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 5: Needs Assessment

IDENTIFICATION OF AREAS OF ASSISTANCE

(Presented by the AFI SECFAL Plan Secretariat)

EXECUTIVE SUMMARY

In accordance with the activities identified in the AFI SECFAL Plan, this discussion paper provides an analysis of the common areas of concerns within the AFI Region based on the results of the audits conducted under the ICAO Universal Security Audit Programme.

Action: The Steering Committee is invited to:

a) Note the needs analysis contained in this discussion paper; and
b) Agree on the recommendations contained in Paragraph 3 of the paper.

1. BACKGROUND

1.1 The work programme adopted at the first meeting of the AFI SECFAL Plan Steering Committee, held on 18 May 2015 in Maputo, Mozambique, includes the conduct of an assistance needs analysis to determine the resources required to develop and support implementation of assistance strategies.

1.2 The analysis is based on the Universal Security Audit Programme (USAP) second-cycle audit findings for the AFI region[1] due to the fact that audit results from audits conducted under USAP-Continuous Monitoring Approach (CMA) were not available at the time. However, as audit results are entered, it will be possible to update the analysis to incorporate the latest results.

1.3 As indicated in previous papers and presentations, the average effective implementation (EI) of an aviation security oversight system was at 53.06% in the AFI region at the end of the second cycle of audits, as compared to 69.30% globally. The analysis below addresses the major areas that require attention. **Attachment** to this discussion paper provides the audit results for each protocol question that had an effective implementation level at or below 50 percent. This is intended to supplement the analysis below.

[1] 47 second-cycle audits were conducted in the AFI Region: ESAF (21), WACAF (20), EUR/NAT (3) and MID (3).

2. DISCUSSION

Development and coordination of national aviation security and facilitation programmes

2.1 Although most States have established regulatory frameworks and national aviation systems are in place, there is a general need to improve national programmes. Such programmes include National Civil Aviation Security Programme (NCASPs), National Civil Aviation Security Training Programmes (NCASTPs), National Civil Aviation Security Quality Control Programmes (NQCPs) and National Air Transport Facilitation Programmes (NATFPs).

2.2 It is important to note that while the appropriate authority for aviation security is responsible for developing and updating these programmes, all entities involved in the implementation of aviation security and facilitation, respectively, should participate and provide their inputs. Consequently, strong coordination mechanisms, such as National Civil Aviation Security Committees and National Air Transport Facilitation Committees, are very important and should be integrally involved in the development and updating of these documents.

USAP audit results

2.3 USAP Audit results indicate that in a significant number of States, airports do not have approved Airport Security Programmes (ASPs) that address aviation security requirements at the airport level in sufficient detail to ensure the correct application of all security measures. Furthermore, less than half of the States in the region review and approve ASPs. Similarly, few States review and approve the security programmes of all aircraft operators and other entities responsible for the implementation of security controls, such as catering companies, cargo entities and air traffic service providers, amongst others.

2.4 Another significant challenge to achieving higher levels of implementation is the availability of financial and human resources, both at the national level to meet States' security oversight responsibilities and at the airport level to ensure the adequate implementation of security measures.

2.5 Operationally, few States have reviewed and approved the training programmes for staff performing security function, and only a third of States have established and implemented certification systems for screeners. Similarly, only half of States certify their instructors.

2.6 It is important to note that less than 10 percent of States are implementing appropriate quality control measures. Thus, correcting and tracking the correction of deficiencies is a significant challenge. While the lack of resources available to conduct oversight activities (as described above) is important, so is the lack of national inspectors and procedures related to the conduct of oversight activities and the mitigation of deficiencies that are identified.

2.7 Another area that requires attention is the response to acts of unlawful interference. Specifically, few States have fully developed contingency plans and clear requirements for the availability and training of staff that is responsible for responding to acts of unlawful interference.

Strategies for assistance

2.8 Strategies for assistance should:

a) focus on the need to improve the region's level of compliance with aviation security and facilitation Standards and its oversight capabilities;

b) note that every State has the primary responsibility to promote aviation security and facilitation as one of its main objectives and to pursue continuous improvement initiatives in order to ensure the highest quality in their implementation;

c) encourage States to demonstrate their political commitment by providing the necessary human and financial resources to aviation security and facilitation, as this is vital to achieve success; and

d) identify financial and in kind resources, where needed.

