance with UPU legislation. Those documents are explained in the glossary (Annex 1) and have been mentioned above. This chapter focuses on the procedures of authorized DO employees in airports.

4.2 Requirements for closure of mail receptacles – basic recommendations

A very rudimentary, low-tech, yet effective security measure is a properly sealed mail receptacle. The sealed receptacle is the primary mechanism to protect mail items from pilferage. It is important to recognize the importance of quality seals and closure systems. Failure of either exposes mail to great risks of theft and damage to the contents inside. In recognition of this reality, DOs should adopt the following recommendations:

– Mailbags should be in good condition, without holes or tears, to protect mail adequately;

– The bags should be closed very tightly at the neck to eliminate the potential of removing mail without obvious evidence of the act. The proper tags should also be applied;

– The seals for the bags should be made of a lightweight metal, plastic or nylon material which cannot be opened and resealed without an obvious indication of tampering. Regardless of the material, the seals must be tamper-evident;

– It is important to regularly evaluate the current seals and closure procedures and make necessary improvements to provide more security to postal dispatches/consignments;

– It is essential to implement training programmes designed to instruct postal employees and airline personnel on how to recognize and fix improperly sealed bags.

4.3 Transportation of postal consignments between airports and offices of exchange

When air consignments are handled by OEs located outside airport boundary lines and where OEs handle dispatches and consignments on a regular basis, the following measures should be considered in the transportation routeing to the airport. It is important that measures taken result in the establishment of precise control during the forwarding, handover, staging and receiving of the consignments to guarantee their security and aid in the processing of the mail.

4.3.1 Planning and scheduling of transportation

This requires rational planning of the dispatch itineraries to ensure that dispatches/consignments arrive at the airport in time for loading on aircraft prior to scheduled departures. However, staging time should be kept to an agreed minimum to enhance security.

4.3.2 Charting of transportation

It is necessary to complete charts describing all necessary transportation according to the routeing information provided by the CN 38 or the PRECON and CARDIT messaging.

4.3.3 Sealing of vehicles transporting mail dispatches/consignments

A control system for sealing vehicles used in the transportation of mail dispatches/consignments should be established. These seals and/or other security devices should be tamper-evident to ensure security.

4.4 Handover and receipt of mail consignments to and from airlines

The handover, receipt and transport operations of international airmail dispatches/consignments constitute activities to be developed jointly by DOs, customs authorities and airline companies. Taking care to rationally define the operating systems and determine the responsibilities of both DOs and airline companies makes good business sense. The basic procedures relevant to these activities will be summarized in this section, and include the manner in which tendering of the mail between entities is established. It is recognized that these are examples of the flow of mail.

Accountability is a cornerstone for any mail security programme. The preference is to use EDI messaging to establish the transfer of accountability along the supply chain. This can be in place of, or in addition to, the physical documentation that accompanies dispatches/consignments.

4.4.1 Handover procedures

– Scenario 1: Mail consignments prepared at OEs located outside the airport:

a Receive postal consignments from operating units responsible for the make-up of consignments along with the corresponding dispatch documents (CN 38, CN 41, CN 47 delivery bills or CARDIT 47 message).

b Verify that all postal bags are properly secured.

c Verify that seals and closures are applied correctly.

d Verify that tags and bag counts are reconciled with the appropriate consignment documents (CN 38, CN 41, CN 47 delivery bills or CARDIT 47 message).

e Hand over postal consignments to the appropriate airline carrier, following cut-off times established by the airline for consignments.

f Obtain a receipt from the airline representative on handover of the corresponding postal dispatch (CN 38, CN 41, CN 47 delivery bills or EDI RESDIT 74 “received” event message).

– Scenario 2: Mail consignments prepared at OEs located inside the airport:

a Prepare the international air consignments according to the current UPU regulations.

b If EDI is being used, once the consignment is prepared, PRECON and CARDIT messages are sent along with ITMATT messaging for the CN 22 and CN 23.

c Deliver the postal dispatches/consignments to the airline representative by the appropriate cut-off time.

d Verify that seals and closures are applied correctly.

e Verify that tags and bag counts are reconciled with the appropriate consignment documents (CN 38, CN 41, CN 47 delivery bills and/or send CARDIT 47 message).

f Obtain a signature from the airline representative on handover of the corresponding consignment (CN 38, CN 41, CN 47 delivery bills or EDI RESDIT 74 “received” event message).

4.4.2 Procedures for receiving mail from air carriers

a Receive the consignments from the airline carriers.

b Verify that consignments are accompanied by the appropriate documentation (CN 38, CN 41, CN 47 delivery bills, check PRECON message). There is no need for CN forms if DOs and the respective carriers have agreed to use the electronic equivalents of these forms.

c Verify the general condition of bags, seals and closures. If airline-owned containers are used, their condition should also be examined to ensure their security integrity.

d Verify that the quantity of bags and weight, as indicated on the CN 38, CN 41, CN 47 delivery bills or EDI PRECON message, correspond to the CN 35 or CN 36 dispatch bills (also referred to as receptacle labels).

e Provide the airline representative with a receipt on the airline copy of the accompanying consignment documentation, and/or airline confirms handover in EDI through RESDIT “delivered” message event and DO confirms receipt through a RESCON message. In the case of destinations with a mail registration device for proof of delivery, carriers can use this as a receipt.

4.4.3 Irregularities noted with consignments

The CN 43 (letters) and CP 78 (parcels) VNs exchanged between DOs are used to point out to the origin DO, as well as the receiving DO, several types of irregularities noted regarding the dispatches/consignments and their contents. The VN serves to address and document issues that can happen when dealing with the airlines, some of which are listed below:

a Lack of proper documentation (missing CN 38, CN 41 or CN 47 delivery bill)

In the absence of the delivery bill or its electronic equivalent, the receiving office will prepare one as a substitute, in accordance with the consignment received, and have the carrier countersign it. This substitute delivery bill may be sent to the origin DO as an attachment to the VN.

b Receptacles received open, improperly sealed or showing evidence of violation

When bags with evidence of tampering are found, the delivery bill is to be annotated (in the case of physical paper bills being used) with a detailed description of this irregularity, indicating the specific weight and quantity of bags in the dispatch with violations. The delivery bill will once again be signed by the airline representative and by the individual responsible for receipt of the dispatch. The corresponding VN will then be issued to the origin DO either physically or electronically.

c Receptacles without tags (missing CN 35, CN 36 or CP 84)

The receptacle is to be opened by a representative of the local DO, in the presence of the airline representative and customs official, with the objective of identifying the final destination. A substitute tag should be prepared for onward dispatch of mail to the final destination. Subsequently, the corresponding VN will be issued.

d Receptacle missing from consignment

After verifying that the receptacle is missing, the delivery bill should be annotated with this information (in the case of a physical bill) and signed by the airline representative and the receiving postal employee or other designated individual. The corresponding VN will then be issued.

e Difference in weight

The corresponding VN will be issued when the difference in weight is greater than 100 grammes. The delivery bill and bag tag are to be annotated with this information, countersigned by the airline representative, and the postal employee or other individual responsible for receipt of the postal dispatch.

4.5 Regular airport security inspections of conditions affecting mail operations

The periodic inspection of security conditions affecting airport mail operations should generally be conducted by the DO together with the airline company. Compliance and oversight audits are, in fact, required as per UPU S58/S59 standards. The inspections should be conducted with the objective of detecting security deficiencies in the airport mail-handling operations as defined in this manual, as well as in S58/S59. The preventive

nature of this activity will minimize the risks to which postal dispatches/consignments are subjected. These assessments should be conducted annually unless local conditions dictate more frequent assessments.

It is essential that postal, airline and airport authorities responsible for the inspections be very knowledgeable in airport mail security and operations. The postal representative should be a postal inspector designated as the postal airport coordinator, whose duties and responsibilities are defined in chapter 1. The inspections should cover the components of the S59 portion of the UPU standards, the basic points of which are summarized below.

4.5.1 Handover of postal consignments to airline carriers

– Determine whether consignments are received by the airlines by the established cut-off times for flights.
– Evaluate all handover operation activities.
– Observe the treatment of postal consignments after handover.
– Verify the tendering process – if EDI messaging is involved, verify scanning and compare to posted electronic events.
– Verify that dispatch documents are in order (number of copies, completion of documents, required signatures if physical paperwork only, stamps, etc.).
– Observe the priority for shipments given to the postal consignments by the airline carrier.
– Verify the general conditions of the receptacles and closures (seals).

4.5.2 Receipt of the postal consignments from the airline carriers

– Verify that the offloading of postal consignments from the airline is being supervised by the DO.
– Evaluate the offloading operational conditions of the postal consignments.
– Observe the handling received by the postal dispatches/consignments after offloading.
– Verify the tendering process – if EDI messaging is involved, verify scanning and later compare to posted electronic events.
– Verify the documentation accompanying the postal consignments for completeness (number of copies, correct signatures if physical paperwork only, etc.).
– Verify the general condition of the postal bags and closures (seals).
– Verify the general condition of the equipment used in the handling operations of the postal dispatches/consignments.

*4.5.3 Transhipment operation*s

– At the request of the origin DO, the DO at the transhipment point is to monitor transhipment ramp operations, and airline carriers should do the same.
– Evaluate security conditions of the physical locations (buildings, ramps, etc.) where transhipment operations occur.
– Verify the priority handling given to shipments of transhipment dispatches/consignments.
– Verify the general physical condition of the mailbags and closures (seals).
– Verify that all documentation is in order.

