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**ACTIVITIES OF OTHER ORGANIZATIONS OF INTEREST
TO THE WORKING PARTY***

IRU Security Guidelines

Transmitted by the International Road Transport Union (IRU)

BACKGROUND

The WP.30 expressed, at its one-hundred-and-eight session, an interest in being informed about the security guidelines developed by the IRU for the road transport industry. This document provides a synthesis of the **“IRU Security Toolkit: Voluntary security guidelines for managers, drivers, shippers, operators carrying dangerous goods and customs-related guidelines”**.

* The present documentation has been submitted after the official documentation deadline by the Transport Division due to resource constraints.

INTRODUCTION

Following a decision taken by the IRU governing bodies in April 2004, a Task Force on Security was established with the objective of elaborating voluntary security guidelines for road transport operators.

The guidelines were elaborated in close cooperation with the World Customs Organisation (WCO) and they are intended to complement any existing national co-operative arrangements, such as those designed to address drug trafficking, illegal immigration, Customs and transit fraud and extending such arrangements to issues related to wider security aspects in the international supply chain.

The IRU Security Toolkit should be seen in combination and used together with other IRU security-related tools, such as the IRU-ECMT brochure on guarded parking sites in Europe, the brochure on control and enforcement bodies, the TIR checklists etc., most of which can be accessed on-line on the IRU website.

Although mainly inspired by concerns related to terrorist-related threats, these IRU voluntary guidelines represent an original combination of guidelines addressing both terrorist-related and conventional (theft of cargo and vehicles, attacks on drivers etc.) security.

MAIN OBJECTIVES OF THE GUIDELINES

- To promote increased co-operation between Customs Administrations and road transport operators and their trade associations.
- To encourage the active involvement of the road transport operators in enhancing cargo security in that portion of the supply chain over which it has control.
- To encourage Customs Administrations to facilitate, to the greatest extent possible and consistent with the application of adequate controls, road transport operators' legitimate trade.
- To minimize illegal access to, and use of, commercial trade and transport assets, systems and procedures.
- To increase Customs' ability to detect and forestall specific attempts to commit customs offences in cargo shipments.
- To increase Customs' ability to identify and develop substantive investigative cases involving attempts or conspiracies to commit customs offences.
- To encourage road transport operators to allow Customs Administrations, on reasonable request, access, in accordance with laws or regulations, to commercially held information

about specific shipments, which may be of use for preventive, investigative, or intelligence purposes. This access would, amongst other benefits, enable the identification of the persons directly liable for the customs offences and to take appropriate action against them to obtain the settlement of evaded taxes and duties.

- To assist Customs, the law enforcement community as a whole and society in general, in their efforts against these criminal elements.

KEY PRINCIPLES

The key principles for implementing these guidelines include, but are not limited to, the following:

- Facilitation of transport and trade cannot be ignored, even when security considerations are high on the agenda. It is essential to strike a *proper balance* between security and the facilitation of formalities and procedures, particularly at frontiers.
- All parties, both commercial and official, can contribute towards enhancing the security of the supply chain.
- Security is among the highest corporate priorities for those involved in the international movement of goods.
- Protection of legitimate trade, as well as the honest trade and transport operator, should be a basic principle.
- Communication with internal and external interested parties needs to be established, maintained and improved, if already in place.
- All parties in the supply chain must meet relevant legislative requirements, including those deriving from international treaties and conventions.
- All parties should maintain the highest levels of integrity.
- A management and employee commitment to security based on voluntary security guidelines with clear assignments of accountability and responsibility should be established when appropriate.
- Appropriate and sufficient resources, including information supply and training should be provided to achieve the required security levels.
- Application of voluntary guidelines duly applied and documented should be positively taken into account when the liability of the transport operator is being considered.

- Authorities should endeavour to provide adequate support (or training, advisory, audit etc.) to small and medium-sized companies (SMEs) to enable them to meet security requirements.

