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# Procedures

(to implement the EMS Standard Agreement)

Berne 2024





## Procedures of the EMS Standard Agreement

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## 1 Objective

These Procedures have been drawn up to govern the international exchange of EMS items between postal EMS operators, as well as the implementation of the Standard Agreement, as specified in article 28 of that Agreement. They take the form of a statement of work setting out the tasks and obligations to be undertaken by origin and delivery operators in order to ensure the effective implementation of international EMS service between the parties to the Agreement and other EMS operators.

## 2 EMS outbound

### 2.1 Conditions of acceptance of EMS items

Origin operators shall, as far as possible, ensure that EMS items:

- i do not contravene the UPU Convention (articles concerning prohibitions and restrictions), the List of Prohibited Articles or the legislation of the countries of origin and destination, as set out in the EMS Standard Agreement (article 10);
- ii satisfy the conditions of weight and size fixed in the EMS Standard Agreement (article 11);
- iii are packed in a manner adapted to the nature of the contents and the conditions of transport as specified in articles 2.11 and 2.12 below.

### 2.2 Item documentation

Origin operators shall ensure that each EMS item bears the EMS logo (as specified in article 2.3 below) and only one 13-character alphanumeric identifier and barcode (UPU S10) (as specified in article 2.4 below). The label or other postal documentation shall provide the following information, in roman letters and Arabic figures:

- i full name and complete address of sender, specifying city, postcode and country;
- ii full name and complete address of addressee, specifying city, postcode and country;
- iii description of all of the contents, including individual quantities and units of measure, value, weight and, where applicable, the harmonized code and country of origin (descriptions of a general nature shall not be acceptable);
- iv declared total value and weight of contents;
- v contact number and e-mail address of the sender and addressee when known;
- vi exporter and importer reference, when applicable and known;
- vii date and signature of the sender, confirming liability for the item.

The label should also provide other data fields as specified in article 2.2.2 below.

#### 2.2.1 EMS label

The EMS label or any other postal documentation shall follow the specifications in article 2.2.2 below and must be written in English or French or a language acceptable in the destination country.

The EMS label and any other postal documentation shall be securely fixed to the outside of the item, and be clearly visible for customs and operational processing. Any necessary accompanying documentation shall also be attached to the outside of the item, preferably in a transparent envelope.

EMS operators shall use the attached CN 23 EMS label (Annex 1) for their EMS items, or ensure that their own EMS labels follow the EMS regulations and contain the mandatory fields, and that sender and addressee information is correctly positioned. An EMS manifold label shall accompany each item, in duplicate where requested by the destination designated operator.

## 2.2.2 Numbering system for data fields on CN 23 EMS label

<i>Field number</i>	<i>Description</i>
1	EMS logo, name of the origin EMS operator, and name of the local EMS service, as needed. Provision of a link to a website for track and trace is advisable
2	13-character EMS alphanumeric identifier adopted by the UPU, in barcode form
3	13-character EMS alphanumeric identifier adopted by the UPU, in block characters
<i>Sender</i>	
4	Full name of the sender – Mandatory
5	Street address of the sender – Mandatory
6	Postcode of the sender – Mandatory
7	City of the sender – Mandatory
8	Country of the sender (pre-printed) – Mandatory
9	Contact number of the sender – Mandatory
10	E-mail address of the sender
<i>Addressee</i>	
11	Full name of the addressee – Mandatory
12	Street address of the addressee – Mandatory
13	Postcode of the addressee – Mandatory
14	City of the addressee – Mandatory
15	Country of the addressee – Mandatory
16	Contact number of the addressee – Mandatory
17	E-mail address of the addressee
<i>Description of all of the contents, including individual quantities and units of measure, value, weight and, where applicable, the harmonized code and country of origin and accompanying documents</i>	
18	Detailed description of each article in the item – Mandatory
19	Quantity of each article and the unit of measurement used – Mandatory
20	Net weight of each article (in kg) – Mandatory
21	Total weight of the item (in kg) – Mandatory
22	Value of each article, indicating the currency used (e.g. CHF for Swiss francs) – Mandatory
23	Total value of the item, indicating the currency used (e.g. CHF for Swiss francs) – Mandatory
24	HS tariff number (6-digit) based on the Harmonized Commodity Description and Coding System developed by the World Customs Organization
25	Country where the goods originated, i.e. were produced/manufactured or assembled. Senders of commercial items are advised to supply this information as it will assist Customs in processing the items
26	Category of the item (gift, documents, commercial sample, returned goods, etc.) and explanation – Mandatory
27	Details if the contents are subject to quarantine (plant, animal, food products, etc.) or other restrictions
28	Number of licence if item is accompanied by a licence

<i>Field number</i>	<i>Description</i>
<i>Description of all of the contents, including individual quantities and units of measure, value, weight and, where applicable, the harmonized code and country of origin and accompanying documents (cont.)</i>	
29	Number of certificate if item is accompanied by a certificate
30	Number of invoice for all commercial items accompanied by an invoice
31	Signature and date confirming the sender's liability for the item – Mandatory
<i>Acceptance information (origin country)</i>	
32	Item weight (in kg) – Mandatory
33	Postal charges/fees
34	Insurance, if applicable
35	Total charges and fees
36	Office of origin of acceptance of the item
37	Date of acceptance
38	Time of acceptance
<i>Delivery information (destination country)</i>	
39	Date of delivery of the item
40	Time of delivery of the item
41	Name of the recipient of the item (in capital letters)
42	Signature of the recipient of the item

### 2.3 EMS logo

EMS operators shall:

- i use the technical specifications for the EMS logo set out in articles 2.3.1 to 2.3.3 for the marketing and operation of their EMS, including the possible development of a uniform packaging system for EMS items;
- ii take appropriate measures at national level to protect the EMS name and logo;
- iii make the transition to the recommended EMS logo in article 2.3.1; however, the logo described under article 2.3.4 is also acceptable.

Use of the EMS logo is mandatory for EMS operators wishing to adopt the EMS Standard Agreement.

#### 2.3.1 EMS logotype guidelines

The EMS logotype consists of the following elements:

- the wing in orange;
- the letters EMS in blue;
- the three lines in orange.

The uniquely-designed combination of letters used to identify EMS is intended as the primary brand for the service.

In the logo six lines are found in the wing on the left.

The three lines on the right are a graphic element that reinforces the logotype.

In order to maintain optimum recognition, the elements must be used properly, shown correctly and protected against misuse.



### 2.3.2 Optional service name

The service name shall **always** be placed after the letters EMS.

- The service name shall be placed on the same base line as the letters EMS.
- The service name shall not be placed immediately after the letter **S** in EMS.
- A blank shall be formed when a vertical line is drawn from the upper orange line.
- The service name shall start at that line.
- The height of the service name shall be the same as the height of the three lines above it.
- The letters of the service name shall have the same slant as the letters EMS.
- The acronym EMS shall be printed in blue.
- The service name font family is Arimo Bold Italic and its colour is blue, always upper case.
- If a long description is needed, the country name shall always be kept on the right, and additional description should come under the EMS letters, as in the example below. For the long description, the font family is Arimo Italic and its colour is blue.



Slogan description with the logo: The baseline font family is Arimo Italic and its colour is light grey (full colour description in 2.3.3).



Monochrome logotype:



### 2.3.3 Colour system

The standard colours of the EMS logo shall be blue and orange, as specified below:

<i>Colour</i>	<i>Digital corporate guidelines</i>	<i>Printing guidelines</i>
Blue	RGB: 0 - 53 - 173 Hexa: #0035ad	Pantone 286 C CMYK 100 - 75 - 0 - 0
Orange	RGB: 255 - 115 - 0 Hexa: #ff7300	Pantone 151 C CMYK 0 - 60 - 100 - 0
Light grey	RGB: 191 - 191 - 191 Hexa: #bfbfbf	Pantone 420 C CMYK 0 - 0 - 0 - 75

### 2.4 EMS unique identifier barcode

- i EMS operators shall use the following specifications (article 2.4.1) for the unique identification of EMS items and of bags, containers or receptacles containing EMS items.
- ii Use of the EMS barcode is mandatory for EMS operators wishing to adopt the EMS Standard Agreement.

#### 2.4.1 Specifications of the EMS item unique identifier

Number of characters: 13

Disposition from the left:

- Positions 1 and 2: the characters “EE” (or “EA”, “EB”, “EC”, etc., up to “EZ”, if necessary) to indicate EMS items;
- Positions 3 to 10 inclusive: serial number;
- Position 11: a check digit, computer-generated to “weighted modulus 11”;
- Positions 12 and 13: ISO alpha-2 country code to designate the EMS operator of origin (the ISO codes of the EMS operators are available on the EMS Cooperative website: [www.ems.post](http://www.ems.post)).

#### Example

<b>E</b>	<b>E</b>	<b>4</b>	<b>7</b>	<b>3</b>	<b>1</b>	<b>2</b>	<b>4</b>	<b>8</b>	<b>2</b>	<b>9</b>	<b>G</b>	<b>B</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>	<b>11</b>	<b>12</b>	<b>13</b>
↓		↓					↓		↓			
EMS item		EMS number					Check digit		“Great Britain”			

#### 2.4.2 UPU 13-character S10 barcode identifiers

UPU 13-character S10 barcode identifiers shall be issued only under the authority of a single operator designated by the UPU member country, as defined by the ISO 3166–1 country code.

The operator designated by the UPU member country shall manage the issue and use of S10 identifiers, by all the operators under the authority of that UPU member country, in such a way as to ensure that no S10 identifier is reused within a period of 12 calendar months.

##### 2.4.2.1 Code 128 and code 39 representation on S10 identifiers

For the barcoding of S10 identifiers, use shall be made of either Code 128 symbology, defined in ISO/IEC 15417, or Code 39 symbology, defined in ISO/IEC 16388. Of the two, Code 128 barcode symbology is strongly recommended, as it is more compact, has better read error detection capability, and uses less ink.

Operators must be able to scan S10 identifier barcodes, irrespective of whether they use Code 128 or Code 39 symbology.

The following symbology parameters shall be used (see S10 identification of postal items – 13-character identifier publication):

<i>Parameter</i>	<i>Code 128</i>	<i>Code 39</i>
Character set	A–Z, 0–9	
Number of characters	13 (excluding start, stop, symbology check value)	
Symbology-defined symbol Check character	Mandatory (required by symbology)	Mandatory
Check digit	See 5.4	
Narrow element (X) dimension	0.25 mm–0.51 mm  A minimum of 0.33 mm is recommended The X-dimension impacts on scannability. Within the allowed range, it is recommended to use the largest possible X-dimension that is consistent with label or form design	0.25–0.43 mm
Wide/narrow (N) ratio	Not applicable	2.5:1 to 3.0:1; 3.0:1 preferred
Inter-character gap	Not applicable	1X – 5.3X if $X < 0.287$ mm 1X – 1.52 mm if $0.286 < X < 0.507$ mm 1X – 3X if $X > 0.506$ mm
Minimum bar height	15% of the width of the entire symbol with a minimum of 9.0 mm and a <b>recommended</b> minimum of 12.5 mm To enhance readability, it is recommended that the barcode be as tall as possible, taking into consideration the aspects of label and form design	
Minimum quiet zone at ends	Minimum 10 times the X-dimension at each end of the barcode It is <b>recommended</b> to use the largest possible quiet zone that is consistent with label or form design	
Use of FNC4	Not permitted	Not applicable

Where barcodes are printed using digital printing technologies, parameter values should be chosen such that each bar and space has a width which corresponds to an integral multiple of the printer resolution. This should be at least eight dots per mm (approximately 200 dots per inch), but a resolution of 12 dots per mm (approximately 300 dots per inch) or more is recommended. Where Code 39 is used, the N-ratio should be chosen such that the product of this and the number of dots in X is an integer.

Example: An N-ratio of 3.0:1 may always be used; a ratio of 2.5:1 should only be used if the number of dots in X is even.

**N.B.** – This maximizes print quality. Poor print quality and high read error rates can result if the barcode resolution is not properly matched to the resolution of the printer used to print it.

#### 2.4.2.2 Human-readable representation of S10 identifiers on EMS items

A human-readable representation of the S10 identifier shall be printed in close proximity to (1 mm–5 mm above or below) and parallel to the barcoded representation. Additional copies of the human-readable representation may be printed without the associated barcode, provided that each has identical content and the content is identical to that of the barcode.

