**VALIDATION CHECKLIST FOR UK ACC3**

ACC3 (*Air cargo or mail carrier operating into the UK from a third country airport*) designation is the prerequisite for carrying air cargo or mail into the UK.

ACC3 designation is in principle required for all flights carrying cargo or mail for transfer, transit or unloading at UK airports. The UK Department for Transport is responsible for the designation of all air carriers as ACC3. The designation is based on the security programme of an air carrier and on an on-site verification of the implementation in compliance with the objectives referred to in this validation checklist.

The checklist is the instrument to be used by the UK approved aviation security validator for assessing the level of security applied to UK bound air cargo or mail by or under the responsibility of the ACC3 or an air carrier applying for ACC3 designation.

A validation report shall be delivered to the UK Civil Aviation Authority, on behalf of the UK Department of Transport and to the validated entity within a maximum of one month after the on-site verification. Integral parts of the validation report shall be at least:

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| — | the completed checklist signed by the UK approved aviation security validator and where applicable commented by the validated entity; and |
| — | the declaration of commitments signed by the validated entity; and |
| — | an independence declaration in respect of the entity validated signed by the UK aviation approved security validator. |

The validation report must include clear page numbering, the date of the UK aviation security validation and initialling on each page by the validator and the validated entity in order to prove the integrity of the validation report. The validation report shall be drafted in English.

Part 3 — Security programme of the air carrier, Part 6 — Screening and Part 7 — High risk cargo or mail (HRCM) shall be assessed against the requirements of Chapters 6.7 and 6.8 of the UK National Aviation Security Programme. For the other parts, baseline standards are the Standards and Recommended Practices (SARPs) of Annex 17 to the Convention on International Civil Aviation and the guidance material contained in the International Civil Aviation Organisation (ICAO) Aviation Security Manual (Doc 8973-Restricted).

***Completion notes:***

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| — | All applicable and relevant parts of the checklist must be completed, in accordance with the business model and operations of the entity being validated. Where no information is available, this must be explained. |
| — | After each part, the UK approved aviation security validator shall conclude if and to what extent the objectives of this part are met. |

PART 1

**Identification of the entity validated and the validator**

|  |
| --- |
| 1.1. Date(s) of validation |
| **Use exact date format, such as 01.10.2012 to 02.10.2012** |
| dd/mm/yyyy |  |
| 1.2. Date of previous validation and unique alphanumeric identifier (UAI) of the ACC3 where available |
| dd/mm/yyyy |  |
| UAI |  |
| 1.3. Aviation security validator information |
| Name |  |
| Company/Organisation/Authority |  |
| UAI |  |
| Email address |  |
| Telephone number — including international codes |  |
| 1.4. Name of air carrier to be validated |
| Name |  |
| AOC (Air Operators Certificate) issued in (name of State): |  |
| International Air Transport Association (IATA) code  |  |
|  |  |
| 1.5. Details of third country airport location to be validated or cargo or mail facilities linked to it |
| Name |  |
| IATA or ICAO code for the airport |  |
| Country |  |
| 1.6. Nature of air carrier’s business — More than one business type may be applicable |
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| --- | --- |
| (a) | passenger and cargo/mail carrier; |

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| --- | --- |
| (b) | cargo and mail only carrier; |

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| --- | --- |
| (c) | cargo only carrier; |

|  |  |
| --- | --- |
| (d) | mail only carrier; |

|  |  |
| --- | --- |
| (e) | integrator; |

|  |  |
| --- | --- |
| (f) | charter. |

 |  |
| 1.7. Name and title of person responsible for third country air cargo or mail security |
| Name |  |
| Job title |  |
| Email address |  |
| Telephone number — including international codes |  |
| 1.8. Address of the air carrier’s main office at the airport being visited |
| Number/Unit/Building/Airport |  |
| Street |  |
| Town |  |
| Postcode |  |
| State (where relevant) |  |
| Country |  |
| 1.9. Address of the air carrier’s main office, for example the corporate headquarters |
| Number/Unit/Building/Airport |  |
| Street |  |
| Town |  |
| Postcode |  |
| State (where relevant) |  |
| Country |  |

PART 2

**Organisation and responsibilities of the ACC3 at the airport**

Objective: No air cargo or mail shall be carried to the UK without being subject to security controls. Details of such controls are provided by the following Parts of this checklist. The ACC3 shall not accept cargo or mail for carriage on a UK-bound aircraft unless the application of screening or other security controls is confirmed and accounted for by a UK aviation security validated regulated agent, a UK aviation security validated known consignor or such consignments are subject to screening in accordance with the UK legislation.

