



AFI COMPREHENSIVE IMPLEMENTATION PROGRAMME (ACIP)

STEERING COMMITTEE MEETING

Montreal, 14 to 15 February 2008

Agenda Item 2: Assisting States to resolve identified deficiencies within a reasonable time

(Presented by the Secretary)

1. INTRODUCTION

1.1 Forty-eight African States were audited under the mandatory safety oversight audit programme between 1999 and 2004. Forty-two of those States are accredited to the two ICAO African Regional Offices – the Eastern and Southern African Region (ESAF) and the Western and Central African Office (WACAF). Follow-up audits were also conducted in all of those States. The audit findings, in all cases, included recommendations and required the audited State to submit an action plan to the satisfaction of the Secretary General, including a target date for the implementation of the action plan. However, the follow-up audits, conducted two to three years following the initial audit registered minimum progress as many of the States were not able to rectify the identified deficiencies as indicated in their action plan (for the 42 African States, the lack of effective implementation was brought down to an average of 34.4% from 48.2% recorded during the initial audits. In comparison, the rest of the audited States were able to lower the lack of effective implementation from 27.9% to 12.4%). At the same time, a number of African States made significant progress in implementing their action plan and lowering the lack of effective implementation to a level that was at par with the rest of the world.

1.2 Results of the audits conducted under the comprehensive system approach that also covered the Annexes audited under the initial audit programme indicate that not much progress has been made in resolving the identified deficiencies. The comprehensive approach audit results further shows that in some States, the situation respecting several critical elements indicate that the situation has in fact worsened than it was during the initial audit some four to eight years ago (see Appendix A).

1.3 As was clearly presented in the previous Discussion Paper (ACIP-SC/2008/1-DP/01), the lack of effective implementation in most of those States is attributed to the lack of adequate resources. To this end, action to enable States to establish and maintain an effective safety oversight system has been discussed and approved by the Steering Committee on the basis of DP/01. However, the establishment of a system can take considerable time while the identified deficiencies with respect to on going operations need to be resolved with little or no delay. Thus, as action to establish a robust and sustainable safety oversight system is being implemented, parallel and focussed action should also be taken to assist States to rectify identified deficiencies in order to allow on going operations to continue in line with the States' international obligations.

2. ANALYSIS AND PROPOSED ACTION PLAN

2.1 Enabling States to resolve identified deficiencies in order to enable the safety of ongoing operations is a short-term objective that will be implemented in parallel to the long-term solution of enabling States to build the safety oversight capability.

2.2 Information presented in paragraph 2 of Discussion Paper ACIP-SC/2008/1-DP/01 has clearly indicated that although some States have submitted an action plan for the rectification of safety oversight deficiencies, in reality, most African States were not able to do so. The data contained in Appendix A of this paper shows that in some States no progress has been made and that the situation could even be more dire than it was during the initial audit.

2.3 It is obvious that some States will require an immediate and direct assistance to resolve the identified deficiencies and maintain an acceptable level of meeting certification, licensing, and supervision obligations, among others. It should also be noted that in some regions the establishment of the Cooperative Development of Operational Safety and Continuing Airworthiness Programmes (COSCAs) would help States to rectify identified deficiencies. However, it has also been established that the COSCAs require resources beyond what has been currently made available. The secondment of qualified experts from other States to support State initiatives is also an action that can help to address the need to quickly rectify identified deficiencies.

2.4 ACIP has identified the need to closely work with the ICAO African Regional Offices, ISD – Safety, the Air Navigation and Technical Cooperation Bureaux, the African COSCAs, and the States themselves to enable the rectification of identified deficiencies. In this respect, ACIP shall seek the support of international organizations and other Contracting States to generate the necessary funds.

