



## **Application for Registration as Regulated Agent (RA)**

**Civil Aviation Department  
The Government of the Hong Kong Special Administrative Region**

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## **Part III – Declaration**

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## Part I – Application Notes

### Section 1 – General Information

- (1) Applicant should read this part carefully for guidance on the completion of this application form and the submission of the relevant documents.
- (2) Applicant must complete all applicable parts in block letters using black or blue pen if the form is completed by hand.
- (3)  Please tick in the appropriate box.
- (4) No fee will be charged for the application for registration as a Regulated Agent (RA).
- (5) The processing time for an application is 14 working days, counted from the date of receipt of ALL required documents for the application.
- (6) Completed application form, together with required documents shall be submitted to Aviation Security Section, Airport Standards Division, Civil Aviation Department (CAD) by one of the following methods:-
  - by mail to Level 5, Office Building, Civil Aviation Department Headquarters, 1 Tung Fai Road,  
Hong Kong International Airport, Lantau, Hong Kong SAR
  - by fax to 2362 4257
  - by e-mail to [rar@cad.gov.hk](mailto:rar@cad.gov.hk)

For any enquiries, please contact Civil Aviation Department at 2910 6880.

### Section 2 – Special Information

- (7) CAD may not be able to process the application before all necessary documents are received by CAD.
- (8) In the course of processing the application, documents may be requested during or after the on-site inspection.
- (9) Part II – Regulated Agent Security Programme (RASP) shall be implemented in conjunction with the Handling Procedures for Regulated Agent Regime, notices and other directions issued by CAD from time to time.
- (10) The requirements and measures as described in this document are for fulfilling CAD's security requirements for air cargo exported from Hong Kong. Applicant is reminded to check with respective aircraft operators (airlines) for specific requirements, if any, of other jurisdictions / countries to which the export cargo are tendered.
- (11) Any alternative means to satisfy the requirements set out in Part II – RASP or any additional information about the application shall be provided / explained in separate sheets for consideration by CAD.
- (12) Anyone, while having dealings of any kind with the CAD, should not offer advantage to the CAD officers, or else he may commit an offence under section 4(1) and/or section 8 of the Prevention of Bribery Ordinance (Chapter 201 of Laws of Hong Kong), and be liable to a maximum penalty of a fine of \$500,000 and imprisonment for 7 years.

## **Part I – Application Notes**

### **Section 3 – Data Privacy**

#### (1) Purpose of Collection

The personal data provided by means of this form, including all the supporting documents included in the application, will be used by CAD for the following purposes:

- a. Processing of your application in this form;
- b. Carrying out relevant provisions of the Aviation Security Ordinance (Chapter 494) and its subsidiary Regulations;
- c. Assisting in the enforcement of any other Ordinances and Regulations by other Government Bureaux and Departments;
- d. For communication purposes between CAD and yourself;
- e. For validation and verification of authenticity of your supporting documents in association with the application;
- f. For statistics and research purposes on the condition that the resulting statistics or results will not be made available in a form which will identify the data subjects.

It is obligatory for you to supply the personal data as required in this form. If you fail to supply the required data, we may not be able to process your application.

#### (2) Classes of Transferees

Once registered as a Regulated Agent, the company name, Regulated Agent Code and Business Registration Certificate Number may be provided to aircraft operators (airlines) or their agents (e.g. cargo terminal operators) for verification upon cargo acceptance. The company name and Regulated Agent Code will also be published to the public for information.

All data including the personal data you provided by means of this form may be disclosed to:

- a. Other Government Bureaux and Departments for the purposes mentioned in paragraph 1 above;
- b. Other Contracting States of the International Civil Aviation Organisation and Civil Aviation Authorities for the purposes mentioned in paragraph 1 above;
- c. Other organisations or agencies for execution of their duties as required by CAD.

#### (3) Access to Personal Data

You have a right of access and correction with respect to personal data as provided for in Sections 18 and 22 and Principle 6 of Schedule 1 of the Personal Data (Privacy) Ordinance (Cap. 486). Your right of access includes the right to obtain a copy of your personal data provided by this form.

#### (4) Enquiries

Enquiries concerning the personal data collected by means of this form, including the making of access and correction, should be addressed to:

Aviation Security Section, Airport Standards Division, Civil Aviation Department, Level 5, Office Building, Civil Aviation Department Headquarters, 1 Tung Fai Road, Hong Kong International Airport, Lantau, Hong Kong SAR.

## Part II – Regulated Agent Security Programme

### Section 1 – Programme Objective

The objective of this programme is to prevent the unauthorized carriage of explosives and incendiary devices in the consignments of cargo intended for carriage on commercial aircraft.

### Section 2 – Particulars of Regulated Agent

(a)	Company Name (English)	<i>(as appeared on Business Registration Certificate)</i>		
	(Chinese)	<i>(as appeared on Business Registration Certificate)</i>		
(b)	Address	<i>(as appeared on Business Registration Certificate)</i>		
(c)	Correspondence Address	<i>(if different from the above address)</i>		
(d)	Business Registration Certificate (BRC) Number	<input type="text"/>	(e)	Expiry Date of the BRC <i>(dd/mm/yyyy)</i>
		<input type="text"/>		
(f)	Regulated Agent (RA) Code	<i>(For existing valid RA only. If not, please fill in "N/A".)</i>		
(g)	Regulated Air Cargo Screening Facility (RACSF) Code	<i>(For existing valid RACSF only. If not, please fill in "N/A".)</i>		

### Section 3 – Particulars of Person-In-Charge (PIC)

<u>Person-In-Charge</u>			
(a)	The Person-In-Charge (PIC) of RA shall be the management personnel of the company (e.g. director, company secretary or equivalent) responsible and accountable to the RA.		
(b)	Full Name of PIC	(English)	<i>(as appeared on HKID / passport)</i>
		(Chinese)	<i>(as appeared on HKID / passport)</i>
(c)	Position in Company		
(d)	Contact Phone Number	(e)	Fax Number
(f)	E-mail Address		

## Part II – Regulated Agent Security Programme

### Section 4 – Company Organization

The PIC shall nominate two persons as Nominated Persons (NPs) for Cargo Security accountable for overseeing the effective implementation of cargo security operations and their compliance with the requirements of the Regulated Agent Regime (RAR), including the requirements in this Regulated Agent Security Programme (RASP). The PIC shall ensure that the two NPs have attended and completed a Regulated Agent Regime (RAR) training programme acceptable to CAD.

(a) Nominated Person for Cargo Security

(i)	Full Name			
	(English)	<i>(as appeared on HKID / passport)</i>		
	(Chinese)	<i>(as appeared on HKID / passport)</i>		
(ii)	Position in Company			
(iii)	Contact Phone Number		(iv) Fax Number	
(v)	E-mail Address			
(vi)	Completion Date of Training Course	<i>(dd/mm/yyyy)</i>		
(vii)	Name of Training Institute			
(viii)	Date of Passing Revalidation Test <i>(if any)</i>	<i>(dd/mm/yyyy)</i>		

(b) Second Nominated Person for Cargo Security

(i)	Full Name			
	(English)	<i>(as appeared on HKID / passport)</i>		
	(Chinese)	<i>(as appeared on HKID / passport)</i>		
(ii)	Position in Company			
(iii)	Contact Phone Number		(iv) Fax Number	
(v)	E-mail Address			
(vi)	Completion Date of Training Course	<i>(dd/mm/yyyy)</i>		
(vii)	Name of Training Institute			
(viii)	Date of Passing Revalidation Test <i>(if any)</i>	<i>(dd/mm/yyyy)</i>		

(c) Total Number of Staff Members

(d) Total number of staff members with access to consignment designated as air cargo and/or related shipping documents

(e) Please provide an organization chart of your company containing the key staff members.

## Part II – Regulated Agent Security Programme

### Section 5 – Security Awareness Training

As mentioned in Part II Section 4, the two NPs should have attended and completed an RAR training programme before commencing RA operation. Copies of their training certificates shall be provided to CAD prior to the Pre-registration inspection. Their RAR Training Certificates carry a validity of 3 years. They have to be revalidated and successfully passed the Revalidation Test before the expiry of the RAR Training Certificate.

All other staff members of each RA and of its contractors with access to consignment designated as air cargo and/or related shipping documents shall be required to complete both initial and recurrent training to understand the principles of the air cargo security regime in Hong Kong (including Regulated Agent Regime (RAR)) and requirements for RA.

Security awareness training shall be conducted by one of the NPs mentioned above or a trainer with equivalent qualification. The RA is also responsible to maintain the training records which shall include the names of trainees, date and type of delivery as well as endorsement by the trainer for at least 3 years.

	(a) Personnel conducting Internal Security Awareness Training	<input type="checkbox"/> NP <input type="checkbox"/> Other Trainer	[Complete (c)] [Complete (b) and (c)]
	Details of the Other Trainer (where applicable)		
	(b)	(i) Name of Trainer	
		(ii) Post	
		(iii) Company of Trainer	
	(c)	Intended Frequency of Recurrent Training	
	(d) Training Material	<ul style="list-style-type: none"> <li>◆ Company's Regulated Agent Security Programme;</li> <li>◆ Handling Procedures for Regulated Agent Regime, notices and other directions issued by CAD from time to time; and</li> <li>◆ Material of the training programme from the training institutes acceptable to Civil Aviation Department</li> </ul>	

### Section 6 – Scope of Cargo Operations

The staff member(s) of my company and/or my contractor(s) are engaged in physical handling of, or visual check on, the consignments designated as air cargo (i.e. involved in physical cargo acceptance, processing, storage and/or transportation). *(tick the appropriate box)*

Yes [Continue below]       No\* [Go to Section 10]

\* Please provide a written explanation in separate sheets for consideration by Civil Aviation Department.

## Part II – Regulated Agent Security Programme

### Section 7 – Cargo Acceptance

(a)	Cargo Acceptance By <i>(more than one box can be selected)</i>	<input type="checkbox"/> Own Staff Members	<input type="checkbox"/> Warehouse Contractor		
		<input type="checkbox"/> Transportation Contractor			
<u>Acceptance Procedures</u>					
(b)	(i) Documentation Check	<ol style="list-style-type: none"> <li>1. Consignment of cargo shall be accompanied by shipping documents, including Master Air Waybill (where applicable) and House Air Waybill / Shipper's Letter of Instruction.</li> <li>2. The shipping documents shall contain at least the following information.                             <ul style="list-style-type: none"> <li>- nature / content of the consignment,</li> <li>- quantity of the consignment (including weight, number of packages, dimension / volume),</li> <li>- known consignor code of the tendering known consignor (KC) validated by the CAD, if the consignment is directly received from a KC,</li> <li>- regulated agent code of the tendering regulated agent (RA), if the consignment is received routing through another RA;, and</li> <li>- security status of the cargo consignment (if any) as required in Part II Section 8.3 and 10.2 if the consignment is received from a KC or RA.</li> </ul> </li> <li>3. The status of the KC or the tendering RA shall be checked (e.g. checking KC code or RA code against Civil Aviation Department's register).</li> <li>4. If in doubt, the identity of the person delivering the cargo consignment shall be verified (e.g. check of company identification document) to ascertain that the person is the authorized representative of the KC, the tendering RA, the warehouse contractor or the transportation contractor.</li> </ol>			
	(ii) Appearance Check	<ol style="list-style-type: none"> <li>1. The quantity (e.g. number of cartons), weight, dimension and the outer physical appearance of the cargo consignment shall be reasonably checked against the information contained in the shipping documents mentioned in Part II Section 7(b)(i).</li> <li>2. The packaging of the consignment shall be examined for any signs of tampering and suspicion, such as:-                             <ul style="list-style-type: none"> <li>◆ signs of reseal or forcible opening, or</li> <li>◆ unreasonable packaging, or</li> <li>◆ wires, oil stains or other indications that the consignment may contain explosives or incendiary devices.</li> </ul> </li> </ol>			
Where there is any unresolved tampering, suspicion or discrepancy, the cargo shall be treated as Unknown Cargo and subject to the security control stipulated in Part II Section 8.3(b).					