3. RECOMMENDATIONS

3.1 The AFI SECFAL Plan Steering Committee is invited to:

a) urge States to use USAP-CMA audit outcomes and monitor their own aviation security oversight system to identify deficiencies and implement corrective measures

b) encourage States and donors to develop capacity-building initiatives that provide sustainable solutions to address the deficiencies noted above. After ensuring that resources have been committed, consideration should be given to initially focusing on the development of robust and comprehensive national and airport programmes including, inter alia, NCASPs, NQCPs, NCASTPs, NATFPs, ASPs and AOSPs; and

c) encourage States and donors to coordinate their assistance activities through ICAO to ensure resources are maximized and duplication of efforts are avoided.

— END —

ATTACHMENT A: Protocol Questions with the lowest implementation level in the AFI Region

PQ number	**Protocol question description**	**Standards**	**EI**
9.037	Does the NCASP accurately reflect or reference all current aviation security requirements and measures?	3.1.1	11%
9.040	Of the policies and requirements established in the NCASP, has the State established sufficient guidance, performance criteria and/or procedures to ensure their efficient, effective and consistent application?	3.1.1	11%
9.076	Has the State established a mechanism for passengers, crew, ground personnel and others to confidentially provide feedback related to aviation security?	3.4.7	30%
9.079	Does the State ensure that quality control findings are reported and analysed?	3.4.7	22%
9.094	Is appropriate risk management methodology available and utilized for determining the level of threat?	3.1.3	40%
9.111	If the State does not use various levels of threat, has it established procedures to counter threats to civil aviation?	2.1.3, 3.1.3	33%
9.158	Have procedures been established to share threat information with other States?	2.4.3	43%
9.167	Have procedures to protect, disclose or disseminate security information while maintaining confidentiality been established?	2.4.4	36%
9.192	Does the appropriate authority have sufficient resources to implement the State's responsibility for security oversight?	2.1.2	45%
9.195	Has the State established a mechanism to ensure that it has and maintains sufficient human resources to meet its national and international obligations related to security oversight?	2.1.2, 3.4.6	40%
9.213	Has the appropriate authority developed training programmes detailing what type of training should be provided to aviation security inspectors?	2.1.2, 3.1.6, 3.4.7	43%
9.252	Does the NCASTP apply to and explain training requirements for all personnel involved with various aspects of aviation security with sufficient detail?	3.1.6	30%
9.255	Does the State identify and correct training needs or deficiencies in training?	3.1.6, 3.4.2.	26%
9.264	Does the State require specific training for all staff conducting aviation security functions?	3.4.2	36%
9.270	Does the State review and approve all training courses for staff performing security functions to ensure that national requirements are met?	3.4.2	28%
9.273	Does the State ensure that all required training, basic and recurrent, is completed as required for aviation security personnel?	3.4.2	15%
9.282	Has the State established terms and conditions for certification for security screeners, including performance criteria?	3.4.3	34%
9.285	Has the State established terms and conditions for certification for aviation security instructors?	3.1.7	50%
9.286	Does the State certify aviation security instructors?	3.1.7	22%
9.289	Does the State require aviation security instructors to be re-certified on a periodic basis?	3.1.7	38%
9.297	Has the State established a requirement for the development, implementation and maintenance of an NQCP to validate the effectiveness of the NCASP?	3.4.4	36%
9.315	If the State has established a requirement at the national level for the regular verification of the implementation of security measures, has the State established a requirement for a security risk assessment of civil aviation to be conducted to assist in determining the priorities and frequency of national quality control activities?	3.4.5	44%
9.318	Is appropriate risk management methodology available and utilized to determine the frequency of oversight activities?	3.4.5	19%
9.321	Are priorities and the frequency of quality control activities established on the basis of risk assessment?	3.4.5	13%
9.330	Has the State developed procedures to ensure that corrective measures identified through quality control mechanisms are implemented when determined necessary?	3.4.7	47%
9.333	Has the State developed appropriate forms, checklists and protocols for the conduct of security audits, inspections, tests and surveys?	3.4.6	21%

