



INTERNATIONAL CIVIL AVIATION ORGANIZATION

COMPREHENSIVE REGIONAL IMPLEMENTATION PLAN FOR AVIATION SECURITY AND FACILITATION IN AFRICA (AFI SECFAL PLAN)

FIFTH AFI SECFAL PLAN STEERING COMMITTEE MEETING

(Gaborone, Botswana, 25 May 2017)

**Agenda Item 3: KEY AVIATION SECURITY AND FACILITATION
CHALLENGES IDENTIFIED BY USAP AUDITS IN AFI
REGION**

(Presented by the ICAO Secretariat)

EXECUTIVE SUMMARY

The Universal Security Audit Programme Continuous Monitoring Approach (USAP-CMA) has conducted audits in 13 States within the AFI Region. These audits have identified levels of effective implementation for all Annex 17 – *Security Standards* and for the security-related provisions of Annex 9 – *Facilitation*. This discussion paper is designed to provide the AFI Steering Committee with the available data in this regard in order to complement existing knowledge and determine any necessary actions.

Action: The Steering Committee is invited to note the content of this discussion paper.

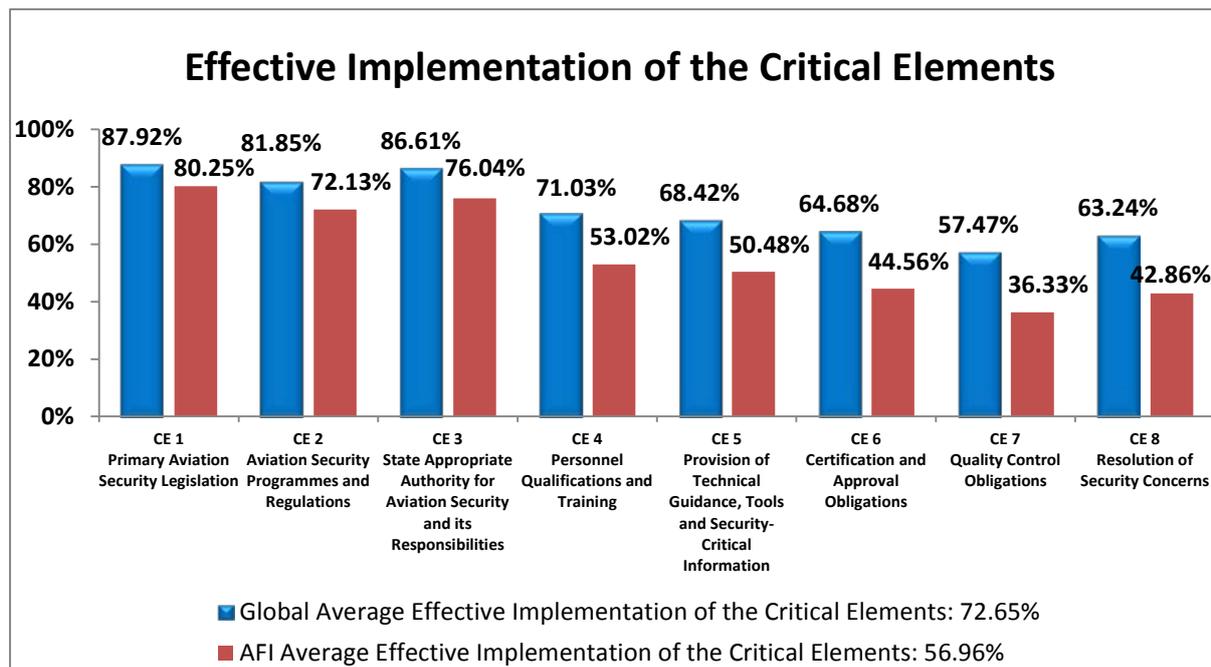
1. INTRODUCTION

1.1 The Universal Security Audit Programme Continuous Monitoring Approach (USAP-CMA) aims to promote global aviation security through continuous auditing and monitoring of the aviation security performance of Member States. This aviation security performance is assessed on the basis of two indicators: an oversight indicator, which considers the State's capacity to establish and implement an effective and sustainable aviation security oversight system; and a compliance indicator, which assesses the State's indicative levels of compliance with Annex 17 – *Security Standards*. The USAP-CMA incorporates a risk-based approach, using various key parameters to determine the type, scope, priority and frequency of audit and monitoring activities.

