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

THIRD AFI SECFAL PLAN STEERING COMMITTEE MEETING

Malabo, Equatorial Guinea, 1 July 2016

Agenda Item 1:   **Progress report on the implementation of the Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA) in Africa**

(Presented by AFI SECFAL Plan Secretariat)

EXECUTIVE SUMMARY

This information paper provides to the AFI SECFAL Steering Committee Meeting with information on the progress on the implementation of the USAP-CMA, including the status on the level of effective implementation of the critical elements of States' aviation security oversight systems and an indicative level of compliance with Annex 17 - *Security* Standards in the AFI Region.

Action: The meeting is invited to:
   a) note the progress report on the implementation of the USAP-CMA;
   b) call on States to continue their support to the USAP by:
      (i)   signing the USAP-CMA Memorandum of Understanding (MoU);
      (ii)   accepting dates of USAP-CMA activities as proposed by ICAO;
      (iii)   participating in USAP auditor training and certification courses and regional seminars; and (iv) seconding short-term experts, certified as USAP-CMA auditors, to participate in USAP-CMA audits as team members; and
   c) call on States to seek assistance from ICAO in cases where they encounter any difficulties in the implementation of the SARPs of Annex 17 and the security-related provisions of Annex 9 - *Facilitation*.

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1. BACKGROUND

1.1 Following the completion of the second cycle of Universal Security Audit Programme (USAP) audits in June 2013, the Programme transitioned to a new methodology: the USAP Continuous Monitoring Approach (USAP-CMA). The plan for the transition to the USAP-CMA was formally approved by the Council during its 197th Session (C-DEC 197/1 refers) and called for the launch of the USAP-CMA in 2015. Consequently, the transition to the USAP-CMA was completed at the end of 2014 and implementation of the new approach was initiated in 2015.
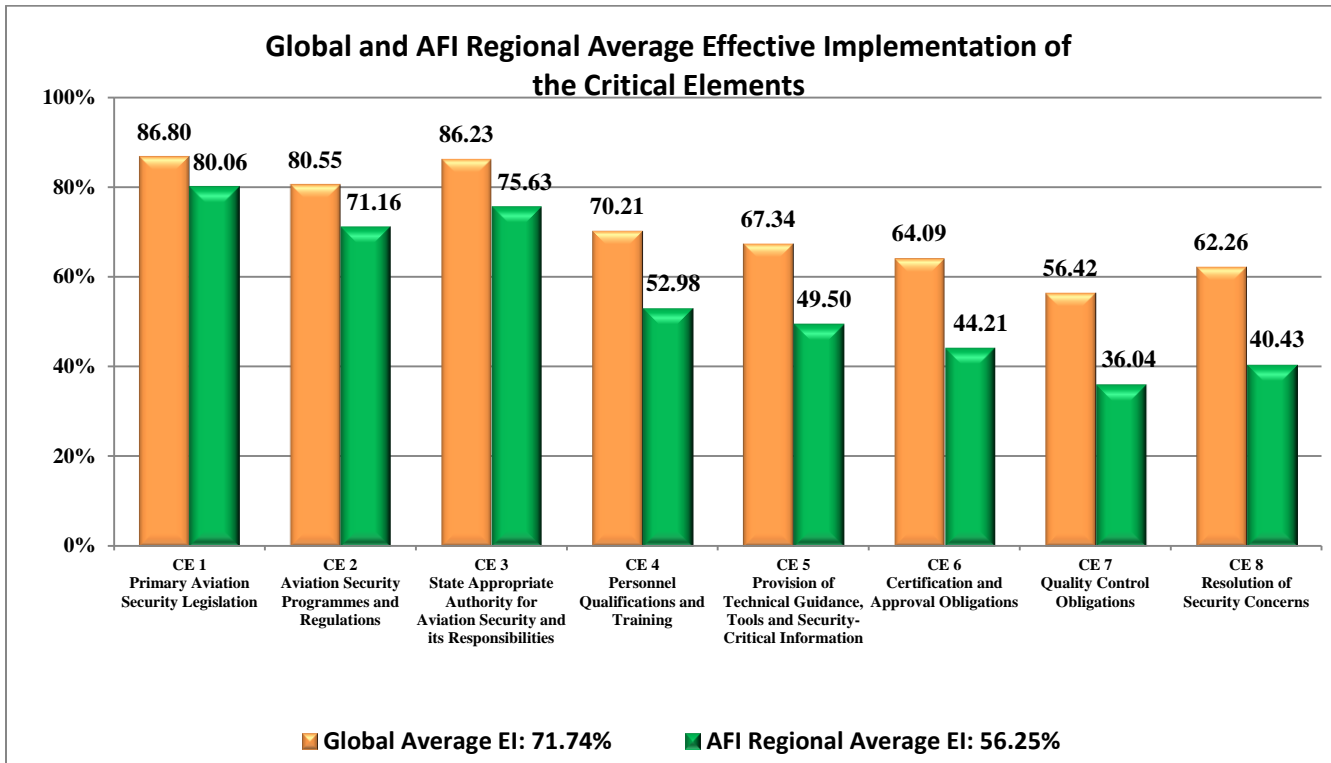
2. IMPLEMENTATION OF THE USAP-CMA

2.1 As of 1 June 2016, 39 USAP-CMA activities had been conducted, including 27 on-site audits, 10 documentation-based audits and two validation missions to evaluate the resolution of Significant Security Concerns (SSeCs) by two Member States. In the AFI region, 10 USAP-CMA on-site audits and one validation mission had been completed.

2.2 The following chart provides an aggregation of the most recent results for the USAP audits conducted under the second cycle and under the USAP-CMA and a comparison of globally and AFI region results. The chart indicates the effective implementation (EI) by States of the eight critical elements (CEs) of an aviation security oversight system (CEs), as identified in Doc 10047 — *Aviation Security Oversight Manual — The Establishment and Management of a State's Aviation Security Oversight System.*

2.3 It's worthwhile note that whilst this information has been aggregated into a single chart, the underlying protocol questions used for the conduct of USAP-CMA audits have changed significantly since the second cycle. This change has resulted in considerable variances in individual State results. Therefore, caution should be exercised when the global aggregated percentage are being referenced, particularly in comparing the global results to individual States' USAP-CMA results. It is anticipate that with more USAP-CMA audits being conducted globally, inconsistencies will be less prevalent and the results will become increasingly precise.
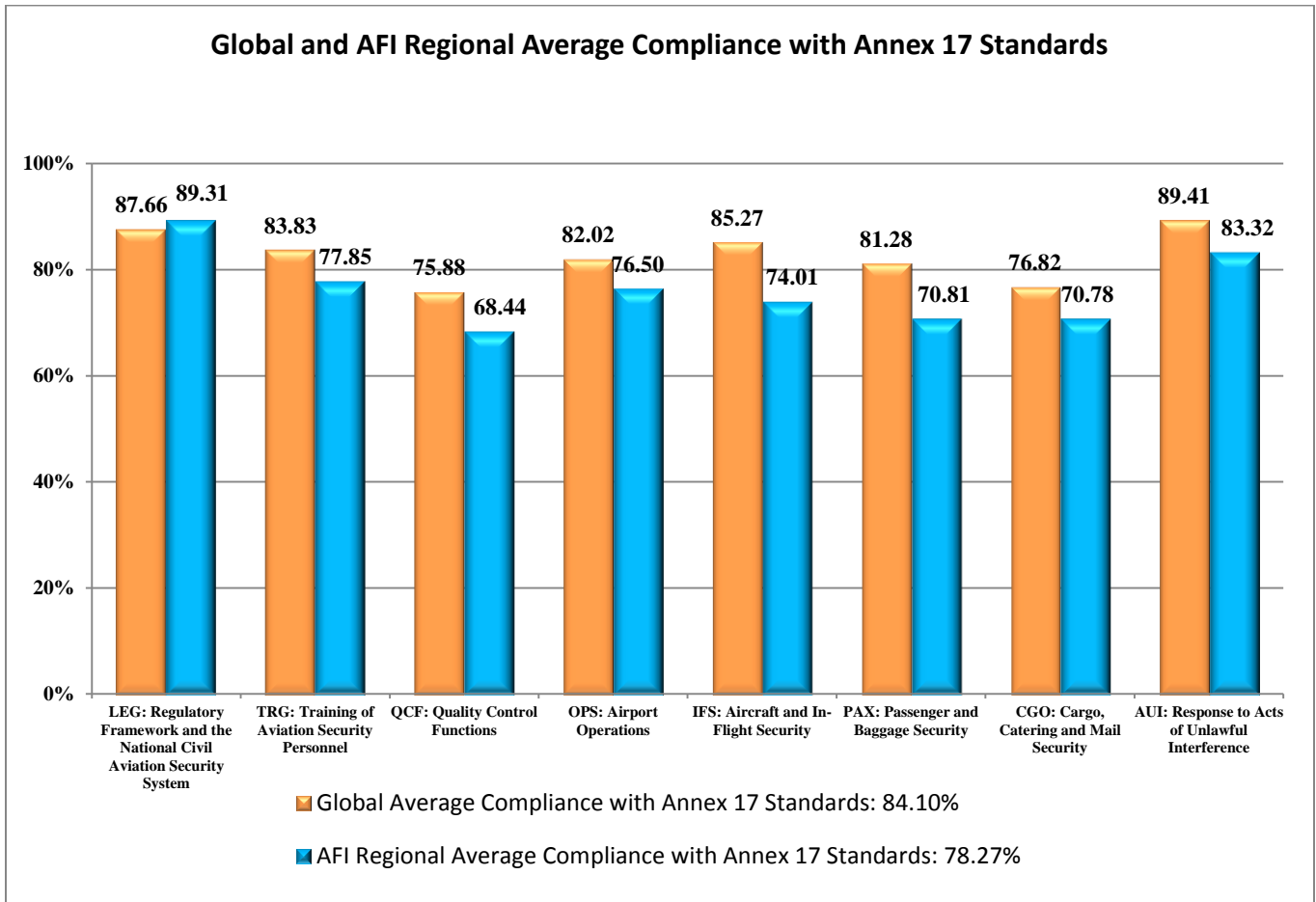
2.4 Furthermore, the global average has continued to elevate with improved performance of States in the recent USAP –CMA audits globally.