9.339	Has the State approved appropriate items to be used as covert test pieces?	3.4.6	17%
9.342	Has the State established provisions for the testing of all categories of staff performing security functions at regular intervals to assess their proficiency?	3.4.6	13%
9.345	Has the State established appropriate resolution procedures in the event of failure of covert tests?	3.4.6	28%
9.348	Has the State recently been performing appropriate quality control measures?	3.4.6	9%
9.351	Does the State maintain records related to quality control measures performed, deficiencies identified, corrective actions required and follow-up actions taken?	3.4.7	35%
9.354	Does the State monitor and ensure the consistent and effective application of security audits, inspections and tests?	3.4.6	6%
9.360	Has the State reviewed and approved ASPs for all its airports?	3.2.1	45%
9.363	Has the State established procedures for the amendment and approval of ASPs and a requirement to conduct a periodic review of ASPs?	3.2.1	38%
9.366	Does the State ensure that all aircraft operators and other relevant stakeholders have copies of relevant portions of ASPs?	3.2.1	32%
9.369	Does the ASP address all national requirements for the coordinating authority at the airport level in sufficient detail to ensure the correct application of all security measures?	3.2.1	26%
9.378	If deficiencies or concerns are identified in the tasks delegated to other entities at the airport level has the office/person established a process for their resolution?	3.2.2	44%
9.390	Has the State and airport authority established procedures to ensure that airport design requirements, including architectural and infrastructure-related requirements necessary for the implementation of the measures required in the NCASP, are integrated into the design and construction of new facilities and alterations to existing facilities, and are implemented; including identifying a specific office at the national and airport level responsible for making the final determination regarding the implementation of security considerations?	3.2.4	34%
9.396	Does the State ensure that sufficient supporting resources are available for aviation security at the airport level?	3.1.8	43%
9.399	Does the State take actions to remedy any deficiencies identified with regard to resources for aviation security?	3.1.8	44%
9.411	Does the State require the appropriate entities at the airport level to develop and implement procedures, to be reviewed and approved by the national authorities, to ensure access control measures are effectively implemented with regard to each access point to the airside from non-terminal locations	4.2.1	41%
9.414	Does the State provide sufficient guidance with regard to perimeter protection?	4.2.1	15%
9.426	If national requirements are less prescriptive, has the State established a process to require the development of appropriate procedures at the airport level, to be submitted for review and approval by the appropriate authority?	4.2.2	47%
9.429	Has the State established technical guidance material with regard to the introduction of technology or other alternative non-technological means used for the protection of the integrity of SRAs?	4.2.2	48%
9.441	Does the individual airport pass system in place at airports effectively control access to the various zones within the airside and SRA, if applicable?	4.2.3	19%
9.450	Does the vehicle pass system at airports effectively control vehicle access to the various zones within the airside and SRA, if applicable?	4.2.3	46%
9.453	Has the State established a requirement to ensure that the persons implementing security controls and the persons granted unescorted access to SRAs are subject to background checks?	3.4.1, 4.2.4.	47%
9.468	Does the State ensure that the office or entity responsible for the conduct of background checks for security staff and staff granted unescorted access to SRAs develops appropriate procedures to be submitted to the national appropriate authority?	3.4.1, 4.2.4	42%
9.474	Is appropriate risk management methodology available and utilized for determining the proportion of persons other than passengers entering the SRAs that are to be screened? (if the principle of 100 per cent has not been established)	4.2.6	29%
9.476	Has the State established a policy regarding the application of appropriate security controls to merchandise and supplies introduced into SRAs?	4.6.6	47%
9.477	Has the State designated which organizations/entities are responsible for the application of appropriate security controls to merchandise and supplies introduced into SRAs?	4.6.6	42%
9.478	Does the State ensure that the screening authority establishes and implements appropriate procedures for the screening of persons other than passengers and vehicles entering SRAs?	4.6.6	28%
9.480	If the principle of 100 per cent screening has not been accomplished, has the State established a requirement for the application of security controls to persons entering SRAs, including but not limited to proportional screening, together with the introduction of randomness and unpredictability, based on a risk assessment	4.2.6	43%

