

DANGEROUS GOODS PANEL

Dubai, 31 March to 4 April 2003

Agenda Item 3: Resolution, where possible, of the non-recurrent work items identified by the (ANC) or the panel

GUIDANCE MATERIAL FOR SECURITY PERSONNEL

(Presented by the Secretary)

1. At DGP/18, the panel developed dangerous goods guidance material for incorporation in the new edition of the *Security Manual for Safeguarding Civil Aviation Against Acts of Unlawful Interference* (Doc 8973) at the request of the ICAO Aviation Security Section. Due to time constraints, only material related to passenger baggage was developed. The meeting agreed that the cargo, courier and mail related aspects would need to be pursued in the future work of the panel.

2. It is proposed a working group be established to develop guidance material for incorporation in future editions of Doc 8973 and in the Aviation Security Training Packages. To assist this discussion, text from Annex 17 relating to cargo, courier and other goods together with the associated draft guidance material are attached.

APPENDIX A

**Annex 17 — Security — Safeguarding International Civil Aviation
against Acts of Unlawful Interference**

CHAPTER 4. PREVENTATIVE SECURITY MEASURES

4.5 Measures relating to cargo, mail and other goods

4.5.1 Each Contracting State shall ensure the implementation of measures at airports serving international civil aviation to protect cargo, baggage, mail, stores and operators' supplies being moved within an airport and intended for carriage on an aircraft to safeguard such aircraft against an act of unlawful interference.

4.5.2 Each Contracting State shall establish measures to ensure that cargo, courier and express parcels and mail intended for carriage on passenger flights are subjected to appropriate security controls.

4.5.3 Each Contracting State shall establish measures to ensure that operators do not accept consignments of cargo, courier and express parcels or mail for carriage on passenger flights unless the security of such consignments is accounted for by a regulated agent or such consignments are subjected to other security controls to meet the requirements of 4.5.2.

4.5.4 Each Contracting State shall establish measures to ensure that catering supplies and operators' stores and supplies intended for carriage on passenger flights are subjected to appropriate security controls.

APPENDIX B

SECURITY MEASURES FOR AIR CARGO

1. As the widespread implementation of aviation security measures regarding passengers and their baggage has become more effective so air cargo becomes a more attractive option for perpetrators attempting to carry out an act of unlawful interference. The volume of air cargo carried is large and increasing, the cargo system is well known, perpetrators are able to target specific flights, cargo consignments can be difficult to screen, it is impractical to screen all air cargo and there is a low personal risk to the perpetrator.
2. The term "air cargo" in the context of aviation security includes, normal freight, consolidations, transshipments, unaccompanied courier items, postal mail, diplomatic mail, company stores, and unaccompanied baggage shipped as freight on a passenger carrying aircraft.
3. To counter the threat to air cargo specific security procedures have been developed that represent a cost effective and pragmatic approach. There are three core principles:
 - aircraft carrying air cargo must operate from within a secure environment;
 - all air cargo must be subject to some degree of security control, before being placed on board a passenger carrying aircraft, with the devotion of maximum effort to the screening of air cargo consignments whose security cannot be readily determined; and
 - a consignment of air cargo once security cleared, must be protected from interference.
4. The security clearance of air cargo may consist of either active procedures to detect devices that may have been already placed into air cargo, or preventive security to stop devices being placed into air cargo when it is initially packed and at all stages thereafter in its handling prior to it being loaded onto an aircraft. Active procedures could include the use of conventional X-ray equipment, explosive detection systems, explosive trace detection equipment, hand search, simulation chambers, and explosive detection dogs.
5. Preventive measures are based on the rationale that if the consignment is packed securely initially, and then kept secure thereafter, the requirement for screening or searching is reduced.
6. Since expected consignors send the great majority of air cargo, the system-based approach is cost effective, and if properly implemented and controlled, provides for effective security. In fact many of the procedures called for are security measures that should already be in place to protect cargo from theft or mishandling.
7. Air cargo should be properly protected from interference and properly accounted for at every stage of its journey. In general terms an overview of the system is as follows:

- The originator of the goods, (where the goods are first identifiable as export air cargo) packs the goods in a secure environment.
- The goods are then certified as secure and passed to the freight forwarder or aircraft operator airline by secure vehicle.
- Upon receipt by the forwarder or aircraft operator, the consignments and documentation are checked for evidence of interference, recorded as being received securely, and are then stored in a secure area.
- In due course they are then passed on to the next freight forwarder, consolidator, integrator or aircraft operator in a secure condition and certified as such.

8. These procedures, if properly applied, provide an effective form of risk assessment which should result in the majority of air cargo not being required to be screened or searched. This will leave the security screening staff employed by aircraft operators and freight forwarders to screen the more dubious consignments such as unaccompanied personal effects; first time shipments; and any consignments whose security integrity cannot be established or is in doubt.

