Organización de Aviación Civil Internacional

NOTA DE ESTUDIO

**SEGUNDA CONFERENCIA DE ALTO NIVEL
SOBRE SEGURIDAD DE LA AVIACIÓN (HLCAS/2)**

Montreal, 29 – 30 de noviembre de 2018

Cuestión 2:   Futuros enfoques de gestión de riesgos en el ámbito de la seguridad de la aviación

PROMOCIÓN DE UNA CULTURA DE SEGURIDAD

(Nota presentada por Alemania, Bélgica, Canadá, Estados Unidos, Italia, Nueva Zelandia, Portugal, Qatar, Reino Unido, Rumania, Singapur, Suiza y el Consejo Internacional de Aeropuertos)

RESUMEN

Es imperativo establecer una cultura de seguridad general para que la seguridad de la aviación sea duradera y efectiva. Conforme a los objetivos prioritarios del Plan global de seguridad de la aviación (GASeP), el grupo de trabajo de sobre instrucción (WGT) del Grupo de expertos sobre seguridad de la aviación de la OACI (AVSECP), en colaboración con la Secretaría de la OACI, está tomando medidas para destacar la importancia de la cultura de seguridad y aumentar la capacidad de la OACI para ofrecer a los Estados miembros orientaciones e instrucción sobre el tema.

Las medidas propuestas a la Conferencia de alto nivel sobre seguridad de la aviación figuran en el párrafo 4.

1.   **INTRODUCCIÓN**

1.1   El resultado prioritario 2 del Plan global de seguridad de la aviación (GASeP) de la OACI se centra en desarrollar una cultura de seguridad y la capacidad humana. La cultura de seguridad consiste en una serie de normas, creencias, valores, actitudes y suposiciones que son inherentes a la operación cotidiana de una organización y se manifiestan a través de las acciones y comportamientos de todas las entidades y el personal de la organización. En el caso de la seguridad de la aviación, una cultura de seguridad sólida permite aprovechar los recursos compartidos, promover el intercambio de información, asegurar el reconocimiento de que una seguridad efectiva es crítica para el éxito de la organización, establecer prácticas positivas de seguridad entre los empleados como valor fundamental, y alinear la seguridad con las metas básicas de la organización. El WGT del grupo de expertos AVSEC apoya plenamente este resultado clave y observa la importancia de establecer y mantener una cultura de seguridad sólida y de desarrollar el capital humano, las habilidades y las competencias.

1.2   El WGT acoge las siguientes tareas del resultado prioritario 2 del GASeP:

> 2.A Examinar o elaborar material didáctico para impartir instrucción sobre la cultura de la seguridad y sus principios.

> 2.B Elaborar programas de concienciación sobre seguridad de la aviación que promuevan efectivamente una cultura positiva de seguridad.

> 2.C Promover de manera continua campañas de concienciación en seguridad de la aviación.

> 2.E Elaborar y difundir entre las demás partes interesadas planes de comunicación, herramientas de notificación, materiales promocionales e instrucción sobre modelos.

> 2.F Formular estrategias de comunicación para concienciar al público en general sobre la seguridad de la aviación y la importancia de cumplir las medidas de seguridad.

2.   MEDIDAS TOMADAS POR EL WGT PARA PROMOVER UNA CULTURA DE SEGURIDAD

2.1   El WGT, conforme a su programa de trabajo oficial, y en colaboración con la Secretaría, ha realizado las tareas sobre la cultura de seguridad descritas en el GASeP. En 2017, el WGT preparó una guía práctica para elevar la cultura de seguridad (Apéndice A), que fue diseñada para ayudar a las organizaciones de la industria de la aviación a implantar una sólida cultura de seguridad que contribuya a un régimen de seguridad eficaz. En la guía se describen varias herramientas para que los instructores y administradores inculquen en el personal comportamientos de seguridad sólidos y duraderos.

2.2   El WGT también ha estado diseñando un taller para reforzar la cultura de seguridad. El taller estará dirigido a mandos altos y medios de la industria, y a otras personas responsables de la implementación de medidas de seguridad, a fin de ayudarles a establecer una cultura de seguridad positiva y a mejorar el nivel general de seguridad mediante la identificación temprana de problemas potenciales de seguridad. En la reunión de julio de 2018 el WGT finalizó un esquema del taller.

2.3   En su misión de concienciar sobre la cultura de seguridad, el WGT, en asociación con la Secretaría de la OACI, preparó un seminario sobre la cultura de seguridad, como parte de las actividades del Simposio de seguridad de la aviación de la OACI de 2018. Este seminario presentó a los participantes las mejores prácticas para organizar campañas de cambio de comportamientos y herramientas para implantar una cultura de seguridad positiva en sus organizaciones.

