ASSEMBLY — 37TH SESSION

EXECUTIVE COMMITTEE

**Agenda Item 13: Aviation security policy**

PROPOSAL TO ESTABLISH GUIDELINES ON HUMAN FACTORS
IN CIVIL AVIATION SECURITY

(Presented by Venezuela (Bolivarian Republic of))

| EXECUTIVE SUMMARY |
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| This paper presents a proposal relating to the establishment of guidelines and reference documents to provide a framework to States when establishing regulations, and considers training in the area of human factors for personnel who apply aviation security measures in airports, as well as industry guidelines for the correct implementation of human factors policies and programmes for operators directly working in security positions. |
| **Action**: The Assembly is invited to support the development and implementation of guidelines and reference documents by the Organization, which will allow:<br>a) States to establish regulations that require operators responsible for applying aviation security measures to receive training on human factors;<br>b) organizations of the aeronautical industry to establish human factors policies and programmes, to promote an organizational culture of aviation security; and<br>c) the development of specialized human factor training programmes for the operating personnel responsible for aviation security at airports. |

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| *Strategic Objectives:* | This working paper relates to Strategic Objective B – Security, *Enhance civil aviation security* |
| *Financial implications:* | The activities mentioned in this paper will be carried out subject to the resources available in the Programme Budget for 2011-2013 and/or through extra-budgetary contributions. |
| *References:* | A37-WP/18<br>Doc 8973, *Security Manual for Safeguarding Civil Aviation Against Acts of Unlawful Interference*<br>Doc 9808, *Human Factors in Civil Aviation Security Operations*<br>Annex 17 — *Security* |

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[1] Spanish translation was provided by the Bolivarian Republic of Venezuela

1.      **INTRODUCTION**

1.1         Despite the high level of technology development in the aeronautical industry, the importance of the human element in all civil aviation operations must always be taken into account. This was expressed in Assembly Resolution A36-13 — *Consolidated statement of continuing ICAO policies and associated practices related specifically to air navigation* and, based on this resolution, the Air Navigation Commission drafted recommendations and amendments to the texts of the Annexes and other documents relating to the influence of human factors in present and future civil aviation operating environments.

1.2         As part of the work entrusted by the Assembly, guideline texts were published, including compendiums and manuals which dealt with various human factors issues and their impact on civil aviation security. These texts include Document 9808 — *Human Factors in Civil Aviation Security Operations* (First Edition, 2002).

1.3         A review of Document 9808 identified guidelines illustrating the handling of technological factors in aviation security operations such as, for example, the use of new technologies, threat image projection, the use of trace explosives detection systems, the detection of liquids, ergonomic design of workstations, etc. It also contains guidelines on aspects relating to the selection, instruction, assessment and certification of security personnel and on the principles of the operating environment in terms of security. Equally, the Seventh Edition of the *Security Manual for Safeguarding Civil Aviation Against Acts of Unlawful Interference* (Doc 8973), Volume II – *Recruitment, Selection and Training*, provides details on aviation security training for security personnel, as well as for other personnel not directly linked to this area.

1.4         A lack of direction has been identified in the compendium of documents ICAO makes available to States to implement clear guidelines on human factors in aviation security, taking into account three general levels of action, with responsibilities in this area:

a)  statutory and supervisory level: competent authorities in the aviation security area;

b)  industry level: airport operators, airlines, etc.; and

c)  operator level: personnel directly responsible for applying preventative security measures.

1.5         Statutory and supervisory level: it would be of vital importance for the competent authorities of the States responsible for establishing regulations to obtain clear directions to allow them to legislate, and seek the opinion of the various parties involved in the industry that develop policies and internal programmes in the area of human factors in civil aviation security.

1.6         Industry level: in the same way, and taking into consideration the regulations established by the competent authorities in each State, those responsible in the industry (aircraft operators, airlines, etc.) should receive detailed directions about how to design policies and implement programmes taking human factors into account in civil aviation security operations, with a particular emphasis on providing training in this area to personnel directly involved in operations, the creation of operational environments appropriate for security activities, as well as the appropriate implementation of new technologies in the area of aviation security, taking human factors into consideration.

1.7        Operator level: constituting the most important link in the security chain, direct operators are responsible for applying preventative security measures at airports and must therefore benefit from the implementation of clear human factors policies. These policies should not focus solely on ergonomic issues or on developing an appropriate working environment to facilitate the work; aspects that allow operators to face up to the permanent challenges represented by the following examples should also be taken into consideration:

> a)  inter-personal relationships with the team;
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> b)  handling communication barriers;
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> c)  recognizing fatigue and dealing with it appropriately;
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> d)  stress management, taking into account the unique characteristics of aviation security work;
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> e)  appropriate handling of difficult or disruptive passengers;
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> f)  handling of passengers from different cultures;
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> g)  permanent commitment to the organization's security culture;
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> h)  continual improvement and personal excellence principles;
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> i)  complacency and its effects on security;
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> j)  problem solving and decision making; and
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> k)  applying sound judgment when identifying priorities during any contingency situation, among others.

## 2.        CONCLUSION

2.1        After analyzing the contents of this working paper, the Assembly is respectfully requested to develop and implement clear guidelines, as well reference documentation, allowing:

> a)  States to establish internal regulatory instruments that formalize human factors training requirements for the entire industry, aimed at those responsible for applying security measures in the area of civil aviation;
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> b)  aircraft and airport operators, accredited agents and all organizations responsible for carrying out preventative civil aviation security operations, to implement internal policies and programmes that take human factors into account, as a fundamental factor in forming an organizational culture of security within the company; and
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> c)  the development of specialized training programmes focused on human factors for operating personnel responsible for directly applying preventative aviation security measures in airports.

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