DP 02 - ATTACHMENT A:

RESOLUTION OF SSCs PROJECT PROPOSAL

1.   **Beneficiary States:**   Angola, Djibouti, Eritrea and Malawi

2.   **Project No.:**   ESAF/2016/001

3.   **Project Title:**   Support to ESAF States to resolve Significant Safety   Concerns SSCs

4.   **Executing Agencies:**   ICAO, Civil Aviation Authorities, RSOOs (CASSOA, SASO), AFCAC (AFI CIS)

5.   **Project Duration:**   8 Months (starting in May 2016)

6.   **Source of Funding:**   AFI Plan

7.   **Project Cost:**   USD 82,306

Project justification

1.   The ICAO Universal Safety Oversight Audit Programme (USOAP) conducted in four States (Angola, Djibouti, Eritrea and Malawi), identified SSCs pertaining to the certification process for issuing Air Operator Certificates (AOCs), which remain unresolved to date.

2.   In addition to the SSCs, the levels of effective implementation of the critical elements of a State's safety oversight system in these States are far below the world average, and in the case of Djibouti, at 4 %,is the lowest in the world.

3.   Following the conduct of ICAO USOAP audits in each of these States, ICAO, through the Regional Office Safety Teams (ROST) established under the AFI Plan, have been making continuous efforts to support these states in order to increase their respective EI and remove the SSCs. ICAO State specific Plans of Action were prepared with specific actions and targets for each State and formally accepted by the respective States.

4.   Considering the continuous efforts and willingness demonstrated by States and the decisions of the 16th AFI Plan Steering Committee meeting held in Montreal on 26 of November, it is necessary to provide additional assistance to these States to enable them remove their respective SSCs by 31stDecember 2016 and also to enhance their level of safety oversight system in the shortest reasonable time possible.

5.   The safety performance of the four States is illustrated as follows:

   a)   Appendix 1, Table 1 shows the results of the USOAP Audit results (by audit area) by EI and the corresponding dates when they were conducted.

   b)   Appendix 1, Table 2 shows the results of the USOAP Audit results by EI (by critical elements) and the corresponding dates when they were conducted.

   c)   Appendix 1, Figure 1 shows the results of the USOAP Audit results (by audit area) by EI, displaying comparisons amongst the State.

   d)   Appendix 1, Figure 2 shows the results of the USOAP Audit results (by critical elements) by EI, displaying comparisons amongst the State.

   e)   Appendix 1, Figure 3 shows the results of the USOAP Audit results (by audit area) by EI, displaying comparisons against the World averages.

   f)   Appendix 1, Figure 4 shows the results of the USOAP Audit results (by critical elements) by EI, displaying comparisons against the World averages.

A.   Project overall objectives and targets

1.   The purpose of this project is to assist Angola, Djibouti, Eritrea and Malawi to resolve their respective SSCs and to enhance their safety oversight capabilities.

B.   Implementation strategy

1.   ICAO will conduct high level State and ROST missions to undertake fact-finding, advisory and assistance tasks. Technical experts from States, (under AFCACAFI-CIS program), SASO and CASSOA may also be engaged for the execution of the project, when necessary.

2.   The project will initially focus on removing SSCs by the end of 2016 by prioritizing a series of courses of action. First, the project will assist States to implement immediate mitigation measures to address the immediate risks, followed by assistance to States to identify root causes and address associated systemic deficiencies, including

licensing, certification, approval and/or authorization of air operators (CE6) and subsequent surveillance activities (CE7) in the areas covered by the project, with emphasis on the training of the national technical staff (CE4) on the performance of these duties. Training programmes and associated plans that address initial, recurrent and specialized as well as on-job-training (OJT) training will also be developed for national technical/inspectorate staff

3.   Subject to the availability of funds and duration of the project, the scope of the project may also include:

a)   review/ amendment/development of the aviation legislation (CE-1),
b)   specific operating regulations (CE-2),
c)   technical guidance, tools and the provision of safety-critical information (CE5), and
d)   review and recommendations on State civil aviation system and safety oversight functions. (CE-3).