3.   CULTURA DE SEGURIDAD POSITIVA

3.1   Con una cultura de seguridad positiva, los empleados se sentirán comprometidos y asumirán responsabilidad por los aspectos de la seguridad. Este es un componente esencial de un régimen de seguridad eficaz que apoye y mantenga una organización resiliente a los riesgos. Una cultura de seguridad positiva ayudará a mitigar las amenazas, tanto internas como externas, pues el personal pensará y actuará más consciente de la seguridad y podrá detectar y notificar comportamientos o actividades preocupantes. A su vez, todo el personal sentirá que tiene que desempeñar una función crítica en el régimen de seguridad, y por ende mejorará la seguridad general, no sólo la seguridad de la aviación, sino también la seguridad fronteriza más general, sin requerir grandes inversiones. Desde los inspectores hasta los aseadores, y desde los taxistas hasta los que trabajan en las tiendas de los aeropuertos, todos tienen que hacer una contribución vital para mejorar la seguridad de la aviación.

3.2   Un régimen de seguridad sólido y eficiente debe ser proactivo y estar respaldado por gente competente. Además, la cultura de seguridad sólo puede tener éxito si la gente responde y está motivada para seguir los procedimientos establecidos, cumplir con las reglas prescritas y tomar la iniciativa cuando surjan circunstancias imprevistas. Una forma de lograr esto puede ser mediante un sistema de gestión de seguridad de la aviación (SeMS) efectivo, ya que éste proporciona una manera organizada y sistemática de gestionar la seguridad, incorporando la gestión de la seguridad y el reconocimiento de los riesgos en las actividades cotidianas de la organización y de su personal.

3.3   El WGT recomienda que se aliente a todos los Estados, organizaciones y entidades a que adopten y promuevan una cultura de seguridad positiva, a fin de realizar, a un paso acelerado, las acciones del resultado prioritario 2 del GASeP. Se debería alentar a todos a que se aseguren de que todo el sistema cuente con la capacidad y los medios necesarios, invirtiendo en el capital humano para tener un equipo laboral motivado y competente. Esto ayudará a infundir una cultura de seguridad en donde todos conozcan sus funciones y responsabilidades dentro de un régimen de seguridad. Tales acciones podrían incluir las que se destacan en el Apéndice A, *Guía práctica de seguridad*, aprobada por el grupo de expertos AVSEC en 2018, entre otras, instrucción inicial y recurrente en la cultura de seguridad y actividades de aprendizaje continuas; promoción de la cultura de seguridad por parte de la administración superior; plan de comunicación dirigida y campañas continuas de concientización de la seguridad; y el establecimiento de un sistema de notificación que garantice la confidencialidad de las personan denunciantes.

3.4   El WGT reconoce que una transformación en el comportamiento y conciencia de la cultura de seguridad puede ser difícil de lograr y de inculcar en toda la organización desde arriba hasta abajo. Para obtener los máximos beneficios, los Estados deberían enfocarse en varias organizaciones, para que el apoyo a la cultura de seguridad no se centre solamente en la seguridad de la aviación sino en la seguridad en general. El WGT alienta a los Estados, las organizaciones y la industria a que tomen medidas prácticas inmediatas para empezar a realizar campañas de alto perfil para cambiar los comportamientos, y otras medidas prácticas para promover una cultura de seguridad sólida y sostenible en sus organizaciones.

4.   **MEDIDAS PROPUESTAS A LA CONFERENCIA DE ALTO NIVEL SOBRE SEGURIDAD DE LA AVIACIÓN**

4.1   Se invita a la Conferencia de alto nivel sobre seguridad de la aviación a:

a) reconocer el trabajo realizado hasta la fecha por el grupo de trabajo sobre instrucción y el grupo de expertos AVSEC de la OACI para promover una cultura de seguridad positiva; y

b) alentar a los Estados, las organizaciones y la industria a que utilicen la documentación del WGT sobre la cultura de seguridad para realizar mejoras en la seguridad, inmediatas y a más largo plazo, tomando medidas prácticas para fortalecer la cultura de seguridad en sus jurisdicciones u organizaciones respectivas.

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APPENDIX A

SECURITY CULTURE TOOLKIT

A priority action of the Global Aviation Security Plan (GASeP), as adopted by the Council of ICAO 10 November 2017, is to **Develop Security Culture and Human Capability**. This document produced by the ICAO Working Group on Training and endorsed by the ICAO Aviation Security Panel 19-23 March 2018 seeks to build and promote positive security culture by providing States and Industry with a toolkit of best practices.

Introduction

– What is Security Culture?

Security culture is a set of norms, beliefs, values, attitudes and assumptions that are inherent in the daily operation of an organisation and are reflected by the actions and behaviours of all entities and personnel within the organisation. Security should be everyone's responsibility - from the ground up. Effective security culture is about:

- o Recognising that effective security is critical to business success;
- o Establishing an appreciation of positive security practices among employees;
- o Aligning security to core business goals; and
- o Articulating security as a core value rather than as an obligation or a burdensome expense.

