



IATA e-freight Special Cargo Functional Specifications <IATA Cargo> <IDFS> <07/10/2008>

DOCUMENT CONTROL & DISTRIBUTION

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Table of Contents

1 Introduction	3
1.1 Objective	3
1.2 Definitions.....	4
1.3 Special Handling Codes.....	5
2 Special Cargo	5
2.1 Dangerous Goods	5
2.1.1 General rules on documents (DGR Section 8.0.1).....	5
2.1.2 Exceptions.....	6
2.2 Live Animals (LAR Chapter 7).....	8
2.3 Perishables (PCR Chapter 7).....	9
3 Summary Table	11

1 Introduction

This paper aims at assessing if IATA's e-freight can support the carriage of special cargoes. It is not intended to analyse if the documents specifically required for the transport of special cargo can be replaced by electronic messages. Those documents are still required in paper to accompany cargo with a plan to have the Shipper's Declaration for Dangerous Goods in electronic format at a later stage (target end of 2009). By bringing into scope new type of shipments, i.e. special cargo, the volumes of cargo carried under e-freight will increase.

The conclusions discussed below are the result of an analysis of:

- International Civil Aviation Organization (ICAO) Technical Instructions for the Safe Transport of Dangerous Goods by Air (ICAO TI), 2009-2010 Edition;
- IATA Dangerous Goods Regulations, 50th Edition (DGR);
- IATA Live Animals Regulations, 35th Edition (LAR);
- IATA Perishable Cargo Regulations, 8th Edition (PCR).

The IATA Dangerous Goods Regulations contain all of the requirements of the Technical Instructions. IATA has included additional requirements, which are more restrictive than the Technical Instructions and reflect industry standard practices or operational considerations.¹ This paper will generally refer only to the IATA DGR although the applicable International Civil Aviation Organization (ICAO) Technical Instructions references are included for completeness.

This paper does not consider local regulations. Therefore, it is strongly advised that such local regulations are also assessed for every location.

1.1 Objective

The objective of this paper is to summarize the paper documentary requirements for the transport of Special Cargo, taking into account the current documents in scope for IATA's e-freight.

The ultimate goal is to determine when and what types of special cargo can be carried under e-freight either in a slim pouch (EAP) or without a pouch (EAW) and still be compliant with the relevant regulations.

¹ IATA Dangerous Goods Regulations, Section 1, 1.1.4

1.2 Definitions

AIR WAYBILL: Air waybill is paper a document made out by or on behalf of the shipper which evidences the contract between the shipper and carrier(s) for carriage of goods over routes of the carrier(s) and which is identified by the airline prefix issuing the document plus a serial number.

CONSIGNMENT: Is equivalent to the term “shipment”, means one or more pieces of goods accepted by the airline from one shipper at one time and at one address, receipted for in one lot, and moving on one air waybill or one shipment record to one consignee at one destination address.

DANGEROUS GOODS: Articles or substances, which are capable of posing a risk to health, safety, property or the environment, which are shown in the list of dangerous goods in the Regulations or which are classified according to the Regulations.²

FLIGHT MANIFEST: Details of consignments loaded onto a specified flight.

HOUSE MANIFEST: Would contain similar information as a CARGO MANIFEST. For the purpose of the House Manifest this would list information for the house waybills associated with the forwarders consolidation.

HOUSE WAYBILL: The document made out by an agent / consolidator which evidences the contract between the shipper and the agent/consolidator for the arrangement of carriage of goods

PERISHABLES: Any goods which when not maintained within certain conditions, elements or other criteria as defined by their life cycle, lose their inherent properties or essential quality components thereof and as a consequence can no longer perform as originally intended.³

RECEIPT FOR THE CARGO (also referred to as Cargo Receipt): A document⁴ which is provided to the shipper, upon shipper's request, by the Carrier creating a shipment record as a substitution for the issuance of an air waybill and which permits identification of the shipment.

SHIPMENT RECORD (e-AWB): Any record of the contract of carriage preserved by Carrier, evidenced by means other than an air waybill.

For the purposes of this paper the Shipment Record must follow the latest version of IATA Cargo Shipment Record Functional Specifications. It consists of the FWB message as confirmed or modified by the FSU/RCS.

SLIM POUCH: is one that contains any other document than those in scope for IATA e-freight.

² IATA Dangerous Goods Regulations, 50th Edition.

