



International Civil Aviation Organization

WORKING PAPER

A39-WP/371¹
EX/146
9/08/16
(Information paper)
English and Chinese
only

ASSEMBLY — 39TH SESSION

Montréal, 27 September – 7 October 2016

EXECUTIVE COMMITTEE

**Agenda Item 17: Universal Security Audit Programme –
Continuous Monitoring Approach (USAP-CMA)**

CHINA'S NATIONAL CIVIL AVIATION SECURITY AUDITS

(Presented by the People's Republic of China)

EXECUTIVE SUMMARY

As required by Annex 17 — *Security*, China has established and implemented a national civil aviation security audit system since 2004. The risk-based audit system for civil air transport airports and airlines operates on a continuous basis and incorporates Security Management System (SeMS) audits, greatly promoting the improvement of security management and operational performance of China's civil aviation industry.

Action: The Assembly is invited to note the information contained in this paper.

<i>Strategic Objectives:</i>	This information paper relates to Strategic Objective C — <i>Security and Facilitation</i> .
<i>Financial implications:</i>	Not applicable.
<i>References:</i>	Annex 17 — <i>Security</i> .

¹ English and Chinese versions provided by China

1. INTRODUCTION

1.1 Pursuant to 3.4.6 of Annex 17 — *Security* which states that “Each Contracting State shall arrange for security audits, tests, surveys and inspections to be conducted on a regular basis, to verify compliance with the national civil aviation security programme and to provide for the rapid and effective rectification of any deficiencies”, Civil Aviation Administration of China (CAAC) developed and issued the Rules on National Civil Aviation Security Audits and the Manual for the Implementation of Aviation Security Audits and Inspections between the end of 2004 and the first half of 2005. A preliminary national aviation security audit system was thus established.

1.2 In August 2005, CAAC carried out pilot security audits at Shenzhen Airport and Haikou Meilan International Airport. In the meantime, the CAAC Regional Administrations launched pilot security audits at seven other airports.

2. DISCUSSION

2.1 In 2006, CAAC published the National Aviation Security Audit Programme of China for 2006-2010, which unveiled the across-the-board implementation of aviation security audits in China.

2.2 In implementing the National Aviation Security Audit Programme of China for 2006-2010, China’s civil aviation regulatory authorities performed security audits at 136 civil transport airports, accounting for 78.61% of the airports, and follow-up audits on 77 of them, accounting for 44.51% of the airports.

2.3 In order to streamline and review the aviation security audits that have been performed, make a comprehensive and objective assessment of the aviation security status in China, and to consolidate the outcomes and further promote the implementation of the audit system, in 2011, CAAC commissioned China Academy of Civil Aviation Science and Technology to conduct an assessment on the implementation of aviation security audits, the vulnerabilities in security work and the effectiveness of the audits.

3. THE RISK-BASED SECURITY AUDIT SYSTEM THAT OPERATES ON A CONTINUOUS BASIS AND INCORPORATES SEMS AUDITS

3.1 In 2012, CAAC revised the Rules of National Civil Aviation Security Audits and the Guidance Manual for the Implementation of National Civil Aviation Security Audits, and set up leading entities at both the CAAC and its Regional Administration levels. The new system adopted risk-based key audit areas approach and incorporated the SeMS audit element. It included a vision of expanding the security audits beyond transport airports to cover aviation security operating entities, enhanced quality control over the aviation security audit work across the country, and further optimized and refined the process of implementing audits.

3.2 To keep the audits and inspections aligned with the evolving system of security regulations in China, ensure the applicability of audit and inspection areas, and realize the coverage of SeMS element audits for all transport airlines, CAAC developed and published the National Civil Aviation Security Audit Checklist in 2012. The inspections included therein for transport airlines were developed based on the results of pilot audits performed on Xiamen Airlines in December 2011.

3.3 In 2014, CAAC revised the National Civil Aviation Security Audit Checklist to separate it into the Manual for Civil Air Transport Airports and the Manual for Public Air Transport Enterprises according to the objects to be audited.