4.   ICAO Regional Office in Nairobi will be responsible for the supervision of the project and will also establish and maintain coordination with all the stakeholders during the course of the project including at high level in Government. The experts will be responsible for submission of periodic progress reports and for preparation of the Terminal Report prior to the termination of their assignment. These reports will be submitted to ICAO for review and subsequent submission to the Governments of the respective countries.

5.   The project will mainly be implemented through coordinated approaches, including:

a)   use of the OLF and information obtained through other means, including previous ROST missions and assistance programmes conducted by other assistance partners, in order to accomplish a gap analysis and derive a detailed work plan tailored to each State;
b)   remotely (by OLF and by correspondence with State NCMCs) monitoring and analyzing progress achieved and provide guidance and support, as necessary;
c)   conduct of on-site ROST missions to assess and verify actual implementation and provide support, as needed;
d)   conduct of seminars/workshops, including on air operator certification process with emphasis on evaluations of special authorizations, preferably hosted by Botswana (a State that has recently resolved two SSCs and achieved a high EI), in order to benchmark and share best practices; and
e)   Coordination with ICAO HQ with the view to recommending conduct of CMA activities, including ICVM, off-site validation, or IVAs, when appropriate, in order to validate progress achieved and update EI accordingly.

C. Major Elements (for each State)

Objective 1	Resolve SSCs	
Key Performance indicator(s)	**All SSC resolved**	
Result 1.1	Resolved	
Activity	*Description*	
1.1.1	With the use of the OLF and information obtained through previous ROST missions and other assistance programmes , conduct a gap analysis of the air operator certification process	
1.1.2	Identify priority immediate mitigation measures and actions to resolve the existing SSC	
1.1.3	Develop a detailed work plan tailored to each State to implement the project	
1.1.4		
1.1.5	Assist the State develop a roadmap to address the identified deficiencies	
1.1.6	Provide guidance to the State on the implementation of the roadmap	
1.1.7	Conduct a mid-term review of the project to assess progress achieved and identify areas of greater need	
1.1.8	Support the State to address any gaps identified by the mid-term review in order to ensure resolution of the SSC	
1.1.9		
1.1.10		
Objective 2	**Update the ICAO USOAP CMA Online framework (OLF)**	
Key Performance indicator (s)	**Enhanced Safety information exchange with ICAO**	
Result 2.1	Updated OLF modules, including CAP and self-assessment	
Activity #	*Description*	*Actors*
2.1.1	Assist the State review the CAP and self-assessment on the OLF	ICAO/States/RSOO/AFI CIS
2.1.2	Assist the State to amend and/or develop the self-assessment and the CAP to fully address the deficiencies	ICAO/States/RSOO/AFI CIS
2.1.3	Assist the State to update the CAP and self-assessment	ICAO/States/RSOO/AFI CIS
Objective 3	**Establish an effective legal and regulatory framework – if feasible within the project timeframe**	
Key Performance indicator (s)	**Increase of the EIs for CE1 and CE2 in all technical areas**	
Result 3.1	A legal and regulatory framework adopted and/or promulgated	
3.1.1	Assist the State to review, update and implement relevant procedures or other means of compliance for: 1) evaluating amendments to all Annexes and	ICAO/States/RSOO/AFI CIS