4.6 Airline transportation contracts

DOs should consider several factors in the selection of air carriers for the transportation of mail. Those which can provide expeditious forwarding of consignments must be given strong consideration. However, the transportation security each airline is willing to provide must also be considered. It is recommended that DOs and air carriers sign a service level agreement containing specific mail security clauses which specify the measures that airlines and postal authorities will take to protect mail consignments in their custody.

4.7 Communications between DOs and airline carriers

It is recommended that DOs maintain a close working relationship with the airline carriers and airport authorities, primarily through the designated postal airport coordinator. The overall objective is to reduce all types of problems involving postal consignments under the direct responsibility of the airline carriers.

Chapter 5 – Responsibilities of the airlines

5.1 Functions of air carrier personnel

5.1.1 Objectives

The intent of this section is to ensure that all air carrier personnel recognize that mail consignments in their custody must be given proper security. This means that receptacles are efficiently and expeditiously moved according to the instructions on appropriate origin DO consignment documents and the related routeing information on mail receptacle labels, container placards and in electronic messages. As mentioned in chapter 4, the procedures listed below include the manner in which accountability for the tendering of the mail between entities is established. This accountability is inherently a valuable part of any mail security programme.

5.1.2 Air carrier management oversight

Air carrier management and company officials hold the following responsibilities with mail entrusted to their care:

– Ensure that all personnel engaged in the processing and handling of mail protect it from damage, destruction, loss or theft. Mail must not be left unattended, except in secure areas. When it is outdoors, it must be covered at all times to prevent exposure to inclement weather and/or theft;

– Ensure that air carrier employees moving mail can be visibly identified by a uniform or badge. Air carrier management must ensure that a traceable record of employees handling mail on each shift is maintained;

– To the extent possible within a country's national legal system, immediately remove or suspend from mail-handling duties, and from any duty which might afford access to mail:
  - Any employee who is charged with a felony or has been convicted of a crime involving theft of personal property or theft/damage of the mail;
  - Any employee for whom there is sufficient cause to believe that they have stolen or wilfully damaged mail;

– To the extent possible within a country's national legal system, perform background checks on applicants to identify and disqualify any applicant with convictions as noted above;

– Cooperate with and assist postal inspectors or officials responsible for internal postal security in their duties;

– Provide sufficient personnel to handle and transfer mail within the time limits specified by the DO. The air carrier is responsible for the protection and expeditious handling of mail until it is returned to the custody of the DO;

– Ensure employees assigned to handle mail operations receive proper training relative to mail-handling procedures, security requirements, and response to incidents involving the mail, including those involving non-mailable and hazardous materials;

– Immediately notify the origin DO of any incident resulting in the damage, delay or loss of mail;

– Air carrier management and DOs should conduct joint periodic reviews, inspections and audits to determine the level of compliance. The results of these reviews, inspections and audits should be documented with corrective action noted.

5.1.3 Outbound mail – specific duties of air carrier personnel

Air carrier personnel assigned to handle mail receptacles at the airport must observe the following rules:

– All delivery bills, prepared by the origin DO, are to be signed legibly in the presence of postal personnel, or the equivalent RESDIT electronic message is sent via EDI messaging from the carrier to the origin DO. These acts signify the tendering of mail receptacles that make up the consignment to the air carrier, and thus assign accountability for them to the carrier. Therefore, it is incumbent upon the air carrier personnel to review the make-up and condition of the mail consignments;

– If possible, the neck of each mail receptacle is to be rechecked to ensure it is properly sealed to prevent intrusion. The mail receptacle itself must not have any holes or rips. All mail in a particular consignment must have a properly fastened seal, and the information on the dispatch label must be legible and complete with a scannable barcode for electronic messaging;

– The number and particulars of mail receptacles in a specific consignment must correspond to the number of mail receptacles listed on the delivery bill;

– If the air carrier identifies an irregularity concerning the above points, it should be immediately brought to the attention of the origin DO. If the origin DO fails to correct the problem in an expeditious manner, the air carrier personnel will notify their immediate supervisor and advise them of the non-compliance;

– Air carrier personnel should only leave mail receptacles in a holding area accessible to those authorized to handle mail. If this is not possible, greater care must be exercised to ensure the security of the mail receptacles. Under these circumstances, consideration must be given to designating a specific ramp space with signs and markings to notify that it is a restricted mail staging area, located in a well-lit area visible to a large number of ramp employees. Ideally, a secure mail holding area should be available;

– Personnel performing ramp services must be familiar with local regulations concerning the handover of mail receptacles to customs officials prior to handover to the destination DO. They must also be familiar with different types of mail receptacles and classes of mail.

5.1.4 Inbound mails – specific duties of air carrier personnel

– As soon as practicable after offloading mail receptacles from a particular flight, if possible, air carrier personnel should review individual mail receptacles to determine whether they are all properly sealed, and that no holes or rips are observed.

– Mail receptacles must be taken directly to the destination DO. The corresponding delivery bills (CN 38, CN 41 or CN 47) must accompany the mail receptacles making up each consignment and/or the appropriate EDI message must be sent to establish accountability (RESDIT by carriers and RESCON by destination DO). Refer to the instructions in chapter 3 if the mail receptacles are brought to the destination DO with missing documentation of electronic receipt.

– In cases of small consignments of mail being offloaded, under no circumstances should the mail be left unattended on the tarmac. Destination DOs and airlines should agree among themselves regarding the handling of these small consignments in a secure manner.

5.2 Functions of contract personnel

5.2.1 General information

Many air carriers contract with other air carriers or private ramp service companies to load and offload cargo and mail receptacles from their flights. Air carriers should require that contractors performing mail-handling activities comply with the rules and regulations established in the manual for air carriers. Further, those contracted companies must comply with any periodic reviews, audits and inspections carried out by the DO or any regulatory body subject to the same as the contracting company.

5.2.2 Local airport handover regulations for mail

Personnel performing ramp services must be familiar with local regulations concerning the handover of mail receptacles to customs officials prior to handover to the destination DO. They must also be familiar with different types of mail receptacles, as well as with the different classes of mail.

5.3 Acceptance of consignments

Mail is weighed, coded with dispatch and flight information, and listed on consignment documents by the origin DOs. Details outlining specific instructions concerning this process are included in chapter 4. It is each airline's responsibility to properly accept, load and offload mail consignments from aircraft as agreed between origin DOs and airline management.

5.4 Verification of consignment routeing

On receipt, the airline will verify that all mail tendered by the OE is destined for points on its system or is coded for transfer at a stop point on its system.

5.5 Protection of consignments

Airlines should adhere to the following guidelines to protect consignments in their custody:

– Follow as closely as possible the provisions of this manual and the instructions of each origin DO tendering mail, as agreed between origin DOs and airline management;

– Ensure that employees receive proper training regarding mail-handling procedures, security requirements, and incident response, including those involving non-mailable and hazardous materials;

– Efficiently and expeditiously process and handle mail in a safe and secure manner;

– Ensure that all personnel engaged in the processing and handling of mail protect it from damage, destruction, loss or theft. When mail is in an outside area, it must be protected from inclement weather;

– Promptly report to postal service supervisors any incident resulting in mail that is damaged or delayed, suspected to be lost, stolen, destroyed or mistreated;

– Instruct all employees handling mail to cooperate with postal supervisors and postal inspectors engaged in official investigations;

– Permit only authorized personnel to have access to mail and mail-handling areas. Airline personnel authorized to handle mail, or those assigned mail-handling duties, must have proper identification and be prepared to show it to postal employees upon request;

– Provide adequate staffing to properly and promptly process all mail. Airlines are responsible for the efficient, safe and secure handling of mail whenever it is in their custody. Airline companies are responsible for the action of any employee or agent acting on their behalf;

– Submit appropriate documentation that is necessary to conduct business with origin DOs.

5.6 Storage and security of mail in airline custody

5.6.1 Prevention of mail theft

Operational weaknesses provide opportunity for mail theft. A proper security programme is an integral part of any mail operating system and makes good business sense. Proper controls while mail is being stored (locks, surveillance cameras, etc.) and constant supervision of the mail and those who handle it are two of the main pillars of a robust mail security plan. The following section explores ways to apply these controls to mitigate the risk of mail theft and to aid investigations.

5.6.2 Document personnel access to mail

Assure that airline records of ramp employees provide a traceable record of employees with access to mail on each shift, which can be useful during the investigation of mail mistreatment incidents.

5.6.3 Secure ground transportation of mail

Keep ground movement to a minimum, both in time and distance. Use containers or enclosed vehicles, carts or trailers to move mail on the ground whenever possible. Lock mail in all unattended vehicles, carts, etc. Unauthorized stops or route deviations between plane and postal units should be documented and/or investigated.

5.6.4 Protection at staging areas

Mail should never be left unattended. Stage mail in a well-lit area where it can be observed by many employees to help guard against loss and damage.

5.6.5 Proper handover and receipt of mail

When exchanging mail at an OE (inbound/outbound) or with another airline, confirm each transfer by verifying that all receptacles are listed on the delivery bill (CN 38, CN 41 or CN 47) or that the proper EDI messaging consignment codes are present. Discrepancies such as missing or damaged receptacles should be annotated on the delivery bill or electronically. If paper bills are used, the individual receiving the dispatch will sign the delivery bill (annotated to reflect noted discrepancies) acknowledging receipt of the mail dispatch.

