



INTERNATIONAL CIVIL AVIATION ORGANIZATION
A United Nations Specialized Agency

ICAO Universal Security Audit Programme (USAP)

ICAO Regional Aviation Security Audit Seminar **Introduction to the USAP-CMA Protocol Questions**

Cairo, Egypt, 26 to 28 January 2015

Module 5

Module objective



At the end of this module, the participants will be familiar with the overall structure and contents of the USAP-CMA Protocol Questions used in the conduct of aviation security audits under USAP-CMA, including the reference material associated with these protocol questions.

Outline



- Definition
- Overview of the USAP-CMA Protocol Questions
- ICAO reference documentation
- Format of the USAP-CMA Protocol Questions
- Evidence reviewed/observed
- Scope of the USAP-CMA Protocol Questions
- Classification of the USAP-CMA Protocol Questions

Definition



USAP-CMA Protocol Questions

A comprehensive questionnaire, covering all elements of a State's aviation security and oversight systems which are subject to audit and monitoring.

USAP-CMA Protocol Questions



- Developed by the Aviation Security Audit Section.
- Used as a tool for the conduct of USAP-CMA activities.
- Provide both the ICAO auditors and the State with a step-by-step guide to verify the status of implementation of Annex 17 Standards and Annex 9 security-related provisions.
- Ensure transparency, consistency and standardization.
- Enhance confidence and reliability in the conduct of audits.

USAP-CMA Protocol Questions



- Provide guidelines to ICAO auditors on what evidence should be reviewed and/or observed.
- Allow ICAO auditors to determine whether a State's requirements and practices comply with the requirements of ICAO security-related SARPs.
- Indicate the relationship between the specific protocol questions, Annex 17 Standards or security-related provisions of Annex 9 and the critical elements of a State's aviation security oversight system.

USAP-CMA Protocol Questions



- Assist in planning an audit.
- Facilitate effective allocation of tasks to ICAO auditors.
- Ensure that relevant information is covered in ICAO auditors' electronic contributions.
- Help the ICAO audit team take stock of information obtained.

USAP-CMA Protocol Questions



- Are designed to reflect the nine core audit areas of the State's aviation security activities.
- Can also be used by States to conduct internal audits at any time.
- Assist in the preparation of the Post-audit Debriefing.
- Assist in the Team Leader's drafting of the audit report.

ICAO reference documentation



The protocol questions identify the ICAO reference document(s) applicable to each protocol question:

- Annex 17 Standards; and
- Annex 9 security-related provisions.

Format of the USAP-CMA Protocol Questions



1.2 Aviation Security Policies/Requirements and Amendment Procedures				
2.1.2	LEG 1.025 Has the State established specific legislation to ensure the consistent application of aviation security measures?	Review relevant regulations, decrees, rules, directives, orders, circulars, instructions and/or any other specific operating requirements containing details to ensure the consistent application of aviation security measures.	Identify the source of the legislation and last amendment.	2
2.1.2	LEG 1.030 Has the State established a policy and procedures for the amendment of its national aviation security policies and requirements to take into consideration Annex 17 provisions and their amendments, or to address any new and emerging threat to civil aviation?	Review relevant regulations, decrees, rules, directives, orders, circulars, instructions and/or any other specific operating requirements containing details to ensure the consistent application of aviation security measures.	Identify the source of the legislation and last amendment.	2
2.1.2	LEG 1.030 Has the State established a policy and procedures for the amendment of its national aviation security policies and requirements to take into consideration Annex 17 provisions and their amendments, or to address any new and emerging threat to civil aviation?	Review relevant regulations, decrees, rules, directives, orders, circulars, instructions and/or any other specific operating requirements containing details to ensure the consistent application of aviation security measures.	Identify the source of the legislation and last amendment.	2
2.1.2	LEG 1.040 Has the State established a policy and procedures to identify and notify ICAO of differences between Annex 17 Standards and its national aviation security policies and requirements?	Review the relevant policy and procedures used for the identification and notification of differences to ICAO.	Identify the source of the legislation and last amendment.	2

Protocol Question

Critical Element

Evidence to Review/Observe

Source Reference

Auditor Assessment

Examples of evidence to be reviewed/observed



- Specific policies and requirements
- Designated entities, authorities and responsibilities
- Programmes and approvals/acceptances
- Procedures and observation of implementation
- Guidance material available to staff
- Training programmes and records, including OJT
- Inspector handbooks and manuals
- Quality control activity records
- Checklists used for quality control activities

Scope of the USAP-CMA Protocol Questions – Audit Areas (AA)



LEG	Regulatory Framework and the National Civil Aviation Security System
TRG	Training of Aviation Security Personnel
QCF	Quality Control Functions
OPS	Airport Operations
IFS	Aircraft and In-flight Security
PAX	Passenger and Baggage Security
CGO	Cargo, Catering and Mail Security
AUI	Response to Acts of Unlawful Interference
FAL	Security Aspects of Facilitation

Scope of the USAP-CMA Protocol Questions – Audit Areas (AA)



LEG 2.1.1, 2.1.2, 2.1.3, 2.2.1, 2.2.2, 2.4.1, 2.4.2, 2.4.3, 2.4.4, 3.1.1, 3.1.2, 3.1.3, 3.1.4, 3.1.5, 3.1.9	TRG 3.1.6, 3.1.7, 3.4.2, 3.4.3	QCF 3.4.4, 3.4.5, 3.4.6, 3.4.7
OPS 3.1.8, 3.2.1, 3.2.2, 3.2.3, 3.2.4, 3.4.1, 4.2.1, 4.2.2, 4.2.3, 4.2.4, 4.2.6, 4.2.7, 4.6.7	IFS 3.3.1, 4.2.5, 4.3.1, 4.3.2, 4.3.3, 4.3.4, 4.7.1, 4.7.2, 4.7.3, 4.7.4, 4.7.5, 4.7.6, 4.7.7, 4.7.8	PAX 4.4.1, 4.4.2, 4.4.3, 4.4.4, 4.5.1, 4.5.2, 4.5.3, 4.5.4, 4.5.5
CGO 4.6.1, 4.6.2, 4.6.3, 4.6.4, 4.6.5, 4.6.6, 4.6.8, 4.6.9, 4.6.10	AUI 5.1.1, 5.1.2, 5.1.3, 5.1.4, 5.1.5, 5.2.1, 5.2.2, 5.2.3 5.2.4, 5.2.5, 5.3.1, 3.4.8, 3.5	FAL 3.7, 3.8, 3.8.1, 3.10, 3.31, 3.33, 3.33.1, 3.46, 3.64, 3.66, 8.17, 8.19

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Grouping by Audit Area



1. LEG – REGULATORY FRAMEWORK AND THE NATIONAL CIVIL AVIATION SECURITY SYSTEM

- 1.1 Primary Aviation Security Legislative Framework
- 1.2 Aviation Security Policies/Requirements and Amendment Procedures
- 1.3 NCASP
- 1.4 Empowerment and Enforcement
- 1.5 Threat and Risk Assessment
- 1.6 International Cooperation
- 1.7 Appropriate Authority for Aviation Security
- 1.8 Allocation and Coordination of Tasks

2. TRG – TRAINING OF AVIATION SECURITY PERSONNEL

- 2.1 NCASTP
- 2.2 Training of National Aviation Security Inspectors
- 2.3 Training of Airport-Level Aviation Security Personnel
- 2.4 Certification of Security Screeners and Aviation Security Instructors

3. QCF – QUALITY CONTROL FUNCTIONS

- 3.1 NQCP
- 3.2 Quality Control Activities
- 3.3 Quality Assurance Activities

4. OPS – AIRPORT OPERATIONS

- 4.1 Airport Aviation Security Organization and Administration
- 4.2 Access Control

5. IFS – AIRCRAFT AND IN-FLIGHT SECURITY

- 5.1 Aircraft Protection and In-Flight Security
- 5.2 Carriage of Weapons and In-Flight Security Officers

6. PAX – PASSENGER AND BAGGAGE SECURITY

- 6.1 Passenger and Cabin Baggage Security
- 6.2 Hold Baggage Security

7. CGO – CARGO, CATERING AND MAIL SECURITY

- 7.1 Cargo and Mail Security
- 7.2 Catering Security

8. AUI – RESPONSE TO ACTS OF UNLAWFUL INTERFERENCE

- 8.1 Proactive Responses
- 8.2 Reactive Responses
- 8.3 Evaluation and Reporting

9. FAL – SECURITY ASPECTS OF FACILITATION

- 9.1 Programme and Coordination
- 9.2 Security of Travel Documents
- 9.3 Inspection of Travel Documents
- 9.4 Entry Procedures and Responsibilities

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Grouping by Critical Element



1. CE-1 – PRIMARY AVIATION SECURITY LEGISLATION

- 1.1 Primary Legislation
- 1.2 Establishment of an Appropriate Authority
- 1.3 Empowerment of National Aviation Security Inspectors

2. CE-2 – AVIATION SECURITY PROGRAMMES AND REGULATIONS

- 2.1 Secondary Legislation and Amendment Procedures
- 2.2 National-level Programmes
- 2.3 Regulatory Compliance with Annex 17 Standards
- 2.4 Regulatory Compliance with Annex 9 Security-related Provisions

3. CE-3 – STATE APPROPRIATE AUTHORITY FOR AVIATION SECURITY AND ITS RESPONSIBILITIES

- 3.1 Organizational Structure
- 3.2 Resources
- 3.3 Definition and Designation of Functions and Responsibilities
- 3.4 Coordination of Activities

4. CE-4 – PERSONNEL QUALIFICATIONS AND TRAINING

- 4.1 National-level Personnel Qualifications and Training
- 4.2 Airport-level Personnel Selection Criteria and Training

5. CE-5 – PROVISION OF TECHNICAL GUIDANCE, TOOLS AND SECURITY-CRITICAL INFORMATION

- 5.1 Technical Guidance and Tools for National-level Personnel
- 5.2 Risk Assessment Methodology

