



Organización de Aviación Civil Internacional

GRUPO REGIONAL DE PLANIFICACIÓN Y EJECUCIÓN CAR/SAM (GREPECAS)

**Quinta Reunión del Comité de la Seguridad de la Aviación del GREPECAS (AVSEC/COMM/5)**

Buenos Aires, Argentina, 11 al 13 de mayo de 2006

AVSEC/COMM/5-NE/10

31/03/06

#### Cuestión 4

del Orden del Día

**Desarrollo del programa de trabajo del Comité AVSEC/COMM**

**4.2 Identificación y análisis de las carencias en la implantación de las disposiciones AVSEC de la OACI en las Regiones CAR/SAM y desarrollo de medidas para facilitar su resolución**

**4.2.2 Modelo de Programa para la Seguridad de la Carga**

### **SISTEMA DE GESTIÓN PARA LA SEGURIDAD DE LA CARGA**

(Nota presentada por la Asociación Internacional de Transporte Aéreo [IATA])

#### **RESUMEN**

El movimiento seguro y eficiente de la carga aérea es crítico para las funciones adecuadas de la economía moderna. Para facilitar el movimiento de la carga aérea, es crítico que la seguridad y las medidas de los procesos de distribución estén armonizadas de manera mundial. Esta nota proporciona un perfil de diversos asuntos que la IATA piensa que deben ser tomados en cuenta durante el desarrollo e implantación de las medidas de seguridad de la carga y las iniciativas de seguridad para los procesos de distribución.

#### **Referencias:**

- Sistemas para la Gestión de la Seguridad para Explotadores de Transporte Aéreo (SEMS) – Apéndice para la Seguridad de la Carga (septiembre de 2005) (**Apéndice 1**)

## **1. Introducción**

1.1 La industria de carga aérea opera dentro de un sistema sumamente complejo de requerimientos operacionales y normativos, con diversas entidades que forman el proceso típico de custodias de envíos, cada una con sus propias responsabilidades de seguridad, normativas y legales.

1.2 Incluso el componente de la industria de los transportistas aéreos tiene a su vez diversos componentes. Algunos transportistas aéreos operan tanto aeronaves de pasajeros como aeronaves de carga únicamente, otros operan aeronaves de pasajeros únicamente las cuales transportan carga y otros operan únicamente aeronaves de carga. Las medidas de seguridad que son aplicables a esta diversidad de componentes pueden ser sumamente diferentes basándose en un escenario de riesgos que sean aplicables a cada uno.

1.3 La carga aérea es un elemento crítico en la economía moderna mundial, alimentando los sistemas de gestión de inventario “justo a tiempo” (JIT) que se utilizan ampliamente en la actualidad por la industria alrededor del mundo.

1.4 A pesar de que sólo el 5% del volumen de carga total se transporta por medios aéreos, casi un 40% del valor total de la carga es transportado por aire. Estas cifras indican que los artículos de mayor valor son transportados por aire y que esto es corroborado como cargas típicas transportadas por aire. Casi todos son artículos que deben entregarse en tiempo crítico y por lo tanto, la velocidad inherente al transporte aéreo debe mantenerse cuando se implanta seguridad u otras medidas normativas relacionadas.

1.5 Se pronostica un crecimiento en los volúmenes de carga aérea en un 5 a 7% como promedio mundial, en un futuro previsto. En algunas regiones, esta cifra excede el crecimiento por un 15-20%. Estas tasas de crecimiento están excedidas en aquellos pronósticos de volúmenes de pasajeros y deben tomarse en cuenta cuando se implanta seguridad u otras medidas normativas relacionadas.

1.6 La industria del transporte aéreo se encuentra enfrentando una gran cantidad de normas de seguridad para la carga aérea en los ámbitos nacionales de todo el mundo. Estas medidas de seguridad están frecuentemente basadas en las normas y métodos recomendados internacionales (SARPS) como los que se encuentran en el Anexo 17 – Seguridad, de la OACI y las normas de la Unión Europea/ Conferencia Europea de Aviación Civil (UE/CEAC), etc., y también incorporan requerimientos adicionales en el ámbito nacional.

1.7 Existe un nivel considerable de discordia en las medidas de seguridad aplicadas a la carga aérea por parte de diversos Estados en el mundo. Esta discordia se suma a un ambiente de operaciones ya de por si complejo e incrementa sustancialmente el costo del comercio en la industria de la carga aérea. Un poco del costo adicional es pasado al cliente – pero por ningún motivo se le pasa todo el costo.

1.8 Por lo tanto, tiene mucho sentido por el bien de la eficiencia, no sólo en la industria de la carga, sino también en la economía mundial, el minimizar la discordia en la seguridad y medidas relacionadas en todo el mundo.

## **2. Principios de orientación necesarios**

2.1 Los programas de seguridad para la carga aérea deben ser efectivos, mutuamente aceptables y sin ambigüedades; esto significa que todas las partes interesadas deben ser incluidas en el desarrollo de dichas medidas.

2.2 La IATA está consciente que es sumamente necesario retener la flexibilidad para tomar en cuenta cuestiones regionales o nacionales. Sin embargo, las normas internacionales deben formar la base de estos programas nacionales y regionales y dichas normas internacionales deben ser lo suficientemente robustas para permitir la armonización y dar reconocimiento mutuo de las medidas por parte de otros Estados para evitar normas extra-territoriales. Es esencial contar con las aportaciones de las partes interesadas para el desarrollo de dichas normas y programas nacionales.

2.3 Como ya se ha mencionado, existe en la actualidad una discordia importante en las medidas implantadas por diversos Estados que van desde no tener un programa establecido a tener programas que implantan medidas que van más allá de lo que se necesita para tratar con los riesgos/amenazas. La inspección al 100 por ciento de toda la carga aérea, ya sea por medios técnicos o físicos, no es ni operacional ni técnicamente factible en la actualidad. Como tal, la IATA apoya por completo la implantación de “agentes acreditados”, también conocidos como sistemas de “expedidores conocidos” bajo el Anexo 17 – Seguridad de la OACI.

2.4 La implantación de las medidas de seguridad de la carga aérea en cada Estado, deben estar basadas en las amenazas con el fin de asegurar que las obligaciones en el sistema de la carga se mantengan al mínimo y que a la vez mantengan un nivel adecuado de seguridad. Los recursos disponibles para ser aplicados a la seguridad de la carga aérea están muy limitados y como tal, es crítico que las técnicas de gestión de riesgos sean aplicadas para que los recursos escasos sean aplicados donde existe mayor riesgo. La IATA está formulando en la actualidad una matriz para la industria de Gestión de Riesgos de la Seguridad para la Carga Aérea, la cual esperamos que proporcione los cimientos para la armonización en los diversos niveles de riesgo/amenaza.

2.5 La IATA también apoya los esfuerzos para asegurar los procesos de distribución de la carga aérea; sin embargo, una vez más, dichos esfuerzos deben estar armonizados basándose en las normas internacionales acordadas. Es sumamente importante que la implantación de las medidas conocidas como “proceso de distribución de la seguridad” en el ámbito nacional, frecuentemente asumidas por organizaciones de Aduanas, estén armonizadas por completo con las medidas de seguridad del transporte, que son frecuentemente asumidas por las autoridades del transporte.

2.6 Es también crítico que la seguridad de la carga aérea y las medidas de los procesos de distribución de la seguridad implantadas por los Estados, sean no discriminatorias contra los componentes de la industria, por ejemplo, las medidas deben ser de una naturaleza que no impongan una obligación indebida en los consignadores, intermediarios o transportistas aéreos pequeños o medianos. Dichas medidas deberán estar basadas en las amenazas y en algunos casos deberán adaptarse para asegurar un nivel adecuado de seguridad sin imponer obligaciones indebidas en cualquier componente de la industria.

2.7 Con el fin de proporcionar orientación a sus Miembros y autoridades normativas, la IATA ha desarrollado un Apéndice para la Seguridad de la Carga dentro de su plantilla de los Sistemas para la Gestión de la Seguridad para Explotadores de Transporte Aéreo (SEMS) (Apéndice 1 – Inglés únicamente). El documento proporciona material de orientación para las medidas de seguridad del proceso completo. Toma en cuenta la naturaleza única del ambiente así como los diversos tipos de operaciones que tratan con la seguridad de la carga.

### **3. Acciones por parte del Comité**

3.1 Se invita al Comité a tomar nota del Apéndice para la Seguridad de la Carga dentro de su plantilla de los Sistemas para la Gestión de la Seguridad para Explotadores de Transporte Aéreo (SEMS), el cual puede ser utilizado por los Estados Contratantes en el desarrollo de un programa nacional de seguridad de la carga aérea que esté en línea con las mejores prácticas de la industria.

-----

**APÉNDICE – (Inglés únicamente)**

**SECURITY MANAGEMENT SYSTEMS (SEMS) FOR AIR TRANSPORT OPERATORS  
CARGO SECURITY ADDENDUM**

Table of Contents

- 1. General Considerations**
- 2. Air Cargo Threat Assessment**
- 3. Supply Chain Security**
- 4. Ground Security**
  - 4.1 Storage of Cargo
  - 4.2 Ground Transport of Cargo
  - 4.3 Loading and Handling of Cargo
- 5. Security Controls for Cargo to Be Transported on a Passenger Aircraft**
  - 5.1 Acceptance Procedures
  - 5.2 Known vs. Unknown Cargo
  - 5.3 Regulated Agent
  - 5.4 Known Shipper/Known Consignor
  - 5.5 Consignment Security Declaration
  - 5.6 Screening
  - 5.7 Exemption to Screening
- 6. Special Categories of Cargo**
  - 6.1 High Value Cargo
    - 6.1.1 Acceptance, Storage and Delivery
    - 6.1.2 Security Stowage Devices and Preparation for Loading
    - 6.1.3 Aircraft Loading and Stowage
    - 6.1.4 Transit
    - 6.1.5 Unloading
    - 6.1.6 Irregularities
    - 6.1.7 Airport Risk Assessment
    - 6.1.8 Contingency Plan
  - 6.2 Diplomatic Mail
  - 6.3 Unaccompanied Baggage
  - 6.4 Dangerous Goods / Hazardous Materials
  - 6.5 Live Animals
  - 6.6 Treatment of Suspect Cargo
- 7. Mail**
  - 7.1 Regulated Postal Authority / Administration
  - 7.2 Acceptance Procedures

- 7.3 Screening
- 7.4 Treatment of Suspect Mail

**Appendix 1 – IATA Cargo Services Conference Recommended Practice 1630**

**Appendix 2 – Air Carrier/Regulated Agent Cargo Security Programme Template (ICAO Model)**

## **Security Management Systems (SEMS) for Air Transport Operators Cargo Security Addendum**

### **1. General Considerations**

Air cargo operates in a very unique environment and in order to ensure its security and the security of the people and infrastructure involved, particular security requirements must be met. In order to be able to expand significantly on recommended security procedures and measures necessary to meet these requirements, an addendum covering the scope of air cargo, from acceptance to loading, has been drafted. The present document contains recognised best practices based on, regulatory requirements, industry positions and IATA Cargo Services Conference Recommended Practice 1630 (Appendix 1).

This document is to be used jointly with the main Security Management Systems (SEMS) for Air Transport Operators document. The addendum only covers cargo operations. For all other security and management components, please refer to the main SEMS document. The addendum has been separated into 1) all-cargo aircraft operations and 2) passenger aircraft operations as the threat is quite different.

In general, the material provided here should be used as a guideline only and flexibility must be ensured to allow for a wide variety of operational and business models.

The terms of reference are the same as all other SEMS publication and can be found in Chapter 1 of Security Management Systems (SEMS) for Air Transport Operators.

### **2. Air Cargo Threat Assessment**

There exist two main threats to the air cargo industry:

- The introduction of an Improvised Explosive Device (IED) in a cargo consignment that will be loaded on board a passenger aircraft
- The commandeering of an all-cargo aircraft in order to use it as a weapon of mass destruction

The possibilities of introduction of IED in a cargo consignments is assumed to be a lower threat than it would be the case for a piece of hold baggage due to a number of factors including the following:

- It is very difficult to target a specific flight or air carrier. In some cases, cargo accepted by an air carrier may be transported by ground transportation for all or part of the journey
- While air cargo is generally transported soon after acceptance because of time-sensitivity, it is still difficult to predict the exact period of transit for a specific consignment
- Administrative security controls such as the use of regulated agents and known shippers/consignors provides an added layer of security that provides additional scrutiny
- To manage the complex delivery process and permit quick and efficient clearance through Customs and other regulatory formalities requires that many cargo operators (dependent on their business model) have a substantial track and trace capability as well as management of a full “paper trail” documenting the origin, destination, contents and location of shipments throughout the entire process. These operators must also collect and maintain substantial information on their customers (shippers and regulated agents) in large proprietary databases.
- Handling of cargo involves consignments changing hands on numerous occasions which provide multiple opportunities to discover IED. Staff are trained to look for discrepancies and signs of tampering

- Targeted screening based on threat/risk adds an extra layer of security on cargo consignments
- The use of staff who have been subjected to background checks and who have to go through security controls before entering areas where known cargo is located as well as monitoring via the use CCTV and access control measures make it difficult to introduce an IED once a consignment becomes known cargo
- All-cargo operators fully comply with appropriate security measures/controls for passenger aircraft when such shipments are to be interlined with passenger air carriers or where it is not known in advance whether the shipment will be transported on a passenger or all-cargo aircraft

The possibility of an all-cargo aircraft being commandeered in order to be used as a weapon of mass destruction is another potential threat. It is believed that the possibilities of such an incident occurring is less likely than on a passenger aircraft. Among the reasons to be considered:

- Very few passengers board all-cargo aircraft. Normally, those on board are authorised crew members who have undergone rigorous background checks in order to be granted a crew certificate and security restricted area access permit
- When passengers are allowed, normally these are employees of the air carrier, contractors or known shippers/consignors who have undergone security controls. Further to that any passenger boarding an all cargo aircraft will be screened prior to boarding
- In order to prevent intruders from hiding in consignments and being loaded on an aircraft, security controls are applied to all cargo consignments and they are protected from interference from that point up to they are loaded on the aircraft

The Cargo security measures above represent what is performed under normal threat level. Whenever, the threat level increases, either for a specific flight or consignment or generally, appropriate additional security measures should be implemented.

It is important to remain vigilant regarding air cargo security in order to prevent cargo from becoming an avenue for acts of unlawful interference. Air cargo can be seen as attractive target because:

- It is a fairly complex industry that is perpetually growing
- More and more staff are required as the industry grows, which increases the pool of knowledge regarding cargo operations and its possible weaknesses
- More and more stringent security measures are being applied in more traditional avenues which could make cargo more attractive, if security measures do not continue to adapt to the threat level and the operating environment

### 3. Supply Chain Security

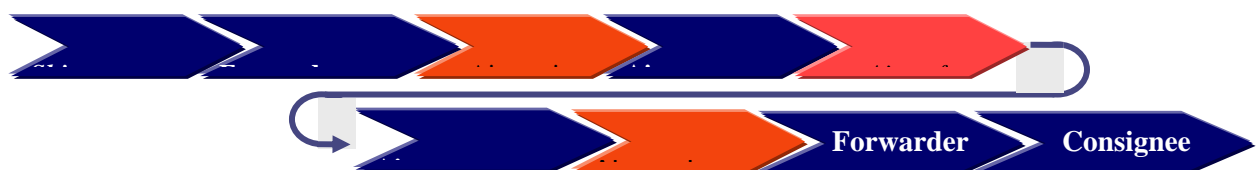
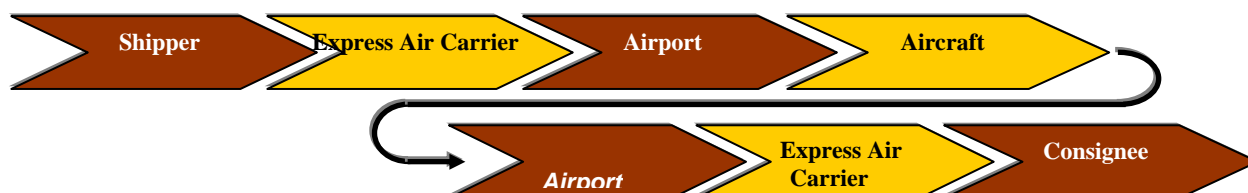


Figure 1. Air cargo supply chain for non-express shipments



**Figure 2. Air cargo supply chain for express shipments**

The air carrier is only one component of the system that will bring the consignment from the shipper to the consignee. It is then important that in order to ensure that each consignment is properly secured, that security controls be implemented throughout the supply chain.

Therefore, security controls need to be in place to ensure similar and harmonised security in a manner that does not impede the flow of cargo and does not reduce or eliminate the inherent speed of air cargo. Known shippers/consignors, regulated agents and air carriers are the three key parties for a supply chain security system. Advantages of having a supply chain security model include:

- Shared security programme and measures
- Shared security responsibilities
- Seamless transit of consignment from one entity to another
- Faster transit as there is no need to perform security controls at every point of transfer

In order to ensure that security is not compromised when a supply chain security programme is established, it is important that the programme includes at least the following:

- A common validated security programme which includes a training programme for all staff involved with handling of known cargo in line with the ICAO model (Appendix 2)
- Accreditation programme for known shippers/consignors with thorough entry requirements
- Regularly updated database of all known shippers/consignors and regulated agent that is shared by all parties involved in the supply chain security programme
- Regular review of supply chain accreditation to ensure security controls are continually performed as prescribed

Known shippers/consignors, regulated agents and air carriers as appropriate depending on the nature of the supply chain are the minimum required in an air cargo supply chain security system. Ideally, other freight methods such as trucking<sup>1</sup>, maritime and rail cargo could be integrated. However, until security controls of these methods of transport can be harmonised at a level equal to or superior to the air cargo supply chain, when consignments are transferred from one of these modes of transport to the air cargo they must be treated as unknown and be subjected to the appropriate security controls.

#### **4. Ground Security**

<sup>1</sup> Trucking in this context is defined as long haul trucking operations. Truck delivery of consignment between entities in the supply chain (known shippers/consignors, regulated agents, air carriers) should be performed by the entity or a trusted contractor that can ensure that consignments are not subjected to unlawful interference during transit). Further to that, "air-trucking" is not included in the present definition of trucking.



Securing ground operations for air cargo presents similar challenges than passenger operations. As such, ground security procedures should be similar than those for passenger operations. Procedures should be put in place to protect cargo terminal buildings and air cargo infrastructure. These should include measures for:

- Perimeter security
- Airside Security
  - Protection of aircraft
  - Personnel identification
  - Pre-flight aircraft searches and checks

Please refer to Section 6.1 of the Security Management Systems (SEMS) for Air Transport Operators template for further information.

Whilst protection of the air cargo infrastructure is similar to passenger operations, additional security controls need to be implemented on the ground to protect the cargo from the time it is accepted in the cargo terminal to the time it is loaded on board the aircraft.

