



WORKING PAPER

AVSEC/FAL/RG/10 — WP/14
 06/03/20

**Tenth Meeting of the ICAO/LACAC NAM/CAR and SAM Aviation Security and
 Facilitation Regional Group (AVSEC/FAL/RG/10)**

Foz de Iguazú, Brazil, 25 to 27 March 2020

Agenda Item 6

Programmes and Projects - Aviation Security (AVSEC) and Facilitation (FAL)

**6.1 Report on compliance with Conclusion AVSEC/FAL/RG/9/9 about
 Procedures for the implementation of One Stop Security System (OSS)**

BRAZILIAN ONE STOP SECURITY RECOGNITION STRATEGY AND METHODOLOGY

(Presented by Brazil and IATA)

EXECUTIVE SUMMARY

The One Stop Security (OSS) recognition process creates considerable benefits for the facilitation of air transport, by exempting certain security measures for connecting flights, allowing the reduction of flight connection times, promoting more flight options and enhancing the passenger experience.

However, this recognition must be promoted under a robust and comprehensive process, which takes into account deep aspects of aviation security to avoid any future security concern and loss of passenger confidence.

Therefore, this WP presents some strategy principles and an OSS implementation methodology, to ensure it develops a secure and organized way by sharing knowledge and experiences between States in this regard.

Action:	To present strategy principles for implementing OSS implementation through a methodology outlined in the WP and Appendixes 1-3. The Paper seeks an exchange of knowledge, experiences and expectations when establishing a framework for OSS in the region that can promote future unilateral, bilateral and multilateral agreements.
<i>Strategic Objectives:</i>	<ul style="list-style-type: none"> • Security & Facilitation
<i>References:</i>	<ul style="list-style-type: none"> • Annex 17 of Chicago Convention • DOC 8973 – Aviation Security Manual.

1. Introduction

1.1 The recognition of security processes between States enables the exemption of certain security screening processes for transfer passengers and/or baggage. This recognition is commonly known as One Stop Security (OSS), and it has been a focus of study and debate between aviation security specialists.

1.2 The civil aviation industry wishes to avoid, through an OSS recognition process, the repetition of procedures and seeks improved flight operation efficiency. Besides the industry gains, OSS can significantly improve the passenger experience through the increase of flight options and reducing connecting times.

1.3 Recognizing the benefits of OSS in the facilitation spectrum, it is important to assess this matter from the security perspective. Security is one of the pillars of civil aviation. The civil aviation image is vital for a solid and sustainable development of this industry, and aviation security has a considerable influence in the passenger perceptions of this image.

1.4 Therefore, it is possible to note that OSS presents a real example of the duality between facilitation and security, which must coexist in a harmonious relationship. In this regard, this Working Paper provides some suggestions of the steps to be taken towards OSS implementation, and this is guiding the Brazilian implementation of OSS.

2. Strategy of OSS implementation

2.1 From an aviation security perspective, it is important to state that OSS needs to be implemented in a structured and conservative way, guaranteeing a secure process, to avoid any doubt about its effectiveness which could cause a possible setback.

2.2 The ICAO Aviation Security Manual (DOC 8973) presents some principles for implementing OSS, which reinforces the security aspects in the process, as presented below. These principles involve: A State level evaluation; assess compliance with Annex 17, in particular the airport and airline operations; review the documentation and perform an onsite evaluation and; a formal recognition between States by, at least, an exchange of letters.

11.10.1.7 As described below and shown in Figure 11-8, the process leading to recognition of equivalence should be distinguished from the result of the process, i.e. the recognition itself. **The verification process should include all States involved**, while the eventual decision to recognize the equivalence may be by one State only (unilateral recognition) or reciprocal (bilateral / multilateral recognition). **The recognition of equivalence process should be at the State level.**

11.10.2.2 Collaboration between all States involved in the process is key, even when the goal is unilateral recognition by State Y of State X's security measures, without reciprocity. **This collaboration should be formalized through, for example, an exchange of letters between State X and State Y.**

11.10.2.3 The verification process is premised upon the States involved **complying, at a minimum, with Annex 17 Standards.**

11.10.2.4 The process should be documented and should include **a review of appropriate**

documentation and an onsite assessment by State Y of applicable security procedures implemented by State X.

11.10.2.8 In addition to a review of documents, verification should also consist of on-site assessments of the security system. The on-site assessments should examine **all relevant factors surrounding airport and airline operations.**

11.10.2.9 Both the document review and on-site assessment may target specific areas that State Y wishes to recognize. For example, State Y may wish to limit its scope of recognition to specific airports or to individual components in State X, such as hold baggage screening.

2.3 In this respect, OSS can be implemented by phases, beginning by hold baggage recognition, and can be expanded to more complex assessments including passengers and cabin baggage, in a second phase. In addition, OSS can recognize just one specific airport, not demanding the recognition of all airports with operations between two States, as stated in DOC 8973.

11.10.3.3 One-stop security can be holistic (exempting passengers and cabin baggage, and hold baggage from rescreeing) or itemized (e.g. exempting hold baggage only). A one-stop security arrangement may cover all transfer operations between two States, **or its scope may be limited to a specific airport or terminal, a number of airports or all airports within a State.**

2.4 In consideration of the above and the Brazilian civil aviation features, the best strategy for an OSS implementation would be a gradual process, which should attend the following two aspects:

- a) beginning from the simplest recognition process (ie hold baggage recognition); and
- b) look for foreign originating airports with high demand for transferring passengers at Brazilian airports.

2.5 As the OSS recognition process is gradually implemented, it will allow for the reassessment of the pros and cons in the process aiming to enhance its performance, making possible to implement new phases of implementation as more experience, knowledge and confidence has been gained.

2.6 One Stop Security is one of the outcomes of a Recognition of Equivalency process. The OSS can be multilateral, bilateral or unilateral. The multilateral recognition would be the best solution for all industry, promoting facilitation in a secure way for most passengers. However, as already presented, the OSS implementation involves so many aspects, and a multilateral implementation is more of a challenge that can halt the progression if any aspect is not implemented in a satisfactory way.

2.7 Therefore, a unilateral approach to OSS is more viable in the short term that could lead to a more sustainable bilateral or multilateral process overtime.

3. Methodology of OSS evaluation

3.1 ICAO provides general principles (Annex 17) and guidance material (Document 8973) to guide States in implementing OSS. However, there is no readily available methodology to perform an OSS evaluation. This paper recommends using the USAP-CMA Protocols Questions (PQ) as means for States to validate the equivalency of security measures.

3.2 The DOC 8973 paragraph 11.10.2.3 refers to Annex 17 of Chicago Convention SARPs as a

minimum of evaluation. However, the paragraph 11.10.2.8, from the same reference, focuses the evaluation on “*all relevant factors surrounding airport and airline operations*”. This means that all relevant SARPs in relation to airport and airline operations should be assessed in an OSS recognition process.

3.2 In this regard, ANAC has developed an OSS methodology to recognize both hold baggage and passengers and cabin baggage scenarios. Both recognition processes have gone through the same phases to identify which SARPs are related to screening and protection.

3.3 Consequently, the PQ found in the USAP-CMA methodology were chosen to be used in the OSS evaluation process. This choice is justified by the following:

- a) The PQs are complete, composed of 498 PQ in a very organized classification by Critical Elements (oversight principles) and areas. This methodology is also recognized by States and AVSEC specialists, and it is often updated and opened for suggestions by ICAO Members States.
- b) This framework can be used by any State, to promote a standard approach for OSS evaluation processes from unilateral, to bilateral and/or multilateral. Even in case of multilateral recognition, this framework between States could facilitate the creation of recognition teams composed by AVSEC specialists from different States, which may reduce costs and enhance the effectiveness of recognition processes.

3.4 Appendix 1 presents an evaluation of the ICAO Annex 17 and the security provisions of Annex 9 Standard and Recommended Practices (SARP). This evaluation classifies each SARP as follows:

- A' - applicable just for hold baggage recognition;
- A* - applicable just for passenger and cabin baggage recognition,
- A - applicable for cabin and hold baggage and passenger's recognition;
- B - there are some aspects that need a deeper assessment to decide its applicability for an OSS recognition process;
- C – not applicable for an OSS recognition process.

3.5 All the PQs were evaluated and classified under each SARP. In addition, the SARPs classified as “B” in **Appendix A** (i.e. needing further assessment) were assessed against the relevant PQ to ensure its applicability or not for the OSS process. The result of this evaluation is presented in **Appendix B**.

3.6 **Appendix C** presents a list of PQs that would be applicable in a formal evaluation for OSS, for: i) hold baggage purposes, ii) passengers and cabin baggage, and iii) applicable for both cases.

4. The use of PQ results to decide the OSS recognition

4.1 This OSS recognition methodology presents detailed evaluation criteria. Appendix 3 presents 217 PQ for hold baggage recognition, 238 for passenger and cabin baggage and 266 for both. It is a considerable reduction of PQ numbers in comparison with a full USAP-CMA audit (which presents 498 PQ, representing a reduction to 43,5%; 47,8% and 53,4% of the total for hold baggage, passenger and cabin baggage, and both, respectively).

4.2 However, it is possible in a recognition process to identify some aspects that need improvements. In this regard, it is important to bear in mind that a recognition can be promoted even in cases where some PQ are answered unsatisfactory as per Annex 17 (supported by DOC 8973).

4.3 Some aspects can present higher impact than others, and thus an evaluation about the weaknesses identified in OSS process is a further step of recognition process. In some cases, evidence of a solution is enough, in others, a new airport visit would be required. In other cases, noncompliance with Annex 17 is not allowed, however, there can be a difference between States in certain criteria (i.e. the list of forbidden articles).

4.4 That is why the methodology presented in the study may need some additions and be put in practice to identify adjustments and enhancements. The recognition will not be one hundred percent mathematical and automatic, reflecting the number of PQ compliance. The results of PQ will demand a technical evaluation that can support or not the recognition, and maybe, through future experiences and evaluations, it might help with guidance and good practices.

5. Conclusion

5.1 OSS can present benefits for all industry if implemented in a secure way. This WP presents some principles and methodology to recognize other States for OSS purposes, which Brazil is following, aiming for the development of OSS recognition with other States.

5.2 As the OSS is an international matter, it depends on involvement between States exchanging experience, knowledge and expectations about it. In this regard, the principles and methodology proposed can be discussed by the representatives of the Region to explore new solutions and upgrading the perception about the theme.

6. Suggestion of actions

6.1 This paper presents the Brazilian OSS implementation view, and how it could be put into practice. It is important to address this theme in the region to allow for discussions in relation to principles, enhancements and bottlenecks. Therefore, the AVSEC/FAL/RG/10 meeting is invited to address the following aspects:

- a) Take notice of the Brazilian strategy and methodology for OSS recognition implementation;
- b) Urge Contracting States to make suggestions about the Brazilian proposal aiming at a possible regional framework, that could foster unilateral, bilateral and multilateral recognition in the future; and
- c) Ask members States and ICAO to consider sharing the suggestion of OSS methodology with other States and Regions which could take in place an OSS recognition process with Americas States.

APPENDIX A

EVALUATION OF ANNEX 9 (UNDER USAP-CMA EVALUATION)
AND ANNEX 17 OF CHICAGO CONVENTION

SARP	Classification as 3.6 of WP	Classification justification
2.1.1	C	The formal objective about Aviation Security has not a straight relation with AVSEC measures implementation. One State can have all measures implemented without a formal objective with AVSEC.
2.1.2	B	The definition of an organization responsible for AVSEC in a State is essential to perform at least the regulation and quality control activities. However, this SARP is very broad and some aspects cannot be applicable, suggesting a more specific assessment by each PQ of USAP-CMA' methodology.
2.1.3	B	A responsible organization for AVSEC that promote regulation, practices and procedures to protect AVSEC is essential for an aviation security system. However, this SARP is very broad and some aspects cannot be applicable, suggesting a more specific assessment by each PQ of USAP-CMA' methodology.
2.2.1	C	The applicability of Annex 17 does not present an effective AVSEC measure.
2.2.2	C	The applicability of Annex 17 does not present an effective AVSEC measure.
2.4.1	C	International cooperation does not present a relevant operational measure to protect baggage or passengers.
2.4.2	C	International cooperation does not present a relevant operational measure to protect baggage or passengers.
2.4.3	A	The exchange of threat information presents a relevant measure to protect baggage or passengers, specially related with the threat information that can impact on the security of passengers or baggage. This aspect also can be reinforced in the MoU or Letters of recognition.
2.4.4	A	The protection of information about other States is an important issue in an OSS process, considering that States will need to exchange information and regulations, which in some cases are classified or sensitive information. This aspect also can be reinforced in the MoU or Letters of recognition.
3.1.1	A	A national program or a national regulation framework for aviation security is an important support for AVSEC implementation, giving support to implementation measures, certification processes and quality control activities.

SARP	Classification as 3.6 of WP	Classification justification
3.1.2	A	The definition of an organization responsible for AVSEC national program or a national regulation framework is essential to perform AVSEC in a State.
3.1.3	C	<p>The security risk assessment is an important tool to States achieve the correct level of measures implementation related with its threats.</p> <p>However, the implementation of preventive measures as presented in Annex 17 can be enough for recognition process.</p> <p>The screening and protection of baggage and passengers, and other relevant areas and objects that can contaminate baggage and passengers are international preventive standards presented on Annex 17 of Chicago Convention (meanly the Chapter 4), which it will be evaluated in the OSS process.</p> <p>The State risk assessment can support the decision in a recognition process when there is some difference between States related with some preventive measures.</p>
3.1.4	C	The spread of relevant information to the industry to allow them to promote risk assessments it is a relevant measure. However, if all preventive measure is applied, it is not an essential for an OSS recognition.
3.1.5	B	The definition of responsibilities for AVSEC preventive measures is straightly related with OSS recognition. If some aspects of Protocol Questions (PQ) are not related with this regard, these PQ must not be included in the OSS recognition.
3.1.6	C	The National Aviation Security Committee cannot have a straight relation with preventive measures. The National Committee can be absent, and the preventive security measures be well implemented at airport level and be regulated and oversighted by the responsible authorities.
3.1.7	C	The training of personal that perform aviation security measures related with applicable SARP of Chapter 4 is important and straight related with OSS. However, this NCASP is very broad, and the training of the preventive measures (Chapter 4 of Annex 17) applicable for OSS can be assessed in the SARP 3.4.2.
3.1.8	A	The training of personal that perform aviation security measures related with applicable SARP of chapter 4 is important and straight related with OSS, and the certification of instructors responsible for it are essential for its performing at airport level.
3.1.9	A	The disposal of enough supporting resources and facilities at airport level related with the applicable SARP of chapter 4 is straight related with OSS processes.
3.1.10	C	Usually the air traffic service does not perform relevant preventive measure related with OSS processes.

SARP	Classification as 3.6 of WP	Classification justification
3.2.1	A	The airport security program is a certification process that presents AVSEC measures related with OSS processes.
3.2.2	A	The designation of responsible entities for airport security is straight related with OSS processes.
3.2.3	C	The security airport committee is a relevant forum for aviation security, and it can contribute for AVSEC at all. However, the committee has not straight relation with OSS processes.
3.2.4	A	The airport facilities need to offer a minimum level of protection of OSS processes.
3.3.1	A	The aircraft operator security program is a certification process that presents AVSEC measures related with OSS' processes. In this case just, just the airlines that operates between States must be assessed.
3.4.1	A	The background check for professional that develop aviation security activities is a security measure that involves all procedures applicable by human resources, and thus it is straightly related with the preventive processes of OSS recognition.
3.4.2	B	The training of personal that perform aviation security measures related with applicable SARP of chapter 4 is important and straight related with OSS. Some other training cannot be relevant for OSS purposes.
3.4.3	A	The screeners certification process is straight related with SARP of chapter 4 (screening) and related with OSS.
3.4.4	A	A National Quality Control Program is essential to perform the industry oversight to guarantee the preventive measures be performed in a sustainable and continuous way.
3.4.5	A	The quality control activities are essential to perform the industry oversight to guarantee the preventive measures be performed in a sustainable and continuous way.
3.4.6	B	The quality control activities are essential to perform the industry oversight to guarantee the preventive measures be performed in a sustainable and continuous way. However, this SARP is very broad and some aspects does not have relation with OSS processes, and some have just relation with hold baggage or passengers.
3.4.7	A	This SARP presents some criteria for quality control programmes that are important for a robust oversight system.
3.4.8	A	The investigation of an act of unlawful interference in a country can identify deficiencies in AVSEC process that can be related with OSS process.
3.5	C	Usually the air traffic service does not perform relevant preventive measure related with OSS processes.

SARP	Classification as 3.6 of WP	Classification justification
4.1.1	C	The formal objective about preventive security measures has not a straight relation with AVSEC measures implementation. One State can have all measures implemented without a formal objective with it.
4.2.1	C	The objective of OSS is related with baggage, passenger and aircrafts operated in commercial flights, which need to occur in Security Restrict Zones (SRZ). Thus, the access control to airside areas does not present a straight relation with OSS, unless the airside be the same of SRZ which are dealt in the SARP 4.2.2 and 4.2.3.
4.2.2	A	The protection of passengers and baggage depends if such persons and baggage pieces are stored in restricted zones after screening processes.
4.2.3	A	The protection of passengers and baggage depends if professionals and vehicles that can entry in the operational areas are identified and have permission for it.
4.2.4	A	The protection of passengers and baggage depends if professionals that can entry in the operational areas are subjected to background checks.
4.2.5	A	The protection of aircrafts is important to avoid the “contamination” of passengers or baggage pieces directed to OSS processes.
4.2.6	A	The protection of passengers and baggage depends if professionals that can entry in the operational areas are subjected to screening process.
4.2.7	A	The protection of passengers and baggage depends if vehicles that can entry in the operational areas are subjected to screening process.
4.3.1	A	The aircraft search and check are related with aircraft protection, in order to guarantee that aircraft does not present a threat before the connection airport arrival or the boarding time.
4.3.2	A*	The control of items left behind for passengers at airport has relation only with OSS processes for passenger screening recognition.
4.3.3	C	The protection of flight crew compartment has not relation with the OSS process preventive measures.
4.3.4	A	The protection of aircrafts is important to avoid the “contamination” of passengers or baggage pieces directed to OSS processes.
4.3.6	C	The MANPADS threat is not shared with other States.
4.4.1	A*	The screening of passengers and cabin baggage is related just with the OSS for passengers and cabin baggage screening recognition process.

SARP	Classification as 3.6 of WP	Classification justification
4.4.2	A*	The screening of passengers and cabin baggage is related just with the OSS for passengers and cabin baggage screening recognition process.
4.4.3	A*	The screening of transfer passengers and cabin baggage is related just with the OSS for passengers and cabin baggage screening recognition process.
4.4.4	A*	The protection of passengers and cabin baggage is related just with the OSS for passengers and cabin baggage screening recognition process.
4.4.5	A*	The protection of transit passengers and cabin baggage and the airport of transit is related just with the OSS for passengers and cabin baggage screening recognition process.
4.5.1	A'	The screening of origin hold baggage is related just with the OSS for hold baggage screening recognition process.
4.5.2	A'	The protection of hold baggage is related just with the OSS for hold baggage screening recognition process.
4.5.3	C	The OSS process relies on screening and protection process. If there is a failure in a reconciliation process and a baggage flights without the passenger, the screening and protection of baggage and passenger is the same. In other words, this reconciliation failure does not affect the OSS processes.
4.5.4	A'	The screening of transfer hold baggage is related just with the OSS for hold baggage screening recognition process.
4.5.5	C	The OSS process relies on screening and protection process. If there is a failure in a reconciliation process and a baggage flights without the passenger, or a baggage from another flight, the screening and protection of baggage and passenger is the same. In other words, this reconciliation failure does not affect the OSS processes.
4.6.1	C	The hold baggage, passengers, cabin baggage, aircraft and restricted zones need to be under protection procedures to protect passengers and baggage in OSS process. The cargo, mail and other goods screening and controls are not related with OSS of passengers and baggage. However, the protection of cargo, mail and other goods is essential to avoid a passenger or baggage "contamination" (SARP 4.6.3 and 4.6.6).
4.6.2	C	The hold baggage, passengers, cabin baggage, aircraft and restricted zones need to be under protection procedures to protect passengers and baggage in OSS process. The cargo, mail and other goods screening and controls are not related with OSS of passengers and baggage. However, the protection of cargo, mail and other goods is essential to avoid a passenger or baggage "contamination" (SARP 4.6.3 and 4.6.6).
4.6.3	A	The hold baggage, passengers, cabin baggage, aircraft and restricted zones need to be under protection procedures to protect

SARP	Classification as 3.6 of WP	Classification justification
		passengers and baggage in OSS process. The cargo, mail and other goods screening and controls are not related with OSS of passengers and baggage. However, the protection of cargo, mail and other goods in SRZ is essential to avoid a passenger or baggage “contamination” (SARP 4.6.3 and 4.6.6).
4.6.4	C	The hold baggage, passengers, cabin baggage, aircraft and restricted zones need to be under protection procedures to protect passengers and baggage in OSS process. The cargo, mail and other goods screening and controls are not related with OSS of passengers and baggage. However, the protection of cargo, mail and other goods is essential to avoid a passenger or baggage “contamination” (SARP 4.6.3 and 4.6.6).
4.6.5	C	The hold baggage, passengers, cabin baggage, aircraft and restricted zones need to be under protection procedures to protect passengers and baggage in OSS process. The cargo, mail and other goods screening and controls are not related with OSS of passengers and baggage. However, the protection of cargo, mail and other goods is essential to avoid a passenger or baggage “contamination” (SARP 4.6.3 and 4.6.6).
4.6.6	A	The hold baggage, passengers, cabin baggage, aircraft and restricted zones need to be under protection procedures to protect passengers and baggage in OSS process. The cargo, mail and other goods screening and controls are not related with OSS of passengers and baggage. However, the protection of cargo, mail and other goods is essential to avoid a passenger or baggage “contamination” (SARP 4.6.3 and 4.6.6). Specially about 4.6.6 for OSS process, the protection of these goods <u>is applicable just in SRZ until loaded onto the aircraft.</u>
4.6.7	A	The merchandise and supplies introduced in Security Restrict Zones (SRZ) usually does not have a controlled and fixed flow inside airport (as cargo and mail), making possible to spread these products inside SRZ together with its holders. Once these objects are well screened at SRZ access (or came from a secure chain), the risk involving a possible forbidden object be introduced in a baggage or “contaminate” a passenger decrease considerable, what justify this SARP be assessed in an OSS process.
4.6.8	C	The hold baggage, passengers, cabin baggage, aircraft and restricted zones need to be under protection procedures to protect passengers and baggage in OSS process. The cargo, mail and other goods screening and controls are not related with OSS of passengers and baggage. However, the protection of cargo, mail and other goods is essential to avoid a passenger or baggage “contamination” (SARP 4.6.3 and 4.6.6).
4.6.9	C	The hold baggage, passengers, cabin baggage, aircraft and restricted zones need to be under protection procedures to protect

SARP	Classification as 3.6 of WP	Classification justification
		passengers and baggage in OSS process. The cargo, mail and other goods screening and controls are not related with OSS of passengers and baggage. However, the protection of cargo, mail and other goods is essential to avoid a passenger or baggage “contamination” (SARP 4.6.3 and 4.6.6).
4.6.10	C	The hold baggage, passengers, cabin baggage, aircraft and restricted zones need to be under protection procedures to protect passengers and baggage in OSS process. The cargo, mail and other goods screening and controls are not related with OSS of passengers and baggage. However, the protection of cargo, mail and other goods is essential to avoid a passenger or baggage “contamination” (SARP 4.6.3 and 4.6.6).
4.7.1	C	The transport of potentially disruptive passengers does not relate with OSS recognition processes.
4.7.2	C	The transport of passengers subjected of judicial or administrative proceedings does not relate with OSS recognition processes.
4.7.3	C	The information to the pilot-in-command about the transport of passengers subjected of judicial or administrative proceedings does not relate with OSS recognition processes.
4.7.4	A*	The transport of weapons on board of cabin of aircraft without special authorization can be a source of “contamination” of flights by passengers.
4.7.5	A*	The transport of weapons on board of cabin of aircraft without special authorization can be a source of “contamination” of flights by passengers.
4.7.6	A'	The transport of weapons on board of cabin of aircraft without special authorization can be a source of “contamination” of flights by passengers.
4.7.7	A*	The transport of weapons on board of hold of aircraft without special authorization can be a source of “contamination” of flights by baggage.
4.7.8	C	The information to the pilot-in-command about the armed passengers and its seats does not relate with OSS recognition processes.
4.8.1	C	The landside security does not present straight relation with OSS recognition process of passengers and baggage screening.
4.8.2	C	The landside security does not present straight relation with OSS recognition process of passengers and baggage screening.
4.8.3	C	The landside security does not present straight relation with OSS recognition process of passengers and baggage screening.
4.9.1	A	The cyber security measures need to be assessed when there is any process carried out by any tool of technology that can be impact in

SARP	Classification as 3.6 of WP	Classification justification
		the applicable process of Chapter 4 of Annex 17. That is why this SARP need to be assessed.
5	C	The measures of response to acts of unlawful interference does not present straight relation with OSS processes.
Annex 9		
3.7	C	The OSS looks for recognition of screening process of passengers, not including the identification process.
3.8	C	The OSS looks for recognition of screening process of passengers, not including the identification process.
3.8.1	C	The OSS looks for recognition of screening process of passengers, not including the identification process.
3.10	C	The OSS looks for recognition of screening process of passengers, not including the identification process.
3.11	C	The OSS looks for recognition of screening process of passengers, not including the identification process.
3.12	C	The OSS looks for recognition of screening process of passengers, not including the identification process.
3.32	C	The OSS looks for recognition of screening process of passengers, not including the identification process.
3.34	C	The OSS looks for recognition of screening process of passengers, not including the identification process.
3.34.1	C	The OSS looks for recognition of screening process of passengers, not including the identification process.
3.63	C	The OSS looks for recognition of screening process of passengers, not including the identification process.
3.68	C	The OSS looks for recognition of screening process of passengers, not including the identification process.
8.17	C	The OSS looks for recognition of screening process of passengers and baggage, by the security aspect, not including facilitation point of view.
8.19	C	The OSS looks for recognition of screening process of passengers and baggage, by the security aspect, not including facilitation point of view.
9.5	C	The OSS looks for recognition of screening process of passengers and baggage, by the security aspect, not including advantage passenger information aspects.
9.6	C	The OSS looks for recognition of screening process of passengers and baggage, by the security aspect, not including advantage passenger information aspects.

APPENDIX B

**EVALUATION OF PQ (USAP-CMA) OF SARPS CLASSIFIED AS B
(some aspects need to be assessed for an OSS recognition process)**

SARP - 2.1.2		
PQ	CLASSIFICATION	
LEG 1.005 Has the State promulgated primary aviation security legislation (e.g. aviation security act or equivalent) to enable it to address its aviation security-related obligations as a signatory to the Chicago Convention?	A	A legislation that presents the main aviation security organization is important to establish responsibilities and structure of aviation security, as the authorities involved with it.
LEG 1.010 Does the State's primary aviation security legislation contain provisions for the establishment of an appropriate authority for aviation security?	A	A legislation that presents the main aviation security organization is important to establish responsibilities and structure of aviation security, as the authorities involved with it.
LEG 1.025 Has the State established specific secondary aviation security legislation to enable the State to implement the provisions of Annex 17?	C	The secondary aviation security legislation will be assessed in each PQ addressed to evaluate the implementation of security preventive measure (mainly, Chapter 4 of Annex 17 of Chicago Convention).
LEG 1.030 Has the State established a policy and procedures for the amendment of its national aviation security policies and requirements to take into consideration Annex 17 provisions and their amendments, or to address any new and emerging threat to civil aviation?	A	As the Annex 17 to Chicago Convention is the baseline for this methodology of OSS recognition, it is essential that States have established policies and procedures to amend its policies and requirements when Annex 17 changes.
LEG 1.035 Has the State implemented the amendment of its national aviation security policies and requirements to take into consideration Annex 17 provisions and their amendments, or to address any new and emerging threat to civil aviation?	A	As the Annex 17 to Chicago Convention is the baseline for this methodology of OSS recognition, it is essential that States have established policies and procedures to amend its policies and requirements when Annex 17 changes.
LEG 1.040 Has the State established a policy and procedures to identify and notify ICAO of differences between Annex 17 Standards and its national aviation security policies and requirements?	C	The implementation of policies and procedures about notification of differences of Annex 17 of Chicago Convention to ICAO does not present a relevant matter to an OSS process. The National requirements presenting measures related with OSS recognition will be assessed in each dedicated SARP.

SARP - 2.1.2		
PQ	CLASSIFICATION	
LEG 1.045 Has the State implemented a process to identify differences between Annex 17 Standards and its national aviation security policies and requirements and to notify ICAO of such differences?	C	The implementation of policies and procedures about notification of differences of Annex 17 of Chicago Convention to ICAO does not present a relevant matter to an OSS process. The National requirements presenting measures related with OSS recognition will be assessed in each dedicated SARP.
LEG 1.085 Do the primary aviation security legislation/regulations provide for the enforcement of applicable rules?	A	The provision of enforcements tools to guarantee the aviation security requirements applicability by quality control activities is essential for OSS recognition.
LEG 1.090 Do the State’s laws criminalize any actions that would constitute an act of unlawful interference against civil aviation?	C	The provision of law penalties for actions of unlawful interference against civil aviation is an important legal measure to punish responsible for unlawful acts. However, this matter does not present a straight relation with measures that support OSS recognition.
LEG 1.095 Does the primary aviation security legislation allocate to the appropriate authority any enforcement powers to ensure compliance with national aviation security policies and requirements?	A	The provision of enforcements tools to guarantee the aviation security requirements applicability by quality control activities is essential for OSS recognition.
LEG 1.100 Has the State established procedures for enforcement of compliance with applicable rules?	A	The provision of enforcements tools to guarantee the aviation security requirements applicability by quality control activities is essential for OSS recognition.
LEG 1.105 Has the State implemented enforcement procedures, if required?	A	The provision of enforcements tools to guarantee the aviation security requirements applicability by quality control activities is essential for OSS recognition.
LEG 1.275 Has the State established an organizational structure for aviation security within the appropriate authority?	A	An enough organization structure for aviation security within the appropriate authority is essential to promote the quality control, certification and regulation activities, at least.
LEG 1.280 Has the State ensured that the appropriate authority has sufficient financial resources to meet its national and international obligations?	C	It is not easy, and sometimes, feasible to assess if one institution has sufficient financial resources in few days of evaluation. By all the other SARP to be assessed it is possible to identify if the authority complies with its responsibilities or not, making this SARP not essential.

SARP - 2.1.2		
PQ	CLASSIFICATION	
LEG 1.285 Has the State established and implemented a process to ensure that the appropriate authority has sufficient personnel to meet its national and international obligations?	C	It is not easy, and sometimes, feasible to assess if one institution has sufficient human resources in few days of evaluation. By all the other SARP to be assessed it is possible to identify if the authority complies with its responsibilities or not, making this SARP not essential.
LEG 1.290 Is the appropriate authority able to attract, recruit and retain sufficiently qualified/experienced technical personnel within its administration?	C	It is not easy, and sometimes, feasible to assess if one institution has sufficient qualified human resources in few days of evaluation. By all the other SARP to be assessed it is possible to identify if the authority complies with its responsibilities or not, making this SARP not essential.
LEG 1.295 Are the relevant ICAO documents and other regulatory/technical publications readily available to the technical and administrative personnel of the appropriate authority involved in aviation security?	C	By all the other SARP to be assessed it is possible to identify if the authority complies with its responsibilities or not by international regulation and guidance, making this SARP not essential.
LEG 1.300 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?	C	It is not easy, and sometimes, feasible to assess if one institution has sufficient tools and equipment in few days of evaluation. By all the other SARP to be assessed it is possible to identify if the authority complies with its responsibilities or not, making this SARP not essential.
TRG 2.020 Does the appropriate authority have an active role in the selection and recruitment of sufficiently qualified/experienced technical personnel for its administration?	C	It is not easy, and sometimes, feasible to assess if one institution has sufficient qualified human resources in few days of evaluation. By all the other SARP to be assessed it is possible to identify if the authority complies with its responsibilities or not, making this SARP not essential.
SARP 2.1.3		
PQ	CLASSIFICATION	
LEG 1.160 Has the State established various levels of threat?	C	The PQ focus on threat assessment. The identification of threat assessment is important for aviation security to identify additional risks. However, the screening and protection of baggage and passengers, and other relevant areas and objects that can contaminate baggage and passengers are international preventive standards presented on Annex 17 of Chicago Convention (meanly the Chapter 4), which it will be evaluated in the OSS process.

SARP - 2.1.2	
PQ	CLASSIFICATION
LEG 1.165 If the State does not use various levels of threat, has it established alternative means to deal with increases in the threat to civil aviation?	C The PQ focus on threat assessment. The identification of threat assessment is important for aviation security to identify additional risks. However, the screening and protection of baggage and passengers, and other relevant areas and objects that can contaminate baggage and passengers are international preventive standards presented on Annex 17 of Chicago Convention (meanly the Chapter 4), which it will be evaluated in the OSS process.
LEG 1.170 If the State uses various levels of threat, have the related security countermeasures also been established?	C The PQ focus on threat assessment. The identification of threat assessment is important for aviation security to identify additional risks. However, the screening and protection of baggage and passengers, and other relevant areas and objects that can contaminate baggage and passengers are international preventive standards presented on Annex 17 of Chicago Convention (meanly the Chapter 4), which it will be evaluated in the OSS process.
LEG 1.175 If the State does not use various levels of threat, has the State established a process to counter threats to civil aviation?	C The PQ focus on threat assessment. The identification of threat assessment is important for aviation security to identify additional risks. However, the screening and protection of baggage and passengers, and other relevant areas and objects that can contaminate baggage and passengers are international preventive standards presented on Annex 17 of Chicago Convention (meanly the Chapter 4), which it will be evaluated in the OSS process.
LEG 1.180 Has the State established procedures to disseminate information related to the levels of threat and/or appropriate countermeasures to be implemented at the airport level?	C The PQ focus on threat assessment. The identification of threat assessment is important for aviation security to identify additional risks. However, the screening and protection of baggage and passengers, and other relevant areas and objects that can contaminate baggage and passengers are international preventive standards presented on Annex 17 of Chicago Convention (meanly the Chapter 4), which it will be evaluated in the OSS process.

SARP - 2.1.2		
PQ	CLASSIFICATION	
LEG 1.185 Are all relevant airport-level entities aware of the levels of threat and the requirements for associated countermeasures?	C	The PQ focus on threat assessment. The identification of threat assessment is important for aviation security to identify additional risks. However, the screening and protection of baggage and passengers, and other relevant areas and objects that can contaminate baggage and passengers are international preventive standards presented on Annex 17 of Chicago Convention (meanly the Chapter 4), which it will be evaluated in the OSS process.
SARP 3.1.5		
PQ	CLASSIFICATION	
LEG 1.305 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?	C	The PQ focus in a coordination between departments, agencies and organizations, which has not straight relation with the measures related to protect baggage and passengers to promote OSS. In addition, by the others SARP assessment it is possible to identify if there is some lacky of coordination, making this SARP not essential.
LEG 1.310 Are the functions and responsibilities of the various entities within the aviation security system clearly defined to ensure that there is no overlap of responsibilities?	C	By the others SARP assessment (specially the Critical Elements 3) it is possible to identify if there is some overlap of responsibility, making this SARP not essential.
LEG 1.315 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?	A	The distinct separation of responsibilities between aviation security regulatory/oversight entity(ies) is a baseline for implementation of a Quality Control Program.
LEG 1.320 If the appropriate authority has delegated or transferred some of its aviation security duties to a different entity within the State, is there a legal basis for this delegation/transfer?	A	The legal delegation or transferred attributions of appropriate authority is a baseline for guarantee the authorities responsibilities, specially certification and quality control activities.

SARP - 2.1.2		
PQ	CLASSIFICATION	
LEG 1.325 If the appropriate authority has delegated or transferred some of its aviation security duties to a different entity within the State, does the appropriate authority conduct oversight of delegated/transferred tasks?	A	The legal delegation or transferred attributions of appropriate authority is a baseline for guarantee the authorities responsibilities, specially certification and quality control activities.
LEG 1.330 If the appropriate authority has delegated or transferred some of its aviation security duties 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?	A	The legal delegation or transferred attributions of appropriate authority is a baseline for guarantee the authorities responsibilities, specially certification and quality control activities.
LEG 1.331 If the State has established ROs which perform aviation security oversight functions, are their roles and responsibilities clearly defined?	A	The legal delegation or transferred attributions of appropriate authority is a baseline for guarantee the authorities responsibilities, specially certification and quality control activities.
LEG 1.332 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?	A	The legal delegation or transferred attributions of appropriate authority is a baseline for guarantee the authorities responsibilities, specially certification and quality control activities.
3.4.2		
PQ	CLASSIFICATION	
TRG 2.065 Has the State designated offices at the national and airport levels as responsible for ensuring that training is conducted?	A	The designation of responsibilities to promote training is essential to guarantee its application.
TRG 2.070 Has the State ensured specific training for all staff conducting access control to airside areas and SRAs?	A	Access control to SRA is related with the protection of SRA, which is relevant for OSS process.
TRG 2.075 Has the State ensured specific training for all staff conducting screening of persons other than passengers (including items carried and vehicle searches) being granted unescorted access to SRAs?	A	Screening of persons other than passengers (including items carried and vehicle searches) is related with the protection of SRA, which is relevant for OSS process.
TRG 2.080 Has the State ensured specific training for all staff conducting security measures designed to prevent unauthorized access to aircraft?	A	Measures to prevent unauthorized access to aircraft is related with the protection of aircrafts, which is relevant for OSS process.

SARP - 2.1.2		
PQ	CLASSIFICATION	
TRG 2.085 Has the State ensured specific training for all staff conducting security checks and searches of originating aircraft and protection of the aircraft until departure?	A	Security checks and searches of originating aircraft and protection of the aircraft until departure is straightly related with the protection of aircrafts, which is relevant for OSS process.
TRG 2.090 Has the State ensured specific 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?	A*	Measures to ensure that any items left behind by passengers disembarking from transit flights are removed from the aircraft is straightly related with the protection of aircrafts, which is relevant for OSS process of passenger and cabin baggage recognition.
TRG 2.095 Has the State ensured specific training for all staff conducting measures to prevent unauthorized persons from entering the flight crew compartment during flight?	C	Measure not related with OSS process.
TRG 2.100 Has the State ensured specific training for relevant personnel to identify and manage unruly or disruptive passenger situations?	C	Measure not related with OSS process.
TRG 2.105 Has the State ensured specific training for all staff conducting screening of passengers and their cabin baggage?	A*	Screening of passengers and their cabin baggage is straightly related with OSS process of passenger and cabin baggage recognition.
TRG 2.110 Has the State ensured specific 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?	A*	Protection of screened passengers and their cabin baggage is straightly related with OSS process of passenger and cabin baggage recognition.
TRG 2.115 Has the State ensured specific training for all staff conducting screening of hold baggage?	A'	Screening of hold baggage is straightly related with OSS process of hold baggage recognition.
TRG 2.120 Has the State ensured specific training for all staff implementing measures to protect screened hold baggage from unauthorized interference?	A'	Protection of screened hold baggage is straightly related with OSS process of hold baggage recognition.

SARP - 2.1.2		
PQ	CLASSIFICATION	
TRG 2.125 Has the State ensured specific training for all staff conducting hold baggage reconciliation and authorization of hold baggage for carriage?	C	Measure not related with OSS process.
TRG 2.130 Has the State ensured specific training for all staff conducting screening of cargo and mail?	C	Measure not related with OSS process.
TRG 2.135 Has the State ensured specific training for all staff conducting measures to protect cargo and mail subjected to screening or other security controls from unauthorized interference?	A	Cargo protection measure is related with the protection of SRZ, which is relevant for OSS process.
TRG 2.140 Has the State ensured specific training for regulated agent and known consignor staff performing security controls?	C	Measure not related with OSS process.
TRG 2.145 Has the State ensured specific training for all staff conducting security controls for catering?	A	Security controls for catering is related with the protection of SRZ and aircraft, which is relevant for OSS process.
TRG 2.146 Has the State ensured specific training for all staff conducting security controls for merchandise and supplies introduced into SRAs?	A	Security controls for merchandise and supplies is related with the protection of SRZ and aircraft, which is relevant for OSS process.
TRG 2.147 Has the State ensured specific training for all staff involved in the implementation of security measures for landside areas?	C	Measure not related with OSS process.
TRG 2.150 Does the State ensure that all required training is completed as required for aviation security personnel?	A	The quality control activities of training performing is essential to guarantee its application.
TRG 2.155 Does the State identify training needs or deficiencies in the training process?	A	The quality control activities of training performing is essential to guarantee its application.
TRG 2.160 If any deficiencies or concerns have been identified in training, has the State established a process for their resolution?	A	The quality control activities of training performing is essential to guarantee its application.
3.4.6		
PQ	CLASSIFICATION	

SARP - 2.1.2		
PQ	CLASSIFICATION	
QCF 3.010 Has the State designated an entity as responsible for the conduct of security audits, tests, surveys and inspections as a means of establishing compliance with national requirements and evaluating the effectiveness of security measures?	A	The provision of quality control activities is essential to guarantee the application of measures related with OSS recognized processes.
QCF 3.015 Has the State designated an independent office or entity as responsible for the management, setting of priorities and organization of the NQCP?	A	The independency of a quality control program is essential to guarantee the application of measures related with OSS recognized processes.
QCF 3.060 Is a formal schedule for the different types of quality control activities established and implemented?	A	The performing of quality control activities is essential to guarantee the application of measures related with OSS recognized processes.
QCF 3.065 Are the different types of quality control activities applied to all relevant entities with aviation security responsibilities?	A	The performing of quality control activities is essential to guarantee the application of measures related with OSS recognized processes.
QCF 3.075 Has the State prescribed appropriate items to be used as covert test pieces?	A	The performing of covert tests is essential to guarantee the application of measures related with OSS recognized processes.
QCF 3.080 Does the State conduct covert testing of different types of security measures to assess their effectiveness?	A	The performing of covert tests is essential to guarantee the application of measures related with OSS recognized processes.
QCF 3.085 Has the State established and does it implement appropriate resolution procedures in the event of failure of covert tests?	A	The performing of covert tests is essential to guarantee the application of measures related with OSS recognized processes.
QCF 3.090 If higher levels of threat have been identified, does the State ensure that security countermeasures associated with the determined level of threat are implemented at the airport level?	C	The PQ focus on threat assessment. The identification of threat assessment is important for aviation security to identify additional risks. However, the screening and protection of baggage and passengers, and other relevant areas and objects that can contaminate baggage and passengers are international preventive standards presented on Annex 17 of Chicago Convention (meanly the Chapter 4), which it will be the baseline of evaluation in the OSS process.

SARP - 2.1.2		
PQ	CLASSIFICATION	
QCF 3.095 Does the State conduct quality control activities to monitor the performance of access control to airside areas (if airside areas do not coincide with SRAs)?	C	Measure not related with OSS process.
QCF 3.100 Does the State conduct quality control activities to monitor the performance of security controls to SRAs?	A	Access control to SRA is related with the protection of SRA, which is relevant for OSS process.
QCF 3.105 Does the State conduct quality control activities to monitor the performance of airport personnel and vehicle identification systems?	A	Airport personnel and vehicle identification systems are related with the protection of SRA, which is relevant for OSS process.
QCF 3.110 Does the State conduct quality control activities to monitor the performance of background checks for persons other than passengers granted unescorted access to SRAs?	A	Background checks for persons other than passengers granted unescorted access to SRAs is relevant for OSS process.
QCF 3.115 Does the State conduct quality control activities to monitor the performance of background checks and selection procedures for the persons implementing security controls?	A	The performance of background checks and selection procedures for the persons implementing security controls are relevant for OSS process.
QCF 3.120 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?	A	The control of movement of persons and vehicles to and from aircraft is supervised in SRAs in order to prevent unauthorized access to aircraft is relevant for OSS process.
QCF 3.125 Does the State conduct quality control activities to monitor the performance of screening and security controls for persons other than passengers, together with items carried, prior to entry into airport SRAs serving international civil aviation operations?	A	Performance of screening and security controls for persons other than passengers is relevant for OSS process.
QCF 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?	A	Screening or other appropriate security controls for vehicles is related with the protection of SRA, which is relevant for OSS process.

SARP - 2.1.2		
PQ	CLASSIFICATION	
QCF 3.135 Does the State conduct quality control activities to monitor the performance of aircraft security checks and searches of originating aircraft?	A	Security checks and searches of originating aircraft is straightly related with the protection of aircrafts, which is relevant for OSS process.
QCF 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?	A*	Measures to ensure that any items left behind by passengers disembarking from transit flights are removed from the aircraft is straightly related with the protection of aircrafts, which is relevant for OSS process of passenger and cabin baggage recognition.
QCF 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?	C	Measure not related with OSS process.
QCF 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?	A	The protection of aircraft is straightly related with the protection of aircrafts, which is relevant for OSS process.
QCF 3.153 If applicable, 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?	C	Measure not related with OSS process.
QCF 3.155 Does the State conduct quality control activities to monitor the performance of the screening of originating passengers and their cabin baggage?	A*	The screening of originating passengers and their cabin baggage is straightly related with the protection of aircrafts, which is relevant for OSS process of passenger and cabin baggage recognition.

SARP - 2.1.2		
PQ	CLASSIFICATION	
QCF 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?	A*	The screening of transfer passengers and their cabin baggage is straightly related with the protection of aircrafts, which is relevant for OSS process of passenger and cabin baggage recognition.
QCF 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?	A*	The protection of screened passengers and their cabin baggage from unauthorized interference, from the point of screening, is straightly related with the protection of aircrafts, which is relevant for OSS process of passenger and cabin baggage recognition.
QCF 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?	A*	The 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 is straightly related with the protection of aircrafts, which is relevant for OSS process of passenger and cabin baggage recognition.
QCF 3.175 Does the State conduct quality control activities to monitor the performance of the screening of originating hold baggage?	A'	The screening of originating hold baggage is straight related with OSS process of hold baggage recognition.
QCF 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?	A'	The protection of hold baggage from unauthorized interference is straight related with OSS process of hold baggage recognition.
QCF 3.185 Does the State conduct quality control activities to monitor the performance of procedures for the reconciliation of hold baggage?	C	Measure not related with OSS process.
QCF 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?	C	Measure not related with OSS process.

SARP - 2.1.2		
PQ	CLASSIFICATION	
QCF 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?	A'	The screening of transfer hold baggage from unauthorized interference is straight related with OSS process of hold baggage recognition.
QCF 3.200 Does the State conduct quality control activities to monitor the performance of security controls, including screening where practicable, for cargo and mail, prior to their being loaded onto an aircraft?	C	Measure not related with OSS process.
QCF 3.205 Does the State conduct quality control activities to monitor the performance of measures to ensure that where screening of cargo and mail is conducted, screening is carried out using an appropriate method or methods, taking into account the nature of the consignment?	C	Measure not related with OSS process.
QCF 3.210 Does the State conduct quality control activities to monitor the effectiveness of the supply chain security process, which includes regulated agents and/or known consignors, if such entities are involved in implementing screening or other security controls of cargo and mail?	C	Measure not related with OSS process.
QCF 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?	A	The measures for the protection of cargo and mail from unauthorized interference is related with the protection of SRZ, which is relevant for OSS process.
QCF 3.220 Does the State conduct quality control activities to monitor the performance of enhanced security measures for high-risk cargo and mail?	C	Measure not related with OSS process.

SARP - 2.1.2		
PQ	CLASSIFICATION	
QCF 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 or an entity that is approved by the appropriate authority, or such cargo or mail has been subjected to screening?	C	Measure not related with OSS process.
QCF 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 passenger aircraft are subjected to appropriate security controls and thereafter protected until loaded onto the aircraft?	A	Measures to ensure that catering, stores and supplies intended for carriage on passenger aircraft are subjected to appropriate security controls and thereafter protected until loaded onto the aircraft is related with the protection of SRZ, which is relevant for OSS process.
QCF 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 subject to appropriate security controls, which may include screening?	C	Measures to ensure that merchandise and supplies introduced into SRAs are subject to appropriate security controls is relevant for OSS process.
QCF 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?	C	Measure not related with OSS process.
QCF 3.245 If the State subjects any transfer cargo and mail to security controls, does the State conduct quality control activities to monitor the performance of security controls, including screening where practicable, for transfer cargo and mail prior to their being loaded onto an aircraft departing from the State's territory?	C	Measure not related with OSS process.

SARP - 2.1.2		
PQ	CLASSIFICATION	
QCF 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?	C	Measure not related with OSS process.
QCF 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?	C	Measure not related with OSS process.
QCF 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?	A*	Procedures for the carriage of weapons on board aircraft by LEOs and other authorized persons is straightly related with the protection of aircrafts, which is relevant for OSS process of passenger and cabin baggage recognition.
QCF 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?	A'	Procedures for the carriage of weapons on board aircraft in a place inaccessible is related with the protection of aircrafts, which is relevant for OSS process of hold baggage recognition.
QCF 3.270 If applicable, does the State conduct quality control activities to monitor the performance of procedures related to the selection, training and deployment of IFSOs?	A*	The performance of procedures related to the selection, training and deployment of IFSOs is related with the protection of aircrafts, which is relevant for OSS process of passenger and cabin baggage recognition.

SARP - 2.1.2		
PQ	CLASSIFICATION	
QCF 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?	C	Measure not related with OSS process.
QCF 3.277 If applicable, 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?	C	Measure not related with OSS process.
QCF 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?	A	In cases that procedures and measures applicable for OSS recognition process uses relevant computational systems, this PQ become essential for an OSS process recognition.
QCF 3.280 Does the State conduct quality control activities to ensure that maintenance and performance testing of security screening equipment are carried out?	A	In cases that procedures and measures applicable for OSS recognition process uses relevant computational systems, this PQ become essential for an OSS process recognition.

APPENDIX C

SUMMARY OF PQ APPLICABILITY FOR OSS

Anne 17 (SARP)	A – Passengers, cabin baggage and hold baggage		A* - Passengers and cabin baggage		A' - Hold baggage	
	PQ REFERENCES	Nº	PQ REFERENCES	Nº	PQ REFERENCES	Nº
2.1.1	-	0	-	0	-	0
2.1.2	1.005; 1.010; 1.030; 1.035; 1.085; 1.095; 1.100; 1.105; 1.275	9	-	0	-	0
2.1.3	-	0	-	0	-	0
2.2.1	-	0	-	0	-	0
2.2.2	-	0	-	0	-	0
2.4.1	-	0	-	0	-	0
2.4.2	-	0	-	0	-	0
2.4.3	1.235; 1.240; 1.245	3	-	0	-	0
2.4.4	1.250; 1.255; 1.260	3	-	0	-	0
3.1.1	1.050; 1.055; 1.060; 1.070	4	-	0	-	0
3.1.2	1.265; 1.270;	2	-	0	-	0
3.1.3	-	0	-	0	-	0
3.1.4	-	0	-	0	-	0
3.1.5	1.315; 1.320; 1.325; 1.330; 1.331; 1.332	6	-	0	-	0
3.1.6	-	0	-	0	-	0
3.1.7	-	0	-	0	-	0
3.1.8	2.055; 2.060; 2.062; 2.200; 2.205; 2.210; 2.215; 2.220; 2.225; 2.230	10	-	0	-	0
3.1.9	4.090; 4.095; 4.100; 4.105; 4.110	5	-	0	-	0
3.1.10	-	0	-	0	-	0
3.2.1	4.001; 4.005; 4.010; 4.015; 4.020;	5	-	0	-	0
3.2.2	4.025; 4.030; 4.035; 4.038; 4.040; 4.045	6	-	0	-	0
3.2.3	-	0	-	0	-	0
3.2.4	4.070; 4.075; 4.080; 4.085	4	-	0	-	0
3.3.1	5.001; 5.005; 5.010	3	-	0	-	0

Anne 17 (SARP)	A – Passengers, cabin baggage and hold baggage		A* - Passengers and cabin baggage		A' - Hold baggage	
	PQ REFERENCES	Nº	PQ REFERENCES	Nº	PQ REFERENCES	Nº
3.4.1	2.045; 2.050; 4.230; 4.235; 4.240; 4.245; 4.250;	7	-	0	-	0
3.4.2	2.065; 2.070; 2.075; 2.080; 2.085; 2.135; 2.145; 1.246; 2.150; 2.155; 2.160	11	2.090; 2.105; 2.110	3	2.115; 2.120	2
3.4.3	2.165; 2.170; 2.175; 2.180; 2.185; 2.190; 2.195	7	-	0	-	0
3.4.4	3.001; 3.005; 3.020; 3.025; 3.035; 3.040	6	-	0	-	0
3.4.5	3.045; 3.050; 3.055; 3.070					
3.4.6	3.010; 3.015; 3.060; 3.065; 3.075; 3.080; 3.085; 3.100; 3.105; 3.110; 3.115; 3.120; 3.125; 3.130; 3.135; 3.150; 3.215; 3.230; 3.278; 3.280	20	3.140; 3.155; 3.160; 3.165; 3.170; 3.260; 3.270	7	3.175; 3.180; 3.195; 3.265	4
3.4.7	1.100; 1.115; 1.120; 2.025; 2.030; 2.040; 3.015; 3.285; 3.290; 3.295; 3.300; 3.305;	12	-	0	-	0
3.4.8	8.200; 8.205; 8.210	3	-	0	-	0
3.5	-	0	-	0	-	0
4.1.1	-	0	-	0	-	0
4.2.1	-	0	-	0	-	0
4.2.2	4.145; 4.150; 4.155; 4.160; 4.165; 4.170	6	-	0	-	0
4.2.3	4.175; 4.180; 4.185; 4.190; 4.195; 4.200; 4.205	7	-	0	-	0
4.2.4	4.210; 4.215; 4.220; 4.225	4	-	0	-	0
4.2.5	5.015; 5.020; 5.025; 5.030	4	-	0	-	0
4.2.6	4.255; 4.260; 4.265; 4.270; 4.275; 4.280; 4.285	7	-	0	-	0
4.2.7	4.290; 4.295; 4.300; 4.305; 4.310	5	-	0	-	0
4.3.1	5.035; 5.040; 5.045; 5.050; 5.055; 5.060	6	-	0	-	0
4.3.2	-	0	5.085; 5.090; 5.095; 5.100	4	-	0

Anne 17 (SARP)	A – Passengers, cabin baggage and hold baggage		A* - Passengers and cabin baggage		A' - Hold baggage	
	PQ REFERENCES	Nº	PQ REFERENCES	Nº	PQ REFERENCES	Nº
4.3.3	-	0	-	0	-	0
4.3.4	5.065; 5.070; 5.075; 5.080;	4	-	0	-	0
4.3.6	-	0	-	0	-	0
4.4.1	-	0	6.001; 6.005; 6.010; 6.015; 6.020; 6.025; 6.030	7	-	0
4.4.2	-	0	6.031; 6.032; 6.034;	3	-	0
4.4.3	-	0	6.035; 6.040; 6.045; 6.050; 6.055; 6.060; 6.065	7	-	0
4.4.4	-	0	6.070; 6.075; 6.080	3	-	0
4.4.5	-	0	6.085; 6.090; 6.095; 6.100	4	-	0
4.5.1	-	0	-	0	6.105; 6.110; 6.115; 6.120; 6.125; 6.130; 6.135	7
4.5.2	-	0	-	0	6.175; 6.180; 6.185; 6.190;	4
4.5.3	-	0	-	0	-	0
4.5.4	-	0	-	0	6.140; 6.145; 6.150; 6.155; 6.160; 6.165; 6.170	7
4.5.5	-	0	-	0	-	0
4.6.1	-	0	-	0	-	0
4.6.2	-	0	-	0	-	0
4.6.3	7.095; 7.100; 7.105; 7.110;	4	-	0	-	0
4.6.4	-	0	-	0	-	0
4.6.5	-	0	-	0	-	0
4.6.6	7.210; 7.215; 7.217; 7.220; 7.225; 7.230	6	-	0	-	0
4.6.7	4.315; 4.320; 4.322; 4.325; 4.330; 4.335	6	-	0	-	0
4.6.8	-	0	-	0	-	0
4.6.9	-	0	-	0	-	0
4.6.10	-	0	-	0	-	0
4.7.1	-	0	-	0	-	0
4.7.2	-	0	-	0	-	0
4.7.3	-	0	-	0	-	0
4.7.4	-	0	5.165; 5.170; 5.175; 5.180; 5.185	5	-	0
4.7.5	-	0	5.190; 5.195; 5.200	3	-	0

Anne 17 (SARP)	A – Passengers, cabin baggage and hold baggage		A* - Passengers and cabin baggage		A' - Hold baggage	
	PQ REFERENCES	Nº	PQ REFERENCES	Nº	PQ REFERENCES	Nº
4.7.6	-	0	-	0	5.205; 5.210; 5.215; 5.220	4
4.7.7	-	0	5.225; 5.230; 5.235	3	-	0
4.7.8	-	0	-	0	-	0
4.8.1	-	0	-	0	-	0
4.8.2	-	0	-	0	-	0
4.8.3	-	0	-	0	-	0
4.9.1	1.345; 1.350; 1.355; 1.360	4	-	0	-	0
5	-	0	-	0	-	0
Annex 9	-	0	-	0	-	0
TOTALS	A	189	A*	49	A'	28
			+A	189	+A	189
			PASSENGERS (A+A*)	238	HOLD BAGGAGE (A+A')	217
			PASSENGERS AND HOLD BAGGAGE (A+A*+A')			266