**Federal Ministry
Republic of Austria**
Climate Action, Environment,
Energy, Mobility,
Innovation and Technology

Operating instructions BMK Background Checks (ZÜP)

Overview

This page serves as an overview and offers the possibility to request rights, to switch directly to the respective detail page via the icon "magnifying glass" and to contact the ServiceDesk.

Figure 1 Overview

After logging in, the latest news (info about changes in the system) will now be displayed in the foreground. This message appears at every login until it is accepted with the button "Read".

Figure 2 News detail view

⬛ Company

This page is used to maintain company and contact information as described in the Initial Access Guide.

Figure 3 Enter company data

Under Contacts you can enter contact information that could be useful for BMK to contact your company.

Add contact

Figure 4 Add contact person

Under "Contact person in" you can enter the competence of this contact person or select a predefined entry (currently personnel issues or selection issues).

The two data fields "From" and "To" refer to the duration of this contact person's responsibility. For example, if someone becomes responsible for a certain area only in the future, you can enter the date in the "From" field accordingly. If someone is no longer responsible, you can set the "To" date.

List of persons

This page is used to enter and maintain the personal data required for a ZÜP application or for a release. Here you will also find the option to import and export mass data (if you have the corresponding rights). Here you can also directly apply for a ZÜP or release at airports, provided that you have the right to do so and have filled in the required fields.

> Personal data must always be recorded and maintained by the company with which the person is employed.

Figure 5 List of persons

Column description
- Details: the magnifying glass takes you to the detailed view of this person
- Request/release: If a corresponding entry is available in the list, you can use this link to submit a ZÜP request or issue a release directly. The link is only available if the personal data has been entered completely → column Complete=yes
- Release ZÜP status: If one of your created persons already has a ZÜP status and should get an airport ID card, you can release the ZÜP status of this person for one or more civil airport holders
- Complete: This shows whether or not the personal data has been recorded completely (yes/no).

- ZÜP status-N, -E: The corresponding ZÜP status is displayed here (see also <u>Annex 1</u> and <u>Annex 2</u> for this).

Filter

Here you can filter your list of persons by specific ZÜP status for the two different ZÜP characteristics (see also <u>Annex 2</u>).

Search box/actions

Using the search field you can search for any text across all columns. Via Actions you have advanced filtering, searching, sorting and grouping options (for details see Help in the dropdown menu).

Import data/export data

Here you can import and export personal data via JSON format (if you have requested the corresponding right). If you find this interesting, please contact us by mail at <u>alexander.bartek@bmk.gv.at</u> for a detailed description.

Create person

You can enter new personal data via this button.

Figure 6 Create person (identification data)

Here, the first part of the personal data for identification such as surname, first name, gender and date of birth would now have to be entered. These are all mandatory fields (*) and must be filled in completely before the person can be created.

Please note, currently after pressing the button "Create person" the identification data can no longer be changed!

Therefore check the spelling of the name and the date of birth before creating!

Note on mandatory fields (general)

if something is "unknown" or "not applicable", enter this text in the field.

Since each person can only be entered once, an error message may occur when creating a person.

Figure 7 Error during creation
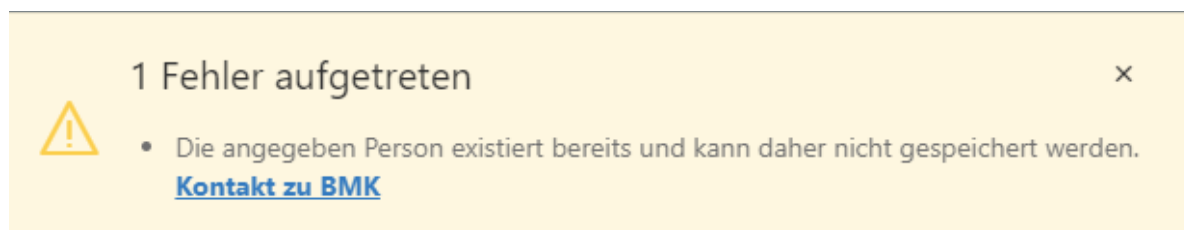
If this is the case, the person already exists in the system. If you do not find this person in the list of persons, then he/she was created by another company. In this case, use the link "Contact BMK" and report the personal data you wanted to enter.

