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**Agenda Item 6                    Aviation Security (AVSEC) and Facilitation (FAL)  
 6.1                    Report on Cargo Security Project**

**SECURE FREIGHT PILOT EXPANSION AND CAPACITY BUILDING / ASSISTANCE**

(Presented by the International Air Transport Association [IATA], co-signed by Chile, Kenya, Malaysia, Mexico and the United Arab Emirates Civil Aviation Authorities)

**SUMMARY**

This paper is intended to provide the Aviation Security and Facilitation Regional Group with information regarding the expansion of the Secure Freight Pilot network in 2011-2012 towards implementation of National Secure Freight Programs in Kenya, Mexico, Chile and the UAE.

Efforts have been aimed at supporting the recommendation from the WG on Air Cargo Security, for States to develop and implement programs to meet their obligations under Annex 17, notably the new provisions in Amendment 12, and draw attention to Panel members to focusing their efforts in supporting new program implementations in current discussions.

Secure Freight is an option for States to consider when developing an air cargo supply chain security framework, particularly as a starting point for States where no framework is currently in place.

<b><i>Strategic Objectives</i></b>	<i>This information paper is related to ICAO Strategic Objective B.</i>
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**1.                    Background**

1.1                    The purpose of Secure Freight Pilot is two-fold:

- To establish an effective supply chain security system on one supply chain and based on this experience, expand implementation across the State
- To test Secure Freight Standards Manual (SF SM), Operating Procedures, model National Secure Freight Program, additional annexes including Regulated Agent and Known Consignor programs, among other.

1.2 During AVSECP/20, IATA described in WP/4 developments in its Secure Freight Program and drew attention to the need to collectively address security aspects of the international supply chain. It invited the Panel to recommend that the working groups concerned with the amendment of Annex 17 and the development of guidance material consider the merits of effective air cargo supply chain management when undertaking their work. The Panel recommended and concluded that the concept of supply chain security should be considered, and a provision requiring or recommending its implementation should be included in Annex 17, Amendment 12.

1.3 Malaysia participated in Secure Freight development as the first pilot location and continues to support the testing and implementation of the Program. New pilots started in Kenya, Mexico in 2011, and two are planned to start in 2012 in Chile and the UAE. They all support the need to incorporate and strengthen the concept of supply chain security in their respective legislations.

## **2. Secure freight in Kenya, Mexico, Chile, and United Arab Emirates**

2.1 The Civil Aviation Authorities of Kenya, Mexico, Chile and the UAE are committed to working with industry to improve the security and facilitation of passenger and freight movements at their airports. This commitment is reflected in the close cooperation between them and IATA in starting the Secure Freight pilot and additional industry projects.

2.2 Each Department of Civil Aviation has been working closely for months with respective airports, airlines and freight forwarders, on preparing to implement Secure Freight; which intends to secure air cargo at its origin, protect it as it moves through the supply chain and thereby reduce present complexities and costs.

2.3 The pilot participants form a Steering and Working Group to establish an action plan and share responsibility for its completion. These groups are responsible for providing key feedback on the final version of the Secure Freight Standards Manual, National Secure Freight Program, and additional pieces for the Regulated and Known Consignor Program.

2.4 Following a security gap analysis conducted by IATA, enhancements are being undertaken to infrastructure, processes and procedures to be consistent with the Secure Freight Standards Manual. Local Operating Procedures which set out how the Secure Freight Standards will be implemented consistent with the local operating environment are being developed by each Operator participating in the Pilot.

2.5 Appended is a high-level outline of the National Secure Freight Program which is expected to be adopted into the respective legislations after the pilots have been completed and its concept, program and implementation further tested by each Civil Aviation Authority.

2.6 All materials developed under the scope of Secure Freight have been shared with ICAO's Aviation Security Branch and the AVSEC Panel's Working Group on Guidance Material in preparation for the 8th Edition of Doc 8973 and the additional guidance materials for air cargo security. Additionally they have also been shared with the WCO and UPU in an effort to standardize and find common elements in the approach towards a secure supply chain.