5.6.6 Delays and cancelled flights

When flights are cancelled, delayed or diverted, follow the appropriate instructions as described in chapter 11 of this manual. Notify responsible postal personnel immediately.

5.6.7 Abandoned and damaged mail receptacles

Abandoned or damaged mail receptacles must be delivered immediately to a postal facility which completes a CN 43 or CP 78 VN to report such matters. As an alternative procedure, the air carrier would re-enclose the damaged mail receptacle in a clear plastic receptacle before handing over the receptacle to postal personnel or conducting the relevant ramp transfer, if required. The irregularity must be noted on the CN 38 or electronically in EDI messaging, before being forwarded to the destination DO.

5. 7 Air transportation of mail

5.7.1 Authorized routeing

When airmail routes are established, high priority is given to transporting mail in an expeditious, economic and safe manner. All consignment routes used and priority in transportation must be agreed by the origin DOs and the airlines concerned. In case of missed connections, where airlines are able to use other carriers' flights, the changes should be communicated as quickly as possible to the transit and destination DOs.

5.7.2 Facilities and services

Mail-handling facility locations must be situated to provide expeditious ground transportation of mail to and from plane side. These facilities should ensure security and adequate protection against inclement weather.

5.7.3 Changes in ground operating procedures

Airlines must immediately notify postal management of any changes at their airport mail-handling facilities. Postal personnel will cooperate fully and provide any necessary input and guidance with changes and procedures.

5.7.4 Notification of planned flight changes

An airline should provide the relevant origin DO with proposed schedule changes as soon as this information becomes available.

5.7.5 Consignment priority

Airlines are required to transport, on a given flight, mail tendered up to limits agreed between origin DOs and the airlines.

5.7.6 Transport of mail according to consignment routeing

Intraline and interline transfers of mail will be made in accordance with routeing shown on consignment documents such as the CN 38 delivery bill and the CN 35 dispatch bill or the electronic information contained in EDI messaging.

5.7.7 Protection of mail at intermediate stop points

Mail already on board an airplane must not be taken off at an intermediate stop point in order to load other mail waiting to be loaded at that particular stop point. The origin DO must be immediately notified when there is insufficient space to transport mail up to the previously agreed limits.

5.8 Security inspections, audits and reviews at airports

5.8.1 Inspection guide

Airline personnel and postal personnel share a common responsibility in carrying out periodic inspections and taking appropriate corrective action. The requirements set forth in the UPU S58/S59 standards can serve as a tool for building a checklist to identify risks and to seek opportunities for improvement.

5.8.2 Security awareness

Companies should not wait for periodic inspections to ensure that they are employing proper measures to safeguard mail. Security is everyone's responsibility. The culture within an organization should always incorporate this philosophy of vigilance. Annual training, tabletop exercises (when applicable), and corrective action are necessary pieces of a robust security plan. Supervisors should set the example and promote the phrase "if you see something, say something". There should be good interchange and communications between all individuals involved in mail handling.

5.9 Communications between airlines and origin DOs

5.9.1 Verbal and written communications

By working closely together, airlines and DOs will be able to resolve any irregularities with dispatches found during air conveyance. Verbal communications are very effective for handling day-to-day problems, while written communications provide an effective means of recording unresolved issues.

5.9.2 Prompt response to communications

Airlines and origin DOs should promptly review and respond to communications from each other. Written communications will be responded to in writing to document and provide a record of correspondence.

Chapter 6 – Dangerous goods and illegal items

6.1 Introduction

Keeping the supply chain safe requires collaboration between entities in the supply chain, such as Posts, Customs and airlines. A major pillar of a robust security programme is the protection of the mail from dangerous goods (DG) and illegal substances. Owing to a number of factors, there has been a rise in the attention paid to this segment in recent years. Several stakeholders, including the UPU, WCO, IATA and ICAO, as well as the International Narcotics Control Board (INCB), have collaborated to develop and provide regulations, guidance and training.

As a result, the UPU has compiled a list of resources and documents available on its website. Among the UPU publications dealing with DG and illegal items is the country-specific list of articles which are prohibited from being sent through the post in each UPU member country. This list is a living document which is being revised and simplified and can be found at Customs (upu.int) under "Prohibitions. Items not admitted." Also available on that page is a link to the Prohibitions Compendium and Search Tool, which allows the user to search national customs information on prohibited and restricted articles. This page also contains a link to country-

specific customs clearance processes (Customs Compendium), and a link to information relating to EDI messaging and EAD for ITMATT exchange between DOs (Customs EAD Compendium). Moreover, the UPU has developed downloadable materials for the DG and prohibited items campaign, which are available from: Dangerous goods (upu.int). The United Nations Economic and Social Council's Sub-Committee of Experts on the Transport of Dangerous Goods develops recommendations on the transport of DG. These include criteria for classifying articles and substances as DG and a list of the most commonly transported DG. In addition, the UPU has also posted information on its main security page to assist DOs with the reporting of DG to civil aviation authorities and the UPU.

The ICAO Technical Instructions for the Safe Transport of Dangerous Goods by Air (in Annex 19 of the ICAO Convention) contain the same list of DG along with detailed instructions for their safe international transport by air as cargo.

Article 19 of the UPU Convention outlines specific procedures and measures with regard to the general nature of items not admitted and the make-up and handling of dangerous items.

6.2 Safety awareness

Items which may expose anyone to danger will not be admitted into the mail stream and procedures should be designed with the aim of detecting such items at the time of acceptance. However, such items do enter the mail stream inadvertently and surreptitiously. EAD is also designed to mitigate this risk, but this is only as good as the information gathered at the time of acceptance. Whenever there is a question of whether an item or suspect article contains anything dangerous, it should be presumed as such until it is cleared. It is good practice to err on the side of caution.

6.2.1 Training on IATA regulations

Postal airport coordinators and key postal employees should undergo regular airline DG training to ensure certified knowledge of IATA regulations. Liaison should be maintained with relevant airline management personnel to reduce the risk of the inclusion of DG in mail to be transported by air. Training material has been developed in cooperation with ICAO, IATA and several civil aviation administrations; the training material is also available under the DG link referenced earlier in this chapter.

6.3 Mailing procedures for biological and radioactive substances

Dangerous items should be dispatched as an outside article, i.e. not inside a mailbag. The make-up and handling of such items must be as follows:

6.3.1 Conditions of acceptance

The admission of perishable biological and radioactive substances will be restricted to those member countries whose DOs have declared their willingness to admit such items, whether reciprocally or in one direction only. Such substances will be forwarded by the quickest route, normally by air. Furthermore, perishable biological substances may be exchanged only between officially recognized qualified laboratories, while radioactive materials may be posted only by duly authorized senders. Only excepted radioactive material having an activity limit not exceeding one-tenth of the activity limit allowed for excepted packages (refer to the IATA regulations) is permitted in the mail.

Convention article 19 provides additional details concerning the conditions of acceptance and marking of items containing infectious and non-infectious perishable biological substances, as well as for those containing radioactive substances.

6.3.2 Make-up and labelling

Article 19-003 of the UPU Convention Regulations outlines the procedures concerning the make-up and labelling of items containing infectious substances.

6.4 Illegal drugs, illicit goods and contraband

Regulatory bodies are constantly needing to pivot to combat traffickers who use the mail to transport illegal drugs, illicit goods (e.g. gun parts) and the proceeds derived from this activity. The rise of synthetic opioids, fentanyl and new psychoactive substances pose an even greater threat to the supply chain and those who handle mail. As a result, it is imperative that DOs adopt measures to prevent the mailing of these illegal items.

a DOs should determine their legal obligations and restrictions with respect to the mailing of illegal drugs.

b Awareness, education and training programmes for postal and customs employees involved in the handling or inspection of mail should be developed.

c Procedures should be established for employees to report the discovery of known or suspected illegal drugs or suspicious mailing activities to postal airport coordinators or postal supervisors. The procedures should also include post-exposure protocols and promote the use of personal protective equipment (PPE) upon discovery of dangerous substances of concern.

d Postal airport coordinators and postal security inspectors/officers should be trained in drug identification and interdiction methods, and should work closely with law enforcement partners. The INCB is the independent monitoring body for the implementation of the United Nations international drug control conventions. Its Global Rapid Interdiction of Dangerous Substances (GRIDS) Programme aims to measurably reduce trafficking in dangerous substances of concern, with a particular focus on synthetic opioids, fentanyl and new psychoactive substances. For more information, please send an e-mail request to incb.grids@un.org.

e Liaison should be established with airline management and security personnel, airport security personnel and appropriate customs and police authorities. Full cooperation should be extended to each of these entities to combat the mailing of illegal drugs.

6.5 Handling of dangerous or suspicious items

6.5.1 Isolation of dangerous or suspicious articles

Items which may expose persons, property or aircraft to danger or damage should not be admitted into the mail stream. However, whenever a potentially dangerous item is discovered, protocols should be in place for staff to deal with such instances. Those protocols should include, but not be limited to, the following:

– Isolate the article if possible – best practice is to leave the item where it is found;

– Prioritize the protection of persons first and property second;

– Contact first responders, emergency services, or the local agency responsible for resolving the issue;

– Be prepared to answer detailed questions about the item in question (powder, liquid, smoke emitted from package, size of package, etc.), but do not put personnel or yourself in danger in order to do so (e.g. if people are becoming ill after exposure to the package);

– Contingency plans for continuity of operations should be developed in the event an area needs to be shut down for extended periods of time.

6.6 Reporting incidents

Incidents involving the discovery of non-mailable items will be handled in accordance with existing local postal regulations. Items that have been mailed in violation of postal regulations will be promptly reported to postal inspectors or the postal supervisor according to that DO’s rules and regulations. Items that have been mailed in violation of the regulations of other bodies such as Customs, will be reported to the appropriate agency. Airlines will report incidents involving prohibited DG to the origin DO and to their appropriate civil aviation authorities. The UPU has created a link to report DG incidents or accidents to civil aviation authorities and the UPU. This link is located on the UPU “Security” webpage.

Chapter 7 – Equipment

7.1 General requirements for airport mail transportation equipment

7.1.1 Identification of mail equipment

The ground transport equipment used by the air carrier should be identified as containing mail when possible. The routeing information for the mail receptacles should also be visible by means of a placard attached to the mail carts or container (see image 1). When the vehicle is not in use to transport mail, there should not be any markings on the placard. At some airports, it may not be cost-effective for each company that transports mail at the airport to have its own fleet of special carts and equipment. In such cases, all parties should establish an agreement and cooperate to share equipment used for the transportation of mail. However, such an approach should be adopted only if there is a ground handling company acting for several airlines.

Image 1: Visible placard on container denoting mail, flight and destination

7.1.2 Mail transportation vehicles

Vehicles used to transport mail on the airport ramp, and between the postal facilities and airport, should be designed and constructed in such a manner that mailbags do not fall off when the vehicle is mobile. The design of the vehicle should also include the capability to protect the mail from inclement weather, such as rain. More importantly, the design and construction should incorporate aspects of safety and security to prevent accidents, mail damage, mail theft, and tampering. Vehicles that permit access to cargo areas from the driver's compartment are not acceptable. Vehicles with a minimum number of cargo doors are recommended. The safety and security measures incorporated on the vehicle should be commensurate with the level of the risk assessment of the area, in order to mitigate that risk (see images).

Image 2: Mail transport vehicle with motorized ramp which folds up to the cargo door for added security

Images 3 and 4: Mail transport vehicle with a single secured cargo door

Image 5: Ground transport equipment for airport ramp

7.1.3 Vehicle locks and seals

All parties involved in the transportation of mail at the airport should consider the use of locked/sealed vehicles or carts to transport mail. The keys for locks must be under strict control and entrusted to several selected employees who need to use them. Seals must be of a good quality with tamper-evident characteristics and embossed with a unique serial number for accountability.

Images 6 to 8: Seal with serial number and seal with padlock

7.2 General requirements for postal mail security equipment

7.2.1 Closing and sealing the bag

The neck of each bag in a dispatch must be closed tightly to prevent accidental or intentional insertion or removal of items from the mailbag. String or twine is generally used to tie the neck of the bag. A seal is applied to the neck, which prevents opening and closing of the bag without obvious indications of this action. Seals that comply with this requirement are commonly referred to as “tamper-evident”. Tamper-evident seals are not reusable. They must be cut or broken from the neck of the bag (see images 9 and 10).

Images 9 and 10: Examples of a tamper-evident seal

7.2.2 Other uses for seals

Seals can also be used on other equipment to render it tamper evident. Depending on the design, they can be used on locking devices of transport equipment, vehicles, and aircraft containers (as depicted in the previous photographs).

7.2.3 Mailbag identification

Mailbags of different sizes are used to transport mail articles from one DO to another. The basic requirement for this equipment is that it should be made of a strong material clearly and distinctly marked to identify its contents as mail. An ideal practice would be the use of a uniform bag worldwide for consistency.

Image 11: Bag with distinct markings

7.2.4 Integrity of mailbags

Mailbags must be constructed of durable materials which prevent/deter accidental damage and provide clear indication of intentional damage for theft of mail. Bags which contain holes or are in poor condition should be repaired before articles are placed inside for dispatching. Those that cannot be repaired to ensure the security and safety of the mail during transport should be taken out of service (see image 12).

Image 12: Unusable bag

7.2.5 Disposable mailbags

Some DOs have found the usage of mailbags made of disposable material to be cost-effective. However, the material must be strong enough to withstand normal airport handling and provide tamper-evident sealing characteristics at the neck of the bag.

7.3 Special mail security containers

7.3.1 Security containers for high-value mail

Some DOs have found it advantageous to utilize special mail security containers to dispatch mailbags containing high-value mail. This system provides a much higher degree of safety and security to these mailbags and has proven to reduce losses significantly.

7.3.2 Security container design

The design of these containers should include a material that is both strong and light. Toe locking devices and hinges should be of a high-quality design with tamper-evident characteristics.

Chapter 8 – Physical security of exchange office facilities

8.1 Responsibility for security

“Security is everyone’s responsibility.”

This chapter serves to provide some basic guidelines and common principles that can be applied to the security of the Post, to include people, assets and the mail. It is by no means an exhaustive list, but a starting point to set out some of the elements which make a successful physical security programme. More in-depth content on security programme guidelines can be found in the UPU’s Guidelines for Postal Crime Prevention.

Mail theft is normally the result of operational weaknesses, which can provide opportunities for theft. Tight security should be an integral part of any mail processing system. Mail being handled should be closely supervised, and staged mail should be securely stored. This action will remove temptation and prevent theft. Deterrence is a good practice to mitigate risk and threats to the Posts’ infrastructure, employees and mail. Proper physical security (i.e. fences, gates and proper lighting) along with secure access controls are essential as a method of deterrence.

Many of these points speak to the UPU’s S58 and S59 physical and procedural security standards. More information can be found at www.upu.int/en/Postal-Solutions/Programmes-Services/Postal-Supply-Chain/Security. Additional reference can be found in the public document entitled “Postal security – General security measures (S58-4)”, also available on the UPU website.

8.1.1 Designated operator employees

All postal employees are charged with the responsibility of preventing unauthorized individuals, including off-duty postal employees, from entering restricted areas where mail is being processed or staged for dispatch. All individuals on the workroom floor who are not properly identified or escorted should be immediately challenged or reported to a supervisor or manager.

8.1.2 Designated operator supervisors

The supervisor in charge of a mail processing facility is directly responsible for the security of the facility, its employees and mail. That person must carefully evaluate the workflow cycles of the unit to properly determine at what times it is practical for the doors to mail processing areas to be unlocked. It is imperative that doors to the mail processing areas remain locked unless business circumstances warrant their being left unlocked. One example could be during heavy traffic periods when employees are reporting for, or departing from, work. A component of the security policy must include firm language governing the locking of exterior doors and securing interior doors to sensitive areas. This policy can be more effective when supervisors reinforce this practice with training.

8.2 Access control

8.2.1 Mail processing areas

Access to all areas where mail is processed and sorted for distribution is limited to authorized on- duty postal employees. All other individuals, including airline, airport and contract airport employees, are excluded unless they have legitimate business in the area where mail is being processed and are properly escorted by an on-duty postal employee. To that end, the security for every facility should include a robust system for access control. A regularly scheduled audit of access controls is necessary to identify gaps for improvement and manage the status of employees' access, and should be part of the overall periodic review.

8.2.2 Issuing facility keys

Best practice is to issue keys to individuals sparingly. Postal employees should only be given such keys as their duties require. Accountable deadbolt lock keys should be assigned only to those postal employees who are required to open the facility in the morning or close it at night.

8.2.3 Key accountability

Keeping track of access control devices, including keys, is paramount. The facility supervisor must keep an accurate inventory of all building keys and signed receipts for all keys assigned to employees. The inventory will include the serial number and brand name of each lock and the total number of keys available. When an employee's duties no longer require the use of an assigned key or the employee leaves the DO, the key must be returned immediately. The return of an assigned key must be annotated on the inventory, whereupon the signed receipt should be destroyed.

8.2.4 Lost or stolen keys

If a key is lost or stolen, the situation must be immediately reported to the facility supervisor. If the key is to a deadbolt lock on an outside door, the lock cylinder or entire lock must be changed immediately.

8.2.5 Employee identification badges and uniforms

All postal employees must be issued with distinctive identification badges by the DO. These badges must bear the employee's photograph and company/organization affiliation. They should be visibly displayed on the employee while working. It is recommended that the badges be colour coded or have written language to designate the specific areas where the personnel are authorized access. Uniforms may be used to aid in the identification of authorized personnel, but should not be considered as a substitute for a badge system. It is becoming increasingly common that the identification badge also functions as an access card for use in an electronic card access system. The DO and its partners and contractors should have a robust policy for identification badge issuance and accountability. Badges should be immediately surrendered by employees upon termination or resignation of employment. Access to areas should also be immediately revoked if the badge is also part of an electronic card access control. Setting an expiration date for badges is a good practice to ensure proper access areas and that the level of access is relevant to the employee for the designated time period.

