

Regulated Air Cargo Screening Facility Scheme – Sample Checklist for Regular Self-Assessment

1. This document serves as a sample checklist for Regulated Air Cargo Screening Facilities (RACSFs) to conduct regular self-assessments as required under Part II, Section 14(a) of their Regulated Air Cargo Screening Facility Security Programme (RACSF SP).
2. **The use of this sample checklist is not mandatory. RACSFs may design their own checklist(s) in accordance with the requirements as specified in the RACSF SP and the Handling Procedures for RACSFs, as they see fit.**
3. Regular self-assessment shall be conducted by each RACSF **at least once every two years**. The results of each self-assessment shall be maintained for 2 years for inspection by the Civil Aviation Department (CAD).

Part I – Basic Information

Company Name: _____ RACSF Code: _____

RA Code (if applicable): _____

Part II – Regular Self-Assessment Checklist

1. Please tick (✓) at the appropriate box(es) as you go through the checklist.
2. **If you answer “No” to any of the items, please write your corrective actions in Part K of this checklist.**
3. If you have answered ‘No’ to any item(s) which are required to be reflected in RACSF SP, please amend your RACSF SP accordingly and inform the CAD using the form “Notification of Change of RACSF SP” (downloadable on CAD website).

A) General Information		Yes	No	N/A	Remarks
1	Are the following particulars of my RACSF SP up-to-date? [RACSF SP Part III para. (d)(i)]				
	• Site Particulars (Company Name and Address – same as BRC)				
	• RACSF Personnel (Person-in-charge, Nominated Persons for Cargo Security)				
	• RACSF Personnel’s Contact Details				
	• Screening Equipment (Make and Model, No. of Equipment)				
	• Inform CAD for any changes of the RACSF SP via submission of “Notification of Change of RACSF SP” <u>at least 14 working days</u> before the effective date				
2	Business Registration Certificate (BRC) [RACSF SP Part II Section 2(h)]				
	• Original copy available and valid?				
	• Address on BRC includes the site address registered on the RACSF SP?				

B) RACSF Personnel and Training		Yes	No	N/A	Remarks
1	RACSF Personnel and Training Records [RACSF SP Part II Section 4(a) & 4(b)]				
	• Validity of the RACSF Training Certificates of the two Nominated Persons?				
2	Internal Security Awareness Training [RACSF SP Part II Section 7]				
	• Training provided to all own staff and contractor staff who have access to air cargo and/or related shipping documents?				

	• Frequency of internal training in accordance with RACSF SP?				
	• Training records (including own staff & contractor staff) properly maintained for at least previous 2 years?				
	• If the security awareness training (including own staff & contractor staff) was conducted by a trainer who was not the Nominated Person of the RACSF but with equivalent qualification, is the Training Certificate properly maintained?				
	• Trainer's signature on training records?				
	• Training records content in accordance with the requirements in Part II Section 7?				
	• Training materials available, appropriate and up to date?				

C) Warehouse Security		Yes	No	N/A	Remarks
1	Physical Security [RACSF SP Part II Section 5.1(a) & 12.3]				
	• Physical barriers (e.g. fences, gates and walls) are in place to protect the premises for processing and storing the consignment against unauthorized access?				
	• All doors, gates, roller shutters or other access points to the consignments are closed, locked or guarded when not in use?				
	• Regular inspections on physical barriers are carried out?				
	• Personnel doors and vehicle access gates are used so as to ensure access control over entry and exit? These doors are locked or guarded when not in use?				
	• Cargo screening areas (including X-ray screening, hand search and ETD areas) and areas for screened cargo to be consolidated or further processed before loading onto trucks are under CCTV surveillance?				
	• CCTV image records properly maintained for at least 31 days?				
	• Other measures (if any):- _____				
2	Access Control [RACSF SP Part II Section 5.1(b) & 12.3]				
	• Number of access points:- _____				
	• Access to cargo facilities and areas restricted to individuals with an operational need for access?				
	• Identity check conducted on all persons entering the facilities, including staff members and visitors?				
	• Gates through which vehicles and/or personnel enter or leave are manned by security personnel or monitored by automated devices?				
	• CCTV image records properly maintained for at least 31 days?				
	• Other measures (if any):- _____				
3	Warehouse floor plan up-to-date? [RACSF SP Part II Section 8.5]				
	• Security installations				
	• X-ray screening equipment and the area designed for hand search / Explosive Trace Detection (ETD) check				
	• Access points				
	• Specially assigned area (if any)				

D) Cargo Acceptance		Yes	No	N/A	Remarks
1	Cargo acceptance procedures [RACSF SP Part II Section 8.2]				
	• Documentation check performed in accordance with RACSF SP?				
	• Appearance check performed in accordance with RACSF SP?				

E) Screening Equipment		Yes	No	N/A	Remarks
1	Screening Equipment [RACSF SP Part II Section 10.2(b)]				
	• Is the license issued by Radiation Board valid?				
2	Maintenance Records and Screening Image / Hand Search Photo / ETD Analysis Records [RACSF SP Part II Section 12.3 / Handling Procedures for RACSFs Part A Section 2.5]				
	• Daily Calibration Tests records of security screening equipment properly maintained for at least 2 years?				
	• Regular maintenance records of security screening equipment properly maintained for at least 2 years?				
	• For conducting hand search / physical check at piece level on each cargo, at least one photo showing the exterior of the box with the cargo label clearly shown (if any), and at least one photo showing the interior of the box and the searched commodities of record, are maintained?				
	• X-ray images / photos records of hand search / analysis results of ETD properly maintained for at least 31 days?				

F) Security Screeners and Screening Records		Yes	No	N/A	Remarks
1	Screening Service Contractor (if applicable) [RACSF SP Part II Section 9.1c]				
	• Information up-to-date?				
	• Original copy of the Screening Service Contractor Declaration signed by the contractor maintained?				
	• Screening Service Contractor Declaration with the contractor renewed at least once every two years?				
2	Certification of Security Screeners [RACSF SP Part II Section 9.3]				
	• Screeners possess valid evidence of certification?				
	• Any actions taken or procedures in place to ensure screeners to attend refresher training conducted by a CB and to be recertified by such CB before the last day of the 12th calendar month counting from the month in which the certification test was passed?				
	• The screening service contractor submitted up-to-date records for each security screener for my record from time to time?				
	• Certification and re-certification records of the screeners for the last 2 years available for inspection?				
	• Training records of the screeners for the last 2 years available for inspection?				
	• Screeners have no absence from duty over 90 or more consecutive days?				
	• If the screener was absent from duty over 90 or more consecutive days, whether the screener has received appropriate refresher training and has re-sat and passed another certification test conducted by CB?				
3	Screeners' Working Hours [RACSF SP Part II Section 9.4]				
	• Screeners performed screening duty for no more than 8 hours daily?				
4	Cargo Screening Operations [RACSF SP Part II Section 8.3(c)]				
	• If cargo cannot be cleared by X-ray, are they hand-searched/ physical checked at piece level, or screened by ETD equipment (if applicable)?				

	<ul style="list-style-type: none"> When the screener detects anomalies or is uncertain about the nature of the items displayed in an x-ray image, has he/she reported to the supervisor / responsible staff member of the RACSF for their checking against the cargo description on the available shipping documents (e.g. nature of consignment and quantity appeared on Shipper's Letter of Instruction or House Air Waybill) and any other supplementary documents? 				
5	Screening Records [RACSF SP Part II Section 8.3(d) and (e)]				
	<ul style="list-style-type: none"> Security screening log contains all the required information stipulated in RACSF SP? 				
	<ul style="list-style-type: none"> Security screening log properly maintained for at least 3 months? 				
	<ul style="list-style-type: none"> Security screening receipt contains all the required information stipulated in RACSF SP? 				
	<ul style="list-style-type: none"> Copies of security screening receipts issued are properly maintained for at least 3 months? 				
	<ul style="list-style-type: none"> Are the information stipulated on the security screening logs and receipts consistent with each other? 				

G) Cargo Processing		Yes	No	N/A	Remarks
1	The Cargo Processing Contractor Declaration (if applicable) [RACSF SP Part II Section 8.1]				
	<ul style="list-style-type: none"> Information up-to-date? 				
	<ul style="list-style-type: none"> Original copy of the Cargo Processing Contractor Declaration signed by the contractor maintained? 				
	<ul style="list-style-type: none"> Cargo Processing Contractor Declaration with the contractor renewed at least once every two years? 				
2	Segregation of Screened Cargo from Unknown Cargo [RACSF SP Part II Section 8.4(a)]				
	<ul style="list-style-type: none"> Segregation of screened cargo (SPX Cargo) from unknown cargo (UNK Cargo) using methods as specified in RACSF SP (e.g. by labelling and/or by specially assigning separate storage areas)? 				
	<ul style="list-style-type: none"> Is segregation satisfactory? 				
3	Prevention of unlawful interference on Screened Cargo (for screened and consolidated cargo not yet ready to be loaded onto trucks) [RACSF SP Part II Section 8.4(b)(ii)]				
	<ul style="list-style-type: none"> Screened cargo (SPX cargo) shall be held in cages, compartments, rooms or buildings that are secured against unauthorised 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? 				
	<ul style="list-style-type: none"> Screened cargo (SPX cargo) continuously monitored by personnel AND supplemented by CCTV surveillance and recording? 				
	<ul style="list-style-type: none"> In the event that CCTV surveillance and recording of screened cargo (SPX cargo) and consolidated cargo is not feasible, alternative means (e.g. cargo wrapped in tamper-evident wrapping sheets/covers/nets immediately after consolidation) is in place to ensure the security of the cargo concerned? 				

H) Chain of Custody – Secure Transportation		Yes	No	N/A	Remarks
1	Transportation contractor (If applicable) [RACSF SP Part II Section 11.1(c)]				
	• Information up-to-date?				
	• Original copy of the Transportation Contractor Declaration signed by the contractor maintained?				
	• Transportation Contractor Declaration with the contractor renewed at least once every two years?				
2	Drivers [RACSF SP Part II Section 11.2(a)]				
	• ID document checked by cargo dispatcher?				
	• Check the security of the consignment and the integrity of seals or locks for sign of tampering, suspicion or evidence of unlawful interference if vehicle is left unattended?				
3	Vehicles and Secure Transportation (ST) means [RACSF SP Part II Section 11.2(b) and 12.3]				
	• Load compartment searched immediately prior to loading and the integrity of search maintained until loading is completed?				
	• All vehicles used in the transportation of air cargo are secured immediately following the completion of loading against unlawful interference at all times?				
	• Transportation security using ST means as specified in RACSF SP?				
	• For box truck, the use of numbered tamper-evident seals on all doors observed as in order?				
	• For ULD container with metal door, the use of numbered tamper-evident seals on all doors observed as in order?				
	• For open truck, the ST means being used are accepted by the CAD?				
	• For open truck, is the application of ST means in line with the Standard Operating Procedures provided by the vendor?				
	• Integrity of tamper-evident means verified and seal serial number verified in accordance with the prior declaration when receiving cargo protected by ST measures? (if applicable)				
	• Access to the tamper-evident seals is controlled?				
	• Records on the use of tamper-evident seals properly maintained for at least 31 days?				
	• Records on Pre-declaration for tendering known cargo to other RA/RACSF properly maintained for at least 31 days?				

I) Personnel Security		Yes	No	N/A	Remarks
1	Personnel Security [RACSF SP Part II Section 6]				
	• Job application form available?				
	• Contents of the job application form in accordance with the requirements in Part II Section 6(a) and (b) of RACSF SP?				
	• Job application records of staff members and contractors properly maintained for duration of employment +1 year? *				
	• Job interview records of staff members and contractors properly maintained for duration of employment +1 year? *				
	• Pre-employment check for staff members and contractors conducted?				
	• Recurrent background checks for existing staff members and contractors conducted at least once every two years?				
	• Pre-employment and recurrent background check records of staff members and contractors properly maintained for duration of employment +1 year? *				

* Personnel records of contractors may be maintained by respective contractors.

J) Self-Assessment		Yes	No	N/A	Remarks
1	Regular Self-Assessment [RACSF SP Part II Section 14]				
	• Conducted at least once every 2 years?				
	• Records properly maintained for at least 2 years?				
	• Are deficiencies identified effectively during the last self-assessment process? (if applicable)				
	• Are the corrective actions proposed in the last self-assessment followed up properly? (if applicable)				

K) Corrective action plan

If you have answered “No” to any of the item(s) on the checklist, please write your proposed corrective action(s) below, together with the corresponding follow-up date(s) and action party/ies.

Assessment
conducted by: _____
(Name and Post)

(Signature)

Date: _____