	revising specific operating regulations; and 2) identifying and notifying to ICAO differences between ICAO Standards and national regulations, if any	
3.1.2	Assist the State to review the aviation legislation and regulations to address related deficiencies	ICAO/States/RSOO/AFI CIS
3.1.3	Assist the State to amend and/or develop the aviation legislation and regulations as required	ICAO/States/RSOO/AFI CIS
3.1.4	Assist the State to submit the final draft legislation and regulations for State adoption and publication	ICAO/States/RSOO/AFI CIS
3.1.5	Assist the State to follow-up throughout adoption and publication process within the timeframe of the project	ICAO/States/RSOO/AFI CIS
3.1.6	Assist the State to develop a policy and associated procedures for the granting of exemptions	ICAO/States/RSOO/AFI CIS
3.1.7	Assist the State to establish investigation and enforcement policy and associated procedures	ICAO/States/RSOO/AFI CIS
3.1.8	Assist the State to establish and implement a policy and procedures for publishing significant differences in the AIP	ICAO/States/RSOO/AFI CIS
3.1.9	Assist the State in conducting workshops, as required, within the timeframe of the project to present and disseminate the proposed revised/new legislation and regulations.	ICAO/States/RSOO/AFI CIS
Objective 4	**Assist the State develop safety oversight procedures and technical guidance material (TGM) for certification, licensing, authorization and/or approval and surveillance activities obligations as well as resolution of safety issues in the areas of OPS and AIR - if feasible within the project timeframe**	
Key Performance indicator (s)	**Increase of the EI for CE5 in OPS and AIR**	
Result 4.1	Updated safety oversight procedures and technical guidance material (TGM) for certification, licensing, authorization and/or approval and surveillance obligations as well as resolution of safety issues activities in the areas of OPS and AIR	
Activity #	*Description*	*Actors*
4.1.1	Assist the State to review, update and/or develop the procedures, manuals, guidance material and checklists for inspectors.	ICAO/States/RSOO/AFI CIS
4.1.2	Assist the State to review, update and/or develop guidelines for the industry.	ICAO/States/RSOO/AFI CIS
4.1.3	Assist the State to submit the final draft procedures and TGM for State adoption and publication.	ICAO/States/RSOO/AFI CIS
4.1.4	Assist the State in conducting workshops, as required, within the timeframe of the project for technical staff to present and disseminate the proposed new procedures and TGM	ICAO/States/RSOO/AFI CIS

4.1.5	Assist the State in the creation/upgrade of the technical library with a system for recording, keeping and distributing the relevant ICAO documents, regulatory and technical documentation	ICAO/States/RSOO/AFI CIS
Objective 5	**Assist the State establish an effective and efficient State civil aviation system and safety oversight functions - if feasible within the project timeframe**	
Key Performance indicator (s)	**Increase of the EIs for CE3in OPS and AIR technical areas**	
Result 5.1	A civil aviation safety oversight system that includes a detailed organizational chart, adequate staffing, definition of responsibilities, job descriptions.	
Activity #	*Description*	*Actors*
5.1.1	Assist the State to review/establish the policy manual of the entity(ies) responsible for safety oversight describing its functions as well as the job descriptions and responsibilities of the technical staff	ICAO/States/RSOO/AFI CIS
5.1.2	Assist the State establish a methodology to determine the number of required qualified inspectors commensurate with the size and complexity of the aviation system and activities in the State.	ICAO/States/RSOO/AFI CIS
5.1.3	Assist the State establish a mechanism to ensure that each safety oversight entity/investigation authority has sufficient personnel to meet its respective national and international obligations	ICAO/States/RSOO/AFI CIS
Objective 6	**Establish and implement a training framework with the aim of strengthening the capacity of the national technical staff to carry out their safety oversight responsibilities in the areas of OPS and AIR - if feasible within the project timeframe**	
Key Performance indicator (s)	**Increase of the EIs for CE4**	
Result 6.1	Training policy, programme and plan approved for the CAA	
Activity #	*Description*	*Actors*
6.1.1	Assist the State establish a methodology to determine the number of required qualified inspectors commensurate with the size and complexity of the aviation system and activities in the State.	ICAO/States/RSOO/AFI CIS
6.1.2	Assist the State to assess training needs	ICAO/States/RSOO/AFI CIS
6.1.3	Assist the State to develop a training programme for technical staff to complement the Inspectors Training System (ITS), if implemented, and ensure the coverage of all applicable aspects including initial, on-the-job, specialized and recurrent training.	ICAO/States/RSOO/AFI CIS