Global and AFI Regional Average Effective Implementation of the Critical Elements

	Global Average EI: 71.74%	AFI Regional Average EI: 56.25%
CE 1 – Primary Aviation Security Legislation	86.80	80.06
CE 2 – Aviation Security Programmes and Regulations	80.55	71.16
CE 3 – State Appropriate Authority for Aviation Security and its Responsibilities	86.23	75.63
CE 4 – Personnel Qualifications and Training	70.21	52.98
CE 5 – Provision of Technical Guidance, Tools and Security-Critical Information	67.34	49.50
CE 6 – Certification and Approval Obligations	64.09	44.21
CE 7 – Quality Control Obligations	56.42	36.04
CE 8 – Resolution of Security Concerns	62.26	40.43

Chart 1: Global and AFI Region averages-Effective Implementations of Critical Elements

2.5   The chart above depicts a global average EI of 71.74 per cent over all of the CEs, and an AFI regional average at 56.25%. Comparatively, in 2014 the results were 69.30% and 53.06%, respectively. Of 54 AFI States, 27 States (50%) have an average EI below 65 per cent indicating that it's critical to make significant improvement. It was also observed that CE-7 - States' quality control obligations-, remains the critical element with the lowest overall level of effective implementation both globally and in the region. Similarly, CE-8 – (resolution of security concerns), CE-6 – (Certification and approval obligation), CE-5 – (the provision of technical guidance, tools and security-critical information), and CE-4 – (Personnel qualifications and training), were also noted as areas of concern.

2.6   The following chart 2 depicts the global and AFI region indicative levels of compliance with Annex 17 Standards based exclusively on USAP-CMA audit results. From the chart , it is evident that AFI region has continued to improve on its implementation percentage and that improvement has to be sustained. It is also clear from the chart that Critical Elements concerning Quality Control Obligations and Cargo, Catering and Mail Security remain the biggest challenge globally.

