INTERNATIONAL CIVIL AVIATION ORGANIZATION

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

8TH STEERING COMMITTEE MEETING

Kampala, Uganda (17th May 2019)

Agenda Item 1.4:   Report on the AFI SECFAL Plan Projects

(Presented by AFI SECFAL Plan Secretariat)

EXECUTIVE SUMMARY
This working paper presents a status report on the development and implementation of state specific projects following approval by the SC 7th of the "*State needs based*" methodology being adopted on the outcomes of the secretariat report on the USAP-CMA results analysis to identify common deficiencies and needs of States. Action by the SC is proposed under **Paragraph 4**.

1.   BACKGROUND INFORMATION

1.1.   The 7th SC Meeting in Niamey Niger in July 2018 directed the secretariat to adopt "*State needs based*" approach to develop and implement AFI SECFAL Plan projects. Also endorsed was the format for developing State Specific Projects aimed at addressing the common deficiencies and needs identified in the of USAP-CMA results presented to the meeting. The main focus of the projects is to mitigate or remedy the challenges and deficiencies towards resolving SSeCs, sustainable elevation or maintenance of Effective Implementation of Security Critical elements to or above GASeP/Windhoek target in the AFI States.

1.2.   As main focus governing its activities, the secretariat has made prioritisation of the AFI SECFAL Plan state assistance projects and developed four clusters of categories as indicated in Appendix A. The grouping of States in each category is based on existence of SSeCs, current EI, and eligibility for USAP activity. The cited Project priority is indicated here below and supplemented by details of individual projects 1-4 highlighted in Appendices B to E**.** Projects for implementation of the ICAO TRIP Strategy and other related border control aspects are also being considered for incorporation into the proposed projects.

a)   **Project 1**- Assisting States with SSeCs to address and resolve them sustainably:
b)   **Project 2** - Assisting States with low effective implementation (EI) of below 40% of critical elements (CEs) and states yet to be audited under USAP;
c)   **Project 3**-Assisting States with Effective implementation (EI) between 40% and 65% to attain at least GASeP target EI of 65%; and
d)   **Project 4** - Assisting States with more than 65% effective implementation (EI) of critical elements (CEs) of state oversight systems to sustain and continuously improve EIs.
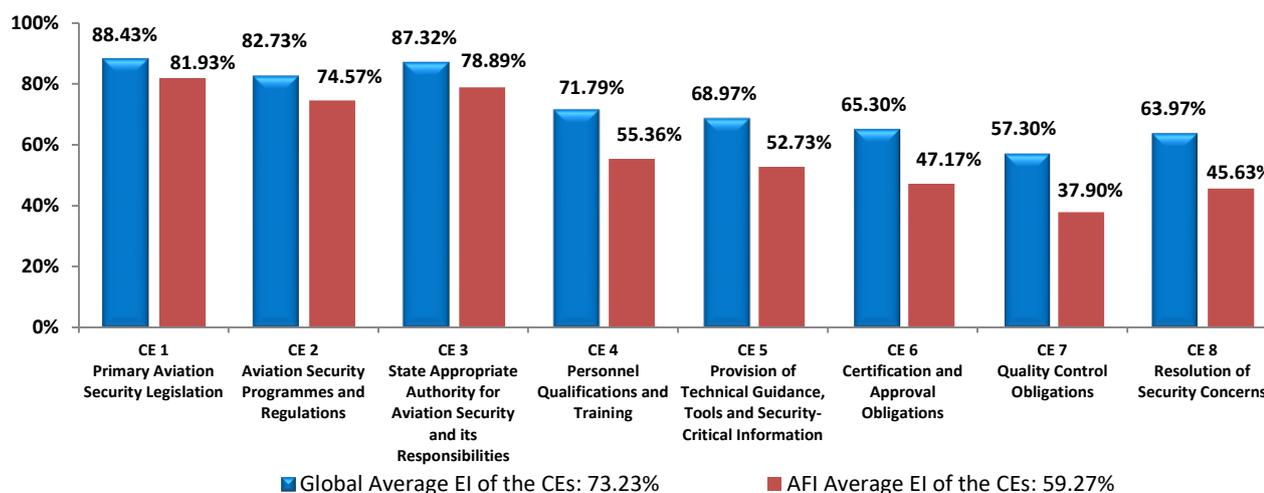
1.3   As part of continuing Assistance to AFI States, Plan secretariat is supporting the implementation or implementing several State specific projects and has since 2017 embarked on undertaking Facilitation projects. The State specific projects as are being done in collaboration and cooperation with AFCAC, Regional economic Communities, and Regional safety/security Oversight Organizations and RASFLG-AFI. Currently two specific projects are ongoing for Guinea Bissau and Republic of South Sudan where the initial phases have been completed. Also being undertaken through the Regional offices is needs assessment to establish gap and deficiencies at individual State level. The outcome will inform the formulation of State Specific projects. Two state specific projects for Angola and Lesotho are under development for implementation effective 4th quarter of 2019.

1.4   With regard the Facilitation projects the implementation of the Authentication of Travel Documents Training is ongoing in coordination with Directorate of Air Transport Bureau (ATB) and Global Aviation Training (GAT). With increasing demand of the travel documents training, four sessions are expected to be undertaken before end of 2019. The AFI SECFAL Plan is planning on being a pioneer host of the Facilitation training package to be released by GAT later this year.

2   DISCUSSION

2.3   The following chart shows the aggregated results for the USAP audits conducted globally and in AFI region combining both Circle two and USAP-CMA up to the end of December 2018. The results indicate the average Effective Implementation (EI) of the CEs of a State's aviation security oversight system.

Global and AFI Region Average Effective Implementation of the Critical Elements

Critical Element	Global Average EI	AFI Average EI
CE 1 Primary Aviation Security Legislation	88.43%	81.93%
CE 2 Aviation Security Programmes and Regulations	82.73%	74.57%
CE 3 State Appropriate Authority for Aviation Security and its Responsibilities	87.32%	78.89%
CE 4 Personnel Qualifications and Training	71.79%	55.36%
CE 5 Provision of Technical Guidance, Tools and Security-Critical Information	68.97%	52.73%
CE 6 Certification and Approval Obligations	65.30%	47.17%
CE 7 Quality Control Obligations	57.30%	37.90%
CE 8 Resolution of Security Concerns	63.97%	45.63%

Global Average EI of the CEs: 73.23%   AFI Average EI of the CEs: 59.27%

2.4   The information in the chat above coupled with data obtained from individual state results under USAP-CMA, clearly indicate that CEs 4, 5, 6, 7 and 8 remain to be the weakest and well below 65%. (Medium Term Plan target). The common deficiencies keep relevance for support projects to continue focusing at mitigating or remedying root causes.

2.5   The project activities have been generated from the information above and other data obtained from needs assessment missions conducted by the secretariat to states to establish specific gaps. The outcomes of the needs assessment missions are particularly useful for specific projects of states that are yet to be audited under USAP –CMA.

2.6   Implementation of the state specific projects has demonstrated improvement in terms of EI scores for states that received technical assistance/support. In addition to elevating EIs, there has been increased capability to prevent and remedy potential SSeCs. From inception of the AFI SECFAL Plan, the average EI in the AFI region has been steadily increasing from 53.14% in 2015 to 59.27 as at December 2018.

2.7   It is anticipated that the States specific projects will result in a sustainable elevation of the EI and prevent new SSeCs through addressing the root causes and challenges of the following key elements;

a) Adequate legislative framework to operationalise current provisions of Anex17 and security related provisions of Annex 9
b) Clearly define and establish personnel qualifications and selection criteria for national aviation security inspectors and personnel responsible for implementation of security controls at operations areas;
c) Sufficient provision of technical guidance for quality control activities and industry stakeholders and effective oversight capabilities;
d) Credible processes for approval obligations and certification systems
e) Effective implementation of security measures at airports and prevention of potential SSeCs; and
f) Legal framework for security provisions of Annex 9 and necessary guidance materials,

3   CONCLUSION

3.3   The strategy of needs based projects implementation to address root causes of common areas of deficiencies and needs by the AFI States in line with Annex 17 SARPs and Security related provisions of Annex 9 will strengthen its course to cover more states and continue to monitor progress in the benefiting States;

3.4   Particular attention will also be given to priority areas of security culture, capacity building, Windhoek targets and other GASeP elements, activities and actions as aligned in the Plan Work Programme.

3.5   There is need for resources mobilization, through contributions and other assistance from States, donors and partners to support implementation of the 4 (four) projects. The current human and financial resources are not adequate for the intended purpose.

4   ACTION BY THE STEERING COMMITTEE

4.3   The Steering Committee is invited to:

a) Note information contained in this paper;
b) Note the progress made in the development and implementation of the four(4) priority project based state needs;
c) Encourage the Secretariat, States, International organizations and Partners to strengthened the coordination of implementation of state specific projects; and
d) Urge States, donors and partners to make contributions and other assistance from to support implementation of the AFI SECFAL Plan projects notably the 4(four) priority projects presented in this working paper.

PRIORITIZATION OF THE AFI SECFAL PLAN STATE ASSISTANCE PROJECTS

Category 1: States with SSeCs – 2(Two) States

- **Undertake project activities to resolve the SSeCs**
- **Needs Assessment to CAR to be conducted to establish the current needs and a State Specific project developed as appropriate and implemented.**

S/N	REGION	LATEST USAP
1	WACAF	CMA
2	WACAF	Circle II

Category 2: States with EI of CEs below 40% or have not undergone USAP Audit-18(Eighteen) States

- **For States yet to undergo USAP-CMA activity a gap/needs assessment will be conducted and State specific projects developed and implemented accordingly.**
- **For States that have undergone USAP-CMA, the audit results State specific remedial projects will be developed based on the audit results to support the CAP implementation.**

S/N	REGION	LATEST USAP
1	WACAF	Nil
2	ESAF	Nil
3	ESAF	Nil
4	WACAF	Circle II
5	MID	Circle II
6	EURNAT	Circle II
7	WACAF	Circle II
8	WACAF	CMA
9	WACAF	CMA
10	ESAF	Circle II
11	ESAF	Circle II
12	EURNAT	Circle II
13	ESAF	CMA
14	WACAF	CMA
15	ESAF	Circle II
16	ESAF	CMA
17	WACAF	CMA
18	ESAF	Circle II

Category 3: States with EI of CEs above 40% and below 65%- 10 States

- **For States yet to undergo USAP-CMA, technical assistance missions will be conducted to support State efforts to elevate EI to above 65%.**
- **For States that have undergone USAP-CMA, technical assistance missions will be conducted to support State efforts towards CAP implementation and elevate EI to above 65%.**

S/N	REGION	LATEST USAP
1	WACAF	CMA
2	WACAF	CMA
3	WACAF	CMA
4	ESAF	CMA
5	ESAF	Circle II
6	ESAF	Circle II
7	WACAF	Circle II
8	WACAF	Circle II
9	WACAF	Circle II
10	WACAF	CMA

Category 4: EI of CEs above 65%-24 States

- **For States yet to undergo USAP-CMA, technical assistance missions will be conducted to support State efforts to elevate and sustain EI to above 65%**
- **For States that have undergone USAP-CMA, technical assistance missions will be conducted to support State efforts towards CAP implementation and sustain EI above 65%.**

S/N	REGION	LATEST USAP
1	ESAF	Circle II
2	ESAF	Circle II
3	MID	Circle II
4	ESAF	Circle II
5	WACAF	Circle II
6	WACAF	Circle II
7	ESAF	Circle II
8	ESAF	Circle II
9	ESAF	CMA
10	WCAF	CMA
11	WCAF	CMA
12	WACAF	CMA
13	ESAF	CMA
14	ESAF	CMA
15	AURNAT	CMA
16	MID	CMA
17	WCAF	CMA
18	ESAF	CMA
19	ESAF	CMA
20	WACAF	CMA
21	ESAF	CMA
22	ESAF	CMA
23	ESAF	CMA
24	WACAF	CMA

AFI SECFAL PLAN PROPOSED PROJECTS

PROJECT 1:

ASSISTING STATES WITH SSeCs TO ADDRESS AND RESOLVE THEM SUSTAINABLY

1. *Project Code***: SECFAL/2018/9/001**

2. *Coverage:* **2 States**

3. *Duration***: 12 months but likely to be extended due to complexity of deficiencies.**

4. *Project Cost Estimates***: USD 150,000**

5. *Source of Funding***: AFI SECFAL Fund, Development partners, Donors and States**

6. *Project Objective:* **To assist two States that need immediate intervention to remove existing SSeCs and build capacity to prevent further SSeCs. This is Category 1 in the priority assistance programme of the AFI SECFAL Plan.**

7. *Executing entities and experts:*

AFI SECFAL Plan, AFCAC, ICAO AFI SECFAL Plan Officer, Regional Officers (Regular programme), RSOOs, AFCAC, RASFALG-AFI, CES, States, Donors and other experts as necessary.

Project Description	The beneficiary States share common deficiencies but at the same time face different challenges. Therefore, each of the SSeCs State has its specific intervention activities and will require explicit approaches tailored to its peculiar needs. The State specific action Plans will reflect the details of the activities.
	The Project will provide assistance mainly through the use of local experts under the Collaborative Experts Scheme (CES) and others from development partners led by ICAO and AFCAC but in a coordinated manner so as to effectively address the root causes of the SSeCs.

Project Activities	Primarily, the activities to be undertaken in the States are based on the findings of USAP-CMA and broadly include the following:
	a) Technical missions to the States composed of CES experts and Security Officers from the Regional Offices aimed at delivering the assistance activities for each State;
	b) Training national aviation security personnel to acquire knowledge and skills in developing and maintaining the various National Aviation Security Programmes, ensuring that they have sufficient details, consistent with provisions of Annex 17 and security related provisions of Annex 09 SARPs in the two States;
	c) Training national inspectors and CAA management in USAP-CMA methodology and maintenance of appropriate oversight and internal quality assurance procedures as well as risk assessment;
	d) Establishing quality assurance and robust oversight data management systems;
	e) Coordinating assistance from Member States themselves, Regional

	organisation, partners and donors to resolve the SSeCs within the project period; f) Soliciting the necessary political commitment to sustain the systems established; and g) Monitoring, reviewing and assessing impact achieved.
Project output:	The overall outcome of the project will be to resolve the SSeCs and elevate the EI. Other key outcomes include: a) Establish mechanisms that will prevent new or recurrence of SSeCs; b) Enhanced capacity to establish and implement effective and sustainable security oversight system; and c) Improved capability to develop relevant oversight documentation, implementation robust risk assessment methodology, and maintenance of appropriate oversight and internal quality assurance procedures.

Project cost Estimates: USD 150,000

PROJECT 2:

ASSISTING STATES WITH LOW EFFECTIVE IMPLEMENTATION (EI) OF BELOW 40% OF CRITICAL ELEMENTS (CEs) AND STATES YET TO BE AUDITED UNDER USAP.

*1.   Project Code***: SECFAL/2018/9/002**

2.   Coverage: **18 States**

*3.   Duration***: 18 Months**

*4.   Project Cost Estimates***: USD 200,000**

*5.   Source of Funding***: AFI SECFAL Fund, Development partners and Donors**

*6.   Project Objective***:**

Assist States that have equal or lower than 50% USAP Effective Implementation of Critical Elements (CEs) of State security oversight system. This is Category II in the priority assistance programme AFI SECFAL Plan

7.   Executing entities and experts:

AFI SECFAL Plan, AFCAC, ICAO AFI SECFAL Plan Officer, Regional Officers (Regular programme), AFCAC, RASFALG-AFI, CES, States, Donors and other experts as necessary.

Project Description	To assist States in improving their Effective Implementation of Critical Elements (CEs) to above 65%. The planned activities include; ensuring that the Primary aviation security legislation, Aviation Security Regulation and Aviation security programmes for States have sufficient details consistent with current ICAO Annexes 17 and security related provisions of 9 SARPs. The common deficiencies and shortfalls have been determined after analysis of States USAP results. The project object will also include training of national aviation security inspectors, to equip them with skills and ability to spearhead state's

AFI SECFAL PLAN PROPOSED PROJEC
PROJECT 3:

	implementation of the eight Critical Elements of the State's aviation security oversight system based on the analysis of USAP results of States. Although the States have the common denominator of low EI, their particular weaknesses and challenges vary in detail from state to state.
Project Activities	Conduct in identified States, training workshops and other activities; • National Civil Aviation Security Programme (NCASP) workshop • National Civil Aviation Security Quality Control Programme Workshop (NCASQCP) • Risk Management Workshop • Establishment of sound National AVSEC Oversight System. • Assistance missions to States.
Specific activities	a) Training Personnel (technical and management) within the State's appropriate authority, on the requirements applicable to the primary and secondary aviation security legislation, and enable them to draft and review NCASP and other legislation and update them. b) Establishment of quality assurance and data management systems c) Training of personnel in the States to acquire skills to assess risk, evaluate threats, consequences and vulnerabilities, using the guidance in the ICAO Global Risk Context Statement. d) Coaching aviation security personnel on techniques for the development of National Civil Aviation Security Quality Control Programme (NQCP) and other programmes.
Project output:	The overall outcome of the project will be to elevate the EI to above AFI SECFAL Plan and GASeP target of 65% Effective Implementation (EI) of the Critical Elements of State Aviation Security Oversight systems. Other key outcomes include: a) State capacity to develop and maintain National Civil Aviation Security Programme (NCASP), National Civil Aviation Security Quality Control Programme (NCASQCP); b) Enhanced capacity to establish and implement effective State Risk Management system; and c) Improved capability to develop relevant oversight documentations and maintenance of appropriate oversight and internal quality assurance procedures

Project cost Estimates: USD 200,000

ASSISTING STATES WITH EFFETCIVE IMPLEMENTATION (EI) BETWEEN 40% AND 65% TO ATTAIN AT LEAST GASeP TARGET EI OF 65%.

1. *Project Code:* **SECFAL /2019/1/003**

2. **Coverage: 10 States**

3. *Duration:* **24 Months**

4. *Project Cost Estimates:* **USD 150,000**

5. *Source of Funding:* **AFI SECFAL, States, Development partners and Donors**

6. *Project Objective:*

    Assist and support that are above 50% but below 65% Effective States Implementation (EI) of the critical elements (CEs) of State security oversight system. This is Category III priority assistance programme of the AFI SECFAL Plan.

7. *Executing Entities and experts:*

AFI SECFAL Plan, AFCAC, ICAO Regional offices, Experts from Member States and Partners, AFI CES etc.

Project Objective	To provide support and guidance to States that have been audited under USAP-CMA and scored below AFI SECFAL Plan and GASeP Target of 65%. The assistance will be aligned with the individual States effective implementation of each of the Critical Element and the State Corrective Action Plan (CAP) filed with ICAO. The assistance will assist States increase EIs to 65% and above through timely implementation of their CAPs.
Project Activities	• Technical missions to the States • Conduct Workshops/ remedial activities in areas of deficiencies; • Familiarization of senior or middle management level Personnel within the State's appropriate authority and operators on requirements with regard to USAP-CMA audits • Provide aviation security management personnel with the knowledge and skills needed for effective implementation of State aviation security programmes. • Establish Quality Assurance Data Management Systems risk assessment and risk management for effective oversight system. • State specific needs training and assistance activities.
Project Output	The Overall outcome of the project is to elevate the State EI scores of the CEs to above the AFI SECFAL Plan and GASeP targets above 65% EI and timely Implementation of CAPs. Other key outcomes include: d) State capacity to develop and maintain National Civil Aviation Security Programme (NCASP), National Civil Aviation Security Quality Control Programme (NCASQCP); e) Enhanced capacity to establish and implement effective State Risk Assessment /Management system; and f) Improved capability to develop relevant oversight documentation, implementation of a robust risk assessment methodology, and maintenance of appropriate oversight and internal quality assurance procedures.

- Project Cost USD 150,000

PROJECT 4:

ASSISTING STATES WITH MORE THAN 65% EFFECTIVE IMPLEMENTATION (EI) OF CRITICAL ELEMENTS (CEs) OF STATE OVERSIGHT SYSTEMS TO SUSTAIN AND CONTINUOUSLY IMPROVE EIs.

1. Project Code: **SECFAL /2019/1/005**

2. **Coverage: 24 States**

3. Duration: **24 Months**

4. Project Cost Estimates: **USD 100,000**

5. Source of Funding: **SECFAL, Member States, Development partners and Donors**

6. Project Objective:

Support to States with Effective Implementation of Critical Elements (CEs) above 65% to sustain and improve. This is Category IV of priority assistance programme of AFI SECFAL Plan

7. Executing entities and experts:

AFI SECFAL Plan, AFCAC, ICAO AFI SECFAL Plan Officer, Regional Officer (Regular programme), AFCAC, RASFALG-AFI, CES, States, Donors and other Experts as necessary.

Project Objective	To assist States which have EIs above 65%, to ensuring sustainability and continuous improvement of compliance with Security related ICAO SARPs.
Project Activities	• Regional offices continuously monitoring the States' compliance through technical missions and USAP-CMA online tools; • Continuous monitoring of CAP implementation and provision of necessary assistance; • Providing specific training and workshops in weak areas identified during the USAP-CMA audits; • Training and equipping State personnel to with the knowledge and skills to sustain effective implementation of security related SARPs; • Training technical personnel on risk assessment techniques; and • Monitoring and improving both national and operator level quality assurance and data management systems.
Project Output	The overall output is to elevate and sustain the EI of CEs of the State security oversight system. Other key outputs include: Establishing mechanisms for continuous improvement of the score above 65% Effective Implementation of Critical Elements of the State security oversight systems.

Project Cost Estimates:- USD 100,000