



## II Regulated Agent Security Programme

### 1. Objective of the Programme

The objective of this Programme is to prevent the unauthorised carriage of explosives and incendiary devices in consignments of cargo intended for carriage by air.

### 2. Company Profile

#### 2.1 Nature of Business:

- Freight Forwarding
- Consolidation and Palletization
- Transportation
- Cargo General Sales Agent
- Others (please specify) \_\_\_\_\_

(Please tick the appropriate item(s))

#### 2.2 Sources of cargo received from:

- Manufacturers / Regular consignors
- Walk-in shippers
- Freight Forwarders / Cargo Agents
- Others (please specify) \_\_\_\_\_

(Please tick the appropriate item(s))

#### 2.3 Company Organization

Please attach an organization chart and contact telephone no. of key staff as an appendix

#### 2.4 Post of person(s) responsible for overseeing cargo security operations and their compliance with the Regulated Agent Regime:

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**3. Physical Characteristics of Premises used for Receipt, Processing and Storage of Cargo**

3.1 Type(s) of Warehouse: (Please tick)

Self provided →  Not shared with other company  
 Shared with other company

Sub-contracted, name of contractor \_\_\_\_\_  
Tel: \_\_\_\_\_  
(Please provide a confirmation from the warehouse contractor on the employment of its services)

Not Applicable , please state reason:  
\_\_\_\_\_  
\_\_\_\_\_

3.2 Address(es) of cargo processing / storage area(s) :

Location 1 Operational Hours: \_\_\_\_\_  
Flat / Floor / Building: \_\_\_\_\_  
Street / Estate: \_\_\_\_\_  
District: \_\_\_\_\_

Location 2 Operational Hours: \_\_\_\_\_  
Flat / Floor / Building: \_\_\_\_\_  
Street / Estate: \_\_\_\_\_  
District: \_\_\_\_\_

(Any additional information to be provided on a separate sheet)

3.3 Access control to the cargo processing / storage area(s):

3.3.1 No. of access point(s): \_\_\_\_\_

3.3.2 Description of the access control of personnel (at each access point) to cargo processing / storage area(s):

- Permits/Passes (please attach sample of your company's permits/passes)
- Escort
- Guard, name of security contractor (if applicable) \_\_\_\_\_
- Warehouseman
- Others, please specify \_\_\_\_\_

(Please tick the appropriate item(s))

3.3.3 Description of the control of visitors to cargo processing / storage area(s):

- Permits/Passes (please attach sample of your company's permits/passes)
- Escort
- Others, please specify \_\_\_\_\_

(Please tick the appropriate item(s))

3.3.4 Provision of security installations at cargo processing / storage area(s):

- Perimeter (fences, walls)
- Physical measures (gates/roller shutters etc.) at entry/exit points
- CCTV
- Burglar alarm/intruder detection system
- Other systems, please specify \_\_\_\_\_

(Please tick the appropriate item(s))

3.3.5 Please attach a copy of the floor plan of the warehouse showing the locations of the access points and the security installations in para. 3.3.4.

3.3.6 Security patrols:

- Yes Provided by: \_\_\_\_\_
- No

(Note: Civil Aviation Department may conduct verifications of the security provisions described above)

**4. Cargo Operations**

4.1 Attach sample of Company's Known Consignor Aviation Security Declaration ( Please refer to CAD website for sample of proforma)

4.2 Known Consignor Code System\_\_\_\_\_

(Please provide an example of KC code \_\_\_\_\_)

4.3 Post of staff responsible for maintenance of the list/record of Known Consignors:

\_\_\_\_\_

4.4 Post of staff responsible for revalidation of Known Consignor Aviation Security Declaration every 3 years:

\_\_\_\_\_

4.5 Cargo acceptance

4.5.1 Acceptance of deliveries from consignors:

By own staff

By cargo handling contractor, Please provide :

Name of contractor\_\_\_\_\_

Tel: \_\_\_\_\_

4.5.2 Procedures for application of documentation and appearance check.

Please describe: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## 4.6 Cargo Handling Procedures

4.6.1 (Note: There are 14 channels whereby cargo is handled from consignors to airlines either through agents or direct shipments. These procedures are laid down in the standardized handling procedures published by CAD. Copies could be downloaded from CAD website.)

