

Section 7 — Cargo Operations (CGO)

Applicability

[Section 7](#) addresses functions within the scope of cargo operations and is applicable to an operator that transports revenue and/or non-revenue cargo. COMAT (Company Material) is non-revenue cargo.

In this section, non-revenue cargo is addressed in the same way as revenue cargo for the purposes of handling, loading, securing and transporting.

For the purpose of addressing cargo in this section, mail is considered to be an item of cargo. Therefore, any reference to cargo also includes mail.

Individual CGO provisions or sub-specifications within a CGO provision that:

- Do not begin with a conditional phrase are applicable unless determined otherwise by the Auditor.
- Begin with a conditional phrase (“If the Operator...”) are applicable if the Operator meets the condition(s) stated in the phrase.

Functions within the scope of cargo operations include:

- Cargo acceptance;
- Cargo handling;
- ULD loading/build-up;
- Application of required security measures.

Certain operators, particularly all-cargo operators, might have ground handling operations functions performed by cargo operations personnel (e.g. aircraft loading, airside operations, load control). Where this situation exists, the operator must be in conformity with the ISARPs contained in [Section 6](#), Ground Handling Operations (GRH), that are applicable to the ground handling operations functions performed by cargo operations personnel.

Where an operator outsources the performance of cargo operations functions to external service providers, the operator retains overall responsibility for ensuring the management of safety in the conduct of such operations and must demonstrate processes for monitoring applicable external service providers in accordance with [CGO 1.10.2](#).

General Guidance

Definitions of technical terms used in this ISM [Section 7](#), as well as the meaning of abbreviations and acronyms, are found in the IATA Reference Manual for Audit Programs (IRM).

1 Management and Control

1.1 Management System Overview

CGO 1.1.1

If the Operator transports revenue cargo, the Operator shall have a management system that ensures control of cargo operations and the management of safety and security outcomes. **(GM)** ◀

Auditor Actions

- ☐ **Identified/Assessed** management system structure for cargo operations.
- ☐ **Interviewed** manager of CGO operations.
- ☐ **Assessed** status of conformity with all other CGO management system ISARPs.
- ☐ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definitions of [Cargo](#), [Operations](#), [Operator](#) and [State](#). The definition of Cargo includes definitions for revenue cargo and non-revenue cargo.

Refer to Guidance associated with [ORG 1.1.1](#) located in ISM Section 1.

CGO 1.1.2

If the Operator transports revenue cargo, the Operator shall have a manager for cargo operations that:

- (i) Has the authority and responsibility for the management and supervision of functions and activities within the scope of cargo operations;
- (ii) Is responsible for the management of safety and security risks to cargo operations. ◀

Auditor Actions

- ☐ **Identified** manager for cargo operations.
- ☐ **Examined** job description of manager for cargo operations (focus: defines authority/accountability/responsibility for risk management/compliance with AOC requirements).
- ☐ **Interviewed** manager of cargo operations.
- ☐ **Interviewed** other managers in cargo operations.
- ☐ **Other Actions** (Specify)

1.2 Accountability, Authorities and Responsibilities

CGO 1.2.1

If the Operator transports revenue cargo, the Operator shall ensure the management system defines the safety accountability, authorities and responsibilities of management and non-management personnel that perform functions relevant to the safety and/or security of cargo operations. The management system shall also specify:

- (i) The levels of management with the authority to make decisions regarding risk tolerability with respect to the safety and/or security of cargo operations;
- (ii) Responsibilities for ensuring cargo operations are conducted in accordance with applicable regulations and standards of the Operator;
- (iii) Lines of accountability throughout cargo operations, including direct accountability for safety and/or security on the part of cargo operations senior management. [SMS] (GM) ◀

Auditor Actions

- ☐ **Identified/Assessed** defined safety accountability/authorities/responsibilities (focus: applicable to management/non-management personnel throughout the cargo operations organization).
- ☐ **Interviewed** cargo operations manager and/or designated management representative(s).
- ☐ **Examined** job descriptions of selected management/non-management personnel in cargo operations.
- ☐ **Other Actions** (Specify)

Guidance

Refer to Guidance associated with [ORG 1.3.1](#) located in ISM Section 1 for expanded information regarding accountability, authority and responsibility as applicable to management and non-management personnel.

CGO 1.2.2

If the Operator transports cargo, the Operator shall have a process or procedure for the delegation of duties within the management system for cargo operations that ensures managerial continuity is maintained when operational managers including, if applicable, post holders are unable to carry out work duties. (GM) ◀

Auditor Actions

- ☐ **Identified/Assessed** processes for delegation of duties when cargo operational managers (or, if applicable, post holder) are absent (focus: processes maintain managerial continuity during periods when operational managers are absent).

- ☐ **Interviewed** cargo operations manager and/or designated management representative(s).
- ☐ **Examined** example(s) of delegation of duties due to absence of operational manager(s).
- ☐ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definition of [Post Holder](#).

The intent of this provision is for an operator to have a process or procedure that ensures a specific person (or perhaps more than one person) is identified to assume the duties of any operational manager that is or is expected to be, for any reason, unable to accomplish assigned work duties.

For the purpose of this provision, the use of telecommuting technology and/or being on call and continually contactable are acceptable means for operational managers to remain available and capable of carrying out assigned work duties.

Refer to Guidance associated with [ORG 1.3.2](#) located in ISM Section 1, which addresses the performance of work duties and the use of telecommuting technology and/or being on call and continually contactable.

1.3 Communication



CGO 1.3.1

If the Operator transports cargo, the Operator shall have a system that enables effective communication of relevant safety and operational information throughout the cargo operations management system and in all areas where cargo operations are conducted. Such system shall ensure:

- (i) Personnel maintain an awareness of the SMS;
- (ii) Safety-critical information is conveyed;
- (iii) If applicable, external service providers are provided with information relevant to operations conducted **[SMS] (GM)** ◀

Auditor Actions

- ☐ **Identified/Assessed** system(s) for communicating information relevant to operations within the cargo operations organization (focus: capability for communicating information relevant to operations within the cargo operations organization).
- ☐ **Interviewed** cargo operations manager and/or designated management representative(s).
- ☐ **Examined** examples of information communication/transfer in cargo operations.
- ☐ **Interviewed** selected non-management operational personnel in cargo operations.
- ☐ **Other Actions** (Specify)

Guidance

Refer to Guidance associated with [ORG 4.2.1](#) located in ISM Section 1, for expanded information regarding methods of communication.

1.4 Provision of Resources



CGO 1.4.1

If the Operator transports cargo, the Operator shall ensure the existence of the necessary facilities, workspace, equipment and supporting services, as well as work environment, to satisfy cargo operations safety and security requirements. **(GM)** ◀

Note: *Conformity with this provision does not require specifications to be documented by the Operator.*

Auditor Actions

- ☐ **Observed/Assessed** physical resources and services (focus: adequacy to meet needs of cargo operations).

- ☐ **Identified/Assessed** processes for oversight of external cargo service providers (focus: evaluation of facilities/workspace/equipment/supporting services).
- ☐ **Interviewed** cargo operations manager and/or designated management representative(s).
- ☐ **Other Actions** (Specify)

Guidance

The Operator would typically have a monitoring and control process to ensure each external cargo operations service provider meets the specifications of this provision.

Refer to Guidance associated with [ORG 1.5.2](#) located in ISM Section 1.

Implementation (i.e. adequacy of physical resources and work environment) is typically assessed through observations made by the auditor during the course of the on-site audit.

CGO 1.4.2

If the Operator transports cargo, the Operator shall have a selection process for management and non-management positions within the cargo organization that require the performance of functions relevant to the safety or security of aircraft operations. Such process shall ensure candidates are selected on the basis of knowledge, skills, training and experience appropriate for the position. **(GM)** ◀

Auditor Actions

- ☐ **Identified/Assessed** standards and processes for selection of cargo operations personnel in functions relevant to safety and security of aircraft operations.
- ☐ **Interviewed** cargo operations manager and/or designated management representative(s).
- ☐ **Interviewed** personnel that perform cargo operations functions relevant to the safety or security of aircraft operations.
- ☐ **Other Actions** (Specify)

Guidance

Refer to Guidance associated with [ORG 1.5.3](#) located in ISM Section 1.

A corporate personnel selection policy that applies to all operational areas of the organization serves to satisfy this requirement.

To ensure the inclusion of all cargo operations, an operator would typically have a process that ensures specifications in this provision are applied to external cargo operations service providers.

1.5 Documentation System

CGO 1.5.1 (Intentionally open)

CGO 1.5.2 (Intentionally open)

CGO 1.5.3

If the Operator transports revenue cargo, the Operator shall have a system for the management and control of documentation and/or data used directly in the conduct or support of cargo operations. Such system shall ensure documentation:

- (i) Meets all required elements specified in [Table 1.1](#);
- (ii) Contains legible and accurate information;
- (iii) Is presented in a format appropriate for use in operations. **(GM)** ◀

Auditor Actions

- ☐ **Identified/Assessed** system(s) for management/control of content/format of operational documentation/data used in cargo operations.
- ☐ **Interviewed** responsible management representative(s).

- ☐ **Examined** selected parts of the cargo OM (focus: legibility/accuracy/format; approval as applicable).
- ☐ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definitions of [Documentation](#), [Electronic Documentation](#) and [Paper Documentation](#). Refer to [ORG 2.5.1](#) and associated Guidance, and [Table 1.1](#), located in ISM Section 1.