9. The ultimate responsibility remains with the aircraft operator to ensure that the appropriate security measures have been carried out, but in effect the cargo security programme allows aircraft operators to delegate some of that responsibility to regulated agents.

10. KEY CONCEPTS TO AIR CARGO SECURITY PROCEDURES

10.1 Consignor

10.1.1 For the purposes of aviation security, the customer or consignor is considered to be:

- the originator of the goods;
- where the goods are prepared for carriage; or
- where the goods become identifiable as air cargo.

10.2 Known Consignor

10.2.1 A regulated agent or an airline may recognize a customer or consignor as a **known consignor** by establishing and registering the identity and address of the consignor and the agent authorized to carry out deliveries on his behalf; and requiring the consignor to declare that they:

- prepare consignments in secure premises;

- employ reliable staff in preparing the consignments;
- have protected the consignments against unauthorized interference during preparation, storage and transportation.
- accept that the packaging and contents of any consignment may be examined for security reasons; and
- certify in writing that the consignment does not contain any explosives or any other dangerous devices or substances.

10.3 Regulated Agent

10.3.1 Annex 17 defines a **Regulated Agent** as: 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.

Note: that for the purposes of the air cargo security an aircraft operator is also considered *de facto* to be a regulated agent.

10.4 Known And Unknown Cargo

10.4.1 The term **Known cargo** means :

- a consignment of air cargo from a **known consignor** or a **regulated agent** to which the appropriate security controls have been applied; **or**
- a consignment of **unknown cargo** which has subsequently been subjected to appropriate security controls.

10.5 A consignment can therefore only be classed as **known cargo** when it is **originating from an approved source** (known consignor) or by being subjected to active **screening or searching**.

10.6 Consignments received from non-regulated agents must therefore;

- be treated as **unknown cargo** ; and
- must have appropriate security measures applied, that is screened or searched prior to being transported by air.

10.7 Role of the Aircraft Operator

10.7.1 In general terms the aircraft operator must:

- decide on the level of security control 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 airlines 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; and
- ensure that all consignments placed on board the aircraft are recorded on the aircraft manifest.

10.8 The aircraft operator or the handling agent sub-contracted to act on their behalf, must ensure that all consignments which are due to be loaded onto a particular flight were:

- delivered by an established employee of a regulated agent;
- covered by valid documentation that had been checked for inconsistencies;
- covered by a valid consignment security declaration;
- checked to establish that there was no evidence of having been tampered with; and
- kept secure since acceptance into the aircraft operator's charge; **OR**
- if accepted as ‘unknown cargo’, have been subjected to the appropriate level of security screening and thus made ‘known cargo’.

10.9 Role of the Regulated Agent

10.9.1 In the same way the **regulated agent** receiving freight consignments must:

- decide on the level of security control to be applied to any given consignment;
- carry out any screening or searching to the required level;
- be satisfied that the level of screening is acceptable; **and**

- protect the consignment from unlawful interference while it is in their custody, particularly after it has been made known.

10.9.2 Where consignments are to be presented to an aircraft operator or another regulated agent (for example a consolidator) as ‘known cargo’, the regulated agent must ensure that all consignments have been:

- delivered by an established employee of a known consignor;
- covered by valid shipping documentation that has been checked and fully describes the contents;
- covered by a valid consignment security declaration;
- checked to establish that there was no evidence of having been tampered with; and
- kept secure since acceptance by the regulated agent; **OR**
- if have been accepted as ‘unknown cargo’ were subjected to the appropriate level of security screening and were thus made ‘known cargo’.

10.9.3 If any freight consignment does not meet the criteria detailed above it should be delivered to the airline or other regulated agent as ‘unknown cargo’.

10.10 Random Checks

10.10.1 In addition both the aircraft operator and the regulated agent should subject consignments of ‘known cargo’ to random checks to establish that the contents are as stated on the accompanying documentation. The proportion of known cargo subjected to such examination should vary with the perceived level of threat. If there are any discrepancies the consignment must be treated as ‘unknown cargo’ and screened or searched accordingly.

10.11. Transshipment Cargo

10.11.1 Cargo and mail arriving by air from outside the transit State, for onward carriage by air, need not be screened or searched provided that it is protected against unauthorized interference at the transit point.

10.11.2 However, transshipment cargo arriving from outside the transit state by road, rail or sea for onward carriage by air that has not been subjected to security controls at the point of departure or en-route, should normally be treated as ‘unknown cargo’ and screened or searched accordingly.

10.12 Documentary Records

10.12.1 There is a requirement for a detailed record or audit trail to be kept by tracking 'known cargo' from the moment that it is designated as 'known cargo' until it is received by the regulated agent or aircraft operator.

