



第二次高级别航空安保会议 (HLCAS/2)

2018 年 11 月 29 日至 30 日，蒙特利尔

议程项目 2：未来管理航空安保风险的方法

提高其他机构和组织的航空安保意识

(由阿根廷、澳大利亚、比利时、巴西、加拿大、埃及、埃塞俄比亚、法国、意大利、日本、约旦、新西兰、尼日利亚、葡萄牙、卡塔尔、俄罗斯联邦、塞内加尔、新加坡、南非、西班牙、瑞士、阿拉伯联合酋长国、联合王国、美国、国际机场理事会和国际航空运输协会提交)

摘要

本工作文件讨论了提高其他机构和组织，特别是那些在民用航空生态系统中发挥一定作用和/或开展运行的机构和组织的航空安保意识的必要性和重要性。

高级别航空安保会议的行动在第 4 段。

1. 引言

1.1 近二十年来，航空安保 (AVSEC) 变得愈发复杂棘手。2001 年 9 月 11 日发生的恐怖袭击事件中利用航空器作为大规模毁灭性武器；利用简易爆炸装置 (IEDs) 对飞行中的民用航空器发动攻击；在格拉斯哥 (2007 年)、莫斯科 (2011 年)、洛杉矶 (2013 年)、布鲁塞尔 (2016 年) 和伊斯坦布尔 (2016 年) 等机场对机场陆侧区域发动的恐怖袭击以及对民用航空运行发动的其他攻击都是明显的事例。为了应对这些袭击，同时虑及为防止或避免此类袭击事件再次发生所采取的步骤，各国运输和民航当局与国际民用航空组织 (ICAO) 一直在制定新的标准和建议措施 (SARPs)；指导材料；航空安保成套培训资料；应用技术和新的安保措施，包括已在许多国际机场实施的各种措施。国际民航组织的新的全球航空安保计划 (GASep) 还具有两项与提高安保意识有关的优先成果，进一步强调了其中的重要意义¹。

2. 与非航空安保机构协调

2.1 为了制定健全实用的航空安保政策并确保航空安保措施得到有效实施，包括遵守《国际民用航

¹ 国际民航组织全球航空安保计划的两项优先成果是：(a) 加强风险意识和响应；(b) 培养安保文化和人员能力。全球航空安保计划还具有若干支持这些建议的优先行动，例如 PA 2.1 2.B - 制订安保意识方案，有效促进一个积极的安保文化；PA 2.1 2.C - 继续推进安保意识宣传活动，以及 PA 2.1 2.H - 分享最佳做法。

空公约》附件 17 —《保安》的标准和建议措施，所有国家的相关航空安保机构都不可避免地需要与那些主要责任可能不是航空安保但根据国家民用航空安保方案 (NCASP)、机场安保方案 (ASP) 发挥一定作用和责任的机构，以及那些经准许可在无人陪同情况下进入空侧区域的机构(即：“非航空安保机构”)开展密切合作及协调。这包括在该国民用航空设施中运行的其他监管机构和行业利害攸关方的人员。一些示例包括：

2.1.1 与当地执法部门、国家情报部门和国家其他相关机构合作开展机场陆侧区域安保工作；

2.1.2 与空中航行服务提供者合作开展空中交通管制设施安保工作；

2.1.3 与海关当局合作开展航空货运安保工作；

2.1.4 与移民当局就有关机组人员和旅客进出国际机场商业民用航空器的安保问题进行合作；

2.1.5 与国家和机场消防部门合作管理国际机场安保和紧急事故征候；

2.1.6 与航空公司、地面服务代理、配餐公司、航空器内部保洁公司、机场燃料公司、机场零售店、地面运输公司、货运代理等合作，开展机场简化手续和安保程序，包括安保事故征候报告；和

2.1.7 在发生机场安保事故征候时，与机场所有机构合作，迅速作出反应，减轻影响、最大程度减少伤亡、疏散旅客、机组成员、机场工作人员和公众。

2.2 附件 17 —《保安》第 3 章制定了以下标准和建议措施，其中强调各机构和组织之间为有效实施航空安保政策和措施需要进行协调：

3.1.5 每一缔约国必须要求主管当局对该国与国家民用航空安保方案各个方面有关的或负责其实施的部门、机构和其他组织，以及机场、航空器运营人、空中交通服务提供者和其他实体之间规定和分配任务并协调其各项活动。

3.1.6 每一缔约国必须建立一个国家航空安保委员会或做出类似的安排，其目的在于协调该国与国家民用航空安保方案各个方面有关的或负责其实施的部门、机构和其他组织，以及机场、航空器运营人、空中交通服务提供者和其他实体之间的各项安保活动。

3.1.11 **建议：**各缔约国应确保所有参与或负责实施国家民用航空安保方案各个方面所有实体的人员，以及经准许可在无人陪同情况下进入空侧区域的人员，接受定期安保意识培训。

2.3 与机构及组织之间为有效实施航空安保政策和措施而开展协调之必要性相关的其他标准和建议措施，同时载于《国际民用航空公约》附件 17。这些标准和建议措施展示了利害攸关方之间开展协调的重要性，其中包括分享相关信息。

3. 提高非航空安保机构的航空安保意识

3.1 鉴于所有国家和利害攸关方面面临的航空安保挑战日益复杂，来自非航空安保机构的所有级别的人员至少要对航空安保，以及预防和有效应对非法干扰行为影响的重要性具有基本认识和理解便至关重

要。在机场发生安保事故征候或涉及民用航空运行的事件时，这也同样将具有相关性，届时需要来自非航空安保机构的人员协助有关当局作出响应，减轻事故征候的影响。来自非航空安保机构的人员也可以在为减轻影响的行动提供政策意见方面发挥关键作用。此类人员可以通过认识以及自觉留意其工作环境中可能引发非法干扰行为的可疑异动，成为机场、航空器或所有民用航空设施的“眼睛”和“耳朵”。鉴于航空安保威胁和挑战不断演变，定期举办复训课程、更新和意识培训，包括提高安保事故征候报告意识以及帮助促进积极的安保文化，对相关的所有航空安保和非航空安保人员都有帮助作用而且十分必要。

3.2 在这方面，确保非航空安保机构的所有人员都接受安保意识培训至关重要，也必不可少。对于那些负责促进航空安保政策的人，他们将能够理解民用航空运行的挑战和复杂性，并通过定期的航空安保意识培训，能够在国家、地方和机场层面为航空安保政策提供实际且客观的意见。此外，还必须向那些经准许可在无人陪同情况下进入空侧区域的人员提供定期航空安保意识培训。大多数此类人员来自非航空安保机构。但是，通过定期的航空安保意识培训，他们可以帮助航空安保当局在机场或航空设施提高安保警惕性、缓解风险并提升响应水平。这将有助于提高民用航空运行的安保水平，包括帮助处理内部威胁引发的机场空侧区域的关切。

3.3 因此，建议各国和业界对制定更多与时俱进的航空安保意识培训方案的有效性进行审议。此类方案还可以为参与或负责实施国家民用航空安保方案和机场安保方案的各个方面、而且其人员经准许可在无人陪同情况下进入空侧区域的非航空安保机构的人员具体量身定制。同时，应当鼓励利用对机场所有工作人员可见的材料开展具有针对性的宣传活动，不论其工作机构均一视同仁。这些努力还可以按照附件 17 的标准 3.1.6 纳入各国航空安保培训方案。

3.4 同时，鼓励各国和行业组织分享其民用航空生态系统内所有实体制定和开展此类安保意识培训的最佳做法和有益经验。特别是鉴于内部威胁等困难棘手的威胁情况，此类安保意识培训方案和努力必将有助于民用航空生态系统的监管机构和利害攸关方实现更加强大和更加有效的安保成果。

3.5 提高航空安保意识也是国际民航组织全球航空安保计划 (GASeP) 的关键组成部分之一，国际民航组织理事会已于 2017 年予以批准。因此，所有国家和利害攸关方都应当密切且必需关注其在加强全球航空安保方面的作用及重要性。

4. 高级别会议的行动

4.1 请高级别航空安保会议：

- a) 审议提高各机构航空安保意识的重要性，包括那些主要职责不是航空安保但参与或负责实施国家民用航空安保方案和机场安保方案的各个方面，并且其人员经准许可在无人陪同情况下进入空侧区域的各个机构从最高管理层到机构的方方面面；和
- b) 鼓励各国和行业组织分享在其民用航空生态系统内为所有实体制定和开展航空安保意识培训的最佳做法和有益经验。

APPENDIX

STANDARDS AND RECOMMENDED PRACTICES UNDER ANNEX 17 TO THE CONVENTION ON INTERNATIONAL CIVIL AVIATION WITH EMPHASIS ON COORDINATION AMONGST AGENCIES AND ORGANISATIONS ON IMPLEMENTING AVIATION SECURITY SARPS

Chapter 3 - ORGANIZATION

3.1.45 Each Contracting State shall require the appropriate authority to define and allocate tasks and coordinate activities between the departments, agencies and other organizations of the State, airport and aircraft operators, air traffic service providers and other entities concerned with or responsible for the implementation of various aspects of the national civil aviation security programme.

3.1.6 Each Contracting State shall establish a national aviation security committee or similar arrangements for the purpose of coordinating security activities between the departments, agencies and other organizations of the State, airport and aircraft operators, air traffic service providers and other entities concerned with or responsible for the implementation of various aspects of the national civil aviation security programme.

3.1.11 **Recommendation.**— *Each Contracting State should ensure that personnel of all entities involved with or responsible for the implementation of various aspects of the national civil aviation security programme and those authorized to have unescorted access to airside areas receive periodic security awareness training.*

Chapter 4 – PREVENTIVE SECURITY MEASURES

4.2.2 Each Contracting State shall ensure that security restricted areas are established at each airport serving civil aviation designated by the State based upon a security risk assessment carried out by the relevant national authorities.

4.3.6 Each Contracting State, in accordance with the risk assessment carried out by its relevant national or local authorities, shall ensure that appropriate measures on the ground or operational procedures are established to mitigate possible attacks against aircraft using Man-Portable Air Defence Systems (MANPADS) and other weapons representing a similar threat to aircraft at or near an airport.

4.7.4 Each Contracting State shall ensure that the carriage of weapons on board aircraft, by law enforcement officers and other authorized persons, acting in the performance of their duties, requires special authorization in accordance with the laws of the States involved.

4.8.2 Each Contracting State shall ensure that security measures are established for landside areas to mitigate the risk of and to prevent possible acts of unlawful interference in accordance with risk assessments carried out by the relevant authorities or entities.

4.8.3 Each Contracting State shall ensure coordination of landside security measures in accordance with Standards 3.1.6, 3.2.2 and 3.2.3 between relevant departments, agencies, other organizations of the State, and other entities, and identify appropriate responsibilities for landside security in its national civil aviation security programme.

4.9.1 Each Contracting State shall ensure that operators or entities as defined in the national civil aviation security programme or other relevant national documentation identify their critical information and communications technology systems and data used for civil aviation purposes and, in accordance with a risk assessment, develop and implement, as appropriate, measures to protect them from unlawful interference.

4.9.2 Recommendation.—*Each Contracting State should ensure that the measures implemented protect, as appropriate, the confidentiality, integrity and availability of the identified critical systems and/or data. The measures should include, inter alia, security by design, supply chain security, network separation, and the protection and/or limitation of any remote access capabilities, as appropriate and in accordance with the risk assessment carried out by its relevant national authorities.*

Examples of guidance material in ICAO Document 8973 – Aviation Security Manual which mentions the need for intra-government coordination

Chapter 2 – General Principles

2.1.4 To achieve a standardized level of aviation security, the security policy should be based on appropriate legal provisions implemented by the many entities involved in an aviation security structure, which normally includes:

- a) aircraft operators;
- b) airport operators;
- c) providers of air navigation services;
- d) police authority and other law enforcement authorities;
- e) providers of security services; and
- f) intelligence organizations.

Chapter 5 – Organization and Oversight

5.2.4.1 One of the key responsibilities of the appropriate authority is to define and allocate tasks and coordinate activities between the various departments, agencies and other entities concerned with implementing various aspects of the NCASP. Functions that should be addressed by other departments and agencies in support of the appropriate authority and the NCASP include legal affairs, through the justice department, foreign or external affairs, law enforcement, postal services, border control, customs and immigration, national armed forces and intelligence activity.