1.6 Operational Manuals

CGO 1.6.1

If the Operator transports cargo, the Operator shall have an Operations Manual (OM), which may be issued in separate parts, that contains the operational policies, processes, procedures and other information necessary to ensure compliance with applicable regulations, laws, rules and standards of the Operator. The content of the OM shall contain standards and guidance that addresses the acceptance, handling, loading, securing and transporting of cargo as specified in [Table 7.1](#). **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** cargo OM or, if applicable, separate documents that comprise the OM.
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Identified** standards and guidance in the OM that address acceptance, handling, loading, securing and transporting of cargo as per [Table 7.1](#).
- ☐ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definition of [High-risk Cargo](#) and [Operations Manual \(OM\)](#).

This provision is applicable to an operator that transports non-revenue cargo. COMAT is non-revenue cargo.

An OM may include guidance that addresses areas generic to all functions within the scope of cargo operations; other parts of the manual may be specific to individual operational functions.

Because the scope of cargo operations is broad and varies by operator, rather than publishing a separate OM dedicated to cargo operations (e.g. a Cargo Operations Manual), an operator might choose to publish all guidance for cargo operations in a section of an OM that addresses other types of operations (e.g. maintenance management manual for an operator that transports only COMAT).

An operator could also choose to issue the information in separate documents that are each specific to the various cargo operations functions (e.g. safety and security, acceptance, physical handling, documentation, identification, storage and stowage, preparation for flight). Each individual document would typically contain generic guidance that is applicable to all cargo operations functions (e.g. organizational policies, general definitions), as well as guidance that is specific to the particular function or office location (e.g. process descriptions, standard operating procedures, references to the appropriate regulations and IATA manuals).

If an operator has external organizations conduct cargo operations functions, such an operator would then be expected to have a monitoring and control process to ensure each external organization either uses the OM of the operator or has its own published operations manual that fulfills operational safety, security and quality requirements of the operator.

CGO 1.6.2

If the Operator transports dangerous goods as cargo, the Operator shall ensure a copy of the current edition of the Dangerous Goods Regulations (DGR) or the ICAO Technical Instructions for the Safe Transport of Dangerous Goods by Air (Technical Instructions), including addenda as appropriate, is available at each location where cargo operations are conducted and dangerous goods are accepted. **(GM)**

Auditor Actions

- ❑ **Identified/Assessed** process for ensuring distribution of DGR or appropriate DG documents to all locations where there is DG acceptance and/or handling.
- ❑ **Interviewed** responsible management representative(s).
- ❑ **Observed** cargo acceptance and cargo handling operations (focus: availability/accessibility of DGR or Technical Instructions where dangerous goods cargo is accepted or handled).
- ❑ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definitions of [Airport Handling Manual \(AHM\)](#), [Dangerous Goods Regulations \(DGR\)](#), [Live Animals Regulations \(LAR\)](#), [Perishable Cargo Regulations \(PCR\)](#), [ULD Regulations \(ULDR\)](#) and [Unit Load Device \(ULD\)](#).

Cargo operations would include acceptance of any cargo, to include small packages that would be shipped as cargo.

A monitoring process is typically in place to ensure each external cargo operations service provider has a copy of the DGR or ICAO Technical Instructions available as specified.

Other relevant manuals, to include the Live Animals Regulations (LAR), Airport Handling Manual (AHM), Perishable Cargo Regulations (PCR) and ULD Regulations (ULDR), may also be available.

The DGR is based on the ICAO Technical Instructions and is designed for ease of use in operations. However, in some jurisdictions it may be a requirement to have the ICAO Technical Instructions available in accordance with local regulations.

When required, DGR addenda are issued to notify of any amendments or corrections to the current edition of the Dangerous Goods Regulations. It may include any corrigenda issued by ICAO to the current edition of the Technical Instructions.



CGO 1.6.3

If the Operator transports cargo, but does *not* transport dangerous goods, the Operator shall ensure the OM contains the policies and associated guidance necessary to prevent dangerous goods from being inadvertently accepted for transport and loaded onto the aircraft. **(GM)**

Auditor Actions

- ❑ **Identified/Assessed** information in the cargo OM or equivalent manual necessary to ensure personnel do not inadvertently permit acceptance or transport of dangerous goods.
- ❑ **Interviewed** responsible management representative(s).
- ❑ **Interviewed** personnel that perform operational functions in cargo operations.
- ❑ **Other Actions** (Specify)

Guidance

For a dangerous goods “no-carry” operator, guidance in the OM typically addresses vigilance with respect to hidden or inconspicuous dangerous goods and includes an indicative list of items that could contain dangerous goods.



CGO 1.6.4

If the Operator transports cargo using Unit Load Devices (ULDs), the Operator *should* ensure a copy of the current edition of ULD Regulations (ULDR), or the OM containing equivalent ULD related content, is available or accessible at each location where cargo operations are conducted and ULDs are used. **(GM)**

Auditor Actions

- ❑ **Identified/Assessed** process for ensuring distribution of ULDR or OM containing equivalent ULD-related content to all locations where cargo operations are conducted.
- ❑ **Interviewed** responsible management representative(s).
- ❑ **Traced** distribution of ULDR or appropriate OM with equivalent content.

- ☐ **Observed** cargo handling operations (focus: availability/accessibility of ULDR or OM with equivalent content where cargo operations are conducted and ULDs are used).
- ☐ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definition of [Weight and Balance Manual \(W&BM\)](#).

ULDs are required to meet airworthiness requirements when loaded onto an aircraft, either by certification or by compliance with the Weight and Balance Manual. Adhering to the ULDR is one means (but not the only means) that ULD operations may be carried out in compliance with the requirements of the Weight and Balance Manual.

1.7 Records System



CGO 1.7.1

If the Operator transports cargo, the Operator shall have a system for the management and control of operational records to ensure the content and retention of such records is in accordance with requirements of the Authority, as applicable, and to ensure operational records are subjected to standardized processes for:

- (i) Identification;
- (ii) Legibility;
- (iii) Maintenance;
- (iv) Retrieval;
- (v) Protection, integrity and security;
- (vi) Disposal, deletion (electronic records) and archiving. **(GM) ◀**

Auditor Actions

- ☐ **Identified/Assessed** management and control system for operational records in cargo operations (focus: system includes standardized processes as specified in standard).
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** examples of operational records in cargo operations.
- ☐ **Other Actions** (Specify)

Guidance

Refer to Guidance associated with [ORG 2.6.1](#) located in ISM Section 1.



CGO 1.7.2

If the Operator transports cargo and uses an electronic system for the management and control of cargo operations records, the Operator shall ensure the system provides for a scheduled generation of backup record files. **(GM) ◀**

Auditor Actions

- ☐ **Identified/Assessed** management and control system for operational records in cargo operations (focus: system defines schedule for periodic file backup).
- ☐ **Interviewed** responsible management representative(s).
- ☐ **Examined** record(s) of backup files for electronic records.
- ☐ **Other Actions** (Specify)

Guidance

Refer to Guidance associated with [ORG 2.6.2](#) located in ISM Section 1.

1.8 (Intentionally open)

1.9 Quality Assurance Program

CGO 1.9.1

If the Operator transports cargo, the Operator shall have a quality assurance program that provides for the auditing and evaluation of the management system and operational functions within the scope of cargo operations at planned intervals to ensure the Operator is:

- (i) Complying with applicable regulations and standards;
- (ii) Satisfying stated operational needs;
- (iii) Identifying areas requiring improvement;
- (iv) Identifying hazards to operations;
- (v) Assessing the effectiveness of safety risk controls. **[SMS] (GM) ◀**

Auditor Actions

- ☐ **Identified/Assessed** role/organization/structure of quality assurance program in cargo operations (focus: role/purpose within organization/SMS; definition of audit program scope/objectives; description of program elements/procedures for ongoing auditing of management/operational areas).
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Interviewed** selected operational managers (focus: interface with quality assurance program).
- ☐ **Examined** selected cargo operations audit reports (focus: audit scope/process/organizational interface).
- ☐ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definition of [Quality Assurance \(QA\)](#).

Refer to Guidance associated with [ORG 2.1.1](#) located in ISM Section 1.

A corporate quality assurance program that is applied to all areas of the company associated with the conduct of revenue and/or non-revenue cargo operations will also satisfy this requirement.

CGO 1.9.2

If the Operator transports cargo, the Operator shall have a process for addressing findings resulting from audits conducted under the quality assurance program, which ensures:

- (i) Identification of root cause(s);
- (ii) Development of corrective action, as appropriate to address findings;
- (iii) Implementation of corrective action in appropriate areas of cargo operations;
- (iv) Evaluation of corrective action to determine effectiveness. **(GM) ◀**

Auditor Actions

- ☐ **Identified/Assessed** process for addressing quality assurance audit findings in cargo operations.
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Examined** selected audit reports/records (focus: identification of root cause, development/implementation of corrective action, follow-up to evaluate effectiveness).
- ☐ **Other Actions** (Specify)

Guidance

Refer to Guidance associated with [ORG 2.1.7](#) located in ISM Section 1.