6.1.4	Assist the State to review and update the current training plan detailing and prioritizing the type of training to be provided during a specified timeframe	ICAO/States/RSOO/AFI CIS
6.1.5	Assist the State to submit for approval, the final draft training policy, programme and plan	ICAO/States/RSOO/AFI CIS
Result 6.2	**Increased capacity of technical staff**	
6.2.1	Assist the State to determine the minimum qualification and experience requirements for the national technical personnel	ICAO/States/RSOO/AFI CIS
6.2.2	Assist the State as required, in the recruitment of technical personnel within the project timeframe	ICAO/States/RSOO/AFI CIS
6.2.3	Assist the State in the selection of candidates for training programmes	ICAO/States/RSOO/AFI CIS
6.2.4	Assist the State in providing on-the-job training for technical staff	ICAO/States/RSOO/AFI CIS
Result 6.3	**Individual training files created and updated for each technical staff -**	
6.3.1	Assist the State to develop/adopt and implementing a system for maintaining training records for the technical staff	ICAO/States/RSOO/AFI CIS
6.3.2	Report the progress of implementation of the training plan within the project timeframe	ICAO/States/RSOO/AFI CIS
Objective 7	**Establish an effective certification, licensing, authorization and/or approval and surveillance as well as resolution of safety issues capability within CCAs in PEL, OPS and AIR areas - if feasible within the project timeframe**	
Key Performance indicator (s)	**Increase of the EIs for CE6, 7 and 8**	
Result 7.1	**Licenses, certificates, approvals or authorizations granted**	
Activity #	*Description*	*Actors*
7.1.1	Assist, in an advisory capacity, the technical staff to conduct as required, the process for issuing licenses, certificates, approvals or authorizations to any new applicant.	ICAO/States/RSOO/AFI CIS
7.1.2	Assist the state to verify that all the resulting records and completed checklists from the certification process are properly recorded and maintained	ICAO/States/RSOO/AFI CIS
Result 7.2	**A surveillance system implemented**	
7.2.1	Assist the state to develop a surveillance policy and programme of regular and random inspections.	ICAO/States/RSOO/AFI CIS
7.2.2	In an advisory capacity, assist the State conduct inspections of holders of certificates, approvals or authorizations	ICAO/States/RSOO/AFI CIS
7.2.3	Assist the state to develop a surveillance policy and programme on Safety Assessment of Foreign Aircraft (SAFA) being operated into the respective States.	ICAO/States/RSOO/AFI CIS

7.2.4	In an advisory capacity, assist the State conduct inspections of Foreign Aircraft (SAFA) being operated into respective states.	ICAO/States/RSOO/AFI CIS
Result 7.3	**Resolution of safety issues implemented**	
7.3.1	Assist the State establish and implement a documented process or a system to track the deficiencies identified and to accept/validate the corrective actions taken by license/certificate/approval and/or authorization holders	ICAO/States/RSOO/AFI CIS
7.3.2	Assist the State establish and maintain a system which monitors and records progress, including actions taken by license/certificate/approval and/or authorization holders in resolving identified safety issues, to make it possible to track past deficiencies and regulatory non-compliance	ICAO/States/RSOO/AFI CIS

D.   Project Inputs

1.   Inputs by each participating Government
   a)   Signing of the Project Document and any other Document/Agreement between ICAO and respective States.
   b)   Assignment of a senior official, who will be the focal point for the Project Coordination for the duration of the project as well as adequate and appropriate national personnel as counterparts to the Project experts.
   c)   Administrative support personnel.
   d)   Suitably equipped and furnished offices for Project experts when on mission in the State
   e)   Ground transportation to/from the workplace/ airport, as well as in-country transportation of Project experts.
   f)   All information and documentation required by the Project experts to carry out the implementation of activities, including any and all copies of existing legislations, regulation, reports, maps, charts, specifications, etc..
   g)   Entry visas and Authorizations, as maybe necessary, to access any of the work sites contained within the approved work plan.
   h)   Any other facilitation arrangements that need to be made in the performance of their duties by the ICAO experts.