2. IMPLEMENTATION OF THE USAP-CMA

2.1 As of 30 April 2017, a total of 60 USAP-CMA activities have been conducted for 57 States, including 42 on-site audits, 15 documentation-based audits and 3 validation mission to evaluate the resolution of Significant Security Concerns (SSeCs) since its launch in January 2015. Of these activities, a total of 14 have been conducted in the AFI Region, including 13 on-site audits and one validation mission.

2.2 The following chart illustrates the global results, as well as the average results in the AFI Region, for USAP audits conducted under both the USAP second cycle and under the USAP-CMA. These results measure the effective implementation by States of the eight critical elements (CEs) of an aviation security oversight system, as identified in Doc 10047 — *Aviation Security Oversight Manual — The Establishment and Management of a State's Aviation Security Oversight System*. It should be noted that while this information has been aggregated into a single chart, the underlying protocol questions used for the conduct of the audits have changed significantly since the second cycle. As a result, the aggregated percentages should be used with some caution, particularly when comparing the global results to individual States' USAP-CMA results. As more USAP-CMA audits are conducted in all regions, it is expected that the global results will become increasingly precise. Further information and analysis can be found in the USAP-CMA *Analysis of Audit Results* booklet, 6th edition, available through the [USAP secure portal](#).



3. KEY AVIATION SECURITY CHALLENGES

3.1 Over the course of the USAP-CMA audits in the AFI Region, the Secretariat has identified the level of implementation of Annex 17 Standards and of the security-related provisions of Annex 9. A table showing the levels of implementation of each Standard, sorted from lowest levels of implementation to highest, and compared to the global average, is included in the Appendix. Please note, however, that since only 25% of AFI States have been audited under the USAP-CMA, the usefulness of this information may be limited. Furthermore, some Standards were not applicable across all audited States.

3.2 Some of the Annex 17 Standards in the AFI Region which are broadly applicable but have the lowest levels of implementation include:

- a) Standard 3.3.1: Development, implementation and maintenance of written aircraft operator security programmes;
- b) Standard 4.6.4: Enhanced security measures for high-risk cargo;
- c) Standards 3.4.5 and 3.4.6: prioritization and conduct of national quality control activities, including audits, tests, surveys and inspections for all relevant entities;
- d) Standard 4.4.1: Passenger and cabin baggage screening;
- e) Standard 4.6.8: Issuing of cargo security status; and
- f) Standard 4.3.1: Conduct of aircraft security checks and searches.

3.3 Some of the Annex 9 Standards in the AFI Region which are broadly applicable but have the lowest levels of implementation include:

- a) Standard 3.33: Evaluation of travel documents to prevent fraud or abuse;
- b) Standard 8.17: National Air Transport Facilitation Programme; and
- c) Standard 8.19: National Air Transport Facilitation Committee and Airport Facilitation Committees

4. PROPOSED WAY FORWARD

4.1 Analysis of the data highlighted in this paper can be effectively used to prioritize activities in the AFI Region;

4.2 Significant change at State level is achievable through establishment of robust oversight systems and realistic Aviation Security Improvement Plans, which are founded on committed leadership seeking to improve, significant change.

4.3 The negative impact of the current challenges of the low level of compliance and lack of capacity to oversee the implementation of Annex 9 and 17 requirements can be averted through execution and implementation of the provisions of the AFI SECFAL Plan work programme that will most likely lead to attainment EI above 65%. AFI Region has the potential to achieve the best average EI globally.

5. ACTION BY THE STEERING COMMITTEE

5.1 The Steering committee is invited to:

- a) Note the current status of aviation security and facilitation challenges as identified by USAP audits and proposed way forward
- b) Direct the AFI SECFAL secretariat to analyse the data to, prioritise activities and develop specific projects
- c) Urge States to intensify efforts in strengthening State oversight systems , and implement realistic Aviation Security Improvement Plans
- d) Urge States to establish mechanisms that will ensure effective monitoring of implementation of the provisions of the AFI SECFAL Plan work programme