CGO 1.9.3

If the Operator transports cargo, the Operator shall have a process to ensure significant issues arising from cargo operations quality assurance and risk management are subject to management review in accordance with [ORG 4.1.1](#). **[SMS] (GM) ◀**

Auditor Actions

- ☐ **Identified/Assessed** process for management review of cargo operations quality assurance issues (focus: continual improvement of quality assurance program).
- ☐ **Interviewed** responsible quality assurance program manager.
- ☐ **Examined** selected records/documents of management review of cargo operations quality assurance program issues (focus: specific issues/changes identified and implemented to improve quality assurance program).
- ☐ **Other Actions** (Specify)

Guidance

Refer to Guidance associated with [ORG 4.1.1](#) and [4.1.2](#) located in ISM Section 1.

CGO 1.9.4

If the Operator transports cargo, the Operator shall have an audit planning process and sufficient resources to ensure audits of cargo operations are:

- (i) Scheduled at intervals to meet regulatory and management system requirements;
- (ii) Conducted within the scheduled interval. **(GM) ◀**

Auditor Actions

- ☐ **Identified/Assessed** planning process for quality assurance auditing of cargo operations (focus: audits planned/scheduled/conducted in accordance with applicable internal/external requirements).
- ☐ **Identified/Assessed** audit resources (focus: availability of sufficient auditors/other resources to accomplish audit plan).
- ☐ **Interviewed** quality assurance program manager.
- ☐ **Crosschecked** audit plan with selected audit reports, to verify adherence to plan (focus: audits conducted in accordance with audit plan).
- ☐ **Other Actions** (Specify)

Guidance

Refer to Guidance associated with [ORG 2.1.5](#) located in ISM Section 1.

1.10 Quality Control of Outsourced Operations and Products

CGO 1.10.1A

If the Operator has external service providers conduct outsourced cargo operations functions, the Operator *should* ensure a service provider selection process is in place that ensures:

- (i) Safety-relevant selection criteria are established;
- (ii) Service providers are evaluated against these criteria prior to selection. **(GM) ◀**

Auditor Actions

- ☐ **Identified/Assessed** selection process for external service providers.
- ☐ **Interviewed** responsible manager in cargo operations.
- ☐ **Examined** selected records/documents that demonstrate application of the selection process.
- ☐ **Coordinated** to verify implementation of selection process in all operational areas.
- ☐ **Other Actions** (Specify)

Guidance

The intent of this provision is for an operator to define relevant safety and security criteria for use in the evaluation and potential selection of cargo operations service providers. This is the first step in the management of external service providers and would take place prior to the operator signing an agreement with a provider. The process need be applied only one time leading up to the selection of an individual service provider.

Refer to the guidance associated with [ORG 1.6.1](#).



CGO 1.10.1B

If the Operator transports cargo, and has external service providers conduct outsourced cargo operations functions, the Operator shall have processes to ensure a contract or agreement is executed with such external service providers. Contracts or agreements shall identify the application of specific documented requirements that can be monitored by the Operator to ensure cargo requirements that affect the safety and/or security of aircraft operations are being fulfilled by the service provider. **(GM)** ◀

Auditor Actions

- ❑ **Identified/Assessed** processes for contract/agreement execution with external service providers that conduct outsourced cargo operations functions.
- ❑ **Interviewed** responsible manager(s) in cargo operations.
- ❑ **Examined** selected cargo operations outsourcing contracts/agreements (focus: inclusion of or reference to specific requirements applicable to external service providers).
- ❑ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definition of [Operational Function \(Aircraft Operations\)](#) and [Outsourcing](#).

Refer to the Applicability box at the beginning of this section for the functions within the scope of cargo operations.

The requirement for a cargo handling contract or agreement applies to *all* operational functions within the scope of cargo operations that are outsourced.

The AHM contains detailed guidance and examples of a standard ground handling agreement and a service level agreement, both of which may be used in whole or in part to cover cargo operations.

Refer to the guidance associated with [ORG 1.6.2](#) located in ISM Section 1.



CGO 1.10.2

If the Operator transports cargo, and has external service providers conduct outsourced cargo operations functions, the Operator shall have a process to monitor such external service providers to ensure cargo requirements that affect the safety and security of aircraft operations are being fulfilled. **(GM)** ◀

Note: *IOSA or ISAGO registration as the only means to monitor is acceptable provided the Operator obtains the latest of the applicable audit report(s) through official program channels and considers the content of such report(s).*

Auditor Actions

- ❑ **Identified/Assessed** processes used for monitoring external cargo operations service providers (focus: monitoring process ensures provider fulfills applicable safety/security requirements).
- ❑ **Interviewed** responsible manager(s) in cargo operations.
- ❑ **Examined** selected records/reports resulting from monitoring of cargo operations service providers (focus: monitoring process ensures provider fulfills applicable safety/security requirements).
- ❑ **Other Actions** (Specify)

Guidance

Refer to Guidance associated with [ORG 2.2.1](#) located in ISM Section 1.



CGO 1.10.3

If the Operator transports cargo, and has external service providers conduct outsourced cargo operations functions, the Operator *should* include auditing as a process for the monitoring of external service providers in accordance with [CGO 1.10.2](#). **(GM)** ◀

Auditor Actions

- ❑ **Identified/Assessed** auditing processes used for monitoring external cargo operations service providers.
- ❑ **Interviewed** responsible manager(s) in cargo operations.
- ❑ **Examined** selected reports of audits performed on external cargo operations handling service providers.
- ❑ **Other Actions** (Specify)

Guidance

Refer to Guidance associated with [ORG 2.2.2](#) located in ISM Section 1.

1.11 Safety Management

Risk Management



CGO 1.11.1

If the Operator transports cargo, the Operator shall have a hazard identification program implemented in the cargo operations organization that includes a combination of reactive and proactive methods of hazard identification. **[SMS] (GM)** ◀

Auditor Actions

- ❑ **Identified/Assessed** safety hazard identification program in cargo operations (focus: program identifies hazards to aircraft operations; describes/defines method(s) of safety data collection/analysis).
- ❑ **Identified/Assessed** role of cargo operations in cross-discipline safety hazard identification program (focus: participation with other operational disciplines).
- ❑ **Interviewed** responsible manager(s) in cargo operations.
- ❑ **Interviewed** person(s) that perform cargo operations data collection/analysis to identify hazards to aircraft operations.
- ❑ **Examined** selected examples of hazards identified through cargo operations data collection/analysis.
- ❑ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definitions of [Hazard \(Aircraft Operations\)](#) and [Safety Risk](#).

Hazard identification is an element of the Safety Risk Management component of the SMS framework.

Refer to Guidance associated with [ORG 3.1.1](#) located in ISM Section 1.



CGO 1.11.2

If the Operator transports cargo, the Operator shall have a safety risk assessment and mitigation program implemented in the cargo operations organization that specifies processes to ensure:

- (i) Hazards are analyzed to determine the corresponding safety risks to aircraft operations;
 - (ii) Safety risks are assessed to determine the requirement for risk mitigation action(s);
 - (iii) When required, risk mitigation actions are developed and implemented in cargo operations.
- [SMS] [Eff] (GM)** ◀

Assessment Tool

Desired Outcome

- The Operator maintains an overview of cargo operations risks and through implementation of mitigation actions, as applicable, ensures risks are at an acceptable level.

Suitability Criteria (Suitable to the size, complexity and nature of operations)

- Number and type of analyzed hazards and corresponding risks.
- Means used for recording risks and mitigation (control) actions.
- Safety data used for the identification of hazards.

Effectiveness Criteria

- (i) All relevant cargo operations hazards are analyzed for corresponding safety risks.
- (ii) Safety risks are expressed in at least the following components:
 - Likelihood of an occurrence.
 - Severity of the consequence of an occurrence.
 - Likelihood and severity have clear criteria assigned.
- (iii) A matrix quantifies safety risk tolerability to ensure standardization and consistency in the risk assessment process, which is based on clear criteria.
- (iv) Risk register(s) across the cargo operations organization capture risk assessment information, risk mitigation (control) and monitoring actions.
- (v) Risk mitigation (control) actions include timelines, allocation of responsibilities and risk control strategies (e.g. hazard elimination, risk avoidance, risk acceptance, risk mitigation).
- (vi) Mitigation (control) actions are implemented to reduce the risk to a level of “as low as reasonably practical”.
- (vii) Identified risks and mitigation actions are regularly reviewed for accuracy and relevance.
- (viii) Effectiveness of risk mitigation (control) actions are monitored at least yearly.
- (ix) Personnel performing risk assessments are appropriately trained in accordance with [ORG 4.3.1](#).

Auditor Actions

- ☐ **Identified/Assessed** safety risk assessment and mitigation program in cargo operations (focus: hazards analyzed to identify/define risk; risk assessed to determine appropriate action; action implemented/monitored to mitigate risk).
- ☐ **Identified/Assessed** role of cargo operations in cross-discipline safety risk assessment/mitigation program (focus: participation with other operational disciplines).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Interviewed** person(s) that perform cargo operations risk assessment/mitigation.
- ☐ **Examined** selected records/documents that illustrate risk assessment/mitigation action.
- ☐ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definitions of [Risk Register](#), [Safety Risk](#), [Safety Risk Assessment \(SRA\)](#), [Safety Risk Management](#) and [Safety Risk Mitigation](#).

Risk assessment and mitigation is an element of the Safety Risk Management component of the SMS framework.

The potential for hazards is typically associated with the following aspects of cargo handling operations:

- Acceptance and handling of dangerous goods and other special cargo shipments (e.g. lithium batteries);
- Application of security controls;

- Protection from acts of unlawful interference;
- Build-up, handling and serviceability of ULDs;
- Operation and serviceability of cargo handling equipment;
- Adequacy of facilities.

Refer to Guidance associated with [ORG 3.2.1](#) located in ISM Section 1.

Operational Reporting

CGO 1.11.3

If the Operator transports cargo, the Operator shall have an operational safety reporting system in the cargo operations organization that:

- Encourages and facilitates cargo operations personnel to submit reports that identify safety hazards, expose safety deficiencies and raise safety concerns;
 - Includes analysis and cargo operations management action to address operational deficiencies, hazards, incidents and concerns identified through the reporting system.
- [SMS] (GM) ◀**

Auditor Actions

- ☐ **Identified/Assessed** documented operational safety reporting system in cargo operations (focus: system urges/facilitates reporting of hazards/safety concerns; includes analysis/action to validate/address reported hazards/safety concerns).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Interviewed** person(s) that perform operational safety report review/analysis/follow-up in cargo operations.
- ☐ **Interviewed** personnel that perform operational functions in cargo operations.
- ☐ **Examined** data that confirm an effective cargo operations safety reporting system (focus: quantity of reports submitted/hazards identified).
- ☐ **Examined** records of selected cargo operations safety reports (focus: analysis/follow-up to identify and address reported hazards/safety concerns).
- ☐ **Other Actions** (Specify)

Guidance

Safety reporting is a key aspect of SMS hazard identification and risk management.

Refer to Guidance associated with [ORG 3.1.2](#) located in ISM Section 1.

CGO 1.11.4

If the Operator transports cargo, the Operator *should* have a confidential safety reporting system implemented within the cargo operations organization in a manner that encourages and facilitates the reporting of events, hazards and/or concerns resulting from or associated with human performance in operations. **(GM) ◀**

Auditor Actions

- ☐ **Identified/Assessed** documented confidential safety reporting system in cargo operations (focus: system urges/facilitates reporting of events/hazards/safety concerns caused by humans; report/reporters are de-identified; includes analysis/action to validate/address reported hazards/safety concerns).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** records of selected cargo operations confidential safety reports (focus: report/reporter de-identification; analysis/follow-up to identify/address reported hazards/safety concerns).
- ☐ **Other Actions** (Specify)

Guidance

Refer to Guidance associated with [ORG 3.1.3](#) located in ISM Section 1.

Safety Performance Monitoring and Management

CGO 1.11.5

If the Operator transports cargo, the Operator shall have processes in the cargo operations organization for safety setting performance indicators (SPIs) and, as applicable, safety performance targets (SPTs) as means to monitor the achievement of its safety objectives and to validate the effectiveness of risk controls. **[SMS] (GM) ◀**

Auditor Actions

- ❑ **Identified/Assessed** program for setting SPIs and SPTs in cargo operations (focus: program defines the development and implementation of SPIs that are aligned with safety objectives).
- ❑ **Interviewed** responsible manager(s) in cargo operations.
- ❑ **Examined** selected SPIs (focus: SPIs and SPTs are being used to monitor operational performance toward effectiveness of risk controls and achievement of safety objectives).
- ❑ **Examined** records/documents that identify tracking of cargo operations SPIs and SPTs (focus: tracking used to assess/monitor operational safety performance, assess/validate risk control effectiveness).
- ❑ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definitions of [Safety Assurance](#), [Safety Objective](#), [Safety Performance Indicator \(SPI\)](#) and [Safety Performance Target \(SPT\)](#).

Setting SPIs that are consistent with safety objectives is an element of the Safety Assurance component of the SMS framework.

SPIs are used by an operator to track and compare its operational performance against the achievement of its safety objectives and to focus attention on the performance of the organization in managing operational risks and maintaining compliance with relevant regulatory requirements.

SPTs define short-term and medium-term safety performance management desired achievements. They act as 'milestones' that provide confidence that the organization is on track to achieving its safety objectives and provide a measurable way of verifying the effectiveness of safety performance management activities. The setting of SPTs is normally accomplished after considering what is realistically achievable and, where historical trend data are available, the recent performance of the particular SPI.

It is not always necessary or appropriate to set or define SPTs as there could be some SPIs that are better monitored for trends rather than against a targeted number. Safety reporting is an example of when having a target could either discourage people not to report (if the target is not to exceed a number) or to report trivial matters to meet a target (if the target is to reach a certain number).

Refer to Guidance associated with [ORG 1.4.1](#) (safety objectives) and [ORG 1.4.2](#) (SPIs and SPTs) located in ISM Section 1.

2 Training and Qualification

2.1 Training Program

CGO 2.1.1

If the Operator transports cargo, the Operator shall have a process to ensure personnel that perform operational duties in functions within the scope of cargo operations for the Operator, to include personnel of external service providers, complete:

- (i) Initial training prior to being assigned to perform such operational duties;
- (ii) Recurrent training on a frequency in accordance with requirements of the regulatory authority but not less than once during every 36-month period, except for recurrent training in dangerous goods as specified in [CGO 2.2.1](#), [CGO 2.2.2](#) or [CGO 2.2.3](#). **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** processes for ensuring completion of training by cargo operations personnel (focus: includes personnel in all cargo operations functions; includes external service providers).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected initial/recurrent course curricula/syllabi (focus: initial and recurrent training programs address all cargo operations functions).
- ☐ **Examined** initial/recurrent training records of selected personnel (focus: completion of initial and recurrent training).
- ☐ **Other Actions** (Specify)

Guidance

Refer to the Applicability box at the beginning of this section for the functions within the scope of cargo operations.

Requirements for initial and recurrent training apply to all personnel that perform duties within the scope of cargo operations for the operator, both at the main base and at all other locations.

CGO 2.1.2

If the Operator transports cargo, the Operator shall have a process to ensure the training programs completed by cargo operations personnel in accordance with [CGO 2.1.1](#) provide the knowledge necessary to perform duties, execute procedures and operate the equipment associated with specific cargo functions and responsibilities. Such programs shall include:

- (i) Familiarization training on applicable regulations;
- (ii) In-depth training on requirements, including policies, procedures and operating practices;
- (iii) Training in human factors principles;
- (iv) Safety training on associated operational hazards. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** training programs for cargo operations personnel (focus: includes programs for personnel in all cargo operations functions).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected training program records/documents (focus: programs include all specified training areas as applicable to cargo operations functions).
- ☐ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definition of [Human Factors Principles](#).

Refer to [DGR 1.5.2](#) and [Table 1.5.A](#) for guidance that addresses dangerous goods training for personnel that perform cargo operations functions.

CGO 2.1.3 (Intentionally open)

CGO 2.1.4

If the Operator transports cargo, the Operator shall have a process to ensure the training programs completed by cargo operations personnel in accordance with [CGO 2.1.1](#) are reviewed and updated to remain relevant and current.

Auditor Actions

- ☐ **Identified/Assessed** process for review and update of training program completed by cargo operations personnel.
- ☐ **Interviewed** responsible manager(s) in cargo operations.

- ☐ **Examined** selected training program records/documents (focus: programs have been periodically reviewed and updated).
- ☐ **Other Actions** (Specify)

CGO 2.1.5

If the Operator transports cargo, the Operator shall have a process to ensure training for personnel that perform operational duties within the scope of cargo operations for the Operator:

- (i) Includes testing or evaluation by written, oral or practical means, as applicable;
- (ii) Requires a demonstration of adequate knowledge, competency and proficiency to perform duties, execute procedures and/or operate equipment.

Auditor Actions

- ☐ **Identified/Assessed** training programs for cargo operations personnel (focus: programs include a process for testing/evaluations/demonstrations as specified).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected initial/recurrent course curricula/syllabi (focus: initial and recurrent training programs include testing/evaluations/demonstrations).
- ☐ **Examined** initial/recurrent training records of selected personnel (focus: testing/evaluations/demonstrations as specified completed during initial and recurrent training).
- ☐ **Other Actions** (Specify)

CGO 2.1.6

If the Operator transports cargo, the Operator shall have a process to ensure completion of required training by personnel that perform operational duties within the scope of cargo operations for the Operator is recorded and such records retained in accordance with [CGO 1.7.1](#).

Auditor Actions

- ☐ **Identified/Assessed** cargo operations records system (focus: system includes training records of personnel that perform cargo operations duties).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** initial/recurrent training records of selected personnel (focus: records include completion of required training).
- ☐ **Other Actions** (Specify)

2.2 Program Elements

CGO 2.2.1

If the Operator transports dangerous goods as cargo, the Operator shall have a process to ensure cargo operations personnel assigned the responsibility for accepting dangerous goods complete dangerous goods training, to include initial training and recurrent training within 24 months of previous training in dangerous goods. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** dangerous goods training program: (focus: defines DG training requirements for all cargo handling personnel based on specific assigned responsibilities/duty functions).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** applicable initial/recurrent dangerous goods training curricula and syllabi (focus: subject areas appropriate for personnel based on specific responsibilities/duty functions).
- ☐ **Examined** initial/recurrent dangerous goods training records of selected personnel (focus: completion of required training as appropriate for assigned responsibilities/duty functions).
- ☐ **Other Actions** (Specify)

Guidance

The curriculum for dangerous goods training for cargo operations personnel is determined by the operator and may vary depending on specific responsibilities and duty function(s).