## **3. Next Steps**

3.1 Kenya, Mexico, Chile and UAE are committed to securing their air cargo supply chains through the testing of a Secure Freight Pilot and the implementation of the National Secure Freight Program.

3.2 Kenya, Mexico, Chile and UAE intend to invite representatives from Contracting States and ICAO to observe implementation on completion of their respective Pilots.

3.3 Secure Freight program and capacity building efforts can facilitate the implementation of the new EU Regulation 859/2011 which introduces an “ACC3” status for cargo operations in third countries. Secure Freight has focused its efforts in helping states develop and implement air cargo supply chain security programs, and attain foreseen strengthened air cargo aviation security programs around the world.

3.4 The Secure Freight Pilot Network will seek to expand to Brazil and China in 2012-2013.

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**APPENDIX**

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**Model Template of National Secure Freight Program**  
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**1. PROGRAM OBJECTIVE**

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**3. VISION AND GUIDING PRINCIPLES**

**4. REGULATORY MEASURES**

The objective of this Chapter is to ensure that the implementation of the National Secure Freight Program is done in accordance with the relevant international standards and recommended practices that the State has contracted to deliver and the national regulatory framework of the State seeking its implementation.

**4.1 International Regulatory Framework**

**4.2 National Regulatory Framework**

**5. ROLES AND RESPONSIBILITIES**

The objective of this Chapter is to describe the roles and responsibilities of all the organizations and entities involved in implementing the National Secure Freight Program.

**5.1 Department of Civil Aviation**

**5.2 Airport Operator**

**5.3 Aircraft Operator**

**5.4 Ground Handling Agencies**

**5.5 Free Zone Authorities at Airports**

**5.6 Freight Forwarder**

**5.7 Haulier**

**5.8 Shipper**

**5.9 Law Enforcement Authorities**

**5.10 Customs and Border Authorities**

## **6. ORGANIZATION AND MANAGEMENT OF SECURE FREIGHT OPERATORS**

The objective of this Chapter is to ensure that the Secure Freight Operator has in place organizational and management arrangements to support a security culture and that the security integrity of daily operations is maintained through the communication and implementation of Secure Freight standards across relevant operational activities.

- 6.1 Organization Details**
- 6.2 Secure Freight Policy Statement**
- 6.3 Management Accountabilities**
- 6.4 Staff Roles and Responsibilities**
- 6.5 Communication**
- 6.6 Crisis and Contingency Management Plans**
- 6.7 Review and Assessment of Threat and Risk**
- 6.8 Management of Vendors and External Service providers (Screening of Business Partners)**
- 6.9 Compliance with Regulatory Framework**

## **7. STAFF SELECTION, RECRUITMENT AND TRAINING**

The objective of this Chapter is to ensure that persons deployed to perform Secure Freight operations undergo a structured selection and recruitment process and are given the appropriate and necessary training in order to perform their duties in a competent and compliant manner.

- 7.1 Selection and Recruitment**
- 7.2 Background Checks**
- 7.3 Security Training Program**
- 7.4 Training Records**
- 7.5 Approval of Training Courses**
- 7.6 Employment Records**
- 7.7 Termination Processes**

## **8. FACILITY SECURITY MEASURES**

This Chapter addresses the establishment and implementation of security measures designed to secure the facilities that process Secure Freight.

- 8.1 Site and Premises security**
- 8.2 Access control**
- 8.3 Detection and surveillance systems**
- 8.4 Maintenance, testing and defect resolution programs**
- 8.5 Coordination with Law Enforcement Authorities**
- 8.6 Security Service providers**

## **9. AIR CARGO ACCEPTANCE, HANDLING AND CONVEYANCE**

The objective of this Chapter is to ensure that the integrity of cargo is not compromised at any point in the supply chain by the implementation of local procedures for the preparation, packaging, storing, identification, sealing, dispatch, handling and transport phases.

- 9.1 Designation & Protection of Air Cargo**
- 9.2 Acceptance**
- 9.3 Reconciliation and Inspection**
- 9.4 Classification and Handling of “Unsecured” Cargo**
- 9.5 Consignment Security Information (including the Consignment Security Declaration)**
- 9.6 Tamper Evidence, Packing and Preparation**
- 9.7 Transshipment Cargo**
- 9.8 Haulier / Trucking Operations**
- 9.9 Principle of Multi-Modal Alignment**

## **10. AIR CARGO SCREENING**

The objective of this Chapter is to describe the procedures and equipment to be used in the screening of air cargo.

- 10.1 Screening Methods**
- 10.2 Alternative Security Controls for Air Cargo**
- 10.3 Alarm Resolution and Handling**
- 10.4 Security Equipment Maintenance and Testing Programs**

## **11. CONTAINER, TRAILER & UNIT LOAD DEVICE SECURITY**

The objective of this Chapter is to ensure that containers, trailers and ULD's are protected from unauthorized access or tampering at all stages during their journey along the supply chain.

- 11.1 Container**
  - Tracking, Inspection & Load Assembly, Tamper Evidence and Secure Storage
- 11.2 Trailer**
  - Tracking, Inspection & Load Assembly, Tamper Evidence and Secure Storage

**11.3 ULD**  
**- Tracking, Inspection, Load Assembly, Tamper Evidence and Secure Storage**

**12. INCIDENT & NON-CONFORMANCE RESPONSE**

The objective of this Chapter is to ensure that a process is implemented to respond to, manage, resolve, report and record, incidents and non-conformances involving Secure Freight consignments.

**12.1 Circumstances Identified and Reported**

**12.2 Investigation & Follow-up Procedures**

**13. DOCUMENT CONTROL, INFORMATION SECURITY AND RECORD KEEPING**

The objective of this Chapter is to describe the document control and record keeping processes that are required to ensure compliant and auditable Secure Freight operations. The control and protection of information to prevent misuse, unauthorized access and alteration, is also covered in this chapter.

**13.1 Document Control Policies & Procedures**

**13.2 Control of Access to Documents, Records and Other Data**

**13.3 Record Keeping**

**14. VALIDATION & REGISTRATION**

The objective of this chapter is to describe the processes to be implemented to validate and register entities in the air cargo supply chain as Secure Freight Operators (e.g. Regulated Agents, Known Consignors, Freight Forwarders, Shippers, Hauliers, Airlines, Airports and Ground Handling Agents). It is the role of the Appropriate Authority to administer and oversee these processes.

**14.1 Initial Validation and Registration**

**14.2 Re-validation**

**14.3 De-listing**

**14.4 Appeals Process**

**14.5 Independent Validators**

**14.6 Management of Database of Approved Secure Freight Operators**

## **15. QUALITY CONTROL**

The objective of this Chapter is to describe the on-going quality control activities to be undertaken by the Appropriate Authority and by Secure Freight Operators to ensure compliance with Secure Freight standards and requirements. Additionally, periodic auditing shall be conducted to ensure the effectiveness of Secure Freight measures.

### **15.1 On-going Monitoring**

### **15.2 Periodic Auditing**

### **15.3 Resources for Quality Control Activities**



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# **Formato Modelo del Programa Nacional de Secure Freight**

## **ÍNDICE DE CONTENIDOS**

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### **1. OBJETIVO DEL PROGRAMA**

### **2. DEFINICIONES**

### **3. VISIÓN & PRINCIPIOS ORIENTADORES**

### **4. REGULACIONES**

El objetivo de este capítulo consiste en asegurar que la implementación del Programa Nacional de Carga Segura se realice conforme a las normas internacionales pertinentes y las prácticas recomendadas que el Estado se ha comprometido a entregar y el marco regulatorio nacional del Estado que solicita su ejecución.

#### **4.1 Marco Regulatorio Internacional**

#### **4.2 Marco Regulatorio Nacional**

### **5. FUNCIONES Y RESPONSABILIDADES**

El objetivo de este Capítulo consiste en describir las funciones y responsabilidades de todas las organizaciones y entidades involucradas en la implementación del Programa Nacional de Secure Freight.

