



大会第 36 届会议

执行委员会

议程项目 15: 航空保安计划

保安管理系统

(由国际航空运输协会 (IATA) 提交)

执行摘要

本工作文件解释了国际航空运输协会 (IATA) 为确保其所有会员航空公司在其经营中使用保安管理系统 (SEMS) 的处理方法而采取的措施。现在 SEMS 是 IATA 会员通过 IATA 运营安全审计 (IOSA) 必须执行的强制性要求。本文件考虑了管理系统在航空保安环境中的作用, 并确认了基于所有利益有关方认可的关于保安规定和在保安管制的运营方面 SEMS 的优点。它继而强调了这种方法在支持目前正在制定和维护的安全有效的航空运输系统及达到国际民航组织 (ICAO) 的国际民用航空公约附件 17——保安要求方面的优点。

行动: 请大会:

- a) 支持 IATA 和 AVSEC 专家组对制定和实施保安管理系统 (SEMS) 的承诺
- b) 考虑采用管理系统方法以确保所有缔约国达到附件 17 第 11 次修订对质量控制的要求

战略目标:	本工作文件涉及战略目标 B (加强全球民用航空保安)。
财务影响:	不适用
参考文件:	不适用

1. 引言

1.1 保安管理系统本质上是利用了安全管理系统的主要原则和概念。在全球认可了安全管理系统后，全世界在安全方面的改进说明，如果全球的利益有关方和管理者都接受 SEMS 原则，就有希望在保安领域取得类似的改进。

1.2 由于 SEMS 是对航空保安的全面的系统方法，所以它的成功依赖于包括管理者在内的所有利益有关方的认可。ICAO AVSEC 专家组承认这一点并得出结论说，遵循 SEMS 概念并把其作为组织和管理航空保安资源的一个框架应当作为一个战略目标包括在其中（AVSECP/18 最终报告附录 A，第 15 号保安战略目标）。

1.3 鉴于目前的运营环境，IATA 相信目前实施 SEMS 是有意义的。保安对管理者和旅行公众来说是头等大事。因此应当欢迎改进 AVSEC 措施的任何创意。另外，职员的高产值以及新航空承运人数量的日益增多就更加需要标准的和一贯的保安程序，更迫切需要职员培训。

2. IATA 的保安管理系统

2.1 航空承运人需要执行大量的保安程序以便符合保安要求。为了改进遵守的质量，重要的是制定手段以利于达到保安要求的程序的和谐和标准化。

2.2 为达此目的，IATA 正在把保安管理系统（SEMS）作为对所有成员的强制性要求，通过 IATA 的运营安全审计（IOSA）强制执行，同时所有保安规定必须确保 IATA 会员航空公司实施 SEMS 的所有核心因素。

2.3 在运营中实施 SEMS 的航空承运人很快都看到了它的优点，因为，由于它同威胁评估机制的相互关联，它已成为保安管理的前瞻性方法。

2.4 SEMS 有助于确保不仅能达到通过航空承运人保安计划（ACSP）的强制性管理要求，而且还能超过，因为 SEMS 的目的是实施业界的最佳措施。

2.5 SEMS 的目的不是要替代 ACSP 模式，而是它的一个补充。SEMS 打算对如何实施程序以遵守和最后超过 ACSP 的强制性要求而提供指导。

2.6 SEMS 有利于审计保安措施，因为所有保安程序都必须具有书面形式并在 SEMS 之内解释其实施，它消除了如何在达到某些要求方面可能产生的模棱两可现象。

2.7 SEMS 还可大大有利于航空承运人以及涉及到的所有利益有关方。实施 SEMS 很快就能发现航空承运人的弱点，而且还能同时提供手段有效的减缓这些限制。

2.8 SEMS 已经成为准备制定的所有保安文件和手段的核心。很明显，航空承运人的所有保安程序不能置于一个单独的文件中，而 SEMS 可以是一个包括所有关于保安的材料的共同的文件存放处，其结构可以包括某些国家或项目（如团体诈骗、IT 保安等）的特殊文件的附件。把所有保安材料集中存放有利于审计和监督程序。

2.9 在航空承运人内部，SEMS 必定可以提高保安措施的门槛。SEMS 有助于把保安纳入团体价值的核心，继而有助于改进航空承运人内部以及最终整个航空系统的全面保安。

