
Attachment 003 to Appendix R: Ground Handlers' Security Audit Report Checklist

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|-------------------------|--|--|-------------|
| CASSOA LOGO | | CASSOA MODEL CHECKLIST: | Revision: 0 |
| | | Regulated Agent/Ground Handler Security Audit/Inspection Report Checklist CASSOA- CL- 003 | |
| Doc No: CL/003 /2017 | Title: GROUND HANDLING OPERATOR AUDIT/INSPECTION REPORT CHECKLIST | | |

| | | |
|--|--|---------------------------------|
| | NAME OF OPERATOR | |
| | ADDRESS: FAX: TEL. NO: EMAIL: | |
| | DATE(S) OF AUDIT/INSPECTION | |
| | OPERATOR'S LIAISON OFFICER | |
| | AUDIT TEAM 1. TEAM LEADER: 2. TEAM MEMBER(S): | |
| | BRIEFINGS | In brief: (please see attached) |
| | | Debrief: (please see attached) |
| | <p>Assessment Code:</p> <p>Category 1: Meets a regulatory requirement of the Civil Aviation Security Regulations, 2017 or provision of the NCASP. Recommendations may be made to further enhance measures or to address any problems linked to the quality of implementation.</p> <p>Category 2: Does not meet a regulatory requirement of the Civil Aviation Security Regulations, 2017 or provision of the NCASP. A category 2 item represents a minor need for improvement for compliance to be achieved. In this case, improvement is necessary to ensure proper implementation of this regulatory requirement of the Civil Aviation Security Regulations, 2017 or provision of the NCASP and action should be taken by the Operator.</p> <p>Category 3: Does not meet a regulatory requirement of the Civil Aviation Security Regulations, 2017 or provision of the NCASP. A category 3 item represents a serious need for improvement for compliance to be achieved. In this case, improvement is essential to correct the deficiencies and to comply with the regulatory requirement of the Civil Aviation Security Regulations, 2017 or provision of the NCASP. The Operator should give high priority to corrective action.</p> <p>Not confirmed (N/C).</p> <p>Not applicable (N/A).</p> | |

| | ITEMS | ASSESSMENT | | | | | OBSERVATION |
|--|--|------------|-------|-------|-----|-----|-------------|
| | | Cat 1 | Cat 2 | Cat 3 | N/C | N/A | |
| | ORGANIZATION AND ADMINISTRATION | | | | | | |
| | Allocation of Responsibilities | | | | | | |

| ITEMS | | ASSESSMENT | | | | | OBSERVATION |
|-------------------|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------|
| | | Cat 1 | Cat 2 | Cat 3 | N/C | N/A | |
| i. | Nomination of a person in charge/responsible for aviation Security. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| ii. | Establishment of a written and approved operator security programme. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| iii. | Establishment of a written and approved Operator Security Training Programme | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| iv. | Deployment of security officers at access control points. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| v. | Procedures for recruitment and selection of security personnel | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| vi. | Training and certification of security personnel | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| vii. | Internal Security Quality Control | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| Recommendation(s) | | | | | | | |
| 2 | RESPONSE TO ACTS OF UNLAWFUL INTERFERENCE | Cat 1 | Cat 2 | Cat 3 | N/C | N/A | OBSERVATION |
| i | Establishment of a written Contingency plan | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| ii | Carrying out of regular security exercises to test preparedness for security emergencies | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| iii | Procedures for clearing vehicles through the access points during emergencies | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| iv. | Procedures for Expedient reporting of security incidents | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| Recommendation(s) | | | | | | | |
| 3 | ACCESS CONTROLS | | | | | | |

| | ITEMS | ASSESSMENT | | | | | OBSERVATION |
|--|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|-------------|
| | | Cat 1 | Cat 2 | Cat 3 | N/C | N/A | |
| i. | Designation of landside and airside boundary | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| ii. | Designation of security restricted areas and adequate markings and signage | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| iii. | Posting of signage at access control points | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| iv. | Physical barriers and security devices for protecting the facility | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| v. | Any additional security measures (CCTV, Intruder detection system) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| vi. | Effectiveness of access controls | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| vii. | Security Identification System | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | Recommendations(s) | | | | | | |
| SECURITY OF THE GROUND HANDLING FACILITY | | | | | | | |
| i. | Surveillance and security patrols at the landside areas of the facility | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| ii. | Public awareness announcements | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| iii. | Security awareness training of staff | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| iv. | Procedures for unattended/unclaimed baggage | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| v. | Position of car parking from the operator facility and procedures for prompt removal of unattended vehicles | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| vi | Procedures for cyber security of the ICT infrastructures | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | Recommendation(s) | | | | | | |
| SCREENING & PROTECTION OF PERSONSPASSENGERS | | | | | | | |