8.2.6 Electromechanical and alternative access control systems

Electromechanical access control systems should be considered in very large mail processing facilities where large numbers of employees must enter and exit the facility on a regular basis. Electromechanical access control systems should not be installed without a specific recommendation by a qualified security specialist. Any other alternative system where individual access devices are issued (access card, combination/cipher code, etc.) to employees to gain entry to a facility should be treated with the same level of accountability as any other access device as detailed above in this section.

8.3 Lighting

8.3.1 General requirements

Lighting assists in maintaining an acceptable level of facility security and discouraging criminal activity. This includes lighting at entrance gates, around perimeters and perimeter fencing, at employee entrances, and all other areas not open to the public or other airport employees.

8.3.2 Perimeter lighting

Perimeter lighting requires the placement of a series of light fixtures located inside the fence line to light the boundary or area from which an intruder might approach.

8.3.3 Street and area lighting

Street and area lighting should provide a maximum amount of lighting from a minimum number of fixtures. The lighting system should evenly illuminate the entire area, including doorways, structures, and recesses in the structures.

8.4 Fencing

8.4.1 Perimeter and mail staging areas

Airport mail facilities should have perimeter fencing installed around the facilities and areas used to stage mail for dispatch. Exterior mail staging areas must also be covered to protect mail from adverse weather conditions.

8.4.2 Fence design

Fences and gates should be 2.5 metres high and constructed of chain link with 50-millimetre mesh fabric of a minimum of 11-gauge wire. A top guard which faces outward and upward at a 45-degree angle should be attached to the top of the fence. It is also recommended that three strands of 12-gauge, 4-point barbed wire be attached to the top guard. Top guards may be subject to local by-laws or national regulations.

8.4.3 Clear zone at fence

A 1.8-metre-wide clear zone inside the fence that is free from buildings, equipment, vehicles, shrubs and trees, which may offer places of concealment or points of unauthorized entry, must be maintained.

8.5 Building security

To evaluate the level of security needed for a building, it is helpful to assess certain factors such as: the location of the building; the level of criminal activity in the surrounding area; and environmental factors that may impact operations and security. There are additional factors for consideration, which are explained in greater detail in the Guidelines for Postal Crime Prevention. After an assessment is made of the surrounding area, facilities can then make decisions such as establishing the levels of perimeter security (i.e. fences, security cameras and lighting), access controls (i.e. badges and locks), entry/exit control, and vehicle access.

8.5.1 Deadbolt locks or equivalent locking system

All exterior doors should be equipped with deadbolt locks or equivalent locking system. These locks are used to secure the building during non-working hours. During the workday, doors may be secured by a locking-type door latching mechanism which will restrict access to employees only.

8.5.2 Roof penetrations

Roof penetrations such as skylights, atriums, open courts and ventilation ducts must be protected with security bars, grilles or security glass. As guidance, all grilles should be fabricated of 13-millimetre diameter tool-resistant round steel bars spaced 100 millimetres on centre. Security glass should be 8-millimetre security laminated sheets of glass with an interlayer of 2-millimetre vinyl or 6-millimetre polycarbonate.

8.5.3 Windows

Windows are not desirable in areas where mail is being processed. Generally, the amount of glass should be limited. If windows are present, provide the windows with locking devices and limit the opening ability to 100 millimetres with a locking device to reduce mail theft. If a larger opening is required for ventilation, security grilles as described in section 8.5.2 should be installed.

8.5.4 Doors

All exterior doors and doors leading to mail processing areas should, at a minimum, be solid core wooden doors with a sheet steel covering set in heavy gauge metal frames.

8.6 Employee safety

The equipment used by postal personnel to conduct mail-handling activities must be maintained in such a manner that it is always safe to use. To ensure postal safety, employees should report all unsafe building or working conditions. Employees are also to report any disturbances or improper conduct by individuals while in postal work areas. Employees should understand and be encouraged to embrace the adage “if you see something, say something”. In emergencies, postal employees must call for fire or police assistance, use fire extinguishing equipment, and assist with the care of injured individuals.

8.7 Intrusion detection system and closed-circuit television (CCTV) system

Having an intrusion detection system and/or CCTV system installed inside and outside of the building can be a tremendous asset for deterrence. The technology can assist in preventing vandalism, theft and intrusion. In addition to prevention, another benefit of having a CCTV system is that it can assist local law enforcement with recordings of potential evidence of criminal activity and can lead to prosecutable actions. As a result, this can also help deter future criminal activity or intrusions.

Chapter 9 – Physical airport security

9.1 Introduction

The information in this chapter outlines some basic guidelines for physical airport security with a goal of reducing the threat of theft/depredation, tampering and damage of international airmail. It is important to note that while this chapter is geared towards OEs which share a border with an airport, the elements listed here are just as applicable for OEs that do not border airport land. Furthermore, incorporating these measures does not replace the need to conduct periodic risk assessments to determine whether added security measures are needed above and beyond those listed.

Additionally, it is duly recognized that some of the locations described in this chapter may be in areas which fall outside of the area of responsibility of the DO’s postal airport coordinator (locations such as the airport property, for instance) or could be locations which are jointly managed with another entity. These areas are most likely subject to security requirements per governmental and/or international regulations, such as those established by ICAO and IATA. In those instances, it is essential to liaise with the proper officials to understand the applicable requirements.

As with chapter 8, many of these points speak to the UPU’s S58 and S59 physical and procedural security standards. See the link in the previous chapter for more information.

Lastly, it is important to note that security is recognized as a design criterion. To that end, it may be more cost-effective to incorporate effective security measures into the design of a facility, as opposed to making modifications and alterations to a facility after construction. Once implemented, periodic audits and inspections should be conducted to ensure the structural integrity and operability of installed security components.

9.2 Access control

9.2.1 Perimeter fencing

Airport perimeters should be fenced with a minimum 2.5-metre chain link fence with a top guard of three strands of barbed wire, to clearly separate public areas from aircraft operations. The fence may not be necessary where natural barriers or other obstacles prevent access. The area around the fence line should be free of objects and vegetation to prevent places of concealment or points for unauthorized entry.

9.2.2 Entrances to airside

Entrances to airside should be limited to a minimum number consistent with efficient operations and under security control. The security control may be a quality key/combination lock, an electromechanical access control system, or a uniformed security guard restricting access to authorized personnel. Entrances should be equipped with locking devices so they may be secured in an emergency or when not in use.

9.2.3 Service routes

Service routes leading to the airside should be isolated from public roads and access to the airside should be through controlled entrances.

9.2.4 Employee parking

Employee parking areas should be located outside the perimeter of the airside and away from areas such as air freight terminals and commissary stores. Where possible, employee parking should be fenced, and entrances and exits to the area should be capable of being controlled.

9.2.5 Employee badge system

See section 8.2.5 which explains best practices for personnel badging.

9.2.6 Employee responsibility

All personnel should be charged with the responsibility of preventing unauthorized individuals, such as off-duty employees and the public, from entering the restricted airside areas. Periodic training to employees on security and prevention is recommended.

9.2.7 CCTV/communication devices

CCTV and other communication and electrical devices should be part of any plan and budget when designing buildings and facilities.

9.3 Lighting

Working areas of airport buildings and ramp areas where mail is staged should be adequately illuminated at night and the lighting should be of sufficient power to observe a person’s activities at 50 metres.

9.4 Protection of mail in ramp areas

Mail should be staged in the ramp areas in well-lit spaces adjacent to, but not in, active work areas. This enables many personnel to observe the activities of authorized personnel in the staging area and discourages unauthorized personnel. Mail should be placed in sealable transfer carts to protect it from weather elements, accidents and theft/damage. Refer to chapter 7 regarding equipment security.

9.5 Protection of mail in cargo terminals

9.5.1 Cargo doors

All cargo receiving and dispatching doors should be capable of being closed and locked when not in use. In buildings where the doors must be kept open for ventilation, expanded metal screen doors should be installed which will permit ventilation but effectively prohibit vehicle or personnel passage. Doors may be equipped with alarm devices which would sound whenever a door is opened.

9.5.2 Personnel doors

Personnel doors should not be included as an integral part of cargo doors. All personnel doors should be equipped with emergency exit hardware and alarmed. Personnel doors used as primary entrances and exits for employees should be located so that they can be controlled as necessary.

9.5.3 Employee lockers and washrooms

Employee lockers should be constructed of steel with mesh doors to permit the inside of the lockers to be seen from the front. Keys to lockers should be controlled and spare lockers should be sealed to prevent unauthorized use by employees. The locker rooms should be located so that persons entering or leaving will pass a supervisor. In no case should they adjoin a work area with unrestricted passage from the work area. Dropped ceilings and similar construction should not be used in washrooms and locker rooms.

9.5.4 Miscellaneous considerations

– Cable ducts should be provided to permit the ready installation of CCTV and other electronic devices covering cargo storage areas and receiving and dispatching doors.
– A lockable key cabinet should be installed in the supervisor's office.
– Public sanitary facilities, where furnished, should be in the public area of the terminal, thus avoiding the need for unauthorized persons to enter the warehouse or restricted areas.
– Offices overlooking the warehouse may be fitted with "one-way" glass windows as a deterrent against employee theft or pilferage.

9.6 Personnel screening

To the extent possible within a country's national legal system, the background/personal history of all employees should be examined to ensure that only individuals with high moral and ethical standards are permitted to work in restricted airport areas. This will include a review of the professional, personal and criminal history of applicants. A system should be developed to ensure periodic reviews of current employees.

