



SAFE SKIES.
**SUSTAINABLE
FUTURE.**

ICAO USAP-CMA SEMINAR

USAP-CMA Tools

Cairo, 23 to 26 September 2024



Module Objectives

At the end of this module, the participants will be familiar with the types and contents of the tools used in the preparation and conduct of aviation security audits under the USAP-CMA

Module Outline

Scope of the protocol questions – Audit Areas

State Aviation Security Activity Questionnaire
(SASAQ)

Compliance Checklists (CC)

USAP-CMA Protocol Questions (PQ)

USAP-CMA PQ Worksheets

Scope of the protocol questions

Audit Areas

LEG	REGULATORY FRAMEWORK AND THE NATIONAL CIVIL AVIATION SECURITY SYSTEM
TRG	TRAINING OF AVIATION SECURITY PERSONNEL
QCF	QUALITY CONTROL FUNCTIONS
OPS	AIRPORT OPERATIONS
IFS	AIRCRAFT AND IN-FLIGHT SECURITY
PAX	PASSENGER AND BAGGAGE SECURITY
CGO	CARGO, CATERING AND MAIL SECURITY
AUI	RESPONSE TO ACTS OF UNLAWFUL INTERFERENCE
FAL	SECURITY ASPECTS TO FACILITATION

USAP-CMA Tools

- The following tools are used during the preparation and conduct of USAP-CMA audits:

SASAQ

CC

PQ

<https://portal.icao.int/USAP/USAPCMADocumentation/Forms/Tools.aspx>



SASAQ

This questionnaire on national aviation security activities is designed to provide ICAO with preliminary information concerning the State's aviation security and oversight systems, covering the following :

- Legislation;
- Regulations;
- Organization;
- Technical elements; and
- Administrative elements




SASAQ

- Used primarily in the planning and customization of a USAP-CMA activity
- Provides Team Members with useful information about aviation security organization in the State.
- States requested to submit the SASAQ 60 days prior to the start of an USAP-CMA audit
- The template SASAQ is kept up-to-date



SASAQ

 **ICAO UNIVERSAL SECURITY AUDIT PROGRAMME CONTINUOUS MONITORING APPROACH (USAP-CMA)
STATE AVIATION SECURITY ACTIVITY QUESTIONNAIRE (SASAQ)**

	Member State	
1	Airport(s) selected for observation	
2		
3		

GEN-01 Provide the name, title and contact details for the designated National Coordinator for the USAP-CMA.

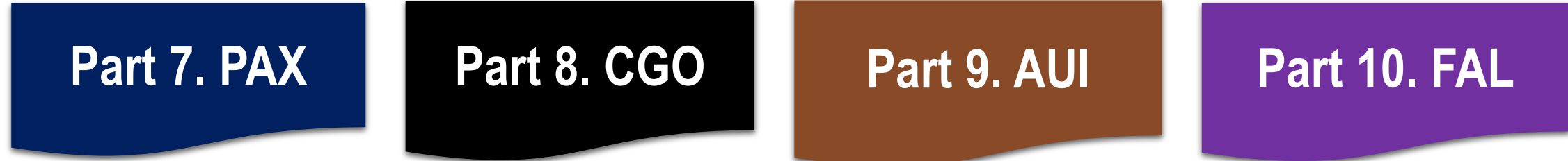
1	Name	
2	Title	
3	Address	
4	Office phone number	
5	Mobile phone number	
6	E-mail address	

GEN-02 What is the normal workweek (e.g. Monday to Friday; Sunday to Thursday) and what are the normal working hours (e.g. 0900 to 1700; 0800 to 1800)?

1	Workweek	
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Structure of the SASAQ



Documents to be submitted with the SASAQ

- Primary Aviation Security Legislation
- Civil Aviation Security Regulations
- NCASP, NCASTP, NQCP, NATFP, ASP
- Schedule of national quality control activities for the previous and for the current year

Compliance Checklists (1/2)

- States are required to complete and maintain up-to-date CCs
- Provide ICAO with information on compliance with Annex 17 Standards and security-related Standards of Annex 9
- Provide auditors with useful references to national-level policies and requirements (index)
- Enable States to identify differences between their own requirements and those established by ICAO Standards (**Article 38 of the Chicago Convention**)

Annex Reference	Standard or Recommended Practice	Level of Compliance	Description of the difference	Comments																							
Annex Reference & SARP Identifier	Annex 17 Amendment 18 Security Standard or Recommended Practice	Legislation Compliance Quote relevant State Act/Regulation or Document Reference	<table border="1"> <thead> <tr> <th colspan="3">Difference</th> </tr> <tr> <th>No</th> <th colspan="2">Yes</th> </tr> <tr> <th></th> <th colspan="2">Level of implementation of SARPs</th> </tr> <tr> <th></th> <th>More exacting or exceeds the ICAO SARP</th> <th>Different in character or other means of compliance</th> <th>Less protective or partially implemented /not implemented</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Difference			No	Yes			Level of implementation of SARPs			More exacting or exceeds the ICAO SARP	Different in character or other means of compliance	Less protective or partially implemented /not implemented									Not applicable	Description of the difference	Remarks including the reason for the difference
Difference																											
No	Yes																										
	Level of implementation of SARPs																										
	More exacting or exceeds the ICAO SARP	Different in character or other means of compliance	Less protective or partially implemented /not implemented																								
Chapter 2 Std. 2.1.1	Each Contracting State shall have as its primary objective 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.																										
Chapter 2 Std. 2.1.2	Each Contracting State shall establish an organization and develop and implement regulations, practices and procedures to safeguard civil aviation against acts of unlawful interference taking into account the safety, regularity and efficiency of flights.																										

Reference to National Legislation

Not applicable Standard or RP

USAP-CMA Protocol Questions (PQs) (1/5)



Essential tool for the conduct of audits



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



Ensure transparency, consistency and standardization of the audit process



Enhance confidence and reliability in the conduct of audits



Each PQ is associated with one CE, as well as one Annex 17 or Annex 9 Standard (plus over-arching Standards)

USAP-CMA Protocol Questions (PQs) (2/5)



Each PQ has associated guidance to ensure that a minimum amount of information is consistently verified in all States



This guidance is primarily based on international best practice and ICAO guidance material



The USAP-CMA PQs are, at the same time, sufficiently flexible to allow for the evaluation of other means of compliance based on the scope, complexity and specifics of managing aviation security in each State

USAP-CMA Protocol Questions (PQs) (3/5)



ASA amends and updates the USAP-CMA PQs on a periodic basis, in consultation with the SSG on the USAP, to:

- a) reflect the latest amendments to Annex 17 Standards and security-Related Standards of Annex 9
- b) include emerging issues in civil aviation
- c) harmonize and improve PQ references and content



PQ amendments incorporate input from the AVSEC Panel, feedback from States, mission reports and other stakeholders.

USAP-CMA Protocol Questions (PQs) (4/5)

PQ No.	PROTOCOL QUESTION GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE	ICAO REF	CE
	Identify the documentation in which this requirement is established.		
4.120	Has the State designated an entity(ies) as responsible for establishing access controls to airside areas at airports serving civil aviation? Identify the documentation in which this designation is established.	4.2.1	CE-3
	Identify the entity(ies) to which this responsibility has been allocated. Does the State provide guidance in regard to perimeter protection? Whether national-level documentation provides guidance in regard to whether an unauthorized person to the airside area. Does the guidance address items such as: a) the construction, the material and any additional security features used to increase the effectiveness of perimeter fence/barrier, including but not limited to, barbed or razor-taped wire topping, a perimeter intrusion detection system, lighting or a closed-circuit television system; b) clear zones and signage along the perimeter fence/barrier; c) a patrol road alongside the fence/barrier, and mobile patrolling requirements; d) emergency gates; e) safety and operational requirements; f) maintenance of the fence/barrier. Note. – Perimeter protection measures include, but are not limited to, perimeter fence, but also physical access control measures within and around the terminal and non-terminal to prevent unauthorized access to airside areas.		
4.130		4.2.1	CE-5

PQ Number

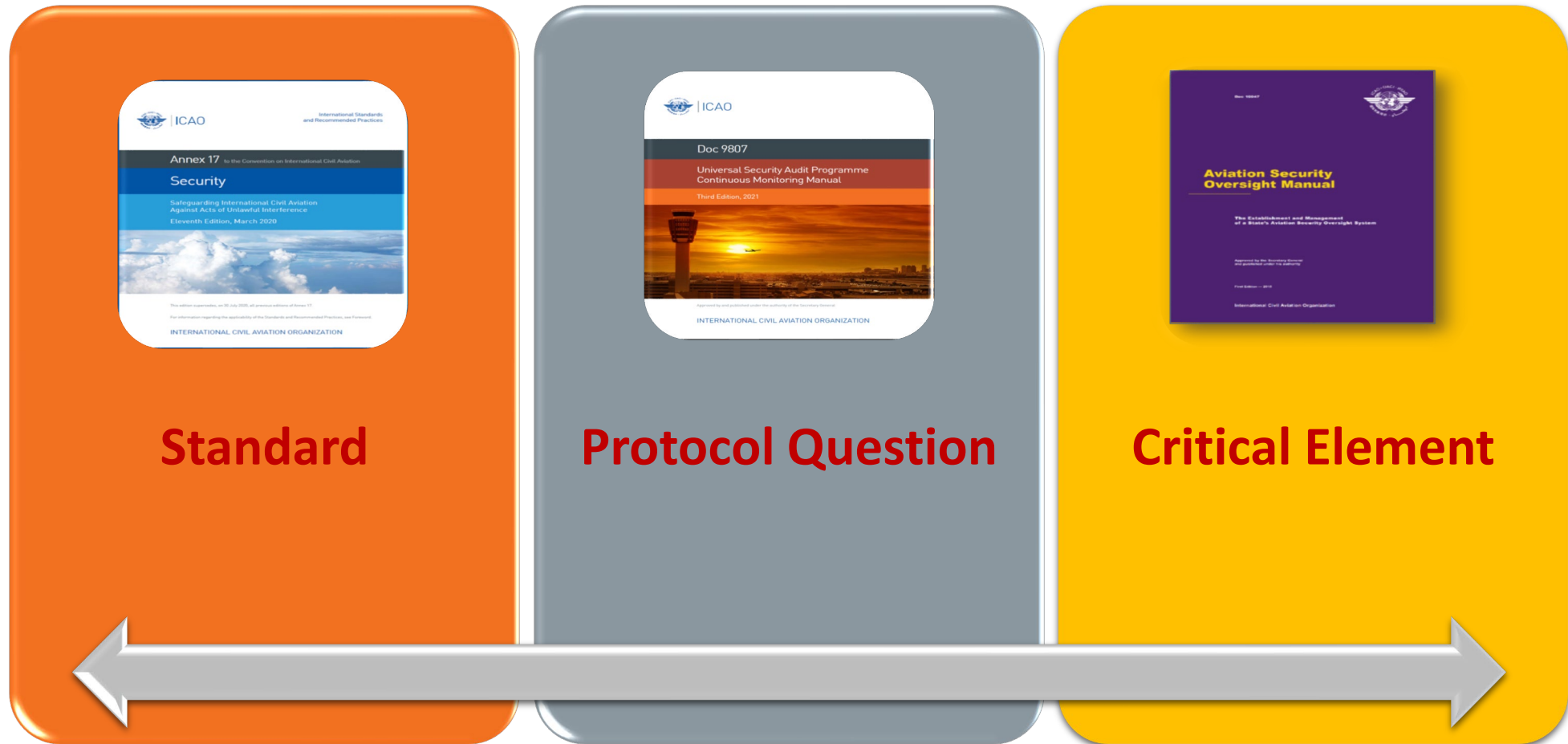
Question

Standard

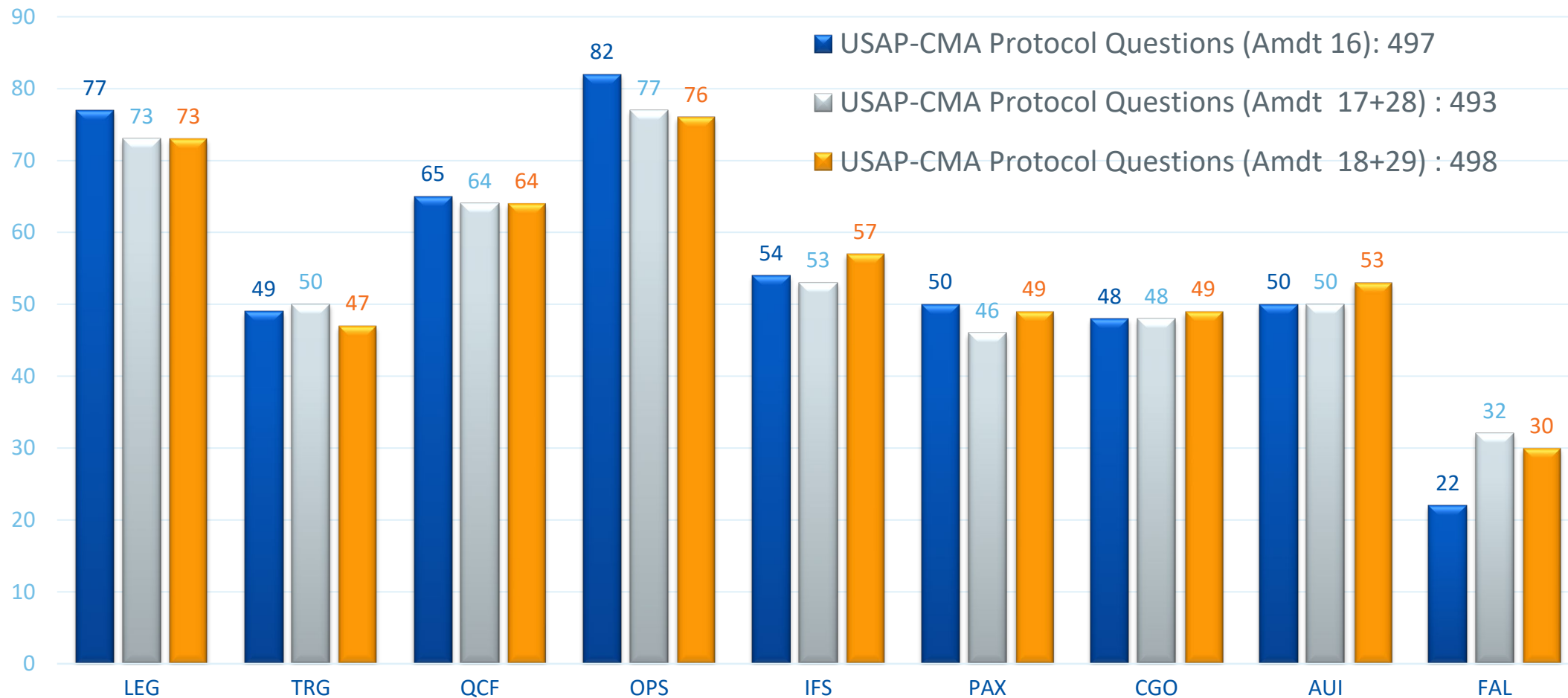
Guidance to review / observe

Critical Element

USAP-CMA Protocol Questions (PQs) (5/5)



Number of PQs by Audit Area



USAP-CMA PQ Worksheets

- Cover all 9 audit areas
 - Used for gathering and recording information during an USAP-CMA audit
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USAP-CMA PQ Worksheets

PQ No.	ICAO Ref.	Protocol Question	Status
CGO 7.125	4.6.4 CE-5	Has the State developed detailed instructions, guidance material or performance criteria for the application of enhanced security measures to high-risk cargo and mail?	For TL reference only <input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Not applicable
<p>Review national-level instructions, guidance material or performance criteria regarding enhanced security measures for high-risk cargo and mail.</p>			
<p>Note 1. — High-risk cargo and mail should be subjected to appropriate screening to effectively detect an IED or mitigate the specific threat associated with it. This should include other detection methods or robust security measures which are not part of the baseline security measures. Such additional screening methods and measures should be determined by the appropriate authority.</p>			
<p>Note 2. — For cargo deemed high risk, two or more threat detection techniques should be applied, ideally including explosives trace detection, algorithm-based cargo X-ray scanners or explosives detection dogs.</p>			
<p>Evidence:</p>			

Module Review

Scope of the protocol questions – Audit Areas

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Compliance Checklists (CC)

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Questions?

Thank You

