



Application for Registration as Regulated Agent (RA)

Civil Aviation Department (CAD)

The Government of the Hong Kong Special Administrative Region

Notes:

- (1) Applicant should refer to Part III – Application Notes for guidance on the completion of this application form and the submission of the relevant documents.
- (2) Applicant must complete all applicable parts of this application form.
- (3) This application form should be completed in block letters using black or blue pen.
- (4) Any alternative means to satisfy the requirements set out in Part II – Regulated Agent Security Programme or any additional information about your application shall be provided / explained in separate sheets for consideration by Civil Aviation Department.
- (5) Part II – Regulated Agent Security Programme shall be implemented in conjunction with the Handling Procedures for Regulated Agent Regime.

Part I – General Information

Section 1 – Company Particulars

(a)	Company Name (English)	DNF LOGISTICS CO. LIMITED (as appeared on Business Registration Certificate)		
	(Chinese)	(as appeared on Business Registration Certificate)		
(b)	Address	FLAT/RM 206 CHEUNG HING INDUSTRIALBLDG 23 TAI YIP STREET KWUN TONG KL (as appeared on Business Registration Certificate)		
(c)	Correspondence Address	Nil (if different from the above address)		
(d)	Business Registration Certificate (BRC) Number	53701045-0000	(e) Expiry Date of the BRC (dd/mm/yyyy)	30/01/2014
(f)	Regulated Agent (RA) Code	RA21284 (For existing valid RA Only. If not, please fill in "N/A")		

Section 2 – Particulars of Person-In-Charge

(a)	<u>Person-In-Charge</u> The Person-In-Charge shall be the management personnel of the company. (e.g. director, manager, company secretary or equivalent)			
(b)	Full Name (English)	Ms. Yum Wai Chu (as appeared on HKID / passport)		
	(Chinese)	任慧珠小姐 (as appeared on HKID / passport)		
(c)	Position in Company	Director		
(d)	Contact Phone Number	31040433	(e) Fax Number	31862522
(f)	E-mail Address	dnfl@dnflogistics.com.hk		

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 passenger aircraft or all-cargo aircraft.

Section 2 – Company Organization

(a)	Total Number of Staff Members	8 Staff																																									
(b)	Total number of staff members with access to consignment designated as air cargo and/or related shipping documents	3 Staff																																									
(c)	<u>Nominated Person for Cargo Security</u> Each Regulated Agent (RA) shall nominate a trained person who has attended and completed a training programme acceptable to Civil Aviation Department and is 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. <table border="1"> <tr> <td rowspan="2">(i)</td> <td>Full name (English)</td> <td colspan="3">Mr. Wong Yiu Por (as appeared on HKID / passport)</td> </tr> <tr> <td>(Chinese)</td> <td colspan="3">黃耀坡先生 (as appeared on HKID / passport)</td> </tr> <tr> <td>(ii)</td> <td>Position in Company</td> <td colspan="3">Manager</td> </tr> <tr> <td>(iii)</td> <td>Contact Phone Number</td> <td>31040433</td> <td>(iv) Fax Number</td> <td>31862522</td> </tr> <tr> <td>(v)</td> <td>E-mail Address</td> <td colspan="3">gary@dnflogistics.com.hk</td> </tr> <tr> <td>(vi)</td> <td>Completion Date of Training Course</td> <td colspan="3">13/01/2011 (dd/mm/yyyy)</td> </tr> <tr> <td>(vii)</td> <td>Name of Training Institute</td> <td colspan="3">Alliance Management Consulting Ltd.</td> </tr> <tr> <td>(viii)</td> <td>Date of Passing Revalidation Test (if any)</td> <td colspan="3">N/A (dd/mm/yyyy)</td> </tr> </table>				(i)	Full name (English)	Mr. Wong Yiu Por (as appeared on HKID / passport)			(Chinese)	黃耀坡先生 (as appeared on HKID / passport)			(ii)	Position in Company	Manager			(iii)	Contact Phone Number	31040433	(iv) Fax Number	31862522	(v)	E-mail Address	gary@dnflogistics.com.hk			(vi)	Completion Date of Training Course	13/01/2011 (dd/mm/yyyy)			(vii)	Name of Training Institute	Alliance Management Consulting Ltd.			(viii)	Date of Passing Revalidation Test (if any)	N/A (dd/mm/yyyy)		
(i)	Full name (English)	Mr. Wong Yiu Por (as appeared on HKID / passport)																																									
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(viii)	Date of Passing Revalidation Test (if any)	N/A (dd/mm/yyyy)																																									
(d)	Please provide an organization chart of your company containing the key staff members.																																										