The human-readable representation consists of 13 characters. Spaces may be inserted to enhance readability. The recommended combination of data and spaces is AA NNN NNN NNN AA. Only upper case alphabetic and numeric characters may be used.

Note 1: The spaces are not part of the identifier and are not included in the barcoded representation of the S10 identifier, or in the data content of the S10 identifier used in electronic messages.

Note 2: If a barcode is damaged in transit, the data might not be scannable by the transit or destination operator and might need to be entered manually using the human-readable representation. It is important that either:

- a spaces are not entered when manually entering the S10 identifier; or
- b the data capture system prevents spaces from being entered, or automatically removes them.

A single sans-serif font and character size shall be used. The specific font and character size shall be chosen in function of the frequency of reading/capture of the text concerned, the desired ease of readability, the available space, etc. Individual characters shall be between 2 mm and 5 mm high, and have a maximum width of 4 mm.

Note 3: This typically corresponds to a range of eight to 14 dots. The printout needs to be large enough to be easily readable, but needs to take account of aesthetics. Character size also needs to relate to the resolution of image capture devices used in OCR and video-coding applications; the values specified are appropriate to scanners with a resolution of eight dots per mm (200 dpi) or greater.

#### 2.4.3 Weighted modules 11 formula

The formula is also described in the Standards Manual (S10 of the UPU Technical Standards Manual).

- 1 Weigh the digits of the basic number using the following weighting factors: 8, 6, 4, 2, 3, 5, 9, 7 (i.e., multiply the first digit by eight; the second by six; the third by four and so on down to the last by seven).
- 2 Calculate the sum of these weighted values.
- 3 Divide the sum by 11.
- 4 Subtract the remainder from 11.
- 5 If the result is in the range of 1 to 9, use the result as the check digit.
- 6 If the result is 10, use 0 as the check digit.
- 7 If the result is 11, use 5 as the check digit.

#### Example

Number	4	7	3	1	2	4	8	2	
Weighting factors	x 8	x 6	x 4	x 2	x 3	x 5	x 9	x 7	
	32	+42	+12	+2	+6	+20	+72	+14	= 200
<hr/>									
200 / 11 = 18 Remainder 2									
<hr/>									
11 - 2 = 9 Check digit									
<hr/>									
Complete self-checking number 473 124 829									

EMS operators can check the validity of an S10 13-character identifier on the UPU website at: [www.upu.int/activities/standards/support-and-downloads/Standard – S10 Check Digit Validation Tool](http://www.upu.int/activities/standards/support-and-downloads/Standard%20-%20S10%20Check%20Digit%20Validation%20Tool) by calculating the check digit in character position 11 (once the EMS operator has entered the number values in positions 3 to 10).

### 2.5 EMS envelopes

EMS operators should ensure that the envelopes enclosing their outward EMS items are standard metric envelope size C 4 (229 x 324 mm) or larger.

**N.B.** – For EMS operators that do not use the metric system, the C 4 standard envelope size shall be considered to be 9 x 12 inches.

### 2.6 Preparation of dispatches

EMS dispatches shall be made up in closed mails, and shall be accompanied by a delivery bill and manifest forms.

The delivery bill (CN 38 for airmail consignments or CN 37 for surface consignments (Annex 1)) shall show clearly that the mail contains EMS items.

If specified by the delivery operator in the EMS Operational Guide, documents shall be placed in separate bags to items containing goods and shall be dispatched separately, accompanied by a separate manifest.

Each bag shall bear a label (Annex 1) showing:

- a the EMS logo;
- b a barcoded identifier (in accordance with S29 of the Technical Standards Manual);
- c the exchange office of destination;
- d whether the bag contains documents or goods;
- e the date;
- f the bag number;
- g the weight;
- h the number of items;
- i the port of transshipment (as appropriate).

### 2.7 Dispatch documentation

The origin operator shall accurately complete the documentation accompanying the dispatch and provide notice to the delivery operator that a dispatch has been sent, including a manifest using postal form CN 31 EMS (Annex 1) or a special manifest listing each item in the dispatch, the number of receptacles in the dispatch, the total weight of the dispatch, the carrier on which the dispatch was sent, the flight number (if sent by air), and the estimated time of arrival. A copy of the CN 31 EMS summarizing the EMS items should also be included in the final bag. The letter (F) should be indicated on the final bag label. If possible, the notice information shall be sent via EDI, fax or e-mail at the time of departure of the aircraft or vehicle. Notice information shall be sent at the request of the delivery operator only.

### 2.8 EMS model bags

In order to allow rapid identification of EMS dispatches in the countries of destination, EMS bags shall be one of the three models as shown in the EMS model bags specification, published on the EMS website.

## 2.9 *Packing requirements*

Origin operators shall ensure that:

- i each item is packed and closed in a manner befitting the weight, the shape, and the nature of the contents, as well as the mode and duration of conveyance;
- ii each item is packed and closed so as not to present any danger to officials called upon to handle it, or to soil or damage other mail or postal equipment;
- iii each item has, on its packing or wrapping or on a durable separate label firmly attached to it, sufficient space for service instructions and for affixing labels.

## 2.10 *Special packing*

Origin operators shall inform customers of the need for special packing for certain items, and shall as far as possible ensure that:

- i articles of glass and other fragile objects are packed in a strong box filled with an appropriate protective material. Any friction or knocks during transport, either between the objects themselves or between the objects and the sides of the box, shall be prevented;
- ii liquids and substances which easily liquefy are enclosed in perfectly leak-proof containers. Each container shall be placed in a special strong box containing an appropriate protective material to absorb the liquid should the container break. The lid of the box shall be fixed so that it cannot easily work loose;
- iii fatty substances which do not easily liquefy, such as ointments, soft soap, resins, etc., are enclosed in a first layer of packing (box, cloth or plastic bag, etc.), placed in turn in a box sturdy enough to prevent the contents from leaking;
- iv dry colouring powders, such as aniline blue, etc., are placed only in perfectly leak-proof metal boxes, placed in turn in strong boxes with an appropriate absorbent and protective material between the two containers;
- v dry non-colouring powders are placed in a strong container (box, bag), enclosed in turn in a sturdy box;
- vi packing shall not be required for articles in one piece, such as pieces of wood, metal, etc., which it is not the custom of the trade to pack. In this case, the address of the addressee shall be indicated on the article itself.

## 2.11 *Electronic record of the handling of outbound EMS items*

- i Origin operators shall make an electronic record of each item by scanning its identifier barcode at each of the following points (events refer to UPU standard tracking event messages) and transmit these events to its partners:

EMA Posting/collection

EMB Arrival at outward office of exchange

EMC Departure from outward office of exchange

- ii If applicable, the following scans can be transmitted:

EXA Item presented to export Customs/security

EXB Item held by export Customs/security

EXC Item returned from export Customs/security

EXD Item held at outward office of exchange

EXX Export cancellation

## 2.12 *Export standards*

EMS operators shall export outbound EMS items in accordance with their EMS export standards for each designated EMS office of exchange, as published in the EMS Operational Guide. The export standards to be published in the EMS Operational Guide shall be validated by the EMS Unit and presented by export zone as follows:

- i The “export zone” refers to geographic areas from which EMS items arrive at the outward office of exchange on a given day. For example, areas where EMS items arrive at the outward OE on their day of posting at the collection point constitute one export zone, while areas where items arrive at the outward OE the following day constitute a separate export zone.
- ii Each zone shall list the geographically associated origin postcodes or office of origin IDs.

## 3 **Transport**

### 3.1 *Transportation arrangements*

Designated operators shall make every effort to speed up the transportation process and shorten transportation time between origin and destination designated operators by:

- i signing a service-level agreement with their air carriers that sets out the standard provisions on the technical and liability aspects associated with the transportation of mail;
- ii ensuring that EMS has priority in all the transportation steps.

### 3.2 *Outbound transport*

Designated operators shall ensure that the relevant transportation capacity planning, routeing management, allocation and booking procedures have been completed.

In particular, origin designated operators shall ensure that:

- i EMS dispatches are made only with EMS receptacles, and are accompanied by a delivery bill and manifest forms as required by these Procedures;
- ii a PREDES message is sent for all dispatches;
- iii the delivery bill is compliant with local regulations, depending on the transport mode, clearly showing that the mail contains EMS items;
- iv the items in each dispatch are enclosed in blue and orange or orange EMS bags;
- v where traffic volumes justify separate dispatches, or if specified by the destination designated operator in the EMS Operational Guide, items containing goods are placed in separate bags from documents, and are dispatched separately accompanied by a separate manifest;
- vi each bag bears a label showing the UPU-defined EMS logo, which shall clearly indicate:
  - a the destination office of exchange;
  - b whether the bag contains goods or other dutiable items;
  - c the mandatory transport details and any transit information;
- vii EMS dispatches are handed over to the carrier in sufficient time for the carrier to process them according to the agreed procedures;
- viii the carrier is advised of the number of bags and their destinations;
- ix a PRECON message is sent for all consignments.

Origin designated operators shall, when signing service-level agreements with air carriers, include clauses related to the transmission of transport electronic messages in the UPU standards. When deemed appropriate by the origin designated operator, these electronic messages may be extended to the provision of CARDIT messages with the applicable regulatory information, i.e. confirmation from the origin designated operator that all required EAD has been submitted and that there is no known outstanding referral, as well as RESDIT 74 and RESDIT 21 messages by air carriers.

### 3.3 *Inbound transport*

Delivery operators shall:

- i take custody of the EMS dispatches from the carrier designated by the origin designated operator or that carrier's ground handling agent and scan all the dispatches with RESCON confirming the acceptance of the consignment;
- ii check the dispatch and the documentation accompanying the dispatch, specified in article 2.7, to ensure that all items dispatched are received in good order;
- iii in the event of any discrepancy, make a record of each additional, missing or damaged item and notify the origin operator by means of an E 2 or CN 43 verification note (Annex 1);
- iv ensure that inbound dispatches are signed for at handover by the carrier or the carrier's agent. The dispatch receipt shall show the date and time of receipt, the location, the name and signature of the recipient, and the stamp impression of the office of acceptance;
- v check that all bags have been routed to the correct acceptance centre, and in case of any misrouted bag, forwarded to the correct destination;
- vi ensure that, when the dispatches arrive at the OE from the AMU, each bag label is scanned, the weight of the receptacles is taken, and the bags are opened to verify all the items received against the CN 31 letter bill/CN 31 EMS dispatch manifest. All items must be scanned into the domestic system. The destination designated operator shall confirm acceptance by sending a RESDES message.

### 3.4 *Electronic record of transportation*

- i The origin designated operator shall make an electronic record of each dispatch and transmit, in accordance with the UPU standards:
  - PREDES: PRE-advice of DESpatch prepared;
  - PRECON: PRE-advice of CONsignment handed over;
  - CARDIT 47: CARrier/Documents International Transport advice ("definitive/final").
- ii In response to the CARDIT sent by the origin designated operator to the carrier, the origin designated operator shall be able to receive RESDIT messages, providing a response to international transportation advice, in accordance with the UPU standards:
  - RESDIT 74: Received;
  - RESDIT 24: Uplift;
  - RESDIT 43: Handover received;
  - RESDIT 42: Handover delivered;
  - RESDIT 14: Transport leg completed;
  - RESDIT 21: Delivered.
- iii The destination designated operator shall make an electronic record of each dispatch and transmit, in accordance with the UPU standards:
  - RESCON: Confirmation of consignment receipt/current exceptions;
  - RESDES: Confirmation of dispatch receipt/current exceptions.

## 4 EMS inbound

### 4.1 Acceptance procedures

- i Damage check:
  - a the items shall be checked for damage to the packaging or the contents;
  - b If damage is discovered, the procedures for damaged items shall be followed (see item 6 of these Procedures).
  - c the bags shall be checked for damage (fastening and make-up).
- ii Restrictions checks: The description of the contents of the item shall be checked for compliance with the agreed conditions and documentation requirements.
- iii Item details check: The correctness of the item identification shall be checked for each item according to the documentation specification.
- iv Pre-advice reconciliation: Any discrepancies between the pre-advice sent via EDI, fax or e-mail and the actual contents of the dispatch shall be recorded.

### 4.2 Discrepancies

In the event of a discrepancy, the delivery operator shall notify the origin operator.

- i A report of the discrepancy shall be created without delay following discovery, and a report of the discrepancy shall be sent to the origin operator by the quickest possible means, but in any case no later than 24 hours following the discovery. The reporting of discrepancies regarding missing bags or dispatches may be delayed up to the arrival of the following dispatch. Types of discrepancies to report are:
  - missing dispatches;
  - missing bags;
  - missing items;
  - excess items;
  - damaged items;
  - other irregularities.
- ii Discrepancies discovered and actions taken shall be notified to the origin operator by means of an E 2, CN 43 or CP 78 verification note or by EDI exception message (as per UPU EDI Message Development Guide). If possible, notification should be sent through the customer service system.

### 4.3 Reconditioning of items

The delivery operator shall repackage EMS items:

- which have lost their packaging in whole or in part before they come into the delivery operator's possession;
- which may lose their packaging in whole or in part while in the delivery operator's possession;
- which have been opened for customs inspection. The delivery operator shall affix on any such item an indication that it has re-packaged the item.

### 4.4 Transport of EMS items to the delivery area

Where dispatches are not already made up by delivery area, the delivery operator shall sort each dispatch by delivery area for onward transportation. The delivery operator shall ensure that EMS items are forwarded to the delivery area by secure and reliable transportation services, in accordance with the service performance standards provided for in article 4.10 below.

#### 4.5 *Delivery of items*

EMS operators shall:

- i deliver EMS items by a mail network or specialized delivery network that permits the attainment of a competitive performance level;
- ii deliver all incoming EMS items by either special or scheduled courier.

#### 4.6 *Delivery of items to the addressee*

- i The delivery operator shall obtain from the recipient a signature of acceptance, or register captured data from an identity card, or obtain some other form of evidence of receipt that is legally binding under the legislation of the country of destination to confirm acceptance.
- ii The delivery operator may create a delivery manifest in lieu of a separate delivery receipt for each item, provided that each item is listed separately, the date and time of delivery are recorded, and the addressee or person taking delivery of the item enters his or her full name in block letters and signs the manifest to acknowledge delivery. Multiple items for a single addressee may be made the subject of a single delivery receipt or a single listing on the manifest, provided that the receipt or listing shows the item number for each item.
- iii If a delivery operator is unable to deliver items subject to customs duty to the addressee, and the addressee has to collect such items at the customs office, origin operators must be informed of these procedures through the delivery operator's entry in the EMS Operational Guide.

#### 4.7 *Attempted/unsuccessful delivery*

EMS operators shall record details of delivery or attempted delivery for each EMS item received.

##### 4.7.1 *Attempted delivery*

- i A standard advice form or card shall be left at the address to inform the addressee that a delivery attempt was made and to indicate how to obtain delivery of the article. In addition to the standard advice form, the advice should, if possible, also be sent by electronic means (SMS, e-mail, etc.).
- ii The advice shall include the following information:
  - the date and time of the delivery attempt;
  - the name and signature of the driver/agent;
  - the date and time of the next scheduled delivery attempt (if possible);
  - the address, telephone number and opening hours of the post office where the item is located after the delivery attempt;
  - the date until when the item will be retained at that office.
- iii The driver/agent shall record, either manually or through appropriate scanning of the item, the date and time of the unsuccessful delivery. The EMH scan shall be accompanied by an unsuccessful delivery reason code, in accordance with the EMS Standards and article 9 of these Procedures.
- iv The driver/agent shall return the EMS item to the post office indicated on the card.
- v EMS operators shall make at least one, but preferably two, delivery attempts. If the delivery is still not successful, a second advice shall be left informing the addressee that an EMS item is ready for collection, from where it can be collected, and the final date for collection. If the EMS item is not collected, it shall be considered unclaimed and deemed undeliverable.
- vi If possible, the addressee should be contacted by telephone or electronic means before a delivery attempt or as soon as possible after a delivery attempt.

#### 4.7.2 *Unsuccessful delivery*

If the delivery of an EMS item is not possible due to incorrect addressing, EMS operators shall:

- i first attempt to ascertain the correct address using information available locally and route the EMS delivery to the correct address;
- ii contact the origin operator for address clarification (telephone numbers of addressees, new address, etc.) and for further instructions via the EMS customer service system, if the address cannot be corrected;
- iii deem the EMS item undeliverable if the correct address cannot be ascertained or if the sender, via the origin operator, requests that the item be returned.

#### 4.7.3 *Non-acceptance by the addressee*

- i If the addressee refuses to accept the EMS item, it shall be treated according to the sender's instructions, if available on the label, or the origin operator may be contacted for further instructions via the EMS customer service system.
- ii If the origin operator requests that the item be returned, the EMS item shall be deemed undeliverable and be returned.

#### 4.7.4 *Undeliverable items and their return*

- i The standard holding period for undeliverable EMS items shall be 15 days, but not less than seven days, and shall be used if necessary to contact the sender (through the origin operator) for instructions or further information.
- ii The delivery operator shall specify the conditions, including holding periods, under which items shall be deemed undeliverable. These conditions shall be notified to the EMS Unit and shall be published in the EMS Operational Guide.
- iii When an EMS item is deemed undeliverable, the delivery operator shall return it to the origin operator and indicate the reason for non-delivery on the item. The reason for non-delivery shall be indicated by a stamped impression on the item, or by an adhesive label affixed to the item. It is recommended that EMS operators use a UPU CN 15 form (Annex 1). The EMH scan shall be accompanied by the reason for return, in accordance with the EMS Standards and article 10 of these Procedures.
- iv The delivery operator shall return the item to the origin operator through the EMS service.
- v When an item or part of its contents have been seized or detained by Customs or another governmental agency, the delivery operator shall promptly inform the origin operator via the EMS customer service system or by telephone, fax or e-mail.
- vi In the case of return of undeliverable items, the following scans should be generated by the delivery operator and transmitted to the origin operator: EMD + other EMSEVT inbound related events + EMH (including valid action and reason codes) or EDH. No EMI event shall be transmitted. An EMC scan shall be sent to the origin operator, which is the owner of the item, with the destination country field in the message set as the item owner and with the item reason for return field populated.
- vii If an item was not processed in a delivery pipeline, on account of the absence of an address, damage, or other customs or security reasons, and is being returned to the origin operator directly from the office of exchange, the following scans shall be generated by the delivery operator and transmitted to the origin operator:
  - a EMD + other EMSEVT inbound related events + terminating with EDC or EMF or EDX, for example:
    - EMD + EME + EDC + EMF; or
    - EMD + EDB; or
    - EMD + EDX; or
    - EMD (no events from the delivery network/after EMF).

- b An EMC scan shall be sent to the origin operator, which is the owner of the item, with the destination country field in the message set as the item owner and with the item reason for return field populated.

#### 4.7.5 *Misdirected items and closed mails in transit*

- i When a delivery operator discovers an EMS item that should have been sent to another country, it shall forward the item to its proper destination by the fastest route available. The delivery operator shall immediately notify by fax or e-mail the origin operator and the country to which the item is being forwarded using EMS form E 2, advising both parties of the item(s) being re-directed, the carrier, flight number (if applicable) and estimated time of arrival. Receptacles misdirected by a carrier shall be returned to the carrier. The cost of re-forwarding shall be borne by the origin operator.
- ii If transit countries open closed mails in transit which are not intended for them in circumstances other than force majeure (natural disasters or decisions of governments or government agencies), they shall be liable for all the consequences (charges, redirection etc.).

#### 4.7.6 *Electronic scanning of misdirected/missent items and items sent à découvert*

- i When a delivery operator receives an EMS item sent à découvert or discovers a missent EMS item, the following sequence of scans shall be made and transmitted electronically:
  - EMD + EMC (EMC transmitted to both origin and final destination, or at least to the origin operator); or
  - EMD + EMK (EMK transmitted to both origin and final destination); or
  - EMJ + EMK (EMK transmitted to both origin and final destination).
 EMD and EMJ should be transmitted to the origin operator.
- ii Correct scanning is important to be able to account for the handling and forwarding of such items, using EMS Cooperative electronic reports.

#### 4.8 *Electronic record of the handling of inbound EMS items*

- i In accordance with article 16 of the Agreement, the delivery operator shall make an electronic record of each item by scanning its identifier barcode at each of the following points as applicable (events refer to UPU M40 standard tracking event messages) and transmit these events to its partners:

EMD Arrival at inward office of exchange

EDB Item presented to import Customs

EME Held by import Customs

EDC Item returned from Customs (import)

EMF Departure from inward office of exchange

EMH Unsuccessful (physical) delivery

EMI Final delivery

When required, the delivery operator can also transmit the following messages:

EDA Held at inward office of exchange

EDD Item into sorting centre

EDE Item out of sorting centre

EMG Arrival at delivery office

EDF Item held at delivery depot

EDG Item out for physical delivery

EDH Item arrival at collection point for pick-up (by recipient)

EDX Import terminated

The respective action and reason codes shall be provided in accordance with the EMS Standards and as per the IT guide to UPU Standard M40 EMSEVT V3 for the EMS Cooperative.

- ii The delivery operator shall also make a record indicating that an item or its contents, or part of its contents has been seized or detained by Customs or other governmental agency. Whenever possible, delivery operators shall communicate this information immediately to origin operators.
- iii Records shall be kept in electronic form and based on the item number and corresponding postal barcode on the EMS item. If no barcode is present on the EMS item, the delivery operator shall enter the unique item number manually. The electronic record shall be such that recording the dispatch or receptacle number shall also create a record for each item in the receptacle.
- iv Electronic records shall be kept for six months. Paper records and signed delivery receipts or delivery manifests shall be kept for 18 months. The origin operator may direct that specific records be kept indefinitely, e.g. in cases of dispute.
- v The delivery operator shall be responsible for all costs associated with the provision of these services.

#### 4.9 *Designated EMS offices of exchange*

- i EMS delivery operators shall designate one or more offices of exchange for the receipt of inward EMS mail, taking into account the following factors:
  - a accessibility of an international airport;
  - b availability of adequate postal workforce and facilities;
  - c good customs clearance facilities;
  - d easy access to internal EMS network;
  - e proximity to major commercial or administrative centres.
- ii EMS delivery operators shall establish delivery standards for each EMS office of exchange from arrival of the item at the appropriate airport to attempted or final delivery in all specified delivery zones (as defined in article 4.10).
- iii These delivery standards for each designated EMS office of exchange shall be submitted to the EMS Unit for publication in the Operational Guide, and shall be updated or confirmed on a quarterly basis.

#### 4.10 *Delivery standards*

Delivery operators shall deliver inward EMS items in accordance with their EMS delivery standards for each designated EMS office of exchange published in the EMS Operational Guide. The delivery standards to be published in the EMS Operational Guide shall be presented by delivery zone and by location designator, as follows:

- i the "delivery zone" refers to geographic areas where EMS items are delivered on a given day. For example, areas where items are delivered on their day of arrival at the destination airport constitute one delivery zone, while areas where items are delivered the following day constitute a separate delivery zone;
- ii the location designator may be a postcode, a delivery depot code, or a city name or other delivery location designator, which corresponds to the way in which the delivery standard is defined.

## 5 **Quality measurement**

### 5.1 *Validated delivery standards*

- i EMS delivery performance shall be measured against delivery standards submitted by delivery operators, and validated by the EMS Cooperative.

- ii Delivery standards published in the EMS Operational Guide correspond to delivery standards validated for measurement purposes. The following data is required for the validation of delivery standards:
  - tracking event code;
  - item identifier;
  - destination EMS operator;
  - office of exchange code;
  - date;
  - time;
  - delivery office code (e.g. postcode, delivery office depot, province code or other appropriate code identifying the delivery zone).

## 5.2 *Quality and performance measurement*

It is recommended that the EMS operator should:

- i set up a regular EMS performance measurement system encompassing the following aspects of performance:
  - on-time delivery;
  - compliance of tracking data with tracking standards;
  - on-time transmission of tracking data;
  - call centre responsiveness;
  - use of EMS logo;
  - use of EMS barcode;
  - updating of EMS Operational Guide.
- ii use, for this system, the most convenient method, it being understood that EMS operators should aim to adopt an electronic EMS tracking system.

## 5.3 *Monitoring of airline handling*

As part of their overall quality measurement, EMS operators should implement a procedure to monitor the quality of airline handling of EMS items. This process should include regular meetings with representatives of airlines and ground handling agents.