Benefits

The benefits of an effective security culture include:

- o Employees (staff) are engaged with, and take responsibility for, security issues;
- o Levels of compliance with protective security measures increase;
- o The risk of security incidents and breaches is reduced by employees thinking and acting in more security conscious ways;

  o Employees are more likely to identify and report behaviours/activities of concern;
  o Employees feel a greater sense of security; and
  o Security is improved without the need for large expenditure.

Tools for the implementation of a positive security culture

This toolkit is designed to assist organisations operating in the aviation industry in enhancing their security culture. It outlines a number of tools to support trainers and managers with embedding and sustaining strong security behaviours within the workforce. The tools are grouped under the following intervention areas:

POSITIVE WORK ENVIRONMENT	
DESIRED OUTCOME	TOOLS
A work environment which drives and facilitates a positive security culture.	**Clear and consistent: policy, processes, systems and procedures** – enshrine security in all corporate policy and procedures, including those areas which do not have a primary security focus, such as the organisation's management plan. Document clearly in writing: policy, processes, systems and procedures which support a positive security culture. Ensure the information is easy to understand, simple to follow, and readily accessible to staff who may want to refresh their understanding.
	Equipment, space, resources – provide staff with the resources they need to achieve a strong security performance. This may be in the form of additional screening equipment, or by providing extra staff at a security checkpoint, or the provision of appropriate IT equipment or machinery.
	Prompts – help employees to implement good security by reminding them what actions they need to take. This could be notices on doorways reminding them not to allow tailgating (drive too closely behind another vehicle); or a pop-up prompt when logging on/off a computer.
	Suggestions box – allow staff the opportunity to suggest ways in which security could be improved. Reward suggestions which result in changes and improvements.
	Targeted communications plan - invite experts or celebrities from outside of the organisation to endorse security practices through fun messages. This could be via a video or an article or an in-person presentation.
Staff who know what security behaviours are expected of them and who confidently and willingly demonstrate the behaviours.	**Performance appraisals –** document for every employee what security behaviours are expected of them and assess their performance against these behaviours as part of the appraisal process. Provide feedback on their security behaviours, recognition for positive security behaviour, and consequences or sanctions for failure to adhere to security policy.
	Thank you messages - this may be in the form of a blog or an article on how strong security culture is impacting positively on the organisation. Or a corporate communication on the results of security checks e.g. 100% of employees were clearly displaying their security pass.
An organised, systematic approach to managing security which embeds security management into the day-to-day activities of the organisation and its people.	**Security Management System (SeMS) –** manage security in a structured way by implementing a SeMS. A SeMS can provide a risk-driven framework for integrating security into an organisation's daily operations and culture. The philosophy of SeMS is a top-to-bottom culture that leads to the efficient provision of a secure operation.

TRAINING	
DESIRED OUTCOME	TOOLS
Staff who have the knowledge, skills and capability to practice good security.	**Induction training** – equip employees with the knowledge, skills and abilities to practice good security from the outset. This includes those whose roles do not involve the implementation of aviation security measures. Educate new staff on the threat, in particular those who may pose a threat to civil aviation and their possible motives; the types of attack on aviation; and the reasons why aviation is an attractive target. Emphasise the importance of challenging non-compliance with security procedures/policy and include details of how to respond to security incidents. Provide examples of unusual/suspicious behaviour/items which should be reported. Use case studies, dummy items and role play to emphasise the message.
	Refresher training – provide refresher training at regular intervals so that employees can renew and update their knowledge of security matters. Training should include updates on emerging threats/recent incidents, security failures, suspicious behaviours and what to watch out for.
	Continuous learning activities – promote security messages throughout the year and support employees in expanding their security knowledge and skills. This may be in the form of security events, support with e-learning, and job shadowing or mentoring.
LEADERSHIP	
DESIRED OUTCOME	TOOLS
An environment where managers and leaders, including those at the highest level, lead by example and support their staff in implementing good security.	**Leadership briefings** - promote security messages through senior staff. Senior leaders could include security in part of their newsletters or staff briefings, or write an article or a blog on underlining the importance they place on good security and the actions they take personally to enhance and promote positive security culture.
	Example behaviour – support and personally apply security policy at all times and do not cut corners e.g. to save time.
	Patience and understanding - allow all staff the necessary time and resources to comply with security measures, even when under pressure.
	Thank you messages – personally thank those who have reported suspicious activity or security breaches.
	Involvement in security awareness events and staff briefings – senior management taking time to get personally involved in security awareness briefings and events. This would send a message to staff that managers/leaders have placed importance in security and are supportive for ongoing security initiatives.

UNDERSTANDING THE THREAT	
DESIRED OUTCOME	**TOOLS**
	Targeted threat briefings – provide middle and senior managers with targeted, more detailed threat briefings to maintain and enhance their understanding and appreciation of the threat.
All staff understand the nature of the threats they and their organisation face.	**Reminder briefings** – deliver regular reminders to existing staff and the wider airport community on security threats faced by the organisation. This could be via the intranet, in newsletters, at staff meetings, through annual refresher training or at specific coordinated briefing awareness sessions.
	Verbal updates when the threat picture changes – inform staff as soon as possible about new and emerging threats, or changes in threat level, and the implications of this for them and the organisation. This is best done face-to-face e.g. at staff meetings and shift briefings to allow staff to ask questions.
VIGILANCE	
DESIRED OUTCOME	**TOOLS**
All staff feel able to challenge those who are not complying with security policy /procedures.	**Repetition** – repeat messages for consistency and to help embed awareness. For example a person getting the same security messaging on recruitment, during induction, on pass issue, and throughout their employment.
	Reminder briefs - encourage staff to challenge non-compliance via briefings, handouts and posters in staff rest areas pointing out potential consequences of failing to challenge.
All staff and visitors pay attention to their surroundings when at the airport and know what unusual or suspicious behaviour looks like.	**Visitor briefing note -** create a short security briefing note to issue to all visitors along with visitors pass. The note could highlight the importance of paying attention to their surroundings when at the airport and provide contact details for the security room.
	Posters and signage – place signage around airport premises to remind staff and visitors to remain vigilant and pay attention to their surroundings. Contact details can be provided on the signage to advise the person who to contact if they detect suspicious personnel or activities.
	Regular security awareness campaigns – run security education campaigns at regular intervals to remind existing employees and airport operators about their role in protective security, what may constitute suspicious activity and the importance of reporting unusual behaviour or items. The campaign could include posters listing suspicious activities in staff rest areas, a blog or article on the intranet, including real-world examples or experiences, and a security awareness event showcasing protective security arrangements, with expert speakers, displays and presentations.

REPORTING SYSTEMS	
DESIRED OUTCOME	TOOLS
Security breaches and occurrences are reported swiftly and corrected. Staff do not feel as though they are 'telling tales' when reporting an incident.	**A just culture reporting system -** establish a reporting system that guarantees confidentiality of reporting individuals (a "just culture" reporting system) and include information on how to report breaches/occurrences via posters in staff rest areas.
	Induction training on reporting of security breaches - deliver training on the functioning of the "just culture" reporting system, its benefits and employees rights, responsibilities and duties in relation to occurrences as part every staff member's induction
	Rewards/Thank you - reward staff members who report security breaches and occurrences e.g. personal thank you from senior leaders, or recognition within the performance management system so that they know their report has been received and taken seriously.
INCIDENT RESPONSE	
DESIRED OUTCOME	TOOLS
All staff know how to respond and who to contact in the event of an incident.	**Wallet** card - issue to all employees a wallet-sized quick reference card containing details of who to contact for each type of security incident e.g. the number for reporting unusual or suspicious behaviour, reporting a lost company item etc. Cards could be made to fit into/to the back of airport/crew pass holders so to be always on hand.
	Regular table top exercises and practice drills – provide staff with the opportunity to think through the actions they may take during an incident and test their ability to respond to a situation. Lessons should be identified and recorded with changes in plans and procedures implemented where necessary.
INFORMATION SECURITY	
DESIRED OUTCOME	TOOLS
Sensitive information is stored, transmitted and disposed of securely and is shared only with those who need to know.	**Induction training** - deliver training on protecting and sharing information securely to all new employees with a test or other assessment to confirm understanding.
	Clearly documented information security policy and procedures – ensure this is readily accessible to staff who may want to refresh their understanding.
	Cyber Security - have robust cyber incident response plans in place. These plans should be tested and updated on a regular basis, with mechanisms in place to implement lessons learned from exercises and real life incidents.

	Reminder briefs - use briefings, handouts and posters in staff rest areas to remind staff of the importance of good information security, pointing out potential consequences of an information breach.
Lost/stolen items such as laptops, phones or papers are reported immediately.	**Wallet card/quick reference intranet** page – containing an easy to follow information on actions to take when company items have been lost or stolen.

MEASURES OF EFFECTIVENESS	
DESIRED OUTCOME	TOOLS
Improvements in security culture are being made.	**Breach** records - record the number of security incidents reported and allow an element of analysis to improve areas of weakness.
	Inspection results – record compliance rates with security policy e.g. number of staff correctly displaying their pass during inspections.
	Staff surveys/focus groups – carry out surveys to find out how staff feel about security and the culture.

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