Chapter 10 – Terrorist and criminal threats to aviation security

10.1 Purpose

This chapter addresses the potential abuse of mail services to send letter or parcel bombs/explosive devices. This potential threat poses unique and difficult security problems for the entire postal supply chain, including, but not limited to, DOs and the airlines. "Mailed" bomb/explosive device incidents have the potential for devastating impact and warrant appropriate security precautions.

As dictated by the reason above, as well as the possible use of the mail by terrorists to target commercial airlines, the UPU works closely with ICAO and IATA to ensure a coordinated security effort. ICAO security standards require that countries establish measures to ensure that mail intended for carriage on passenger flights be subjected to appropriate security controls. The provisions of this chapter are designed to support that objective. Additionally, individual DOs must work closely with local aviation authorities, airlines, Customs, and the law enforcement community to develop reasonable responses to identified threats. Such responses will include, but are not limited to, procedures for screening, identification of high-risk items, and alarm resolution.

10.2 Routine security procedures

Many of the security procedures already covered in this manual, by their nature, also serve to counter terrorist or criminal threats. There are additional basic security procedures, however, that should be in place on a routine basis to counter the threat to aviation security. They include:

– Educating acceptance, mail processing and dispatch employees on suspect parcel identification and appropriate procedures to follow when a suspect item is identified (see image 13);

– Requiring the designated postal inspector/airport coordinator or postal security coordinator to work closely with the local airport authority to ensure prompt and adequate response to threat situations;

– Restricting the dissemination of air dispatch schedules to the maximum extent possible and prohibiting acceptance employees from releasing this information to the general public. The ability to target a specific airline or flight increases the risk to aviation security, and all reasonable precautions should be implemented to reduce this risk;

– Being mindful of security and operational procedures which, if disseminated to the public, could increase risk;

– Implementing enhanced security procedures for express or expedited mail services.

Image 13 – Sample poster used to educate postal employees

10.3 Mail security screening standards, procedures and considerations

The PSG, in collaboration with other UPU stakeholders, has defined a minimum set of security requirements for mail screening that are to be implemented at each OE or airmail unit, as well as any other location where mail is tendered to air carriers. Those requirements are part of the certification process for the UPU security standards S58/S59 and are outlined in the document entitled “Postal security – Office of exchange and international airmail security”. Please note that the implementation of additional security procedures may be affected by legal, operational and technological constraints of individual DOs. Additional considerations are:

– The use of documentation, or a “paper trail”, for non-letter mail. This could include a signed security declaration from the mailer;

– Incorporation of EAD to exchange information about postal items containing goods between entities within the supply chain and improve overall security risk management;

– Segregation of high-risk mail during the sorting and distribution process to facilitate subsequent security procedures.

10.3.1 Further references

Additional detailed information can be found in the following reference material:

– “WCO–UPU guidelines on the exchange of electronic advance data (EAD) between designated operators and customs administrations”, available on the UPU website;

– Standards and recommended practices set forth in ICAO Annex 17 and the guidance material in ICAO Aviation Security Manual, Doc 8973;

– Joint resource from IATA and the UPU, entitled “IATA–UPU Mail Safety Guidelines: Recommendations to Designated Postal Operators”;

– The WCO’s “SAFE Framework of Standards”;

– The UPU’s “Do not load (DNL) guidance document”, which discusses high-risk mail in greater detail;

– For further reference, the UPU has developed a guide entitled “Contingency planning – Explosive devices in the Post”.

10.4 Other considerations

Airmail security procedures should be a matter of discussion and agreement between DOs, airlines, and the responsible government aviation authority. It is recognized, however, that during increased threat situations, specific security requirements may be imposed by the government. Under specific threat situations, high-risk mail could be completely diverted from passenger airlines. In an extreme instance, mail may even be prohibited from carriage on passenger airliners. Contingency plans, including alternative modes of transportation, should be developed by the Post to address these possibilities.

Chapter 11 – Procedures for use in special circumstances (irregularities)

11.1 Purpose

The instructions in this chapter pertain to problems involving irregular handling of international mail after the airline has taken possession of the mail. This includes problems encountered at scheduled points of dispatch, receipt and transit, and as well as at unscheduled points. Procedures for dealing with the discovery of dangerous items in mail after it has come into the custody of the airlines are dealt with in chapter 6. With due consideration of local circumstances, every effort must be made to ensure the secure and expeditious onwards carriage of interrupted mail to its destination. These instructions should greatly assist in maintaining an environment that is safe and efficient for all persons involved.

11.2 Irregularities

Irregularities include, but are not limited to, the following:

– Delay while the mail is in transit;

– Cancellation or interruption of flights scheduled to carry mail;

– Missent mail;

– Mishandling and mistreatment;

– Mail discovered damaged or rifled owing to theft.

11.3 Responsibilities of postal employees

11.3.1 Review air carrier operations and facilities

The postal airport coordinator should coordinate with the airline and airport counterparts to periodically visit air carrier ramps, plane side, and areas where mail is stored and make limited examinations to ensure that mail is:

– Properly handled and safeguarded, protecting it from damage and theft;

– Properly and promptly transferred between the airline and DO;

– Dispatched without unreasonable delay;

– Returned to the DO within agreed time limits if dispatch cannot be made.

As mentioned throughout this manual, identifying gaps in security and opportunities for improvements in these areas can be covered by periodic reviews and audits of carriers and internal processes led by the DO's postal airport coordinator.

11.3.2 Report irregular handling of mail

Postal employees must report irregularities to their supervisors immediately. The CN 43 and CP 78 VNs are used throughout the UPU to report airline mail-handling irregularities. Again, DOs may agree to make systematic use of e-mail or any other appropriate means of telecommunication for reporting irregularities, or may utilize UPU electronic messages. This enables originating and destination DOs to readily detect patterns and trends which cause problems and delays in air transportation and mail service.

11.4 Handling of air dispatches in cases of cancelled and interrupted flights

In case of delays or offloads at origin or transhipment points, or if a flight is interrupted at any air stop point other than the origin or transfer point because of weather, mechanical or security problems, the DO of the country of origin must ensure that the airline follows the arrangements in the DO–airline agreement for direct transhipment, or contacts the origin DO for instructions in accordance with article 17-008 of the UPU Convention Regulations. Every possible step should be taken to ensure the mail is forwarded as expeditiously and, at the same time, as securely as reasonably possible. The airline forwarding the consignments could also confer with the local DO in the country of transit.

The following are suggested guidelines; local conditions will dictate the actual timescales. The entity in possession of the mail should adhere to the procedures outlined below:

– Verify the mail received against the number of pieces listed on each delivery bill;
– Record the date and time the mail is received;
– Record the reason for mail being turned over to the local postal unit;
– Verify the integrity of receptacles and seals;
– Record the disposition of mail turned over to the local OE;
– Provide the airline employee with a signed copy of the delivery bill bearing the above notations (which the airline employee will also have signed) ;
– Retain all other copies of the delivery bill;
– Complete the CN 43 or CP 78 VN;
– Promptly dispatch the mail to the original destination or transit point, along with the copy of the delivery bill and copy of the CN 43 or CP 78;
– Send one copy of the CN 43 or CP 78 to the origin DO. Retain one copy of the CN 43 or CP 78 at the destination DO.

11.4.1 Mail delayed owing to specific threats

Emergency procedures established by local airport authorities should be followed.

11.5 Mishandling and mistreatment of mail at airports

11.5.1 General requirements

Mishandling/mistreatment of mail as referred to in this section relates to mail while at the airport. This includes any area such as ramps, service roads, warehouses, etc. Airline employees and postal employees are equally responsible for the efficient and safe treatment of mail at airports. Airline employees or postal employees who have knowledge of mishandling or mistreatment must report these deficiencies to the postal airport coordinator or a postal supervisor immediately.

11.5.2 Airline and postal employees' joint security responsibility

Airline and postal employees need to be aware that they share joint responsibilities, which are:

– Being knowledgeable and aware of mail-handling procedures and security requirements;

– Protecting mail from damage, destruction, loss or theft;

– Promptly reporting any incident resulting in damage, delay or loss of mail;

– Submitting proper documentation, answering correspondence, and assisting in official investigations.

To that end, it is incumbent on the DO's postal airport coordinator to effectively liaise with other airport stakeholders, regulators and authorities.

11.5.3 Damaged dispatch mail receptacles

Damaged mail receptacles will be handed over to a postal supervisor or authorized postal employee. The postal facility will promptly enclose the damaged receptacles into another receptacle in good condition. A CN 43 VN or its electronic equivalent will be issued, and a copy sent to the destination or transit point with the next available dispatch. The delivery bill will be annotated accordingly. A copy of the CN 43 or CP 78 will be retained at the postal facility and/or information should be sent electronically. See also section 3.2.5.

11.5.4 Discovery of lost or abandoned mailbags

Mailbags that have been lost or abandoned on the airfield will be promptly turned over to the postal airport coordinator or an authorized postal employee. A copy of the CN 43 or CP 78 will be attached to the CN 35 on the bag, which will be included with the next available consignment to the original destination or transit point. A copy of the corresponding VN will be retained at the postal facility.

11.5.5 Missent dispatches

Mail is sometimes received in error owing to improper handling and loading. As stated in article 17-134 of the UPU Convention Regulations, in the absence of a special agreement, misrouted mails (receptacles) and missent items of all kinds are to be redirected to their destination without delay by the quickest route.

