



COSCAP SA

**ELECTRONIC COSCAP
CAPACITY BUILDING MATRIX
(E-CCBM)**

**STANDARD OPERATING
PROCEDURES
(SOPS)**

**ELECTRONIC CAPACITY BUILDING MATRIX (E-CCBM)
PROCEDURES MANUAL**

Index

General

- Purpose P. 2
- Background P. 2
- Methodology P. 2
 - Phases P. 2
 - Changes to the SACBM Qualification Criteria (QC) P. 4
 - Computerization of the SACBM P. 4

Procedures

1. Definitions P. 5
2. How to Request Assistance Through the E-CCBM P. 5
3. Financial and VISA Arrangements Between the Home and
Hosting States P. 6
4. How to Prepare for an E-CCBM Mission P. 6
5. On-Site P. 6
6. End of Mission and Evaluation Reports P.6
7. Record Keeping and Tracking P. 7
8. Administrative Procedures on how to keep the E-CCBM current
(sustainability) P. 7
9. Certified E-CCBM Expert Levels P. 8
10. COSCAP SA Website – E-CCBM P. 8
11. Appendix A E-CCBM Expert Mission Report App A
12. Appendix B Performance Evaluation Report for E-CCBM Experts App B



GENERAL

PURPOSE

The purpose of this manual is to provide guidance to Member States on how to use the Electronic COSCAP Capacity Building Matrix (E-CCBM). Note: The first version of the E-CCBM was referred to as the COSCAP SA South Asia Capacity Building Matrix (SACBM).

BACKGROUND

With the approval of the 24th COSCAP SA SCM, the South Asia Capacity Building Matrix (SACBM) work was launched in January 2016. The objective of the SACBM was to identify inspectors/officers within South Asia Civil Aviation Authorities/DGCAs who could provide support in terms of expertise/training and technical assistance to other Member States within the sub region (South Asia). In addition, the SACBM would also identify retired inspectors/officers who could continue to provide support to member States (COSCAP SA would employ them). Note: At a later stage, it is also intended to include South Asian experts within **the industry** on the SACBM.

The SACBM was not designed for “the developed world”. It was specifically designed for **South Asia** where inspectors/ officers could participate at sharing their experiences (in their area of expertise) and also learn and develop from the other States "best practices" based purely on **cooperation**. The main goal is for the SACBM to mature and evolve as States progress in the development of their aviation, both regulatory and industry. Eventually, SACBM Qualification Criteria for the South Asian " experts" will move a lot closer to the expertise we find (for example) in Europe, North America, and Australia. However the progression to this goal must be done incrementally as the aviation industry and regulators matures in this sub region. Culture also plays an important role and must be taken into consideration too.

METHODOLOGY

1) Phases

The project was initiated in several phases as such:

PHASE ONE:

Six SACBM Qualification Criteria (QC) were developed within the areas of Flight Operations, Cabin Safety, Personnel Licensing, Airworthiness, Aerodromes and Air Navigation Service. Note that more areas may be added at a later time once the project/Matrix matures.

These six Qualification Criteria were initially developed by the CTA taking into consideration various factors such as:

- What currently exists in terms of QC internationally (i.e. ICAO, EASA, FAA, TC etc.)



South Asia

- How do they measure vis a vis the realities of South Asia
- What would be considered “reasonable” in terms of the years of experience with the CAA/DGCA within their area of expertise **in a South Asian context**
- What “State current practices” and *cultural aspects* must be considered

Once draft QCs were developed, the CTA distributed them to Member State National Coordinators (NCs) so that they could provide comments and revise as necessary. Note that the NCs would coordinate internally to ensure that proper feedback was received from their own specific/specialized areas of expertise.

During the National Coordinator meeting in June 2016, the SACBM QCs were finalized (in Draft format) and then presented to the 25th Steering Committee in July 2016 for approval.