#### **4.1 Storage of Cargo**

In order to ensure secure storage of cargo, some security measures need to be established in cargo terminals and buildings. These include the following:

- All cargo receiving and dispatching doors should have the capability of being closed and locked when not in used. If doorways need to be kept clear for ventilation purposes, metal screen doors that can be locked can be used as an alternative
- Cargo receiving and dispatching doors, if possible should be equipped with intruder detection devices or other means of protection
- Doors intended for use by vehicle should not be used by any person to enter or exit buildings as this may provide an avenue to circumvent security controls
- Personnel doors should be designed and located to ensure that entry and exit of personnel can be controlled. These doors should also have the capability of being locked and secured when not in use
- Signs indicating that all dangerous devices and weapons contained in a consignment must be declared should be posted at the cargo acceptance point to deter inadvertent or innocent of an item such as dangerous goods, weapons, etc.

Consignments that have been secured (through security controls) or that are in the process of being made secure must be held in secure premises until they are loaded on board the aircraft. If a secure consignment is held momentarily in a non-secure location<sup>2</sup>, it will have to be subjected to screening before it can be loaded on a passenger aircraft.

Known cargo must be held in cages, compartments, rooms or buildings that are secured against unauthorized access or made tamper-evident using seals or locks or otherwise protected using intruder detection systems, etc. for periods when consignments are left unattended. Access points must be made tamper-evident using seals, access cards or biometrics.

---

<sup>2</sup> Area accessible to persons who have not undergone appropriate vetting and security controls

- A7 -

For consignments that allow stand-alone security, they can be stored outside buildings or cages provided that the consignment itself is equipped with tamper evident seals or locks and remains under supervision (by guards, CCTV or intruder detection system) for the entire storage period. If tamper evident seals or locks are used, prior to loading the integrity of the seal or locks should be verified.

#### **4.2 Ground Transportation of Cargo**

Air cargo should only be transported by:

- A known shipper/consignor's, a regulated agent's or an air carrier's own transport; **or**
- Transporters whose operating procedures and security measures have been approved by the regulated agent or the air carrier

The driver should be required to present a valid security permit or company identity document from the cargo dispatcher, before any cargo is loaded. The credentials should adhere to requirements similar to those of a restricted area pass.

Immediately prior to loading the cargo compartment of the vehicle should be searched and the integrity of the compartment should be maintained until loading is complete.

Unless consignments have been individually secured or affixed with tamper evident seals, the cargo compartment should be secured or made tamper-evident using seals or locks installed immediately following completion of loading. Curtain-sided vehicle should be secured with cords.

The driver should not leave the vehicle unattended or make unscheduled stops (except to present documents or in case of emergency). When returning to the vehicle, prior to continuing on his journey, the driver should verify the integrity of the seals and/or locks.

Before a cargo consignment is transported to either the aircraft or its next storage point, it should be checked by an appointed, trained staff member to ensure that it was not tampered with in any obvious way.

Within a cargo terminal, there would normally be two types of vehicles allowed to operate on the premises: Facility work vehicles, mainly small trucks and cargo handling and loading vehicles and ground service equipment (GSE) and cargo delivery and pick-up vehicles.

Facility vehicles will usually remain in a controlled area however, if it becomes necessary for them to leave the premises, the exit should be recorded. When they return, they should be checked.

Cargo delivery and pick-up vehicles should be checked in and out with records maintained to ensure that they are the authorized vehicle for particular regulated agents or shippers/consignors and are authorized to carry the particular shipment(s). The identity of the driver should also be verified, to ensure that they represent the regulated agent or shipper/consignor.

Cargo carrier vehicles should be inspected upon arrival and/or departure of airside by physical or electronic means.

**Before a cargo consignment is transported to either the aircraft or its next storage point, it should be checked by an appointed, trained staff member to ensure that it has not been interfered with in any obvious way.**

#### **4.3 Loading and Handling of Cargo**

Despite the fact that the transit of cargo consignments from the storage facility and/or cargo terminal will normally take place in a security restricted area, it is still important to ensure that the integrity of the shipment is maintained until the aircraft is ready for take-off.

In addition to normal procedures to protect parked aircraft (Section 6.1.2.1 of the Security Management Systems for Air Transport Operators document), it is also important that during the loading of the aircraft all loading and handling personnel should:

- Have authorised security restricted area access
- Visibly wear their security restricted area permit at all times
- Prior to loading, search the cargo hold to ensure that there are no suspicious items or persons
- Ensure that, as they load consignments on the aircraft, there is no evidence of tampering
- Ensure that no unauthorised personnel has or gains access to cargo consignments on the apron or inside the aircraft
- Challenge anyone not in possession of a visible valid security restricted area permit in the vicinity of an aircraft or cargo consignments

### **5. Security Controls for Cargo to Be Transported on a Passenger Aircraft**

#### **5.1 Acceptance Procedures**

Air carrier should only accept cargo from regulated agents under the following conditions:

- The shipment is delivered by an established employee of a regulated agent
- If the consignor delivers or arranges for delivery of the cargo, the employee receiving the cargo verifies that it was delivered by the person nominated on the Consignment Security Declaration
- There is no sign of tampering with the shipment
- The regulated agent has provided a Consignment Security Declaration that the cargo has been cleared in accordance with the Regulated Agent Security Programme; **or**
- Another regulated agent has provided a notice that the cargo has been partially cleared<sup>3</sup> in accordance with the Regulated Agent Security Programme. Partially cleared cargo may be accepted from other regulated agents or forwarded to air carriers for security clearance. Details of the partial clearance should accompany the air waybill.

---

<sup>3</sup> Partially cleared cargo shall be deemed to mean cargo not able to be fully cleared by a regulated agent due to size and shape, heavy volume or equipment breakdown. Another regulated agent or air carrier capable of screening the consignment may do so to ensure that the consignment is fully screened.

- A9 -

Once the cargo has been accepted, the air carrier should:

- Determine the level, if any, of security controls to be applied to any given consignment
- Carry out appropriate security controls to the required level
- Protect the consignment from unlawful interference while it is in the air carrier's custody, particularly after it has been made "known cargo"
- Ensure that all consignments have been secured to an appropriate level before being placed in the aircraft
- Ensure that all consignments placed on board the aircraft are recorded on the aircraft

## **5.2 Known vs. Unknown Cargo**

Known cargo is best defined as being:

- A consignment of air cargo accepted from a regulated agent directly from a known shipper/consignor to which appropriate security controls have been applied, **or**
- A consignment of unknown cargo that has subsequently been subjected to appropriate security controls.

Therefore, a consignment can only be classified as known cargo when it is originating from an approved source or through active screening or searching.

Consignments received from non-regulated agents must therefore:

- Be treated as unknown cargo, and
- Have appropriate security controls applied such as, screening, searching or other approved methods, prior to being accepted for transport by air.

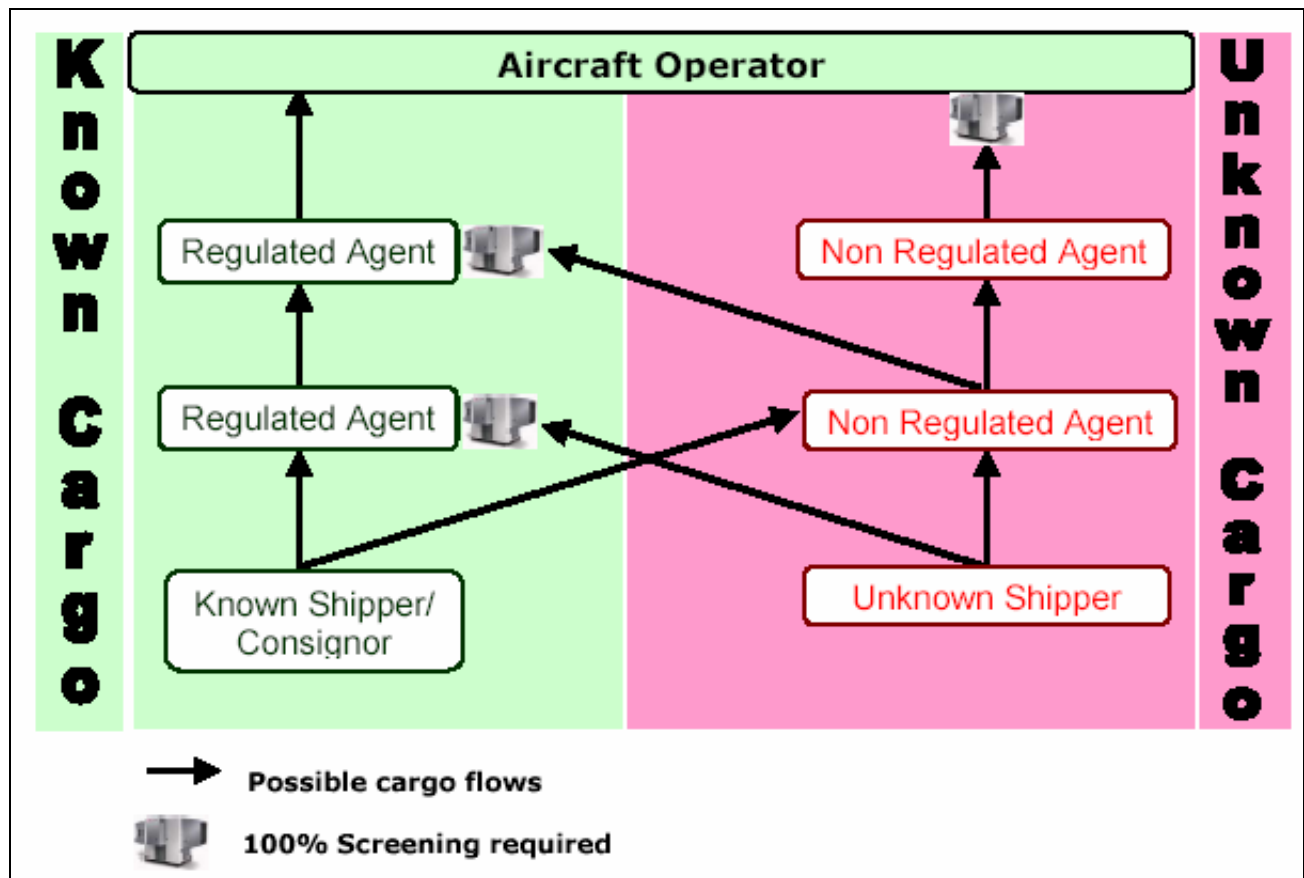


Figure 3. Known and unknown cargo flow prior to acceptance

If known cargo passes out of the custody of an air carrier, regulated agent, known shipper/consignor or their sub-contracted agent, it reverts to being unknown cargo and must be treated accordingly.

### 5.3 Regulated Agent

In order to be designated as a regulated agent, the entity (freight forwarder, courier service, air carrier, etc.) needs to produce and demonstrate continued compliance with a Regulated Agent's Security Programme (Appendix 2) and have this programme approved and recognised by the appropriate authority of the State where business will be conducted. The programme may be in one of the following forms:

- Regulated Agent's Security Programme, written by the freight forwarder, courier service or model, etc. and its compliance acknowledged by the appropriate authority.
- Manuscript Security Programme, drafted by the appropriate authority for acceptance and adherence by entities wishing to become a regulated agent.

In the case of air carriers acting as freight forwarders wishing to become a regulated agent, their regulated agent security programme will be based on the air carrier's freight forwarder security programme and also bound by the provision of the National Civil Aviation Security Programme.

- A11 -

The Regulated Agent Security Programme should detail the method the organisation will use to meet requirements of the National Air Cargo Security Programme in order to be registered or listed by the appropriate authority in its database of regulated agents. A regulated agent should be subjected to designation, approval, or listing by the appropriate authority at regular intervals that should not exceed 5 years. All carrier security programmes should be recognised by the relevant authorities as meeting the same standard as a Regulated Agent

Further to that, there needs to be a system in place that holds all parties involved in air cargo operations accountable for their responsibility in ensuring the security of all consignments. As such the system should consist of:

- A programme of specific operating procedures defining the role and responsibilities of regulated agents (the above mentioned Regulated Agent Security Programme)
- Procedures to ensure that prior to being approved as regulated agents, the organisations are inspected by the appropriate authority to ensure that:
  - All buildings, premises, transport facilities and vehicles involved in the processing or movement of air cargo are secure at all times or searched prior to being placed into service
  - A security training programme, including refresher training at specified intervals, for those involved in the handling of air cargo is developed and its content be approved by the appropriate authority.

There needs to be clear written provision for protecting the details of a carrier security programme, the details of which could be used to circumvent these programmes

The purpose of the regulated agent concept is to place the emphasis for the practical implementation of security controls onto regulated agents and move away from the costly time-consuming process of attempting to screen all cargo at airports.

A regulated agent should be required to:

- Establish and register the identity of consignors and establish the credentials of the person who delivers the consignment as an agent of the consignor
- Ensure that the consignor delivers a full description of the contents of the consignment
- Ensure that consignments are safeguarded from unauthorized interference after reception and that access to the cargo is controlled
- Ensure that reception, processing and handling of cargo are carried out by properly recruited and training staff
- Designate one or more persons to be responsible for implementation, application and supervision of the required security control
- Ensure that, for the purpose of security controls, each consignment tendered to an air carrier or another regulated agent be accompanied by documentation, either on the air waybill or on a separate declaration, providing the following information:
  - Name, address and contact details of regulated agents
  - Name and address of consignor
  - Contents of the consignment
  - Consignment Security Declaration

#### **5.4 Known Shipper/Known Consignor**

A regulated agent or an air carrier may recognize a customer or consignor as a known shipper/consignor and register its identity, address and the agent(s) authorized to carry out deliveries on the shipper/consignor's behalf.

The consignor must also declare that:

- Consignments are prepared in secure premises
- Consignments are prepared by reliable staff members
- Consignments are protected against unauthorised interference during preparation, storage and transportation for which it is responsible
- It accepts that packaging and contents of any consignment may be examined for security reasons
- Certifies in writing that, to the best of its knowledge, the consignments does not contain any prohibited articles or dangerous devices or substances

Once a shipper meets the necessary requirements, the regulated agent or air carrier can declare the person or organisation a known shipper/consignor and add its name to the official registry held by the agent or air carrier

Consignments from known shippers/consignors may be security cleared and accepted as long as:

- The employee accepting the cargo is satisfied that the person delivering the cargo is or represents the known shipper/consignor
- There is no sign of tampering with the cargo
- Descriptions of the consignment on the paperwork match the consignment

#### **5.5 Consignment Security Declaration**

One of the tools to ensure that cargo is protected throughout its entire movement in the supply-chain and to ensure regulated agents are held accountable is the use of Consignment Security Declarations.

This declaration is proposed by the entity that makes the cargo known and is passed in the chain.

A Consignment Security Declaration should contain at the very least the following information:

- The identity of the regulated agent, shipper/consignor or other entity forwarding the consignment
- A unique means of reference (Air waybill number, invoice number, tracking number, etc.)
- The destination of the consignment
- A declaration that the consignment has been searched or screened **or** a declaration that the originator of the freight is known and that the contents of the shipment are safe for transport to best of the entities' knowledge.
- A declaration that the consignment has been secured and has not been interfered with while in their custody
- A signature of a staff member who has the proper training and authority to do so.

- A disclaimer stating that any false declaration will lead to criminal prosecution.

The Consignment Security Declaration plays an important part in ensuring that known cargo remains known throughout the supply chain by providing an unbroken and verifiable trail of accountability. Consignments, other than those exempt from security controls, not covered by a valid Consignment Security Declaration must be treated as unknown cargo.

An example of a suitable consignment security declaration can be found in Attachment A of Appendix 1.

## **5.6 Screening**

Cargo shipments transported by air include a wide range of products of different size, weight and density. Screening all cargo consignments would require such a wide variety of technical means and methods that it is in effect technically, operationally and economically unrealistic, at this time, to screen 100% of cargo.

Therefore, through the use of regulated agents and known shipper/known shipper/consignors, the goal is to perform security screening on consignments for which the security cannot be verified.

As we have seen earlier, the shipments that must be screened are:

- Consignments received by regulated agents from unknown shippers/consignors
- Consignments received by passenger air carriers from non-regulated agents or directly from unknown shippers/consignors

Further to that, screening of the following should be required:

- Specific categories of cargo considered to pose a higher risk (e.g. unaccompanied baggage)
- Consignments on specific flight under special circumstances (e.g. high risk flight, when requested by the air carrier, in case of a bomb threat, etc.)
- Some States may require random screening (not based on threat) of a percentage of known cargo

Screening can be performed either before or after consolidations of shipments. Generally, if screening takes place prior to consolidation, more screening options will exist as packages will not yet be placed in containers or on pallets. Large items of individual cargo can also pose some difficulties. Screening after consolidation may in some cases be less cost effective and operationally practical as it may force the screening entity to break up shipments and re-constitute them following screening.

Screening can be performed when the cargo is in the custody of the regulated agent or when it is under the control of the air carrier (if they are different entities).

There are two types of screening methods:

- Threat detection techniques, the purpose of which is to detect one or many components of an improvised explosive device (IED) (detonator, energy charge, explosives)



- Hand-search
  - Conventional X-rays
  - Explosive Detection Systems (EDS)
  - Metal detection
  - Explosive trace and vapour detection
  - Explosive detection dogs
  - Very large X-rays
  - Advance Technology x-ray or other wave based systems
- Threat activation techniques, which are designed to activate an IED before the consignment is loaded on board the aircraft
  - Decompression chambers
  - Full flight simulation systems
  - Security storage (Security storage should only be used when it is not feasible to apply any other method of screening due to the particular nature of the consignment. Holding a shipment will impede on the advantage that air cargo has on other modes of freight shipping, namely its speed. When it is used, the hold period should be of at least 24 hours and no more than 48 hours.)

Threat detection techniques may be the most appropriate screening solutions where screening takes place prior to consolidation. It may be difficult to effectively use the screening equipment on large consignments and depending on the contents of the consignment. Whilst proper training of screeners may eliminate some of the weaknesses, the screening methods are still limited in what they can detect.

Threat activation techniques are immune to human factors and, in most cases, issues involving size of shipments. However, the process can be time consuming and may not trigger all types of IED unless full flight simulation systems are used and even then, will not detect an IED which is not triggered by pressure, vibration, etc. These systems can be very costly to purchase and operate.

All screening methods can be inefficient when they are not suited to the type of consignment being screened. In some cases, a single screening method may not be sufficient to screen all types of cargo. Therefore, more than one method should be readily available. The keys to screening are to constantly apply the most appropriate screening method for each consignment and ensure that the screening staff applying these methods has been properly trained.

The screening method used, should cause as little delay as is possible to the transport of cargo.

### **5.7 Exemption to Screening**

Because of the special nature of some types of cargo transported by air, they may be exempted from screening, in accordance with the national security programme of the host state or other regulatory authority such as:

- Livestock, pets or live animals (accompanying materials such as feed bags, cages and containers should be subjected to security controls)
- Life-sustaining items such as blood, blood products, bone marrow and human organs for transplant
- Vaccines and other perishable medical items

- A15 -

- Diplomatic bags and mail
- Human remains and the necessary packaging
- Special nuclear materials
- High value goods

The above categories of cargo can be exempted from screening provided that they are:

- Clearly declared on shipping documents as such;
- Physically checked upon receipt for signs of tampering;
- Subject to documentary checks and direct verification (e.g. by telephone call to the shipper) to establish their bona fides
- Continually protected from unlawful interference

Further to that the following types of cargo can also be exempted from screening

- Packages less than 5mm thick and/or less than 450g (sometimes 250g) (or other criteria as set by the appropriate authority)
- Packages weighing less than a certain pre-determined weight (usually 450g or 250g)
- Transshipment cargo, if coming from a State where appropriate security controls have been performed and provided that the shipment remains protected from unlawful interference throughout the transfer/transit period
- Cargo coming from known shippers/consignors and regulated agents

## **6. Special Categories of Cargo**

### **6.1 High Value Cargo (HVC)**

All valuable cargo should be handled as a separate category, distinct from regular air cargo. Special service and protection should be provided to valuable cargo by air carriers and special charges should be applied to compensate for the expense of this special protection.

Details about value, contents, routing and storage should be kept confidential and only those details which are absolutely necessary for handling purposes should be made available to the personnel directly involved.

Specific background checks for staff handling valuable cargo should be rigorously applied as permitted by local law.

Valuable cargo means a consignment, which contains one or more of the following articles:

- Any article having a value for carriage of 1,000 USD (or equivalent) or more, per gross kilogram; the consignor should advise the value of the shipment and specify the contents.
- Gold bullion (including refined and unrefined gold in ingot form), dore bullion, gold specie and gold only in the form of grain, sheet, foil, powder, sponge, wire, rod, tube, circles, mouldings and castings, platinum, platinum metals (palladium, iridium, ruthenium, osmium and rhodium) and platinum alloys in the form of grain, sponge, bar, ingot, sheet, rod, wire gauze, tube and strip (but excluding those radioactive isotopes of the above metals and alloys which are subject to restricted articles labelling requirements)

- Legal banknotes, traveller's cheques, securities, shares, share coupons and stamps (excluding mint);
- Diamonds (including diamonds for industrial use), rubies, emeralds, sapphires, opals and real pearls (including cultured pearls);
- Jewellery consisting of diamonds, rubies, emeralds, sapphires, opals and real pearls (including cultured pearls);
- Jewellery and watches made of silver and/or gold and/or platinum-plated.

In addition the following items should be regarded as vulnerable cargo and be handled as valuable cargo if the shipper consents to the appropriate additional charges or if the carrier deems such additional protection to be in the carrier's best interest::

- Goods for which no value is declared but which obviously require security handling
- Blank air carrier documents, e.g. MCOs, AWBs, tickets, etc. shipped to air carrier offices/stations or General Sales Agents
- Diplomatic bags (when declared as valuable)
- Narcotics (drugs such as opium and derivatives), etc. if required

#### **6.1.1 Acceptance, Storage and Delivery**

The air carrier should make rules covering:

- Advance arrangements, bearing in mind that the consignment should arrive during normal business hours to facilitate at the airport of destination customs clearance and quick delivery
- Delivery times prior to scheduled flight departure
- Pick-up times by the consignee at the airport of destination (which should be as soon as possible after flight arrival)
- Security arrangements for the storage and delivery of the shipment to the consignee
- Routing via non-stop flights whenever available

As a general rule, valuable cargo should be booked and any special arrangements made for its security prior to acceptance.

When valuable cargo arrives at an air carrier's cargo terminal for shipment, delivery or transfer, the valuable cargo should be immediately checked against the air waybills and be placed in an area secured against unauthorized entry. For any valuable cargo, which, due to its size or other reason cannot be stored in the air carrier's security area, the air carrier should make special arrangements for its security.

A log should be maintained by each air carrier of all valuable cargo. The following should be recorded:

- Package identification
- Date and time placed in the security area and identity of person who enters area
- Date and time removed from security area and identity of person who enters area
- Known shipper/consignor status

- A17 -

- Any other pertinent data as the circumstances or local laws may require. The log should be countersigned by an authorized individual

A physical inventory should be taken periodically by each air carrier with sufficient frequency to ensure maximum security of all valuable cargo contained or held in an area secured against unauthorized entry.

The air carrier should ensure that a dedicated escort is provided in each instance in which transportation is required between the cargo terminal and the aircraft or other cargo terminal. A means to communicate to raise an alarm should be provided.

Valuable cargo should be released by air carriers only during normal office hours, unless special arrangements have been made by the consignee with the air carrier to have a particular shipment picked up at a different time.

All hand-overs from one handling party to another handling party should be recorded and signed for.

#### **6.1.2 Security Stowage Devices and Preparation for Loading**

Use and design of valuable cargo pouches or security boxes are as follows:

- Whenever dimensions of items permit, shipments of valuable cargo should be stowed into specially designed valuable cargo pouches or security boxes
- Several shipments of valuable cargo may be packed together in the valuable cargo pouch or security box if consigned via the same routing from the same airport of loading to the same airport of unloading
- Each valuable cargo pouch or security box should have a label attached showing the airport of unloading and air waybill number(s) of shipment(s) contained in the pouch
- Valuable cargo pouches or security boxes should be constructed of bright orange canvas or similar opaque material
- The pouch or security box should be capable of being locked/sealed

**Security Controlled Containers and Lockers** - If special security controlled containers or lockers are to be used, such containers and lockers should be constructed and equipped in such a manner that:

- No goods can be removed from, or introduced into the sealed part of the container without leaving visible traces of tampering or without breaking the carriers seal
- Air carriers locks and seals can be simply and effectively affixed to them
- They contain no concealed spaces where goods may be hidden
- All spaces capable of holding goods are readily accessible for inspection
- They should be constructed of a material that does not inhibit x-ray inspection

**Use and Control of Seals** - All specially designed security controlled stowage devices should be capable of being locked/sealed with an appropriate air carrier seal or operated only by authorized staff. These seals should be kept under safe custody and a check record maintained liable to auditing, showing:

- Seal number
- Name of person receiving the seal, time and date
- Flight number and destination

If the seals of the aircraft security controlled stowage device have to be broken to load or unload shipments of valuable cargo it should only be done by authorized staff and the numbers of the seals removed and re-affixed must be handled according to the provisions of this Section.

**Transport from Cargo Terminal to Aircraft** - The detailed procedures for safeguarding valuable cargo shipments during transport from the cargo terminal to the aircraft, also prior to and during loading, should be agreed and arranged locally between those responsible for the cargo handling and for the ramp handling. Such consignments should always be accompanied to the aircraft by a dedicated escort.

**Information/Check Procedures** - The station of loading should give notice to the captain, to the station of unloading, and to transit stations regarding all shipments of valuable cargo. Appropriate means may be by use of a special warning message or other means designated by the air carrier. The air carrier should wait until it receives a confirmation from the destination station to the VAL-message before transportation in order to guarantee reception of the incoming VAL notification. The sending and receiving of messages should be confined to only those persons directly involved. SITA addresses and location should be regularly checked and the printer should be located in a security restricted area where only authorized personnel has access.

### **6.1.3 Aircraft Loading and Stowage**

The person in charge of the ramp handling for valuable cargo should check that the seals affixed to the valuable cargo pouches, or to the security controlled container, are intact, before they are loaded into the security locker or in the cargo compartments.

**Pouches and Security Boxes** - Each pouch should be stowed into a specially provided security controlled stowage device or air carrier's designated area on board the aircraft. Valuable cargo pouches for different destinations may be loaded in the same aircraft security device.

**Security Controlled Containers** - Containers identified as security controlled containers should be loaded into the position designated by the air carrier.

**Lockers** - If the aircraft is fitted with a security locker, this should, if possible, be used for the stowage of loose valuable shipments/pouches. Locking/sealing of this locker shall be handled according to Section 6.1.2.

**Supervision** - No loading or off-loading of any valuable cargo shipment should take place without attendance/supervision of authorized personnel. Supervision should remain in place until the aircraft is pushed back.

#### **6.1.4 Transit**

Shipments of valuable cargo remaining on board the aircraft, whenever accessible, should be checked by authorized staff for their general condition and seals.

#### **6.1.5 Unloading**

Detailed procedures for the safeguarding of valuable cargo during unloading of the aircraft and delivery to the cargo terminal should be arranged by the air carrier or, on its behalf, the dedicated valuable cargo handling agent.

The pilot in command is responsible for the safety and security of aircraft and load if an unscheduled stop is made at an airport where the air carrier has no appointed handling agent until such time as the air carrier can appoint a responsible handling company.

The seals of the security containers or valuable cargo pouches should be checked during unloading by the air carrier or, on its behalf, the authorized ramp handling staff, and any irregularities noted.

If the seals of the security container and valuable cargo pouches have to be removed before acceptance in the cargo office or customs premises, it should be done in the presence of authorized staff.

#### **6.1.6 Irregularities**

In the event of any item of valuable cargo showing signs of being tampered with or missing, it should immediately be considered as having been pilfered or stolen, and immediate action is to be taken to trace, locate and report the state of the consignment.

Air carriers or the dedicated valuable cargo agent upon authorization from the air carrier may advise the public authorities of an irregularity.

#### **6.1.7 Airport Risk Assessment**

A continuous risk assessment process of airports should be carried out for the transport of valuable cargo through the airport concerned by the airport authorities in conjunction with the enforcement authorities and the carriers.

The risk assessment should include:

- A dedicated access point or, where this is not possible, designated gate(s) where the valuable cargo is received should exist
- Handling times should be minimised
- If not loaded directly into the aircraft, and depending on the risk assessment, valuable cargo should be stored in high security strong rooms

- Where a valuable cargo facility is provided, access should be limited to authorized staff. Consideration should be given to access at specified times only
- Dependent on the risk assessment, CCTV-Surveillance with recording should be considered in the valuable cargo storage and loading areas

#### **6.1.8 Contingency Plan**

A contingency plan should be developed by the airport authorities in conjunction with the enforcement agencies and the air carriers to deal with incidents related to valuable cargo. It is the airport's responsibility to initiate the response to valuable cargo incidents. The airport authorities should consider the air carrier's policy when defining the security measures, risk assessment and contingency plan related to valuable cargo.

### **6.2 Diplomatic Mail**

Concurrent with the Vienna Convention, Diplomatic mail shall not be screened if:

- Properly identified
- Accompanied by a certificate signed by an official of the sending State

Material that is classified by appropriate government agencies shall be inspected only to the extent necessary to ensure the absence of weapons or dangerous articles. If, in the view of the air carrier, the safety of the aircraft is put in doubt by carriage of classified material, the air carrier has a right to refuse carriage.

### **6.3 Unaccompanied Baggage**

Unaccompanied Baggage is defined as any baggage that is transported as cargo and is not carried on the same flight as the person to whom it belongs.

The increased risk posed by this type of cargo is obvious and therefore stringent security measures should be implemented. The following security measures should be implemented:

- The baggage will be treated as unknown cargo and will be subjected to appropriate screening and security controls
- The shipper/consignor must be the holder of a valid air carrier ticket to the destination to which the baggage is directed
- The baggage will be handled by a regulated agent or directly with the air carrier, either through cargo or passenger operations, on which the passenger is scheduled to travel

In cases where the passenger has had no control over being separated from his baggage (i.e. mishandled baggage), the air carrier may not have to subject the unaccompanied bag to additional security screening depending on national regulations

#### **6.4 Dangerous Goods / Hazardous Materials**

Cargo shipments containing dangerous goods or properly prepared and packaged hazardous materials must be appropriately identified as such and declared prior to acceptance.

Consignments containing dangerous goods and or properly prepared and packaged hazardous materials should normally be subjected to the same security controls as would any other consignments. However, it is important to keep in mind the following:

- Some dangerous goods cannot be searched by hand as they would present a hazard to the health of screeners
- Applying X-ray or other technical means to some types of dangerous may render them unstable or could be harmful and therefore cannot be performed
- Opening consignments containing dangerous goods is not recommended or may be prohibited because it could:
  - Expose staff members to harmful or hazardous materials
  - Prevent the shipment from being sent if the integrity of the packaging is damaged and no longer compliant with IATA Dangerous Goods Regulations packaging requirements

It is therefore recommended that as far as possible, dangerous goods and hazardous material consignments be accepted via regulated agents and/or known shipper/consignors to ensure that administrative procedures fulfill all the security controls requirements.

#### **6.5 Live Animals**

Live animals transported as cargo are exempt from screening.

However, prior to acceptance of the consignment, the air carrier should ensure that contents of the shipment match the description on the air waybill.

Further to that, all accompanying equipment such as feedbags, cages and containers should be subjected to effective and appropriate screening and security controls.

#### **6.6 Treatment of Suspect Cargo**

Initially, a determination needs to be made as to what is causing the suspicion. If an item is suspicious because it is too opaque for proper analysis or cannot be understood, using one screening methodology, different methodologies should be employed. If an item is suspicious because it appears to be an explosive device (with all the necessary components):

Suspect cargo should be treated as unknown cargo and subjected to additional screening to ensure that no suspicious or potentially dangerous items are found within the consignment.

If it cannot be confirmed with certainty that the consignment does not contain any potentially dangerous item the air carrier should not carry it.

If a suspicious item is found in a consignment while security controls are being applied, it is important that:



- Staff members do not touch it
- The security department and the explosive ordinance disposal (EOD) unit are contacted
- The consignment is not moved by anyone except EOD unit personnel
- The security department determine which areas are at risk and evacuate them
- The EOD should determine whether or not it is necessary to detonate the consignment basing their assessment solely on the threat posed by the suspicious device

Once the situation is resolved, if a dangerous item has been positively identified, all consignments destined for the same flight and/or accepted from the same shipper, should then be screened as these should be considered as being higher threat consignments. Government regulators should be notified, as well as, any other passenger and cargo carriers at the facility.

## **7. Mail**

Mail needs to be treated differently than other cargo consignments. Generally, the confidentiality of mail is protected by national legislation which prohibits physical or technical screening. Further to that, the lower threat level that individual mail items (falling in particular categories) may represent and the technological and operational difficulties of screening every mail item make it impractical to apply 100% screening to mail.

Still, much like other cargo consignments, some security controls need to be applied to all mail shipment in order to ensure only known mail is carried on board aircraft.

### **7.1 Regulated Postal Authority / Administration**

A Regulated Postal Authority is one that conducts business with air carriers and provides security controls that are required by the appropriate authority regarding mail.

A Regulated Postal Authority should:

- Be approved by the Appropriate Authority for Security as required by ICAO Annex 17
- Fulfill their obligations towards air carriers
- Employ suitably trained staff
- Protect mail from unauthorised interference while it is in their custody

Regulated Postal Authorities are members of the Universal Postal Union (UPU), a sub-committee of the United Nations. The UPU Convention is the mechanism in place that sets security standard and forms for the purpose of forwarding mail.

Regarding security, a postal service regulated by the UPU shall:

- Deliver mail to the air carrier in a prescribed UPU mail bag
- Mail items will be tagged with "Airmail" bag labels and secured with the prescribed secure tie
- A "delivery bill" will accompany all airmail shipments
- A copy of the "delivery bill" will be signed by the air carrier and returned to the postal authority

## **7.2 Acceptance Procedures**

At the moment of acceptance of mail from a postal authority the air carrier should:

- Make sure that the consignment is clearly identified as mail
- The number of bags stated in the delivery bill coincide with the number of bags received
- Visually inspect all bag for signs of tampering
- Store the consignment in dedicated secure areas to protect them from unlawful interference
- Ensure that only persons with authorised access and a reason to be in the area, be permitted into mail storage areas.

## **7.3 Screening**

While screening of all mail is impossible because of particular legalities and potential operational and technological constraints under normal conditions, the authority to inspect should be provided by the appropriate authority when the threat assessment would justify such measures.

Mail needs to be subjected security controls in the same manner as cargo shipments unless it is known mail, transshipment mail or letters under 5mm thick or is exempted due to its contents.

Generally, for legal reasons, security controls and screening can only be performed by the postal authorities. However, the following guidance is provided in the event a controlling postal authority requires carriers to conduct screening.

Security controls applied to known mail only need to be applied to a proportion of the mail, to be determined by the appropriate authority and the postal authority and based on a risk assessment. Mail selected for screening will be selected at random or through a targeted approach.

High risk mail should be segregated during the sorting and distribution process to facilitate subsequent security procedures. High risk mail include:

- Mail from unknown or specifically designated sources
- Mail to targeted destinations
- Parcel mail meeting an identified security profile

Packages and letters weighing 750g or more (or 500g in some States and depending on the threat level) should be treated as regular cargo consignments.

Time sensitive mail (up to 48 hour delivery) can be subjected to additional or more stringent security controls by the postal authority as it needs to be uplifted in a shorter amount of time which may increase the threat level. Those involved in the movement of time sensitive mail, should not provide booking details to shippers unless they are known shippers/consignors or regulated agents.

The air carrier has the right to refuse uplift of airmail during times of increased threat level or if it believes that the contents of the mail shipments pose a risk to safe operations of the aircraft.

#### **7.4 Treatment of Suspect Mail**

Initially, a determination needs to be made as to what is causing the suspicion. If an item is suspicious because it is too opaque for proper analysis or cannot be understood, using one screening methodology, different methodologies should be employed. If an item is suspicious because it appears to be an explosive device (with all the necessary components):

Suspect mail consignments should be treated as unknown mail and submitted to additional screening or security controls permitted by legislation on the confidentiality of mail to ensure that no suspicious or potentially dangerous items are found within the consignment.

If it cannot be confirmed with certainty that the mail consignment does not contain any potentially dangerous item the air carrier should not carry it.

If a suspicious item is found in a consignment while security controls are being applied, it is important that:

- Staff members do not touch it
- The security department and the explosive ordinance disposal (EOD) unit are contacted
- The consignment is not moved by anyone except EOD unit personnel
- The security department determine which areas are at risk and evacuate them
- The EOD should determine whether or not it is necessary to detonate the consignment basing their assessment solely on the threat posed by the suspicious device

Once the situation is resolved, if a dangerous item has been positively identified, all consignments destined for the same flight and/or accepted from the same shipper, should then be screened as these should be considered as being higher threat consignments. Government regulators should be notified, as well as, any other passenger and cargo carriers at the facility.

## Appendix 1

### IATA Cargo Services Conference Recommended Practice 1630

#### RECOMMENDED PRACTICE 1630

##### CARGO SECURITY

CSC(20)1630

CSC(22)1630

RECOGNISING the action taken by Contracting Member States of the International Civil Aviation Organisation (ICAO) and recognising that ICAO has accorded the highest priority to this subject in adopting and maintaining Annex 17 to reflect worldwide concern over acts of unlawful interference against aircraft;

RECOGNISING ALSO the importance placed on the subject by the IATA Executive Committee and the resulting Recommended Security Standards presented to the ICAO Aviation Security Panel; and

AS A RESULT OF these developments and action taken by the IATA Cargo Agency Conference in amending the Cargo Agency Rules to specifically require adherence to airline cargo security measures.

RECOMMENDED that:

#### 1. SCOPE OF RECOMMENDED PRACTICE

All Members should acknowledge and respect airline security measures adopted by governments and those embodied in ICAO Annex 17. Members should implement the measures described in this Recommended Practice to protect airline operations against acts of unlawful interference. In increased threat situations, supplementary measures may be implemented.