2.5 Technical staff from the Regional Offices and ISD-Safety shall be engaged in providing guidance to States and conducting seminars and workshops. Long- or medium-term solutions such as enabling States to establish and maintain a sustainable safety oversight system will be addressed in accordance to the proposals presented in Discussion Paper 1. Therefore, the support to be provided by ICAO to States and, as required to the COSCAs, would focus in rectifying deficiencies identified in the area of training, seminars and workshops, development of guidance material, etc., and in enabling States to maintain a system of certification, licensing and supervision until a robust and sustainable safety oversight system is established.

2.6 In coordination with the Air Navigation and Technical Cooperation Bureaux and other stakeholders, ACIP will facilitate the provision of qualified technical expertise to States for training national experts to perform duties, such as the licensing of personnel, the certification of service providers, and to conduct inspection and supervision duties. This assistance will be provided until such time as an effective and sustainable safety oversight system either at the national or regional level can be established. Contributions so far pledged by ICAO Contracting States and International and Regional Organizations in support of the Plan will be used to fund missions and activities directed at rectifying identified deficiencies.

2.7 A work plan and schedule of priorities shall be worked out in coordination with the Secretariat Audit Results Review Board (ARRB), the concerned Regional Offices, the Technical Cooperation Bureau and ISD-Safety, in the shortest possible time. Work that has been started in this area by ICAO and other international and regional organizations shall continue to be implemented and coordinated with the activities of the Programme.

2.8 Specific implementation activities, expected outcomes and metrics for measuring the results are contained in Appendix C to this paper.

3. **ACTION BY THE STEERING COMMITTEE**

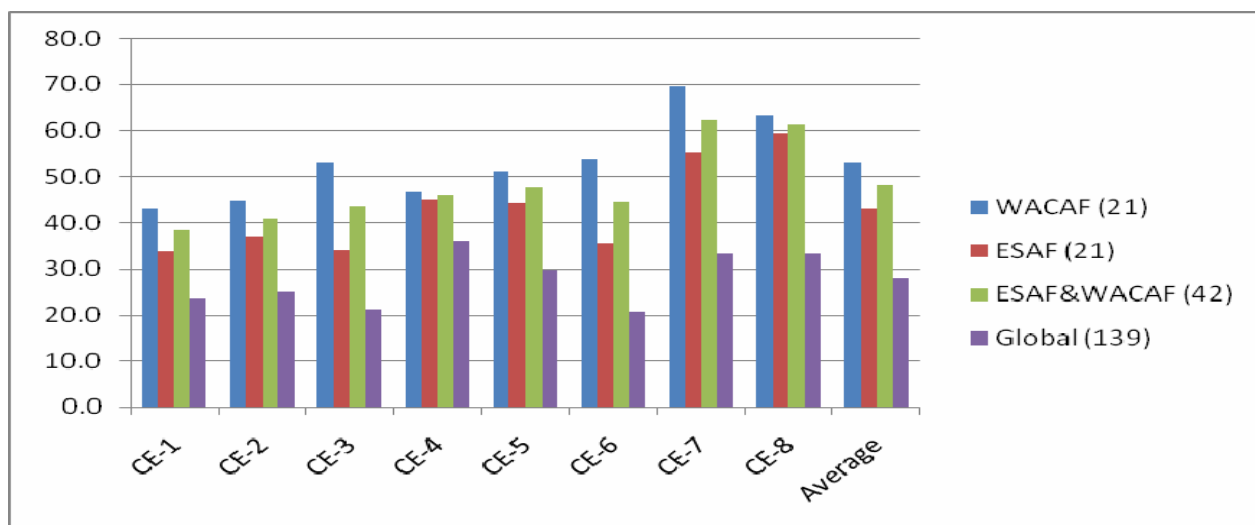
3.1 The Steering Committee is requested to:

- a) Review and agree with the proposals presented in paragraph 2 of this paper;
- b) Review and approve the activities of ACIP as detailed in Appendix C of this paper; and
- c) Instruct the Secretariat with additional actions it deems necessary.

APPENDIX A CONSOLIDATED ANALYSIS OF AUDIT RESULTS

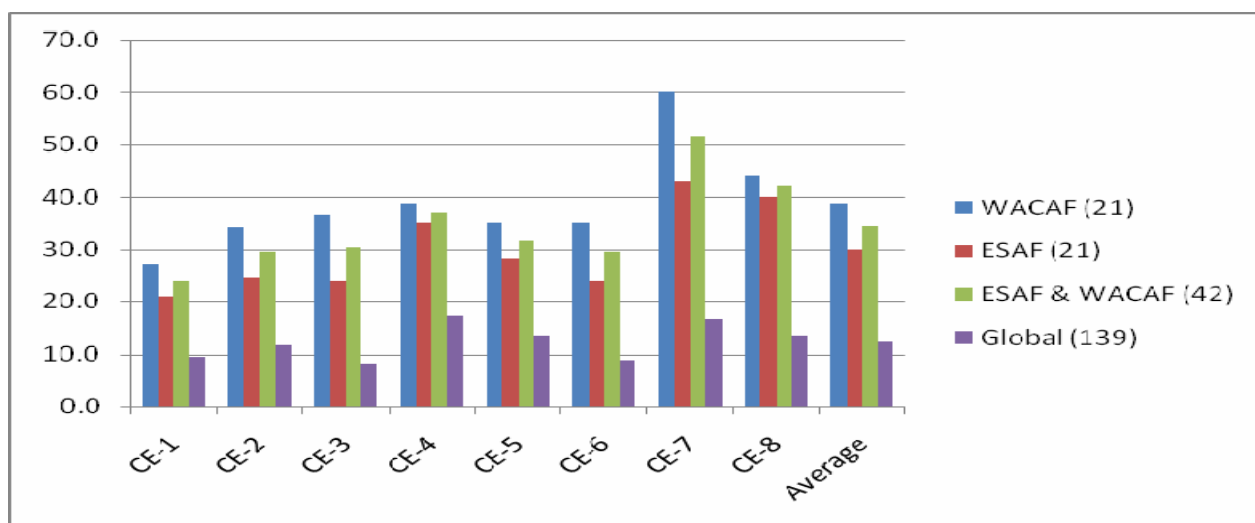
INITIAL AUDITS (1999 - 2001)

	CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8	Average
WACAF (21)	43.1	44.8	53.3	46.7	51.2	53.7	69.6	63.3	53.2
ESAF (21)	33.7	37.2	34.0	45.2	44.3	35.7	55.2	59.5	43.1
ESAF&WACAF (42)	38.4	41.0	43.7	46.0	47.8	44.7	62.4	61.4	48.2
Global (139)	23.4	25.1	21.3	36.2	29.9	20.6	33.4	33.3	27.9



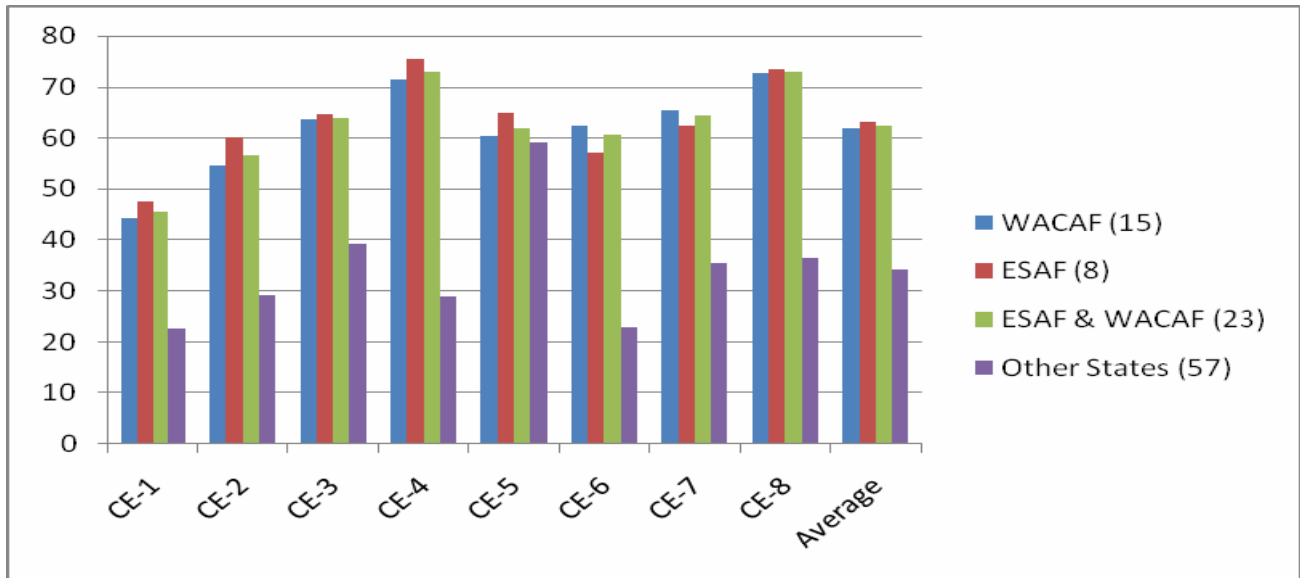
FOLLOW-UP AUDITS (2001 - 2004)

	CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8	Average
WACAF (21)	27.0	34.1	36.5	38.8	35.0	35.0	60.0	44.0	38.8
ESAF (21)	21.0	24.7	24.1	35.0	28.2	24.0	43.0	40.0	30.0
ESAF & WACAF (42)	24.0	29.4	30.3	36.9	31.6	29.5	51.5	42.0	34.4
Global (139)	9.5	11.7	8.2	17.5	13.4	8.7	16.7	13.5	12.4



COMPREHENSIVE SYSTEMS APPROACH AUDITS (2005 - ...)

	CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8	Average
WACAF (15)	44.3	54.6	63.6	71.5	60.4	62.5	65.4	72.8	61.9
ESAF (8)	47.6	60.0	64.6	75.5	64.8	57.0	62.5	73.4	63.2
ESAF & WACAF (23)	45.5	56.5	64.0	72.9	62.0	60.6	64.4	73.0	62.4
Other States (57)	22.6	29.1	39.2	29.0	59.0	22.8	35.4	36.4	34.2



APPENDIX B
ANALYSIS OF COMPREHENSIVE SYSTEM APPROACH AUDIT RESULTS
26 AFRICAN STATES AUDITED FROM 2005 TO 2007

Contracting State	CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8	All CEs
State 1	72.0	78.9	76.6	90.1	83.1	68.6	76.3	86.1	79.0
State 2	43.5	81.3	76.9	74.1	86.1	80.1	84.3	79.6	75.7
State 3	33.3	66.2	66.1	95.0	79.7	62.8	69.7	86.4	69.9
State 4	15.4	30.4	61.8	65.9	64.4	45.9	59.2	61.4	50.5
State 5	14.8	43.5	64.1	88.6	39.0	66.7	72.7	60.5	56.2
State 6	8.3	23.6	20.2	16.3	18.3	38.1	39.5	44.2	26.1
State 7	78.3	84.6	72.8	84.6	82.2	76.0	70.7	86.1	79.4
State 8	25.9	21.7	45.7	61.1	42.4	33.2	39.6	64.2	41.7
State 9	96.2	88.3	82.5	80.3	90.6	86.0	86.8	82.5	86.6
State 10	13.6	27.0	52.0	87.6	40.1	49.5	65.8	65.9	50.2
State 11	25.0	31.1	28.7	30.2	31.9	7.1	12.9	17.0	23.0
State 12	40.0	77.0	93.1	98.8	94.1	87.5	88.0	90.9	83.7
State 13	12.5	25.7	43.7	53.8	24.8	42.4	34.7	50.0	35.9
State 14	87.5	88.7	67.7	81.0	63.9	82.4	80.5	100.0	81.5
State 15	54.2	82.9	85.3	98.8	78.3	73.7	75.7	93.0	80.2
State 16	50.0	67.4	78.4	92.6	74.2	63.5	73.3	83.7	72.9
State 17	41.7	22.5	62.9	81.6	44.2	29.6	55.6	75.0	51.6
State 18	50.0	42.7	54.0	66.3	56.3	53.6	63.5	88.9	59.4
State 19	69.6	88.0	87.8	98.8	92.5	95.3	91.1	100.0	90.4
State 20	57.1	83.3	84.3	100.0	93.6	91.4	89.7	97.7	87.1
State 21	0.0	3.8	6.4	11.6	7.1	7.5	19.3	13.3	8.6
State 22	92.0	76.4	89.8	100.0	94.0	89.4	86.5	100.0	91.0
State 23	13.0	22.1	37.8	60.5	25.0	25.1	39.2	61.9	35.6
State 24	84.0	86.8	92.3	100.0	95.4	95.4	94.6	97.8	93.3
State 25	0.0	16.8	21.5	8.8	27.9	27.4	28.2	18.6	18.6
State 26	14.8	35.4	43.5	44.4	22.9	35.1	38.7	39.5	34.3

Appendix C

Year	Assisting States to resolve identified deficiencies within a reasonable time	Expected outcome	GASP Focus Area, Related Roadmap Best Practice & Metric
2008	a) At least six States requiring implementation support to resolve identified deficiencies shall be prioritized (April 2008) in close cooperation with the ARRB and ISD-Safety, taking into consideration parameters which shall be developed by the ARRB; b) Once selected, the States will be contacted by ACIP to arrange a mission by a technical officer from ICAO (Regional Office; ISD-Safety, COSCAPs) experienced in the audit processes and procedures and the critical elements of a safety oversight system to assess the work which may have already been done or is in the process of implementation and discuss the need and modality of further actions by ICAO and the State; c) A plan of action will be developed in cooperation with the State and the basis of a detailed analysis of the existing problems and the deficiencies to be resolved. The plan of action shall be in accordance to the steps determined in the Global Aviation Safety Roadmap. d) Depending on the plan of action, implementation will be undertaken either by TCB or other similar organization as may be	a) Selection of States would have been completed by 30 April 2008 as indicated. b) Missions to selected State to assess the level of implementation of the selected States' corrective action plan would have been completed by 30 June 2008 and a report containing a detailed gap analysis would have been prepared and forwarded to the Steering Committee, States, industry and donors by 31 July 2008. c) A plan of action would have been developed by 31 July 2008 and implementation of the plan of action commenced within six weeks of its completion. d) By the end of 2008, at least 40% of the action plan would have been implemented resulting in the resolution of a similar percentage of the	(GSI-1) Consistent implementation of International Standards and Industry Best Practices Primary Stakeholders: ICAO, States Focus Area 1 Strategy: Perform gap assessment of those States that cannot comply. Establish plans to reach desired compliance, including coordinated international support where necessary to close gaps. Related Roadmap Best Practice and metrics: BP1b-1 Strategy: Compliance with international SARPs is assessed on a continuing basis through ICAO USOAP and other equivalent means of assessment, Coordinated international support is being provided where necessary. Related Roadmap Best Practice and Metrics: BP1b-1 (GSI-2) Consistent regulatory oversight