2.10 对于航空承运人如何达到保安目标，SEMS 提供了一个结构更合理的方法。实施保安程序将变成正规的和以目标或成果驱动的行为。

2.11 鼓励航空承运人采纳 SEMS 原则并把其作为 ACSP 的一部分，因为它将有益于其经济福祉，它将协助航空承运人更有效和更具成本效益的实施保安措施。

2.12 实施 SEMS 还能表明航空运输业朝着保安措施和程序全球化与和谐化的前瞻性意愿。

3. 保安环境中管理系统的因素

3.1 在保安风险管理环境中，应当考虑那些常常是不明确的、经常发生的和有意周密计划的行动造成后果的威胁。另外，还必须考虑难以预料的和很难区分其性质的具体的保安威胁，例如，涉及防止恐怖主义活动的情报和执法机构获得的预示即将发生袭击的情报，就需要慎重的假定它们可能不好确定并在全部时间内制止可能的威胁。

3.2 在造成保安风险加剧的情况时，保安措施必须随时能够很快地予以加强。另外，由于其性质，它们一般是很明显的具有侵入性，而且常常与旅客和航空货物的简化手续的要求相冲突，简化手续要求随时能接近设施和服务以加快航空运输的程序。在安全环境中，有大量的管制就不会发生这种情况。

3.3 当考虑到并在制定具体的预防性保安管制和有关的管理标准时，要求对这些因素给予承认并进行评估。

3.4 承认这些因素之后，对安全和保安后果负有责任的各种组织，在管理和业界一级，就需要有一个综合的系统管理方法。这种方法必须有能力提供一系列的好处：

3.4.1 把现有的组织结构方面的质量管理体系整合成一个全面的联合的组织结构和文化，确保以更有凝聚力和更标准的方法并从整体上以更加统一的服务标准来实施保安程序。

3.4.2. 在管理和业界一级，把有效的风险评估活动引入现行程序，这些活动能有助于制定前瞻性和具有目标的保安程序，因此它将更具有更大的潜在效力和有效性，而不会对出口贸易和旅客活动造成不必要的影响。

3.5 关于成功地实施航空保安管理系统的方法所需要的关键因素的进一步的信息载于 IATA 航空运输经营人保安管理系统（SEMS）的执行摘要的附录 1。

3.6 IATA 的目的是能看到其会员在经营中，包括最起码的保安、安全、质量和企业风险管理中，能采用综合的方法管理所有系统。

3.7 另外，为了使航空承运人在经营中能成功地实施 SEMS，最重要的是各国认可这一方法，并将其作为对遵守 ICAO 附件 17 —— 保安和具体管理者的要求。

3.8 应当鼓励各国在理想的结果或标准的基础上起草规定，而不是制定需要遵守的具体程序。对负责实施保安措施以最佳方式达到申明的标准的实体给予灵活性将导致更有效和更具效力的利用资源。

3.9 在规定基础上的成果或操作将便利各国利用限制监督责任对各利益有关方进行的质量控制监督以确保达到保安标准，而不必集中在程序的细节上。

3.10 最后，为了保证更好的合作，为达到对保安环境的全面改进，最重要的是缔约国承认各种方法达到保安标准。相互接受保安程序能防止领土之外的指令性保安程序，在任何时候确保在全球实施同一的保安水平。

4. 与 ICAO 附件 17 第 11 次修订中质量控制系统的联系

4.1 ICAO 附件 17——保安的第 11 次修订含有确保附件保持与全球危险水平相一致的措施，包括：

4.1.1 加强质量控制的规定；

4.1.2 风险评估概念强调各缔约国在决定管理要求时需要在适当的实例中利用风险评估程序。

4.2 IATA 认为，保安管理系统(SEMS)提供的对保安管理的全面的系统管理方法将使各国现在和将来更有效的保持遵守附件 17 的规定。在保证具有更大凝聚力和标准方法的全面的和联合的组织机构和文化内，它确认了综合风险评估和有管理的质量控制计划固有的优点。

4.3 顺便举一个具体的例子，正在及时并准确的实施的风险评估活动得到了能连续更正和改进评估程序的有效的质量控制系统的支持。它有助于正在制定的强硬的管理要求以处理指明的和正在形成的潜在的威胁和弱点。