This cargo security Recommended Practice is intended to protect air carrier operations against acts of unlawful interference. All Members should implement the cargo security measures described in this Recommended Practice. All Members should acknowledge and respect cargo security measures accepted or required by governments and those embodied in ICAO Annex 17. In increased threat situations, supplementary measures may be implemented.

#### 2. DEFINITIONS

The following definitions are adopted:

2.1 "AIR SIDE". The movement area of an airport, adjacent terrain and buildings or portions thereof, access to which is controlled.

2.2 "KNOWN SHIPPER". The originator of property for transportation by air for his own account and who has established business with a regulated agent or an air carrier on the basis of the following criteria:

2.2.1 Establishing and registering his identity and address and the agent authorised to carry out deliveries on his behalf.

2.2.2 Declaring that he:

2.2.2.1 Prepares consignments in secure premises;

2.2.2.2 Employs reliable staff in preparing the consignments;

2.2.2.3 Protects the consignments against unauthorised interference during the preparation, storage and transportation;

2.2.2.4 Certifies in writing that the consignment does not contain any prohibited articles as listed in Annex 17;

2.2.2.5 Accepts that the packaging and contents of the consignment may be examined for security reasons.

**2.2 "KNOWN SHIPPER or KNOWN CONSIGNOR".** The originator of property for transportation by air who has established direct business with a regulated agent or an air carrier on the basis of agreed criteria.

2.2.1 Establishing and registering his identity and address and the agent authorised to carry out deliveries on his behalf.

2.2.1 Declaring that he:

2.2.1.1 Prepares consignments in secure premises;

2.2.1.2 Employs reliable staff in preparing the consignments;

2.2.1.3 Protects the consignments against unauthorised interference during the preparation, storage and transportation;

2.2.1.4 Certifies in writing that the consignment does not contain any prohibited articles as listed in Annex 17;

2.2.1.5 Accepts that the packaging and contents of the consignment may be examined for security reasons.

**2.3 "REGULATED AGENT".** An agent, freight forwarder or any other entity who conducts business with an operator and provides security controls that are accepted or required by the appropriate authority in respect of cargo, courier and express parcels, or mail.

**2.3 "REGULATED AGENT".** An agent, freight forwarder or any other entity who conducts business with an air carrier and provides security controls that are accepted or required by the appropriate authority in respect of cargo, courier and express parcels, or mail.

**2.4 "SCREENING".** The application of technical or other means which are intended to detect weapons, explosives or other dangerous devices which may be used to commit an act of unlawful interference.

**2.5 "SECURITY".** A combination of measures and human and material resources intended to safeguard international civil aviation against acts of unlawful interference.

**2.6 "SECURITY CONTROL".** A means by which the introduction of weapons, explosives or articles likely to be utilized to commit an act of unlawful interference can be prevented.

**2.7 "SECURITY PROGRAMME".** Measures adopted to safeguard international civil aviation against acts of unlawful interference.

### **3. SECURITY PROCEDURES**

#### **3.1 General**

3.1.1 Measures and procedures should be in place to prevent explosives or other dangerous devices, which may be used to commit acts of unlawful interference, from being accepted for carriage by air by means of cargo, courier, express parcel or mail consignments.

3.1.2 Members should support fully industry consultation prior to government licencing of all companies engaged in the acceptance, storage and forwarding of cargo, courier, express parcel and mail consignments, intended for carriage by air.

3.1.3 Each licenced company should have a security programme approved by the appropriate authority in respect of the acceptance, storage and forwarding of cargo, courier, express parcel and mail consignments.

3.1.1 Each known shipper or known consignor should establish and register its identity and address and certify in writing that:

3.1.1.1 Its consignments are prepared in secure premises/ conditions;

3.1.1.2 Its consignments are protected against unauthorised interference during preparation, storage and transportation;

3.1.1.3 It accepts that the packaging and contents of the consignment may be examined for security reasons.

3.1.2 Each regulated agent should have a security programme approved by the appropriate authority in respect of the acceptance, storage and forwarding of cargo, courier, express parcel and mail consignments.

3.1.3 Personnel accepting or handling cargo should be subjected to pre-employment checks and be trained to an appropriate level of proficiency.

3.1.4 The appropriate authority should conduct periodic checks to ensure that the security programme has been implemented and is maintained.

#### **3.2 Right of Inspection and Refusal of Carriage**

3.2.1 Carriers reserve the right to examine, or cause to be examined, the packaging and contents of all cargo, courier and express parcel consignments and to enquire into the correctness or sufficiency of information or documentation tendered in respect of any consignment.

3.2.2 Carriers reserve the right, without assuming any liability, to refuse, delay or return any cargo, courier, express parcel or mail consignments when circumstances so require or for security reasons. If it is suspected that they may contain explosives or dangerous devices or would be transported in violation of applicable laws and regulations.

3.2.2 Carriers reserve the right, without assuming any liability, to refuse, delay or return any cargo, courier, express parcel or mail consignments when circumstances so require or for security reasons.

#### **3.3 Acceptance of Cargo, Courier and Express Parcel Consignments**

3.3.1 All consignments accepted from known shippers and/or regulated agents will be deemed to have met required security provisions.

3.3.2 All consignments accepted from persons other than known shippers or regulated agents must be physically searched, electronically screened or screened by other means. In addition, a person other than a known shipper or regulated agent must provide acceptable documentation as to identity, the details of which shall be recorded.

3.3.3 Unaccompanied baggage shipped as cargo should be treated as originating from a person other than a known shipper or regulated agent.

3.3.4 All courier traffic moving as cargo or baggage and express parcel consignments should be x-rayed, physically searched or screened by other means prior to carriage.

3.3.4 All courier traffic moving as cargo or baggage and express parcel consignments should be x-rayed, physically searched or screened by other means prior to carriage.

### 3.4 Acceptance of Mail

3.4.1 The responsibility for the security screening and sealing of mail is that of the postal authorities.

3.4.2 Carriers must ensure that mail is received by their authorised personnel who will establish the identity of the person presenting the mail that the seals are intact and that the bags do not show signs of having been interfered with.

### 3.5 Safe Custody

Carriers must ensure that from the time of acceptance and until completion of air transportation, cargo, courier, express parcel and mail consignments are subject to security. Additionally, carrier security programmes must control access to cargo storage areas.

Air Carriers must ensure that from the time of acceptance and until completion of air transportation, cargo, courier, express parcel and mail consignments are kept in a secure area and free from unlawful interference.

### 3.6 Security Screening Equipment

3.6.1 Any equipment used to screen cargo, courier or express parcel consignments must be capable of assisting its training operator in the detection of explosives or dangerous devices.

3.6.2 The equipment used must be approved by the responsible authority as being suitable for the task and shall be maintained and serviced so as to meet manufacturers' specifications as well as local health, safety and regulatory requirements.

Any equipment used to screen cargo, courier or express parcel consignments must be approved by the appropriate authority as being suitable for the task and shall be maintained and serviced so as to meet manufacturers' specifications as well as local health, safety and regulatory requirements.

### 3.7 Security Screening Personnel

Persons involved in the function of handling or screening of cargo, courier, express parcel or mail consignments either by physical, electronic or other means should be subject to pre-employment checks, and capable of fulfilling their duties and trained to a level of proficiency established by the responsible authority.

Persons involved in security screening of cargo, courier, express parcel or mail consignments should be subject to pre-employment checks and be trained to a level of proficiency established by the appropriate authority.

### 3.8 Standard Security Declaration Form

Governments and/or airlines may require a security declaration form as a further security measure, which requires the forwarding agent to provide and certify the origin and history of the consignment. Where not otherwise specified, it is recommended that the form to be used is the standard "Security Declaration" form shown in Attachment 'A'.

The appropriate authority and/or air carriers may require a security declaration form to be provided. Under any other circumstances, it is recommended that the "Security Declaration" form shown in Attachment 'A' be used.

## 4. IATA CARGO AGENTS

4.1 In order to ensure that appropriate measures are taken to protect airline operations against acts of unlawful interference, IATA agents should ensure that the security standards described in this Recommended Practice are followed. In increased threat situations, supplementary security measures may be required by airlines, their states of registry or by the security authorities at the airport of departure.

4.2 The Cargo Agency Conference Resolutions, which embody the rules for accreditation of cargo agents, include text specifically relating to security. This requires adherence by the agent to security control measures as prescribed by the responsible authorities and which may be supplemented by Member airlines.

4.3 The IATA Agency Administrator is vested with the authority to conduct an examination of an agent, either at his own initiative or at the request of a Member airline, to determine that such security control measures prescribed by the appropriate authority are applied.

Cargo agents' security procedures should embody those in this Recommended Practice and include the following recommended provisions:

4.1 IATA Cargo Agents should ensure that the security standards described in this Recommended Practice are followed. In increased threat situations, supplementary security measures may be required by air carriers or the appropriate authorities.

4.2 The Cargo Agency Conference Resolutions, which embody the rules for accreditation of cargo agents, include text specifically relating to security. This requires the agent to implement security controls as required by the appropriate authorities and which may be supplemented by Member air carriers.

4.3 The IATA Agency Administrator is vested with the authority to conduct an examination of an agent, either at his own initiative or at the request of a Member air carrier, to determine that such security control measures prescribed by the appropriate authority are applied.

4.3.1 security requirements for the packing, storage, transportation and delivery of consignments to an approved agent or carrier;

4.3.2 established procedures for the identification and verification of persons other than known shippers or regulated agents and the recording of their details;

4.3.3 requirements for the physical protection and safe-keeping of consignments held in their custody prior to delivery to the carrier;

4.3.4 criteria for the training and recurrent training of agents' staff involved with security screening, storage, transportation and delivery of consignments.

