

Known Consignor Validation Scheme – Sample Checklist for Regular Self-Assessment

1. This document serves as a sample checklist for Known Consignors (KCs) to conduct regular self-assessments as required under Part II, Section 11 of their Known Consignor Security Programme (KCSP).
2. **The use of this sample checklist is not mandatory. KCs may design their own checklist(s) in accordance with the requirements as specified in the KCSP and the Handling Procedures for Known Consignors, as they see fit.**
3. Regular self-assessment shall be conducted by each KC **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: _____ KC Code: _____

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.**

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

B) KCSP Personnel and Training		Yes	No	N/A	Remarks
1	KCSP Personnel and Training Records [KCSP Part II Section 4(a) & 4(b)]				
	• KC Training Certificates of the two Nominated Persons valid?				
2	Internal Security Awareness Training [KCSP Part II Section 9]				
	• 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 KCSP?				
	• Training records properly maintained for at least previous 2 years? (including own staff & contractors)				
	• Trainer’s signature on training records				
	• Training records content in accordance with the requirements in Part II Section 9?				

	• Training materials available, appropriate and up to date?				
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C) Packing and Storage		Yes	No	N/A	Remarks
1	Packing / Storage Contractor (if applicable) [KCSP Part II Section 6.1(c)]				
	• Packing / Storage Contractor Declaration signed by the contractor and original available?				
2	Physical Security [KCSP Part II Section 6.2(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?				
	• 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?				
	• Processing and storage areas for known cargo under CCTV surveillance and recording?				
	• CCTV image records properly maintained for at least 31 days?				
	• Other measures (if any):- _____				
3	Access Control [KCSP Part II Section 6.2(b)]				
	• Number of access points:- _____				
	• Access to cargo production, assembly, packing and storage 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):- _____				
4	Security screening of Unknown (UNK) cargo [KCSP Part II Section 6.3(b)]				
	Engaged RACSF via a RA or Cargo Terminal Operators or an aircraft operator to conduct security screening on UNK cargo?				
5	Segregation of cargo using methods as specified in KCSP (i.e. by labelling or by ground demarcation?) [KCSP Part II Section 5(h), 6.4(a)]				
	• Segregation of products / items transported as air cargo from products / items <u>not</u> transported as air cargo				
	• Segregation of Known (SPX) Cargo from UNK Cargo				

6	Prevention of unlawful interference on known cargo [KCSP Part II Section 6.4(b)]				
	<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 are verified? 				
7	Warehouse floor plan up-to-date? [KCSP Part II Section 6.5]				
	<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) [KCSP Part II Section 7.1(c)]				
	<ul style="list-style-type: none"> Transportation Contractor Declaration signed by the contractor and original available? 				
2	Drivers [KCSP Part II Section 7.2(a)]				
	<ul style="list-style-type: none"> ID check by cargo dispatcher using ID document 				
	<ul style="list-style-type: none"> Check for sign of tampering, suspicion or evidence of unlawful interference at all times? 				
3	Vehicles [KCSP Part II Section 7.2(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? 				
	<ul style="list-style-type: none"> All vehicles used in the transportation of air cargo are secured immediately following the completion of loading against unlawful interference at all times? 				
4	Secure Transportation (ST) measures (if applicable) [KCSP Part II Section 7.2(b)]				
	<ul style="list-style-type: none"> For box truck, the use of numbered tamper-evident seals on all doors observed as in order? 				
	<ul style="list-style-type: none"> For open truck, any ST means accepted by the CAD applied? 				
	<ul style="list-style-type: none"> For open truck, is the application of ST means in line with the Standard Operating Procedures provided by the vendor? 				
	<ul style="list-style-type: none"> Integrity of tamper-evident means verified and seal serial number verified in accordance with the prior declaration when receiving cargo protected by ST measures? 				
	<ul style="list-style-type: none"> Access to the tamper-evident seals is controlled? 				
	<ul style="list-style-type: none"> Records on the use of tamper-evident seals properly maintained for at least 31 days? 				

E) Documentation		Yes	No	N/A	Remarks
1	Shipping Documents [KCSP Part II Section 10.1 and 10.2]				
	<ul style="list-style-type: none"> Full set available and kept for 31 days or more? (A full set should include MAWB, HAWB, SLI, packing list or invoice, record of security control and screening, where applicable) 				
	<ul style="list-style-type: none"> Content of shipping documents / annotation of security status (SPX) and KC code in accordance with Handling Procedures for KC published by CAD? 				
	<ul style="list-style-type: none"> For unknown cargo, record of security screening (e.g. RACSF security screening receipt) properly maintained? 				
3	Confidentiality [KCSP Part II Section 10.4]				
	<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 [KCSP Part II Section 8]				
	<ul style="list-style-type: none"> Job application form available, and content in accordance with the requirements in Part II Section 8(a) and 8(b) of KCSP? 				
	<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 [KCSP Part II Section 11]				
	<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 2 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: _____