Please tick the procedure(s) that you will adopt

1	N/A	Known Consignors	→	Airline	
2	<input type="checkbox"/>	Known Consignors	→	Regulated Agent	→ Airline
3	<input type="checkbox"/>	Unknown Consignor	→	Regulated Agent (where security control is applied)	→ Airline
4	<input type="checkbox"/>	Unknown Consignor	→	Regulated Agent (where security control is NOT applied)	→ Designated for carriage on <b>freighters</b> by Airline
5	<input type="checkbox"/>	Unknown Consignor	→	Regulated Agent (where security control is NOT applied)	→ Designated for carriage on <b>passenger aircraft</b> by Airline
6	N/A	Unknown Consignor	→	Non-Regulated Agent	→ Designated for carriage on <b>freighters</b> by Airline
7	N/A	Unknown Consignor	→	Non-Regulated Agent	→ Designated for carriage on <b>passenger aircraft</b> by Airline
8	N/A	Unknown Consignor	→	Designated for carriage on <b>freighters</b> by Airline	
9	N/A	Unknown Consignor	→	Designated for carriage on <b>passenger aircraft</b> by Airline	
10	<input type="checkbox"/>	Known Consignor	→	Regulated Agent	→ Airline (Issue Counter Air Waybill)
11	<input type="checkbox"/>	Unknown Consignor	→	Regulated Agent (where security control is NOT applied)	→ Airline (Issue Counter Air Waybill)
12	<input type="checkbox"/>	Unknown Consignor	→	Regulated Agent (where security control is NOT applied)	→ Designated for carriage on <b>freighters</b> by Airline using Counter Air Waybill
13	<input type="checkbox"/>	Unknown Consignor	→	Regulated Agent (where security control is NOT applied)	→ Designated for carriage on <b>passenger aircraft</b> by Airline using Counter Air Waybill
14	N/A	Known Consignor	→	Airline (Transferring)	→ Airline (Receiving)

N/A = Procedure not applicable to Regulated Agents

**Copies of the adopted procedures should be made available to the staff and CAD for inspection as and when required.**

4.6.2 Inter-agent Handling :

- Yes  
 No

4.6.3 If the answer on the above is “Yes”, please describe your inter-agent activities:

- Co-loading       Tendering cargo to other Regulated Agents  
 Receiving cargo from other Regulated Agents  
(Please attach sample of Regulated Agent Aviation Security Declaration)
- Air waybill assignment       Between Regulated Agents (Please attach sample of Regulated Agent Aviation Security Declaration if you assign air waybills to other Regulated Agent and/or your company’s Form of undertaking if you borrow air waybills from other Regulated Agent)  
 Between RA and non-RA

**(Note: Copies of the adopted procedures should be made available to the staff and CAD for inspection as and when required.)**

4.6.4 Post of person responsible for maintenance of the list/record of co-loading agents:

\_\_\_\_\_

4.7 Security control on Unknown Cargo

4.7.1 Security control methods for screening of "Unknown Cargo" (i.e. cargo from unknown consignors or non-Regulated Agents):

- Hand Search (Note: Standard procedures are obtainable from CAD & Copies of the adopted procedures should be made available to the staff and CAD for inspection as and when required.)
- X-ray→       Conducted by security service providers whose facilities and personnel have met CAD requirements  
 Self provided, equipment and its location:

\_\_\_\_\_  
\_\_\_\_\_

- Holding for a minimum of 12 hours or flight time plus 2 hours, whichever is the longer (Note: ‘holding’ can be applied as a security control measure only when a consignment cannot be screened by X-ray, hand search, simulation chamber or other acceptable positive means of screening due to its nature.)