2.   **ICAO Inputs**

   2.1.   **Funding for the project**: The project will be funded by AFI Plan as indicated in Appendix A to this document.
   2.2.   **Experts**: ICAO ESAF Office will rely mainly on the Regional Officers, OPS and AIR in Nairobi and SAR experts seconded by other entities, including States, RSOOs (SASO and CASSOA) AFCAC (AFI-CIS) to supplement, particularly during the inspection and demonstration phase of the certification process, when required.

2.3. **International missions**: All costs related to assistance missions to the beneficiary States and meetings organized by ICAO ESAF Office Applicable DSA and airfares for each mission will be covered under the project funds.

2.4. **Monitoring and reporting**: ICAO Regional Office in Nairobi will be responsible for the supervision of the project and the production of the Project Terminal report before the end of the project. It will also establish and maintain coordination with all the stakeholders during the course of the project.

2.5. **Miscellaneous expenses:** Contingency funds will be provided under the project as indicated in Appendix A to this document.

E. Project Budget

1. A budgetary provision to fund the conduct of high level and ROST missions by ICAO officials has been established.

2. An additional contingency provision of 5% of the total costs will be set aside to cater for miscellaneous costs, including reporting and sundry.

3. Details are contained in Appendix 3 (Schedule of Costs).

F. Project Schedules

The project will be accomplished within a period of8 months, as per Appendix 4.

==Table 1.Results of the USOAP Audits (by audit area) in the 4 ESAF States==

State	Year	Overall	LEG	ORG	PEL	OPS	AIR	AIG	ANS	AGA
Angola	2015	34.9	76.19	66.67	38.75	60.48	85.32	6.32	8.72	17.78
Djibouti	2008	4.14	0	36.36	2.41	0	4.85	0	10.73	0.76
Eritrea	2010	20.34	22.73	20	14.08	21.95	36.11	18.56	13.4	20.44
Malawi	2009	35.23	50	22.22	61.11	38.84	37.04	24.47	40.74	15.71

==Table2. Results of the USOAP Audits (by critical elements) in the 4 ESAF States==