4.3.1 security requirements for the packing, storage, transportation and delivery of consignments to an approved agent or carrier;

4.3.2 established procedures for the identification and verification of persons other than known shippers or regulated agents and the recording of their details;

4.3.3 requirements for the physical protection and safe-keeping of consignments held in their custody prior to delivery to the carrier;

4.3.4 criteria for the training and recurrent training of agents' staff involved with security screening, storage, transportation and delivery of consignments.

## 5. GUIDELINES

Guidelines for the practical implementation of cargo security procedures are described in Attachment 'B'.

- A29 -

**RECOMMENDED PRACTICE 1630**

**Attachment 'A'**

**(Forwarding Agent's Letterhead)  
SECURITY DECLARATION**

Air Waybill No.: .....

Destination: .....

The above shipment is tendered for carriage by air. The undersigned, on behalf of (name of agent), hereby confirms that:

1. The originator of the freight is known to me and I am satisfied that the contents are as stated and safe for carriage;

OR

the originator of the freight is known to me and, to the best of my knowledge, the contents are safe for carriage.

AND

2. The goods have been protected during storage and transportation used at all stages of transit has been secured.

Signature: .....

Date: .....

**RECOMMENDED PRACTICE 1630**

**Attachment 'A'**

**(Forwarding Agent's Letterhead)  
SECURITY DECLARATION**

Air Waybill No.: .....

Destination: .....

The above shipment is tendered for carriage by air. The undersigned, on behalf of (name of agent), hereby confirms that:

1. The originator of the freight is known to me and I am satisfied that the contents are as stated and safe for carriage;

AND

2. The goods have been secured and protected during all stages of storage and transportation.

Signature: .....

Date: .....



## **RECOMMENDED PRACTICE 1630**

### **Attachment 'B'**

#### **GUIDELINES FOR THE PRACTICAL IMPLEMENTATION OF RECOMMENDED PRACTICE 1630**

##### **1. AIRLINE PROCEDURES**

Cargo may be tendered for carriage by another airline, a forwarder, or a direct shipper. If the cargo is tendered by a "known shipper or regulated agent", as defined in this Recommended Practice it can be accepted. If not:

- 1.1 obtain a signature from whoever delivers the cargo against a positive identification;
- 1.2 check that all documentation is in order;
- 1.3 submit the cargo to appropriate screening procedures. (This may be simply a check of outer packaging, a visual check of contents or even X-ray);
- 1.4 reconcile the cargo with its documents, particularly by its characteristics and appearance as well as number of pieces and weight;
- 1.5 submit the cargo to further security checks as required.

It is recommended that airlines do not accept consolidations from forwarders, unless they are "known shippers or regulated agents" according to the definition.

##### **2. FORWARDERS PROCEDURES**

Cargo may be tendered for carriage by another forwarder (co-loading), an airline (break-bulk for reconsolidation), or a shipper. If the cargo is tendered by a "known shipper or regulated agent", it can be accepted. If not, items 1 to 4 outlined above under Airline Procedures should be applied. Item 5 will also apply, but this will be carrier-specific and will vary according to the chosen carrier.

It is recommended that forwarders do not provide booking details to shippers, unless they are "known shippers or regulated agents" according to the definition of this Recommended Practice.

##### **1. AIRLINE PROCEDURES**

Cargo may be tendered for carriage by another airline, a forwarder, or a direct shipper. If the cargo is tendered by a "known shipper or regulated agent", as defined in this Recommended Practice it can be accepted. If not:

- 1.1 obtain a signature from whoever delivers the cargo against a positive identification;
- 1.2 check that all documentation is in order;
- 1.3 submit the cargo to appropriate screening procedures. (This may be simply a check of outer packaging, a visual check of contents or even X-ray);
- 1.4 reconcile the cargo with its documents, particularly by its characteristics and appearance as well as number of pieces and weight;
- 1.5 submit the cargo to further security checks as required.

It is recommended that airlines do not accept consolidations from forwarders, unless they are "known shippers or regulated agents" according to the definition.

##### **2. FORWARDERS PROCEDURES**

Cargo may be tendered for carriage by another forwarder (co-loading), an airline (break-bulk for reconsolidation), or a shipper. If the cargo is tendered by a "known shipper or regulated agent", it can be accepted. If not, items 1 to 4 outlined above under Airline Procedures should be applied. Item 5 will also apply, but this will be carrier-specific and will vary according to the chosen carrier.

It is recommended that forwarders do not provide booking details to shippers, unless they are "known shippers or regulated agents" according to the definition of this Recommended Practice.

1. Cargo tendered by a known shipper, known consignor or regulated agent, as defined in this Recommended Practice can be accepted provided:

- 1.1 the identity of the person delivering the cargo is verified;
- 1.2 a check is undertaken that all documentation is in order;
- 1.3 the cargo is reconciled with its documents, particularly by its characteristics and appearance as well as number of pieces and weight;
- 1.4 cargo tendered by another air carrier may be accepted provided it has been subjected to all security controls required by the appropriate authority(s).

The following additional requirements apply in all other cases:

- 1.5 submit the cargo to appropriate screening procedures;
- 1.6 submit the cargo to further security checks as required;
- 1.7 booking details should not be provided to shippers, unless they are known shippers, known consignors or regulated agents according to the definitions contained in this Recommended Practice.

- A31 -

## **Appendix 2**

### **Air Carrier/Regulated Agent Cargo Security Programme Template (ICAO Model)**

#### **1. International Obligations and Organizations**

- 1.1 The structure and roles of ICAO, EU and ECAC.
- 1.2 The purpose of the various Conventions, ICAO Annex 17, EU Regulations and ECAC Doc. 30.

#### **2. National Obligations and Responsibilities**

- 2.1 The relevant appropriate authority for the State of registration.
- 2.2 The relevant appropriate authority for the host State of operation.
- 2.3 The national aviation security programme of the host State.

#### **3. Air Carrier / Regulated Agent Security Policy and Organization**

- 3.1 Air carrier / regulated agent security policy.
- 3.2 The roles and responsible for aviation security in the air carrier / regulated agent.
- 3.3 Information and communication.
- 3.4 Description of air carrier / regulated agent's operation.

#### **4. Security of Aircraft (Primarily for Air Carrier)**

- 4.1 Purpose of security measures.
- 4.2 Searches and checks of aircraft.
  - 4.2.1 Standard of searches and checks.
  - 4.2.2 Details of service provider.
- 4.3 Control of access to aircraft.
  - 4.3.1 Standard of access control.
  - 4.3.2 Details of service provider.

#### **5. Security of Cargo, Courier, Express Parcels and Mail**

- 5.1 Purpose of Measures.
- 5.2 Description of Measures for Cargo.
  - 5.2.1 Procedures for acceptance.
  - 5.2.2 Regulated agent scheme and criteria.
  - 5.2.3 Known consignor scheme and criteria.
  - 5.2.4 Standard of screening and physical examination.
  - 5.2.5 Location of screening and physical examination.
  - 5.2.6 Details of screening equipment.
  - 5.2.7 Details of operator or service provider.
  - 5.2.8 List of exemptions from security screening or physical examination.
- 5.3 Description of Measures for Unaccompanied Baggage and Personal Effects Carried as Cargo
  - 5.3.1 Standard of screening and hand-searching.
  - 5.3.2 Location of screening and hand-searching.

- 5.3.3 Details of operator or service provider.
- 5.4 Description of Measures for Courier and Express Parcels
  - 5.4.1 Procedures for acceptance.
  - 5.4.2 Standard of screening and hand-searching.
  - 5.4.3 Details of screening equipment.
  - 5.4.4 Details of operator or service provider .
- 5.5 Description of Measures for Mail
  - 5.5.1 Procedures for acceptance.
  - 5.5.2 Regulated postal authority/administration scheme and criteria.
  - 5.5.3 Known consignor scheme and criteria.
  - 5.5.4 Standard of screening.
  - 5.5.5 Location of screening.
  - 5.5.6 Details of screening equipment.
  - 5.5.7 Details of operator.
- 5.6 Safeguarding of Cargo, Courier, Express Parcels and Mail
  - 5.6.1 Description of measures.
- 5.7 Procedures for Carriage of Diplomatic Mail
- 5.8 Treatment of Suspect Cargo or Mail

## **6. Recruitment of Staff**

- 6.1 Description of procedures for recruitment of security staff, including background checks.

## **7. Training of Staff**

- 7.1 Description of initial training for the following groups of staff:
  - 7.1.1 Aircrew (Air Carriers Only).
  - 7.1.2 Security staff who carry out screening, searching or checking duties.
  - 7.1.3 Awareness training for other staff, including ground-handling staff.
  - 7.1.4 Air carrier / regulated agent security managers/officers.
- 7.2 Description of recurrent training for the following groups of staff:
  - 7.2.1 Aircrew (Air Carriers Only).
  - 7.2.2 Security staff who carry out screening, searching or checking duties.
  - 7.2.3 Awareness training for other staff, including ground-handling staff.
  - 7.2.4 Air carrier / regulated agent security managers/officers.

## **8. Contingency Planning**

- 8.1 Description of plans to deal with the following contingencies:
  - 8.1.1 Aircraft hijacking (Air Carrier Only).
  - 8.1.2 Bomb threat.
  - 8.1.3 Discovery of a suspect or prohibited article.
  - 8.1.4 Equipment failure.
  - 8.1.5 Enhanced measures for an increase in the level of threat.
  - 8.1.6 High risk flights.

## **9. Incident Reporting**

- 9.1 Description of air carrier / regulated agent incident reporting procedures.

- A33 -

**10. Supervision and Performance Monitoring**

- 10.1 Description of air carrier / regulated agent arrangements for monitoring implementation of security measures and quality control.

**11. Local Airport / Regulated Agent Facility Procedures**

- END -