

USAP-CMA REGIONAL SEMINAR

STUDENT HANDOUTS

Module 5

Scope of the USAP-CMA Protocol Questions – Audit Areas

Audit Area 1 - Regulatory Framework and the National Civil Aviation Security System - LEG

Standards: 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

Audit Area 2 - Training of Aviation Security Personnel - TRG

Standards: 3.1.6, 3.1.7, 3.4.2, 3.4.3

Audit Area 3 - Quality Controls Functions - QCF

Standards: 3.4.4, 3.4.5, 3.4.6, 3.4.7

Audit Area 4 - Airport Operations - OPS

Standards: 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

Audit Area 5 - Aircraft and In-flight Security - IFS

Standards: 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

Audit Area 6 - Passenger and Baggage Security - PAX

Standards: 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

Audit Area 7 - Cargo, Catering and Mail Security - CGO

Standards: 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

Audit Area 8 - Response to Acts of Unlawful Interference - AUI

Standards: 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

Audit Area 9 - Security Aspects of Facilitation – FAL (Annex 9)

Standards: 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

USAP-CMA Protocol Questions 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

USAP-CMA Protocol Questions 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

USAP-CMA Protocol Questions

ICAO REF.	PROTOCOL QUESTION	GUIDANCE FOR REVIEW/OBSERVATION OF PROTOCOL QUESTION	STATUS OF IMPLEMENTATION	CE
1. LEG – REGULATORY FRAMEWORK AND THE NATIONAL CIVIL AVIATION SECURITY SYSTEM				
1.1 Primary Aviation Security Legislative Framework				
2.1.2	LEG 1.005 Has the State promulgated primary aviation security legislation (e.g. aviation security act or equivalent) to enable it to address its aviation security-related obligations as a signatory to the Chicago Convention?	<p>Identify and review the primary legislative framework for aviation security.</p> <p>Identify the date of promulgation and last amendment.</p>	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable	1
2.1.2	LEG 1.010 Does the State's primary aviation security legislation contain provisions for the establishment of an appropriate authority for aviation security?	<p>Verify whether the primary aviation security legislation contains provisions for:</p> <p>a) the establishment of an appropriate authority for aviation security responsible for the development, implementation and maintenance of the NCASP; and</p> <p>b) the empowerment of the appropriate authority to:</p> <ul style="list-style-type: none"> • develop aviation security policies and requirements consistent with the provisions of Annex 17; • issue decrees, orders, circulars or directives to require the implementation of immediate security measures; and • provide oversight for the implementation of aviation security policies and requirements. 	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable	1
2.1.1	LEG 1.015 Has the State established in relevant national documentation the primary objective as it relates to aviation security?	<p>Review relevant national documentation for the primary objective as it relates to aviation security.</p> <p>Verify whether the statement of the primary objective establishes a general principle related to the safety of passengers, crew, ground personnel and the general public in all matters related to safeguarding against acts of unlawful interference with civil aviation, thus ensuring that aviation security remains the highest of priorities when related decisions are made.</p>	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable	1