- 5.3 Specifications for Security Equipment
- 5.4 Guidance for the Implementation of Security Measures
- 5.5 Guidance for a Regulated Agent and a Known Consignor Regime
- 5.6 International Cooperation
- 5.7 Terms and Conditions for the Certification
- 5.8 Measures for Response to Acts of Unlawful Interference
- 5.9 Dissemination Process
- 5.10 Facilitation-related Features and Controls

6. CE-6 – CERTIFICATION AND APPROVAL OBLIGATIONS

- 6.1 Approval of Airport-level Security and Training Programmes
- 6.2 Airport-level Procedures
- 6.3 Certification of Security Screeners and Aviation Security Instructors

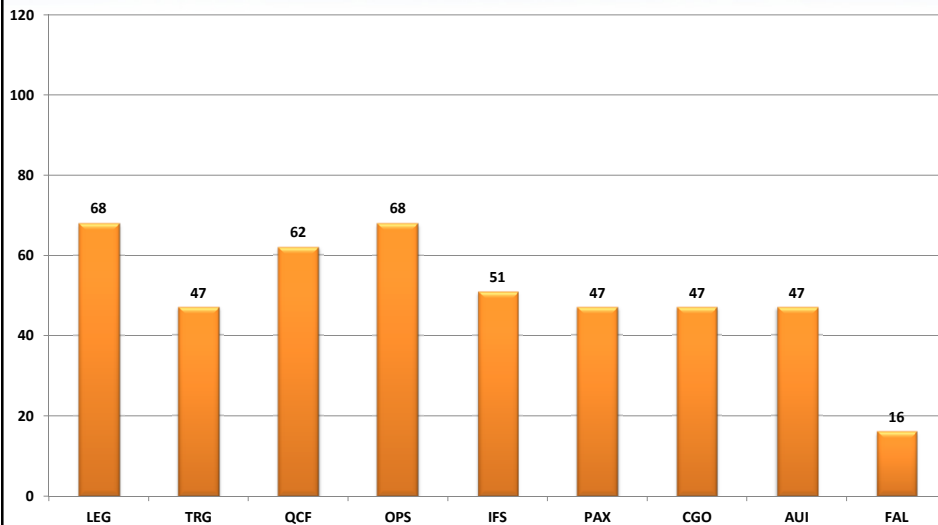
7. CE-7 – QUALITY CONTROL OBLIGATIONS

- 7.1 Quality Control Activity Schedule
- 7.2 Oversight of Security Measures
- 7.3 One-stop Security
- 7.4 Oversight of Training
- 7.5 Oversight of Delegated Tasks
- 7.6 Airport-level Internal Quality Control and Coordination

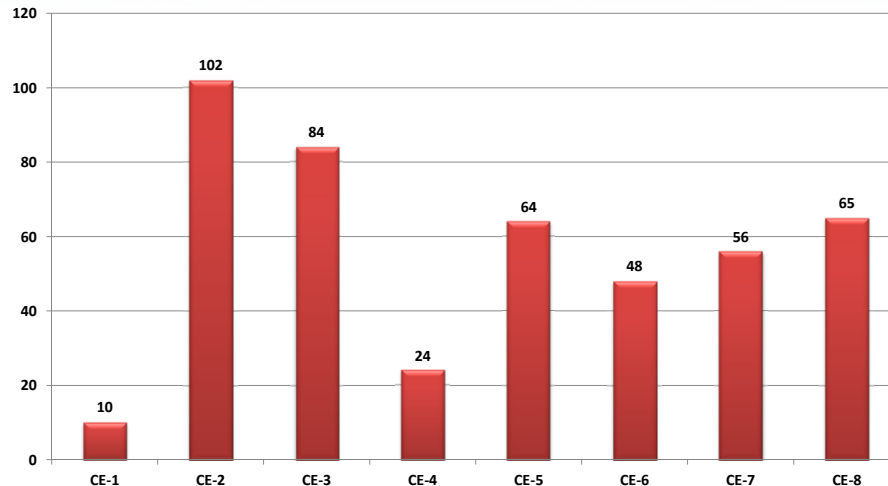
8. CE-8 – RESOLUTION OF SECURITY CONCERNS

- 8.1 Resolution, Analysis and Reporting of Identified Deficiencies
- 8.2 Operational Compliance with Annex 17 Standards
- 8.3 Operational Compliance with Annex 9 Security-related Provisions

Number of Protocol Questions by Audit Area



Number of Protocol Questions by Critical Element



Classification of USAP-CMA Protocol Questions



The USAP-CMA Protocol Questions are classified based on associated risk, which will:

- ✓ enable ICAO to provide prioritized recommendations to States; and
- ✓ provide States with a mechanism to prioritize their own corrective actions for short-, medium- and long-term actions and subsequently effectively allocate resources to best address identified deficiencies.

Classification of USAP-CMA Protocol Questions



Review



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Questions?



End of Module 5