INTERNATIONAL CIVIL AVIATION ORGANIZATION (ICAO)
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LATIN AMERICAN CIVIL AVIATION COMMISSION (LACAC)

FOURTH MEETING OF THE AVIATION SECURITY AND FACILITATION
REGIONAL GROUP (AVSEC/FAL/RG/4)
ICAO NACC Regional Office, Mexico City, Mexico, 3 to 5 June 2014

Agenda Item 9:   **Other Business**
                      9.2   Aviation Security Management Systems

AVIATION SECURITY MANAGEMENT SYSTEMS

(Presented by Argentina)

EXECUTIVE SUMMARY
The 25th Aviation Security Experts Group Meeting concluded in the convenience of encouraging States to introduce the Security Management System (SeMS) within the frame of their respective National Civil Aviation Security Programmes (NCASP), addressing the possibility to develop this System implementation study through a regional perspective.

Action:	Action is presented in Section 3.
Strategic Objectives:	• Security and Facilitation
References:	• *Chicago Convention* • Annex 17 – *Security* • Annex 19 – *Safety Management* • Doc. 8973/8 • Doc. 9859 • AVSEC/25-WP/20 • AVSECP/25 Final Report

1.   Introduction

1.1   By virtue of the adoption by ICAO Council of Annex 19 – *Safety Management,* through which a step was given towards maturity in the issue of safety management and its integration within the general framework of proactive management of the risk of the Safety State Programme, aviation security experts of Australia, Canada, New Zealand and United Kingdom prepared and presented to the 25th Meeting of the AVSEC Panel Working Paper No. 20 (AVSEC/25-WP/20) through which elements of an aviation security management system (SeMS).

1.2   The referred Working Paper proposed to the AVSEC expert group:

  a)   request the Working Group on Guidance Material (WGGM) to utilise the growing international experience to develop clearer, more practical guidance on the design, implementation and operation of a SeMS as part of a State's National Civil Aviation Security Programme (NCASP); and

  b)   request States who have tested or implemented a SeMS approach, or who have an interest in developing one, to assist in this work.

1.3   In consequence, the Panel expressed ample support to encourage States to introduce an Aviation Security Management System (SeMS) within the framework of their own State's National Civil Aviation Security Programme (NCASP)

1.4   Likewise, considering that different States have acquired important experience in SeMS application, the AVSEC Expert Panel proposed that the Working Group on Guidance Material (WGGM) update the corresponding ICAO reference material.

2.   Analysis

2.1   The Republic of Argentina, taking note of the importance to introduce an Aviation Security Management System (SeMS) within the framework of their respective State's National Civil Aviation Security Programme, carried out an assessment of the issue, which summary is being attached as an **Appendix** to this Working Paper to be presented for the consideration of the Meeting.

2.2   It is worth to point out that the meetings of the ICAO/LACAC AVSEC/FAL Regional Group held up to date have not addressed yet the importance of incorporating the SeMS concept into the respective NCASP of member States.

2.3   In this regard, discussions and debates on the issue at the regional level could be considered as an introduction to future measures and recommendations that will be opportunely incorporated to ICAO reference material.

2.4   In the same way, the anticipated treatment of the issue will permit NAM, CAR and SAM Regions to implement this kind of System in advance, making possible to introduce necessary adjustment for its effective development.

3.   Suggested action

3.1   The Meeting is invited to:

  a)   analyse this Working Paper, discuss criteria of analysis and suggest pertinent measures;

  b)   request States who have tested or implemented a SeMS approach, or who have an interest in developing one, to assist in this work; and

  c)   present to the consideration of States the conformation of a Working Group for the development of this issue.

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APPENDIX
APPROACHING THE AVIATION SECURITY MANAGEMENT SYSTEM, DIFFERENCES
AND SIMILARITIES BETWEEN SMS AND SeMS

SMS (Safety Management System)

SMS can be considered as a systematic approach to safety management, where each service supplier should include the organization, responsibility areas, policies, necessary procedures and implementation plan, in order to ensure operational status within their responsibilities scope.

The objective is to evaluate and improve risk management and to guarantee safety based on a universal parameter suggested in **Doc 9859** (Safety Management Manual) regulated by Annex 19 to Chicago Convention on Civil Aviation *"Safety Management"*, which establishes the fundaments, objectives and responsibilities of States and services suppliers.

Each State, through their **Safety State Programme (SSP)**, should implement a system through which retro feeding among the different actors is made possible.   These are:

a)   recognized training organizations exposed to safety risks related to aircraft operations when rendering services;
b)   aircrafts of helicopters operators authorized to implement international commercial air transport activities;
c)   recognized maintenance organizations that offer services to aircrafts or helicopter operators dedicated to international commercial air transport;
d)   organizations responsible for the design of the type of aircrafts manufacturing;
e)   air traffic services (ATS) suppliers); and
f)   certified aerodromes operators.

Each SMS should include a detailed process of identification of safety threats, real or potential, a process to define applied measures to maintain a status, observation system and continuous evaluation, in order to detect shortcomings. Also, it should establish its own policy principles and objectives, risk management, and safety assurance and promotion.

SeMS (Security Management System)

Method focussed in risk, intended to integrate security to everyday operations of organizations, as well as its management. Human, technical and institutional factors are totally considered, which are the three main aspects conforming this complex system.

Each SeMS should count with an administration, employees, external cooperation and an effective aviation security policy.

The management system takes into account present successful procedures and practices in order to adopt standards. Its principal objective is to plan security and determine preventive practices.

In order to achieve an optimum efficiency, each organism should plan, decide and act in consequence. **Each aspect of the SeMS should be adapted to the structure** applying it in its activities, responsibilities, practices, procedures and resources. It should also be focused in complying with SMS and acting jointly with the Risk Management System. **The SeMS constitutes the decision making framework based in existing risks.**

The administration should consider a total risk panorama, which should comprehend the system, its composition and its limits with other systems. For example, risk reduction in part of the system could affect other part of the system.

Risk integrated management system. Implementation stages:

a) Management framework definition (appointment of a committee that determines the tolerable risk level).
b) Exhibition definition (search of immediate and fundamental causes).
c) Evaluation.
d) Priorities definition.
e) Control levels analysis.
f) Action plan elaboration.
g) Report.
h) Control.

Therefore, the administration in charge of controlling SeMS should identify, apply and maintain goals and objectives; avoid threats and incidents; respond and quickly recuperate from damages; identify improvement opportunities and, with the information obtained from intelligence and from research, carry out an analysis of tendencies and evaluations.

The implementation of a SeMS contributes with a tool for the States in order to establish expected results and actions toward their achievement.

Mission

Plan security and determine preventive practices. Objectives to be achieved in aviation security matters should be an integrated part of the organization management plan, and should conduct to the necessary changes of the organization. Goals should be simple, clear and should specify responsibilities.

Support **Risk Management**, in order to harmonize objectives, strategies, media, knowledge, etc. The Mission should be influenced by a global, coordinated and systematic approach.

Vision

The SeMS application should provide a disciplined, systematic and concentrated method addressed to detect risks, decrease and close the existing critical security gaps, and lead to security better practices. This helps the other organizations to integrate and manage security risks in a global way, and each SeMS could address detected threats and risks in a preventive, timely and effective manner

The SeMS intends to improve aspects presenting more risk to security. The analysis of incidents fundamental causes and weak aspects will highlight priorities areas to mitigate. Therefore, audits are necessary to put in evidence through uniform results operations or sectors that require attention.

Comparison between SMS / SeMS

SMS

- Focusses on accidental losses.
- Risks can be predicted and mitigated with more certainty.
- Effective application by an organization.

SeMS

- Focusses on intentional losses.
- Risks can be predicted and mitigated with less certainty.
- Require of more cooperation and collaboration.

Both systems interact within an organization. SMS should be the base for SeMS.

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