10.12.2 This record should include the following:

- a consignment security declaration raised by the originator (known consignor) or entity making a consignment 'known cargo' ; and
- identity checks on person delivering 'known cargo' (all personnel handling known cargo should be established as agents of the consignor, regulated agent or aircraft operator).

10.12.3 The regulated agent receiving >known cargo> should retain the original consignment security declaration and raise their own security declaration for presentation to the aircraft operator or other regulated agent.

Note that if 'known cargo' passes out of the custody of an aircraft operator, regulated agent or known consignor, or their established sub-contracted agent, it reverts to being 'unknown cargo' and must be treated accordingly.

11. STORAGE AND TRANSPORTATION

11.1 Secure Premises

11.1.1 Consignments of 'known cargo' and of 'unknown cargo' which is in the process being made secure, must be held in secure premises. Consignments should be held in a cage, compartment, room, building or compound which is secured against unauthorized access and either made tamper-evident using suitable locks or seals or fitted with an effective Intruder Detection System when unattended.

11.1.2 In buildings where cargo receiving and dispatching doors the doors must be kept open for ventilation, expanded metal screen doors which can be secured should be installed to prevent unauthorized entry of vehicles or personnel.

11.2 Stand-Alone Security

11.2.1 Where the nature of a consignment allows stand-alone security it may be held outside the confines of a cage, compartment, room, building or compound provided the consignment itself is secured, additionally made tamper-evident and under supervision. The means by which the consignment is made tamper-evident should be checked before loading.

11.2.3 The need to provide tamper-evident measures or an Intruder Detection System for consignments or secure premises may be dispensed with provided there is the continuous ability to detect

unauthorized access to the consignments or premises.

11.3 Access Control

11.3.1 As a minimum the following access control measures should be implemented for secure premises involved in the processing or handling of air cargo:

11.3.2 Access control should be in place at specific access control points, and there should be no other means of access into the premises other than through that point or points. Pedestrians should not be permitted to enter or leave cargo buildings through doors intended for use by vehicles.

11.3.3 Each access control point should be either staffed, or secured when not actually in use.

11.3.4 Control of staff and visitors requiring access should be exercised by means of a manual or automated security pass system which meets the minimum requirements of the states restricted security area pass.

11.4 Transportation

11.4.1 Before the cargo is dispatched to either the aircraft or its next storage point it should be checked by an appointed responsible person, who is suitably trained, to ensure that it has not been interfered with in any obvious way as might compromise its security;

11.4.2 Air cargo should only be transported by :

- consignor's, regulated agent's or aircraft operator's own transport; or
- a haulier whose operating procedures and security measures have been approved by the regulated agent or aircraft operator

11.4.3 The vehicle driver should be required to produce identify a valid security pass or company identity document the cargo dispatcher, prior to any air cargo being loaded. The pass or identity document must include a current photographic or visual image of the authorized holder and be valid for a specific period of time.

11.4.4 Immediately prior to loading, the cargo compartment of the vehicle should be searched and the integrity of this search maintained until loading is completed. Unless the consignment or consignments of air cargo have been individually secured or made tamper-evident, the cargo compartment of the vehicle should be secured or made tamper-evident using seals or locks immediately following completion of loading. Curtain sided vehicles should be secured with TIR cords.

11.4.5 The driver should be instructed not to leave the vehicle unattended or make unscheduled stops, (except to make a delivery, to present documents for inspection, or in the case of an emergency). On his return

to the vehicle the driver must always check the security of the load and the integrity of seals and notify the air cargo agent or aircraft operator should there be any evidence of interference.

11.4.6 Aircraft cargo containers and hold containers used for air cargo should be stored in secure conditions in a restricted cargo area within the air-side restricted security area of the airport.

11.5 Security Management

11.5.1 A suitably qualified and trained individual should be formally appointed and trained at each location where air cargo is processed with the overall responsibility to ensure that all the security requirements are enforced. Where organizations are operating at more than one location i.e. at different airports, they should be required to formally appoint a person at each location.

11.5.2 Such persons must receive appropriate security training concerning the states security procedures and responsibilities to ensure the air cargo operation is in full compliance with the states security requirements.

11.6 Pre-Employment Background Checks

11.6.1 All staff employed in the preparation and delivery of air cargo should undergo a pre-employment background check to establish identity and previous experience, including any criminal history. The standard of this background check should equate to that required as part of the assessment of the individual's suitability for unescorted access to a security restricted area.

11.7 Security Training

11.7.1 Staff engaged in the preparation and delivery of air cargo intended to be carried on a passenger carrying aircraft shall be provided with sufficient security awareness training to enable them to understand and carry out their security responsibilities. This training must be carried out before they are allowed access to any cargo consignment that will be dispatched as “known cargo” to another location, airport or aircraft.

— END —