4.4 同样，认识到管理资源不是无限制的事实，有效的风险评估程序提供潜力，允许各国及时的把监督活动集中于要求最迫切的领域。

4.5 非常重要的一点是，SEMS 方法并不损害或减少对有效的质量控制系统的的需求——这种需求在第 11 次修订及载于 ICAO 的 Doc 8973——保安手册中的以前对这个问题的指导材料提升为标准中得到了加强，以确保在 ICAO 缔约国和缔约国之间对航空保安具有更大的凝聚力和标准方法，这就为达到全面更好的和更一致的服务标准并达到附件 17 的 SARPs 提供了机会。

5. 结论

请大会：

- a) 注意这个实施，即现在 SEMS 是 IATA 会员通过 IATA 运营安全审计 (IOSA) 必须实施的强制性要求；
- b) 支持 IATA 和 AVSEC 专家组对制定和实施保安管理系统 (SEMS) 的承诺；
- c) 考虑采纳管理系统方法以确保所有缔约国达到附件 17 第 11 次修订对质量控制的要求。

APPENDIX

1. Introduction

- Security Management Systems (SEMS) is a more structured and standardized approach to how Security processes should be implemented and will provide overall better and more uniform standards throughout the aviation industry.
- Implementing SEMS as well as an effective and focused threat assessment process should contribute to making Security processes pro-active.
- Essentially, an SEMS is an element of corporate management's responsibility which sets out a company's Security policy to manage Security as an integral part of its overall business making Security one of the company's core values by developing a Security culture
- SEMS is a business-like approach to Security; goals are set, levels of authority are established, etc. much the same as with Quality Management Systems (QMS) and Safety Management Systems (SMS).
- When viewed in this context it becomes obvious that the three programs (SEMS, QMS, SMS) must be harmonized to ensure consistency and an equivalent level of attention.
- Further, SEMS is based on ICAO Annex 17 standards and the IATA Operational Safety Audit (IOSA) Security Standards. Through IOSA, SEMS already has a Quality Management segment in place. QMS becomes a complimentary system
- Each airline must implement the system that works best in their specific situation – there is no “one-size-fits-all” system.
- The SEMS template should serve as a guide of what should be achieved after full implementation of SEMS.
- In order to have an effective Security Management System, it should include the methods and procedures to achieve:
 - Senior management commitment to Security
 - Appointment of a Head of Security
 - Creation of a Security department organisational structure
 - Promotion of a Security culture
 - Training of Security personnel
 - Security awareness training for all employees
 - Regular evaluation of Security personnel
 - Effective day to day Security operations
 - Incident and accident investigative reporting
 - Continuous correction from the outcome of incident accident investigation report.
 - Threat assessment
 - Risk Management
 - Emergency response procedures
 - Regular audits and protocols for correction of deficiencies
- The following points should be made when a Security Management System is implemented:
 - Companies should build on existing procedures and practices rather than start all over. SEMS should be seen as an evolutionary tool rather than a revolutionary device.
 - Adoption of “best practice” standards must be the goal. The Air Carrier Security Programme requirements mandate the minimum requirement for an air carrier to be

compliant. SEMS will help air carriers achieve “best practice” standards which would be in compliance with requirements of all States where the air carrier operates.

- o A SEMS must be a company-wide system. Established at the corporate level, the SEMS should then devolve to individual departments. Flight Operations, In-flight, Baggage Services, Passenger Services, Airport Services, Telephone Sales and all other departments whose activities contribute to Security need to develop their own procedures under the umbrella of the SEMS.
- o Each air carrier is responsible for the development of security procedures and operational bulletins based on the concepts of this template taking into account their own operational environment resources available and regulatory framework of their State of registry and State(s) of operations
- o If some Security operations are outsourced, contracts should identify the need for equivalent, auditable SEMS in the supplier.
- o In order for SEMS to be successful, it needs endorsement from the concerned regulators and all stakeholders involved in aviation.

2. **Organization and Management**

- There is a need for senior management to formally endorse, in a written document, their commitment to Security as a central component of the air carrier’s core values.
- A Head of Security with a direct reporting line to senior management should be appointed
- A clear organizational chart of the Security department should be drafted where all necessary responsibilities have a dedicated point of contact. The organizational chart should be proportionate to the size of the company.
- Security should be every employee’s responsibility and should be an integral part of the management plan.
- Communication of Security information, as appropriate, is a very important part of the development of a Security culture.
- When employing contractors the following information should be provided by the contractor to the air carrier before agreeing to use their services:
 - o Security arrangement and procedures
 - o Previous Security record
 - o Hiring and staff training policies
 - o A routine audit should be performed
- Further to that the air carrier should submit appropriate sections of the SEMS to the contractor and ensure that they are willing to be in line with the air carrier’s Security culture commitment.
- Security documentation and manuals should be centralised and readily accessible to all employees affected by the document or appropriate sections.