Year	Assisting States to resolve identified deficiencies within a reasonable time	Expected outcome	GASP Focus Area, Related Roadmap Best Practice & Metric
2008	determined during the discussions with the State concerned. In case the required action (seminar, workshop, short-term training, etc.) can be undertaken by ISD-Safety, ANB Technical Staff or the Regional Offices, action will be immediately initiated by ACIP to provide the required support; e) ACIP will not be directly involved in the implementation of the action plan but will facilitate and coordinate implementation and monitor the progress made, as applicable; and f) The Steering Committee will be informed of progress made in the implementation of the action plan, as would be appropriate stakeholders.	identified deficiencies.	Primary Stakeholders: ICAO, States Focus Area 2 Strategy: States ensure their Regulatory Authority is independent, competent and adequately funded. Related Roadmap Best Practice and metrics: BP2a-1 to 4 Strategy: Establish an independent mechanism to monitor competency of Regulatory Authority. Related Roadmap Best Practice and metrics: BP2b-5 to 6
2009 and 2010	a) The activities listed for 2008 above will be continued every year, on the basis of recommendations made by the ARRB. Similar action will be maintained unless altered as to account for experience gained; and,	a) The following activities planned for the years 2009 and 2010 would have been completed at the end of the respective years: - At least six States in each year would have been selected for assistance in enabling them to implement their corrective action plan and resolve identified deficiencies - A mission to assess the level of	(GSI-2) Consistent regulatory oversight Primary Stakeholders: ICAO, States Focus Area 2 Strategy: States ensure their Regulatory Authority is independent, competent and adequately funded.

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Year	Assisting States to resolve identified deficiencies within a reasonable time	Expected outcome	GASP Focus Area, Related Roadmap Best Practice & Metric
2009 and 2010		implementation of the corrective action plan would have been taken by 31 March of the respective years and a detailed gap analysis for each of the States to be assisted would have been developed by the end of April in the respective years. • The ACIP Steering Committee, States, industry and donors would have been informed of the priority projects arising from the gap analysis and specific projects by 31 May in the respective years. • Implementation projects to assist the States to establish an effective and sustainable safety oversight system would have been developed and approved by 31 July of the respective years. • Implementation process in each of the States would have started before December of the respective years. • By the end of June 2009, States assisted in 2008 should be enabled to address approximately 80% of the identified deficiencies with the remaining 20% completed by the end of 2009. States where assistance is initiated in 2009 would have resolved 40% of the identified deficiencies by	Related Roadmap Best Practice and metrics: BP2a-1 to 4 Strategy: Establish an independent mechanism to monitor competency of Regulatory Authority. Related Roadmap Best Practice and metrics: BP2b-5 to 6

Year	Assisting States to resolve identified deficiencies within a reasonable time	Expected outcome	GASP Focus Area, Related Roadmap Best Practice & Metric
2009 and 2010	b) Report on overall implementation of the Programme, including proposals for the coming years will be presented to the 37 th Session of the ICAO Assembly.	August 2009 and additional 20% of the deficiencies resolved by the end of the year. Resolution of identified deficiencies would continue to be implemented in 2010 with the remaining 40% of implementation completed by June 2010 for States where implementation activities started in 2009 and at least 40% of deficiencies addressed for those assistance missions could only be started in 2010. The majority of identified deficiencies in all states would have been resolved by the end of 2010.	
2011	a) Consolidation of ACIP Programme activities aimed at enabling States to resolve identified deficiencies in the shortest possible time; and	a) The following activities would have been completed in 2011: An integration plan for the Programme into the activities of the Regional Offices would have been developed in 2010 for the consideration of the Council and the Assembly.	(GSI-5) Consistent coordination of regional programmes Primary Stakeholders: ICAO, States, Regions Focus Area 5 Strategy: Design regional mechanisms and

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Year	Assisting States to resolve identified deficiencies within a reasonable time	Expected outcome	GASP Focus Area, Related Roadmap Best Practice & Metric
2011	b) ACIP ceases to exist as a special Programme and its activities are integrated with the activities of the Regional Offices.	• The integration plan as approved by Council and endorsed by the Assembly would start to be implemented early in 2011 with an aim of completing the implementation by November 2011. • All on-going ACIP activities would be consolidated and integrated into the Regional Office programmes by November 2011.	build on existing ones in order to foster consistency Related Roadmap Best Practice and metrics: BP5a-1 to 3

— END —