Part II – Regulated Agent Security Programme

Section 3 – Training

<u>Second Trained Person</u> When this application form is submitted, each regulated agent shall demonstrate that at least two staff members have attended and completed a training programme acceptable to Civil Aviation Department. As the Nominated Person for Cargo Security mentioned in Part II Section 2(c) is one of the trained staff members, a second trained person shall be provided below.			
(i)	Full name (English)	Ms. Yum Wai Chu (as appeared on HKID / passport)	
	(Chinese)	任慧珠小姐 (as appeared on HKID / passport)	
(ii)	Position in Company	Director	
(iii)	Contact Phone Number	31040433	(iv) E-mail Address dnfl@dnflogistics.com.hk
(v)	Completion Date of Training Course	30/12/2010 (dd/mm/yyyy)	
(vi)	Name of Training Institute	Alliance Management Consulting Ltd.	
(vii)	Date of Passing Revalidation Test (if any)	N/A (dd/mm/yyyy)	
<u>Internal Security Awareness Training</u> All staff members of each regulated agent 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 refresher training to understand the principles of the Regulated Agent Regime (RAR). Records of internal training shall include the names of trainees, date and type of delivery as well as endorsement by the trainer who shall be a trained person mentioned either in Part II Section 2(c) or in Part II Section 3(a) or a trainer with equivalent qualifications. Training records shall be maintained for at least 3 years.			
(i)	Name, post and company of the trainer responsible for conducting internal training and maintaining training records	<u>Maintaining training records:</u> Mr. Wong Yiu Por <u>Conducting internal Training</u> Mr. Wong Yiu Por	(ii) Frequency of Refresher Training At Least once per year
(iii)	Training Material	- Company's Regulated Agent Security Programme; - Handling Procedures for Regulated Agent Regime; and - Material of the training programme from the training institutes acceptable to Civil Aviation Department	

Section 4 – 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 8] * Please provide a written explanation in separate sheets for consideration by Civil Aviation Department.	
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Part II – Regulated Agent Security Programme

Section 5 – Cargo Acceptance

(a) Cargo Acceptance By (more than one box can be selected)	☐ Own Staff Members ☐ Warehouse Contractor ☒ Transportation Contractor
(b) <u>Acceptance Procedures</u>	
(i) Documentation Check	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. 2. The shipping documents shall contain at least the following information. - nature / content of the consignment, - quantity of the consignment (including weight, number of packages, dimension / volume), - known consignor code, account consignor code or regulated agent code of the tendering regulated agent, and - security status of the cargo consignment as required in Part II Section 6.3(a), 8.2(c) and 8.3(c) if the consignment is received from a regulated agent. 3. The status of the known consignor (KC), the account consignor (AC) or the tendering regulated agent (RA) shall be checked. (e.g. checking KC code or AC code against the regulated agent's register and/or checking RA code against Civil Aviation Department's register). 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 known consignor, the account consignor, the tendering regulated agent, the warehouse contractor or the transportation contractor.
(ii) Appearance Check	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 5(b)(i). 2. The packaging of the consignment shall be examined for any signs of tampering and suspicion, such as:- • signs of reseal or forcible opening, or • unreasonable packaging, or • wires, oil stains or other indications that the consignment may contain explosives or incendiary devices. 3. Searching by hand or physical check at piece level is not a must if the staff member who receives the cargo consignment is satisfied that the consignment matches the information contained in the shipping documents mentioned in Part II Section 5(b)(i) with no signs of tampering.
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 6.3(b).	