Recurrent training in dangerous goods is completed within a validity period that expires 24 months from the previous training to ensure knowledge is current, unless a shorter period is defined by a competent authority. However, when such recurrent training is completed within the final 3 months of the 24-month validity period, the new validity period may extend from the month on which the recurrent training was completed until 24 months from the expiry month of the current validity period. If such recurrent training is completed *prior* to the final three months of the validity period, the new validity period would extend 24 months from the month the recurrent training was completed.

△ Refer to [DGR 1.5](#). Additional guidance material for competency-based training and assessment, that includes adapted task lists for well-defined job functions, is available at www.iata.org/dangerousgoods.

△ CGO 2.2.2

If the Operator transports cargo, but does not transport dangerous goods, the Operator shall have a process to ensure cargo operations personnel assigned the responsibility for accepting cargo complete dangerous goods training, to include initial training and recurrent training within 24 months of previous training in dangerous goods. **(GM)**

Auditor Actions

- **Identified/Assessed** dangerous goods training program: (focus: defines DG training requirements for personnel with cargo acceptance/handling responsibilities).
- **Interviewed** responsible manager(s) in cargo operations.
- **Examined** selected initial/recurrent dangerous goods training curricula/syllabi (focus: subject areas appropriate for personnel with cargo acceptance/handling responsibilities).
- **Examined** initial/recurrent training records of selected cargo operations personnel (focus: completion of required training as appropriate for assigned responsibilities/duty functions).
- **Other Actions** (Specify)

Guidance

△ When an operator does not transport dangerous goods as cargo (i.e. a “no-carry” operator), dangerous goods training is still required for cargo operations personnel to ensure declared and undeclared dangerous goods are recognized and prohibited from being accepted or loaded onto an aircraft.

△ Dangerous goods training is structured to provide the requisite knowledge to permit cargo operations personnel to recognize dangerous goods, whether labeled or not labeled, and to prevent such dangerous goods from being inadvertently accepted and/or planned for loading into an aircraft.

△ The curriculum for dangerous goods training for cargo handling personnel is determined by the operator and may vary depending on specific responsibilities and duty function(s).

△ Refer to [DGR 1.5](#). Additional guidance material for competency-based training and assessment, that includes adapted task lists for well-defined job functions, is available at www.iata.org/dangerousgoods.

CGO 2.2.3

If the Operator transports dangerous goods as cargo, the Operator shall have a process to ensure cargo operations personnel assigned the responsibility for handling or storing such cargo, as well as, where applicable, the loading of ULDs, receive dangerous goods training, to include initial training and recurrent training within 24 months of previous training in dangerous goods. **(GM)**

Auditor Actions

- **Identified/Assessed** process for dangerous goods training for cargo operations personnel that handle/store cargo; where applicable, load cargo on/into ULDs.
- **Interviewed** responsible manager(s) in cargo operations.

- ❑ **Examined** selected initial/recurrent dangerous goods training curricula/syllabi applicable to cargo operations personnel that handle/store cargo; where applicable, load cargo on/into ULDs.
- ❑ **Examined** initial/recurrent training records of selected cargo operations personnel that handle/store cargo; where applicable, load cargo on/into ULDs.
- ❑ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definition of [Unit Load Device \(ULD\)](#), which addresses certified and non-certified units.

The curriculum for dangerous goods training for cargo personnel with responsibilities for handling or storing dangerous goods cargo as well as, where applicable, the loading of such cargo onto/into ULDs, is developed by the operator and may vary depending on specific responsibilities and duty function(s).

△ Refer to [DGR 1.5](#). Additional guidance material for competency-based training and assessment, that includes adapted task lists for well-defined job functions, is available at www.iata.org/dangerousgoods.

△

CGO 2.2.4

If the Operator transports cargo, the Operator *should* have a process to ensure personnel assigned to operate equipment in the performance of their duties in cargo operations are trained and qualified to operate the equipment associated with those duties.

Auditor Actions

- ❑ **Identified/Assessed** process that ensures cargo operations personnel that operate equipment in the performance of duties are trained/qualified to operate such equipment.
- ❑ **Interviewed** responsible manager(s) in cargo operations.
- ❑ **Examined** selected initial/recurrent training curricula/syllabi applicable to cargo operations personnel that operate such equipment.
- ❑ **Examined** training records of selected cargo operations personnel that operate such equipment.
- ❑ **Other Actions** (Specify)

2.3 SMS Training

CGO 2.3.1

If the Operator transports cargo, the Operator shall have a program that ensures its cargo operations personnel are trained and competent to perform SMS duties. The scope of such training shall be appropriate to each individual's involvement in the SMS. **[SMS] (GM) ◀**

Note: *The specifications of this provision are applicable to personnel of the Operator that perform functions within the scope of cargo operations.*

Auditor Actions

- ❑ **Identified/Assessed** SMS training program for cargo operations (focus: program ensures training for the operator's cargo operations personnel as appropriate to individual SMS involvement).
- ❑ **Interviewed** responsible manager(s).
- ❑ **Examined** selected initial and recurrent cargo operations training curricula (focus: training in individually relevant SMS duties/responsibilities).
- ❑ **Examined** selected cargo operations personnel training records (focus: completion of SMS training).
- ❑ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definition of [Operational Function \(Aircraft Operations\)](#).

SMS training is an element of the Safety Promotion component of the SMS framework.
Refer to Guidance associated with [ORG 4.3.1](#) located in ISM Section 1.

CGO 2.3.2

If the Operator outsources cargo handling operational functions to external service providers, the Operator *should* have a program that ensures personnel of external service providers are trained and competent to perform SMS duties. The scope of such training *should* be appropriate to individual involvement in the Operator's SMS. **[SMS] (GM) ◀**

Auditor Actions

- ☐ **Identified/Assessed** SMS training program for cargo operations (focus: program ensures training for cargo operations personnel of external service providers as appropriate to individual SMS involvement).
- ☐ **Interviewed** SMS manager and/or designated management representative(s).
- ☐ **Examined** selected outsourcing contracts/agreements (focus: inclusion of requirement of SMS training for applicable service provider personnel).
- ☐ **Examined** selected records/reports resulting from monitoring of service providers (focus: monitoring process ensures applicable personnel of service providers have completed SMS training).
- ☐ **Other Actions** (Specify)

Guidance

SMS training is an element of the Safety Promotion component of the SMS framework.
Refer to Guidance associated with [ORG 4.3.2](#) located in ISM Section 1.

3 Acceptance and Handling

3.1 General Cargo

CGO 3.1.1

If the Operator transports cargo, the Operator shall have a process to ensure such shipments accepted for transport:

- (i) If revenue cargo, are in compliance with standards in the OM as specified in [CGO 1.6.1](#);
- (ii) If interline cargo, are in compliance with IATA interline cargo requirements;
- (iii) If non-revenue cargo, are in compliance with the OM or equivalent document as specified in [CGO 1.6.1. \(GM\)](#)

Auditor Actions

- ☐ **Identified/Assessed** process that ensures cargo shipments accepted for transport are in compliance with applicable requirements.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected quality control inspection reports.
- ☐ **Observed** cargo acceptance operations (focus: process for ensuring cargo shipments comply with applicable requirements).
- ☐ **Other Actions** (Specify)

Guidance

Cargo is accepted under the terms of the OM, which typically specifies procedures to ensure acceptance personnel verify the cargo has been packed in a manner:

- For safe transport with ordinary care in handling;
- To preclude injury or damage to any person, cargo or property.

Also, interline cargo typically complies with the applicable requirements of the receiving operator(s).

Refer to the IATA [Cargo Services Conference Resolution 660](#) for guidance pertaining to interline cargo.

CGO 3.1.2 (Intentionally open)

CGO 3.1.3

If the Operator transports cargo, the Operator shall have a process to ensure, where scales are used to determine the weight of cargo, all such scales are periodically checked and calibrated, and such actions are recorded and retained in accordance with applicable regulations. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** process that ensures scales used to weigh cargo are periodically checked and calibrated.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected records that indicate checking/calibration of scales used to weigh cargo shipments.
- ☐ **Observed** cargo acceptance and cargo handling operations (focus: process for ensuring accuracy of scales used to weigh cargo shipments).
- ☐ **Other Actions** (Specify)

Guidance

Such scales might be referred to as weigh bridges.

Accuracy in cargo weights is a critical safety factor and is monitored by many states. Records of scale checking and calibration are typically made available to the applicable authority for review, if requested.

Guidance may be found in [AHM 534](#).

CGO 3.1.4

If the Operator transports cargo, the Operator *should* have a process to ensure cargo terminals are equipped with facilities appropriate for storage of dangerous goods and other special cargo, such as human remains, live animals, perishables, valuable cargo and pharmaceuticals. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** process that ensures cargo terminals are equipped with facilities appropriate for storage of special cargo shipments.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo handling operations (focus: existence of facilities for storage of dangerous goods and other special cargo shipments).
- ☐ **Other Actions** (Specify)

Guidance

Such items may have separation requirements as specified in the appropriate IATA manual(s) and, additionally, may be governed by local rules or regulations. Information relative to storage of cargo is included in the OM.