| | ITEMS | ASSESSMENT | | | | | OBSERVATION |
|-------------------|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|-------------|
| | | Cat 1 | Cat 2 | Cat 3 | N/C | N/A | |
| i. | Screening equipment, Calibration, testing records and maintenance (i.e. type of equipment ,location, model) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| ii. | Means of communication at screening points | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| iii. | Screening of transit, transfer passengers and unaccompanied baggage | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| iv. | Procedures for questioning of passengers | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| v. | Staffing and rotation at screening points and sufficiency of search areas | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| vi. | Profiling of passengers and facilitation to ensure that only ticketed passengers are allowed into assigned aircrafts | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| vii. | Procedure for Confiscation of prohibited items. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| viii. | Security measures for special category of passengers | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| ix | Procedures for carriage of fire arms onboard aircraft | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| x | Protection of flight documents(<i>boarding pass, airway bills, etc</i>) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| xi | Protection of screened hold baggage | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| xii. | Procedures for Passenger and baggage reconciliation | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| Recommendation(s) | | | | | | | |

| | ITEMS | ASSESSMENT | | | | | OBSERVATION |
|-------|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|-------------|
| | | Cat 1 | Cat 2 | Cat 3 | N/C | N/A | |
| | SCREENING AND PROTECTION OF CARGO AND MAIL | | | | | | |
| i. | Screening of originating cargo and mail prior to being loaded on the aircraft | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| ii. | Screening equipment, Calibration, testing records and maintenance (i.e. type of equipment ,location, model) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| iii. | Protection of originating cargo and mail from unauthorised interference prior to being loaded on the aircraft | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| iv. | procedures for Screening of Transfer cargo and mail | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| v. | Developed procedures for the application of security controls to Transfer cargo and mail | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| vi. | Protection of Transfer cargo and mail from unauthorised interference prior to being loaded on the aircraft | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| vii. | Ensuring the designation of an entity responsible for the application of security controls to transfer cargo and mail | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| viii. | Ensuring Application of security measures to high risk cargo and mail | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| ix. | Procedures for the issuance of a security status for cargo and mail that have been confirmed and accounted for. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

| | ITEMS | ASSESSMENT | | | | | OBSERVATION |
|--------|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|-------------|
| | | Cat 1 | Cat 2 | Cat 3 | N/C | N/A | |
| x. | maintenance and performance testing , Calibration, of security Screening Equipment, used in the screening of: <ul style="list-style-type: none"> o originating cargo ; o transfer cargo; and o transit cargo (if applicable) keeping/maintenance of such records . | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| xi. | Are measures consistently and effectively Implemented too ensure that cargo and mail that have been confirmed and accounted for and then issued with a security status, either in electronic format or in writing, to accompany the cargo and mail throughout the secure supply chain? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| xii. | Means of communication at screening points | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| xiii. | Staffing and rotation at screening points and sufficiency of search areas | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| xiv. | Procedure for response to suspect items identified in cargo and mail | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| xv. | Screening of diplomatic bags | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| xvi. | Exemption from screening | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| xvii. | Procedures for carriage of fire arms onboard aircraft | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| xviii. | Protection of flight documents(<i>airway bills, cargo tags, consignment security declaration (CSD), etc</i>) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

| | ITEMS | ASSESSMENT | | | | | |
|---------------------------|-------|------------|----------|----------|-----|-----|-------------|
| | | Cat 1 | Cat 2 | Cat 3 | N/C | N/A | OBSERVATION |
| ANALYSIS:RECOMMENDATIONS: | | | | | | | |
| Recommendation(s) | | | | | | | |

Appendix A

Attendance record of persons met during the Inspection/Audit

| s/no | Name | Title /designation | Organisation/entity | Address: tel, e-mail |
|------|------|--------------------|---------------------|----------------------|
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