

Regulated Agent Regime – Sample Checklist for Regular Self-Assessment

1. This document serves as a sample checklist for Regulated Agents (RAs) to conduct regular self-assessments as required under Part II, Section 13(a) of their Regulated Agent Security Programme (RASP).
2. **The use of this sample checklist is not mandatory. RAs may design their own checklist(s) in accordance with the requirements as specified in the RASP and the Handling Procedures for Regulated Agent Regime (RAR), as they see fit.**
3. Regular self-assessment shall be conducted by each RA **at least once every two years**. The results of each self-assessment shall be maintained for 3 years for inspection by the Civil Aviation Department (CAD).

Part I – Basic Information

Company Name: _____ RA Code: _____

RACSF 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 H of this checklist.**
3. If you have answered ‘No’ to any item(s) which are required to be reflected in RASP, please amend your RASP accordingly and inform the CAD using the form “Notification of Change of RASP” (downloadable on CAD website).

A) General Information		Yes	No	N/A	Remarks
1	Are the following particulars of my RASP up-to-date? [RASP Part III para. (d)(i)]				
	• Company Particulars (Company Name – same as BRC, and Address)				
	• RAR Personnel (Person-in-charge, Nominated Persons for Cargo Security)				
	• RAR Personnel’s Contact Details				
	• Scope of Cargo Operations				
	• Details and Floor plan of warehouse (if applicable)				
	• Transportation Security (Including Secure Transportation means (ST means) and Transportation Contractor)				
2	Business Registration Certificate (BRC) [RASP Part II Section 2(d)]				
	• Original copy available and valid?				
	• Address on BRC same as the address registered on the RASP?				

B) RAR Personnel and Training		Yes	No	N/A	Remarks
1	RAR Personnel and Training Records [RASP Part II Section 4(a) & 4(b)]				
	• RAR Training Certificates / revalidation test results of the two Nominated Persons valid?				

2	Internal Security Awareness Training [RASP Part II Section 5]				
	• 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 RASP?				
	• Training records properly maintained for at least previous 3 years? (including own staff & contractors)				
	• Trainer's signature on training records				
	• Training materials available, appropriate and up to date?				

C) Cargo Processing and Storage (if applicable)		Yes	No	N/A	Remarks
1	Warehouse contractor (if applicable) [RASP Part II Section 8.1(c)]				
	• Warehouse Contractor Declaration signed by the contractor and original available?				
2	Cargo acceptance procedures [RASP Part II Section 7(b)]				
	• Documentation check performed in accordance with RASP?				
	• Appearance check performed in accordance with RASP?				
3	Physical Security [RASP Part II Section 8.2(a)]				
	• Physical barriers (e.g. fences, gates and walls) are in place to protect the premises for processing and storing the consignment against unauthorized access?				
	• Processing and storage areas for known cargo under CCTV surveillance and recording?				
	• All doors, gates, roller shutters or other access points to the consignments are closed, locked or guarded when not in use?				
	• CCTV image records properly maintained for at least 31 days?				
	• Regular inspections on physical barriers				
	• Other measures (if any):- _____				
4	Access Control [RASP Part II Section 8.2(b)]				
	• 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):- _____				
5	Security screening of Unknown (UNK) cargo [RASP Part II Section 8.3(b)]				
	• Engaged RACSF or Cargo Terminal Operators to conduct security screening on UNK cargo?				
6	Segregation of cargo using methods as specified in RASP (i.e. by labelling or by ground demarcation?) [RASP Part II Section 8.4(a) & 8.1(e)]				
	• Segregation of Known (SPX) Cargo from UNK Cargo				
	• Distinguishing company's cargo from other agent's cargo				

7	Prevention of unlawful interference on known cargo [RASP Part II Section 8.4(b)(ii)]				
	<ul style="list-style-type: none"> Known cargo 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? 				
	<ul style="list-style-type: none"> 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, put in place alternative means to ensure the security of the cargo concerned? 				
	<ul style="list-style-type: none"> Integrity of seals or locks is verified? 				
8	Warehouse floor plan up-to-date? [RASP Part II Section 8.5]				
	<ul style="list-style-type: none"> Security installations (if any) 				
	<ul style="list-style-type: none"> Access points 				
	<ul style="list-style-type: none"> Specially assigned area (if any) 				

D) Chain of Custody-Secure Transportation (if applicable)		Yes	No	N/A	Remarks
1	Transportation contractor (if applicable) [RASP Part II Section 9.1(c)]				
	<ul style="list-style-type: none"> Transportation Contractor Declaration signed by the contractor and original available? 				
2	Cargo acceptance procedures [RASP Part II Section 7(b)]				
	<ul style="list-style-type: none"> Documentation check performed in accordance with RASP? Appearance check performed in accordance with RASP? 				
3	Drivers [RASP Part II Section 9.2(a)]				
	<ul style="list-style-type: none"> ID check by cargo dispatcher using ID document Check for sign of tampering, suspicion or evidence of unlawful interference at all times? 				
4	Vehicles [RASP Part II Section 9.2(b)(i)(ii)]				
	<ul style="list-style-type: none"> 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? 				
5	Secure Transportation (ST) measures (if applicable) [RASP Part II Section 9.2(b)]				
	<ul style="list-style-type: none"> 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, any ST means accepted by the CAD applied? 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? Access to the tamper-evident seals is controlled? Records on the use of tamper-evident seals properly maintained for at least 31 days? 				

E) RAR Documentation		Yes	No	N/A	Remarks
1	Inter-Regulated Agent (Inter-RA) Handling [RASP Part II Section 10.1]				
	<ul style="list-style-type: none"> RAASD (Inter-RA Form) properly maintained and duly completed? 				
2	Shipping Documents [RASP Part II Section 10.4]				
	<ul style="list-style-type: none"> Full set available and kept for 31 days or more? (A full set should include MAWB, HAWB, Cargo Manifest, SLI, record of security screening and co-loading document, where applicable) 				
	<ul style="list-style-type: none"> Content of shipping documents / annotation of security status (SPX) and RA code in accordance with Handling Procedures for RAR published by CAD? 				
	<ul style="list-style-type: none"> For "SPX" cargo, all supporting RAR documentation properly signed and/or maintained (e.g. co-loading document, RAASD, Form of Undertaking, where applicable)? 				
	<ul style="list-style-type: none"> For unknown cargo, record of security screening (e.g. RACSF security screening receipt or Reception Check List) properly maintained? 				
3	Confidentiality [RASP Part II Section 10.6]				
	<ul style="list-style-type: none"> Security sensitive information about security procedures or operations is properly protected? 				
	<ul style="list-style-type: none"> Security sensitive information about security procedures or operations is only disseminated on a "need-to-know" basis? 				

F) Personnel Security		Yes	No	N/A	Remarks
1	Personnel Security [RASP Part II Section 11]				
	<ul style="list-style-type: none"> Job application form available, and content in accordance with the requirements in Part II Section 11(a) and 11(b) of RASP? 				
	<ul style="list-style-type: none"> Job Application Records of staff members and contractors properly maintained for duration of employment +1 year? * 				
	<ul style="list-style-type: none"> Job Interview Records of staff members and contractors properly maintained for duration of employment +1 year? * 				
	<ul style="list-style-type: none"> Pre-employment check for staff members and contractors conducted? 				
	<ul style="list-style-type: none"> Recurrent background checks for existing staff members and contractors conducted at least once every two years? 				
	<ul style="list-style-type: none"> 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.

G) Self-Assessment		Yes	No	N/A	Remarks
1	Regular Self-Assessment [RASP Part II Section 13]				
	<ul style="list-style-type: none"> Conducted at least once every 2 years? 				
	<ul style="list-style-type: none"> Records properly maintained for at least 3 years? 				
	<ul style="list-style-type: none"> Are deficiencies identified effectively during the last self-assessment process? (if applicable) 				
	<ul style="list-style-type: none"> Are the corrective actions proposed in the last self-assessment followed up properly? (if applicable) 				

H) 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: _____