In order to be able to submit a ZÜP application or make a release, there are a number of mandatory fields and required additional data. If any of these are missing, you will be notified accordingly.

After entering the mandatory fields for identification, the missing mandatory fields (*) and the required additional data will be displayed as follows:

Figure 8 Create person (personal data)

All mandatory fields (*) under personal data are marked accordingly. However, you can save your data at any time and continue later.

If a valid security check (SÜP) already exists, the validity can be entered.

For each registered person, consent to the disclosure of personal data must be obtained formally. (Consent obtained)

Edit identification data subsequently

Until now, the processing of identification data (first name, last name, date of birth, gender), after creating a release or an application was no longer possible.

Now the change of identification data is possible under certain conditions:

- From a release or application until the application is completed, the identification data is blocked.
  - If necessary, a clearance may be revoked, identification data changed, and a new clearance made if no application has yet been made by the civil aerodrome operator or if it has already been completed.
- When an application is completed and
  - the ZÜP status is "stopped", the identification data is locked.
  - the ZÜP status is "reliable" or "unreliable", the identification data can be processed.

If the identification data of a person is changed, the ZÜP status is given the addition "unchecked" and a new release or a new application is required.

Attention! If the identification data is changed for a person for whom the application has been completed and the ZÜP status is "reliable", a new application must be submitted within a period of two months for the new identification data to be verified. If this is not done, the person's ZÜP status is automatically set to "stopped" after this period has expired!

The addition "unchecked" is visible in all lists in which the ZÜP status is also displayed. It is not possible to issue a ZÜP confirmation!

Figure 9 List of persons Status unchecked

	Details	Antrag	Freigabe Person	Freigabe ZÜP-Status	ID (Person)	Vollständig	Familienname ↑≡	Vorname	Geschlecht	Geb.Datum	ungeprüft	ZÜP-Status-N	ZÜP-Status-E
☐	🔍	ZÜP-Antrag stellen	Freigabe erteilen	Freigabe erteilen	11212	ja	BEARBEITUNG2	TEST	männlich	2000-07-04	⊗	Zuverlässig	Unbekannt

Required additional data
- An identity document must be uploaded in any case.
- Main residences must be reported without gaps for the last 5 years.
- Employment relationships, as well as education and training, must be reported without gaps for the last 5 years with gaps of up to 28 days being disregarded. If the gap is greater than 28 days, it must be recorded as such in the system.
- Criminal record certificates are to be uploaded if at least one of the residences of the last 5 years was not exclusively in Austria and in any case if the current residence is not in Austria.

Identity documents
Via "Add identity documents" you can upload the scan of an identity proof (travel document).

Figure 10 Upload identity document

After you have selected a document, or used Dropzone and clicked on "Load document" further selection options appear.

If you select Other under "Document type", you will get an additional field where you can enter the type of this document.

Figure 11 Verify identity document

Before you can upload the identity document, the document must be verified. Here you can compare the correctness of the entered identification data with those in the identity document.

The file name is irrelevant, PDF is recommended as the document format.

Please avoid uploading images in high resolution. → Maximum size 2 MB

After uploading the travel document, press the F5 function key and you will notice that the line **Travel document missing** has disappeared.

Virus scanner

To ensure the security of the processed data in the ZÜP, a virus scanner has been implemented for the upload and download of data.

If a virus is detected when uploading a file (identity document or criminal record certificate), the document cannot be uploaded to the application.

To prevent this, it is recommended to scan and upload the document yourself.

Figure 12 Virus found during upload

Since virus scanners are constantly updated, it is necessary to run a virus scan even when downloading.

Figure 13 Virus found during download
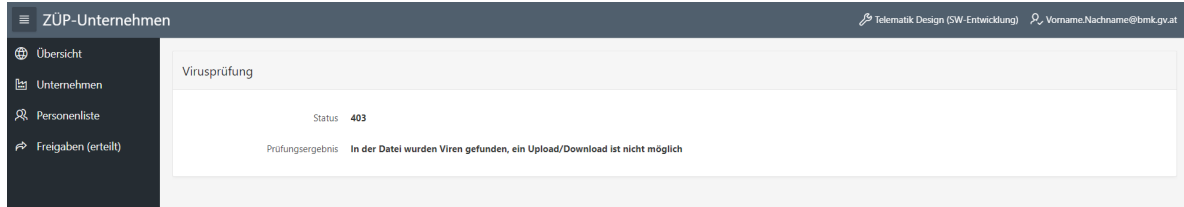
If this happens, the document will be quarantined and no one will be able to download it. Thus, it is necessary to delete the document and upload a virus-free version.