# 6 **Liability and indemnity**

## 6.1 *Principles*

- i Customer inquiries regarding EMS items shall be accepted within four months of the date of posting of the item.
- ii The sender and the addressee may query items and claim subsequent reimbursement from the operator (of origin or destination) within four months of the date of posting of the item.
- iii All customer inquiries shall be handled within the EMS customer service system and shall be considered as official correspondence in case of claims.

## 6.2 *Indemnity to customer*

- i The sender or addressee is the rightful claimant and is entitled to possible reimbursement for loss of, or damage to, items. Where the addressee is the claimant, the sender shall waive his or her rights in favour of the addressee. The waiver document should be provided through the EMS customer service system to prevent duplicate payments. The applicable EMS customer service system inquiry should always precede any indemnity.

- ii The reimbursement amount is determined by the internal legislation of the operator that pays the indemnity to the customer and may exceed the amount indicated in article 9 of the EMS Standard Agreement.
- iii Indemnity to the sender is always paid by the origin operator, and indemnity to the addressee is always paid by the destination operator.
- iv The paying operator shall proceed with indemnity to the customer once the inquiry and investigation process is concluded (i.e. item deemed lost or damaged). Determination of operator liability and settlement of indemnity between operators should be carried out as quickly as possible.

### 6.3 *Liability*

- i The designated operator shall accept liability for items lost or damaged while in the operator's custody or control, and shall be subject to the limitation of liability provisions set out in article 9 of the EMS Standard Agreement.
- ii The liability shall always be borne by the operator in whose custody the item was when the irregularity occurred.
- iii A detailed description of irregularities and handling procedures is set out in article 4 of these Procedures.

#### 6.3.1 *Liability of origin operator*

The origin operator shall be considered liable for the loss of, or damage to, an item if the investigation shows that:

- i the discrepancy happened before the item left the origin operator's custody (the last item tracking event is any before EMC);
- ii the item was dispatched to destination, but there is no evidence that it was tendered to the delivery operator (last tracking event is EMC and proof of item/dispatch handover to the destination is missing, i.e. signed transport documents or RESDES);
- iii the item is delivered to the addressee and the damage to its contents was reported by the addressee after delivery. This shall be considered concealed damage, and the origin operator shall be considered liable unless it can establish that the damage occurred while the item was in the custody or control of the delivery operator. The damage should be reported by the addressee without delay. The term "without delay" shall be interpreted according to national law.

A CN 24 form (Annex 1) shall be filed and sent to the origin operator for claim purposes via the EMS customer service system, without delay and within 48 hours of being reported by the addressee.

#### 6.3.2 *Liability of destination operator*

The destination operator shall be liable for loss of, or damage to, an item if the investigation shows that:

- i the last item scanning event is EMD or later and there is no physical evidence of delivery to the addressee (WPOD or CN 18) (Annex 1);
- ii the dispatch containing the item is acknowledged as received by the destination operator (i.e. signed transport documents, RESDES) and no discrepancies specified in article 4.2 are reported;
- iii the item has not been tendered to the addressee within 30 calendar days of its receipt by the delivery operator (date and time of acknowledgment of the dispatch receipt), unless the item is proved to have been seized or detained by Customs or other governmental authorities (CN 13 (Annex 1) provided or EME scan event with associated reason code 19 or 64 from the UPU 111 code list);
- iv the item is delivered to a recipient other than the addressee, without authorization from the sender or the addressee (incorrect delivery);
- v there is no reply to the EMS customer service system inquiry within 30 calendar days (outstanding message);
- vi in case of disputed delivery, the delivery operator is not able to provide a CN 18 form signed by the addressee within 30 calendar days of the initial inquiry.

### 6.3.3 *Liability of transit operator*

The transit operator shall be liable for loss of, or damage to, an item in transit à découvert if the investigation shows that:

- i the dispatch containing the item concerned is acknowledged as received by the transit operator (i.e. signed transport documents or RESDES) without reporting discrepancies as specified in article 4.2;
- ii there is no evidence of forwarding the item to the destination operator, unless the item is proved to have been seized or detained by Customs or other governmental authorities (CN 13 provided or EME scan event with associated reason code 19 or 64 from the UPU 111 code list).

This principle shall also apply to missent and misrouted items.

### 6.3.4 *CN 18 declaration concerning receipt/non-receipt of a postal item*

The CN 18 form shall be used to obtain an addressee's statement (signature) that the item queried has/has not been received by the addressee (information required by the sender).

This form shall be used when:

- i the item is delivered to the addressee and the destination operator fails to obtain a signature at the time of delivery;
- ii written proof of delivery has been provided to the sender and the sender disputes delivery.

The destination operator may not be required to provide a CN 18 form in the following cases:

- i The queried item is not received by the destination operator (there is no evidence of item/dispatch hand-over).
- ii The item is lost while in the custody of the delivery operator before reaching the delivery office and the delivery operator can certify this.
- iii The addressee's statement that the item was not received may be made by e-mail or phone if accepted by the delivery operator. The origin operator should accept the same in this case.

## 6.4 *Indemnity between operators*

- i Depending on the determination of liability for lost or damaged items between operators, the operator paying indemnity to a customer can claim that amount from the liable operator.
- ii The indemnity amount is subject to the limitations set out in article 9 of the EMS Standard Agreement. The amount for indemnity shall be preauthorized in the applicable EMS customer service system inquiry, by providing the authorization code and authorized amount as a final reply to the inquiry.
- iii An authorization code shall be used to facilitate accounting in respect of liability between operators. Its purpose is to unambiguously identify the claim that is subject to liability. A code may consist of groups of letters and/or numbers, and is created by the operator accepting liability for a lost or damaged item.
- iv The amount claimed for indemnity shall be equal to the amount paid to the customer and in no case shall exceed the amount defined in article 9 of the EMS Standard Agreement.
- v Regardless of whether indemnity is paid to the sender, the operator may claim the amount in the periodical accounting on document CN 48, which contains the authorization code from the finalized inquiry.
- vi Designated operators may use the direct billing, bilateral offsetting or UPU\*Clearing system.

## **7 Damage**

### 7.1 *Damaged items*

When damaged items are identified by the delivery operator, the following steps shall be taken to ensure that the best service feasible in the circumstances is provided to the customer.

### 7.1.1 *Discovery*

- i The person in charge shall be alerted immediately when a damaged EMS item is discovered.
- ii The person in charge shall ensure that all necessary actions are taken and that the problem is communicated to all parties concerned.
- iii The extent of the damage shall be assessed immediately as to whether the damage is superficial (packaging only) or more serious (contents).

### 7.1.2 *Packing damage only*

- i The person in charge shall decide whether the item can be repaired. If so, it should be repaired and routed for delivery.
- ii Damaged packaging shall be indicated on the CN 24 form, in the section "Reason for report" and any relevant details in the section "Subsequent treatment of the item". A CN 24 form shall be attached to the item until final delivery. There is no need to report a discrepancy to the origin operator when only the item packaging is damaged.

### 7.1.3 *Goods damaged*

- i If the item cannot be repaired and delivered or if its contents are damaged, it shall be held and the "Goods Damaged" and "Additional Information" sections of the CN 24 form shall be completed.
- ii A CN 24 form shall be sent, by the fastest possible means, to the origin EMS operator, specifying that disposal instructions are required.
- iii The origin EMS operator shall contact the customer, explain the circumstances and determine what actions should be taken.
- iv The disposal decision (e.g. return, delivery or destruction) shall be communicated back to where the item is being held.
- v When contacted, the customer may initiate a Claims Process.
- vi If damage is reported by the addressee after the delivery and opening of the item, this damage shall be considered as concealed damage. The damage shall be reported by the addressee without delay. The term "without delay" shall be interpreted according to national law.
- vii A CN 24 form shall be filed and sent to the origin operator for claim purposes via the EMS customer service system, without delay and within 48 hours after being reported by the addressee.

### 7.1.4 *Damage report form*

In all cases, a CN 24 form shall be completed with the following information provided:

- i details of the item (EMS item identifier) and of where and when the damage was discovered;
- ii if only the packaging was damaged, details of the actions taken;
- iii if the contents were damaged:
  - a detailed description of the contents and packaging;
  - the name and address of the sender; and
  - the actions taken and when;
- iv any further information that will allow the origin EMS operator and the sender to decide on how to dispose of the item and expedite the claims process.

## **8 Insurance**

### *8.1 Insurance recommendation*

EMS operators should:

- i take out insurance cover as part of their basic EMS service, if necessary through a private insurance company offering the sender:
  - a compensation, up to a specified limit, in the event of the total loss of an item;
  - b an indemnity, up to a specified limit, in the event of direct loss due to non-delivery of an item;
  - c compensation, up to a specified limit, in the event of damage to the contents of an item;
- ii take out insurance coverage as an optional service feature, if necessary through a private insurance company offering the sender compensation or an indemnity, upon payment of an appropriate additional fee, for loss or damage exceeding the limits in paragraphs a, b and c above;
- iii take into account the insurance service offered by the competition in setting limits for compensation and indemnities.

## **9 Electronic tracking information**

### *9.1 Computerized tracking systems*

EMS operators shall adopt a computerized EMS tracking system and link it to the international tracking system (electronic mailbox) of the POST\*Net or GXS networks. To be eligible to sign up to the EMS Standard Agreement, all EMS operators shall possess and operate such a system in full production mode and exchange tracking data with all partners. The following requirements apply to both EMS operators and non-postal partners contracted to deliver EMS items.

The use of the POST\*Net and GXS networks is specified in article 16 of the Standard Agreement.

#### *9.1.1 Objectives of EMS tracking systems*

Recording precise information about the events which occur during the transmission of EMS items from the time they are posted until they are delivered, electronic track and trace systems shall have three objectives:

- a enable EMS operators to respond to customer inquiries and requests for information concerning individual EMS items;
- b advise other interconnected EMS operators of incidents affecting traffic flows (strikes, airport closures resulting from bad weather, etc.);
- c provide statistics on performance measurement and traffic and customer patterns (for operational and marketing purposes).

#### *9.1.2 General characteristics*

- a EMS operators with electronic EMS tracking systems linked to the electronic mailbox can only conduct searches in respect of items posted or delivered within their territory.
- b The information available via these systems shall be password-protected.
- c These systems shall operate 24 hours a day.

#### *9.1.3 UPU standard M40 EMSEVT V3*

- i EMS operators shall use EMSEVT V3.
- ii EMS operators using EMSEVT V3 shall follow the guidelines described in the user guide on tracking events for UPU standard M40 (EMSEVT V3) for operations.

- iii EXD, EXX, EDA, EDF, EDX and EMH events should include appropriate reason codes, used in accordance with the allowed combinations published in the IT Guide to UPU Standard M40 EMSEVT V3 for the EMS Cooperative.
- iv EXD, EDA, EDF, EDX and EMH should also include action codes. The action codes to be used are found in UPU code list 113.
- v EXB and EME events must include the reasons why the item is retained in customs (i.e. value from UPU code list 111).
- vi All tracking events should contain the mandatory elements (M), the conditionally mandatory elements (MC) and, where possible, the highly recommended elements (R), as published in the aforementioned IT Guide for the EMS Cooperative.

## 9.2 Reporting requirements

- i EMS operators shall transmit data required by the EMS standards to the network within 6 hours after the events occur and transmit a copy to the monitoring organization chosen by the EMS Cooperative.

## 10 Call centre and inquiries

### 10.1 Call centres

EMS operators should set up an operational centre to resolve EMS-related issues, including inquiries. Call centres shall:

- be available at least eight working hours per working day;
- have an international telephone connection;
- have one or more e-mail addresses to treat international claims;
- have computers and an Internet connection to be able to access the standardized system for international inquiries.

All operational call centre information must be updated in the EMS Operational Guide.

### 10.2 Use of the EMS customer service system

Each delivery operator shall use the EMS customer service system to make and reply to inquiries and to ensure that there are no outstanding messages in the system. The EMS customer care manual, which is published on the EMS Cooperative website ([www.ems.post](http://www.ems.post)), contains the detailed procedures for EMS customer service when using the EMS customer service system.