3.2 Dangerous Goods

CGO 3.2.1

If the Operator transports dangerous goods as cargo, the Operator shall have a Dangerous Goods Acceptance Checklist that:

- (i) Reflects applicable requirements contained in the current DGR;
- (ii) Once completed, contains information that identifies the person(s) that performed the acceptance check. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** dangerous goods acceptance checklist (focus: contains DGR requirements, information that identifies person that performed acceptance check).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** process(es) for development/maintenance of dangerous goods acceptance checklist.
- ☐ **Observed** cargo acceptance operations (focus: dangerous goods acceptance in accordance with DGR requirements).
- ☐ **Other Actions** (Specify)

Guidance

Sample checklists for non-radioactive shipments, radioactive shipments and dry ice (carbon dioxide, solid) are found in the back of the DGR.

Refer to [DGR 9.1.3](#) for guidance that addresses the Dangerous Goods Acceptance Checklist.

CGO 3.2.2

If the Operator transports dangerous goods as cargo, the Operator shall have procedures to ensure the use of a Dangerous Goods Acceptance Checklist as specified in [CGO 3.2.1](#) to verify:

- (i) Package(s), overpack(s) or freight containers, as applicable, are correctly marked and labeled;
- (ii) The Shipper's Declaration for Dangerous Goods, if required, or other documentation complies with the requirements of the current edition of the DGR. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** procedures for use of dangerous goods acceptance checklist (focus: checklist is used to verify package marking/labeling, documentation compliance).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance operations (focus: use of dangerous goods acceptance checklist to verify package marking/labeling, documentation compliance).
- ☐ **Other Actions** (Specify)

Guidance

Refer to [DGR 9.1.3](#) for guidance that addresses use of the Dangerous Goods Acceptance Checklist.

CGO 3.2.3

If the Operator transports dangerous goods as cargo, the Operator shall have procedures to ensure the completed Dangerous Goods Acceptance Checklist and shipper documentation, to include, if required, the Shipper's Declaration for Dangerous Goods, and the information provided to the pilot-in-command (PIC), are retained for a minimum period of three months after the flight on which the dangerous goods were transported. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** procedures for ensuring retention of all applicable dangerous goods cargo information, including dangerous goods acceptance checklist, shipper documentation and information to the PIC for a minimum period of three months.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** content of selected records of dangerous goods shipments.
- ☐ **Observed** cargo acceptance operations (focus: procedures for retention of applicable information associated with dangerous goods shipments).
- ☐ **Other Actions** (Specify)

Guidance

A minimum of one copy of each document associated with each dangerous goods shipment is retained on file for three months or, if required by the State of Flight Departure, a longer period of time.

Refer to [DGR 9.8](#) for guidance that addresses retention of the Dangerous Goods Acceptance Checklist.

CGO 3.2.4

If the Operator transports dangerous goods as cargo, the Operator shall have procedures to ensure any package, overpack, freight container, or ULD containing dangerous goods is inspected and is not accepted, unless:

- (i) Properly marked and labeled;
- (ii) There is no leakage;
- (iii) Its integrity has not been compromised. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** procedures for inspection dangerous goods shipments prior to acceptance for transport.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance operations (focus: procedures for inspection of dangerous goods shipments prior to acceptance).
- ☐ **Other Actions** (Specify)

Guidance

Detailed instructions for acceptance and handling of dangerous goods are contained in [DGR Section 9](#) and [Subsection 10.9](#) for radioactive materials. This information is not to be interpreted as requiring an operator to accept or transport a particular article or substance, or as preventing an operator from imposing special requirements on the transport of a particular article or substance.

CGO 3.2.5

If the Operator transports dangerous goods as cargo on or in ULDs, the Operator shall have procedures to ensure ULDs containing dangerous goods, which require a hazard label, have a dangerous goods tag that:

- (i) Contains information that is visible and legible and, if placed in a protective tag holder, such information remains visible and legible;
- (ii) Is marked with the class and/or division number(s) of such dangerous goods;
- (iii) If a ULD contains packages bearing a "Cargo Aircraft Only" label, indicates the ULD can only be loaded onto a cargo aircraft. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** procedures for ensuring ULD containing dangerous goods have a tag in accordance with applicable requirements.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance and cargo handling operations (focus: procedures for ensuring ULDs containing dangerous goods are tagged in accordance with applicable requirements).
- ☐ **Other Actions** (Specify)

Guidance

The need for procedures would normally apply to any operator that accepts dangerous goods for transport on or in ULDs to ensure:

- The types of dangerous goods contained in ULDs, as well as any associated restrictions, are accurately displayed on a ULD tag, which may be placed inside a protective tag holder on the exterior of the ULD;

- ULDs are only loaded onto aircraft that are compatible with the load and associated restrictions.

Refer to [DGR 9.3.8](#) for guidance that addresses ULD dangerous goods tags.

△

CGO 3.2.6

If the Operator transports dangerous goods as cargo, the Operator *should* have a process for retention of the applicable documentation when a dangerous goods consignment does not pass the acceptance check due to errors or omissions by the shipper. Such documentation *should* be retained for a minimum period of three months after the completion of the acceptance checklist. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** process for retention of documentation for dangerous goods shipments that do not pass acceptance inspection due to error/omission by shipper.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected records of dangerous goods shipments not accepted due to error/omission by shipper.
- ☐ **Observed** cargo acceptance operations (focus: process for retention of documentation for dangerous goods shipments not accepted due to error/omission by shipper).
- ☐ **Other Actions** (Specify)

Guidance

The intent of this provision is that an operator retains all relevant documentation when a cargo shipment containing dangerous goods is not accepted (by the operator) due to an error or omission (by the shipper) in packaging, labeling, marking or documentation.

CGO 3.2.7 (Intentionally open)

△

CGO 3.2.8

If the Operator transports dangerous goods as cargo, the Operator shall have a process to ensure, when dangerous goods labels or marks are found to be missing, illegible or detached from shipments subsequent to the time of acceptance, such labels are replaced in accordance with the information provided on the Shippers Declaration for Dangerous Goods. Such requirement for the replacement of marks or labels shall not apply where marks or labels are found to be missing or illegible at the time of acceptance. **(GM)**

Auditor Actions

△

- ☐ **Identified/Assessed** procedures for ensuring dangerous goods marks and labels are replaced in accordance with the shipper's declaration when such labels are found to be missing, illegible or detached.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance and cargo handling operations (focus: process for replacement of lost/illegible/detached dangerous goods marks and labels).
- ☐ **Other Actions** (Specify)

△

Guidance

△

Refer to [DGR Section 9.3.7](#) for guidance that addresses dangerous goods hazard labels.

△

CGO 3.2.9

If the Operator transports dangerous goods as cargo on international flights, the Operator shall have procedures for such flights that ensure English, in addition to the language required by the State of Origin, is used for markings and transport documents related to the shipment of dangerous goods. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** procedures for ensuring transport documents/markings for dangerous goods shipments on international flights are in English and the language required by State of Origin.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** transport documents/markings associated with selected international dangerous goods shipments.
- ☐ **Observed** cargo acceptance and cargo handling operations (focus: transport documents/markings for dangerous goods shipments on international flights in English and language required by State of Origin).
- ☐ **Interviewed** cargo operations personnel that accept/handle dangerous goods shipments.
- ☐ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definition of [State of Origin](#).

Guidance may be found in [DGR Sections 7](#) and [8](#).

CGO 3.2.10

If the Operator transports dangerous goods as cargo, the Operator shall have procedures that ensure dangerous goods are separated from other cargo or incompatible materials in accordance with published category restrictions. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** dangerous goods handling procedures (focus: dangerous goods are separated from other cargo or incompatible materials in accordance with published category restrictions).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo handling operations (focus: procedures that ensure dangerous goods separation from other cargo in accordance with published restrictions).
- ☐ **Other Actions** (Specify)

Guidance

Loading requirements contained in [DGR 9.3.2](#) and [Table 9.3.A](#), primarily address dangerous goods compatibility restrictions on an aircraft. Similar separation requirements are applicable for stowage of these materials in a cargo facility.

Specifications for the segregation of dangerous goods during transportation and aircraft loading/unloading are found in [GRH 3.4.3](#).

CGO 3.2.11

If the Operator transports cargo, the Operator shall ensure, at locations where the operator accepts cargo shipments, notices providing information about dangerous goods transportation are prominently displayed and contain visual examples of dangerous goods, including batteries. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** requirement that ensures notices containing information about dangerous goods are displayed at locations where cargo shipments are accepted for transport.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance operations (focus: display of dangerous goods notices).
- ☐ **Other Actions** (Specify)

Guidance

Where the acceptance of cargo is outsourced to a ground services provider, the provider is responsible for the display of dangerous goods information notices. However, ultimate responsibility

for the safe transportation of dangerous goods, whether cargo is accepted by the operator or a ground services provider, always remains with the operator.

△

CGO 3.2.12

If the Operator transports dangerous goods as cargo, the Operator shall have procedures to ensure any dangerous goods shipment that appears to be damaged or leaking:

- (i) Is not to be loaded on or into a ULD or delivered to an aircraft;
- (ii) Is safely removed from the ULD (or other transport device) by the Provider or other relevant authority, and safe disposal arranged;
- (iii) In the case of leakage, an evaluation is conducted to ensure the remainder of the shipment is in proper condition for transport by air and that no other package, cargo, ULD, other transport device has been contaminated or damaged.

Auditor Actions

- ☐ **Identified/Assessed** procedures for handling/addressing ULDs and leaking/damaged dangerous goods shipments.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected records/documents (focus: handling of leaking/damaged ULDs containing dangerous goods).
- ☐ **Observed** cargo handling operations (focus: procedures that address damaged/leaking ULDs that contain dangerous goods).
- ☐ **Other Actions** (Specify)

CGO 3.2.13

If the Operator transports dangerous goods as cargo on flights using cargo aircraft, the Operator shall have procedures to ensure packages or overpacks containing dangerous goods, and bearing a "Cargo Aircraft Only" label, except those specifically excluded, are transported on cargo aircraft in accordance with any of the following:

- (i) In a Class C compartment, or
- (ii) In a ULD container equipped with a fire detection/suppression system equivalent to that required by the certification requirements of a Class C compartment as determined by the relevant authority, or
- (iii) In a manner that, in the event of an emergency involving packages or overpacks containing dangerous goods, a crew member or other authorized person can access and handle such packages or overpacks and, when size and weight permit, separate them from other cargo. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for handling shipments with "Cargo Aircraft Only" labels.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo handling operations (focus: procedures that ensure shipments with "Cargo Aircraft Only" labels are transported on cargo aircraft in accordance with applicable requirements).
- ☐ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definition of [Cargo Compartment](#), which includes definitions of compartment types by classification.

△

CGO 3.2.14

If the Operator transports dangerous goods as cargo, the Operator shall have procedures that ensure information on dangerous goods to be loaded on a flight is communicated to the appropriate person(s) responsible for load control. Information to be communicated shall include the following:

- (i) If applicable, Air Waybill number;

- △ (ii) Proper shipping name and UN/ID number;
- △ (iii) Class or division, and subsidiary hazards corresponding to label(s) applied, and for Class 1, compatibility group;
- (iv) If applicable, packing group;
- (v) For non-radioactive material, number of packages, exact loading location and, as applicable, net quantity or gross weight of each package, *except*:
 - (a) For UN 1845, carbon dioxide, solid (dry ice): At the option of the Operator, only the UN number, proper shipping name, classification, total quantity in each aircraft hold and offload airport are required;
 - (b) For UN 3480, (Lithium ion batteries) and UN 3090 (lithium metal batteries): At the option of the Operator, only the UN number, proper shipping name, class, total quantity at each loading location, and whether the package must be carried on a cargo-only aircraft are required. UN 3480 (Lithium ion batteries) and UN 3090 (lithium metal batteries) carried under a State exemption shall meet all requirements specified in iv) and v).
- (vi) For radioactive material, number and category of packages, overpacks or freight containers, exact loading locations and, as applicable, transport index and dimensions for each package;
- (vii) Any restriction for transport on cargo aircraft only;
- (viii) Offload airport;
- (ix) If applicable, dangerous goods transported under a state exemption. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for communication of dangerous goods information to load control.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo handling operations (focus: procedures that ensure dangerous goods cargo information is communicated to appropriate person(s) in load control system).
- ☐ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definition of [Load Control](#).

Certain dangerous goods carried as cargo are not required to appear in the information provided to the PIC. Refer to DGR, [Table 9.5.A](#).

CGO 3.2.15–3.2.16 (Intentionally open)

△

CGO 3.2.17

If the Operator transports cargo, the Operator shall have a process to ensure reports are provided to the appropriate authorities of the State of the Operator and the state of occurrence, in accordance with the reporting requirements of the appropriate authorities, for:

- (i) Dangerous goods accidents or dangerous goods incidents;
- (ii) Undeclared or mis-declared dangerous goods discovered in cargo or mail. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** process for reporting dangerous goods accidents, dangerous goods incidents, undeclared or mis-declared dangerous goods.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** selected dangerous goods accident/incident/undeclared/mis-declared reports.
- ☐ **Other Actions** (Specify)

Guidance

Guidance may be found in [DGR 9.6.1](#) and [9.6.2](#).



CGO 3.2.18

If the Operator transports cargo, the Operator shall have a process to ensure a dangerous goods report is made to the appropriate authority of the State:

- (i) When dangerous goods are discovered to have been carried and not loaded, segregated, separated and/or secured in accordance with provisions of the DGR;
- (ii) When dangerous goods are discovered to have been carried as cargo without information as specified in [CGO 3.2.14](#) having been provided to the PIC. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** process for reporting dangerous goods discrepancies (as specified).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Examined** dangerous goods discrepancy reports (focus: reports are submitted to the appropriate authority as specified).
- ☐ **Other Actions** (Specify)

Guidance

Guidance may be found in [DGR 9.6.4](#).

3.3 Live Animals and Perishables

CGO 3.3.1

If the Operator transports live animals and/or perishables as cargo, the Operator shall have procedures that ensure such cargo is accepted and handled in accordance with standards specified in the OM. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for acceptance/handling of live animal and/or perishable cargo shipments.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance and cargo handling operations (focus: live animal/perishable cargo acceptance/handling in accordance with OM).
- ☐ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definition of [CITES \(The Convention on International Trade in Endangered Species of Wild Fauna and Flora\)](#).

Live animal handling procedures and specific responsibilities of an operator with regard to required documentation, acceptance, containers, animal welfare, compliance with all regulations, storage and loading and liability are addressed in the LAR and PCR. Additional requirements may be mandated by the State of Flight Departure, the State of Flight Arrival and/or the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES).

CGO 3.3.2

If the Operator transports live animals as cargo, the Operator *should* have procedures that ensure:

- (i) The acceptance and handling of live animals is in accordance with requirements of the Live Animal Regulations (LAR);
- (ii) The IATA Live Animals Acceptance Check List, or equivalent, is used for the acceptance of live animal shipments. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for acceptance/handling of live animal cargo shipments.
- ☐ **Interviewed** responsible manager(s) in cargo operations.

- ☐ **Observed** cargo acceptance and cargo handling operations (focus: live animal cargo acceptance/handling in accordance with LAR; acceptance checklist is used).
- ☐ **Other Actions** (Specify)

Guidance

The IATA Live Animals Acceptance Checklist is recommended as an effective reference in assisting shippers, agents and operators in preparing live animal shipments for air transportation.

CGO 3.3.3

If the Operator transports perishables as cargo, the Operator *should* have procedures that ensure acceptance and handling of such cargo is in accordance with requirements of the Perishable Cargo Regulations (PCR) and other applicable regulations. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for acceptance/handling of perishable cargo shipments.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance and cargo handling operations (focus: perishable cargo acceptance/handling in accordance with PCR/other applicable requirements).
- ☐ **Other Actions** (Specify)

Guidance

The handling procedures for handling perishable goods and specific responsibilities of an operator with regard to documentation, packaging and classification are addressed in the PCR. Additional requirements may be mandated by local regulations.

CGO 3.3.4

If the Operator transports live animals as cargo, the Operator *should* have procedures that ensure live animals are accompanied by the shipper's certification or equivalent, as well as other required documents. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for acceptance of live animal cargo shipments.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance operations (focus: acceptance procedures that ensure live animal cargo shipments accompanied by shipper's certification/other required documents).
- ☐ **Other Actions** (Specify)

Guidance

Documentation required for live animal shipments includes the shipper's certification, air waybill and, in some situations, CITES (Convention on International Trade in Endangered Species of Wild Fauna and Flora). Some states have additional requirements, which may include health certificates, export or import permits. Refer to guidance contained in the [LAR, 2.2](#).

3.4 Other Special Cargo

CGO 3.4.1

If the Operator transports outsized cargo and/or heavy cargo, the Operator shall have procedures that ensure such cargo is accepted and handled in accordance with standards specified in the OM. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for acceptance/handling of special cargo shipments.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance and cargo handling operations (focus: procedures that ensure other special cargo acceptance/handling in accordance with OM).

- ☐ **Interviewed** cargo operations personnel that accept/handle special cargo.
- ☐ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definition of the [Air Cargo Tariff and Rules \(TACT\)](#).

Guidance for the handling of human remains can be found in the TACT Rules and the Airport Handling Manual (AHM).

Outsized and heavy cargo refers to items that are larger or heavier than can be accommodated on or in a ULD. Standards for handling these items are found in the OM as well as in the Weight and Balance Manual for each aircraft type.

Prior arrangements and specific handling requirements generally apply to all types of special cargo and are incorporated into the OM, including those items identified in this provision, but also emergency medical supplies, live human organs and diplomatic shipments.

CGO 3.4.2

If the Operator transports time and temperature-sensitive healthcare products (e.g. pharmaceuticals), the Operator *should* have procedures that ensure acceptance and handling of such shipments is in accordance with requirements of the Temperature Control Regulations (TCR) and other applicable regulations. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for acceptance/handling of special cargo shipments (focus: includes procedures for time/temperature healthcare products).
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo acceptance and cargo handling operations (focus: procedures for acceptance/handling in accordance with OM).
- ☐ **Interviewed** cargo operations personnel that accept/handle special cargo.
- ☐ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definition of [Temperature Control Regulations \(TCR\)](#).

The procedures for handling time and temperature-sensitive goods, and the specific responsibilities of an operator regarding documentation, packaging and classification, are addressed in the TCR.

Additional requirements may be mandated by local regulations (e.g. EU GDP, US Pharmacopeia).

3.5 Unit Load Device (ULD)



CGO 3.5.1

If the Operator transports cargo using ULDs, the Operator shall have procedures to ensure ULD-related operations, including, but not limited to, ULD build-up/breakdown, transportation, storage and handling, whether performed on or off the airport, are conducted in accordance with the Weight and Balance Manual, and with requirements of the ULD Regulations (ULDR) or other means acceptable to the Authority. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for ensuring ULD-related operations are conducted in accordance with the ULDR or other means acceptable to the Authority.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo handling operations (focus: procedures that ensure ULD-related operations conducted in accordance with W/B manual/ULDR/other applicable requirements).
- ☐ **Other Actions** (Specify)

Guidance

All ULDs are required to meet airworthiness requirements when loaded onto an aircraft, either by certification or by compliance with the Weight and Balance Manual. Adhering to the ULDR is one means (but not the only means) that ULD operations may be carried out in compliance with the requirements of the Weight and Balance Manual.

Essential components of ULD operations typically include:

- Minimum training requirements stipulated in the ULDR;
- Continued airworthiness of ULD during operations;
- Limitations applicable to ULDs;
- Adequate supervision and management of all ULD operations.

Guidance may be found in the applicable chapter of the ULDR.



CGO 3.5.2

If the Operator transports cargo using ULDs, the Operator shall have procedures that ensure ULDs, when accepted and/or loaded for transport, meet safety requirements pertaining to the loading and securing of cargo. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** procedure(s) for ensuring loaded ULDs meet safety requirements.
- ☐ **Interviewed** responsible manager(s) in cargo operations.
- ☐ **Observed** cargo handling operations (focus: procedures for ensuring ULD cargo loading/securing in accordance with applicable safety requirements).
- ☐ **Other Actions** (Specify)

Guidance

Detailed instructions for the safe loading and securing of cargo are contained in the ULDR and address the use of pallets, nets, straps and containers. The ULDR also provides information regarding ULD limitations.

Each state may have additional or varying regulations and specifications.

3.6 (Intentionally open)

CGO 3.6.1 (Intentionally open)

3.7 Security



CGO 3.7.1

If the Operator transports cargo, the Operator shall ensure security measures are implemented in cargo facilities in accordance with requirements of the applicable civil aviation security program. **(GM)**

Note: *This provision is applicable to all facilities where cargo acceptance and/or cargo handling operations are conducted either by the Operator or by external service providers for the Operator.*

Auditor Actions

- ☐ **Identified/Assessed** processes that ensure implementation of security measures at cargo facilities (focus: ensures procedures in accordance with the local civil aviation security program).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Observed** cargo handling operations (focus: implementation of access control measures at cargo facilities in accordance with applicable security requirements).
- ☐ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definition of [Cargo Facility](#).

The intent of this provision is for the operator to ensure the security of all facilities where cargo operations are conducted either by the operator or by an external service provider for the operator. Security measures that address landside and airside facility access for vehicles and personnel, as well as the protection of cargo so as to prevent acts of unlawful interference, would normally be found in the applicable civil aviation security program. Such measures address requirements of applicable regulatory and airport authorities, as appropriate.

At locations where cargo security measures are under the control of an entity for which the operator has no oversight capabilities (e.g. airport authority, law enforcement agency), the operator would have to be aware of this arrangement as well as the details of the access control measures.

△

CGO 3.7.2

If the Operator transports cargo, the Operator shall ensure procedures are in place for the screening of persons and the security control of vehicles in accordance with requirements of the applicable civil aviation security program. Such procedures shall apply to persons and vehicles:

- (i) Under its control that have unescorted access to security restricted areas (in which there is cargo);
- (ii) Not under its control but have unescorted access to such areas as authorized by the Operator. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** processes that ensure access control procedures are applied to unescorted persons/vehicles with access to secured cargo.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Observed** cargo handling operations (focus: procedures that ensure unescorted persons/vehicles with access to known cargo are subjected to screening/security controls).
- ☐ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definition of [Known Cargo](#).

The intent of this provision is for an operator to ensure security procedures are applied to persons and vehicles that have access to security restricted areas where there is cargo (i.e. cargo that has already been screened or had security controls applied, and/or is under protection to prevent unlawful interference).

At locations where cargo security measures are under the control of an entity for which the operator has no oversight capabilities (e.g. government agency, airport authority, law enforcement agency), the operator would have to be aware of this arrangement as well as the details of the access control measures. However, the operator would not have to be directly involved in the implementation of such measures.

CGO 3.7.3 (Intentionally open)

△

CGO 3.7.4

If the Operator transports cargo, the Operator shall have processes for the acceptance of cargo as follows:

- (i) For cargo that can be identified as having the application of screening or other security controls confirmed or accounted for by a regulated agent or an entity approved by the relevant authority (known cargo), a process to ensure such cargo is:
 - (a) Delivered by a regulated agent, a nominated representative of an entity approved by the relevant authority, or a known representative of the operator;
 - (b) Free from any signs of tampering;
 - (c) Accompanied by all required information (paper or electronic) corresponding to the cargo being delivered, including documentation that details the security status (e.g. consignment security declaration);

- (d) Protected from unauthorized interference throughout the chain of custody since the point that cargo gained its secured status;
- (e) Subjected to additional security controls as required by risk assessment.
- (ii) For cargo that *cannot* be identified as having the application of screening or other security controls confirmed or accounted for by a regulated agent or an entity approved by the relevant authority (unknown cargo), a process to ensure such cargo is subjected to screening or other security controls as accepted by the applicable state. **(GM)**

Auditor Actions

- ☐ **Identified/Assessed** process(es) for acceptance of cargo (focus: processes address both known and unknown cargo).
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected cargo shipment acceptance documents.
- ☐ **Observed** cargo acceptance operations (focus: acceptance processes for verifying the security status of known cargo, ensuring application of screening/security control for unknown cargo).
- ☐ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definitions of [Known Cargo](#), [Regulated Agent](#) and [Unknown Cargo](#).

The IATA Security Manual outlines specific provisions covering the basic acceptance of all known cargo to be carried on commercial passenger flights.

The term “entity that is approved by the relevant authority” as used in this provision is non-specific, but could include, for example, a cargo service provider for the operator or, in certain cases, the operator itself. As stated, any such entity must be approved by the relevant authority.

Known cargo, when presented to an operator for transport on an aircraft, has by definition been subjected to screening or appropriate security controls by a regulated agent, an approved entity or the operator. An operator, as a minimum, implements the steps specified in this provision to maintain or protect the “known” status of the shipment from the time the shipment is accepted until it is finally loaded into an aircraft.

All cargo shipments on which the application of screening or security controls has been confirmed and accounted for by a regulated agent or approved entity are required to be accompanied by documentation that states the security status (e.g. consignment security declaration), either in electronic or paper form.

When cargo has been screened or subjected to other security controls as required by a regulated agent or an approved entity prior to acceptance by the operator, the operator, among other protective actions, would typically examine the documentation (e.g. consignment security declaration) and check the shipment for evidence of tampering prior to loading onto the aircraft.

For cargo destined to an EU country, the application of screening or other security controls by a Regulated Agent that holds a current RA3 validation issued by an EU Independent Validator is evidence the agent has approval by the relevant authority.

If for some reason a shipment is not properly maintained or protected in its known status, the shipment then reverts to unknown cargo. In such case, the operator, in order to return the shipment to known cargo status, would have to ensure the shipment is again subjected to the application of screening or other security controls.

Additional guidance may be found in the IATA Security Manual.

CGO 3.7.5 (Intentionally open)

CGO 3.7.6

If the Operator transports cargo, the Operator shall have processes to ensure cargo for transport on any flight is protected from unauthorized interference from the point of acceptance after screening or security controls have been applied until arrival at the airport of destination. **(GM)**



Auditor Actions

- ☐ **Identified/Assessed** process(es) for protecting cargo shipments from unauthorized interference after acceptance.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Observed** cargo handling operations (focus: processes that ensure post-acceptance protection of known cargo from unauthorized interference).
- ☐ **Other Actions** (Specify)

Guidance

△ The operator is responsible for ensuring cargo is protected from unauthorized interference from the point of acceptance and after screening (or after the application of security controls) until loaded onto the aircraft for departure and once unloaded from the aircraft at the destination airport. Such requirements are applicable to any intermediate stop, including fuel or technical stops. The intent of this provision is that such protection is provided at all times when cargo is in the custody of personnel performing cargo operational functions.

See the Applicability box at the beginning of this section for functions within the scope of cargo operations.

CGO 3.7.7

△ If the Operator transports cargo, the Operator shall have a process to ensure transfer cargo has been subjected to appropriate security controls in accordance with requirements of the relevant authority before being transported on an international flight. **(GM)**

Note: *Appropriate security controls may have been applied at the point of original uplift.*

Auditor Actions

- ☐ **Identified/Assessed** process(es) to ensure security controls are applied to transfer cargo.
- ☐ **Interviewed** responsible manager(s).
- ☐ **Examined** selected records of transfer cargo (focus: verification that security controls have been applied).
- ☐ **Observed** cargo handling operations (focus: process to verify appropriate screening/security controls have been applied to transfer cargo).
- ☐ **Other Actions** (Specify)

Guidance

Refer to the IRM for the definition of [Transfer Cargo](#) and [Mail](#).