Part II – Regulated Agent Security Programme

Section 6 – Cargo Processing and Storage

6.1 Particulars of Service

(a)	My company will provide cargo processing and storage service by my company's or contracted warehouses. (tick the appropriate box)	☐ Yes [Continue Below] ☒ No [Go to Section 7]
(b)	Type of Warehouse (tick the appropriate box)	☐ Self-provided [Go to (d)] ☐ No [Continue below]
(c) Warehouse Contractor (if any)		
(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 (more than one box can be selected)	☐ On-site Command and Supervision ☐ Regular Meeting with Contractor Frequency: _____ ☐ Others Please specify: _____	
(v) Please provide a copy of the duly completed Warehouse Contractor Declaration.#		
(d)	Sharing of Warehouse (tick the appropriate box)	☐ Yes. Shared with other company. [Continue below] ☐ No. Not shared with other company. [Go to (f)]
(e)	Method to distinguish your company's cargo from other agents' cargo.	☐ Specially assigning storage area. ☐ Labelling. Please provide a sample of your company's cargo label. ☐ 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/newrar.html>.

Part II – Regulated Agent Security Programme

6.2 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	<u>Compulsory Measures</u> (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. (ii) All doors, gates, roller shutters or other access points to the consignments shall be closed, locked or guarded when not in use. (iii) Regular inspections on physical barriers shall be carried out. (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. <u>Additional Measures</u> (i) If ventilation is needed, lockable metal screen doors may be installed. (ii) Doors, gates and roller shutters should, where applicable, be equipped with intrusion detection devices, alarms, CCTV or other means of protection against intrusion. (iii) Security personnel patrol is carried out at the cargo processing and storage facilities. (iv) Only vehicles involved in cargo transportation should be allowed to enter and park inside cargo loading or unloading area.
(b) Access Control	<u>Compulsory Measures</u> (i) Access to cargo facilities and areas shall be restricted to individuals with an operational need for access. (ii) Identity check is conducted to ensure that persons entering the facilities, including staff members and visitors, are authorized to enter the facilities. (iii) Gates through which vehicles and/or personnel enter or leave are manned by security personnel or monitored by automated devices. <u>Additional Measures</u> (i) Security devices are installed at gates and doors. (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.

Part II – Regulated Agent Security Programme

6.3 Known Cargo (SPX or SCO Cargo) and Unknown Cargo (UNK Cargo)

(a) Definition	Known cargo is a consignment of cargo from a known consignor, an account consignor or a regulated agent to which the appropriate security controls have been applied; or a consignment of unknown cargo which has subsequently been subjected to the security controls acceptable to Civil Aviation Department. There are two types of known cargo, namely:- (1) Cargo secure for passenger and all-cargo aircraft (SPX cargo):- SPX cargo is cargo which is accepted by a regulated agent (RA) or an aircraft operator (airline) as known cargo from a known consignor (KC), or any cargo which has been subjected to the appropriate security controls. SPX cargo is secure for carriage onboard both passenger and all-cargo aircraft. (2) Cargo secure for all-cargo aircraft (SCO cargo):- SCO cargo is cargo which is accepted by a regulated agent (RA) or an aircraft operator (airline) as known cargo from an account consignor (AC). SCO cargo is secure for carriage onboard all-cargo aircraft only. whereas Unknown cargo (UNK cargo) is either:- (a) any cargo other than known cargo as defined above; or (b) any known cargo which passes out of the custody of an airline, a regulated agent, a known consignor, an account consignor or their appropriate warehouse contractors or transportation contractors.
(b) Security Control (tick the appropriate box)	UNK cargo shall be cleared by the following security control prior to acceptance as SPX cargo:- ♦ searching by hand or physical check at piece level, or ♦ screening by x-ray. The details of the X-ray screening services engaged by my company are as follows: ☐ The facilities, equipment, procedures and screeners have been confirmed acceptable to Civil Aviation Department. Please specify the screening service provider and the location of screening:_____ ☐ Others. The details of the facilities, equipment, procedures and screeners are provided in separate sheets for consideration by Civil Aviation Department. Assessment on the X-ray screening services may be carried out by Civil Aviation Department as appropriate. ☐ Not applicable. No x-ray screening is conducted. The above security control 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.

Part II – Regulated Agent Security Programme

6.4 Segregation of Cargo

(a) Segregation of known cargo from unknown cargo	Known cargo (SPX cargo and SCO cargo) shall be segregated from UNK cargo by:- ☐ Specially assigning separate storage areas for UNK cargo ☐ Labelling. Please provide a sample of the “UNK” label. ☐ Others. Please specify. _____
(b) Segregation of SPX cargo from SCO cargo	SPX cargo shall be segregated from SCO cargo by:- ☐ Specially assigning separate storage areas for SPX cargo and SCO cargo ☐ Labelling. Please provide separate samples of the “SPX” and “SCO” label. ☐ Others. Please specify. _____
(c) 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) A consignment that is provided with self-contained security may be stored outside the aforesaid cages, compartments, rooms or buildings provided that the consignment itself is equipped with tamper-evident seals or locks and remains under supervision by security personnel patrol, intruder detection devices, alarms, CCTV or other means of protection against intrusion for the entire storage period. If seals or locks are used, their integrity shall be verified.

6.5 Floor Plan

Please provide a floor plan of the warehouse showing the locations of:-

- ♦ access points and security installations stipulated in Part II Section 6.2, and
- ♦ specially assigned storage areas specified in Part II Section 6.1(e), 6.4(a) and 6.4(b) if any.

Part II – Regulated Agent Security Programme

Section 7 – Transportation Service

7.1 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>		☒ Yes [Continue below] ☐ No [Go to Section 8]
(b) Type of Transportation Service <i>(tick the appropriate box)</i>		☐ Self-provided [Go to Section 7.2] ☒ Contracted out [Continue below]
(c) <u>Transportation Contractor</u> <i>(if applicable)</i>		
(i) Name of Transportation Contractor (English)		Contractor1: SIN TAT TRANSPORTATION SERVICE CO. Contractor2: YAN MEI LOGISTICS CO LTD Contractor3: CHI MAN TRANSPORTATION COMPANY (as appeared on Transportation Contractor Declaration referred in part (v) below)
(Chinese)		Contractor1: 先達運輸公司 Contractor2: 恩美物流貨運有限公司 Contractor3: 智文運輸公司 (as appeared on Transportation Contractor Declaration referred in part (v) below)
(ii) Contractor's Person-In-Charge		Contractor1: FUNG LOK YAM Contractor2: YIP CHI YAN Contractor3: LAM CHI CHIU as appeared on Transportation Contractor Declaration referred in part (v) below)
(iii) Contact Phone Number		Contractor1: 24083272 Contractor2: 24399861 Contractor3: 51119328
(iv) Monitoring of Contractor Performance <i>(more than one box can be selected)</i>		☐ On-site Command and Supervision ☒ Regular Meeting with Contractor Frequency: <u>Once per month</u> ☐ Others Please specify. _____
(v) The Transportation Contractor Declaration shall be duly completed by the transportation contractor and submitted to my company.#		

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

Part II – Regulated Agent Security Programme

7.2 Measures of Transportation Security

(a) Driver	<u>Compulsory Measures</u> (i) Driver shall present to the cargo dispatcher a national identity card, passport, driving licence or other document, containing a photograph of the driver for verification before any cargo is loaded. (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 regulated agent or airline is notified of that at delivery. <u>Additional Measures</u> (i) There should also be evidence on the cargo documentation showing the identification of the driver designated to deliver the consignment for verification purpose.
(b) Vehicle	<u>Compulsory Measures</u> (i) Immediately prior to loading, the load compartment shall be searched and the integrity of this search maintained until loading is completed. (ii) All vehicles used in the transportation of air cargo are secured immediately following the completion of loading against unlawful interference at all times, using numbered tamper-evident seals or any other appropriate methods. (iii) The open load areas of flat bed trucks shall be kept under surveillance (e.g. remote CCTV surveillance) when air cargo is being transported. Such cargo consignment shall also be provided with self-contained security by tamper-evident seals or locks. The integrity of the seals or locks shall be verified before the receipt of cargo by the next entity. (iv) If numbered tamper-evident seals are used to secure vehicles transporting air cargo, access to such seals shall be controlled and the seal numbers shall be recorded.

Part II – Regulated Agent Security Programme

Section 8 – Documentation for Cargo Security

8.1 Inter-Agent Handling

My company will be involved in inter-agent operations. (a) <i>(tick the appropriate box)</i>	☒ Yes [Continue below] ☐ No [Go to Section 8.2]
My company will be involved in co-loading activities. b) <i>(tick the appropriate box)</i>	☒ Yes [Continue below] ☐ No [Go to (e)]
c) Type of co-loading <i>(more than one box can be selected)</i>	☒ Tendering cargo to other Regulated Agent My company will verify the authenticity of the status of the receiving regulated agent before tendering cargo. ☒ Receiving cargo from other Regulated Agent The cargo acceptance procedures as set out in Part II Section 5(b) shall be adhered to.
(d) My company will be involved in air waybill (AWB) assignment. <i>(tick the appropriate box)</i>	☒ Yes [Continue below] ☐ No [Go to Section 8.2]
(e) Type of Air Waybill Assignment <i>(more than one box can be selected)</i>	☒ Assigning AWB to other Regulated Agent ☒ Borrowing AWB from other Regulated Agent ☐ 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 6.3(b) shall be applied.

Part II – Regulated Agent Security Programme

8.2 Known Consignor

a) Definition	Known consignor (KC) is the consignor who originates cargo for its own account and whose procedures meet the security requirements stipulated in the Requirement Document for Consignor for carriage of cargo on passenger aircraft and all-cargo aircraft.
(b) Validation / Recognition	Please refer to Requirement Document for Consignor for details.
(c) Security Status	(i) Please refer to the relevant definitions in Part II Section 6.3(a). (ii) Security status shall be assigned by a trained person (i.e. trained person mentioned either in Part II Section 2(c) or in Part II Section 3(a)), or any other staff members of the regulated agents who have received the internal security awareness training mentioned in Part II Section 3(b). (iii) 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.
(d) *My Company's KC Code System: <u>KC####</u> "KC" stands for Known Consignor; "0001" sequential number (from 0001 to 9999) *KC Code Example: <u>KC0001</u> <i>* Not applicable when the Independent Validation for Known Consignor is effective.</i>	

8.3 Account Consignor

a) Definition	Account consignor (AC) is a consignor who originates cargo for its own account and whose procedures meet the security requirements stipulated in the Requirement Document for Consignor for carriage of cargo on all-cargo aircraft.
(b) Recognition	Please refer to Requirement Document for Consignor for details.
(c) Security Status	(i) Please refer to the relevant definitions in Part II Section 6.3(a). (ii) Security status shall be assigned by a trained person (i.e. trained person mentioned either in Part II Section 2(c) or in Part II Section 3(a)), or any other staff members of the regulated agents who have received the internal security awareness training mentioned in Part II Section 3(b). (iii) 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.
(d) My Company's AC Code System: <u>AC####</u> "AC" stands for Account Consignor; "0001" sequential number (from 0001 to 9999) AC Code Example: <u>AC0001</u>	

Part II – Regulated Agent Security Programme

8.4 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/newrar.html>.

8.5 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 #
- ♦ Form of Undertaking for Inter-Agent AWB Handling #
- ♦ Record of security control applied on unknown cargo (e.g. x-ray screening record)
- ♦

(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
- ♦ A register of all valid known consignors of my company
- ♦ Known Consignor Declaration of Compliance # of all valid known consignors of my company
- ♦ A register of all valid account consignors of my company
- ♦ Account Consignor Declaration of Compliance # of all valid account consignors of my company
- ♦ 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/newrar.html>.

Part II – Regulated Agent Security Programme

8.6 Document Retention Period

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

Sections	Documents	Periods
3	Training records (including internal training)	3 years
8.5 (a)	Documents relating to consignment of air cargo	At least 31 days
8.5 (b)	Documents associated with my company's status as a regulated agent	Whole duration of my company's status as a regulated agent
9	Recruitment records	Duration of employment + 1 year
11	Records of random x-ray screening of known cargo	3 years
12	Quality control records	3 years

8.7 Confidentiality

A regulated agent shall ensure that any security sensitive 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 9 – Recruitment (Only applicable to staff members employed on or after 15 July 2013)

My company shall record the details of the recruitment and selection procedures of staff members with access to consignment designated as air cargo and/or related shipping documents, including the Nominated Person for Cargo Security mentioned in Part II Section 2(c). 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.

(a) Job Application Form	In job application form, a job applicant is required: (i) to provide education and employment history in the previous 5 years; (ii) to provide criminal conviction, if any, in the previous 5 years; (iii) once employed, to report as soon as reasonably possible criminal conviction to the company for assessment on continuation of discharge of work duties; (iv) to declare that the information is complete and accurate; (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 (vi) to agree that information may be collected from previous employers and schools for the purpose of verification only. The completed form must be signed by the applicant.
(b) Job Interview	During the job interview, my company shall: (i) establish the job applicants' identities by means of documentary evidence such as passport, national identity card or registry of birth records; (ii) ensure that the applicant understands the importance and the full implication of the declarations made on the job application form; and (iii) ensure that no time periods are unaccounted for in the job application form.

My company shall be cautious in the recruitment process with an objective to ensure that my staff members are reliable and do not pose a potential threat. For the staff members 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.

Recruitment records and subsequent assessment records of staff members shall be kept for at least the duration of employment plus one year.

Part II – Regulated Agent Security Programme

Section 10 – Treatment of Suspect Cargo

(a) Suspect Cargo	- 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. - Suspect air cargo shall be treated as unknown cargo and be subjected to the security control stipulated in Part II Section 6.3(b). - My company shall only transport the consignment of the air cargo if my company has carried out the security control stipulated in Part II Section 6.3(b) with an objective to detect the presence of concealed explosives or incendiary devices in consignments of cargo.
(b) Unresolved Suspensions	- If there is any unresolved suspicion or a suspect item is detected in a consignment:- - do not touch the consignment; - immediately contact on-site supervisor or person-in-charge for assistance. - Once suspicion is confirmed:- - contact the consignor or shipper to assist in investigation; and/or - report it to the Hong Kong Police. - If there is any sign of danger from the suspect consignment:- - report it to the Hong Kong Police immediately; - evacuate the premises where the suspect consignment is stored; - establish a cordon to prevent anyone from gaining access to the evacuated area; and - follow the instructions, if any, from the Hong Kong Police and other emergency services department.
(c) Explosive or incendiary device identified	- 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: apsd_sec@cad.gov.hk Fax: 2362 4257 - Security control stipulated in Part II Section 6.3(b) shall be applied to other consignments:- - destined for the same flight or destination; and - originating from the same consignor or location

Part II – Regulated Agent Security Programme

Section 11 – Random X-ray Screening of Known Cargo (SPX or SCO Cargo)

- My company shall arrange to conduct random x-ray screening, preferably on a monthly basis, of a minimum of 1% (in weight) of the known cargo consignments, which have been recorded on valid Master Air Waybills with flight numbers assigned for carriage onboard passenger aircraft and all-cargo aircraft.
- The random x-ray screening records shall be maintained for at least 3 years for inspection by Civil Aviation Department. A summary report of x-ray screening shall be made available upon request from Civil Aviation Department. Failure to provide accurate and sufficient information on the report may result in suspension or de-registration of my company's regulated agent status.

Section 12 – Quality Control

- My company shall conduct regular self-assessment with reference to this Regulated Agent Security Programme and the Handling Procedures for Regulated Agent Regime, 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 Civil Aviation Department.
- My company agrees to be subject to announced and unannounced inspection by Civil Aviation Department 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 and any other directions given from time to time by Civil Aviation Department.

Part III – Application Notes

Section 1 – 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 I Section 1(a) & (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 ☒ No ☐
(2)	Part I Section 1(c)	The Correspondence Address is required only if it is different from the address shown on the BRC.		Yes ☐ No ☐ N/A ☒
(3)	Part I Section 1(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 I Section 1(f)	RA Code shall be quoted by the existing valid RAs in order to maintain their registration as RAs after 15 July 2013. RA Code is not required to be quoted by new applicant.		Yes ☒ No ☐ N/A ☐
(5)	Part I Section 2(b)	The Full Name shall be the same as the one shown on Hong Kong Identity Card (HKID) or passport.		Yes ☒ No ☐
(6)	Part I Section 2(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 ☒ No ☐
(7)	Part II Section 2(c)(i)	The Full Name shall be the same as the one shown on HKID or passport.		Yes ☒ No ☐
(8)	Part II Section 2(c)(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 ☒ No ☐

N/A = Not applicable

Part III – Application Notes

Section 1 – Self-Checklist (Cont'd)

	Sections in Application Form	Points to Note	Documents to be Submitted	Requirement Fulfilled?
(9)	Part II Section 2(c)(viii) & Section 3(a)(vii)	The RA Training Certificate or the result of RA revalidation test carries a validity of 3 years. The Date of Passing Revalidation Test is the date of the most recent RA 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 RA Training Certificate has expired.	Copies of the valid RA Training / Test Certificates of the trained persons	Yes ☒ No ☐ N/A ☐
(10)	Part II Section 2(d)	The organization chart shall include the Person-In-Charge mentioned in Part I Section 2, the Nominated Person for Cargo Security mentioned in Part II Section 2(c) and the second trained person mentioned in Part II Section 3(a).	Organization Chart	Yes ☒ No ☐
(11)	Part II Section 6.1(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 ☐ No ☐ N/A ☒
(12)	Part II Section 6.1(e)	A sample of your company's cargo label shall be provided if labeling is used as a means for distinguishing your company's cargo from other agent's cargo.	Sample of Company's Cargo Label	Yes ☐ No ☐ N/A ☒
(13)	Part II Section 6.2(b)	If permit is used as a means of controlling access to warehouse, please provide a sample of the permit.	Sample of Permit	Yes ☐ No ☐ N/A ☒
(14)	Part II Section 6.4(a)	A sample of UNK cargo label shall be provided if labeling is used as a means for segregating unknown cargo from known cargo.	Sample of UNK Cargo Label	Yes ☐ No ☐ N/A ☒
(15)	Part II Section 6.4(b)	Samples of SPX and SCO cargo labels shall be provided if labeling is used as a means for segregating SPX cargo from SCO cargo.	Samples of SPX and SCO Cargo Labels	Yes ☐ No ☐ N/A ☒
(16)	Part II Section 6.5	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, for segregating SPX cargo from SCO 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 ☐ No ☐ N/A ☒

Part III – Application Notes

Section 2 – Personal Information Collection Statement

Purpose of Collection

Information collected from you will be used for processing your application for registration as a Regulated Agent and other related administration. The provision of personal data is voluntary. If you do not provide sufficient information, Civil Aviation Department may not be able to process your application.

Classes of Transferee

If your company is registered as a Regulated Agent, your company name, Regulated Agent Code and Business Registration Certificate Number may be provided to airlines or airlines' agents (e.g. cargo terminal operators) for verification upon cargo acceptance. Once your company is registered by Civil Aviation Department as a Regulated Agent, your company name and Regulated Agent Code will also be published to the public for information.

Access to Personal Data

You have a right to access to and correct your personal data held by Civil Aviation Department by writing 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.

Section 3 – Submission and Processing of Application

- (1) Civil Aviation Department may conduct an inspection in the course of processing the application. Documents may be requested during or after the inspection.
- (2) Civil Aviation Department may not be able to commence the processing of the application before all the necessary documents are received by Civil Aviation Department.
- (3) The processing time for an application is 14 working days, counted from the date of receipt of ALL required documents for the application.
- (4) Please return the completed application form together with required documents to Aviation Security Section, Airport Standards Division, Civil Aviation Department:-
 - by mail to Level 5, Office Building, Civil Aviation Department Headquarters, 1 Tung Fai Road,
 Hong Kong International Airport
 - by fax to 2362 4257, or
 - by e-mail to apsd_sec@cad.gov.hk.

For any enquiries, please contact Civil Aviation Department at 2910 6932, 2910 6934, 2910 6935 or 2910 6915.

For Official Use:

Recommended by

Date

Checked by

Date

RA Code: _____

Effective Date: _____

Remarks:

Organization Chart