³ IATA Perishable Cargo Regulations Manual 8th ed. Nomenclature

⁴ Paper or electronic

SPECIAL CARGO: is defined as where other government agencies (OGA), as well as Customs Administrations, are involved in the permission to import and export.

1.3 Special Handling Codes

In order to identify IATA e-freight shipments, IATA has developed 2 new special handling codes to be included in the FWB message:

EAW "IATA e-freight Consignment with No Accompanying Documents"

EAP: "IATA e-freight Consignment with Accompanying Documents"

2 Special Cargo

2.1 Dangerous Goods

The IATA Dangerous Goods Regulations are based on the International Civil Aviation Organization (ICAO) Technical Instructions for the Safe Transport of Dangerous Goods by Air (Technical Instructions). The Technical Instructions requires, with a few specific exceptions, that the shipper provide two copies of the dangerous goods transport document (DGTD) to the operator (airline/carrier) when offering such goods for transport by air (ICAO TI Part 5, Chapter 4.1.1).

Although almost all countries have adopted the provisions of the ICAO TI into law through a simple reference in a country's civil aviation regulations, it is recommended that new locations implementing e-freight validate the conclusions shown below with the location transport authority.⁵

IATA DGR require that any shipment containing dangerous goods must be accompanied by an air waybill and, with a few exceptions, a Shipper's Declaration for Dangerous Goods (DGD) (DGR 8.0.1).

2.1.1 General rules on documents (DGR Section 8.0.1)

As mentioned above, IATA's Dangerous Good Regulations contemplate 2 documents to accompany a shipment containing dangerous goods, the AWB and the Shipper's Declaration for Dangerous Goods (DGD).

2.1.1.1 Air waybill – Handling Information (DGR reference 8.2.1).

An air waybill accompanying dangerous goods that require a DGD must include in the "Handling Information" box a statement to the effect "Dangerous goods as per attached Shipper's Declaration" or "Dangerous goods as per attached DGD".

⁵ During the course of this investigation, it was determined that there are two countries at least that take a different approach: Canada and the United States. Both of these countries have national laws that cover the transport of dangerous goods by all modes of transport. However, both countries in their national laws allow for the transport of dangerous goods by air where it is in accordance with the provisions of the ICAO TI.

Where dangerous goods are restricted to Cargo Aircraft Only then the statement "Cargo Aircraft Only" or "CAO" must be included.

If the paper AWB is replaced by a Shipment Record (e-AWB) the relevant information must be included in the FWB message and no paper AWB is needed.

2.1.1.2 Shipper's Declaration for Dangerous Goods

Unless otherwise provided, a Shipper's Declaration for Dangerous Goods must be completed for each and every shipment containing dangerous goods as defined or classified according to the Regulations (DGR).

The DGD must be made out in 2 copies. It must contain the AWB number. One must be forwarded with the shipment

This means slim pouch i.e. EAP in case the e-AWB is implemented.

The purpose of the information provided by the shipper on the Shipper's Declaration, and where a Shipper's Declaration is not required, on the Air Waybill as described in paragraph 2.1.2 – Exceptions, is to ensure that the carrier can:

- (a) by use of a dangerous goods acceptance checklist validate, to the extent possible, that the dangerous goods consignment is in compliance with the requirements of the DGR;
- (b) complete the written information to the Pilot-in-Command (NOTOC) as required by DGR 9.5.1.1.1 (ICAO 7;4.1.1) for dangerous goods;
- (c) in the event of an inspection or audit by the regulatory authority provide evidence that dangerous goods consignments accepted for carriage are in compliance with the regulatory requirements; and
- (d) provide information to emergency responders in the event of an incident or accident involving the dangerous goods.

Effective 1 January 2009, the requirements for a paper Shipper's Declaration (dangerous goods transport document) in the ICAO Technical Instructions and IATA DGR have been revised to permit, with the agreement of the carrier, the shipper to provide electronically, the information contained on the Shipper's Declaration. It will therefore be possible to replace the paper DGD by e-DGD and so remove the pouch i.e. EAW.

2.1.2 Exceptions

There are cases where dangerous goods are not required to have a Shipper's Declaration for Dangerous Goods and an AWB as shown below.

2.1.2.1 Dry Ice

- Air waybill – Nature and Quantity of the Good box

DGR Packing Instruction 904 and 8.2.3 (ICAO TI PI 904) requires that alternative written documentation must be supplied (by the shipper) containing the following information: "dry ice" or "carbon dioxide, solid", Class 9, UN 1845, the number of packages and the weight of dry ice in each package. The information supplied by the shipper allows the carrier to complete the NOTOC, there is, however, no requirement for the written information to accompany the

consignment, provided that the information is available to other carriers in the event of transshipment.

If the paper AWB is replaced by a Shipment Record (e-AWB) the relevant information must be included in the FWB message and no paper AWB is needed. In addition, where the original paper AWB is retained by the carrier at point of origin and the information from the Master AWB then transmitted by the FWB message, the FWB must contain the relevant information.

- Shipper's Declaration for Dangerous Goods

It is not required when it is used as a refrigerant for perishables.

This means no pouch i.e. EAW in case the e-AWB is implemented provided the shipment meets the requirements of DGR 8.2.3.

Otherwise it must be included in the DGD when used as a refrigerant for dangerous goods.

This means slim pouch i.e. EAP in case the e-AWB is implemented.

2.1.2.2 Dangerous goods in excepted quantities (DGR Section 2.7)

- Air waybill – (DGR 2.7.8.2)

IATA requires that the AWB contain the words "Dangerous goods in excepted quantities" and the number of packages must be indicated. This information must be shown in the "Nature and Quantity of Goods" box on the AWB.

If the paper AWB is replaced by a Shipment Record (e-AWB) the relevant information must be included in the FWB message and no paper AWB is needed.

In addition, where the original paper AWB is retained by the carrier at point of origin and the information from the Master AWB then transmitted by the FWB message, the FWB must contain the relevant information.

- Shipper's Declaration for Dangerous Goods

A Shipper's Declaration is not required (DGR 2.7.8.1).

This means no pouch i.e. EAW in case the e-AWB is implemented provided the shipment meets the requirements of DGR 2.7 (ICAO TI 3;5).

2.1.2.3 Excepted packages of radioactive material

- Air waybill

DGR 10.8.8.3 (ICAO TI 5;4.4) requires that "excepted packages of radioactive material must be shown on the air waybill or other similar document (such as a consignment note)". The information required is the UN number and proper shipping name.

This means that paper AWB is required and e-AWB cannot be implemented and so IATA e-freight cannot be implemented for such special cargo.

- Shipper's Declaration for Dangerous Goods

No Shipper's Declaration is required.

2.1.2.4 Infectious substances in Category B (UN3373)

- Air waybill

DGR Packing Instruction 650 (ICAO TI PI 650) requires that if an Air Waybill is used, the "Nature and Quantity of Goods" box must show: "Biological substance, Category B" and "UN 3373". The name and telephone number of a responsible person must be provided on the Air Waybill or on the package.

If the paper AWB is replaced by a Shipment Record (e-AWB) the relevant information must be included in the FWB message and no paper AWB is needed. In addition, where the original paper AWB is retained by the carrier at point of origin and the information from the Master AWB then transmitted by the FWB message, the FWB must contain the relevant information.

- Shipper's Declaration for Dangerous Goods

No Shipper's Declaration is required.

This means no pouch i.e. EAW in case the e-AWB is implemented provided the shipment meets the requirements of DGR PI 650.

2.2 Live Animals (LAR Chapter 7)

- Air waybill (LAR 7.2)

There must be a statement on the AWB to the effect "Shipper's Certification for Live Animals Attached" and also a 24-hour emergency telephone number (including Country and area codes as applicable). This information must appear in the Handling Information box. The AWB must contain in the Nature and Quantity of Goods box, the common name of the animal in English (apart from any other language), the quantity of animals in the consignment must be stated.

There is no legal requirement for an AWB to accompany the consignment. Live animals must not be entered on the same air waybill as other commodities (LAR 7.2).

If the paper AWB is replaced by a Shipment Record (e-AWB) the relevant information must be included in the FWB message and no paper AWB is needed.

If the paper AWB is replaced by a Shipment Record (e-AWB) the relevant information must be included in the FWB message and no paper AWB is needed. In addition, where the original paper AWB is retained by the carrier at point of origin and the information from the Master AWB then transmitted by the FWB message, the FWB must contain the relevant information.

- Shipper's Certification for Live Animals

A Shipper's Certification for Live Animals must be completed for each shipment. (LAR 7.1.1)

This means slim pouch i.e. EAP in case the e-AWB is implemented.

- Other documents (LAR 7.4.1)

Any specimen of a species included in one of the Convention on International Trade of Endangered Species (CITES) three appendices must be accompanied by a CITES document. The only exception is, in a limited number of cases, for personal or household effects.

A CITES document can be one of the following:

- export permit;
- import permit (only required for Appendix I species);
- re-export certificate;
- certificate of origin (only for Appendix III species);
- certificate of introduction from the sea;
- certificate of captive breeding;
- certificate of artificial propagation or phytosanitary from some Parties;
- pre-Convention certificate
- certificate for live animals belonging to a travelling exhibition;
- label for exchange between registered scientists or scientific institutions (not for live animals).

LAR 7.5 (new wording applicable as of 36th edition effective 1 Oct 2009

“The shipper is responsible for providing the applicable original health declarations and permits required by the national authorities of the countries of export, transshipment and import. When such documents are forwarded with the consignment the original set of the health documentation must be securely attached to the air waybill. In the absence of an air waybill, the original set of health documentation must be securely attached to the animal container and appropriately marked unless specific country requirements dictate otherwise. A duplicate set of documents may be attached to the outside of the animal container to facilitate handling process. A duplicate set can also serve as the airline’s file/station copy.”

This means slim pouch i.e. EAP in case the e-AWB is implemented.

2.3 Perishables (PCR Chapter 7)

- Air waybill (PCR 7.1)

It is essential that air waybills for perishable shipments be complete and accurate in all respects.

The “Shipper’s Name and Address” and “Consignee’s Name and Address” boxes must show the full name and address, not abbreviated versions. It is recommended that phone numbers be shown for both shipper and consignee.

In the “Handling Information” box, only handling information required by the airlines is to be inserted. The entry shall be as clear and concise as possible, and understandable by all parties involved in movement of the shipment. The use of IATA three-letter handling codes is recommended (see section 7.2).

The “Nature and Quantity of Goods” box should show an accurate description.

Dry ice is classified as dangerous goods. When shipped in or with perishable cargo as a refrigerant, the air waybill must contain the entries required under the IATA Dangerous Goods Regulation.

If the paper AWB is replaced by a Shipment Record (e-AWB) the relevant information must be included in the FWB message and no paper AWB is needed. However, where the original paper AWB is retained by the carrier at point of origin and the information from the Master AWB then transmitted by the FWB message, the FWB must contain the relevant information.

- Government Documents (PCR 7.5)

Government documents accompanying the shipment must be recorded on the air waybill, and firmly attached to the air waybill. However, some shippers like to include a duplicate copy of health certificates or other official permits with the goods.

This means slim pouch i.e. EAP in case the e-AWB is implemented.

3 Summary Table

Completion of an Air Waybill for the carriage of any special cargo must be in compliance with international regulations and with all IATA regulations in particular the IATA Dangerous Goods Regulations, IATA Live Animals Regulations and IATA Perishable Cargo Regulations.

	Type of Cargo	e-Freight	EAW/EAP	AWB completion ⁶
Dangerous Goods	Dangerous Goods (except 1&2)	✓	EAP	"Handling Information" box 21: "Dangerous goods as per attached Shipper's Declaration" or "Dangerous goods as per attached DGD"
	Dangerous Goods not requiring a Shipper's Declaration (1)	✓	EAW	"Nature and Quantity of Goods" box 22I: "Dangerous goods in excepted quantities" OR "Biological substance, Category B" and "UN 3373" OR "Dry Ice" or "Carbon Dioxide, Solid", Class 9, UN 1845, number of packages and weight of dry ice in each package
	Radioactive Material, Excepted Packages (2)	✗	✗	✗
	Live Animals	✓	EAP	"Handling Information" box 21: "Shipper's Certification for Live Animals Attached" and a 24-hour emergency telephone number (including Country and area codes as applicable); "Nature and Quantity of Goods" box 22I: common name of the animal in English (apart from any other language), the quantity of animals
	Perishables	✓	EAP	"Handling Information" box 21: "Shipper's Name and Address" and "Consignee's Name and Address" boxes 2 & 4 must show the full name and address, not abbreviated versions

⁶ As per IATA Cargo Services Conference Resolutions Manual Resolution 600a – Attachment 'B' Section 4 "In case of transmission of the content of the air waybill boxes via electronic means, either the "FWB" message, as described in the IATA/ATA Cargo Interchange Message Procedures (Cargo-IMP) Manual (Resolution 670, Attachment 'A'), or the IFTMIN message, as described in the IATA Cargo-FACT Message Manual (Cargo-FACT) (Recommended Practice 1672, Attachment 'A'), shall be used. Where such data is transmitted by an Agent, this shall be in accordance with Resolution 833, Paragraph 2.4, of the Cargo Agency Conference".