For international inquiries using the EMS customer service system, the inquiries should be performed based on the type of request. The 11 types of request are as follows:

- i Update/confirmation of item status: no information about item status in destination country, due date has expired and available information is contradictory or unclear. The purpose of this request is to obtain or clarify tracking data.
- ii Item found undeliverable: destination operator determines that the item is undeliverable and asks the origin operator for further instructions.
- iii WPOD (Written Proof of Delivery): delivery information is available in the track-and-trace system but the sender requests the name of recipient and copy of signature.
- iv Disputed: item has not been delivered even though the track-and-trace system shows the contrary.
- v Request for change, correct address, redelivery or return/stop delivery of the item: the sender requests that the destination make changes in addressee details or other specific actions in the delivery process.
- vi Damaged/missing contents: item was found with damaged/missing contents during any phase of processing; counterpart operator is informed.
- vii Missent/redirected/transit: item was sent to a country other than the intended destination; this request serves to locate the item and enable transit information.

- viii Customs investigation: an item or part of its contents has been retained or seized by the customs authority or other governmental agency. The request serves to obtain documents required for the release of the item from Customs.
- ix Explanation delayed delivery/processing: item delivered late according to delivery standards; sender asks for reason for delay.
- x Unexplained return of the item: item returned without reason provided; sender seeks clarification.
- xi COD amount not received: sender claims that the COD amount was not returned although the item was delivered.

## **11 Customs**

### *11.1 Customs clearance*

EMS operators shall make every effort to speed up customs clearance of EMS items by every means at their disposal, including:

- i creating a national contact committee, based on the memorandum of understanding between the World Customs Organization (WCO) and the UPU and a service-level agreement between the operator and its customs administration;
- ii developing studies of the organization of services, in liaison with local customs services, airlines and airport authorities, to optimize operations and to create a service-level agreement with each partner;
- iii transmitting customs data electronically to the designated operator of the country of destination, when designated operators so agree in advance. The use of the data shall be restricted to processes relating to the exchange of mail and customs formalities in respect of the export or import of postal items. The information may also be shared with the customs administration in the country of origin for export purposes. The designated operator of destination may share part of this data with the customs administration in the country of destination for customs import purposes, including customs clearance.

### *11.2 Outbound customs documentation*

Origin operators shall ensure that:

- i each EMS item is accompanied by fully and accurately completed customs information. Annex 1 contains samples of CN 23 EMS and CP 72 customs declarations from the UPU Convention. When fully completed, the EMS label (CN 23 EMS) in Annex 1 contains information for customs purposes and may be the only form required;
- ii the contents of each EMS item are shown in detail on the customs declaration;
- iii senders are informed of the correct way to complete customs declarations, although the origin operator shall assume no responsibility for the accuracy of these declarations;
- iv senders complete and sign the customs declaration in accordance with the provisions established in article 2.2;
- v when appropriate and required, exporters of commercial items attach a commercial invoice to each item indicating the country of origin and the harmonized commodity description and coding system tariff number (HS code developed by the WCO). When appropriate and required, exporters shall attach a certificate of origin and licence for each item.

### *11.3 Customs clearance – inbound*

The delivery operator shall:

- i make arrangements with customs officials to clear items through Customs as quickly as possible. The delivery operator may subcontract with a customs broker for this purpose. In this case, the name, address, telephone number and fax number of the customs broker shall be communicated to the origin operators and indicated in the EMS Operational Guide;

- ii provide the EMS Unit, for publication in the EMS Operational Guide, with all necessary information regarding the required customs documentation as well as customs or other regulations prohibiting or restricting the entry of items. This information shall include an explanation of the customs procedures applicable to EMS items (i.e. the procedures for postal items and those for general goods);
- iii notify the EMS Unit, for publication in the EMS Operational Guide, of any additional charges related to customs clearance not included in the delivery payment to be made by the origin operator;
- iv undertake to seek from the competent authorities cancellation of fees (including customs duties) in cases where items are:
  - returned to the sender;
  - redirected to a third country;
  - abandoned by the sender;
  - lost or damaged in their country.

#### 11.4 *Electronic transmission of customs-related data*

- i EMS operators shall exchange M33–ITMATT v1.0 messages with partners when requested by the destination customs authority or designated operator.
- ii When applicable, designated operators shall transmit CUSITM v2 data to the local customs authorities in accordance with UPU standard M55.
- iii Designated operators may also opt to transmit, if they deem appropriate: i) M53–ITMREF v1 messages (i.e. comprising an assessment of ITMATT data carried out by the destination customs authority or designated operator); and ii) M54–REFRSP v1 referral messages in response to the aforementioned ITMREF v1 data.

## 12 **Accounting**

### 12.1 *EMS Cooperative method of remuneration – EMS Pay-for-Performance accounting*

- i Pay-for-Performance shall be the remuneration basis used by the EMS Cooperative. EMS Cooperative members that are signatories of the Standard Multilateral Agreement shall also be deemed to be signatories of the Pay-for-Performance Multilateral Agreement.
- ii EMS inter-operator delivery payments shall be based on gross flows of EMS traffic between EMS pay-for-performance participants.
- iii The pay-for-performance accounting procedure is detailed in the EMS Pay-for-Performance Plan published on the EMS Cooperative website ([www.ems.post](http://www.ems.post)).

### 12.2 *Delivery and air conveyance charges*

- i Each delivery operator shall establish a delivery payment system (based on gross imbalance of EMS traffic), and shall publish a unique rate for EMS items and/or separate unique rates according to weight category as defined in the Pay-for-Performance Plan. These rates shall be notified to the EMS Unit for publication in the EMS Operational Guide.
- ii It is recommended that EMS operators apply discounted delivery rates for lower-weight items, according to the weight brackets in the Pay-for-Performance Plan.
- iii Any changes in delivery charges must be notified to the EMS Unit by 31 August of the year prior to the date on which the changes will take effect. The purpose of this notification is to allow all EMS operators to make any operational or account settlement changes prior to the date on which the changes take effect. The new delivery charges will take effect from 1 January of the following year.
- iv EMS operators shall not apply internal air conveyance charges separately.

### 12.3 *Accounting for the transportation of returned EMS items*

- i When EMS items which are subject to return are scanned according to article 4.7.4 of these Procedures and can be recognized as return items electronically, the delivery operator, which in this case becomes the returning operator, may charge the origin operator not only for a delivery attempt of such items, but also for their transportation to origin.
- ii The charges may be flat per item or based on item weight, but only if the weight was transmitted electronically.
- iii The rates to be applied for the transportation by the returning operator shall be published in the EMS Operational Guide, as rates for return.

### 12.4 *Accounting for EMS items sent à découvert and missent items*

- i When EMS items are received à découvert or as misdirected/missent items and are scanned according to article 4.7.6 of these Procedures and can be recognized as such items electronically, the transit/forwarding operator (hereinafter "transit operator") may charge the origin operator for the handling and transportation/forwarding of these items to the final destination. The transit operator shall not charge for delivery of these items; only the delivery operator may claim delivery charges.
- ii The transit operator may set a flat rate per item for handling as well as a flat rate for forwarding, or a weight-based rate for forwarding, but only if the weight of the item is transmitted electronically.
- iii The rates of the transit operator shall be published in the EMS Operational Guide.

## 13 **Special agreements – optional**

### 13.1 *Time-certain EMS – for documents only*

#### 13.1.1 *Outbound time-certain EMS*

- a For easy identification of time-certain EMS items, the acceptance officer of the origin operator shall affix a special coloured sticker (marked e.g. "10 a.m. delivery") on both the item and on the top copy of the address label for easy identification.
- b All time-certain EMS items shall be enclosed in one or more separate bags and made up as a separate dispatch. However, the dispatch serial number can follow the series of the normal EMS dispatches.
- c The duty officer at the outward office of exchange of the origin operator shall ensure that all outward time-certain EMS items are dispatched to the delivery operator via the scheduled flight.
- d All the time-certain EMS items shall be included in a separate EMS "document" dispatch. On the EMS Receptacle Manifest, the words e.g. "10 a.m. delivery" shall be entered in the remarks column. A coloured sticker, e.g. "10 a.m. delivery", shall also be affixed on the relevant outward bag labels.
- e On the CN 38 delivery bill, the words e.g. "10 a.m. delivery" shall be entered in the observations column for easy identification of such bags.
- f When the dispatch operations have been completed, the duty officer shall prepare a Pre-advice Form listing the time-certain EMS item numbers contained in the dispatch with details of the addressees, and shall e-mail or fax the form to the delivery operator.
- g Upon delivery of the items, the delivery operator shall enter the delivery details on the Pre-advice Form and return it to the origin operator by e-mail or fax by the agreed time limit (e.g. by 14.00 on the day of delivery).

#### 13.1.2 *Inbound time-certain EMS*

- a Prior to the scheduled arrival of the time-certain EMS items, the duty officer of the delivery operator should receive the Pre-advice Form from the Origin Operator.
- b On receipt of this form, the duty officer shall immediately arrange dedicated vehicles and sufficient personnel for the conveyance and delivery of the items to the addressees by the pledged time.

- c Since time-certain EMS items require prompt delivery, relevant details may be entered into the tracking system after actual delivery has taken place.
- d At the time of delivery, the recipients shall be requested to acknowledge receipt of time-certain EMS items by signing the delivery receipt.
- e The delivery details or reason for non-delivery by the pledged time shall be entered on the Pre-advice Form and e-mailed or faxed to the origin operator by the agreed time on the same day of delivery. The premium delivery surcharge shall not be applicable in respect of time-certain EMS items delivered late.
- f The delivery of time-certain EMS items shall be subject to bilateral agreements.

#### 13.1.3 Handling of late delivery and return of undeliverable items

- a In the event that delivery is not successful at the first attempt, in line with the delivery arrangements for normal EMS items, the delivery operator shall make a second attempt to deliver the time-certain EMS item on the same day. Under such circumstances, provided that the first delivery attempt was made within the pledged time or the delivery attempt was unsuccessful due to external factors beyond the control of the delivery operator (e.g. incorrect address), the delivery operator shall be entitled to the premium delivery surcharge for the items concerned. The normal imbalance charge for standard EMS items shall be applied in respect of time-certain EMS items for which delivery/attempted delivery is made later than the pledged time due to failure on the part of the delivery operator.
- b Undeliverable time-certain items shall be handled in the same way as undeliverable EMS items and returned in the same stream.

#### 13.1.4 Trial of the service

It would be advisable to conduct a trial to enable both participating operators to become familiar with the operational procedures. The following information shall be provided and consensus reached between the operators before any trial commences:

- Acceptance of the above operational procedures.
- Agreement on the premium delivery surcharge to be levied on items.
- Agreement on a proposed trial period.
- Details of the flight schedules:

	<i>Flight No.</i>	<i>Departure time</i>	<i>Arrival time</i>	<i>Days</i>
From OE–A to OE–B				
From OE–B to OE–A				

- Days in the week on which delivery would be provided.
- Postal codes and/or details of the areas to be covered by the service.
- Details of e-mail or fax numbers to facilitate communication.

To facilitate the trial, it would be desirable for both operators to agree to waive the premium delivery surcharge for handling time-certain EMS items during the trial and exchange an agreed maximum number of such items, say five per day, during the trial period.

#### 13.2 Merchandise return service for EMS

Designated operators may bilaterally agree to offer a supplementary merchandise return service (MRS) comprising acceptance of prepaid returns with priority transportation to enable the original seller to pay for returned EMS items posted by its customers/the addressees residing abroad after successful delivery.

Designated operators shall operate this service according to the provisions outlined in the EMS Cooperative's MRS User Guide.

## 14 Forms

The following postal forms, as adopted or amended by the Universal Postal Union from time to time, shall be used by the delivery operator and the origin operator in performing this Agreement and its Procedures.

E 2	Verification note for EMS items
CN 13	Report. Information about a seized postal item
CN 15	"Return" label
CN 18	Declaration concerning non-receipt (or receipt) of a postal item
CN 22	Customs declaration
CN 23 EMS	EMS label/Customs declaration
CN 24	Report (irregularities)
CN 31 EMS	Dispatch manifest/summary
CN 35	Airmail bag label
CN 37	Delivery bill. Surface mails
CN 38	Delivery bill. Airmails
CN 43	Verification note. Exchange of mails
CN 45	Transmission envelope for CN 38, CN 41 and CN 47 bills
CN 47	Delivery bill. Return of empty bags
CP 72	Customs declaration/dispatch note (manifold set)
CP 78	Verification note

The origin operator shall not make changes to forms that would have an adverse impact on the delivery operator's ability to perform its responsibilities.