All of the member State DGCAs/Chairmen were present during the 25th Steering Committee Meeting, which was an essential element in getting a standardized approach across the **entire** sub region. In addition to approving the QCs, several critical decisions in the administration of the SACBM were unanimously agreed upon and approved as such:

- The home State (of the expert) would pay their expert’s regular salary.
- The home State would not request any extra nominal fees from the hosting State.
- The hosting state (requesting assistance) would be responsible for all of the expert’s related traveling expenses (i.e. Airfare, and applicable DSAs).
- The United Nations DSA rates would be used by all hosting states in order to ensure standardization and fairness across the sub region.
- At the end of the expert mission, the hosting state would submit a completed evaluation report to the CTA for analysis and record keeping and also to the home state for information

PHASE TWO:

Once approved, the CTA started the assessment process by visiting each State accordingly. In order to ensure efficiency, in most cases, the CTA combined multiple missions in various States to conduct the assessments.

Inspectors/officers who had at least 3 years or more with the CAA/DGCA were assessed. Those who had 5 years or more and who met the qualification criteria were placed on the matrix.

PHASE THREE:

The SACBM was implemented in March 2017 on a trial basis with Bhutan being the first host state to request assistance through the SACBM. An expert from Sri Lanka was deployed by the home State accordingly. The mission was very successful. The host state submitted a performance report to the CTA for analysis and record keeping. In addition, the CTA forwarded a copy of the performance report to the DGCA of Sri Lanka. An

evaluation form with a rating scale has been developed accordingly.

2) Changes to the SACBM Qualification Criteria (QC):

During the last National Coordinator meeting on August 22-23, 2017, it was decided to introduce a few amendments to the SACBM Qualification Criteria. In addition, the CTA has also suggested some additional amendments to be more realistic. Since the SACBM is a “live” document, further changes to the Qualification Criteria are anticipated as it gains maturity.

3) Computerization of the SACBM and evolution into the Electronic COSCAP Capacity Building Matrix (E-CCBM):

The SACBM was constructed in the Excel format. The format allowed for any changes to be easily incorporated. The SACBM has now been computerized for easy access to Member States and has been expanded to other Asia Pacific (APAC) COSCAP sub regions (COSCAP SEA and COSCAP NA). It is now referred to as the Electronic COSCAP Capacity Building Matrix (E-CCBM). It will be accessible through the COSCAP Website (s) but with restricted access. Each Member State will designate an administrator who will receive a User ID and password for access accordingly. Note that the information on the E-CCBM is confidential and can only be accessed by authorized personnel.

E-CCBM PROCEDURES

DEFINITIONS:

Home State: The home State is the State who is providing an expert to the hosting State

Hosting State: The hosting State is the State who is requesting assistance

Expert: An expert is a person who has been declared eligible to be placed on the SACBM after being assessed satisfactory vis a vis the E-CCBM Qualification Criteria.

UN DSA: Daily Substance Allowance rate used by the United Nations

Terms of Reference (ToR): A document containing the details of what work (and duration) is expected out of the expert

D) HOW TO REQUEST ASSISTANCE THROUGH THE SACBM

Host States who wish to request assistance through the E-CCBM shall follow the following procedures:

- 1) Develop a Terms of Reference (ToR) for the E-CCBM mission. The ToR shall include the following as a minimum:
 - Type of Expert requested (i.e. Flight Operations, PEL, Airworthiness, Aerodromes etc)
 - Areas to be worked on (i.e. PEL: development of a PEL division within the Authority)
 - Description of the work required (i.e. Provide guidance and assistance in the development of a PEL division within the authority which will include developing a filing system, various PEL forms, licenses for Flight Crews and Air Traffic Controllers, medical certificates, tracking systems and guidance material for PEL inspectors.
 - Duration of the mission (i.e. two weeks)
 - Dates and hours of work (i.e. February 5-16, 2018 – 0900-1700 hrs)
 - Location of the mission (i.e. Paro, Bhutan)
 - Facilities (i.e. Bhutan Civil Aviation Authority PEL offices)
- 2) The host State will discuss and provide the applicable COSCAP CTA a copy of the ToRs.
- 3) The CTA will review the ToR and obtain any clarifications from the hosting State as required.
- 4) Once satisfactory, the CTA will examine and identify those E-CCBM experts who could offer the requested assistance.
- 5) The CTA will then contact the **home State** CAA/DGCA and determine availability of the expert(s) to conduct the mission.
- 6) The home State DGCA/CAA will then confirm availability of an expert.
- 7) If there is more than one expert available from different Home States, the CTA will select the expert who is at the highest E-CCBM level (reference to E-CCBM

South Asia

- QC Grading System)
- 8) At its discretion, the hosting State may request an interview with a proposed expert(s) to determine suitability and qualifications accordingly.
 - 9) Once an expert has been confirmed, his/her DGCA shall confirm his appointment to the mission.

