**VALIDATION CHECKLIST FOR THIRD COUNTRY UK AVIATION SECURITY VALIDATED**

**REGULATED AGENTS**

Third country entities have the option to become part of the UK’s ACC3’s (*Air cargo or mail carrier operating into the UK from a third country airport*) secure supply chain by seeking designation as a third country UK aviation security validated regulated agent (UK-RA3). An UK-RA3 is a cargo handling entity located in a third country that is validated and approved based on a UK aviation security validation.

An UK-RA3 shall ensure that security controls including screening where applicable have been applied to consignments bound for the UK and the consignments have been protected from unauthorised interference from the time that those security controls were applied and until the consignments are loaded onto an aircraft or are otherwise handed over to an UK approved ACC3 or other UK-RA3.

The prerequisites for carrying air cargo or mail into the UK are provided for in the UK NASP.

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 entity seeking designation as an UK-RA3.

A validation report shall be delivered to the UK Civil Aviation Authority, on behalf of the UK Department for 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 approved aviation 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 UK-RA3 shall be able to use the report in its business relations with any ACC3 and where applicable, with any other RA3.

The validation report shall be in English.

***Completion notes:***

|  |  |
| --- | --- |
| — | 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 from 01.10.2012 to 02.10.2012 | |
| dd/mm/yyyy |  |
| 1.2. Date of previous validation where applicable | |
| dd/mm/yyyy |  |
| Previous RA3 registration number, where available |  |
| 1.3. Aviation security validator information | |
| Name |  |
| Company/Organisation/Authority |  |
| Unique alphanumeric identifier (UAI) |  |
| E-mail address |  |
| Telephone number – including international codes |  |
| 1.4. Name of entity | |
| Name |  |
| Company number (for example, commercial register identification number, if applicable) |  |
| Number/Unit/Building |  |
| Street |  |
| Town |  |
| Postcode |  |
| State (where relevant) |  |
| Country |  |
| P.O. Box address, if applicable |  |
| 1.5. Main address of organisation (if different from site to be validated) | |
| Number/Unit/Building |  |
| Street |  |
| Town |  |
| Postcode |  |
| State (where relevant) |  |
| Country |  |
| P.O. Box address, if applicable |  |
| 1.6. Nature of business – More than one business type may be applicable | |
| |  |  | | --- | --- | | a) | air cargo only |  |  |  | | --- | --- | | b) | air and other modes of transport |  |  |  | | --- | --- | | c) | freight forwarder with cargo premises |  |  |  | | --- | --- | | d) | freight forwarder without cargo premises |  |  |  | | --- | --- | | e) | handling agent |  |  |  | | --- | --- | | f) | others | |  |
| 1.7. Does the applicant …? | |
| |  |  | | --- | --- | | a) | receive cargo from another 3rd country regulated agent | |  |
| |  |  | | --- | --- | | b) | receive cargo from 3rd country known consignors | |  |
| |  |  | | --- | --- | | c) | receive exempted cargo | |  |
| |  |  | | --- | --- | | d) | screen cargo | |  |
| |  |  | | --- | --- | | e) | store cargo | |  |
| |  |  | | --- | --- | | f) | other, please specify | |  |
| 1.8. Approximate number of employees on site | |
| Number |  |
| 1.9. Name and title of person responsible for third country air cargo or mail security | |
| Name |  |
| Job title |  |
| E-mail address |  |
| Telephone number – including international codes |  |

PART 2

**Organisation and responsibilities of the third country UK aviation security validated regulated agent**

Objective: No air cargo or mail shall be carried to the UK without being subject to security controls. Cargo and mail delivered by an RA3 to an ACC3 or another RA3 may only be accepted as secure cargo or mail if such security controls are applied by the RA3. Details of such controls are provided in the following Parts of this checklist.

[Please note that from 1 November 2026, only air cargo and mail delivered by an UK RA3 to an UK ACC3 or another UK RA3 may be accepted as secure air cargo or air mail (for UK bound consignments), if such security controls are applied by an UK-RA3.]

The UK-RA3 shall have procedures in place to ensure that appropriate security controls are applied to all UK bound air cargo and mail and that secure cargo or mail is protected until being transferred to an UK-ACC3 or another UK-RA3. Security controls shall consist of one of the following:

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| --- | --- |
| (a) | physical screening which shall be of a standard sufficient to reasonably ensure that no prohibited articles are concealed in the consignment; or |
| (b) | other security controls, which are part of a supply chain security process, that reasonably ensure that no prohibited articles are concealed in the consignment and which have been applied by another RA3 or KC3 designated by the RA3. |

|  |  |
| --- | --- |
| 2.1. Has the entity established a security programme? | |
| YES or NO |  |
| If NO go directly to point 2.5. |  |
| 2.2. Entity security programme | |
| Date – use exact format dd/mm/yyyy |  |
| Version |  |
| 2.3 Is the security programme submitted and/or approved by the appropriate authority of the state of the entity? |  |
| YES or NO |  |
| If YES, please describe the process. |  |
| 2.4. Does the security programme sufficiently cover the elements mentioned in parts 3 to 9 of the checklist? | |
| YES or NO |  |
| If NO, describe why, detailing the reasons |  |
| 2.5. Is the security programme conclusive, robust and complete? | |
| YES or NO |  |
| If NO, specify the reasons |  |
| 2.6. Has the entity established a process to ensure that air cargo or mail is submitted to appropriate security controls before being transferred to an UK-ACC3 or another RA3? | |
| YES or NO |  |
| If YES, describe the process |  |
| 2.7. Has the entity a management system (such as instruments, instructions) in place to ensure that the required security controls are implemented? | |
| YES or NO |  |
| If YES, describe the management system and explain if it is approved, checked or provided by the appropriate authority or another entity.  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”. |  |
| If NO, explain how the entity ensures that security controls are applied in the required manner. |  |
| 2.8. Conclusions and general comments on the reliance, conclusiveness, and robustness of the process. | |
| Comments from the entity |  |
| Comments from the UK approved aviation security validator |  |

PART 3

**Staff recruitment and training**

Objective: To ensure the required security controls are applied, the UK-RA3 shall assign responsible and competent staff to work in the field of securing air cargo or air mail. Staff with access to secured air cargo must possess all the competencies required to perform their duties and are appropriately trained.

In order to fulfil that objective, the UK-RA3 shall a procedure in place 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:

|  |  |
| --- | --- |
| (a) | have been subject to initial and recurrent background checks, which are at least in accordance with the requirements of the local authorities of the RA3 premises validated; and |
| (b) | 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 RA3 premises 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. |

|  |  |
| --- | --- |
| 3.1. Is there a procedure ensuring that all staff with direct and unescorted access to secured air cargo/air mail is subject to a check that assesses background and competence? | |
| 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. |  |
| 3.1.2. Do the pre-employment checks meet the local NASP requirements? |  |
| 3.2. 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. |  |
| 3.2.1. At what intervals are criminal records checks renewed? |  |
| 3.3. Is there a procedure ensuring that the person responsible for the application and supervision of the implementation of security controls at the site is subject to a check that assesses background and competence? | |
| 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. |  |
| 3.4. Does this procedure include? | |
| check of criminal records (including whether the criminal records check is repeated/renewed after initial employment and if so, how frequently)   * interviews * other (provide details)  |  |  | | --- | --- | | Explain the elements, indicate which entity carries this element out and where applicable, indicate the preceding timeframe that is taken into account. |  | |  |  | |  |  |
| 3.5. 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 |  | |
| 3.5.1. What specific training do Security Managers receive? |  | |
| 3.6. 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. |  | |
| 3.7. Do staff referred to in points 3.5,3.5.1 and 3.6 receive recurrent training? | | |
| YES or NO |  | |
| If YES, specify the elements and the frequency of the recurrent training |  | |
| 3.8. 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 entity |  | |
| Comments from the UK approved aviation security validator |  | |

PART 4

**Acceptance procedures**

Objective: The UK-RA3 may receive air cargo or mail from another RA3, a KC3, or from an unknown consignor. The UK-RA3 shall have appropriate acceptance procedures for air cargo and mail in place in order to establish whether a consignment comes from a secure supply chain or not and subsequently which security measures need to be applied to it.

When accepting any consignments, the UK-RA3 shall establish the status of the entity from which it receives the consignments verifying whether or not the unique alphanumeric identifier (UAI) of the entity delivering the consignments is indicated on the accompanying documentation and confirming that the air carrier or entity delivering the consignment is listed as active on the UK or EU database on supply chain security for the specified airport or site, as appropriate.

If there is no indication of the UAI on the documentation or if the status of the air carrier or entity on the UK or EU database on supply chain security is not active, the UK RA3 shall treat the consignments as arriving from an unknown source.

Additionally, an UK- RA3 shall maintain a database giving at least the following information for each regulated agent or known consignor that has been subject to UK or EU aviation security validation from which it directly accepts cargo or mail to be delivered to an ACC3 for carriage into the UK:

|  |  |  |
| --- | --- | --- |
| (a) | the company details, including the bona fide business address; | |
| (b) | the nature of the business, excluding business sensitive information; | |
| (c) | | contact details, including those of the person(s) responsible for security; |
| (d) | | the company registration number, if applicable; |
| (e) | | where available, the validation report; |

(f) the unique alphanumeric identifier attributed in the UK or EU database on supply chain security.

|  |  |
| --- | --- |
| 4.1. When accepting a consignment, does the entity establish whether it comes from another RA3, a KC3, or an unknown consignor? | |
| YES or NO |  |
| If NO, Describe the procedure for accepting such cargo |  |
| 4.2. Does the entity 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 |  |
| 4.3. 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 |  |
| 4.4. When accepting a consignment, does the entity establish whether its destination is a UK airport? | |
| YES or NO – explain |  |
| 4.5. If YES – does the entity submit all air cargo or air mail to the same security controls when the destination is an UK airport? | |
| YES or NO |  |
| If YES, describe the procedure |  |
| 4.6. When accepting a consignment, does the entity establish whether it is to be regarded as high-risk cargo and mail (HRCM) (see definition in Part 6), including for consignments that are delivered by other modes of transport than by air? | |
| YES or NO |  |
| If YES, how?  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) |  |
| 4.6.1 Is any cargo accepted as secure at this LPD? |  |
| YES or NO |  |
| If yes, from where? |  |
| 4.7. When accepting a secured consignment, does the validated entity establish whether it has been protected from unauthorised interference and/or tampering from the point at which security controls were applied to the consignment? | |
| YES or NO |  |
| If YES, describe by which means (for example, using seals, locks, inspection etc) |  |
| 4.7.1. Is transfer cargo accepted? |  |
| YES or NO |  |
| If YES, is this re-screened? |  |
| If NO, what controls are applied to ensure security of UK bound cargo and mail? |  |
| 4.7.2 Is transit cargo accepted? |  |
| YES or NO |  |
| If YES, is this re-screened? |  |
| If NO, what controls are applied to ensure security of UK bound cargo and mail? |  |
| 4.8. Is the person making the delivery required to present an official identification document containing a photo? | |
| YES or NO |  |
| 4.9. Is there a process in place to identify consignments that require screening? | |
| YES or NO |  |
| If YES, how? |  |
| 4.10. Conclusion: Are the acceptance procedures sufficient to establish that air cargo or mail to a UK airport destination comes from a secure supply chain or needs to be subject to screening? | |
| YES or NO |  |
| If NO, specify reasons |  |
| Comments from the entity |  |
| Comments from UK approved aviation security validator |  |

PART 5

**Screening**

Objective: Where the UK-RA3 accepts cargo and mail which does not come from a secure supply chain, the UK-RA3 needs to subject these consignments to appropriate screening before it may be delivered to an UK-ACC3 as secure cargo. The UK-RA3 shall have a process in place to ensure that UK bound air cargo and mail for transfer, transit or unloading at a UK airport is screened by the means or methods referred to in UK legislation to a standard sufficient to reasonably ensure that it contains no prohibited articles.

Where screening of air cargo or mail is performed by or on behalf of the appropriate authority in the third country, the UK-RA3 shall declare this fact and specify the way adequate screening is ensured.

|  |  |
| --- | --- |
| 5.1. Is screening applied on behalf of the validated entity by another entity? | |
| YES or NO |  |
| If YES,  Specify the nature of these entities and provide details:   |  |  | | --- | --- | | — | private screening company; |  |  |  | | --- | --- | | — | government regulated company; |  |  |  | | --- | --- | | — | government screening facility or body; |  |  |  | | --- | --- | | — | other |   Specify the nature of the agreement or contract between the validated entity and the entity that applies the screening on its behalf. |  |
| 5.2. 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 |  |
| 5.3. 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? | |
|  | |
| 5.4. 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. |  |
| 5.4.1. 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. |  |
| 5.5. 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. |  |
| 5.6. Is the equipment used in accordance with the manufacturers’ concept of operations (CONOPS)? | |
| YES or NO |  |
| 5.7. How frequently is the equipment tested and maintained? Please provide details (include testing method, i.e., is the equipment tested using STP or CTP) |  |
| 5.8. 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** |  |
| 5.9. 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. |  |
| 5.10. 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 |  |
| 5.11. Are any consignments exempt from security screening? | |
| YES or NO |  |
| 5.12. 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? |  |
| 5.13. Is access to the screening area controlled to ensure that only authorised and trained staff are granted access? | |
| YES or NO |  |
| If YES, describe |  |
| 5.14. Is an established quality control or testing regime in place? (e.g., overt or covert testing) | |
| YES or NO |  |
| If YES, describe |  |
| 5.15. 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 entity |  |
| Comments from the UK approved aviation security validator |  |

PART 6

**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. The UK-RA3 shall have procedures in place to ensure that UK bound HRCM is identified and subject to appropriate controls as defined in the UK legislation.

The UK-ACC3 to which the UK-RA3 delivers air cargo or mail for transportation shall be authorised to inform the UK-RA3 about the latest state of relevant information on high-risk origins.

The UK-RA3 shall apply the same measures, irrespective of whether it receives high risk cargo and mail from an 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.

|  |  |
| --- | --- |
| 6.1. Do staff responsible for performing security controls know which air cargo and air mail is to be treated as high-risk cargo and mail (HRCM)? | |
| YES or NO |  |
| If YES, describe |  |
| 6.2. Does the entity have procedures in place for the identification of HRCM? | |
| YES or NO |  |
| If YES, describe |  |
| 6.3. Is HRCM subject to HRCM screening procedures according to the UK legislation? | |
| YES or NO |  |
| If NO, indicate procedures applied |  |
| 6.4. After screening, does the entity 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 |  |
| 6.4.1. 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? |  |
| 6.5. Conclusion: Is the process put in place by the entity 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 entity |  |
| Comments from UK approved aviation security validator |  |

PART 7

**Protection of secured air cargo and mail**

Objective: The UK-RA3 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 or transferring to an UK-ACC3 or another RA3. If previously secured air cargo and mail is not protected afterwards, it may not be loaded or transferred to an UK-ACC3 or another RA3 as secure cargo or mail.

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.

|  |  |
| --- | --- |
| 7.1. Is protection of secured air cargo and mail applied on behalf of the validated entity by another entity? | |
| YES or NO |  |
| If YES,  Specify the nature of these entities and provide details:   |  |  | | --- | --- | | — | private screening company; |  |  |  | | --- | --- | | — | government regulated company; |  |  |  | | --- | --- | | — | government screening facility or body; |  |  |  | | --- | --- | | — | other | |  |
| 7.2. Are security controls and protection in place to prevent tampering during and after the screening process 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), |  |  |  | | --- | --- | | — | **human** (for example patrols etc.), |  |  |  | | --- | --- | | — | **technological** (for example CCTV, alarm system). | |  |
| If NO, specify reasons |  |
| 7.2.1. Where is secure cargo held after screening? |  |
| 7.2.2. Is the area sterile and sufficiently robust to protect cargo from unlawful interference?  YES or NO |  |
| 7.2.3. How is secure cargo built-up? |  |
| 7.3. Is the secure air cargo/air 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 air mail are controlled. |  |
| 7.3.1. Is there CCTV in operation? |  |
| If YES, what areas does CCTV cover? (i.e., screening and secure cargo areas) |  |
| 7.3.2. Is CCTV monitored live 24/7?  YES or NO |  |
| If NO, how frequently is it monitored? |  |
| 7.3.3. Was CCTV footage reviewed during the validation, and if so, what was the outcome? |  |
|  | |
| 7.4. 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? |  |
| 7.4.1. 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? |  |
| 7.4.2. How and where are ULDs/Dollies/Baggage carts kept secure until uplift? (both empty and with load) |  |
| 7.4.3. Is there guarding/ escorting of secure cargo during ramp transportation and uplift?  YES OR NO |  |
| 7.5. Conclusion: Is the protection of consignments sufficiently robust to prevent unlawful interference? | |
| YES or NO |  |
| If YES, provide details (i.e., physical guarding) |  |
| If NO, specify reason |  |
| Comments from the entity |  |
| Comments from UK approved aviation security validator |  |