3.4 In light of the trans-regional operations of public air transport enterprises and to clarify Regional Administrations' responsibilities with regard to the implementation of security audits on such enterprises, enhance collaboration and improve work efficiency, in 2013, CAAC published the Regulations for the Implementation of Security Audits of Public Air Transport Enterprises.

4. AVIATION SECURITY AUDITING CAPACITY BUILDING

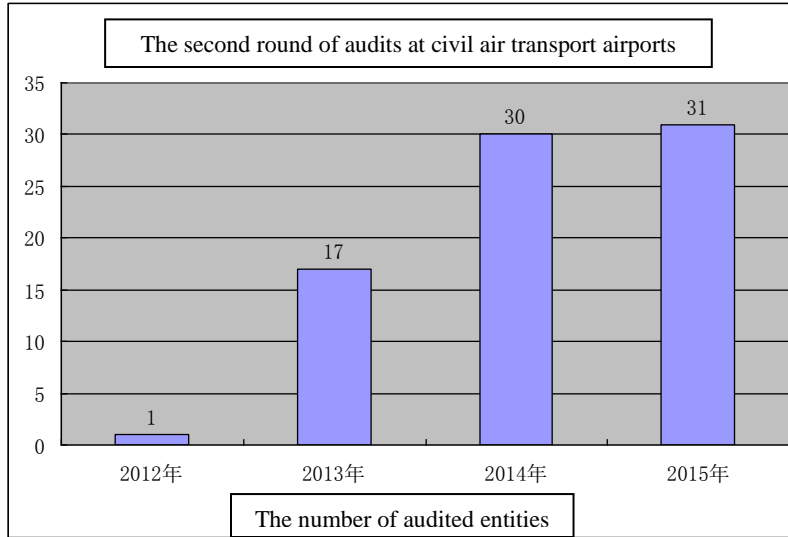
4.1 Pursuant to 3.4.7 a) of Annex 17 to the Convention on International Civil Aviation, CAAC set forth requirements for providing training for aviation security auditors in both the Rules on National Civil Aviation Security Audits and the National Civil Aviation Security Training Program.

4.2 As of the end of May 2016, CAAC has organized 22 sessions of initial training and 5 sessions of recurrent training for auditors, and there are now 827 qualified auditors in the industry. These trained auditors come from different transport airports, airlines, catering companies and air cargo stations. They not only assisted CAAC in carrying out aviation security audits but also performed internal security audits for their own companies, contributing to the improvement of compliance in the industry's security work.

4.3 To increase the efficiency of security audits, China Academy of Civil Aviation Science and Technology has developed a supporting tool, which includes such functions as assigning audit tasks, generating checklists, recording audit evidence, gathering and analysing audit results and producing audit reports.

5. AVIATION SECURITY AUDITS OF CIVIL AIR TRANSPORT AIRPORTS AFTER 2012

5.1 In accordance with the revised Rules on National Civil Aviation Security Audits and the Guidance Manual for the Implementation of National Civil Aviation Security Audits, the civil aviation regulatory authorities of China launched a second round of audits at domestic civil air transport airports in 2013. As of the end of 2015, audits have been performed at 76 such airports in total, accounting for 38.1%, and three of them were selected for follow-up audits to ensure the effective rectification of the problems identified during audits.



5.2 Aviation security audits of public air transport enterprises

- a) In 2013, CAAC launched a security audit on Sichuan Airlines, which marked the beginning of the implementation of security audits of airlines. The audit of Sichuan Airlines demonstrated that the audit areas designed for airlines are applicable. In September 2014, Air China became the first large air transport enterprise to pass the aviation security audit.
- b) During the implementation of security audits of large air transport enterprises, separate audits were carried out on each branch office and subsidiary of the enterprise, after which the audit findings were put together to be analyzed collectively. By the end of 2015, audits have been carried out on 15 air transport enterprises, with “satisfactory” findings for all of them.