State	Year	Overall	CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
Angola	2015	34.9	64.52	43.4	38.1	22.08	39.72	38.76	18.42	4.55
Djibouti	2008	4.14	3.23	0.95	10.11	1.28	0	7.92	3.17	2.22
Eritrea	2010	20.34	45.16	48.62	17.24	3.95	21.32	17.48	5.48	2.27
Malawi	2009	35.23	46.67	33.02	33.72	21.79	35.56	44.66	31.94	19.05
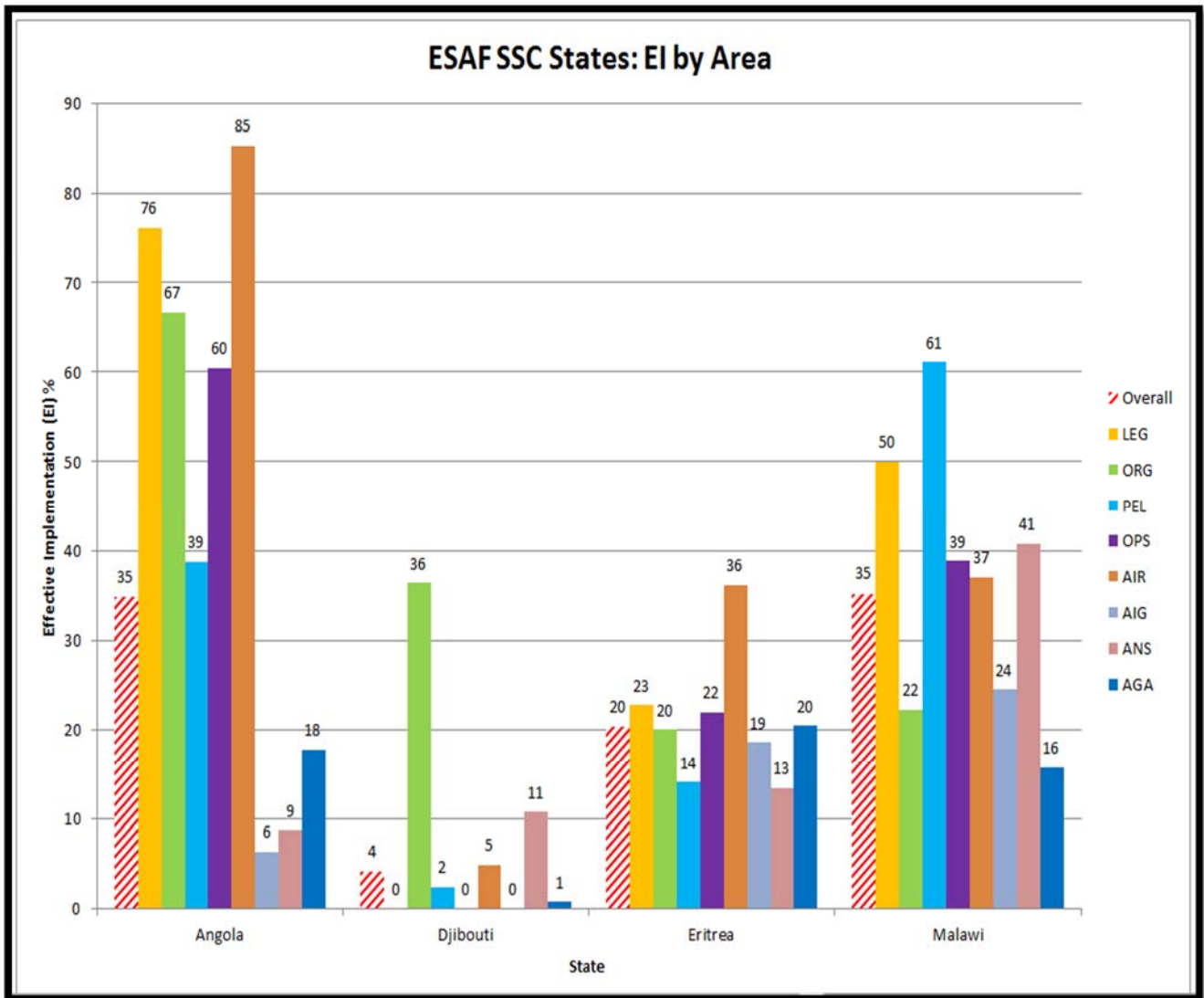
Figure 1USOAP Audit results (by audit area) by EI, displaying comparisons amongst the State
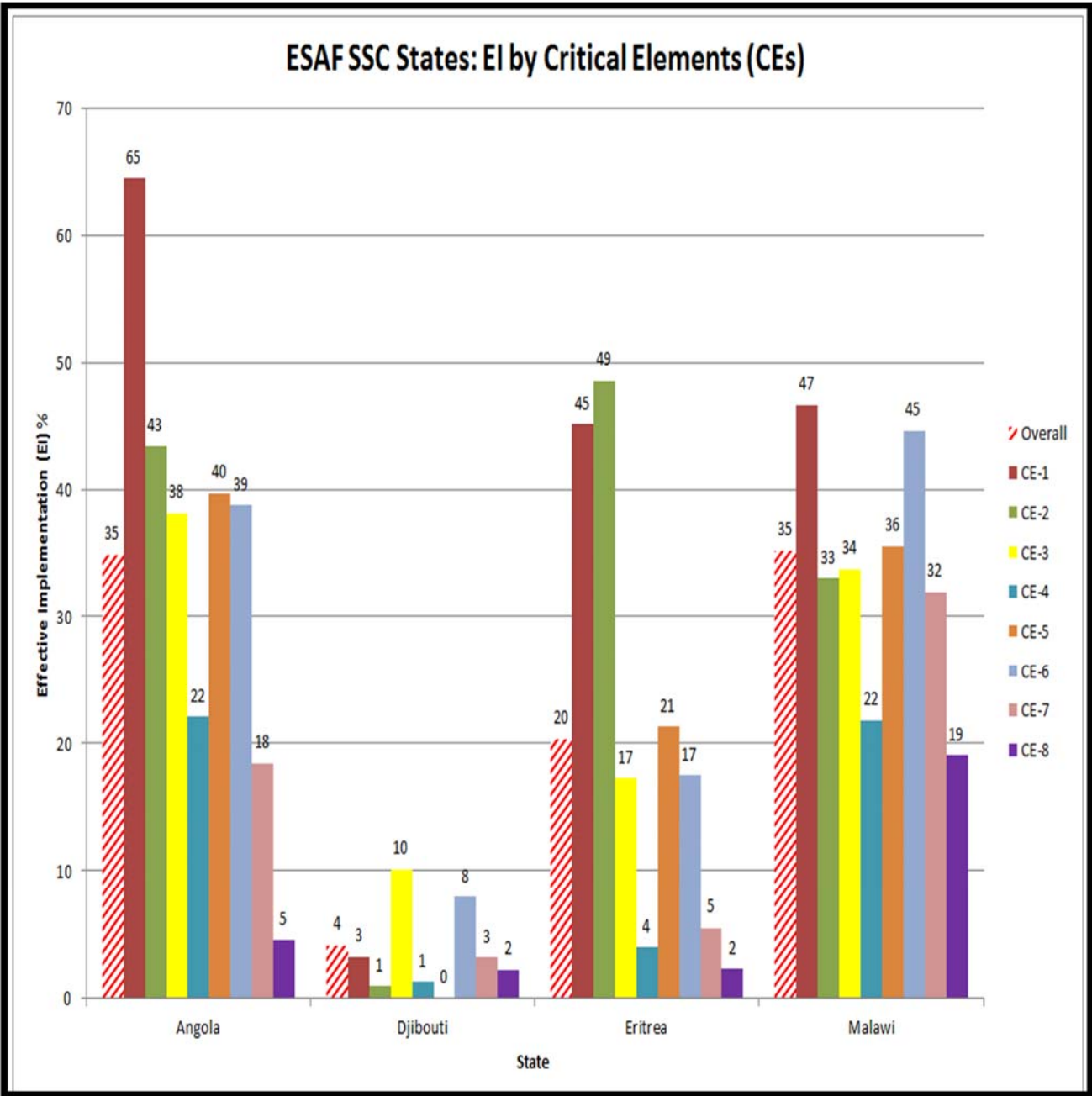
Figure 2USOAP Audit results (by critical elements) by EI, displaying comparisons amongst the State

Figure 3. USOAP Audit results (by audit area and CE) by EI, displaying comparisons against the World averages

PROJECT: Resolution of Significant Safety Concerns (SSCs)
Project Budget

STATE/ACTIVITY	COST Head	High Level	ROST (initial)	ROST (Follow-Up)	Total	Sub-Total
ERITREA						
	Number of experts	1	2	2		
	Duration	4	6	4		
	DSA rate	$ 211	$ 211	$ 211		
	Fare: Nairobi/Cairo/Asmara/Cairo/Nairobi	$ 2,471	$ 2,471	$ 2,471		
	Terminal costs per trip per per person	$ 134	$ 134	$ 134		
	Travel expenses	$ 2,605	$ 5,210	$ 5,210	$ 13,025	
	Subsistance allowance	$ 844	$ 2,532	$ 1,688	$ 5,064	
	Sub-Total					**$ 18,089**
ANGOLA						
	Number of experts	1	2	2		
	Duration	4	6	4		
	DSA rate	$ 400	$ 400	$ 400		
	Fare: Nairobi/Luanda/Nairobi	$ 1,160	$ 1,160	$ 1,160		
	Terminal costs per trip per per person	$ 134	$ 134	$ 134		
	Travel expenses	$ 1,294	$ 2,588	$ 2,588	$ 6,470	
	Subsistance allowance	$ 1,600	$ 4,800	$ 3,200	$ 9,600	
	Sub-Total					**$ 16,070**
DJIBOUTI						
	Number of experts	1	2	2		
	Duration	4	6	4		
	DSA rate	$ 450	$ 450	$ 450		
	Fare: Nairobi/Cairo/Asmara/Cairo/Nairobi	$ 2,471	$ 2,471	$ 2,471		
	Terminal costs per trip per per person	$ 134	$ 134	$ 134		
	Travel expenses	$ 2,605	$ 5,210	$ 5,210	$ 13,025	
	Subsistance allowance	$ 1,800	$ 5,400	$ 3,600	$ 10,800	
	Sub-Total					**$ 23,825**
MALAWI						
	Number of experts	1	2	2		
	Duration	4	6	4		
	DSA rate	$ 191	$ 191	$ 191		
	Fare: Nairobi/Lilongwe/Nairobi	$ 1,160	$ 1,160	$ 1,160		
	Terminal costs per trip per per person	$ 134	$ 134	$ 134		
	Travel expenses	$ 1,294	$ 2,588	$ 2,588	$ 6,470	
	Subsistance allowance	$ 764	$ 2,292	$ 1,528	$ 4,584	
	Sub-Total					**$ 11,054**
WORKSHOP: AOC Certification						
	Will be hosted by a State has previously successfully resolved an SSC or one with an SSC					5,000
	Number of experts				2	
	Duration				7	
	DSA rate				$ 400	
	Fare: Nairobi/Lilongwe/Nairobi				$ 1,200	
	Terminal costs per trip per per person				$ 134	
	Travel expenses				$ 2,668	
	Subsistance allowance				$ 5,600	
	Sub-Total				**$ 8,268**	**$ 8,268**
	Contingency 5% of total					
	GRAND TOTAL COST					**82,306**

Figure 4 Schedule of Costs

Task Name	Duration	Start	Finish	May	June	July	August	September	October
				02/05 09/05 16/05 23/05	30/05 06/06 13/06 20/06	27/06 04/07 11/07 18/07 25/07	01/08 08/08 15/08 22/08	29/08 05/09 12/09 19/09 26/09	03/10
▲ **Milestone: No**	**37.6w**	**May '16**	**Dec '16**						
Heightened desktop monitoring & analysis thru OLF	**35 wks**	**Sun 01 May '16**	**Sat 31 Dec '16**						
Mission, High Level: Eritrea	3 days	Mon 09 May '16	Wed 11 May '16						
Mission, High Level: Angola	3 days	Mon 16 May '16	Wed 18 May '16						
Mission, ROST (Initial): Eritrea	5 days	Mon 16 May '16	Fri 20 May '16						
Mission, ROST (Initial): Angola	5 days	Mon 23 May '16	Fri 27 May '16						
Mission, High Level: Djibouti	3 days	Sun 29 May '16	Tue 31 May '16						
Mission, ROST (Initial): Djibouti	5 days	Sun 05 Jun '16	Thu 09 Jun '16						
Mission, High Level: Malawi	3 days	Mon 13 Jun '16	Wed 15 Jun '16						
Mission, ROST (Initial): Malawi	5 days	Mon 20 Jun '16	Fri 24 Jun '16						
Mission, ROST (Follow-Up): Eritrea	5 days	Mon 22 Aug '16	Fri 26 Aug '16						
Mission, ROST (Follow-Up): Angola	5 days	Mon 29 Aug '16	Fri 02 Sep '16						
Workshop: AOC Cerification	6 days	Sun 04 Sep '16	Fri 09 Sep '16						
Mission, ROST (Follow-Up): Djibouti	5 days	Sun 11 Sep '16	Thu 15 Sep '16						
Mission, ROST (Follow-Up): Malawi	5 days	Mon 26 Sep '16	Fri 30 Sep '16						

Figure 5. Schedule

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