



UNIVERSAL
POSTAL
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THE PUBLIC POSTAL OPERATOR OF

PHILIPPINES

HAS ATTAINED QUALITY MANAGEMENT LEVEL

C

CERTIFICATION VALID UNTIL 2 OCTOBER 2019

THE DIRECTOR GENERAL
OF THE INTERNATIONAL BUREAU

BERNE, 3 OCTOBER 2016



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UPU quality management certification system

Methodology (2014)

Berne, 2014

STAN
22.4.2014
22.4.2014

I. Introduction

In resolution C 20/1999, the Beijing Congress instructed:

- the Council of Administration (CA), in conjunction with the Postal Operations Council (POC), to promote the definition of rules and methods permitting evaluation of the quality of service standards attained by all postal administrations;
- the International Bureau to prepare and apply a common quality evaluation system, comprising follow-up programmes conducted by the UPU and the restricted unions as well as periodic publication of the results obtained by each designated operator.

As part of implementing this resolution, the POC carried out a project entitled "Postal administration certification – International postal service quality management", designed to encourage designated operators (DOs) to improve quality of service.

Further, the Doha Congress, in resolution C 47/2012, recommended that designated operators use the ISO 9000 standard (fundamentals and vocabulary) within the framework of their quality policy, as a source of principles for quality management systems, and of definitions for terms relating to these systems.

Resolution C 47/2012 also instructed the POC, in conjunction with the International Bureau, to promote the incorporation of the ISO 9000 concepts and terminology into the activities of the Quality of Service Programme, particularly in those countries requiring greater development of their quality management system.

II. Definition and field of application

1 Quality management principles

To lead and operate an organization successfully, it is necessary to direct and control it in a systematic and transparent manner. Success can result from implementing and maintaining a management system that is designed to continually improve performance while addressing the needs of all interested parties. Managing an organization encompasses quality management, among other management disciplines.

ISO 9000 describes fundamentals of quality management systems and specifies the terminology for such systems. Eight identified quality management principles form the basis of the quality management system standards within the ISO 9000 family. These identified principles can be used by top management to lead an organization towards improved performance. The identified principles are:

- a Customer focus
- b Leadership
- c Involvement of people
- d Process approach
- e System approach to management
- f Continual improvement
- g Factual approach to decision making
- h Mutually beneficial supplier relationships

2 UPU certification system

The UPU certification system is intended to measure the degree of application in DOs' structures of quality management processes as well as their performance.

This certification applies to international service quality management (letter mail), and aims to provide a level playing field for assessing DOs, irrespective of the countries' level of development.

The certification system comprises five levels: entry level and four higher levels, C, B, A and A*.

At the higher levels of the evaluation process, certification may be given for three years. During the three years of the award there will be an annual validation to ensure that the appropriate standards are maintained. Requests for progression through the various levels are encouraged, and can be made on an annual basis within the certification procedure outlined in III.1.

III. Certification procedure

The certification procedure comprises the following five stages:

1 Application

Each year, the UPU International Bureau (IB) sends all DOs this methodology document and the two standard certification questionnaires. A DO wishing to be certified sends the IB a request for certification. This request is accompanied by Application Questionnaire 1, duly completed, and indicating the names of the six most important partner DOs in terms of import/export mail exchanges.

The IB analyzes the request. In order to be considered for certification, the DO must achieve the basic acceptable quality management level. If the information provided in Questionnaire 1 is unsatisfactory, the International Bureau may request further details.

2 Collection of data

In addition to the data collected specifically for this certification process, data from EDI exchanges for various international mail processes and other performance measurement techniques used by the UPU will be used for the certification.

2.1 Performance measurement

Performance measurement will include the following:

- EDI performance for different mail processes including those for track and trace of accountable items, exchange of mail and transfer of mail;
- GMS end-to-end data;
- Internet-based inquiry system (IBIS) data.

2.2 Collection of data from main partner operators

The IB asks six main partner operators to conduct an operational survey and submit the data collected.