The ACC3 shall have a process to ensure that appropriate security controls are applied to all UK bound air cargo and mail unless it is exempted from screening in accordance with UK legislation and that cargo or mail is protected thereafter from unlawful interference until loading onto the aircraft. Security controls shall consist of:

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| — | physical screening which shall be of a standard sufficient to reasonably ensure that no prohibited articles are concealed in the consignment, or |
| — | other security controls which are part of a supply chain security process that reasonably ensure that no prohibited articles are concealed in the consignment applied by UK aviation security validated regulated agents or known consignors. |

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| 2.1. Has the air carrier established a process to ensure that air cargo or mail is submitted to appropriate security controls prior to being loaded onto a UK bound aircraft? |
| YES or NO |  |
| If YES, describe the process |  |
| 2.2. Are the security controls applied by the air carrier or on its behalf by an entity covered under the air carrier’s security programme? |
| If YES, provide details |  |
| If NO, which entities not covered by the air carrier’s security programme apply security controls to air cargo or mail carried by this air carrier into the UK? |  |
| Specify the nature of these entities and provide details:

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| --- | --- |
| — | private handling company; |

|  |  |
| --- | --- |
| — | government regulated company; |

|  |  |
| --- | --- |
| — | government screening facility or body; |

|  |  |
| --- | --- |
| — | Other |

 |  |
| 2.3. By which instruments and instructions (such as oversight, monitoring, and quality control) does the air carrier ensure that security controls are applied in the required manner by the above service providers? Provide details of both internal and external auditing activity – by which entities, at what frequency do auditing/inspection take place (internal and external), does this audit activity include covert tests; and when were the last 2 full inspections completed. Please be as specific as possible and avoid generic terms such as “regularly” or “frequently”.  |
|  |
|  |
| 2.4. Is the air carrier able to request the appropriate security controls in case the screening is carried out by entities which are not covered by the air carrier’s security programme, such as government facilities? |
| YES or NO |  |
| If NO, provide details |  |
| 2.5. By which instruments and instructions (such as oversight, monitoring, and quality control) does the air carrier ensure that security controls are applied in the required manner by such service providers? Provide details of internal and external auditing activity, including frequency (which includes the RA3’s own audits) |
|  |
|  |
| 2.6. Has a regulated agent or known consignor programme for air cargo and mail been put in place in accordance with ICAO standards in the State of the airport at which the validation visit takes place? |
| If YES, describe the elements of the programme and how it has been put in place |  |
| 2.7. Conclusions and general comments on the reliance, conclusiveness, and robustness of the process. |
| Comments from the air carrier |  |
| Comments from the UK approved aviation security validator |  |

PART 3

**Security programme of the air carrier**

Objective: The UK ACC3 shall ensure that its security programme includes all the aviation security measures relevant and sufficient for air cargo and mail to be transported into the UK.

The security programme and associated documentation of the air carrier shall be the basis of security controls applied in compliance with the objective of this checklist. The air carrier may wish to consider passing its documentation to the UK aviation security validator in advance of the site visit to help acquaint him with the details of the locations to be visited.

Note: The following points shall be appropriately covered:

|  |  |
| --- | --- |
| (a) | description of measures for air cargo and mail; |
| (b) | procedures for acceptance; |
| (c) | regulated agent scheme and criteria; |
| (d) | known consignor scheme and criteria; |
| (e) | standard of screening; |
| (f) | location of screening; |
| (g) | details of screening equipment; |
| (h) | details of operator or service provider; |
| (i) | list of exemptions from security screening; |
| (j) | treatment of high risk cargo and mail. |

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| 3.1. Does the security programme cover sufficiently the elements of the list above? |
| YES or NO |  |
| If NO, describe why, detailing the reasons |  |
| 3.2. Are the aviation security measures described by the security programme relevant and sufficient to secure UK bound air cargo or mail according to the required standards? |
| YES or NO |  |
| If NO, describe why detailing the reasons |  |
| 3.3. Conclusion: Is the security programme conclusive, robust and complete? |
| YES or NO |  |
| If NO, specify reasons |  |
| Comments from the air carrier |  |
| Comments from the UK aviation security validator |  |

PART 4

**Staff recruitment and training**

Objective: The UK ACC3 shall assign responsible and competent staff to work in the field of securing air cargo or mail. Staff with access to secured air cargo possess all the competencies required to perform their duties and are appropriately trained.