9.485	Has the State developed guidance material for the application of security controls to merchandise and supplies introduced into SRAs?	4.2.6, 4.2.7	30%
9.492	Has the State established a review and approval process for AOSPs?	3.3.1	11%
9.495	Has the State established oversight and quality control measures to ensure that AOSPs are being effectively implemented?	3.3.1	15%
9.498	Does the State ensure the implementation of measures for corrective actions and follow-up activity related to aircraft operator operations?	3.3.1	17%
9.510	Has the State established a requirement for a security risk assessment to be conducted to determine whether an aircraft security check or search should be conducted for originating aircraft engaged in commercial aviation?	4.3.1	38%
9.513	Is appropriate risk management methodology available and utilized for determining whether a security check or search is required?	4.3.1	20%
9.516	Does the State's requirement specify the criteria for aircraft checks and searches?	4.3.1, 4.3.4	40%
9.519	Does the State ensure the implementation of procedures for aircraft checks or searches by the respective organizations/aircraft operators?	4.3.1	19%
9.522	Does the State ensure the appropriate organizations/aircraft operators tasked with this responsibility develop procedures for review and approval by the appropriate authority?	4.3.1, 4.3.4	23%
9.531	Does the appropriate authority ensure the effective implementation of measures to ensure that disembarking passengers do not leave items on board aircraft at transit stops at its airports?	4.3.2	33%
9.555	When making arrangements with an aircraft operator for the removal of a deportee, has the State established a policy to make available the necessary information as soon as possible, but in any case not later than 24 hours before the scheduled time of departure of the flight?	A9, 5.19	36%
9.556	Does the State ensure that procedures for the transport of potentially disruptive passengers are adequately implemented, including the notification of the aircraft operator and PIC?	4.7.2, 4.7.3, A9, 5.19	41%
9.564	If the State has introduced an Advance Passenger Information system under its national legislation, does the State adhere to international recognized standards for the transmission of Advance Passenger Information?	A9, 3.47	32%
9.573	Has the State established sufficiently detailed procedures or directives with regard to the carriage of firearms by law enforcement officers and other authorized persons?	4.7.4	43%
9.588	Have procedures related to the carriage of weapons in an area of the aircraft not accessible to other persons been issued to the responsible party/parties as assigned in security programmes?	4.7.6	41%
9.606	Does the State ensure that a written procedure to ensure that the PIC is notified as to the number of armed persons and their seat location is available at the airport level and applicable to all relevant entities involved?	4.7.8	41%
9.615	Has the State developed detailed instructions, guidance material or performance criteria for the screening of passengers and cabin baggage?	4.4.1	23%
9.618	If national requirements for originating passenger and cabin baggage screening are not detailed and prescriptive, has the State established a process to require the development of appropriate procedures at the airport level to be submitted to the appropriate authority?	4.4.1	39%
9.621	Does the State ensure that maintenance and performance testing of screening equipment is conducted?	4.4.1	15%
9.624	Does the State provide guidance or instructions on the types and performance capabilities of security screening equipment to be made available?	4.4.1	43%
9.651	Has the State ensured that the appropriate airport level entities have developed procedures to ensure that during transit operations, transit passengers and their cabin baggage are protected from unauthorized interference, and to ensure the integrity of the security of the airport of transit?	4.4.4	50%
9.654	Has the State established performance standards for screening originating hold baggage?	4.5.1	32%
9.660	If national requirements are less prescriptive (screening of hold baggage), does the State ensure the development of appropriate procedures at the airport level, which are to be submitted to the appropriate authority?	4.5.1	46%
9.666	Does the State ensure that the maintenance and performance testing of screening equipment is conducted?	4.5.1	19%
9.672	If the State relies on screening at the point of origin in foreign States, has it established an appropriate and comprehensive means of ensuring that transfer hold baggage has been screened to an appropriate level at the point of origin?	4.5.4	43%
9.684	Has the State ensured the development of appropriate procedures at the airport level to ensure that hold baggage to be carried on a commercial aircraft is not accessed by unauthorized person(s) from the point it is screened or accepted into the care of the carrier, until it is loaded for departure on board the aircraft?	4.5.2	36%