If at least four of the six partner operators respond to the request by a specified date, the IB calculates the result. If there are fewer than four respondents, certification will be based on the consultant's evaluation only (see document POC QS PG 2007.1—Doc 4.Rev 1. Annex 4).

3 Questionnaire evaluation

If the basic certification level has been achieved, the IB will ask the applicant to submit Questionnaire 2 and pay the fee; a UPU consultant will then be sent to the country to verify the information provided in both questionnaires and check the operations on the spot.

4 Evaluation

In agreement with the DO concerned, the International Bureau sends an expert to conduct an on-site audit lasting five working days. This audit is used to determine the extent to which the quality management system requirements are fulfilled. The audit findings are designed to assess the effectiveness of the quality management system and identify opportunities for improvement.

During this mission, Application Questionnaire 1 and Verification Questionnaire 2 are checked by the expert and corrected as necessary following study of the information provided at all levels of the operator concerned. An audit of its international sorting centre(s)/office(s) of exchange is also carried out.

4.1 Consistency of evaluation by partner operators and the UPU consultant

The maximum number of points received in the light of partner operators' evaluation is 50. To be certified at a specific level, the consultant's evaluation and the partner operators' opinion must be consistent. Therefore, the consultant's evaluation is now weighted by the partner operators' evaluation, according to the following scenario:

Scenario

If the number of points given by the partner operators is lower than 25, the level of certification resulting from the consultant's evaluation is downgraded.

<i>Consultant's evaluation</i>	<i>Partner operators' evaluation (points)</i>	<i>Weighting</i>	<i>UPU certification (result)</i>
A*	≥25	⇒	A*
	<25	⇓	A
A	≥25	⇒	A
	<25	⇓	B
B	≥25	⇒	B
	<25	⇓	C
C	≥25	⇒	C
	<25	⇓	no certification

5 Data received from partner operators

5.1 Survey volume per operator

At least:

- six receptacles with priority letter mail;
- twenty bundles of priority letter mail (or six trays);
- one hundred priority letters.

6 Number of operators participating in the survey

At least four out of six invited.

7 Limit data values and attributed points

	<i>Minimum items examined (4–6 operators)</i>	<i>Percentage limit</i>	<i>Points</i>
CN 31 legibly and correctly completed indicating:	12–18		
– number of receptacles		100%	5
– weight		100%	5
– summary of items entered in the mail		100%	5
CN 35 legibly and correctly completed indicating:	36–54		
– date and place of dispatch		100%	3
– flight No.		100%	3
– weight		100%	3
– barcodes according to UPU Regulations		>80%	3
Bundle/tray labels correctly completed:			
– priority letter mail	80–120 bundles (24–36 trays)	>95%	5
Percentage of missorting:			
– priority letter mail bundles/trays	80–120 bundles (24–36 trays)	<5%	4
– priority letters (individual items)	400–600	<2%	4
Percentage of priority letter mail items arriving no later than J+3 ¹ after cancelling (weekends excluded)	400	>60% ²	10
Total points (maximum)			50

8 Awarding of certificates

On the basis of the Certification Protocol (Verification Questionnaire 2 and Application Questionnaire 1) signed by the DO and the UPU expert, evaluation of EDI exchanges and other UPU performance measurement systems such as GMS end-to-end, IBIS and evaluation by the main postal partners, the Letter Post Quality Measurement and Improvement Group Steering Committee decides to award certification for the level attained.

9 Official certification

The International Bureau invites the DO receiving certification to attend an official certification award ceremony attended by senior staff from the DO and the UPU. This ceremony will be held during the annual session of the POC or CA or on any other suitable occasion. The certificate will be presented by the POC Secretary General. If the award ceremony cannot be held, the certificate is presented to the DO by the UPU regional project coordinator or by the local UNDP office.

All other DOs will be informed of the certification results on the UPU website.

¹ J+2 would probably be too strict a requirement for most developing countries. J+3 allows compliance with the UPU end-to-end world standard.

² In accordance with the planned global achievement of the world quality standard (24th Congress).

