1. **Guideline for conducting the gap-analysis**

   a. Thoroughly understand the gap analysis methodology advocated by the Global Aviation Safety Plan – Roadmap, contained in the GASR manual and discussed during the Abuja Workshop (for ease of reference, please refer to the FSIX website for an electronic version for both the GASP and GASR Manuals).

   b. Review the latest USOAP findings including corrective action plans if available.

   c. If available, review any other operational audit or inspection that may have been conducted by other organization (Ex. IOSA, IASA, Ramp-check, etc.).

   d. Use all information gathering tools (Word document and Excel-based) to gather the required information. If State has completed and submitted the Questionnaire on Aviation Activities earlier forwarded by ACIP and the Regional Offices, review in light of Attachment B to this document and complete/confirm as applicable.

   e. Complete the information required as presented in this guideline in cooperation with the State and other stakeholders, as appropriate.

   f. Review all information gathered with State authorities and ascertain its validity before concluding the mission and forwarding the report to ACIP.

   g. Refer to the Questionnaire earlier forwarded to States and try to acquire a more detailed response to the questions. Please go through this exercise, even if the State has already submitted a completed version. Ask to see evidence where it is appropriate.

   h. This is not an audit and is not designed to identify shortcomings and forward recommendations, responsibilities that are the responsibility of the Safety Oversight Audit Section. The aim of collecting information for the purpose of gap-analysis is to enable the State to develop and establish an effective and sustainable safety oversight system preferably within a regional safety oversight organization. It thus aims at guiding States to take advantage of a regional system through the sharing of resources and thus effectively meet their international obligations for safety oversight. Its goals extend to enabling States to establish regional accident investigation systems that would ensure a reliable and non-partisan accident investigation exercise leading to addressing the cause of accidents and serious incidents.
i. The information collected should enable ICAO and all stakeholders to identify the strengths that a State can bring to a Regional Safety Oversight System or the weaknesses that can be strengthened through a Regional Safety Oversight System, in all cases enhancing aviation safety throughout the continent.

2. **Conducting the analysis and identification of stakeholders to be interviewed**

ICAO has adopted the Global Aviation Safety Roadmap (GASR) as the appropriate tool and methodology for the implementation of aviation safety-related actions. Thus the implementation steps detailed in the Global Aviation Safety Plan (GASP) and the methodology contained in the GASR are to be strictly followed in the implementation of the gap analysis and follow-up implementation plans to be effected under the Comprehensive Regional Implementation Plan for Aviation Safety in Africa. The primary objective of the Roadmap is to provide a common frame of reference for all stakeholders whose commitment is critical for the success of the coordinated aviation safety policies. The gap-analysis is therefore to be conducted using this framework as its primary reference to identify the strengths and weaknesses currently existing in the concerned States. The identification of strengths and weaknesses should eventually lead to the establishment of sustainable and effective safety oversight systems that has involved the participation of all concerned stakeholders.

**Gap-analysis related information:**

The following elements are essential part of the information to be gathered in order to enable ACIP to assist States in the development and establishment of a viable and sustainable Regional Safety Oversight Organization:

1. Availability of National Legislation providing for the Organization and Empowerment of a Civil Aviation Authority (Directorate, etc.);
2. Availability of operational regulations specifically in the areas of personnel licensing, aircraft operations, aircraft airworthiness and aerodrome certification;
3. Whether the regulations are current vis-a-vis international SARPs and whether there is a system established for the amendment of the regulations in a timely manner;
4. Who is responsible for the promulgation and amendment of operational regulations and what is the process?
5. The organization of the civil aviation system in general and the structural organization vested with the powers for safety oversight in general;
6. Number and working conditions of professional technical staff members:
   a. Area of expertise – how many?
   b. Experience and training record,
   c. Turnover rate – how many years of service on the average?
d. Whether the system is a competitive employer and has the ability to attract, recruit and retain highly qualified and experienced personnel,

e. Incentives established to ensure retaining experienced personnel, etc;

7. The number and names of operators registered and operating in the State as their home-base of operation;

8. The number and names of operators registered in the State but have a foreign home-base of operation:
   a. Where are such operators based?
   b. How does the State ensure proper safety oversight on such operators?
   c. Has the State entered into an Article 83 bis agreement with the State of the Operator?

9. The number and names of operators registered in another State but have their base of operation in the State:
   a. Has the State entered into an Article 83 bis agreement with the State of Registry?