– Whenever an airline employee identifies missent mail, the proper destination/transit point will be determined. If the mail can be forwarded without delay by that airline, then it is their responsibility to do so with a properly completed substitute CN 46.

– If the airline cannot forward the mail without delay, it will be given to an authorized postal employee. At that time, the mail will then be handled in accordance with section 11.4.

11.6 Additional considerations

Regulations may dictate that mail found in any of these conditions may be subject to security and re-screening requirements.

Annex 1

Glossary of terms and mail dispatch documents (forms) referred to in the Airport Mail Security Manual

1 Terms

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.

Receptacle

The postal receptacle is typically a bag or a tray containing postal items. It has a standard 29-character bar-coded receptacle ID. Postal receptacles are a physical entity handled by carriers. The receptacle ID is used by carriers, as well as by Posts. Each postal receptacle is a component of a postal dispatch and has a standard 20-character dispatch identifier. The receptacle ID is contained on a receptacle label and the dispatch ID is contained on the parcel bill.

Postal dispatch

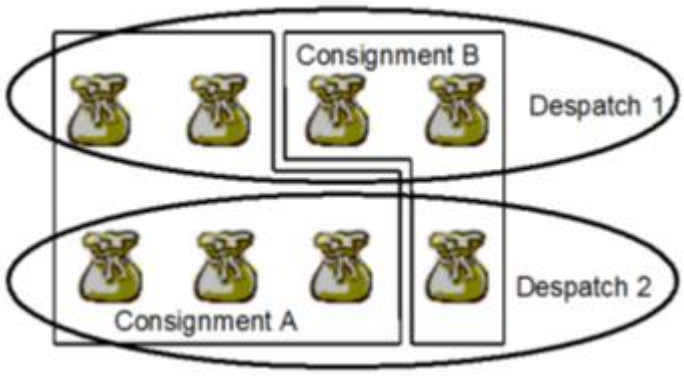
Postal dispatches are made up of one or more receptacles. The dispatch identifier is part of the 29-character receptacle ID. Each dispatch is accompanied by a paper (letter or parcel) bill describing the dispatch, in terms of the number of receptacles, weight, etc. DOs may agree bilaterally or multilaterally that the letter/parcel dispatches they exchange need not be accompanied by a paper letter/parcel bill, since PREDES version 2.1 messages provide similar information electronically. A dispatch may be divided into more than one consignment, and consignments can be made up of one of more dispatches (see diagram).

Consignment

A set of one or more receptacles of a particular mail category, using common transport on a particular occasion, from a specific place of loading to a specific place of final destination. The term consignment is reserved for items in transport.

There is no direct relationship between dispatches and consignments. A single dispatch can be transported in (parts of) several different consignments; a single consignment can contain (parts of) several different dispatches. This is illustrated in the following diagram:

Image 14 – Consignments



Another way of stating the difference between a consignment and dispatch is as follows: a set of receptacles created to go from the OE of one DO to the OE of another DO is called a dispatch. Consignments consist of sets of mail receptacles (mailbags containing mail items) which are tendered to airlines. Consignments can consist of more than one dispatch, and a dispatch can be broken into more than one consignment. This concept allows flexibility in shipping airmail and is laid out in the Postal Transport Guide. Delivery bills (CN 38,

CN 41, CN 47) are the UPU forms providing consignment information. Within UPU 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. Responses to these are called RESCON and RESDIT, respectively.

Office of exchange (OE)

An office within a DO which creates and receives dispatches. Accordingly, it creates and receives dispatch bills or receptacle labels (CN 31 letter bill or CN 34, CN 35, CN 36 receptacle labels, CP 87 parcel bill or CP 83, CP 84 or CP 85 receptacle labels), or the EMS equivalent, as well as receptacles. For inbound mail, an OE opens the receptacles. An OE creates and receives PREDES and RESDES messages which are the equivalent of the UPU forms/bills/labels mentioned above.

Airmail unit

Creates and receives consignments, as well as delivery bills such as CN 38, CN 41 and CN 47.

International mail processing centre (IMPC)

An IMPC is typically both an OE and an airmail unit. More information on IMPCs can be found in the Postal Transport Guide.

Designated postal operator or designated operator (DO)

Any governmental or non-governmental entity officially designated by the member country to operate postal services and to fulfil the related obligations arising out of the Acts of the Union on its territory.

Critical facility

OE, airmail unit, postal facility where aviation security screening is completed, and the final postal facility where mail items transit prior to dispatch via air.

2 Mail dispatch forms and labels

All forms used in the dispatch of international mail, regardless of their country of origin, bear uniform identification numbers and titles which are mandated by UPU agreements. This section describes the various forms referred to in this manual. EDI messaging referred to in this glossary is used alongside or in place of these forms, as those messages determine custody and accountability of the mail throughout the supply chain.

DOs should strongly consider that appropriate forms/labels be printed with standard barcoding. This will facilitate electronic tracking of mail for DOs and airlines.

CN 31 letter bill, CN 34, CN 35, CN 36, CP 87 parcel bills and CP 83, CP 84, CP 85 receptacle labels

These bills are created by the OE within the DO that processes the mail. PREDES EDI messaging describes the dispatch and receptacle items to include the information contained on these paper forms. The Postal Transport Guide provides more detail regarding the make-up of these bills and their serial numbers. The postal airport coordinator should have some working knowledge of these forms as the information and the way the identifying information is created can be useful in a variety of security-related functions, including investigations.

CN 38, CN 41, CN 47 delivery bills, PRECON and CARDIT

The delivery bills are used for listing airmail consignments created by a DO. They are prepared for each dispatch, or group of dispatches, to a specific point. These bills are also the basis for paying airlines for the transportation they provide. Additionally, all transfers of mail between airlines and postal units must be signed for by the person receiving the mail, both by the airlines and on the postal side, if EDI messaging is not being used. If paper bills are used, enough copies should be printed to document all consignment transfer accountability procedures. Within UPU EDI messaging standards, the consignment delivery bill is covered by the

PRECON, which is sent to the destination DO, and the CARDIT, which is sent to the carrier. The brief distinction in the usage of these different bills is as follows:

– CN 38 delivery bill – air

– CN 41 delivery bill – S.A.L.

– CN 47 delivery bill – empty receptacles

The importance of these bills, or messages, cannot be stressed enough. They act as a proof of receipt between origin DO, air carriers and destination DO, and contain information about the consignment, such as origin, destination, weight, mailbag quantity, type of mail and the most direct route requested by the origin. The existence of UPU forms (delivery bills, receptacle labels) enables a shipment of mail to be moved from the custody of the airline at an airport to the custody of the Post at the inward OE (which may be located a distance away from the airport) for postal customs clearance.

CN 22/CN 23 customs declaration

Information about the item contents is contained in this form (CN 22 for small packets up to 2 kg and CN 23 for 0–20 kg) and is used in customs declarations and clearance. This information relates to the EDI ITMATT messaging that is sent from one DO to another. This information is also used by destination customs and security authorities to conduct advance risk assessments on international postal items through EAD.

CN 45 collective envelope

The CN 45 collective envelope is an envelope designed to contain and transmit forms CN 38 and CN 41 in a safe and orderly fashion. It may be conveyed with the dispatch and transferred hand-to-hand or attached to the final F bag of the dispatch.

CN 42

In the case of transhipment of airmail between aircraft of the same airline performing successive stages of the journey, or aircraft of two different airlines, the mailbags may be provided with a CN 42 label in addition to the labels provided for the conveyance of airmail.

CN 43 and CP 78 verification notes

These are exception reports between OEs and can identify transport issues. In order to resolve common mail-related problems and provide a document that can be used as both a record and analysis tool, the CN 43 VN is a standard means of written communication between DOs. It is normally used by the local postal operating unit – for the most part, the destination or transit postal operating unit – to report irregularities to the dispatching postal operating unit.

3 Electronic data interchange (EDI)

This is a generic term that covers the electronic exchange of data, usually between different parties. Many industries exchange data through EDI networks. In the postal world, the term “EDI exchanges” is used to refer to the electronic exchange of messages based on UPU EDI messaging standards. The UPU website offers resources for further reading on this subject matter. For the purposes of this manual, the reader should, at the very least, understand that these messages can be used in addition to, or in place of, several of the UPU forms that primarily establish custody of the mail through the supply chain. The messages are explained briefly in the pictorials below.

EDI pictorials

Image 15

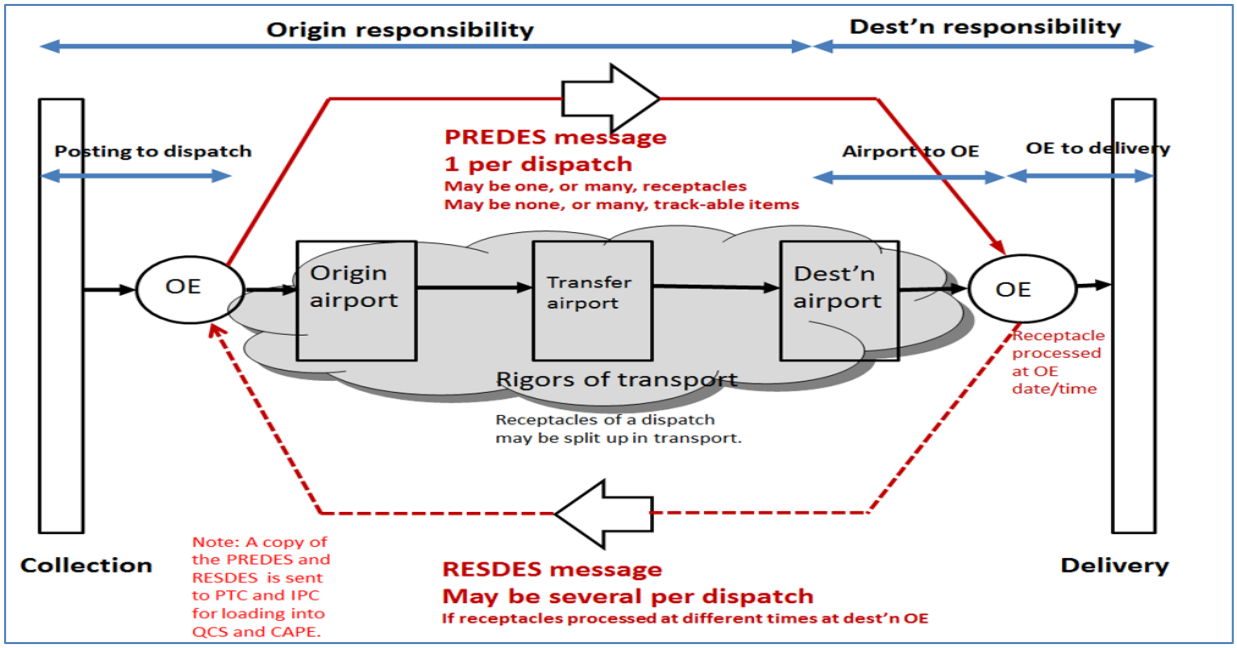


Image 16

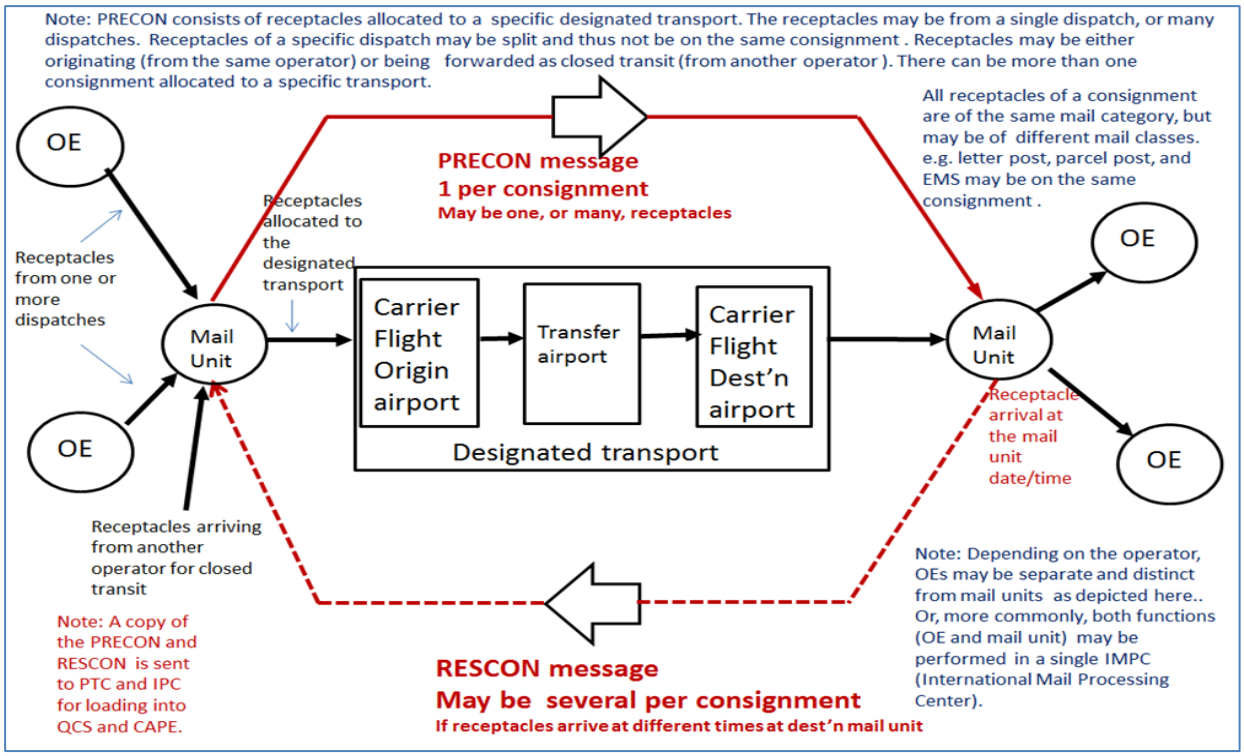
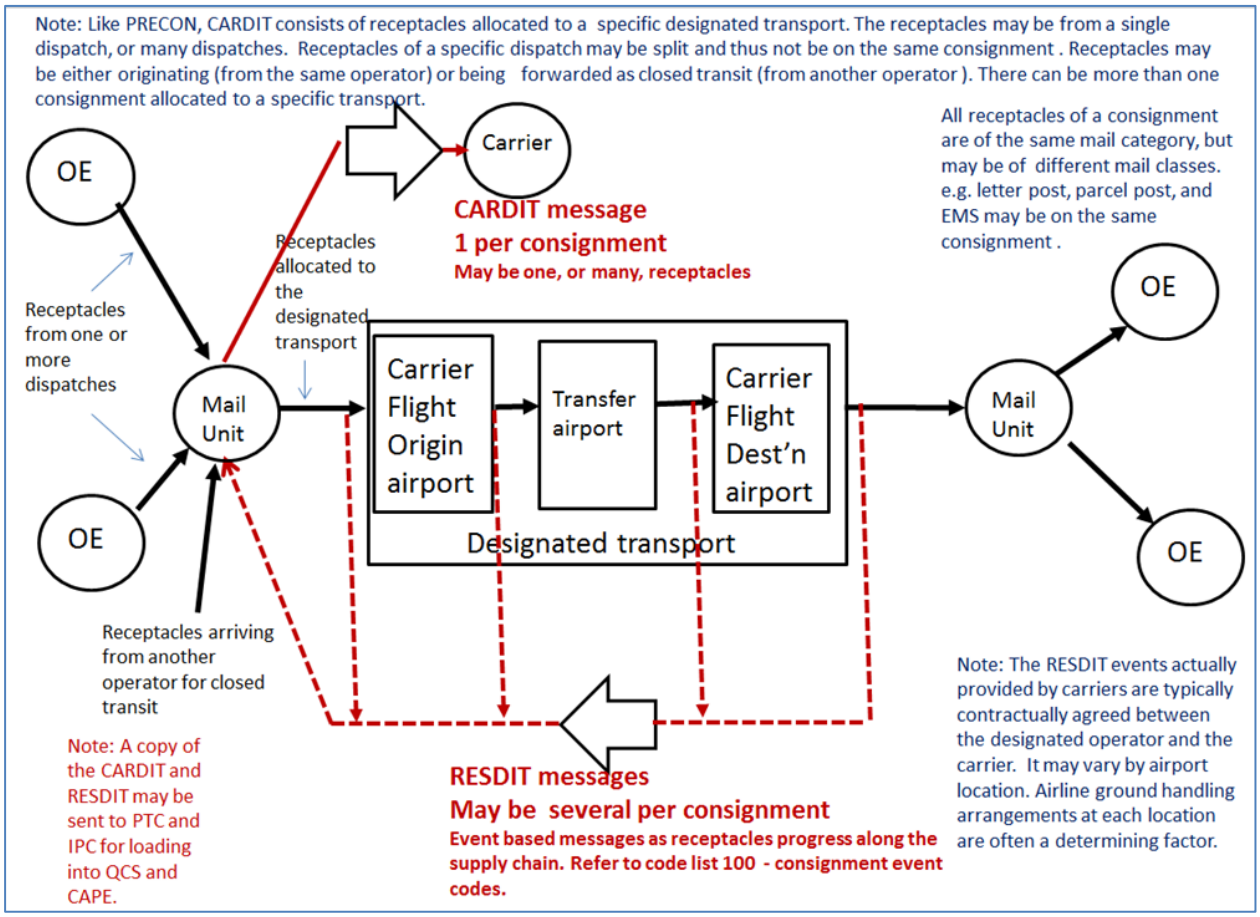


Image 17



4 Further reading

Postal Transport Guide, 2018, UPU

An introduction to postal EDI exchanges, UPU

EDI – The key to post–airline supply chain integration, IPC

Postal security – General security measures (S58-4), UPU

WCO–UPU guidelines on the exchange of electronic advance data (EAD) between designated operators and customs administrations, also available on the UPU website

Standards and recommended practices set forth in ICAO Annex 17 and guidance material in ICAO Aviation Security Manual, Doc 8973, restricted access

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

SAFE Framework of Standards, WCO

"Do not load" (DNL) guidance document, UPU

Contingency planning – Explosive devices in the Post, UPU

Guidelines for Postal Crime Prevention, UPU

5 Useful websites

UPU – Universal Postal Union

ICAO – International Civil Aviation Organization

IATA – International Air Transport Association

WCO – World Customs Organization