#### **5.1 Departamento de Aviación Civil**

#### **5.2 Explotadores de Aeropuertos**

#### **5.3 Explotadores de Aeronaves**

#### **5.4 Agentes de Manejo Terrestre**

#### **5.5 Autoridades de Zona Franca en Aeropuertos**

#### **5.6 Agentes de Carga (freight forwarder)**

#### **5.7 Transportistas**

#### **5.8 Expedidores**

#### **5.9 Autoridades Policiales y entes gubernamentales (Tornero)**

#### **5.10 Aduana y Autoridades Fronterizas**

### **6. ORGANIZACIÓN Y ADMINISTRACIÓN DE EXPLOTADORES DE SECURE FREIGHT**

El objetivo de este capítulo consiste en asegurar que el Explotador Secure Freight cuente con las disposiciones organizacionales y de administración para apoyar una cultura de seguridad y que la integridad de la seguridad de las operaciones diarias se mantenga mediante la comunicación y la aplicación de las normas de Carga Segura en todas las actividades operacionales pertinentes.

- 6.1 Detalles Organizacionales**
- 6.2 Declaración de Políticas de Secure Freight**
- 6.3 Responsabilidades Gerenciales**
- 6.4 Funciones y Responsabilidades del Personal**
- 6.5 Comunicaciones**
- 6.6 Planes de Manejo de Crisis y de Contingencia**
- 6.7 Revisión y Evaluación de Amenazas y Riesgos**
- 6.8 Administración de Proveedores y Prestadores de Servicios Externos (Investigación de Antecedentes de Socios de Negocios)**
- 6.9 Cumplimiento con el Marco Regulatorio**

## **7. SELECCIÓN, CONTRATACIONES Y CAPACITACIÓN DEL PERSONAL**

Este Capítulo tiene como objetivo asegurar que las personas asignadas a operaciones de Secure Freight estén sujetas a un proceso estructurado de selección y contratación y se les brinda la capacitación adecuada y necesaria para llevar a cabo sus funciones de manera competente y de conformidad.

- 7.1 Selección y Contratación**
- 7.2 Verificación de Antecedentes**
- 7.3 Programa de Capacitación de Seguridad**
- 7.4 Expedientes de Capacitación**
- 7.5 Aprobación de Cursos de Capacitación**
- 7.6 Registros de Empleo**
- 7.7 Procesos de Terminación/Finiquito**

## **16. NORMAS DE SEGURIDAD DE INSTALACIONES**

Este Capítulo se refiere a la elaboración y aplicación de medidas de seguridad diseñadas para proteger las instalaciones que procesan Secure Freight.

- 16.1 Seguridad del Sitio y del Recinto**
- 16.2 Control de acceso**
- 16.3 Sistemas de detección y vigilancia**
- 16.4 Programas de mantenimiento, pruebas y resolución de defectos**
- 16.5 Coordinación con Autoridades Policiales y entes gubernamentales (Tornero)**
- 16.6 Proveedores de Servicios de Seguridad**

## **17. ACEPTACIÓN, MANEJO Y TRANSFERENCIA DE CARGA**

Este Capítulo tiene como objetivo asegurar que la integridad de la carga no se ve comprometida en cualquier punto de la cadena de proveedores mediante la implementación de los procedimientos locales para las fases de preparación, empaque, almacenamiento, identificación, sellado, despacho, manejo y transporte.

- 17.1 Designación y Protección de Carga Aérea**
- 17.2 Aceptación**
- 17.3 Reconciliación e Inspección**
- 17.4 Clasificación y Manejo de Carga “No asegurada”**
- 17.5 Información sobre Seguridad de la Consignación (incluyendo Declaración de Seguridad de la Consignación)**
- 17.6 Precintos a Prueba de Manipuleo Indevida, Empaque y Preparación**
- 17.7 Carga de Transbordo**
- 17.8 Operaciones de Transportistas / Transportes**
- 17.9 Principio de la Alineación Multimodal**

## **18. INSPECCIÓN DE CARGA AÉREA**

Este Capítulo tiene como objetivo describir los procedimientos y el equipamiento que se usara para la inspección de la carga aérea.

