# ICAO Regional USAP-CMA Seminar

## USAP-CMA Tools

**Cairo, 15 to 17 October 2018**

# Module Objective

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

- State Aviation Security Activity Questionnaire
- State Quality Control Activity Summary Form
- Compliance Checklists
- USAP-CMA Protocol Questions
- USAP-CMA Protocol Question Worksheets

# USAP-CMA Tools

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

**SASAQ**

**SQCASF**

**CCs**

**USAP-CMA PQs**

**USAP-CMA PQ Worksheets**

**https://portallogin.icao.int/**

# State Aviation Security Activity Questionnaire (SASAQ)

- Designed to provide ICAO with preliminary information concerning the State's aviation security and oversight systems

- Used primarily in the planning and customization of a USAP-CMA audit

# State Aviation Security Activity Questionnaire

- 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

- Should be regularly updated to reflect changes in their aviation security and oversight systems

# Structure of the SASAQ

| | | |
|---|---|---|
| Part 1. LEG | Part 2. TRG | Part 3. QCF |
| Part 4. OPS | Part 5. IFS | Part 6. PAX |
| Part 7. CGO | Part 8. AUI | Part 9. FAL |

# Documents to be submitted with the SASAQ

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

# State Quality Control Activity Summary Form

**Organizational Structure, Responsibilities and Resources**
- Entities responsible for national quality control activities;
- Number of national aviation security inspectors;
- Qualification criteria and training of national aviation security inspectors.

**Operational Monitoring Activities**
- Priorities and frequency of national quality control activities;
- Number of various quality control activities;
- Entities and security measures subjected to national quality control activities.

**Deficiency Correction Activities**
- Number of follow-up activities;
- Number and types of enforcement measures.

**Recording, Analysis and Reporting Activities**
- System for recording and managing quality control activity results;
- System for the analysis of quality control activity results.

# Compliance Checklists (CCs)

- States are required to complete and maintain up-to-date Compliance Checklists

- Provide ICAO with information on compliance with Annex 17 Standards and security-related Standards of Annex 9

# Compliance Checklists

- Enable States to identify and notify ICAO of differences between their own requirements and those established by ICAO Standards (**Article 38 of the Chicago Convention**)

- Provide useful references to national-level policies and requirements (index)

# Compliance Checklist Contents

- Foreword
  - Instructions on completing the document
  - Definitions of categories of differences
- Standards and Recommended Practices of Annex 17 and security-related Standards of Annex 9

# Compliance Checklists

| Annex Reference & SARP Identifier | Annex 17 Amendment 15 | | Legislation Compliance Quote relevant State Act/Regulation or Document Reference | Difference | | | | | Not applicable | Description of the difference | Remarks including the reason for the difference |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | No | Yes | | | | | | |
| | Security | | | | Level of implementation of SARPs | | | | | | |
| | Standard or Recommended Practice | | | | | 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. | | | | | | | | | | |

# Compliance Checklists

*A Contracting State's requirement is more exacting or exceeds a SARP (**Category A**)*

- National regulation and practices are:
  - more demanding than the corresponding SARP, or
  - impose an obligation within the scope of the Annex which is not covered by the SARP
- Particularly important where a State requires a higher standard which affects the operation of aircraft of other States in and above its territory

# Compliance Checklists

*A Contracting State's requirement is different in character or the Contracting State has established other means of compliance (**Category B**)*

- National regulation and practices are:
  - different in character from the corresponding SARP, or
  - differ in principle, type or system without necessarily imposing an additional obligation

# Compliance Checklists

*A Contracting State's requirement is less protective, partially implemented or not implemented (**Category C**)*

- National regulation and practices are:
  - less protective than the corresponding SARP; or
  - no national regulation has been promulgated to address the corresponding SARP, in whole or in part; or
  - when the State has not brought its practices into full accord with the corresponding SARP

# Compliance Checklists

## *Not Applicable*

When a SARP is not applicable to the existing aviation activities of the State, notification of a difference is not required

E.g., a State that does not have in-flight security officers, would not be required to notify differences regarding the relevant Standard.

# USAP-CMA Protocol Questions

- Comprehensive questionnaire developed by the Aviation Security Audit Section

- Covers all elements of a State's aviation security and oversight systems which are subject to audit and monitoring

- Used as a tool for the conduct of audits

# USAP-CMA Protocol Questions

- Provide auditors with a guide to verify the status of implementation of relevant Standards

- Provide guidelines on what evidence should be reviewed or observed

- Assist in planning an audit and facilitate effective allocation of tasks to auditors

# USAP-CMA Protocol Questions

- Ensure transparency, consistency and standardization

- Enhance confidence and reliability in the conduct of audits

- Can be used by States to conduct self-assessments and to prepare for an audit

# USAP-CMA Protocol Questions

| ICAO REF. | PROTOCOL QUESTION | GUIDANCE FOR REVIEW/OBSERVATION OF EVIDENCE | STATUS OF IMPLEMENTATION | CE |
|---|---|---|---|---|
| 4.2.1 | OPS 4.115 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? | Identify the documentation in which this requirement is established. | ☐ Satisfactory<br>☐ Not satisfactory<br>☐ Not applicable | 2 |
| | | | | |
| | | | | |

# Types of evidences to review/observe

- National-level policies and requirements
- Designated entities, authorities and responsibilities
- Inspector handbooks and manuals
- Guidance material available to industry
- Specifications of security screening equipment
- Airport-level programmes and approvals

# Types of evidences to review/observe

- Airport-level procedures

- Observation of security measures

- Training programmes and records, including OJT

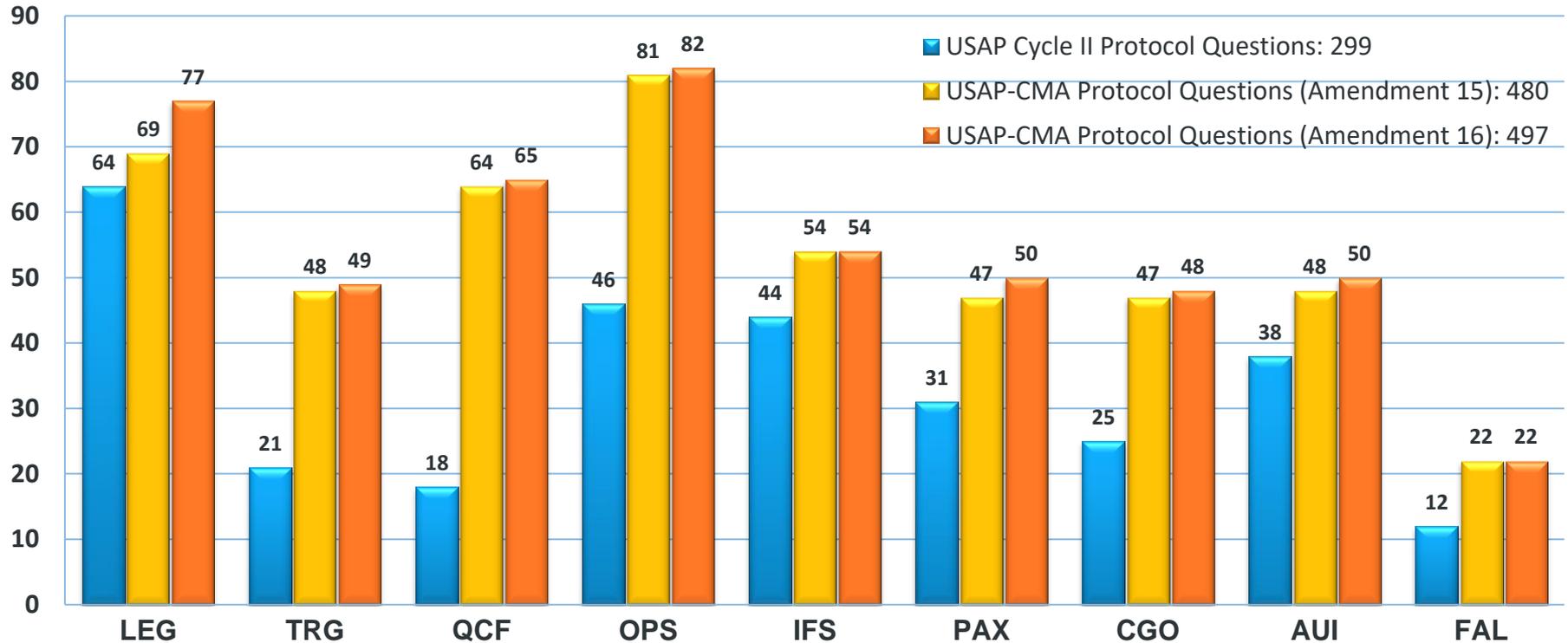- Quality control activity records

- Equipment test pieces and test records

# Audit Areas

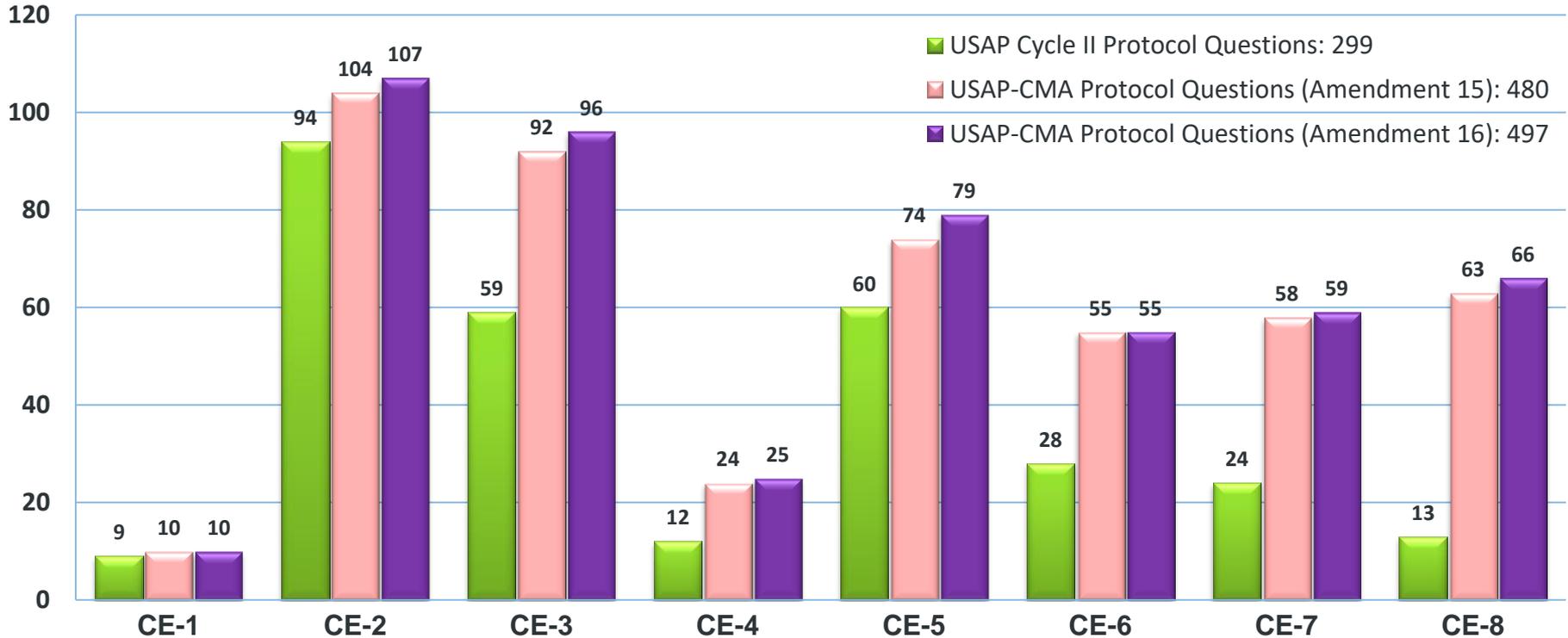| LEG | Regulatory Framework and the National Civil Aviation Security System |
|-----|----------------------------------------------------------------------|
| TRG | Training of Aviation Security Personnel |
| QCF | Quality Control Functions |
| OPS | Airport Operations |
| IFS | Aircraft and In-flight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

# Number of PQs by Critical Element



Legend:
- USAP Cycle II Protocol Questions: 299
- USAP-CMA Protocol Questions (Amendment 15): 480
- USAP-CMA Protocol Questions (Amendment 16): 497

| Critical Element | Cycle II | Amendment 15 | Amendment 16 |
|---|---|---|---|
| CE-1 | 9 | 10 | 10 |
| CE-2 | 94 | 104 | 107 |
| CE-3 | 59 | 92 | 96 |
| CE-4 | 12 | 24 | 25 |
| CE-5 | 60 | 74 | 79 |
| CE-6 | 28 | 55 | 55 |
| CE-7 | 24 | 58 | 59 |
| CE-8 | 13 | 63 | 66 |

# USAP-CMA PQ Worksheets

- Cover all nine audit areas

- Used for gathering and recording information during an USAP-CMA audit through:

  - document review

  - observation of security measures

  - interview of personnel

# 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<br>☐ Satisfactory<br>☐ Not satisfactory<br>☐ Not applicable |

Review national-level instructions, guidance material or performance criteria regarding enhanced security measures for high-risk cargo and mail.

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.

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.

**Evidence:**

# Module Review

- State Aviation Security Activity Questionnaire
- State Quality Control Activity Summary Form
- Compliance Checklists
- USAP-CMA Protocol Questions
- USAP-CMA Protocol Question Worksheets

# Questions?

**End of Module 5**

North American
Central American
and Caribbean
(NACC) Office
MexicoCity

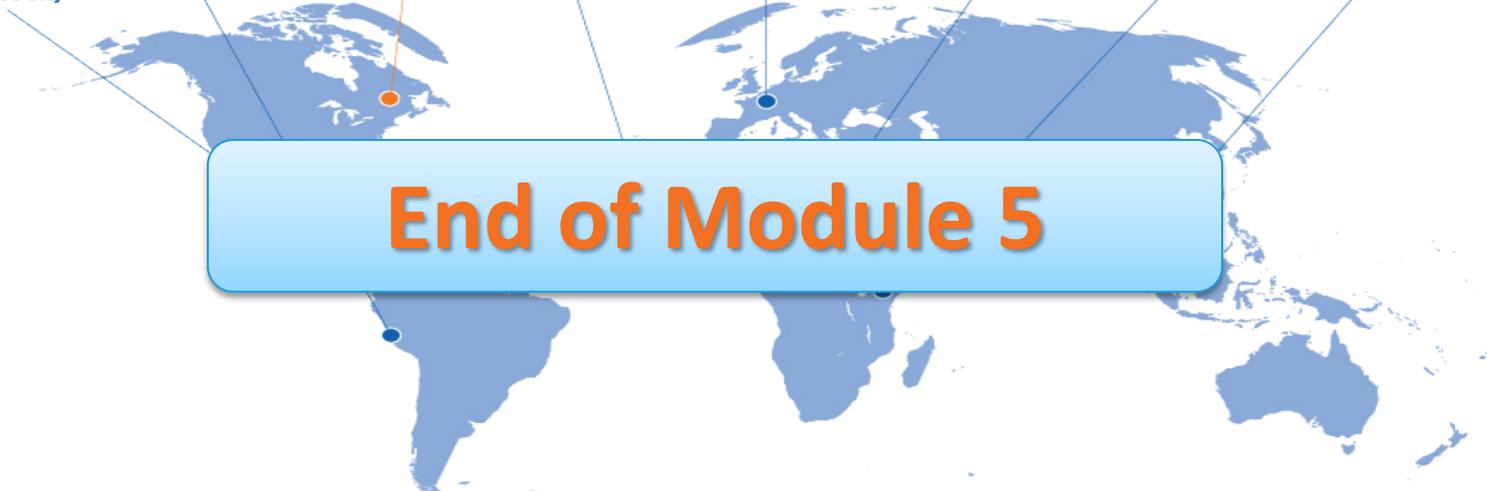South American
(SAM) Office
Lima

ICAO
Headquarters
Montreal

Western and
Central African
(WACAF) Office
Dakar

European and
North Atlantic
(EUR/NAT) Office
Paris

Middle East
(MID) Office
Cairo

Eastern and
Southern African
(ESAF) Office
Nairobi

Asia and Pacific
(APAC) Office
Bangkok