In the application's overview, the total number of documents infected with viruses is displayed and by clicking on it you will get more details.

Figure 14 Virus infected documents in the overview
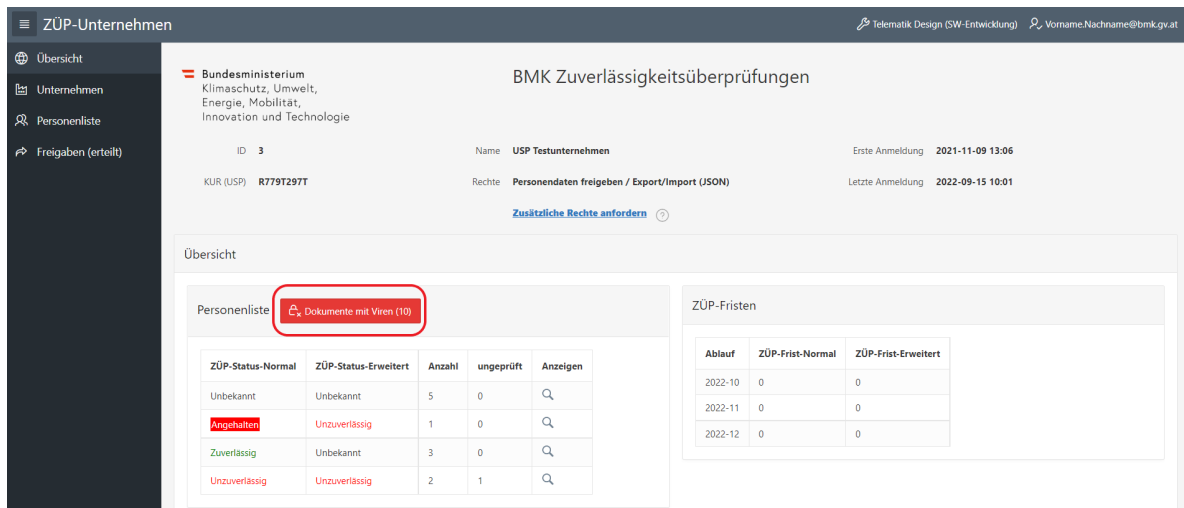
Figure 15 Virus infected documents in the detail view
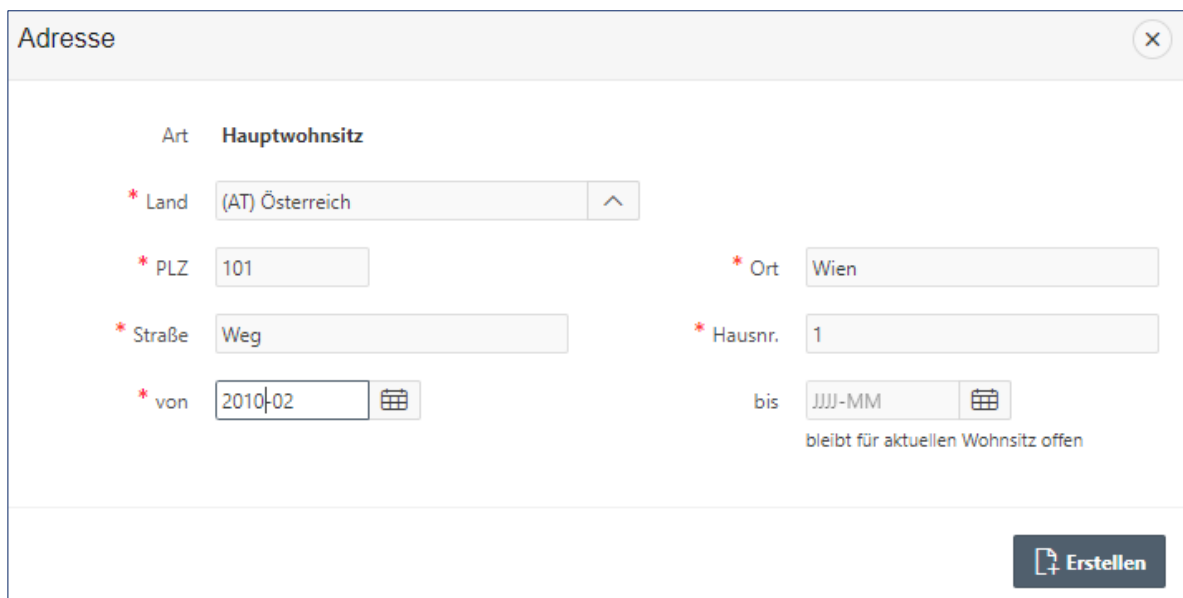
Main residences

