

An overview of the
UK Civil Aviation Authority
**Security Management
Systems Framework**



UK CAA SeMS Framework

The UK Civil Aviation Authority (CAA) Framework for Security Management Systems (SeMS) was developed in line with International Civil Aviation Organisation (ICAO) SeMS guidance in collaboration with the UK Department for Transport and aviation industry.

The UK SeMS Framework provides a structured framework of operating principles and guidance which enable an organisation to develop robust systems to support both regulatory compliance and business resilience.

A SeMS does this by:

- > proactively identifying threats and managing risks locally
- > identifying and addressing gaps and vulnerabilities which may have a negative impact on security performance
- > driving a positive security culture
- > incorporating Human Factors considerations into security management practise



Overview of SeMS chapters

The UK CAA considers SeMS a key element in developing our risk-led approach to our compliance monitoring activity and our [SeMS Strategy](#) describes our ambition in this regard.

1

Management Commitment

The SeMS is led by engaged senior leaders who actively drive good SeMS practise and role model a security-positive approach.

2

Threat and Risk

Implementation of an appropriate threat assessment and management process, with risks effectively managed at a local level and consideration is given to HF as part of this process

3

Accountability and Responsibility

Security accountabilities and responsibilities are appropriately communicated at all levels of the organisation, and security governance mechanisms are clearly defined.

4

Resources

There are effective processes for provisioning and managing appropriate resource, including equipment, facilities and third party security providers.

5

Performance Monitoring, Assessment and Reporting

Quality performance data is collated, analysed, and reported to enhance security performance and help eliminate the causes of poor performance.

6

Incident Response

An effective system is in place to ensure response plans are subject to ongoing review and continuous improvement : lessons learned are used to improve future responses.

7

Management of Change

The impact of change on security is assessed and mitigated to effectively safeguard security performance.

8

Continuous Improvement

Continuous improvement across the security operation is driven by proactive and reactive evaluation of security performance: considerations around Security Culture and Human Factors are integrated into continuous improvement activity.

9

Security Education

Tailored education is delivered to a range of key audiences to raise levels of security awareness, grow staff confidence to act and nurture the development of positive security culture.

10

Communication

Appropriately tailored communications help to embed the SeMS and support the development of a security-positive approach.

FAQs

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What is the first step in developing a SeMS?

The first step in developing a SeMS is to complete a Gap Analysis. This will identify where your processes and systems are already in line with the SeMS Framework, and where there are gaps, i.e. areas of vulnerability. The UK CAA will provide support, assessment, and feedback as you address those gaps and work towards embedding an operating and effective SeMS.

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What is SeMS accreditation?

Once we have assessed your SeMS to be “operating and effective” we will accredit your organisation as a “Phase 2” entity. You will receive a digital certificate to confirm your status, and your company name will (with your permission) be listed on the UK CAA website as an accredited Phase 2 entity.

You will be required to undergo satisfactory annual or biennial SeMS assessment to maintain your accreditation.

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What support is available?

The SeMS team and your allocated Aviation Security Compliance Auditor will work together to provide tailored guidance, feedback, and support as you develop and implement your SeMS.

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What are the two key roles needed to develop a SeMS?

[SeMS Accountable Manager](#) – leads on SeMS and sets the direction.

- > a senior leader within your organisation who sits on or reports to the Board
- > directs resource to support the SeMS and leads on Security Culture

SeMS Manager – is responsible for the day-to-day development and management of the SeMS.

- > has a detailed understanding of the SeMS as implemented within the security operation



Where do I find guidance on SeMS?

- > **Contact the SeMS team at** sems@caa.co.uk or your Compliance Lead Auditor
- > See the [SeMS page on UK CAA website](#) for access to the [SeMS Framework](#)