Global and AFI Regional Average Compliance with Annex 17 Standards

	LEG: Regulatory Framework and the National Civil Aviation Security System	TRG: Training of Aviation Security Personnel	QCF: Quality Control Functions	OPS: Airport Operations	IFS: Aircraft and In-Flight Security	PAX: Passenger and Baggage Security	CGO: Cargo, Catering and Mail Security	AUI: Response to Acts of Unlawful Interference
Global	87.66	83.83	75.88	82.02	85.27	81.28	76.82	89.41
AFI	89.31	77.85	68.44	76.50	74.01	70.81	70.78	83.32

■ Global Average Compliance with Annex 17 Standards: 84.10%

■ AFI Regional Average Compliance with Annex 17 Standards: 78.27%

Chart 2: Global and AFI Region – compliance with Annex 17 Standards.

2.7   To support the implementation of the USAP-CMA programme, since 2014 the Secretariat has continued to carry out auditor training and certification courses and regional seminar/workshops in all ICAO regions. Currently, there are 42 certified USAP-CMA auditors from 19 AFI States. Three USAP-CMA regional seminars were conducted in the AFI region in 2014-2015 (Nairobi, Dakar and Cairo), which attracted 110 participants from 38 States. In 2016, three additional seminar/workshops are planned globally, including one in the AFI Region. This seminar/workshop will take place Nairobi from 2 to 4 August 2016.

2.8   As of 1 June 2016, 97 of the 191 ICAO Member States had signed the MoU regarding the USAP-CMA. Within the AFI Region, 25 States (46%) have not yet signed the USAP-CMA MoU: 8 States from the ICAO ESAF region, 14 States from the ICAO WACAF region, two States from the ICAO EUR/NAT region and one State from the ICAO MID region. The importance for all States to sign the MoU at the earliest opportunity cannot be over emphasised.

2.9   The USAP-CMA primary tools, including the Protocol Questions (PQs), the State Aviation Security Activity Questionnaire (SASAQ) and the Compliance Checklists (CCs), are posted on the USAP secure website (http://portal.icao.int) in all ICAO languages. Member States are encouraged to make use of these tools to conduct self-assessments and to prepare for scheduled USAP-CMA activities.

3.   *Significant Security Concerns*

3.1   During its 189th Session, the Council approved a mechanism to address Significant Security Concerns (SSeCs) identified during USAP audits in a timely manner. Details of the SSeC mechanism are described in Electronic Bulletin EB 2010/31, dated 23 August 2010, and the mechanism has been implemented since October 2010. As at 1 June 2016, at the global level, 12 SSeCs remained unresolved in five States, including two States in the AFI region. The Secretariat is working closely with these States to monitor progress toward the resolution of all outstanding SSeCs and to provide assistance in this regard.

Disclosure of audit results

4.   Graphical representations of the EI for States audited under the USAP-CMA are available on the USAP secure website, together with a graph providing an indication of compliance with Annex 17 Standards. In addition, the USAP secure website provides all Member States with access to information pertaining to the existence of SSeCs. This information is not available to the public.

5.   IMPLEMENTATION OF THE USAP-CMA IN 2016

5.1   As of 1 June 2016, a total of 29 USAP-CMA audits are scheduled for completion in 2016, including the following States from the AFI region:

2016 Schedule of USAP CMA activities in AFI Region		
	Completed	**Scheduled**
1.	Niger	Burkina Faso
2.	São Tome and Principe	Congo
3.	Botswana	Gabon
4.	Tunisia	

5.2   As was the case during the first and second cycles of USAP audits, the successful implementation and completion of the audits as scheduled remains dependent on States accepting the dates proposed by the Secretariat. It is to be noted that the previously scheduled audits of Burundi and Uganda have been postponed to 2017.

5.3   The engagement of Member States in the USAP-CMA confirms States' commitment to implement ICAO security-related Standards and strengthen aviation security. USAP-CMA audits continue to play a central role in the identification of deficiencies, providing useful information for the targeting of assistance activities and the development of aviation security policy, thus serving as a catalyst for Member States' continued efforts to meet their international obligations in the field of aviation security.

5.4   Nevertheless, the results of both the second-cycle audits and USAP-CMA audits indicate that a number of States continue to experience difficulties in meeting aviation security obligations. Ongoing monitoring of progress made by States in this regard will continue to be provided under the USAP-CMA.

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