- Others, please specify \_\_\_\_\_

(Please tick the appropriate item(s))

4.7.2 Post of person responsible for overseeing security control:

\_\_\_\_\_

4.7.3 Method to segregate unknown cargo from known cargo:

- Special Assigned Storage Area (Please indicate the location in the floor plan)
- Labelling (Please attach a sample of your company's label)
- Others, please specify\_\_\_\_\_

(Please tick the appropriate item(s))

4.7.4 If you use a shared/contractor's warehouse, method(s) to distinguish your cargo from other agents' cargo is/are:

- Special Assigned Storage Area (Please indicate the location in the floor plan)
- Labelling (Please attach a sample of your company's label)
- Others, please specify\_\_\_\_\_

(Please tick the appropriate item(s))

**5. Command and Control**

5.1 Employment of Contractors to perform cargo handling and security, e.g. cargo acceptance, security control, processing, storage, transportation, etc.:

Yes

No

5.2 If the answer on the above is “Yes”, please describe how you will monitor your contractor's performance:

On-site command and supervision by your company staff. Please specify post of staff responsible\_\_\_\_\_

Regular meeting with contractor. Please specify frequency\_\_\_\_\_

Others, please specify

\_\_\_\_\_  
\_\_\_\_\_

(Please tick the appropriate item(s))

**6. Random X-ray Screening of cargo received from known consignors**

*6.1 With effect from 1 January 2007, all Regulated Agents shall arrange to conduct random screening, preferably on a monthly basis, of a minimum of 1% (in weight) by x-ray of the cargo received from their known consignors which is booked to be carried on board passenger aircraft. Such records should be kept for at least 2 years.*

6.2 Post of person responsible for overseeing the checks:

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6.3 Post of person responsible for maintenance of random x-ray screening records:

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**7. Training**

7.1 (CAD requires that each Regulated Agent should arrange to have at least two staff members attended & completed training programme acceptable to CAD)

Trained Person 1

Name of staff attended the RA Training Course:  
(Please attach the Training Certificate) \_\_\_\_\_

RA Training Course Organizer: \_\_\_\_\_

Date of Training: \_\_\_\_\_

Trained Person 2

Name of staff attended the RA Training Course:  
(Please attach the Training Certificate) \_\_\_\_\_

RA Training Course Organizer: \_\_\_\_\_

Date of Training: \_\_\_\_\_

(Additional information to be provided on a separate sheet.)

7.2 Provision of Security Awareness Training

*All staff and contractors involved on cargo handling should be trained to understand the principles of RAR and the cargo handling procedures. Records of internal training should include the names of the trainees, date and type of training as well as certification by the company trainer and such records should be maintained for at least 3 years.*

7.2.1 Post of person in charge of internal training and maintenance of the training records: \_\_\_\_\_

7.2.2 No. of staff engaged in cargo operations in relation to RAR: \_\_\_\_\_

7.2.3 Scope of security awareness training:

- a) Induction
- b) Refresher (frequency\_\_\_\_\_)

7.3 Training materials:

- Company's Regulated Agent Security Programme
- CAD's Standardised Handling Procedures
- Company's Cargo Handling Manual
- Others, please specify: \_\_\_\_\_

(Please tick the appropriate item(s))

7.4 Regular updating of staff about RAR, please state method (e.g. circulars, briefing):

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## **9. Maintenance of Shipping Documents**

9.1 Relevant shipping documents required to be maintained for at least 31 days. These will include the following: -

- a) Shipper's Letter of Instructions
- b) House Air waybill
- c) Master Air waybill
- d) Manifest
- e) Air waybill assignment – Form of Undertaking
- f) Record of security controls applied on unknown cargo
- g) Shipping documents to/from other agents
- h) Reception Check List

9.2 Post of staff responsible for keeping the above shipping documents:

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## 10. Contingency Plan

10.1 Action to be taken for dealing with cargo that does not pass through security control and the incident reporting procedures:

Please describe:

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10.2 Action to be taken for dealing with cargo that is suspected to have been tampered with and the incident reporting procedures:

Please describe:

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## **11. Appendices**

- |       |  |                    |
|-------|--|--------------------|
| 11.1  | Company Organisation Chart and contact telephone no. of key staff                                  | (2.3)              |
| 11.2  | Confirmation from warehouse contractor(s) on employment of service(s) (if applicable)              | (3.1)              |
| 11.3  | Sample of staff permits/passess (if applicable)  | (3.3.2)<br>(3.3.3) |
| 11.4  | Warehouse Floor Plan (if applicable)   | (3.3.5)            |
| 11.5  | Company's Known Consignor Aviation Security Declaration (please refer to Annex 1)                  | (4.1)              |
| 11.6  | Company's Regulated Agent Aviation Security Declaration (if applicable) (please refer to Annex 2)  | (4.6.3)            |
| 11.7  | Company's Form of Undertaking for Air Waybill Assignment (if applicable) (please refer to Annex 3) | (4.6.3)            |
| 11.8  | Company's label for segregation of unknown cargo from known cargo (if applicable)                  | (4.7.3)            |
| 11.9  | Label for distinguishing company's cargo from other agents' cargo (if applicable)                  | (4.7.4)            |
| 11.10 | Training Certificate(s)  | (7.1)              |

### III Declaration

We hereby declare that our company applies to register as a Regulated Agent. We agree that once registered as a Regulated Agent, our company is obliged to maintain a Regulated Agent Security Programme and comply with the requirements in respect of the Regulated Agent in the Hong Kong Aviation Security Programme and any directions promulgated by the Civil Aviation Department from time to time. We understand that any failure to comply with the RA requirements by my company will result in my RA registration to become invalid. We also understand that while remaining as a Regulated Agent, our company will be subject to inspections by officers of the Civil Aviation Department.

For and on behalf of

_____	_____
Company Name	Date
_____	
Signature	
_____	_____
Name and Position	Company Chop

After completion please return this form to **Airport Standards Division, Civil Aviation Department** either by mail to **Room 6T067 Passenger Terminal Building, Terminal 1, Hong Kong International Airport** or by fax to no. 2362 4257. For any enquiries, please contact our Officers at tel no. 2182 1215 or 2183 1247.

### IV Personal Information Collection Statement

Information collected from you will be used only for processing your application for registration as regulated agent. If you are accepted as a Regulated Agent, your company name, Regulated Agent Code and Business Registration Certificate No. will be provided to airlines and cargo terminal operators for verification upon cargo acceptance. Your company name and Regulated Agent Code may be published for information to members of the public. You have the right to access to the data about you held by this department. If you wish to access to the information, please write to Airport Standards Division, Civil Aviation Department, Rm. 6T067, Passenger Terminal Building, 1 Cheong Hong Road, Hong Kong International Airport, Lantau.

<b>For Official Use</b>			
Recommended by _____	Date _____	Checked by _____	Date _____
RA Code _____		Effective Date _____	
Remarks :			

**Known Consignor Aviation Security Declaration#**

1. On behalf of \_\_\_\_\_\* (Name of Known Consignor) I, the undersigned, confirm that, unless otherwise stated, all consignments of goods consigned for carriage by air by \*me/my company to \_\_\_\_\_(Name of Regulated Agent/Airline (Aircraft) Operator) :

- i) do not contain any explosive or incendiary device;
- ii) are protected to my best endeavour against unauthorized interference during preparation, storage and transportation.
- iii) are prepared by reliable staff employed by \*me/my company.

2. I agree that the packaging and contents of the consignments may be examined for security reasons.

<b>Signature of Known Consignor</b>	<b>Company Chop</b>
<b>Name (Block Letters)</b>	<i>Sample</i>
<b>Position</b>	
<b>Company Address</b>	
<b>Company Business Registration Certificate No. (if applicable)</b>	

\* delete as appropriate

# this declaration is renewable every 3 years

## Regulated Agent Aviation Security Declaration

### For Inter-Regulated Agent Handling

1. On behalf of \_\_\_\_\_(Name of Regulated Agent) I, the undersigned, confirm that, unless otherwise stated, all consignments of goods consigned for carriage by air by \*me/my company to \_\_\_\_\_(Name of Receiving Regulated Agent) will not contain any explosive or incendiary device and are protected to my best endeavour against unauthorized interference during preparation, storage and transportation.
  