3. **Human Resources Management**

- Procedures should be put in place to hire competent staff and ensure that they have been cleared by background checks as outlined in National legislation, and the air carrier security programme.
- An efficient training programme should be developed for staff involved in implementation of security measures. Effective and measurable initial & recurrent training and testing/evaluation modalities should be developed.
- Security awareness training sessions should be attended by all employees, periodically, in order to promote a Security culture.

- Performance appraisals should be conducted on a regular basis to ensure that all employees perform their functions adequately in a co-operative and constructive manner benefiting both the employer and employee
- Human factors need to be taken into consideration when developing effective Security procedures.
- Human factors should be considered essential in maintaining staff motivation at acceptable levels.
- Staff rotation and work variety contribute in maintaining staff motivation and productivity.

4. **Quality Assurance**

- In order to ensure that Security measures are in compliance with mandated requirements, quality controls should be put in place.
- Many options exist for quality control measures, both internally and externally, each with their advantages and disadvantages.
- The best approach to ensure quality assurance is most likely a combination of both internal and external quality control measures.
- Further to that, international audit mechanisms such as IOSA and the ICAO Universal Security Audit Programme (USAP) are in place to guarantee acceptable global Security standards. SEMS can help air carriers meet IOSA Security Standards and Recommended Practices. SEMS can also help States, who have endorsed these principles, successfully meet USAP audit requirements.

5. **Security Operations**

- SEMS should provide details into how to achieve “best practice” Standards for the necessary Security processes to ensure protection of all air carrier assets. Care must be exercised to ensure consistency with National legislation regarding aviation security.
- The topics to be covered in SEMS should include but are not limited to the following:
 - Access Control
 - Perimeter Security
 - Airside Security
 - Protection of parked aircraft
 - Airport personnel identification
 - Aircraft security
 - Pre-flight aircraft searches
 - Reinforced cockpit doors
 - Carriage of weapons
 - Authorise carriage of weapons
 - Carriage of weapons as baggage
 - Passenger, supernumeraries and cabin baggage Security
 - Passenger identity verification
 - Passenger and carry-on baggage screening
 - Transit and transfer passengers
 - Special screening procedures
 - Diplomats
 - Persons exempted from screening
 - Persons in custody and under administrative control
 - Airline crew, airport staff and other non-passenger

- Monitoring performance of Security equipment
- Hold baggage Security
- Cargo, mail and express parcels Security controls
- Catering and stores Security
- Risk and Threat assessment
- Security Audits
- Accountable Document Security

It is very useful to clearly assign responsibilities between the airlines, airport authorities and other entities involved in maintaining security.

6. Contingencies

- Air carriers should have risk and threat assessment as well as risk and threat management mechanisms developed. Some States offer assistance in the threat assessment process. State mandates should have priority when they are in place.
- Air carriers should have an emergency response plan in place for incidents of all types, including Security incidents. The appropriate infrastructure and staffing should be put in place.
- Emergency measures should exist in the eventuality of at least the following security related incidents which are the most common:
 - Bomb threat
 - Bomb threat against buildings (including provisions for terminal evacuation)
 - Hijacking
- Air carriers can learn a significant amount of information about flaws in their operations when incidents take place. However, it is best to discover flaws through security exercises. In order for incidents to be learning experiences, there needs to be a thorough investigation process that can identify where procedures were lacking in order to remedy and implement corrective action.

7. Additional Security Accountabilities

- Security issues that are important to air carriers, but not necessarily directly related to compliance of the Air Security Programme, may also be included as part of SEMS. This further reiterates that SEMS is designed to be an all encompassing Security document that promotes Security awareness.
- Issues to be addressed as part of organizational extensions can be but are not limited to:
 - Aviation Security related issues:
 - Disruptive passengers
 - Inadmissible passengers
 - Stowaways
 - Passenger risk assessment
 - Protection of layover crew and ex-pat staff
 - Theft
 - Fraud and insider crime
 - Building and infrastructure security

- International Security Standards and Recommended Practices (Legal framework)
- Co-operation with airport security and other AVSEC/regulatory agencies
- Mutual recognition and harmonization of Security requirements and procedures
- AVSEC roles of station managers

— END —