## 15 Additional notes

### 15.1 Return of empty receptacles

The delivery operator shall return or dispose of the receptacles in which EMS items are dispatched or tendered to it as advised by the origin operator. Where empty receptacles are to be returned, this shall be done as soon as possible and normally not later than two weeks after they are received from the origin operator. Returns shall be documented on UPU form CN 47 (Annex 1). Empty receptacles shall be returned at the expense of the origin operator, either by the same carrier that transported the receptacles for the origin operator or by another carrier specified by the origin operator. If empty receptacles are not returned to the origin operator, it shall be entitled to seek compensation from the delivery operator for the cost of these receptacles.

### 15.2 Names of contact persons

All EMS operators shall provide the EMS Unit with a list of names, addresses, telephone numbers, fax numbers and e-mail addresses of the person or persons the other operators should contact in the event of any problem with the service or who should receive any notice provided for in this Agreement. This list will be published in the EMS Operational Guide. All operators shall keep this list up to date.

### 15.3 EMS web addresses

In order to standardize EMS operators' websites, it is recommended that operators which register a (dot).post website for EMS follow the format `ems.<country code>.post`. Example: `www.EMS.ID.post`.

## 16 Force majeure

The implementation of the provisions for force majeure by EMS Cooperative members is defined in the force majeure rules (Annex 2).

**E 2**

VN number

**VERIFICATION NOTE****E 2**

Date

	VN originator	VN destination
Operators		
Office code and name		
Anomalies concern	<input type="checkbox"/> a dispatch	Dispatch/consignment identifier
	<input type="checkbox"/> a consignment	
	<input type="checkbox"/> other	
Dispatching office of exchange		Office of exchange of destination

**VN summary**

- Missing document(s)                       Misrouted receptacle/item                       Received with unreadable receptacle/item barcodes  
 Missing dispatch                               Mislabeled receptacle/item                       Receptacle/item received unlabelled  
 Missing receptacle/item                       Weight difference                               Other  
 Receptacle received in excess                       Damaged receptacle/item

**1. Irregularities concerning documents**

Missing documents (please accept the substitute forms attached)  
 CN 31 EMS                       CN 38                       Other \_\_\_\_\_

**2. Irregularities concerning receptacles**

Receptacle ID or serial number	Description

**3. Item irregularities**

Item-ID	Weight (kg)	Type of irregularity <sup>1</sup>	Observations	Subsequent treatment <sup>2</sup>

<sup>1</sup> Allowed values: 1 – missing; 2 – excess; 3 – damaged; 4 – misrouted; 5 – mislabelled; 6 – unlabelled; 9 – others.

<sup>2</sup> Allowed values: 1 – after repacking and weighing, the item has been forwarded to its destination      6 – the addressee has accepted the item  
 2 – item held at the depot, awaiting further instructions      7 – the sender refuses the item  
 3 – item destroyed      8 – the sender has accepted the item  
 4 – item seized by customs      9 – other  
 5 – the addressee refuses the item

Office preparing the note

Office of destination of the note

- Accepted                       Rejected  
 Further information required       Seen and noted

Signature

Date and signature

**CN 13**

Designated operator of  
Office preparing the report

**REPORT  
Information about a seized  
postal item**

**CN 13**

Date Reference

To the designated operator of

**Notes**

One form is sufficient for several items posted at the same time by the same sender to the same addressee

Description of seized item	Nature of item <input type="checkbox"/> Priority <input type="checkbox"/> Non-priority <input type="checkbox"/> Parcel <input type="checkbox"/> Ordinary <input type="checkbox"/> Registered <input type="checkbox"/> Letter <input type="checkbox"/> Printed paper <input type="checkbox"/> Small packet <input type="checkbox"/> Insured	
	No. of item	Weight of item
	Information concerning forwarding <input type="checkbox"/> Airmail <input type="checkbox"/> S.A.L. <input type="checkbox"/> Surface	
Posting of item	Office of origin	Date of posting
	Dispatching office of exchange	Date
	Destination office of exchange	Mail No.
Sender	Name and full address	
Addressee	Name and full address	

Information about the seizure	Reason for seizure <input type="checkbox"/> Dangerous goods <input type="checkbox"/> Violates import regulations <input type="checkbox"/> Narcotics <input type="checkbox"/> Violates public/moral/religious precepts <input type="checkbox"/> Counterfeit or pirated articles	
	Applicable regulation <input type="checkbox"/> UPU Convention <input type="checkbox"/> National legislation (specify)	Article
	Consequently, we have seized <input type="checkbox"/> the entire contents of the item <input type="checkbox"/> the part of the item specified below which violates current regulations:	

In witness whereof we have prepared this report in duplicate in order that effect may be given to it in accordance with the Convention	Customs official Place and signature	Head of office at which seizure took place Place and signature
	_____	_____

Reserved for the office of origin of the item	Comments, if any	
	Signature of the sender or of his attorney (if applicable)	Office of origin of the item Date and signature

**CN 15**

<b>RETURN</b>	<b>CN 15</b>
<input type="checkbox"/> Unknown	<input type="checkbox"/> Refused
<input type="checkbox"/> Moved	<input type="checkbox"/> Unclaimed
<input type="checkbox"/> Insufficient/ Non-existent address	<input type="checkbox"/> Refused by Customs
<input type="checkbox"/>	
<b>Return date:</b>	

Maximum size 52 x 52 mm, colour pink

**CN 18**

Designated operator

**DECLARATION  
concerning non-receipt  
(or receipt) of a postal item**

CN 18

Nature of item	<input type="checkbox"/> Priority	<input type="checkbox"/> Non-priority	<input type="checkbox"/> Parcel	<input type="checkbox"/> Registered
	<input type="checkbox"/> Letter	<input type="checkbox"/> Printed paper	<input type="checkbox"/> Small packet	<input type="checkbox"/> Insured
Special particulars	Insured value			
	<input type="checkbox"/> Airmail	<input type="checkbox"/> S.A.L.	<input type="checkbox"/> Express	<input type="checkbox"/> Advice of receipt
	COD amount and currency			
Posting	<input type="checkbox"/> COD			
	Other information			
	No. of item			
	Date of posting		Office of posting	
Sender	Weight of item			
	Name and full address			
Addressee	Name and full address			
Contents	Precise description of contents			

Declaration	<input type="checkbox"/> This item was delivered to me on	Date
	<input type="checkbox"/> I have not received this item by post or by any other means	Place and date
	Signature	

## CN 22

<b>CUSTOMS DECLARATION</b>		May be opened officially	<b>CN 22</b>
Designated operator		<b>Important!</b> See instructions on the back	
<input type="checkbox"/> Gift	<input type="checkbox"/> Commercial sample		
<input type="checkbox"/> Documents	<input type="checkbox"/> Other	Tick one or more boxes	
Quantity and detailed description of contents (1)	Weight (in kg) (2)	Value (3)	
<i>For commercial items only</i> If known, HS tariff number (4) and country of origin of goods (5)		Total weight (in kg) (6)	Total value (7)
I, the undersigned, whose name and address are given on the item, certify that the particulars given in this declaration are correct and that this item does not contain any dangerous article or articles prohibited by legislation or by postal or customs regulations Date and sender's signature (8)			

Size 74 x 105 mm, white or green

CN 22 (Back)

**Instructions**

To accelerate customs clearance, fill in this form in English, French or in a language accepted by the destination country. If the value of the contents is over 300 SDR, you must use a CN 23 form. You **must** give the sender's full name and address on the front of the item.

(1) Give a detailed description, quantity and unit of measurement for each article, e.g. 2 men's cotton shirts, especially for articles subject to quarantine (plant, animal, food products, etc.).

(2), (3), (6) and (7) Give the weight and value of each article and the total weight and value of the item. Indicate the currency used, e.g. CHF for Swiss francs.

(4) and (5) The HS tariff number (6-digit) must be based on the Harmonized Commodity Description and Coding System developed by the World Customs Organization. Country of origin means the country where the goods originated, e.g. were produced, manufactured or assembled. It is recommended you supply this information and attach an invoice to the outside as this will assist Customs in processing the items.

(8) Your signature and the date confirm your liability for the item.

**Note.** – It is recommended that designated operators indicate the equivalent of 300 SDR in their national currency

## CN 23 EMS

 (1)		 (2) EE 000 000 456 AA (3)		<b>CN 23 EMS</b> <b>Important!</b> See instructions on the back	
<b>CUSTOMS DECLARATION</b>		<b>May be opened officially</b>			
Name of the designated operator		Importer's reference (if any) (tax code/VAT No./importer code) (optional)			
		Importer's telephone/fax/e-mail (if known)			
From	Name (4)	Sender's customs reference (if any)	To	Name (11)	
	Street (5)			Street (12)	
	Postcode (6) City (7)			Postcode (13) City (14)	
	Country (8)			Country (15)	
	Tel. (9) E-mail (10)			Tel. (16) E-mail (17)	
Detailed description of contents (18)	Quantity (19)	Net weight (in kg) (20)	Value (22)	<i>For commercial items only</i>	
				HS tariff number (24)	Country of origin of goods (25)
		Total gross weight (21)	Total value (23)		
Category of item (26)		Commercial sample Explanation:		Item weight (kg) (32)	
<input type="checkbox"/> Gift	<input type="checkbox"/> Returned goods			Postal charges/Fees (33)	
<input type="checkbox"/> Documents	<input type="checkbox"/> Other			Insurance (34)	
Comments (27): (e.g.: goods subject to quarantine, sanitary/phytosanitary inspection or other restrictions)				Total (35)	
				Office (36)	
<input type="checkbox"/> Licence (28)	<input type="checkbox"/> Certificate (29)	<input type="checkbox"/> Invoice (30)		Date (37) Time (38)	
No(s). of licence(s)	No(s). of certificate(s)	No. of invoice			
I certify that the particulars given in this customs declaration are correct and that this item does not contain any dangerous article or articles prohibited by legislation or by postal or customs regulations.				<b>Delivery information</b>	
Date and signature (31)				Date (39)	Time (40)
				Person name (41)	
				Signature (42)	

Size 210 x 148 mm

**Instructions**

You should attach this customs declaration and accompanying documents securely to the outside of the item, preferably in an adhesive transparent envelope. If the declaration is not clearly visible on the outside, or if you prefer to enclose it inside the item, you must fix a label to the outside indicating the presence of a customs declaration.

To accelerate customs clearance, complete this declaration in English, French or in a language accepted in the destination country.

To clear your item, the Customs in the country of destination need to know exactly what the contents are. You must therefore complete your declaration fully and legibly; otherwise, delay and inconvenience may result for the addressee. A false or misleading declaration may lead to a fine or to seizure of the item.

Your goods may be subject to restrictions. It is your responsibility to enquire into import and export regulations (prohibitions, restrictions such as quarantine, pharmaceutical restrictions, etc.) and to find out what documents, if any (commercial invoice, certificate of origin, health certificate, licence, authorization for goods subject to quarantine (plant, animal, food products, etc.) are required in the destination country.

Commercial item means any goods exported/imported in the course of a business transaction, whether or not they are sold for money or exchanged.

(18) Give a detailed description of each article in the item, e.g. "men's cotton shirts". General descriptions, e.g. "spare parts", "samples" or "food products" are not permitted.

(19) Give the quantity of each article and the unit of measurement used.

(20) and (21) Give the net weight of each article (in kg). Give the total weight of the item (in kg), including packaging, which corresponds to the weight used to calculate the postage.

(22) and (23) Give the value of each article and the total, indicating the currency used (e.g. CHF for Swiss francs).

(24) and (25) The HS tariff number (6-digit) must be based on the Harmonized Commodity Description and Coding System developed by the World Customs Organization. "Country of origin" means the country where the goods originated, e.g. were produced/manufactured or assembled. Senders of commercial items are advised to supply this information as it will assist Customs in processing the items.

(26) Tick the box or boxes specifying the category of item.

(27) Provide details if the contents are subject to quarantine (plant, animal, food products, etc.) or other restrictions.

(28), (29) and (30) If your item is accompanied by a licence or a certificate, tick the appropriate box and state the number. You should attach an invoice for all commercial items.

(31) Your signature and the date confirm your liability for the item.

**CN 24**

Designated operator

**REPORT**

**CN 24**

Office preparing the report

Date

Reference

	<input type="checkbox"/> Letter-post item		<input type="checkbox"/> Postal parcel	
Reason for report	<input type="checkbox"/> Loss <input type="checkbox"/> Theft <input type="checkbox"/> Damage <input type="checkbox"/> Decrease in weight <input type="checkbox"/> Irregularities <input type="checkbox"/>			
Sender	Name and full address			
Addressee	Name and full address			
Posting of item	Office of posting	Date	Serial number	
Special particulars	Insured value	COD amount and currency	Weight shown	Weight observed
	Other particulars			
Contents	<input type="checkbox"/> From the invoice <input type="checkbox"/> From the customs declaration <input type="checkbox"/> According to the addressee or the sender			
	Detailed description			
	The contents have been examined in the presence of			
	<input type="checkbox"/> the addressee <input type="checkbox"/> the sender			
	Contents established on examination			
	Contents damaged			
Packing	External packing			
	Internal packing			
	The item is sealed by			
	<input type="checkbox"/> wax seals <input type="checkbox"/> security tapes <input type="checkbox"/>			
	Number of seals		Private mark on seals	
	<input type="checkbox"/> The item is unsealed The packing should be regarded as regulation <input type="checkbox"/> Yes <input type="checkbox"/> No			

Damage/Theft	Description	
	The loss is due to	
Estimate of loss	Amount and currency <input type="checkbox"/> According to the addressee <input type="checkbox"/> According to the sender	
Mail in which the item was sent	Date of dispatch	Dispatching office No.
	Date of arrival	Office of destination
	The item was contained in an <input type="checkbox"/> inner receptacle <input type="checkbox"/> outer receptacle The fastening (lead seal) of the receptacle was <input type="checkbox"/> intact <input type="checkbox"/> not intact	
Method of conveyance	<input type="checkbox"/> By airmail <input type="checkbox"/> By train <input type="checkbox"/> By ship <input type="checkbox"/>	
	Flight No./Train No./Name of ship	
	<input type="checkbox"/> In a receptacle <input type="checkbox"/> Loose	
Subsequent treatment of the item	<input type="checkbox"/> After repacking and weighing, the item has been forwarded to its destination <input type="checkbox"/> New weight _____	
	<input type="checkbox"/> The contents have been destroyed by the undersigned office <input type="checkbox"/> The packing is held here	
	<input type="checkbox"/> The addressee refuses the item <input type="checkbox"/> The sender refuses the item	
	<input type="checkbox"/> The addressee has accepted the item <input type="checkbox"/> The sender has accepted the item	
	Amount of indemnity claimed	
Signature of addressee or sender		

Attestation	In witness whereof, we have drawn up this report, a duplicate of which has been sent (with a CP 78 verification note in the case of a postal parcel) to the authority shown below	
	Authority to which the report should be sent	

Office preparing the report  
Signature of the postal officials

Signature of the customs officer (as applicable)

\_\_\_\_\_

\_\_\_\_\_

**CN 31 EMS**

Dispatch-ID



**CN 31 EMS**

**DISPATCH MANIFEST/SUMMARY**

Dispatching designated operator						
Destination designated operator						
Dispatch-series Origin office of exchange		Destination office of exchange		Dispatch-type		Previous number (if gap or 1st of year)
IMPC name/code		IMPC name/code		Category	Sub-class	Year
						Dispatch-No.
						Date (yyyy-mm-dd)
Transit designated operator(s)				Planned transportation (flight/trip numbers)		

**Dispatch details**

Serial No.	Item ID	Bag No.	Observations	Serial No.	Item ID	Bag No.	Observations
1				16			
2				17			
3				18			
4				19			
5				20			
6				21			
7				22			
8				23			
9				24			
10				25			
11				26			
12				27			
13				28			
14				29			
15				30			




**Dispatch summary**

Bag No.	Weight (kg)	Number of items	Bag No.	Weight (kg)	Number of items
		Page subtotals			
		Dispatch totals			

Dispatching office of exchange  
Date and signature

Destination office of exchange  
Date and signature

CN 35

 <b>Postis</b>			<b>Airmail</b>		<b>CN 35</b>
	From		Format		
	To				
	Disp. type	Disp. No.			
	Date				
	Rec. type	Rec. No.	Receptacle ID		
	Seal				
Rec. subcl.	No. of items				
Gross kg		Date Transport		Unload	

Size 130 x 90 mm

CN 37

Designated operator of origin

**DELIVERY BILL**  
Surface mails

CN 37

Office of exchange of origin of the bill

Date

Serial No

Office of destination of the bill

- By train
- By ship
- By motor vehicle

<input type="checkbox"/> Priority <input type="checkbox"/> Non-priority		Date of departure	Time
Train No./Vehicle No.		Route	Seal No.
Name of ship		Port of disembarkation	Company
If a container is used		No. of container	No. of seal

**Entry**

Mail No.	Office of origin	Office of destination	Number of			Gross weight of receptacles, etc.			Observations
			letter-post receptacles <sup>1</sup>	CP receptacles and loose parcels <sup>1</sup>	sacks of empty bags <sup>2</sup>	Letter post	CP	Empty receptacles	
1	2	3	4	5	6	7	8	9	10
						kg <sup>3</sup>	kg <sup>3</sup>	kg <sup>3</sup>	
<b>Totals</b>									

<sup>1</sup> The number of M bags and/or loose parcels must be reported in the "Observations" column  
<sup>2</sup> Including other empty returned receptacles  
<sup>3</sup> Kg to one decimal

Dispatching office of exchange  
Signature

The official of the carrier  
Date and signature

Office of exchange of destination  
Date and signature

CN 38

Designated operator of origin

**DELIVERY BILL**

CN 38

Office of origin of the bill

**Airmails**

Serial No.

Date

Office of destination of the bill

Priority

By airmail

Flight No.		Date of departure		Time	
Airport of direct transhipment			Airport of offloading		
If a container is used					
No. of container	No. of seal		No. of container	No. of seal	
No. of container	No. of seal		No. of container	No. of seal	

**Entry**

Mail No.	Office of origin	Office of destination	Number of			Gross weight of receptacles, etc.			Observations (including the number of M bags and/or loose parcels)
			letter-post receptacles	CP receptacles and loose parcels	EMS receptacles	Letter post	CP	EMS	
1	2	3	4	5	6	7	8	9	10
						kg <sup>1</sup>	kg <sup>1</sup>	kg <sup>1</sup>	
<b>Totals</b>									

1 kg to one decimal

Dispatching office of exchange  
Signature

The official of the carrier or airport  
Date and signature

Office of exchange of destination  
Date and signature

## CN 43

VN number

## VERIFICATION NOTE

CN 43

Date

	VN originator		VN destination	
Operators				
Office code and name				
Anomalies concern	<input type="checkbox"/>	a dispatch	Dispatch/consignment identifier	Document date
	<input type="checkbox"/>	a consignment		
	<input type="checkbox"/>	other		
Dispatching office of exchange			Office of exchange of destination	

## VN summary codes

- |  |  |  |
|--|--|--|
| <input type="checkbox"/> 10 – Missing document(s)                        | <input type="checkbox"/> 25 – Wrong receptacle type                                    | <input type="checkbox"/> 37 – Receptacle or item received unlabelled |
| <input type="checkbox"/> 11 – Declared wrong mail class or mail category | <input type="checkbox"/> 30 – Weight difference  | <input type="checkbox"/> 40 – Missing item (barcoded items)          |
| <input type="checkbox"/> 12 – Missing dispatch                           | <input type="checkbox"/> 31 – Received receptacle/item mislabelled to this location    | <input type="checkbox"/> 41 – Item in excess (barcoded items)        |
| <input type="checkbox"/> 20 – Wrong content format                       | <input type="checkbox"/> 32 – Seized by Customs  | <input type="checkbox"/> 42 – Missing item – evidence of theft       |
| <input type="checkbox"/> 21 – Missing receptacle                         | <input type="checkbox"/> 33 – Refused by Customs                                       | <input type="checkbox"/> 43 – Missent item                           |
| <input type="checkbox"/> 22 – Receptacle received in excess              | <input type="checkbox"/> 34 – Dangerous contents – not to be flown (will be destroyed) | <input type="checkbox"/> 99 – Other                                  |
| <input type="checkbox"/> 23 – Misrouted receptacle                       | <input type="checkbox"/> 35 – Damaged item/receptacle                                  |  |
| <input type="checkbox"/> 24 – Mislabelled receptacle by destination      | <input type="checkbox"/> 36 – Received with unreadable receptacle/item barcode         |  |

## 1. Irregularities concerning documents

<input type="checkbox"/> Missing documents (please accept the substitute forms attached)					
<input type="checkbox"/> Delivery bill	CN ____	Number of identified items received	Registered	Insured	Express
<input type="checkbox"/> Letter bill	CN ____				
<input type="checkbox"/> Special list(s):	CN ____				
<input type="checkbox"/> A découvert/missent items:	CN 65				
<input type="checkbox"/> Delivery bill: corrections of total weights			Letter post	Empty receptacles	Total
<input type="checkbox"/> According to the weights given on the labels (amended as necessary)					
<input type="checkbox"/> Resulting from an error in calculations					
<input type="checkbox"/> Letter bill: irregularities		Entered	Received	Observations	
<input type="checkbox"/> Number of receptacles					
<input type="checkbox"/> Weight of receptacles					
<input type="checkbox"/> Total registered items					
<input type="checkbox"/> CN 33 special lists					
<input type="checkbox"/> Total insured items					
<input type="checkbox"/> CN 16 special lists					
<input type="checkbox"/> Total express items					
<input type="checkbox"/> Receptacles being returned					

## 2. Irregularities concerning receptacles

CN 43 (back)

Receptacle ID or serial number	Description

## 3. Irregularities concerning mail subject to terminal dues and IBRS

Type of mail		Entered (a)		Received (b)		Difference (b – a)		Observations
		Number	Weight	Number	Weight	Number	Weight	
LC/AO receptacles	Format P or P/G							
	Format G							
	Format E							
	Mixed							
M bags	Up to 5 kg							
	Over 5 kg							
Bulk mail	Total receptacles							
	Total items							
IBRS	Total items							

## 4. Item irregularities

Item-ID	Weight	Type of irregularity*	Observations	Item-ID	Weight	Type of irregularity*	Observations

\* Allowed values: 1 – missing; 2 – excess; 3 – damaged; 4 – retained; 9 – others.

## 5. Other irregularities


This form must be returned to

 Accepted Rejected Further information required For information only

Origin – Signature

Destination – Signature

**CN 45**

<b>CN 45</b>	
Date stamp	
 <b>TRANSMISSION ENVELOPE FOR CN 38, CN 41 AND CN 47 BILLS</b>  	
Airport of offloading	
<hr/>	
Airline	Flight No.
<hr/>	
Date of departure	Time

Size 229 x 162 mm, colour light blue

CN 47

Designated operator of origin

**DELIVERY BILL**  
Mails of empty receptacles

CN 47

Office of origin of the bill

Date

Serial No.

Office of destination

Designated operator to which receptacles belong

Priority  
 Non-priority

By airmail  
 By S.A.L.  
 By surface

		Date of departure	Time
Type of receptacles returned	Flight No.	Airport of direct transhipment	Airport of offloading
<input type="checkbox"/> Priority/By air	Train No.	Route	
<input type="checkbox"/> Non-priority/Surface	Name of ship	Port of disembarkation	Company
<input type="checkbox"/> Parcels			
<input type="checkbox"/> EMS	If a container is used		
	No. of container	No. of seal	No. of container
	No. of container	No. of seal	No. of container

**Entry**

Mail No.	Office of origin	Office of destination	Number of sacks of empty bags and other empty receptacles returned	Gross weight	Observations
1	2	3	4	5	6
				kg <sup>1</sup>	
<b>Totals</b>					

1 Kg to one decimal


Dispatching office of exchange  
Signature

The official of the carrier or airport  
Signature

Office of exchange of destination  
Date and signature

## CP 72

CP 72 manifold set, first part – "Receipt"

(Designated operator)		The item/parcel may be opened officially		RECEIPT		CP 007 075 992 NO		
From	Name	Sender's customs reference (if any)		No(s), of parcel(s) (barcode, if any)				
	Business			Insured value – Words		figures		
	Street			Cash-on-delivery amount – Words		figures		
	Postcode	City			Giro account No. and Giro centre			
	Country			Importer's reference (if any) (tax code/VAT No./importer code) (optional)				
To	Name			Importer's telephone/fax/e-mail (if known)				
	Business							
	Street							
	Postcode	City						
	Country							
Detailed description of contents (1)		Quantity (2)	Net weight (in kg) (3)	Value (5)	For commercial senders only			
					HS tariff number (7)	Country of origin of goods (8)		
Please indicate service required (tick one box)			Total gross weight (4)	Total value (6)	Postal charges/Fees (9)			
<input type="checkbox"/> International Priority			<input type="checkbox"/> International Economy					
Category of item (10)		Commercial sample	Explanation:		Office of origin/Date of posting	Number of parcels	certificates and invoices	
<input type="checkbox"/> Gift		<input type="checkbox"/> Returned goods			Insured value SDR			
<input type="checkbox"/> Documents		<input type="checkbox"/> Other			Total gross weight of the parcel(s)			
					Charges			
Comments (11): (e.g.: goods subject to quarantine, sanitary/phytosanitary inspection or other restrictions)								
<input type="checkbox"/> Licence (12) Licence number(s)		<input type="checkbox"/> Certificate (13) Certificate number(s)	<input type="checkbox"/> Invoice (14) Invoice number		Sender's instructions in case of non-delivery			
					<input type="checkbox"/> Return immediately to sender			
					<input type="checkbox"/> Return to sender after <input type="checkbox"/> Days			
					<input type="checkbox"/> Treat as abandoned			
					<input type="checkbox"/> Return/Redirect <input type="checkbox"/> by surface/S.A.L.			
					<input type="checkbox"/> by air			
I certify that the particulars given in this customs declaration are correct and that this item does not contain any dangerous article prohibited by legislation or by postal or customs regulations		Date and sender's signature (15)		Address				

Size 210 x 148 mm (basic format A5) with a tolerance of 5 mm

## Note:

- To take account of the needs of their service and/or the methods of production of this manifold set, designated operators may alter slightly the sizes of the boxes, the font for the titles and indication, provide the appropriate number of copies for each part, without however deviating too much from the directives contained in the model.
- It is strongly recommended that instructions helping the customer to complete this manifold set should be given on the back of the cover page or on the back (of the last page) of the manifold set itself.

CP 72 manifold set (back)

Instructions	
To clear your item, the Customs in the country of destination need to know exactly what the contents are. You must therefore complete your declaration fully and legibly; otherwise, delay and inconvenience may result for the addressee. A false or misleading declaration may lead to a fine or to seizure of the item.	
Your goods may be subject to restrictions. It is your responsibility to enquire into import and export regulations (prohibitions, restrictions such as quarantine, pharmaceutical restrictions, etc.) and to find out what documents, if any (commercial invoice, certificate of origin, health certificate, licence, authorization for goods subject to quarantine (plant, animal, food products, etc.) are required in the destination country.	
Commercial item means any goods exported/imported in the course of a business transaction, whether or not they are sold for money or exchanged.	
(1) Give a detailed description of each article in the item, e.g. "men's cotton shirts". General descriptions, e.g. "spare parts", "samples" or "food products" are not permitted.	
(2) Give the quantity of each article and the unit of measurement used.	
(3) and (4) Give the net weight of each article (in kg). Give the total weight of the item (in kg), including packaging, which corresponds to the weight used to calculate the postage.	
(5) and (6) Give the value of each article and the total, indicating the currency used (e.g. CHF for Swiss francs).	
(7) and (8) The HS tariff number (6-digit) must be based on the Harmonized Commodity Description and Coding System developed by the World Customs Organization. "Country of origin" means the country where the goods originated, e.g. were produced/manufactured or assembled. Senders of commercial items are advised to supply this information as it will assist Customs in processing the items.	
(9) Give the amount of postage paid to the Post for the item. Specify separately any other charges, e.g. insurance.	
(10) Tick the box or boxes specifying the category of item.	
(11) Provide details if the contents are subject to quarantine (plant, animal, food products, etc.) or other restrictions.	
(12), (13) and (14) If your item is accompanied by a licence or a certificate, tick the appropriate box and state the number. You should attach an invoice for all commercial items.	
(15) Your signature and the date confirm your liability for the item.	

## CP 78

VN number

VERIFICATION NOTE

CP 78

Date

	VN originator		VN destination	
Operators				
Office code and name				
Anomalies concern	<input type="checkbox"/> a dispatch	Dispatch/consignment identifier		Document date
	<input type="checkbox"/> a consignment <input type="checkbox"/> other			
Dispatching office of exchange			Office of exchange of destination	

## VN summary codes

- |  |  |  |
|--|--|--|
| <input type="checkbox"/> 10 – Missing document(s)                        | <input type="checkbox"/> 25 – Wrong receptacle type                                    | <input type="checkbox"/> 37 – Receptacle or item received unlabelled |
| <input type="checkbox"/> 11 – Declared wrong mail class or mail category | <input type="checkbox"/> 30 – Weight difference  | <input type="checkbox"/> 40 – Missing item (barcoded items)          |
| <input type="checkbox"/> 12 – Missing dispatch                           | <input type="checkbox"/> 31 – Received receptacle/item mislabelled to this location    | <input type="checkbox"/> 41 – Item in excess (barcoded items)        |
| <input type="checkbox"/> 21 – Missing receptacle                         | <input type="checkbox"/> 32 – Seized by Customs  | <input type="checkbox"/> 42 – Missing item – evidence of theft       |
| <input type="checkbox"/> 22 – Receptacle received in excess              | <input type="checkbox"/> 33 – Refused by Customs                                       | <input type="checkbox"/> 43 – Misssent item                          |
| <input type="checkbox"/> 23 – Misrouted receptacle                       | <input type="checkbox"/> 34 – Dangerous contents – not to be flown (will be destroyed) | <input type="checkbox"/> 44 – Wrong parcel rates                     |
| <input type="checkbox"/> 24 – Mislabelled receptacle by destination      | <input type="checkbox"/> 35 – Damaged item/receptacle                                  | <input type="checkbox"/> 99 – Other                                  |
|  | <input type="checkbox"/> 36 – Received with unreadable receptacle/ item barcode        |  |

## 1. Irregularities concerning documents

<input type="checkbox"/> Missing documents (please accept the substitute forms attached)					
<input type="checkbox"/> Delivery bill: CN ____ <input type="checkbox"/> Parcel bill: CP 87 <input type="checkbox"/> Special parcel bill: CP 88					
<input type="checkbox"/> Delivery bill: corrections of total weights			CP	Empty receptacles	Total
<input type="checkbox"/> According to the weights given on the labels (amended as necessary) <input type="checkbox"/> Resulting from an error in calculations					
<input type="checkbox"/> Parcel bill: irregularities concerning totals		Entered	Received	Observations	
<input type="checkbox"/> Number of parcels					
<input type="checkbox"/> Gross weight					
<input type="checkbox"/> Total insured value					
<input type="checkbox"/> Total number of receptacles					
<input type="checkbox"/> Total rates (SDR) for column 6					
<input type="checkbox"/> Total rates (SDR) for column 7					
<input type="checkbox"/> Total dues (SDR) for column 8					
<input type="checkbox"/> Total dues (SDR) for column 9					

## 2. Irregularities concerning receptacles

CP 78 (back)

Receptacle ID or serial number	Description

## 3. Parcel irregularities

Parcel-ID	Weight	Type of irregularity*	Observations	Parcel-ID	Weight	Type of irregularity <sup>1</sup>	Observations

\* Allowed values: 1 – missing; 2 – excess; 3 – damaged; 4 – retained; 9 – others.

## 4. Parcel errors

Parcel-ID	Origin	Country of destination	Weight		Credit/debt			Observations
			Entered	Observed	CP 87 column (6 to 9)	Entered	Observed	

## 5. Other irregularities


This form must be returned to

 Accepted Rejected Further information required For information only

Origin – Signature

Destination – Signature

\_\_\_\_\_

\_\_\_\_\_

## Force majeure rules and procedures for EMS Cooperative reports (v6.0)

### 1 Objective

The main objective of this document is to define the rules, conditions and procedures for cases of force majeure that may affect EMS operators' performance and reporting in EMS Cooperative reports.

These rules and procedures constitute a living document that may be updated according to changes in the technology and procedures used by the EMS Cooperative.

<i>Version</i>	<i>Description</i>
1.0	Initial version. Includes only rules for problems affecting delivery performance and tracking information
2.0	Use of forms added
3.0	Definition of the scope of force majeure implementation
4.0	Addition of customer service and form update
5.0	Update and addition to force majeure events (modification of 4 d and addition of 4 e)
6.0	Extension of end-to-end force majeure

### 2 Introduction

The following reports and programmes may be adjusted to take account of cases of force majeure:

- Quarterly and annual report cards.
- Monthly and quarterly Pay-for-performance reports.
- Monthly and quarterly customer service performance reports.
- Monthly performance reports.

### 3 Definition of force majeure

Force majeure is the term used to describe a situation or event which has caused an EMS operator to fail to perform its obligations owing to an impediment beyond its reasonable control.

### 4 Force majeure

Force majeure may comprise events such as:

- a war, whether declared or not, civil war, riots and revolutions, acts of piracy, acts of sabotage, acts of terrorism;
- b natural disasters, such as violent storms, cyclones, volcanic activity, earthquakes, tidal waves, floods, destruction by lightning;
- c explosions, fires, destruction of machines, of factories, and of any kind of installation;
- d external strikes that disrupt the service;
- e government-imposed measures (force majeure may be applied in such cases only when the EMS operator provides a copy of official government notification of such measures);
- f disruption of the POST\*Net and/or GXS postal networks:
  - The Postal Technology Centre (PTC) monitors the POST\*Net network.
  - International Post Corporation (IPC) monitors the GXS network.

- In case of problems with the networks, either the PTC or IPC must notify the EMS Unit within 24 hours of the technical problem occurring.
  - The EMS Unit will broadcast this information to all EMS operators.
  - When the network is back to normal, either the PTC or IPC must inform the EMS Unit within 24 hours of this occurring.
  - The EMS Unit will broadcast the information to all EMS operators.
  - For reporting purposes, the days in which the networks were disrupted will be excluded from the performance calculation.
- g disruption of the EMS customer service system:
- In case of problems with the system, the system provider must notify the EMS Unit within 24 hours of the technical problem occurring.
  - The EMS Unit will broadcast this information to all EMS operators.
  - When the system is back to normal, the system provider must inform the EMS Unit within 24 hours of this occurring.
  - The EMS Unit will broadcast this information to all EMS operators.
  - For reporting purposes, the days in which the networks were disrupted will be excluded from the performance calculations.

*Important notes*

- Force majeure may be implemented only for the legs for which an EMS Cooperative member has validated standards.
- The EMS Unit will confirm in each case whether force majeure will be applied, according to the rules.
- Any failure to inform the EMS Unit within the timeframe defined below will constitute grounds for non-application of force majeure and in such cases reports will not be rerun.

*Implementation of force majeure*

- EMS operators must notify the EMS Unit by e-mail or fax within 24 hours of the incident, using part 1 of the force majeure form (open case) and the associated annex.
- The EMS Unit will broadcast this information to all EMS operators.
- When the service has resumed, the EMS operator must inform the EMS Unit by e-mail or fax within 24 hours from the moment that the service went back to normal, using part 2 of the force majeure form (close case).
- The EMS Unit will broadcast this information to all EMS operators.
- For reporting purposes the days and/or area in which the EMS service was disrupted will be excluded from the performance calculation.
- In cases where the disruption occurs close to the end of the month and continues beyond the cut-off date for the reports, thereby affecting two or more months, the EMS operator must contact the EMS Unit by the fourth day of the following month to reconfirm that the problem is still in place and that actions are being taken to resolve the problem. The relevant reports will discount these days in the current month and in the following one.
- In order for the force majeure case to be implemented, all details requested in Annex 1 to the force majeure open case form must be supplied. To provide operators with the time needed to collect these details, operators may submit Annex 1 to the form up to two business days after the submission of the force majeure open case form (which itself must be submitted within 24 hours of the beginning of the incident leading to the force majeure case). If Annex 1 is incomplete or not provided, the force majeure case will not be implemented.

## **5 Appeal process**

In the event that the EMS Unit fails to confirm the application of an EMS Cooperative member's force majeure request as a result of different interpretations of the rules, the EMS Cooperative members may present the circumstances of the dispute to the EMS Cooperative Board. The Board will review and decide on the case and provide clarification on aspects of the rules above which are in dispute.