II) FINANCIAL AND VISA ARRANGEMENTS BETWEEN THE HOME AND HOSTING STATES:

As per the Record of Conclusions of the 25th COSCAP SA SCM, all member States have agreed to the following financial arrangements when using the E-CCBM:

- The home State (of the expert) would pay their expert's regular salary.
- The home State will not request any extra nominal fees from the hosting State.
- The hosting State (requesting assistance) will be responsible for all of the expert's related traveling expenses (i.e. Airfare, and applicable DSAs).
- The applicable (i.e. most current) United Nations DSA rates will be used by all hosting states
- The hosting State will contact the expert to make arrangements for the payment of the airline ticket and appropriate UN DSA.
- The hosting State will facilitate any VISA and Hotel arrangements for the expert.

III) HOW TO PREPARE FOR AN E-CCBM MISSION

The following procedures will be followed when preparing for a E-CCBM mission:

- 1) Once the expert has been selected, confirmed and assigned to the mission, the **host State** shall assign a **person who will be the expert's primary Point of Contact (POC) throughout the mission.**
- 2) The POC will initiate contact the expert to discuss the mission accordingly.
- 3) The POC shall provide all the required material (i.e. link(s) to their regulations/requirements/manuals) and any other information and/or assistance that will allow the expert to prepare for the mission.
- 4) Depending on the magnitude, scope and depth of the mission, the expert shall be allowed adequate time to prepare for the mission **beforehand**. This time shall not be less than 5 working days.

IV) ON-SITE

Once the expert has arrived on-site, the following procedures will be followed:

- 1) The hosting State shall arrange for transportation of the expert throughout the mission.
- 2) The expert shall carry out the mission as specified within the ToRs. Adjustments may be made as necessary, at the discretion of the **hosting State**.

V) END OF MISSION AND EVALUATION REPORTS

AMEND WITH NEW PROCEDURES DEVELOPED

- 1) At the end of the mission, the expert shall provide an E-CCBM Mission Report as

South Asia

- outlined in Appendix A.
- 2) The mission report shall cover all activities conducted during the mission.
 - 3) A copy of the mission report shall be provided to the CTA for distribution to the DGCA of the Hosting and Home States.
 - 4) The hosting State shall complete a E-CCBM Expert Evaluation Report (EEER) using the form in Appendix B
 - 5) A copy of the EEER shall be provided to the expert, DGCA(Home) of the expert and the applicable COSCAP CTA
 - 6) The expert shall be provided at least 3 days for report writing

VI) COSCAP SA E-CCBM RECORD KEEPING AND TRACKING

The following Record and tracking procedures shall be followed:

AMEND WITH NEW PROCEDURES DEVELOPED

- 1) The COSCAP SA CTA shall maintain records of all SACBM missions conducted.
- 2) The records shall include the following:
 - Host State's Terms of Reference for the mission
 - Contact information of assigned expert
 - Mission Reports
 - E-CCBM Expert Performance Evaluation Reports (SEPER)
- 3) The E-CCBM Expert Performance Evaluation Report rating scores for each expert shall be tracked for future reference purposes.
- 4) The CTA shall report to the Steering Committee the progress and status of the E-CCBM during the SCM.

VII) ADMINISTRATIVE PROCEDURES for the E-CCBM – **AMEND WITH NEW PROCEDURES DEVELOPED**

The E-CCBM is accessible (through the APAC COSCAP Websites). Member States appointed E-CCBM administrators will have access to the E-CCBM in order to add and/or update their respective State experts vis a vis the Qualification Criteria. They will also have access to an electronic E-CCBM Expert Performance Evaluation form when evaluating the expert after a mission has been completed. In addition, the expert will have access to an electronic Mission Report which will be required after the mission is complete. Both electronic forms collect statistical data, which will be used for trending purposes.

The following procedures shall be followed in order to keep the E-CCBM current:

- 1) The E-CCBM shall be revised on an annual basis as follows:
 - Member State assigned E-CCBM administrators shall review the list of their respective State inspectors/officers on an annual basis. This is preferable done during the Employee Performance Review cycle established by the State. They will determine if the following condition(s)

has occurred for each inspector/officer:

1. Other than years of experience, did the inspector/officer acquire an additional qualification (i.e. New aircraft type training; RVSM; PBN, Train the Trainer, Training on USOAP CMA, SMS, SSP etc)
 2. Number of years as a CAA/DGCA inspector in his/her area of expertise
 3. Which inspector/officers have since retired/resigned from the CAA/DGCA
 4. Since retired/resigned inspectors/officers may remain on the E-CCBM, obtain **contact information** where the retired/resigned expert may be reached;
- 2) The COSCAP will conduct Quality Assurance on the E-CCBM every **two years** to ensure that the expert data is properly entered into the system.
 - 3) The COSCAP will encourage and support States to continue to develop inspectors on the matrix to optimize capacity building.
 - 4) The COSCAP will encourage and support retired inspectors to maintain a level of currency as deemed feasible.

ADD NEW QA PROCEDURES DEVELOPED

VIII) Certified E-CCBM Expert Levels

In order to attain and maximize the level of knowledge and experience of E-CCBM inspectors/officers a system has been established to recognize this as such:

- **Level 1: Basic Expert** who has established the minimum of 5 years experience in his/her area of expertise **within a CAA/DGCA Delete**
- **Level 2: Intermediate Expert** who has established a minimum 8 years experience in his/her area of expertise within a CAA/DGCA + USOAP + TT + 10 SACBM Missions
- **Level 3: Senior Expert** who has established 10 years or more experience in his/her area of expertise within a CAA/DGCA + USOAP + TT + AIG + 20 SACBM Missions
- In addition to the above, other requirements may be required in order to graduate from one level to another

Credit will be given for experts who have participated on other types of missions such as: ICAO, CAT, EASA, COSCAPs

VIX) APAC COSCAP WEBSITE – E-CCBM WILL BE POSTED IN MARCH 2020 ONCE DOWNLOAD TO NEW SITE COMPLETED

- 1) The E-CCBM is posted on the APAC COSCAP Websites. Access is restricted to COSCAP CTAs and Member State E-CCBM administrators.



Appendix A

E-CCBM EXPERT MISSION REPORT

This report contains two parts

Instructions:

- For Part I of this report, please circle either a **Yes** or **No** answer for each question. If you have any comments, please fill up the comments section as required
- Please feel free to use extra page for comments if necessary
- The information provided in Part I is the COSCAP use only.
- Information will be used for statistical analysis for the purpose of continuous improvement to the E-CCBM system overall.
- After completing Part I, please proceed to Part II of the report, which is the narrative portion.

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PART I

I) Administration:

Were you able to obtain a **VISA** (if required) on a timely basis?

- Yes
- No
- Comments:

2) Did you receive your **DSA** from the host State on a timely basis?

- Yes
- No
- Comments:

3) Did you obtain your **airline ticket(s)** on a timely basis?

- Yes
- No
- Comments:

4) Were your **hotel accommodations** adequate?

- Yes
- No
- Comments:

5) Did you receive adequate **transportation** to and from the airport and place of mission?

- Yes
- No
- Comments:

6) Did you receive adequate **administrative support** from the host State during your mission?

- Yes
- No
- Comments:



II) Pre- Mission Preparations

1) Did the host State provide you with a **contact person**?

- Yes
- No
- Comments:

2) Were the **Terms of Reference (ToRs)** clear enough for you to understand the objectives of the mission?

- Yes
- No
- Comments:

3) Did the contact person provide you with **required material** to prepare for the mission (prior) on a timely basis?

- Yes
- No
- Comments:

4) Did you have enough **time to prepare** yourself for the mission while at your home State?

- Yes
- No
- Comments

III) On-Site

1) Were you provided with adequate **facilities and equipment** to conduct your mission on-site?

- Yes
- No
- Comments:

2) Did you have **enough information** to conduct your mission?

- Yes
- No
- Comments:



South Asia

3) Did you have **enough time** to complete your mission?

- Yes
- No
- Comments:

4) Were you able to **conduct all objectives** mentioned within the ToRs?

- Yes
- No
- Comments:

IV) Post Mission:

1) Did you have enough time to complete your **mission report**?

- Yes
- No
- Comments

2) Overall, did you feel **comfortable and well prepared** in conducting this mission?

- Yes
- No
- Comments

3) Is there anything you and/or the hosting State could have **done better to improve** the conduct of this mission?

Comments:

END OF PART I



PART II:
Please complete this part with a narrative report of your mission

SACBM Mission Narrative Report

Prepared By	
Place of Mission	
Dates	
Objectives	
Officials Met	
Summary of mission	
Follow-up if required	
Other Information	

Submitted by:

Signature:

Date:

END OF PART II



Appendix B

PERFORMANCE EVALUATION REPORT – E-CCBM EXPERTS

Guidelines for Host States

The COSCAP appreciates your professionalism and time in completing the required Performance Evaluation Report form. We have provided the following important points to assist you in conducting and completing the form. Please feel free to contact the CTA if any other information or assistance is required.

1. The Evaluation Report shall be completed and reviewed with complete fairness and transparency.
2. If an unsatisfactory rating / mark is given to the expert, please provide comments / justifications in writing for the purpose of documenting your observations for such rating on the form, if additional space is required, please attach an additional sheet.

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**E-CCBM EXPERT
PERFORMANCE EVALUATION REPORT**

Name of Expert: _____ Mission Location: _____

Post held: _____ Home State: _____

Mission Period covered: From: _____ To: _____

A. PERSONAL TRAITS AND ABILITIES

Check (☒) appropriate rankings REMARKS (N/A, etc.)

I. Accountability / Responsibility

- Very willing to accept responsibility 1 _____
- Accepts responsibility as it comes 2 _____
- Inclined to refer up matters 3 _____
- Avoids taking responsibility 4 _____

II. Discernment

- Gets consistently to the root of a problem 1 _____
- Usually grasps a point correctly 2 _____
- Is slow to grasp a problem 3 _____
- Often misses the point 4 _____

III. Judgment / Decision making

- Judgment consistently sound and well thought out 1 _____
- View of a matter nearly always a sensible one 2 _____
- Judgment tends to be erratic 3 _____
- Judgment is poor 4 _____

IV. Communication / Expression on paper

- Written work always clear, cogent and well set out 1
- Written work generally clear and concise 2
- Written work just good enough to get by 3
- Written work unclear 4

Languages: English (Check One Box)



South Asia

V. Oral expression

Languages: English (Check One Box)

- Very effective 1
- Adequate 2
- Barely adequate 3
- Ineffective 4

B. ADAPTATION TO TECHNICAL COOPERATION WORK

I. Teamwork / Relations with colleagues

- Gets on very well with people 1 _____
- Is generally liked and respected 2 _____
- Not very easy in relationships 3 _____
- A difficult colleague 4 _____

III. Relations with local authorities

- Is well thought of by local authorities 1 _____
- Works well with local authorities 2 _____
- Does not get along well with local authorities, despite hard efforts 3 _____
- Relations with local authorities preclude achievement of objectives 4* _____

IV. Adaptation to local culture

- Displays understanding of local people/customs/religions 1 _____
- Respects local people/customs/religions 2 _____
- Shows lack of understanding of local people/customs/religions 3 _____
- Antagonistic to environment 4* _____



C. PERFORMANCE OF DUTIES

I. Professional knowledge and experience

- Displays good knowledge of specialization 1 _____
- Knowledge/experience satisfactory 2 _____
- Knowledge/experience below required level 3 _____

II. Initiative / Creativity

- Active in producing and introducing sound methods and ideas 1 _____
- Produces and acts on some useful ideas 2 _____
- Unable to introduce sound ideas and methods 3 _____

III. Planning and Organizing

- Plans and executes work objectively and efficiently 1 _____
- Plans and executes work satisfactorily 2 _____
- Work is disorganized 3 _____

IV. Diligence

- Makes great efforts to improve work 1 _____
- Executes work moderately 2 _____
- Does not show great interest in work 3 _____

V. Managing performance

- Very able in obtaining results 1 _____
- Obtains satisfactory results 2 _____
- Not very successful in obtaining results 3 _____

D. REPORTING OFFICER'S GENERAL APPRAISAL

I. Obligation as an international civil servant

- Satisfactory 1 _____
- Unsatisfactory 2 _____



COMMENTS (use extra page if required):

HOSTING STATE OFFICIAL NAME:

SIGNATURE:

DATE: