KnowledgeBase

Supporting conflict-sensitive humanitarian logistics and ethical procurement
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Introduction
Introduction to the KnowledgeBase

Who are these materials for?
These materials are primarily intended to be used by trainers in the EthicalCargo project.

These materials can also be provided to those participating in a Train the Trainers workshop, though the materials should be selected for relevance.

The materials are also intended to be used by other training initiatives/organisations where opportunities are identified for embedding the training into existing training courses.

How should these materials be used?
There is a broad training introduction intended for use when planning a large workshop. Smaller training, or “outreach” sessions do not require as much planning, especially if the sessions are given at the participants’ organization’s offices rather than a separate venue and if all participants are from the same organization.

No training session should ever be given without adapting the training materials to the audience. Content may need to be changed to fit different time frames or to meet different expectations – several trainings given already have been combined versions of General Awareness and Introduction modules, reduced to just 25 minutes of presentation in order to facilitate greater discussion time.

For each training module there is a session plan, which should provide the basis for planning the session itself, a slide presentation and a “speech” to explain each slide in turn.

Trainers should develop a new session plan in collaboration with the organizer/participants to ensure that their expectations are met.

Handouts have been created for each session and there is a further reading list which can be used by the trainer for background reference, as pre-session reading material or as a further reading list for participants at the end of the training.

Contact
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Organizing training

Each training will be different, but the main factor in deciding how much organisation it will take is whether EthicalCargo is responsible for organising the venue and participant attendance.

Training is divided into two broad types:

- **“Presentations”** - normally made at pre-organised events; no longer than 90 minutes (usually the introductory modules)
- **“Workshops”** - typically involve some group work, at least two 60-90 minute sessions with a break of 15 minutes in between.

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**Presentations at pre-organised events**

Delivering a training at a pre-organised event takes less organisation time and instead requires a lot of double-checking with the organisers about how the training will be hosted and who is responsible for what so that nothing important (e.g. list of participant email addresses) is lost.

**Be sure to:**

- Identify the main point of contact and identify if there is a separate person to be contacted for administrative issues.
- Get as much information on the background and expectations as possible.
- Double-check what facilities are provided (see the checklists below and adapt them to the training).

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**Workshops**

The preparation for a successful workshop should begin 6-8 weeks before the training takes place. Even if the workshop itself is short, this amount of time is needed in order for participants to accept invitations and organise their travel (particularly if flights are involved).

There should always be a host organisation to liaise with who will provide the venue unless the workshop is happening in Sweden. Although EthicalCargo can take on board some of the administration even if the training is to be held abroad, it is generally better if the host is responsible for getting together the list of participants and sending them the important information, cc’ing EthicalCargo into the communications.
**Organisation checklists**

The following checklists can be copied and adapted. Do not send these checklists to hosts without modifying them. They are aimed at long workshops (a full day) that are held outside of Sweden and contain considerable group work. For more “formal” presentation-style training held in venues regularly used for meetings, the checklists can be cut down considerably.

**Timeframe**

<table>
<thead>
<tr>
<th>Deadline (weeks before)</th>
<th>Task</th>
<th>Who is responsible?</th>
<th>Task complete?</th>
</tr>
</thead>
<tbody>
<tr>
<td>7</td>
<td>Training requested and agreed</td>
<td>EthicalCargo / Host</td>
<td></td>
</tr>
</tbody>
</table>
| 6                       | EthicalCargo focal point identified – this should ideally be someone who is going to run the training  
Host focal point identified – usually one person for issues surrounding training content the event itself and another person who will handle administrative issues such as travel, venue preparation etc. | EthicalCargo / Host       |                |
| 6                       | Information Support Package sent to host focal points                | EthicalCargo              |                |
| 6                       | Objective of training identified and target audience agreed          | EthicalCargo / Host       |                |
| 6                       | Agreement on responsibilities (especially costs) signed off between EthicalCargo and Host | EthicalCargo              |                |
| 5                       | Host focal person takes action according to checklists 1-4           | EthicalCargo / Host       |                |
| 5                       | Participants identified and invitations sent out (see checklist 1)   | EthicalCargo / Host       |                |
| 5                       | If EthicalCargo is to employ a consultant trainer, the contract should be signed no later than 4 weeks before the training. | EthicalCargo              |                |
| 4                       | Venue identified (see checklist 2)                                   | Host                      |                |
| 3                       | Confirmation of attendance received from participants.              | EthicalCargo or Host      |                |
|                         | Participant letter with practical information (checklist 1) sent out to participants  
Participant profile form sent to participants (see form) | EthicalCargo or Host      |                |
| 2                       | Any training documents that should be printed by the host if they are too heavy to be carried by the trainers to the venue should be identified and sent in electronic version. | EthicalCargo              |                |
| 2                       | Pre-arrival tasks for trainers completed (see checklist 2)           | Host                      |                |
# Checklist 1: Invitations

<table>
<thead>
<tr>
<th>Action</th>
<th>Task</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identifying participants</td>
<td>• Why is this training needed and who will participate? (hence objective)?</td>
</tr>
<tr>
<td></td>
<td>• Identify participants to invite</td>
</tr>
<tr>
<td></td>
<td>• Clarify with partners and participants who will be responsible for accommodation + expenses arrangements</td>
</tr>
<tr>
<td>Invitations</td>
<td>Send invitations, including the following information:</td>
</tr>
<tr>
<td></td>
<td>• The objective of the training, time, venue, practical information about accommodation and/or joint transport etc.</td>
</tr>
<tr>
<td></td>
<td>• The language of instruction and if necessary, how language needs will be addressed</td>
</tr>
<tr>
<td></td>
<td>• In case interpretation is needed, agree with host how this will be organised</td>
</tr>
<tr>
<td>Confirmation letter</td>
<td>Confirm the participation and provide each participant with following information:</td>
</tr>
<tr>
<td></td>
<td>1. Venue (name, address)</td>
</tr>
<tr>
<td></td>
<td>2. Time and date (emphasise the starting time.)</td>
</tr>
<tr>
<td></td>
<td>3. Costs (if participants pay)</td>
</tr>
<tr>
<td></td>
<td>4. Meals provided for</td>
</tr>
<tr>
<td></td>
<td>5. Accommodation</td>
</tr>
<tr>
<td></td>
<td>6. Means of transportation</td>
</tr>
<tr>
<td></td>
<td>Training Information:</td>
</tr>
<tr>
<td></td>
<td>1. Pre-training reading if possible</td>
</tr>
<tr>
<td></td>
<td>2. Full attendance is required at all sessions to prevent disruption (if important)</td>
</tr>
<tr>
<td></td>
<td>Include the Participants Profile and ask participants to fill it in and return it to EthicalCargo and/or host. Deadline for host returning it is 3 weeks before training</td>
</tr>
<tr>
<td>Write a participants list / registration form</td>
<td>Include name, contact details, agency, email address, mobile phone, position/occupation</td>
</tr>
</tbody>
</table>
## Checklist 2: Venue

<table>
<thead>
<tr>
<th>Venue</th>
<th>Check/ensure</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Facilities</strong></td>
<td>• Close to the accommodation&lt;br&gt;• Satisfactory security&lt;br&gt;• Modest and quiet&lt;br&gt;• If hot, air conditioning or fans available</td>
</tr>
<tr>
<td><strong>Space</strong></td>
<td>• Must be big enough for all participants and group work as participants will work in 4-5 small groups&lt;br&gt;• If available small meeting rooms for group work could be a helpful&lt;br&gt;• With windows that open for fresh air and daylight if possible</td>
</tr>
<tr>
<td><strong>Catering</strong></td>
<td>• Good facilities for tea and/or lunch&lt;br&gt;• Arrange for tea/coffee at break (and inform the focal point at the venue about the exact times for breaks)&lt;br&gt;• Arrange for drinking water during the workshop&lt;br&gt;• Arrange for lunch (make sure special needs such as vegetarians, Muslims etc are considered)&lt;br&gt;• Discuss with trainers if a group dinner for all participants is interesting – useful for networking</td>
</tr>
<tr>
<td><strong>Security</strong></td>
<td>• Assess security in venue and clarify security arrangements for trainers/participants in case of emergency/evacuation</td>
</tr>
<tr>
<td><strong>Technical support</strong></td>
<td>• 1 AA Screen and a data projector&lt;br&gt;• 4 Flipchart stands if possible (one for each group to use). If not available a minimum of 2.&lt;br&gt;• Flipchart paper (see stationery list)&lt;br&gt;• 1 Whiteboard + whiteboard pens (see stationery list)&lt;br&gt;• Extension cords/ connectors and cables&lt;br&gt;• Broad scotch tape for taping cables</td>
</tr>
<tr>
<td><strong>Stationery</strong></td>
<td>• All stationary to be present in the venue the day before the training starts</td>
</tr>
<tr>
<td><strong>Host information</strong></td>
<td>• The trainers need a range of materials to be photocopied. Field offices with limited printers are advised to look into the option of using a professional print-agency as it will often reduce costs&lt;br&gt;• The trainers require administrative assistance before and during the training. An admin focal point should be appointed to assist the trainers with the preparations needed for the training such as copying, translating etc&lt;br&gt;• All stationary/equipment should be available to the trainers 2 days before the training</td>
</tr>
</tbody>
</table>
Introduction

**Venue set-up**

This venue set-up is aimed at training with group work. In most situations where presentation-style training is given, rooms will probably have fixed layouts (often tables set out in a “U” shape with the projector screen at the top of the “U”) and, unless the training is more than half a day, it will be easier to leave them as they are.

(Suggestion taken from NRC Camp Management training)

**Checklist 3a: Stationary**

- 1 packet A4-Paper for possible printing / notes
- Ordinary pens (ball points)
- Post-it notes (big and small) 5 packets of each
- 25 Flipchart pens in assorted colours (green, blue, red, black )
- 8 magnets for putting up the flip charts on the whiteboards
- Duster for whiteboard
- Blue tac (for posting flipcharts on the wall)
- 2-3 broad masking tape (app. 5 cm) for taping down cables or taping up sheets of flip chart paper
- 2 – 3 Scotch tape (regular)
- Stapler, staples, hole puncher, paper-clips
- Plastic pockets for Diplomas- if required
- Flipchart paper (minimum 4 blocks)
Checklist 3b: Participants pack

- EthicalCargo Handbook (standard summary of issues and EthicalCargo’s work for all training)
- SIPRI Policy Paper no. 24
- Blank paper sheets/block of paper + pen or “Learner’s Journal”
- Participants name badge
- Participants name sign for table
- Participants list
- Copy of training schedule as received from trainers
- If needed, a CD with background documents (standards, international documents, guidelines etc)

Checklist 3c: Trainer issues

- Accommodation: Book individual rooms for trainers in appropriate accommodation (clarify arrival/departure time with host). Preferably close to venue, with internet
- Visa: Arrange for trainers to get visa upon arrival if needed
- Security: Clarify security arrangements for trainers in case of emergency
- Visits and Meetings: Clarify / arrange meetings with key stakeholders as necessary
- Transportation during trainers stay: Provide details for transportation for trainers during their stay (taxi firm numbers or arrange car for pickup)
- Communication: Simcard with international access available for trainers; Access to internet
- Pick-up of trainers: Arrange meeting place or give detailed instructions of journey from airport to hotel/venue
- Practical issues: Identify who will assist trainers with reconfirmation of tickets, changing money and other practicalities
- Meetings with trainers in country before training: Before running the meeting, the trainer should be briefed on location on the following:
  - security briefing, review logistics, venue, decide on the welcome, and who should do the opening and closing speech
- Admin support: Appoint an admin focal point to assist trainers with preparations such as photocopying, trouble-shooting projector etc.
Preparing training

Training should be done in pairs whenever the training is more than half a day – it is too difficult to keep on top of administrative and other requirements and stand up and talk all day on your own.

If modifying a training presentation think about the following:

As a general rule it takes around 2 minutes to explain a slide. This means a 30 minute presentation should have no more than 15 slides in it. If the presentation is to include time for questions you must be sure to finish the presentation part on time. There is nothing worse than standing in front of an audience saying:

“Oh, I’ve gone over time. And I have 5 slides left. I’ll run through them quickly. Err, this is a plane that was impounded in Thailand, this is a slide about NGOs and err, things that concern them and this is a case study that I don’t have time to go into and this is a summary slide of the talk which, err, you can quickly read to yourselves and now we’ve finished.”

It’s better to leave good time for questions and then have some pre-prepared extra points to stimulate a response if the audience is very quiet.

Workshops

Ideally get access to the venue the day before to set-up and check the layout and facilities.

Workshops are different to presentations in that they require a lot more concentration from participants.

Short presentations

If giving a presentation at a regular venue, try and access the room at least half an hour before to arrange for handouts and set up any posters, flip-charts etc. If unable to do this, sort out the “participant packs” beforehand so that they are easy to hand out.
Running training

The welcome and “housekeeping”

- Make sure you know who is introducing you and what they will say by way of introduction/welcome.
- Introduce yourself and make sure your name is up on the screen/white board.
- Particularly with a workshop, begin with the schedule – what sessions will be held, at what time, when the breaks are etc.
- If running a workshop you will also need to deal with “housekeeping issues” - who people need to contact if they have questions about accommodation/travel, where the toilets/smoking areas are etc.
- Also with a workshop is may be necessary to have some “groundrules” - typically mobile phones on silent. Make it clear that people will get a break between sessions so they can make urgent calls then.

Support each other

For short presentations normally only one person will be needed. However, two people are always preferable, particularly if the trainers are relatively new to the subject.

If you are two people, agree who will be talking when and what the other one will be doing. Normally it is best for the other trainer to be actively supporting the one talking – you can do this by sitting at the front and listening attentively, being responsible for handing out the materials, writing up participant answers to questions on a flip-chart etc.

The other thing to agree on beforehand is how you will “save” each other in an emergency situation. Sometimes, for whatever reason, you might be in the middle of a presentation and go completely blank and be unable to remember what you’re talking about. If that happens you need to be able to signal to your partner to help you out and, crucially, your partner must be ready to help. Typically this will be done by saying:

“Anna, this issue is one we’ve all been working on. What do you think are the most important points to be made.”

Another important way of supporting your colleague is helping them to get out of difficult situations where participants are extremely interested in an issue that is outside of the parameters of the training. To avoid making a big deal of this, the co-trainer can raise their hand to make a point, and, if the presenter feels they are in trouble then can pick the trainer to make their point which should defuse the situation. If the presenter is doing fine then they can just resolve the situation before inviting their co-trainer to speak who can then say “actually, my point has just been covered”.

For short presentations, two people are always preferable.
Keeping the audience focused

Practical issues such as ventilation, the temperature of the room, the seating setup (training atmosphere’s a easily ruined if participants can’t see the presentation screen – typically this happens if rows of chairs are set up and people get stuck sitting behind others), if people have had a coffee break, people using mobile phones or computers; can all effect the success of a training, often more than the content of the training itself.

Do not be afraid to say that you think it is too hot/cold/dark etc. in a room and ask if the participants agree and do something to change the environment.

Most people find it hard to concentrate for more than 15-20 minutes when they have to sit still and listen to one person talk. Even in presentations it is good to break up a lecture-style training by asking people to make suggestions when listing issues. People’s suggestions can then be written up on a flipchart/whiteboard and then compared to a pre-prepared summary slide so that nothing is missed. Any new suggestions from the audience that are useful should be added to the training once the presentation is finished, with notes made in the training report.

NOTE: Opening up the floor to suggestions can also open up potential discussions which are much broader than the message you wanted to get across at that part of the training. You need to be able to stop discussions that are off the point or covering issues you want to discuss later by using phrases such as:

“That is a really interesting point and something that we should take up further in the questions session at the end of the presentation. We’ll “park” that issue for now and I’ll write a note up here on the white board to pick up this issue in the questions session.”

“That is a really interesting point and is something that is not really resolvable now in this training. However, it’s an important issue and something that we could take up in an email discussion after the training.”

Not knowing the answer

There will be occasions when people will ask you questions that you don’t know the answers to. Saying “I don’t know” is honest but leaves the participants feeling cheated. Better to say: “That’s a good question that concerns the work of some of my other colleagues at EthicalCargo. We have some more detailed resources on the issue if you are interested in reading more (reference Air Transport and Destabilizing Commodity Flows and Stemming destabilizing arms transfers: the impact of European Union air safety bans) and of course we can take these comments up through email discussion after the presentation.”
Training evaluations

Training should be evaluated by three key stakeholders: the participants, the host and the trainers themselves.

- Participants should complete a training evaluation form (unless the presentation is particularly short). See Evaolution form in the Handout chapter.
- The trainers and the hosts should sit down together after the training to discuss any key points or improvements.
- The trainers should write up a Training Report (see below) where they summarise the participant evaluations, comments by the host and any of their own observations.
Training Report

Location:

Date:

Organization/Agency that requested for training:

Participants (by agency/organization):

Modules Used:

Key Points from Participant Evaluations:

Key Points from Training Host:

Comments for improvement:

Changes made to modules:
Training Modules
Summary of the training modules

The training programs consist of seven different modules which may be adapted to specific audiences and particular needs.

General Awareness module
Audience: Donors/HQ staff/Field staff/Policy&Research staff
Aim: To increase awareness of the cross-over between commercial logistics companies participating in humanitarian and peace-support operations and those involved in destabilizing commodity flows.
Duration: 30-60 mins

Introduction module
Audience: Donors/HQ staff/Field staff/Policy&Research staff
Aim: To increase participants awareness of EthicalCargo’s tools and services and project approach and establish basis for a follow-up with individual organizations.
Duration: 30-45 mins

Policy mainstreaming module
Audience: Donors/HQ staff/Policy&Research staff
Aim: To facilitate adoption of best practices for the mainstreaming of conflict-sensitive logistics, procurement and ethical transportation policies.
Duration: 60-90 mins

Coordination and Donorship module
Audience: Donors/HQ staff/Policy&Research staff
Aim: To consider various options and potential best practices for the implementation of a conflict-sensitive logistics strategy at the donor and coordination level.
Duration: 60-90 mins
**Documentation tools module**

Audience: HQ staff/Field staff

Aim: To learn which documents are necessary for making an ethical procurement risk assessment and how to use a matrix to apply ethical criteria.

Duration: 90-120 mins

**Negotiation tools module**

Audience: HQ staff/Field staff

Aim: To improve their negotiation skills when dealing with air-cargo carriers and understand the importance of entering into negotiations with as much information and planning as possible.

Duration: 45-90 mins

**Train the trainers module**

Audience: HQ staff/Field staff

Aim: To enable participants to return to their organizations and run relevant training sessions for other staff.

Duration: 60-90 mins
General Awareness: Session plan

Time: 60 mins

Aim of Session

Participants will be made aware of the cross-over between commercial logistics companies participating in humanitarian and peace-support operations and those involved in destabilizing commodity flows. A range of different types of companies, operations and aircraft are highlighted as well as specific situations in certain regions to be aware of. The module also provides general awareness indicators of the typical characteristics of some companies involved in destabilizing commodity flows as well as presenting a range of commodities which may be considering destabilizing on the basis international humanitarian law, destination or point of origin.

Objectives of Session

- At the end of this session participants will be able to:
- Identify the main types of companies used to support humanitarian aid and peace-support operations
- Identify the main types of companies involved in potentially destabilizing commodity flows
- Identify a number of typical characteristics to be aware of
- Identify the main problems that destabilizing commodity flows may have in terms of violating international humanitarian law, the policies or goals of the respective contracting organization, agency, member state, multi-national or multi-lateral operation.

Key Messages

- Air transport is a key element in humanitarian & peace support operations and to political economies and trans-regional organized crime activities which fuel or sustain conflict.
- Air transport providers and networks engaged in destabilizing commodity flows often have poor safety records and practices which may damage the integrity of humanitarian aid, peace-support operation or defence logistics/supply chains
- There are a number of general indicators which can be used to identify such companies

Resources

Computer and projector. Slide presentation “PRES-GeneralAwareness”

Preparation

- Pre-prepare Bangkok case study flipchart if appropriate

Handouts

- EthicalCargo project booklet
- Bangkok case study handout
- Training evaluation form
### Time summary

<table>
<thead>
<tr>
<th>Activity</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACTIVITY 1: Introduction</td>
<td>5’</td>
</tr>
<tr>
<td>ACTIVITY 2: Definitions and importance of air transport in conflict</td>
<td>15’</td>
</tr>
<tr>
<td>ACTIVITY 3: Bangkok case study</td>
<td>10’</td>
</tr>
<tr>
<td>ACTIVITY 4: Characteristics of companies involved in destabilizing commodities</td>
<td>15’</td>
</tr>
<tr>
<td>ACTIVITY 5: Initiatives to adress the problem</td>
<td>10’</td>
</tr>
<tr>
<td>ACTIVITY 4: Wrap-up and questions</td>
<td>5’</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>60’</strong></td>
</tr>
</tbody>
</table>

### Activity details

<table>
<thead>
<tr>
<th>Activity</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ACTIVITY 1: Introduction</strong></td>
<td>5’</td>
</tr>
<tr>
<td>Slides 1-2</td>
<td></td>
</tr>
<tr>
<td>Introduce yourself and the objectives of the session and deal with any practical issues.</td>
<td></td>
</tr>
<tr>
<td><strong>ACTIVITY 2: Definitions and importance of air transport in conflict</strong></td>
<td>15’</td>
</tr>
<tr>
<td>Slides 3-10</td>
<td></td>
</tr>
<tr>
<td>Choose key slides to show prior to presentation. If time is limited, drop detailed slides on company networks, company registration etc.</td>
<td></td>
</tr>
<tr>
<td><strong>ACTIVITY 3: Bangkok case study</strong></td>
<td>10’</td>
</tr>
<tr>
<td>Slides 11-18</td>
<td></td>
</tr>
<tr>
<td>To make this more interactive, the trainer can pre-prepare a flip chart with a pencil sketch of the case study graphic. The trainer can then ask a participant or co-trainer to read the ”script” of the story of the Bangkok bust. As the story is read out, the trainer draws the sketch in pen on the flip-chart paper to show how the network unfolds.</td>
<td></td>
</tr>
<tr>
<td>Distribute the Bangkok case study handout</td>
<td></td>
</tr>
<tr>
<td><strong>ACTIVITY 4: Characteristics of companies involved in destabilizing commodities</strong></td>
<td>15’</td>
</tr>
<tr>
<td>Slides 19-22</td>
<td></td>
</tr>
<tr>
<td>The point here is to highlight the fact that the very nature of working in conflict-affected environments means that there is a high risk of procuring transport services (and any other</td>
<td></td>
</tr>
</tbody>
</table>
goods and services) from those who fund, fuel and facilitate conflict.

While comments can be invited, do not allow the discussion to get too involved in details. This is an "awareness-raising" session. Other modules deal with more details on the EthicalCargo project and what can be done to meet the challenges in practice

| ACTIVITY 5: Initiatives to address the problem | 10’ |
| Slides 23-25 |

| ACTIVITY 6: Wrap-up and questions | 5’ |
| Slide 26 – Questions |

NOTE: When wrapping up the presentation don't forget to make sure all handouts have been handed out, evaluation forms have been completed, the participant contacts sheet has been filled in and you have given details on how you can be contacted.
General Awareness

EthicalCargo project
GENERAL AWARENESS
Good morning/afternoon. My name is XXX and I am part of the EthicalCargo team, working on XXX. My background is XXX and I’ve been with the EthicalCargo project since XXX.

This session is titled “General Awareness”. It’s aim is to increase awareness of the general issues surrounding the ethical procurement of air cargo services.

NOTE: The images used on the EthicalCargo website is a photo of the crash of Great Lakes Business Company Antonov 32 9Q-CMG in Goma, DRC in 2008 (with no fatalities). Cited in UN Sanctions and European Commission reports as flying weapons illegally, GLBC also moved coltan/casseterite, also moved humanitarian relief goods, also had an out-of-date AOC. Image credit: “Soldiers walk near the wreckage of a crashed Antonov 32 on May 26, 2008 in Goma." (LIONEL HEALING/AFP/Getty Images). http://aviation-safety.net/database/record.php?id=20080526-1

This is NOT the same crash as the one in DRC a month earlier where 37 died, including an NGO worker.
Session objectives

- Identify problems of destabilizing commodity flows
- Understand the link between air cargo and destabilizing commodity flows
- Identify main types of companies used in humanitarian aid and peace-support operations
- Identify the main types of companies involved in potentially destabilizing commodity flows
- Identify typical characteristics to be aware of
- Be aware of initiatives to counteract the problem
The objectives of this session are that participants will be able to:

- Identify problems caused by destabilizing commodity flows – here we will define the term and look briefly at war economies
- Understand the link between air cargo and destabilizing commodity flows – here we will look at the role that air cargo carriers play in facilitating the flow of destabilizing commodities
- Identify the main types of companies involved in destabilizing commodity flows – companies that have been named in sanction reports
- Identify the main types of companies used to support humanitarian aid and peace-support operations
- Identify typical characteristics to be aware of – we will look at some key warning signs
- Be aware of initiatives to counteract the problem – we will look at the work of the European Union and a quick overview of EthicalCargo's work.
Destabilizing commodities

“Fuel, fund or facilitate conflict”
Slide 3: Destabilizing Commodity Flows

Why is the EthicalCargo project focusing on air transport as a way of tackling arms trafficking and destabilizing commodity flows?

Firstly let's define the term “destabilizing commodity flows.”

Destabilizing commodities are, put simply, any tradable item which fuels, funds or facilitates conflict.

NOTE: Fuels = a commodity where the control of the commodity is a factor in the conflict itself (e.g. conflict-sensitive minerals in DRC), Funds = profits from the trade in commodities such as narcotics that are then used to finance armed groups (the trade in Khat in Somalia), Facilitates – commodities that are used in the conflict itself i.e. military equipment such as Small Arms and Light Weapons.
Destabilizing commodities, **directly or indirectly**, are **perceived** to contribute to violence and social/ political insecurity.
Slide 4 – Destabilizing commodities - definition

A more detailed definition is: “commodities that, directly or indirectly, are perceived to contribute to violence and social / political insecurity – destabilizing a social environment”.

Why “directly or indirectly”? The commodities themselves can be used directly in a conflict, i.e. SALWs or may be directly linked to conflict in terms of fighting over the economic control of the commodity. Indirectly, trade of certain commodities may be a key source of finance for armed groups (e.g. Khat in Somalia) or the commodity itself may be illegal or have negative social effects such as narcotics.

Why “perceived”? The perception as to whether a commodity is destabilizing or not can be relative rather than absolute and we have deliberately not used the word “illegal”.

This is because different organizations have different moral or ethical codes for their work. To use a sensitive example, some organizations might see the transport of weapons used by Coalition forces during the Iraq war as “destabilizing” while others might see this as part of a legitimate war of self-defence.

EthicalCargo does not make this value judgement in its work though primarily uses UN sanctions reports as the main way of identifying air cargo carriers involved in destabilizing commodity transfers.

We recognise that, as a political institution, UN reports and sanctions are outputs of a political process, they are often the main source for verifiable evidence. Not all UN reports are “final” in that accusations may be made or suspicions raised which are not ultimately provable. In some cases, companies' names have been removed from UN reports.

It is not EthicalCargo's role to tell organizations what is destabilizing or not, it is up to organizations to set their own criteria and parameters through their own internal processes.
War economies

War economy: economic activities organized to finance war

“the perpetuation of war can become an end in itself, providing and justifying the use of violent means to create or sustain economic profits and political power.”

- ODI Network Paper 33, July 2000
Slide 5: War Economies

So, let’s ask the question again - why is the EthicalCargo project focusing on air transport as a way of tackling arms trafficking and destabilizing commodity flows?

Air transport has played a key role in fueling the war economies that have devastated much of Africa in recent decades because it is instrumental in the transfer of SALWs and in the extraction of precious metals and minerals. Trafficking in arms and other destabilizing commodities is a business and air transport is an important part of the supply chain.

A war economy is normally defined as economic activity organized to finance war, or a war used to perpetuate an economic system, often based around resource extraction.

A political economy approach to conflict looks at the production and distribution of power, wealth and destitution through economic exchanges. How political power controls economic resources and how this control in turn consolidates power in conflict.

This political economy approach examines how war generates winners and losers. In modern conflicts often characterized by state failure, unregulated global economies, socioeconomic disparities, identity politics and marginalization. Economic power is often key to understanding the conflict.

The winners, those who stand to gain from a state of war, may prolong a conflict if they have the power to do so but cannot ensure that an outright victory would keep them on the winning side. In fact the perpetuation of war can become an end in itself, providing and justifying the use of violent means to create or sustain economic profits and political power.
War economy examples

Angola, 1992-2002

- UNITA (National Union for Total Independence of Angola)
- During 1997-97 UNITA estimated to have exported diamonds worth nearly $2bn

DRC, 1997-?

- 80% of cassiterite from conflict zones transported by air
- Strong link between coltan and arms transport
Slide 6: War Economy Examples

Two examples of the importance of air cargo carriers in war economies are Angola and DRC.

The Angolan civil war that lasted from 1992-2002 involved air cargo carriers in the transport of SALW, diamonds and mining equipment.

UNITA (National Union for Total Independence of Angola) relied on illicit export of diamonds to fund its activities and during the Angolan war, UNITA was estimated to have exported diamonds worth nearly $2bn. UN reports suggested that all UNITA airstrips were located in UNITA mining areas.

UN and Human Rights Watch Reports (S/2000/1225, “Final report of the Monitoring Mechanism on Angola Sanctions” and “Angola Unravels”, 1999) noted that air transport was the main mechanism for resupplying UNITA forces and that it was crucial to UNITA's activities as it supplied fuel oil, food, medical supplies and other necessities.

The complicated and unresolved conflict in DRC, beginning around 1997, relied considerably on air cargo in the fight over the control of mineral extraction and export.

Air cargo carriers have been documented as transporting up to 80% of cassiterite (tin) from conflict zones, worth estimated $150million in 2008.

Air cargo carriers who exported coltan (mobile phones) in Eastern DRC also conducted business with militia leaders and some have been reported as transporting soldiers and military equipment.

NOTE: Source for above information is SIPRI policy paper 24

Air transport – key link in the chain

Arms brokers

Embargoed armed groups

Mining

Refineries

Narcotics

Underworld markets
It is hard to identify or apply sanctions to arms traffickers and those that profit from destabilizing commodities as such actors operate underground.

However, the transport services they have to use in order to do their business has to be regulated. All aircraft have to be registered in order to be able to operate. The use of air transportation services is the point where hidden and illicit activities are forced to come to the surface and engage in the regulated world of commercial air transport.

Information on air cargo carriers flights and business activities is available from:

- Airport records
- Documentation on transfers of aircraft between companies
- AWACS/ Land/ Maritime Radar (Airborne Warning and Control System)
- Aircraft ownership databases
- Air Traffic Control records

This means that initiatives aimed at reducing the number of carriers who are willing or able to act as logistics support for arms traffickers and other criminals or destabilizing actors will directly impact on the flow of destabilizing commodities, making it more difficult and expensive to move such commodities and therefore reducing the profitability of such activities.

In terms of a war economy, it reduces the incentives to carry out activities that contribute to conflict.
Air transport – key link in the chain

- Embargoed armed groups
- AWACS/ Land/ Maritime Radar
- Refineries
- Underworld markets
- Aircraft ownership databases
- Airport traffic control records
- Airport records
- Transfer documentation
- Arms brokers
- Mining
- Narcotics
Air transport is a key link in the supply chain of:

- Destabilizing commodity flows
- Movement of items linked to destabilizing commodities (e.g., technical support and spare parts for extractive industries)
- The functioning of war economies (movement of personnel, weapons etc.)

This can be explained by the fact that:

- Many countries involved in war and conflict over resources over the last 20 years have been landlocked countries in Africa with extremely poor road networks – air transport is the only option
- Air transportation is fast – crucial to a competitive advantage over rivals
Avoiding detection

- Re-register companies listed on “watch lists” under a different name
- Switch aircraft between countries
- Complex business structures
- Operate in countries with lax controls
Slide 9: Avoiding detection

Because air transportation is the point at which activities can be monitored, companies use a number of methods to avoid detection. They:

- Re-register companies listed on “watch lists” under a different name
- Switch aircraft between countries to avoid the registration number being re-recorded in an area that is being monitored
- Use complex business structures to cloud who exactly owns what and which company is the parent company of another
- Operate in countries with lax controls to avoid being investigated.

Company names appear and disappear fairly rapidly and identifying the links requires considerable cross referencing of images, reports, company information and Air Transport databases.
Company registration

Jet Line International company address: an apartment in Kiev with no visible company sign
Companies are often registered in countries with lax business controls and often do not maintain a high profile.

This photograph shows the building housing of the supposed office for Jet Line International – it is an apartment block in Kiev and there is no company sign.

Jet Line International was part of a complicated network of companies which swapped aircraft with each other, loaned aircraft for arms flights and had aircraft repaired. The owners of the companies are of different nationalities – citizens of Kazakhstan, Serbia, Russia, Ukraine and Moldova. Most of their companies operated from United Arab Emirates with bank accounts and shell companies in other countries.

**Bangkok case study**

Between 1997 and 2009 this aircraft operated under at least eight different companies which have been named in open source arms trafficking reports.
Slide 11: Bangkok case study

Here is an example that you may be aware of. On 11 December 2009 an Illyushin 76 flying from North Korea was seized in Thailand during its refueling. Onboard Thai authorities found 35 tons of explosives, rocket-propelled grenades and components for surface-to-air missiles, in breach of U.N. Sanctions, their final destination unknown but probably rebel or terrorist groups in Africa or the Middle East.

The crew were arrested (and later released), the smugglers behind the deal were not, the trail of documentation and companies made the owners difficult to identify.

On the same day as the news was released, CIT-MAP’s Project Leader at SIPRI, Hugh Griffiths, was able to identify the plane from its tail number as being previously registered to a company linked to self-professed Serbian gunrunner Tomislav Damnjanovic and to three companies controlled by Viktor Bout.

Between 1997 and 2009 this aircraft operated under at least eight different companies which have been named in open source arms trafficking reports.

Later investigations by AP Journalists and International Peace Information Service (IPIS) show exactly how complicated such deals are.

**NOTE: The following case study is based on two reports:**

"Shadowy arms deal traced to Kazakhstan", Washington Times (AP), 2010/01/21


"From deceit to discovery: The strange flight of 4L-AWA", International Peace Information Service (IPIS), Sergio Finardi, Brian Johnson-Thomas & Peter Danssaert, 21/12/2009

Ilyushin IL-76 - 4L-AWA seized in Bangkok, 12 December 2009
There are three main parts to the Bangkok Arms Bust story – the weapons, the crew and the company that arranged the flight.
Training Modules: General Awareness
Slide 13: Bangkok (2) - The weapons

The weapons were labeled “Oil Industry parts” on the manifest and the consignee, the company receiving the goods, was listed as “Aerotrack Ukraine”, with a contact name of Victoria Doneckaya. Neither the company nor the individual appear to exist. The shipper was Korean General Trading Corporation of Pyongyang, North Korea, a company who also appears not to exist. To our knowledge, the origin of the weapons (in terms of their manufacture etc.) has never been made public.
ETHICAL CARGO

Alexander Zykov
Crew manager and owner of East Wing

East Wing (ex GST Aero), Kazakhstan
Mentioned in UN Sanctions reports 2008/2007

4 Kazakhs and 1 Belarusian. Normally work for Zykov.
Slide 14: Bangkok (3) - The crew

Five crew members, 4 Kazakhs and 1 Belarusian were arrested and later released, after it could not be proved that they knew what was actually in the cargo they were carrying.

Then there are two stories – one that the crew were hired independently for this job, and the second is that they were hired through Alexander Zykov, the man who is their usual manager and who owns East Wing. Zykov denies they were hired through him, saying that they were on holiday. The crew’s family reported the opposite. Zykov’s East Wing company was originally called GST Aero, the name was changed after GST Aero was put on the EU safety ban list in 2006. GST Aero and East Wing have both been named sanctions and arms trafficking reports as shipping arms to Chad and DRC.
Training Modules: General Awareness

- **Union Top Management Ltd (UTM)**: Formed November 2009 in Hong Kong, based in Spain.

- **SP Trading**: Based in Barcelona.

- **Dario Cabreros Garmendia**: Unknown figure associated with UTM.

All rights reserved © 2010 by EthicalCargo, SIPRI.
Union Top Management is the company that chartered the aircraft from another company called SP Trading.
Union Top Management was founded by Dario Cabreros Garmendia, who is apparently based in Barcelona, but who appears not to exist.

Union Top Management was formed in November 2009 in Hong Kong through “Acota Ltd” a Secretary firm providing board members and company registration service. UTM was incorporated by a company called “EasyTime Development Ltd”, about which details appear to be limited, though a major shareholder of this company is a company based in the British Virgin Islands called Global King Ventures. Little is known about these companies.

So, UTM chartered the plane from SP Trading, a company that seems to have been set-up entirely with the purpose of leasing one plane from Air West, a Georgian air cargo company.
SP Trading was set up either in July or November 2009 by Yury Lunyov through another “secretary firm” service, this time in New Zealand by a woman called Lu Zhang (who is being investigated by New Zealand authorities and apparently is on the board of directors of 50 companies in New Zealand.).

As mentioned, SP Trading leased the plane from Air West Georgia, the company that normally operates the plane. The owner of Air West Georgia, Levan Kakabadze, denies any knowledge of the deal.

The plane itself is not, however, owned by Air West Georgia. In fact it is owned by Overseas Cargo FZE (based in Sharjah airport, United Arab Emirates). The director of Overseas Cargo is Svetlana Zykov who also denies knowledge of the deal.
There are also some interesting connections. Yury Lunyov, who set-up SP Trading, is a known business associate of Svetlana Zykov, who is in turn married to Alexander Zykov who allegedly managed the crew.

Furthermore, until November 2008, plane 4L-AWA was actually registered with East Wing as UP-I7622, after that the plane was registered with a company called Beibars, also a Kazakh company, until September 2009.

This case is a good example of how complicated the chain can be in arms transfers. The pattern of leasing and hidden ownership, however, is common, even when not associated with arms transfers.

What is the connection with humanitarian aid and peace-keeping operations?

East Wing’s previous incarnation as GST Aero and its operations in Chad and DRC meant that it was used by peace-keeping operations and, due to the limited number of operators working in those areas, humanitarian operations. Despite East Wing’s poor safety record – it’s been continuously on the EU blacklist since April 2009 – and its grey history, the AeroTransportDataBanks records that one of East Wing’s planes was on loan to a United Nations organization from 2008 until early 2010.
Air cargo carrier characteristics

What qualities do arms traffickers look for in an air transport provider?

What qualities do humanitarian organizations look for in an air transport provider?
Slide 19: Air cargo carrier characteristics

Why is the issue of air cargo operators involved in destabilizing commodities of concern to humanitarian and peace-keeping organizations? Let's consider what kind of characteristics different actors look for in an air transport provider.

Activity

NOTE: Ask participants for suggestions and write bullet points on a flip-chart. One of the participants can volunteer to do this.

First, let’s think about what characteristics someone dealing in destabilizing commodities would look for.

- Available at short notice
- Willing to cut corners in the interest of keeping activities secret (crew rest etc.)
- Willing to carry dangerous goods
- Willing to travel to dangerous areas
- Provide the types of planes that can be used in remote areas with few airport facilities - certain Antonovs only require a very small crew and no specialized unloading equipment is necessary on the ground, unlike at a port where cranes and other equipment can be necessary. On some planes, vehicles can drive on and off, making for fast unloading, especially of highly sensitive items

Now what about humanitarian organizations?

- Available at short notice
- Willing to cut corners in the interest of saving lives - when they need to charter a flight in 24 hours, few companies are able to respond quickly. Those that do may break health and safety regulations regarding crew rest to make a plane ready immediately (crew rest etc.)
- Willing to travel to dangerous areas
- Provide the types of planes that can be used in remote areas with few airport facilities
WFP identifies that the very same types of aircraft are required for food drops: http://www.irinnews.org/Report.aspx?ReportId=85479

“There are basically three types of aircraft that do the job: the Antonov-12 (hauling about 15 tons), the Hercules C-130 (18 tons), and the Iluyshin-76 (36 tons). The choice of aircraft is down to the operator hired by the humanitarian agency, but all must be specially equipped and certified. They are big and thirsty, and need a ground crew of two or three engineers, plus a project manager, to keep flying safely.”

As you can see, some of the attributes that are required by humanitarian aid agencies of air cargo companies – flexibility, immediate availability, willingness to operate in high-risk areas, are the same attributes required by those who wish to transport destabilizing commodities.
Carriers that raise ethical issues

Blue Bird

Badr Airlines

Aerolift
Slide 20: Carriers that raise ethical issues

The following aircraft have all been used to transport destabilizing commodities:

**NOTE:** Ask participants if any of them are aware of these companies. The point here is not to solve the ethical dilemmas surrounding these companies, as these need to be dealt with in context by the agencies affected, but to highlight the fact that such dilemmas exist and that companies need to be aware that ethical issues are important to certain organizations.

Blue Bird Aviation, based in Kenya but flying to Somalia has been used by a range of humanitarian and donor agencies. Blue Bird aviation have been named in United Nations Sanctions Committee reports on Somalia and continue to fly large amounts of the narcotic khat to Somalia, the trade in which is controlled by the warlords.

However, Bluebird is practically the only reliable, safe carrier that flies into Somalia and clients are appreciative of their professionalism.

The next photo shows an Ilyushin 76 belonging to Badr Airlines violating a UN arms embargo by delivering Toyota landcruisers with machine guns to Darfur. Badr airlines have been used by a variety of humanitarian and peace-keeping actors in Sudan.

Sudan is a particularly problematic country to work in do to the state's heavy involvement in the industry and the lack of actors who are not complicit in the state's activities in Darfur.

Wikipedia still lists six or 7 UN/NGOs using the service, but Badr themselves have changed their website.

In the next photo, you see an Ilyushin registered to Aerolift photographed in the act of delivering arms to the Islamic Court Union militia in Somalia. Aerolift has been used by US contractors and humanitarian agencies operating in Uganda, Burundi and DRC (Aerolift has taken down its website).
Characteristics / Warning signs
Slide 21: Warning signs

There are four main characteristics of air cargo carriers involved in destabilizing commodity transfers. They can be considered as “warning signs”, that, when present altogether, indicate a statistical likelihood to be in United Nations Sanction Committee reports:

**Poor safety record**
Companies often have poor safety records, often due to the fact they cut corners with safety or operate old, badly maintained aircraft.

[Can give the example of the image used on the website of GLBC. More recently, Filair, which has Antonovs in its fleet and is on the EU Safety Ban list, crashed in Bandundu, Congo (Democratic Republic) on August 25 2010]

**Operating from Tax-free Business Zones**
Companies involved in destabilizing commodities often operate from tax-free business zones in the Middle East and Africa making their business practices less transparent and making them unlikely to adhere to OECD guidelines for multinational corporations.

**Flag of convenience**
Flag of convenience registries are sited in states where civil aviation oversight is weak and nearly all flag of convenience registry aircraft have been banned from European airspace under air safety-related criteria.

Countries that provide flags of convenience include: Bahamas, Belize, Cayman Islands, Georgia and North Korea.

**Offshore Finance**
A number of air cargo actors channel their fees and contract costs via off-shore banking facilities. In some cases, the owners of the aircraft set up off-shore holding companies which “own” the aircraft.

A company that exhibits all of these warning signs should be properly checked before contracted.
### Hewa Bora case study

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<tr>
<td>S/2009/603</td>
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<td>S/2008/773</td>
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This is an example of the poor safety record of companies involved in destabilizing commodity flows.

A DC-9 plane chartered by the Congolese “Hewa Bora” airline crashed on 15 April 2008. Dozens of people were killed, largely due to the fact that the plane crashed during takeoff into a populated part of the town of Goma and there were a number of ground casualties.

At least one aid worker is known to have died in the crash.

Initially Hewa Bora could not provide a complete passenger list which indicates their lack of control over their operations.

Hewa Bora is named several times for transporting weapons from Sudan to DRC, in contravention of UN sanctions, and is also banned from EU airspace in several EC Commission Regulations due to its poor safety record, including two crashes in 2002.

NOTE: http://aviation-safety.net/database/record.php?id=20080415-0
Initiatives to address the problem

- European Union
- EthicalCargo
Slide 23: Initiatives to address the problem

We will look at two initiatives that, intentionally or not, attempt to address the problem.

- EU Safety Regulations
- EthicalCargo
EU Air Safety Regulations

Effective aviation safety standards in Europe have rendered our safety record amongst the best in the world. Whilst the European Union and its Member States are working with safety authorities in other countries to raise safety standards across the world, there are still some airlines operating in conditions below essential safety levels.

To improve safety in Europe further, the European Commission – in consultation with Member States’ aviation safety authorities – has decided to ban airlines found to be unsafe from operating in European airspace.

These are listed in the document below. The first list includes all airlines banned from operating in Europe. The second list includes airlines which are restricted to operating in Europe under specific conditions.

These lists will be updated regularly and published in the Official Journal of the European Union where they are included as annexes A and B to the Commission Regulation. Before taking any action based on the information in these lists, all users should ensure they have the latest version.
The system of coordinated air safety inspections carried out by EU member states, backed up by community-wide flight bans, which the EU has put in place in recent years has had a profound effect upon the activities of air cargo carriers with a suspected involvement in destabilizing arms transfers, disrupting their activities to an extent unseen since the emergence of a non-governmental arms transport sector at the end of the cold war. A list of banned aircraft is available from the European Commission Air Safety website.

Of 186 air cargo carriers identified in UN and other arms-trafficking-related reports between 1998 and 2008, 80 were also identified as having been barred from EU airspace between 2006-2008. i.e. the EU had “indirectly” identified over 40% of arms-trafficking-related carriers.

Of these 80 carriers, 53 were reported as being formally decertified or liquidated. Those that have survived have had their movement restricted or had their “Air Operating Certificate” withdrawn by their national civil aviation authority.

Targetting air carriers that violate safety standards has a considerable impact on those involved in destabilizing commodity transfers.

Research has shown that states such as the Democratic Republic of Congo, Kyrgyzstan, Liberia, Moldova, Russia, Sierra Leone and Ukraine will close or restrict unsafe air cargo carriers when subject to possible or actual EU market access denial.

This data is from a SIPRI-produced Insight paper from 2008 called “Stemming destabilizing arms transfers: the impact of European Union air safety bans”. The paper was an output of the CIT-MAP initiative which we will look at next.
EthicalCargo.org

Supporting conflict-sensitive logistics and ethical transportation programs

Out work

EthicalCargos.org is a platform for supporting the global humanitarian and peace support community by implementing effective conflict-sensitive logistics and ethical transportation policies.

Membership

Membership of ethicalCargos.org is free and available to organizations working in the field of humanitarian assistance and peace support. Members can access a variety of tools and resources to support the effective implementation of conflict-sensitive logistics and ethical transportation policies.

To become a member, please fill in the member form.
The aim of EthicalCargo is to help agencies to make informed risk assessments when procuring transport services.

The EthicalCargo project is a result of the CIT-MAP initiative at SIPRI. CIT-MAP stands for the Countering Illicit Trafficking - Mechanism Assessment Project.

The project has a focus on non-state actors and networks involved in destabilizing commodity flows that negatively impact on global peace and security and conducts action-orientated research to present options for policy makers, mainly within a European Union (EU) context.

In May 2009 CIT-MAP produced the SIPRI Policy Paper # 24 “Air Transport and Destabilizing Commodity Flows”. This report showed that

“90% of all air cargo companies named in United Nations and other arms trafficking-related reports have been documented as servicing humanitarian aid and peace support operations between 2003 – 2009.”

This paper was the first study to examine the role of air transports actors in the full spectrum of destabilizing or illicit commodity flows, and not just arms trafficking. This report was also the first study to offer EU institutions and member states specific policy options for better monitoring and control.

The Swedish Ministry of Foreign Affairs welcomed the report by saying that this “serious problem required immediate action”.

In the autumn of 2009 CIT-MAP received seed-funding from the Swedish International Development Cooperation Agency, Sida, to begin the EthicalCargo project. The project began its initial work focusing on the humanitarian community offering support tools to help in the implementation of conflict-sensitive logistics plans and policies.

April 2010 – EthicalCargo launched its website, ethicalcargo.org, was launched to provide the humanitarian aid community with tools to address the problem.

In June 2010 EthicalCargo secured funding from the Humanitarian Aid Department of the European Commission (ECHO).

CIT-MAP has also received funding from the French Ministry of Defence for Maritime research.

NOTE: EthicalCargo’s tools and services are covered in the “Introduction” module.
Questions?

Contact:

NAME OF PRESENTER: xxx@sipri.org
Slide 26: Questions

Does anyone have any questions on the presentation?

**NOTE: if no questions are forthcoming, some discussion points could include:**

- Does anyone have any examples from their own experience of this issue?
- Does anyone know if their agency already has a policy for air cargo carrier engagement?
- What do you think about the concept of “destabilizing commodities”? Is this a political or moral issue? How can this be defined? Do organizations already grapple with this issue in other areas – e.g. ethical standards for the procurement of Non Food Items distributed in emergencies such as not purchasing clothes from factories using child labour?

Please take a minute to complete the anonymous training evaluation forms. We appreciate your honest responses in order to make sure the training is the best it can be!

Thank-you.
Introduction: Session plan

Time: 40 mins

Aim of Session
Participants will be made aware of the tools EthicalCargo provides and will have the details they need to use the website and other EthicalCargo services effectively.

Participants will be aware of training and support to individual information requests and any interest expressed will be followed up.

NOTE: SOME SLIDES IN THE GENERAL AWARENESS/INTRODUCTION MODULES ARE SIMILAR OR REPEATED. IF COMBINING THE MODULES BE SURE TO REMOVE ANY REPETITION

Objectives of Session
At the end of this session participants will be able to:
Be aware of how the EthicalCargo project can help humanitarian organisations
Understand EthicalCargo's research methods

Key Messages
Identifying the relationships between different air cargo companies who try to disguise their activities is complicated
EthicalCargo has tools to help humanitarian agencies and is ready to respond to emergency requests

Resources
Computer and projector. Slide presentation “PRES-Introduction”

Preparation
Check which agencies are represented by the participants

Handouts
- SIPRI Policy Paper 24 – executive summary
- Ethical Cargo booklet
- Evaluation forms
Time summary

<table>
<thead>
<tr>
<th>Activity</th>
<th>Time (mins)</th>
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<tbody>
<tr>
<td>ACTIVITY 1: Introduction to the session</td>
<td>5’</td>
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<tr>
<td>ACTIVITY 2: Presentation of EthicalCargo project</td>
<td>30’</td>
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<tr>
<td>ACTIVITY 3: Wrap-up and questions</td>
<td>10’</td>
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<td><strong>45’</strong></td>
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Activity details

| ACTIVITY 1: Introduction                                               | 5’          |
| Slides 1-2                                                             |             |
| • Coordinate with host to determine who will introduce the session and what they will say. |
| • Introduce yourself and the objectives of the session                 |             |

| ACTIVITY 2: Slides presentation                                        | 30’         |
| Slides 3-21                                                            |             |
| Choose key slides to show prior to presentation. If time is limited, reduce time on conflict sensitivity (this is also covered in modules on Policy Mainstreaming and Coordination & Donorship) and explain the website in less detail. |
| To prevent this section being a long lecture, be prepared to present the information in a more interactive way. This could include: |
| • Asking participants who have already used the website to describe what services are provided. |
| • Participants can be asked to explain what mechanisms their own organizations have in place to deal with the issue of ethical transport procurement. It is then possible to link up EthicalCargo's tools and services to their current activities and to identify ways of filling gaps in organizations' knowledge or practices. |

| ACTIVITY 3: Questions and wrap-up                                      | 10’         |
| Slide 22                                                               |             |
| Show end slide and ask if anyone has any questions or comments         |             |
| • Ask if the issues addressed in the presentation remind the participants of any incidents or anecdotes drawn from their |
experience in the field

NOTE: When wrapping up the presentation don't forget to make sure all handouts have been handed out, evaluation forms have been completed, the participant contacts sheet has been filled in and you have given details on how you can be contacted.
Introduction

EthicalCargo project
INTRODUCTION
Good morning/afternoon. My name is XXX and I am part of the EthicalCargo team, working on XXX. My background is XXX and I've been with the EthicalCargo project since XXX.

This session is titled “Introduction”. It's aim is to explain the tools and services provided by EthicalCargo.
Session objectives

- Be aware of how the EthicalCargo project can help humanitarian organizations
- Understand EthicalCargo's research methods
Slide 2: Session objectives

The objectives of this session are that participants will:

- Be aware of how the EthicalCargo project can help humanitarian organizations
- Understand EthicalCargo's research methods
EthicalCargo

- 2008 – CIT–MAP projects, SIPRI
- Autumn 2009 – Seed funding from SIDA
- April 2010 – EthicalCargo.org launched
- June 2010 – funding from ECHO
The EthicalCargo project is a result of the CIT-MAP initiative at SIPRI. CIT-MAP stands for the Countering Illicit Trafficking - Mechanism Assessment Projects. SIPRI is an independent international institute dedicated to research into conflict, armaments, arms control and disarmament and was founded in 1966. The project has a focus on non-state actors and networks involved in destabilizing commodity flows that negatively impact on global peace and security and conducts action-orientated research to present options for policy makers, mainly within a European Union (EU) context.

Areas include airborne and maritime trafficking, clandestine political economies, open source intelligence (OSI) techniques and field-based collaborative information-sharing models derived from investigative research and empirical analysis.

CIT-MAP has received funding from the Swedish Ministry of Foreign Affairs, the Swedish International Development & Cooperation Agency (SIDA), the French Ministry of Defence and the Humanitarian Aid department of the European Commission. An EU Council decision for Common Foreign and Security Policy (CFSP) funds has been endorsed by the Working Group on Global Disarmament and Arms Control (CODUN) and is due to be implemented in 2011-2013.

The EthicalCargo part of the CIT-MAP is aimed at helping humanitarian and peace-support agencies make informed risk assessments when procuring transport services. Support is provided through a registration-based information portal on the web at ethicalcargo.org and through outreach activities such as training.

In May 2009 CIT-MAP produced the SIPRI Policy Paper # 24 “Air Transport and Destabilizing Commodity Flows”,

In the autumn of 2009 CIT-MAP received seed-funding from the Swedish International Development Cooperation Agency, Sida, to begin the EthicalCargo project. The project began its initial work focusing on the humanitarian community offering support tools to help in the implementation of conflict-sensitive logistics plans and policies.

April 2010 – EthicalCargo launched its website, ethicalcargo.org, was launched to provide the humanitarian aid community with tools to address the problem.

In June 2010 EthicalCargo secured funding from the Humanitarian Aid Department of the European Commission (ECHO).

CIT-MAP has also received funding from the French Ministry of Defence for Maritime research.
SIPRI Policy Paper 24

“Air Transport and Destabilizing Commodity Flows”, May 2009

- Highlighted how more than 90% of air cargo companies named in arms trafficking-related reports had been contracted for humanitarian aid & peace support missions
In May 2009 CIT-MAP produced the SIPRI Policy Paper # 24 “Air Transport and Destabilizing Commodity Flows”, written by CIT-MAP project director Hugh Griffiths and SIPRI researcher Mark Bromley. This report showed that “90% of all air cargo companies named in United Nations and other arms trafficking-related reports have been documented as servicing humanitarian aid and peace support operations between 2003 – 2009.”

This paper was the first study to examine the role of air transportation actors in the full spectrum of destabilizing or illicit commodity flows, and not just arms trafficking. This report was also the first study to offer EU institutions and member states specific policy options for better monitoring and control.

The Swedish Ministry of Foreign Affairs welcomed the report by saying that this “serious problem required immediate action”.

This report showed that

“90% of all air cargo companies named in United Nations and other arms trafficking-related reports have been documented as servicing humanitarian aid and peace support operations between 2003 – 2009.”

The report stimulated a debate about what could be done by humanitarian and peace-keeping organizations to carry out due-diligence with respect to ethical air cargo transport procurement. A key concern was that agencies in some contexts had little choice – the EthicalCargo project was born out of a need for practical assistance for such organizations.
Online clearinghouse
April 2010 – EthicalCargo.org: online clearinghouse launched to provide the humanitarian aid community with tools to address the problem.

The Online Clearinghouse offers free membership to personnel from humanitarian and peace-keeping related organizations. Membership gives access to a number of tools and services to help organizations to make their own conflict-sensitive logistics plans.
Conflict Sensitivity

Conflict sensitivity means the ability of your organization to:

- understand the context in which you operate;
- understand the interaction between your intervention and the context; and
- act upon the understanding of this interaction, in order to avoid negative impacts and maximise positive impacts.

conflictsensitivity.org
Conflict-sensitivity is a concept that is related to the Do No Harm initiative which started life in the early 1990s as “Local Capacities For Peace Project” and resulted in two important publications: “Do No Harm: How Aid Can Support Peace - Or War” in 1999 and the “Do No Harm Handbook” in 2004. The central message of which was that aid projects have their own impacts on conflict situations which are sometimes negative and often “hidden” to the implementation organizations themselves. Aid organizations should analyze the context of their operation and identify “Dividers” and “Tensions” as well as “Connectors” and “Local Capacities for Peace” and modify their programs to minimize support to the first and maximize support to the latter.

There have been a number of publications related to conflict-sensitive development aid and mainstreaming peacebuilding into humanitarian/early recovery programming.

International Alert [www.international-alert.org] has produced a website that consolidates information on conflict-sensitive programming, and this is called, not surprisingly, conflictsensitivity.org. Part of the output of this initiative is the tool “Conflict-Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding: A Resource Pack”.

This pack provides information on the theory and practice of a conflict-sensitive approach to aid programming. They define conflict-sensitivity as the ability of your organization to:

- understand the context in which you operate;
- understand the interaction between your intervention and the context; and
- act upon the understanding of this interaction, in order to avoid negative impacts and maximize positive impacts.
Conflict Sensitive Transport Procurement

- Do No Harm/Conflict-sensitive: minimise negative impacts of logistics supply chains
- Transformative – work to encourage commercial service providers to respect humanitarian principles
- Gradual process – based on dialogue and negotiation, not blacklisting
- Humanitarian Imperative – recognizing that the priority is timely, effective response
- No prescriptive “EthicalCargo” codes – each organization decides where to draw the line
Slide 7: Conflict-sensitive transport procurement

EthicalCargo concentrates on the logistics of humanitarian assistance and how conflict-sensitive logistics involves being aware of the impact of supply chain activities in the context of humanitarian relief efforts.

Do No Harm/Conflict-sensitive: minimize negative impacts of logistics supply chains

Transformative – As well as minimizing any negative impacts of supply chain activities, particularly the use of transport companies involved in the movement of destabilizing commodities or weapons, a Conflict Sensitive approach to logistics can be transformative – aiming to encourage and promote respect for humanitarian principles amongst commercial service providers.

Gradual process – This process is a gradual one and based on dialogue with companies, helping them to meet the standards humanitarian organizations require rather than creating a “blacklist” of companies. This is similar to other established Conflict-Sensitive Business Practices.

Humanitarian Imperative – recognizing that the priority is timely, effective response to assist those in need, which means making compromises as there are often few companies to choose between in emergency/conflict contexts

Different organizations have different ethical or moral principles that guide them – some air cargo carrier activities may be less of an ethical concern to some organizations than others. It is up to the organizations themselves where they want to draw the line.
Practical help

Situational awareness

Understand the context through:

- Reading background resources
- Case studies
- Warning signs
- Search the extract library
- Contact EthicalCargo.org
EthicalCargo helps organizations to develop their situational awareness in regard to the use of air transport. Situational awareness involves understanding the general issues or specific context through:

- Reading background resources
- Looking at the case studies
- Understanding the “Warning signs”
- Searching the database for key terms such as country or carrier names
- Contacting EthicalCargo.org for additional assistance

**NOTE:** If wishing to open up the session, this is a good point to ask if participants have already visited the website or used the services.

*If wishing to expand the session, participants can be asked to explain what mechanisms their own organizations have in place to deal with the issue of ethical transport procurement.*
Practical help

Implementation

- Employ useful negotiation techniques
- Ethical transportation clauses in contracts, tenders etc.
- Sensitize staff through training
- Use the EthicalCargo hotline for immediate help
Slide 9: Practical help (2)

EthicalCargo helps organizations to implement conflict-sensitive ethical procurement through:

- Providing some useful negotiation techniques to employ
- Providing sample ethical transportation clauses in contracts, tenders etc.
- Providing training to sensitize key humanitarian personnel
- Providing a 24-hour hotline that can provide detailed information on a specific query at a deeper level than searching the online database
Situational awareness

1) Background reading

Resources

A range of organisations provide useful background information, guidelines, standards and codes of conduct for organisations and companies working to implement effective conflict-averse logistics programs based on International Humanitarian Law (IHL) and best practices.

Useful background information, guidelines, standards and codes of conduct

- Council of the European Union: Common Position on Arms Exports
- European Commission: Aviation Safety Policy
- Good Humanitarian Donorship
- Iatsof.org
- International Labour Organization
- Principles of Conduct for The International Red Cross and Red Crescent Movement and NGOs in Disaster Response Programmes
- The Humanitarian Charter
- The International Institute for Sustainable Development (IISD)
- The Organisation for Economic Cooperation and Development
- Transparency
- Voluntary Principles on Security and Human Rights

The website has a section that lists key resources. The most important for senior logistics and management staff for understanding the context of air transport and trafficking are:

**European Council of the European Union: Council Common Position on Arms Exports**

In 1998 the Council adopted the European Union Code of Conduct on Arms Exports which set up eight criteria for the export of conventional arms, established a notification and consultation mechanism for denials and included a transparency procedure through the publication of the EU annual reports on arms exports.

The Code contributed significantly to the harmonization of national arms export control policies and its principles and criteria have been officially subscribed to by various third countries.

**European Commission: Aviation Safety Policy**

In the EU, the aviation safety system is based on a close collaboration between the European Commission, the European Aviation Safety Agency, Eurocontrol, national civil aviation authorities of the Member States, as well as the aircraft manufacturers, airlines and other undertakings participating in the single aviation market.
2) Case studies

Available evidence indicates that air carriers involved in destabilizing arms transfers consistently operate in violation of international air safety regulations. These air carriers belong to an identifiable subset of a wider group of entities which typically operate in violation of the Chicago Convention and other air safety regulations. The following case studies present additional information on air carriers suspected of being involved in destabilizing arms transfers that have also violated international air safety standards.

Abudeel Aviation  Azaa Air Transport  Doren Air Cargo  GST Aero  Phoenix Aviation

Situational awareness
Available evidence indicates that air carriers involved in destabilizing arms transfers consistently operate in violation of international air safety regulations. These air carriers belong to an identifiable subset of a wider group of entities which typically operate in violation of the Chicago Convention and other air safety regulations. Five short case studies show that air carriers suspected of being involved in destabilizing arms transfers that have also violated international air safety standards.
Situational awareness

3) Warning signs

Warning signs

There are a number of basic warning signs which may be useful for humanitarian aid staff wishing to undertake a quick assessment of potential air cargo partners. Research has shown that companies with one or more of these characteristics are potentially more likely to jeopardize the integrity of your organization's conflict-sensitive logistics policy.

If your potential air cargo partner exhibits such warning signs, it may be useful to seek an explanation of the reasons. Incidents and circumstances surrounding them during any contract negotiation process that involve the promotion of your organization’s conflict-sensitive logistics program or ethical transportation policy.

Warning signs may be used in the context of any tender pre-conditions that form part of your organization's conflict-sensitive logistics program.

However, because of the primacy of the humanitarian imperative, the urgency of humanitarian operations, the fact that a number of major humanitarian operations are carried out in states where weak civil aviation oversight is a fact of life and death, EthicalCargo.org in no way recommends the exclusion of companies with such characteristics.

It is also important to note that not all companies that exhibit such characteristics have been documented as involved in trafficking or arms transfers to African conflict zones and other destabilizing commodity flows.
There are four main characteristics of air cargo carriers involved in destabilizing commodity transfers. They can be considered as “warning signs”, that, when present altogether, indicate a statistical likelihood to be in United Nations Sanction Committee reports:

**Poor safety record**
Companies often have poor safety records, often due to the fact they cut corners with safety or operate old, badly maintained aircraft.

**NOTE:** Can give the example of the image used on the website of GLBC – see “General Awareness” module. More recently, Filair, which has Antonovs in its fleet and is on the EU Safety Ban list, crashed in Bandundu, Congo (Democratic Republic) on August 25 2010.