10. Which airlines conduct international operations and to how many countries in the region and outside of the region?

11. The number and type of aircraft registered in the State and maintain current airworthiness certificates:
   a. Engaged in commercial operation
   b. Business/Private aircraft;

12. Aircraft registered in the State and issued with airworthiness certificate but operating/based in other States:
   a. How does State ensure continuing airworthiness?
   b. Has the State entered into an Article 83 bis agreement with the States where the aircraft are based/operating?

13. Aircraft maintenance organizations established in the State:
   a. Name, ownership and the type of maintenance service provided (type of aircraft, level of maintenance service (e.g. C-Check, D-Check, Engine overhaul, etc.);

14. Number and type of licences issued by the State
   a. Direct issue (all processes conducted in the State),
   b. Issued on equivalency basis,

15. Processes and procedures established for personnel licensing, air operator certificate and aircraft airworthiness certificate.

16. Accident investigation processes and procedures:
   a. Whether there is an entity responsible for accident and serious incident investigation
   b. Source of experts required for accident and serious incident investigation
   c. Independence of accident investigators
   d. Whether there had been accidents or serious incidents in the last five years and report relating to those accidents and serious incidents;

17. The number of airports in general and the number of certified airports in particular:
   a. Type of operation,
   b. Management and status (government, Para-governmental, private, regional, etc.);

18. The provision of air traffic services:
   a. Type of service provided,
b. Management and status (government, Para-governmental, private, regional, etc.);

19. The number of scheduled daily departures from all airports in the State on international operations;

20. The number of scheduled weekly departures from all airports in the State on international operations;

21. The average number of monthly/annual (e.g. 2007) non-scheduled departures from all airports in the State international operations;

22. The number of daily departures from all airports in the State on domestic operations;

23. The number of weekly departures from all airports in the State on domestic operations;

24. The average number of monthly/annual (e.g. 2007) non-scheduled departures from all airports in the State on domestic operations;

25. Non-governmental aviation organizations established and operating in the State (International, regional or sub-regional organizations, aviation-related professional bodies):
   a. Nature of the organization,
   b. Membership,
   c. Activities,
   d. Contribution towards enhancing aviation safety, etc;

**Funding-related essential information required:**

1. How is the civil aviation authority and in particular, its safety oversight activities funded?

2. Approximately, what is the annual income generated through civil aviation charges and tariffs?

3. What is the annual budget of the civil aviation authority and in particular, the budget allocated to its safety oversight-related activities?

4. What percentage of the income generated through civil aviation charges and tariffs is allocated to civil aviation in general and the safety oversight-related activities in particular?

5. How does the remuneration, including benefits, of State civil aviation experts compare with that of the private industry in the State?

6. Any other information relating to funding, budget, remuneration, etc., which in your opinion may have an impact on the State capability to establish and maintain an effective and sustainable safety oversight system.

Please note that you are collecting information and not auditing the State; that means it matters a lot on how you pose the question or seek the information. However, it is important that the information gathered is factual and there is evidence to this effect.

You work in partnership with State and COSCAP Officers and not on your own. This should help to make it easier to collect the information and put it into a data format. While the process is going on, or even before it starts, we will try to establish a template to enable data collection and recording. ISD, Safety may be able to help us in this area and we will make it available as soon as it is developed.

**Stakeholders:**

The stakeholders whose participation would contribute to the information gathering and gap-analysis through visits and interviews include, but not be limited to the following:
- Civil Aviation Authorities/Directorates, etc. (the national agency responsible for regulating and controlling civil aviation activities in the State;)
- Airport Operations Authorities/Management (entities that are responsible for the management and operation of airports regardless whether the airport serves international or domestic only commercial operation);
- Air Navigation Service Providers/Management (entities that are responsible for the provision/management of air traffic/navigation services regardless whether such operation is provided by the State or other organizations/authorities);
- Accident Investigation Bodies that may have been established in the State;
- Airlines/ Air Operators (Operators that are registered in the State including operators that may be registered in other Contracting States but have significant level of operation in the State);
- Aircraft maintenance and repair organizations providing services to the air operators in the State;
- Aircraft, aircraft parts and equipment manufacturers, if available;
- International and Regional aviation-related organizations that may have established offices in the State;
- Aviation professional associations that may have been established in the State;
- Shippers, cargo service providers and handlers that may be operating in the State (If an association of such service providers is available, interviewing the association leaders may suffice instead of trying to approach every organization).
- Industry representatives (in the case that there is an industry-wide association, it would be prudent to interview the leaders of such associations).

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