- 18.1 Métodos de Inspección**
- 18.2 Controles de Seguridad Alternativos para Carga Aérea**
- 18.3 Activación y Manejo de Alarmas**
- 18.4 Programas de Mantenimiento de Equipos de Seguridad y de Pruebas**

## **SEGURIDAD DE CONTENEDORES DE CARGA TERRESTRE, TRAILERS (ACOPLADOS) Y CONTENEDORES DE CARGA AEREA (ULD)**

Este Capítulo tiene como objetivo asegurar que los contenedores, acoplados y dispositivos de carga unitaria (ULD) estén protegidos contra el acceso no autorizado o de manipulaciones en todas las etapas de su recorrido a lo largo de la cadena de proveedores.

- 18.5 Contenedor**
  - Tracking (seguimiento), Inspección & Ensamblaje de Carga, Precintos a Prueba de Manipulación Indevida y Almacenaje Seguro.
- 18.6 Trailer (acoplado)**

- Tracking, Inspección & Ensamblaje de Carga, Precintos a Prueba de Manipulación Indevida y Almacenaje Seguro

### **18.7 CONTENEDORES DE CARGA AEREA (ULD)**

- Tracking, Inspección & Ensamblaje de Carga, Precintos a Prueba de Manipulación Indevida y Almacenaje Seguro

## **19. INCIDENTES Y RESPUESTAS DE INCONFORMIDAD**

Este Capítulo tiene como objetivo asegurar que se implemente un proceso para responder a, administrar, resolver, informar y registrar incidentes y no-conformidades respecto de los envíos Secure Freight.

### **19.1 Identificación e Informes de Sucesos**

### **19.2 Procedimientos de Investigación & Seguimiento**

## **20. CONTROL DOCUMENTAL, SEGURIDAD DE INFORMACIÓN Y MANTENIMIENTO DE REGISTROS**

El objetivo de este Capítulo consiste en describir los procesos de control documental y de registros que se requieren para garantizar el funcionamiento seguro y auditable de las operaciones de Carga Segura. También se incluye en este capítulo el control y la protección de la información para prevenir el mal uso, el acceso no autorizado y la manipulación.

### **20.1 Políticas y Procedimientos sobre Control Documental**

### **20.2 Control de Acceso a Documentos, Registros y Demás Datos**

### **20.3 Mantenimiento de Registros**

## **21. VALIDACIÓN Y REGISTRO**

Este Capítulo tiene como objetivo describir los procesos que se implementarán para validar y registrar las entidades de la cadena de suministro de carga aérea como Operadores de Carga Segura (por ejemplo, Agentes Acreditados, Expedidores Reconocidos, Agentes de Carga (forwarders), Expedidores, Transportistas, Aerolíneas, Aeropuertos y Ground Handlers. Es la función de la Autoridad Competente administrar y supervisar estos procesos.

### **21.1 Validación Inicial y registro**

### **21.2 Revalidación**

### **21.3 Exclusión del Listado**

### **21.4 Proceso de Apelación**

### **21.5 Validadores Independientes**

### **21.6 Administración de la Base de Datos de Operadores Aprobados de Carga Segura.**

## **22. CONTROL DE CALIDAD**

El objetivo de este Capítulo consiste en describir las actividades de control de calidad en curso a ser asumidas por la Autoridad Competente y por los Explotadores de Secure Freight para garantizar el cumplimiento de las normas y los requisitos de Carga Segura. Además, se realizarán auditorías periódicas para asegurar la eficacia de las medidas de Carga Segura.

### **22.1 Monitoreo continuo**

### **22.2 Auditorias Periódicas**

### **22.3 Recursos para Actividades de Control de Calidad**

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