IV. Certification languages

To ensure a standard level of assessment by consultants, only French or English (as UPU IB working languages) should be used for the certification documentation and by the consultant during the on-site audit (the choice between these two languages lies with the operator). For questionnaires and correspondence on this topic between DOs and the International Bureau, the other UPU languages (Spanish, Portuguese, Arabic and Russian) may be used as usual.

V. Postal operator's obligations

a Before the certification process is launched

The DO wishing to receive certification must cooperate actively with the UPU as part of its quality improvement programmes, and should in particular:

- prepare delivery standards (international service) for surface and priority (airmail) letter-post items, and have them published by the UPU; it should ensure that these standards aim to equal the world-wide quality standard;
- prepare a minimum of five end-to-end standards for international surface and priority (airmail) letter-post items and have them published by the UPU; these standards should be for routes that are, or will be, subject to the GMS end-to-end exercise organized by the UPU;
- as a minimum, take part in at least one international quality test organized by the UPU or a restricted union, or bilaterally with another DO, in the year during which certification is requested and in the year prior to it.

b During the analysis of the first questionnaire

- appoint a national certification coordinator;
- answer any additional questions from the International Bureau within two weeks;
- indicate the names of the six most important partner operators.

c Before the consultant arrives for the on-site evaluation

- prepare the documentation in substantiation of the replies to both questionnaires;
- if the documentation is submitted in a language other than French or English, provide brief summaries of this documentation in one of these languages;
- choose the consultant's working language (English or French), appoint a counterpart with a good command of the chosen language, and notify the International Bureau of his/her name and address;
- pay the International Bureau an amount which covers the consultant's average mission expenses (see section VIII); if the consultant's mission does not produce the desired results owing to a lack of information or inadequate cooperation from the operator, the same amount must be paid if the operator requests a second mission;
- book suitable hotel accommodation for the consultant, in agreement with the International Bureau.

d During the consultant's mission

- meet the consultant on arrival and provide the local transport needed to accomplish his/her mission;
- allow access to all postal establishments, in compliance with the consultant's request;
- provide him/her with the necessary equipment for his/her mission (office, incidental secretariat, supplies, photocopies, Internet access, etc.).

e After audit

As necessary, pay the mission expenses of its representative at the official certification award ceremony.

VI. International Bureau obligations

The International Bureau will comply with the following procedure and meet the given deadlines:

- analyze and evaluate replies to the Application Questionnaire and the appropriate documentation, and as necessary, request clarification if the information provided is considered inadequate: four weeks after receipt of the questionnaire;
- find and recruit a consultant: four weeks after analysis and audit of both the Application Questionnaire and Verification Questionnaire;
- suggest the consultant and the mission dates to the DO requesting certification: one week after the consultant's acceptance of the mission;
- provide administrative support for the consultant's mission;
- collect from the six most important partner postal operators data on the quality of service of mail sent by the DO applying for certification;
- calculate the results of the data collected if at least four of the six partner operators have replied to the IB's letter;
- analyze the mission report: four weeks after receiving it;
- present the certification findings to the next Letter Post Quality Measurement and Improvement Group Steering Committee meeting for a decision;
- prepare the certification diploma;
- organize official presentation of the diploma.

VII. Certification levels

The requirements for each certification level are as follows:

1 Entry-level or basic certification

The entry-level conditions focus on quality management structures at postal operator level. These structures make it possible to manage quality and to direct operations.

The Application Questionnaire provides an overview of the situation at the headquarters and operating units of the body involved.

For the DO to progress to the next certification level, the following questions must be answered in the affirmative, and the DO must be willing to send the International Bureau proof that its replies are correct:

- questions to be answered in full: 2.2, 2.3, 2.6, 3.2, 3.7, 5.2 and 5.5;
- questions that can be answered partially: 1.1, 1.2, 1.3, 1.4, 3.1, 3.3, 3.4, 3.5, 3.6, 3.8, 5.1, 6.1, 6.2 and 6.3.

A DO may be considered as having reached entry level if it has given no more than three negative answers to questions in the Application Questionnaire that require an affirmative answer.

The replies to all the questions in the questionnaire must achieve a score of at least 80% (800 points) in order to progress to the next stage of the certification process.

Furthermore, the result of the general evaluation by the partner postal operators must be a score of at least 25 points.

2 Level C

The entry-level conditions must be met to qualify for level-C consideration.

Level C concerns general quality of service management issues.

To attain this level, the following questions in the Verification Questionnaire must be answered in the affirmative:

- questions to be answered in full: 1.1, 1.3, 1.4, 1.5 and 5.1.

An on-the-spot check must confirm the information provided in the Application Questionnaire justifying entry-level certification.

For both questionnaires taken together, a score of at least 80% (1,600 points) is required to achieve level C.

In addition, the result of the general evaluation by the partner postal operators must be a score of at least 25 points.

3 Level B

The level-C conditions must be met to qualify for the level-B audit.

The audit for level-B certification focuses on sorting centre/exchange office operations, as well as on relations between these establishments, other partners (airlines, Customs, security authorities) and the main partner postal operators.

All the following questions from the Verification Questionnaire must be answered in the affirmative to qualify for level-B certification:

- questions to be answered in full: 2.1, 2.2, 2.3, 3.2, 3.3, 3.5, 4.5 and 4.7.

For both questionnaires taken together, a minimum score of 85% (1,700 points) is essential for level-B certification.

In addition, the result of the general evaluation by the partner postal operators must be a score of at least 25 points.

4 Level A

All the requirements for the lower levels must be met to qualify for the level-A audit. The relevant fields for achieving level-A certification are provisions concerning customers' inquiries, in particular:

- availability of information to customers (tariffs, services);
- websites;
- online track and trace;
- use of IBIS.

Access to level A depends on affirmative replies to the following list of questions in the Verification Questionnaire:

- questions to be answered in full: 4.8, 4.11, 5.3 and 5.4.
- questions that can be answered partially: 4.9, 4.13, 4.14, 4.15, 4.17 and 4.20.

An overall score of at least 90% (1,800 points) for both questionnaires is required for level A.

In addition, the result of the general evaluation by the partner postal operators must be a score of at least 25 points.

5 Level A*

All the previous requirements must be met to qualify for level A*. Performance must meet at least the UPU target and the national delivery target for the year prior to certification and the year of certification.

Furthermore, for all optional services relating to the exchange of tracking information for registered, insured or express items, the DO must operate a track and trace system and provide track and trace information with

respect to the outward and inward letter-post items concerned, and ensure data exchange with all participating partner DOs for events C, D, H/I, A, B, E, F, G, J and K.

In addition, the DO must be sending dispatch- and receptacle-level messaging (PREDES and CARDIT) to its partners.

Access to level A* depends on affirmative replies to the following list of questions in the Verification Questionnaire:

- questions to be answered in full: 3.7, 4.13, 4.14, 4.15, 4.16, 4.17 and 4.20.

An overall score of at least 95% (1,900 points) for both questionnaires is required for the A* level.

In addition, the result of the general evaluation by the partner postal operators must be a score of at least 25 points.

VIII. Financing of certification

a UPU

Work on analyzing and auditing certification requests will be financed out of the UPU budget.

The Union will also finance the organization and implementation of consultants' missions, the average costs of which are borne by the DOs.

b Designated operators

The DOs will finance work on preparing replies to the questionnaires, including the necessary documentation and any translations.

They will also contribute to consultants' mission costs. The operators concerned will finance the travel and living expenses of their representatives at the official certification award ceremony.

c Operators' contribution to consultants' missions

The contribution is set at 7,000 CHF per mission.

To encourage participation by the DOs of the least developed countries, these countries' mission contribution rate is set at 3,000 CHF.

Details of the account to which this contribution should be paid:

CREDIT SUISSE
Account number: 0207-143 996 61-10
SWIFT code: CRES CH ZZ 30R
Clearing: 507
IBAN: CH53 0050 7014 3996 61010