APPENDIX

LEVELS OF IMPLEMENTATION OF EACH STANDARD

1. Levels of implementation of Annex 17 Standards in the AFI Region

Standard	Percentage implementation in AFI States (13 States)	Global implementation (57 States)	AFI States where the Standard was applicable
4.6.9	37.5	80.56	4
3.3.1	41.03	69.64	13
4.6.4	47.69	66.07	13
3.4.5	53.85	70.54	13
3.4.6	54.08	70.72	13
4.4.1	57.14	70.66	13
4.6.8	58.46	68.66	13
4.3.1	58.97	75.3	13
4.6.1	60.66	74.72	13
4.4.2	61.11	75.46	6
4.5.5	61.54	79.46	13
4.7.6	62.18	79.76	13
4.6.3	64.1	82.29	13
4.6.10	64.1	75.6	13
4.7.3	64.1	87.5	13
4.5.1	64.84	74.74	13
3.4.3	65.27	73.8	13
4.7.1	65.38	83.93	13
4.5.4	66.67	80.56	6
3.4.7	66.86	75.14	13
5.1.4	67.26	77.65	13
3.1.1	67.31	71.43	13
5.1.5	67.31	76.79	13
3.2.1	67.69	73.48	13
4.2.6	68.86	77.55	13
4.5.3	69.23	83.48	13
4.7.8	69.23	79.17	13
5.1.2	69.23	88.69	13
3.4.2	69.95	81.13	13
3.2.3	71.15	78.42	13
4.6.7	72.31	85.54	13
4.2.3	72.53	79.85	13
3.1.7	72.88	77	13
4.2.1	73.08	78.57	13
3.5	75	77.83	13
4.2.7	75.77	85	13

Standard	Percentage implementation in AFI States (13 States)	Global implementation (57 States)	AFI States where the Standard was applicable
4.2.5	76.92	85.71	13
3.2.2	77.69	80.89	13
4.5.2	78.85	87.05	13
2.4.4	79.49	82.14	13
5.1.1	79.49	92.26	13
5.2.1	79.49	90.48	13
3.1.5	80.77	74.11	13
4.7.5	82.05	83.95	13
5.2.4	82.05	88.1	13
3.1.8	82.69	79.29	13
4.2.4	82.69	82.59	13
2.1.2	83.08	86.81	13
4.6.6	83.18	89.31	11
3.1.4	83.33	89.58	13
4.2.2	83.33	86.9	13
2.1.3	84.62	82.92	13
4.4.4	84.72	83.9	12
4.3.2	85.42	91.1	12
4.6.2	85.71	82.86	4
4.3.4	86.54	89.29	13
5.2.2	87.18	94.05	13
4.7.4	87.69	92.34	13
3.2.4	88.46	93.3	13
4.4.3	89.74	86.9	13
4.7.2	89.74	93.45	13
5.1.3	89.74	93.45	13
5.2.3	89.74	95.83	13
3.4.1	91.03	92.35	13
4.3.3	91.67	95.5	12
2.1.1	92.31	93.75	13
2.2.1	92.31	92.86	13
2.2.2	92.31	90.38	13
2.4.3	92.31	91.07	13
3.1.6	92.31	88.24	13
3.4.4	92.31	89.88	13
4.6.5	92.31	91.96	13
3.1.3	93.41	89.92	13
3.4.8	93.59	97.92	13
5.3.1	95.51	92.41	13
3.1.9	96.15	87.5	13
2.4.1	100	99.4	13
2.4.2	100	92.26	13

Standard	Percentage implementation in AFI States (13 States)	Global implementation (57 States)	AFI States where the Standard was applicable
3.1.2	100	98.21	13
5.2.5	100	95.54	13
4.7.7	Average not available	96.3	1

2. Levels of implementation of Annex 9 Standards in the AFI Region

Standard	Percentage implementation in AFI States (13 States)	Global implementation (57 States)	AFI States where the Standard was applicable
A9 3.33	46.15	66.07	13
A9 8.17	61.54	53.57	13
A9 8.19	61.54	46.43	13
A9 3.35.1	76.92	83.93	13
A9 3.7	84.62	91.07	13
A9 3.8	84.62	94.64	13
A9 3.8.1	84.62	92.86	13
A9 3.35	88.46	95.54	13
A9 3.11	100	96.43	13
A9 3.10	Average not available	76.56	2
A9 3.12	Average not available	84.62	2
A9 3.48	N/A	95.45	0
A9 3.66	Average not available	64.29	1
A9 3.68	Average not available	78.57	1

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