CONTENT

Terrorist atrocities around the world have drawn increased attention to the international dimension of terrorism and the possibility of systems involved in the international movement of people and goods being used for terrorist ends.

Equally, criminals have used legitimate trade as a cover for other illicit activities, such as illegal migration, drug trafficking, money laundering, customs and transit fraud, the movement of counterfeit goods and other offences which threaten the well-being of national societies and the international community.

Security Management is an integral part of an organization's overall management system. The structure, responsibilities, practices, procedures, processes, practical measures and resources for implementing security policies, objectives and targets can be coordinated with existing efforts in other areas (e.g. operations, finance, occupational health and safety, environmental care).

This document provides guidelines to establish co-operative voluntary arrangements between Customs Administrations and road transport operators and/or their trade associations to enhance supply chain security and to promote trade and transport facilitation, where road transport operators, being an integrated part of the supply chain, may use these guidelines, possibly in coordination with other management systems:

- To demonstrate their commitment to security in road transport, which is an integral part of the supply chain,
- As a voluntary, internal management tool to develop, implement or improve their Security-Management System,
- To secure the application of simplified, streamlined Customs procedures.

The guidelines contain key principles, objectives and action points for all the aspects influencing on the road transport. For the sake of conciseness, only the action points are reproduced hereinafter.

CONSULTATION, CO-OPERATION AND COMMUNICATION

Action Points:

1. Customs Administrations should encourage regular information exchange and consultation (according to the provisions of Chapter 1 Section 1.3 and Chapter 6 section 6.8 of the Revised Kyoto Convention), at both national and local level, with all parties involved in the international supply chain to discuss matters of mutual interest including Customs regulations, procedures and requirements and facility and consignment security. Customs Administrations which have consultative arrangements should be prepared to co-operate with and advise other Customs Administrations on establishing similar arrangements.
2. Road transport operators and, where appropriate, road trade associations should provide clearly identified and readily accessible local points of contact or a corporate contact that can arrange immediate access to a local contact for all matters identified as of enforcement interest to Customs (cargo bookings, cargo tracking, employee information, etc). Equally, Customs Administrations should provide road transport operators or their agents, including road trade associations, with telephone numbers where senior Customs officials may be contacted in an emergency.
3. Road transport operators, individually or via their industry association, should encourage an open and continuing exchange of information with Customs Administrations, and vice versa.
4. Customs Administrations should establish, in consultation with road transport operators, or their agents, including road trade associations, procedures to be followed in the event of queries or suspected customs offences. Persons directly liable for customs claims should be immediately identified and evaded taxes and duties should be collected from them. In addition, persons directly liable for customs offences should have appropriate legal action taken against them.
5. Road transport operators should notify the appropriate Customs Administration of any unusual or suspicious cargo documentation or abnormal requests for information on shipments. In this case, they should not be penalized or liable for sanctions.
6. Customs Administrations should involve road transport operators and their trade associations in developing a risk management strategy.
7. Road transport operators should provide timely notification to Customs and, where appropriate, to other official stakeholders (such as police, tax authorities, security companies or any other relevant authority/organisation), when employees discover suspect packages or unaccounted cargo. Suspected contraband packages should be secured as appropriate.

8. Customs Administrations should provide feedback on the performance of the road transport operator in addressing security issues related to the international supply chain. Specific needs of small and medium-sized companies (SMEs) should also be taken into account and addressed.

EDUCATION, TRAINING AND AWARENESS

Action Points:

1. Customs Administrations should, upon request, provide road transport operators, including small and medium-sized companies, with information and expert advice to their security, cargo handling and documentation personnel to enable them to recognize and report cases where the circumstances may give rise to suspicion (e.g. risk profile indicators such as weight discrepancies, disappearances, incongruities in payment, package construction, routing, documentation anomalies or inconsistencies).
2. Customs Administrations should offer road transport operators advice regarding the provision of appropriate assistance and educational material to individual companies to:
 - (a) Help them assess their vulnerability to being used for criminal purposes;
 - (b) Develop concrete plans to reduce this vulnerability; and
 - (c) Implement these plans.
3. Road transport operators should make efforts to educate their personnel, with the assistance of Customs Administrations and, where appropriate, their trade and – in the framework of the TIR system - guaranteeing associations, with regard to the dangers of becoming involved in criminal activities and customs offences. The internal sanctions applicable to employees who become involved in such offences refer in general terms to the severe penalties imposed by the appropriate authorities worldwide for such offences.
4. Where practicable, road transport operators should, upon request, be willing to assist Customs Administrations in gaining familiarity with relevant internal information systems and with appropriate training in search methods for those premises and business operations controlled by the company.
5. Educational material and expert guidance on the identification of potentially suspect cargo should be available to facility security, cargo handling and supply chain personnel.
6. Personnel involved in cargo handling, cargo documentation or security should be made aware of signs which may indicate that other employees may be vulnerable to, or subject to, criminal coercion.

Customs officials should seek the advice of road transport operators and/or their trade associations regarding routine transport and consignment documentation procedures.

Customs and other relevant authorities are encouraged to assist road transport industry's own initiatives, such as the development and implementation of voluntary company guidelines, best practices, training accreditation schemes and materials etc. aiming to raise awareness and assist road transport operators in taking appropriate practicable and proportionate preventive measures to minimize risk or misuse of goods or vehicles for terrorist purposes.

INFORMATION, EXCHANGE, ACCESS AND CONFIDENTIALITY

Action Points:

1. The road transport operator should have a company security information document, commensurate with the scale of the associated risk, the specificity and nature of its activity and the size of the company.
2. There should be appropriate physical controls in computer areas.
3. Access to data systems should be controlled by level of job responsibility and level of information security. Employees should be trained in computer system and data security.
4. Computer systems should include processes to backup data and monitor employee use of data systems.
5. Documents should be complete, legible, accurate, and submitted in a timely manner.
6. Road transport operators and Customs Administrations should maintain the confidentiality of commercial and security sensitive information, including road transport operators' security procedures.
7. Customs authorities should give priority to "single-window" or "one-stop-shop" control techniques.
8. Full and timely implementation of electronic data exchange is needed among all partners involved in Customs procedures, in particular to confirm the termination of the Customs processes, e.g. by the application of SafeTIR in the framework of the TIR system.
9. Customs Administrations should inform trade and the transport industry about trends and new patterns of fraud and criminal activities in order to take preventive measures.

CONSIGNMENT SECURITY

Action Points:

1. In case of security-sensitive goods/destinations, the road transport operator should establish clear rules and instruct drivers on the most secure way of taking goods in charge, transporting and delivering them. These may include checking the integrity of loading units at interchange points, checking seals and seal numbers, checking documentation, as well as other relevant monitoring measures. In the event of a discrepancy, a record should be made on the anomaly on consignment related documentation.
2. The road transport operator or its agents, as appropriate, should examine cargo security and control procedures to prevent access to the consignment by unauthorized persons and the incorrect manipulation or handling of shipments by authorized personnel.
3. The Customs Administration should record the seal number or other identifier of physically inspected loading units/containers on the cargo carrier's declaration submitted to them.
4. The road transport operator should examine empty units/containers received for storage (or loading) to ensure that no modifications have been made to their structure.
5. Unless conducting a covert operation, Customs Administrations should ensure that a representative of the organization controlling the consignment is present when cargo is physically inspected or removed for inspection. However, the party with responsibility for the security of the consignment should always be notified of such an inspection as soon as possible after the event in case of subsequent liability claims.
6. When the road transport operator, for whatever reason, is not able to be present when loading or unloading, or if he is unable to check the goods loaded, this fact should be clearly mentioned in the appropriate Customs and/or transport document.
7. Upon receipt or discharge of a cargo consignment, the road transport operator or its agents should notify Customs Administrations of instances where the integrity of the consignment is seen to have been breached.
8. Customs Administration should strive to address specific needs of small and medium-sized companies, including by providing them with necessary advice, information, training etc.
9. Contraband discovered by a road transport operator or its agents' staff should be made secure with minimal handling and immediately reported according to regulations, if related to terrorism or criminal activity. (Actions and cooperation by transport operator, duly applied and

documented, should be positively taken into account when the liability of the transport operator is being considered).

SECURITY OF THE MEANS OF TRANSPORT

Action Points:

1. The road transport operator should strive to install, regularly check and instruct drivers on the proper use of security equipment.
2. Customs Authorities should pay specific consideration to security aspects when inspecting vehicles and containers for acceptance/approval for international transports under Customs seals.
3. The road transport operator or its agents, as applicable, should establish security and control procedures to discourage unauthorized persons from gaining access to their vehicle.
4. The road transport operator should secure internal/external compartments and panels.
5. The road transport operator should establish security and control procedures limited to the minimum necessary for the safe and efficient working of the carrier and access to the means of transport.
6. The road transport operator should consider potential places of concealment of illegal or illicit goods on board the vehicles and ensure that these places are regularly inspected. Log entries should be made following such inspections indicating the areas inspected.
7. The road transport operator should have procedures for reporting on unauthorized personnel, non-manifested materials, or signs of tampering of a conveyance or vehicle.
8. Customs Administrations should strive to address specific needs of small and medium-sized companies, including by providing them with necessary advice, information training, etc. related to vehicle security.

SECURITY ON PREMISES

Action Points:

1. The road transport operator should as far as possible:
 - (a) Ensure that only authorized persons, vehicles and goods are permitted access to their facilities and that goods within their facilities are not tampered with.
 - (b) Maintain appropriate peripheral and perimeter barriers.

- (c) Restrict access to document or cargo storage areas.
- (d) Develop procedures to challenge unauthorized or unidentified persons.
- (e) Where appropriate, maintain appropriate electronic security systems, including theft alarm systems, access control systems, closed circuit television (CCTV).
- (f) Clearly identify restricted areas.
- (g) Control and record private vehicle access to their facilities.
- (h) Limit the parking of vehicles (except those carrying cargo to and from facilities) to designated areas effectively segregated from active cargo handling facilities. Employee parking should be separate from visitor parking.
- (i) If feasible and practicable, issue a dated pass to all vehicles given one-time access to a restricted facility and limit parking to approved and controlled areas, recording license plate numbers and supply Customs with these upon request.
- (j) Permit only authorized personnel and vehicles displaying proper identification to be within cargo holding areas and in proximity to equipment.
- (k) On request, allow Customs access to security monitoring systems.
- (l) Subject to national legislation, provide information to Customs Administrations on request, of any sub-contractors working at facilities, and any company supplying support services.

2. Customs Administrations should:

- (a) Monitor and encourage high security standards on road transport operator premises and at approved clearance points.
- (b) Provide advice to road transport operators on raising security standards at their facilities.
- (c) Arrange for reports of suspect consignments or persons with minimum delay to, or interference with, the movement of legitimate trade.
- (d) Inform road transport operators and road trade associations of the latest Customs Administrations' experience and knowledge of seals and other tamper-proof devices and other security measures.
- (e) Address specific needs of small and medium-sized companies and provide them with the necessary advice, information training, etc.
- (f) Consider obtaining listed data on vehicles, persons etc. which are allowed regular access to facilities by automated means with minimum inconvenience to operators.

PERSONNEL SECURITY

Action Points:

1. The road transport operator should pay special attention to recruiting staff, including by integrating security duties in employment contracts and job descriptions. Where national legislation permits, all reasonable precautions should be taken when recruiting new staff to check identification and references and verify that they have not been previously convicted for security-related or customs offences or have a history of drug abuse, in accordance with national legislation.
2. The road transport operator should ensure that all employees receive appropriate information and training on security matters.
3. Appropriate road transport operator personnel should be trained/informed to recognize indications that an employee may be susceptible to pressures from criminal elements and to be aware of the appropriate action to be taken if suspicions arise.
4. The road transport operator and Customs Administrations should, where appropriate, and in accordance with national legislation, conduct periodic background checks on employees working in security sensitive positions, noting unusual changes in an employee's apparent social and economic situation.
5. The road transport operator and Customs Administrations should ensure the integrity of their employees and establish a mechanism enabling the proper investigation of suspected lack of integrity.
6. The road transport operator should seek to raise awareness of security issues amongst their employees.

TRADING PARTNER SECURITY

Action Points:

1. When entering into contract arrangements with trading partners/suppliers/contractors in an international supply chain, the road transport operator should raise its partners' awareness of security issues and incorporate security provisions in those contracts, if the parties concerned agree.
2. Such contract provisions should encourage trading partners/suppliers/contractors to assess and enhance, if required, their supply chain security.

3. The road transport operator should avoid, to the extent possible, oral or written transport contracts that foresee cash payment.
4. Customs and other authorities should provide information when requested by traders or transport operators on the reliability of their commercial partners, when legally possible.
5. Before entering into contractual relations, the transport operator should check the commercial details of its clients.
6. The transport operator should exercise extreme caution in case of
7. Clients offering cash incentives for the transport of goods over and above the market price;
8. Clients offering the transport of goods that have passed their “sell by date” or are past the storage date;
 - (a) Clients offering the transport of goods with low value, making any commercial transaction uneconomic;
 - (b) Illogical routing instructions because they entail a detour from the direct route to the delivery point;
 - (c) Requests for a transport of high value goods in general and in particular if from a company that is not normally engaged in such activities.

CRISIS MANAGEMENT AND DISASTER RECOVERY

Action Points:

1. The road transport operator should develop and document, in conjunction with the appropriate authorities, contingency plans for emergency security situations and for disaster recovery in the event of a security incident.
2. Emergency plans should include periodic training of employees and testing of the plan.
3. Customs Authorities should strive to provide assistance to operators who are seeking to develop standard security plans and other similar security-related measures. Furthermore, application of voluntary guidelines, duly applied and documented, should be positively taken into account when the liability of the transport operator is being considered.

MEASUREMENT, ANALYSES AND IMPROVEMENT

Action Points:

1. The road transport operator should make an assessment of the security risks in their operations and take appropriate measures to mitigate those risks.
2. The road transport operator should conduct regular self-assessment of its Security Management System.
3. The road transport operator should document the self-assessment procedure and the responsible parties. Where appropriate, Customs Administrations should provide self-assessment guidelines to ensure consistency.
4. The road transport operator should continuously monitor and, where applicable, measure the implementation and the effectiveness of its Security Management System. When planned results are not achieved, possible corrective action should be identified and a plan for their improvement developed for inclusion in the revised Security Management System.
5. Top management should review the Security Management System, at planned intervals, to ensure its continued adequacy. Records from management reviews should be maintained and stored.
6. The management review should include assessment results, feedback from the designated parties, recommendations for possible enhancements to be incorporated in a plan for the forthcoming period to ensure continued adequacy of the Security Management System.

CONCLUSION

The IRU Security Toolkit is meant to be not only a technical instrument to raise awareness and assist road transport operators in taking appropriate practicable and proportionate preventive measures to minimize risk of theft or misuse of goods or vehicles for terrorist purposes, but it should also become a political instrument to demonstrate to society, politicians and partners in the public and private sectors the road transport industry's commitment and responsible behaviour. This document also proves the potential that exists within the road transport industry to further develop and improve its capacity to anticipate and react to both conventional and terrorist-related threats.

The IRU will very soon publish and make available for all interested partners its Security Toolkit in English, French, German and Russian languages.
