



# ICAO UNIVERSAL SECURITY AUDIT PROGRAMME

## CONTINUOUS MONITORING APPROACH

### PROTOCOL QUESTIONS

Protocol Questions (PQs) are the primary tool used in the ICAO Universal Security Audit Programme Continuous Monitoring Approach (USAP-CMA) for assessing States' aviation security and oversight systems. Developed based on the ICAO Annex 17 – *Aviation Security* and Annex 9 – *Facilitation to the Convention on International Civil Aviation* (hereinafter referred to as the “Chicago Convention”), the PQs are revised periodically by ICAO to reflect amendments to the ICAO provisions and reference documents. The main purpose of the PQs is to standardize the conduct of audits under the USAP-CMA. The PQs may also be used by States in preparation for USAP-CMA audits. States are also expected to use the PQs to conduct regular self-assessments and in this way, monitor the health of their aviation security oversight system in a proactive manner.

The PQs are organized by audit areas and each PQ is associated with one Annex 17 Standard or security-related Standard of Annex 9, and with one of the eight Critical Elements (CEs) of a State aviation security oversight system. Each PQ is assigned a PQ number. The PQs marked with an asterisk participate in measuring compliance with the relevant Standards. The column entitled “ICAO Ref” identifies Annex 17 Standard or security-related Standard of Annex 9 associated with the PQ. The column entitled “CE” identifies the Critical Element associated with the PQ. The column entitled “Protocol Question, Guidance for Review/Observation of Evidence” contains the text of the PQ and provides examples of evidences to be reviewed and/or observed during USAP-CMA audits, which serve to clarify the intent of the related PQ. This list is not exhaustive and may lead to other questions. However, States should use this information as a guide to prepare supporting documentation for USAP-CMA audits. Should State meet the objective of the PQ through a different means, the State should ensure that the appropriate evidence is available. The evaluation of the PQ may result in the PQ being marked as “Satisfactory”, “Not satisfactory”, “Not applicable”, or “Undetermined”.

Entities participating in USAP-CMA audits on behalf of the State should be familiar with the PQs to be used during USAP-CMA audits so that responses and evidences to be provided to the ICAO audit team can be prepared in advance. States are encouraged to distribute either all or relevant PQs to the appropriate entity responsible for the audit area.

*Note. — For the purpose of the USAP-CMA PQs, any airport-level entities, stakeholders or personnel should be understood as entities, stakeholders or personnel involved in or responsible for the implementation of security measures at the airport under the NCASP, such as airport operators, aircraft operators, cargo/catering companies, regulated agents, known consignors, regulated/known suppliers, private security companies, etc.*

## Acronyms and Abbreviations

AOSP	Aircraft Operator Security Programme	MANPADS	Man-Portable Air Defence Systems
AFC	Airport Facilitation Committee	MRTD	Machine readable travel documents
API	Advance Passenger Information	NATFC	National Air Transport Facilitation Committee
ASC	Airport Security Committee	NATFP	National Air Transport Facilitation Programme
ASP	Airport Security Programme	NCASC	National Civil Aviation Security Committee
ASTP	Aviation Security Training Package	NCASP	National Civil Aviation Security Programme
ATC	Air traffic control	NCASTP	National Civil Aviation Security Training Programme/Policy
ATM	Air traffic management	NQCP	National Civil Aviation Security Quality Control Programme
ATS	Air traffic services	OJT	On-the-job training
ATSP	Air traffic service provider	PAXLST	Passenger List Message
CE	Critical element	PIC	Pilot-in-command
CMC	Crew member certificate	PKD	Public Key Directory
COMAIL	Company mail	PNR	Passenger Name Record
COMAT	Company material	PQ	Protocol question
CSD	Consignment Security Declaration	RO	Regional office
CSCA	Country-Signing Certificate Authority	SARP	Standard and Recommended Practice
CTD	Convention Travel Document	SCP	Screening checkpoint
IAPP	Isolated aircraft parking position	SLTD	Stolen and lost travel documents
IATA	International Air Transport Association	SOP	Standard operating procedure
ICAO	International Civil Aviation Organization	SRA	Security restricted area
ICT	Information and communications technology	STEB	Security tamper-evident bag
IID	Improvised Incendiary Device	TIP	Threat image projection
IED	Improvised explosive device	UN	United Nations
IFSO	In-flight security officer	VIP	Very Important Person
		UN/EDIFACT	United Nations rules for Electronic Data Interchange For Administration, Commerce and Transport
INTERPOL	International Criminal Police Organization	USAP-CMA	ICAO Universal Security Audit Programme Continuous Monitoring Approach
ISCM	Information Security Continuous Monitoring	WCO	World Customs Organization
LAGs	Liquids, aerosols and gels	WTMD	Walk-through metal detector
LEO	Law enforcement officer		

## List of ICAO Reference Documents

Annex 9	—	<i>Facilitation</i>
Annex 17	—	<i>Aviation Security — Safeguarding International Civil Aviation Against Acts of Unlawful Interference</i>
Doc 7300	—	<i>Convention on International Civil Aviation</i>
Doc 8364	—	<i>Convention on Offences and Certain Other Acts Committed on Board Aircraft</i>
Doc 8920	—	<i>Convention for the Suppression of Unlawful Seizure of Aircraft</i>
Doc 8966	—	<i>Convention for the Suppression of Unlawful Acts Against the Safety of Civil Aviation</i>
Doc 8973	—	<i>Aviation Security Manual</i>
Doc 9303	—	<i>Machine Readable Travel Documents</i>
Doc 9518	—	<i>Protocol for the Suppression of Unlawful Acts of Violence at Airports Serving International Civil Aviation, Supplementary to the Convention for the Suppression of Unlawful Acts Against the Safety of Civil Aviation</i>
Doc 9571	—	<i>Convention on the Marking of Plastic Explosives for the Purpose of Detection</i>
Doc 9807	—	<i>Universal Security Audit Programme Continuous Monitoring Manual</i>
Doc 9811	—	<i>Manual on the Implementation of the Security Provisions of Annex 6</i>
Doc 9944	—	<i>Guidelines on Passenger Name Record (PNR) Data</i>
Doc 9957	—	<i>The Facilitation Manual</i>
Doc 9959	—	<i>Protocol Supplementary to the Convention for the Suppression of Unlawful Seizure of Aircraft</i>
Doc 9960	—	<i>Convention on the Suppression of Unlawful Acts Relating to International Civil Aviation</i>
Doc 9985	—	<i>Air Traffic Management Security Manual</i>
Doc 10034	—	<i>Protocol to Amend the Convention on Offences and Certain Other Acts Committed on Board Aircraft</i>
Doc 10042	—	<i>Model National Air Transport Facilitation Programme</i>
Doc 10047	—	<i>Aviation Security Oversight Manual — The Establishment and Management of a State Aviation Security Oversight System</i>
Doc 10055	—	<i>Manual on Notification and Publication of Differences</i>
Doc 10108	—	<i>Aviation Security Global Risk Context Statement</i>
Doc 10117	—	<i>Manual on the Legal Aspects of Unruly and Disruptive Passengers</i>
Doc 10118	—	<i>Global Aviation Security Plan</i>
Cir 288	—	<i>Guidance Material on the Legal Aspects of Unruly/Disruptive Passengers</i> <i>Man-Portable Air Defence Systems (MANPADS) Information and Airport Vulnerability Assessment Guide, 1st edition, July 2015</i>

## Critical Elements of a State Aviation Security Oversight System

**CE-1. Primary aviation security legislation.** The promulgation of a comprehensive and effective legislation, commensurate with the size and complexity of the State's aviation security activity, to enable the regulation and oversight of aviation security and the enforcement of regulations through the relevant authorities established for that purpose. This includes providing personnel performing aviation security oversight functions with access to the aircraft, operations, facilities, personnel and associated records, as applicable, of entities involved in performing an aviation security activity.

**CE-2. Aviation security programmes and regulations.** The establishment of national-level programmes and regulations to address, at a minimum, national requirements emanating from the primary aviation security legislation, for standardized procedures, equipment and infrastructures in conformity with Annex 17 SARPs and security-related provisions contained in other Annexes to the Chicago Convention.

*Note.— The term “regulations” is used in a generic sense to include policies, requirements, rules, instructions, edicts, directives, orders, etc., that are enforceable in the State. The specific status given to a regulation when it is applied within the State and the penalty assigned in the event of non-compliance are internal matters subject to the discretion of individual States, taking into account their responsibilities under the Chicago Convention.*

**CE-3. State appropriate authority for aviation security and its responsibilities.** The designation of an appropriate national authority for aviation security supported by sufficient, qualified personnel and provided with adequate financial resources for the management of aviation security. The State appropriate authority must have clearly documented aviation security regulatory and oversight functions to fulfil its aviation security management responsibility. This includes the definition and allocation of tasks and coordination of activities between government agencies and airport-level entities concerned with or responsible for the implementation of various aspects of the NCASP, as well as arranging for the supporting resources and facilities required for aviation security to be available at airports serving civil aviation.

**CE-4. Personnel qualifications and training.** The establishment of minimum qualification requirements for the technical personnel performing aviation security-related functions and the provision of appropriate initial, on-the-job and recurrent training to these personnel to achieve and maintain the desired level of competence. This includes the provision of training to personnel involved in the implementation of applicable aviation security requirements, measures and procedures.

*Note.— The technical personnel may be from an organization engaged by the appropriate authority to provide State oversight functions on its behalf.*

**CE-5. Provision of technical guidance, tools and security-critical information.** The provision of technical guidance, procedures, tools, facilities, equipment and security-critical information, as applicable, to the technical personnel to enable them to perform their aviation security oversight functions effectively and in accordance with established procedures in a standardized manner. This includes the provision of technical guidance to the aviation industry on the implementation of applicable aviation security requirements, measures and procedures.

**CE-6. Certification and approval obligations.** The implementation of documented processes to ensure that personnel and entities performing an aviation security activity meet the established requirements before they are allowed to conduct the relevant activity, such as certification systems for security screeners and aviation security instructors, and a system to ensure that entities responsible for the implementation of security measures and procedures have established security programmes consistent with all relevant national requirements.

**CE-7. Quality control obligations.** The implementation of documented monitoring processes, such as security audits, inspections and tests, on a continuous basis to proactively ensure that entities authorized and/or approved to perform an aviation security activity continue to meet the established requirements and operate at the level of competency and security required by the State. This includes the monitoring of personnel designated by the appropriate authority to perform aviation security oversight functions on its behalf.

**CE-8. Resolution of security concerns.** The implementation of documented processes to take appropriate actions, up to and including enforcement measures, to resolve in a timely manner aviation security deficiencies detected by the appropriate authority or other appropriate bodies, through a system which monitors and records progress. This includes analysing deficiencies, providing recommendations and implementing follow-up procedures to validate the effective implementation of corrective actions taken by entities performing an aviation security activity in resolving such deficiencies.

## STRUCTURE OF THE PROTOCOL QUESTIONS

### Audit Area

### Protocol Questions

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

1.1 Primary Aviation Security Legislative Framework .....	1.010 – 1.020
1.2 Aviation Security Policies/Requirements and Amendment Procedures .....	1.030 – 1.045
1.3 NCASP .....	1.050 – 1.080
1.4 Empowerment and Enforcement .....	1.090 – 1.120
1.5 Threat and Risk Assessment .....	1.125 – 1.200
1.6 International Cooperation .....	1.201 – 1.260
1.7 Appropriate Authority for Aviation Security .....	1.265 – 1.300
1.8 Allocation and Coordination of Tasks .....	1.305 – 1.340
1.9 Measures Relating to Cyber Threats .....	1.345 – 1.360

#### 2. TRG – TRAINING OF AVIATION SECURITY PERSONNEL

2.1 NCASTP .....	2.001 – 2.015
2.2 Training of National Aviation Security Inspectors .....	2.020 – 2.030
2.3 Training of Airport-Level Aviation Security Personnel .....	2.055 – 2.160
2.4 Certification of Security Screeners and Aviation Security Instructors .....	2.165 – 2.230

#### 3. QCF – QUALITY CONTROL FUNCTIONS

3.1 NQCP .....	3.001 – 3.030
3.2 Quality Control Activities .....	3.045 – 3.280
3.3 Quality Assurance Activities .....	3.290 – 3.325

#### 4. OPS – AIRPORT OPERATIONS

4.1 Airport Aviation Security Organization and Administration .....	4.001 – 4.110
4.2 Measures Relating to Access Control .....	4.115 – 4.335
4.3 Measures Relating to the Landside .....	4.340 – 4.395

#### 5. IFS – AIRCRAFT AND IN-FLIGHT SECURITY

5.1 Aircraft Protection and In-Flight Security .....	5.001 – 5.160
5.2 Carriage of Weapons and In-Flight Security Officers .....	5.165 – 5.250

## **6. PAX – PASSENGER AND BAGGAGE SECURITY**

6.1 Passenger and Cabin Baggage Security .....	6.001 – 6.100
6.2 Hold Baggage Security .....	6.105 – 6.230

## **7. CGO – CARGO, CATERING AND MAIL SECURITY**

7.1 Cargo and Mail Security .....	7.001 – 7.205
7.2 Catering, Stores and Supplies Security .....	7.210 – 7.230

## **8. AUI – RESPONSE TO ACTS OF UNLAWFUL INTERFERENCE**

8.1 Proactive Responses .....	8.001 – 8.110
8.2 Reactive Responses .....	8.115 – 8.197
8.3 Evaluation and Reporting .....	8.200 – 8.230

## **9. FAL – SECURITY ASPECTS OF FACILITATION**

9.1 Programme and Coordination .....	9.001 – 9.005
9.2 Security of Travel Documents .....	9.010 – 9.037
9.3 Inspection of Travel Documents .....	9.040 – 9.065
9.4 Advance Passenger Information .....	9.070 – 9.077
9.5 Passenger Name Record Data .....	9.080 – 9.120

<b>Audit Area</b>	<b>Number of PQs</b>
LEG: Regulatory Framework and the National Civil Aviation Security System	73
TRG: Training of Aviation Security Personnel	47
QCF: Quality Control Functions	64
OPS: Airport Operations	75
IFS: Aircraft and In-flight Security	57
PAX: Passenger and Baggage Security	47
CGO: Cargo, Catering and Mail Security	48
AUI: Response to Acts of Unlawful Interference	53
FAL: Security Aspects of Facilitation	30
Total number of PQs	494

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
1.010*	<p>Does the State's primary aviation security legislation contain provisions for the establishment of an appropriate authority for aviation security?</p> <p>Identify the primary aviation security legislation.</p> <p>Verify whether the primary aviation security legislation contains provisions for:</p> <p>a) the establishment of an appropriate authority for aviation security; and</p> <p>b) the empowerment of the appropriate authority to:</p> <ul style="list-style-type: none"> <li>• develop aviation security policies and requirements consistent with the provisions of Annex 17;</li> <li>• issue decrees, orders, circulars or directives to require the implementation of immediate security measures; and</li> <li>• provide oversight for the implementation of aviation security policies and requirements.</li> </ul>	2.1.2	CE-1
1.015*	<p>Has the State established in relevant national documentation the primary objective as it relates to aviation security?</p> <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>	2.1.1	CE-1
1.020	<p>Has the State ensured that the primary objective as it relates to aviation security is made available to all within the aviation industry?</p> <p>Confirm that dissemination has occurred.</p> <p>Alternatively, describe the means of availability (web access, library, etc.).</p>	2.1.1	CE-1
1.030	<p>Has the State established a policy and a documented process for amending its national aviation security regulations and procedures to take into consideration Annex 17 Standards and their amendments?</p> <p>Review the relevant policy and documented processes used for evaluating new and amended Annex 17 Standards, and for determining the need to make consequential amendments to national aviation security regulations and procedures.</p> <p>Verify whether the process includes all applicable steps and timelines, including coordination with all relevant stakeholders concerned, when necessary.</p>	2.1.2	CE-2
1.035*	<p>Has the State implemented a process for amending its national aviation security regulations and procedures, taking into consideration Annex 17 Standards and their amendments?</p>	2.1.2	CE-2

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Review documented evidence of the effective implementation of the process for amending relevant regulations, decrees, rules, directives, orders, circulars, instructions and/or any other specific operating requirements.</p> <p>Verify whether national aviation security regulations and procedures are amended in a timely manner whenever amendments to Annex 17 Standards are received.</p> <p>Specify the date of the last review and amendment of relevant national aviation security regulations and procedures.</p>		
1.040	<p>Has the State established a policy and a documented process for identifying and notifying ICAO of differences between Annex 17 Standards and its national aviation security regulations, practices and procedures?</p> <p>Review the relevant policy and documented process used for the identification and notification of differences to ICAO.</p> <p>Verify whether the process includes all applicable steps and timelines, including coordination with all relevant stakeholders concerned, when necessary.</p>	2.1.2	CE-2
1.045	<p>Has the State implemented a process for identifying differences between Annex 17 Standards and its national aviation security regulations, practices and procedures and notifying ICAO of such differences?</p> <p>Verify documented evidence of the implementation of such process.</p> <p>If the State has identified any differences between Annex 17 Standards and its national aviation security regulations practices and procedures, verify whether notification to ICAO has taken place by reviewing documented evidence of such notification.</p> <p>Review the Compliance Checklist for Annex 17 to identify any differences and cross-check with any differences notified to ICAO.</p>	2.1.2	CE-2
1.050	<p>Do the primary aviation security legislation/regulations require the development of a written NCASP?</p> <p>Identify the documentation in which this requirement is established.</p>	3.1.1	CE-1
1.055	<p>Does the State have an approved written NCASP?</p> <p>Verify documented evidence of the approval of the NCASP.</p> <p>When was the NCASP established/last revised?</p> <p><i>Note. — The NCASP should constitute the blueprint for developing and implementing a civil aviation security system. The programme may comprise a single document or a series of regulations describing the State's methods for implementing the SARPs of Annex 17 and the relevant portions of other Annexes. If multiple documents are used, the State should establish a mechanism, such as a cross-reference table, to facilitate the use of all relevant documents and easily locate pertinent sections and policies of the NCASP.</i></p>	3.1.1	CE-2
1.060*	Does the NCASP accurately reflect or reference all current aviation security policies and requirements in effect in the State?	3.1.1	CE-2



PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Verify, throughout the course of the audit, that the NCASP accurately reflects or references all national aviation security policies and requirements in effect in the State and all Annex 17 Standards, and that it is consistent with the current status of aviation security in the State.</p> <p>Verify, throughout the course of the audit, that a specific policy is established in the NCASP in regard to each of the following Annex 17 Standards:</p> <ul style="list-style-type: none"> <li>a) programme objective and applicability (Standards 2.1.1, 2.2);</li> <li>b) legislation (Standard 2.1.2, 2.1.4);</li> <li>c) allocation of responsibilities (Standards 3.1.1, 3.1.2, 3.1.6, 3.1.9, 3.2.1, 3.2.2, 3.2.4, 3.3.1, 3.3.2, 3.6, 4.8.3);</li> <li>d) coordination and communications (Standards 2.4.1, 2.4.2, 2.4.3, 2.4.4, 2.4.5, 3.1.7, 3.2.3);</li> <li>e) protection of airports, aircraft and air navigation facilities (Standards 4.2.1, 4.2.2, 4.2.3, 4.2.4, 4.2.5, 4.2.6, 4.2.7, 4.3.1, 4.3.2, 4.3.3, 4.3.4, 4.3.6, 4.8.1, 4.8.2, 4.9.1);</li> <li>f) security control of persons and items being placed on board aircraft (Standards 4.1.3, 4.4.1, 4.4.2, 4.4.3, 4.4.4, 4.4.5, 4.5.1, 4.5.2, 4.5.3, 4.5.4, 4.5.5, 4.5.6, 4.6.1, 4.6.2, 4.6.3, 4.6.4, 4.6.5, 4.6.6, 4.6.7, 4.6.8, 4.6.9, 4.6.10, 4.7.1, 4.7.2, 4.7.3, 4.7.4, 4.7.5, 4.7.6, 4.7.7, 4.7.8);</li> <li>g) security equipment (Standard 3.1.8);</li> <li>h) personnel (Standards 3.4.1, 3.4.6, 3.5.2, 3.4.2, 3.4.4);</li> <li>i) management of response to acts of unlawful interference (Standards 5.1.1, 5.1.2, 5.1.3, 5.1.4, 5.1.5, 5.1.6, 5.2.1, 5.2.2, 5.2.3, 5.2.4, 5.2.5, 5.3.1);</li> <li>j) quality control (Standards 3.5.1, 3.5.3); and</li> <li>k) adjustment of the programme and contingency plans (Standards 2.1.3, 3.1.3, 3.1.5, 5.3.2).</li> </ul>		
1.070*	<p>Has the State established sufficient guidance, performance criteria and/or procedures or alternative means to ensure the efficient, effective and consistent application of policies and requirements established in the NCASP?</p> <p>Review the NCASP or relevant documentation and verify, throughout the course of the audit, whether the State has established sufficient guidance, performance criteria and/or procedures, including, but not limited to, model ASPs, AOSPs, regulated agent and known</p>	3.1.1	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>consignor security programmes, etc., to ensure the efficient, effective and consistent implementation of national aviation security policies and requirements.</p> <p>If an outcome-based approach is adopted by the State, verify the process of a comprehensive review and monitoring of airport-level security programmes, which ensures the existence of appropriate security-critical information at the airport level.</p> <p><i>Note. — Outcome-based approach to implementing aviation security measures is defined as a method, which provides for required outcomes or levels of performance established in national-level programmes or regulations with emphasis on specific and measurable outcomes. This is supported by more detailed operational requirements and procedures established in airport-level security programmes, which include ASPs and AOSPs.</i></p>		
1.075	<p>Has the State established a requirement to ensure that the appropriate authority makes available to its airport and aircraft operators and ATSPs operating in its territory and other entities concerned, a written version of the appropriate parts of its NCASP and/or relevant information or guidelines enabling them to meet the requirements of the NCASP?</p> <p>Identify the documentation in which this requirement is established.</p>	3.1.9	CE-2
1.080*	<p>Has the State established and implemented a process for disseminating aviation security regulations, programmes, procedures, guidance material and performance criteria to all relevant aviation security stakeholders to ensure their awareness of the State aviation security policies and supporting requirements which have to be met to ensure compliance?</p> <p>Review the means for making applicable policies, requirements and guidance material available to all relevant aviation security stakeholders.</p> <p>Verify whether the State has made available to its airport and aircraft operators and ATSPs operating in its territory and other entities involved in the implementation of the NCASP, a written version of the appropriate parts of the NCASP and/or relevant information or guidelines enabling them to meet the requirements of the NCASP.</p> <p>Confirm that other mandatory and enforceable requirements, such as rules, regulations, directives, orders or circulars are available to all relevant aviation security stakeholders, as required.</p> <p>Verify whether the State has established a system to account for all copies of sensitive security information distributed to those with a need to know, such as a distribution list.</p>	3.1.9	CE-5
1.090	<p>Do the State's laws criminalize any actions that would constitute an act of unlawful interference against civil aviation?</p> <p>Review the laws and interview relevant personnel.</p> <p><i>Note. — The international legal instruments criminalize and establish jurisdiction for a number of specified acts of unlawful interference involving aircraft, airports and other aviation facilities. States that have become parties to one or more of the aviation security conventions should, at a minimum, introduce and define, through existing legal instruments such as a national criminal code and/or dedicated aviation security legislation, the following acts as criminal offences punishable by severe penalties:</i></p>	2.1.2	CE-1

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p><i>a) unlawful seizure of aircraft;</i></p> <p><i>b) an act of violence against a person on board an aircraft in flight, if that act is likely to endanger the safety of that aircraft;</i></p> <p><i>c) an act of violence using any device, substance or weapon against a person at an airport serving international civil aviation, which causes or is likely to cause serious injury or death, if such an act endangers or is likely to endanger safety at that airport;</i></p> <p><i>d) destruction of, or serious damage to the facilities of, an airport serving international civil aviation or aircraft not in service located thereon, or disruption of the services of the airport, if such an act endangers or is likely to endanger safety at that airport;</i></p> <p><i>e) placing or causing to be placed on an aircraft in service, by any means whatsoever, a device or substance which is likely to destroy that aircraft, or to cause damage to it that renders it incapable of flight or that is likely to endanger its safety in flight;</i></p> <p><i>f) destruction or damage to air navigation facilities or interference with their operation, if such an act is likely to endanger the safety of aircraft in flight; and</i></p> <p><i>g) communication of information which a person knows to be false, thereby endangering the safety of an aircraft in flight.</i></p>		
1.095*	<p>Does the primary aviation security legislation allocate to the appropriate authority enforcement powers to ensure compliance with national aviation security policies and requirements?</p> <p>Verify whether the primary aviation security legislation empowers the appropriate authority to compel compliance with national aviation security policies and requirements, if any deficiencies are identified.</p> <p>Verify whether the State has established a system of sanctions and/or penalties.</p> <p>Review specified sanctions/penalties to determine whether they serve as a viable deterrent for violations of applicable rules.</p>	2.1.2	CE-1
1.110*	<p>Does the primary aviation security legislation/regulations provide for a clear delegation of enforcement powers, to national aviation security inspectors?</p> <p>Review provisions in relevant legislation on the delegation of enforcement powers, including immediate enforcement powers, to national aviation security inspectors to:</p> <p>a) issue notices of deficiencies and/or recommendations, as appropriate;</p> <p>b) enforce corrective actions, including immediate rectification of any deficiencies, and/or apply enforcement measures; and</p> <p>c) enforce all relevant national aviation security requirements.</p>	3.5.1	CE-1

PQ No.	<b>PROTOCOL QUESTION</b> <b>GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE</b>	ICAO REF	CE
1.115*	<p>Do the primary aviation security legislation/regulations enable national aviation security inspectors to have unrestricted and unlimited access to aircraft, aviation facilities, aviation documentation and information for the performance of their functions and duties?</p> <p>Review the primary aviation security legislation/regulations.</p> <p>Verify whether national aviation security inspectors are formally empowered and authorized to:</p> <p>a) enter any land, facility or building at any airport in the State for the purpose of conducting quality control activities, or land outside an airport occupied for business purposes connected with an airport or aircraft operator, including facilities of regulated agents, known consignors, regulated suppliers and known suppliers of in-flight and airport supplies;</p> <p>b) enter any aircraft registered or operating in the State for the purpose of conducting quality control activities;</p> <p>c) require an aircraft operator, airport manager or occupier of land outside the airport used for business purposes connected with the airport to provide information relevant to any audit, inspection, test or investigation;</p> <p>d) obtain access to relevant security documentation and records;</p> <p>e) interview any person for the purpose of assessing the standard of security or the implementation of security procedures;</p> <p>f) inspect and test the effectiveness of security measures and procedures and performance of security equipment; and</p> <p>g) take into an airport, airside area or any designated SRA, and use any equipment necessary to carry out their duties, including radios, cameras, recording devices (both audio and video) and specially authorized restricted or prohibited items, such as replica weapons or simulated explosive devices.</p>	3.5.1	CE-1
1.120	<p>Has the State established official credentials for its national aviation security inspectors to facilitate their access to facilities, aircraft and documentation when carrying out inspection and enforcement duties?</p> <p>Verify whether the State has established official inspectorate staff credentials allowing full access to aerodrome facilities in the State.</p> <p>Review such credentials and ensure they include reference to empowering legislation, including any delegated enforcement action against non-compliance with national aviation security policies and requirements.</p>	3.5.1	CE-3
1.125	<p>Has the State established a requirement for keeping under constant review the level and nature of threat to civil aviation within its territory and airspace above it?</p> <p>Identify the documentation in which this requirement is established.</p>	3.1.3	CE-2
1.130	<p>Has the State designated an entity(ies) as responsible for constantly reviewing intelligence/information pertaining to the level and nature of threat to civil aviation operations within its territory and airspace above it?</p>	3.1.3	CE-3

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Identify the documentation in which this designation is established.  Identify the entity(ies) responsible for the collection, collation, assessment and dissemination of threat information relating to civil aviation.		
1.135*	Has the State established procedures to disseminate new intelligence/information pertaining to the level and nature of threat to civil aviation operations within its territory and airspace above it to the authority responsible for conducting a security risk assessment for civil aviation with a view to adjusting relevant elements of the security measures established in the NCASP?  Identify the documentation in which these procedures are established.  Review any written notifications/documentation related to the dissemination of such information.	3.1.3	CE-5
1.140	Has the State established a requirement to conduct a regular security risk assessment for civil aviation with a view to adjusting relevant elements of the security measures established in the NCASP?  Identify the documentation in which this requirement is established.	3.1.3	CE-2
1.145	Has the State designated an entity(ies) as responsible for conducting a regular security risk assessment, utilizing intelligence/information pertaining to the level and nature of threat to civil aviation operations within its territory and airspace above it, with a view to adjusting relevant elements of the security measures established in the NCASP?  Identify the documentation in which this designation is established.  Identify the entity(ies) to which this responsibility has been allocated.	3.1.3	CE-3
1.155*	Is an appropriate risk assessment methodology available and utilized for conducting a security risk assessment with a view to adjusting relevant elements of the NCASP?  Verify whether the risk assessment methodology includes the three components of the risk (threat, consequence, vulnerability) for each threat scenario considered.  Verify whether the risk assessment methodology addresses the following types of threat, among others:  a) person-borne IEDs (on person, in cabin baggage or hold baggage);  b) vehicle-borne IEDs;  c) introduction of an IED or a prohibited item into an aircraft;	3.1.3	CE-5

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	<p>d) IEDs or IIDs in cargo;</p> <p>e) MANPADS and other weapons representing a similar threat to aircraft at or near an airport;</p> <p>f) airborne threats:</p> <ul style="list-style-type: none"> <li>- aircraft as a weapon;</li> <li>- hijacking;</li> <li>- remotely piloted aircraft system threats;</li> <li>- other threats originating outside the State affecting their airspace;</li> </ul> <p>g) cyber-attack:</p> <ul style="list-style-type: none"> <li>- ATM systems;</li> <li>- aircraft systems;</li> <li>- airport systems;</li> </ul> <p>h) chemical, biological and radiological threats;</p> <p>i) threats to the landside;</p> <p>j) IED or weapon or toxins concealed in catering or other services;</p> <p>k) hoaxes.</p> <p>Verify documented evidence demonstrating:</p> <p>a) the ongoing utilization of the risk assessment methodology, such as a risk register containing, for each type of threat, a list of threat scenarios and their corresponding threat, consequence, and vulnerability assessments and resulting risks; and</p> <p>b) the adjustment of the relevant elements of the security measures established in the NCASP based on the results of the security risk assessment.</p>		
1.156	<p>Has the State established a requirement for sharing, as appropriate, with relevant airport operators, aircraft operators, ATSPs or other entities concerned, in a practical and timely manner, relevant information to assist them to conduct effective security risk assessments relating to their operations?</p> <p>Identify the documentation in which this requirement is established.</p>	3.1.5	CE-2
1.157	<p>Has the State designated an entity(ies) as responsible for sharing with relevant airport and aircraft operators, ATSPs or other entities concerned relevant information to assist them to conduct effective security risk assessments relating to their operations?</p> <p>Identify the documentation in which this designation is established.</p>	3.1.5	CE-3

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Identify the entity(ies) responsible for sharing with relevant airport and aircraft operators, ATSPs or other entities concerned relevant information to assist them to conduct effective security risk assessments.		
1.158*	<p>Has the State established guidance with regard to what information is shared with relevant airport-level entities to assist them to conduct effective security risk assessments relating to their operations?</p> <p>Identify the documentation in which this guidance is established.</p> <p><i>Note. — Examples may include but are not limited to: information on bomb threats, risks related to civil aviation operation over or near conflict zones, cyber threats, and threat and risk assessments.</i></p>	3.1.5	CE-5
1.159*	<p>Has the State established and implemented procedures to share with relevant airport and aircraft operators, ATSPs or other entities concerned, in a practical and timely manner, relevant information to assist them to conduct effective security risk assessments relating to their operations?</p> <p>Identify the documentation in which these procedures are established.</p> <p>Review any written notifications/documentation related to the dissemination of such information according to a need-to-know principle.</p>	3.1.5	CE-5
1.170*	<p>If the State has pre-established threat levels with corresponding security countermeasures, are these appropriate for each level of threat?</p> <p>Identify the documentation in which the levels of threat and corresponding countermeasures are established.</p> <p>Verify whether such countermeasures are consistent with the national requirements for various security measures and appear appropriate to the various levels of threat.</p>	2.1.3	CE-5
1.175*	<p>If the State does not use pre-established levels of threat and associated countermeasures, has the State established a process to respond rapidly to any increased security threat?</p> <p>Verify whether a process for responding rapidly to any increased security threat by implementing appropriate countermeasures has been established.</p> <p><i>Note. — While PQ.1.155 is looking for the methodology used to carry out risk assessments and adjust elements of the NCASP, this PQ aims to evaluate whether there is a mechanism to apply the risk assessment methodology rapidly in response to new or increased threats.</i></p>	2.1.3	CE-5
1.180	<p>Has the State established and implemented, as applicable, procedures to disseminate information related to the levels of threat and/or appropriate countermeasures to be implemented at the airport level?</p> <p>Identify the documentation in which these procedures are established.</p> <p>Verify an example of the effective implementation of the process.</p>	2.1.3	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
1.193	<p>Has the State established a policy to ensure that measures designed to safeguard against acts of unlawful interference are applied to domestic operations to the extent practicable, based upon a security risk assessment carried out by the relevant national authorities?</p> <p>Identify the documentation in which this requirement is established.</p> <p>Note 1. — <i>A requirement for a security risk assessment will not be necessarily a part of the State's policy, if the State does not formally differentiate between international and domestic operations in terms of applicable security measures under the NCASP.</i></p> <p>Note 2. — <i>If the State does not have any domestic operation, all PQs related to Standard 2.2 should be marked as not applicable.</i></p>	2.2	CE-2
1.195*	<p>If the State's determination of the applicability of security measures to domestic operations is based on a security risk assessment, has the State utilized a risk assessment methodology and established security measures for domestic operations?</p> <p>Review the risk assessment methodology for determining the applicability of security measures to domestic operations.</p> <p>Identify the documentation in which the security measures applicable to domestic operations are established based on the risk assessment.</p> <p>Review the scope of security measures applicable to domestic operations established as a result of the risk assessment.</p> <p>Note 1. — <i>If the State does not formally differentiate between international and domestic operations in terms of applicable security measures under the NCASP, this PQ should be marked as not applicable.</i></p> <p>Note 2. — <i>Any risk assessment should include, but not be limited to, the following considerations:</i></p> <ul style="list-style-type: none"> <li>• <i>overall risk;</i></li> <li>• <i>domestic operations that are treated differently, which could possibly contaminate the aviation security environment of international operations;</i></li> <li>• <i>passengers, baggage, cargo, catering, etc., creating cross-contamination through movement from domestic to international flights;</i></li> <li>• <i>nature of traffic;</i></li> <li>• <i>size of airport;</i></li> <li>• <i>range of aircraft;</i></li> <li>• <i>feasibility;</i></li> </ul>	2.2	CE-5



PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<ul style="list-style-type: none"> <li>potential impact on the State, infrastructure or entity as a result of an act of unlawful interference; and</li> <li>potential impact on other States as a result of an act of unlawful interference.</li> </ul>		
1.200*	<p>In practice, is the State's policy regarding the applicability of security measures to domestic operations consistently and effectively implemented?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of security measures and/or procedures for domestic operations?</p> <p>Note 1. — <i>The applicable security measures for domestic operations may be the same as for international operations, or may have been determined on the basis of a risk assessment.</i></p> <p>Note 2. — <i>The status of this PQ may be determined on the basis of the State's quality control and approval obligations and/or through direct observations.</i></p>	2.2	CE-8
1.201	<p>Has the State established a policy for appropriate consultation with other States when requesting additional security measures for a specific flight(s)?</p> <p>Identify the documentation in which this policy is established.</p> <p>Verify whether this policy provides for giving consideration to alternative measures of the other State that are equivalent to those requested.</p>	2.4.1	CE-2
1.202	<p>Has the State designated an office or entity as responsible for ensuring appropriate consultation with other States when requesting additional security measures for a specific flight(s) operated from such States?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the office or entity to which this responsibility has been allocated.</p>	2.4.1	CE-3
1.203*	<p>Does the State have a practice or procedure for ensuring appropriate consultation with other States when requesting additional security measures for a specific flight(s) operated from such States?</p> <p>Review any written procedure for consultation with other States when requesting additional security measures for a specific flight(s) operated from such States, or review correspondence and/or instructions issued in this regard.</p> <p>If applicable, review examples of consultations with other States when requesting additional security measures for a specific flight(s) operated from such States, taking into consideration alternative measures that may be implemented by other State that are equivalent to those requested.</p>	2.4.1	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Note. — <i>If the State has never requested additional security measures for a specific flight(s) and has no relevant procedures, this PQ should be marked as not applicable.</i>		
1.205	Has the State established a policy to ensure that requests from other Contracting States for additional security measures in respect of a specific flight(s) by aircraft operators of such other States are met, as far as may be practicable?  Identify the documentation in which this policy is established.	2.4.2	CE-2
1.210	Has the State designated an office or entity as responsible for handling requests from other Contracting States for additional security measures?  Identify the documentation in which this designation is established.  Identify the office or entity to which this responsibility has been allocated.	2.4.2	CE-3
1.215*	Does the State have a practice or procedure for responding to requests from other Contracting States for additional security measures?  Review any written procedure for addressing requests from other Contracting States for additional security measures, or review correspondence and/or instructions issued based on the State's review of specific requests.  Review the result of the State's review of specific requests.  Note. — <i>If the State has not received requests from other Contracting States for additional security measures and has no relevant procedures, this PQ should be marked as not applicable.</i>	2.4.2	CE-5
1.220	Has the State established a policy for the cooperation with other States in the development and exchange of information concerning NCASPs, NCASTPs and NQCPs, as necessary?  Identify the documentation in which this policy is established.	2.4.3	CE-2
1.225	Has the State designated an office or entity as responsible for dealing with requests from other States related to the development and exchange of information concerning NCASPs, NCASTPs and NQCPs?  Identify the documentation in which this designation is established.  Identify the office or entity to which this responsibility has been allocated.	2.4.3	CE-3
1.230*	Does the State have a practice or procedure for responding to any requests from other States in regard to the exchange of information concerning NCASPs, NCASTPs and/or NQCPs?  Review any written procedure for addressing requests from States in regard to the exchange of information concerning NCASPs, NCASTPs and/or NQCPs, or review correspondence and/or instructions issued based on the State's review of specific requests.  Review the result of the State's review of specific requests.	2.4.3	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Verify whether the State has entered into any formal arrangements for cooperating with other States or regional groupings of States.</p> <p><i>Note. — If the State has not received requests from other States for the exchange of information concerning NCASPs, NCASTPs and/or NQCPs and has no relevant procedures, this PQ should be marked as not applicable.</i></p>		
1.235	<p>Has the State established a policy for sharing with other Contracting States, in a timely manner, threat information that applies to the aviation security interests of those States, to the extent practicable?</p> <p>Identify the documentation in which this policy is established.</p>	2.4.4	CE-2
1.240	<p>Has the State designated an office or entity as responsible for the sharing of threat information that applies to the aviation security interests of other Contracting States?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the office or entity to which this responsibility has been allocated.</p>	2.4.4	CE-3
1.245*	<p>Does the State have a procedure for sharing with other Contracting States threat information that applies to the aviation security interests of those States?</p> <p>Review any written procedure for sharing with other Contracting States threat information that applies to the aviation security interests of those States, and review any correspondence regarding threat information shared with other States.</p> <p>Verify whether the process ensures sharing of threat information in a timely manner, and confidentiality is maintained.</p> <p>Verify whether the State has entered into any formal arrangements in regard to the sharing of threat information with other Contracting States, e.g. regional bodies or the ICAO Aviation Security Point of Contact Network.</p>	2.4.4	CE-5
1.246	<p>Has the State established a requirement for the appropriate protection of sensitive aviation security information?</p> <p>Identify the documentation in which this requirement is established.</p>	2.1.4	CE-2
1.247	<p>Has the State designated an office or entity as responsible for handling, sharing and disposing of sensitive aviation security information?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the office or entity to which this responsibility has been allocated.</p> <p>Verify whether the State has formally established the level of personnel authorized to release such security information.</p>	2.1.4	CE-3

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
1.248*	<p>Has the State established and implemented suitable protection procedures for sensitive aviation security information?</p> <p>Identify the documentation in which these procedures are established.</p> <p>Verify whether the State has identified sensitive aviation security information.</p> <p>Verify whether these procedures describe in detail the process of handling, sharing and disposing of sensitive aviation security information.</p> <p>Interview the appropriate personnel to obtain a verbal explanation of the implementation of such procedures.</p> <p>Note. — <i>Sensitive aviation security information may include the following, or portions thereof:</i></p> <p><i>a) NCASP, NCASTP, NQCP, other relevant regulations and measures concerning aviation security;</i></p> <p><i>b) ASPs, AOSPs, SOPs describing specific aviation security measures;</i></p> <p><i>c) quality control activity results;</i></p> <p><i>d) threat information and risks assessments;</i></p> <p><i>e) information on security incidents;</i></p> <p><i>f) contingency plans;</i></p> <p><i>g) drawings, pictures, and videos that show screening checkpoints, security equipment, entrances to SRAs and other areas which could expose aviation security vulnerabilities; and</i></p> <p><i>h) security equipment performance capabilities, including detection standards, calibration settings, software, etc.</i></p>	2.1.4	CE-5
1.250	<p>Has the State established a requirement for the protection and handling of security information shared by other Contracting States, or security information that affects the security interests of other Contracting States?</p> <p>Identify the documentation in which this requirement is established.</p>	2.4.5	CE-2
1.255	<p>Has the State designated an office or entity as responsible for handling, sharing and disposing of security information shared by other Contracting States, or security information that affects the security interests of other Contracting States?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the office or entity to which this responsibility has been allocated.</p>	2.4.5	CE-3

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Verify whether the State has formally established the level of personnel authorized to release such security information.		
1.260*	Has the State established and implemented suitable protection and handling procedures for security information shared by other Contracting States, or security information that affects the security interests of other Contracting States?  Identify the documentation in which these procedures are established.  Interview the appropriate personnel to obtain a verbal explanation of the implementation of such procedures.	2.4.5	CE-5
1.265*	Has the State designated an appropriate authority within its administration as responsible for the development, implementation and maintenance of the NCASP?  Identify the documentation in which this designation is established.  Identify the individual or organization designated as the appropriate authority for aviation security in the State, such as the Ministry of Civil Aviation, Department of a Ministry (specify), independent and autonomous authority (specify reporting lines), or other (specify).	3.1.2	CE-3
1.270*	Has the State specified the designated appropriate authority for aviation security to ICAO?  Review official notification correspondence to ICAO.	3.1.2	CE-3
1.275*	Has the State established an organizational structure for aviation security within the appropriate authority?  Review the organizational structure, e.g. directorate/department/ division/section/office.  Evaluate the current approved organizational chart.  Verify the reporting lines.  Review the terms of reference of the organizational structure for aviation security within the appropriate authority to verify whether all its functions and responsibilities are clearly defined.	2.1.2	CE-3
1.280*	Has the State ensured that the appropriate authority has sufficient financial resources to meet its national and international obligations?  Review financial resources (e.g. allocated budget, user charges, fees).  Identify any area(s) of activities related to the responsibilities of the appropriate authority which could not be conducted due to a lack of financial resources, such as: <ul style="list-style-type: none"> <li>development of regulations, programmes, procedures and other guidance material;</li> <li>staff training;</li> </ul>	2.1.2	CE-3

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<ul style="list-style-type: none"> <li>quality control activities; and</li> <li>resolution of security deficiencies.</li> </ul>		
1.285*	<p>Has the State established and implemented a process to ensure that the appropriate authority has sufficient personnel to meet its national and international obligations?</p> <p>Review the process used to determine staffing needs and identify the documentation in which this procedure is established.</p> <p>Review the process used to establish and fill the required posts initially and on an ongoing basis.</p> <p>Verify the appropriate authority's active participation in the recruitment and selection of prospective personnel.</p> <p>Review the State's ability to accomplish all regulatory and oversight activities, including:</p> <ul style="list-style-type: none"> <li>developing and revising programmes, regulations and guidance material;</li> <li>ensuring that airport-level security and training programmes meet national requirements;</li> <li>conducting quality control activities;</li> <li>resolving identified security concerns; and</li> <li>reporting and analysing security deficiencies.</li> </ul>	2.1.2	CE-3
1.290*	<p>Is the appropriate authority able to attract, recruit and retain sufficiently qualified/experienced technical personnel within its administration?</p> <p>Review the vacancy rate and the level of turnover in recent years for the appropriate authority personnel involved in aviation security.</p> <p>Verify the ability of the appropriate authority to attract new technical personnel by offering competitive jobs.</p> <p>Verify whether national aviation security inspectors are provided conditions of service and remuneration:</p> <ul style="list-style-type: none"> <li>consistent with their education, aviation security knowledge and experience; and</li> <li>comparable to those of the personnel of the operator whose activities they inspect and supervise.</li> </ul>	2.1.2	CE-3
1.300*	<p>Are the technical personnel of the appropriate authority involved in aviation security provided with the necessary tools and equipment to assist them in accomplishing their duties and responsibilities effectively?</p>	2.1.2	CE-5

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	<p>Verify the availability/accessibility of the following, as needed for the performance of duties and responsibilities:</p> <ul style="list-style-type: none"> <li>• telephones;</li> <li>• computers;</li> <li>• printing facilities;</li> <li>• photocopiers;</li> <li>• Internet/Intranet; and</li> <li>• other appropriate facilities to support aviation security activities, such as transportation means.</li> </ul>		
1.305	<p>Has the State established a requirement for its appropriate authority to define and allocate tasks and coordinate activities between the departments, agencies and other organizations of the State, airport and aircraft operators, ATSPs and other entities concerned with or responsible for the implementation of various aspects of the NCASP?</p> <p>Identify the documentation in which this requirement is established.</p>	3.1.6	CE-2
1.310*	<p>Are the functions and responsibilities of the various entities within the aviation security system clearly defined?</p> <p>Identify the documentation in which the functions and responsibilities of the various entities within the aviation security system are defined.</p> <p>Review the organizational structure and/or additional explanations or justifications of various entities, such as the departments, agencies and other organizations of the State, airport and aircraft operators, ATSPs and other entities concerned with or responsible for the implementation of the various aspects of the NCASP.</p> <p>Confirm, throughout the course of the audit, that there is no conflict of responsibilities.</p> <p><i>Note. — If, throughout the course of an audit, any unassigned or conflicting responsibilities are identified, including between the national documentation and what is happening in practice, this PQ should be marked as not satisfactory.</i></p>	3.1.6	CE-3
1.315*	<p>Does the State provide for a distinct separation of responsibilities between aviation security regulatory/oversight entity(ies) in the State and the aviation security service providers, particularly if aviation security service provider functions are carried out by the State?</p> <p>Review the documentation that provides for the separation of responsibilities.</p> <p>Review the reporting lines.</p>	3.1.6	CE-3

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
1.320*	<p>If the appropriate authority has delegated or transferred some of its aviation security regulatory, certification, approval or oversight tasks to a different entity within the State, is there a legal basis for this delegation/transfer?</p> <p>Review the relevant legal text, inter-departmental Memorandum of Understanding, etc.</p> <p>Verify whether delegated or transferred tasks are clearly defined.</p>	3.1.6	CE-3
1.325	<p>If the appropriate authority has delegated or transferred some of its aviation security regulatory, certification, approval or oversight tasks to a different entity within the State, does the appropriate authority conduct appropriate oversight of delegated/transferred tasks?</p> <p>Verify whether an oversight system has been established and is being implemented.</p>	3.1.6	CE-7
1.330	<p>If the appropriate authority has delegated or transferred some of its aviation security regulatory, certification, approval or oversight tasks to a different entity within the State, has the appropriate authority developed and implemented a system to resolve deficiencies or issues related to the conduct of delegated/transferred tasks?</p> <p>Verify whether a system to resolve deficiencies and issues related to the conduct of delegated or transferred tasks has been developed and implemented.</p> <p>Review examples of corrective actions taken to resolve concerns related to delegated or transferred tasks to confirm their effective implementation.</p>	3.1.6	CE-8
1.331*	<p>If the State has established ROs which perform aviation security oversight functions, are their roles and responsibilities clearly defined?</p> <p>Review:</p> <p>a) documents defining the functions and responsibilities of ROs;</p> <p>b) organizational chart(s); and</p> <p>c) document on delegation of authority from Headquarters to the RO.</p>	3.1.6	CE-3
1.332*	<p>If the State has established ROs which perform aviation security oversight functions, is there a system in place for coordination and standardization between Headquarters and each RO?</p> <p>Review:</p> <p>1) coordination process/procedures and sample activities (e.g. regular meetings, training); and</p> <p>2) method of communication in both directions.</p>	3.1.6	CE-3



PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
1.335	<p>Has the State established a requirement for an NCASC or similar arrangements for the purpose of coordinating security activities between the departments, agencies and other organizations of the State, airport and aircraft operators, ATSPs and other entities concerned with or responsible for the implementation of various aspects of the NCASP?</p> <p>Identify the documentation in which this requirement is established.</p> <p>Review the requirement to verify whether it provides the terms of reference of the NCASC and the composition of its membership.</p> <p>Identify the NCASC Chairperson and the frequency of meetings.</p> <p>If alternative arrangements have been made, review the documentation in which the coordination process is established.</p>	3.1.7	CE-2
1.340*	<p>Has the State ensured the establishment and functioning of the NCASC or the implementation of alternative arrangements for the purpose of coordinating security activities between the departments, agencies and other organizations of the State, airport and aircraft operators, ATSPs and other entities concerned with or responsible for the implementation of various aspects of the NCASP?</p> <p>Verify whether an NCASC has been established and functions in accordance with its terms of reference by reviewing the minutes of previous meetings, paying particular attention to the frequency of meetings and the date of the most recent meeting.</p> <p>Identify issues relevant to aviation security discussed at the last NCASC meeting.</p> <p>Verify the mechanism in place for the dissemination of the minutes of NCASC meetings to all its members.</p> <p>If alternative arrangements have been made, review the documentation in which the implementation of the coordination process is recorded.</p>	3.1.7	CE-3
1.345	<p>Has the State established a requirement for operators or entities to identify their critical information and communications technology systems and data used for civil aviation purposes and, in accordance with a risk assessment, develop and implement, as appropriate, measures to protect them from unlawful interference?</p> <p>Identify the documentation in which this requirement is established.</p> <p><i>Note. — An information system is considered to be critical when it contains or uses sensitive or privacy data and/or assets; or its operation is indispensable for the safe and secure operation and availability of aviation activities. Furthermore, in this case, “unlawful interference” as used within Standard 4.9.1 does not only refer to “acts of unlawful interference” as defined in Annex 17, but also to any interference that would affect the safety, security and smooth operation of the civil aviation system.</i></p>	4.9.1	CE-2
1.350	<p>Has the State defined the responsibilities of operators or entities with regard to cybersecurity in civil aviation?</p> <p>Identify the documentation in which these responsibilities are established.</p> <p>Identify the operators or entities to which these responsibilities have been allocated.</p>	4.9.1	CE-3

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Verify that responsibilities include incident reporting.		
1.355	<p>Has the State developed criteria for the protection of critical information and communications technology systems and data used for civil aviation purposes from unlawful interference?</p> <p>Identify the documentation in which these criteria are established.</p> <p>Verify whether the criteria address some of the following:</p> <ul style="list-style-type: none"> <li>a) the identification of critical information and communication technology systems;</li> <li>b) the protection of critical information and communication technology systems;</li> <li>c) the detection of cyber-attacks through the establishment of an ISCM system;</li> <li>d) the response to a cyber-attack;</li> <li>e) a crisis communication plan; and</li> <li>f) post-event analysis.</li> </ul>	4.9.1	CE-5
1.360*	<p>Are measures to protect critical information and communications technology systems and data used for civil aviation purposes from unlawful interference consistently and effectively implemented?</p> <p>Throughout the course of the audit, verify whether the various entities have identified their critical information and communications technology systems and data used for civil aviation purposes and have established risk-based measures to address cybersecurity in accordance with national policies.</p>	4.9.1	CE-8
2.001	<p>Does the State require the appropriate authority to ensure the development and implementation of an NCASTP for all personnel involved with or responsible for the implementation of various aspects of the NCASP?</p> <p>Identify the documentation in which this requirement is established.</p> <p><i>Note. — The NCASTP may be a policy or a programme, but must be sufficiently detailed to cover all the relevant training requirements.</i></p>	3.4.1	CE-2
2.005	<p>Has the State designated an entity as responsible for the development and implementation of an NCASTP?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the entity to which this responsibility has been allocated.</p>	3.4.1	CE-3
2.010*	Has the appropriate authority ensured the development of an NCASTP?	3.4.1	CE-2

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Verify documented evidence of the approval of the NCASTP.</p> <p>When was the NCASTP established/last revised?</p> <p><i>Note. — The NCASTP may consist of one or several documents establishing training requirements and parameters for various categories of personnel.</i></p>		
2.015*	<p>Does the NCASTP apply to and explain training requirements for all personnel involved with or responsible for the implementation of various aspects of the NCASP in sufficient detail?</p> <p>Review the NCASTP to verify whether it describes in sufficient detail the following items:</p> <ul style="list-style-type: none"> <li>a) programme objective;</li> <li>b) scope of the NCASTP;</li> <li>c) legal basis for implementing the NCASTP;</li> <li>d) organization and responsibilities;</li> <li>e) categories of personnel with responsibilities under the NCASP requiring training;</li> <li>f) knowledge and competencies to be achieved for personnel requiring training (see PQs 2.070 – 2.147 for the different categories of personnel);</li> <li>g) training requirements for staff with responsibilities under the NCASP, which may include initial, on-the-job and/or recurrent training, including frequency and duration;</li> <li>h) contents of training modules and lesson plans (while the following list may be structured differently according to the structure of the State's aviation security system, the focus is on basic and function-specific knowledge and competencies that training should result in): <ul style="list-style-type: none"> <li>• security awareness;</li> <li>• landside security;</li> <li>• airport and aircraft operators and their agents;</li> <li>• passenger and cabin baggage screening;</li> </ul> </li> </ul>	3.4.1	CE-2

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	<ul style="list-style-type: none"> <li>• hold baggage screening;</li> <li>• hold baggage security;</li> <li>• aircraft security;</li> <li>• security of catering, stores and supplies;</li> <li>• cargo and mail security;</li> <li>• security management;</li> <li>• ATC security;</li> <li>• national aviation security inspectors;</li> <li>• national aviation security instructors; and</li> <li>• contingency planning and crisis management;</li> </ul> <p>i) competency testing of trainees; and</p> <p>j) maintenance of training records.</p> <p><i>Note. — In addition to security personnel, personnel with responsibilities under the NCASP may include staff who implement:</i></p> <p><i>a) access control of staff and vehicles;</i></p> <p><i>b) surveillance and patrols;</i></p> <p><i>c) aircraft protection;</i></p> <p><i>d) aircraft security check/search;</i></p> <p><i>e) in-flight security;</i></p> <p><i>f) cargo and mail security;</i></p> <p><i>g) in-flight and airport supplies; and</i></p>		

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<i>h) baggage reconciliation/authorization.</i>		
2.020	<p>Has the appropriate authority established knowledge and competency requirements for national aviation security inspectors?</p> <p>Verify whether there are established knowledge and competency requirements for persons carrying out quality control activities, such as:</p> <ul style="list-style-type: none"> <li>a) an appropriate educational level or adequate job experience;</li> <li>b) good knowledge of regional regulations, if applicable, as well as an in-depth knowledge of the NCASP and associated rules, policies and procedures;</li> <li>c) good working knowledge of air transport operations;</li> <li>d) an understanding of current applicable aviation security measures and how they are applied to the operations being examined;</li> <li>e) a working knowledge of security technologies and techniques;</li> <li>f) a knowledge of compliance monitoring principles, procedures and techniques; and</li> <li>g) an understanding of the role and powers of the inspector.</li> </ul>	3.4.5	CE-4
2.025	<p>Has the appropriate authority established a training policy/programme for national aviation security inspectors?</p> <p>Review the content of the training policy/programme for national aviation security inspectors.</p> <p>Verify whether the training policy/programme provides for detailed requirements and durations of:</p> <ul style="list-style-type: none"> <li>• initial training;</li> <li>• OJT;</li> <li>• recurrent training; and</li> <li>• technical training.</li> </ul> <p>Verify whether the training policy/programme provides for training in the conduct of covert tests.</p> <p>Evaluate whether the training policy/programme for national aviation security inspectors is adequate to acquire and maintain the required level of knowledge and competence in aviation security.</p>	3.4.5	CE-2

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
2.030*	<p>Has the appropriate authority implemented the training policy/programme to ensure that personnel carrying out security audits, tests and inspections are trained to appropriate standards for these tasks?</p> <p>Verify whether the training policy/programme is appropriately implemented.</p> <p>Review the training files and records for personnel carrying out security audits, tests and inspections and verify whether training records are systematically retained.</p> <p>Verify the type and frequency of training successfully completed by personnel carrying out security audits, tests and inspections (i.e. initial, on-the-job, recurrent and technical training).</p>	3.4.5	CE-4
2.055	<p>Has the State established a requirement for all entities to develop and implement aviation security training programmes for their personnel with responsibilities under the NCASP?</p> <p>Identify the documentation in which this requirement is established.</p>	3.4.2	CE-2
2.060	<p>Has the State implemented a process to ensure that all entities have established aviation security training programmes for their personnel with responsibilities under the NCASP that meet national training requirements?</p> <p>Review documented evidence of the implementation of the process.</p>	3.4.2	CE-6
2.062*	<p>Do the aviation security training programmes for personnel with responsibilities under the NCASP address all relevant national training requirements in sufficient detail?</p> <p>Verify, throughout the course of the audit, whether the training programmes of all relevant entities accurately reflect or reference, at a minimum, the following items, providing sufficient guidance or procedures, as appropriate, for their effective implementation:</p> <ul style="list-style-type: none"> <li>a) declared objectives and training policy;</li> <li>b) responsibilities for conducting training courses;</li> <li>c) initial and recurrent training, with required duration and frequency;</li> <li>d) provisions for a formal OJT programme;</li> <li>e) administrative information related to the selection of candidates;</li> <li>f) requirements for assessments of knowledge and competencies to be acquired and maintained following initial and recurrent training (e.g. written and practical tests with minimum pass marks);</li> <li>g) a curriculum outline;</li> </ul>	3.4.2	CE-6

<b>PQ No.</b>	<b>PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE</b>	<b>ICAO REF</b>	<b>CE</b>
	h) detailed syllabi for the courses; and i) requirements for the maintenance of training records.		
2.070*	Has the State ensured training for all staff conducting access control to airside areas and SRAs?  Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.  Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.	3.4.2	CE-4
2.075*	Has the State ensured training for all staff conducting screening of persons other than passengers, together with items carried, prior to entry into airport SRAs?  Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.  Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.	3.4.2	CE-4
2.077*	Has the State ensured training for all staff responsible for the application of security controls to vehicles, together with items contained within them, being granted access to SRAs?  Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.  Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.	3.4.2	CE-4
2.080*	Has the State ensured training for all staff conducting security measures designed to prevent unauthorized access to aircraft?  Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.  Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.	3.4.2	CE-4
2.085*	Has the State ensured training for all staff conducting security checks and searches of originating aircraft and protection of the aircraft until departure?  Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.	3.4.2	CE-4

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.		
2.090*	<p>Has the State ensured training for all staff conducting measures to ensure that any items left behind by passengers disembarking from transit flights are removed from the aircraft or otherwise dealt with appropriately before departure of the aircraft?</p> <p>Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.</p> <p>Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.</p> <p><i>Note. — If the State does not have any transit operation, this PQ should be marked as not applicable.</i></p>	3.4.2	CE-4
2.095*	<p>Has the State ensured training for all staff conducting measures to prevent unauthorized persons from entering the flight crew compartment during flight?</p> <p>Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.</p> <p>Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.</p> <p><i>Note. — If the State does not have any national aircraft operator, this PQ should be marked as not applicable.</i></p>	3.4.2	CE-4
2.100*	<p>Has the State ensured training for relevant personnel to identify and manage unruly or disruptive passenger situations?</p> <p>Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.</p> <p>Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.</p>	3.4.2	CE-4
2.105*	<p>Has the State ensured training for all staff conducting screening of passengers and their cabin baggage?</p> <p>Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.</p> <p>Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.</p>	3.4.2	CE-4



PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
2.110*	<p>Has the State ensured training for all staff implementing measures to protect screened passengers and their cabin baggage from unauthorized interference, including transit passengers and their cabin baggage, and measures to protect the integrity of the security of the airport of transit?</p> <p>Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.</p> <p>Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.</p>	3.4.2	CE-4
2.115*	<p>Has the State ensured training for all staff conducting screening of hold baggage?</p> <p>Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.</p> <p>Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.</p>	3.4.2	CE-4
2.120*	<p>Has the State ensured training for all staff implementing measures to protect screened hold baggage from unauthorized interference?</p> <p>Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.</p> <p>Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.</p>	3.4.2	CE-4
2.125*	<p>Has the State ensured training for all staff conducting hold baggage reconciliation and authorization of hold baggage for carriage?</p> <p>Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.</p> <p>Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.</p>	3.4.2	CE-4
2.130*	<p>Has the State ensured training for all staff conducting screening of cargo and mail?</p> <p>Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.</p> <p>Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.</p>	3.4.2	CE-4
2.135*	<p>Has the State ensured training for all staff conducting measures to protect cargo and mail subjected to screening or other security controls from unauthorized interference?</p>	3.4.2	CE-4

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.</p> <p>Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.</p>		
2.140*	<p>Has the State ensured training for regulated agent and known consignor staff involved in a supply chain security process for cargo and mail?</p> <p>Review the NCASTP and regulated agent and known consignor training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.</p> <p>Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.</p> <p><i>Note. — If the State has not established a regulated agent and/or a known consignor regime, this PQ should be marked as not applicable.</i></p>	3.4.2	CE-4
2.145*	<p>Has the State ensured training for all staff conducting security controls for catering, stores and supplies intended for carriage on commercial flights, including staff involved in a supply chain security process, if applicable?</p> <p>Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.</p> <p>Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.</p>	3.4.2	CE-4
2.146*	<p>Has the State ensured training for all staff conducting security controls for merchandise and supplies introduced into SRAs, including staff involved in a supply chain security process, if applicable?</p> <p>Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.</p> <p>Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.</p>	3.4.2	CE-4
2.147*	<p>Has the State ensured training for all staff involved in the implementation of security measures for landside areas?</p> <p>Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed, and required competency achieved and maintained.</p>	3.4.2	CE-4

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Interview operational personnel, and observe their performance of relevant security measures, to confirm that the required competency has been achieved.		
2.148*	Has the State ensured initial and recurrent security awareness training for all personnel involved with or responsible for the implementation of various aspects of the NCASP?  Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed.	3.4.6	CE-4
2.149*	Has the State ensured initial and recurrent security awareness training for personnel authorized to have unescorted access to airside areas?  Review the NCASTP and airport-level training programmes and verify, through review of training records, whether actual training was completed.	3.4.6	CE-4
2.155*	Does the State oversee the training process for the persons implementing security controls?  Review State inspection records related to training oversight to cover areas such as:  a) ongoing monitoring of the content of training courses to verify the currency and accuracy of the course content;  b) inspections of training facilities and equipment to verify the quality of the teaching/instructional methods;  c) review of requirements for initial examination/assessment and regular performance assessment of all categories of staff implementing security controls to assess their proficiency and ensure that required competencies are achieved and maintained;  d) review of assessments, including written and practical examinations; and  e) review training records to ensure that initial, on-the-job and recurrent training is completed as required for all persons implementing security controls.	3.4.2	CE-7
2.160*	If any deficiencies or concerns have been identified in training, has the State implemented a process for their resolution?  Review examples of corrective actions taken to resolve identified deficiencies or concerns related to training.	3.4.2	CE-8
2.165	Has the State established a requirement to ensure that the persons carrying out screening operations are certified according to the requirements of the NCASP to ensure that performance standards are consistently and reliably achieved?  Identify the documentation in which this requirement is established.  Verify whether the national certification requirement extends to all persons carrying out screening operations.	3.4.4	CE-2
2.170	Has the State designated an office or entity as responsible for the certification of security screeners?	3.4.4	CE-3

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Identify the documentation in which this designation is established.</p> <p>Identify the office or entity to which this responsibility has been allocated.</p> <p>Verify whether certification is conducted either directly by the appropriate authority or in its name, so that specific conditions of issuance can be established by the appropriate authority.</p>		
2.175*	<p>Has the State established the terms and conditions for the certification of security screeners, including performance criteria?</p> <p>Identify the documentation in which the terms and conditions for the certification of security screeners, including performance criteria, are established.</p> <p>Verify whether such terms and conditions establish the period of validity for certification, the length of time allowed for absences from duty and the conditions of such absences before the certification lapses, as well as the conditions under which the certification can be suspended or revoked by the State.</p> <p>Verify whether performance criteria include requirements for theoretical and practical exams, including a standardized image interpretation test, together with established pass marks, following a period of initial and on-the-job training, as well as procedures to be implemented in case of failure to pass theoretical and/or practical exams.</p> <p>Verify whether the State has established terms and conditions for the recertification of security screeners, which include the frequency of recertification and any additional requirements, such as the results of operational performance evaluations, standardized image interpretation test results, supervisor's reviews, as well as procedures to be implemented in case of failure to successfully complete recertification within a reasonable timescale.</p> <p><i>Note 1. — The standardized image interpretation test should be standardized at the national level, or at the airport level using a test approved by the appropriate authority. The standardized image interpretation test should ensure that screeners are tested in such a manner that they cannot reasonably memorize the test items/images used. Images used in the standardized image interpretation test should be consistent with the types of images that may be observed in the State. Consideration should also be given to a periodic review of these images, together with the pass marks, to ensure currency and relevancy.</i></p> <p><i>Note 2. — The evaluation of operational performance should not be limited to technical competence (e.g. TIP evaluation scores). It should include other elements, such as: general attitude and attentiveness; physical aptitudes and abilities; consistency; motivation; frequency of false alarms; success in covert tests; and, if applicable, communication skills.</i></p>	3.4.4	CE-5
2.180*	<p>Has the State ensured that all persons who carry out screening operations are certified?</p> <p>Review documented evidence of security screener certificates issued by or on behalf of the appropriate authority.</p> <p>Verify whether all persons carrying out the following screening operations are certified:</p>	3.4.4	CE-6

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>a) screening of persons other than passengers and items carried, passengers and cabin/hold baggage;</p> <p>b) screening of cargo and mail;</p> <p>c) screening of airport supplies, COMAT/COMAIL and in-flight supplies, including catering; and</p> <p>d) vehicle searches.</p>		
2.185*	<p>Does the State ensure that security screeners are recertified on a periodic basis?</p> <p>Verify whether security screeners are recertified on a regular basis.</p> <p>Note 1. — <i>If the State takes into consideration TIP performance scores in the recertification of security screeners, the status of this PQ should consider the status of PQs 4.105 and 3.280, with regard to TIP systems.</i></p> <p>Note 2. — <i>If the State takes into consideration the results of recurrent training and testing in the recertification of security screeners, the status of this PQ should consider the status of PQs 2.015 and 2.155, with regard to recurrent training requirements for security screeners related to image recognition training and testing.</i></p>	3.4.4	CE-6
2.190	<p>If the certification of security screeners is conducted by a third party on behalf of the appropriate authority, has the appropriate authority established and implemented requirements for oversight and quality control measures applicable to the certification process?</p> <p>Identify the documentation in which oversight and quality control measures are required.</p> <p>Verify whether an oversight system has been established and is being implemented.</p> <p>Verify whether oversight and quality control measures include the following:</p> <p>a) inspections and audits of entities conducting certification of security screeners;</p> <p>b) evaluation of certification tests; and</p> <p>c) inspection of certification records.</p>	3.4.4	CE-7
2.195	<p>If the certification of security screeners is conducted by a third party on behalf of the appropriate authority, has the appropriate authority developed and implemented a system to resolve deficiencies or issues related to the certification process?</p> <p>Verify whether a system to resolve deficiencies and issues related to the certification of security screeners has been developed and is being implemented.</p> <p>Review examples of corrective actions taken to resolve concerns related to the certification of security screeners.</p>	3.4.4	CE-8

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
2.200	Has the State established a requirement to develop and implement a certification system that ensures that instructors are qualified in the applicable subject matters?  Identify the documentation in which this requirement is established.	3.4.3	CE-2
2.205	Has the State designated an office or entity(ies) as responsible for the development and implementation of the instructor certification system?  Identify the documentation in which this designation is established.  Identify the office or entity(ies) to which this responsibility has been allocated.	3.4.3	CE-3
2.210*	Has the State established the terms and conditions for the certification system for instructors, including performance criteria?  Identify the documentation in which the terms and conditions for the certification system for instructors, including performance criteria, are established.  Verify whether such terms and conditions permit the State to revoke certification as required.  Verify whether performance criteria address competency in instructional techniques and in the aviation security subject matter to be taught.  Verify whether the State has established the period of validity and conditions for maintaining certification, which take into consideration the results of periodic performance evaluations and/or test results.	3.4.3	CE-5
2.215*	Has the State implemented a certification system that ensures that all persons who carry out aviation security instructional activities are qualified in the applicable subject matters?  Review documented evidence of the implementation of instructor certification system.  Note. — <i>The certification system may be implemented through the use of:</i>  <i>a) theoretical and practical exams, together with established pass marks, following a period of initial training, which should also include on-the-job sessions overseen by an experienced instructor; or</i>  <i>b) a formal qualifications recognition process.</i>	3.4.3	CE-6
2.220*	Does the State implement a mechanism to ensure the continued proficiency of instructors?  Verify whether the State has established and implements such mechanism.	3.4.3	CE-6
2.225	If the certification system for instructors is implemented by a third party, has the appropriate authority established and implemented requirements for oversight and quality control measures applicable to the certification system?	3.4.3	CE-7

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Identify the documentation in which oversight and quality control measures are required.</p> <p>Verify whether an oversight system has been established and is being implemented.</p> <p>Verify whether oversight and quality control measures include the following:</p> <p>a) inspections and audits of entities implementing the certification system for instructors;</p> <p>b) evaluation of certification tests; and</p> <p>c) inspection of certification records.</p>		
2.230	<p>If the certification system for instructors is conducted by a third party, has the appropriate authority developed and implemented a system to resolve deficiencies or issues related to the certification system?</p> <p>Verify whether a system to resolve deficiencies and issues related to the certification system for instructors has been developed and is being implemented.</p> <p>Review examples of corrective actions taken to resolve concerns related to the certification system for instructors.</p>	3.4.3	CE-8
3.001	<p>Has the State established a requirement for the appropriate authority to develop, implement and maintain an NQCP to determine compliance with and validate the effectiveness of its NCASP?</p> <p>Identify the documentation in which this requirement is established.</p>	3.5.1	CE-2
3.005	<p>Has the State designated an office or entity as responsible for the development and maintenance of an NQCP?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the office or entity to which this responsibility has been allocated.</p>	3.5.1	CE-3
3.010	<p>Has the State designated an entity as responsible for the conduct of security audits, inspections and tests to verify compliance with the NCASP and to provide for the rapid and effective rectification of any deficiencies?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the entity to which this responsibility has been allocated.</p>	3.5.1	CE-3
3.015*	<p>Has the State designated an independent office or entity as responsible for the management, setting of priorities and organization of the NQCP?</p> <p>Identify the documentation in which this designation is established.</p>	3.5.1	CE-3

PQ No.	<b>PROTOCOL QUESTION</b> <b>GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE</b>	ICAO REF	CE
	<p>Identify the office or entity to which this responsibility has been allocated.</p> <p>Verify whether the management, setting of priorities and organization of the NQCP are undertaken independently from the entities and persons responsible for the implementation of the measures taken under the NCASP.</p> <p>Verify whether quality control personnel are independent from the entities being monitored and free of any commercial or operational influences.</p>		
3.020*	<p>Does the State have an approved written NQCP?</p> <p>Verify documented evidence of the approval of the NQCP.</p> <p>When was the NQCP established/last revised?</p>	3.5.1	CE-2
3.025*	<p>Does the NQCP provide a framework for the effective implementation of national quality control activities?</p> <p>Review and verify whether the NQCP accurately addresses or references the following items, providing sufficient provisions for their effective implementation:</p> <ul style="list-style-type: none"> <li>a) programme objectives and scope in terms of applicability of the programme to all entities involved in the performance of security measures;</li> <li>b) authority to develop, maintain and oversee the NQCP;</li> <li>c) programme operational management, including scheduling and implementation of quality control activities;</li> <li>d) responsibilities of the appropriate authority and other entities involved in quality control;</li> <li>e) financial, human and material resources;</li> <li>f) selection criteria and training (initial, on-the-job and recurrent training) of personnel responsible for quality control activities;</li> <li>g) authority of personnel assigned quality control duties to compel compliance and require corrective actions;</li> <li>h) code of conduct for personnel responsible for quality control activities;</li> <li>i) confidentiality of quality control activity reports and results;</li> <li>j) classification of compliance;</li> </ul>	3.5.1	CE-2



PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>k) methodology of planning, scheduling and determining the scope of security audits, inspections and tests, including frequency of such activities;</p> <p>l) methodology of conducting investigations, following an actual or potential breach of security, and where there is cause to reassess security needs;</p> <p>m) quality control activity report submission and approval process;</p> <p>n) retention and statistical analysis of quality control activity results, including consolidation of findings and recommendations, tools for the collection and analysis of historical compliance related information, trends and identification of systemic concerns;</p> <p>o) annual summary and (root cause) analysis report;</p> <p>p) methodology for taking enforcement actions, including: corrective action plans, administrative actions, civil penalty actions and other enforcement actions;</p> <p>q) methodology for follow-up and evaluation of corrective actions to ensure that deficiencies identified through quality control mechanisms are rectified;</p> <p>r) requirements related to the establishment and implementation of internal quality control measures by entities responsible for having a security programme or for implementing security measures; and</p> <p>s) monitoring of the results of internal quality control measures conducted by entities responsible for having a security programme or for implementing security measures.</p>		
3.030*	<p>Has the State developed appropriate tools and procedures for the conduct of quality control activities and the resolution of identified deficiencies?</p> <p>Review quality control materials to ensure that sufficient details are available in regard to procedures, forms, audit/inspection checklists and test protocols for the conduct of security audits, inspections and tests, including guidance on the:</p> <p>a) preparation, conduct and reporting of quality control activities;</p> <p>b) follow-up activities;</p> <p>c) timelines for resolution of identified deficiencies, including immediate resolution; and</p> <p>d) enforcement actions.</p>	3.5.1	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Verify whether the enforcement procedures provide for different levels of enforcement for varying circumstances and for the nature and level of non-compliance.</p> <p>Verify whether the various enforcement measures include administrative measures, such as the suspension of an agreement or authorization to access SRAs, judicial measures and fines.</p> <p>Verify whether the enforcement procedures contain an incremental and proportionate approach to rectifying deficiencies and applying enforcement, such as:</p> <ul style="list-style-type: none"> <li>a) verbal advice concerning minor deficiencies, with record keeping as official evidence of assistance given;</li> <li>b) a formal written warning requiring a corrective action, specifying the desired outcome of the action to be taken, if advice and persuasion prove insufficient or in case of a serious deficiency; and</li> <li>c) an enforcement notice when serious deficiencies remain following formal warnings, or in case of major deficiencies.</li> </ul> <p><i>Note. — Procedures forms, checklists and protocols may be compiled into an inspectors' handbook.</i></p>		
3.045	<p>Has the State established a requirement to ensure that the implementation of security measures is regularly subjected to verification of compliance with the NCASP, in accordance with a risk assessment?</p> <p>Identify the documentation in which this requirement is established.</p> <p>Verify whether this requirement provides for a risk assessment to be conducted to determine the priorities and frequency of national quality control activities.</p>	3.5.1	CE-2
3.050	<p>Has the State designated an office or entity as responsible for the conduct of a risk assessment to determine the priorities and frequency of national quality control activities?</p> <p>Identify the office or entity to which this responsibility has been allocated.</p>	3.5.1	CE-3
3.055*	<p>Is an appropriate risk assessment methodology available for determining the priorities and frequency of national quality control activities?</p> <p>Review the risk assessment methodology for determining the priorities and frequency of national quality control activities.</p> <p>Verify whether such methodology provides sufficient guidance for establishing the priorities and frequency of national quality control activities.</p> <p>Verify whether the factors taken into account in the risk assessment methodology include, but are not necessarily limited to:</p>	3.5.1	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<ul style="list-style-type: none"> <li>a) threat assessment and risk management;</li> <li>b) extent of airport operations;</li> <li>c) frequency and volume of aircraft operations;</li> <li>d) volume of cargo and mail or catering operations;</li> <li>e) likelihood of an act of unlawful interference or presence of high-risk aircraft operators or flights;</li> <li>f) outcome of previous monitoring activities carried out by the appropriate authority, as well as activities by regional or international organizations such as ICAO;</li> <li>g) history of compliance with national requirements by the airport or aircraft operator, or any other regulated entity;</li> <li>h) findings of internal quality control measures, whenever they are required;</li> <li>i) new and emerging needs in the field of aviation security;</li> <li>j) reports of any security occurrences from the previous year;</li> <li>k) information regarding significant modifications during the previous year in terms of airport layout or operation, aircraft operations, security equipment, etc.; and</li> <li>l) a request from an airport or aircraft operator, or any other entity involved in the implementation of security measures.</li> </ul>		
3.060*	<p>Has the State ensured the regular conduct of security audits, inspections and tests to verify compliance with the NCASP?</p> <p>Verify whether the State has established and implements a detailed schedule of security audits, inspections and tests.</p> <p>Review records of quality control activities for the previous 24 months, using annual schedules of such activities, as available.</p> <p>Analyse a representative sample of reports of national monitoring activities (security audits, inspections and tests) carried out during the previous 24 months, including all reports of national monitoring activities for the airport(s) selected for observations.</p> <p>To assess the adequacy and effectiveness of compliance monitoring activities, verify whether:</p> <ul style="list-style-type: none"> <li>a) the implementation of all security measures were monitored at least once;</li> <li>b) all compliance monitoring types (security audits, inspections and tests) were deployed;</li> </ul>	3.5.1	CE-7

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>c) a mechanism is utilized to ensure that all entities with responsibilities under the NCASP are subjected to oversight on a regular basis, through the conduct of security audits, inspections and covert tests;</p> <p>d) the methodology used for security audits, inspections and tests covered all elements of such types of activities and are applied in a standardized approach;</p> <p>e) a systematic gathering of information was employed using one or more of the following means: observations, interviews, review of documents; and</p> <p>f) the compliance monitoring activities undertaken included announced and unannounced activities.</p>		
3.065*	<p>Has the State ensured the regular monitoring of all regulated entities operating in the State?</p> <p>Verify whether quality control activities provide for the monitoring of all relevant entities with aviation security responsibilities, including in any overseas territories and dependencies, such as:</p> <p>a) airport operators;</p> <p>b) known suppliers of airport supplies, if any;</p> <p>c) national and foreign aircraft operators providing service from the State, and associated ground handling companies;</p> <p>d) cargo handlers, regulated agents and known consignors, if any;</p> <p>e) postal/mail entities;</p> <p>f) catering and cleaning companies, regulated suppliers and known suppliers of in-flight supplies, if any; and</p> <p>g) ATSPs.</p>	3.5.1	CE-7
3.070*	<p>Are the priorities and frequency for the schedule of national quality control activities determined on the basis of a risk assessment?</p> <p>Verify whether the State has determined frequencies for the different types of national quality control activities and for the different entities with aviation security responsibilities on the basis of a risk assessment.</p>	3.5.1	CE-7
3.075*	<p>Has the State prescribed appropriate items to be used as covert test pieces?</p> <p>Review documentation and actual items to verify whether the State has prescribed items available for covert testing of security measures.</p> <p>Note. — <i>Firearms may be used as test objects as long as they are deactivated firearms. Ammunition should not be used simultaneously but separately. Imitation firearms may also be used if they accurately replicate a threat item and the means used to detect it. IED test objects should be designed with inert material simulating both the main charge and the initiator.</i></p>	3.5.1	CE-5

PQ No.	<b>PROTOCOL QUESTION</b> <b>GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE</b>	ICAO REF	CE
3.080*	<p>Does the State conduct covert testing of different types of security measures to assess their effectiveness?</p> <p>Review documentation related to covert testing of security measures.</p> <p>Verify whether covert testing covers, among other elements, the following:</p> <ul style="list-style-type: none"> <li>a) access control to SRAs (e.g. detection of attempted access by unauthorized persons);</li> <li>b) aircraft protection and aircraft security check/search (e.g. detection of prohibited or suspicious items on board an aircraft, and detection of forcible intrusion);</li> <li>c) screening of passengers and cabin/hold baggage (e.g. verification of the capability of the security staff to detect and deny the introduction of prohibited items);</li> <li>d) screening of persons other than passengers and items carried and/or screening of vehicles used by persons other than passengers accessing SRAs (e.g. detection of unauthorized items);</li> <li>e) screening of cargo and mail (e.g. assurance that consignments are effectively screened using appropriate methods);</li> <li>f) screening of in-flight and airport supplies (e.g. detection of prohibited items in catering carts and merchandise);</li> <li>g) protection of screened passengers, baggage, cargo and mail from unauthorized access (e.g. detection and/or prevention of access by unauthorized personnel); and</li> <li>h) protection of facilities and airport perimeter (e.g. detection of unattended items).</li> </ul> <p>Verify whether the quality and quantity of security tests are sufficient to provide robust data that can provide for trend analysis.</p> <p>Verify whether specific written authorizations are provided to persons for the conduct of covert tests, including:</p> <ul style="list-style-type: none"> <li>a) a description of the test pieces and any accompanying cases and tools;</li> <li>b) personal information and qualifications of the person carrying the test pieces, to be matched with the person's photo identification; and</li> <li>c) duration of the mandate during which the person is authorized to carry test pieces for the sole purpose of conducting covert testing.</li> </ul> <p>Note 1. — <i>If this PQ is marked as not satisfactory, confirm the status of PQ 3.030, 3.060 and 3.065.</i></p>	3.5.1	CE-7

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Note 2. — <i>The availability of authorization procedures should be verified under PQ 3.030.</i>		
3.085*	<p>Has the State implemented appropriate resolution procedures in the event of failure of covert tests?</p> <p>Verify whether the State has implemented resolution procedures, including, but not necessarily limited to:</p> <p>a) procedures for the retrieval of test pieces;</p> <p>b) formal notification of covert test results;</p> <p>c) corrective actions required to be implemented and areas identified, such as training of the security personnel; human factors; performance of security equipment; operational procedures in place; and policies and requirements in place; and</p> <p>d) follow-up actions taken to ensure the effective implementation of corrective actions.</p> <p>Note. — <i>The availability of resolution procedures should be verified under PQ 3.030.</i></p>	3.5.1	CE-8
3.095*	<p>Does the State conduct quality control activities to monitor measures to prevent unauthorized access to airside areas?</p> <p>Review national-level quality control protocols and records of activities conducted relating to Standard 4.2.1.</p> <p>Note. — <i>Refer to PQ 4.140 to address the elements that should be monitored.</i></p>	3.5.1	CE-7
3.100*	<p>Does the State conduct quality control activities to monitor measures to establish and maintain the integrity of SRAs?</p> <p>Review national-level quality control protocols and records of activities conducted relating to Standard 4.2.2.</p> <p>Note. — <i>Refer to PQ 4.170 to address the elements that should be monitored.</i></p>	3.5.1	CE-7
3.105*	<p>Does the State conduct quality control activities to monitor the implementation of airport personnel and vehicle identification systems?</p> <p>Review national-level quality control protocols and records of activities conducted relating to Standard 4.2.3.</p> <p>Note. — <i>Refer to PQ 4.205 to address the elements that should be monitored.</i></p>	3.5.1	CE-7
3.115*	<p>Does the State conduct quality control activities to monitor the performance of background checks for persons implementing security controls, persons with unescorted access to SRAs, and persons with access to sensitive aviation security information?</p> <p>Review national-level quality control protocols and records of activities conducted relating to Standard 3.5.2.</p>	3.5.1	CE-7
3.120*	<p>Does the State conduct quality control activities to monitor the performance of security measures to ensure that the movement of persons and vehicles to and from aircraft is supervised in SRAs in order to prevent unauthorized access to aircraft?</p> <p>Review national-level quality control protocols and records of activities conducted relating to Standard 4.2.4.</p>	3.5.1	CE-7

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
3.125*	Does the State conduct quality control activities to monitor the performance of screening of persons other than passengers, together with items carried, prior to entry into airport SRAs?  Review national-level quality control protocols and records of activities conducted relating to Standards 4.2.5 and 4.2.6.	3.5.1	CE-7
3.130*	Does the State conduct quality control activities to monitor the performance of screening or other appropriate security controls for vehicles, together with items contained within them, being granted access to SRAs?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.2.7.	3.5.1	CE-7
3.135*	Does the State conduct quality control activities to monitor the performance of aircraft security checks and searches of originating aircraft?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.3.1.	3.5.1	CE-7
3.140*	Does the State conduct quality control activities to monitor the performance of measures to ensure that any items left behind by passengers disembarking from transit flights are removed from the aircraft or otherwise dealt with appropriately before departure of the aircraft?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.3.2.  <i>Note. — If the State does not have any transit operation, this PQ should be marked as not applicable.</i>	3.5.1	CE-7
3.145*	Does the State conduct quality control activities to ensure the implementation of measures for its aircraft operators to prevent unauthorized persons from entering the flight crew compartment during flight?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.3.3.  <i>Note. — If the State does not have any national aircraft operator, this PQ should be marked as not applicable.</i>	3.5.1	CE-7
3.150*	Does the State conduct quality control activities to monitor the performance of measures to ensure that an aircraft subject to a security check or search is protected from unauthorized interference, from the time the aircraft check or search has commenced, until the aircraft departs?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.3.4.	3.5.1	CE-7
3.153*	Does the State conduct quality control activities to monitor the performance of measures on the ground or operational procedures to mitigate possible attacks against aircraft using MANPADS and other weapons representing a similar threat to aircraft at or near an airport?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.3.6.  <i>Note. — If no such measures or operational procedures are required to be implemented, in accordance with the risk assessment carried out by the relevant national or local authorities, this PQ should be marked as not applicable.</i>	3.5.1	CE-7

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
3.155*	Does the State conduct quality control activities to monitor the performance of the screening of originating passengers and their cabin baggage?  Review national-level quality control protocols and records of activities conducted relating to Standards 4.4.1 and 4.4.2.	3.5.1	CE-7
3.160*	If the State conducts screening for any transfer passengers and their cabin baggage, does the State conduct quality control activities to monitor the performance of the screening of transfer passengers and their cabin baggage?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.4.3.  <i>Note. — If the State relies on screening performed at any points of origin in a foreign State, refer to PQ 6.065.</i>	3.5.1	CE-7
3.165*	Does the State conduct quality control activities to monitor the performance of measures for the protection of screened passengers and their cabin baggage from unauthorized interference, from the point of screening, until they board their aircraft?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.4.4.	3.5.1	CE-7
3.170*	Does the State conduct quality control activities to monitor the performance of measures for transit operations to protect transit passengers and their cabin baggage from unauthorized interference, and to protect the integrity of the security of the airport of transit?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.4.5.  <i>Note. — If the State does not have any transit operation, this PQ should be marked as not applicable.</i>	3.5.1	CE-7
3.175*	Does the State conduct quality control activities to monitor the performance of the screening of originating hold baggage?  Review national-level quality control protocols and records of activities conducted relating to Standards 4.5.1 and 4.5.2.	3.5.1	CE-7
3.180*	Does the State conduct quality control activities to monitor the performance of measures for the protection of hold baggage from unauthorized interference, from the point it is screened or accepted into the care of the aircraft operator, whichever is earlier, until departure of the aircraft on which it is to be carried?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.5.3.	3.5.1	CE-7
3.185*	Does the State conduct quality control activities to monitor the performance of procedures for the reconciliation of hold baggage?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.5.4.	3.5.1	CE-7
3.190*	Does the State conduct quality control activities to monitor the performance of procedures for the authorization of hold baggage to be carried on an aircraft?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.5.6.	3.5.1	CE-7
3.195*	If the State conducts screening for any transfer hold baggage, does the State conduct quality control activities to monitor the performance of the screening of transfer hold baggage?	3.5.1	CE-7



PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Review national-level quality control protocols and records of activities conducted relating to Standard 4.5.5.  <i>Note. — If the State relies on screening performed at any points of origin in a foreign State, refer to PQ 6.170.</i>		
3.200*	Does the State conduct quality control activities to monitor the performance of security controls for cargo and mail, prior to their being loaded onto an aircraft, including screening where practicable, using an appropriate method or methods, taking into account the nature of the consignment?  Review national-level quality control protocols and records of activities conducted relating to Standards 4.6.1 and 4.6.10.	3.5.1	CE-7
3.210*	Does the State conduct quality control activities to monitor the effectiveness of the supply chain security process?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.6.2.  Verify whether the appropriate authority has established and implements a monitoring programme to ensure that security controls are implemented effectively throughout the secure supply chain, which includes facility security, personnel security, security controls applied to cargo and mail, protection of secure cargo and mail from unauthorized interference, and chain of custody.	3.5.1	CE-7
3.215*	Does the State conduct quality control activities to monitor the performance of measures for the protection of cargo and mail from unauthorized interference, from the point screening or other security controls are applied, until departure of the aircraft?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.6.3.	3.5.1	CE-7
3.220*	Does the State conduct quality control activities to monitor the performance of enhanced security measures for high-risk cargo and mail?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.6.4.	3.5.1	CE-7
3.225*	Does the State conduct quality control activities to monitor the performance of measures to ensure that aircraft operators do not accept cargo or mail for carriage on an aircraft, unless the application of screening or other security controls has been confirmed and accounted for by a regulated agent, a known consignor, or an entity that is approved by an appropriate authority, or such cargo or mail has been subjected to screening?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.6.5.	3.5.1	CE-7
3.230*	Does the State conduct quality control activities to monitor the performance of measures to ensure that catering, stores and supplies intended for carriage on commercial flights are subjected to appropriate security controls, which may include a supply chain security process or screening, and thereafter protected until loaded onto the aircraft?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.6.6.  If the State has established a supply chain security process, verify whether the appropriate authority has established and implements a monitoring programme to ensure that security controls are implemented effectively by regulated suppliers throughout the secure supply	3.5.1	CE-7

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	chain, which includes facility security, personnel security, security controls applied to catering, stores and supplies, protection of secure catering, stores and supplies from unauthorized interference, and chain of custody.		
3.235*	Does the State conduct quality control activities to monitor the performance of measures to ensure that merchandise and supplies introduced into SRAs are subjected to appropriate security controls, which may include a supply chain security process or screening?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.6.7.	3.5.1	CE-7
3.240*	Does the State conduct quality control activities to monitor the performance of measures to ensure that cargo and mail that have been confirmed and accounted for have then been issued with a security status, either in an electronic format or in writing, to accompany the cargo and mail throughout the secure supply chain?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.6.8.	3.5.1	CE-7
3.245*	Does the State conduct quality control activities to monitor the performance of measures to ensure that transfer cargo and mail have been subjected to appropriate security controls prior to being loaded on an aircraft departing from the State's territory?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.6.9.  <i>Note. — If the State does not have transfer cargo and mail, this PQ should be marked as not applicable.</i>	3.5.1	CE-7
3.250*	Does the State conduct quality control activities to ensure the implementation of procedures to ensure safety on board aircraft when passengers who are obliged to travel because they have been the subject of judicial or administrative proceedings are to be carried?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.7.2.	3.5.1	CE-7
3.255*	Does the State conduct quality control activities to ensure the implementation of procedures for the notification to the aircraft operator and the PIC prior to the carriage of passengers who have been the subject of judicial or administrative proceedings?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.7.3.	3.5.1	CE-7
3.260*	Does the State conduct quality control activities to ensure the implementation of procedures for the carriage of weapons on board aircraft by LEOs and other authorized persons acting in the performance of their duties?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.7.4.	3.5.1	CE-7
3.265*	Does the State conduct quality control activities to ensure the implementation of procedures for the carriage of weapons on board aircraft in a place inaccessible to any person during flight time?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.7.6.	3.5.1	CE-7
3.270*	Does the State conduct quality control activities to monitor the performance of procedures related to the selection, training and deployment of IFSOs?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.7.7.	3.5.1	CE-7

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Note. — <i>If the State has not established a national IFSO programme, this PQ should be marked as not applicable.</i>		
3.275*	Does the State conduct quality control activities to ensure the implementation of procedures for the notification to the PIC as to the number of armed persons and their seat location?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.7.8.	3.5.1	CE-7
3.277*	Does the State conduct quality control activities to ensure the implementation of security measures for landside areas to mitigate the risk of and to prevent possible acts of unlawful interference?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.8.2.	3.5.1	CE-7
3.278*	Does the State conduct quality control activities to ensure that operators or entities have identified their critical information and communications technology systems and data used for civil aviation purposes and, in accordance with a risk assessment, have developed and implemented, as appropriate, measures to protect them from unlawful interference?  Review national-level quality control protocols and records of activities conducted relating to Standard 4.9.1.  Note. — <i>Quality control activities may be in the form of audits or inspections.</i>	3.5.1	CE-7
3.280*	Does the State conduct quality control activities to ensure that maintenance and performance testing of security screening equipment are carried out?  Verify whether the State oversees, through inspections and review of test and maintenance records, performance monitoring (routine testing) and maintenance arrangements of security screening equipment used in the screening of:  a) persons other than passengers, together with items carried, prior to entry into airport SRAs serving international civil aviation operations;  b) originating passengers and their cabin baggage;  c) transfer/transit passengers and their cabin baggage, if applicable;  d) originating hold baggage;  e) transfer hold baggage, if applicable;  f) cargo and mail, if applicable; and  g) airport and in-flight supplies, if applicable.	3.5.1	CE-7

PQ No.	<b>PROTOCOL QUESTION</b> <b>GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE</b>	ICAO REF	CE
	<p>If utilizing a multi-level hold baggage screening system, verify whether the State oversees, through inspections and review of records, that rejection rates at the different levels are monitored.</p> <p>If utilizing a TIP system on security screening equipment, verify whether the State monitors the implementation of the TIP system to ensure that it has up-to-date image library of adequate size and valid composition for the type of security screening equipment being used, and is configured and operated in accordance with national requirements.</p> <p><i>Note. — While the specifications and performance capabilities of the screening equipment utilized in a multi-level hold baggage screening system will determine the rejection rates for the different screening levels of the system, the State should verify whether the rejection rates are monitored for each level, i.e. significant or unexpected fluctuations of the rejection rate could indicate a probable anomaly with detection capabilities, and prompt the appropriate authority and/or airport authority to investigate and take remedial actions, if necessary.</i></p>		
3.290*	<p>Has the State ensured the rapid and effective rectification of deficiencies identified through its quality control activities?</p> <p>Review national-level quality control records to verify whether the State has implemented procedures to ensure rapid and effective rectification of deficiencies identified through its quality control activities, including:</p> <ul style="list-style-type: none"> <li>a) tracking and following up on the effective implementation of corrective actions to ensure the resolution of identified deficiencies; and</li> <li>b) implementing enforcement procedures, when appropriate.</li> </ul> <p>Analyse a representative sample of reports of national monitoring activities (security audits, inspections and tests) carried out during the previous 24 months, including all reports of national monitoring activities for the airport(s) selected for observations, as well as related documents (letters, corrective action plans, follow-up measures, etc.).</p> <p>Verify if the appropriate authority systematically requires and receives corrective action plans within the established timeframe, together with a timeframe for the implementation of remedial actions, and actively follows up on the rectification process, through the examination of corrective action plans and follow-up inspection reports.</p> <p>Confirm that rapid rectification takes place or, where the rectification cannot take place promptly because of the seriousness of the deficiency and the timeframe for rectification, the implementation of compensatory measures.</p> <p>Confirm actual rectification during the visit of the airport(s) selected for observations in order to establish:</p> <ul style="list-style-type: none"> <li>a) if deficiency rectification actually took place; and</li> <li>b) which areas are still deficient.</li> </ul>	3.5.1	CE-8

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Request the appropriate authority to provide evidence of enforcement measures applied during the above period for analysis.		
3.295*	<p>Does the State ensure that the results of the NQCP are consistently recorded in a record management system?</p> <p>Verify whether the State maintains records related to quality control measures performed, deficiencies identified, directives for corrective actions required, corrective action plans submitted up to and including follow-up actions taken and enforcement measures implemented.</p> <p>Verify whether the reports of compliance monitoring activities include all required elements, such as:</p> <ul style="list-style-type: none"> <li>• type of activity;</li> <li>• airport, operator or entity monitored;</li> <li>• date and time of the activity;</li> <li>• name of the national aviation security inspectors conducting the activity;</li> <li>• scope of the activity;</li> <li>• findings with the corresponding provisions of the NCASP;</li> <li>• classification of compliance;</li> <li>• recommendations for remedial actions, where appropriate;</li> <li>• time frame for correction, where appropriate.</li> </ul>	3.5.1	CE-8
3.300*	<p>Does the State's record management system allow for progress to be monitored to ensure that corrective measures to resolve security concerns identified through quality control mechanisms are implemented and sustained?</p> <p>Review examples of quality control activities performed, corrective actions required and follow-up actions taken to evaluate the effectiveness of the record management system.</p>	3.5.1	CE-8
3.302*	<p>Does the State ensure that the results of the NQCP are analysed to contribute to the effective development and implementation of the NCASP, including identifying the causes and patterns of non-compliance?</p> <p>Verify whether quality control activity results are analysed and causes and patterns resulting from the analysis are provided to those with a need to know for corrective actions and possible adjustments to the programmes/regulations.</p> <p>Verify whether an annual summary report is issued by the appropriate authority that summarizes:</p> <ol style="list-style-type: none"> <li>a) the number and type of quality control activities undertaken in the reporting year, including regulated entities subjected to quality control activities, the scope of such activities and total man-days spent in the field;</li> <li>b) overall status of any findings identified, including findings related to the NCASP;</li> <li>c) current status of corrective actions;</li> </ol>	3.5.1	CE-8

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>d) enforcement measures taken, including analysis of existing sanctions/penalties as a viable deterrent for violations of applicable rules; and</p> <p>e) the status of the financial and human resources related to the implementation of the NQCP.</p>		
3.305*	<p>Has the State established a confidential reporting system for analysing security information provided by sources such as passengers, crew and ground personnel to supplement the NQCP?</p> <p>Review the documentation and interview appropriate personnel to verify the existence and effectiveness of such system.</p> <p>Verify whether the system provides for the gathering of information on aviation security from sources outside the quality control system, such as reports on a voluntary basis from passengers, crew members and staff employed by airport and aircraft operators.</p> <p>Review examples of feedback information provided to the State and actions taken.</p>	3.5.1	CE-8
3.310	<p>Has the State established a requirement to ensure that each entity responsible for the implementation of relevant elements of the NCASP periodically verifies that the implementation of security measures outsourced to external service providers is in compliance with the entity's security programme?</p> <p>Identify the documentation in which this requirement is established.</p>	3.5.3	CE-2
3.315	<p>Has the State ensured the establishment of quality control programmes by entities that have outsourced the implementation of security measures to external service providers?</p> <p>Verify whether quality control programmes have been established by entities that have outsourced the implementation of security measures to external service providers.</p> <p><i>Note. — If no security measures have been outsourced to external service providers by entities responsible for the implementation of relevant elements of the NCASP, this PQ should be marked as not applicable.</i></p>	3.5.3	CE-6
3.320*	<p>Has the State ensured that entities responsible for the implementation of relevant elements of the NCASP periodically verify that the implementation of security measures outsourced to external service providers is in compliance with entities security programmes?</p> <p>Verify whether quality control measures are implemented by entities that have outsourced the implementation of security measures to external service providers, to ensure compliance with their security programmes.</p> <p><i>Note. — If no security measures have been outsourced to external service providers by entities responsible for the implementation of relevant elements of the NCASP, this PQ should be marked as not applicable.</i></p>	3.5.3	CE-7
3.325*	<p>If any deficiencies are identified in the security measures outsourced to external service providers by entities responsible for the implementation of relevant elements of the NCASP, has the State ensured that a process has been implemented by these entities for the effective and timely resolution of such deficiencies?</p>	3.5.3	CE-8

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Verify whether a formal process is implemented by entities for the resolution of any deficiencies identified in the implementation of security measures outsourced to external service providers.</p> <p>Review examples of corrective actions taken to resolve deficiencies related to security measures outsourced to external service providers.</p> <p><i>Note. — If no security measures have been outsourced to external service providers by entities responsible for the implementation of relevant elements of the NCASP, this PQ should be marked as not applicable.</i></p>		
4.001	<p>Has the State established a requirement for each airport serving civil aviation to establish, implement and maintain a written ASP appropriate to meet the requirements of the NCASP?</p> <p>Identify the documentation in which this requirement is established.</p>	3.2.1	CE-2
4.005	<p>Has the State established a requirement to conduct a periodic review of ASPs, including for the amendment and approval/acceptance/endorsement of ASPs or equivalent arrangement?</p> <p>Identify the documentation in which this requirement is established.</p> <p>Review elements of the requirement for the amendment and approval/acceptance/endorsement of ASPs or equivalent arrangement, such as:</p> <ul style="list-style-type: none"> <li>a) coordination with all relevant stakeholders concerned;</li> <li>b) review and endorsement by the ASC; and</li> <li>c) formal approval/acceptance/endorsement by the appropriate authority of any amended ASPs; or</li> <li>d) explanation and effectiveness of the equivalent arrangement.</li> </ul> <p>Verify whether the requirement provides for:</p> <ul style="list-style-type: none"> <li>a) criteria for conducting a review of ASPs; and</li> <li>b) the distribution of copies of relevant portions of the ASP to all aircraft operators operating from the airport and other relevant airport-level stakeholders.</li> </ul>	3.2.1	CE-2
4.010	<p>Has the State implemented a process to ensure that the ASPs for its airports serving civil aviation are appropriate to meet the requirements of the NCASP on a continuing basis?</p> <p>Review documented evidence of the implementation of the process.</p>	3.2.1	CE-6

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
4.015*	<p>Does the ASP address all relevant national aviation security requirements in sufficient detail to ensure the correct application of all security measures at the airport level?</p> <p>Verify, throughout the course of the audit, whether the ASP accurately reflects or references the following items, providing sufficient guidance or procedures, as appropriate, for their effective implementation:</p> <ul style="list-style-type: none"> <li>a) organization of aviation security (Standards 3.2.2, 3.2.3);</li> <li>b) description of airport facilities and equipment (Standards 3.1.8, 3.2.4);</li> <li>c) airside perimeter protection and access control (Standards 3.5.2, 4.2.1, 4.2.3);</li> <li>d) SRA protection (Standards 4.2.2, 4.2.5, 4.2.6, 4.2.7);</li> <li>e) screening of passengers, crew and cabin baggage (Standards 4.4.1, 4.4.2, 4.4.3, 4.4.4, 4.4.5, 4.7.2, 4.7.3, 4.7.4, 4.7.6, 4.7.8);</li> <li>f) screening of hold baggage (Standards 4.1.3, 4.5.1, 4.5.2, 4.5.5);</li> <li>g) person and hold baggage reconciliation and authorization (Standards 4.5.4, 4.5.6);</li> <li>h) protection and supervision of baggage make-up areas and screened hold baggage (Standard 4.5.3);</li> <li>i) security of airport supplies (Standard 4.6.7);</li> <li>j) security of cargo and mail (Standards 4.6.1, 4.6.2, 4.6.3, 4.6.4, 4.6.5, 4.6.8, 4.6.9, 4.6.10);</li> <li>k) security of in-flight supplies (Standard 4.6.6);</li> <li>l) security of aircraft (Standards 4.2.4, 4.3.4);</li> <li>m) landside security (Standards 4.8.1, 4.8.2, 4.8.3);</li> <li>n) cybersecurity (Standard 4.9.1);</li> <li>o) airport contingency plan (Standards 5.1.4, 5.1.6);</li> <li>p) training (Standards 3.4.6, 3.4.2); and</li> <li>q) quality control supervision and performance monitoring (Standard 3.5.1, 3.5.3).</li> </ul>	3.2.1	CE-6



PQ No.	<b>PROTOCOL QUESTION</b> <b>GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE</b>	ICAO REF	CE
4.020	<p>Does the State ensure that all aircraft operators providing service from the airport and other relevant airport-level stakeholders have copies of relevant portions of the ASP?</p> <p>Review distribution lists or alternative means of dissemination of relevant information.</p>	3.2.1	CE-7
4.025*	<p>Has the State designated an airport security authority as responsible for coordinating the implementation of security controls at each airport serving civil aviation in the State?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the authority to which this responsibility has been allocated.</p>	3.2.2	CE-3
4.030*	<p>Has the State ensured that the airport security authority has designated an individual or office as responsible for coordinating the implementation of security controls?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the individual or office to which this responsibility has been allocated.</p> <p>Verify whether the duties and responsibilities of the individual or office are clearly defined in writing and include, at a minimum:</p> <ul style="list-style-type: none"> <li>a) the development and maintenance of the ASP to ensure compliance with the NCASP;</li> <li>b) liaison with airport-level aviation security stakeholders, including aircraft operators providing service from the airport; and</li> <li>c) the supervision and coordination of the application of all approved security controls, measures and procedures at the airport level.</li> </ul>	3.2.2	CE-3
4.035	<p>Has the State ensured that the functions and responsibilities of all relevant airport-level aviation security stakeholders having specific responsibilities under the ASP have been clearly defined?</p> <p>Verify whether the ASP describes the functions and responsibilities of the various airport-level aviation security stakeholders having specific responsibilities under the ASP.</p> <p>Review the organizational structure and/or additional explanations or justifications of various airport-level entities concerned with or responsible for the implementation of the various aspects of the ASP.</p> <p>Confirm that there is no conflict of responsibilities.</p>	3.2.2	CE-3
4.050	<p>Has the State established a requirement for an ASC at each airport serving civil aviation to assist the coordinating authority in its role of coordinating the implementation of security controls and procedures as specified in the ASP?</p> <p>Identify the documentation in which this requirement is established.</p>	3.2.3	CE-2

<b>PQ No.</b>	<b>PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE</b>	<b>ICAO REF</b>	<b>CE</b>
	Review the requirement to verify whether it provides the terms of reference of the ASC and the composition of its membership.  Identify the ASC Chairperson and the frequency of meetings.		
4.055	Has the State ensured that the ASP provides for the establishment and functioning of an ASC?  Verify whether the ASP provides the terms of reference of the ASC, including the composition of its membership, in compliance with national requirements.  Verify whether the ASC membership provides for non-governmental aviation security stakeholders to be included or consulted, including foreign aircraft operators providing service from the airport.	3.2.3	CE-3
4.060*	Has the State ensured the establishment and functioning of an ASC at each airport serving civil aviation?  Verify whether that the State has ensured that an ASC has been established at each airport serving civil aviation and functions in accordance with its terms of reference by reviewing minutes of previous ASC meetings, paying particular attention to the frequency of meetings and the date of the most recent meeting.  Identify issues relevant to aviation security discussed at the last ASC meeting.  Verify the mechanism in place for the dissemination of the minutes of ASC meetings to all its members.  Verify whether:  a) the ASCs are required to report to the NCASC or to the appropriate authority; or  b) the appropriate authority is represented on the ASCs; or  c) there are other means for the State to oversee the effective functioning of the ASCs, such as through quality control activities.	3.2.3	CE-7
4.070	Has the State established a policy to ensure that airport design requirements, including architectural and infrastructure-related requirements necessary for the implementation of the security measures in the NCASP, are integrated into the design and construction of new facilities and alterations to existing facilities at airports serving civil aviation?  Identify the documentation in which this policy is established.	3.2.4	CE-2
4.075	Has the State designated the office responsible for making the final determination for the incorporation of security considerations into the design and construction of new facilities and alterations to existing facilities at airports serving civil aviation?  Identify the documentation in which this designation is established.  Identify the office responsible for making the final determination for the implementation of security considerations.	3.2.4	CE-3

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
4.080*	<p>Has the State ensured that security is considered in the design and construction of new facilities and alterations to existing facilities at airports serving civil aviation?</p> <p>Verify, through interview and/or document review, that the appropriate authority and the airport security authority are directly involved in ensuring that security is considered in the design and construction of new facilities and alterations to existing facilities at airports serving civil aviation.</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to security considerations in the design and construction of facilities at the airport(s) selected for observations?</p>	3.2.4	CE-7
4.090	<p>Has the State established a requirement to ensure that supporting resources and facilities required by the aviation security services are made available at each airport serving civil aviation?</p> <p>Identify the documentation in which this requirement is established.</p>	3.1.8	CE-2
4.100*	<p>Are supporting resources and facilities required for aviation security available?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to supporting resources and facilities of the aviation security services at the airport(s) selected for observations?</p> <p>Determine whether the necessary resources are available for the aviation security services at the airport level, including:</p> <p>a) human resources (identify if sufficient resources are available for entities involved);</p> <p>b) technical resources (identify if sufficient resources are available for entities involved, including screening equipment, vehicles, appropriate testing equipment, canine team, communications equipment, etc.);</p> <p>c) financial resources (identify the primary source of financial resources for aviation security and ascertain whether these are sufficient for the effective implementation of all necessary security measures); and</p> <p>d) administrative resources (identify whether sufficient resources are available for entities involved, including administrative staff, documentation, offices, computers, etc.).</p>	3.1.8	CE-3
4.105	<p>Has the State established guidance on acceptable types of security screening equipment?</p> <p>Identify the documentation in which guidance on acceptable types, operational specifications and performance capabilities of security screening equipment are established.</p> <p>Verify whether such guidance describes acceptable types, technology detection capabilities and operational requirements of all security screening equipment deployed at airport(s) in the State.</p>	3.1.8	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>If utilizing a TIP system on security screening equipment, verify whether the State has established operational specifications for the TIP system, such as:</p> <p>a) TIP system administration and operation;</p> <p>b) size and composition of the library of images for the type of security screening equipment being used, projection ratios and periodic renewal; and</p> <p>c) evaluation of TIP performance of individual screeners.</p>		
4.106*	<p>Has the State established minimum detection settings, including specifications of performance test pieces, for security screening equipment used in the screening of persons other than passengers, together with items carried, prior to entry into airport SRAs serving international civil aviation operations?</p> <p>Verify the documentation in which minimum detection settings, including specifications of performance test pieces, for security screening equipment used in the screening of persons other than passengers, together with items carried, are established.</p> <p>Verify whether the State has established a standardized approach to the setting of detection standards and establishing specifications of performance test pieces on the basis of a risk assessment used to determine types and amounts of substances/items to be detected in order to ensure the consistent detection of threat items.</p> <p>Verify whether the State's approach to establishing minimum detection settings considers the following key elements:</p> <p>a) identification and continuous review of threats to civil aviation, in cooperation with intelligence community, in order to make informed decisions on how to prevent the introduction of specific threat items or restricted articles into SRAs, by validating and/or modifying the security measures and requirements in place, including the minimum detection requirements; and</p> <p>b) analysis of the characteristics and properties of the threat in order to select the appropriate technology to efficiently detect the threat items identified, and establish minimum detection requirements in partnership with the manufacturer of security screening equipment or other States.</p> <p><i>Note. — There is a need for the States to demonstrate that a process (which may include collaboration with another State) has been implemented to ensure that the detection settings of security screening equipment meet their threat detection expectations in normal operating conditions and during increased threat situations.</i></p>	3.1.8	CE-5
4.107*	<p>Has the State established minimum detection settings, including specifications of performance test pieces, for security screening equipment used in the screening of passengers and their cabin baggage?</p> <p>Verify the documentation in which minimum detection settings, including specifications of performance test pieces, for security screening equipment used in the screening of passengers and their cabin baggage are established.</p>	3.1.8	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Note. — <i>Refer to PQ 4.106 for a standardized approach to the setting of detection standards and establishing specifications of performance test pieces for security screening equipment.</i>		
4.108*	<p>Has the State established minimum detection settings, including specifications of performance test pieces, for security screening equipment used in the screening of hold baggage?</p> <p>Verify the documentation in which minimum detection settings, including specifications of performance test pieces, for security screening equipment used in the screening of hold baggage are established.</p> <p>Note. — <i>Refer to PQ 4.106 for a standardized approach to the setting of detection standards and establishing specifications of performance test pieces for security screening equipment.</i></p>	3.1.8	CE-5
4.109*	<p>Has the State established minimum detection settings, including specifications of performance test pieces, for security screening equipment used in the screening of cargo and mail, airport supplies and in-flight supplies, including catering?</p> <p>Verify the documentation in which minimum detection settings, including specifications of performance test pieces, for security screening equipment used in the screening of cargo and mail, airport supplies and in-flight supplies, including catering, are established.</p> <p>Note. — <i>Refer to PQ 4.106 for a standardized approach to the setting of detection standards and establishing specifications of performance test pieces for security screening equipment.</i></p>	3.1.8	CE-5
4.110	<p>Has the State established guidance in regard to technological means used for the protection of the integrity of SRAs?</p> <p>Identify the documentation in which such guidance is established.</p> <p>Verify whether the State has established appropriate guidance in regard to technology used for the protection of the integrity of SRAs at its airport(s) serving civil aviation, such as an automated access control system, intruder detection system, biometrics, integrated alarm systems or other technological systems offering the same level of protection.</p>	3.1.8	CE-5
4.115	<p>Has the State established a requirement to ensure that the access to airside areas at airports serving civil aviation is controlled in order to prevent unauthorized entry?</p> <p>Identify the documentation in which this requirement is established.</p>	4.2.1	CE-2
4.120	<p>Has the State designated an entity(ies) as responsible for establishing access controls to airside areas at airports serving civil aviation?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the entity(ies) to which this responsibility has been allocated.</p>	4.2.1	CE-3
4.130	<p>Does the State provide guidance in regard to perimeter protection?</p> <p>Verify whether national-level documentation provides guidance in regard to perimeter protection to deter inadvertent or premeditated access by an unauthorized person to the airside area.</p>	4.2.1	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Verify whether such guidance addresses items such as:</p> <ul style="list-style-type: none"> <li>a) height, method of construction, the material and any additional security features used to increase the effectiveness of perimeter protection, such as barbed or razor-taped wire topping, a perimeter intrusion detection system, lighting or a closed-circuit television system;</li> <li>b) clear zones and signage along the perimeter fence/barrier;</li> <li>c) a patrol road alongside the fence/barrier, and mobile patrolling requirements;</li> <li>d) emergency gates;</li> <li>e) safety and operational considerations; and</li> <li>f) maintenance of the fence/barrier.</li> </ul> <p><i>Note. – Perimeter protection involves not only the perimeter fence, but also physical access control measures within and around terminal and non-terminal locations, used to prevent unauthorized access to airside areas.</i></p>		
4.135	<p>Has the State ensured that the relevant entity at the airport level has developed measures to prevent unauthorized entry to airside areas?</p> <p>Review the ASP to verify whether there is a clear identification and delineation of airside areas at the airport(s) selected for observations.</p> <p>Verify whether the ASP provides sufficient details in regard to access control measures to airside areas from locations, such as:</p> <ul style="list-style-type: none"> <li>a) cargo areas;</li> <li>b) maintenance facilities;</li> <li>c) general aviation facilities;</li> <li>d) catering facilities;</li> <li>e) fuel farms; and</li> <li>f) all designated staff and vehicle access control checkpoints, etc.</li> </ul> <p>Review the ASP, SOPs and other relevant airport-level procedures in regard to:</p>	4.2.1	CE-6

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>a) specifications for perimeter protection; and</p> <p>b) patrolling of the boundaries between landside and airside/SRAs, including monitoring the display, validity and authorization of airport personnel and vehicle passes in airside areas (including SRAs), frequency and pattern of such patrols and record keeping.</p>		
4.140*	<p>Are measures to prevent unauthorized access to airside areas effectively established?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to measures designed to prevent unauthorized access to the airside?</p> <p>Observe the following to determine the effectiveness of access control measures:</p> <p>a) access control measures, both within terminal buildings and at non-terminal locations, including airport tenant facilities that provide direct access to the airside of the airport;</p> <p>b) the perimeter fence or other suitable barrier used to deter the inadvertent or premeditated access of an unauthorized person into the airside area (location, type, length, height and any additional security features used to increase the effectiveness of perimeter protection, such as barbed or razor-taped wire topping, a perimeter intrusion detection system, lighting or a closed-circuit television system);</p> <p>c) clear zones on both sides of the perimeter fence/barrier;</p> <p>d) signage along the perimeter fence/barrier;</p> <p>e) patrol road alongside the perimeter fence/barrier, frequency of mobile patrols, the scope of their monitoring and record keeping;</p> <p>f) access control measures in place to prevent unauthorized access from sewers, ducts, tunnels and runways or taxiways that overpass public roads;</p> <p>g) emergency (crash) gates;</p> <p>h) maintenance of the fence/barrier; and</p> <p>i) adequacy of illumination at designated staff and vehicle access control checkpoints.</p>	4.2.1	CE-8
4.145	<p>Has the State established a requirement to ensure that SRAs are established at each airport serving civil aviation based upon a security risk assessment?</p> <p>Identify the documentation in which the definition of and requirement for the establishment of SRAs based on a security risk assessment are established.</p> <p>Note. — <i>SRA means priority risk areas of the airside where, in addition to access being restricted, other security controls are applied.</i></p>	4.2.2	CE-2

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
4.150	<p>Has the State designated an office or entity as responsible for the establishment of SRAs at each airport serving civil aviation?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the office or entity to which this responsibility has been allocated.</p>	4.2.2	CE-3
4.160*	<p>Has the State ensured that SRAs are established at each airport serving civil aviation?</p> <p>Review the risk assessment methodology for establishing SRAs.</p> <p>Verify documented evidence demonstrating the utilization of the risk assessment methodology.</p> <p>Review the ASP to verify whether there is a clear designation of SRAs.</p> <p>Verify whether the designation of SRAs at the airport(s) selected for observations reflects the national requirements and are based on the results of a security risk assessment.</p> <p>Verify whether SRAs include, at a minimum:</p> <ul style="list-style-type: none"> <li>a) all commercial aviation passenger departure areas between the screening checkpoint and the aircraft;</li> <li>b) all parts of an airport designated for the parking of aircraft to be boarded or loaded (the ramp);</li> <li>c) all parts of the airport used for the storage of screened hold baggage (baggage make-up areas).</li> </ul> <p><i>Note 1. — A security risk assessment will not necessarily be required if the State has defined all areas within an airport's perimeter and relevant areas of the terminal and facilities as an SRA.</i></p> <p><i>Note 2. — If the SRA is established on a temporary basis, verify a procedure exists to conduct a security search prior to its activation.</i></p>	4.2.2	CE-6
4.170*	<p>Are SRAs clearly established?</p> <p>Throughout the course of the audit, identify if there are any discrepancies with regard to the areas designated as SRAs at the airport(s) selected for observations and the national requirements.</p> <p>Identify if there are any discrepancies with regard to the SRAs designated in practice at the airport(s) selected for observations and the SRAs as defined in the ASP.</p> <p>Identify any deficiencies related to the integrity of SRAs. These may include:</p>	4.2.2	CE-8



PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>a) any uncontrolled access point(s) to SRAs, such as unlocked doors, baggage belt openings, roof or basement access and fire exits, spectator terraces and/or other areas overlooking SRAs;</p> <p>b) failure to carry out a security search of an area immediately before such an area is designated as a temporary SRA, in order to reasonably ensure that it do not contain prohibited items; or</p> <p>c) failure to carry out a security search of relevant parts of an SRA in a timely manner, whenever unscreened persons, persons whose screening is compromised, or arriving passengers and crew members may have had access to those parts, in order to reasonably ensure that such areas do not contain prohibited items.</p> <p>Note 1. — <i>Where SRA and airside boundaries coincide, all access control deficiencies identified under PQ 4.140 should also apply to PQ 4.170.</i></p> <p>Note 2. — <i>The results of observations related to the effectiveness of security controls being applied to persons and vehicles at access points to SRAs should be included in PQs 4.285 and 4.310 respectively.</i></p>		
4.175	<p>Does the State require that an identification system is established and implemented in respect of persons in order to prevent unauthorized access to airside areas and SRAs?</p> <p>Identify the documentation in which this requirement is established.</p> <p>Verify whether the national requirement for the airport personnel identification system includes provisions for:</p> <p>a) airport personnel identification passes to be issued only to those persons with an operational need or other legitimate reason to be in airside areas and SRAs;</p> <p>b) identity and authorization to be verified at designated checkpoints before access is allowed to airside areas and SRAs;</p> <p>c) all staff in designated areas to display an airport personnel identification pass;</p> <p>d) design specifications for airport personnel identification passes, including authorized airside/SRA zones; and</p> <p>e) periodic updating of security features and/or design of airport personnel identification passes.</p>	4.2.3	CE-2
4.180	<p>Has the State designated an office or entity as responsible for the establishment and implementation of the airport personnel identification system?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the office or entity responsible for the issuance of various types of airport personnel identification passes.</p>	4.2.3	CE-3

PQ No.	<b>PROTOCOL QUESTION</b> <b>GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE</b>	ICAO REF	CE
	<p>Verify whether a single office has been assigned to issue airport personnel identification passes.</p> <p>If more than one office or entity is responsible for the issuance of airport personnel identification passes, explain how this is coordinated and assess the adequacy of arrangements.</p> <p>Identify the entity(ies) responsible for the verification of identity and authorization of persons at designated access control checkpoints before access is allowed to airside areas and SRAs.</p>		
4.185	<p>Has the State ensured that the relevant entity at the airport level has developed procedures for the airport personnel identification system?</p> <p>Verify whether procedures have been developed at the airport level to meet the national requirements, e.g. in the ASP or other appropriate documentation.</p> <p>Review the procedures for issuance, control and accountability of airport personnel identification passes.</p> <p>Verify:</p> <ul style="list-style-type: none"> <li>a) whether a written application is required and whether only designated persons may authorize the application based on an operational need or other legitimate reason;</li> <li>b) whether a security awareness briefing is required at the time the staff member receives an airport personnel identification pass;</li> <li>c) whether the airport personnel identification pass system is periodically updated, replaced and revalidated, and under what circumstances and how often;</li> <li>d) the number of airport personnel identification passes issued;</li> <li>e) the number of lost, stolen or otherwise unaccountable airport personnel identification passes and how passes are retrieved;</li> <li>f) the information on airport personnel identification passes, such as the name of the holder, name of the employer, pass serial number, levels or types of access authority such as different SRA zones, expiration date, size, colours, and photograph of the holder vs. non-photograph;</li> <li>g) whether the airport has a temporary identification pass system, including special arrangements (e.g. escort requirements) for persons on whom a background/criminal record check cannot be conducted and, if so, who is issued a temporary identification pass and how are temporary identification passes retrieved;</li> <li>h) whether display requirements have been established, (e.g. are employees required to display airport personnel identification passes on the outermost garment);</li> </ul>	4.2.3	CE-6

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>i) whether enforcement tools are available to the airport in the event that a person is found not displaying an identification pass; and</p> <p>j) whether the entity responsible for the issuance of airport personnel identification passes is required to maintain and provide up-to-date stop-lists to all staff at access control points.</p> <p>Review procedures for designated access control checkpoints for the verification of identity and authorization of persons before access is allowed to airside areas and SRAs, including access between different airside/SRA zones.</p>		
4.190	<p>Does the State require that an identification system is established and implemented in respect of vehicles in order to prevent unauthorized access to airside areas and SRAs?</p> <p>Identify the documentation in which this requirement is established.</p> <p>Verify whether the national requirement for the vehicle identification system includes provisions for:</p> <p>a) vehicle passes to be issued only to those vehicles with an operational need or other legitimate reason to be in airside areas and SRAs;</p> <p>b) vehicle authorization to be verified at designated checkpoints before access is allowed to airside areas and SRAs;</p> <p>c) all vehicle passes to be affixed to and permanently displayed on the front of the vehicle while in designated areas;</p> <p>d) design specifications for vehicle passes, including authorized access gates and airside/SRA zones; and</p> <p>e) periodic renewal of vehicle passes.</p>	4.2.3	CE-2
4.195	<p>Has the State designated an office or entity as responsible for the establishment and implementation of the vehicle identification system?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the office or entity responsible for the issuance of various types of vehicle passes.</p> <p>Verify whether a single office has been assigned to issue vehicle passes.</p> <p>If more than one office or entity is responsible for the issuance of vehicle passes, explain how this is coordinated and assess the adequacy of arrangements.</p> <p>Identify the entity(ies) responsible for the verification of identity and authorization of vehicles at designated access control checkpoints before access is allowed to airside areas and SRAs.</p>	4.2.3	CE-3
4.200	Has the State ensured that the relevant entity at the airport level has developed procedures for the vehicle identification system?	4.2.3	CE-6

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	<p>Verify whether procedures have been developed at the airport level to meet the national requirements, e.g. in the ASP or other appropriate documentation.</p> <p>Review the procedures for issuance, control and accountability of vehicle passes.</p> <p>Verify:</p> <ul style="list-style-type: none"> <li>a) the authorization criteria for vehicle access based on an operational need or other legitimate reason;</li> <li>b) the number of vehicle passes issued;</li> <li>c) the information on vehicle passes, such as the name of the vehicle owner and/or operator, vehicle registration index or serial number, access control points that the vehicle is allowed to use, airside/SRA zones for which the pass is valid, if applicable, and period of validity;</li> <li>d) whether the airport has a temporary pass system for vehicles and, if so, which vehicle is issued a temporary pass and how are temporary passes retrieved;</li> <li>e) the system used to identify vehicles that have been authorized access to SRAs (e.g. vehicle passes, stickers, company logo); and</li> <li>f) any different requirements for vehicles that exit and enter restricted areas versus those that remain within the restricted area.</li> </ul> <p>Review procedures for designated access control checkpoints for the verification of identity and authorization of vehicles before access is allowed to airside areas and SRAs, including access between different airside/SRA zones.</p>		
4.205*	<p>Are procedures for airport personnel and vehicle identification systems consistently and effectively implemented?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of the airport personnel and vehicle identification systems?</p> <p>Observe whether identity and authorization of persons and vehicles are verified at designated checkpoints before access is allowed to airside areas, SRAs, or to different airside/SRA zones (including baggage make-up areas, passenger departure areas, etc.).</p> <p>Identify the percentage/number of persons and vehicles observed not displaying passes in airside areas and SRAs.</p>	4.2.3	CE-8
4.230	<p>Has the State established a requirement to ensure that background checks are completed in respect of persons implementing security controls, persons with unescorted access to SRAs, and persons with access to sensitive aviation security information prior to their taking up these duties or accessing such areas or information?</p> <p>Identify the documentation in which this requirement is established.</p>	3.5.2	CE-2

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Verify whether the national requirement for background checks addresses, at a minimum:</p> <p>a) a person's identity, previous experience in terms of employment and education, including any gaps, criminal history and any other security related information relevant for assessing the person's suitability during the preceding minimum specified period;</p> <p>b) disqualification criteria;</p> <p>c) immediate denial of the ability to implement security controls, unescorted access to SRAs, and access to sensitive aviation security information, if persons are found unsuitable by any background check; and</p> <p>d) record keeping.</p> <p><i>Note. — Best practice suggests that background check should cover at least the preceding five years. Additionally, provisions should be established regarding foreign nationals and national citizens, who have lived abroad, requesting issuance of identification permit to access SRAs or access to sensitive aviation security information, in order to ensure that applicants have not been convicted of a disqualifying offence in their State of origin during the prescribed period.</i></p>		
4.232	<p>Has the State established a requirement to ensure that recurrent background checks are applied to persons implementing security controls, persons with unescorted access to SRAs, and persons with access to sensitive aviation security information at intervals defined by the appropriate authority?</p> <p>Identify the documentation in which this requirement is established.</p> <p>Verify whether the requirement provides for defined interval for the application of recurrent background checks to such personnel.</p> <p><i>Note. — Background checks should be updated on a regular basis to ensure that the individual still meets the required criteria. A good practice is to establish a mechanism for the ongoing review of the background check elements and prompt notification to the relevant entity(ies) of any occurrence that may affect the reliability of the individual, or to repeat background checks at regular intervals not exceeding three years.</i></p>	3.5.2	CE-2
4.240	<p>Has the State designated an office(s) or entity(ies) as responsible for the conduct of background checks?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the office(s) or entity(ies) to which this responsibility has been allocated.</p>	3.5.2	CE-3
4.245	<p>Has the State ensured that the relevant entity has developed procedures to ensure that appropriate background checks are conducted?</p> <p>Review the relevant procedures that ensure that appropriate background checks are conducted.</p>	3.5.2	CE-6
4.250*	<p>Are initial background checks on the persons implementing security controls, persons with unescorted access to SRAs, and persons with access to sensitive aviation security information consistently and effectively conducted?</p>	3.5.2	CE-8

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?</p> <p>Verify, through review of records, that the persons implementing security controls, persons with unescorted access to SRAs, and persons with access to sensitive aviation security information have been subjected to initial background checks.</p>		
4.252*	<p>Are recurrent background checks on the persons implementing security controls, persons with unescorted access to SRAs, and persons with access to sensitive aviation security information consistently and effectively conducted?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?</p> <p>Verify, through review of records, that the persons implementing security controls, persons with unescorted access to SRAs, and persons with access to sensitive aviation security information have been subjected to recurrent background checks.</p>	3.5.2	CE-8
4.255	<p>Does the State require the establishment of measures to ensure that persons other than passengers, together with items carried, are screened prior to entry into airport SRAs?</p> <p>Identify the documentation in which this requirement is established.</p>	4.2.5	CE-2
4.265	<p>Has the State designated an entity(ies) as responsible for the screening of persons other than passengers, together with items carried, prior to entry into airport SRAs?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the entity(ies) to which this responsibility has been allocated.</p>	4.2.5	CE-3
4.267	<p>Has the State developed instructions, guidance material or performance criteria for the screening of persons other than passengers, together with items carried?</p> <p>Review national-level instructions, guidance material or performance criteria for the screening of persons other than passengers, together with items carried.</p> <p>Verify whether such instructions, guidance material or performance criteria include the following, at a minimum:</p> <ul style="list-style-type: none"> <li>a) acceptable methods of screening of persons other than passengers and items carried;</li> <li>b) prohibited items list; and</li> <li>c) the mechanism for granting exemptions to persons authorized to carry prohibited items into SRAs in order to undertake tasks that are essential for the operation of airport facilities or aircraft.</li> </ul>	4.2.5	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
4.270	<p>Has the State ensured that the relevant entity at the airport level has established detailed procedures for the screening of persons other than passengers, together with items carried, prior to entry into airport SRAs?</p> <p>Review the ASP and other relevant airport-level SOPs for procedures regarding the screening of persons other than passengers, together with items carried.</p> <p>Verify whether these procedures provide sufficient details in regard to the screening of persons other than passengers, together with items carried, to cover areas including:</p> <ul style="list-style-type: none"> <li>a) primary methods of screening of persons other than passengers, together with items carried, and alarm resolution;</li> <li>b) a minimum percentage of secondary screening of persons other than passengers to overcome the technical limitations of the primary method of screening (e.g. the inability of WTMDs to detect non-metallic threat items);</li> <li>c) a minimum percentage of secondary screening of items carried, if required to overcome the technical limitations of the primary method of screening, which may include a physical search or use of technology, made on a basis of reasoned selection to encourage rejection of items with a complex image;</li> <li>d) gender-based manual search;e) measures to be implemented in the event of a power and/or system outage or breakdown of screening equipment;</li> <li>f) measures for dealing with prohibited or suspicious items detected during the screening process either on a person or in items carried, and for the disposal of confiscated articles;</li> <li>g) a list of items prohibited in the SRA; and</li> <li>h) measures at the screening checkpoint for verifying the authorization of persons to carry specified prohibited items in the SRA, in order to undertake tasks that are essential for the operation of airport facilities or aircraft, including reconciliation of such persons with such specified items.</li> </ul>	4.2.5	CE-6
4.280*	<p>Are maintenance and performance testing of security screening equipment used in the screening of persons other than passengers, together with items carried, prior to entry into airport SRAs consistently and effectively implemented?</p> <p>Verify whether maintenance and performance testing are regularly carried out by reviewing test and maintenance records of security screening equipment used in the screening of persons other than passengers, together with items carried, prior to entry into airport SRAs.</p>	4.2.5	CE-8
4.285*	<p>Is the screening of persons other than passengers, together with items carried, prior to entry into airport SRAs consistently and effectively implemented?</p>	4.2.5	CE-8

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?		
4.287	<p>Has the State developed instructions, guidance material or performance criteria regarding the use of appropriate screening methods that are capable of detecting the presence of explosives and explosive devices carried by persons other than passengers on their persons or in their items carried?</p> <p>Review national-level instructions, guidance material or performance criteria for the screening of persons other than passengers, together with items carried, using appropriate screening methods that are capable of detecting the presence of explosives and explosive devices.</p> <p>Verify whether such documentation defines acceptable screening methods that are capable of detecting the presence of explosives and explosive devices carried by persons other than passengers on their persons or in their items carried, including a requirement for such methods to be applied either continuously or in an unpredictable manner.</p> <p>Note 1. — <i>The screening persons other than passengers, together with items carried, includes at least one of the following methods capable of detecting explosives:</i></p> <ul style="list-style-type: none"> <li><i>a) hand search;</i></li> <li><i>b) explosive trace detection equipment;</i></li> <li><i>c) explosive detection systems equipment;</i></li> <li><i>d) explosive detection dogs;</i></li> <li><i>e) body scanners (security scanners); or</i></li> <li><i>f) X-ray screening equipment.</i></li> </ul> <p>Note 2. — <i>If this PQ is marked as not satisfactory, PQ 4.267 should also be marked as not satisfactory.</i></p>	4.2.6	CE-5
4.289*	<p>Is the screening of persons other than passengers, together with items carried, consistently and effectively implemented using appropriate screening methods that are capable of detecting the presence of explosives and explosive devices?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?</p> <p>Verify whether the screening methods that are capable of detecting the presence of explosives and explosive devices carried by persons other than passengers on their persons or in their items carried are either applied continuously or used in an unpredictable manner.</p>	4.2.6	CE-8



PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Note. — <i>If this PQ is marked as not satisfactory, PQ 4.285 should also be marked as not satisfactory.</i>		
4.290	Has the State established a requirement to ensure that vehicles being granted access to SRAs, together with items contained within them, are subject to screening or other appropriate security controls in accordance with a risk assessment carried out by the relevant national authorities?  Identify the documentation in which this requirement is established.	4.2.7	CE-2
4.295	Has the State designated an entity(ies) as responsible for the implementation of screening or other appropriate security controls for vehicles being granted access to SRAs, together with items contained within them?  Identify the documentation in which this designation is established.  Identify the entity(ies) to which this responsibility has been allocated.	4.2.7	CE-3
4.300*	Has the State identified the security measures applicable to vehicles being granted access to SRAs in accordance with a risk assessment carried out by the relevant national authorities?  Identify the documentation in which the security measures applicable to vehicles being granted access to SRAs are established based on a risk assessment.  Describe the security measures established as a result of a risk assessment for subjecting vehicles being granted access to SRAs to screening or other appropriate security controls.  Note. — <i>It will not be necessary to base security measures on a risk assessment if the State has established a requirement for a full search of all vehicles prior to entry into SRAs.</i>	4.2.7	CE-5
4.305	Has the State ensured that the relevant entity at the airport level has established procedures for screening or other appropriate security controls for vehicles being granted access to SRAs, together with items contained within them?  Review the ASP or other airport-level procedures, as appropriate.  Note. — <i>Refer to PQ 4.310 for additional guidance.</i>	4.2.7	CE-6
4.310*	Is screening or other appropriate security controls for vehicles being granted access to SRAs, together with items contained within them, consistently and effectively implemented?  Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?  Observe the implementation of screening or security controls for vehicles being granted access to SRAs, together with items contained within them, to determine the effectiveness and quality of implemented measures.	4.2.7	CE-8

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Observe when a vehicle is selected for screening, whether a combination of a minimum of three of the following areas are searched in accordance with the principles of randomness and unpredictability, and based on a risk assessment carried out by the relevant authorities:</p> <p>a) front door pockets, sun visors and glove compartments;</p> <p>b) seat pockets, foot wells and areas underneath seats;</p> <p>c) trunk/boot/baggage/cargo area;</p> <p>d) wheel arches;</p> <p>e) engine compartment;</p> <p>f) the underside; and</p> <p>g) any other area of the vehicle not listed above.</p>		
4.315	<p>Has the State established a requirement to ensure that merchandise and supplies introduced into SRAs are subjected to appropriate security controls, which may include a supply chain security process or screening?</p> <p>Identify the documentation in which this requirement is established.</p> <p>Note 1. — <i>Merchandise and supplies, collectively referred to as “airport supplies”, mean all items intended to be sold, used or made available for any purpose or activity in the SRAs of airports, other than items carried by persons other than passengers.</i></p> <p>Note 2. — <i>Airport supplies shall either be screened before being allowed into SRAs, or have been subjected to appropriate security controls by a known supplier, and protected from unauthorized interference from the time these controls were applied until delivery to the SRA.</i></p>	4.6.7	CE-2
4.320	<p>Has the State designated an entity(ies) as responsible for the application of appropriate security controls to merchandise and supplies introduced into SRAs?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the entity(ies) to which this responsibility has been allocated.</p>	4.6.7	CE-3
4.322	<p>If the State has established a supply chain security process, has the State designated an office or entity as responsible for the management, approval and oversight of known suppliers?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the office or entity responsible for the management, approval and oversight of known suppliers.</p>	4.6.7	CE-3

PQ No.	<b>PROTOCOL QUESTION</b> <b>GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE</b>	ICAO REF	CE
4.325	<p>Has the State developed guidance material for the application of security controls to merchandise and supplies introduced into SRAs?</p> <p>Review national-level instructions, guidance material or performance criteria regarding the application of security controls to merchandise and supplies introduced into SRAs.</p> <p>Verify whether the State has established a prohibited items list for merchandise and supplies introduced into SRAs.</p> <p>If the State has established a supply chain security process, which replaces the need for screening of all merchandise and supplies introduced into SRAs, verify whether appropriate guidance material has been established, which may address some or all of the following items:</p> <p>a) conditions for the designation, renewal and withdrawal of known suppliers of airport supplies by the airport operator or by an entity designated by the appropriate authority;</p> <p>b) maintenance of an up-to-date list of known suppliers;</p> <p>c) security controls applicable to airport supplies being delivered by known suppliers to airport SRAs, such as:</p> <ul style="list-style-type: none"> <li>• appointment of a person responsible for security in the company;</li> <li>• security awareness training for persons with access to airport supplies before being given access to these supplies;</li> <li>• prevention of unauthorized access to company premises and airport supplies;</li> <li>• ensuring that no prohibited items are concealed in airport supplies; and</li> <li>• protection of all vehicles and/or containers that transport airport supplies;</li> </ul> <p>d) the mechanism for confirming that known suppliers implement the prescribed security controls.</p> <p><i>Note. — A known supplier of airport supplies means a supplier whose procedures meet common security rules and standards sufficient to allow delivery of merchandise and supplies to SRAs.</i></p>	4.6.7	CE-5
4.330	<p>Has the State ensured that the relevant airport-level entities have developed procedures for the application of security controls to merchandise and supplies introduced into SRAs?</p> <p>Review the ASP or other airport-level procedures, as appropriate.</p> <p>If the State has established a supply chain security process, verify the process of designation of known suppliers, which may include:</p>	4.6.7	CE-6

PQ No.	<b>PROTOCOL QUESTION</b> <b>GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE</b>	ICAO REF	CE
	<ul style="list-style-type: none"> <li>the designation of known suppliers on the basis of validation of: the relevance and completeness of the security programme covering the required security controls; and the implementation of the security programme without deficiencies by means of an on-site visit;</li> <li>site specific validation of known suppliers for a specified period of time not exceeding five calendar years;</li> <li>periodic revalidation of known suppliers at regular intervals not exceeding five calendar years, which includes an on-site verification in order to assess whether known suppliers still comply with established security requirements; and</li> <li>maintenance of an up-to-date list of all known suppliers with the expiry date of their designation, a copy of the security programme and any reports recording its implementation for each known supplier.</li> </ul> <p>If the State has established a supply chain security process, verify if the ASP describes in detail the procedures to be followed by known suppliers.</p>		
4.332*	<p>Are maintenance and performance testing of security screening equipment used in the screening of merchandise and supplies introduced into SRAs consistently and effectively implemented?</p> <p>Verify whether maintenance and performance testing are regularly carried out by reviewing test and maintenance records of security screening equipment used in the screening of merchandise and supplies introduced into SRAs.</p> <p><i>Note. — This PQ is only applicable if dedicated equipment is used in the screening of merchandise and supplies introduced into SRAs. If not, this PQ should be marked as not applicable.</i></p>	4.6.7	CE-8
4.335*	<p>Are security controls for merchandise and supplies introduced into SRAs consistently and effectively implemented?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?</p> <p>Observe the implementation of security controls for merchandise and supplies introduced into SRAs to determine the effectiveness of measures, which could involve either screening of all merchandise and supplies or the effective implementation of a supply chain security process.</p> <p>If a supply chain security process is implemented, verify whether:</p> <p>a) measures are in place for confirming whether known suppliers of airport supplies implement the prescribed security controls; and</p> <p>b) an up-to-date list of those known suppliers is maintained.</p> <p><i>Note. — When screening airport supplies, the means or method employed should take into consideration the nature of the supply and should be of a standard sufficient to reasonably ensure that no prohibited items are concealed in the supply. When the nature of airport</i></p>	4.6.7	CE-8

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<i>supplies does not allow them to be screened when they are presented at the entry point to the SRA, the status of known supplier is necessary, otherwise, airport supplies should be denied entry into the SRA or be escorted and monitored for the entire duration of time in the SRA up to their unloading point. Measures should be implemented, such as monitoring unloading, taking a sample, and reviewing accompanying documents, to obtain reasonable assurance of the nature of the supply and that the supply does not contain prohibited items.</i>		
4.340	Has the State established a requirement to ensure that landside areas are identified?  Identify the documentation in which this requirement is established.	4.8.1	CE-2
4.345	Has the State designated an office or entity as responsible for the identification of landside areas for each airport serving civil aviation?  Identify the documentation in which this designation is established.  Identify the office or entity (national or airport level) to which this responsibility has been allocated.	4.8.1	CE-3
4.350	Has the State developed guidelines for the identification of landside areas?  Identify the documentation in which these guidelines are established.  Verify what landside areas encompass.	4.8.1	CE-5
4.355*	Has the State ensured that landside areas are identified for each airport serving civil aviation?  Review the ASP to verify whether there is a clear identification and delineation of landside areas.  Verify whether the designation of landside areas at the airport(s) selected for observations reflects the national requirements.	4.8.1	CE-6
4.360	Does the State require the establishment of security measures for landside areas to mitigate the risk of and to prevent possible acts of unlawful interference in accordance with risk assessments carried out by the relevant authorities or entities?  Identify the documentation in which this requirement is established.	4.8.2	CE-2
4.365	Has the State designated authorities or entities as responsible for carrying out risk assessments to establish security measures for landside areas?  Identify the documentation in which this designation is established.  Identify the authorities or entities to which this responsibility has been allocated.	4.8.2	CE-3
4.375*	Has the State ensured that the relevant authorities or entities have established security measures for landside areas in accordance with risk assessments?  Review the risk assessment methodology for establishing security measures for landside areas.	4.8.2	CE-6

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	<p>Verify documented evidence demonstrating the utilization of the risk assessment methodology.</p> <p>Review the ASP or other airport-level documentation, as appropriate, in which the security measures for landside areas are established based on a risk assessment.</p> <p>Verify whether these procedures provide sufficient details in regard to security measures to be taken for landside areas to mitigate the risk of and to prevent possible acts of unlawful interference.</p> <p>Describe the security measures for landside areas established as a result of a risk assessment.</p>		
4.380*	<p>Are security measures for landside areas consistently and effectively implemented in accordance with risk assessments and established procedures?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of security measures in landside areas of the airport?</p>	4.8.2	CE-8
4.385*	<p>Has the State identified appropriate responsibilities for landside security in its NCASP?</p> <p>Verify whether the NCASP describes the functions and responsibilities of the various entities for landside security and identifies entities responsible for coordinating the implementation of landside security measures.</p> <p>Confirm that there is no conflict of responsibilities.</p>	4.8.3	CE-3
4.390*	<p>Has the State ensured the coordination of landside security measures between relevant departments, agencies, other organizations of the State, and other entities at the national level?</p> <p>Identify issues relevant to landside security that have been discussed or coordinated at the national level.</p>	4.8.3	CE-3
4.395*	<p>Has the State ensured the coordination of landside security measures between relevant departments, agencies, other organizations of the State, and other entities at the airport level?</p> <p>Identify issues relevant to landside security that have been discussed or coordinated at ASC meetings.</p>	4.8.3	CE-3
5.001	<p>Has the State, as the State of the Operator, established a requirement to ensure that its aircraft operators have established, implemented and maintained a written AOSP that meets the requirements of its NCASP?</p> <p>Identify the documentation in which this requirement is established.</p> <p>Note 1. — <i>The State of the Operator is the State in which the operator's principal place of business is located or, if there is no such place of business, the operator's permanent residence.</i></p> <p>Note 2. — <i>If the State does not have any such aircraft operator, all PQs related to Standard 3.3.1 should be marked as not applicable.</i></p>	3.3.1	CE-2

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
5.003	<p>Does the State require foreign aircraft operators providing service to and from that State to establish, implement and maintain written supplementary station procedures that meet the requirements of its NCASP?</p> <p>Identify the documentation in which this requirement is established.</p> <p><i>Note – States may accept an AOSP instead of supplementary station procedures if this is determined to address all national requirements (via review and acceptance or oversight). If there are differences, then a combination of an SSP and existing AOSP may be necessary to satisfy the requirements of the NCASP.</i></p>	3.3.2	CE-2
5.005	<p>Has the State, as the State of the Operator, implemented a process to ensure that its aircraft operators have established and maintain written AOSPs that meet the requirements of its NCASP?</p> <p>Review documented evidence of the implementation of the process.</p>	3.3.1	CE-6
5.007	<p>Has the State implemented a process to ensure that foreign aircraft operators providing service to and from that State have established and maintain written supplementary station procedures that meet the requirements of its NCASP?</p> <p>Review documented evidence of the implementation of the process.</p>	3.3.2	CE-6
5.010*	<p>Do the AOSPs of aircraft operators of the State, as the State of the Operator, address all relevant national aviation security requirements of the State applicable to its aircraft operator operations in sufficient detail?</p> <p>Verify, through the assessment of relevant PQs related to CE-6, whether selected national AOSPs accurately reflect or reference, the following items, as applicable, providing sufficient guidance or procedures for their effective implementation:</p> <ul style="list-style-type: none"> <li>a) protection of the aircraft (Standards 4.2.4, 4.3.4);</li> <li>b) aircraft security checks and searches (Standard 4.3.1);</li> <li>c) measures to ensure that any items left behind by passengers disembarking from transit flights are removed from the aircraft or otherwise dealt with appropriately before departure of the aircraft (Standard 4.3.2);</li> <li>d) protection of the flight crew compartment during flight (Standard 4.3.3);</li> <li>e) protection of screened passengers and their cabin baggage from unauthorized interference, from the point of screening, until they board their aircraft (Standard 4.4.4);</li> <li>f) protection of transit passengers and their cabin baggage from unauthorized interference (Standard 4.4.5);</li> <li>g) protection of hold baggage from unauthorized interference, from the point it is screened or accepted into the care of the aircraft operator, whichever is earlier, until departure of the aircraft on which it is to be carried (Standard 4.5.3);</li> </ul>	3.3.1	CE-6

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	<p>h) reconciliation and authorization of hold baggage for carriage (Standards 4.5.4, 4.5.6);</p> <p>i) security controls for cargo and mail, prior to their being loaded onto an aircraft Standard (4.6.1);</p> <p>j) protection of cargo and mail from unauthorized interference, from the point security controls are applied, until departure of the aircraft (Standard 4.6.3);</p> <p>k) application of enhanced security measures to high-risk cargo and mail (Standard 4.6.4);</p> <p>l) acceptance of cargo and mail for carriage on an aircraft (Standard 4.6.5);</p> <p>m) issuance of a security status for cargo and mail that have been confirmed and accounted for (Standard 4.6.8);</p> <p>n) security controls to transfer cargo and mail (Standard 4.6.9);</p> <p>o) security controls for catering, stores and supplies, and their protection until loaded onto the aircraft (Standard 4.6.6);</p> <p>p) measures to ensure safety on board an aircraft when passengers who are obliged to travel because they have been the subject of judicial or administrative proceedings are to be carried (Standard 4.7.2);</p> <p>q) carriage of weapons in the cabin or hold of the aircraft (Standards 4.7.4, 4.7.6);</p> <p>r) notification to the PIC of passengers who are obliged to travel because they have been the subject of judicial or administrative proceedings, and of the number of armed persons and their seat location (Standards 4.7.3, 4.7.8); and</p> <p>s) appropriate security procedures and controls in regard to the transport of COMAT and COMAIL (Standards 4.4.1, 4.5.1, 4.6.1).</p> <p><i>Note. — For deficiencies identified in national aircraft operator procedures, this PQ and the relevant PQs related to CE-6 should be marked as not satisfactory.</i></p>		
5.013*	<p>Do the procedures of foreign aircraft operators providing service to and from that State address all relevant national aviation security requirements applicable to foreign aircraft operator operations in sufficient detail?</p> <p>Verify, throughout the course of the audit, whether selected the procedures of foreign aircraft operators accurately reflect or reference the items listed under PQ 5.010, as applicable, except for the item related to Standard 4.3.3, providing sufficient station-specific guidance or procedures for their effective implementation.</p> <p><i>Note. — For deficiencies identified in foreign aircraft operator procedures, only this PQ should be marked as not satisfactory.</i></p>	3.3.2	CE-6



PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
5.015	Has the State established a requirement to ensure that the movement of persons and vehicles to and from aircraft is supervised in SRAs in order to prevent unauthorized access to aircraft?  Identify the documentation in which this requirement is established.	4.2.4	CE-2
5.020	Has the State designated an office or entity(ies) as responsible for supervising the movement of persons and vehicles in SRAs to and from aircraft in order to prevent unauthorized access to aircraft?  Identify the documentation in which this designation is established.  Identify the office or entity to which this responsibility has been allocated.	4.2.4	CE-3
5.025	Has the State ensured that the relevant entities at the airport level have developed procedures related to the supervision of the movement of persons and vehicles in SRAs to and from aircraft in order to prevent unauthorized access to aircraft?  Review the ASP and selected AOSPs for procedures, including, but not necessarily limited to:  a) methods of preventing unauthorized access to aircraft in service (e.g. boarding bridges and other access points from passenger departure areas to aircraft or the ramp secured when not in use);  b) methods of preventing unauthorized access to aircraft not in service (e.g. all aircraft access points locked and secured, stairs, landing bridges and loading platforms removed, tamper-evident stick-on security seals on panels and doors, parking position, patrolling and illumination of ramp areas); and  c) appropriate escorts and/or supervision of passengers boarding the aircraft from the ramp side.  <i>Note. — Reflect deficiencies in the national AOSPs here. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i>	4.2.4	CE-6
5.030*	Are measures for the supervision of the movement of persons and vehicles in SRAs to and from aircraft in order to prevent unauthorized access to aircraft consistently and effectively implemented?  Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?  <i>Note. — Refer to PQ 5.025 for operational aspects to observe.</i>	4.2.4	CE-8
5.035	Does the State require aircraft security checks or searches of originating aircraft to be performed based upon a security risk assessment carried out by the relevant national authorities?  Identify the documentation in which this requirement is established.	4.3.1	CE-2

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Note. — <i>A requirement for a security risk assessment will not be necessary if the State requires aircraft security searches to be conducted for all originating aircraft.</i>		
5.040	Has the State designated an office or entity as responsible for conducting aircraft security checks and searches of originating aircraft?  Identify the documentation in which this designation is established.  Identify the office or entity to which this responsibility has been allocated.	4.3.1	CE-3
5.045*	Has the State ensured that the determination of whether an aircraft security check or a search shall be conducted is made based upon a security risk assessment carried out by the relevant national authorities?  Review the risk assessment methodology for determining whether a security check or a search of originating aircraft is required.  Verify whether the methodology takes into account as determining factors issues including, but not necessarily limited to, the following:  a) level of threat;  b) aircraft remaining overnight, left unattended, or brought back into service;  c) parking location;  d) point of origin;  e) destination; and  f) the State of Registry or State of the Operator.  Verify documented evidence demonstrating the utilization of the risk assessment methodology and the notification to aircraft operators of any change.  Note. — <i>It will not be necessary to decide whether to apply an aircraft security check or search on the basis of a risk assessment if the State requires aircraft security searches to be conducted for all originating aircraft.</i>	4.3.1	CE-5
5.050	Does the State's requirement specify criteria for aircraft security checks and searches?  Identify the documentation in which criteria for aircraft checks and searches are established.  Verify whether such criteria include:	4.3.1	CE-5

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	<p>a) areas to be checked/searched;</p> <p>b) availability of checklists;</p> <p>c) a verbal or written notification to the PIC on completion of a check or search; and</p> <p>d) a requirement for records of checks and searches to be kept.</p> <p>Verify the dissemination of such criteria to the respective entities/aircraft operators.</p>		
5.055	<p>Has the State ensured that the relevant entities/aircraft operators have developed procedures for aircraft security checks and searches?</p> <p>Review selected AOSPs for procedures regarding aircraft checks and searches.</p> <p><i>Note. — Reflect deficiencies in the national AOSPs here. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i></p>	4.3.1	CE-6
5.060*	<p>Are procedures for aircraft security checks and searches of originating aircraft consistently and effectively implemented?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?</p> <p><i>Note. — Refer to PQ 5.050 for operational aspects to observe.</i></p>	4.3.1	CE-8
5.065	<p>Has the State established a requirement to ensure that an aircraft subject to a security check or search is protected from unauthorized interference, from the time the aircraft check or search has commenced, until the aircraft departs?</p> <p>Identify the documentation in which this requirement is established.</p>	4.3.4	CE-2
5.070	<p>Has the State designated an entity as responsible for the protection of an aircraft from unauthorized interference, from the time the aircraft security check or search has commenced, until the aircraft departs?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the entity to which this responsibility has been allocated.</p>	4.3.4	CE-3
5.075	<p>Has the State ensured that the relevant entities/aircraft operators have developed procedures to ensure that an aircraft subject to a security check or search is protected from unauthorized interference, from the time the aircraft check or search has commenced, until the aircraft departs?</p> <p>Review the ASP and selected AOSPs for procedures regarding the protection of an aircraft from unauthorized interference, from the time the aircraft check or search has commenced, until the aircraft departs, including actions to be taken in the event that the integrity of an aircraft is compromised.</p>	4.3.4	CE-6

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	Note. — <i>Reflect deficiencies in the national AOSPs here. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i>		
5.080*	Are measures to ensure that an aircraft subject to a security check or search is protected from unauthorized interference, from the time the aircraft check or search has commenced, until the aircraft departs consistently and effectively implemented?  Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?	4.3.4	CE-8
5.085	Has the State established a requirement to ensure that measures are taken to ensure that any items left behind by passengers disembarking from transit flights are removed from the aircraft or otherwise dealt with appropriately before departure of the aircraft?  Identify the documentation in which this requirement is established.  <i>Note. — If the State does not have any transit operation, all PQs related to Standard 4.3.2 should be marked as not applicable.</i>	4.3.2	CE-2
5.090	Has the State designated an entity as responsible for the implementation of measures to ensure that any items left behind by passengers disembarking from transit flights are removed from the aircraft or otherwise dealt with appropriately before departure of the aircraft?  Identify the documentation in which this designation is established.  Identify the entity to which this responsibility has been allocated.	4.3.2	CE-3
5.095	Has the State ensured that the relevant entities/aircraft operators have developed procedures to ensure that any items left behind by passengers disembarking from transit flights are removed from the aircraft or otherwise dealt with appropriately before departure of the aircraft?  Review selected AOSPs for procedures to ensure that any items left behind by passengers disembarking from transit flights are removed from the aircraft or otherwise dealt with appropriately before departure of the aircraft.  Verify whether such procedures address, at a minimum:  a) aircraft cabin checks and searches for any items left behind by passengers disembarking from transit flights;  b) positive reconciliation of all cabin baggage stored on the aircraft with transit passengers remaining on board;  c) removal of any items left behind by passengers disembarking from transit flights; and  d) removal of cabin and hold baggage from the aircraft of any passenger who has left a flight prior to its final destination, before the flight is allowed to continue.	4.3.2	CE-6

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Note. — <i>Reflect deficiencies in the national AOSPs here. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i>		
5.100*	Are measures consistently and effectively implemented to ensure that any items left behind by passengers disembarking from transit flights are removed from the aircraft or otherwise dealt with appropriately before departure of the aircraft?  Throughout the course of the audit, are any deficiencies observed or identified during interviews with relevant aircraft operator personnel in regard to the operational implementation of such measures and/or procedures?  Note. — <i>Refer to PQ 5.095 for operational aspects to observe.</i>	4.3.2	CE-8
5.105	Has the State established a requirement for its aircraft operators to take appropriate measures to ensure that during flight unauthorized persons are prevented from entering the flight crew compartment?  Identify the documentation in which this requirement is established.  Note. — <i>If the State does not have any national aircraft operator, all PQs related to Standard 4.3.3 should be marked as not applicable.</i>	4.3.3	CE-2
5.110	Has the State provided appropriate guidance material to its aircraft operators to take appropriate measures to ensure that during flight unauthorized persons are prevented from entering the flight crew compartment?  Identify the documentation in which such guidance material is established.  Note. — <i>Flight crew compartment doors should be locked at the end of the boarding process, from the time the main doors close until they are reopened on arrival. Doors should remain locked while an aircraft is in flight, except when necessary to permit access and egress by authorized persons. Aircraft operators should develop written procedures for inclusion in AOSPs that describe the means and process for locking the flight crew compartment door and for monitoring access. Flight crew compartment security procedures should also describe the use of video monitors or other devices to alert flight crew to activity in the passenger cabin, and the procedures in place for communication between the flight crew compartment and cabin crew.</i>	4.3.3	CE-5
5.115	Has the State ensured that its aircraft operators have developed procedures to ensure that during flight unauthorized persons are prevented from entering the flight crew compartment?  Review selected AOSPs of the State's aircraft operators to ensure that the relevant procedures are included.  Note. — <i>Reflect deficiencies in the national AOSPs here. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i>	4.3.3	CE-6
5.120*	Are measures to ensure that during flight unauthorized persons are prevented from entering the flight crew compartment consistently and effectively implemented?  Throughout the course of the audit, verify, by interviewing relevant personnel, the operational implementation of such measures.	4.3.3	CE-8

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
5.121	<p>Has the State established a requirement to ensure that, in accordance with the risk assessment carried out by its relevant national or local authorities, appropriate measures on the ground or operational procedures are established, to mitigate possible attacks against aircraft using MANPADS and other weapons representing a similar threat to aircraft at or near an airport?</p> <p>Identify the documentation in which this requirement is established.</p>	4.3.6	CE-2
5.122	<p>Has the State designated organizations or entities as responsible for determining and coordinating the implementation of appropriate measures on the ground or operational procedures to mitigate possible attacks against aircraft using MANPADS and other weapons representing a similar threat to aircraft at or near an airport?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the organizations or entities to which this responsibility has been allocated.</p>	4.3.6	CE-3
5.123*	<p>If applicable, is an appropriate methodology available and utilized for determining the appropriate measures on the ground or operational procedures to mitigate possible attacks against aircraft using MANPADS and other weapons representing a similar threat to aircraft at or near an airport?</p> <p>Review the methodology.</p> <p>Verify whether the methodology provides for a vulnerability assessment to identify critical areas around airports, as well as mitigation strategies against MANPADS to address vulnerabilities.</p> <p>Note. — <i>Guidance on vulnerability assessment and mitigation strategies could be found in the ICAO MANPADS Information and Airport Vulnerability Assessment Guide.</i></p> <p>Verify whether appropriate measures and procedures have been established, which may include the following:</p> <ul style="list-style-type: none"> <li>a) patrolling and community awareness;</li> <li>b) training of pilots to use in-flight countermeasures (if available); and</li> <li>c) air traffic control measures.</li> </ul>	4.3.6	CE-5
5.125*	<p>Has the State developed requirements for aircraft operators for the carriage of potentially disruptive passengers who are obliged to travel because they have been the subject of judicial or administrative proceedings?</p> <p>Identify the documentation in which these requirements are established.</p> <p>Verify whether State requirements apply to any inadmissible person who arrives by air, any deportee to be flown to his or her State of citizenship and any person in lawful custody who is to be transported by air.</p>	4.7.1	CE-2

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	<p>Verify whether these requirements address, inter alia:</p> <p>a) an evaluation and/or risk assessment of potentially disruptive passengers to be conducted by the relevant authorities;</p> <p>b) security measures to be applied before, during, and on termination of the flight; and</p> <p>c) aircraft operator's/PIC's right to deny carriage based on the aircraft operator's policy concerning the number of such persons that may be transported on a given flight, or when reasonable concerns exist in regard to the safety and security of the flight in question.</p>		
5.130	<p>Has the State designated an entity(ies) as responsible for implementing measures related to the carriage of potentially disruptive passengers who are obliged to travel because they have been the subject of judicial or administrative proceedings?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the entity(ies) to which this responsibility has been allocated.</p>	4.7.1	CE-3
5.135	<p>Has the State established a requirement for aircraft operators providing service from that State to include in their AOSPs measures and procedures to ensure safety on board their aircraft when passengers who are obliged to travel because they have been the subject of judicial or administrative proceedings are to be carried?</p> <p>Identify the documentation in which this requirement is established.</p>	4.7.2	CE-2
5.140*	<p>Has the State ensured that aircraft operators providing service from that State have included in their AOSPs measures and procedures to ensure safety on board their aircraft when passengers who are obliged to travel because they have been the subject of judicial or administrative proceedings are to be carried?</p> <p>Review selected AOSPs for appropriate measures and procedures to ensure safety on board aircraft when passengers who are obliged to travel because they have been the subject of judicial or administrative proceedings are to be carried.</p> <p>Verify:</p> <p>a) departure notification procedures for the States of transit and final destination;</p> <p>b) boarding procedures;</p> <p>c) procedures during flight, including the use of restraining devices;</p> <p>d) disembarking procedures; and</p> <p>e) escort requirements.</p>	4.7.2	CE-6

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	Note. — <i>Reflect deficiencies in the national AOSPs here. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i>		
5.145*	Are measures and procedures to ensure safety on board aircraft when passengers are to be carried who are obliged to travel because they have been the subject of judicial or administrative proceedings consistently and effectively implemented?  Throughout the course of the audit, verify, through observation if possible, or by interviewing relevant personnel, the operational implementation of such measures and procedures.	4.7.2	CE-8
5.150	Does the State require that the aircraft operator and the PIC be informed when passengers are obliged to travel because they have been the subject of judicial or administrative proceedings, in order for appropriate security controls to be applied?  Identify the documentation in which this requirement is established.  Verify whether this requirement provides for the relevant authorities to give prior written notice to the aircraft operator and the PIC that includes information about the nature and number of potentially disruptive passengers, including the following details:  a) identity of the passengers and reason for transportation;  b) names and titles of escorts, if any;  c) a risk assessment determining passengers' suitability for escorted or unescorted removal, including their medical condition and mental and physical fitness for carriage, their willingness or unwillingness to travel, behavioral patterns and any history of violence, and/or any other pertinent information that would help the aircraft operator assess the risk to the security of the flight (Note. — <i>This requirement stems from Annex 9, Standard 5.19</i> );  d) prior seating arrangements, if required; and  e) nature of available documents.  Verify whether this requirement provides for the relevant authorities:  a) to give at least 24 hours' written notice to the aircraft operator before the intended departure of a deportee or a person in lawful custody; and  b) to notify the inbound aircraft operator without delay on the same day as the passenger's arrival of the need to transport an inadmissible person.	4.7.3	CE-2
5.153	Has the State ensured that the relevant authorities have developed procedures to ensure that the aircraft operator is informed when passengers are obliged to travel because they have been the subject of judicial or administrative proceedings, in order for appropriate security controls to be applied?	4.7.3	CE-5



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	Review relevant procedures regarding the notification to the aircraft operator prior to the carriage of passengers who have been the subject of judicial or administrative proceedings.		
5.155	<p>Has the State ensured that the relevant airport-level entities have developed procedures or practices to ensure that the PIC is informed when passengers are obliged to travel because they have been the subject of judicial or administrative proceedings, in order for appropriate security controls to be applied?</p> <p>Review relevant procedures or examples of implemented practices regarding the notification to the PIC prior to the carriage of passengers who have been the subject of judicial or administrative proceedings.</p> <p><i>Note. — Reflect deficiencies in the national AOSPs here. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i></p>	4.7.3	CE-6
5.160*	<p>Are measures to ensure that the aircraft operator and the PIC are informed when passengers are obliged to travel because they have been the subject of judicial or administrative proceedings consistently and effectively implemented?</p> <p>Throughout the course of the audit, verify, through observation, if possible, or by interviewing relevant personnel, the operational implementation of such measures.</p>	4.7.3	CE-8
5.165	<p>Has the State established a requirement to ensure that the carriage of weapons on board aircraft by LEOs and other authorized persons acting in the performance of their duties requires special authorization in accordance with the laws of the States involved?</p> <p>Identify the documentation in which this requirement is established.</p> <p><i>Note. — If the State does not allow the travel of armed persons on board flights operating from its territory (excluding foreign IFSOs), all PQs related to Standard 4.7.4 should be marked as not applicable.</i></p>	4.7.4	CE-2
5.170	<p>Has the State designated an organization or entity as responsible for providing authorization related to the carriage of weapons on board aircraft by LEOs and other authorized persons acting in the performance of their duties?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the organization or entity responsible for reviewing and approving requests for the carriage of weapons on board aircraft by LEOs and other authorized persons acting in the performance of their duties.</p>	4.7.4	CE-3
5.175	<p>Has the State established detailed instructions and/or directives for the carriage of weapons on board aircraft by LEOs and other authorized persons acting in the performance of their duties?</p> <p>Review the instructions and/or directives, which should include, but not necessarily be limited to, the following:</p> <ul style="list-style-type: none"> <li>a) written documentation requesting the carriage of weapons;</li> <li>b) written approval of the request to authorize the carriage of weapons;</li> </ul>	4.7.4	CE-5

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	<p>c) ensuring that the destination State and other States where en route stops are planned have authorized the carriage of weapons;</p> <p>d) notification to the receiving entity(ies) at the airport of arrival of the carriage of weapons;</p> <p>e) armed personnel to be given instructions regarding rules and regulations pertaining to the carriage of weapons in the State of arrival as well as the State of departure, and those at any intermediate stops; and</p> <p>f) aircraft operators to implement procedures to ensure that armed personnel, prior to boarding an aircraft, are fully briefed and aware of the rules and regulations pertaining to the carriage, risk and use of weapons on board an aircraft.</p>		
5.180	<p>Has the State ensured that the relevant airport-level entities have developed procedures for the carriage of weapons on board aircraft by LEOs and other authorized persons acting in the performance of their duties?</p> <p>Review the ASP and selected national AOSPs for procedures in regard to the carriage of weapons on board aircraft by LEOs and other authorized persons acting in the performance of their duties.</p> <p><i>Note. — Reflect deficiencies in the national AOSPs here. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i></p>	4.7.4	CE-6
5.185*	<p>Are procedures for the carriage of weapons on board aircraft by LEOs and other authorized persons acting in the performance of their duties consistently and effectively implemented?</p> <p>Throughout the course of the audit, observe and/or verify, by interviewing relevant personnel, the operational implementation of such procedures.</p>	4.7.4	CE-8
5.190	<p>Has the State established a policy for considering requests by any other State to allow the travel of armed personnel, including IFSOs, on board aircraft of operators of the requesting State?</p> <p>Identify the documentation in which this policy is established.</p> <p>Verify whether the policy includes the provision that only after agreement by all States involved shall such travel be allowed.</p>	4.7.5	CE-2
5.200	<p>Has the State designated an office(s) or entity(ies) as responsible for considering requests by any other State to allow the travel of armed personnel, including IFSOs, on board aircraft of operators of the requesting State?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the office(s) or entity(ies) responsible for considering such requests.</p>	4.7.5	CE-3
5.202*	<p>Has the State approved requests for travel of armed personnel, including IFSOs, on board aircraft of operators of a requesting State, and if so, was such approval based on a formal agreement between all States involved?</p>	4.7.5	CE-8

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	<p>Review any correspondence received, and verify whether the designated entity has received it and through what channels.</p> <p>Verify the existence of a formally documented agreement between all States involved, if such travel has been allowed.</p> <p><i>Note. — If the State has not received requests from any other State for the travel of armed personnel, including IFSOs, this PQ should be marked as not applicable.</i></p>		
5.205	<p>Has the State established a policy to ensure that the carriage of weapons other than in the cabin of the aircraft is allowed only when an authorized and duly qualified person has determined that they are not loaded, if applicable, and then only if stowed in a place inaccessible to any person during flight time?</p> <p>Identify the documentation in which this policy is established.</p>	4.7.6	CE-2
5.210	<p>Has the State established detailed instructions and/or directives in regard to the carriage of weapons in an area of the aircraft inaccessible to any person during flight time?</p> <p>Review the instructions and/or directives which should include, but not necessarily be limited to, the following:</p> <ul style="list-style-type: none"> <li>a) the presentation by the passenger of written documentation authorizing the transportation of weapons;</li> <li>b) the categories of persons who are trained, duly qualified and authorized to verify and confirm that weapons are unloaded;</li> <li>c) ensuring that such checks are conducted in an appropriately equipped and secure location;</li> <li>d) ensuring that the persons handling weapons and transporting weapons and ammunition through the SRA to the aircraft are appropriately authorized (<i>Note. — Verify whether this is consistent with other regulations related to the carriage/possession of weapons at the airport</i>);</li> <li>e) determination of areas that are acceptable for the storage of weapons on board aircraft, so as to ensure inaccessibility to any person during flight time;</li> <li>f) procedures for transfer and transit stations to be advised and to ensure the integrity of such items; and</li> <li>g) procedures to be implemented to return the weapons and/or ammunition to the passenger at the final destination.</li> </ul>	4.7.6	CE-5
5.215	<p>Has the State ensured that the relevant airport-level entities have developed procedures for the carriage of weapons in an area of the aircraft inaccessible to any person during flight time?</p> <p>Review the ASP and selected AOSPs for procedures regarding the carriage of weapons in an area of the aircraft inaccessible to any person during flight time.</p> <p>Verify whether these procedures clearly:</p>	4.7.6	CE-6

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	<p>a) specify the appropriate categories of persons who are trained, duly qualified and authorized to verify and confirm that the weapons are unloaded;</p> <p>b) describe the process of check-in, handling and transporting weapons and ammunition through the SRA to the aircraft and loading on board the aircraft, and verify whether it is consistent with any other requirements related to the carriage or possession of weapons within an SRA;</p> <p>c) identify appropriate areas of the aircraft for storage of weapons and ammunition that are inaccessible to any person during flight time; and</p> <p>d) describe the process for handling weapons and ammunition in transit or transferring between flights.</p> <p><i>Note. — Reflect deficiencies in the national AOSPs here. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i></p>		
5.220*	<p>Are procedures for the carriage of weapons in an area of the aircraft inaccessible to any person during flight time consistently and effectively implemented?</p> <p>Throughout the course of the audit, observe and/or verify, by interviewing relevant personnel, the operational implementation of such measures.</p>	4.7.6	CE-8
5.230*	<p>If the State has established an IFSO programme, has the State established special selection and training requirements applicable to IFSOs?</p> <p>Identify the documentation in which these requirements are established.</p> <p>Requirements should include, but not necessarily be limited to:</p> <p>a) IFSOs to be government personnel; and</p> <p>b) special selection criteria and extensive and continuous training, taking into account the safety and security aspects on board an aircraft.</p> <p><i>Note. — Verification of the existence of special selection criteria and training regimes will suffice, as details related to this will be highly confidential.</i></p>	4.7.7	CE-4
5.235*	<p>If the State has established an IFSO programme, has the State established a formal mechanism for coordinating the deployment of such officers with concerned States and keeping such deployment strictly confidential?</p> <p>Verify the existence of a formal mechanism for coordinating and keeping strictly confidential the deployment of such IFSOs with the appropriate authority for aviation security of all concerned States.</p>	4.7.7	CE-3

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	Note. — <i>Deployment of armed IFSOs on international routes requires the agreement of the governments of the State of the Operator and State of Registry of the aircraft. Agreements should also be negotiated with certain other States, including those in which intermediate stops may be made and those which may serve as alternative destinations in the event of an emergency diversion of an aircraft with armed IFSOs.</i>		
5.240	<p>Has the State established a requirement to ensure that the PIC is notified as to the number of armed persons and their seat location?</p> <p>Identify the documentation in which this requirement is established.</p> <p>Verify whether the requirement provides for:</p> <p>a) aircraft operators to ensure that the PIC and all crew members are advised of the seat location of each armed person on board the aircraft; and</p> <p>b) each armed person to be notified of the seat location of the other armed person(s), if more than one armed person is on board the aircraft.</p> <p>Note. — <i>If the State does not allow the travel of armed persons on board flights operating from its territory (excluding foreign IFSOs), all PQs related to Standard 4.7.8 should be marked as not applicable.</i></p>	4.7.8	CE-2
5.245	<p>Has the State ensured that the relevant airport-level entities have developed procedures to ensure that the PIC is notified as to the number of armed persons and their seat location?</p> <p>Review selected AOSPs and/or the ASP, if applicable, for procedures regarding the notification to the PIC as to the number of armed persons and their seat location.</p> <p>Verify whether these include:</p> <p>a) formal notification to the PIC and all crew members;</p> <p>b) procedures to ensure that each armed person is notified of the seat location of the other armed person if more than one armed person is on board the aircraft; and</p> <p>c) the maintenance of records related to such notification.</p> <p>Note. — <i>Reflect deficiencies in the national AOSPs here. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i></p>	4.7.8	CE-6
5.250*	Are procedures to ensure that the PIC is notified as to the number of armed persons and their seat location consistently and effectively implemented?	4.7.8	CE-8

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	Throughout the course of the audit, observe and/or verify, by interviewing relevant personnel, the operational implementation of such measures.		
6.001	<p>Does the State require the establishment of measures to ensure that originating passengers and their cabin baggage are screened prior to boarding an aircraft departing from an SRA?</p> <p>Identify the documentation in which this requirement is established.</p>	4.4.1	CE-2
6.005	<p>Has the State designated an organization or entity as responsible for the screening of originating passengers and their cabin baggage?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the organization or entity to which this responsibility has been allocated.</p>	4.4.1	CE-3
6.010	<p>Has the State developed instructions, guidance material or performance criteria for the screening of originating passengers and their cabin baggage?</p> <p>Review national-level instructions, guidance material or performance criteria for the screening of originating passengers and their cabin baggage.</p> <p>Verify whether such instructions, guidance material or performance criteria include the following, at a minimum:</p> <p>a) acceptable methods of screening of originating passengers and their cabin baggage; and</p> <p>b) prohibited items list.</p>	4.4.1	CE-5
6.020	<p>Has the State ensured that the relevant airport-level entities have developed detailed procedures for the screening of originating passengers and their cabin baggage?</p> <p>Review the ASP and other relevant airport-level SOPs for procedures regarding the screening of originating passengers and their cabin baggage.</p> <p>Verify whether these procedures provide sufficient details in regard to the screening of originating passengers and their cabin baggage, to cover areas including:</p> <p>a) specific roles and responsibilities for screening staff at each SCP;</p> <p>b) rotation periods for screening staff;</p> <p>c) instructions for dealing with prohibited or suspicious items detected during the screening process either in cabin baggage or on a person and for the disposal of confiscated articles;</p>	4.4.1	CE-6

PQ No.	<b>PROTOCOL QUESTION</b> <b>GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE</b>	ICAO REF	CE
	<p>d) primary methods of screening of passengers and alarm resolution procedures;</p> <p>e) primary method of screening of cabin baggage, including COMAT and COMAIL, before being loaded into any part of an aircraft other than the hold, and alarm resolution procedures;</p> <p>f) provision of a list of items prohibited in the cabin of an aircraft;</p> <p>g) minimum percentage of secondary screening of passengers to overcome the technical limitations of the primary method of screening (e.g. the inability of WTMDs to detect non-metallic threat items);</p> <p>h) gender-based manual search;i) minimum percentage of secondary screening of cabin baggage (and associated tracking mechanism), which may include a physical search or use of technology, made on a basis of reasoned selection to encourage rejection of cabin baggage with complex image;</p> <p>j) measures to be implemented in the event of a power and/or system outage or breakdown of screening equipment;</p> <p>k) law enforcement response to SCPs, which may include the provision of covert alarms;</p> <p>l) screening of persons with reduced mobility;</p> <p>m) screening of VIPs;</p> <p>n) screening of diplomatic pouches and couriers;</p> <p>o) handling of armed protective escorts;</p> <p>p) screening of persons under judicial or administrative proceedings;</p> <p>q) screening of crew members;</p> <p>r) screening of items of religious significance;</p> <p>s) screening of medical, lifesaving, evidentiary or scientific items and crematory containers;</p> <p>t) screening of live animals permitted to be carried in the cabin of an aircraft;</p> <p>u) security provisions for LAGs and STEBs, as applicable;</p> <p>v) private screening; and</p>		

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>w) specific lists and instructions for any persons exempt from screening.</p> <p>If utilizing a TIP system on security screening equipment used for the screening of cabin baggage, review the ASP and other relevant airport-level SOPs for procedures regarding:</p> <p>a) TIP system administration and operation;</p> <p>b) size and composition of the library of images for security screening equipment used for the screening of cabin baggage, projection ratios and periodic renewal; and</p> <p>c) evaluation of TIP performance of screeners.</p>		
6.025*	<p>Are maintenance and performance testing of security screening equipment used in the screening of originating passengers and their cabin baggage consistently and effectively implemented?</p> <p>Verify whether maintenance and performance testing are regularly carried out by reviewing test and maintenance records of security screening equipment used in the screening of originating passengers and their cabin baggage.</p> <p>If utilizing a TIP system on security screening equipment used for the screening of originating passengers' cabin baggage, verify whether the TIP system is correctly configured.</p>	4.4.1	CE-8
6.030*	<p>Is the screening of originating passengers and their cabin baggage consistently and effectively implemented?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?</p> <p>If utilizing a TIP system on security screening equipment used for the screening of originating passengers' cabin baggage, verify whether the TIP system is correctly operated.</p> <p><i>Note. — Refer to PQ 6.020 for operational aspects to observe.</i></p>	4.4.1	CE-8
6.032	<p>Has the State developed instructions, guidance material or performance criteria regarding the use of appropriate screening methods that are capable of detecting the presence of explosives and explosive devices carried by passengers on their persons or in cabin baggage?</p> <p>Review national-level instructions, guidance material or performance criteria for the screening of originating passengers and cabin baggage using appropriate screening methods that are capable of detecting the presence of explosives and explosive devices.</p> <p>Verify whether such documentation defines acceptable screening methods that are capable of detecting the presence of explosives and explosive devices carried by passengers on their persons or in cabin baggage, including a requirement for such methods to be applied either continuously or in an unpredictable manner..</p>	4.4.2	CE-5



PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Note 1. — <i>Passenger and cabin baggage screening includes at least one of the following methods capable of detecting explosives:</i></p> <ul style="list-style-type: none"> <li><i>a) hand search;</i></li> <li><i>b) explosive trace detection equipment;</i></li> <li><i>c) explosive detection systems equipment;</i></li> <li><i>d) explosive detection dogs;</i></li> <li><i>e) liquid explosive detection systems equipment;</i></li> <li><i>f) body scanners (security scanners); or</i></li> <li><i>g) X-ray screening equipment.</i></li> </ul> <p>Note 2. — <i>If this PQ is marked as not satisfactory, PQ 6.010 should also be marked as not satisfactory.</i></p>		
6.034*	<p>Is the screening of originating passengers and their cabin baggage consistently and effectively implemented using appropriate screening methods that are capable of detecting the presence of explosives and explosive devices?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?</p> <p>Verify whether the screening methods that are capable of detecting the presence of explosives and explosive devices carried by passengers on their persons or in cabin baggage are either applied continuously or used in an unpredictable manner.</p> <p>Note. — <i>If this PQ is marked as not satisfactory, PQ 6.030 should also be marked as not satisfactory.</i></p>	4.4.2	CE-8
6.035	<p>Has the State established a policy to ensure that transfer passengers and their cabin baggage are screened prior to boarding an aircraft, or a policy to implement appropriate alternative measures for the validation of screening accepted at the point of origin in a foreign State?</p> <p>Identify the documentation in which this policy is established.</p> <p>Note. — <i>If the State does not have transfer operations, all PQs related to Standard 4.4.3 shall be marked as not applicable. Furthermore, if transfer passengers and their cabin baggage must exit the sterile area and be rescreened in the same manner as originating passengers, these PQs shall also be marked as not applicable.</i></p>	4.4.3	CE-2
6.040	<p>If the State conducts screening for any transfer passengers and their cabin baggage, has the State designated an organization or entity as responsible for the screening of transfer passengers and their cabin baggage?</p>	4.4.3	CE-3

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Identify the documentation in which this designation is established.  Identify the organization or entity to which this responsibility has been allocated.		
6.050	If the State conducts screening for any transfer passengers and their cabin baggage, has the State ensured that the relevant airport-level entities have developed procedures for the screening of transfer passengers and their cabin baggage?  Review the ASP and other relevant airport-level SOPs for procedures regarding the screening of transfer passengers and their cabin baggage.  Verify whether these procedures provide sufficient details in regard to the screening of transfer passengers and their cabin baggage, as detailed under PQ 6.020.	4.4.3	CE-6
6.055*	If the State conducts screening for any transfer passengers and their cabin baggage, are maintenance and performance testing of security screening equipment used in the screening of transfer passengers and their cabin baggage consistently and effectively implemented?  Verify whether maintenance and performance testing are regularly carried out by reviewing test and maintenance records of security screening equipment used in the screening of transfer passengers and their cabin baggage.  If utilizing a TIP system on security screening equipment used for the screening of transfer passengers' cabin baggage, verify whether the TIP system is correctly configured.	4.4.3	CE-8
6.060*	If the State conducts screening for any transfer passengers and their cabin baggage, are procedures for the screening of transfer passengers and their cabin baggage consistently and effectively implemented?  Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?  If utilizing a TIP system on security screening equipment used for the screening of transfer passengers' cabin baggage, verify whether the TIP system is correctly operated.  <i>Note. — Refer to PQ 6.020 for operational aspects to observe.</i>	4.4.3	CE-8
6.065*	If the State relies on screening performed at any points of origin in a foreign State, has the State established a validation process, and does it continuously implement procedures, in collaboration with the other Contracting State, where appropriate, to ensure that such passengers and their cabin baggage have been screened to an appropriate level at the point of origin and, subsequently, protected from unauthorized interference, from the point of screening at the originating airport, to the departing aircraft at the transfer airport?  Verify whether the appropriate authority has formally recognized that passenger and cabin baggage screening and protection standards at the originating airport in the foreign State are at least equivalent, in terms of the security outcome, to its own security measures, based on the verification/assessment of the following:	4.4.3	CE-7

PQ No.	<b>PROTOCOL QUESTION</b> <b>GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE</b>	ICAO REF	CE
	<p>a) national-level programmes/regulations, the ASP and other airport-level procedures and practices that support aviation security controls at the originating airport in the foreign State;</p> <p>b) performance of effective monitoring measures conducted by the appropriate authority of the foreign State at the originating airport, including the scope, frequency and results of quality control activities;</p> <p>c) threat and risk environment in the foreign State;</p> <p>d) security equipment deployed at the originating airport in the foreign State, including procedures for operation, calibration, maintenance and performance testing;</p> <p>e) recruitment, background checks, training and certification of security staff deployed at the originating airport in the foreign State; and</p> <p>f) on-site assessment of the security system in the foreign State, including all relevant factors related to airport and aircraft operations, affecting the protection of passengers, baggage and the aircraft.</p> <p>Verify whether the State conducts regular on-site assessments of applicable security procedures at the originating airport in the foreign State, as a means to validate the recognition of equivalence arrangement on an ongoing basis.</p> <p>Verify documented frequency of on-site assessments, based on the robustness of the security oversight programme of the foreign State, and the entity responsible for such assessments.</p> <p>If the foreign State has its own recognition process for equivalence of security arrangements with other States, then it will be necessary for the State to confirm that the process applied by the foreign State meets its own standards.</p> <p>Verify that physical or procedural separation is maintained so that passengers covered by the recognition of equivalence arrangement do not mix with unscreened passengers not covered by such an arrangement.</p> <p>Verify whether the State has established a mechanism to be notified of any changes affecting the recognition of equivalence arrangement, including changes to the operational environment, threat and risk environment, security programmes, regulations, procedures, unresolved lack of compliance during oversight activities carried out by the foreign State, or any new recognition of equivalence arrangement agreed by the foreign State.</p>		
6.070	<p>Has the State established a requirement to ensure that passengers and their cabin baggage are protected from unauthorized interference, from the point of screening, until they board their aircraft?</p> <p>Identify the documentation in which this requirement is established.</p> <p>Verify whether the requirement also includes the need, in the event of a mix of screened and unscreened persons, to:</p>	4.4.4	CE-2

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	<p>a) clear and search the sterile area;</p> <p>b) rescreen departing passengers and their cabin baggage before boarding the aircraft; and</p> <p>c) subject the aircraft concerned to a full cabin search, should any departing passenger have had access to an aircraft after the occurrence of the mix.</p>		
6.075	<p>Has the State ensured that the relevant airport-level entities have developed procedures to protect screened passengers and their cabin baggage from unauthorized interference, from the point of screening, until they board their aircraft?</p> <p>Review the ASP, selected AOSPs and other relevant airport-level SOPs for procedures related to the protection of screened passengers and their cabin baggage from unauthorized interference, from the point of screening, until they board their aircraft.</p> <p>Verify whether these procedures provide for the passengers concerned and their cabin baggage to be re-screened before boarding an aircraft, in the event mixing or contact takes place, such as between screened passengers and their cabin baggage and unscreened persons.</p> <p><i>Note. — Reflect deficiencies in the national AOSPs here. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i></p>	4.4.4	CE-6
6.080*	<p>Are measures for the protection of screened passengers and their cabin baggage from unauthorized interference, from the point of screening, until they board their aircraft consistently and effectively implemented?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?</p> <p>In the event mixing or contact takes place, such as between screened passengers and their cabin baggage and unscreened persons, verify that the originating passengers concerned and their cabin baggage are required to undergo re-screening.</p>	4.4.4	CE-8
6.085	<p>Does the State require that measures be established at an airport for transit operations to protect transit passengers and their cabin baggage from unauthorized interference, and to protect the integrity of the security of the airport of transit?</p> <p>Identify the documentation in which this requirement is established.</p> <p><i>Note. — If the State does not have any transit operation, all PQs related to Standard 4.4.5 should be marked as not applicable.</i></p>	4.4.5	CE-2
6.090	<p>Has the State designated an organization or entity as responsible for establishing measures at an airport for transit operations to protect transit passengers and their cabin baggage from unauthorized interference, and to protect the integrity of the security of the airport of transit?</p> <p>Identify the documentation in which this designation is established.</p>	4.4.5	CE-3

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	Identify the organization or entity to which this responsibility has been allocated.		
6.095	<p>Has the State ensured that the relevant airport-level entities have developed procedures for transit operations to protect transit passengers and their cabin baggage from unauthorized interference, and to protect the integrity of the security of the airport of transit?</p> <p>Review the ASP, selected AOSPs and other relevant airport-level SOPs for procedures related to the protection of:</p> <p>a) transit passengers and their cabin baggage from unauthorized interference; and</p> <p>b) the integrity of the security of the airport of transit.</p> <p><i>Note. — Reflect deficiencies in the national AOSPs here. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i></p>	4.4.5	CE-6
6.100*	<p>Are measures for transit operations to protect transit passengers and their cabin baggage from unauthorized interference, and to protect the integrity of the security of the airport of transit consistently and effectively implemented?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?</p> <p>In the event that the integrity of the security of the airport of transit is compromised, verify whether appropriate measures are implemented, such as the re-screening of passengers and their cabin baggage, as required, and the conduct of security sweeps/searches of areas affected within an SRA to re-establish sterility.</p>	4.4.5	CE-8
6.105	<p>Does the State require the establishment of measures to ensure that originating hold baggage is screened prior to being loaded onto an aircraft departing from an SRA?</p> <p>Identify the documentation in which this requirement is established.</p>	4.5.1	CE-2
6.110	<p>Has the State designated an organization or entity as responsible for the screening of originating hold baggage?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the organization or entity to which this responsibility has been allocated.</p>	4.5.1	CE-3
6.115	<p>Has the State developed instructions, guidance material or performance criteria for the screening of originating hold baggage?</p> <p>Review national-level instructions, guidance material or performance criteria regarding the screening of originating hold baggage.</p> <p>Verify whether such instructions, guidance material or performance criteria include the following, at a minimum:</p> <p>a) acceptable methods of screening of originating hold baggage; and</p>	4.5.1	CE-5

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	<p>b) prohibited items list.</p> <p>Verify whether acceptable screening methods are capable of detecting the presence of explosives and explosive devices carried in hold baggage.</p> <p>Note. — <i>Hold baggage screening includes at least one of the following methods capable of detecting explosives and explosive devices:</i></p> <p><i>a) hand search;</i></p> <p><i>b) X-ray screening equipment, combined with a minimum percentage of secondary screening of hold baggage (and associated tracking mechanism), which may include a physical search or use of technology, made on a basis of reasoned selection to encourage rejection of hold baggage with a complex image;</i></p> <p><i>c) explosive trace detection equipment;</i></p> <p><i>d) explosive detection systems equipment; or</i></p> <p><i>e) explosive detection dogs.</i></p>		
6.125	<p>Has the State ensured that the relevant airport-level entities have developed detailed procedures for the screening of originating hold baggage?</p> <p>Review the ASP and other relevant airport-level SOPs for procedures regarding the screening of originating hold baggage, including specific roles and responsibilities for screening staff at each SCP and rotation periods.</p> <p>Verify whether these procedures provide sufficient details in regard to the screening of originating hold baggage, to cover areas including:</p> <p>a) methods of screening of hold baggage, including COMAT and COMAIL before being loaded into the hold of an aircraft, and alarm resolution;</p> <p>b) measures to be implemented in the event of a power and/or system outage or breakdown of screening equipment;</p> <p>c) specified exemption list;</p> <p>d) list of items prohibited in the hold of an aircraft;</p> <p>e) measures in the event that a suspicious or prohibited item is discovered; and</p>	4.5.1	CE-6

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	<p>f) measures to reunite passengers with hold baggage for physical searches of such baggage, if applicable.</p> <p>If utilizing a TIP system on security screening equipment used for the screening of hold baggage, review the ASP and other relevant airport-level SOPs for procedures regarding:</p> <p>a) TIP system administration and operation;</p> <p>b) size and composition of the library of images for security screening equipment used for the screening of hold baggage, projection ratios and periodic renewal; and</p> <p>c) evaluation of TIP performance of screeners.</p>		
6.130*	<p>Are maintenance and performance testing of security screening equipment used in the screening of originating hold baggage consistently and effectively implemented?</p> <p>Verify whether maintenance and performance testing are regularly carried out by reviewing test and maintenance records of security screening equipment used in the screening of originating hold baggage.</p> <p>Verify whether regular performance testing of image quality is carried out, for both x-ray generators (single and multi-view, excluding CTX) and display monitors. For remote screening stations, image quality testing of display monitors may take place less frequently.</p> <p>If utilizing a TIP system on security screening equipment used for the screening of originating hold baggage, verify whether the TIP system is correctly configured.</p> <p>If utilizing a multi-level hold baggage screening system for screening of originating hold baggage, verify whether operational data related to rejection rates at the different levels is recorded and utilized for maintenance purposes.</p>	4.5.1	CE-8
6.135*	<p>Is the screening of originating hold baggage consistently and effectively implemented?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?</p> <p>If utilizing a TIP system on security screening equipment used for the screening of originating hold baggage, verify whether the TIP system is correctly operated.</p> <p><i>Note. — Refer to PQ 6.125 for operational aspects to observe.</i></p>	4.5.1	CE-8
6.137	<p>Has the State developed instructions, guidance material or performance criteria regarding the use of appropriate screening methods that are capable of detecting the presence of explosives and explosive devices in hold baggage?</p> <p><i>Note. — The result of the assessment of this PQ will be the same as for PQ 6.115.</i></p>	4.5.2	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
6.139*	Is the screening of originating hold baggage consistently and effectively implemented using appropriate screening methods that are capable of detecting the presence of explosives and explosive devices?  <i>Note. — The result of the assessment of this PQ will be the same as for PQ 6.135.</i>	4.5.2	CE-8
6.140	Has the State established a policy to ensure that transfer hold baggage is screened prior to being loaded onto an aircraft, or a policy to implement appropriate alternative measures for the validation of screening accepted at the point of origin in a foreign State?  Identify the documentation in which this policy is established.  <i>Note. — If the State does not have transfer operations, all PQs related to Standard 4.5.5 shall be marked as not applicable. Furthermore, if passengers must claim their transfer hold baggage and it is then rescreened in the same manner as originating hold baggage, these PQs shall also be marked as not applicable.</i>	4.5.5	CE-2
6.145	If the State conducts screening for any transfer hold baggage, has the State designated an organization or entity as responsible for implementing transfer hold baggage screening?  Identify the documentation in which this designation is established.  Identify the organization or entity to which this responsibility has been allocated.	4.5.5	CE-3
6.155	If the State conducts screening for any transfer hold baggage, has the State ensured that the relevant airport-level entities have developed procedures for the screening of transfer hold baggage?  Review the ASP and other relevant airport-level SOPs for procedures regarding the screening of transfer hold baggage.  Verify whether these procedures provide sufficient details in regard to the screening of transfer hold baggage, as detailed under PQ 6.125.	4.5.5	CE-6
6.160*	If the State conducts screening for any transfer hold baggage, are maintenance and performance testing of security screening equipment used in the screening of transfer hold baggage consistently and effectively implemented?  Verify whether maintenance and performance testing are regularly carried out by reviewing test and maintenance records of security screening equipment used in the screening of transfer hold baggage.  If utilizing a TIP system on security screening equipment used for the screening of transfer hold baggage, verify whether the TIP system is correctly configured.  If utilizing a multi-level hold baggage screening system for screening of transfer hold baggage, verify whether operational data related to rejection rates at the different levels is recorded and utilized for maintenance purposes.	4.5.5	CE-8
6.165*	If the State conducts screening for any transfer hold baggage, are procedures for the screening of transfer hold baggage consistently and effectively implemented?	4.5.5	CE-8



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	<p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?</p> <p>If utilizing a TIP system on security screening equipment used for the screening of transfer hold baggage, verify whether the TIP system is correctly operated.</p> <p><i>Note. — Refer to PQ 6.125 for operational aspects to observe.</i></p>		
6.170*	<p>If the State relies on screening performed at any points of origin in a foreign State, has the State established a validation process, and does it continuously implement procedures, in collaboration with the other Contracting State, where appropriate, to ensure that such hold baggage has been screened to an appropriate level at the point of origin and, subsequently, protected from unauthorized interference, from the point of screening at the originating airport, to the departing aircraft at the transfer airport?</p> <p>Verify whether the State has formally recognized that hold baggage screening standards at the originating airport in the foreign State are at least equivalent, in terms of the security outcome, to its own security measures, based on ongoing verification/assessment of the following:</p> <ul style="list-style-type: none"> <li>a) national-level programmes/regulations, the ASP and other airport-level procedures and practices that support aviation security controls at the originating airport in the foreign State;</li> <li>b) performance monitoring measures conducted by the appropriate authority of the foreign State at the originating airport, including the scope, frequency and results of quality control activities;</li> <li>c) threat and risk environment in the foreign State and recognition arrangements in place in the foreign State with other States, if any;</li> <li>d) security equipment deployed at the originating airport in the foreign State, including procedures for operation, calibration, maintenance and performance testing; and</li> <li>e) recruitment, background checks, training and certification of security staff deployed at the originating airport in the foreign State.</li> </ul> <p>Verify whether the State conducts regular on-site assessments of applicable security procedures at the originating airport in the foreign State, as a means to validate the recognition arrangement on an ongoing basis. Identify the frequency of on-site assessments and the entity responsible for such assessments.</p> <p>Verify whether transfer hold baggage covered by the recognition arrangement is protected from unauthorized interference, from the arriving aircraft to the departing aircraft at the transfer airport in the State.</p>	4.5.5	CE-7
6.175	<p>Has the State established a policy to ensure that all hold baggage to be carried on an aircraft is protected from unauthorized interference, from the point it is screened or accepted into the care of the aircraft operator, whichever is earlier, until departure of the aircraft on which it is to be carried?</p>	4.5.3	CE-2

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	Identify the documentation in which the policy is established.		
6.180	<p>Has the State designated an office or entity as responsible for the implementation of measures to protect all hold baggage to be carried on an aircraft from unauthorized interference, from the point it is screened or accepted into the care of the aircraft operator, whichever is earlier, until departure of the aircraft on which it is to be carried?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the office or entity to which this responsibility has been allocated.</p>	4.5.3	CE-3
6.185	<p>Has the State ensured that the relevant airport-level entities have developed procedures to ensure that all hold baggage to be carried on an aircraft is protected from unauthorized interference, from the point it is screened or accepted into the care of the aircraft operator, whichever is earlier, until departure of the aircraft on which it is to be carried?</p> <p>Review the ASP, selected AOSPs and other relevant airport-level SOPs for procedures related to the protection of hold baggage from unauthorized interference, from the point it is screened or accepted into the care of the aircraft operator, whichever is earlier, until departure of the aircraft on which it is to be carried.</p> <p>Verify whether these procedures include, but are not necessarily limited to:</p> <ul style="list-style-type: none"> <li>a) monitoring or the use of restricted access and/or specific pass zones for hold baggage make-up areas;</li> <li>b) detailed procedures for off-airport check-in, if applicable;</li> <li>c) ensuring that hold baggage is not interfered with between screening and check-in, if hold baggage screening is conducted prior to check-in;</li> <li>d) any special arrangements for hold baggage if left unattended on the ramp;</li> <li>e) actions to be taken in the event that the integrity of hold baggage is compromised, such as re-screening before being placed on board an aircraft; and</li> <li>f) ensuring that crew hold baggage is protected prior to check-in, if different from the above.</li> </ul> <p><i>Note. — Reflect deficiencies in the national AOSPs here. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i></p>	4.5.3	CE-6
6.190*	Are measures for the protection of hold baggage from unauthorized interference, from the point it is screened or accepted into the care of the aircraft operator, whichever is earlier, until departure of the aircraft on which it is to be carried consistently and effectively implemented?	4.5.3	CE-8

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?  <i>Note. — Refer to PQ 6.185 for operational aspects to observe.</i>		
6.195	Has the State established a person/baggage reconciliation policy?  Identify the documentation in which this requirement is established.	4.5.4	CE-2
6.200	Has the State established a requirement for authorizing hold baggage for carriage?  Identify the documentation in which this requirement is established.	4.5.6	CE-2
6.205	Has the State designated an organization or entity as responsible for implementing hold baggage reconciliation?  Identify the documentation in which this designation is established.  Identify the organization or entity to which this responsibility has been allocated.	4.5.4	CE-3
6.210	Has the State designated an organization or entity as responsible for authorizing hold baggage for carriage?  Identify the documentation in which this designation is established.  Identify the organization or entity to which this responsibility has been allocated.	4.5.6	CE-3
6.215	Has the State ensured that the relevant airport-level entities have developed procedures to ensure hold baggage reconciliation?  Review the ASP, selected AOSPs and other relevant airport-level SOPs, as appropriate, for procedures related to hold baggage reconciliation.  Verify whether these procedures include, but are not necessarily limited to:  a) retrieving and offloading baggage, including gate baggage, if a person with baggage does not board or disembarks from the aircraft prior to departure;  b) ensuring that transit passengers that are booked to continue their journey on the same aircraft remain on board, or reboard after they disembark;  c) ensuring that procedures similar to those for originating passengers are applied to crew members, if crew members have checked in hold baggage;  d) identifying which item of baggage belongs to which passenger, when passengers travelling together are allowed to share the total baggage allowance (group check-in); and	4.5.4	CE-6

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>e) taking appropriate action in the event that unaccompanied baggage is identified.</p> <p><i>Note. — Reflect deficiencies in the national AOSPs here. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i></p>		
6.220	<p>Has the State ensured that the relevant airport-level entities have developed procedures to ensure that only authorized hold baggage is accepted for carriage?</p> <p>Review the ASP, selected AOSPs and other relevant airport-level SOPs, as appropriate, for procedures related to the authorization of hold baggage.</p> <p>Verify whether these procedures address, at a minimum:</p> <p>a) a system to account for the different types of hold baggage, such as originating baggage, transfer baggage, crew baggage, gate baggage and unaccompanied baggage;</p> <p>b) a requirement for a specific person to be appointed to validate and authorize hold baggage for carriage on a flight, having determined that each item of hold baggage has been identified as accompanied or unaccompanied, screened to the appropriate standard and is authorized for carriage on that flight, by recording all such baggage as meeting these criteria and signing a hold baggage manifest prior to pushback; and</p> <p>c) a requirement for the maintenance of a hold baggage (reconciliation and authorization) manifest.</p> <p><i>Note. — Reflect deficiencies in the national AOSPs here. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i></p>	4.5.6	CE-6
6.225*	<p>Are procedures for holdbaggage reconciliation consistently and effectively implemented?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?</p> <p><i>Note. — Refer to PQ 6.215 for operational aspects to observe.</i></p>	4.5.4	CE-8
6.230*	<p>Are procedures for the authorization of hold baggage to be carried on an aircraft consistently and effectively implemented?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?</p> <p><i>Note. — Refer to PQ 6.220 for operational aspects to observe.</i></p>	4.5.6	CE-8

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
7.001	<p>Has the State established a requirement to ensure that appropriate security controls, including screening where practicable, are applied to cargo and mail, prior to their being loaded onto an aircraft?</p> <p>Identify the documentation in which this requirement is established.</p> <p>Verify whether the minimum requirements (acceptable security controls) for both cargo and mail include screening by technology or other form of active security control, e.g. a regulated agent and known consignor regime and/or supply chain security process.</p> <p>Verify what requirements are applicable to both passenger aircraft and all-cargo aircraft.</p>	4.6.1	CE-2
7.005	<p>Has the State designated an organization or entity as responsible for the implementation of security controls for cargo and mail, prior to their being loaded onto an aircraft?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the organization or entity to which this responsibility has been allocated.</p>	4.6.1	CE-3
7.010	<p>Has the State developed instructions, guidance material or performance criteria for the application of security controls, including screening where practicable, to cargo and mail, prior to their being loaded onto an aircraft?</p> <p>Review national-level instructions, guidance material or performance criteria in regard to security controls for cargo and mail.</p> <p>Verify whether such documentation includes:</p> <ul style="list-style-type: none"> <li>a) security controls for cargo and mail, including screening where practicable;</li> <li>b) security controls for COMAT and COMAIL, if these differ from normal requirements for other cargo and mail; and</li> <li>c) any exceptions from the required security controls allowed by the State (such as for high-value cargo, live animals, vaccines and other perishable medical items, life-sustaining items, human remains and special nuclear materials).</li> </ul>	4.6.1	CE-5
7.020	<p>Has the State ensured that the relevant airport-level entities have developed procedures for the application of security controls, including screening where practicable, to cargo and mail, prior to their being loaded onto an aircraft?</p> <p>Review the ASP, selected AOSPs, regulated agent and known consignor security programmes or other relevant airport-level SOPs for procedures regarding the application of security controls to cargo and mail.</p> <p>Verify whether these procedures provide sufficient details in regard to security controls, including screening where practicable, applied to cargo and mail, including COMAT and COMAIL.</p>	4.6.1	CE-6

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Note. — <i>Reflect deficiencies in the national AOSPs here, if applicable. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i>		
7.025*	Are maintenance and performance testing of security screening equipment used in the screening of cargo and mail consistently and effectively implemented?  Verify whether maintenance and performance testing are regularly carried out by reviewing test and maintenance records of security screening equipment used in the screening of cargo and mail.	4.6.1	CE-8
7.030*	Are security controls, including screening, where practicable, of cargo and mail prior to their being loaded onto an aircraft consistently and effectively implemented?  Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?	4.6.1	CE-8
7.040	Has the State developed instructions, guidance material or performance criteria regarding appropriate methods of screening of cargo and mail, based on the nature of the consignment?  Review national-level instructions, guidance material or performance criteria regarding appropriate methods of screening of cargo and mail.  Verify whether such documentation:  a) defines acceptable and specified requirements for the types of threat detection techniques to detect one or more of the components of an IED, such as: <ul style="list-style-type: none"> <li>• visual check;</li> <li>• hand search;</li> <li>• X-ray screening equipment;</li> <li>• algorithm-based X-ray (such as EDS);</li> <li>• metal detection equipment;</li> <li>• explosives trace detection equipment;</li> <li>• explosives vapour detection equipment;</li> <li>• explosives detection dogs; and</li> </ul>	4.6.10	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>b) contains a requirement for more than one method of screening to be readily available in cases where a single screening method is not sufficient to screen all types of cargo and mail.</p> <p>Note 1. — <i>Threat activation techniques, such as decompression chambers, full-flight simulation systems and cooling periods (e.g. holding cargo for 24 to 48 hours) are not screening methods for cargo and mail and should not be used as an alternative to screening.</i></p> <p>Note 2. — <i>Metal detection equipment and/or visual inspection techniques should be used only exceptionally for screening cargo. These techniques should normally be used only in conjunction with other threat detection techniques, but may be considered as a single screening method for certain special categories of cargo, such as fresh produce and live animals.</i></p>		
7.045*	<p>Is the screening of cargo and mail carried out using an appropriate method or methods, taking into account the nature of the consignment?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of the screening technique used for different types of cargo consignments?</p> <p>Verify whether:</p> <p>a) the means or method of screening take into account the nature of the consignment, and are of a standard sufficient to reasonably ensure that no prohibited items are concealed in the consignment; and</p> <p>b) consignments for which the screener cannot reasonably ensure that they do not contain prohibited items are either rejected or subjected to other appropriate means or method of screening to the screener's satisfaction, such as screening consignments from two different angles, screening pieces of palletized consignments separately, applying other screening methods.</p>	4.6.10	CE-8
7.050	<p>Has the State established a policy for a supply chain security process, which includes the approval of regulated agents and/or known consignors, if such entities are involved in implementing screening or other security controls of cargo and mail?</p> <p>Identify the documentation in which the supply chain security process is established.</p>	4.6.2	CE-2
7.053	<p>Has the State defined the entities involved in the supply chain security process for cargo and mail?</p> <p>Identify the entities involved in the supply chain security process.</p> <p>Note. — <i>This may include aircraft operators, cargo terminal operators, regulated agents, known consignors, ground handling companies or any other entity approved by an appropriate authority.</i></p>	4.6.2	CE-3
7.055	<p>If the State has established a regulated agent and/or a known consignor regime, has the State designated an office or entity as responsible for the management, approval and oversight of regulated agents and/or known consignors?</p> <p>Identify the documentation in which this designation is established.</p>	4.6.2	CE-3

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Identify the office or entity responsible for the management, approval and oversight of regulated agents and/or known consignors.</p> <p><i>Note. — If the State does not have regulated agents and known consignors, PQs 7.055, 7.060, 7.065, 7.070 and 7.075 should be marked as not applicable.</i></p>		
7.060	<p>If the State has established a regulated agent and/or a known consignor regime, has the State developed detailed criteria, obligations and responsibilities for regulated agents and/or known consignors?</p> <p>Verify the documentation in which criteria for obtaining a regulated agent and/or a known consignor designation are established.</p> <p>Verify whether such criteria include, but are not limited to, the capability of an entity to:</p> <ul style="list-style-type: none"> <li>a) develop a security programme and a training programme for staff;</li> <li>b) appoint a designated security officer;</li> <li>c) provide secure facilities for acceptance, the application of security controls, which may include screening, the storage of security-cleared air cargo consignments and, where applicable, ground transportation;</li> <li>d) properly recruit, select and train an adequate number of management and operational personnel, whether internal or contracted, for its operations, in accordance with national requirements; and</li> <li>e) continuously demonstrate compliance with the security requirements for regulated agents and/or known consignors, as established by the appropriate authority.</li> </ul>	4.6.2	CE-5
7.065*	<p>If the State has established a regulated agent and/or a known consignor regime, has the State implemented a process for the approval of regulated agents and/or known consignors?</p> <p>Review requirements and procedures to verify whether:</p> <ul style="list-style-type: none"> <li>a) the entity applying for a regulated agent and/or a known consignor designation is required to complete an application form approved by the appropriate authority;</li> <li>b) the application for a regulated agent and/or a known consignor designation is accompanied by a written regulated agent and/or known consignor security programme;</li> <li>c) the appropriate authority (or the entity authorized to act on its behalf) has established and implemented a formal process for the review of the application and accompanying documents, including the applicant's security programme, for compliance with national requirements;</li> </ul>	4.6.2	CE-6



PQ No.	<b>PROTOCOL QUESTION</b> <b>GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE</b>	ICAO REF	CE
	<p>d) the appropriate authority (or the entity authorized to act on its behalf), prior to issuing a regulated agent and/or a known consignor designation to an applicant, has conducted an inspection of the applicant's facilities or premises to validate the information provided on the application form, and the procedures and measures contained in the applicant's security programme, to ensure that the applicant's facilities or premises, security equipment and procedures, and employment and training records meet the national requirements;</p> <p>e) procedures are established and implemented for the acceptance or rejection of the application;</p> <p>f) approval/validation of the regulated agent and/or the known consignor is site specific and is issued for a specified period of time that should not exceed five calendar years; and</p> <p>g) regulated agents and/or known consignors are revalidated at regular intervals not exceeding five calendar years, which includes an on-site verification in order to assess whether regulated agents and/or known consignors still comply with established national requirements.</p>		
7.070	<p>If the State has established a regulated agent and/or a known consignor regime, has the State established criteria for the disqualification, suspension and revocation of a regulated agent and/or a known consignor designation?</p> <p>Verify the documentation in which criteria for the disqualification, suspension and revocation of a regulated agent and/or a known consignor designation are established.</p> <p>Verify whether such criteria include:</p> <p>a) disqualification, which may result from an inability to meet the requirements for a regulated agent and/or a known consignor at the application phase, or failure to maintain or implement security measures or procedures required by the State after administrative warnings or fines;</p> <p>b) suspension, which may result from a short-term inability to implement security controls required by the State, or a voluntary request by the entity to suspend its designation for a specified period or permanently; and</p> <p>c) revocation, which may result from continuous violations of national requirements or the entity's approved regulated agent and/or known consignor security programme, or due to the fact that the entity may no longer be involved in the handling, processing or storage of air cargo.</p>	4.6.2	CE-5
7.075*	<p>If the State has established a regulated agent and/or a known consignor regime, does the State maintain and publish an up-to-date list of approved regulated agents and/or known consignors?</p> <p>Review the State list of approved regulated agents and/or known consignors.</p> <p>Verify whether the State has established an appropriate registry of all designated regulated agents and/or known consignors which contains, at a minimum, the name of the regulated agent and/or the known consignor, registration number issued by the appropriate authority, business address and telephone contacts, and the validity period for the regulated agent and/or known consignor status.</p>	4.6.2	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Verify whether the registry is kept current at all times and is accessible to the designated regulated agents and/or known consignors and aircraft operators. Verify whether each designated regulated agent and/or known consignor has been issued a unique reference number.		
7.080*	<p>Is the supply chain security process, which includes the operations of regulated agents and/or known consignors, if such entities are involved in implementing screening or other security controls of cargo and mail, consistently and effectively implemented?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of the supply chain security process/regulated agent and/or known consignor regime?</p> <p>Observe/verify whether the following elements of the supply chain security are consistently and effectively implemented:</p> <ul style="list-style-type: none"> <li>a) facility security, i.e. procedures and measures that detect and prevent unauthorized entry to facilities where air cargo and mail are accepted, screened, prepared, stored or transported;</li> <li>b) personnel security, i.e. screening and background checks of personnel who conduct screening and/or have unescorted access to areas where cargo and mail are accepted, screened, prepared, stored or transported;</li> <li>c) security controls applied to cargo and mail and a security status (e.g. CSD) issued;</li> <li>d) protection of secure cargo and mail from unauthorized interference; and</li> <li>e) chain of custody, i.e. measures to maintain the integrity of secure cargo and mail as they move through a supply chain from the point at which security controls are applied, such as measures for the acceptance, storage, ground transport and handling, transfer and transit of secure cargo and mail, including the verification of the security status at all handover points).</li> </ul> <p>Note 1. — <i>Cargo and mail can be considered secure if:</i></p> <ul style="list-style-type: none"> <li>a) <i>it originates from a regulated agent, a known consignor or an entity approved by an appropriate authority; or</i></li> <li>b) <i>it has been screened using the appropriate methods of screening.</i></li> </ul> <p>Note 2. — <i>The security status (e.g. CSD) plays an important part in ensuring that secure cargo and mail remain uncompromised throughout the secure supply chain by providing an unbroken and verifiable trail of accountable entities. Consignments not accompanied by or associated with a valid security status should be treated as insecure cargo or mail. If no security status is indicated, or no CSD is issued, it should be deemed that no security controls have been previously applied.</i></p> <p>Note 3. — <i>If any of the PQs 7.025, 7.030, 7.045, 7.090, 7.110, 7.135, 7.160, 7.180, 7.200 or 7.205 is assessed as not satisfactory, this PQ should be marked as not satisfactory.</i></p>	4.6.2	CE-8

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
7.085	<p>Has the State established a requirement for aircraft operators not to accept cargo or mail for carriage on an aircraft, unless the application of screening or other security controls has been confirmed and accounted for by a regulated agent, a known consignor, or an entity that is approved by an appropriate authority, or such cargo or mail has been subjected to screening?</p> <p>Identify the documentation in which this requirement is established.</p> <p>If applicable, verify whether the State has established requirements in its national documentation for the approval by an appropriate authority of entities, other than regulated agents or known consignors, that are allowed to confirm and account for the application of screening or other security controls for cargo or mail. Such entities must:</p> <ul style="list-style-type: none"> <li>a) have documented security measures approved by the appropriate authority; and</li> <li>b) be subjected to oversight by the appropriate authority to confirm the implementation of required security measures.</li> </ul> <p>Verify that the State does not permit aircraft operators to accept cargo or mail from regulated agents or other entities approved in foreign States with no further security controls, unless a specific validation process has been established and implemented.</p>	4.6.5	CE-2
7.087	<p>Has the State ensured that the relevant aircraft operators have developed procedures for the acceptance of cargo and mail for carriage on an aircraft?</p> <p>Review selected AOSPs for procedures regarding the acceptance of cargo and mail for carriage on an aircraft.</p> <p>Verify whether such procedures provide for the acceptance of cargo and mail only when the employee receiving the consignment for carriage on an aircraft verifies that:</p> <ul style="list-style-type: none"> <li>a) when delivery of the consignment is made or arranged by a regulated agent, known consignor or an entity approved by an appropriate authority, the consignment is delivered by an authorized representative of those entities, and the employee receiving the consignment for shipment verifies that: there is no sign of tampering with the consignment; the consignment has been provided with a documented security status (e.g. CSD) certifying that it has been secured in accordance with the security programme of those entities; and the consignment is being delivered by the person identified on the accompanying documentation; or</li> <li>b) the consignment is subjected to screening and provided with a documented security status (e.g. CSD).</li> </ul> <p><i>Note. — Reflect deficiencies in the national AOSPs here. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i></p>	4.6.5	CE-6
7.090*	<p>Are measures consistently and effectively implemented to ensure that aircraft operators do not accept cargo or mail for carriage on an aircraft, unless the application of screening or other security controls has been confirmed and accounted for by a regulated agent, a known consignor, or an entity that is approved by an appropriate authority, or such cargo or mail has been subjected to screening?</p>	4.6.5	CE-8

PQ No.	<b>PROTOCOL QUESTION</b> <b>GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE</b>	ICAO REF	CE
	Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?		
7.095	<p>Has the State established a policy to ensure that cargo and mail to be carried on an aircraft are protected from unauthorized interference, from the point screening or other security controls are applied, until departure of the aircraft?</p> <p>Identify the documentation in which this policy is established.</p>	4.6.3	CE-2
7.100	<p>Has the State designated an organization or entity as responsible for the implementation of measures to protect cargo and mail from unauthorized interference, from the point screening or other security controls are applied, until departure of the aircraft?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the organization or entity to which this responsibility has been allocated.</p>	4.6.3	CE-3
7.105	<p>Has the State ensured that the relevant airport-level entities have developed procedures to ensure that cargo and mail to be carried on an aircraft are protected from unauthorized interference, from the point screening or other security controls are applied, until departure of the aircraft?</p> <p>Review the ASP, selected AOSPs and other relevant airport-level SOPs for procedures related to the protection of cargo and mail from unauthorized interference, from the point screening or other security controls are applied, until departure of the aircraft.</p> <p>Verify whether these procedures include:</p> <ul style="list-style-type: none"> <li>a) access control to cargo and mail facilities and warehouses, including physical security measures and passes;</li> <li>b) physical segregation of secure/unsecure cargo and mail;</li> <li>c) designated secure or guarded areas or areas under continuous surveillance for the storage of secure cargo and mail;</li> <li>d) stock control and auditing procedures for tamper-evident seals, if such seals are used to secure cargo and mail facilities, consignments or vehicles transporting such consignments;</li> <li>e) screening of staff with direct access to secure cargo and mail, or alternative methods that afford a similar level of protection, such as: constant observation of secure cargo and mail by security personnel; intrusion detection alarm areas; locked and caged areas; elevated or automated storage areas; sealed containers; and pallets wrapped in tamper-evident material;</li> <li>f) visual inspection of the integrity of pallets, containers and seals for completeness or evidence of tampering;</li> <li>g) protection of secure cargo and mail during transportation until loaded onto an aircraft or dispatched to the next entity in the secure supply chain. This may include visual checks of vehicle compartments, the use of tamper-evident seals or packaging, or alternative measures to ensure the integrity of consignments; and</li> </ul>	4.6.3	CE-6

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>h) actions to be taken in the case of any doubt over the integrity of consignments or in the event that secure consignments are left unattended or held in a non-secure location. Such actions may include the reapplication of security controls prior to loading consignments onto an aircraft or dispatching to the next entity in the secure supply chain.</p> <p><i>Note. — Reflect deficiencies in the national AOSPs here, if applicable. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i></p>		
7.110*	<p>Are measures for the protection of cargo and mail from unauthorized interference, from the point screening or other security controls are applied, until departure of the aircraft consistently and effectively implemented?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?</p> <p><i>Note. — Refer to PQ 7.105 for operational aspects to observe.</i></p>	4.6.3	CE-8
7.115	<p>Has the State defined what constitutes high-risk cargo or mail, and has the State established a requirement for such consignments to be subjected to enhanced security measures?</p> <p>Verify whether the State has defined high-risk cargo or mail, and if the State requires the application of enhanced security measures to such consignments.</p> <p>Identify the documentation in which this definition and this requirement are established.</p> <p><i>Note. — High-risk cargo or mail: cargo or mail which is deemed to pose a threat to civil aviation as a result of specific intelligence; or shows anomalies or signs of tampering which give rise to suspicion.</i></p>	4.6.4	CE-2
7.120	<p>Has the State designated an organization(s) or entity(ies) as responsible for the identification and application of enhanced security measures to high-risk cargo and mail, prior to their being loaded onto an aircraft?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the organization(s) or entity(ies) to which this responsibility has been allocated.</p>	4.6.4	CE-3
7.125	<p>Has the State developed instructions, guidance material or performance criteria for the application of enhanced security measures to high-risk cargo and mail?</p> <p>Review national-level instructions, guidance material or performance criteria regarding enhanced security measures for high-risk cargo and mail.</p>	4.6.4	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Note. — <i>High-risk cargo and mail should be subjected to enhanced security measures to mitigate the threats associated with it. This should include other detection methods or robust security measures which are not part of the baseline security measures such as, two or more threat detection techniques, ideally including explosives trace detection, algorithm-based X-ray or explosives detection dogs.</i>		
7.130	<p>Has the State ensured that the relevant airport-level entities have developed procedures for the application of enhanced security measures to high-risk cargo and mail?</p> <p>Review the ASP, selected AOSPs, regulated agent security programmes or other relevant airport-level SOPs for procedures regarding the application of enhanced security measures to high-risk cargo and mail.</p> <p>If the entity responsible for the identification of high-risk cargo and mail is different from the entity responsible for the application of enhanced security measures to such cargo and mail, verify the existence of procedures for the sharing of information on the high-risk status of cargo and mail with the entity responsible for enhanced security measures.</p> <p>Note. — <i>Reflect deficiencies in the national AOSPs here, if applicable. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i></p>	4.6.4	CE-6
7.135*	<p>Are enhanced security measures to appropriately mitigate the threats associated with high-risk cargo and mail consistently and effectively implemented?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?</p>	4.6.4	CE-8
7.140	<p>Has the State established a requirement to ensure that cargo and mail that have been confirmed and accounted for have then been issued with a security status, either in an electronic format or in writing, to accompany the cargo and mail throughout the secure supply chain?</p> <p>Identify the documentation in which this requirement is established.</p> <p>Note. — <i>A CSD is one of the tools used in the protection of cargo and mail throughout its movement in the supply chain. Such a declaration, which may be in hard copy or electronic form, is made by the entity that makes the cargo secure and is accessible to all parties in the supply chain. The CSD contains all necessary information, especially the security status of the consignments, which determines whether such consignments can be carried on a commercial aircraft.</i></p>	4.6.8	CE-2
7.145	<p>Has the State designated organization(s) or entity(ies) as responsible for the issuance of a security status for cargo and mail that have been confirmed and accounted for?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the organization(s) or entity(ies) to which this responsibility has been allocated.</p>	4.6.8	CE-3
7.150	Has the State established guidelines for the issuance of a security status for cargo and mail that have been confirmed and accounted for?	4.6.8	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Verify the documentation in which these guidelines are established.</p> <p>Verify whether the guidelines include, at a minimum:</p> <ul style="list-style-type: none"> <li>a) identity of the regulated agent, known consignor or other entity that originally issued the security status;</li> <li>b) contents of the consignment;</li> <li>c) origin of the consignment;</li> <li>d) destination of the consignment;</li> <li>e) the security status of the consignment, including details of the security controls applied to it; and</li> <li>f) signature of a staff member issuing a security status or other means of authenticity when electronic transmission is used.</li> </ul> <p><i>Note. — Appendix 33 to the ICAO Aviation Security Manual (Doc 8973) provides a format of the CSD.</i></p>		
7.155	<p>Has the State ensured that the relevant airport-level entities have developed procedures for the issuance of a security status for cargo and mail that have been confirmed and accounted for?</p> <p>Review the ASP, AOSPs, regulated agent and known consignor security programmes for procedures regarding the issuance of a security status for cargo and mail that have been confirmed and accounted for.</p> <p><i>Note. — Reflect deficiencies in the national AOSPs here, if applicable. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i></p>	4.6.8	CE-6
7.160*	<p>Are measures consistently and effectively implemented to ensure that cargo and mail that have been confirmed and accounted for are then issued with a security status, either in an electronic format or in writing, to accompany the cargo and mail throughout the secure supply chain?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?</p>	4.6.8	CE-8
7.165	<p>Has the State established a policy to ensure that transfer cargo and mail have been subjected to appropriate security controls prior to their being loaded onto an aircraft departing from its territory?</p> <p>Identify the documentation in which this policy is established.</p> <p>Verify whether the policy is to:</p> <ul style="list-style-type: none"> <li>a) accept security controls applied to transfer cargo and mail at the point of origin in a foreign State; or</li> </ul>	4.6.9	CE-2

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>b) apply security controls to such transfer cargo and mail in the State.</p> <p><i>Note. — If the State does not have transfer cargo and mail, all PQs related to Standard 4.6.9 should be marked as not applicable.</i></p>		
7.170	<p>If the State relies on security controls performed at any points of origin in a foreign State, has the State designated an organization or entity as responsible for the determination of the security status of transfer cargo and mail?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the organization or entity to which this responsibility has been allocated.</p> <p><i>Note. — If the State does not rely on security controls performed at points of origin in foreign States and subjects all transfer cargo and mail to security controls, PQs 7.170, 7.175 and 7.180 should be marked as not applicable.</i></p>	4.6.9	CE-3
7.175	<p>If the State relies on security controls performed at any points of origin in a foreign State, has the State established guidelines for the acceptance of security controls applied to transfer cargo and mail at the point of origin in a foreign State?</p> <p>Identify the documentation in which these guidelines are established.</p> <p>Verify whether these guidelines cover, at a minimum, the verification of the security status of cargo and mail at the point of transfer, to permit confirmation that the method of screening applied at the point of origin is appropriate to meet local requirements.</p>	4.6.9	CE-5
7.180*	<p>If the State relies on security controls performed at any points of origin in a foreign State, are procedures consistently and effectively implemented to confirm that transfer cargo and mail entering the State's territory have been subjected to appropriate security controls and protected from unauthorized interference since the performance of security controls, including at transfer points?</p> <p>Throughout the course of the audit, are any deficiencies observed or identified during interviews with airport-level personnel in regard to the operational implementation of such measures and/or procedures?</p> <p>Verify whether the responsible airport-level entity, identified under PQ 7.170, confirms the security status of all transfer cargo and mail being loaded on an aircraft departing from the State's territory.</p>	4.6.9	CE-8
7.185	<p>If the State subjects any transfer cargo and mail to security controls, has the State designated an organization or entity as responsible for the application of security controls to transfer cargo and mail?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the organization or entity to which this responsibility has been allocated.</p>	4.6.9	CE-3
7.195	<p>If the State subjects any transfer cargo and mail to security controls, has the State ensured that the relevant airport-level entities have developed procedures for the application of security controls to transfer cargo and mail?</p>	4.6.9	CE-6



PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Review the ASP, selected AOSPs and other relevant airport-level SOPs for procedures regarding security controls for transfer cargo and mail.</p> <p>Verify whether these procedures provide sufficient details in regard to security controls applied to transfer cargo and mail.</p> <p><i>Note. — Reflect deficiencies in the national AOSPs here, if applicable. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i></p>		
7.200*	<p>If the State subjects any transfer cargo and mail to screening, are maintenance and performance testing of security screening equipment used in the screening of such cargo and mail consistently and effectively implemented?</p> <p>Verify whether maintenance and performance testing are regularly carried out by reviewing test and maintenance records of security screening equipment used in the screening of transfer cargo and mail.</p>	4.6.9	CE-8
7.205*	<p>If the State subjects any transfer cargo and mail to security controls, are procedures for the application of security controls, including screening where practicable, to transfer cargo and mail consistently and effectively implemented?</p> <p>Throughout the course of the audit, are any deficiencies observed or identified during interviews with airport-level personnel in regard to the operational implementation of such measures and/or procedures?</p>	4.6.9	CE-8
7.210	<p>Has the State established a requirement to ensure that catering, stores and supplies intended for carriage on commercial flights are subjected to appropriate security controls, which may include a supply chain security process or screening, and thereafter protected until loaded onto the aircraft?</p> <p>Identify the documentation in which this requirement is established.</p> <p><i>Note 1. — Catering, stores and supplies, collectively referred to as “in-flight supplies”, mean all items intended to be taken on board an aircraft for use, consumption or purchase by passengers or crew during a flight, other than: cabin baggage; items carried by persons other than passengers; COMAT and COMAIL.</i></p> <p><i>Note 2. — In-flight supplies shall either be screened or subjected to appropriate security controls by:</i></p> <ul style="list-style-type: none"> <li><i>• a regulated supplier, and protected from unauthorized interference from the time these controls were applied until loaded onto the aircraft; or</i></li> <li><i>• a known supplier, and protected from unauthorized interference from the time these controls were applied until delivery to the aircraft operator or regulated supplier.</i></li> </ul>	4.6.6	CE-2
7.215	<p>Has the State designated one or more organizations or entities as responsible for the application of appropriate security controls to catering, stores and supplies, and for their protection until loaded onto the aircraft?</p> <p>Identify the documentation in which this designation is established.</p>	4.6.6	CE-3

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Identify the organizations or entities responsible for implementing appropriate security controls to catering, stores and supplies, and for their protection until loaded onto the aircraft.		
7.217	<p>If the State has established a supply chain security process, has the State designated an office or entity as responsible for the management, approval and oversight of regulated suppliers and/or known suppliers?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the office or entity responsible for the management, approval and oversight of regulated suppliers and/or known suppliers.</p>	4.6.6	CE-3
7.220	<p>Has the State developed guidance material for the application of security controls to catering, stores and supplies, and for their protection until loaded onto the aircraft?</p> <p>Review national-level instructions, guidance material or performance criteria regarding the application of security controls to catering, stores and supplies, and for their protection until loaded onto the aircraft.</p> <p>Verify whether the State has established a prohibited items list for catering, stores and supplies introduced into SRAs.</p> <p>If the State has established a supply chain security process, which replaces the need for screening of all catering, stores and supplies, verify whether appropriate guidance material has been established, which may address some or all of the following items:</p> <p>a) conditions for the designation, renewal and withdrawal of regulated suppliers and known suppliers of in-flight supplies by the appropriate authority or by an entity designated by the appropriate authority;</p> <p>b) maintenance of an up-to-date list of regulated/known suppliers;</p> <p>c) security controls applicable to catering, stores and supplies being delivered by regulated/known suppliers, such as:</p> <ul style="list-style-type: none"> <li>• appointment of a person responsible for security in the company;</li> <li>• security awareness training for persons with access to in-flight supplies before being given access to these supplies;</li> <li>• prevention of unauthorized access to company premises and in-flight supplies;</li> <li>• ensuring that no prohibited items are concealed in in-flight supplies; and</li> <li>• application of tamper-evident seals to, or physical protection of all vehicles and/or containers that transport in-flight supplies;</li> </ul> <p>d) the mechanism for confirming that regulated/known suppliers implement the prescribed security controls.</p>	4.6.6	CE-5

PQ No.	<b>PROTOCOL QUESTION</b> <b>GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE</b>	ICAO REF	CE
	<p>Note 1. — <i>A regulated supplier of in-flight supplies means a supplier whose procedures meet common security rules and standards sufficient to allow delivery of in-flight supplies directly to aircraft.</i></p> <p>Note 2. — <i>A known supplier of in-flight supplies means a supplier whose procedures meet common security rules and standards sufficient to allow delivery of in-flight supplies to an aircraft operator or regulated supplier, but not directly to aircraft.</i></p>		
7.225	<p>Has the State ensured the development of appropriate procedures by the entity(ies) responsible for the application of security controls to catering, stores and supplies, and for their protection until loaded onto the aircraft?</p> <p>Review the ASP, selected AOSPs, and other relevant airport-level SOPs for procedures regarding the application of security controls to catering, stores and supplies, and for their protection until loaded onto the aircraft.</p> <p>Verify whether these procedures provide sufficient details for the effective implementation of security controls and address at a minimum, the following:</p> <ul style="list-style-type: none"> <li>a) appointment and training of a security officer;</li> <li>b) physical security and access control measures to facilities;</li> <li>c) background checks for staff;</li> <li>d) training of all staff;</li> <li>e) receipt and handling of goods;</li> <li>f) preparation and storage of catering, stores and supplies;</li> <li>g) physical inspection of catering, stores and supplies and sealing;</li> <li>h) stock control and auditing procedures for seals;</li> <li>i) mechanism to protect catering or supply vehicles in transit from unauthorized interference;</li> <li>j) maintenance of records of seal numbers applied and accompanying manifests with seal numbers, if applicable;</li> <li>k) transportation and delivery to aircraft;</li> <li>l) receipt of goods by the aircraft operator and verification of seals; and</li> <li>m) handling catering, stores or supplies that have been tampered with.</li> </ul>	4.6.6	CE-6

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>If the State has established a supply chain security process, verify the process of designation of regulated/known suppliers, which may include:</p> <ul style="list-style-type: none"> <li>the designation of regulated/known suppliers on the basis of validation of: the relevance and completeness of the security programme covering the required security controls; and the implementation of the security programme without deficiencies by means of an on-site visit;</li> <li>site specific validation of regulated/known suppliers for a specified period of time not exceeding five calendar years;</li> <li>periodic revalidation of regulated/known suppliers at regular intervals not exceeding five calendar years, which includes an on-site verification in order to assess whether regulated/known suppliers still comply with established security requirements; and</li> <li>maintenance of an up-to-date list of all regulated/known suppliers with the expiry date of their designation, a copy of the security programme and any reports recording its implementation for each regulated/known supplier.</li> </ul> <p><i>Note. — Reflect deficiencies in the national AOSPs here, if applicable. For deficiencies identified in foreign aircraft operator procedures, reflect them in PQ 5.013 only.</i></p>		
7.227*	<p>Are maintenance and performance testing of security screening equipment used in the screening of catering, stores and supplies intended for carriage on commercial flights consistently and effectively implemented?</p> <p>Verify whether maintenance and performance testing are regularly carried out by reviewing test and maintenance records of security screening equipment used in the screening of catering, stores and supplies intended for carriage on commercial flights.</p> <p><i>Note. — This PQ is only applicable if dedicated equipment is used in the screening of catering, stores and supplies. If not, this PQ should be marked as not applicable.</i></p>	4.6.6	CE-8
7.230*	<p>Are measures to ensure that catering, stores and supplies intended for carriage on commercial flights are subjected to appropriate security controls and thereafter protected until loaded onto the aircraft consistently and effectively implemented?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of such measures and/or procedures?</p> <p>Observe the implementation of security controls for in-flight supplies to determine the effectiveness of measures, which could involve either screening of all in-flight supplies or the effective implementation of a supply chain security process.</p> <p>If a supply chain security process is implemented, verify whether:</p>	4.6.6	CE-8

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>a) measures are in place for confirming whether regulated/known suppliers of in-flight supplies implement the prescribed security controls; and</p> <p>b) an up-to-date list of those regulated/known suppliers is maintained.</p> <p><i>Note. — When screening in-flight supplies, the means or method employed should take into consideration the nature of the supplies and should be of a standard sufficient to reasonably ensure that no prohibited items are concealed in the supplies. When the nature of in-flight supplies does not allow them to be screened upon (or after) receipt by the aircraft operator or regulated supplier (or alternatively, as the case may be, at the entrance to the SRA), the status of known (or regulated) supplier is necessary.</i></p>		
8.001	<p>Has the State established a requirement to ensure that contingency plans are developed and resources are made available to safeguard civil aviation against acts of unlawful interference?</p> <p>Identify the documentation in which this requirement is established.</p>	5.1.4	CE-2
8.010	<p>Has the State designated the organizations or entities as responsible for the development and maintenance of contingency plans to deal with any act of unlawful interference?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the organizations or entities to which this responsibility has been allocated.</p>	5.1.4	CE-3
8.013	<p>Has the State implemented a process to ensure that national and/or airport-level contingency plans are developed and maintained?</p> <p>Review documented evidence of the implementation of the process.</p>	5.1.4	CE-6
8.015*	<p>Do the contingency plans address contingency measures in sufficient detail to ensure the proper management of response to acts of unlawful interference?</p> <p>Verify whether the contingency plans accurately reflect or reference the following items, providing sufficient procedures for their effective implementation:</p> <p>a) provision for the various possible acts of unlawful interference, and clearly assigned responsibilities, instructions and procedures for all participants responding to such acts, including actions to be taken in respect of:</p> <ul style="list-style-type: none"> <li>• an act of unlawful seizure or sabotage of an aircraft;</li> <li>• an armed attack or sabotage of an aircraft or airport installations, including from external points near the airport perimeter;</li> <li>• threats of such acts, such as bomb threats;</li> </ul>	5.1.4	CE-6

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<ul style="list-style-type: none"> <li>• investigation of suspected explosive devices or other potential hazards at an airport or inside an aircraft, including the disposal of such items;</li> <li>• crowd control/media management; and</li> <li>• hostage situation;</li> </ul> <p>b) decision-making responsibilities at both the national and airport levels; and</p> <p>c) periodic testing of the adequacy of the contingency plans and for reviewing the results, along with corrective action and follow-up procedures, in order to improve its effectiveness.</p>		
8.020	<p>Has the State established a requirement for the conduct of exercises to test contingency plans on a regular basis?</p> <p>Identify the documentation in which this requirement is established.</p> <p>Identify the types and frequency of exercises.</p> <p>Note. — <i>Ideally, the requirement of exercises should provide for the conduct of:</i></p> <p><i>a) full-scale exercises at least every two years to ensure the adequacy of the contingency plan to cope with different types of contingencies; and</i></p> <p><i>b) smaller scale (partial) exercises of the different portions of a contingency plan, such as table top exercises, at least yearly to ensure the adequacy of the response of individual participating agencies and components of the contingency plan, such as the communications system.</i></p>	5.1.4	CE-2
8.025*	<p>Has the State ensured that exercises to test contingency plans are regularly conducted?</p> <p>Review documented evidence to verify the regular conduct of exercises.</p> <p>Identify the frequency of exercises.</p> <p>Verify whether exercises conducted have included notification procedures and minimum response times.</p> <p>Verify when the last exercise was and describe the scenario and the outcome of the exercise.</p>	5.1.4	CE-7
8.030	<p>Does the State require entities involved in decision-making processes to be involved in exercises to practise the management of response to acts of unlawful interference?</p> <p>Identify the documentation in which requirements are established for entities involved in decision-making processes to be involved in exercises to practice the management of response to acts of unlawful interference.</p>	5.1.4	CE-3

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Verify whether entities involved in decision-making processes participate in exercises to practice the management of response to acts of unlawful interference.		
8.035	Has the State established a requirement to conduct an evaluation following an exercise to identify deficiencies and remedy weaknesses in response mechanisms?  Identify the documentation in which this requirement is established.	5.1.4	CE-2
8.040*	Are evaluations conducted following an exercise to identify deficiencies and remedy weaknesses in response mechanisms?  Review the documentation related to evaluations following an exercise, including the communication of the results to relevant entities and corrective and follow-up actions taken.	5.1.4	CE-8
8.045*	Has the State ensured that adequate resources have been made available to support contingency plans?  Throughout the course of the audit, are any deficiencies observed in regard to resources and facilities to support contingency plans?  Confirm the existence of appropriate, basic supporting resources to support contingency plans, including, but not limited to: a) an adequately equipped crisis management centre; b) a designated explosives disposal area or containment equipment; and c) designated IAPPs.	5.1.4	CE-3
8.050	Has the State defined the roles and responsibilities of the various law enforcement agencies, security companies and military units providing security support to airports in the event of an act of unlawful interference?  Identify the documentation in which these roles and responsibilities are defined.  Identify the various law enforcement agencies, security companies and military units providing security support to airports in the event of an act of unlawful interference.	5.1.5	CE-3
8.055*	Has the State ensured that authorized and suitably trained personnel are readily available for deployment at airports serving civil aviation to assist in dealing with suspected or actual cases of unlawful interference with civil aviation?  Identify the various specialist elements that provide security support to airports in the event of an act of unlawful interference, such as: a) hostage negotiators; b) explosive ordnance disposal units;	5.1.5	CE-3

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	c) interpreters; and  d) armed intervention teams, etc.		
8.060*	<p>Has the State ensured that personnel responsible for responding to acts of unlawful interference receive regular training in the airport environment?</p> <p>Verify whether the following categories of staff have been trained in the airport environment:</p> <p>a) staff involved in responding to an aircraft that has been subjected to an act of unlawful interference on the ground;</p> <p>b) ATC personnel involved in the provision of assistance and granting of permission to land, and collection and dissemination of information, in response to an act of unlawful interference;</p> <p>c) entities involved in providing medical and social support; and</p> <p>d) entities involved in a search of an aircraft under specific threat.</p>	5.1.5	CE-4
8.065	<p>Has the State established notification procedures and minimum response times for entities responsible for providing specialist response to an act of unlawful interference?</p> <p>Verify whether the State has established notification procedures and minimum response times for entities responsible for providing specialist response to an act of unlawful interference.</p>	5.1.5	CE-5
8.070	<p>Has the State established a requirement for measures, when reliable information exists that an aircraft may be subjected to an act of unlawful interference, to safeguard the aircraft if it is still on the ground, and to provide as much prior notification as possible of the arrival of such aircraft to relevant airport authorities and ATS of the States concerned if the aircraft has already departed?</p> <p>Identify the documentation in which this requirement is established.</p>	5.1.1	CE-2
8.075	<p>Has the State designated an organization or entity as responsible for safeguarding an aircraft on the ground, and separately an organization or entity responsible for providing relevant notifications?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the organization or entity tasked with:</p> <p>a) safeguarding an aircraft if it is still on the ground; and</p> <p>b) providing as much prior notification as possible on the arrival of such aircraft to relevant airport authorities and ATS of the States concerned if the aircraft has already departed.</p>	5.1.1	CE-3



PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
8.080*	<p>Has the State ensured that the designated organization(s) or entity(ies) have established measures and procedures to safeguard an aircraft under a specific threat?</p> <p>Verify, through interview/documentation review, that such measures and procedures are developed.</p> <p>Note. — <i>Measures and procedures should include, but not necessarily be limited to:</i></p> <p><i>a) aircraft surveillance and parking criteria;</i></p> <p><i>b) methods for guarding aircraft to prevent unauthorized access; and</i></p> <p><i>c) as much prior notification as possible to the relevant airport authorities and ATS of the States concerned if such an aircraft has already departed.</i></p>	5.1.1	CE-5
8.085	<p>Has the State established a requirement for measures, when reliable information exists that an aircraft may be subjected to an act of unlawful interference, to search an aircraft for concealed weapons, explosives or other dangerous devices, articles or substances and to provide prior notification of the search to the operator concerned?</p> <p>Identify the documentation in which this requirement is established.</p>	5.1.2	CE-2
8.090	<p>Has the State designated an organization or entity as responsible for notifying the aircraft operator of the need to search an aircraft and separately an organization or entity responsible for searching an aircraft that may be subjected to an act of unlawful interference on the ground?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the organization or entity responsible for:</p> <p>a) searching an aircraft; and</p> <p>b) notifying the aircraft operator of the need to search an aircraft.</p>	5.1.2	CE-3
8.095*	<p>Has the State ensured that the designated organization or entity has established measures and procedures to search an aircraft under a specific threat?</p> <p>Verify, through interview/documentation review, that such measures and procedures are developed.</p> <p>Note. — <i>Measures and procedures should include, but not necessarily be limited to, any screening or search procedures for aircraft, and passengers, crew, cargo, hold baggage, catering or any other item being loaded onto an aircraft, including procedure checklists for searching for a bomb and/or inspecting an aircraft for concealed weapons, explosives and other dangerous devices.</i></p>	5.1.2	CE-5
8.096	<p>Has the State established a requirement to ensure that procedures are established to deal with unidentified baggage and suspicious objects in accordance with a security risk assessment carried out by the relevant national authorities?</p>	4.1.3	CE-2

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Identify the documentation in which this requirement is established.		
8.097	Has the State designated an organization(s) or entity(ies) as responsible for dealing with unidentified baggage and suspicious objects?  Identify the documentation in which this designation is established.  Identify the organization(s) or entity(ies) to which this responsibility has been allocated.	4.1.3	CE-3
8.098*	Has the State ensured that the designated organization(s) or entity(ies) has/have established procedures to deal with unidentified baggage and suspicious objects in accordance with a security risk assessment carried out by the relevant national authorities?  Verify whether an appropriate risk assessment methodology is available and utilized to determine the measures to be taken to deal with unidentified baggage and suspicious objects.  Verify, through interview/documentation review, that procedures are developed to: a) investigate unidentified baggage and suspicious objects; b) evacuate affected areas; and c) take all necessary measures to render safe and/or dispose of unidentified baggage and suspicious objects, where necessary.  Verify whether specialist equipment is available to assist appropriate entities in investigating, rendering safe and/or disposing of unidentified baggage and suspicious objects at airports.	4.1.3	CE-5
8.100	Has the State established a requirement to ensure that arrangements are made to investigate, render safe and/or dispose of, if necessary, suspected dangerous devices or other potential hazards at airports?  Identify the documentation in which this requirement is established.	5.1.3	CE-2
8.105	Has the State designated an organization(s) or entity(ies) as responsible for investigating, rendering safe and/or disposing of suspected dangerous devices or other potential hazards at airports?  Identify the documentation in which this designation is established.  Identify the organization(s) or entity(ies) to which this responsibility has been allocated.	5.1.3	CE-3
8.110*	Has the State ensured that the designated organization(s) or entity(ies) has/have established measures and procedures to investigate, render safe and/or dispose of, if necessary, suspected dangerous devices or other potential hazards at airports?  Verify, through interview/documentation review, that such measures and procedures are developed.	5.1.3	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Verify whether specialist equipment is available to assist appropriate entities in investigating, rendering safe and/or disposing of suspected dangerous devices or other potential hazards at airports.</p> <p>Note. — <i>Measures and procedures should include, but not necessarily be limited to:</i></p> <p><i>a) investigation of unattended baggage;</i></p> <p><i>b) investigation of hold or passenger baggage identified as a potential threat; and</i></p> <p><i>c) evacuation procedures for affected areas.</i></p>		
8.115	<p>Has the State designated an organization or entity to act as a key decision maker to implement measures and procedures for the safety of passengers and crew of an aircraft which is subjected to an act of unlawful interference, while on the ground in its territory, until their journey can be continued?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the organization or entity to which this responsibility has been allocated.</p>	5.2.1	CE-3
8.120	<p>Has the State designated the entities responsible for providing medical and social resources that may be called upon?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the entities to which this responsibility has been allocated.</p>	5.2.1	CE-3
8.125*	<p>Has the State ensured that appropriate measures have been established for the safety of passengers and crew of an aircraft which is subjected to an act of unlawful interference, while on the ground in its territory, until their journey can be continued?</p> <p>Identify the documentation in which these measures are established.</p>	5.2.1	CE-5
8.130	<p>Has the State established a policy for collecting and disseminating to other States concerned all pertinent information on the flight of an aircraft subjected to an act of unlawful interference?</p> <p>Identify the documentation in which this policy is established.</p>	5.2.2	CE-2
8.135	<p>Has the State designated an organization or entity as responsible for the collection and dissemination to other States concerned of all pertinent information on the flight of an aircraft subjected to an act of unlawful interference?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the organization or entity tasked with the primary responsibility for such collection and dissemination.</p>	5.2.2	CE-3
8.140*	<p>Has the State ensured the development of appropriate procedures for collecting and disseminating to other States concerned all pertinent information on the flight of an aircraft subjected to an act of unlawful interference?</p>	5.2.2	CE-5

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	<p>Identify the documentation in which these procedures are established.</p> <p>Verify whether these procedures include, but are not necessarily limited to, the dissemination of all pertinent information related to the flight to the State of known, likely or possible destination.</p>		
8.145	<p>Has the State established a policy to provide assistance to an aircraft subjected to an act of unlawful seizure, including the provision of navigation aids, ATS and permission to land as may be necessitated by the circumstances?</p> <p>Identify the documentation in which this policy is established.</p>	5.2.3	CE-2
8.150	<p>Has the State designated an organization or entity as having primary responsibility for the management of acts of unlawful interference in flight?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the organization or entity tasked with the primary responsibility for the management of acts of unlawful interference in flight.</p> <p>Verify whether this organization or entity has the authority to grant permission to an aircraft subjected to an act of unlawful seizure to land.</p> <p>If not, who grants such permission?</p>	5.2.3	CE-3
8.155*	<p>Has the State ensured the development of appropriate procedures for the provision of all assistance to an aircraft subjected to an act of unlawful seizure, including the provision of navigation aids, ATS and the granting of permission to land?</p> <p>Identify the documentation in which these procedures are established.</p> <p>Verify whether these procedures include, but are not necessarily limited to, ensuring coordination and communication between the agency having primary responsibility for the management of acts of unlawful interference in flight, and other relevant State agencies involved in the management of acts of unlawful interference.</p>	5.2.3	CE-5
8.160	<p>Has the State established a requirement for measures to ensure that an aircraft subjected to an act of unlawful seizure which has landed in its territory is detained on the ground, unless its departure is necessitated by the overriding duty to protect human life?</p> <p>Identify the documentation in which this requirement is established.</p> <p>Verify whether the requirement provides for:</p> <p>a) detention on the ground of an aircraft subjected to an act of unlawful seizure;</p> <p>b) departure of such an aircraft if it is necessitated by the overriding duty to protect human life;</p>	5.2.4	CE-2

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	c) consultations with the State of the Operator of the aircraft subjected to an act of unlawful seizure; and  d) notification to the States of assumed or stated destination.		
8.165	Has the State designated an organization or entity as having primary responsibility in the decision-making process in regard to an aircraft subjected to an act of unlawful seizure which has landed in its territory, including detaining the aircraft on the ground?  Identify the documentation in which this designation is established.  Identify the organization or entity to which this responsibility has been allocated.	5.2.4	CE-3
8.170*	Has the State ensured that appropriate measures have been established for dealing with an aircraft subjected to an act of unlawful seizure on the ground in its territory?  Identify the documentation in which these measures are established.	5.2.4	CE-5
8.175*	Has the State established a policy to notify all affected States and ICAO, by the most expeditious means, of the landing in its territory of an aircraft subjected to an act of unlawful interference?  Identify the documentation in which this requirement is established.  Verify whether the requirement provides for the transmission, by the most expeditious means, of all other relevant information to:  a) the State of Registry of the aircraft and the State of the Operator;  b) each State whose citizens suffered fatalities or injuries;  c) each State whose citizens were detained as hostages;  d) each State whose citizens are known to be on board the aircraft; and  e) ICAO.	5.2.5	CE-2
8.180*	Has the State designated an office or entity as responsible for effecting the notification at the time of the occurrence?  Identify the documentation in which this designation is established.  Identify the office or entity to which this responsibility has been allocated.	5.2.5	CE-3
8.185	Has the State established a policy for ATSPs operating in its territory to establish and implement appropriate security provisions to meet the requirements of the NCASP of that State?	3.6	CE-2

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	Identify the documentation in which this policy is established.		
8.190	<p>Has the State developed guidance material for the implementation of appropriate security provisions by ATSPs operating in its territory?</p> <p>Identify and review national-level guidelines.</p> <p>Verify whether national-level guidelines follow the guidance contained in the ICAO <i>ATM Security Manual</i> (Doc 9985).</p> <p><i>Note. — The provision of the ICAO ATM Security Manual (Doc 9985) would in itself be an adequate provision of guidance material.</i></p>	3.6	CE-5
8.195	<p>Has the State implemented a process to ensure that ATSPs operating in its territory have established security provisions appropriate to meet the requirements of the NCASP of that State?</p> <p>Review documented evidence of the implementation of the process.</p>	3.6	CE-6
8.197*	<p>Do the ATSP security provisions address all relevant national aviation security requirements in sufficient detail?</p> <p>Verify, throughout the course of the audit, whether the ATSP security provisions accurately reflect or reference, at a minimum, the following items, providing sufficient guidance or procedures, as appropriate, for their effective implementation:</p> <ul style="list-style-type: none"> <li>a) facility physical security;</li> <li>b) personnel security;</li> <li>c) ICT system security (including cybersecurity);</li> <li>d) contingency planning for ATM security;</li> <li>e) ATM contribution to safeguarding against unlawful interference;</li> <li>f) ATM support for law enforcement; and</li> <li>g) airspace management for ATM security.</li> </ul>	3.6	CE-6
8.200	<p>Has the State established a requirement for its appropriate authority to re-evaluate security controls and procedures following an act of unlawful interference and, in a timely fashion, take action necessary to remedy weaknesses so as to prevent recurrence?</p> <p>Identify the documentation in which this requirement is established.</p>	5.3.2	CE-2
8.205	<p>Has the State designated an office or entity as responsible for conducting evaluations following an act of unlawful interference and for the subsequent implementation of corrective actions?</p> <p>Identify the documentation in which this designation is established.</p>	5.3.2	CE-3

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	Identify the office or entity to which this responsibility has been allocated.		
8.210*	<p>If applicable, has the State conducted an evaluation following an act of unlawful interference and implemented measures in a timely fashion in order to remedy weaknesses so as to prevent recurrence of an act of unlawful interference?</p> <p>Interview relevant personnel.</p> <p>Verify the existence of documented examples of such evaluations and corrective actions and review such examples.</p>	5.3.2	CE-8
8.212*	<p>Has the State defined in the NCASP processes for the reporting of information concerning incidents of acts of unlawful interference and preparatory acts thereto, by entities responsible for the implementation of the NCASP, to the relevant authorities?</p> <p>Verify whether the NCASP describes the process of reporting information concerning incidents of acts of unlawful interference and preparatory acts thereto.</p>	5.1.6	CE-5
8.214*	<p>If applicable, is the process of reporting of information concerning incidents of acts of unlawful interference and preparatory acts thereto, by entities responsible for the implementation of the NCASP, to the relevant authorities effectively implemented taking into account appropriate protection of aviation security information?</p> <p>Throughout the course of the audit, are any deficiencies observed in regard to the operational implementation of incident reporting process?</p>	5.1.6	CE-8
8.215	<p>Has the State established a requirement to provide ICAO with all pertinent information concerning the security aspects of an act of unlawful interference as soon as practicable after the act is resolved?</p> <p>Identify the documentation in which this requirement is established.</p>	5.3.1	CE-2
8.220	<p>Has the State designated an office or entity as responsible for developing, approving and disseminating reports to ICAO following an act of unlawful interference?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the office or entity to which this responsibility has been allocated.</p>	5.3.1	CE-3
8.225*	<p>Has the State established appropriate report templates to ensure that all pertinent information concerning the security aspects of an act of unlawful interference is collected and transmitted?</p> <p>Identify the availability of appropriate report templates.</p> <p><i>Note. — Appendix 42 to the ICAO Aviation Security Manual (Doc 8973) provides a model report form that may be used for this purpose.</i></p>	5.3.1	CE-5
8.230*	If applicable, has the State submitted a preliminary and final report to ICAO with all pertinent information concerning the security aspects of an act of unlawful interference as soon as practicable after the act has been resolved?	5.3.1	CE-8

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	<p>If applicable, verify whether such reports were duly submitted to ICAO.</p> <p>Consult the ICAO Acts of Unlawful Interference Database for verification.</p>		
9.001*	<p>Has the State established a written NATFP based on the facilitation requirements of the Chicago Convention and of Annex 9?</p> <p>Verify documented evidence of the approval of the NATFP.</p> <p>When was the NATFP established/last revised?</p> <p>Verify whether the NATFP contains elements as outlined in Appendix 12 to Annex 9.</p>	A9 8.13	CE-2
9.005*	<p>Has the State established an NATFC and AFCs as required, or similar coordinating bodies, for the purpose of coordinating facilitation activities between departments, agencies and other organizations of the State concerned with or responsible for various aspects of international civil aviation, as well as with airport and aircraft operators?</p> <p>Verify the existence and functioning of the NATFC and the AFCs as required, or similar coordinating bodies, for the purpose of coordinating facilitation activities between departments, agencies and other organizations of the State concerned with or responsible for various aspects of international civil aviation, as well as with airport and aircraft operators.</p> <p>Verify whether the State has ensured that certain members of facilitation committees are also members of aviation security committees.</p> <p><i>Note. — Necessary arrangements should be established to ensure appropriate cross-representation between facilitation and security committees at the national and airport levels to ensure that the aims of facilitation and security programmes within the State are compatible and effectively implemented.</i></p>	A9 8.15	CE-3
9.010*	<p>Does the State incorporate security features in its current travel documents and plan to regularly update security features in new versions of its travel documents to guard against their misuse and to facilitate detection of cases where such documents have been unlawfully altered, replicated or issued?</p> <p>Review security features in current travel documents and interview relevant personnel to verify plans for regularly updating security features in future redesign of travel documents.</p> <p><i>Note. — The security features should be designed to facilitate the visual and/or machine assisted detection of any alteration to travel documents, counterfeit documents or the fraudulent use of such a document by an impostor. This also includes ensuring that materials used in the production of travel documents are of controlled varieties or integrate additional security features and are assembled in a manner to prevent their reuse and reassembly for the purposes of fraudulent alteration.</i></p>	A9 3.7	CE-5
9.015*	<p>Has the State established controls to safeguard against the theft of its blank travel documents, related components and the misappropriation of newly issued travel documents?</p>	A9 3.6	CE-5



PQ No.	<b>PROTOCOL QUESTION</b> <b>GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE</b>	ICAO REF	CE
	<p>Verify whether security controls are in place to safeguard against the theft of blank travel documents, related components, such as laminate, seals and observation labels, and the misappropriation of newly issued travel documents.</p> <p>Verify through interview, whether the supply chain is secured, from the point of production of blank travel documents, to printing of travel documents for issuance.</p> <p>Note. — <i>Often, other materials and/or components are added to travel documents during personalization. These components would be stored at the same location where personalization occurs and should also be securely managed. Such components may include:</i></p> <ul style="list-style-type: none"> <li>• <i>laminate - a frangible holographic film which is applied overtop of the personalized passport data page. In some solutions, the laminate is physically separate from the book, which is why it should be controlled. Often, these are supplied in a roll format or single piece and applied after the personalization of the passport;</i></li> <li>• <i>seals - a tamper evident label applied to variable data. They are typically stuck on top of the photograph, to prevent alteration/substitution. The seal itself is usually frangible and contains security features and may contain holography; and</i></li> <li>• <i>observation labels - commonly used to apply notations/observations/restrictions to the passport as part of the personalization process. An observation typical captures a name change or special observations about the passport and/holder. They are typically security printed labels which are then inkjet printed with text.</i></li> </ul>		
9.020*	<p>Has the State established appropriate controls over the entire travel document application, adjudication and issuance processes to ensure a high level of integrity and security?</p> <p>Review the process of application, adjudication (decision to issue or not) and issuance of travel documents.</p> <p>Verify whether the process is centralized or decentralized and whether adequate security controls account for these arrangements.</p> <p>Verify whether security controls are in place for the application and issuance process.</p> <p>Verify whether the State has established security guidelines for the application, adjudication and issuance of travel documents.</p> <p>Note. — <i>Controls on the application, adjudication and issuance of travel documents should include:</i></p> <p><i>a) internal security of the issuance process;</i></p> <p><i>b) verification that applicants are genuine and that the travel documents are issued to the genuine applicants; and</i></p> <p><i>c) quality checks and controls at all stages of the production process.</i></p>	A9 3.5	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
9.021	<p>Has the State established a policy to promptly report accurate information about stolen, lost, and revoked travel documents, issued by the State, to INTERPOL for inclusion in the SLTD database?</p> <p>Identify the documentation in which this policy is established.</p>	A9 3.8	CE-2
9.023	<p>Has the State established guidelines for reporting information about stolen, lost, and revoked travel documents, issued by the State, to INTERPOL?</p> <p>Verify the documentation in which these guidelines are established.</p> <p>Verify whether these guidelines address, at a minimum, the following:</p> <ul style="list-style-type: none"> <li>a) data elements;</li> <li>b) process for gathering information from the relevant entities, such as the passport office; and</li> <li>c) timely and accurate data provision.</li> </ul> <p>Note. —</p> <p><i>a) States must meet the following required data fields when uploading to the SLTD database:</i></p> <ol style="list-style-type: none"> <li><i>1. travel document identification number;</i></li> <li><i>2. type of document (passport or other);</i></li> <li><i>3. issuing State's ICAO Code;</i></li> <li><i>4. status of the document (i.e. stolen blank); and</i></li> <li><i>5. country of theft (only mandatory for stolen blank travel documents);</i></li> </ol> <p><i>b) States should ensure that tools used to collect information about lost and stolen travel documents (i.e. telephone interviews, online forms) are comprehensive and conducive to securely gathering all the information required to complete the SLTD report; and</i></p> <p><i>c) States should ensure that they have the systems and processes in place to share information in the most timely fashion to intercept attempts to use lost, stolen or revoked travel documents at border control. States should strive to share this information on a daily basis. Generally, once information is received that the travel document is no longer in the possession of the rightful holder or has been revoked, the issuing authority should officially record the information in its national database and in the SLTD.</i></p>	A9 3.8	CE-5
9.024*	<p>Has the State implemented measures to ensure that accurate information about stolen, lost, and revoked travel documents, issued by the State, is promptly reported to INTERPOL for inclusion in the SLTD database?</p> <p>Verify whether the State promptly submits travel information to the SLTD database by INTERPOL National Central Bureaus and law enforcement agencies via INTERPOL's "I-24/7" secure global police communication system.</p>	A9 3.8	CE-5

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	If the ICAO Member State is not an INTERPOL Member State, verify plans for joining INTERPOL or exploring with INTERPOL the establishment of administrative arrangements to enable the submission of information to the SLTD.		
9.025*	<p>Are all passports issued by the State machine readable, in accordance with the specifications of Doc 9303?</p> <p>Review documented evidence of the issuance of a machine readable passport.</p> <p>Review evidence of a mechanism to ensure that machine readable passports are in compliance with the specifications of Doc 9303.</p> <p><i>Note. — Standard 3.10 does not intend to preclude the issuance of non-machine readable passports or temporary travel documents of limited validity in cases of emergency (e.g. by overseas missions in the event of a lost or stolen passport).</i></p>	A9 3.10	CE-5
9.027*	<p>Are travel documents for refugees and stateless persons issued by the State machine readable, in accordance with the specifications of Doc 9303?</p> <p>Verify if the State is a party to the 1951 Convention Relating to the Status of Refugees and/or the 1967 Protocol Relating to the Status of Refugees and the 1954 Convention Relating to the Status of Stateless Persons.</p> <p>Review documented evidence of the issuance of machine readable travel documents for refugees and stateless persons.</p> <p>Review evidence of a mechanism to ensure that machine readable travel documents for refugees and stateless persons are in compliance with the specifications of Doc 9303.</p> <p><i>Note. — Travel Documents for refugees are provided for in Article 28 of the 1951 Convention Relating to the Status of Refugees and for stateless persons in Article 28 of the 1954 Convention Relating to the Status of Stateless Persons.</i></p>	A9 3.11	CE-5
9.030*	<p>If the State issues CMCs, are they issued only in the form of machine readable cards, in accordance with the specifications of Doc 9303?</p> <p>Review documented evidence of the issuance of CMCs.</p> <p>Review evidence of a mechanism to ensure that CMCs are in compliance with the specifications of Doc 9303.</p> <p><i>Note. — If the State does not issue CMCs, this PQ should be marked as not applicable.</i></p>	A9 3.68	CE-5
9.035*	<p>If the State issues CMCs, has the State ensured that CMCs are issued only after a background check has been carried out by or on behalf of the relevant public authority and that adequate controls, such as a certification of employment status of an applicant prior to issuance, controls on blank card stock, and accountability requirements for issuing personnel, are placed on the issuance of CMCs?</p> <p>Review documented evidence of the process used for the issuance of CMCs.</p>	A9 3.70	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>Identify the State's policy on conducting background checks and certification of employment status of applicants prior to the issuance of CMCs.</p> <p>Verify whether security controls are in place, such as controls on blank card stock and accountability requirements for issuing personnel.</p> <p>Verify whether the State has established security guidelines for the creation and issuance of CMCs.</p> <p>Verify whether the supply chain is secured.</p> <p>Note 1. — <i>CMCs should be issued by a government department of the Contracting State and should be made available for both licensed flight crew and cabin crew. CMCs should bear the name of the issuing State in the form internationally recognised by the United Nations. Contracting States should accept CMCs, issued in accordance with the specifications in Doc 9303 for visa-free entrance of crew members when arriving in a duty status on an international flight and seeking temporary entry for the period allowed by the receiving Contracting State.</i></p> <p>Note 2. — <i>States should ensure the application of appropriate control procedures for the issuance of CMCs. Such controls should include a background check and certification of employment status of an applicant prior to the issuance of a CMC, controls on blank card stocks, and accountability requirements for the issuance of CMCs. States should also ensure that a record of each CMC and other official identity document issued, suspended or withdrawn, is recorded and stored in an electronic database, secured against interference and unauthorized access. All information stored in the electronic database and on the CMC itself should be restricted to details essential for the purpose of verifying a crew member's identity.</i></p> <p>Note 3. — <i>If the State does not issue CMCs, this PQ should be marked as not applicable.</i></p>		
9.037*	<p>If the State participates in the ICAO PKD, has the State uploaded to the PKD the public key data necessary for authentication of all electronic passports issued by the State?</p> <p>Verify whether the State has provided its CSCA Public Key Certificates to the PKD.</p> <p>Consult ICAO FAL Section for verification that the CSCA Public Key Certificate is available.</p> <p>Confirm with the State that none of the State's CSCA Public Key Certificates have been replaced since certificates were last uploaded to the PKD.</p> <p>Note 1. — <i>If the State does not participate in the PKD, this PQ should be marked as not applicable.</i></p> <p>Note 2. — <i>If the State has joined the PKD less than 15 months prior to the USAP-CMA audit of the State, but has not yet uploaded to the PKD its public key data necessary for authentication of all electronic passports issued by the State, this PQ should be marked as undetermined.</i></p>	A9 3.15	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
9.040*	<p>Has the State ensured that appropriate measures and procedures have been established to assist aircraft operators in the evaluation of travel documents presented by passengers in order to deter fraud and abuse?</p> <p>Verify, through interview/documentation review, that such measures and procedures are developed.</p> <p>Verify whether the State has:</p> <ul style="list-style-type: none"> <li>a) implemented these measures through the conduct of pre-flight immigration checks of travel documents; or</li> <li>b) made arrangements to assist aircraft operators in the evaluation of travel documents, such as any or all of the following: <ul style="list-style-type: none"> <li>i. the positioning of liaison officers at airports in order to assist aircraft operators to establish the validity and authenticity of the travel documents of embarking persons;</li> <li>ii. the provision of training for aircraft operator staff;</li> <li>iii. the provision of sample travel documents and information concerning travel document fraud trends; and</li> <li>iv. a mechanism for aircraft operator staff to seek urgent assistance from appropriate State authorities in regard to suspect travel documents.</li> </ul> </li> </ul>	A9 3.33	CE-5
9.055	<p>Has the State established a requirement for its public authorities to seize fraudulent, falsified or counterfeit travel documents, as well as the travel documents of a person impersonating the rightful holder of the travel document?</p> <p>Identify the documentation in which this requirement is established.</p> <p><i>Note. — This provision should be applied at any point during a passenger's journey, including at the point of departure (origin), at transfer points and at the point of arrival (destination).</i></p>	A9 3.35.1	CE-2
9.060	<p>Has the State established a requirement for its public authorities to ensure that such travel documents are removed from circulation immediately and returned to the appropriate authorities of the State named as issuer or to the resident Diplomatic Mission of that State, except in cases where public authorities retain documents for law enforcement purposes?</p> <p>Identify the documentation in which this requirement is established.</p> <p>Verify whether this requirement addresses the notification of the appropriate authorities of the State named as issuer or the Diplomatic Mission of that State by the public authorities that seize the travel documents in question, in cases where the public authorities retain such documents for law enforcement purposes.</p>	A9 3.35.1	CE-2
9.065*	<p>Has the State established measures to ensure that such travel documents are consistently seized by public authorities and returned to the appropriate authorities of the State named as issuer or to the resident Diplomatic Mission of that State, except in cases where public authorities retain documents for law enforcement purposes?</p>	A9 3.35.1	CE-5

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	<p>Throughout the course of the audit, verify, by interviewing relevant personnel, whether such measures have been established.</p> <p>Verify whether such measures include the notification of the appropriate authorities of the State named as issuer or the Diplomatic Mission of that State by the public authorities that seize the travel documents in question, in cases where the public authorities retain such documents for law enforcement purposes.</p> <p>Verify documented evidence of the implementation of such measures.</p> <p><i>Note. — Fraudulent, falsified or counterfeit travel documents should be removed from circulation, thereby preventing them from being reused, and should then be handed over to the State named as issuer, to alert the authorities to the existence of the counterfeit documents, or to the fact of misuse of genuine travel documents by impostors.</i></p>		
9.070*	<p>Has the State established an API system?</p> <p>Verify documented evidence demonstrating that the State has established an API system.</p> <p><i>Note 1. — API involves the capture of a passenger's or crew member's biographic data, travel document details and flight details by the aircraft operator prior to departure or arrival, and its transmission to the appropriate national border control agency(ies).</i></p> <p><i>Note 2. —</i></p> <p><i>Data to be received may be either non-interactive, batch style API or interactive API (iAPI), allowing two-way communication of biographic data and flight details collected by the aircraft operator, as specified in the UN/EDIFACT PAXLST messages found in the WCO/IATA/ICAO API Guidelines.</i></p>	A9 9.7	CE-5
9.073*	<p>Has the State ensured that the API system is supported by appropriate legal authority and is consistent with internationally recognized standards for API?</p> <p>Verify whether the State has established specific requirements for the API system in its national legislative and regulatory framework consistent with internationally recognized standards for API.</p> <p><i>Note. — Internationally recognized standards for API are currently defined by the WCO/IATA/ICAO API guidelines. In all cases, aircraft operators may collect, store and transmit passengers' API information to border control agencies only in accordance with applicable national and/or supranational legislation.</i></p>	A9 9.9	CE-2
9.075*	<p>Has the State ensured the functioning of the API system consistent with internationally recognized standards for API?</p> <p>Verify documented evidence demonstrating that:</p> <p>a) when specifying the identifying information on passengers to be transmitted, the State requires only data elements that are available in machine readable form in travel documents conforming to the specifications contained in Doc 9303; and</p>	A9 9.10	CE-5

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	<p>b) all information required conforms to specifications for UN/EDIFACT PAXLST messages found in the Guidelines on Advance Passenger Information (API) adopted by WCO/IATA/ICAO.</p> <p>Note 1. — <i>The WCO, IATA and ICAO have jointly agreed on the maximum set of API data that should be incorporated in the PAXLST message to be used for the transmission of such data by aircraft operators to the border control agencies. This data can be divided into two distinct categories:</i></p> <p><i>a) data relating to the flight, such as the flight number, departure/arrival information;</i></p> <p><i>b) data relating to each individual passenger, such as: core data elements found in the machine readable zone of the official travel document (identifying information); additional data available in aircraft operator systems, such as seating/baggage information, PNR locator number; and additional data not normally found in aircraft operator systems and which must be collected by, or on behalf of the aircraft operator, such as visa number, primary residence.</i></p> <p>Note 2. — <i>Requiring the inclusion of any additional information not conforming to specifications for UN/EDIFACT PAXLST should constitute a finding.</i></p> <p>Note 3. — <i>States shall not require aircraft operators to provide non-standard data elements as part of API. When considering requiring elements that deviate from the standard, States shall submit a request to the WCO/IATA/ICAO Contact Committee in conjunction with the WCO's Data Maintenance Request process via a review and endorsement process for potential inclusion of the data element in the guidelines.</i></p>		
9.077*	<p>Has the State created a Passenger Data Single Window facility for API that allows parties involved to lodge standardized information with a common data transmission entry point to fulfil all related passenger and crew data requirements of the State?</p> <p>Verify documented evidence demonstrating that the State has established a Passenger Data Single Window facility that allows aircraft operators to submit API through a single data entry point.</p> <p>Identify the government agency(ies) receiving API.</p> <p>Note 1. — <i>The transfer of aircraft operators' passenger data to the State serves the interest of a number of agencies within the State. In the interest of facilitating the transfer of data, such passenger data should be received through one portal and not by multiple agencies within the State. A single data-entry point:</i></p> <p><i>a) facilitates border integrity;</i></p> <p><i>b) allows various government agencies with legal remit to access passenger data to make use of the data in an efficient manner; and</i></p> <p><i>c) optimizes border clearance processes and collaboration amongst border control authorities and law enforcement:</i></p>	A9 9.1	CE-3

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	<p><i>resulting in enhanced facilitation, security screening and border entry processes for low-risk travellers.</i></p> <p>Note 2. — <i>A Passenger Data Single Window facility for API may involve data being received by a single agency, which is responsible for forwarding the relevant information to all other interested agencies. Alternately, API may be stored in a central database, and data is pulled by the interested agencies.</i></p> <p>Note 3. — <i>If the State uses a Passenger Data Single Window facility for both API and PNR data, PQ 9.120 should also be marked as satisfactory.</i></p>		
9.080*	<p>Has the State established an appropriate legal and administrative framework for the collection, use, processing and protection of PNR data for flights to and from its territory?</p> <p>Verify documented evidence demonstrating that the State has established an appropriate legal and administrative framework, such as legislation, regulation or decree, for the collection, use, processing and protection of PNR data for flights to and from its territory.</p>	A9 9.22	CE-2
9.085*	<p>Has the State defined and implemented PNR data requirements in accordance with ICAO Doc 9944 and PNRGOV message implementation guidance materials?</p> <p>Verify documented evidence demonstrating that the State has:</p> <p>a) adopted and implements the PNRGOV message for airline-to-government PNR data transferral to ensure global interoperability; and</p> <p>b) aligned its PNR data requirements and its handling of such data with the guidelines contained in Doc 9944 and in PNRGOV message implementation guidance materials published and updated by the WCO and endorsed by ICAO and IATA.</p> <p>Note 1. — <i>The PNRGOV message is a standard electronic message endorsed jointly by WCO/ICAO/IATA. Depending on the specific aircraft operator's Reservation and Departure Control Systems, specific data elements that have been collected and stored by the aircraft operator for their own operational and commercial purposes and can be efficiently transmitted via this standardized message structure.</i></p> <p>Note 2. — <i>States shall not require aircraft operators to provide non-standard data elements as part of PNR data. When considering requiring elements that deviate from the standard, States shall submit a request to the WCO/IATA/ICAO Contact Committee in conjunction with the WCO's Data Maintenance Request process via a review and endorsement process for potential inclusion of the data element in the guidelines.</i></p>	A9 9.22	CE-5
9.090*	<p>Has the State identified in its legal and administrative framework the PNR data to be used in its operations, including the purposes for which PNR data may be used?</p> <p>Verify whether the State's legal and administrative framework clearly:</p> <p>a) identifies the PNR data to be used in the State's operations;</p>	A9 9.23	CE-5



PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	<p>b) sets the purposes for which PNR data may be used by the authorities which should be no wider than that necessary in view of the aims to be achieved, including in particular border security purposes to fight terrorism and serious crime;</p> <p>c) limits the disclosure of PNR data to other authorities in the same State or in other Contracting States that exercise functions related to the purpose for which PNR data are processed, including in particular border security purposes; and</p> <p>d) establishes how the State ensures that comparable protections as those afforded by the disclosing authority are applied by other authorities receiving PNR data from the disclosing authority.</p>		
9.095*	<p>Has the State established in its legal and administrative framework penalties for misuse, unauthorized access, and unauthorized disclosure of PNR data?</p> <p>Verify whether the State's legal and administrative framework provides penalties for misuse, unauthorized access, and unauthorized disclosure of PNR data.</p>	A9 9.24	CE-2
9.100*	<p>Has the State established in its legal and administrative framework mechanisms to prevent unauthorized access, disclosure and use of PNR data?</p> <p>Verify whether the State has established in its legal and administrative framework requirements and procedures to:</p> <p>a) prevent unauthorized access, disclosure and use of PNR data;</p> <p>b) ensure safeguards applied to the collection, use, processing and protection of PNR data apply to all individuals without unlawful differentiation;</p> <p>c) ensure that passengers are informed about the collection, use, processing and protection of PNR data and related privacy standards employed, either at the time of booking or through media publications;</p> <p>d) ensure that aircraft operators inform their customers about the transfer of PNR data;</p> <p>e) enable individuals to seek a remedy for the unlawful processing of their PNR data by public authorities; and</p> <p>f) enable individuals to obtain access to their PNR data and to request, if necessary, corrections, deletions or notations.</p>	A9 9.24	CE-5
9.105*	<p>Does the State ensure that the automated processing of PNR data is based on objective, precise and reliable criteria that effectively indicate the existence of a risk, without leading to unlawful differentiation?</p> <p>Verify whether the State has established and implements objective, precise and reliable criteria for automated processing of PNR data, employing modern technology allowing for data disaggregation, that effectively indicate the existence of a risk, without leading to unlawful differentiation.</p>	A9 9.26	CE-5

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Identify the documentation in which these criteria are established.		
9.110*	<p>Has the State designated one or more office(s) or entity(ies) as responsible for the independent oversight of PNR data protection?</p> <p>Identify the documentation in which this designation is established.</p> <p>Identify the entity(ies) responsible for conducting oversight of PNR data protection to determine whether PNR data are being collected, used, processed and protected with full respect for human rights and fundamental freedoms.</p> <p>Verify whether the oversight of PNR data protection is undertaken independently from the entities and persons responsible for the implementation of PNR data processing.</p>	A9 9.27	CE-3
9.115*	<p>Has the State established in its legal and administrative framework mechanisms related to the retention of PNR data?</p> <p>Verify whether the State has established in its legal and administrative framework requirements and/or procedures to:</p> <p>a) retain PNR data for a set period necessary and proportionate for the purposes for which PNR data is used;</p> <p>b) depersonalize retained PNR data, which enable direct identification of the data subject, after set periods, which do not exceed what is necessary as defined in the national laws and policies, except when used in connection with an identifiable ongoing case, threat or risk related to purposes set by the State, including in particular border security purposes to fight terrorism and serious crime;</p> <p>c) only re-personalize or unmask PNR data when used in connection with an identifiable ongoing case, threat or risk related to purposes set by the State, including in particular border security purposes to fight terrorism and serious crime; and</p> <p>d) delete or anonymize PNR data at the end of the retention period, except when used in connection with an identifiable ongoing case, threat or risk as explained in b) above.</p> <p><i>Note. — Depersonalization of PNR data is the masking of information which enables direct identification of an individual, without hindering law enforcement use of PNR data, whereas PNR data anonymization is the permanent removal of identity information of a person from the PNR record.</i></p>	A9 9.29	CE-5
9.120*	<p>Has the State created a Passenger Data Single Window facility for PNR data that allows parties involved to lodge standardized information with a common data transmission entry point to fulfil all related passenger and crew data requirements of the State?</p> <p>Verify documented evidence demonstrating that the State has established a Passenger Data Single Window facility that allows aircraft operators to submit PNR data through a single data entry point.</p> <p>Identify the government agency(ies) receiving PNR data.</p>	A9 9.1	CE-3

PQ No.	<b>PROTOCOL QUESTION</b> <b>GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE</b>	ICAO REF	CE
	<p>Note 1. — <i>The transfer of aircraft operators' passenger data to the State serves the interest of a number of agencies within the State. In the interest of facilitating the transfer of data, such passenger data should be received through one portal and not by multiple agencies within the State. A single data-entry point:</i></p> <p><i>a) facilitates border integrity;</i></p> <p><i>b) allows various government agencies with legal remit to access passenger data to make use of the data in an efficient manner; and</i></p> <p><i>c) optimizes border clearance processes and collaboration amongst border control authorities and law enforcement:</i></p> <p><i>resulting in enhanced facilitation, security screening and border entry processes for low-risk travellers.</i></p> <p>Note 2. — <i>A Passenger Data Single Window facility for PNR data may involve data being received by a single agency, which is responsible for forwarding the relevant information to all other interested agencies. Alternately, PNR data may be stored in a central database, and data is pulled by the interested agencies.</i></p> <p>Note 3. — <i>If the State uses a Passenger Data Single Window facility for both API and PNR data, PQ 9.077 should also be marked as satisfactory.</i></p>		

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