Via "Add main residence" you create a record for a main residence. If the person has had several main residences in the last 5 years, this step must be repeated accordingly.

Figure 16 Entry main residence

Dates must be given by month. Pick the date of a specific date from the calendar and it will be implemented accordingly.

> For the current residence, the "to" field remains empty.

The system checks whether a gap-free entry of residences has been made for the last 5 years. The line **Residence gap in the last 5 years** will only disappear once this has happened.

The system goes on to check the country of residence. If residences outside Austria have existed in the course of the last 5 years, <u>criminal record certificate</u> from each respective country must be uploaded.

Otherwise, the lines **Residence gap in Austria in the last 5 years, Criminal record certificate no older than 6 months required** continue to be displayed.

Employment relationships, training and further education
Via "Add employment" you create a record for an employment relationship (or for education and training).

If the person has had several employment relationships in the last 5 years, this step must be repeated accordingly.

Figure 17 Enter employment relationship

For the current employment relationship, the "until" field again remains empty.

The system checks whether there are gaps in employment records over the last 5 years. Employment gaps of more than 28 days must also be entered as gaps in the system.

Via "End employment relationship" you can enter the termination of the employment relationship of this person with your company (e.g. in case of termination). However, this is only possible if you have previously filled in the "until" field (= end date) for all recorded employment relationships.

Once you have terminated an employment relationship, you no longer have access to that person's data.

Criminal record certificates
Via "Add criminal record certificate" you can upload the scanned file.

> This is only required **if one of the residences during the last 5 years has not been in Austria or the current residence is not in Austria**. Foreign criminal record certificates or comparable proof of the countries of residence of the last five years must be provided in German or English, must not be older than 6 months at the time of submission and must be uploaded for each foreign place of residence.

As soon as all mandatory fields have been filled in and the required additional data has been entered, the red lines disappear, the buttons "Release" (Freigabe erteilen) and "Submit ZÜP application" (ZÜP-Antrag stellen) appear and in the list of persons, the column Complete contains a yes and the links for "Release" and "Submit ZÜP application" are also displayed.

Figure 18 Issue release/ZÜP request

Figure 19 List of persons

ZÜP applications

can only be submitted by the following types of companies:

- Civil aerodrome operator
- Airlines
- Entities (regulated agents, known shippers, and regulated suppliers)
- Trainers
- EU validation auditor

> Other companies issue a clearance to the civil aerodrome operator at which the person is to work. The civil aerodrome operator then submits the ZÜP application on the basis of this clearance.

Submitting a ZÜP application

You can now submit a ZÜP application from the list of persons via the link "Submit ZÜP application" or via the button of the same name in the detailed view of the person.

Figure 20 ZÜP application

Application type: Select ZÜP-neu for a first-time application, ZÜP for a follow-up application.

Type: ZÜP-Normal and ZÜP-Extended for selection (see Annex 2).

As soon as you have selected the type, a corresponding list of reasons for the ZÜP application appears. Select the applicable points here.

Figure 21 ZÜP Submit application (expression)

By clicking on "Create", the application is submitted, the 28 day period commences and you will find a corresponding entry in the application list. As long as this application has not been completed, you cannot submit a ZÜP application for this person.

> Please understand that ZÜP applications and approvals can only be made during the office hours of the BMK. These are from Monday to Friday, 07:00 to 16:00.

Grant release person

If your company does not have the right to submit a ZÜP application, you must release the requested personal data to the civil aerodrome operator at which the person is to perform an activity.

The civil aerodrome operator will then submit the ZÜP application.

You can grant a clearance from the list of persons via the link "Grant clearance" or via the button by the same name in the detailed view of the person.