In order to fulfil that objective, the ACC3 shall have a procedure to ensure that all staff (such as permanent, temporary, agency staff, drivers) with direct and unescorted access to air cargo or mail to which security controls are being or have been applied:

|  |  |
| --- | --- |
| — | have been subject to initial and recurrent background checks, which are at least in accordance with the requirements of the local authorities of the airport validated, and |
| — | have completed initial and recurrent security training to be aware of their security responsibilities in accordance with the requirements of the local authorities of the airport validated. |

*Note:*

|  |  |
| --- | --- |
| — | A background check means a check of a person’s identity and previous experience, including any criminal history and any other security-related information relevant to assessing the person’s suitability to implement a security control or for unescorted access to a security restricted area (ICAO Annex 17 definition). This is in accordance with national legislation. |

|  |
| --- |
| 4.1. Do the pre-employment checks meet the local NASP requirements? |
| YES or NO |  |
| 4.2. Are all staff responsible for performing a security function or with unescorted access to secure cargo or mail subject to a background check prior to employment check? |
| YES or NO |  |
| If YES, indicate the number of preceding years taken into account for the background check and state which entity carries it out. |  |
| 4.3. What does the background check include?  |
| Please describe,

|  |  |
| --- | --- |
| — | check of criminal records  |

|  |  |
| --- | --- |
| — | Interviews |

|  |  |
| --- | --- |
| — | other (provide details of all checks which are undertaken) |

Explain the elements, indicate which entity carries this element out and where applicable, indicate the preceding timeframe that is taken into account. |  |
| 4.4. At what intervals are criminal records checks renewed?  |  |
| 4.5. Do staff with direct and unescorted access to secured air cargo or mail receive security training before being given access to secured air cargo or mail? |
| YES or NO |  |
| If YES, describe the elements and duration of the training |  |
| 4.6. What specific training do Security Managers receive?  |  |
| 4.7. Do staff that accept, screen or protect air cargo or mail receive specific job related training? |
| YES or NO |  |
| If YES, describe the elements and durations of training courses. |  |
| 4.8. Do staff referred to in points 4.5 and 4.6 receive recurrent training? |
| YES or NO |  |
| If YES, specify the elements and the frequency of the recurrent training |  |
| 4.9. Conclusion: do the measures concerning staff recruitment and training ensure that all staff with access to secured air cargo or mail have been properly assigned and trained to a standard sufficient to be aware of their security responsibilities? i.e., to local NASP standards  |
| YES or NO |  |
| If NO, specify reasons |  |
| Comments from the air carrier |  |
| Comments from the UK aviation security validator |  |

PART 5

**Acceptance procedures**

Objective: The UK ACC3 shall have a procedure in place in order to assess and verify upon acceptance the security status of a consignment in respect of previous controls.

The procedure shall include the following elements:

1. confirmation (where applicable) that the entity delivering a consignment of secure air cargo or mail is listed as active in the UK or EU database on supply chain security for the specified airport or site;
2. verification (where applicable) that the UK or EU database unique alphanumeric identifier of the entity delivering a consignment of secure air cargo or mail is indicated on the accompanying documentation;
3. verification (where applicable) of whether a consignment of secure air cargo or mail is delivered by a person nominated by the UK or EU aviation security validated regulated agent or known consignor as listed in the UK or EU secure supply chain database;

|  |  |
| --- | --- |
|  | 1. the person delivering a consignment shall correspond to the person tasked to deliver the air cargo or mail to the air carrier. The person delivering the consignment to the air carrier shall present an identity card, passport, driving license or other document, which includes his or her photograph and which has been issued or is recognised by the national authority;
 |
|  | (e) where applicable, verification of whether the consignment is presented with all the required security information (air waybill and security status information on paper or by electronic means, description of the consignment and unique identifier thereof, reasons for issuing the security status, means or methods of screening or grounds for exemption from screening) that corresponds to the air cargo and mail consignments being delivered; |
|  | (f) verification of whether the consignment is free from any signs of tampering; and |
|  | (g) verification of whether the consignment has to be treated as high-risk cargo and mail (HRCM). |

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| 5.1. When directly accepting a consignment, does the air carrier establish whether it comes from a regulated agent or a known consignor listed on either the UK or EU database on supply chain security and in the database maintained by the air carrier? |
| YES or NO |  |
| If NO, describe the procedure for accepting such cargo |  |
| 5.2. Does the air carrier verify the UAI on the documentation accompanying consignments received from another ACC3, RA3 or KC3 and confirms the active status of the ACC3, RA3 or KC3 on the UK or EU database on supply chain security? |
| YES or NO |  |
| 5.3. Does the entity have a procedure to ensure that in case the documentation does not contain the UAI or it is determined that the entity from which the cargo is received has no active status on the UK or EU database on supply chain security, the consignment is treated as shipment coming from an unknown source? |
| YES or NO |  |
| 5.4. When directly accepting a consignment, does the air carrier establish whether its destination is a UK airport? |
| YES or NO — explain |  |
| 5.5. Does the air carrier submit all cargo or mail to UK ACC3 security controls? |
| YES or NO  |  |
| If YES, describe the procedure  |  |
| 5.6. When directly accepting a consignment, does the air carrier establish whether it is to be regarded as high-risk cargo and mail (HRCM), including for consignments that are delivered by modes of transport other than air?  |
| YES or NO |  |
| If YES, describe the procedure (i.e., by what procedure does the air carrier verify the origin of the cargo/ and what procedures are in place to identify the supply chain integrity has been maintained of the cargo transported) |  |
| 5.7. When accepting a secured consignment, does the air carrier establish whether it has been protected from unauthorised interference and/or tampering from the point at which security controls were applied to that consignment? |
| YES or NO |  |
| If YES, describe (such as seals, locks, inspection etc). |  |
| 5.8. Does the air carrier accept transit air cargo or mail at this location? |
| YES or NO |  |
| If YES, does the air carrier establish on the basis of the given data whether or not further security controls need to be applied (including cargo requiring rescreening)? |  |
| 5.9. Does the air carrier accept transfer air cargo or mail at this location (cargo or mail that departs on a different aircraft to the one it arrived on)?  |
| YES or NO |  |
| If YES, does the air carrier establish on the basis of the given data whether or not further security controls need to be applied (including cargo requiring rescreening)? |  |
| 5.10. Is the person delivering secured known air cargo to the air carrier required to present an official identification document containing a photograph? |
| YES or NO |  |
| 5.11. Conclusion: Are the acceptance procedures sufficient to establish whether air cargo or mail comes from a secure supply chain or that it needs to be subjected to screening? |
| YES or NO |  |
| If NO, specify reasons |  |
| Comments from the air carrier |  |
| Comments from the UK aviation security validator |  |

PART 6

**Screening**

Objective: Where the UK ACC3 accepts cargo and mail from an entity which is not a UK aviation security validated entity or the cargo received has not been protected from unauthorised interference from the time security controls were applied, the ACC3 shall ensure the air cargo or mail is screened before being loaded onto a UK bound aircraft. The ACC3 shall have a process to ensure that UK bound air cargo and mail for transfer, transit or unloading at a UK airport are screened by the means or methods referred to in UK legislation to a standard sufficient reasonably to ensure that it contains no prohibited articles.

Where the ACC3 does not screen air cargo or mail itself, it shall ensure that the appropriate screening is carried out according to UK requirements. Screening procedures shall include where appropriate the treatment of transfer and transit cargo and mail.

Where screening of air cargo or mail is performed by or on behalf of the appropriate authority in the third country, the ACC3 receiving such air cargo or mail from the entity shall declare this fact in its security programme and specify the way adequate screening is ensured.

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| --- |
| 6.1. Is screening applied by the air carrier or on its behalf by a validated entity covered under the air carrier’s security programme? |
| If YES, provide details.If applicable, provide details of the entity or entities covered under the air carrier’s security programme:

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| --- | --- |
| — | Name |

|  |  |
| --- | --- |
| — | site specific address |

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| If NO, which entities not covered by the air carrier’s security programme apply screening to air cargo or mail carried by this air carrier into the UK?Specify the nature of these entities and provide details.

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| --- | --- |
| — | private handling company |

|  |  |
| --- | --- |
| — | government regulated company |

|  |  |
| --- | --- |
| — | government screening facility or body |

|  |  |
| --- | --- |
| — | Other |

 |  |
| 6.2. Is the entity able to request the appropriate security controls in case the screening is carried out by one of the above entities? |
| YES or NO |  |
| If NO, provide details |  |
| 6.3. By which instruments and instructions (for example oversight, monitoring, and quality control) does the validated entity ensure that security controls are applied in the required manner by such service providers? |
|  |
|  |
| 6.4. What methods of screening are used for air cargo and mail? |
| Specify, including details of equipment used for screening air cargo and mail (such as manufacturer, type, software version, standard, serial number) for all the methods deployed |  |
| 6.5. Was operational live screening observed as part of the validation (not limited to CCTV footage review)  |  |
| YES or NO |  |
| If YES, which screening methods? |  |
| If NO, please specify how the effectiveness of the screening was assessed. |  |
| 6.6. Is the equipment or method used included in the most recent UK, European Civil Aviation Conference (ECAC) or the Transportation Security Administration (TSA) of the US compliance list? |
| YES or NO |  |
| If YES, provide details |  |
| If NO, give details specifying the approval of the equipment and date thereof, as well as any indications that it complies with UK equipment standards |  |
| 6.7. Is the equipment used in accordance with the manufacturers’ concept of operations (CONOPS)?  |
| YES or NO |  |
| 6.8 How frequently is the equipment tested and maintained? Please provide details (include testing method, i.e., is the equipment tested using STP or CTP) |  |
| 6.9. Are Explosive Detection Dogs (EDDs) used as a screening method for cargo bound for the UK? |
| YES or NO |  |
| **If YES, please complete the UK EDD checklist**  |  |
| 6.10. Is the nature of the consignment taken into consideration during screening? |
| YES or NO |  |
| If YES, describe how it is ensured that the screening method selected is employed to a standard sufficient to reasonably ensure that no prohibited articles are concealed in the consignment |  |
| 6.11. Is there an escalation process if an alarm is generated by the screening equipment? |
| YES or NO |  |
| If YES, describe the process of resolving alarms to reasonably ensure the absence of prohibited articles.  |  |
| If NO, describe what happens to the consignment. |  |
| 6.12. Are any consignments exempt from security screening? |
| YES or NO |  |
| 6.13. If cargo is exempt from screening, does this fall within UK exemptions? |
| YES or NO |  |
| If no, what additional exemptions, or variations from UK standards are allowed? |  |
| 6.14. Is access to the screening area controlled to ensure that only authorised and trained staff are granted access? |
| YES or NO |  |
| If YES, describe |  |
| 6.15. Is an established quality control or testing regime in place? (e.g., overt or covert testing) |
| YES or NO |  |
| If YES, describe |  |
| 6.16. Conclusion: Is air cargo or mail screened by an appropriate means or methods to a standard sufficient to reasonably ensure that it contains no prohibited articles? |
| YES or NO |  |
| If NO, specify reason |  |
| Comments from the air carrier |  |
| Comments from the UK aviation security validator |  |

PART 7

**High risk cargo or mail**

Objective: Consignments which originate from or transfer through locations identified as high risk by the UK or which appear to have been significantly tampered with are to be considered as high risk cargo and mail (HRCM). Such consignments have to be screened in line with specific instructions. High risk origins and screening instructions are provided by the appropriate UK authority having designated the ACC3. The ACC3 shall have a procedure to ensure that UK bound HRCM is identified and subject to appropriate controls as defined in the UK legislation.

The ACC3 shall remain in contact with the appropriate authority responsible for the UK airports to which it carries cargo in order to have available the latest state of information on high-risk origins.

The ACC3 shall apply the same measures, irrespective of whether it receives high risk cargo and mail from another air carrier or through other modes of transportation.

Note: HRCM cleared for carriage into the UK shall be issued the security status ‘SHR’, which means secure for passenger, all-cargo and all-mail aircraft in accordance with high-risk requirements.

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| --- |
| 7.1. Does the air carrier have procedures in place for the identification of HRCM? |
| YES or NO |  |
| If YES, describe |  |
| 7.2. Do the air carrier staff responsible for performing security controls know which air cargo and mail is to be treated as high-risk cargo and mail (HRCM)? |
| YES or NO |  |
| If YES, how is this information communicated |  |
| 7.3. Is HRCM subject to HRCM screening procedures according to the UK legislation? |
| YES or NO |  |
| If NO, indicate procedures applied |  |
| 7.4. After screening, does the air carrier issue a security status declaration for SHR in the documentation accompanying the consignment? |
| YES or NO |  |
| If YES, describe how security status is issued and in which document |  |
| 7.4.1. During the process of making cargo secure, are there any other agencies (Police, Customs, Border Control etc) that access the cargo after security controls have been applied |  |
| YES or NO |  |
| If YES, is the cargo rescreened? |  |
| 7.5. Conclusion: Is the process put in place by the air carrier relevant and sufficient to ensure that all HRCM has been properly identified, handled and screened before loading? |
| YES or NO |  |
| If NO, specify reason |  |
| Comments from the air carrier |  |
| Comments from UK approved aviation security validator |  |

PART 8

**Protection**

Objective: The UK ACC3 shall have processes in place to ensure UK bound air cargo or mail is protected from unauthorised interference from the point where security screening or other security controls are applied or from the point of acceptance after screening or security controls have been applied, until loading.

Protection can be provided by different means such as physical (for example barriers, locked rooms), human (for example patrols, trained staff) and technological (for example CCTV, intrusion alarm).

UK bound secured air cargo or mail should be separated from air cargo or mail which is not secured.

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| --- |
| 8.1. Is protection of secured air cargo and mail applied by the air carrier or on its behalf by an entity covered under the air carrier’s security programme? |
| If YES, provide details |  |
| If NO, which entities not covered by the air carrier’s security programme apply protection measures to secured air cargo or mail carried by this air carrier into the UK?Specify the nature of these entities and provide details:

|  |  |
| --- | --- |
| — | private handling company |

|  |  |
| --- | --- |
| — | government regulated company |

|  |  |
| --- | --- |
| — | government screening facility or body |

|  |  |
| --- | --- |
| — | Other |

 |  |
| 8.2. Are security controls and protection in place to prevent tampering of secure cargo?  |
| YES or NO |  |
| If YES, describe what kind(s) of protection(s) are put in place:— **physical** (for example fence, barrier, building of solid construction, adequately lit areas, locked or sealed containers, enclosed/caged area or an inaccessible or demarcated area etc),— **human** (for example surveillance monitoring or patrols including frequency),— **technological** (for example CCTV, alarm system). |  |
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| --- | --- |
| If NO, specify reasons |  |

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| 8.3. Where is secure cargo held after screening? |  |
| 8.4. Is the area sterile and sufficiently robust to protect cargo from unlawful interference?YES or NO |  |
| 8.5. How is secure cargo built-up? |  |
| 8.6. Is the secure air cargo/ mail only accessible to authorised persons? |
| YES or NO |  |
| If YES, describe.Specify how all access points (including doors and windows) to identifiable and secured air cargo or mail are controlled. |  |

 |
|  |  |
| 8.7. Is there CCTV in operation?YES or NO |  |
| If YES, what areas does CCTV cover? (i.e., screening and secure cargo areas) |  |
| 8.8. Is CCTV monitored live 24/7?YES or NO  |  |
| If NO, how frequently is it monitored? |  |
| 8.9. Was CCTV footage reviewed during the validation, and if so, what was the outcome? |  |
| 8.10. Are staff screened upon entering the facility? YES or NO |  |
| If yes what screening methods are used? Is the level of staff screening applied sufficiently robust to identify prohibited articles concealed on the person or in their personal possessions? |  |
| 8.11. Are visitors screened upon entering the facility? YES or NO |  |
| If YES, what screening methods are used? Is the level of visitor screening applied sufficiently robust to identify prohibited articles concealed on the person or in their personal possessions?And, are they escorted at all times? |  |
| 8.12. How and where are ULDs/Dollies/Baggage carts kept secure until uplift? (both empty and with load) |  |
| 8.13. Is there guarding/ escorting of secure cargo during ramp transportation and uplift?YES OR NO |  |
| 8.14. Conclusions: Is the protection of consignments sufficiently robust to prevent unlawful interference? |
| YES or NO |  |
| If NO specify reason |  |
| Comments from the air carrier |  |
| Comments from UK approved aviation security validator |  |

PART 9

**Accompanying documentation**

Objective: The UK ACC3 shall ensure that the documentation accompanying a consignment to which the ACC3 has applied security controls (for example screening, protection), contains at least:

(a) the unique alphanumeric identifier received from the UK Department for Transport; and

(b) the unique identifier of the consignment, such as the number of the (house or master) air waybill, when applicable; and

(c) the content of the consignment; and

(d) the security status, indicated as follows:

— ‘SPX’, which means secure for passenger, all-cargo and all-mail aircraft, or

— ‘SHR’, which means secure for passenger, all-cargo and all-mail aircraft in accordance with high risk requirements.

In the absence of a third country regulated agent, the security status declaration may be issued by the ACC3 or by the air carrier arriving from a third country exempted from the ACC3 regime.

If the security status is issued by the ACC3, the air carrier shall additionally indicate the reasons for issuing it, such as the means or method of screening used or the grounds for exempting the consignment from screening, using the standards adopted in the consignment security declaration scheme.

In the event that the security status and the accompanying documentation have been established by an upstream RA3 or by another ACC3, the ACC3 shall verify, during the acceptance process, that the above information is contained in the accompanying documentation.

The documentation accompanying the consignment may either be in the form of an air waybill, equivalent postal documentation or in a separate declaration, and either in an electronic format or in writing.

|  |
| --- |
| 9.1. Does the air carrier ensure that appropriate accompanying documentation is established and include the information required in the UK NASP. |
| YES or NO |  |
| If YES, describe the content of the documentation |  |
| If NO, explain why and how the cargo or mail is treated as ‘secure’ by the air carrier if it is loaded onto an aircraft |  |
| 9.2. Does the documentation include the air carrier’s ACC3 unique alphanumeric identifier? |
| YES or NO |  |
| If NO, explain why |  |
| 9.3. Does the documentation specify the security status of the cargo and how this status was achieved? |
| YES or NO |  |
| Describe how this is specified |  |
| 9.4. Conclusion: Is the documentation process sufficient to ensure that cargo or mail is provided with proper accompanying documentation which specifies the correct security status and all required information? |
| YES or NO |  |
| If NO specify reason |  |
| Comments from the air carrier |  |
| Comments from UK aviation security validator |  |

PART 10

**Compliance**

Objective: After assessing the nine previous parts of this checklist, the UK approved aviation security validator has to conclude if its on-site verification corresponds with the content of the part of the air carrier security programme describing the measures for the UK bound air cargo or mail and if the security controls sufficiently implements the objectives listed in this checklist.

Conclusions may comprise one of the following four possible main cases:

|  |  |
| --- | --- |
| (1) | the air carrier security programme is compliant and the on-site verification confirms compliance with the objective of the checklist; or |
| (2) | the air carrier security programme is compliant but the on-site verification does not confirm compliance with the objective of the checklist; or |
| (3) | the air carrier security programme is non-compliant but the on-site verification confirms compliance with the objective of the checklist; or |
| (4) | the air carrier security programme is non-compliant and the on-site verification does not confirm compliance with the objective of the checklist. |

|  |
| --- |
| 10.1. General conclusion: Indicate the case closest to the situation validated |
| 1, 2, 3 or 4 |  |
| Comments from UK aviation security validator |  |
| Comments from the air carrier |  |

Name of the validator:

Date:

Signature:

ANNEX

**List of persons and entities visited and interviewed**

Providing the name of the entity, the name and the position of the contact person and the date of the visit or interview.

|  |  |  |  |
| --- | --- | --- | --- |
| Name of entity | Name of contact person | Position of contact person | Date of visit or interview |
|  |  |  |  |
|  |  |  |  |
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