2. I agree that the packaging and contents of the consignments may be examined for security reasons.
  
3. I agree that I shall immediately notify \_\_\_\_\_(Name of Receiving Regulated Agent) once my RA status is removed from the CAD Register

<b>Regulated Agent Code registered under the Civil Aviation Department</b>	
<u>Name of Person in Charge</u> <b>(Block Letters)</b>	<b>Signature &amp; Company Chop</b>
<u>Position</u>	<b>II    Date</b>
<b>Company Address</b>	

This is a one-off declaration.

\* delete as appropriate



**Note: This form can be used only between Regulated Agents (RAs), both RAs should read carefully all the instructions in the Inter-RA AWB handling procedure. This form should be printed on Company Letterhead of RA(2).**

Form of Undertaking for Inter-RA AWB Handling

<b>III Section I</b>	
From: _____ [Name of AWB Assignee - RA(2)] RA Code: _____	To: _____ [Name of AWB Issuing Agent - RA(1)] RA Code: _____
[To be completed by the AWB Assignee - RA(2)] <b>As an AWB Assignee, I confirm that the cargo tendered under the AWB No. _____</b>	
<b>Section II</b>	
<p><i>(Please tick only one box after you have tendered the consignment to Cargo Terminal Operator:)</i></p> <p><input type="checkbox"/> <b>is Known Cargo</b>          In the event of Known Cargo, as RA(2), I have:</p> <ol style="list-style-type: none"> <li>1.) annotated code of RA(1) on the “Signature of issuing Carrier or its Agent” box of the AWB.</li> <li>2.) Tendered the consignment to the Cargo Terminal Operator (CTO).</li> <li>3.) Delivered the air waybill and RCL to the Airline.</li> <li>4.) Completed Section II in the Form of undertaking and returned to RA(1) for record purpose.</li> </ol> <p><input type="checkbox"/> <b>is Unknown Cargo for Carriage on board Passenger Aircraft</b>          In the event of Unknown Cargo, as RA(2), I have:</p> <ol style="list-style-type: none"> <li>1.) annotated “RA/UNK” on the “Signature of issuing Carrier or its Agent” box of the AWB.</li> <li>2.) Tendered the consignment to the CTO</li> <li>3.) Notified the CTO by the form – Declaration of Export Consignment (Bulk or Prepacked Unit) if selects the CTO to provide security control (e.g. X-ray service).</li> <li>4.) Delivered the air waybill and RCL to the Airline.</li> <li>5.) Completed Section II in the Form of undertaking, returned the form and the RCL copy to RA(1) for record purpose.</li> </ol> <p><input type="checkbox"/> <b>is Unknown Cargo to be carried by Freighter</b>          In the event of Unknown Cargo by Freighter, as RA(2), I have:</p> <ol style="list-style-type: none"> <li>1.) Inserted below statement on the air waybill’s “handling information” column.              “FOR THE SOLE PURPOSE OF HK AVIATION SECURITY PROGRAMME, THE CARGO IS              TENDERED FOR CARGO AIRCRAFT ONLY”</li> <li>2.) Tendered the consignment to the CTO</li> <li>3.) Delivered the air waybill and RCL to the Airline.</li> <li>4.) Completed Section II in the Form of undertaking and returned it to RA(1) for record purpose.</li> </ol>	
<b>Section III</b>	

In order that we are able to use the said AWB for carriage of the aforementioned goods by air, we hereby guarantee to fulfil all the responsibilities of a RA and comply with requirements laid down in the Regulated Agent Regime.

\_\_\_\_\_ (Authorized Signature of AWB Assignee RA(2))  
 \_\_\_\_\_ (Person in Charge/ Name in Block Letter)  
 \_\_\_\_\_ (Position)  
 \_\_\_\_\_ (Date)

\_\_\_\_\_ (Company Chop)