PART 8

**Documentation**

Objective: The UK-RA3 shall ensure that the documentation accompanying a consignment to which the UK-RA3 has applied security controls (such as screening, protection), contains at least:

1. the unique alphanumeric identifier received from the UK Department for Transport; and
2. the unique identifier of the consignment, such as the number of the (house or master) air waybill, when applicable; and
3. the content of the consignment; and
4. 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. |

If the security status is issued by the UK-RA3, the entity 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.

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.

|  |  |
| --- | --- |
| 8.1. Does the entity ensure that appropriate accompanying documentation is established, and include the information required? | |
| YES or NO |  |
| If NO, explain |  |
| 8.2. In particular, does the entity specify the status of the cargo and how this was achieved? | |
| YES or NO |  |
| If NO, explain |  |
| 8.3. 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 entity |  |
| Comments from UK approved aviation security validator |  |

PART 9

**Transportation**

Objective: Air cargo and mail must be protected from unauthorised interference or tampering from the time it has been secured until its loading or until it is transferred to an UK-ACC3 or another RA3. This includes protection during transportation to the aircraft, to the UK-ACC3 or to another RA3. If previously secured air cargo and mail is not protected during transportation, it may not be loaded or transferred to an UK-ACC3 or another RA3 as secure cargo.

During transportation to an aircraft, an UK-ACC3 or another RA3, the UK-RA3 is responsible for the protection of the secure consignments. This includes cases where the transportation is undertaken by another entity, such as a freight forwarder, on its behalf. This does not include cases whereby the consignments are transported under the responsibility of an UK-ACC3 or another RA3.

|  |  |
| --- | --- |
| 9.1. How is the air cargo or air mail conveyed to the UK-ACC3 or to another RA3? | |
| (a) Validated entity’s own transport? | |
| YES or NO |  |
| (b) Other RA3’sor ACC3’s transport? | |
| YES or NO |  |
| (c) Contractor used by the validated entity? | |
| YES or NO |  |
| 9.2. Is the air cargo or air mail tamper evidently packed? | |
| YES or NO |  |
| If YES, how |  |
| 9.3. Is the vehicle sealed or locked before transportation? | |
| YES or NO |  |
| If YES, how |  |
| 9.4. Where numbered seals are used, is access to the seals controlled and are the numbers recorded? | |
| YES or NO |  |
| If YES, specify how |  |
| 9.5. If applicable, does the respective haulier sign the haulier declaration? | |
| YES or NO |  |
| 9.5.1. Describe how transportation of secure cargo is undertaken (by who, with guarded escorts, etc) |  |
| 9.6. Has the person transporting the cargo been subject to specific security controls and awareness training before being authorised to transport secured air cargo or air mail, or both? | |
| YES or NO |  |
| If YES, please describe what kind of security controls (such as pre-employment check, background check) and what kind of training (such as security awareness training). |  |
| 9.7. Conclusion: Are the measures sufficient to protect secure air cargo or air mail from unauthorised interference during transportation? | |
| YES or NO |  |
| If NO, specify reasons |  |
| Comments from the entity |  |
| Comments from UK approved 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 confirms the implementation of the security controls in compliance with the objectives listed in this checklist for the UK bound air cargo or mail.

Two different scenarios are possible. The UK aviation security validator concludes that the entity:

|  |  |
| --- | --- |
| 1. | has succeeded in complying with the objectives referred to in this checklist. A validation report shall be delivered to the UK Civil Aviation Authority and to the validated entity within a maximum of one month after the on-site verification; |
| 2. | has failed in complying with the objectives referred to in this checklist. In that case, the entity is not authorised to deliver secured air cargo or mail for UK destination to an UK-ACC3 or to another RA3. It shall receive a copy of the completed checklist stating the deficiencies. |

|  |  |
| --- | --- |
| 10.1. General conclusion: Indicate the case closest to the situation validated | |
| 1 or 2 |  |
| Comments from UK approved aviation security validator |  |
| Comments from the entity |  |

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 |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |