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

**SECOND AFI SECFAL PLAN STEERING COMMITTEE MEETING**

**(Montreal, Canada, 27 November 2015)**

**Agenda Item 1: Progress Report on the implementation of the AFI SECFAL Plan since the First meeting of the Steering Committee and Status of Implementation of the 2015 Work Programme**

*(Presented by AFI SECFAL Plan Secretariat)*

**EXECUTIVE SUMMARY**

This paper presents information on the status of implementation of the 2015 AFI SECFAL Plan Work Programme and the Decisions and Recommendations as adopted by the 1st AFI SECFAL Plan Steering Committee meeting which was held on 18 May 2015 in Maputo, Mozambique.

***Action:*** *The Steering Committee is invited to:*

- Note the information contained in the paper;
- Provide further instructions and guidance for the continued implementation of the decisions and recommendations of its 1st meeting as per **Attachment A** to this Discussion Paper**;** and
- Review and provide comments on the amendment proposals to the AFI SECFAL Plan Document in **Attachment B** to this Discussion Paper.
- Take note on AFI States responses to Std.3.10.1 of Annex 9 as per **Attachment C**.

## INTRODUCTION

1.1 The First meeting of the Comprehensive Regional Implementation Plan for Aviation Security and Facilitation in Africa (AFI SECFAL Plan) Steering Committee was held on 18 May 2015 in Maputo, Mozambique, and approved the proposed AFI SECFAL Plan activities and Work Programme. The meeting also formulated decisions and recommendations.

1.2 This paper summarizes the progress made in the implementation of the Decisions and Recommendations of the 1st meeting of the AFI SECFAL Plan Steering Committee and the proposals for amendment to the AFI SECFAL Plan Document for consideration by the SC.

**SUMMARY OF PROGRESS: MAY 2015 – NOVEMBER 2015**

1.3 The list of Decisions and Recommendations of the 1st meeting of the AFI SECFAL Plan Steering Committee along with an update on actions undertaken so far as well as actions required are attached herewith as **Attachment A** to this Discussion Paper.

1.4 With regard to the status of the AFI Regional Aviation Security and Facilitation Group (RASFG-AFI), an AFI SECFAL Regional Group (RASFG-AFI) was established in September 2015 to support the SC in identifying and formulating solutions to regional security and facilitation issues and increasing awareness amongst stakeholders, as well as in monitoring progress and implementing the Plan. The draft Terms of Reference and Work Programme of the group were endorsed by the meeting and will be presented to the SC for approval. A progress report is presented by AFCAC in **Discussion Paper 03** of this meeting.

1.5 The Secretary General of ICAO provided information on the progress of implementation of the AFI SECFAL Plan since its inception to Council on Friday, 12 June 2015. A joint oral report thereon was presented by the Committee on Unlawful Interference (UIC) and the Air Transport Committee (ATC).

1.6 The Chairperson of the AFI SECFAL Plan Steering Committee, presented an oral report to the Council on the outcome of the First Steering Committee Meeting, in May 2015. The Chairperson was accompanied by the Secretary of the Steering Committee who also is the Programme Executive of the AFI SECFAL Plan (ICAO Regional Director, Nairobi).

1.7 The Council noted the reports as presented and specifically the joint UIC/ATC oral report, with a particular observation of the need to secure additional voluntary contributions required for the entire implementation of the AFI SECFAL Plan and advised that Finance Committee should raise matters where additional funding is required from Regular Programme. The Council further observed that, it was necessary for the AFI SECFAL Plan to be based on clear programmes and plans, with clear key performance indicators. The Decisions and Recommendations of the 1st Steering Committee meeting as presented by SC Chairperson were endorsed by the Council.

1.8 The Council emphasized the merits of establishing similar SECFAL Plans in all other regions globally using the AFI SECFAL Plan model, and the need for ICAO Regional Directors (ICAO RDs) to work with the States in their respective regions and other key relevant stakeholders to that end in order to address the challenges being faced in the fields of aviation security and facilitation.

1.9 Upon formal submission by the AFI SECFAL Plan Secretariat, the Secretary General has accepted the proposal that a three-year term limit renewable upon re-election shall apply for the Chairpersonship of the Steering Committee.

1.10 The Steering Committee membership was also extended to include the Civil Air Navigation Services Organization (CANSO), the International Federation of Air Line Pilots association (IFALPA) and the African Airlines Association (AFRAA). These organizations were subsequently invited to attend the second Steering Committee meeting.

1.11 In compliance with the recommendation of the SC on the AFI SECFAL Plan Work Programmes activities and targets, the Secretariat circulated the draft work programme to all Steering Committee members for comments. Inputs were received from AFCAC, World Customs Organization (WCO), Interpol, South Africa, Saudi Arabia, Uganda and Secretariat members. The inputs were incorporated into the revised work plan to be considered by the 2nd Steering Committee meeting.

1.12 With respect to the convening of High Level AFI SECFAL Plan Ministerial Conference in accordance with Recommendation Rec/05 of the First meeting of the AFI SECFAL Plan Steering Committee, consultations between ICAO, AFCAC and African Union Commission (AUC) and prospective host State are

ongoing, including high level meeting between ICAO Secretary General and Chairperson of AUC in Addis Ababa, Ethiopia. The tentative period of the meeting is from 5 to 8 April 2016. A detailed progress report is in **Discussion Paper 04** of this meeting.

1.13 Regarding provision of support and assistance to AFI States not able to comply with the provisions of Annex 9 Standard 3.10.1 applicable as from 24 November 2015, ICAO sent out a questionnaire to all States and the list of those States yet to respond to the questionnaire has been discussed by the Air Transport Committee. The ICAO Regional Offices accredited to AFI States and AFCAC are actively involved in the follow up process.

1.14 In compliance with the Work Programme, and in order to establish a strategy for Training Assistance and improvement of the capacity of Aviation Security Training Centres (ASTCs), ICAO launched an AVSEC and FAL training needs assessment in Africa in September 2015. A specific questionnaire was developed and sent to relevant States, including assistance partners, Regional and International Organizations represented in the Steering Committee and to all AFI airports in collaboration with and coordination with ICAO HQ, and ACI. A survey team visited Kenya, South Africa, Senegal, Uganda and ASTCs located in those States, as well as CASSOA and AFCAC to perform onsite data collection. The results of the survey as analysed and proposed progress will be presented under **Discussion Paper 05** of this meeting.

1.15 In line with a recommendation from its first meeting, the Steering Committee may wish to review and provide comments on the proposals to amend the AFI SECFAL Plan Document, as consolidated by the Secretariat in **Attachment B.** The proposed amendments are based on inputs received from some SC Members (mainly Saudi Arabia, South Africa, AFCAC, INTERPOL and WCO).

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**Attachment A**

**Monitoring Matrix for AFI SECFAL Plan SC01 Decisions and Recommendations**

| Decision/ Recommendation Reference | Title | Text | Deadline | Deliverable(s) | Responsibility | Status as at 22/10/2015 | Action required from AFI SECFAL SC |
|---|---|---|---|---|---|---|---|
| SC 01/Rec01 | Nomination/ Election of the Chairperson | *The AFI SECFAL Plan Steering Committee (SC) to elect a Chairperson from among its members.* | 18 May 2015 | SC Chairman elected | Steering Committee | Mr. J.W Kabbs Twijuke (Representative of Uganda to ICAO) was elected Chairman. | To note |
| SC 01/Rec02 | Introduction of a term limit for the Chairperson | *The Chairperson to be elected for a three term limit renewable upon re-election* | Before 2nd Steering Committee meeting | Implementation of a three-year renewable term limit. | Secretary General | Proposal accepted by SG and adopted by SC | To note |
| SC 01/Rec03 | Amendment of the Steering Committee membership | *Consideration of the requests of CANSO, AFRAA and IFALPA to become members of Steering Committee.* | Before 2nd Steering Committee meeting | CANSO, AFRAA and IFALPA membership adopted by SC. | Secretary General | Extension of SC membership to include CANSO, AFRAA and IFALPA approved by SG and members informed. | Take note of extension of membership |
| SC 01/Rec 04 | Review of the AFI SECFAL Plan Targets | *a) The Steering Committee decided that the targets and timeframes must be reviewed to make them more ambitious and inspiring.* | Before 2nd Steering Committee meeting | • Ambitious targets and timelines for Short and medium term achieved.<br>• Targets and timelines for long term are realised. | AFI SECFAL Plan Secretariat | • Short term targets reviewed to reflect 50% of AFI States achieve 65% of EI of Critical Elements (CEs) by 2017.<br>• Medium term targets reviewed to reflect 75% of AFI States achieve 65% of EI of CEs by 2020.<br>• Long term targets reviewed to reflect 100% of AFI States achieve 65% of EI of CEs by 2023. | Approve revised targets and timelines. |

| Decision/ Recommendation Reference | Title | Text | Deadline | Deliverable(s) | Responsibility | Status as at 22/10/2015 | Action required from AFI SECFAL SC |
|---|---|---|---|---|---|---|---|
| | | *b) Directed the Secretariat to redistribute the Draft Work Programme to all Steering Committee Members and strongly urged Members to submit amendment proposals by the end of July 2015.* | Before end of July 2015 | Revised Work program approved by SC incorporating Steering Committee members comments. | AFI SECFAL Plan Secretariat | Inputs received from AFCAC, WCO, Interpol, Saudi Arabia, South Africa, AFI SECFAL Chairman, and Secretariat members incorporated in work program. | SC to consider and approve revised work programme |
| | | *c) Directed the Secretariat to incorporate the proposed amendments and to circulate the amended version of the Draft Work Programme to the Steering Committee Members for consideration at the next meeting.* | Before the 2nd Steering Committee meeting | Amended version of Draft Work Programme approved by SC. | AFI SECFAL Plan Secretariat | Draft work program with SC members' inputs developed for SC consideration and adoption. | To review and approve the amended work programme |
| SC 01/ Rec 05 | Convening of an Inter-ministerial Conference | *The Steering Committee recommended the convening of a Ministerial Conference under the framework of AU Commission in close collaboration with ICAO and AFCAC.* | November 2015 for Ministerial Conference. June 2016 for presentation of Ministerial Declaration to the Summit. | SEC/FAL Ministerial Declaration adopted by Ministerial conference. | • AUC<br>• AFCAC<br>• ICAO | • Ministerial meeting to be held in April 2016.<br>• Convening of the Ministerial meeting discussed at the AUC/ICAO (AFCAC) MoC implementation experts meeting on 29 Sept 2015. | Take note of the progress and provide further guidance as may be necessary |

| Decision/ Recommendation Reference | Title | Text | Deadline | Deliverable(s) | Responsibility | Status as at 22/10/2015 | Action required from AFI SECFAL SC |
|---|---|---|---|---|---|---|---|
| | | *The Steering Committee recommended that AUC to present the Ministerial Declaration once adopted, including the targets and timeframes to the Summit of the Heads of States and Governments for approval.* | | | | • Hosting modalities to be completed in collaboration with AUC.<br>• Meeting proposed to be hosted by Namibia and period of 5-8 April 2016 accepted by SG and President of the Council. | |
| SC 01/Rec06 | Implementation of Annex 9, Standard 3.10.1 by AFI States. | *ICAO in collaboration with AFCAC to identify and assist AFI States that may be having challenges to implement Standard 3.10.1 of Annex 9 before the expiry date of 24 November 2015.* | Before 24 November 2015 | • All AFI States compliant with provisions of Annex 9, Standard 3.10.1. | • ICAO<br>• AFCAC | • ICAO (FAL section) has identified all States facing challenges;<br>• Non-compliant States List discussed by Air Transport committee<br>• ICAO Regional offices following up on State letter sent to States. | Take note of progress and provide guidance as necessary |
| SC 01/Rec07 | Training Needs Analysis in the field of Aviation Security/Aviation Security related provisions in Annex 9 | *The Steering Committee urged ICAO to consider increasing the number and or improving the capacity of the existing (ASTCs) in the AFI region based on a needs assessment.* | By end of October 2015 | • Training Needs for AFI States identified and mitigating measures recommendation adopted by SC.<br>• Training strategy adopted. | • ICAO<br>• AFCAC | • AFI SECFAL Secretariat in collaboration with GAT, ISD Security developed and commissioned Training Needs analysis exercise to be completed by end of October 2015. | Take note of progress and provide further guidance as necessary |

| Decision/ Recommendation Reference | Title | Text | Deadline | Deliverable(s) | Responsibility | Status as at 22/10/2015 | Action required from AFI SECFAL SC |
|---|---|---|---|---|---|---|---|
| | | | | • Capability of ASTCs enhanced to provide the needed training. | | • Training needs Questionnaires developed, validated and sent out to member States, Organizations and donor States. | |
| SC 01/Rec08 | Establishment of the Regional Aviation Security and Facilitation Group ( RASFG-AFI) | *The Steering Committee urged AFCAC to develop the ToR and Initial Work Programme for RASFG-AFI with the assistance of the ICAO Regional Offices.* | By end of September 2015 | • RASFG-AFI established, Draft Group TORs and Work Progamme adopted and recommended to SC for approval | AFCAC<br><br>AFI SECFAL Plan Secretariat | • TORs and Draft work programme have been developed.<br>• First meeting of RASFG-AFI held in Dakar 16 to 17 September 2015.<br>• Detailed information provided in DP/3 for second SC meeting. | Approve RASFG-AFI ToRs and work programme. |

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

Revision 1

## AFI SECFAL PLAN SUMMARY

The International Civil Aviation Organization (ICAO) is a specialized United Nations agency responsible for ensuring that member States apply harmonized civil aviation Standards and Recommended Practices (SARPs) to facilitate the continued growth of aviation. Security and Facilitation are essential for the existence of civil aviation, and are key enablers of the rapidly developing global economy.

The Comprehensive Regional Implementation Plan for Aviation Security and Facilitation in Africa (AFI SECFAL) Plan was unanimously supported by States at the AFI Aviation Security Meeting in Dakar, Senegal, on 28 May 2014. It was subsequently endorsed at the 24th Extraordinary Plenary Session of the African Civil Aviation Commission (AFCAC), held from 1 to 4 July 2014 in Dakar, Senegal. During this Session, the AFI States further requested the Organization to approve the Plan as an ICAO programme.

The ICAO Council, in its 203rd Session, approved the AFI SECFAL Plan as an ICAO programme and requested that the Chairperson of the Steering Committee report periodically on the AFI SECFAL Programme activities and progress to the ICAO Council through the Secretary General.

The overall objective of AFI SECFAL Plan is to enhance aviation security and facilitation in Africa in a sustainable manner.

**References**

| | |
|---|---|
| C-WP/14181 | *AFI Security/Facilitation Initiative* |
| C-DEC 203/2 | ICAO Council Decision approving the AFI SECFAL Initiative as an ICAO programme |
| | Working Paper presented by Uganda at the Dakar AFI SECFAL meeting |
| | Comprehensive Regional Implementation Plan for Aviation Safety in Africa |

## Table of Contents

**1. BACKGROUND ..... 1**
1.1 Overview of the situation ..... 1
1.2 Common obstacles leading to compromises in AVSEC and FAL compliance in the African Region... ..... 2
**2. DESCRIPTION OF THE PLAN ..... 3**
2.1 Objectives ..... 3
2.2 Plan Overview ..... 3
2.3 Deliverables and expected results ..... 3
2.4 Link between the AFI SECFAL Plan and ICAO's Strategic objectives ..... 5
2.5 Constraints and Risks ..... 5
**3. PLAN MANAGEMENT AND IMPLEMENTATION ..... 6**
3.1 Management ..... 6
3.2 Roles and responsibilities ..... 6
3.3 Financial requirements and management ..... 7
3.4 Timeline and key milestones ..... 7
3.5 Identification of Stakeholders ..... 8
3.6 Coordination with other relevant programmes and plans ..... 8
3.7 Communication strategy ..... 8
**4. RESOURCE REQUIREMENTS, BUDGET ESTIMATE AND FUNDING ..... 9**
4.1 Resource requirements ..... 9
4.2 Budget estimate ..... 9
4.3 Funding arrangements ..... 9
4.4 Planned budget and work plan ..... 9
**5. MONITORING AND EVALUATION ..... 9**
5.1 Monitoring and reporting system ..... 9
5.2 Evaluation ..... 10

Appendix A – Acronyms ..... 11
Appendix B – Management and implementation (objectives, outputs and activities) ..... 12
Appendix C – Key Role players - Partners ..... 20
Appendix D – Additional resources required to support the Plan (estimate). ..... 22
Appendix E – Monitoring and Reporting responsibilities ..... 23

# 1. BACKGROUND

## 1.1 Overview

1.1.1 In recent years, the global aviation market has shown strong growth. Passenger traffic in the African region is no exception and is expected to grow by more than 4.8 per cent in 2015; this trend is expected to continue, in line with the steady economic growth forecasts for the continent**.**

1.1.2 Numerous activities aimed at enhancing aviation security and facilitation in Africa have been sponsored and implemented by various stakeholders, including States, sub-regional, regional and international organizations. These activities have largely been characterized as independent initiatives that focus on specific components of aviation security and facilitation. Today, a growing number of donor States and lending institutions are calling for a coordinated assistance effort, allowing policy makers and the donor community to work within a common strategic framework of identified priorities and goals under the ICAO umbrella. Although substantial results have been obtained in the past, enabling an increase in aviation activities, their sustainability has frequently been questioned.

1.1.3 Analysis of ICAO Universal Security Audit Programme (USAP) findings, as well as other sources of information, highlight that aviation security and facilitation in Africa is generally characterized by persistent and systemic deficiencies in the regulatory, oversight, and operational areas that result in unsatisfactory implementation of Standards in Annex 17 ─ Security to the Convention on International Civil Aviation (Chicago Convention) and the security - related Standards in Annex 9 ─ Facilitation and risk mitigation. Challenges include weak national legislation (primary law and operating regulations), governance arrangements, inadequate or inefficient infrastructure and services, insufficient funds, and lack of qualified personnel.

1.1.4 Civil aviation in Africa is also confronted by facilitation issues which adversely affect the efficiency and quality of air services. Furthermore, few States in the Region have developed National Air Transport Facilitation Programmes and established National Air Transport Facilitation Committees.

1.1.5 The magnitude of the problem is compounded by the tenuous security environment, conflict zones and the growing presence of terrorist, insurgent and transnational criminal group activities in a continent where many States face significant challenges relating to compliance with ICAO Standards.

1.1.6 As the global aviation system transcends national borders, the situation in Africa has potential implications that can adversely impact regional and global economies.

1.1.7 Over the years, various initiatives and declarations have been made in order to enhance aviation security and facilitation. These include, inter alia:

- Agadir Seminar, held in May 2000, co-sponsored by ICAO and the African Civil Aviation Commission (AFCAC), aimed at creating a unique coordination authority for aviation security at the airport level;
- ICAO, in cooperation with the African Union (AU) and AFCAC, held a conference from 5 to 7 November 2007 in Addis Ababa, Ethiopia, on the development of an African aviation security Roadmap;
- On 13 April 2010, in Abuja, Nigeria, the Ministers in charge of aviation security together with regional and international organizations adopted the Abuja

Declaration on Civil Aviation Security in Africa in which they affirmed their commitment to preventing unlawful interference with civil aviation in all forms, with particular attention being placed on countering terrorist threats against civil aviation;

- Following the Abuja Declaration, the AFCAC AVSEC Working Group, 10-12 August 2010, was mandated with the implementation of the African Roadmap on Civil Aviation Security. However, the African Roadmap encountered significant implementation challenges and did not achieve its desired outcome;
- At a Regional Conference on aviation security, which took place in Dakar, Senegal, 17-18 October 2011, African States acknowledged ICAO's leadership role and agreed to intensify cooperation to enhance aviation security.
- The meeting of African Ministers of Transport held in Luanda, Angola from 21 to 25 November 2011 to deliberate on aviation security, agreed on the need for a Regional Aviation Security Group to coordinate the implementation of the Abuja Declaration and Roadmap;
- The Economic Community of West African States (ECOWAS), with support from the ICAO Western and Central African (WACAF) Office, organized a seminar in Niamey, Niger, in August 2013 with emphasis on the threat posed to civil aviation by man-portable air defence systems (MANPADS). The meeting agreed on 12 recommendations and a Roadmap for mitigating the MANPADS threat to civil aviation in the Region.
- Several seminars on facilitation took place in Africa (2009: Abuja, Nigeria; 2010: Maputo, Mozambique; 2012: Victoria Falls, Zimbabwe; 2013: Ouagadougou, Burkina Faso; 2014: ICAO Facilitation Regional Seminars, Nairobi, Kenya and Cairo, Egypt.

1.1.8 Despite the fact that a number of States in the African Region have promulgated primary aviation security legislation and established National AVSEC Programmes to enable the effective implementation of Annex 17 provisions, as well as identifying, within their administration, a single organization as the appropriate authority for aviation security, there remains significant work to be undertaken in order to address shortcomings.

## 1.2 Common obstacles leading to compromises in aviation security (AVSEC) and facilitation (FAL) compliance in the African Region

1.2.1 There are several obstacles and impediments in establishing aviation security and facilitation systems and infrastructures in the continent, which differ from State to State. Therefore careful consideration of these would help to improve compliance of aviation security and facilitation Standards and Recommended Practices (SARPs) by States on the continent. However, the following common obstacles have been identified as priority areas of focus:

- lack of political commitment at the national level to prioritize aviation security and facilitation requirements;
- inadequate enforcement powers allocated to the designated Appropriate Authority for security;
- difficulty in establishing a coordination authority for facilitation;
- difficulty in attracting, retaining and maintaining AVSEC expertise, due to, inter alia, the absence of training and succession planning;
- lack of an aviation security and facilitation infrastructure;
- lack of a security culture;
- difficulty in justifying the resources needed to maintain a national aviation security oversight workforce due to the low volume of air operations; and
- lack of coordination, and duplication of capacity-building efforts.

## 2. DESCRIPTION OF THE PLAN

### 2.1 Objectives

2.1.1 The overall objective of the AFI SECFAL Plan is to enhance aviation security and facilitation in Africa in a sustainable manner.

2.1.2 To achieve the goals and objectives of this Plan, it is essential that African States demonstrate strong political and technical commitment to building capacity, particularly in compliance with Annexes 9 and 17, and to share resources, experience and information amongst themselves.

2.1.3 The secondary objective of the AFI SECFAL Plan is to coordinate and align all capacity-building efforts in the field of AVSEC and FAL by ICAO, States, regional and international organizations, and governmental and non-governmental organizations with ICAO policies, in order to contribute to the overall objective.

2.1.4 The AFI SECFAL Plan will also address the need to strengthen various AVSEC and FAL aspects related to organizational, managerial, institutional, economical, educational and political factors within the Region.

### 2.2 Plan Overview

2.2.1 Under ICAO's leadership, the AFI SECFAL Plan calls for collaboration between States' authorities and the industry in the implementation of coordinated initiatives aimed at rectifying AVSEC and FAL deficiencies in a sustainable manner. The implementation of the Plan will draw on expertise available in African States, ICAO Headquarters, ICAO Regional Offices, and donor States and organizations.

2.2.2 The initial implementation phase of the Plan is expected to cover a period of two and a half years and will focus on short-term priorities. The successful completion of this initial implementation phase will subsequently enable the plan to address medium-term objectives over a five-year period, and long-term objectives targeting an eight to ten-year period. Progress with respect to the satisfactory completion of activities will be monitored throughout the implementation phase.

2.2.3 Capacity-building assistance and other AVSEC and FAL resources will be prioritized to meet the specific needs of States based on the resources that are available and the targeted State's ability to absorb the assistance objectives. States with a high level of deficiencies in their system and a demonstrated commitment to improve will receive priority. The criteria for determining priorities should include an assessment of the level of risk, threat and resource constraints.

### 2.3 Deliverables and expected results

2.3.1 Short, medium and long-term deliverables have been defined, with the ultimate goal of preventing acts of unlawful interference against civil aviation while facilitating the efficient movement of passengers and goods. The short-term measures are expected to assist States in the region addressing some of the USAP audit findings.

2.3.2 ***Short-term (by 1st December 2017)***

2.3.2.1 In the short-term, priority will be given to the improvement of aviation security and facilitation through the establishment of programme coordination mechanisms identification of financial and in-kind resources and where needed, the resolution of specific issues. All states shall have promulgated primary aviation security legislation and regulations, process for identifying priorities established and priority projects identified.

2.3.2.2 At the end of this phase, it is expected that the following action will have been completed:

- appropriate Authorities for AVSEC and FAL are clearly defined and have the resources specifically assigned to these areas;
- All States will establish/reactivate their National Civil Aviation Security Committee (NCASC) and National Civil Air Transport Facilitation Committee (NATFC);
- All States will have approved National programmes: National Civil Aviation Security Programme (NCASP), National Civil Aviation Security Quality Control Programme (NCASQCP) and, National Civil Aviation Security Training Programme (NCASTP). All assistance activities in the African Region are actively coordinated to meet the ICAO Standards at a minimum; and
- In all AFI States, only Machine-Readable Passports (MRP) are issued and all non-MRP passports are removed from circulation[1].
- All AFI States have established procedures for reporting accurate information about stolen, lost, and revoked travel documents, that that have issued, for inclusion in the Stolen and Lost Travel Documents (SLTD) database.
- All existing SseCs are resolved, and all new SSeCs are resolved within 6 Months.

2.3.2.3 It is also expected that at least 50 percent of States in the region audited under the Universal Security Audit Programme Continuous Monitoring Approach (USAP-CMA) achieve a minimum 65 percent[2] level of effective implementation (EI) of the critical elements (CEs) of a State's aviation security oversight system.

2.3.3 ***Medium-term (by 1st December 2020)***

2.3.3.1 In the medium term, the focus will be to raise the level of aviation security so that a minimum 75 percent of States in the region audited under the Universal Security Audit Programme Continuous Monitoring Approach (USAP-CMA) achieve a minimum 65 percent level of effective implementation (EI) of the critical elements (CEs) of a State's aviation security oversight system. The rate of 65 percent corresponds to the global average at the end of the second USAP cycle.

[1] Standard 3.10.1: For passports issued after 24 November 2005 and which are not machine readable, Contracting States shall ensure the expiration date falls before 24 November 2015.

[2] At the end of the second cycle of USAP audits, AFI States had an average 53.06% Effective Implementation of the critical elements of a State's aviation security oversight system, while of the 47 AFI States in the Region audited, 16 (34%) States had over 65% effective implementation.

2.3.3.2 At the end of the medium-term phase it is expected that:

- all AFI States have approved National Air Transport Facilitation programmes in place;
- risk management and sound crisis management procedures are established in all States; and
- at least 75percent of AFI States have achieved a minimum 65 percent EI of the CE.
- All AFI States have developed sustainable aviation security and facilitation training capacity and adequate human resources policies
- All AFI States that have introduced an Advance Passenger Information (API) system under its national legislation have adhered to international recognized standards for the transmission of Advance Passenger Information[3].
- AFI States deliver only machine readable travel documents to refugees and stateless persons.

2.3.4 ***Long-term (1st December 2023)***

2.3.4.1 The long-term objective is for a maximum of 100percent of AFI States to have achieved a minimum 65 percent EI of the CE.

At the end of the long term phase it is expected that aviation security and facilitation in Africa has been enhanced in a sustainable manner.

2.3.4.2 The table at Appendix B outlines the short, medium and long-term objectives, output and activities.

## 2.4 Link between the AFI SECFAL Plan and ICAO's Strategic Objectives

2.4.1 ICAO's Strategic Objective: Enhance global civil aviation security and facilitation reflects the need for ICAO's leadership in aviation security, facilitation and related border security matters. This Plan reaffirms this objective by creating a framework through which African States, donor States, organizations and industry can coordinate their activities with a view to ensuring the effective implementation of aviation security and facilitation.

2.4.2 The Plan is fully in line with the ICAO Aviation Security Assistance and Capacity Building Strategy, and the "No Country Left Behind" (NCLB) initiative. This initiative resolved that ICAO itself should provide more direct assistance to developing countries by playing a more active coordination role between States and by helping to generate the political will needed for States to pool resources, participate in regional efforts, earmark voluntary funds and build capacity. The main goal of this work is to help ensure that SARP implementation is better harmonized globally so that all States have access to the socio-economic benefits of safe, secure and reliable air transport.

## 2.5 Constraints and Risks

2.5.1 In order to effectively and efficiently implement the AFI SECFAL Plan in the Region, and to achieve its objective, a number of constraints and risks have been identified. These are:

- a need for financial and in-kind resources;

[3] Standard 3.4.6.

- a need for States to be responsive and engaged; and
- impact of conflicts and health concerns in the Region on assistance activities.

2.5.2 In order to ensure these constraints and risks do not negatively impact the implementation of the Plan, the following mitigating mechanisms need to be developed:

- establishment of a sustainable source of funding and in-kind resources;
- early warning from Regional Offices to the Steering Committee in cases of "limited responsiveness and engagement by States";
- a need for the Steering Committee to track financial and in-kind contributions to identify potential concerns; and
- a need for the Steering Committee to closely track individual projects to identify challenges related to security and health concerns in specific States so as to identify possible solutions.

## 3. PLAN MANAGEMENT AND IMPLEMENTATION

### 3.1 Management

3.1.1 In accordance with ICAO Council decision C-DEC 203/2, the AFI SECFAL Plan was established as an ICAO programme. African States shall remain responsible for aviation security and facilitation consistent with the obligations under the Chicago Convention's and its Annexes. As an ICAO programme, AFI SECFAL Plan functions as a focal point for the prioritization of projects, coordination of activities, mobilization of political will and resources, and monitoring progress.

3.1.2 The Plan will be implemented through the application of a programme management process with clearly defined objectives, output, activities and metrics. This process will also include continuous monitoring and evaluation.

3.1.3 The table at Appendix B also outlines the management and implementation process of the Plan. Performance indicators are included for the purpose of measuring output.

### 3.2 Roles and responsibilities

3.2.1 The Plan will be managed under the supervision of the Regional Director, Eastern and Southern African Region (ESAF), Nairobi, who reports progress to the AFI SECFAL Steering Committee (SC) and assumes secretariat responsibilities, in close coordination with the ICAO Secretariat Headquarters.

3.2.2 The AFI SECFAL Steering Committee (SC), is established by the Secretary General at the inception of the Plan. Members of the SC will be drawn from States, the ICAO Council, international and regional organizations, and assistance partners. Other stakeholders may participate in and contribute to the work of the SC on an ad hoc basis at the invitation of the Secretary General in consultation with the SC. The SC provides support, guidance and oversight of progress related to the AFI SECFAL Plan implementation. SC meetings will meet twice a year, ideally alternating between African State hosts and ICAO Headquarters. The Chairperson of the SC is nominated by the members of the SC. The Chairperson shall serve a three-year renewable term.

3.2.3 Its mandate includes establishing a work programme in the form of preliminary annual work plan for a period of five years of implementation and a detailed work plan for two years of operation, identifying objectives, output and activities to be undertaken.

3.2.4 The Steering Committee will monitor the progress of activities undertaken under the Plan and report to the Secretary General every six months. Membership of the Committee will ensure representation of all stakeholders and interested parties, as detailed in Appendix C. The AFI SEC/FAL Steering Committee Terms of Reference (ToR) are detailed in a separate document.

3.2.5 Relevant ICAO Secretariat offices (Headquarters and Regional Offices) will contribute to the implementation of the Plan.

3.2.6 As a full member of the SC, the African Civil Aviation Commission (AFCAC) will be involved in the definition of the Plan Strategy and the coordination of its implementation.

3.2.7 A Regional Security and Facilitation Group (RASFG-AFI) established under the umbrela of AFCAC will support the SC to identify regional security and facilitation issues and to increase awareness amongst stakeholders. It will also support the SC in monitoring progress and implementing the Plan in order to improve aviation security and facilitation in the region.

## 3.3 Financial requirements and management

3.3.1 The financial requirements and voluntary contributions associated with the Plan will be managed by ICAO Headquarters. The overall management of the Plan will be the responsibility of the ESAF Regional Director (Programme Executive) under the direction of the Steering Committee.

3.3.2 Overall coordination of the AFI SECFAL Plan with various stakeholders will be carried out by the Programme Executive with support from ICAO Headquarters.

3.3.3 AFI States are encouraged to second staff to support the implementation AFI SECFAL Plan.

## 3.4 Timeline and key milestones

3.4.1 The implementation of the Plan is expected to cover a period of eight years. In order to ensure that all stakeholders involved have a clear view of the expected results and associated indicators, this period has been broken down into three terms. Key short-term milestones include the following for the next two years:

- establishment of the Steering Committee, before 18 May 2015;
- first Steering Committee meeting (Maputo, 18 May 2015);
- first progress report to the Council during its 205th Session, June 2015;
- creation of the Plan coordination mechanisms;
- establishment of a Regional Aviation Security and Facilitation Group (RASFG), September 2015;
- second Steering Committee meeting, Montréal, November 2015;
- inter-ministerial meeting on aviation security and facilitation in Africa, April 2016;

- inception of the needs analysis on training in all Member States – inventory of resources, existing courses (expected to be completed by the end of 2015);
- inception of the needs analysis to determine assistance resources with a view to develop assistance strategies (expected to be completed by end 2015);
- organization of train-the-trainers courses on a regional basis; starting 2016;
- organization of Inspector courses on a regional basis, starting 2016; and
- report to the 39th Session of ICAO Assembly (October 2016).

### 3.5 Identification of Stakeholders

3.5.1 At the national level, the Plan aims to bring together stakeholders in the civil aviation sector with other agencies involved in security and facilitation-related matters, such as law enforcement agencies, disaster management agencies, immigration, customs, health services, defense forces, etc.

3.5.2 At the regional level, other strengths underpinning the effective implementation of the Plan include the establishment of the RASFG-AFI and existence of key aviation security and facilitation experts with unique local knowledge that are able to implement best practices, as well as African States that are able to lead mentorship programmes.

3.5.3 At an international level, the ICAO partners will work to achieve the objectives of the Plan and will be involved at each stage of its development and implementation. A non-exhaustive list of key stakeholders can be found in Appendix C.

### 3.6 Coordination with other relevant programmes and plans

3.6.1 There are a number of other assistance programmes and plans being implemented in the African Region related to aviation security and facilitation. To avoid duplication of effort and assure conformity with ICAO's policy, all aviation security and facilitation activities in the Region will be coordinated and reported to the Steering Committee and the RASFG.

### 3.7 Communication strategy

3.7.1 An effective communication strategy will be developed in order to ensure all implementing partners understand the rationale of the AFI SECFAL Plan and the progress in its implementation.

3.7.2 All key stakeholers involved in aviation security and facilitation should be encouraged to coordinate efforts to ensure success of the programme.

## 4. RESOURCE REQUIREMENTS, BUDGET ESTIMATE AND FUNDING

### 4.1 Resource requirements

4.1.1 Existing resources of the ICAO Regional Offices, and ICAO Headquarters will be directly involved in the implementation of the AFI SECFAL Plan.

4.1.2 However, current ICAO resources are not adequate to effectively support the Plan and its successful implementation and there is a need to complement the resources provided under the Regular Programme and funds in trust. Additional resources required for the implementation of the AFI SECFAL Plan are listed in Appendix D.

4.2 **Budget estimate**

4.2.1 In addition to existing ICAO resources allocated for the Plan, the investment required is estimated at US$ 8.9 million for a eight -year period. This amount to a total of US$ 1,100,000 per year. A refined resource requirement, including mission travel, will be established.

4.3 **Funding arrangements**

4.3.1 The budget may be funded through ICAO Regular Programme, voluntary contributions, or other sources of funding.

4.4 **Planned budget and work plan**

4.4.1 Planned budget and work plan will be developed by the Regional Office (RO) ESAF, in coordination with the other concerned ROs.

## 5. MONITORING AND EVALUATION

5.1 **Monitoring and reporting system**

5.1.1 To ensure achievement of the established objectives and targets of the Plan, progress will be continuously monitored and reported against clear performance indicators. In this regard, a 'scoreboard' and a system of monitoring reports will be developed and implemented .

5.1.2 The AFI SECFAL Plan progress and performance will be primarily measured in terms of USAP-CMA findings and progress against the stated objectives of the AFI SECFAL Plan, the timely resolution of noted deficiencies, the impact of training activities, the nature of major aviation security incidents and a reduction in the number of Significant Security Concerns (SSeCs) identified and their timely resolution. It is also envisaged that, once validated, the future ICAO aviation security assistance performance indicators will be integrated for use as monitoring tools.

5.1.3 ICAO’s Regional Offices and AFCAC will play an important role in achieving progress through their continuous engagement with African States and by helping to evaluate the rate of improvement of aviation security and facilitation.

5.1.4 Monitoring and reporting responsibilities are detailed in Appendix E.

5.2 **Evaluation**

5.2.1 A first evaluation of the AFI SECFAL Plan should be completed by 1 March 2019. [Suggestion from Saudi Arabia: 1 December 2017, Short term evaluation could be done at the end of the short-term phase in December,2017 . The evaluation will provide a review of the Plan outcome aimed at helping stakeholders assess how best to steer the Plan going forward. The evaluation will address, inter alia, how well the AFI SECFAL Plan is adapting to the evolving needs of the Region, how effectively it is managed, whether the current structure is sustainable in the long term, what the areas of core competency are, where there are further opportunities for partnership, and what the sources of funding are.

_____

**Date**

_____

**Secretary General**

## Appendix A – Acronyms

| English | Acronym | Acronyme | Français |
|---|---|---|---|
| **Africa** | **AFI** | **AFI** | Afrique |
| **African Centre for the Study and Research on Terrorism** | **ACSRT** | **CAERT** | Centre Africain d'Etudes et de Recherche sur le Terrorisme |
| **African Civil Aviation Commission** | **AFCAC** | **CAFAC** | Commission Africaine de l' Aviation Civile |
| **Agency for the Safety of Air Navigation in Africa and Madagascar** | **ASECNA** | **ASECNA** | Agence pour la Sécurité de la Navigation Aérienne en Afrique et à Madagascar |
| **Airport Security Programme** | **ASP** | **PSA** | Programme de sûreté aéroportuaire |
| **ICAO Aviation Security Training Centre** | **ASTC** | **ASTC ou CFSA** | Centre de Formation à la Sûreté de l'aviation de l'OACI |
| **African Union** | **AU** | **UA** | Union Africaine |
| **Aviation Security** | **AVSEC** | **AVSEC** | Sûreté de l'aviation civile |
| **Civil Aviation Authority** | **CAA** | **ANAC** | Agence nationale de l'aviation civile |
| **Central African Economic and Monetary Community** | **CAEMC** | **CEMAC** | Communauté Économique et Monétaire de l'Afrique Centrale |
| **East African Community Civil Aviation Safety and Security Oversight Agency** | **CASSOA** | **CASSOA** | |
| **Critical Elements** | **CE** | **CE** | Eléments cruciaux |
| **Crisis Management Plan** | **CMP** | **PGC** | Plan de gestion des crises |
| | **CRASAC** | **CRASAC** | Cellule Régionale d'Assistance à la Sûreté de l'Aviation Civile |
| **Economic Community of West African States** | **ECOWAS** | **CEDEAO** | Communauté Économique des Etats de L'Afrique de l'Ouest |
| **Effective implementation** | **EI** | **EI** | Mise en œuvre effective |
| | **ERNAM** | **ERNAM** | Ecole Régionale pour la Navigation Aérienne et de Management |
| **Facilitation** | **FAL** | **FAL** | Facilitation |
| **ICAO Global Aviation Training** | **GAT** | **GAT** | Bureau de la formation mondiale en aviation |
| **International Air Transport Association** | **IATA** | **IATA** | Association Internationale du Transport Aérien |
| **International Civil Aviation Organization** | **ICAO** | **OACI** | Organisation de l'Aviation Civile Internationale |

| | | | |
|---|---|---|---|
| **International Organization for Migration** | **IOM** | **OIM** | Organisation Internationale des Migrations |
| **Lack of Effective Implementation** | **LEI** | **LEI** | Absence de mise en œuvre effective |
| **Man-portable air-defense systems** | **MANPADs** | **MANPAD** | Système de défense anti-aérien portable |
| **ICAO Monitoring and Assistance Review Board** | **MARB** | **MARB** | |
| **National Facilitation Programme** | **NATFP** | **PNFTA** | Programme national de facilitation du transport aérien |
| **National Civil Aviation Security Programme** | **NCASP** | **PNSAC** | Programme national de sûreté de l'aviation civile |
| **National Civil Aviation Security Training Programme** | **NCASTP** | **PNFSAC** | Programme national de formation de sûreté de l'aviation civile |
| **No Country Left Behind (campaign)** | **NCLB** | **NCLB** | (la campagne) "Aucun pays laissé de côté" |
| **National Civil Aviation Security Quality Control Programme** | **NQCP** | **PNCQ** | Programme national de contrôle de la qualité de la sûreté de l'aviation civile |
| **Programme Executive** | **PE** | **DP** | Directeur de programme |
| **Point of Contact** | **POC** | **POC** | Point de contact |
| **West and Central Africa Air Transport Safety and Security Program** | **PRSSTAAOC** | **PRSSTAAOC** | Programme Régional Sûreté et Sécurité des Transports Aériens en Afrique de l'Ouest et Afrique Centrale |
| **Regional Aviation Security and Facilitation Group** | **RASFG** | **RASFG** | Groupe régional de sûreté de l'aviation et de la facilitation |
| **Standards and Recommended Practices** | **SARPs** | **SARP** | Normes et pratiques recommandées |
| **Steering Committee** | **SC** | **CODIR** | Comité directeur |
| **Standard Operating Procedures** | **SOP** | **PEN** | Procédure d'exploitation normalisées |
| **Significant Security Concerns** | **SSeC** | **SSeC** | Préoccupation significative de sûreté |
| **Terms of Reference** | **TOR** | **TOR** | Mandat |
| **ICAO Traveller Identification Programme** | **TRIP** | **TRIP** | Programme d'identification des voyageurs de l'OACI |
| **United nations Office on Drugs and Crime** | **UNODC** | **ONUDC** | Organisation des Nations Unies contre la Drogue et le Crime |
| **ICAO Universal Security Audit Programme** | **USAP** | **USAP** | Programme universel d'audits de sûreté |
| **ICAO Universal Security Audit Programme - Continuous Monitoring Approach** | **USAP-CMA** | **USAP-CMA** | Programme universel d'audits de sûreté - méthode de surveillance continue |
| **West African Economic and Monetary Union** | **WAEMU** | **UEMOA** | Union Economique et Monétaire Ouest Africaine |
| **Wold Bank** | **WB** | **BM** | Banque Mondiale |

**Appendix B – Management and implementation (objectives, outputs and activities)**

| Programme phase | Objectives | Output | Activities | Time-frame | Responsibility | Performance indicators |
|---|---|---|---|---|---|---|
| **INCEPTION** | **1. Establish the Plan coordination mechanisms and implementation modalities** | Steering Committee established | TORs refined and approved | April 2015 | Secretariat | TORs approved (SG) |
| | | | AFI SECFAL Meeting | 18 May 2015 | | Approved work programme |
| | | | 1st Steering Committee Meeting | | | |
| | | Regional AVSEC FAL Group (RASFG) established | Consultation ICAO/AFCAC | May-June 2015 | RO ESAF and RO WACAF<br>AFCAC | Developed TORs<br>Report to Steeing Committee |
| | | | 1st RASFG meeting | September 2015 | | |
| | | Established SECFAL Plan budget and funding mechanism | Initiate fundraising | Immediate | Secretary General<br>RD ESAF<br>Secretariat | Approved budget for the AFI SECFAL Plan<br>Funding strategy in place<br>Adequate funding available to the project |
| | | | Identify sustainable funding mechanism | September 2015<br>Ongoing continous activity | | |

| Programme phase | Objectives | Output | Activities | Time-frame | Responsibility | Performance indicators |
|---|---|---|---|---|---|---|
| **INCEPTION (continued)** | | Plan Management team established | Appoint Secretary to the Plan<br>Recruit members ESAF and WACAF | May 2015-September 2015 | RO ESAF<br>RO WACAF | Appointed Secretary and staff |
| | **2. Develop assistance strategies and a work programme** | Existing Training resources and courses identified | Conduct of a training needs analysis in all sub-regions and member States | Completion by June 2016 | Regional Offices<br>Secretariat | Training resources and needs mapping available<br>Approved training programmes |
| | | Assistance needs and resources identified (AFI States, Sub-regional organizations, donors) | Conduct of an assistance needs analysis | Completion by March 2016 | Regional Offices<br>Secretariat | Assistance needs and resources mapping available |
| | | Approved work programme | Identify objectives, outputs and activities to be undertaken under this Plan. | September 2015 | Regional Offices<br>Secretariat | Approved work programme |
| | **3. All assistance activities in the African Region are actively coordinated to meet the ICAO requirements at a minimum** | Effective coordination | Regular assessment of objectives, outputs and activities to be undertaken under the AFI SECFAL Plan. | Every 6 months | Regional Offices<br>Secretariat<br>Steering committee | Updated work programme and priorities regularly updated |

| Programme phase | Objectives | Output | Activities | Time-frame | Responsibility | Performance indicators |
|---|---|---|---|---|---|---|
| **IMPLEMENTATION (SHORT-TERM)** | **4. Generate the political will needed for States to participate in regional efforts**<br>**(Continued)** | Political will is secured through a declaration | Organization of a High Level Ministerial meeting on the AFI SECFAL Plan.<br>Presentation of AFI SECFAL Plan to Regional Groups<br>AUC coordination /cooperation on AFI SECFAL Plan | April 2016 | Regional Offices<br>Secretariat<br>AUC and AFCAC | Declaration with targets |
| | | | Presentation of the Plan in regional ministerial meetings | Starting in June 2015 | Regional Offices<br>Secretariat<br>AFCAC | Initiative endorsed at the regional level.<br>Number of endorsements |
| | | | Present AFI SECFAL Plan at AU Head of State Meeting | Starting in June 2016 | AFCAC<br>Secretariat | Declaration adopted by December 2017 |

| Programme phase | Objectives | Output | Activities | Time-frame | Responsibility | Performance indicators |
|---|---|---|---|---|---|---|
| **IMPLEMENTATION (SHORT-TERM)**<br>**(continued)** | **5. Establishment of effective AVSEC/FAL oversight systems** | All AFI States have approved Primary Legislation and National programmes (NCASP, NCASQCP, NCASTP); | Provide the outreach and awareness campaign on the AFI SECFAL Plan and aviation security and facilitation culture<br>Joint seminars and/or training at the Regional, State and airport levels.<br>Develop two pilot projects<br>Provide assistance to States | December 2017 | Regional Offices<br>Secretariat<br>AFCAC<br>States | Number of States involved in assistance activities<br>Number of assistance activities provided. One pilot project for ESAF and one for WACAF<br>Regulations Act<br>Establish effective Legislation and Regulations |
| | | All AFI States to establish/reactivate their National Civil Aviation Security Committee (NCASC) and National Civil Air Transport Facilitation Committee (NATFC) | provide training, guidance materials, manuals, scheduled training for establishment of National and Airport SECFAL Committees<br>Develop and test specific pilot projects | May 2015 – December 2017 | Regional Offices<br>Secretariat | Committees formed<br>All States compliant with Standards on NCASC and NATFC<br>All States should have NCASC and 50% Programmes should have FAL Programmes |

| Programme phase | Objectives | Output | Activities | Time-frame | Responsibility | Performance indicators |
|---|---|---|---|---|---|---|
| **IMPLEMENTATION (SHORT-TERM)**<br>**(continued)** | **5. Establishment of effective AVSEC/FAL oversight systems**<br>**(continued)** | Appropriate Authorities for Aviation Security and Facilitation established roles and and have the resources specifically assigned to these areas<br>At least 50% of audited States in the African region achieve at least a 65% EI of the CEs. | Workshops, courses, ad-hoc survey.<br>Provide support to States still in needs to develop national legislation, regulations and NCASP's<br>Provide support to States in needs to correct deficiencies | Immediate - December 2017 | Regional Offices<br>Secretariat | Resources dedicated to AVSEC and FAL<br>All States have established Aviation Authorities Legislation and Regulations<br>All States have established effective Aviation procedures<br>50% of audited States will have achieved 65% EIs |
| | | Reinforce the training capacity | Organisation of train-the-trainers courses on a local, sub regional and regional basis.<br>Further organisation and support of courses and workshops on AVSEC and FAL, including development of courses needed; | Immediate - December 2017 | Regional Offices<br>Secretariat | Number of courses<br>Number of personnel trained |

| Programme phase | Objectives | Output | Activities | Time-frame | Responsibility | Performance indicators |
|---|---|---|---|---|---|---|
| | | | Support to States or sub-region in needs to go establishing training facilities | | | USAP-CMA Audit results<br>Number of AFI States that have approved NATFP in line with latest amendments of Annex 9 |
| | | All African States have National Air Transport Facilitation (NATFP) programmes in place | Provide support to States in need to develop and implement NATFP | Completed by December 2020 | Regional Offices<br>Secretariat | |
| | **5. Establishment of effective AVSEC/FAL oversight systems**<br>**(continued)** | Risk management and sound crisis management procedures are established in all States | Provide support to States in need to develop and implement Risk management and crisis management procedures<br>Seminars and workshops at the Regional, State and airport levels and; mentoring/coaching<br>Crisis management exercises | Completed by December 2020 | Regional Offices<br>Secretariat | Number of AFI States that implemented threat and crisis management procedures (crisis management plans, contingency plans and security and emergency instructions)<br>By December 202, all States have risk and crisis management procedures in place.<br>Increase the preparedness for emergency situations through the development at the |

| Programme phase | Objectives | Output | Activities | Time-frame | Responsibility | Performance indicators |
|---|---|---|---|---|---|---|
| | | | | | | national level and for each airport (number of staff trained, number of exercises conducted) |
| | **6. In all AFI States, only Machine Readable Passports are issued and all non-Machine Readable Passports are removed from circulation** | Issuance of MRTD Passports by November 2015 | Provide support to States that still have not fully implemented Standards 3.10 and 3.10.1 of Annex 9 | By 24 November 2015 and beyond | Regional Offices<br>Secretariat<br>AFCAC | All AFI States are fully compliant with Standard 3.10 |
| | **7. Resolution of existing and new SSeCs** | Existing SSeCs resolved | Assistance missions and validation missions | Immediately | Secretariat<br>AFCAC | All SSeCs resolved |
| | | New SSeCs timely resolved (within 6 Months). | | 6 months | | |

| Programme phase | Objectives | Output | Activities | Time-frame | Responsibility | Performance indicators |
|---|---|---|---|---|---|---|
| | **8. All African Regional States have ratified relevant international instruments** | Status of ratification of international legal instruments by AFI | Promote ratification of all relevant international instruments and assist States in their implementation<br><br>Seminars, workshops | Completed by December 2020 | Regional Offices<br>Secretariat<br>AFCAC | Number of ratified Conventions |
| **IMPLEMENTATION (MID-TERM)** | **9. Establish an effective Human Resource Capacity Building framework** | Human Resource capacity needs analysis framework developed | Support to States in needs to develop human resources (HR) policies<br>Enhance the HR management<br>Seminars, trainings and workshops at the Regional, State and airport levels and; coaching | Completed by December 2020 | Regional Offices<br>Secretariat | Increase in number of States having develop human resources (HR) policies<br>Number of staff trained in HR |
| | | Number of ASTCs in the region increased | Reinforce African ASTCs capacity and increase their numbe | Completed by December 2020 | Regional Offices<br>Secretariat | Number and capacities of African ASTCs increased |
| | | Mechanism to ensure timely implementation of AFI States' | Seminars, trainings and workshops at the Regional and State | December 2020 | Regional Offices<br>Secretariat | USAP-CMA audits results |

| Programme phase | Objectives | Output | Activities | Time-frame | Responsibility | Performance indicators |
|---|---|---|---|---|---|---|
| | | corrective action plans for resolving security and security-related facilitation deficiencies identified by ICAO Universal Security Audit Programme continuous monitoring approach (USAP-CMA). | levels. | | | |
| | **9. Establish an effective Human Resource Capacity Building framework (continued)** | Facilitating the strengthening of a capacity of regional oversight and assure optimum utilization of AVSEC resources and expertise within the African region | Seminars, trainings and workshops at the Regional and State levels. | December 2020 | Regional Offices<br>Secretariat | Number of regional oversight activities |
| | | Availability of qualified National Auditors/Inspectors. | Trainings, workshops | December 2020 | Regional Offices<br>Secretariat | Increase in the number or Auditors/Inspectors |
| | | Promote collaboration and sharing of information amongst African States | Seminars, workshops | December 2020 | Regional Offices<br>Secretariat | Sharing of information mechanisms in place |

| Programme phase | Objectives | Output | Activities | Time-frame | Responsibility | Performance indicators |
|---|---|---|---|---|---|---|
| **IMPLEMENTATION (LONG-TERM)** | **10. Hundred (100) percent of audited States in the Region achieve a 65 percent EI of the CEs** | Determined by level of EI | Further provide support to sub-regions/States in need in order to enable them to achieve at least 65% level of EI<br><br>Misc. activivities to be determined by the Steering Committee | December 2023 | Steering Committee<br><br>Regional Offices<br><br>Secretariat | USAP-CMA Audits results<br><br>Observed EI |
| | **11. Seventy five (75) percent of audited States in the Region achieve a 65 percent EI of the CEs** | Determined by the level of EI | Further provide support to sub-regions/States in need in order to enable them to achieve at least 65% level of EI | December 2020 | Steering Committee<br><br>Regional Offices<br><br>Secretariat | USAP-CMA Audits results<br><br>Observed EI |

**Appendix C – Key Role players – Partners**

The following potential role players, have been identified:

**International Partners / State Authorities / Organizations**

- Aviation authorities / aviation security authorities/other relevant technical cooperation department (partner States such as US, UK, France, Belgium, China, Japan, Canada, Spain, Portugal, etc.)
- WB - World Bank
- ICPO-Interpol
- IOM – International Organization for Migration
- UNHCR – UN Refugee Agency
- UNOWA - United Nations Office for West Africa
- UNOCA – United Nations Office for Central Africa
- UNODC – United Nations Office on Drugs and Crime
- UNCTED - United Nations Counter-Terrorism Committee Executive Directorate
- UNCTITF – United Nations Counter-Terrorism Implementation Task Force.
- WCO – World Customs Organization

**Regional State Authorities / Organizations / Groups**

- AU - African Union
- ACAC - Arab Civil Aviation Commission,
- AfDB - African Development Bank
- AMU - Arab Maghreb Union
- CAERT – Centre africain d'étude et de recherche sur le terrorisme
- CEMAC - Communauté Économique et Monétaire des États de l'Afrique Centrale
- EAC - East African Community
- EC - European Commission
- ECAC - European Civil Aviation Conference
- ECCAS – Economic Community of Central African States
- CEN-SAD - Communauté des États sahélo-sahariens
- COMESA - Common Market for Eastern and Southern Africa
- ECOWAS – Economic Community of West African States
- IGAD - Intergovernmental Authority on Development
- SADC – Southern African Development Community
- UEMOA – Union Économique et Monétaire Ouest Africaine
- UNECA – United Nations Economic Commission for Africa

**Regional Organizations involved in Civil Aviation Security in Africa**

- AATO - Association of African Aviation Training Organization
- AFCAC – African Civil Aviation Commission
- ASECNA – Agence pour la Sécurité de la Navigation Aérienne en Afrique et Madagascar
- CASSOA - East African Community Civil Aviation Safety and Security Oversight Agency

**Industry Organizations**

- ACI-Africa – Airports Council International – Africa
- AFRAA – African Airlines Association
- CANSO - Civil Air Navigation Services Organisation
- IATA – International Air Transport Association
- IFALPA – International Federation of Airline Pilots Associations

**Aviation Security Training Centres**

- Casablanca
- Dakar
- Nairobi
- Johannesburg

**Appendix D – Additional resources required to support the Plan (estimate).**

| Action | Budget estimate first 5 years (2016-2020) | Description |
|---|---|---|
| **Hiring of human resources dedicated to the Plan management[4] and of AVSEC and FAL experts[5]** | US$ 4.4M | Regional Offices ESAF and WACAF will each be reinforced with 1 additional professional staff (1 P4) and 1 additional G4 staff to support the Plan implementation. Also initial assessments indicate that there are additional requirements in the AFI SECFAL Programme for specialists in AVSEC, Facilitation and its training development and in Project management. |
| **Training material development and translation** | US$ 200,000 | Sufficient resources should be provided to develop and translate Seminars/Workshop materials (developed in English, translated into French and Arabic) |
| **Missions** | US$ 370,000 | Sufficient resources should be provided to support mission travel undertaken to develop and implement the Plan. |
| **Steering Committee meetings** | US$ 112,000 | Sufficient resources should be provided to support the organization of Steering Committee meetings with bilingual interpretation services. Where possible, information technology (IT) solutions will be used to reduce costs such as the use of electronic document distribution. |
| **Seminars and Workshops in States** | US$ 440,000 | Support of the convening of seminars and workshops in States. |
| **Communication** | US$ 14,000 | Sufficient resources should be provided to maintain public relations and communication with States, Donors and Regional organizations. (Plan Banner, Logo, Pamphlet, Advertisement, Web page, etc.) |
| **Programme Office (in Nairobi RO)** | US$ 64,000 | Computer equipment for additional staff, office supplies, communications, furniture, etc. |
| **Total** | **US$ 5,600,000** | 5-year period. |
| ***The average amount required per annum is US$ 1,120,000*** | | |

[4] Based on an assumption of 4 Professionals (P), and 2 General Staffs (GS) for the administrative duties: 1GS + 2 P at the Nairobi Office, 1GS + 2 P the Dakar Office at a budget estimate of US$ 3,925,000.

[5] The exact number of additional required experts in the two fields can only be determined after the inception of the project.

**Appendix E – Monitoring and Reporting responsibilities**

| Output | Individual responsible for reporting | Individual or group reported to (*) | Reporting date |
|---|---|---|---|
| Needs analysis on Training | GAT | Steering Committee | Second Steering Committee meeting |
| Inventory of needs and resources and development of strategies | RD | Steering Committee<br>Council | Second Steering Committee meeting<br>207th Council session |
| Report on progress | Chair of the Steering Committee | Council | Every sixth months |
| Increase the compliance to the ICAO SARPs on Security and Facilitation | RD/ISD-SEC and FAL (with ASA) | Steering Committee | Every sixth months |
| Enhance the coordination with donors | RD/ISD-SEC | Steering Committee | Every sixth months |
| Enhance availability of sufficient qualified National/Auditors and Inspectors | RD | Steering Committee | Every sixth months |
| Increase the collaboration amongst African States | AFCAC | Steering Committee | Every six months |
| Report to 39th Session of the ICAO Assembly | RD/ISD-SEC | Assembly | October 2016 |
| Reports of the RASFG | Chair of the RASFG | Chair of the Steering Committee | Every six months |
| Financial reporting | RD | Secretary General | Annually |

* Annual reports on all aspects of the progress in implementing the AFI SECFAL Plan will be provided to Council.

## Responses received from African States to State letter EC6/3-12/70
## Updated: 2 Nov 2015

Q1 — All non-MRPs have expired or are due to expire before 24 November 2015: YES/NO

Q2 — If Q1 is "NO": a) Number of non-MRPs in circulation beyond 24 November 2015;
b) (Date) All non-MRPs due to expire

| State | Responses to EC6/3-12/70 | | |
|---|---|---|---|
| | Q1: YES | Q2(a) | Q2(b) |
| 1. Algeria | X | | |
| 2. Angola | X | | |
| 3. Benin | X | | |
| 4. Botswana | X | | |
| 5. Burkina Faso | X | | |
| 6. Burundi | X | | |
| 7. Cameroon | X | | |
| 8. Cape Verde | X | | |
| 9. Central African Republic | X | | |
| 10. Chad | | | |
| 11. Comoros | X | | |
| 12. Congo | | | |
| 13. Côte d'Ivoire | X | | |
| 14. Democratic Republic of the Congo | | | |
| 15. Djibouti | | | |
| 16. Egypt | X | | |
| 17. Equatorial Guinea | X | | |
| 18. Eritrea | X | | |
| 19. Ethiopia | | | |
| 20. Gabon | | | |
| 21. Gambia | X | | |
| 22. Ghana | | | |
| 23. Guinea | | | |
| 24. Guinea-Bissau | | | |
| 25. Kenya | X | | |
| 26. Lesotho | | | |
| 27. Liberia | | | |
| 28. Libya | — | **600,000** | **31/12/2016** |
| 29. Madagascar | X | | |

| State | Responses to EC6/3-12/70 | | |
|---|---|---|---|
| | Q1: YES | Q2(a) | Q2(b) |
| 30. Malawi | X | | |
| 31. Mali | X | | |
| 32. Mauritania | | | |
| 33. Mauritius | X | | |
| 34. Morocco | X | | |
| 35. Mozambique | — | **5000** | **30/11/2015** |
| 36. Namibia | X | | |
| 37. Niger | — | **1000-1500** | **June 2016** |
| 38. Nigeria | | | |
| 39. Rwanda | X | | |
| 40. Sao Tome and Principe | — | **10,000** | **In 7 years (2022)** |
| 41. Seychelles | X | | |
| 42. Senegal | X | | |
| 43. Sierra Leone | | | |
| 44. Somalia | | | |
| 45. South Africa | X | | |
| 46. South Sudan | X | | |
| 47. Sudan | X | | |
| 48. Swaziland | X | | |
| 49. Togo | X | | |
| 50. Tunisia | | | |
| 51. Uganda | X | | |
| 52. United Republic of Tanzania | X | | |
| 53. Zambia | X | | |
| 54. Zimbabwe | X | | |