## Part II – Regulated Agent Security Programme

### Section 8 – Cargo Processing and Storage

#### 8.1 Particulars of Service

(a) My company will provide cargo processing and storage service by my company's or contracted warehouses. <i>(tick the appropriate box)</i>	<input type="checkbox"/> Yes [Continue below] <input type="checkbox"/> No [Go to Section 9]
(b) Type of Warehouse <i>(tick the appropriate box)</i>	<input type="checkbox"/> Self-provided [Go to (d)] <input type="checkbox"/> Contracted out [Continue below]
(c) <u>Warehouse Contractor</u> <i>(if any)</i>	
(i) Name of Warehouse Contractor (English)  (Chinese)	(as appeared on Warehouse Contractor Declaration referred in part (v) below)  (as appeared on Warehouse Contractor Declaration referred in part (v) below)
(ii) Contractor's Person-In-Charge	(as appeared on Warehouse Contractor Declaration referred in part (v) below)
(iii) Contact Phone Number	
(iv) Monitoring of Contractor Performance <i>(more than one box can be selected)</i>	<input type="checkbox"/> On-site Command and Supervision  <input type="checkbox"/> Regular Meeting with Contractor Frequency: _____  <input type="checkbox"/> Others Please specify. _____
(v) The Warehouse Contractor Declaration shall be duly completed by the warehouse contractor and submitted to my company #	
(d) Sharing of Warehouse <i>(tick the appropriate box)</i>	<input type="checkbox"/> Yes. Shared with other company. [Continue below] <input type="checkbox"/> No. Not shared with other company. [Go to (f)]
(e) Method to distinguish your company's cargo from other agents' cargo.	<input type="checkbox"/> Specially assigning storage area. <input type="checkbox"/> Labelling. Please provide a sample of your company's cargo label. <input type="checkbox"/> Others. Please specify. _____
(f) Warehouse Address	

# The standard Warehouse Contractor Declaration is available in Civil Aviation Department's website:- <http://www.cad.gov.hk/english/newrarform.html>.

## Part II – Regulated Agent Security Programme

### 8.2 Warehouse Security

Premises for processing and storage of consignments of air cargo shall be secured and access controlled to prevent and detect unauthorized access.	
(a) Physical Security	<p><u>Compulsory Measures</u></p> <ul style="list-style-type: none"> <li>(i) Physical barriers, such as fences, gates and walls, shall be in place to protect the premises for processing and storing the consignment against unauthorized access.</li> <li>(ii) All doors, gates, roller shutters or other access points to the consignments shall be closed, locked or guarded when not in use.</li> <li>(iii) Regular inspections on physical barriers shall be carried out.</li> <li>(iv) Personnel doors and vehicle access gates shall be used so as to ensure access control over entry and exit. These doors shall also be locked or guarded when not in use.</li> <li>(v) All areas processing and storing Known Cargo shall be under CCTV surveillance and recording.</li> </ul> <p><u>Additional Measures</u></p> <ul style="list-style-type: none"> <li>(i) If ventilation is needed, lockable metal screen doors may be installed.</li> <li>(ii) Doors, gates and roller shutters should, where applicable, be equipped with intrusion detection devices, alarms, CCTV or other means of protection against intrusion.</li> <li>(iii) Security personnel patrol is carried out at the premises, in particular the cargo processing and storage facilities.</li> <li>(iv) Only vehicles involved in cargo transportation should be allowed to enter and park inside cargo loading or unloading area.</li> </ul>
(b) Access Control	<p><u>Compulsory Measures</u></p> <ul style="list-style-type: none"> <li>(i) Access to cargo facilities and areas shall be restricted to individuals with an operational need for access.</li> <li>(ii) Identity check is conducted to ensure that persons entering the facilities, including staff members and visitors, are authorized to enter the facilities.</li> <li>(iii) Gates through which vehicles and/or personnel enter or leave are manned by security personnel or monitored by automated devices.</li> </ul> <p><u>Additional Measures</u></p> <ul style="list-style-type: none"> <li>(i) Security devices are installed at gates and doors.</li> <li>(ii) All persons, including staff members and visitors, are required to visibly display permits. If permit is used as a means of controlling access to warehouse, please provide a sample of the permit.</li> </ul>

## Part II – Regulated Agent Security Programme

### 8.3 Known Cargo (SPX Cargo) and Unknown Cargo (UNK Cargo)

<p>(a) Definition</p>	<p><b>Known Cargo (SPX cargo)</b> is a consignment of cargo which has been subjected to appropriate security screening acceptable to CAD (i.e. screened cargo); or a consignment of cargo received from a Known Consignor (KC) validated by the CAD (i) direct or (ii) consigned through a Regulated Agent (RA). SPX cargo is secure for carriage onboard commercial aircraft.</p> <p>Whereas</p> <p><b>Unknown Cargo (UNK cargo)</b> is either:-</p> <ul style="list-style-type: none"><li>(a) any cargo other than Known Cargo as defined above; or</li><li>(b) any Known Cargo which passes out of the custody of an aircraft operator (airline), an Regulated Air Cargo Screening Facility (RACSF), an RA, a KC or their appropriate warehouse / cargo processing contractors or transportation service contractors.</li></ul>
<p>(b) Security Control</p>	<p>UNK cargo shall be cleared by appropriate security screening acceptable to CAD prior to acceptance as SPX cargo. My company shall engage RACSFs, Cargo Terminal Operators or other screening operators accepted by the CAD to conduct security screening on UNK cargo. UNK cargo shall be security cleared before being loaded onto aircraft.</p> <p>The security screening shall be carried out with an objective to detect the presence of concealed explosives or incendiary devices in consignments of cargo intended for carriage on aircraft.</p>

## Part II – Regulated Agent Security Programme

### 8.4 Segregation of Cargo

Segregation of Known	Known Cargo (SPX cargo) shall be segregated from UNK cargo by:-
(a) Cargo from Unknown Cargo	<input type="checkbox"/> Specially assigning separate storage areas for SPX cargo and UNK cargo <input type="checkbox"/> Labelling. - Please provide a sample of the “SPX” label and the “UNK” label. - Stock of labels should be appropriately controlled and safeguarded from tampering. Others. Please specify. _____
(b) Prevention of unlawful interference on Known Cargo	(i) Known Cargo shall be held in cages, compartments, rooms or buildings that are secured against unauthorized access or its packaging has been made tamper-evident by using seals or locks, or other means of protection against unlawful interference when consignments are left unattended.  (ii) If Known Cargo has to be consolidated or further processed before loading onto trucks, RA shall provide continuous monitoring of the Known Cargo by personnel and supplement by CCTV surveillance and recording. In the event that CCTV surveillance and recording of Known Cargo and consolidated cargo is not feasible, RA shall put in place alternative means to ensure the security of the cargo concerned (such as applying secure transportation (ST) means accepted by CAD immediately after consolidation, including having the cargo wrapped in tamper-evident wrapping sheets / covers / nets). RA shall obtain consent from the landlord where appropriate and all relevant legal requirements shall be complied with for using any areas for air cargo processing. RA shall exercise due diligence to ensure that the use by and safety of other users of the area is not to be compromised as a result of the cargo handling / consolidation operations.

### 8.5 Warehouse Floor Plan

RA shall provide a floor plan of the warehouse showing the locations of:-
<ul style="list-style-type: none"><li>◆ access points and security installations stipulated in Part II Section 8.2, and</li><li>◆ specially assigned storage areas specified in Part II Section 8.1(e) and 8.4(a) if any.</li></ul>

## Part II – Regulated Agent Security Programme

### Section 9 – Chain of Custody – Secure Transportation

#### 9.1 Particulars of Service

(a)	My company will provide cargo transportation service on my own or by contracted service providers. <i>(tick the appropriate box)</i>	<input type="checkbox"/> Yes [Continue below] <input type="checkbox"/> No [Go to Section 10]
(b)	Type of Transportation Service <i>(tick the appropriate box)</i>	<input type="checkbox"/> Self-provided [Go to Section 9.1(d) below] <input type="checkbox"/> Contracted out [Continue below]
(c) <u>Transportation Contractor</u> <i>(if applicable)</i>		
(i)	Name of Transportation Contractor	(English) <i>(as appeared on Transportation Contractor Declaration referred in part (v) below)</i>  (Chinese) <i>(as appeared on Transportation Contractor Declaration referred in part (v) below)</i>
(ii)	Contractor's Person-In-Charge	<i>(as appeared on Transportation Contractor Declaration referred in part (v) below)</i>
(iii)	Contact Phone Number	
(iv)	Monitoring of Contractor Performance <i>(more than one box can be selected)</i>	<input type="checkbox"/> On-site Command and Supervision <input type="checkbox"/> Regular Meeting with Contractor Frequency: _____ <input type="checkbox"/> Others Please specify. _____
(v)	The Transportation Contractor Declaration shall be duly completed by the transportation contractor and submitted to my company.#	
(d)	My company (or transportation contractor) will provide secure transportation for SPX cargo <i>(tick the appropriate box)</i>	<input type="checkbox"/> Yes. <input type="checkbox"/> My company will transport cargo screened at RACSFs to CTOs direct <input type="checkbox"/> My company will take back cargo screened at RACSFs to my warehouse for palletization, then transport to CTOs <input type="checkbox"/> My company will receive cargo tendered by validated Known Consignors [Go to Section 9.2]  <input type="checkbox"/> No. My company will <u>not</u> be involved in transporting cargo screened at RACSFs or tendered by validated Known Consignors [Go to Section 10 while requirements in section 9.2(a) and (b)(i)-(ii) remain applicable]

# The standard Transportation Contractor Declaration is available in Civil Aviation Department's website:- <http://www.cad.gov.hk/english/newrform.html>.

## Part II – Regulated Agent Security Programme

### 9.2 Measures of Transportation Security

<p>(a) Driver</p>	<p><u>Compulsory Measures</u></p> <p>(i) Driver shall present to the cargo dispatcher an identity card, passport, driving licence or other document, containing a photograph of the driver for verification before any cargo is loaded.</p> <p>(ii) The vehicle shall not be left unattended or shall not make unscheduled stop (except for emergency). If it is unavoidable to leave the vehicle unattended, the security of the consignment and the integrity of seals or locks shall be checked for any sign of tampering, suspicion or evidence of unlawful interference. If any such sign or evidence is found, the supervisor of the driver shall be notified and the consignment will not be delivered unless the receiving RA, RACSF or aircraft operator (airline) is notified of that at delivery.</p> <p><u>Additional Measures</u></p> <p>(i) There should also be evidence on the cargo documentation showing the identification of the driver designated to deliver the consignment for verification purpose.</p>
<p>(b) Vehicle</p>	<p><u>Compulsory Measures</u></p> <p>(i) Immediately prior to loading, the load compartment shall be searched and the integrity of this search maintained until loading is completed.</p> <p>(ii) All vehicles used in the transportation of air cargo are secured immediately following the completion of loading against unlawful interference at all times.</p> <p>(iii) Known Cargo stipulated in Section 8.3(a) shall be protected from unlawful interference by using one of the Secure Transportation (ST) means accepted by CAD until it is accepted by cargo terminal operator (CTO):</p> <ul style="list-style-type: none"> <li>◆ For box trucks, locks with numbered tamper-evident seals should be used, and the RA should demonstrate that access to such seals or locks is controlled and that the numbers (for numbered tamper-evident seals) are properly recorded to ensure traceability.</li> <li>◆ In respect of open truck where the cargo is palletised and tamper-evident seals or locks cannot be effectively applied, the palletised cargo should be properly secured by appropriate tamper-evident wrapping sheets / covers / nets through which the integrity of air cargo consignments can be easily detected. Other alternative means or technology applications to protect cargo on open trucks, e.g. real-time monitoring by using CCTV cameras, may also be accepted subject to CAD’s assessment.</li> </ul> <p>(iv) If tamper-evident means are used to secure vehicles transporting air cargo, their integrity shall be verified before the receipt of cargo by the next entity. In particular, if numbered tamper-evident seals are used, serial number of seals applied shall be verified by receiving entity in accordance with the prior declaration of the tendering entity.</p> <p>(v) If numbered tamper-evident seals are used, access to such seals shall be controlled and the seal numbers shall be recorded.</p>

## Part II – Regulated Agent Security Programme

### 9.2 Measures of Transportation Security (Cont'd)

(b) Vehicle (Cont'd)	<p><u>Proposed Secure Transportation (ST) means* (see (b)(iii) above)</u></p> <p>(1) <u>If Box Trucks are used:</u></p> <p><input type="checkbox"/> Locks with numbered tamper-evident seals (Serial number of security seals shall start with a 3-letter company code (in CAPITAL letters) of the RA / its contractor, followed by 7 characters (can be any combination of numbers and CAPITAL letters).)</p> <p>(2) <u>If ULD containers are used:</u></p> <p><input type="checkbox"/> With metal door and equipped with numbered tamper-evident seals and locks (Serial number of security seals shall start with a 3-letter company code (in CAPITAL letters) of the RA / its contractor, followed by 7 characters (can be any combination of numbers and CAPITAL letters).)</p> <p><input type="checkbox"/> Other types of ULD containers (Please provide a separate proposal to illustrate how the proposed ULD containers and/or measures will be secure and tamper-evident.)</p> <p>(3) <u>If Open Trucks are used:</u></p> <p><input type="checkbox"/> Use of tamper-evident wrapping sheets / covers / nets:</p> <ul style="list-style-type: none"><li><input type="checkbox"/> Cathay Pacific (CX) Secure Net</li><li><input type="checkbox"/> Hong Kong Secure Transportation Systems Limited (HKSTS) Smartsec Net</li><li><input type="checkbox"/> Gobo Trade Ltd. EasyPack Cargo Security System</li><li><input type="checkbox"/> Advance Gain International Trading Co. Ltd. Advance Pack Security System</li><li><input type="checkbox"/> Impeccable Products &amp; Services Ltd. (IPS) Aero Net</li><li><input type="checkbox"/> Hong Kong Secure Transportation Systems Limited (HKSTS) LD3 Smartsec Net applied on AKE contoured ULD container [ note: only applicable for AKE (LD3) container with canvas door opening at the long side ]</li></ul> <p><input type="checkbox"/> Other tamper-evident wrapping sheets / covers / nets: (Please specify the vendor and product name: _____)</p> <p>(If the proposed measure is not a ST means accepted by CAD*, please provide a separate proposal to illustrate how the proposed ST measure will be secure and tamper-evident.)</p> <p><input type="checkbox"/> Alternative means to secure cargo on open trucks (Please specify the vendor and product name: _____)</p> <p>(If the proposed measure is not a ST means accepted by CAD*, please provide a separate proposal to illustrate how the proposed ST measure will be secure and tamper-evident.)</p>
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\* The vendors and product names of secure transportation (ST) means listed above **are not exhaustive** and should not be construed as an exhaustive list of ST means that an RA can choose from, and **can be updated from time to time**. Please **refer to CAD website for the most current list**:

[https://www.cad.gov.hk/english/icao2021\\_ts.html](https://www.cad.gov.hk/english/icao2021_ts.html).

**Part II – Regulated Agent Security Programme**  
**Section 10 – Documentation for Cargo Security**

**10.1 Inter-Agent Handling**

<p>(a) My company will be involved in inter-agent operations.  <i>(tick the appropriate box)</i></p>	<p><input type="checkbox"/> Yes [Continue below]  <input type="checkbox"/> No [Go to Section 10.2]</p>
<p>(b) My company will be involved in co-loading activities.  <i>(tick the appropriate box)</i></p>	<p><input type="checkbox"/> Yes [Continue below]  <input type="checkbox"/> No [Go to (d)]</p>
<p>(c) Type of co-loading  <i>(more than one box can be selected)</i></p>	<p><input type="checkbox"/> Tendering cargo to other Regulated Agent  My company will verify the authenticity of the status of the receiving regulated agent before tendering cargo.  <input type="checkbox"/> Receiving cargo from other Regulated Agent  The cargo acceptance procedures as set out in Part II Section 7(b) shall be adhered to.</p>
<p>(d) My company will be involved in air waybill (AWB) assignment.  <i>(tick the appropriate box)</i></p>	<p><input type="checkbox"/> Yes [Continue below]  <input type="checkbox"/> No [Go to Section 10.2]</p>
<p>(e) Type of Air Waybill Assignment  <i>(more than one box can be selected)</i></p>	<p><input type="checkbox"/> Assigning AWB to other Regulated Agent  <input type="checkbox"/> Borrowing AWB from other Regulated Agent  <input type="checkbox"/> Assigning / Borrowing AWB to / from non-Regulated Agent  All cargo handled by non-Regulated Agent is regarded as unknown cargo. Security control stipulated in Part II Section 8.3(b) shall be applied.</p>

**10.2 Security Status**

<p>(a) Please refer to the relevant definitions in Part II Section 8.3(a).  (b) Security status shall be assigned by a trained person (i.e. nominated person mentioned either in Part II Section 4(a) or (b)), or any other staff members of the regulated agents who have received the internal security awareness training mentioned in Part II Section 5.  (c) Security status shall be shown in the applicable shipping document and accompany the consignment throughout the secure supply chain, as stipulated in the Handling Procedures for Regulated Agent Regime.</p>
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## Part II – Regulated Agent Security Programme

### 10.3 Handling Procedures for Regulated Agent Regime

Handling Procedures for Regulated Agent Regime has been issued for the purpose of proper implementation of the Regulated Agent Regime (RAR) which includes the requirements stipulated in this document. The Handling Procedures is available in Civil Aviation Department's website:-

<http://www.cad.gov.hk/english/newrarform.html>.

### 10.4 Maintenance of Documents

(a) For every consignment of air cargo, my company shall maintain the following documents, where applicable, for a period of at least 31 days after the consignment is flown.

- ◆ Master Air Waybill / House Air Waybill
- ◆ Shipper's Letter of Instructions
- ◆ Cargo Manifest / House Cargo Manifest
- ◆ Reception Check List
- ◆ Form of Undertaking for Inter-RA AWB Handling #
- ◆ Record of security control applied on Unknown Cargo (e.g. security screening receipts issued by RACSF or Reception Check Lists issued by CTOs)

(b) As long as my company continues to hold a status of regulated agent, my company shall also maintain the following documents.

- ◆ Regulated Agent Security Programme
- ◆ Regulated Agent Aviation Security Declaration # (for inter-Regulated Agent handling)

(c) The above documents shall be duly completed in accordance with the Handling Procedures for Regulated Agent Regime. Documentation and recording by electronic means are acceptable provided that hard copies can be made available upon inspection by Civil Aviation Department.

# A standard document is available in Civil Aviation Department's website:- <http://www.cad.gov.hk/english/newrarform.html>.

## Part II – Regulated Agent Security Programme

### 10.5 Document Retention Period

In summary, the required retention periods of different documents for a regulated agent are tabulated below.

Sections	Documents	Minimum Periods
5	Training records (including internal training)	3 years
8.2, 8.4 & 9.2	Records of security integrity of cargo consignments, e.g. CCTV records, records of security seal, of warehouse and transportation security	31 days
10.4 (a)	Documents relating to consignment of air cargo	31 days
10.4 (b)	Documents associated with my company's status as a regulated agent	Whole duration of my company's status as a regulated agent
11	Records of personnel security (including those of internal staff members and contractor's staff members)	Duration of employment + 1 year (Relevant records of contractor's staff members shall be maintained by the relevant contractors)
13	Self-assessment records	3 years

### 10.6 Confidentiality

A regulated agent shall ensure that any sensitive aviation security information about its security procedures or operations of the regulated agent is protected against unauthorized disclosure and such information is disseminated on a "need-to-know" basis only.

## Part II – Regulated Agent Security Programme

### Section 11 – Personnel Security

My company shall ensure that the details of the recruitment and selection procedures are recorded for staff members and contractors with access to consignment designated as air cargo and/or related shipping documents, including the two NPs for Cargo Security mentioned in Part II Section 4(a) and (b). Job application form and interview record shall be maintained.

With prior written consent from job applicants, the following items shall be covered in the recruitment and selection procedures as a pre-employment check. Failure to give consent to a pre-employment check will result in rejection of their job applications.

<p>(a) Job Application Form</p>	<p>In job application form, a job applicant is required:</p> <ul style="list-style-type: none"> <li>(i) to provide education and employment history in the previous 5 years;</li> <li>(ii) to provide criminal conviction, if any, in the previous 5 years;</li> <li>(iii) once employed, to report as soon as reasonably any updates to the information in (i) and (ii) above to the company, and to provide such information to the company when requested for the purpose of conducting recurrent background check, for the latter's assessment on continuation of discharge of work duties;</li> <li>(iv) to declare that the information is complete and accurate;</li> <li>(v) to declare that any misrepresentation of the facts is a ground for refusal of employment or for disciplinary proceedings or for criminal charges; and</li> <li>(vi) to agree that information may be collected from previous employers and schools for the purpose of verification only.</li> </ul> <p>The completed form must be signed by the applicant.</p> <p>My company shall ensure that existing staff members and contractors with access to consignment designated as air cargo and/or related shipping documents should provide the same information in (a)(i)-(vi) above for checking and record.</p>
<p>(b) Job Interview</p>	<p>During the job interview, my company shall:</p> <ul style="list-style-type: none"> <li>(i) establish the job applicants' identities by means of documentary evidence such as passport, identity card or registry of birth records;</li> <li>(ii) ensure that the applicant understands the importance and the full implication of the declarations made on the job application form; and</li> <li>(iii) ensure that no time periods are unaccounted for in the job application form.</li> </ul>
<p>My company shall be cautious in the recruitment process with an objective to ensure that staff members and contractors are reliable and do not pose a potential threat. When a job applicant is found unsuitable by pre-employment check, the application should not be considered.</p> <p>For the staff members and contractors responsible for implementing security control, applicants' abilities and aptitudes shall also be considered with an objective to ensure that the security control can be effectively carried out.</p> <p>My company shall ensure that recurrent background checks are conducted at least once every two years for existing staff members and contractors with access to consignment designated as air cargo and/or related shipping documents.</p> <p>Employees found unsuitable by any background check should be immediately denied the ability to access to consignment designated as air cargo and/or related shipping documents.</p> <p>Recruitment records and subsequent assessment records of staff members and contractors shall be kept for at least the duration of employment plus one year.</p>	

## Part II – Regulated Agent Security Programme

### Section 12 – Treatment of High-Risk Cargo (Including Suspect Cargo)

<p>(a) High-Risk cargo (Including Suspect Cargo)</p>	<ul style="list-style-type: none"> <li>(i) Cargo which is deemed to pose a threat to civil aviation as a result of specific intelligence; or shows anomalies or signs of tampering which give rise to suspicion, shall be considered high risk.</li> <li>(ii) Any suspicion, such as sign of tampering, inconsistency between consignment appearance and shipping documents, shall be resolved before tendering to aircraft operators (airlines) or the next regulated agent (RA) for carriage by air. Further shipping information may be requested from the consignor for clarification.</li> <li>(iii) RA shall treat all high-risk cargo as Unknown Cargo, and shall only clear the cargo as SPX cargo if engaged RACSF or CTO has carried out two different means of security screening stipulated in Section 8.3(b) (e.g. X-ray screening and searching by hand or physical check at piece level or Explosive Trace Detection (ETD) or alternative screening methods acceptable to CAD) with an objective to detect the presence of concealed explosives or incendiary devices in consignments of cargo.</li> </ul>
<p>(b) Unresolved Suspicions</p>	<ul style="list-style-type: none"> <li>◆ If there is any unresolved suspicion or a suspect item is detected in a consignment:- <ul style="list-style-type: none"> <li>(i) do not touch the consignment;</li> <li>(ii) immediately contact on-site supervisor or person-in-charge for assistance.</li> </ul> </li> <li>◆ Once suspicion is confirmed:- <ul style="list-style-type: none"> <li>(i) contact the consignor or shipper to assist in investigation; and/or</li> <li>(ii) report it to the Hong Kong Police.</li> </ul> </li> <li>◆ If there is any sign of danger from the suspect consignment:- <ul style="list-style-type: none"> <li>(i) report it to the Hong Kong Police immediately;</li> <li>(ii) evacuate the premises where the suspect consignment is stored;</li> <li>(iii) establish a cordon to prevent anyone from gaining access to the evacuated area; and</li> <li>(iv) follow the instructions, if any, from the Hong Kong Police and other emergency services department.</li> </ul> </li> </ul>
<p>(c) Explosive or incendiary device identified</p>	<ul style="list-style-type: none"> <li>◆ The case shall be reported to Civil Aviation Department:  Attention: Aviation Security Section, Airport Standards Division,  Civil Aviation Department  Address: Level 5, Office Building, Civil Aviation Department  Headquarters, 1 Tung Fai Road, Hong Kong  International Airport  E-mail: rar@cad.gov.hk  Fax: 2362 4257</li> <li>◆ Security control stipulated in Part II Section 8.3(b) shall be applied to other consignments, whether or not they are from a known source (e.g. cargo from a known consignor):- <ul style="list-style-type: none"> <li>(i) destined for the same flight or destination; and</li> <li>(ii) originating from the same consignor or location.</li> </ul> </li> </ul>

## Part II – Regulated Agent Security Programme

### Section 13 – Self-Assessment and Regulatory Oversight

(a) Self-Assessment

- ◆ My company shall conduct regular self-assessment with reference to this Regulated Agent Security Programme, Handling Procedures for Regulated Agent Regime, notices and any other directions given from time to time by CAD, at least once every two years, in order to identify any internal deficiencies or security procedures that are not being properly implemented or that may require enhancement. The results of each self-assessment shall be maintained for 3 years and be available for the announced and unannounced inspections by CAD.

(b) Regulatory Oversight by CAD

- ◆ My company shall agree to be subject to announced and unannounced inspection by CAD for the purpose of monitoring the compliance with the relevant security requirements stipulated in this Regulated Agent Security Programme, the Handling Procedures for Regulated Agent Regime, notices and any other directions given from time to time by CAD. Failure to comply with the stipulated requirements may lead to the request of submission of a corrective action plan to CAD. Major deficiency identified or failure to implement corrective action plan may result in suspension or de-registration of the RA status.

### Part III – Declaration

#### **Declaration of Compliance – Regulated Agent**

(To be completed and signed by the **Person-In-Charge** mentioned in Part II Section 3)

I, for and on behalf of, \_\_\_\_\_ (Company Name) (hereafter referred to as “the company”), hereby declare that:-

- (a) To the best of my knowledge, all information contained in this application form (including the Regulated Agent Security Programme (RASP) (Part II of this application form)) is true, complete and accurate, and I understand that giving false information or making false statements knowingly and willfully may be liable to prosecution and de-registration of the company’s Regulated Agent (RA) status.
- (b) The company will continuously implement the practices and procedures set out in the RASP, the Handling Procedures for Regulated Agent Regime (RAR), notices and any other directions given from time to time by the Civil Aviation Department (CAD), and such practices and procedures are communicated to all staff members with access to consignment of air cargo and/or related shipping documents.
- (c) The RASP will be adjusted to comply with all the relevant changes to the requirements stipulated in the Handling Procedures for RAR, notices and any other directions given from time to time by CAD, unless the company informs CAD that it no longer wishes to operate as a RA.
- (d) The company will inform CAD in writing as soon as reasonably possible if:
  - (i) there is any change of the information contained in this application form, including the RASP; and
  - (ii) the company ceases operations, no longer deals with cargo for carriage by air or can no longer meet the requirements of the RAR, including the requirements in the RASP.
- (e) The company will fully cooperate with CAD in all announced and unannounced inspections and provide access to all documents as requested by CAD during inspections.
- (f) For any deficiencies found in air cargo operations in respect of the RAR including the requirements in the RASP, the company will take actions to rectify such deficiencies within a time period as specified by CAD.
- (g) The company will inform CAD of any serious breaches of the requirements of the RAR including the requirements in the RASP, e.g. any attempt to conceal explosives or incendiary devices in the consignments of cargo intended for carriage on aircraft.
- (h) The company will ensure that all relevant staff members and contractors with access to consignment designated as air cargo and/or related shipping documents will receive appropriate training and be subject to recurrent background check and are aware of their responsibilities under the RASP.
- (i) Any failure to comply with the requirements of the RAR including the requirements in the RASP, including failure to maintain and provide any records as required by the Programme, may result in suspension or de-registration of the company’s RA status.
- (j) I have read and understood Part I Section 3 – Data Privacy.
- (k) I agree that CAD has no liability to the company and its prospective or existing staff members for the rejection of job application or termination of employment.
- (l) I agree that CAD has no liability on the loss of the company resulting from the suspension and de-registration of the RA status due to non-compliance with RAR requirements.
- (m) I agree that CAD has the final discretion on all parts of this application form.

Full Name  
(in block letter)  
(as appeared on HKID /  
passport) \_\_\_\_\_

Position in  
Company \_\_\_\_\_

Signature and  
Company Chop \_\_\_\_\_

Date \_\_\_\_\_

## Part IV – Application Self-Checklist

If “No” is selected in any item below, please use separate sheets to provide a written explanation for consideration by Civil Aviation Department. Normally, any unfulfilled requirements may result in application not being processed.

	Sections in Application Form	Points to Note	Documents to be Submitted	Requirement Fulfilled?
(1)	Part II Section 2(a) & Section 2(b)	The Company Name and the Address shall be the same as those shown on the company's valid Business Registration Certificate (BRC).	Copy of the BRC	Yes <input type="checkbox"/> No <input type="checkbox"/>
(2)	Part II Section 2(c)	The Correspondence Address is required only if it is different from the address shown on the BRC.		Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
(3)	Part II Section 2(e)	The remaining validity period of the BRC shall be at least one month upon receipt of ALL the required documents for the application, including those documents requested during or after pre-registration inspection.		N/A
(4)	Part II Section 2(f)	RA Code shall be quoted by the existing valid RAs. RA Code is not required to be quoted by new applicant.		Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
(5)	Part II Section 3(b)	The Full Name shall be the same as the one shown on Hong Kong Identity Card (HKID) or passport.		Yes <input type="checkbox"/> No <input type="checkbox"/>
(6)	Part II Section 3(d)	The Contact Phone Number shall be manned to facilitate Civil Aviation Department or other emergency services department to liaise with your company, particularly during contingency situations.		Yes <input type="checkbox"/> No <input type="checkbox"/>
(7)	Part II Section 4(a)(i) & Section 4(b)(i)	The Full Name shall be the same as the one shown on HKID or passport.		Yes <input type="checkbox"/> No <input type="checkbox"/>
(8)	Part II Section 4(a)(iii) & Section 4(b)(iii)	The Contact Phone Number shall be manned round the clock seven days a week to facilitate Civil Aviation Department or other emergency services department to liaise with your company, particularly during contingency situations.		Yes <input type="checkbox"/> No <input type="checkbox"/>

N/A = Not applicable

## Part IV – Application Self-Checklist (Cont'd)

Sections in Application Form	Points to Note	Documents to be Submitted	Requirement Fulfilled?
(9) Part II Section 4(a)(viii) & Section 4(b)(viii)	The RAR Training Certificate or the result of RAR revalidation test carries a validity of 3 years. The Date of Passing Revalidation Test is the date of the most recent RAR revalidation test which the nominated person / the second trained person has successfully passed. The Date of Passing Revalidation Test has to be provided only if the RAR Training Certificate has expired.	Copies of the valid RA Training / Test Certificates of the trained persons	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
(10) Part II Section 4(e)	The organization chart shall include the Person-In-Charge mentioned in Part II Section 3, the Nominated Persons for Cargo Security mentioned in Part II Section 4(a) and 4(b).	Organization Chart	Yes <input type="checkbox"/> No <input type="checkbox"/>
(11) Part II Section 8.1(c)(v)	The duly completed Warehouse Contractor Declaration is required only if your cargo processing and storage service is contracted out.	Copy of duly completed Warehouse Contractor Declaration	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
(12) Part II Section 8.1(e)	A sample of your company's cargo label shall be provided if labelling is used as a means for distinguishing your company's cargo from other agent's cargo.	Sample of Company's Cargo Label	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
(13) Part II Section 8.2(b)	A sample of your company's permit shall be provided only if permit is used as a means of controlling access to warehouse..	Sample of Permit	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
(14) Part II Section 8.4(a)	Samples of Known (SPX) and Unknown (UNK) cargo label shall be provided if labeling is used as a means for segregating Unknown Cargo from Known (SPX) cargo.	Samples of SPX and UNK Cargo Label	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
(15) Part II Section 8.5	The floor plan shall clearly show the locations of access points, security installations and, if any, specially assigned storage area for segregating Unknown Cargo from Known cargo and/or for segregating other agent's cargo from your company's cargo. The total number of access points should be stated in the floor plan.	Floor plan of the warehouse	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
(16) Part II Section 9.1(c)(v)	The duly completed Transportation Contractor Declaration is required only if your cargo transportation service is contracted out.	Copy of duly completed Transport Contractor Declaration	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
(17) Part II Section 11	The Job Application Form shall clearly specify applicants' education and employment history in the previous 5 years, any criminal conviction in the previous 5 years and self-declaration to ensure the information is complete and accurate and to agree that information may be collected from previous employers and schools for verification.	Sample of Job Application Form	Yes <input type="checkbox"/> No <input type="checkbox"/>

N/A = Not applicable

**For Official Use:**

\_\_\_\_\_  
Recommended by

\_\_\_\_\_  
Date

\_\_\_\_\_  
Checked by

\_\_\_\_\_  
Date

\_\_\_\_\_  
Endorsed by

\_\_\_\_\_  
Date

RA Code: \_\_\_\_\_

Effective Date: \_\_\_\_\_

Remarks :