9.693	Does the State ensure the development of appropriate procedures or provide guidance material at the airport level to ensure the reconciliation of hold baggage?	4.5.3	43%
9.696	Does the State ensure that person /baggage reconciliation and baggage authorization requirements are adequately implemented?	4.5.5	28%
9.698	Does the State ensure the development of appropriate procedures or provide guidance material at the airport level to ensure that only authorized hold baggage is accepted for carriage?	4.5.3, 4.5.5	21%
9.705	Does the State provide guidance material at the airport level to ensure that security controls are applied to cargo and mail prior to their being loaded onto an aircraft engaged in passenger commercial air transport operations?	4.6.1	38%
9.709	If the State requires cargo and mail to be screened, has the State ensured that the maintenance and performance testing of screening equipment is conducted?	4.6.1	27%
9.717	Does the State provide guidance material at the airport level to ensure that cargo and mail to be carried on a passenger commercial aircraft is protected from unauthorized interference from the point security controls are applied until departure of the aircraft?	4.6.3	34%
9.720	If national requirements for the application of security controls and the protection of cargo and mail from unauthorized interference are not detailed and prescriptive, has the State established a process to require the development of appropriate procedures at the airport level for review and approval by the appropriate authority?	4.6.1, 4.6.3	49%
9.726	Has the State established a process for the approval of regulated agents?	4.6.2	47%
9.744	Does the State require specific training for regulated agent staff performing security controls?	4.6.2	44%
9.746	Is appropriate risk management methodology available and utilized for determining the security controls to be applied to cargo and mail for transportation on all-cargo aircraft?	4.6.7	44%
9.753	Has the State developed guidance material for the application of security controls to catering intended for carriage on commercial flights?	4.6.5	48%
9.757	Has the State established a policy regarding the application of appropriate security controls to COMAT and COMAIL intended for carriage on commercial flights?	4.6.5	49%
9.758	Has the State developed guidance material for the application of security controls to COMAT and COMAIL intended for carriage on commercial flights?	4.6.5	37%
9.780	Does the State require the development of procedures to investigate, render safe and/or dispose of suspected dangerous devices or other potential hazards at airports?	5.1.3	49%
9.804	Has the State established a process to require the development of appropriate security provisions by air traffic service providers operating in its territory for review and approval by the appropriate authority?	5.1.1, 5.1.2, 5.1.4	28%
9.805	require exercises to be conducted to practice the management of responses to acts of unlawful interference?	5.1.4	49%
9.806	Has the State established a requirement for a review following either an act of unlawful interference or an exercise to practice response mechanisms?	5.1.4	40%
9.807	Has the State ensured that adequate resources are made available to support contingency plans?	5.1.4	43%
9.808	Does the State require entities involved with decision making processes to be involved with exercises to practice response to an act of unlawful interference?	5.1.4, 5.2.4	43%
9.810	Does the State have a requirement to ensure that personnel responsible for responding to acts of unlawful interference, though not necessarily directly involved with security, are specifically trained for operation in an airport environment?	5.1.5	32%
9.816	Does the State ensure the implementation of notification procedures and minimum response times to entities responsible for providing specialist response to an act of unlawful interference?	5.1.5	23%
9.856	Has the State developed guidance material for the implementation of appropriate security provisions by air traffic service providers operating in its territory?	3.5	37%
9.857	Has the State established a process to require the development of appropriate security provisions by air traffic service providers operating in its territory for review and approval by the appropriate authority?	3.5	16%
9.864	Has the State established a maximum time frame for evaluations following an act of unlawful interference and the introduction of measures in order to remedy weaknesses so as to prevent recurrence of an act of unlawful interference?	3.4.8	43%
9.876	Has the State established a national air transport facilitation programme based on the facilitation requirements of the Convention and of Annex 9 thereto?	A9, 8.17	23%
9.879	Has the State established a policy for close coordination, adapted to circumstances, between civil aviation security and facilitation programmes?	A9, 8.20RP	35%
9.885	Has the State established a policy to regularly update security features in new versions of its travel documents?	A9, 3.7	36%
9.889	Does the State incorporate biometric data in its machine readable passports using data storage technologies as specified in Doc 9303?	A9, 3.9 RP	35%

9.894	Does the State issue identity documents or visas accepted for travel purposes in machine readable form, as specified in Doc 9303?	A9, 3.11 RP	28%
9.897	Has the State ensured that adequate controls are placed on the issuance of CMCs?	A9, 3.67	38%
9.903	Has the State established a requirement to ensure that such documents are immediately removed from circulation and returned to the appropriate authorities or the resident Diplomatic Mission of the issuing State?	A9, 3.46	43%
9.906	Has the State established guidance material or procedures for the seizure of such documents?	A9, 3.46	38%