5.3.1.3 The following recommendations concern the composition of an NCASC:

- a) ministries or agencies represented on the committee should include, but are not necessarily limited to, the appropriate authority, security forces and services, the authority responsible for police functions, immigration, customs and other border control, air traffic service providers, postal services and external relations. On those occasions when an NCASC discusses matters related to preventive measures and procedures and other associated actions, the chairperson should be a senior official of the State's department or agency responsible for aviation, while a senior official of the State's department or agency responsible for planning and actions should act as chairperson during discussions of contingency plans and associated actions in response to an occurrence;

Chapter 6 – National Civil Aviation Security Programme

6.1.1.7 National regulations should clearly identify those organizations or entities responsible for the various prescribed security functions. Because of the inevitable division of responsibility for aviation security, an effective security programme reflects the clearly defined, unambiguous responsibilities assigned to each organization or entity. Among such organizations are the appropriate authority, airport authorities and tenants, aircraft operators, law enforcement authorities, national armed forces, border control authorities, and air traffic service providers. Specific responsibilities should cover, for example, the obligation of aircraft and airport operators to develop and obtain approval for security programmes and security training programmes

6.1.3.1 Measures to respond to acts of unlawful interference should also be defined in an NCASP. Specific responsibilities and/or duties should be allocated to government departments, law enforcement agencies, national armed forces, air traffic service providers, aircraft operators, airport management and tenants, and should include preparing contingency plans, issuing staff instructions, installing communications systems, and undertaking training in how to respond to an act of unlawful interference.

Chapter 10 – Airport organization and programmes

10.4.1.1 Various law enforcement authorities, including immigration officers and national, local and airport police, should have responsibilities with respect to:

- a) prevention and detection of crimes at civil aviation facilities;
- b) surveillance and patrol of all or some airport terminal areas and perimeters;
- c) surveillance and screening of arriving and departing passengers, and their baggage, who may pose a threat to civil aviation;
- d) emergency and contingency planning with the appropriate aviation and airport security authorities;
- e) command and control of the response to a major security incident or emergency at an airport such as hostage negotiation and rapid armed intervention;
- f) disposal of an explosive device;
- g) reporting on incidents of criminal conduct, confiscation of restricted articles, threats such as attempted unauthorized access to security restricted areas, etc.; and
- h) initial and recurrent training of appropriate police personnel in pertinent aviation security practices and procedures.

10.4.1.2 Law enforcement personnel assigned to aviation duties should be prepared to work closely with the appropriate authority and airport management, in accordance with the applicable regulations, the NCASP and ASP.

10.4.2.1 In accordance with the NCASP, national armed forces should be responsible for the following security related tasks:

- a) bomb detection and disposal services, armed intervention, patrol and other police functions at a civil airport facility, and the training of specialists;
- b) access control and other related functions at a civil airport facility if the armed forces are a joint tenant of the facility or if there is an adjacent military area;
- c) aviation security threat assessment and the dissemination of threat information; and
- d) contingency planning, in collaboration with the appropriate authority and airport management, in order to be prepared to assume command and control in a major security incident or emergency.

10.4.3.2 Border control duties with regard to aviation security issues should be clearly established in the NCASP, and ASPs, and the pertinent portions of these programmes should be provided to border control officials to ensure the effective implementation of the security measures described therein.

10.4.3.3 Border control officials assigned to airport duties should receive appropriate security awareness training as outlined in the NCASP, and should also be aware of the significance of certain types of information which may come to their notice during the execution of their duties.

10.4.3.4 Such officials are also expected to exchange security-related information with the appropriate authority, airport security officer and chief security officer.

Chapter 17 – Crisis Management and response to acts of unlawful interference

17.1.8 A single entity, designated by the State, should be assigned primary responsibility and authority to determine

the course of action to be taken when an aircraft subjected to unlawful interference is in flight or on the ground. This entity should coordinate all actions with the appropriate authority, the airport authority, the affected aircraft

operator, the State of the Operator and the State of Registry of the affected aircraft, and any other entities, on or off the airport property, as may be deemed appropriate.

17.1.9 If different government entities are assigned responsibility for managing acts of unlawful interference taking place in flight or on the ground, clear and precise procedures should be established prior to an occurrence, to avoid confusion as to when responsibility passes from one entity to another during an act of unlawful interference.

— END —