**Operating from Tax-free Business Zones**
Companies involved in destabilizing commodities often operate from tax-free business zones in the Middle East and Africa making their business practices less transparent and making them unlikely to adhere to OECD guidelines for multinational corporations.

**Flag of convenience**
Flag of convenience registries are sited in states where civil aviation oversight is weak and nearly all flag of convenience registry aircraft have been banned from European airspace under air safety-related criteria.

Countries that provide flags of convenience include: Bahamas, Belize, Cayman Islands, Georgia and North Korea.

**Offshore Finance**
A number of air cargo actors channel their fees and contract costs via off-shore banking facilities. In some cases, the owners of the aircraft set up off-shore holding companies which “own” the aircraft.

A company that exhibits all of these warning signs is statistically more likely to be involved in destabilizing commodity flows.
Situational awareness

4) How to use the extract library

<table>
<thead>
<tr>
<th>TOOLS</th>
<th>Tool Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction</td>
<td>This extract library provides open-source information derived from United Nations and European Union publications, as well as extracts from media articles.</td>
</tr>
<tr>
<td>Case studies</td>
<td>It provides humanitarian aid, crisis response, and peace-support actors with situational awareness on conflict, safety and pollution-related reports and incidents to support their efforts to develop conflict-sensitive logistics programs and ethical transportation policies.</td>
</tr>
<tr>
<td>Negotiation techniques</td>
<td>As such, extracts contained within the library may be useful to humanitarian and peace-support actors to draw attention to reported incidents as part of their efforts to notify potential contractors of the necessity to adhere to conflict-sensitive practices and ethical transportation policies.</td>
</tr>
<tr>
<td>Warning signs</td>
<td>How to use the extract library database</td>
</tr>
<tr>
<td>Hotline</td>
<td>This extract library may be searched according to region, country, conflict and specific incidents. Searches on other themes such as in-flight safety, air safety regulations, flight plans, and crashes may be conducted. The extract library database contains open-source information and may be used as a starting point by organizations and companies dealing with background information as part of efforts to adopt conflict-sensitive logistics programs and ethical transportation policies. Members are invited to contact the hotline for additional information.</td>
</tr>
</tbody>
</table>
How to use

This extract library provides open source information derived from United Nations and European Union publications, as well as extracts from media articles and reports of crashes, safety violations or trafficking incidents.

This extract library may be searched according to region, country, conflict and specific incidents. Searches on other themes such as in-flight safety, air safety regulations, EU bans and crashes may be conducted.

The extract library is not a blacklist. Humanitarian aid, crisis response and peace support personnel should not automatically exclude companies which appear in open source reporting. Instead the extract library database is one of a number of tools to be used during negotiations with transport actors to highlight the conflict-sensitive dimension of an organization’s logistic policies. Incidents or reports contained within the database may be raised during negotiations so that potential contractors are given the opportunity to explain situations as well as sense the desirability of adopting ethical transportation policies in the future.
Situational awareness

4) Database – guided search

Search:

Keyword search: 
With all of the words

Search

Guided search:
Click a term to initiate a search.

Extract publisher
- African Arms Review
- AMAP/CC
- AMAP
- International

Type of extract
- African States
- UN
- Regional
- Other

Extract year
1972 1974 1976
1984 1986 1990
1994 1998 2002
2006 2010 2014
2018 2022 2026
Slide 14: Extract library (2)

Guided search

Extracts have been tagged by:

Year

Type of extract:

- Air Operator’s Certificate (AOC) Status - Extracts concerning the status of the airline companies Air Operator's Certificate (AOC). AOC’s are granted by the national airworthiness authority of the state in which the company is registered and are typically based upon criteria aimed at ensuring the airworthiness of the planes used by the company. The AOC is renewed periodically.

- Documentation Related - Extracts which mention airline companies with regards to issues of certification or licensing.

- EU Airspace Restrictions - Extracts originating from the EU banning order prohibiting certain airlines from flying over EU airspace. Further information about the EU ban list can be found here.

- Trafficking/Conflict Related - Extracts which mention airline companies because they have either allegedly been involved in destabilizing illicit trafficking or have been involved in operations of a military nature.

- Asset Transfer - Extracts which mention airline companies because they have been involved in the exchange of goods with other companies.

- Safety/Accident Related - Extracts which mention companies in relation to their safety record or in relation to their safety provisions.

- Miscellaneous - Extracts which mention airline companies for all other reasons.
Situational awareness

4) Database – analyzing results

Search: congo, galaxy

Type of extract: Confidential
Extract date: 31/05/09
Extract year: 2009
Extract publisher: UN Security Council

Type of extract: Debated/decided
Extract date: 09/07/07
Extract year: 2007
Extract publisher: UN Security Council

Summary: Alleged involvement in the Democratic Republic of the Congo, generally deniable, are jukebox
Galilea, king of a tribe of FNI/CPF rebels Congo. With regards incidents involving a misident of people that have already occurred
New versions, Sida appears to be a member that brought about violence in the Democratic Republic of the Congo.
Analyze the results

Collate the information you find and refer to the original source cited in each extract for the full context. You can then use this information to develop important points to be resolved in contract negotiations.
### Situational awareness

#### 5) Contact EthicalCargo

<table>
<thead>
<tr>
<th>ABOUT</th>
<th>Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction</td>
<td>This contact form is for general queries about the project and not the application to <a href="#">become a member</a>.</td>
</tr>
<tr>
<td>Concept</td>
<td>Name: (*)</td>
</tr>
<tr>
<td>Project</td>
<td>E-mail address: (*)</td>
</tr>
<tr>
<td>Resources</td>
<td>Your query: (*)</td>
</tr>
<tr>
<td>Membership</td>
<td></td>
</tr>
<tr>
<td>Contact us</td>
<td></td>
</tr>
</tbody>
</table>
For non-urgent requests for more information or support, use the EthicalCargo contact form or contact XXX@sipri.org

NOTE: Check who will be the main point of contact for post-training enquiries.
Implementation

1) Employ useful negotiation techniques
   Encourage commercial suppliers to adopt ethical transportation policies

2) Download and adapt ethical transportation clauses for insertion into tenders, contracts, SLAs etc.
The section on negotiation techniques provides step-by-step advice for negotiating with air cargo companies during preparation for negotiation, the negotiations themselves and the post-negotiation phase (documentation that should follow an agreement).

Sample clauses for inclusion in tender and contract documents as well as a sample Ethical Transportation Procurement Policy can be provided.

NOTE: At time of writing, the sample procurement policy is being distributed by email as feedback is being gathered from appropriate sources. Check whether the document has been finalised and is accessible from the website.
Implementation

3) Training

EthicalCargo's training modules
EthicalCargo provides training to support the adoption of effective conflict-affected logistics programmes and ethical transportation policies. The training programs consist of seven different modules which may be adapted for specific audiences and particular needs.

The modules are designed to support the work of a broad range of organizations, institutes, companies and personnel involved in humanitarian aid operations and training programs. These include staff working for international, non-governmental and donor organizations at headquarters, regional and country offices, as well as field based mission personnel. Training may be of particular benefit to staff working for inter-agency groups and coordination mechanisms. Training is also made available to higher education and training institute staff specializing in humanitarian aid related certification and research sources. A specific training course is designed for air cargo industry actors interested in establishing and implementing credible ethical transportation transportation policies.
Slide 18: Implementation – training

We offer a number of different training modules aimed at different audiences. Target audiences range from policy, research and desk officers needing an overall awareness of the issue, donors and coordination bodies looking to implement collective conflict-sensitive logistics policies and plans and country office and field logistics staff needing to negotiate directly with air cargo companies.

All the modules can be customized or combined to different training needs.

**General Awareness module** – for gaining an understanding of the issues surrounding the movement via air of illicit weapons, ammunition and other destabilizing commodities together with the types of air cargo actors involved in such conflict-sensitive flows.

**Introduction module** – briefing on EthicalCargo’s tools and services to assist organizations in the development of conflict-sensitive logistics, ethical procurement and ethical transportation policies.

**Coordination and Donorship module** – for exploring potential collective approaches to enable the wider humanitarian aid community contract air cargo actors with declared and verifiable ethical transportation policies.

**Policy Mainstreaming module** – for organizations interested in mainstreaming conflict-sensitive logistics, procurement and ethical transportation policies.

**Documentation tools module** - to assist personnel in understanding the various texts, mechanisms and procedures required for tenders, SLAs and other contracts to ensure effective conflict-sensitive logistics plans and ethical transportation policies. Areas covered include declarations, specific clauses and ethical audits.

**Negotiation tools module** - training on techniques to deploy when negotiating with air cargo actors and other commercial logistics entities to better ensure the implementation of an effective conflict-sensitive logistics plan and/or ethical transportation policy.

**Train the trainers module** - for organizations wishing to raise awareness within their own organization on the issue, ToT will be provided to enable key staff to run their own training sessions on Ethical Cargo issues.

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**NOTE: An Industry Outreach module is planned at a later point** – Aimed at staff from air cargo, brokering, chartering and freight-forwarding companies and the relevant industry associations with the aim of increasing understanding of what an ethical transportation policy consists of, how declarations may be made and how industry actors and associations can assist with awareness, transparency and verification procedures as well as ethical audit requirements.
Implementation

4) Hotline

ETHICAL CARGO

Hotline

EthicalCargo.org offers a 24-hour emergency hotline service to members.

The hotline service can provide members with additional information on ethical transportation policies and conflict-sensitive logistics programs. It provides advice on transparency and accountability issues as well as risk assessment and analysis techniques. In some cases, it can provide specific information to humanitarian and peace-support field support staff based in isolated locations or operating under difficult conditions.

Please submit your request for specific information to the EthicalCargo team below.

Email address: *

Telephone: *

Enter a telephone number where we can reach you. Don't forget the country code!

Your request: *

Please provide as much detail as possible where you are based (country, region, town), logistics situation and the nature of your question/problem.
EthicalCargo.org offers a 24-hour emergency hotline service to members. The hotline service provides advice on transparency and accountability issues as well as risk assessments of specific situations described by the requester. A contact form is provided on the website which is then followed up by a phone call from one of the EthicalCargo research team to provide advice or request more information in order to make a detailed risk assessment.
EthicalCargo's expert knowledge
Slide 20: EthicalCargo's expert knowledge

The hotline is a key part of EthicalCargo's services as EthicalCargo's expert knowledge goes much deeper than the extract library.

We have an internal database which includes information collected from:

- subscription-only databases
- Informal sources

We have started to map relationships between parent and child companies in the database.

In addition to this our research experts have considerable experience of finding crucial links between companies through tracing aircraft history and their knowledge of arms trafficking.
Transforming behaviour
To summarize, the EthicalCargo project hopes to contribute to a change in both client and supplier behaviour to reduce the profit incentive for air transport providers to be involved in destabilizing commodity flows.

This slide shows five groups who use commercial air transport services – destabilizing commodity traders, government defense departments, the business sector, UN peace-keeping operations and humanitarian agencies. Without strong ethical procurement policies in place (by both clients and suppliers) the money available for transport services is part of one large pool.

If effective ethical procurement requirements are made on transport suppliers then the money available for transporting destabilizing commodities is isolated and companies who wish to access large funds will have to adopt their own ethical transportation policies. Providing air transportation to destabilizing commodity transporters becomes much more risky and much less profitable.
Questions?

Contact:

NAME OF PRESENTER: xxx@sipri.org
Slide 22: Questions

Does anyone have any questions on the presentation?

NOTE: If no questions are forthcoming, some discussion points could include:

Has anyone already used the tools – what were your impressions (BE CAREFUL ABOUT HOW YOU MANAGE THIS QUESTION.)?

What mechanisms do other agencies have to deal with the issue?

Please take a minute to complete the anonymous training evaluation forms. We appreciate your honest responses in order to make sure the training is the best it can be.

Thank-you.
Policy Mainstreaming: Session plan

Time: 90 minutes

Aim of Session
Participants will consider various options and potential best practices for the mainstreaming of conflict-sensitive logistics, procurement and ethical transportation policies within international and non-government organizations, donor and inter-agency contexts. Focus areas include standardized tools (cross-agency ethical procurement policies), and coordination mechanisms as well as basic principles, guidelines and codes of conduct.

Objectives of Session
At the end of this session participants will be able to:

- Identify the main external documents and codes of conduct that are relevant to air cargo issues and demonstrate how compliance with these means that agencies have to mainstream this issue.
- Identify the internal documents that would contain references to ethical cargo issues (logistics handbook, Service Level Agreements and procurement guidelines, security handbook etc.)
- Identify the personnel who need to be aware of the issue.
- List three actions they will take for mainstreaming this issue into their organization (training/informing relevant staff, updating documentation etc.)

Key Messages
The use of suspect air-cargo carriers exposes an organization to:

- compromised security situations due to damaged reputation “by association”
- increased risk to staff members due to poor safety record of carriers

Changes in policy within NGOs, UN and other humanitarian organizations to demand cargo carriers meet ethical standards can make a significant impact on the economic incentive for companies to trade in destabilizing commodities.

Collective changes to policy (e.g. Sphere, Cluster) will be an affective lever to facilitate practical coordination on the ground to create consortia for purchasing cargo services.

Resources
- Computer and projector. Slide presentation “PRES-PolicyMainstreaming”
- Flip chart and markers


• A4-paper cut length-wise into two for ACTIVITY 2. 12 pieces on each table
• 3 Actions slips – 2 for each participant

Handouts
• Handout – sample Ethical Transport Procurement Policy
• Handout – Checklist for agencies
• Training evaluation form

Preparation
• Check which agencies are represented by the participants and check which codes of conduct their agencies are signed up to
• Write the list of relevant documents on the flip chart in pencil as a reminder for taking open-floor suggestions

Time summary

<table>
<thead>
<tr>
<th>Activity</th>
<th>Time (mins)</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACTIVITY 1: Introduction to the session</td>
<td>10’</td>
</tr>
<tr>
<td>ACTIVITY 2: External initiatives and codes relevant to the issue</td>
<td>20’</td>
</tr>
<tr>
<td>ACTIVITY 3: Compliance with external initiatives and codes</td>
<td>20’</td>
</tr>
<tr>
<td>ACTIVITY 4: Internal documentation and codes</td>
<td>25’</td>
</tr>
<tr>
<td>ACTIVITY 5: What can you do to mainstream this issue?</td>
<td>10’</td>
</tr>
<tr>
<td>ACTIVITY 6: Wrap up and questions</td>
<td>5’</td>
</tr>
</tbody>
</table>

Activity details

| ACTIVITY 1: Introduction to the session | 10’ |
|• Go through slides 1-3 |
|• Refresher – why is ethical cargo an issue for humanitarian organizations? Ask for suggestions and write up on flip-chart. Answers should include the following and could be grouped into impact on beneficiaries and impact on organizations |
### ACTIVITY 2: Multi-agency initiatives/codes 20’

**Show slide 4: “Activity”**
- Participants to list all the relevant external initiatives and codes that are relevant to this issue. Give them 5 minutes to write the name of each initiative/code on a slip of paper.
- Ask the first group to blutak one slip of paper to a piece of flipchart paper and explain what the initiative/code is and why it is relevant.
- Keep going round the groups until all suggestions are exhausted.
- Add any other codes/initiatives that are missed out.

Go through slides 5-10 to summarise.

### ACTIVITY 3: Compliance 10’

**Show slide 11 “Compliance”**
- Go down and ask people to put their hands up if they are a signatory to each code in turn. Cross-ref that with pre-prepared list of which initiatives/codes organizations are signed up to.
- Deal with issues on slide in turn.

Slide 12 – ALNAP – use to summarise challenges.

### ACTIVITY 4: Internal documentation and codes 25’

**Slides 13 - Activity**

The groups will now have one of two tasks. One half of the groups will do task A, the other task B.

**Task A:** list all the internal documents and codes relevant to this issue on a flip-chart paper. **Task B:** list all the personnel who will be affected by this issue and why on a flip-chart paper. The paper should be divided into 2 columns “Who” and “Why”. 5-10 minutes

Ask a rep from a groups doing Task A to report back. Ask others who have been doing Task A to add any they have missed.

Ask a rep from a groups doing Task B to report back. Ask others who have been doing Task B to add any they have missed.

Put the Task B list on the wall and fix another piece of flipchart paper next to it. Divide it into columns and put the
name of the documents as the headers. Ask in turn which documents apply to which personnel and put a tick in the right boxes.

Slides 14-15 – Ethical Procurement

Summarise examples of agency/donor procurement guidelines

Present and discuss EthicalCargo procurement policy sample

Slide 16 – Highlight issue of following up on policies.

**ACTIVITY 5: What can you do to mainstream this issue?**

10'

Slide 17 – summary Ethical Cargo tools and services

Slide 18 – action plans

- Ask participants in pairs to make action plan
- Report back in plenary
- Offer to link up participants by email after the session

**ACTIVITY 6: Wrap up and questions**

5

Slide 19 – Questions

**NOTE:** When wrapping up the presentation don't forget to make sure all handouts have been handed out, evaluation forms have been completed, the participant contacts sheet has been filled in and you have given details on how you can be contacted.
Good morning/afternoon. My name is XXX and I am part of the EthicalCargo team, working on XXX. My background is XXX and I've been with the EthicalCargo project since XXX.

This session is titled “Policy Mainstreaming”. It's aim is to identify how agencies can mainstream conflict-sensitive transport procurement into their policies and procedures.
Session objectives

- Identify key relevant external initiatives & codes of conduct
- Identify key relevant internal documents
- Identify common weaknesses of ethical procurement policies
- Identify key personnel who need to be aware of the issue
- List actions to be taken to mainstream this issue
Slide 2: SESSION OBJECTIVES

The objectives of this session are that participants will:

- Identify key relevant external initiatives & codes of conduct
- Identify key relevant internal documents
- Identify common weaknesses of ethical procurement policies
- Identify key personnel who need to be aware of the issue
- List the actions they will take to mainstream this issue
Refresher – why an issue?

UN Photo/Logan Abassi
Humanitarian organizations may end up using the same cargo operators that are involved in destabilizing commodity flows. This is due to two main reasons – limited availability of alternatives and lack of information regarding air cargo operator behaviour.

This has the following implications:

**Do No Harm in terms of:**

- War economy - financial support to those providing logistics service to destabilizing actors.
- Beneficiary protection issues – economic support to suspect companies facilitates their ability to trade in weapons/C-SC

**Programming/organizational issues:**

- Organizational reputation (local and international) can be damaged if association made between trafficking and the agency “They’re all the same”.
- Humanitarian space – Reduced “humanitarian space” if humanitarian agencies are not seen as independent or are seen as being part of the problem
- Safety of personnel travelling on unsafe aircraft
- Increased exposure of staff to people who may be engaged in destabilizing activities - Staff may be put into uncomfortable situations by having to deal with suspect companies and their staff (bribes, being asked to sign-off on carrying extra cargo with their own shipment which may contain weapons/C-SC etc.)
- Compliance with donor requirements (e.g. ECHO “Rules and procedures” - ethical procurement)
ACTIVITY

- In groups, identify key multi-agency initiatives, codes of conduct etc. that are relevant to the ethical cargo issue
- One person should write down each initiative/code in large, clear letters on one of the large slips of paper
- Put a bit of blutak on the back of each bit of paper

You have 5 minutes
We will now take five minutes to identify key multi-agency initiatives, codes of conduct and so on that are relevant to the ethical cargo issue. You will have 5 minutes for this exercise.

NOTES: Read through the instructions on the slide and then get one of the participants to read out the instructions to check everyone has understood. Ask one participant to be prepared to present the groups list.

Let’s read through the instructions:

- In groups, identify key multi-agency initiatives, codes of conduct etc. that are relevant to the ethical cargo issue
- One person should write down each initiative/code in large, clear letters on one of the large slips of paper
- Put a bit of blutak on the back of each bit of paper
- You have 5 minutes.

NOTES: In feedback, go through all the initiatives as people bring them up to be blutaked onto pre-prepared flip-chart paper. Those that are covered in further slides, can be picked out as being covered later. Those initiatives that are not covered by the training should be explained by the participants and noted down for next training preparation. Duplicates can be ignored.
Relevant initiatives & codes

- The Sphere Project
- Do No Harm Initiative
- Transparency International
- People In Aid
- Conflict Sensitivity
- ALNAP
- Humanitarian Accountability Partnership International (HAP International)

Donor-specific:

- Good Humanitarian Donorship
There are a number of initiatives to increase accountability and transparency in humanitarian operations and achieve high ethical standards in terms of neutrality and preserving the “humanitarian space”.

- The Sphere Project – the Humanitarian Charter and standards in humanitarian response
- Do No Harm Initiative – looked at their work in previous slide
- Transparency International – have produced work on corruption in the humanitarian sector
- People In Aid – standards for aid workers and the employment of aid workers
- Conflict Sensitivity – a sub-project of international alert
- ALNAP
- Humanitarian Accountability Partnership International (HAP International) – focusses on how organizations can be accountable to their beneficiaries, measure impacts and efficiently use funds
- Logistics Cluster – procurement best practice through the “LOG – online Logistics Operational Guide”

**Donor-specific:**

Good Humanitarian Donorship
Point 2.4, The Humanitarian Charter

“...assistance in situations of conflict may potentially render civilians more vulnerable to attack, or ... bring unintended advantage to one or more of the warring parties. We are committed to minimising any such adverse effects of our interventions” p.18

Common Standard 3, Guidance note 6 - Maximising positive impact and limiting harm

“Understanding the nature and source of conflict helps to ensure that aid is distributed in an impartial way and reduces or avoids negative impact.” p.35
NOTES: Ask a participant to explain the aim of Sphere and to distinguish between the standards and the humanitarian charter.

Sphere background:

Launched in 1997 by a group of humanitarian NGOs and the Red Cross and Red Crescent movement, The Sphere Project is an initiative to define and uphold the standards by which the global community responds to the plight of people affected by disasters, principally through a set of guidelines that are set out in the Humanitarian Charter and Minimum Standards in Disaster Response (commonly referred to as the Sphere Handbook). Sphere is based on two core beliefs: first, that those affected by disaster or conflict have a right to life with dignity and therefore a right to protection and assistance, and second, that all possible steps should be taken to alleviate human suffering arising out of disaster and conflict. Sphere is three things; a handbook, a broad process of collaboration, and an expression of commitment to quality and accountability.

The Humanitarian Charter sets the principles which humanitarian organizations should follow in their delivery of aid.

In relation to conflict-sensitivity, point 2.4 is the most pertinent to issues of ethical procurement:

Point 2.4, The Humanitarian Charter

“...assistance in situations of conflict may potentially render civilians more vulnerable to attack, or ... bring unintended advantage to one or more of the warring parties. We are committed to minimizing any such adverse effects of our interventions” p.18

Common Standard 3, Guidance note 6 - Maximizing positive impact and limiting harm

“Understanding the nature and source of conflict helps to ensure that aid is distributed in an impartial way and reduces or avoids negative impact.” p.35
1: The Humanitarian imperative comes first
   - 8: Relief aid must strive to reduce future vulnerabilities to disaster as well as meeting basic needs
   - 9: We hold ourselves accountable to both those we seek to assist and those from whom we accept resources
The IFRC/ICRC Code of Conduct is adhered to by hundreds of NGOs.

The following points in the code of conduct, which stresses the importance of neutrality, are particularly relevant to the issue we are discussing:

1: The Humanitarian imperative comes first – when there is a lack of alternatives, humanitarian organizations may have no choice but to use certain air cargo operators.

8: Relief aid must strive to reduce future vulnerabilities to disaster as well as meeting basic needs – this can be interpreted as being part of a wider picture of creating a consumer-driven “ethical standard” to reduce the profits made by those operators who engage in destabilizing commodity transfer and encourage them to transform their behaviour.

9: We hold ourselves accountable to both those we seek to assist and those from whom we accept resources – humanitarian organizations have a responsibility to do everything they can not to provide financial support to those who fund, fuel or facilitate conflict.

NOTE: IFRC/ICRC Code of conduct is here: http://www.ifrc.org/publicat/conduct/code.asp
“Assistance affects prices, wages, and profits and can either reinforce the war economy (enriching activities and people that war-related) or the peace economy...” p.13
Conflict-sensitivity is a concept that is related to the Do No Harm initiative which started life in the early 1990s as “Local Capacities For Peace Project” and resulted in two important publications: “Do No Harm: How Aid Can Support Peace - Or War” in 1999 and the “Do No Harm Handbook” in 2004. The central message of which was that aid projects have their own impacts on conflict situations which are sometimes negative and often “hidden” to the implementation organizations themselves. Aid organizations should analyze the context of their operation and identify “Dividers” and “Tensions” as well as “Connectors” and “Local Capacities for Peace” and modify their programs to minimize support to the first and maximize support to the latter.

Do No Harm provides a framework to analyze the wider impacts of an organizations’ activities. It is normally focused on field-based projects but can also be applied to the broader aspects of aid provision.

In terms of air transport provision, step 4 which involves analyzing how aid is distributed and step 5 which looks at how the program impacts on “DIVIDERS and CONNECTORS” (i.e. is the project supporting actors that are destabilizing peace efforts) are particularly important.

The quote below used on the slide refers to the political impact of resource transfers:
“Assistance affects prices, wages, and profits and can either reinforce the war economy (enriching activities and people that war-related) or the peace economy...” p.13

NOTES: Do No Harm Project background, taken from: http://www.cdainc.com/cdawww/project_profile.php?pid=DNH&pname=Do%20No%20Harm):

“The Do No Harm Project (DNH), begun in 1994, seeks to identify the ways in which international humanitarian and/or development assistance given in conflict settings may be provided so that, rather than exacerbating and worsening the conflict, it helps local people disengage from fighting and develop systems for settling the problems which prompt conflict within their societies.

The DNH concepts are widely used in the humanitarian and development communities and the project has developed one of the best known tools for Peace and Conflict Impact Analysis: the Do No Harm Framework for Analyzing the Impacts of Assistance on Conflict.”

Two good videos that describe the Do No Harm theory quite well, and can be provided to participants as links:


The following is from the Do No Harm Handbook, for further reference:

Step 4: Analyzing the Aid Programme
Step four of the DO NO HARM Framework involves a thorough review of all aspects of the aid programme. Where and why is aid offered, who are the staff (external and internal), how were they hired, who are the intended recipients of assistance, by what criteria are they included, what is provided, who decides, how is aid delivered, warehoused, distributed?

Step 5: Analyzing the Aid Programme’s Impact on DIVIDERS and CONNECTORS

Step five is analysis of the interactions of each aspect of the aid programme with the existing DIVIDERS/TENSIONS and CONNECTORS/LCPs. We ask: Who gains and who loses (or who does not gain) from our aid? Do these groups overlap with the DIVISIONS we identified as potentially or actually destructive? Are we supporting military activities or civilian structures? Are we missing or ignoring opportunities to reinforce CONNECTORS? Are we inadvertently undermining or weakening LCPs?

p.13, Brief Notes on Resource Transfers and Implicit Ethical Messages

Resource Transfers

Assistance is a vehicle for providing resources to people who need them. Assistance's most direct impacts on conflict are a result of the introduction of resources (food, health care, training, shelter, improved water systems, etc.) into conflicts. Assistance resources represent both wealth and power.
Conflict sensitivity means the ability of your organization to:

- understand the context in which you operate;
- understand the interaction between your intervention and the context; and
- act upon the understanding of this interaction, in order to avoid negative impacts and maximise positive impacts.
There have been a number of publications related to conflict-sensitive development aid and mainstreaming peacebuilding into humanitarian/early recovery programming.

International Alert [www.international-alert.org] has produced a website that consolidates information on conflict-sensitive programming, and this is called, not surprisingly, conflictsensitivity.org. Part of the output of this DFID-funded initiative is the tool “Conflict-Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding: A Resource Pack”.

This pack provides information on the theory and practice of a conflict-sensitive approach to aid programming. They define conflict-sensitivity as the ability of your organization to:

- understand the context in which you operate;
- understand the interaction between your intervention and the context; and
- act upon the understanding of this interaction, in order to avoid negative impacts and maximize positive impacts.

The Conflict Sensitivity Consortium aims to understand what “conflict sensitivity” means in practice, in terms of organizational systems as well as during the design, implementation, monitoring and evaluation of specific interventions. The Consortium comprises a diverse range of agencies and aims to share its findings widely in the humanitarian, peacebuilding and development sectors to enhance the capacity to institutionalize and implement conflict sensitive approaches.
“In storing and transporting relief resources, humanitarian actors need to be resilient in the face of pressure over the use of assets, for instance from local armed factions, and this may create an argument for safeguarding the principled independence of humanitarian agencies and being cautious about the use of private companies in sub-contracting arrangements.” p.40
Transparency International is a leading organization dealing with issues of corruption, primarily focused on state corruption.

TI has done some work on corruption in humanitarian action, though there has been no detailed study of the unintentional effects of aid programming in terms of supporting actors who are responsible for fueling, funding or facilitating conflict.

NOTE: This quote is useful to read out, from the TI publication “Mapping the Risk of Corruption in Humanitarian Action, 2006”:

“In storing and transporting relief resources, humanitarian actors need to be resilient in the face of pressure over the use of assets, for instance from local armed factions, and this may create an argument for safeguarding the principled independence of humanitarian agencies and being cautious about the use of private companies in sub-contracting arrangements.” p.40

NOTES: From Transparency International’s website.

Transparency International challenges the inevitability of corruption, and offers hope to its victims. Since its founding in 1993, TI has played a lead role in improving the lives of millions around the world by building momentum for the anti-corruption movement. TI raises awareness and diminishes apathy and tolerance of corruption, and devises and implements practical actions to address it.

Transparency International is a global network including more than 90 locally established national chapters and chapters-in-formation. These bodies fight corruption in the national arena in a number of ways. They bring together relevant players from government, civil society, business and the media to promote transparency in elections, in public administration, in procurement and in business. TI’s global network of chapters and contacts also use advocacy campaigns to lobby governments to implement anti-corruption reforms.
Compliance

- Why do we have these codes?
- Why are they important?
- Are they realistic?
- What happens if we don't comply with them?
- Whose agency here is signed up to these codes?
Many agencies are signed up to, or are participants of, the codes or initiatives we have just looked at. Whose organization here is signed up to any of the initiatives or codes of conduct we have already discussed?

**NOTE:** Use the spreadsheet of organizations and their involvement in codes to identify which codes the participants' organizations are signed up to beforehand.

**NOTE:** The questions can be opened up into a roundtable discussion. Optionally ask someone to write up the comments made on a flip-chart as you go along.

- Why do we have these codes? - for self-regulation, for guidance in how to operate, for equality of provision, to protect organizations reputations with donors, because they are principles staff believe in

- Why are they important? To maintain neutrality in order to carry out humanitarian work; maintain humanitarian space in order to carry out work; create standards to measure work by.

- Are they realistic? The implementation of such principles is not always easy, but that doesn’t mean that they can be ignored. Sometimes compromises are made in order to get aid in and the importance of reaching people has to be balanced against principles around “gifts to armed actors” in terms of “bribery” for access or compromising a standpoint.

- What happens if we don’t comply with them? It is harder to call humanitarian aid “humanitarian” and it is harder to demand that other actors such as states meet their own obligations.

- Whose agency here is signed up to these codes? Note – this will be most of them.
Many NGO interview respondents recognised that there was a tendency to exaggerate ability to adhere to principles and that the operational focus of some agencies was leading them to neglect humanitarian principles…. p.44
Compliance, particularly in emergency situations, is a challenge. Another initiative which is connected to ethics in humanitarian action in terms of accountability is ALNAP.

**NOTE:** Participants should be aware of ALNAP, so ask for a Participant to describe what ALNAP does and any initiatives they have been involved in before summarizing.

The Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) was established in 1997, following the multi-agency evaluation of the Rwanda genocide.

ALNAP's workplan is aimed at improving humanitarian performance through learning and accountability, and consists of core activities, project activities and linked activities.

ALNAP focuses on evaluation of the effectiveness of humanitarian aid.

The ALNAP publication The State of The Humanitarian System, 2010 is a comprehensive overview of the humanitarian system as it stands today. One quote stood out in relation to compliance with code of conduct and humanitarian principles:

> “Many NGO interview respondents recognized that there was a tendency to exaggerate ability to adhere to principles and that the operational focus of some agencies was leading them to neglect humanitarian principles....” p.44

In the area of ethical procurement, particularly in emergencies, it is not surprising that organizations with limited time and resources chose to hope that their suppliers are complying with ethical requirements rather than to carry out detailed due diligence, especially if there is no aviation logistics specialist within an organization – be it donor, coordinating body or implementing organization.

**NOTE:** More information from www.alnap.org:
ACTIVITY - Groups will be given one of 2 tasks:

**Task A:**
- On flip-chart paper, list all the INTERNAL documents and codes relevant to the issue

**Task B:**
- On flip chart paper, make a table of two columns with a list of which personnel are connected to the issue and why

You have (5-10) minutes
Let’s explore the internal documentation, codes and procedures that are relevant to ethical transport procurement issues.

**NOTES**: Read through the instructions on the slide and then get one of the participants to read out the instructions to check everyone has understood. Ask one participant to be prepared to present the groups list.

Let’s split into two groups. Each group will have a different task.

**Task A:**
On flip-chart paper, list all the INTERNAL documents and codes relevant to the issue

**Task B:**
On flip chart paper, make a table of two columns with a list of which personnel are connected to the issue and why

You have (5-10) minutes
NOTE: You are looking for people to draw out how many different staff are connected to the issue. Policy people, especially those responsible for implementing codes of conduct etc. need to be aware on an advocacy basis (especially if involved in initiatives to control Small Arms and Light Weapons or DDR projects) and for internal compliance.

Logistics staff often come to policy staff for a final decision on large contract (ones worth thousands of euros) so both need to understand what the issues are. As the field context is significantly different to the HQ context an organization will need to work out how best to inform their field staff. EthicalCargo can assist with this training.
Ethical Procurement

- Green procurement
- Working conditions
- Disassociation from arms transport (both legal and illegal)

ECHO Procurement Guidelines

Page 18:

When awarding a procurement contract to a private company, consider the following:
- Company linked to illegal activities?
- Assess in light of humanitarian imperative
- Carry out due diligence, coordination between humanitarian actors.

When using a broker or freight forwarder, consider the following:
- Make clear expectation of due diligence (ethical criteria)
- Does not absolve contracting authority from conducting its own checks

Page 88-89:

Transportation shall be provided by companies:
- Which adhere to the highest possible safety standards.
- Which commit to human rights and observe international law.

Suppliers shall not use the services of a transport provider known to also transport illicit goods, and or conflict-sensitive supplies to governments which systematically violate the human rights of their citizens.
One of the key documents is the implementing organization’s procurement policy and/or supplier conditions document.

The concept and application of “ethical procurement” has been developing rapidly in recent years. Ethical Procurement has focused primarily on “green procurement” - environmentally-friendly goods and transport of goods; working conditions – the procurement of goods from factories with good working practices and free from child labour; and disassociation from arms transportation (both legal and illegal).

For example, Oxfam has a “Ethical Purchasing Policy” (which has also been adopted by other agencies such as GOAL) which states that:

“The supplier or parent company should not be involved in any of the following activities:

- Arms manufacture

- The sale or export of arms or strategic services to governments which systematically violate the human rights of their citizens, or where there is internal armed conflict or major tensions, or where the sale of arms may jeopardise regional peace and security

- Tobacco production and sale

- The sale of babymilks outside the WHO Code of Conduct”

NOTE: Website lists more...
http://www.oxfam.org.uk/resources/suppliers/ethicalpurchasing.html

Oxfam also has internal guidelines on transportation of goods that stipulates that goods should not be transported with legal shipments of arms or by transporters of illicit arms.

The IAPG – Inter Agency Procurement Group – in the UK has a common procurement policy for a number of British and Irish NGOs:
“IAPG members will seek alternative sources where the conduct of suppliers demonstrably violates anyone’s basic human rights, and there is no willingness to address the situation within a reasonable timeframe. IAPG members will seek alternative sources where companies in the supply chain are involved in the manufacture of arms or the sale of arms to governments which systematically violate the human rights of their citizens.”

**ECHO**

Some donors, such as ECHO, have begun to emphasize the importance of ethical procurement. In October 2010, ECHO made the latest draft (September 2010) of the “Humanitarian Aid Guidelines for Procurement” available from their website: http://ec.europa.eu/echo/files/about/actors/DRAFT_Procurement_Guidelines_Sept2010.pdf

The guidelines include a section, “2.2 The Principle of Ethical Procurement”, that deals with ethical procurement and, in particular, ethical transport procurement. ECHO follows the principle of Do No Harm:

"Do No Harm" implies that potential unintended harmful effects of the humanitarian response (e.g. prolonging the conflict) or effects that promote inequity amongst recipients of aid should be identified from the initial stages of the programme design and should be pro-actively avoided.


In the same way that EthicalCargo recognizes the challenges of operating in certain conflict contexts, ECHO also emphasizes the importance of carrying out due diligence even when the number of air transport actors is limited:

In a number of countries the availability of cargo operators is limited due to security considerations therefore rather than setting fixed rules it is more relevant here to emphasise the importance of due diligence and cooperation/coordination between humanitarian actors to minimise the risk of EU funds being used to financially support businesses involved in unethical practices or even in violations of international human rights or humanitarian law.

ECHO also provides some explicit guidelines for the procurement of air cargo services in an annex to the Humanitarian Aid Guidelines for Procurement. This provides organizations implementing programmes with ECHO money with clear expectations in regard to what kind of due diligence is required. However, not all agencies have the time (particularly in emergencies) or, especially in the field, the expertise to be able to implement due diligence as expected.

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EthicalCargo provides tools and services in the form of training, a library extract database, sample policy documents and a hotline to provide support to humanitarian organizations in the mainstreaming of due diligence checks.

The establishment of specialist “Humanitarian Procurement Centres” has also increased capacity and expertise in humanitarian procurement processes and provides more resources for negotiating with and monitoring suppliers. With their economies of scales and specialization, HPCs’ application of ethical procurement guidelines will mean that due diligence is carried out on behalf of client NGOs, freeing smaller NGOs from having to have specialist aviation logistics staff.

NOTE: Handout the relevant pages from the ECHO document.

HANDOUT-07-ECHO-ProcurementGuidelines_Sept2010-EXTRACT-ONLY

Ask participants if their organization is already aware of these guidelines.
Example procurement policy

This form is intended to be used as a guide only. Organizations should determine their own needs.

Suggested ethical conditions include:
1. Transparency of staff or related activities.
2. Freedom of conscience.
3. Fairness in interpersonal relations.
5. Freedom of conscience.

This document is intended to be used as a guide only. Organizations should determine their own needs.
EthicalCargo provides a sample Ethical Air Transport Procurement Policy which can be adapted and then adopted by agencies.

This procurement policy makes it much clearer for air cargo operators and brokers. For larger operators and brokers, they should have the kind of structure that allows them to verify that their activities meet such ethical demands. They themselves will need to ensure they get some advice on Corporate Social Responsibility and ethical business practices.

In the field, working with a limited number of small operators, this policy may seem like something that can’t be enforced.

The section entitled “This means adherence to...” makes it clear what kind of guidelines and rules the company should follow.

Even then, however, it can be used to show that the organization does not want to use companies that are involved in destabilizing commodity flows and will favour any operator that can demonstrate effectively that that is not part of their work.

NOTE: Allow the participants to read the sample policy and take a short discussion over its contents. With specific questions, the response should always be that this is a sample only, that EthicalCargo itself does not set the ethical boundaries and it is up to organizations to decide the precise content of such as policy.
Rules and regulations

- When a supplier signs an agreement, does your organization ask how they can demonstrate fulfillment of ethical procurement requirements?

- Does your organization ever make any checks against these claims?

- Air cargo carriers may break all of these conditions.
When a supplier signs an agreement, does your organization ask HOW they can demonstrate fulfillment of ethical procurement requirements?

Does your organization ever make any checks against these claims?

Air cargo carriers may break all of these conditions: environmental (plane noise and pollution), working conditions (reduced breaks for pilots to provide cheaper services), ethical (shipment of legal arms to regimes that do not respect human rights)

NOTE: This can also be taken as a brief discussion. The important output of this is discussion of “due diligence” - organizations, even if they hand over much responsibility for air transport chartering to brokers, still have a responsibility to carry out due diligence themselves. EthicalCargo is available to support this.
EthicalCargo support

EthicalCargo provides

- Training for different audiences – donors, field staff, policy staff
- Hotline – 24 hour support for urgent enquiries
- Advice on negotiation techniques
- A searchable extract library database
- ...and more...
EthicalCargo helps organizations to develop their situational awareness in regard to the use of air transport. Situational awareness involves understanding the general issues or specific context through:

- Reading background resources
- Looking at the case studies
- Understanding the “Warning signs”
- Searching the database for key terms such as country or carrier names
- Contacting EthicalCargo.org for additional assistance

EthicalCargo helps organizations to implement conflict-sensitive ethical procurement through:

- Providing some useful negotiation techniques to employ
- Providing sample ethical transportation clauses in contracts, tenders etc.
- Providing training to sensitize key humanitarian personnel
- Providing a 24-hour hotline that can provide detailed information on a specific query at a deeper level than searching the online database
What can be done?

ACTIVITY

- In pairs make an action plan containing at least three activities you will individually undertake to ensure that your organization mainstreams this issue

You have (5-10) minutes
Slide 18 - What can be done?

**ACTIVITY**

In pairs make an action plan containing at least three activities you will individually undertake to take forward the mainstreaming of this issue into your organization. Write these things down for your own notes and on the “actions card” so we can follow-up to check.

You have (5-10) minutes

**NOTES:** Read through the instructions on the slide and then get one of the participants to read out the instructions to check everyone has understood. Depending on time, get either all participants, or just some, to feedback their ideas on what they will do. Collect the answers afterwards.

*Tips are:* Revise procurement guidelines, inform staff, contact EthicalCargo for further help, Training of Trainers etc.

This is a checklist for humanitarian organizations. You may find this useful for any team discussions you have in order to take the issue further.

**NOTE:** Handout “Checklist for humanitarian organisations”
Questions?

Contact:

NAME OF PRESENTER: xxx@sipri.org
NOTE: With any specific questions that cannot be answered, refer to the appropriate EthicalCargo contact.

Please take a minute to complete the anonymous training evaluation forms. We appreciate your honest responses in order to make sure the training is the best it can be.

Thank-you.

Contact: XXX XXX@SIPRI.org
Coordination and Donorship: Session plan

Time: 90 minutes

Aim of Session
Participants will consider various options and potential best practices for the implementation of a conflict-sensitive logistics strategy at the donor and coordination level.

Objectives of Session
At the end of this session participants will be able to:
Identify the main external documents and codes of conduct that are relevant to air cargo issues
Identify mechanisms that donors and coordinators can use to assist agencies in compliance
Identify real-world examples that can be used for case studies
Identify potential information-sharing possibilities
Identify the personnel who need to be aware of the issue
List three actions they will take for moving this issue onwards (training/informing relevant staff, updating documentation etc.)

Key Messages
Donors have an obligation to ensure their money is used wisely
Agencies on their own are often in a weak bargaining position and often have little choice when engaging companies
Potential for cost-sharing and cost-savings through collective cargo provision
Companies have a number of ways of hiding their backgrounds which makes constant background research essential

Resources
Computer and projector. Slide presentation “Module04-CoordinationDonorship”
Flip chart and markers
3 Actions slips – 2 for each participant

Handouts
Handout – sample Ethical Transport Procurement Policy
Handout – Checklist for agencies
Handout - 'Review on the Provision of Air Transport in Support of Humanitarian Operations'

Training evaluation form

Preparation

Check which agencies/donors are represented by the participants and check which codes of conduct (Good Humanitarian Donorship etc.) they are signed up to
**Time summary**

<table>
<thead>
<tr>
<th>Activity</th>
<th>Time (mins)</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACTIVITY 1: Introduction to the session</td>
<td>10’</td>
</tr>
<tr>
<td>ACTIVITY 2: Ethical initiatives, standards and codes</td>
<td>15’</td>
</tr>
<tr>
<td>ACTIVITY 3: Compliance</td>
<td>10’</td>
</tr>
<tr>
<td>ACTIVITY 4: Ethical procurement</td>
<td>15’</td>
</tr>
<tr>
<td>ACTIVITY 5: What can donors/coordinators do?</td>
<td>25’</td>
</tr>
<tr>
<td>ACTIVITY 6: EthicalCargo resources</td>
<td>10’</td>
</tr>
<tr>
<td>ACTIVITY 6: Wrap-up</td>
<td>5’</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>90’</strong></td>
</tr>
</tbody>
</table>

**Activity details**

| ACTIVITY 1: Introduction to the session | 10’ |
| Slides 1-4 |
| Refresher – why is ethical cargo an issue for donors and coordination bodies? Ask for suggestions and write up on flip-chart. Go through summary. |

| ACTIVITY 2: Multi-agency initiatives, standards, codes | 15’ |
| Slide 5 – Activity |
| • Follow activity instructions and draw out as many initiatives as possible from participants |
| Slides 6-12 |
| • Use to summarise feedback from participants. |
| NOTE: Some of these slides can be dropped from the presentation if it needs to be shortened -be selective |

| ACTIVITY 3: Compliance | 10’ |
| Show slide 13 “Compliance” |
• Go down and ask people to put their hands up if they are a signatory to each code in turn. Cross-ref that with prepared list of which initiatives/codes organizations are signed up to

• Deal with issues on slide in turn.

Slide 14 – ALNAP – use to summarise challenges.

**ACTIVITY 4: Ethical Procurement**

15’

Slides 15-16 – Ethical Procurement
Summarise examples of agency/donor procurement guidelines
Present and discuss EthicalCargo procurement policy sample Slide 17 – Highlight issue of following up on policies.

**ACTIVITY 5: What can donors/coordinators do?**

25’

Slide 18 - Recommendations from the Air Transport Review
This is a key slide. Take time to go through this in detail and use it as the building block for the activity.

Slide 19 – Activity
Follow the instructions and allow time for feedback.

Slides 20-23 can be used if participant feedback is limited.

**ACTIVITY 6: EthicalCargo Support**

10’

Slide 24 - Explain further EthicalCargo's resources and tools
Slide 25 – Actions – ensure actions slips are filled in and collected.

**ACTIVITY 7: Wrap up and questions**

5’

Slide 26 - Questions

NOTE: When wrapping up the presentation don't forget to make sure all handouts have been handed out, evaluation forms have been completed, the participant contacts sheet has been filled in and you have given details on how you can be contacted.
Coordination and Donorship

EthicalCargo project
CO-ORDINATION & DONORSHIP
Good morning/afternoon. My name is XXX and I am part of the EthicalCargo team, working on XXX. My background is XXX and I've been with the EthicalCargo project since XXX.

This session is titled “Coordination and Donorship”. Its aim is to identify how donors and coordinating bodies can help implementing agencies to make conflict-sensitive transport procurement decisions.
Session objectives

At the end of this session participants will:

- Identify relevant parts of documents/codes of conduct
- Identify ways to help agencies comply
- Suggest examples for case studies
- Identify information-sharing potential
- Identify the personnel who need to be aware of the issue
- List actions to take issue forward
Slide 2: SESSION OBJECTIVES

At the end of this session participants will:

- Identify relevant sections of documents/codes of conduct that relate to the issue of ethical transport procurement
- Identify ways to help agencies comply
- Suggest examples for case studies
- Identify information-sharing potential
- Identify the personnel who need to be aware of the issue
- List actions to take issue forward
Refresher – why an issue?
NOTE: Ask participants to say why the issue of air cargo operators transporting destabilizing commodities is an issue for donors and coordinating bodies.
Issues for donors & coordinators

Do No Harm:

- War economy – indirect financial support

Programming/organizational issues:

- Responsibility to tax payers/private donors
- Reputation
- Humanitarian space – demonstrating independence
- Project costs increased
- Safety of personnel traveling on unsafe aircraft
- Staff exposed to negotiations with destabilizing actors
Humanitarian organizations may end up using the same cargo operators that are involved in destabilizing commodity flows. This is due to two main reasons – limited availability of alternatives and lack of information regarding air cargo operator behaviour.

Donors and coordinating bodies play an important role in both supporting agencies and conducting their own evaluation and due diligence with regard to ethical procurement.

**Do No Harm:**

- War economy – financial support to actors that fuel, fund or facilitate conflict.
- Beneficiary protection issues – economic support to suspect companies facilitates their ability to trade in weapons/C-SC

**Programming/organizational issues:**

- Responsibility to tax payers/private donors - Donors have a responsibility to ensure their funds are used accountably and wisely
- Reputation - In-country reputation can be damaged if association made between trafficking and the implementing agency/donor “They’re all the same” or “Agencies and their sponsors have their own hidden agenda”. Global reputation may be damaged by association with suspect companies – suggests at least a lack of “due diligence”
- Humanitarian space – demonstrating independence - Reduced “humanitarian space” if humanitarian agencies are not seen as independent or are seen as being part of the problem
- Project costs increased – sometimes the “cheapest” option is not always the cheapest in the long run – co-ordinated humanitarian air transport may be cheaper than individual agencies being responsible for their own air cargo procurement
- Safety of personnel traveling on unsafe aircraft
- Staff exposed to negotiations with destabilizing actors
Initiatives/codes

ACTIVITY

• In groups, identify key multi-agency initiatives, codes of conduct etc. that are relevant to the ethical cargo issue

• One person should write down each initiative/code in large, clear letters on one of the large slips of paper

• Put a bit of blutak on the back of each bit of paper

You have 5 minutes
We will now take five minutes to identify key multi-agency initiatives, codes of conduct and so on that are relevant to the ethical cargo issue. You will have 5 minutes for this exercise.

**NOTES:** Read through the instructions on the slide and then get one of the participants to read out the instructions to check everyone has understood. Ask one participant to be prepared to present the groups list.

Let's read through the instructions:

- In groups, identify key multi-agency initiatives, codes of conduct etc. that are relevant to the ethical cargo issue
- One person should write down each initiative/code in large, clear letters on one of the large slips of paper
- Put a bit of blutak on the back of each bit of paper
- You have 5 minutes.

**NOTES:** In feedback, go through all the initiatives as people bring them up to be blutaked onto pre-prepared flip-chart paper. Those that are covered in further slides, can be picked out as being covered later. Those initiatives that are not covered by the training should be explained by the participants and noted down for next training preparation. Duplicates can be ignored.
## Relevant initiatives & codes

- The Sphere Project
- Do No Harm Initiative
- Transparency International
- People In Aid
- Conflict Sensitivity
- ALNAP
- Humanitarian Accountability Partnership International

**Donor/Government-specific:**
- Good Humanitarian Donorship
- International Coalition for the Responsibility to Protect
- International Humanitarian Law
There are a number of initiatives to increase accountability and transparency in humanitarian operations and achieve high ethical standards in terms of neutrality and preserving the “humanitarian space”.

- The Sphere Project
- Do No Harm Initiative
- Transparency International
- People In Aid
- Conflict Sensitivity
- ALNAP
- Humanitarian Accountability Partnership International

**Donor/Government-specific:**

- Good Humanitarian Donorship
- International Coalition for the Responsibility to Protect
- International Humanitarian Law

We will now look at some of them in more detail.
Good Humanitarian Donorship Principles

Principle 2

• “Humanitarian action should be guided by the humanitarian principles of humanity, … impartiality, … neutrality, … and independence, meaning the autonomy of humanitarian objectives from the political, economic, military or other objectives that any actor may hold ….”
Slide 7 – Good Humanitarian Donorship

GHD provides a forum for Donors to have a coordinated approach to certain aid issues. Often this focuses on the timeliness and coordination of funding itself. However, it is also an opportunity to deal with issues centered around Principle 2 of GHD:

Principle 2

“Humanitarian action should be guided by the humanitarian principles of humanity, ... impartiality, ... neutrality, ... and independence, meaning the autonomy of humanitarian objectives from the political, economic, military or other objectives that any actor may hold ....”

NOTE: Ask if any of the participants have participated in the GHD initiative and ask them to explain more about it.
**Point 2.4, The Humanitarian Charter**

“...assistance in situations of conflict may potentially render civilians more vulnerable to attack, or ... bring unintended advantage to one or more of the warring parties. We are committed to minimising any such adverse effects of our interventions” p.18

**Common Standard 3, Guidance note 6 - Maximising positive impact and limiting harm**

“Understanding the nature and source of conflict helps to ensure that aid is distributed in an impartial way and reduces or avoids negative impact.” p.35
NOTES: Ask a participant to explain the aim of Sphere and to distinguish between the standards and the humanitarian charter.

Sphere background:

Launched in 1997 by a group of humanitarian NGOs and the Red Cross and Red Crescent movement, The Sphere Project is an initiative to define and uphold the standards by which the global community responds to the plight of people affected by disasters, principally through a set of guidelines that are set out in the Humanitarian Charter and Minimum Standards in Disaster Response (commonly referred to as the Sphere Handbook). Sphere is based on two core beliefs: first, that those affected by disaster or conflict have a right to life with dignity and therefore a right to protection and assistance, and second, that all possible steps should be taken to alleviate human suffering arising out of disaster and conflict. Sphere is three things; a handbook, a broad process of collaboration, and an expression of commitment to quality and accountability.

The Humanitarian Charter sets the principles which humanitarian organizations should follow in their delivery of aid.

In relation to conflict-sensitivity, point 2.4 is the most pertinent to issues of ethical procurement:
Point 2.4, The Humanitarian Charter

“...assistance in situations of conflict may potentially render civilians more vulnerable to attack, or ... bring unintended advantage to one or more of the warring parties. We are committed to minimising any such adverse effects of our interventions” p.18

Common Standard 3, Guidance note 6 - Maximising positive impact and limiting harm

“Understanding the nature and source of conflict helps to ensure that aid is distributed in an impartial way and reduces or avoids negative impact.” p.35
1: The Humanitarian imperative comes first

- 8: Relief aid must strive to reduce future vulnerabilities to disaster as well as meeting basic needs
- 9: We hold ourselves accountable to both those we seek to assist and those from whom we accept resources
The IFRC/ICRC Code of Conduct is adhered to by hundreds of NGOs.

The following points in the code of conduct, which stresses the importance of neutrality, are particularly relevant to the issue we are discussing:

1: The Humanitarian imperative comes first

**NOTE:** When there is a lack of alternatives, humanitarian organizations may have no choice but to use certain air cargo operators.

8: Relief aid must strive to reduce future vulnerabilities to disaster as well as meeting basic needs –

**NOTE:** This can be interpreted as being part of a wider picture of creating a consumer-driven “ethical standard” to reduce the profits made by those operators who engage in destabilizing commodity transfer and encourage them to transform their behaviour.

9: We hold ourselves accountable to both those we seek to assist and those from whom we accept resources –

**NOTE:** Humanitarian organizations have a responsibility to do everything they can not to provide financial support to those who fund, fuel or facilitate conflict.

**NOTE:** IFRC/ICRC Code of conduct is here:
http://www.ifrc.org/publicat/conduct/code.asp
“Assistance affects prices, wages, and profits and can either reinforce the war economy (enriching activities and people that war-related) or the peace economy...”

p.13
Conflict-sensitivity is a concept that is related to the Do No Harm initiative which started life in the early 1990s as “Local Capacities For Peace Project” and resulted in two important publications: “Do No Harm: How Aid Can Support Peace - Or War” in 1999 and the “Do No Harm Handbook” in 2004. The central message of which was that aid projects have their own impacts on conflict situations which are sometimes negative and often “hidden” to the implementation organizations themselves. Aid organizations should analyse the context of their operation and identify “Dividers” and “Tensions” as well as “Connectors” and “Local Capacities for Peace” and modify their programs to minimise support to the first and maximise support to the latter.

Do No Harm provides a framework to analyse the wider impacts of an organizations' activities. It is normally focused on field-based projects but can also be applied to the broader aspects of aid provision.

In terms of air transport provision, step 4 which involves analysing how aid is distributed and step 5 which looks at how the program impacts on “DIVIDERS and CONNECTORS” (i.e. is the project supporting actors that are destabilizing peace efforts) are particularly important.

The quote below used on the slide refers to the political impact of resource transfers:
“Assistance affects prices, wages, and profits and can either reinforce the war economy (enriching activities and people that war-related) or the peace economy…” p.13

NOTES: Do No Harm Project background, taken from:

“The Do No Harm Project (DNH), begun in 1994, seeks to identify the ways in which international humanitarian and/or development assistance given in conflict settings may be provided so that, rather than exacerbating and worsening the conflict, it helps local people disengage from fighting and develop systems for settling the problems which prompt conflict within their societies.

The DNH concepts are widely used in the humanitarian and development communities and the project has developed one of the best known tools for Peace and Conflict Impact Analysis: the Do No Harm Framework for Analyzing the Impacts of Assistance on Conflict.”

Two good videos that describe the Do No Harm theory quite well, and can be provided to participants as links:


The following is from the Do No Harm Handbook, for further reference:

Step 4: Analyzing the Aid Programme
Step four of the DO NO HARM Framework involves a thorough review of all aspects of the aid programme. Where and why is aid offered, who are the staff (external and internal), how were they hired, who are the intended recipients of assistance, by what criteria are they included, what is provided, who decides, how is aid delivered, warehoused, distributed?

Step 5: Analyzing the Aid Programme’s Impact on DIVIDERS and CONNECTORS

Step five is analysis of the interactions of each aspect of the aid programme with the existing DIVIDERS/TENSIONS and CONNECTORS/LCPs. We ask: Who gains and who loses (or who does not gain) from our aid? Do these groups overlap with the DIVISIONS we identified as potentially or actually destructive? Are we supporting military activities or civilian structures? Are we missing or ignoring opportunities to reinforce CONNECTORS? Are we inadvertently undermining or weakening LCPs?

p.13, Brief Notes on Resource Transfers and Implicit Ethical Messages

Resource Transfers

Assistance is a vehicle for providing resources to people who need them. Assistance’s most direct impacts on conflict are a result of the introduction of resources (food, health care, training, shelter, improved water systems, etc.) into conflicts. Assistance resources represent both wealth and power
Conflict sensitivity means the ability of your organization to:

- understand the context in which you operate;
- understand the interaction between your intervention and the context; and
- act upon the understanding of this interaction, in order to avoid negative impacts and maximise positive impacts.
There have been a number of publications related to conflict-sensitive development aid and mainstreaming peacebuilding into humanitarian/early recovery programming.

International Alert [www.international-alert.org] has produced a website that consolidates information on conflict-sensitive programming, and this is called, not surprisingly, conflictsensitivity.org. Part of the output of this DFID-funded initiative is the tool “Conflict-Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding: A Resource Pack”.

This pack provides information on the theory and practice of a conflict-sensitive approach to aid programming. They define conflict-sensitivity as the ability of your organization to:

- understand the context in which you operate;
- understand the interaction between your intervention and the context; and
- act upon the understanding of this interaction, in order to avoid negative impacts and maximise positive impacts.

The Conflict Sensitivity Consortium aims to understand what “conflict sensitivity” means in practice, in terms of organizational systems as well as during the design, implementation, monitoring and evaluation of specific interventions. The Consortium comprises a diverse range of agencies and aims to share its findings widely in the humanitarian, peacebuilding and development sectors to enhance the capacity to institutionalise and implement conflict sensitive approaches.
“In storing and transporting relief resources, humanitarian actors need to be resilient in the face of pressure over the use of assets, for instance from local armed factions, and this may create an argument for safeguarding the principled independence of humanitarian agencies and being cautious about the use of private companies in sub-contracting arrangements.” p.40
Transparency International is a leading organization dealing with issues of corruption, primarily focused on state corruption.

TI has done some work on corruption in humanitarian action, though there has been no detailed study of the unintentional effects of aid programming in terms of supporting actors who are responsible for fueling, funding or facilitating conflict.

NOTE: This quote is useful to read out, from the TI publication “Mapping the Risk of Corruption in Humanitarian Action, 2006”:

“In storing and transporting relief resources, humanitarian actors need to be resilient in the face of pressure over the use of assets, for instance from local armed factions, and this may create an argument for safeguarding the principled independence of humanitarian agencies and being cautious about the use of private companies in sub-contracting arrangements.” p.40

NOTES: From Transparency International’s website.

Transparency International challenges the inevitability of corruption, and offers hope to its victims. Since its founding in 1993, TI has played a lead role in improving the lives of millions around the world by building momentum for the anti-corruption movement. TI raises awareness and diminishes apathy and tolerance of corruption, and devises and implements practical actions to address it.

Transparency International is a global network including more than 90 locally established national chapters and chapters-in-formation. These bodies fight corruption in the national arena in a number of ways. They bring together relevant players from government, civil society, business and the media to promote transparency in elections, in public administration, in procurement and in business. TI’s global network of chapters and contacts also use advocacy campaigns to lobby governments to implement anti-corruption reforms.
Compliance

- Why do we have these codes?
- Are they realistic?
- How do donors check if agencies are following such codes?
- Whose organization here today is involved in any of these initiatives?
Many agencies are signed up to these codes or initiatives. Whose organization here is signed up to any of the initiatives or codes of conduct we have already discussed?

NOTE: Use the spreadsheet of organizations and their involvement in codes to identify which codes the participants’ organizations are signed up to beforehand.

NOTE: The questions can be opened up into a roundtable discussion. Optionally ask someone to write up the comments made on a flip-chart as you go along.

- Why do we have these codes? - for self-regulation, for guidance in how to operate, for equality of provision, to protect organizations reputations with donors, to protect donors reputations with the tax payer, because they are principles staff believe in.

- Why do we have these codes? - for self-regulation, for guidance in how to operate, for equality of provision, to protect organizations reputations with donors, because they are principles staff believe in.

- Why are they important? To maintain neutrality in order to carry out humanitarian work; maintain humanitarian space in order to carry out work; create standards to measure work by.

- Are they realistic? The implementation of such principles is not always easy, but that doesn’t mean that they can be ignored. Sometimes compromises are made in order to get aid in and the importance of reaching people has to be balanced against principles around “gifts to armed actors” in terms of “bribery” for access or compromising a standpoint.

- How do donors check up if agencies are following these principles? Audits and analysis. Is a conflict sensitivity audit ever made? Ask participants to give examples as we are not aware of any.

- What happens if we don’t comply with them? It is harder to call humanitarian aid “humanitarian” and it is harder to demand that other actors such as states meet their own obligations.

- Whose organization here is signed up to these codes? Note – this will be most of them.
“Many NGO interview respondents recognised that there was a tendency to exaggerate ability to adhere to principles and that the operational focus of some agencies was leading them to neglect humanitarian principles….” p.44
Compliance, particularly in emergency situations, is a challenge. Another initiative which is connected to ethics in humanitarian action in terms of accountability is ALNAP.

NOTE: Participants should be aware of ALNAP, so ask for a Participant to describe what ALNAP does and any initiatives they have been involved in before summarising.

The Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) was established in 1997, following the multi-agency evaluation of the Rwanda genocide.

ALNAP’s workplan is aimed at improving humanitarian performance through learning and accountability, and consists of core activities, project activities and linked activities.

ALNAP focuses on evaluation of the effectiveness of humanitarian aid.

The ALNAP publication The State of The Humanitarian System, 2010 is a comprehensive overview of the humanitarian system as it stands today. One quote stood out in relation to compliance with code of conduct and humanitarian principles:

“Many NGO interview respondents recognised that there was a tendency to exaggerate ability to adhere to principles and that the operational focus of some agencies was leading them to neglect humanitarian principles....” p.44

In the area of ethical procurement, particularly in emergencies, it is not surprising that organizations with limited time and resources chose to hope that their suppliers are complying with ethical requirements rather than to carry out detailed due diligence, especially if there is no aviation logistics specialist within an organization – be it donor, coordinating body or implementing organization.
A unique network, ALNAP incorporates many of the key humanitarian organizations and experts from across the humanitarian sector. Members are drawn from donors, NGOs, the Red Cross/Crescent, the UN, independents and academics. ALNAP uses the broad range of experience and expertise within its membership to produce tools and analysis relevant and accessible to the humanitarian sector as a whole.
Ethical Procurement

- Green procurement
- Working conditions
- Disassociation from arms transport (both legal and illegal)

ECHO Procurement Guidelines

Page 18:
When awarding a procurement contract to a private company, consider the following:
- Company linked to illegal activities?
- Assess in light of humanitarian imperative
- Carry out due diligence, coordination between humanitarian actors.

When using a broker or freight forwarder, consider the following:
- Make clear expectation of due diligence (ethical criteria)
- Does not absolve contracting authority from conducting its own checks

Page 88-89:
Transportation shall be provided by companies:
- Which adhere to the highest possible safety standards.
- Which commit to human rights and observe international law.

Suppliers shall not use the services of a transport provider known to also transport illicit goods, and or conflict-sensitive supplies to governments which systematically violate the human rights of their citizens.
Slide 15 - Ethical Procurement

One of the key documents is the implementing organization’s procurement policy and/or supplier conditions document.

The concept and application of “ethical procurement” has been developing rapidly in recent years. Ethical Procurement has focused primarily on “green procurement” - environmentally-friendly goods and transport of goods; working conditions – the procurement of goods from factories with good working practices and free from child labour; and disassociation from arms transportation (both legal and illegal).

For example, Oxfam has a “Ethical Purchasing Policy” (which has also been adopted by other agencies such as GOAL) which states that:

“The supplier or parent company should not be involved in any of the following activities:

- Arms manufacture

- The sale or export of arms or strategic services to governments which systematically violate the human rights of their citizens, or where there is internal armed conflict or major tensions, or where the sale of arms may jeopardise regional peace and security

- Tobacco production and sale

- The sale of babymilks outside the WHO Code of Conduct”

NOTE: Website lists more...
http://www.oxfam.org.uk/resources/suppliers/ethicalpurchasing.html

Oxfam also has internal guidelines on transportation of goods that stipulates that goods should not be transported with legal shipments of arms or by transporters of illicit arms.

The IAPG – Inter Agency Procurement Group – in the UK has a common procurement policy for a number of British and Irish NGOs: http://www.iapg.org.uk/index.php/2008/09/corporate-social-responsibility/
“IAPG members will seek alternative sources where the conduct of suppliers demonstrably violates anyone’s basic human rights, and there is no willingness to address the situation within a reasonable timeframe. IAPG members will seek alternative sources where companies in the supply chain are involved in the manufacture of arms or the sale of arms to governments which systematically violate the human rights of their citizens.”

**ECHO**

Some donors, such as ECHO, have begun to emphasize the importance of ethical procurement. In October 2010, ECHO made the latest draft (September 2010) of the “Humanitarian Aid Guidelines for Procurement” available from their website: [http://ec.europa.eu/echo/files/about/actors/DRAFT_Procurement_Guidelines_Sept2010.pdf](http://ec.europa.eu/echo/files/about/actors/DRAFT_Procurement_Guidelines_Sept2010.pdf)

The guidelines include a section, “2.2 The Principle of Ethical Procurement”, that deals with ethical procurement and, in particular, ethical transport procurement. ECHO follows the principle of Do No Harm:

"Do No Harm" implies that potential unintended harmful effects of the humanitarian response (e.g. prolonging the conflict) or effects that promote inequity amongst recipients of aid should be identified from the initial stages of the programme design and should be pro-actively avoided.


In the same way that EthicalCargo recognizes the challenges of operating in certain conflict contexts, ECHO also emphasizes the importance of carrying out due diligence even when the number of air transport actors is limited:

In a number of countries the availability of cargo operators is limited due to security considerations therefore rather than setting fixed rules it is more relevant here to emphasise the importance of due diligence and cooperation/coordination between humanitarian actors to minimise the risk of EU funds being used to financially support businesses involved in unethical practices or even in violations of international human rights or humanitarian law.

ECHO also provides some explicit guidelines for the procurement of air cargo services in an annex to the Humanitarian Aid Guidelines for Procurement. This provides organizations implementing programmes with ECHO money with clear
expectations in regard to what kind of due diligence is required. However, not all agencies have the time (particularly in emergencies) or, especially in the field, the expertise to be able to implement due diligence as expected.

EthicalCargo provides tools and services in the form of training, a library extract database, sample policy documents and a hotline to provide support to humanitarian organizations in the mainstreaming of due diligence checks.

The establishment of specialist “Humanitarian Procurement Centres” has also increased capacity and expertise in humanitarian procurement processes and provides more resources for negotiating with and monitoring suppliers. With their economies of scales and specialization, HPCs' application of ethical procurement guidelines will mean that due diligence is carried out on behalf of client NGOs, freeing smaller NGOs from having to have specialist aviation logistics staff.

**NOTE: Handout the relevant pages from the ECHO document.**

**HANDOUT-07-ECHO-ProcurementGuidelines_Sept2010-EXTRACT-ONLY**

*Ask participants if their organization is already aware of these guidelines.*
Example procurement policy
EthicalCargo provides a sample Ethical Air Transport Procurement Policy which can be adapted and then adopted by both humanitarian implementing agencies and their donors.

This procurement policy makes it much clearer for air cargo operators and brokers. For larger operators and brokers, they should have the kind of structure that allows them to verify that their activities meet such ethical demands. They themselves will need to ensure they get some advice on Corporate Social Responsibility and ethical business practices.

In the field, working with a limited number of small operators, this policy may seem like something that can’t be enforced.

The section entitled “This means adherence to...” makes it clear what kind of guidelines and rules the company should follow.

Even then, however, it can be used to show that the organization does not want to use companies that are involved in destabilizing commodity flows and will favour any operator that can demonstrate effectively that that is not part of their work.

**NOTE: Allow the participants to read the sample policy and take a short discussion over its contents. With specific questions, the response should always be that this is a sample only, that EthicalCargo itself does not set the ethical boundaries and it is up to organizations to decide the precise content of such as policy.**
Rules and regulations

- When a supplier signs an agreement, does your organization ask how they can demonstrate fulfillment of ethical procurement requirements?
- Does your organization ever make any checks against these claims?
- Air cargo carriers may break all of these conditions.
When a supplier signs an agreement, does your organization ask HOW they can demonstrate fulfillment of ethical procurement requirements?

Does your organization ever make any checks against these claims?

Air cargo carriers may break all of these conditions: environmental (plane noise and pollution), working conditions (reduced breaks for pilots to provide cheaper services), ethical (shipment of legal arms to regimes that do not respect human rights)

NOTE: This can also be taken as a brief discussion. The important output of this is discussion of “due diligence” - organizations and their donors, even if they hand over much responsibility for air transport chartering to brokers, still have a responsibility to carry out due diligence themselves. EthicalCargo can support this.
Air Transport Review

Review on the Provision of Air Transport in Support of Humanitarian Operations, March 2010, Channel Research (Commissioned by DG ECHO)

Photo: Jon Fowler

The report is a good overview of the current state of humanitarian air services and includes a chapter entitled “Coordination: Needs, Options and Opportunities”. This identifies gaps in current coordination and advocates increased coordination and cooperation, led by donors, in areas of:

- Monitoring and standardisation of best practice in relation to safety and security;
- Donorship, transparency, finances and costs issues in relation to greater shared costs and expertise to increase cost effectiveness;
- Preparedness, surge capacity and International Disaster Response Law in respect to aviation – airspace agreements, access to airports etc.;
- Humanitarian principles, including agreed multi-agency principles in relation to cargo and trafficking;
- Capacity development, Linking Relief, Rehabilitation and Development and R&D in terms of improved state aviation standards and environmentally-friendly solutions;
- Logistics, including “principles, standards and good practice regarding cargo transport and management, be it by surface or air.”
A recurring theme throughout this report has been the need for effective coordination. In what is a highly technical area, involving a mixture of commercial and non-commercial actors, operational coordination is frequently weak. Better coordination of air services and assets is essential to humanitarian response.

Most theatres of operation require a mixture of aircraft to move passengers and cargo to the operation, firstly between main hubs and thence in smaller numbers to programme sites. This suggests a co-ordinated response using a variety of aircraft best suited to a particular sector of the overall operation. For many reasons outlined in the body of this report, this does not happen. Each operator – UN, NGO, Red Cross/Red Crescent movement and donors - operates with limited, mainly ad hoc involvement with others.

Such co-ordinated efforts are espoused through initiatives developed over the past years including, inter alia, The Humanitarian Reform Process; Good Humanitarian Donorship; civil/military initiatives and humanitarian/commercial initiatives. Coordination is often mired in turf battles and the ‘mission-creep’ of entities jealous of their share of the humanitarian market-place. Its absence is often due to a lack of leadership.

The full report is available here:

How can donors/coordinators support agencies?

**ACTIVITY**

- What documentation, activities and initiatives could donors and coordinators strengthen to help support agencies to implement an ethical cargo policy?
- Create a table as follows:

<table>
<thead>
<tr>
<th>Description of action</th>
<th>Who is involved?</th>
<th>What resources required be effective?</th>
</tr>
</thead>
</table>

You have 10 minutes
What documentation, activities and initiatives could donors and coordinators strengthen, sponsor or establish to help support agencies to implement an ethical cargo policy?

Of course, many donors themselves also charter air cargo planes.

Create a table as follows:

<table>
<thead>
<tr>
<th>Description of action</th>
<th>Who is involved?</th>
<th>What resources required be effective?</th>
</tr>
</thead>
</table>

You have 10 minutes
NOTE: Depending on the group, you could divide the group into coordinators/donor bodies or give groups different angles to look at – support to humanitarian air services; support to agencies through partnership agreements and ethical procurement issues; coordination issues for cost effectiveness etc.

NOTE: Allow good time for feedback. You may not need to use the next few slides if the feedback is deep enough to discuss in detail. Otherwise the following slides can be used to draw out some other ideas.

The idea should be to guide the group to developing some ideas that they will follow-up on after the training and get a “buzz” going around the group developing these ideas itself.
### Potential areas of activity

- Conditions/guidelines for ethical procurement in partnership/framework agreements
- Develop systems for information gathering, analysis and sharing
- Improved coordination and shared expertise to reduce costs
- Partner with key states to build the capacity of their civil aviation authorities to maintain safety standards and improve aircraft tracking and recording
- Support training and awareness-raising initiatives
Slide 20 – Potential areas of activity

NOTE: This slide can be ignored if feedback from the Activity is sufficient.

- Conditions/guidelines for ethical procurement in partnership/framework agreements
- Develop systems for information gathering, analysis and sharing
- Improved coordination and shared expertise to reduce costs
- Partner with key states to build the capacity of their civil aviation authorities to maintain safety standards and improve aircraft tracking and recording
- Support training and awareness-raising initiatives
Conditions for supply chains

- Agencies to include ethical transportation clauses in their tendering and contract documentation
- Agencies to show due diligence in procurement decision-making
- Provide agencies with support in procurement process
Slide 21 – Conditions for Supply Chains

NOTE: This slide can be ignored if feedback from the Activity is sufficient.

- Agencies to include ethical transportation clauses in their tendering and contract documentation
- Agencies to show due diligence in procurement decision-making
- Provide agencies with support in procurement process
Information gathering, analysis and sharing

- Development of open-source "watchlists"
- Possibility of sharing recommendations
- Coordinated and discreet channel for agencies reporting suspicious behaviour by companies
- Share results of company audits
- Link in to peace-keeping intelligence gathering?

UN Photo/Martine Perret
Here are some potential areas for initiatives to be led by foreign ministries / key state policy makers:

- Development of open-source "watchlists" - in association with key multi-state intelligence agencies
- Possibility of sharing recommendations – a “white” list
- Coordinated and discreet channel for agencies reporting suspicious behaviour by companies – this is a highly sensitive area, but is essentially part of security reporting in donor reports
- Shared safety/ethical audits of companies
- Link in to peace-keeping intelligence gathering?

NOTE: This slide very much depends on the participants backgrounds and is aimed at MFA representatives, multi-national donor bodies etc.
**Shared cargo services**

- Tend to be larger operations operating to ICAO standards
- Services are easier to monitor
- Reduced administrative/logistics burden – NGOs with limited air logistics knowledge can concentrate on other areas
- Financial saving through economies of scale means shared Humanitarian Air Services could become competitive when compared to commercial firms
- Difficult to put a monetary cost on the Do No Harm implications of using compromised commercial companies
Shared cargo services (e.g. UNHAS) tend to be larger operations operating to ICAO standards

Services are easier to monitor

Reduced administrative/ logistics burden – NGOs with limited air logistics knowledge can concentrate on other areas

Financial saving through economies of scale means shared Humanitarian Air Services could become competitive when compared to commercial firms

Difficult to put a monetary cost on the Do No Harm implications of using compromised commercial companies

Can these be supported in different or more effective ways?
EthicalCargo support

EthicalCargo provides

- Training for different audiences – donors, field staff, policy staff
- Hotline – 24 hour support for urgent enquiries
- Advice on negotiation techniques
- A searchable extract library database
- ...and more...
EthicalCargo helps organizations to develop their situational awareness in regard to the use of air transport.

EthicalCargo can contribute to the development of coordinated approaches to ethical procurement of air cargo transport through training and expert advice.

EthicalCargo helps organizations to implement conflict-sensitive ethical procurement through:

- Providing some useful negotiation techniques to employ
- Providing sample ethical transportation clauses in contracts, tenders etc.
- Providing training to sensitize key humanitarian personnel and to increase knowledge to make better informed procurement decisions
- Providing a 24-hour hotline that can provide detailed information on a specific query at a deeper level than searching the online database
What can be done?

ACTIVITY

- In pairs make an action plan containing at least three activities you will individually undertake to move this issue forward

You have (5-10) minutes
In pairs make an action plan containing at least three activities you will individually undertake to take this issue forward. Write these things down for your own notes and on the “actions card” so we can follow-up to check.

You have (5-10) minutes

**NOTES:** Read through the instructions on the slide and then get one of the participants to read out the instructions to check everyone has understood. Depending on time, get either all participants, or just some, to feedback their ideas on what they will do. Collect the answers afterwards.

*Tips are:* Revise donor procurement guidelines, inform key partners, initiate discussion forums for coordinated response, inform staff, contact EthicalCargo for further help, Training of Trainers etc.

This is a checklist for humanitarian organizations. You may find this useful for any team discussions you have in order to take the issue further.

**NOTE:** Handout “Checklist for humanitarian organizations”
Questions?

Contact:

NAME OF PRESENTER: xxx@sipri.org
NOTE: With any specific questions that cannot be answered, refer to the appropriate EthicalCargo contact.

Please take a minute to complete the anonymous training evaluation forms. We appreciate your honest responses in order to make sure the training is the best it can be.

Thank-you.

Contact: XXX XXX@SIPRI.org
DOCUMENTATION: Session plan

Time: 120 minutes

Aim of Session
Participants will learn which documents are necessary for making an ethical procurement risk assessment and how to use additional research tools.

Objectives of Session
At the end of this session participants will be able to:

• Understand the different air transport options available to humanitarian organizations
• Understand the structure of service provision
• Study a sample Ethical Procurement Policy
• Understand ethical criteria that can be used to assess a transport service provider
• Learn how to assess documentation and information through a risk assessment matrix

Key Messages

• Ethical criteria can be applied to information gathered as part of the moral procurement process
• This area is one of technical specialisation, but some basic knowledge can make a big difference to an organisations' preparedness for negotiations with suppliers
• EthicalCargo can provide additional support
• Field logisticians should look to head office for support
• Companies who are involved in destabilizing commodity transfer are unlikely to be cooperative and a confrontational approach is inadvisable

Resources
Computer and projector. Slide presentation “PRES-Documentation”
HANDOUT-04-EthicalProcurementPolicy
All HANDOUT-DOCUMENTATION... handouts

Preparation
If appropriate, pre-session reading could include:
HANDOUT-DOCUMENTATION-01-AssessmentMatrix-EthicalIndicators-Oct2010
HANDOUT-DOCUMENTATION-03-LOG-Air Operations
### Time summary

<table>
<thead>
<tr>
<th>Activity</th>
<th>Time (mins)</th>
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<tbody>
<tr>
<td>ACTIVITY 1: Introduction to the session</td>
<td>5’</td>
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<tr>
<td>ACTIVITY 2: Humanitarian Aviation Logistics</td>
<td>20’</td>
</tr>
<tr>
<td>ACTIVITY 3: Chain of air cargo service procurement</td>
<td>10’</td>
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<tr>
<td>ACTIVITY 4: Ethical criteria and matrix</td>
<td>20’</td>
</tr>
<tr>
<td>ACTIVITY 5: Break</td>
<td>15’</td>
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<tr>
<td>ACTIVITY 6: Ethical criteria in detail</td>
<td>40’</td>
</tr>
<tr>
<td>ACTIVITY 7: Summary</td>
<td>5’</td>
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<tr>
<td>ACTIVITY 8: Wrap up and questions</td>
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### Activity details

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<tr>
<th>Activity</th>
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<tr>
<td><strong>ACTIVITY 1: Introduction to the session</strong></td>
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<td>Slides 1-2.</td>
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<tr>
<td>Welcome. As this is a long session, go through timings for breaks.</td>
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<tr>
<td><strong>ACTIVITY 2: Humanitarian Aviation Logistics</strong></td>
<td>20’</td>
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<tr>
<td>Slides 3-7.</td>
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<tr>
<td>Go through slides and allow discussion around participants' experiences of air cargo procurement. Discussion can focus around what systems organisations currently have in place.</td>
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<tr>
<td><strong>ACTIVITY 3: Chain of air cargo service procurement</strong></td>
<td>10’</td>
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<tr>
<td>Slides 8-16.</td>
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<tr>
<td>Go through slides to demonstrate the long/complicated network of actors. Emphasise that</td>
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<tr>
<td><strong>ACTIVITY 4: Ethical criteria and matrix</strong></td>
<td>20’</td>
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<tr>
<td>Slide 17 – Request for Offer</td>
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<tr>
<td>Introduction slide to put the Assessment matrix in context.</td>
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<tr>
<td>ACTIVITY 5: BREAK</td>
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<tr>
<td><strong>ACTIVITY 6: Ethical criteria in detail</strong></td>
<td>40'</td>
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<tr>
<td>Slides 19-22: Ethical Transportation Policy/Ownership</td>
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<tr>
<td>Cover these slides in reference to the Assessment Matrix</td>
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<tr>
<td>Slides 22-29: Documentation Review</td>
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<tr>
<td>Go through each section of the Documentation review in turn, with reference to the handouts.</td>
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<td>Note – this part of the session can be made more interactive if participants who have experience of analysing these documents can present to the rest of the group.</td>
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<tr>
<td>Slides 30-32: Safety and blacklists</td>
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<tr>
<td>Go through the slides in reference to the Assessment Matrix</td>
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<tr>
<td><strong>ACTIVITY 7: Summary</strong></td>
<td>5'</td>
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<td>Slide 33: Summary</td>
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<td>Summarise any other issues that have emerged in the session.</td>
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<tr>
<td><strong>ACTIVITY 8: Wrap up and questions</strong></td>
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<tr>
<td>Slide 34 – Questions</td>
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<td>NOTE: When wrapping up the presentation don't forget to make sure all handouts have been handed out, evaluation forms have been completed, the participant contacts sheet has been filled in and you have given details on how you can be contacted.</td>
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Training Modules: Documentation

Documentation

EthicalCargo project
DOCUMENTATION
NOTE: Confirm with the host (if there is one) if they will make a welcome speech first. If they do then say “Thank you XXX for your introduction.”

Good morning/afternoon. My name is XXX and I am part of the EthicalCargo team, working on XXX. My background is XXX and I’ve been with the EthicalCargo project since XXX.

This session is titled “General Awareness”. It's aim is to increase awareness of the general issues surrounding the ethical procurement of air cargo services.

This session is titled “Documentation”. Its aim is to show how information provided during the process of procuring air cargo services can be assessed against ethical criteria to keep actors who are involved in destabilizing commodity flows out of your organisations’ supply chain and encourage a transformation of behaviour amongst air cargo service providers.
Objectives

• Understand the structure of service provision

• Study a sample Ethical Procurement Policy

• Understand ethical criteria that can be used to assess a transport service provider

• Learn how to assess documentation and information through a risk assessment matrix
Slide 2: Session Objectives

The objectives of this session are to:

- Understand the different air transport options available to humanitarian organizations
- Understand the structure of service provision
- Study a sample Ethical Procurement Policy
- Understand ethical criteria that can be used to assess a transport service provider
- Learn how to assess documentation and information through a risk assessment matrix
Humanitarian aviation logistics
Let’s start with some context.

Air operations are one part of a humanitarian response to save lives. These activities are carried out in places or circumstances where it is not always possible to follow industry best practice, not least due to technological limitations at air fields.

Sometimes, humanitarian operations have to be undertaken using service providers and aircraft that are less than optimum and the EthicalCargo project recognizes that the humanitarian imperative always comes first and a balance may need to be struck between ethical or environmental considerations and ability to respond in some situations.
Humanitarian aviation logistics

- Humanitarian imperative is paramount

- Aviation logistics is a highly technical area

- See the LOG for more background (log.logcluster.org)
Ethical concerns are particularly important in situations where a country is in conflict and air cargo suppliers are limited in number, for example DRC, Sudan and Somalia.

Helping people in distress through delivering assistance by air can be the most costly single transaction that a logistician is responsible for. Due to its cost, Airlift is as a last resort, when land transport is not an option, typically due to the need to respond in a very short timeframe, poor road infrastructure, problems of insecurity or any other risks that rule out trucking and other options.

It is outside the scope of this session to provide details on aviation logistics, and there is no substitute for experienced logistics personnel in place within an organization.

The Logistics Cluster has produced the Logistics Operational Guide (LOG) as a shared resource for humanitarian agencies. The LOG has a useful summary of procedures for Air Operations which explains the process of organizing flights for logisticians, even if a freight-forwarder is used. A number of handouts used in this presentation are from the LOG and we recommend visiting http://log.logcluster.org to download the LOG software which gives you resources which can be automatically updated through an internet connection.

Ethical Transport Procurement Policy

- Decide on what is and isn’t ethical for your own organization

- Make the policy publicly available

- Provide all suppliers or potential suppliers with a copy of the policy
An Ethical Air Transport Procurement policy is one part of a broader approach to Ethical Business practices, particularly in relation to procurement. Humanitarian organizations have different types and scales of logistics operations, especially in terms of centralized support – some large NGOs have centralized procurement centres.

While safety standards have long been the main consideration for air transport procurement, more recently there is a trend towards greener logistics – procurement that results in a more environmentally-friendly solution.

Ethical air cargo procurement complements both safety and environmental considerations, not least because those companies that take aviation safety and environmental responsibility are much less likely to be involved in the transfer of destabilizing commodities.

These policies are ineffective unless an organization is carrying out due diligence to ensure that they are followed.

To find out more about Ethical Business practices see the additional resources provided, particularly those provided by the Chartered Institute of Purchasing and Supply (CIPS – www.cips.org) and the Responsible Purchasing initiative.

http://www.responsible-purchasing.org/home/homepage.html

For an organisation to make clear its ethical standards to suppliers, it needs to have its own ethical transport procurement policy.

Many agencies already have general procurement requirements for suppliers, which sometimes include ethical; others need to develop such a policy. EthicalCargo cannot develop a policy for an agency but has produced an example.

Let’s look at the sample policy now.

As you can see, it sets the parameters for an organization to decide what is and isn’t acceptable. Some organizations may not wish to use air transport providers involved in shipping goods use in conflict – this means refusing services from a number of major airlines and logistics companies, not least because by law US air transport
providers must carry troops and support equipment by order of the government in times of war. EthicalCargo does not provide a database of information on these movements, but this is a question that can be leveled at service providers.

Other organizations may accept that an air transport provider is involved in legal arms transfers, but may not wish to use those service providers who facilitate legal transfers of weapons to countries with poor human rights records. One way of drawing up such a list would be by using the country ratings provided by freedomhouse.org. EthicalCargo records media reports of these incidents.

Other organizations may wish to only exclude companies that have been documented as breaking UN/EC sanctions. EthicalCargo’s online database records all mention of air transportation issues in UN/EC sanctions documents.

An ethical procurement process is begun by making clear to a freight forwarder, broker or operator what activities a humanitarian organization is unwilling to support. It is then the obligation of both the service provider and the client to carry out due diligence to ensure that the ethical procurement policy is fulfilled.

If sensitive, you do not need to give a detailed reasons for rejection of a bid.

Whilst transparency and openness are aspirations we all uphold, in some circumstances it may be wiser to find a convenient reason for rejection. It is good policy not to state a reason unless asked for one. Do not debate the reasons for rejection of a bid – you are in control. If asked, then price or change in requirement are always convenient reasons to use against which there is little valid argument.

Justification for an auditor/donor is also a concern. In general when a company shows a high risk of being involved in destabilizing commodity flows they will normally perform poorly on other requirements such as safety records, being able to give satisfactory answers to concerns about company solvency or insurance, meeting environmental standards etc.

When the only reason is suspicion of involvement in trafficking, this can usually be backed up by references to open-source information should a donor or auditor require this. Use EthicalCargo's services to get the information necessary to make an informed decision.
Ethical Transport Procurement – new procedures?

- Use documentation normally provided in standard contract negotiation
- Integrate Ethical Transport Procurement questions into standard procurement process
- Use EthicalCargo’s tools and services
Having an Ethical Transport Procurement policy in place means that procedures must be in place to implement the policy. Ethical transport procurement has to be an active process – the act of using a broker does not remove the requirement on the client to carry out due diligence.

Making an assessment of a service provider’s offer need not require any significant new procedures, and this module is designed to integrate Ethical Air Transport procurement into an organization’s normal logistics procedures.

Essentially, the implementation of an Ethical Transportation Procurement Policy requires asking the right questions and checking standard documents that are provided by service providers for anomalies or warning signs. The “extra” work is carrying out some deeper situational awareness, which EthicalCargo can support through its online database and hotline service.
Air transport options for humanitarian organisations

- Airfreight on scheduled commercial carriers
- Collective or specialised humanitarian air services
- Long-term charter or partnership agreements
- Ad-hoc charter flights

Write an Air Service Request
Slide 7: Air transport options for humanitarian organizations

Before going to the expense of chartering an aircraft specifically for your needs consideration should be given first to:

- Airfreight or Passenger Movement on Scheduled Commercial Carriers (may be organized through commercial companies)

This should always be the first option as it is cheap, safe and much less likely to involve ethical issues.

Then look at collective humanitarian air services such as:

- United Nations Humanitarian Air Services (UNHAS - www.wfp.org/content/united-nations-humanitarian-air-service-unhas) or Air Serv International (www.airserv.org).

Failing that you should then consider:

- Ad-Hoc Charter Flights – Passenger or Cargo;
- Long-Term Aircraft Charter Agreements.
- Charter flights are often arranged through a broker rather than directly with a company.

A number of NGOs develop a long-term partnership with a broker or international logistics company.

However, these companies themselves will not necessarily have or implement an ethical procurement policy – it is up to organizations themselves to demand this of them.

It is always a good idea to write down precisely what the user’s expectations are so that these expectations can be matched with what is offered by the service provider. Planning is essential. Time invested at this stage in planning is seldom wasted.

HANDOUT-DOCUMENTATION-05-LOG-4-3-AIR OPERATIONS-GENERAL INFO-Selecting the right Aircraft-WFP Manual

This handout is a useful reference for deciding on what specific needs are. It comes from the Log Cluster LOG.

NOTE: It is hoped that a sample Air Service Request checklist may be provided by an NGO/UN body.
The chain of service provision
When organising the transport of humanitarian items, or indeed any goods, by air, there is often a long chain of companies between the logistician sending the goods and the owner of the aircraft being used to transport them. Most of the time the owner of the plane will never be revealed in documentation seen by the logistician and sometimes even the name of the company operating the aircraft will not be known by the client.

Let’s look at the chain.
The chain of service provision – the client
Here is our logistician. She could be working for an NGO or other humanitarian organisation, for a national government’s aid department or for a peace-keeping organisation. Let’s say that she is working for medium-sized NGO who wants to send emergency shelter Non-Food Items, NFIs, within 24 hours to a country in Africa.
The chain of service provision – the supplier transports
One option is to get the supplier of the NFI to be responsible for the transportation of the items. In this case, depending on the deal with the supplier, the supplier is not necessarily obliged to inform the NGO of which company it contracted to deliver the goods. In any case, it is most likely that the supplier themselves would use a Broker.
The chain of service provision – freight forwarder transports
Another option is to use a freight forwarder. Often these are large international companies who have their own fleets. However, in some cases they themselves may lease planes from other air cargo operators. More on that in a moment.

**NOTE:** We are not considering use of shared humanitarian services in this example. The use of collective or specialized humanitarian air transport services often means a high safety, and in turn, ethical standard. However, such providers may not always be completely aware of the background of companies they lease from.
The chain of service provision – broker arranges charter
A broker is a company that can organise air cargo services on a client’s behalf. As brokers are specialists in aircraft chartering with an expert knowledge of the aviation industry, many NGOs rely on a broker to arrange cargo flights for them, particularly in emergencies. The broker uses its contacts to offer the NGO a shortlist of companies available to transport the NFIs.
The chain of service provision – engaging the operator
Once a decision is taken, the broker arranges a contract with an air cargo operator. An air cargo operator is the company responsible for flying the plane. They will have an Air Operating Certificate issued by a Civil Aviation Authority which permits them to operate the aircraft.

If a major logistics company is contracted to move the goods it will often use aircraft from its own fleet. However, sometimes they will be using leased aircraft or ad-hoc charter, especially in areas of operation that are on the fringes of their core operations.

Brokers or freight-forwarders may in turn sub-contract to others instead of contacting an operator directly.
The chain of service provision – operator leases
Slide 14: The chain of service provision: leasing

However, that operator may not be the usual operator or owner of the aircraft. The operator may have leased the plane from another company. If this is a “wet lease” then the 2nd operator has provided not only the aircraft but the crew as well on a long term lease.
The chain of service provision – the owner
Slide 15: The owner

To complicate matters further, the 2nd operator may not actually own the aircraft itself. The aircraft may be owned by another company or individual, the main figure behind a whole network of companies, which may even include both operators. If the plane has been involved in arms trafficking or destabilizing commodity flows then the owner of that plane will try to obscure their activities through the use of front companies and bank accounts registered in countries with weak financial regulations.
The chain of service provision – identifying the actors
slide 16: the chain of service provision: identifying the actors

Ideally, you should be able to identify all the actors involved in the chain. Due to the context of procurement, particularly in emergencies, this is not always possible. Even when the contract is not an emergency, companies involved in destabilizing commodities hide true ownership and operation of aircraft to avoid detection. EthicalCargo’s research is focused on revealing the links.

NOTE: See general awareness module.

However, improving your organisation’s situational awareness and using EthicalCargo’s tools will better prepare your organisation for taking a decision and making it clear to air cargo services prior to an emergency that the organizations has ethical standards it wants to uphold.

EthicalCargo provides a hotline for urgent requests for information.

In situations where this is not possible clients can ask the broker to provide you with the details of the air cargo company who was used in the final instance to allow post-contract analysis which will be useful for future negotiations with the broker.
Request for Offer

Ask the standard questions plus others e.g:

- Do you have an Ethical Transportation Policy?
- Can you satisfy our Ethical Air Transport Procurement Policy?
- Has your aircraft been used to transport arms?
A Request for Offer (RfO, also known as Request for Bid) is the document provided to a service provider that asks for standard information related to technical service provision (in this case, aircraft details) and administrative requirements (company financial details etc.).

NOTE: The same can apply for a Request for Information, or a Request for Quotation (See the LOG - http://log.logcluster.org/response/procurement/index.html and http://log.logcluster.org/response/procurement/annexes.html#tools for a sample of a “Suppliers Confidential Business Questionnaire”)

HANDOUT-DOCUMENTATION-09-LOG-2-3-PROCUREMENT-SAMPLE-Suppliers Confidential Business Questionnaire

It is usual to ask for technical documents, such as an AOC, as part of an RfO, as well as company administrative and financial details including clear information on associated companies (parent companies, partner companies or the ownership of previous companies by the current directors) should be requested.

The following questions should also be added to a Request for Offer or Tender:

- Do you have an Ethical Transportation Policy or related CSR policy (plus environmental policy?)

- Are you able to fully satisfy our organizations’ Ethical Air Transport Procurement Policy? If not, where are the challenges?

- Are you aware of any incidents that might be contrary to our organizations’ Ethical Transport Procurement Policy (e.g. has your company or any of its associates been mentioned in UN/EC sanctions reports)?

- Have your aircraft transported dangerous goods i.e. weapons?
Ethical indicators

- Ethical policy
- Company ownership and association
- Documentation review
- Safety record
- Blacklists, sanctions and trafficking reports
Slide 18: Ethical Transport Indicators

When carrying out a due diligence check on a company, a number of indicators can be used to help make a risk assessment of the company's potential involvement in destabilizing commodity transfer.

Use the EthicalCargo Risk Assessment matrix to help in your evaluation of offers from suppliers.

Distribute HANDOUT-DOCUMENTATION-01-AssessmentMatrix-EthicalIndicators-Oct2010. Allow time for participants to read the matrix.

Ethical Policy
- Company ethical transportation policy and stated mechanisms for following it – this is a good starting point for assessing a company, and the key here is HOW the company implements such a policy and if it can give concrete examples of how this policy has affected its business practices. Most companies will not have one, but their response to such an enquiry may be interesting in itself in terms of indicating whether this is a concern they wish to take seriously.

Company ownership and association
- Company details – a company should provide details of its address, bank account, and board of directors. Anomalies between company registration, bank account locations and country of Air Operating Certificate (AOC) may indicate business practices that are less than transparent.
- Company associations – if a company is new it may be an older company re-branded or re-named. Furthermore, clarity should be provided on any other companies owned by the same directors.

Documentation review
- A standard documentation review looks to check all technical details are correct. Inconsistencies that arise from the documentation review can be indicators that an operator may not be able to live up to ethical requirements. The checklist for this review is included as part of the matrix.

Safety record
- Safety record – this is a good proxy indicator since companies involved in destabilizing commodities are often unsafe. A safety background check is normally already a standard part of procurement procedures.

Blacklists, sanctions, trafficking reports
- If included, or associated with companies included, in blacklists and sanctions/trafficking reports – mention in reports does not automatically mean confirmed involvement in destabilizing commodity transfer; sometime there is a suspicion only. Such reports must be read carefully in order to understand the context correctly.
• Aircraft type in fleet – certain aircraft types – Antonov, Ilyushin and some Boeing models – are more likely to be used in destabilizing commodity transfers as they are widely/cheaply available (surplus of arms in Eastern Europe/Russia post-Soviet-Union breakup) and have characteristics (easy loading, landing) that make them useful for trade in conflict-affected areas.

• Aircraft registration history – aircraft change hands between companies. Frequent exchange is an indicator of the aircraft being used in activities that its owners do not want to be traced. Some aircraft are known to change hands between a hardcore of companies named in sanction/trafficking reports and this in itself can indicate a questionable relationship. The aircraft registration number changes with its AOC, but its manufacturer’s serial number (MSN) should be constant.
Ethical Transportation policy

- Company's own statement
- Company internal guideline on how the policy is implemented
- Company to provide an example of how it has used its policy
Slide 19: Ethical Transportation policy

Ask if a company – it can be a broker or an operator - has a written Ethical Transportation Policy. Most won’t, but more and more will once their clients demand it.

If the company has a policy, ask how they implement it and ask them to give an example of how it has been effective.

If the company does not have an Ethical Transportation Policy, explain to them that your organization takes the issue of ethical procurement seriously, and ask them to look again at your Ethical Air Transport Procurement Policy again to see why.

Those companies that respond positively to such an enquiry open themselves up to the potential for repeat business. Companies that are evasive or dismissive of such concerns are unlikely to take due diligence issues seriously.

Sources:

- Company’s own statement
- Company internal guideline on how the policy is implemented
- Company to provide an example of how it has used its policy

EthicalCargo has developed a sample Industry Code of Conduct which can be given to air cargo service providers as a starting point for developing their own policies.

HANDOUT-05-IndustryCodeOfConduct
Company ownership and association

- Company contact details
- Company financial details
- Board of directors
- Disguising true ownership is a trafficker strategy
Due to the long and complicated chain of service provision, it is important to establish who controls a company and its finances.

EthicalCargo carriers out action-research based on enquiries, please do contact us through the hotline if you have specific enquiries of an urgent nature.

If an organisation wishes to conduct its own research, it can source information from:

- Company registration certificate (company should provide a photocopy)
- Company organigram
- Company statement on previous history – ask them to provide information on their history and if their management/owners have managed or owned other companies previously
- Check the web for phone/fax numbers, names, email addresses and office addresses. Also search business listings (especially Middle East) http://www.commercial-register.sg.ch/home/worldwide.html
- Company registers – see http://www.companieshouse.gov.uk/links/introduction.shtml#reg  (note UK tax havens have their own databases, links can be found from company house)
- See if any other company names come up with the same contact details
- Use AeroTransport DataBank (fee required) to identify company inter-relationships. Airframes.org can also be used to follow asset transfer history.

Note: Connections between companies may be difficult to uncover and disguising true ownership is a strategy for arms traffickers.

Young companies are more difficult to carry out background checks on and may have been created with the intention of hiding past business practices.
Warning signs
Slide 21: Warning sign connections

Company should provide detailed information on:

- Country where company is registered
- Country where bank account is registered
- Country where aircraft AOCs are issued

If the country details are different for these three areas then this is an indicator of possible involvement in destabilizing commodity transfer.

A “flag of convenience” is when an aircraft is registered in a country different to the country of the company (operator). Flag of convenience registries are sited in states where civil aviation oversight is weak and tax on aircraft is low. Nearly all flag of convenience registry aircraft have been banned from European airspace under air safety-related criteria.

MODULE DEVELOPMENT NOTE: List of flag of convenience countries – is this possible to provide as “open source”?

A number of air cargo actors channel their fees and contract costs via off-shore banking facilities. In some cases, the owners of the aircraft set up off-shore holding companies which “own” the aircraft.

Aircraft or air cargo companies that hold assets off-shore, or channel their funds through off-shore banking facilities are more likely to be named in United Nations Security Council Sanctions Committee reports.

Some countries’ Civil Aviation Authorities provide lists of valid AOCs. For contact details see http://www.icao.int/icao/en/m_links.html (MS Internet Explorer only).

NOTE: ICAO has also declared that it would like to produce an International Registry of AOCs. See http://www.icao.int/ICDB/HTML/English/Representative%20Bodies/Council/Working%20Papers%20by%20Session/187/C.187.WP.13296.EN/C.187.WP.13296.EN.HTM

Check the status of this project before the training.

For a list of registration prefixes and their corresponding countries, see http://en.wikipedia.org/wiki/Aircraft_registration
Documentation Review

- Air Operator’s Certificate
- Certificate of Registration
- Certificate of Airworthiness
- Certificate of Insurance

Also:
- Crew Information
- Certificate of Maintenance Release
- Aircraft Radio Station Licence
These documents should be called for in the RfO, they should be provided in the Technical offer from the Operator, and they form part of any subsequent charter contract.

It is generally accepted industry practice to use photocopied or scanned documents not originals. The key indicator as to a documents authenticity is its CAA reference number which is unique and can be verified by the issuing authority if there is any doubt.

Four documents are key to this review:

- Air Operating Certificate – AOC – is issued by a civil aviation authority;
- Certificate of Registration;
- Certificate of Airworthiness;
- Certificate of Insurance;

Three further documents are also useful if doing a detailed assessment of an operator.

- Crew Information
- Certificate of Maintenance Release;
- Aircraft Radio Station License;

Other documents that may also be required are Mass and Balance; Aircraft Lease agreement (if aircraft is not owned by the AOC holder); and a Letter of Intent from aircraft owners where no Aircraft Lease Agreement yet exists.

The next 7 slides give illustrations of these documents, what to look out for and underpins the fact that all of the documents should cross-refer to certain key identity features such as company name, aircraft MSN and registration number, which can help identify the companies involved in the transaction and the aircraft being offered in the contract.

The documentation checklist is provided as part of the Risk Assessment Matrix.

As handouts, we provide a handout which labels the different elements of an AOC, Airworthiness certificate and Insurance certificate (based on documents supplied by the Australian Civil Aviation Authority):

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HANDOUT-DOCUMENTATION-02-Airworthiness-AOC-Insurance
```

Take some time to go through these samples – each is annotated, so read out the annotations. Say that participants can look at these in more detail in their own time.

And sample handouts based on documents submitted by a fictitious air cargo operator called “Ural leasing” based in Russia.
NOTE: These are HANDOUT-DOCUMENTATION numbers 10-15.
Air Operator Certificate (AOC)

- CAA Reference Number?
- Name of Operator, address and privileges for operation?
- Date of Issue and Expiry?
- Signature and stamp of authority
- Attachments or sub files?
The AOC is issued by the appropriate Civil or National Aviation Authority (CAA). This is a license to operate specific aircraft types. Some countries have higher standards than others (the US Federal Aviation Authority has a list of countries not meeting International Civil Aviation Organisation standards [http://www.faa.gov/about/initiatives/iasa/]).

- Civil Aviation Authority (CAA) reference number
- CAA signature of responsible person plus official stamp (some CAAs do not use a stamp)
- Date of issue and expiry
- Operator name and address (this should be the same as any other correspondence you have had from the operator)
- A reference to attachments
- Corresponding attached documents for operating specifications including:
  - Fleet – aircraft type with registration numbers (registration number of Certificate of Registration and Certificate of Airworthiness must be in this list)
  - Areas of operations and special approval
  - Limitations to operations (check this does not contravene circumstances for charter in question)
  - Privileges – cargo or passenger transport etc.

HANDOUT-DOCUMENTATION-o8-ICAO-Annex 6-Part I - AOC Template

This is ICAOs template for what a Civil Aviation Authority should include in an Air Operating Certificate. Do not go through this now, but allow participants to go through this in their own time.

HANDOUT-DOCUMENTATION-10-AirOperatorCertificate

Use this document when going through the above bullet points.
Certificate of Registration

• CAA Reference Number?

• Model, serial number and nationality registration marks?

• Is the Operator the owner of the aircraft?

• If the Operator is not the owner of the aircraft, does the Operator provide Charterer with appropriate documents approved by CAA?

• Date if Issue and Date of Expiry?
The C of A is similarly issued by the CAA of the country where the aircraft is registered. An aircraft registration is a unique alphanumeric string that identifies a civil aircraft, in similar fashion to a licence plate on an automobile.

In accordance with the Convention on International Civil Aviation all aircraft must be registered with a national aviation authority and they must carry proof of this registration in the form of a legal document called a Certificate of Registration at all times when in operation. Most countries also require the aircraft registration to be imprinted on a permanent fireproof plate mounted on the fuselage for the purposes of post-fire/post-crash aircraft accident investigation.

- Civil Aviation Authority (CAA) reference number (same CAA as Certificate of Airworthiness)
- CAA signature of responsible person plus official stamp (some CAAs do not use a stamp)
- Date of issue
- Model, manufacturers serial number (this does not change on an aircraft) registration number (this changes as the plane changes ownership). Must match Certificate of Airworthiness.
- Details of aircraft owner (same issue about PO Box numbers as above)
- If the owner is different to the operator (on the AOC), the operator must supply additional documents from CAA plus leasing agreement etc.

Use this document when going through the above bullet points.
Certificate of Airworthiness

- CAA Reference Number?

- Model, serial number and nationality Registration Marks (cross-refer to C of R)?

- Specify the category of aircraft?

- Any airworthiness limitations?

- Date of Issue and Expiry?

- Signature of authorized person and stamp from CAA?
The International Civil Aviation Organization (ICAO) is responsible for international rules governing civil aviation. Article 31 states that "Every aircraft engaged in international navigation shall be provided with a Certificate of Airworthiness issued or rendered valid by the state in which it is registered".

Essentially, a C of A is issued for an aircraft by the national aviation authority in the state in which the aircraft is registered. The airworthiness certificate attests that the aircraft is airworthy insofar as the aircraft conforms to its type design. Each airworthiness certificate is issued in one of a number of different categories.

- Civil Aviation Authority (CAA) reference number (same CAA as Certificate of Registration)
- CAA signature of responsible person plus official stamp (some CAAs do not use a stamp)
- Date of issue and expiry
- Model, manufacturers serial number (this does not change on an aircraft) registration number (this changes as the plane changes ownership). Must match Certificate of Registration.
- Specification of aircraft category
- Specification of any airworthiness limitations (check this does not contravene circumstances for charter in question).

Use this document when going through the above bullet points.
Certificate of Insurance

• Underwritten by a reputable insurance organization

• Complex and high-risk – get specialist help
Slide 26: Certificate of Insurance

This document is issued by an insurance company or insurance underwriter of repute.

The insurance should include the name of the Charterer as additional insured, include a waiver of subrogation of the Carrier’s rights to the Insurer against the Charterer and cover all aspects of the Charterer’s operations worldwide.

The insurance should be underwritten by a reputable insurance organization and provide for comprehensive third party liability insurance protecting the Charterer and the Carrier against claims for death or injury and damage to property (normally in the region of several million US dollars, which should be stated in the document) per occurrence.

The coverage should normally include:

- War risk
- Hijacking/confiscation
- Loss or damage to aircraft in flight or on the ground
- Workers compensation

This is a complex and high risk matter – seek specialist advice if you are unsure.

- Name and address of Insurance company
- Insurance certificate number
- Date of issue and expiry
- Name of company insured (should be the same as the operator on the AOC)

SEE HANDOUT-DOCUMENTATION-07-ExampleInsurancePolicy-Hull3rdPartyPassenger

Sample Insurance policy taken from http://www.iua.co.uk/AM/Template.cfm_SECTION=Aviation_Clauses Original title
"AVN_1C_21_12_98_LONDON_AIRCRAFT_INSURANCE_POLICY__Hull,_Third__Party_and_Passenger_Liability_"
Crew Information

- List of crew members
- Their licences should match the type of aircraft being chartered
The Crew Information is provided by the operator and it provides a means of checking that each crew member is licensed to operate the aircraft type chartered for the purpose(s) for which it is chartered.

This is a list of crew members for the aircraft showing their relevant roles. This provides a control for the number of personnel for whom food and lodging may be provided, often a major expense in chartering. This document also provides a list against which relevant licenses can be checked.

NOTE: SEE SAMPLE DOCUMENT

There should be a valid license for each of the crew members: pilots, flight engineers and ground engineers.

- Do the Personal Details on the License correspond with the National Passport of the crew member?
- Is the license issued by the same CAA as the one which issued the aircraft Certificate of Registration?
- Is the License valid?
- Is the License signed by both the holder (check against passport) and the Issuing Authority?
- Do the privileges granted by the license include the type of aircraft contracted for the purpose contracted (passenger/cargo)?
- Do any limitations effect the type of aircraft and use to which you intend to put it?

**HANDOUT-DOCUMENTATION-13-CrewList**

*Use this document when going through the above bullet points.*

**HANDOUT-DOCUMENTATION-06-PilotsLicence**

*Use this document as an example of a pilot's licence.*
Certificate of Maintenance Release

- Date and signature by authorized certifying officer
- Date of next check must be shown
- Issued by AMO and properly stamped/signed?
A Certificate of Airworthiness is not sufficient to fly - the aircraft must also posses a Certificate of Maintenance Release. This should have been issued in accordance with the Order if the aircraft or any part of the aircraft or such of its equipment as is necessary for the airworthiness of the aircraft has been overhauled, repaired, replaced, modified, maintained, or has been inspected as provided in the Order, as the case may be.

Certificates of Release to Service will certify that the overhaul, repair, replacement, modification or maintenance, as the case may be, has been carried out in a manner and with material of a type approved for a class of aircraft or the particular aircraft. The Certificate must identify the task to which it relates and must include particulars of the work done. The inspection must be specified in an Approved Maintenance Schedule and Mandatory Inspections.

This document should detail the latest performed Base Check by the Approved Maintenance Organization – AMO. An Approved Maintenance Organisation (AMO) is a facility licensed by the CAA to carry out maintenance on the specific aircraft type in question.

- Date of maintenance check, and signature by authorized certifying staff (should specifically cover airframe, power plant, avionics, etc);
- Date of next maintenance check (flight hours or calendar time) must be shown on this document;
- Was the document issued by AMO and properly stamped and signed? (Release to Service).
- Do the Registration Marks and other aircraft-specific information correspond with the other documents detailed above?

This document effectively reinforces the C of A by evidencing that the aircraft has been found to be serviceable by a specialized Approved Maintenance Authority (AMO). The time between inspection and/or services on aircraft components is time-sensitive or in some cases dependent upon use (hours). The Certificate of Maintenance Release shows the currency of the serviceability of the component parts.

HANDOUT-DOCUMENTATION-14-CertificateOfMaintenanceRelease

Use this document when going through the above bullet points.
Aircraft Radio Station Licence

- Issued by an authorized organization and duly signed and stamped?

- Do Registration Marks and other aircraft-specific information correspond with the other documents?
An Aircraft Radio Station License is a license to operate the radio transmitter in the aircraft. This is so the frequencies can be as clear as possible. It is issued by the same CAA which issued the C of A for the aircraft.

- Civil Aviation Authority (CAA) reference number (same CAA as Certificate of Registration)
- CAA signature of responsible person plus official stamp (some CAAs do not use a stamp)
- Date of issue and expiry
- Registration Marks and other aircraft-specific information correspond with the Certificate of Registration/Certificate of Airworthiness
Safety Record

- Insurance policy
- http://aviation-safety.net/database/
- Country of issue of AOC
Another key ethical criteria is the safety record since there is a strong statistical link between companies with poor safety records and companies involved in destabilizing commodity flows.

Instructions for how to carry out a safety background check is out of the remit of this project. If in doubt an agency can always request support from an agency with Air Operations experience such as UNHAS (managed by WFP).

The UN has produced an Aviation Safety Manual (see http://www.unlb.org/ for pdf version) which has a useful section on “3.5 - Air Operator’s Performance Evaluation” which covers key points to look for when checking documentation.

A poor safety record should alert the agency to carry out careful background checks in other areas.

Documents:

- Company’s own statement
- Copy of insurance policy: it is with a reputable insurance underwriter or insurance company (carry out a web search on the company)

**NOTE: Refer back to Documentation checklist.**

- Airworthiness Certification from National/Civil Aviation Authority (company should provide a photocopy to be kept for checking by the client)
- Air Operating Certificate from National/Civil Aviation Authority (company should provide a photocopy to be kept for checking by the client)

Other sources:

- Aviation Safety Network - http://aviation-safety.net/database/
- Flight Safety Information Exchange http://www.icao.int/fsix/safety.cfm
- EU list of airlines banned from EU http://ec.europa.eu/transport/air-ban/list_en.htm
- FAA’s list of countries not meeting ICAO standards – International Aviation Safety Assessments - http://www.faa.gov/about/initiatives/asia/ FAA’s foreign assessment program focuses on a country’s ability, not the individual air carrier, to adhere to international standards and recommended practices for aircraft operations and maintenance established by the United Nation’s technical agency for aviation, the International Civil Aviation Organization (ICAO).
Blacklists, sanctions and trafficking reports

- List of airlines banned from EU
- UN blacklists (issued per sanction/country)
- US Treasury Office
- Media reports
- NGO reports

• EthicalCargo collates this information in its database
EthicalCargo does not produce blacklists or whitelists, it provides information. Other bodies that do provide such lists:

- EU list of airlines banned from EU http://ec.europa.eu/transport/air-ban/list_en.htm

- UN blacklists (issued per sanction/country) http://www.un.org/sc/committees/look for “Consolidated Travel Ban and Assets Freeze List” (gdocu.com search: Security Council Committee Resolution + company name or Google “Security Council Committee resolution azza filetype:pdf”)

- US Treasury Office of Foreign Assets Control, Specially Designated Nationals List (SDN List) http://www.ustreas.gov/offices/enforcement/ofac/

- UK Treasury has a consolidated list of asset freeze targets designated by the United Nations, European Union and United Kingdom under legislation relating to current financial sanctions regimes. Report is downloadable in several different formats and can apply for email alerts. http://www.hm-treasury.gov.uk/financialsanctions

- Commission Regulations from the European Union

- Mention in creditable report from advocacy/campaigning NGOs such as Amnesty, Human Rights Watch, International Crisis Group, Oxfam etc

- Mention in credible media reports (e.g. Reuters Alertnet, Washington Post, Guardian etc.)

However, be aware that some of these lists are outputs from political processes and are not exhaustive.

EthicalCargo collates all extracts relating to trafficking and sanctions in its database. Aircraft registration history can reveal some links between companies and may reveal concerns over links between companies that may have been mentioned in the above reports.

Sources

- See the AeroTransport Databank for aircraft registration history www.aerotransport.org. Note that some information is subscription only. The AeroTransport Databank monitors the exchange of aircraft between companies. The userguide is found here: http://www.aerotransport.org/php/go.php?action=help_qa

You can consult the EthicalCargo hotline if you wish for more specific information.
## Aircraft type

<table>
<thead>
<tr>
<th>Aircraft type</th>
<th>Payload</th>
<th>Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ilyushin (IL) 76 M, MD, T, TD</td>
<td>50 tonnes</td>
<td>4,000km</td>
</tr>
<tr>
<td>Antonov (An) 12</td>
<td>20 tonnes</td>
<td>4,000km</td>
</tr>
<tr>
<td>Antonov (An) 24</td>
<td>7.8 tonnes</td>
<td>550km</td>
</tr>
<tr>
<td>Antonov (An) 28</td>
<td>1 tonne</td>
<td>1,365km</td>
</tr>
<tr>
<td>Boeing (B) 707 Freighter</td>
<td>35 tonnes</td>
<td>7,800km</td>
</tr>
</tbody>
</table>
Slide 32: Aircraft types

Some aircraft are statistically more likely to be involved in destabilizing commodity transfers than others. These include:

<table>
<thead>
<tr>
<th>Aircraft type</th>
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</tr>
</thead>
<tbody>
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</tr>
</tbody>
</table>

Note that Boeing aircraft 737s are increasingly used as they get older and the price comes down. LET 410 aircraft are increasingly popular in Africa.

See HANDOUT-DOCUMENTATION-04-LOG-4-3-AIR OPERATION-GENEREAL INFO-Air Craft Types from the LOG.
Summary

• Be clear about your aviation needs

• Adapt and adopt the sample Ethical Transport Procurement Policy

• Integrate ethical criteria into your procurement procedures

• Make your service providers aware of your policy

• Make sure field logisticians have support

• Contact EthicalCargo for more assistance
Slide 33: Summary

- Be clear about your aviation needs
- Adapt and adopt the sample Ethical Transport Procurement Policy
- Integrate ethical criteria into your procurement procedures
- Make your service providers aware of your policy
- Make sure field logisticians have support
- Contact EthicalCargo for more assistance
Questions?

Contact:

NAME OF PRESENTER: xxx@sipri.org
Slide 34: Wrap-up and questions

So that completes this session – we have looked at how complicated a chain of service provision and why this means that an Ethical Procurement Policy requires agencies to carry out their own due diligence and explain to service providers exactly what their requirements are through an Ethical Procurement Policy.

We have also gone through in detail the criteria for assessing a supplier’s ability to meet the requirements of an Ethical Transport Procurement policy using the Risk Assessment Matrix and how this can provide a basis for further discussions.

I hope you found this session helpful – please contact us at www.ethicalcargo.org if you would like more support in the development of your organisations’ ethical procurement policy.

Use our database for getting background information and contact our hotline for specific and confidential assistance.

Please take a minute to complete the anonymous training evaluation forms. We appreciate your honest responses in order to make sure the training is the best it can be.

Thank you.
NEGOTIATION: Session plan

Time: 75 mins

Aim of Session
Participants will improve their negotiation skills when dealing with air-cargo carriers and understand the importance of entering into negotiations with as much information and planning as possible.

Objectives of Session
- To be aware of how negotiations will differ depending on the context
- To be aware of key questions to ask at key stages
- To understand which documents to ask for at each stage
- To understand the importance of entering into negotiations in a spirit of cooperation

Key Messages
- Negotiations should not be confrontational
- The aim of the EthicalCargo project is transforming behavior of air cargo operators
- Those involved in negotiations need to be well informed and clear on their needs
- Ethical criteria should be clearly stated at all stages of negotiation

Resources
Computer and projector. Slide presentation “PRES-Negotiation”

Preparation
Check which agencies are represented by the participants

Handouts
- Sample Ethical Transport Procurement Policy
- Evaluation forms
- Exercise instructions
- Carrier's responsibilities http://log.logcluster.org/operational-environment/air-operations/LOG-4-3-AIR OPERATIONS-Carriers responsibilities.doc
## Time summary

<table>
<thead>
<tr>
<th>Activity</th>
<th>Time (mins)</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACTIVITY 1: Introduction to the session</td>
<td>5’</td>
</tr>
<tr>
<td>ACTIVITY 2: Negotiation context and phases</td>
<td>30’</td>
</tr>
<tr>
<td>ACTIVITY 3: Role play exercise</td>
<td>35</td>
</tr>
<tr>
<td>ACTIVITY 3: Wrap-up and questions</td>
<td>5’</td>
</tr>
<tr>
<td></td>
<td><strong>75’</strong></td>
</tr>
</tbody>
</table>

## Activity details

### ACTIVITY 1: Introduction

- Slides 1-2
  - Coordinate with host to determine who will introduce the session and what they will say.
  - Introduce yourself and the objectives of the session

### ACTIVITY 2: Negotiation context and phases

- Slides 3-11
  - Go through the slides. Most likely participants will have had some experience of air cargo procurement, so encourage them to share their experiences.

### ACTIVITY 3: Role play exercise

- Slide 12
  - Explain the exercise once, then hand out the instructions. Ask a participant to read the instructions out loud and another to summarize them.

  Then distribute other handouts from the LOG.

  Allow 5 minutes for writing the questions, 3 for answering them and another 3-5 minutes for preparation for the role play.

  Allow 3-5 minutes for each role play and 5 minutes of discussion after each one.

### ACTIVITY 4: Questions and wrap-up

- Slides 13-14
  - Show end slides and ask if anyone has any questions or comments
  - Ask if the issues addressed in the presentation remind the
participants of any incidents or anecdotes drawn from their experience in the field

**NOTE:** When wrapping up the presentation don't forget to make sure all handouts have been handed out, evaluation forms have been completed, the participant contacts sheet has been filled in and you have given details on how you can be contacted.
Negotiation

EthicalCargo project
NEGOTIATION
Good morning/afternoon. My name is XXX and I am part of the EthicalCargo team, working on XXX. My background is XXX and I’ve been with the EthicalCargo project since XXX.

This session is titled “Negotiation”. It's aim is to provide participants with some tips and tools for negotiating with air cargo service providers.
The objectives are:

- To be aware of how negotiations will differ depending on the context
- To be aware of key questions to ask at key stages
- To understand which documents to ask for at each stage
- To understand the importance of entering into negotiations in a spirit of cooperation
Slide 2: Objectives

The objectives of the session are for participants:

- To be aware of how negotiations will differ depending on the context
- To be aware of key questions to ask at key stages
- To understand which documents to ask for at each stage
- To understand the importance of entering into negotiations in a spirit of cooperation
Negotiation context
Slide 3: Negotiation context (1)

The context for negotiation varies a great deal. The scale of the need...

*NOTE: This is a picture of an Airbus Beluga, the second biggest cargo plane in the world (after the Antonov 225), but definitely the oddest looking.*
Negotiation context
...and the types of aircraft available are just two factors that will determine how to approach a negotiation in terms of expectations and requirements.

NOTE: In remote locations the kind of aircrafts available may well be old (though not as old as this one.) such as Buffalos or old Russian cargo planes.

“Traian Vuia (Romanian pronunciation: [traˈjan ˈvuja]; August 17, 1872 - September 3, 1950) was a Romanian inventor and aviation pioneer who designed, built and flew an early aircraft. His first flight traveled about 12 m (40 feet) at Montesson, France on March 18, 1906. This was the first well-documented takeoff and landing on a level surface by an engine-driven monoplane with a wheeled undercarriage.” (Wikipedia - http://en.wikipedia.org/wiki/Traian_Vuia)
Negotiation context

- Short-term emergency procurement
- Short-term non-emergency procurement
- Long-term framework agreements
The needs of the client, the size of the air cargo operator, the use of a broker or freight-forwarder and the technical experience of the client will all have an impact on how the negotiations will unfold.

We consider three main contexts for negotiation:

- **Short-term emergency procurement** – charters of planes in the field, charters of planes from regional HQs, emergency charters through brokers
- **Short-term non-emergency procurement**
- **Long-term framework agreements** globally, regionally or in-country (particularly for disaster preparedness) – long-term partnerships with brokers, freight forwarders or cargo operators themselves

The larger or more “professional” the company, the more you should expect from them in terms of being able to meet your organisation’s requirements.

**NOTE:** This is a good time to ask participants what contexts they have procured air cargo services in and what challenges they found.

If negotiating with smaller companies in the field, particularly in a conflict environment, the likelihood of receiving offers from air cargo operators involved in destabilizing commodity flows is very high. It is important to be aware of this risk and to understand that such operators may well not respond kindly to investigative questions. Use common sense and always standardise questions as part of a formal procurement process and make it clear that you are following organizational policy.

It is important for head-quarters to provide field staff with “policy backup” - clear statements of what an organisation deems to be ethical or unethical.

It is important to remember that the EthicalCargo project is not about black-listing or white-listing, it is about transforming behaviour. Therefore the point of an ethical procurement policy is not simply to block out suspect air cargo operators, but also to make the air cargo business world pay attention to a consumer market for air cargo services that can adhere to high ethical standards, making it an incentive for a company NOT to participate in unethical practices.
Non-confrontational!
Slide 6: Non-confrontational!

When negotiating – whether with a small cargo operator in the field in Africa or a large broker in Europe – do not be confrontational. You are not trying to “catch them out” but determine which supplier can provide you with the right services at the right time in the right place.

This is particularly important in the field for the reasons we have just discussed.

You need above all to be clear as to what your needs are and do this before approaching a supplier. This will avoid misunderstandings and ensure that the supplier is able to provide the appropriate form of transport for what you need to move from A to B for a price that is reasonable.
Follow organizational procedures

- This training is intended to complement, not replace, organizations' procedures
- Changes to terms and conditions need approval
- Check with the donor about their approach to ethical procurement
Slide 7: Follow organisational procedures

- This training is intended to complement, not replace, organisations' procedures.

- Changes to organisational terms and conditions will most likely need to be approved by senior staff.

- Check with the donor about their approach to ethical procurement. Some donors make it clear that they expect high ethical standards in transport procurement, others are less clear. Determine what the conditions are for justification of supplier selection and be clear on your organisation's own line on this.
Key stages in negotiation

- Preparation phase
- Negotiation phase
- Post-negotiation phase
Slide 8: Key stages in negotiation

There are three main phases in negotiation:

- Preparation phase
- Negotiation phase
- Post-negotiation phase
Preparation phase

- Use a due diligence clause if time is limited.
- When creating a list of potential suppliers (inc. brokers and freight forwarders) include ethical transport criteria.
- Create a list of questions based on feedback to ethical criteria.
- Open tender documentation should include the organizations’ ethical procurement policy.
Slide 9: Preparation phase

In general, planning is the key to success. Be clear about what specifics you want to negotiate about. Make sure you are negotiating with the right people who can in fact commit the organisation with which you are negotiating.

Set out an agenda and build a rapport with your counterpart using phone calls, faxes, e-mails, and even informal meetings beforehand. Pick a mutually agreeable time and venue for the negotiations. Most importantly, get as much information as you can about the individual, the company and the company’s track record.

- Use a due diligence clause if time is limited that allows for checks to be made after the shipment has been carried out
- Prepare all the relevant questions that are required to be asked in the tender process

NOTE: covered in the Documentation training module

- Make suppliers aware at all stages of the tender process that your organisation has an Ethical Transport Procurement Policy

NOTE: covered in the Documentation training module

- Analyse tender submissions according to ethical criteria

NOTE: A Risk Assessment Matrix is provided as part of the Documentation training module

- Draw up a list of questions based on ethical criteria in addition to the usual questions your organisation asks, including:
  - Are your aircraft used for the transportation of arms?
  - Have your aircraft ever been used for the transportation of arms?
  - Where have your aircraft operated?
  - Have your aircraft been re-registered recently?
Such questions help to inform a risk assessment. The legal carriage of arms does not, of course, automatically mean involvement in trafficking.

**NOTE:** This is covered in more detail in the Documentation training module.

**NOTE:** Allow discussion on the different challenges in these situations. Be sure to emphasize that the humanitarian imperative is paramount and on some situations there is no choice – refer to other training modules.
Negotiation phase

• If not an open tender, direct price quote should include ethical transportation conditions.

• Questions that were developed in the preparation phase should be provided in advance to allow time to respond.

• When entering into detailed discussion:
  • Emphasize importance of ethical procurement
  • Discuss any divergences. Note refusals to provide info.
  • When satisfied with responses, move to “agreeing the details”
Slide 10: Negotiation phase

Negotiation has two phases – conceptualisation of the agreement and then agreeing on details.

In the air transport industry you get what you pay for. Be very wary of offers which are significantly below market norms.

**Conceptualization**

Be clear about what you should and should not be prepared to compromise. The aim is to reach an agreement which is even-handed and fair to both parties. You need a service provider who meets your ethical criteria and provides the service you want, when and where you want it for a reasonable price.

- If not an open tender, direct price quote should include ethical transportation conditions.
- Questions that were developed in the preparation phase should be provided in advance to allow time to respond.

When entering into detailed discussion:

- Emphasize importance of ethical procurement before discussing prices.
- Discuss any divergences. Note refusals to provide info.
- Ask for company to suggest who they might demonstrate their commitment to ethical transportation.

Make a final assessment according to ethical criteria based on the suppliers’ feedback

**NOTE: A Risk Assessment Matrix is provided as part of the Documentation training module**

- If the responses are deemed satisfactory to your organization, proceed to other issues of negotiation, such as price, quantities, location and other factors - “agreeing the details”.

**Agreeing the Details**

This phase sees the completion of the agreement. Here you need to be sure that your Request for Quotation is fulfilled and the technical solution is workable. The fine detail about how many flights are needed, who pays for what in terms of ground handling charges, fuel, crew accommodation and
transport, etc. Where possible, avoid open-ended costs as these can escalate; brokers and freight forwarders usually get paid a fixed percentage of contract value and they look to enhancing this income on the marginal costs. This phase is where expectations of both sides are clarified and finalised.
Post-negotiation phase

- If sensitive, you do not need to give a detailed reason for rejection of a bid
- Draw attention to the ethical procurement policy
- Emphasize that your organization prefers to do business with companies who have high ethical standards
- Agree on action to be taken to improve standards
Slide 11: Post-negotiation phase

If sensitive, you do not need to give a detailed reasons for rejection of a bid.

NOTE: Handout sample “Regret Letter” from the Logistics Operational Guide.

Whilst transparency and openness are aspirations we all uphold, in some circumstances it may be wiser to find a convenient reason for rejection. It is good policy not to state a reason unless asked for one. Do not debate the reasons for rejection of a bid – you are in control. If asked, then price or change in requirement are always convenient reasons to use against which there is little valid argument.

Justification for an auditor/donor is also a concern. In general when a company shows a high risk of being involved in destabilizing commodity flows they will normally perform poorly on other requirements such as safety records, being able to give satisfactory answers to concerns about company solvency or insurance, meeting environmental standards etc.

When the only reason is suspicion of involvement in trafficking, this can usually be backed up by references to open-source information should a donor or auditor require this. Use EthicalCargo's services to get the information necessary to make an informed decision.

The contract or Service Level Agreement should include:

- A covering letter drawing attention to ethical transportation conditions
- The ethical transportation conditions themselves
- Emphasize that your organization prefers to do business with companies who have high ethical standards – this does not just mean trafficking, but transparent business practices, environmental awareness etc.
- Agree on action to be taken by the company on any areas where they need to improve their performance
Activity - role play

There are four roles in two different contexts.

Context 1 – final round of selection of a European broker

- Role (a): HQ logistician (client)
- Role (b): Large air charter broker representative (supplier)

Context 2 - final round of selection of an air cargo operator

- Role (c): Field logistician
- Role (d): Air cargo operator representative (supplier)
Slide 12: Exercise

We will deal with some of the issues raised in an exercise.

**ACTIVITY**

*NOTE: Participants should already have a copy of the sample Ethical Transport Procurement Policy from a previous training session. Check if all participants have a copy with them now. If not, distribute now as it will be used as a reference in the role play.

Also distribute the other handouts from the Logistics Operational Guide to be used for reference.*

There are four roles in two different contexts.

**Context 1** – final round of selection of a broker to provide air chartering services on a long-term agreement. Three brokers are left, all based in a capital city of a European country.

- Role (a): HQ logistician (client)
- Role (b): Large air charter broker representative (supplier)

**Context 2** - final round of selection of an air cargo operator to make a one-off delivery of non-food items in a country where a peace deal is about to be struck between the government and rebel forces. There are only three possible operators in the area, so all three have made the final round.

- Role (c): Field logistician
- Role (d): Air cargo operator (runs two small Antonovs) representative (supplier)

*NOTE: Only 2 actual role plays will take place. If there are, say, 16 participants, divide them up into 4 groups, each group taking a role and nominating one person from their group to perform the verbal part of the role play. The rest of the group should consider themselves as the team behind the client or supplier.*

The client groups should take a few minutes to come up with three key questions for their supplier that are based on “ethical criteria”.

While doing this the supplier groups should develop some background to their company and agree their “attitude”.
The clients hand over the questions to the suppliers, who have a few minutes to provide a written response.

Both groups then have a couple of minutes to consider the follow-up, which is a face-to-face meeting as the suppliers are in the final round of selection.

All participants gather back into one group so that they can watch both role plays in action.

Then the two role players in Context 1 will have a 3 minute face-to-face follow-up on the written response. The meeting has been requested by the HQ logistician and is being held in his/her agency office.

Lead a short group discussion of the positives and negatives.

Then the two role players in Context 2 will have a 3 minute face-to-face follow-up on the written response. The meeting has been requested by the field logistician and is being held in the air operator’s office.

Lead a short group discussion of the positives and negatives.

NOTE: Handout activity instructions and get one participant to read out the instructions and another to summarise them after being read out. Further details for the individual roles can be developed in advance if so wished.

Key things to think about when leading the group discussions:

- The concept of “transformative behaviour”
- Being “polite but firm”
- The importance of being clear about demands
- The importance of being well-prepared in terms of information, particularly on policy issues

NOTE: Write down useful points on a flip-chart and include these in the training report.
Summary

- Agency staff should not put themselves in confrontational situations with air transport suppliers
- Companies may provide false documentation
- Contact EthicalCargo for support
Slide 13: Summary

- Agency staff should not put themselves in confrontational situations with air transport suppliers under any circumstances. As the buyer you decide with whom you wish to trade. Be polite but firm.

- Companies may provide false or incomplete documentation.

**NOTE:** See the Documentation training module for more on this.

- Contact EthicalCargo for support.
Questions?

Contact:

NAME OF PRESENTER: xxx@sipri.org
Slide 14: Questions?

Please take a minute to complete the anonymous training evaluation forms. We appreciate your honest responses in order to make sure the training is the best it can be.

Thank-you. Contact: XXX XXX@SIPRI.org
TRAINING OF TRAINERS: Session plan

Time: 90 minutes

Aim of Session
Participants will be able to return to their organisations and run relevant training sessions for other staff.

NOTE: The Training of Trainers module should be tailored to its context as it is not possible to produce a generic training of trainers module since the application of the module can be so wide.

Training of Trainers could be for senior logistics staff in an NGO in order for them to standardise procurement procedures across country offices by running regional training, and therefore concentrate on the “Documentation” module.

Alternatively it could be to train coordination staff to be able to run “General Awareness” training for cluster members.

This means that the content of this training module will be developed once a Training of Trainers session has been demanded.

Objectives of Session
At the end of this session participants will be able to:

• Confidently reiterate the main points around the issue of transportation and conflict-sensitive logistics
• Compose a draft session plan (training objectives and some activity ideas) for a training session they might carry out
• Present a two-minute session in pairs

Key Messages
• This issue can appear complicated but you don't need to know everything about it to run an awareness-raising session or to run a problem-solving session within your organisation
• As with all training, you need: clear training objectives; knowledge about participant expectations; “slide-lite” presentations and to encourage group involvement.

Resources
• Computer and projector. PowerPoint presentation.
• Flip chart and markers
• Pre-prepared pencilled flip-chart of EthicalCargo issues
• Copies of the Knowledge Base for each participant
Preparation

- Find out from participants if they already have a training planned. If not, find out what their training objectives are likely to be.
- Print out handouts
### Time summary

<table>
<thead>
<tr>
<th>Activity</th>
<th>Time (mins)</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACTIVITY 1: Introduction to the session</td>
<td>10’</td>
</tr>
<tr>
<td>ACTIVITY 2: Who and why are you running training?</td>
<td>10’</td>
</tr>
<tr>
<td>ACTIVITY 3: Materials</td>
<td>10’</td>
</tr>
<tr>
<td>ACTIVITY 4: Presentation practice</td>
<td>45’</td>
</tr>
<tr>
<td>ACTIVITY 5: Presentation tips</td>
<td>5’</td>
</tr>
<tr>
<td>ACTIVITY 6: Wrap up and questions</td>
<td>10’</td>
</tr>
<tr>
<td></td>
<td><strong>95’</strong></td>
</tr>
</tbody>
</table>

### Activity details

#### ACTIVITY 1: Introduction to the session  

**Slides 1-4**

Show slide “Refresher”. Why is ethical cargo an issue for humanitarian organisations? Should be fairly quick to check off the list that participants will have already been through in training.

Write down responses on the pre-prepared pencilled flip-chart of the issues

#### ACTIVITY 2: Why and who will you be training?  

**Slide 5&6:**

These slides can only be prepared once the context of the Training of Trainers is known. It is important to get background in advance on what kind of training an organisation is planning to conduct once its staff have completed the Training of Trainers. Show slide “Presentation practice”

- Divide into pairs
- Give each pair one or two slides from the “General Awareness/Introduction” module (or other modules if appropriate)
- Using the session plan and the handouts for reference, get them to prepare speaking notes for these slides in order to make a 2-minute presentation with both presenters sharing speaking time
- They may modify the slides and should make sure that the message is clear, simple to understand and, if they have time,
presented in an innovative way.

After each presentation allow maximum of 1 minute feedback, which should always begin positively and constructively.

<table>
<thead>
<tr>
<th>ACTIVITY 3: Materials</th>
<th>10’</th>
</tr>
</thead>
<tbody>
<tr>
<td>Slide 7 &amp; 8</td>
<td></td>
</tr>
<tr>
<td>• Go through the structure of the knowledge base and how a standard session plan is created.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ACTIVITY 4: Presentation practice</th>
<th>45’</th>
</tr>
</thead>
<tbody>
<tr>
<td>Slide 9</td>
<td></td>
</tr>
<tr>
<td>• Divide into pairs</td>
<td></td>
</tr>
<tr>
<td>• Give each pair one or two slides from the “General Awareness/Introduction” module (or other modules if appropriate)</td>
<td></td>
</tr>
<tr>
<td>• Using the session plan and the handouts for reference, get them to prepare speaking notes for these slides in order to make a 2-minute presentation with both presenters sharing speaking time</td>
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<tr>
<td>• They may modify the slides and should make sure that the message is clear, simple to understand and, if they have time, presented in an innovative way.</td>
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<tr>
<td>• After each presentation allow maximum of 1 minute feedback, which should always begin positively and constructively.</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>ACTIVITY 5: Presentation tips</th>
<th>5’</th>
</tr>
</thead>
<tbody>
<tr>
<td>Slide 10</td>
<td></td>
</tr>
<tr>
<td>• Go through tips on presentation:</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>ACTIVITY 6: Wrap up and questions</th>
<th>10’</th>
</tr>
</thead>
<tbody>
<tr>
<td>Explain that training materials in digital form will be sent by email and that these should not be shared further.</td>
<td></td>
</tr>
<tr>
<td>Take questions and answers in plenary.</td>
<td></td>
</tr>
</tbody>
</table>

**NOTE:** When wrapping up the presentation don't forget to make sure all handouts have been handed out, evaluation forms have been completed, the participant contacts sheet has been filled in and you have given details on how you can be contacted.
Training of Trainers

EthicalCargo project
TRAINING of TRAINERS
Good morning/afternoon. My name is XXX and I am part of the EthicalCargo team, working on XXX. My background is XXX and I’ve been with the EthicalCargo project since XXX.

This session is the “Training of Trainers” session. It’s aim is to provide participants with the tools and confidence to conduct training within their own organizations on the issue of ethical procurement of air transport.
Session objectives

At the end of this session participants will be able to:

- Confidently reiterate the main points around the issue of transportation and conflict-sensitive logistics
- Compose a draft session plan (training objectives and some activity ideas) for a training session they might carry out
- Present a two-minute session in pairs
Slide 2: Objectives

At the end of this session participants will be able to:

- Confidently reiterate the main points around the issue of transportation and conflict-sensitive logistics
- Compose a draft session plan (training objectives and some activity ideas) for a training session they might carry out
- Present a two-minute session in pairs
Refresher – why an issue?
NOTE: Ask participants to say why the issue of air cargo operators transporting destabilizing commodities is an issue for humanitarian organizations.
Do No Harm in terms of:

- War economy - financial support to those providing logistics service to destabilizing actors

Programming/Organizational issues:

- Responsibility to tax payers/private donors
- Reputation
- Humanitarian space
- Project costs increased
- Safety of personnel traveling on unsafe aircraft
- Increased exposure of staff to people who may be engaged in destabilizing activities
Slide 4: Issues

Humanitarian organizations may end up using the same cargo operators that are involved in destabilizing commodity flows. This is due to two main reasons – limited availability of alternatives and lack of information regarding air cargo operator behaviour.

This has the following implications:

Do No Harm in terms of:

- War economy - financial support to those providing logistics service to destabilising actors.
- Beneficiary protection issues – economic support to suspect companies facilitates their ability to trade in weapons/C-SC

Programming/Organisational issues:

- Organisational reputation (local and international) can be damaged if association made between trafficking and the agency “They're all the same”.
- Humanitarian space – Reduced “humanitarian space” if humanitarian agencies are not seen as independent or are seen as being part of the problem
- Safety of personnel travelling on unsafe aircraft
- Increased exposure of staff to people who may be engaged in destabilising activities - Staff may be put into uncomfortable situations by having to deal with suspect companies and their staff (bribes, being asked to sign-off on carrying extra cargo with their own shipment which may contain weapons/C-SC etc.)
- Compliance with donor requirements (e.g. ECHO “Rules and procedures” - ethical procurement)
Why will you be training?
Slide 5: Why will you be training?

NOTE: This slide can only be prepared once the context of the Training of Trainers is known. It is important to get background in advance on what kind of training an organisation is planning to conduct once its staff have completed the Training of Trainers.

Some points to raise:

What is the purpose of the training? Has it been requested by those who will be participating, or organised by senior management?

Is the training about compliance and “following rules”? In which case make sure policy is clear beforehand.

Is the training to be used to create a new policy? If so, have a clear goal for the end of the training such as a draft procurement policy.
Who will you be training?
Slide 6: Who will you be training?

NOTE: This slide can only be prepared once the context of the Training of Trainers is known. It is important to get background in advance on what kind of training an organisation is planning to conduct once its staff have completed the Training of Trainers.

Some points to raise:

You need to know who is attending the training and what they normally work with.

You need to know what participants' expectations are beforehand – send out an email or simple survey form to find out what they expect to get from the training or if they have any particular topics they would like covered.

Find out what their level of knowledge is beforehand.

Consider the wider impact of the training – is it a good networking opportunity for participants? Is it a rare chance for field staff to meet up and feedback issues to HQ? Think about how participants might like to have a chance for open discussions.
Materials

- Copy of the “KnowledgeBase” (and digital copy)
- Sample session plan with speech
- PowerPoint slide handout
Slide 7: Materials

All participants should have the following materials:

- Copy of the “knowledge base” (and digital copy)
- Sample session plan with speech (or use one in the knowledge base)
- PowerPoint slide handout for the module most likely to be used

Check that everyone has these materials.

**NOTE:** Stress that these materials should only be used by those who have been on the Training of Trainers course in order to make sure messages are communicated correctly.

Go through an overview of the contents of the knowledge base, explaining how all materials can and should be modified for whatever specific training is planned.

Make sure all the participants are familiar with how to navigate the Knowledge Base.
A standard session plan is used to structure the training. It should include:

- Clear aims and objectives
- Clear timings for parts of the training
- A list of practical considerations such as handouts or resources required
Slide 8: Standard session plan

A standard session plan is used to structure the training. It is a very useful tool as it forces the trainer to think about clear learning objectives in order to put together the right materials.

It should include:

• Clear aims and objectives of the training – what should participants go away from the session with?
• Clear timings for parts of the training
• A list of practical considerations such as handouts or resources required

NOTE: Ask if anyone has used this kind of session plan before. If so, what were their experiences?
Presentation practice

ACTIVITY

- In pairs prepare a 2 minute presentation on one or two slides from one of the modules in the knowledge base
- You may modify the slides and should make sure that the message is clear, simple to understand and, if they have time, presented in an innovative way
- You have 15 minutes for this activity
- Each pair will then present to the group.
- 1 minute of constructive feedback
Slide 9: Presentation practice

In pairs prepare a 2 minute presentation on one or two slides from the standard session plan

You may modify the slides and should make sure that the message is clear, simple to understand and, if they have time, presented in an innovative way

You have 15 minutes for this activity

Each pair will present to the group. There will be maximum one minute of feedback from the group. Feedback should be constructive e.g. “I like the way you did this, and it would be even better if you also did this”

NOTE: Things to look out for:

Speaking to fast, too quiet or away from the audience

Lack of clarity of objectives

Over-complication of an issue

Innovative ways of getting a message across (don’t be afraid to say that you might steal the ideas from good presentations for use in EthicalCargo training.)
Presentation tips

- Know your audience
- Write clear objectives for the training that are appropriate to the audience
- Pre-prepare flip-charts in pencil when making group lists
- Keep the group focused – keep slide text and the number of slides to a minimum
- Give out handouts at the right time and remember, as soon as you give something out people start reading and stop listening.
- You won't know all the answers – contact EthicalCargo.org.
Slide 10: Presentation tips

There are lots of considerations for a good training and a good trainer. The knowledge base includes resources on setting up and running training.

Some important things to consider:

**General:**  
- Know your audience – know who is to be trained, what their background is and what their expectations of the training are. If there expectations are widely different from the trainer's expectations the training will be a failure.
- Write clear objectives for the training that are appropriate to the audience. Be willing to change the objectives and content of the training if participants express in advance a desire to learn something not originally planned. This will ensure that participants' expectations are well managed.

**Practical:**  
- Pre-prepare flip-charts in pencil when making group lists – this is a great cheat where if you know you have a list of ten points you want to come out of a group discussion you can write them in pencil on the flip chart which means only you will be close enough to see them. This helps you to facilitate the group to make the important points without you having to keep referring to training material.
- Keep the group focused – keep slide text and the number of slides to a minimum. Be sensitive to a group that is eager to discuss issues and gets restless listening to a lecture. In that case, open up the presentation to discussion. It is common, particularly in training where staff from the field are brought to HQ, that staff have burning issues to discuss.
- Give out handouts at the right time and remember, as soon as you give something out people start reading and stop listening.
- You won't know all the answers – contact EthicalCargo.org.
Questions?

Contact:

NAME OF PRESENTER: xxx@sipri.org
Slide 11: Questions?

Please take a minute to complete the anonymous training evaluation forms. We appreciate your honest responses in order to make sure the training is the best it can be.

Thank-you. Contact: XXX XXX@SIPRI.org
Training Handouts
Handouts overview

Handouts are referred to in the Speeches and Session Plans for each module. Note that some handouts, in particular HANDOUT-04-EthicalTransportationPolicy, are used in multiple sessions and may only need to be distributed once.

Handouts can be included in participant folders or given out at an appropriate time in the training session. Remember the golden rule – if you give something out, people will start reading it. If you want to keep people’s attention, allow reading time after distributing a handout or distribute handouts in advance by email or once the session is finished.

HANDOUT-00-ParticipantsList
FOR THE TRAINER. To be completed by all participants at every training session. Hand out at the beginning of every session.

HANDOUT-00-3Actions
FOR THE TRAINER. This handout is to be cut up by the trainer and two slips to be given to each participant to be completed at the end of the Policy Mainstreaming/Coordination & Donorship modules.

HANDOUT-01-TrainingEvaluationForm
To be completed by every participant. To be handed out at the end of every session.

HANDOUT-02-EthicalCargo-SolvingTheProblem
This is the A5 booklet summarising the EthicalCargo project. Should be included in the participant resources folder.

HANDOUT-03-BangkokCaseStudyA3
This should be handed out at the end of the Bangkok Case Study activity so that participants can understand the network of links.

HANDOUT-04-EthicalTransportationPolicy
This is used in a number of training sessions so should be included in the participant resources folder.

HANDOUT-05-IndustryCodeOfConduct
This is a sample policy that can be shown to donors or air cargo operators to show what a basic company policy might be based on.

HANDOUT-06-ChecklistHumanitarianOrganisations
This is for participants to use as a basis for action points following the meeting.

HANDOUT-07-ECHO-ProcurementGuidelines_Sept2010-EXTRACT-ONLY
Relevant pages from the Sept 2010 Draft version of ECHO “Humanitarian Aid Guidelines for Procurement”.
Handouts for the Documentation module

A number of handouts are taken from the Log Cluster “LOG” - Logistics Operational Guide. This is periodically updated and participants should be encouraged to access the website (http://log.logcluster.org/index.html) directly or download the updatable/portable LOG software.

**HANDOUT-DOCUMENTATION-01-AssessmentMatrix-EthicalIndicators-Oct2010**

This is the key tool for the Documentation module and includes the Documentation checklist.

**HANDOUT-DOCUMENTATION-02-Airworthiness-AOC-Insurance**

This is made up of 2 annotated sample docs from the Australian Civil Aviation Authority, plus an annotated version of the sample Insurance policy (HANDOUT-DOCUMENTATION-07-ExampleInsurancePolicy-Hull3rdPartyPassenger)

**HANDOUT-DOCUMENTATION-03-LOG-Air Operations**

This is a print-out of Air Operations section from the LOG. http://log.logcluster.org/.

**HANDOUT-DOCUMENTATION-04-LOG-4-3-AIR OPERATION-GENERAL INFO-Air Craft Types**


**HANDOUT-DOCUMENTATION-05-LOG-4-3-AIR OPERATIONS-GENERAL INFO-Selecting the right Aircraft-WFP Manual**


**HANDOUT-DOCUMENTATION-06-PilotsLicence**

Sample pilots licence.

**HANDOUT-DOCUMENTATION-07-ExampleInsurancePolicy-Hull3rdPartyPassenger**

Sample Insurance policy taken from http://www.iua.co.uk/AM/Template.cfm?Section=Aviation_Clauses Original title "AVN_1C_21_12_98_LONDON_AIRCRAFT_INSURANCE_POLICY__Hull,_Third_Party_and_Passenger_Liability_”

**HANDOUT-DOCUMENTATION-08-ICAO-Annex 6-Part I - AOC Template**

From ICAO – template to be used by a Civil Aviation Authority for Air Operating Certificates. Annex 6, Part 1: http://www.icao.int/eshop/annexes_list.htm
HANDOUT-DOCUMENTATION-09-LOG-2-3-PROCUREMENT-SAMPLE-Suppliers Confidential Business Questionnaire

HANDOUT-DOCUMENTATION-10-AirOperatorCertificate
Sample AOC.

HANDOUT-DOCUMENTATION-11-CertificateOfRegistration
Sample Certificate of Registration.

HANDOUT-DOCUMENTATION-12-CertificateOfAirworthiness
Sample Certificate of Air Worthiness.

HANDOUT-DOCUMENTATION-13-CrewList
Sample crew list.

HANDOUT-DOCUMENTATION-14-CertificateOfMaintenanceRelease
Sample Certificate of Maintenance Release.

HANDOUT-DOCUMENTATION-15-AircraftRadioStationLicence
Sample Aircraft Radio Station licence.
3 Actions

Name:

Email:

Three actions I will take to take the issue of ethical transport procurement forward in my organisation

1

2

3
<table>
<thead>
<tr>
<th>Name</th>
<th>Job Title</th>
<th>Agency</th>
<th>Email</th>
<th>Tlf number (work)</th>
<th>Mobile number</th>
</tr>
</thead>
</table>

**EthicalCargo - SIPRI - Signalhögatan 9 - SE-169 70 - Solna - Sweden**

T: +46 (0)8 655 97 92 - F: +46 (0)8 655 97 33 - E: contact@ethicalcargo.org - W: www.ethicalcargo.org

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EthicalCargo Outreach Evaluation Form

THIS FORM IS FOR ANONYMOUS FEEDBACK – PLEASE DO NOT WRITE YOUR NAME!

Date of Session:
Location:

Please complete and return this form. Your frank evaluations are greatly appreciated.

**Please rate the following on a scale of 1 – 5 (5 = excellent & 1 = poor)**

<table>
<thead>
<tr>
<th>Question</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Outreach session organisation (e.g. quality of pre-meeting information, if session started/finished on time)</td>
<td>1 2 3 4 5</td>
</tr>
<tr>
<td>2) The meeting of session objectives</td>
<td>1 2 3 4 5</td>
</tr>
<tr>
<td>3) The relevance of the content of the session to your work</td>
<td>1 2 3 4 5</td>
</tr>
<tr>
<td>4) The quality of the learning materials and aids</td>
<td>1 2 3 4 5</td>
</tr>
</tbody>
</table>

Please draw a circle around one of the options after each question and write brief answers where appropriate

5) Does your organisation have an ethical transport procurement policy? **YES** / **NO**
   If yes, please give details on how this is enforced?
   If no, are you aware of intentions to adopt a policy?

6) Do you anticipate that the EthicalCargo project will stimulate a review of procurement procedures or policy within your organisation? **YES** / **NO**
   If yes, how?

7) Were you aware of the tools EthicalCargo provides before being invited to this session? **YES** / **NO**
   If yes, how did you hear about EthicalCargo?

8) Do you intend to use EthicalCargo’s tools in your work in the future? **YES/NO**
   If yes, briefly describe how they will inform your work.

9) How will you disseminate information about the EthicalCargo project to your colleagues, consultants and roster staff? (Tick all that apply)
   - **Email**
   - **Internal training sessions**
   - **Internal meetings**
   - **Policy updates (internal handbooks etc)**
   - **Internal newsletter**
   - **Other (give details)**

Thank you for taking the time to fill in this form!
Arms Trafficking & Humanitarian Aid: Solving the Problem

Supporting Conflict-sensitive Logistics and Ethical Transportation Programs
Handout-04-EthicalTransportationPolicy

Sample

Ethical Air Transport Procurement Policy

This document is intended to be used as a guide only. Organisations should determine their precise details of their own conditions.

<ORGANISATION NAME> has an ethical procurement policy. In relation to the procurement of air transport services, preference will be given to service providers who:

☑ Adhere to the highest possible air safety & employment standards.
☑ Act in accordance with international human rights and humanitarian law.
☑ Conduct their business in a transparent and accountable manner.
☑ Have a robust ethical transportation policy in place.

Suggested ethical conditions include:

Air transport service providers should not be involved in:

☑ Transportation of arms or other destabilizing commodities (items that fuel, fund or facilitate armed conflict e.g. blood diamonds) to governments, armed groups or geographical entities covered by UN, EC or OSCE sanction.
☑ Transportation of legal arms shipment to governments or groups not covered by UN, EC or OSCE sanctions but who have poor human rights records <ORGANISATION TO DECIDE WHICH COUNTRIES THIS MAY INCLUDE>.
☑ Transportation of illicit or illegal goods such as narcotics.
☑ Unsafe or corrupt business practices.
☑ Clandestine flights.
☑ Rendition flights which may be contrary to international humanitarian law.

This means adherence to:

☑ Relevant ICAO, ILO, OECD and UN Global Compact rules, guidelines and best practices
☑ UN, EU and OSCE resolutions, decisions or agreements on the transportation of arms, ammunition or military equipment to the embargoed destinations listed in the relevant UN, EU and OSCE documentation.
☑ Preference will be given to air transport service providers who are not on the EU Safety Ban list and whose aircraft are registered in countries that meet ICAO standards.
☑ If an air transport service provider (or any parent/subsidiary/sister/partner organisation) is named in a reputable report describing a violation of the above guidelines or resolutions then a full explanation will be sought before further consideration of a bid.
☑ The humanitarian imperative is paramount and <ORGANISATION NAME> will procure services from the source which provides the most appropriate, cost-effective option when speed of response is a key requirement.
Basic principles for a company’s Code of Conduct

This company pledges that it will:

✔ adhere to the highest possible air safety & employment standards
✔ act in accordance with international humanitarian law
✔ conduct its business in a transparent and accountable manner

...and that it will not:

✗ violate United Nations or European Union arms embargoes
✗ engage in unsafe or corrupt business practices
✗ transport illicit raw materials or engage in clandestine flights
What next?

Checklist for humanitarian organisations

- Adapt and adopt Ethical Transport Procurement Policy
- Inform your staff
- Join the website
- Contact the confidential hotline for immediate support

Policy

- Does your organisation have an Ethical Transport Procurement Policy? Adapt and adopt the EthicalCargo sample procurement policy.
- Does your organisation have a policy on conflict-sensitivity or Do No Harm? Ethical procurement issues are not just logistics issues but impact on wider discussions about impacts of humanitarian assistance.
- Are your donors awareness of the issue? Ethical procurement means not always going for the cheapest option.
- Are key policy/programme staff aware of this initiative? EthicalCargo provides a summary email for dissemination. Membership of the website will ensure staff are up-to-date with project developments.

Logistics

- Do you have to make a decision quickly? Contact the confidential EthicalCargo hotline (www.ethicalcargo.org/tools/hotline).
- Need situational awareness in relation to sanctions and other reputable reports? Keyword-search the EthicalCargo database.
- Does your organisation have an Ethical Transport Procurement Policy? Adapt and adopt the EthicalCargo sample procurement policy. Ethical business practices are a growing concern of commercial logistics.
- Are key logistics staff aware of this initiative? EthicalCargo provides a summary email for dissemination. Membership of the website will ensure staff are up-to-date with project developments.
- Are logistics field staff without air operations experience responsible for procuring air transport? Air transport procurement is costly and risky - request training from EthicalCargo.
- Do you use a broker or logistics company? Discuss your Ethical Procurement Policy with your broker or freight forwarder. Contact EthicalCargo for further advice.
DRAFT

Guidelines for the award of Procurement Contracts within the framework of Humanitarian Aid Actions financed by the European Union

("Humanitarian Aid Guidelines for Procurement")

September 2010
Humanitarian Principle of Neutrality: Procurement decisions, including those linked to the transport of aid, must reflect and respect the humanitarian principle of neutrality particularly in any man-made disaster or conflict. For example dealing with a contractor with known links to one of the parties to a conflict, such as a company that supplies or transports arms or other supplies to a military actor or other combatant could be a violation of the principle of neutrality and in any case would be unethical. Since certain commodities, such as precious minerals, diamonds, energy resources or other items which fuel, fund or facilitate armed conflict, can have such a destabilising effect in man-made conflicts, it may be unethical to contract services such as transport for humanitarian aid from a contractor known to transport these commodities and could moreover compromise the principle of neutrality. Likewise, in order to uphold this principle in the eyes of the victims of humanitarian crises and to void unnecessary confusion for them, the use of military or civil defence assets (e.g. helicopters & vehicles etc) to deliver humanitarian aid, particularly in man-made disasters, should be used as a last resort when comparable civilian alternatives cannot be found. This fundamental principle of neutrality in the implementation of humanitarian aid is supported by the more active concept of "Do No Harm" or conflict-sensitivity which states that humanitarian actors and, by extension all those involved in the delivery or transport of aid, should attempt to minimise the negative effects so that their interventions do not render civilians more vulnerable to attack, or bring unintended advantage to any military actors or other combatants. "Do No Harm" implies that potential unintended harmful effects of the humanitarian response (e.g. prolonging the conflict) or effects that promote inequity amongst recipients of aid should be identified from the initial stages of the programme design and should be pro-actively avoided.

Ethical Transport & Cargo: When awarding a procurement contract to a private company the Contracting Authority should consider, where possible, whether that contractor is also involved in or linked to illegal activities (e.g. arms, drug or people smuggling). For example it would be unethical to contract services such as transport for humanitarian aid from a contractor known to transport drugs, arms or other illicit or illegal supplies or which conducts clandestine or rendition flights which may be contrary to international humanitarian law. The growing awareness of the need to ensure ethical transport of aid is addressed in Annex 2 to these Guidelines and must be assessed by each Contracting Authority in light of the humanitarian imperative and the prevailing circumstances. In a number of countries the availability of cargo operators is limited due to security considerations therefore rather than setting fixed rules it is more relevant here to emphasise the importance of due diligence and cooperation/coordination between humanitarian actors to minimise the risk of EU funds being used to financially support businesses involved in unethical practices or even in violations of international human rights or humanitarian law.

Where an humanitarian organisation opts to use a broker or freight forwarder in order to arrange the transport of relief items it is important that the organisation as the Contracting Authority make it clear that the broker is expected to carry out due diligence on suppliers according to ethical considerations. A broker's ability to demonstrate it has an effective and public ethical policy in place could provide a concrete example of due diligence. This in itself does not absolve the Contracting Authority of doing its own checks, where necessary, to be satisfied that the broker has adequate ethical credentials or that ethical standards have been met in a particular transaction. If the Contracting Authority is relying on the supplier of the goods to arrange transportation, the supplier must be made aware of the ethical transport and cargo standards described above and included in Annex 2 to these Guidelines.

20 For more related information see Lexicon of key civil-military relations related terminology Prepared by VOICE EU civil-military working group March 2009 http://www.ngovoice.org/documents/CTIV%20MIL%20LEXICON%20FINAL%20MAY%202009.pdf
21 More information on the use of military and civil defence assets in disaster relief is available at http://ochaonline.un.org/ in the section on Humanitarian Civil-Military Coordination.
b. In any event, workers shall not on a regular basis be required to work in excess of 48 hours per week and shall be provided with at least one day off for every 7 day period on average.
c. Overtime shall be voluntary, shall not exceed 12 hours per week, shall not be demanded on a regular basis and shall always be compensated at a premium rate.

No discrimination is practised.
There is no discrimination in hiring, compensation, access to training, promotion, termination or retirement based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation.

Regular employment is provided.
To every extent possible work performed must be on the basis of a recognised employment relationship established through national law and practice.

No harsh or inhumane treatment is allowed.
Physical abuse or discipline, the threat of physical abuse, sexual or other harassment and verbal abuse or other forms of intimidation shall be prohibited.

ENVIRONMENTAL STANDARDS

Suppliers should as a minimum comply with all statutory and other legal requirements relating to the environmental impacts of their business and should aim to address at least the following:

Waste Management.
Waste is minimised and items recycled whenever this is practicable. Effective controls of waste in respect of ground, air, and water pollution are adopted. In the case of hazardous materials, emergency response plans are in place.

Packaging and Paper.
Undue and unnecessary use of materials is avoided, and recycled materials used whenever appropriate.

Conservation.
Processes and activities are monitored and modified as necessary to ensure that conservation of scarce resources, including water, flora and fauna and productive land in certain situations.

Energy Use
All production and delivery processes, including the use of heating, ventilation, lighting, IT systems and transportation, are based on the need to maximise efficient energy use and to minimise harmful emissions.

TRANSPORT & CARGO STANDARDS

Any transport services shall be provided by a company which adheres to the highest possible safety and employment standards and which commits to respect human rights and observe international humanitarian law. It is preferred that the company can demonstrate it has an effective ethical policy in place, particularly if the company is a broker or freight-forwarder, in order to ensure that standards are met. If the supplier of the goods is arranging transport then the supplier should ensure that transport services also meet these standards.

More resources are publicly available at: http://www.ethicalcargo.org/
Where air transport is required, preference shall be given to providers who are not on the EU Safety Ban List\(^53\) and whose aircraft are registered in countries which meet the International Civil Aviation Organization’s\(^54\) standards.

The supplier shall not engage the services of a transport provider known to also transport illicit or illegal goods such as narcotics or to transport arms, ammunition or other conflict-sensitive materials to or from territories subject to a UN or EU embargo.

The supplier shall not engage in the sale or transport of arms or conflict-sensitive supplies to governments which systematically violate the human rights of their citizens; or where there is internal armed conflict or major tensions; or where the sale of arms may jeopardise regional peace and security.

**CONFIDENTIALITY**

The Candidate/Tenderer agrees to hold in trust and confidence any information or documents disclosed to it, discovered by it or prepared by it in the course of or as a result of its participation in the above-mentioned procurement procedure, and agrees that it shall be used only for the purposes of this procedure.

**- ELIGIBILITY UNDER EU FINANCIAL RULES\(^55\)**

I/we furthermore hereby declare that [full name of the Candidate, Tenderer etc]

(a) is not subject to any conflict of interest in the ongoing procurement procedure for this contract [insert details of the relevant contract and procurement procedure] with other commitments or contracts recently concluded or to be concluded either individually or through any consortium to which it might belong or through any subsidiary or related company;

(b) is not bankrupt or being wound up or having its affairs administered by the courts. It has not entered into an arrangement with creditors or suspended business activities and is not the subject of proceedings concerning those matters. Neither is it in any analogous situation arising from a similar procedure provided for in national legislation or regulations;

(c) has never been convicted of any offence concerning its professional conduct by a judgment which has the force of res judicata;

(d) has never been proven guilty of any grave professional misconduct;

(e) has never failed to fulfil its obligations relating to the payment of social security contributions or the payment of taxes in accordance with the applicable legal provisions;

---

\(^{53}\) [http://ec.europa.eu/transport/air-ban/list_en.htm](http://ec.europa.eu/transport/air-ban/list_en.htm)

\(^{54}\) [http://www.icao.int/](http://www.icao.int/)

\(^{55}\) This list is based on the exclusion situations listed in Articles 93 and 94 of the Council Regulation (EC, Euratom) N\° 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Union.)
Ethical Cargo Procurement Risk Assessment Matrix

About the matrix

This matrix can be integrated into an organisation’s procurement procedures to assist in the assessment of air cargo service offers to ethical criteria. It can be used for both direct and indirect cargo service procurement. This matrix is to be used in conjunction with Ethical Cargo training on ethical procurement of cargo services.

Using the matrix

Ethical indicators

The matrix groups together key questions under five ethical indicators that should be asked of cargo service providers in order to be able to assess the risk of using air cargo operators who are involved in destabilizing commodity flows.

The matrix considers to broad contexts for procurement – indirect and direct (see box below).

Responsibility

An “S” is used in the Indirect procurement column to indicate that the service provider should make the checks and provide a summary to the client.

A “C” is used in the Indirect/Direct procurement columns where the client should double-check the service provider information or carry out its own checks.

Risk rating

Rate each of the five indicators from 1 to 5 where:
5 = high risk / lack of company transparency and 1 = low risk / full company transparency.

Documentation Review Checklist

A separate checklist for analysing the documentation submitted by the operator is included with the matrix. Four documents should be priority documents to check: Air Operating Certificate, Certificate of Registration, Certificate of Airworthiness and Certificate of Insurance.
### Sample Certificate of Airworthiness

<table>
<thead>
<tr>
<th>Nationality and registration mark</th>
<th>Manufacturer &amp; Manufacturer's Designation of aircraft</th>
<th>Aircraft serial number (or &quot;MSN&quot;)</th>
</tr>
</thead>
<tbody>
<tr>
<td>.................................</td>
<td>.................................</td>
<td>.................................</td>
</tr>
</tbody>
</table>

**Aircraft serial number (or "MSN")**

**Nationality and registration mark**

[See wikipedia.org/wiki/Aircraft_registration for sortable table of national prefixes]

**Manufacturer & Manufacturer's Designation of aircraft**

**Aircraft serial number (or "MSN")**

**Annex of special conditions**

**Certificate expiry date and note on annexes**

**Issue date and signature of authorized person**

**Certificate issued in accordance with Convention on International Civil Aviation**

**December 1944...**

**Certificate category/ies e.g. "transport" (large, 2 engine planes) or normal (smaller single-engine planes)**

**Certificate expiry date and note on annexes**

**Annex of special conditions**

**Certificate issued in accordance with Convention on International Civil Aviation**

**December 1944...**

**Certificate category/ies e.g. "transport" (large, 2 engine planes) or normal (single-engine planes)**
Air Operations — LOG

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- LOG Introduction
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- Collaborative Partnership
- Download

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Air Operations

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1. Introduction
2. Developing a Plan of Action (Air Plan)
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7. Air Operations in Emergencies
8. Logistics Officer Responsibilities
9. Governing regulations
10. Key documents in use
11. Conclusion
12. References

Annexes
- General documents
- Guides and How-to
- Sample and Templates

Pictures
- Diagrams
- Pictures
Bombardier Dash 8-100 (200)

- Overall length 22.25 mtr
- Wingspan 25.91 mtr
- MTOW 16,465 kg
- Passenger capacity 37+
- Cruising speed 490 km
- Range 1520 – 2040 km
2.3.5. Selecting the Right Aircraft

2.3.5.1. Introduction

Once the decision has been taken on the air transport concept and the food delivery methods, it has to be decided which category and type of aircraft should be used for performing the required tasks. While it is obvious that fixed wing cargo aircraft will be used for long range missions, for regional or local flights the options between fixed and rotary wing aircraft should be carefully considered. The diagram below (Figure 2-5) provides an overview on the method to select the aircraft category. Depending on the scenario, a mix of fixed and rotary wing aircraft may be required. It should be noted that the option to perform food drops is only viable for longer term operations. Indeed, such as mentioned above, food drops require a preparation time of at least two weeks.

2.3.5.2. Choice of Single or Multi-Engined Aircraft

A major requirement is that at all times from take-off to landing, including the en-route phase, in the event of an engine failure; the fixed wing aircraft must be able to make a safe emergency landing and the helicopter a safe autorotative landing. A safe landing is defined as the aircraft being substantially undamaged and the occupants unhurt. This will restrict the use of single engine aircraft for use in harsh environments and for night operations and flight under IFR conditions.

Where flight routes are at relatively lower levels, over short distances and favourable terrain, and supported by closely monitored flight following with back up Search and Rescue resources, day Visual Meteorological Conditions (VMC) operations may be acceptable with single engine aircraft. Single-engine aircraft are to be used in WFP AFO under the following conditions:

- Day VFR flights only;
- Non mountainous areas only (gliding distance should be sufficient to reach a safe landing area);
- Over land area only (gliding distance should be sufficient to reach a safe landing area).

2.3.5.3. Choice between Fixed Wing and Helicopter

- Longer distances overland point towards fixed wing aircraft due to their higher speed, thus reducing journey time, increasing comfort, and lowering operating costs. Flights of much more than one hour's duration in a helicopter are in any case fatiguing, due to noise and vibration levels, and, the load which the helicopter can carry decreases greatly with increase in distance. Conversely, the helicopter is extremely practical for providing a short distance "door to door" service.
- For regional air transport, fixed wing aircraft are more cost-effective that helicopters. However, in some cases, such as relief operations in inaccessible areas, only helicopters may be able to reach the beneficiaries. For other operations, where delivery airfields or airstrips are available a fixed wing operation is likely to be the preferred option (see Figure 2 – 5). Also, it is possible that airfields or airstrips require (re)conditioning for allowing the use of fixed wing aircraft. If such (re)conditioning is possible, the most viable option may be to start the operation with helicopters but to plan the transition to fixed wing aircraft, once the airfields or airstrips are repaired. Some operations will benefit on both cost and safety grounds from a joint fixed wing/helicopter
Example Pilots Licence (USA)

Front

Back

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LONDON AIRCRAFT INSURANCE POLICY

Headings and marginal captions are inserted for the purpose of convenient reference only and are not to be deemed part of this Policy.

Certain words and phrases used in this Policy have special meanings which can be found in Section IV(D) Definitions.

The Insurers agree to insure against loss, damage or liability, arising out of an Accident occurring during the Period of Insurance to the extent and in the manner provided in this Policy.

SECTION I LOSS OF OR DAMAGE TO AIRCRAFT

1. Coverage

(a) The Insurers will at their option pay for, replace or repair, accidental loss of or damage to the Aircraft described in the Schedule arising from the risks covered, including disappearance if the Aircraft is unreported for sixty days after the commencement of Flight, but not exceeding the Amount Insured as specified in Part 2(5) of the Schedule and subject to the amounts to be deducted specified in Condition 3(c).

(b) If the Aircraft is insured hereby for the risks of Flight, the Insurers will, in addition, pay reasonable emergency expenses necessarily incurred by the Insured for the immediate safety of the Aircraft consequent upon damage or forced landing, up to 10 per cent of the Amount Insured as specified in Part 2(5) of the Schedule.

2. Exclusions applicable to this Section only

The Insurers shall not be liable for

(a) wear and tear, deterioration, breakdown, defect or failure however caused in any Unit of the Aircraft and the consequences thereof within such Unit;

(b) damage to any Unit by anything which has a progressive or cumulative effect but damage attributable to a single recorded incident is covered under paragraph 1(a) above.

HOWEVER accidental loss of or damage to the Aircraft consequent upon 2(a) or (b) above is covered under paragraph 1(a) above.

3. Conditions applicable to this Section only

(a) If the Aircraft is damaged

(i) no dismantling or repairs shall be commenced without the consent of the Insurers except whatever is necessary in the interests of safety, or to prevent further damage, or to comply with orders issued by the appropriate authority;

(ii) the Insurers will pay only for repairs and transport of labour and materials by the most economical method unless the Insurers agree otherwise with the Insured.
4.2.1.6 The air operator certificate shall contain at least the following information and, from 1 January 2010, shall follow the layout of Appendix 6, paragraph 2:

a) the State of the Operator and the issuing authority;
b) the air operator certificate number and its expiration date;
c) the operator name, trading name (if different) and address of the principal place of business;
d) the date of issue and the name, signature and title of the authority representative; and
e) the location, in a controlled document carried on board, where the contact details of operational management can be found.

4.2.1.7 The operations specifications associated with the air operator certificate shall contain at least the information listed in Appendix 6, paragraph 3 and, from 1 January 2010, shall follow the layout of Appendix 6, paragraph 3.

Note.— Attachment F, paragraph 3.2.2 contains additional information that may be listed in the operations specifications associated with the air operator certificate.

4.2.1.8 Air operator certificates and their associated operations specifications first issued from 20 November 2008 shall follow the layouts of Appendix 6, paragraphs 2 and 3.

APPENDIX 6. AIR OPERATOR CERTIFICATE (AOC)
(Note.— See Chapter 4, 4.2.1.6 and 4.2.1.7)

1. Purpose and scope

1.1 The AOC and its associated model-specific operations specifications shall contain the minimum information required in paragraphs 2 and 3 respectively, in a standardized format.

1.2 The air operator certificate and its associated operations specifications shall define the operations for which an operator is authorized.

Note.— Attachment F, paragraph 3.2.2, contains additional information that may be listed in the operations specifications associated with the air operator certificate.
Suppliers Confidential Business Questionnaire

1. COMPANY NAME:
___________________________________________________________________

2. POSTAL ADDRESS OF HEAD OFFICE:
___________________________________________________________________

3. PHYSICAL ADDRESS OF HEAD OFFICE:
___________________________________________________________________

4. TELEPHONE NO. OF HEAD OFFICE:
___________________________________________________________________

5. FAX NO. OF HEAD OFFICE:
___________________________________________________________________

6. EMAIL ADDRESS OF HEAD OFFICE:
___________________________________________________________________

7. PLACE AND DATE OF INCORPORATION:
___________________________________________________________________

   Please attach Certificate of Incorporation/Registration

8. CUSTOMS AGENT’S LICENCE NUMBER:
___________________________________________________________________

9. DATE LICENCE EXPIRES:
___________________________________________________________________

10. DATE OF COMMENCEMENT OF BUSINESS ACTIVITY:
___________________________________________________________________

HANDOUT-DOCUMENTATION-10-
AirOperatorCertificate

MINISTRY OF TRANSPORT OF RUSSIAN FEDERATION

CERTIFICATE OF AIR OPERATOR

This certifies that
Limited Liability Company "Urals-Liying"
123456, Russia, g. Uryupinsk, ul. Leningrad, d.56, str.21

has met the requirements of the Russian Federation Laws and the terms of the Chicago Convention on International Civil Aviation for the issuance of Civil Aviation Air Operator Certificate and is hereby authorized to operate as an Air Operator and conduct operations in accordance with the conditions and limitations contained in the operation specifications which are integral part of this Certificate.

Date of issue 21.10.2001

Effective from

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СВИДЕТЕЛЬСТВО О РЕГИСТРАЦИИ
ГРАЖДАНСКОГО ВОЗДУШНОГО СУДНА
CERTIFICATE OF REGISTRATION
OF THE CIVIL AIRCRAFT
№1234

1. Государственный и
регистрационный знак
Aircraft state and registration
marks
ZZ-000

2. Итогийтель, тип
(наименование) воздушного судна
Manufacturer, aircraft model (name)
ГАИП им. В.П. Чкалова
An-26 \(26\)

3. Серийный
(идентификационный) номер
Serial (identification) number
0123456789

4. Собственник воздушного судна
Owner of the aircraft
ООО "Урал-Лизинг"
"Ural-Leasing"

5. Адрес собственника
Address of owner
123456, Россия, г. Уропинск, ул. Ленина, д.56, стр.21
123456, Russia, Urypinsk, Lenin street 56 - 21

6. Настоящим удостоверяется, что данное воздушное судно должно образом
занесено в Государственный реестр гражданских воздушных судов Российской
Федерации в соответствии с Воздушным кодексом Российской Федерации и
Конвенцией о международной гражданской авиации от 07.12.1944.
Hereby is certified that the aircraft is duly entered the State Civil Aircraft
Register of Russian Federation in accordance with Russian Laws and the Convention
on International Civil Aviation of 07.12.1944.

7. Данное Свидетельство выдано только для целей регистрации и не является
документом, удостоверяющим правовые собственности на воздушное судно.
This Certificate is issued for registration purpose only and is not to certify the right
for aircraft ownership.

Управление инспекции
по безопасности полетов
Department for inspection
on flight safety
87. 06.
Certificate of Airworthiness

Российская Федерация

Министерство транспорта Российской Федерации

Министерство транспорта Российской Федерации

Федеральное агентство воздушного транспорта

Федеральное агентство воздушного транспорта

Сертификат летной годности гражданского воздушного судна

Сертификат летной годности гражданского воздушного судна

1. Тип и назначение воздушного судна
   Aircraft type & category

   Ил-76 ТД-90ВД
   Транспортный
   IL-76 TD-90VD
   Transport

2. Национальный и регистрационный знак
   Aircraft national & registration marks

   ZZ-000

3. Серийный (заводской) номер
   Serial (manufacturer) number

   0123456789

4. Сертификат типа ВС дополнение от 01.01.2006 г. к attestat типа от 01.01.1982
   Aircraft Type Certificate (Attestat)

5. Воздушное судно не допущено к полетам по RVSM.
   Aircraft has not been permitted to perform RVSM flights.

6. Воздушное судно допущено к полетам по .......I........... категория ИКАО.
   Aircraft has been permitted to perform flights according to the ICAO .........I....... category.

7. Настоящий Сертификат летной годности выдан на указанное выше гражданское воздушное судно в соответствии с Воздушным кодексом Российской Федерации и Конвенцией о международной гражданской авиации от 07.12.1944 г.
   Данные транспортное судно считается годными к полетам, если оно содержится и эксплуатируется в соответствии с указанными документами и установленными эксплуатационными ограничениями.

   This Certificate has been issued for the abovementioned aircraft in accordance with Russian Laws and the Convention on International Civil Aviation of 07.12.1944.

   This Aircraft is airworthy if provided the aircraft is maintained operated in accordance with the above documents and the approved operating limitations.

8. Срок действия Сертификата до 01.01.2012 г.
   действует до наработка 25000 ч., 8000 пол. лет.
   The Certificate is valid till 01.01.2012.
   The Certificate is valid till 01.01.2012.

   Начальник управления поддержания летной годности воздушных судов
   Director of airworthiness department

   Дата выдачи 01.01.2002
   Data of issue

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*** Create Message ***

Recipient List:

Message Text:

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<td>63 123456789 / 26.06.2000</td>
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<td>P/O</td>
<td>11.01.1983/RUSSIAN</td>
<td>70 123456789 / 19.06.2000</td>
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<td>5</td>
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<td>NAV</td>
<td>03.06.1952/RUSSIAN</td>
<td>71 123456789 / 26.04.2000</td>
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**MAINTENANCE RELEASE FORM No. 212**

**Check B + Summer Preparation + items to be performed every 6 month / 1 year**

**Aircraft**  IL-76TD-90VDZZ-000  
**Type, Registration Number**

**Aircraft Operator**  Ural-Leasing  
**Aircraft Owner**

**Maintenance started**  01.01.2002 9:00  
**Date, Time**

**Maintenance finished**  01.01.2002 9:00  
**Date, Time**

**Dispatcher Ivan Sidorenko**  signed  
**Name**

**Dispatcher Buharin**  signed  
**Name**

1. The below maintenance has been duly performed as required by the maintenance schedule in accordance with applicable technical instructions by:

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<th>Maintenance (work) item</th>
<th>Signature</th>
<th>Maintenance (work) item</th>
<th>Signature</th>
</tr>
</thead>
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<td></td>
<td>Perform by: Checked by:</td>
<td></td>
</tr>
<tr>
<td>Pre-maintenance preparation</td>
<td>signed</td>
<td>Electrical equipment</td>
<td>signed</td>
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<tr>
<td>Engines</td>
<td>signed</td>
<td>Instruments</td>
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<tr>
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<td>Flight and navigation equipment</td>
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<td>2</td>
<td>signed</td>
<td></td>
<td>signed</td>
</tr>
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<td>signed</td>
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<td>Flight data recorder</td>
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<td>Diagnostics</td>
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РОССИЙСКАЯ ФЕДЕРАЦИЯ
RUSSIAN FEDERATION
МИНИСТЕРСТВО ТРАНСПОРТА
MINISTRY OF TRANSPORT
ФЕДЕРАЛЬНОЕ АГЕНТСТВО ВОЗДУШНОГО ТРАНСПОРТА
FEDERAL AIR TRANSPORT AGENCY

РАЗРЕШЕНИЕ НА БОРТОВЫЕ РАДИОСТАНЦИИ,
НАХОДЯЩИЕСЯ НА ВОЗДУШНОМ СУДНЕ
AIRCRAFT RADIO STATION LICENCE

№ 403-111

На настоящем Разрешение на бортовые радиостанции выдано на воздушное судно в соответствии с Воздушным Кодексом Российской Федерации и Конвенцией о международной гражданской авиации от 07.12.1944г.
This Aircraft Radio Station License has been issued for the aircraft in accordance with Russian Laws and the Convention on International Civil Aviation of 07.12.1944.

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<th>Эксплуатант воздушного судна</th>
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Оборудование
Equipment

На листе приложения
As per Attached list

Федеральное агентство воздушного транспорта
Federal Air Transport Agency

Дата выдачи
Date of issue
20 03 2010г.

Москва
Moscow
Relevant Documents
Introduction/General Awareness


The key text. This Policy Paper shows how existing mechanisms and programmes can be used to tackle destabilizing or illicit commodity flows via air transport. These flows include small arms and light weapons, cocaine, tobacco and valuable raw materials. Since the end of the cold war, trade in these goods has funded and accentuated conflicts in Angola, Colombia, the Democratic Republic of the Congo, Guinea-Bissau, Liberia, Sierra Leone, Somalia and Sudan.

This report unequivocally establishes the role that air transport has played in providing the means for weapons to be delivered and resources extracted. As such, it is the first study to examine the role of air transport across the full spectrum of destabilizing or wholly illicit commodity flows.


Council of the European Union: Council Common Position on Arms Exports

In 1998 the Council adopted the European Union Code of Conduct on Arms Exports which set up eight criteria for the export of conventional arms, established a notification and consultation mechanism for denials and included a transparency procedure through the publication of the EU annual reports on arms exports.

The Code contributed significantly to the harmonization of national arms export control policies and its principles and criteria have been officially subscribed to by various third countries.


European Commission: Aviation Safety Policy

In the EU, the aviation safety system is based on a close collaboration between the European Commission, the European Aviation Safety Agency, Eurocontrol, national civil aviation authorities of the Member States, as well as the aircraft manufacturers, airlines and other undertakings participating in the single aviation market.


UN Security Council Sanctions Committee

Reports and decisions of the UN Security Council.

http://www.un.org/sc/committees/

Note that the New Zealand Ministry of Foreign Affairs and Trade provides a user-friendly (though not always up-to-date) summary:

**EC sanctions page**

See “restrictive measures in force”


**Putting A Human Face To The Problem Of Small Arms Proliferation, International Alert, 2005**

This report examines the potential impact that gender issues have on small arms and light weapons (SALW) proliferation generally and specifically in relation to the 2001 UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (PoA).


**The Political Economy Of War, HPN Network Paper 33, ODI, 2000**

The paper proposes that by understanding the political economy of war, relief agencies can better assess the forms of economic violence which threaten livelihoods during wars.


**Gunpolicy.org**

Gunpolicy.org is hosted by the School of Public Health at the University of Sydney and provides daily small arms-related articles published in the global mass media.

Policy Mainstreaming/Coordination & Donorship

Principles of Conduct for The International Red Cross and Red Crescent Movement and NGOs in Disaster Response Programs

This Code of Conduct governs the principles which underlie the work of the International Federation of Red Cross and Red Crescent Societies

http://www.ifrc.org/index.asp?navid=01

The Humanitarian Charter

The Humanitarian Charter has been adopted by many humanitarian organizations to guide their behavior and ethical standards. It provides insight on the principles and best practices of the humanitarian aid community. The Humanitarian Charter is an initiative of the Sphere Project.

http://www.sphereproject.org/

Do No Harm Handbook

Explains the Do No Harm approach to programming.

http://www.cdainc.com/cdawww/project_profile.php?pid=DNH&pname=Do%20No%20Harm

Two useful videos explaining the approach:


Conflict-Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding: Resource pack

ConflictSensitivity.org has a detailed resources section. The Resource Pack documents current practice, available frameworks and lessons learned. At its heart is the concept of conflict sensitivity - the notion of systematically taking into account both the positive and negative impact of interventions, in terms of conflict or peace dynamics, on the contexts in which they are undertaken, and, conversely, the impact of these contexts on the interventions.

http://www.conflictsensitivity.org/

Manual for Conflict Analysis, SIDA, 2006

This methodology tool has been developed to provide the Swedish International Development Cooperation Agency (Sida) with practical guidance on how to analyze violent conflicts in order to understand better how development cooperation is affected by and can affect potential or ongoing violent conflicts. The tool is aimed at helping the user to assess conflict risks so that strategies, programs and projects can become more conflict sensitive. It has been developed to meet the needs at three levels: the strategic, sector and project levels.

http://www.conflictsensitivity.org/publications/manual-conflict-analysis
Good Humanitarian Donorship

The Good Humanitarian Donorship (GHD) initiative has been endorsed by the governments of Germany, Australia, Belgium, Canada, Denmark, the United States, Finland, France, Ireland, Japan, Luxembourg, Norway, the Netherlands, the United Kingdom, Sweden, Switzerland and the European Commission. The GHD principles and good practice may be of interest to air cargo and maritime companies involved in humanitarian aid operation contracts funded by these donors.

http://www.goodhumanitariandonorship.org/


Transparency International, 2006 (with ODI/HPG and U4). Maps the risks of corruption and points to tolls and methods to minimize corruption.


Preventing Corruption In Humanitarian Assistance, ODI, Transparency International, FIC; 2008

This report provides some examples of prevalent corrupt practices and the range of measures the cooperating agencies are using to counter the temptation of corruption, guard operations against corruption and allow for its detection.


The State of the Humanitarian System, ALNAP 2010

Includes a short section on humanitarian agencies’ ability to maintain principles in their work.

http://www.alnap.org/forum/post/60.aspx


Commissioned by the European Commission Humanitarian Aid department (ECHO) and published 29 Mar 2010, this report by Channel Research gives an overview of humanitarian air services and makes recommendations for improvements to coordination of those services.


The International Institute for Sustainable Development (IISD)

The International Institute for Sustainable Development (IISD) provides a number of reports, policy briefs and tools on Conflict Sensitive Business Practice which may be of interest to humanitarian aid and commercial logistics companies working in conflict zones or neighbor states affected by natural resource extraction processes.

Documentation / Negotiation

USAID Field Operations Guide (FOG)
Appendix C has a useful list of Aircraft characteristics.

http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#fog

United Nations Air Safety Manual (sections 3.5 and 3.6)
Checklist for safety issues when working on long-term contract with supplier.

http://www.unlb.org/

International Humanitarian Aid Procurement Service (iHAPS)
The International Humanitarian Aid Procurement Services (iHAPS) brings humanitarian aid organizations in touch with suppliers of goods and services.

http://www.ihapsnet.org/

HANDOUT-DOCUMENTATION-03-LOG-Air Operations
Good overview of air operations in the context of humanitarian relief.

http://log.logcluster.org/operational-environment/air-operations/index.html

HANDOUT-DOCUMENTATION-05-LOG-4-3-AIR OPERATIONS-GENERAL INFO-Selecting the right Aircraft-WFP Manual
Selecting the right Aircraft - extract from WFP Air Transport Manual, p 60-70

http://log.logcluster.org/operational-environment/air-operations/LOG-4-3-AIROPERATIONS-GENERAL INFO-Selecting the right Aircraft-WFP Manual.doc

Business/Industry Logistics and Human Rights
Taking the Lead - A guide to more responsible procurement practices

A joint publication by Chartered Institute of Purchasing and Supply (CIPS – www.cips.org) and Tradecraft Exchange http://www.traidcraft.co.uk/, funded by DFID. This report is a guide to good practice, highlighting companies who are already demonstrating consideration for responsible purchasing.

http://www.responsible-purchasing.org/home/homepage.html
Transparency International
Corporate transparency with regard to actual operations and internal reporting is a key component of ethical transportation policies which seek to satisfy conflict-sensitive logistics programs. Transparency International is a global coalition which combats various forms of corruption. Transparency International provides a range of materials which may be of use to private sector (link: http://www.transparency.org/global_priorities/private_sector) actors engaged in humanitarian aid and peace-support logistics operations.

http://www.transparency.org

The Organisation for Economic Cooperation and Development
The Organisation for Economic Cooperation and Development (OECD) provides guidance to multi-national enterprises on general policies, disclosure, bribery, taxation, environmental and employment-related issues. These provide useful benchmarks and standards.

http://www.oecd.org/home/0,2987,en_2649_201185_1_1_1_1_1,00.html

Voluntary Principles on Security and Human Rights
The Voluntary Principles on Security and Human Rights cover “Transfers of Equipment” in which companies “should consider the risk of such transfers, any relevant export licensing requirements, and the feasibility of measures to mitigate foreseeable negative consequences, including adequate controls to prevent misappropriation or diversion of equipment which may lead to human rights abuses. In making risk assessments, companies should consider any relevant past incidents involving previous equipment transfers.”

http://www.voluntaryprinciples.org/principles/risk_assessment

International Labour Organization
The United Nations International Labour Organization (ILO) is the repository of Conventions, standards and guidelines for employee-related rights and is a source of information for companies wishing to incorporate globally acknowledged work and social standards into ethical policies, principles and best practices.


Business and Human Rights
Information portal on business and human rights issues, including tools and resources for businesses as well as reports by sector - http://www.business-humanrights.org/Categories/Sectors/Transport/AircraftAirline.

Includes a special section on the UN Business and Human Rights initiative.

http://www.business-humanrights.org/SpecialRepPortal/Home
EthicalCargo
EthicalCargo provides humanitarian agencies and UN-mandated missions with tools for informed, conflict-sensitive and ethically-based procurement procedures which take into account humanitarian imperatives and operational realities.

EthicalCargo is part of the Countering Illicit Trafficking-Mechanism Assessment Projects (CIT-MAP) at the Stockholm International Peace Research Institute (SIPRI).

SIPRI is an independent international institute dedicated to research into conflict, armaments, arms control and disarmament. SIPRI is named as one of the world’s leading think tanks in Foreign Policy magazine’s “Think Tank Index”.

Swedish International Development Cooperation Agency
Sida works according to directives of the Swedish Parliament and Government to reduce poverty in the world, a task that requires cooperation and persistence.

Through development cooperation, Sweden assists countries in Africa, Asia, Europe and Latin America. Each country is responsible for its own development.
Sida provides resources and develops knowledge, skills and expertise. This increases the world’s prosperity.

Humanitarian Aid department of the European Commission
The Humanitarian Aid department of the European Commission funds relief operations for victims of natural disasters and conflict outside the European Union. Aid is channelled impartially, straight to the people in need, regardless of their race, ethnic group, religion, gender, age, nationality or political affiliation.