Figure 22 Grant release person

Now select the civil aerodrome holder where this person is to be deployed and briefly describe the intended activity.

By clicking on "Create", the clearance is issued to the specified civil aerodrome operator (this operator then has reading access to the personal data, sees the clearance under "Clearances received" and can submit the ZÜP application). You will see the clearance under "Clearances granted".

Release ZÜP status

In the event that a person is already reliable but will be working for another or different civil airport operator in the future, you can now release that person's ZÜP status.

Upon receipt of such a release, the airport does not have to (or cannot) submit an application, but will see the ZÜP status and can issue an airport identification card.

This type of release is also useful when a person (who is already reliable) changes companies and needs a new airport ID card.

Figure 23 Issue release ZÜP status (from the person details)

Figure 24 Issue release ZÜP status (from the list of persons)

⇨ Clearance granted

Here you can see for which persons you have given clearances to civil aerodrome operators so that they can submit a ZÜP application (for details on the status see Annex 1).

Figure 25 releases issued

When you revoke a clearance, the civil aerodrome operator to whom the clearance originally went will no longer be able to see the person's ZÜP status.

Figure 26 Approvals granted Details

◄ Clearance received

only for civil aerodrome owners

Here you can see for which persons from which companies you have received approvals, with the possibility to submit a ZÜP application (for details on the status see Annex 1).

Figure 27 releases received

List of applications

> Only for companies that have the necessary right to apply

Here you can see which ZÜP applications you have submitted and when, including the current status, and view the details of the application data.

- For details on the status, see Annex 1
- For details on type, see Submitting a ZÜP application
- See Annex 2 for details on specification, ETI status, and ETI deadline

Figure 28 Application list

Annex 1 – Overview of the various status

Table 1 ZÜP status

Unkown	Default when creating a person and after expiry of the ZÜP period
Stopped	Application is under in-depth review by the BMK
Unreliable	The person has been classified as unreliable
Reliable	The person has been classified as reliable

The commencement of the activity that requires a background check may only be taken up or carried out if the ZÜP status is Reliable.

Table 2 Application status

New	ZÜP application has been submitted
In process	ZÜP application is being processed at the DSN
In-depth examination	An in-depth review was initiated by the BMK
Under review	DSN cannot complete the ZÜP application within the 28-day period
Completed	ZÜP application was completed by the DSN

Table 3 Approval status

New	Clearance has been given to a civil aerodrome operator
Accepted	ZÜP application has been submitted by aerodrome operator
Completed	ZÜP application has been completed by the DSN
Revoked	A clearance has been revoked (only seen by the releasing company)

Annex 2 – Overview of ZÜP types and the ZÜP deadlines

Table 4 Description in the application

ZÜP-Type	ZÜP-Status	ZÜP- Deadline	Validity period
ZÜP-Normal	ZÜP-Status-N	ZÜP- Deadline -N	max. three years
ZÜP- Extended	ZÜP-Status-E	ZÜP-Deadline-E	max. one year

From 31 December 2021, the following persons must have successfully completed a **normal background check** (ZÜP-Normal):

- Persons hired to perform screening, access control or other security controls in areas other than security restricted areas;
- Persons having unescorted access to air cargo and air mail, air carrier mail and materials, in-flight supplies and airport supplies that have been subjected to the required security controls;
- Persons having administrator privileges or unattended and unrestricted access to critical information and communication technology systems and data used for civil aviation purposes referred to in point 1.7.1 or otherwise identified in the risk assessment referred to in point 1.7.3, in accordance with the national civil aviation security programme

As of 31 December 2021, the following persons must have successfully completed an **extended background check** (ZÜP-Extended):

- Holders of an airport identification card with access to the security area
- Holders of a flight crew identification card for a crew member employed by a Union air carrier
- Persons responsible for the implementation of the security programme submitted by a regulated agent
- Persons responsible for implementing the security controls and monitoring their compliance of a known shipper
- Persons recruited to carry out controls in security restricted areas
- Persons hired to perform access control in security restricted areas
- Persons hired to perform other security controls in security restricted areas
- Persons recruited to take responsibility for the implementation of these controls

- Trainers
- EU aviation security validation auditor

Enquiry note
Federal Ministry for Climate Protection, Environment, Energy, Mobility, Innovation and Technology
Department IV/L 3 Aviation Infrastructure
Status: 15. November 2023
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