



**DP 02 - ATTACHMENT C2:**

**FUNDAMENTALS/ESTABLISHMENT OF SAFETY OVERSIGHT SYSTEMS TO  
IMPROVE EIs OF LOW PERFORMING STATES – ESAF REGION**

**PROJECT PROPOSAL**

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1. **Beneficiary States:** Mozambique, Rwanda, Seychelles, Swaziland and Tanzania
2. **Project No.:** ESAF/2016/003
3. **Project Title:** Fundamentals of Safety Oversight (FSO) Project:
4. **Project Duration:** 8 Months (starting in May 2016)
5. **Executing Agencies:** ICAO, Civil Aviation Authorities, RSOOs (CASSOA, SASO), AFCAC (AFI CIS)
6. **Source of Funding:** ICAO AFI Plan
7. **Project Cost:** USD 123,608

## **A. Project justification**

1. The ICAO ESAF region has been recording improvements in the effective implementation of critical elements of a State's safety oversight system. However, to date it is the highest region in terms of States with Significant Safety Concerns (SSCs). The number of States in the region with EI above world average is also low compared to other Regions.
2. Therefore it is important to support States to enhance their effective safety oversight capacity so that they may build capacity to curb the incident and accident rates in their respective countries, in the region and globally. To this effect, this project is initiated to support five ESAF States (Mozambique, Rwanda, Seychelles, Swaziland and Tanzania) to achieve 60% of EI by end of 2016.
3. Following the conduct of ICAO USOAP audits in each State, 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 EIs. With the exception of Tanzania, 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 that 70% of African States to achieve 60% EI, it is necessary to assist these States to enhance their level of effective implementation of critical elements of a State's safety oversight system to the target level by 31<sup>st</sup> December 2016.
5. The safety performance of the five 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.

## **B. Project overall objectives and targets**

1. The purpose of this project is to assist Mozambique, Rwanda, Seychelles, Swaziland and Tanzania to enhance their safety oversight capacity and achieve at least 60% EI by the end of 2016.

## **C. Implementation strategy**

1. ICAO will conduct high level State and ROST missions to undertake fact-finding, advisory and assistance tasks. Technical experts from other States, AFCAC (under AFI-CIS program) and RSOOs (including SASO and CASSOA) may also be engaged for the execution of the project, when necessary.
2. The project will initially focus on the establishment CEs to ensure progressive EI increment to 60 % by the end of 2016 by prioritizing the following:

- a) review/ amendment/development of the aviation legislation (CE-1),
  - b) review and approval of specific operating regulations (CE-2),
  - c) technical guidance, tools and the provision of safety-critical information (CE5),
  - d) review and make recommendations on State civil aviation system and safety oversight functions. (CE-3),
  - e) provision of training for national technical staff (CE4) on the performance of their duties, and
  - f) development of training programmes and associated plans that address initial, recurrent and specialized as well as on-job-training (OJT) training 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 assistance with the implementation CEs with regards to licensing, certification, approval and/or authorization of service providers (CE6) and subsequent surveillance activities (CE7) and resolution of safety concerns (CE8)
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 provision of support, as needed;
  - d) conduct of seminars/workshops, including on Establishment of a State's safety oversight system, preferably hosted by South Africa (a State that has maintained 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.

#### D. Major Elements (for each State)

<b>Objective 1</b>	<b>Increase EI to 60% and above</b>	
<b>Key Performance indicator (s)</b>	<b>EI increased to 60%</b>	
<b>Result 1.1</b>	<b>All 5 countries will achieve 60%and above EI by the end of 2016</b>	
<b>Activity</b>	<i>Conduct a desktop analysis to identify areas of priority and greater need</i>	
1.1.1	Identify objectives	
1.1.2	Develop a strategy to achieve objectives	
1.1.3	Develop a roadmap tailored to each State	
<b>Objective 2</b>	<b>Update the ICAO USOAP CMA Online framework (OLF)</b>	
<b>Key Performance indicator (s)</b>	<b>Enhanced Safety information exchange with ICAO</b>	
<b>Result 2.1</b>	Updated OLF modules, including CAP and self-assessment	
<b>Activity #</b>	<b>Description</b>	<b>Actors</b>
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 through the online framework	ICAO/States/RSOO/AFI CIS
<b>Objective 3</b>	<b>Establish an effective legal and regulatory framework</b>	
<b>Key Performance indicator (s)</b>	<b>Increase of the EIs for CE1 and CE2 in all technical areas</b>	
<b>Result 3.1</b>	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 revising specific operating regulations; and 2) identifying and notifying to ICAO differences between ICAO Standards and national regulations, if any	ICAO/States/RSOO/AFI CIS
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
<b>Objective 4</b>	<b>Assist the State develop 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 in the areas of PEL, OPS, AIR, AIG, ANS and AGA</b>	
<b>Key Performance indicator (s)</b>	<b>Increase of the EI for CE5 in PEL, OPS, AIR, AIG, ANS and AGA</b>	
<b>Result 4.1</b>	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 in the areas of PEL, OPS, AIR, AIG, ANS and AGA.	
<b>Activity #</b>	<b>Description</b>	<b>Actors</b>
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 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
4.1.5	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
<b>Objective 5</b>	<b>Establish an effective and efficient State civil aviation system and safety oversight functions</b>	
<b>Key Performance indicator (s)</b>	<b>Increase of the EIs for CE3 in all technical areas</b>	
<b>Result 5.1</b>	A civil aviation safety oversight system that includes a detailed organizational chart, adequate staffing, definition of responsibilities, job descriptions.	
<b>Activity #</b>	<b>Description</b>	<b>Actors</b>
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	ICAO/States/RSOO/AFI CIS

	determine the number of required qualified inspectors commensurate with the size and complexity of the aviation system and activities in the State.	
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
<b>Objective 6</b>	<b>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 all the technical areas</b>	
<b>Key Performance indicator (s)</b>	<b>Increase of the EIs for CE4</b>	
<b>Result 6.1</b>	Training policy, programme and plan approved for the SLCAA	
<b>Activity #</b>	<b>Description</b>	<b>Actors</b>
6.1.1	Assist the State to 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 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
<b>Result 6.2</b>	<b>Increased capacity of technical staff</b>	
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	
<b>Result 6.3</b>	<b>Individual training files created and updated for each technical staff.</b>	
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
<b>Objective 7</b>	<b>Establish an effective certification, licensing, authorization and/or approval and surveillance</b>	

	<b>obligations as well as resolution of safety issues capability in all the technical areas</b>	
<b>Key Performance indicator (s)</b>	<b>Increase of the EIs for CE6, 7 and 8</b>	
<b>Result 7.1</b>	<b>Licenses, certificates, approvals or authorizations granted</b>	
<b>Activity #</b>	<b>Description</b>	<b>Actors</b>
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
<b>Result 7.2</b>	<b>A surveillance system implemented</b>	
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
<b>Result 7.3</b>	<b>Resolution of safety issues implemented</b>	
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

## E. Project Inputs

### 1. Government Inputs

- 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
- 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 may be 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**

- a) Management and Leadership
- b) Personnel Licensing/Flight operations expert
- c) Airworthiness/Aircraft Accident Investigations expert
- d) Air Navigations Expert
- e) Aerodrome and Ground Aids Expert

3. **Other Inputs**

Short term experts from other entities, including States, RSOOs and AFI-CIS to supplement, particularly in the implementation CEs, when required.

**F. 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).

**G. Project Schedule**

The project will be accomplished within a period of 12 months, as per Appendix 4



### Appendix 1 Safety performance of the States

Table 1: USOAP Audit results (by audit area) by EI and the corresponding dates when they were conducted

State	Year	Overall	LEG	ORG	PEL	OPS	AIR	AIG	ANS	AGA
Mozambique	2014	44.26	80	66.67	43.21	52.8	78.7	16.49	46.67	20
Rwanda	2012	43.27	68.42	66.67	46.67	74.36	91.59	1.03	9.55	51.11
Seychelles	2014	23.74	13.04	38.46	25.26	9.22	48.74	30.56	20.29	16.78
Swaziland	2015	30.83	63.64	44.44	65.67	24.39	70.87	40.21	10.42	4.51
Tanzania	2013	37.76	27.27	38.46	53.19	12.23	57.26	44.44	29.47	44.67

Table 2: USOAP Audit results by EI (by critical elements) and the corresponding dates when they were conducted

State	Year	Overall	CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
Mozambique	2014	44.26	79.31	65.74	49.44	30.77	45.59	44.65	21.33	15.56
Rwanda	2012	43.27	48.28	53.33	37.08	18.42	40.74	59.62	33.33	18.18
Seychelles	2014	23.74	18.18	38.1	33.68	28.89	37.84	12.39	3.85	5.88
Swaziland	2015	30.83	80	44.34	25.58	20.78	47.41	23.59	8.22	11.36
Tanzania	2013	37.76	36.36	62.1	25.53	24.44	55.1	32.77	28.57	12

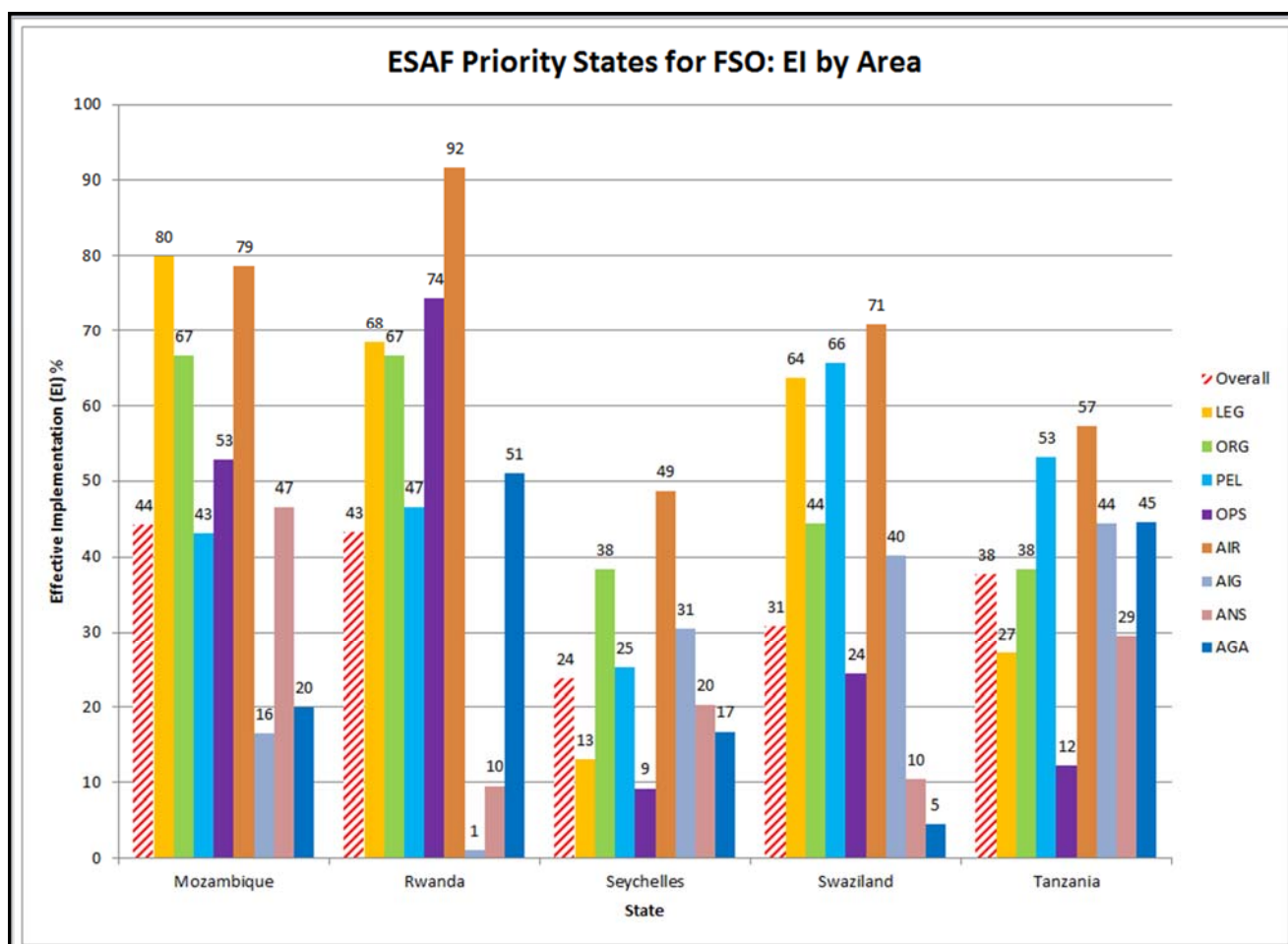


Figure 1. USOAP Audit results (by audit area) by EI, displaying comparisons amongst the State

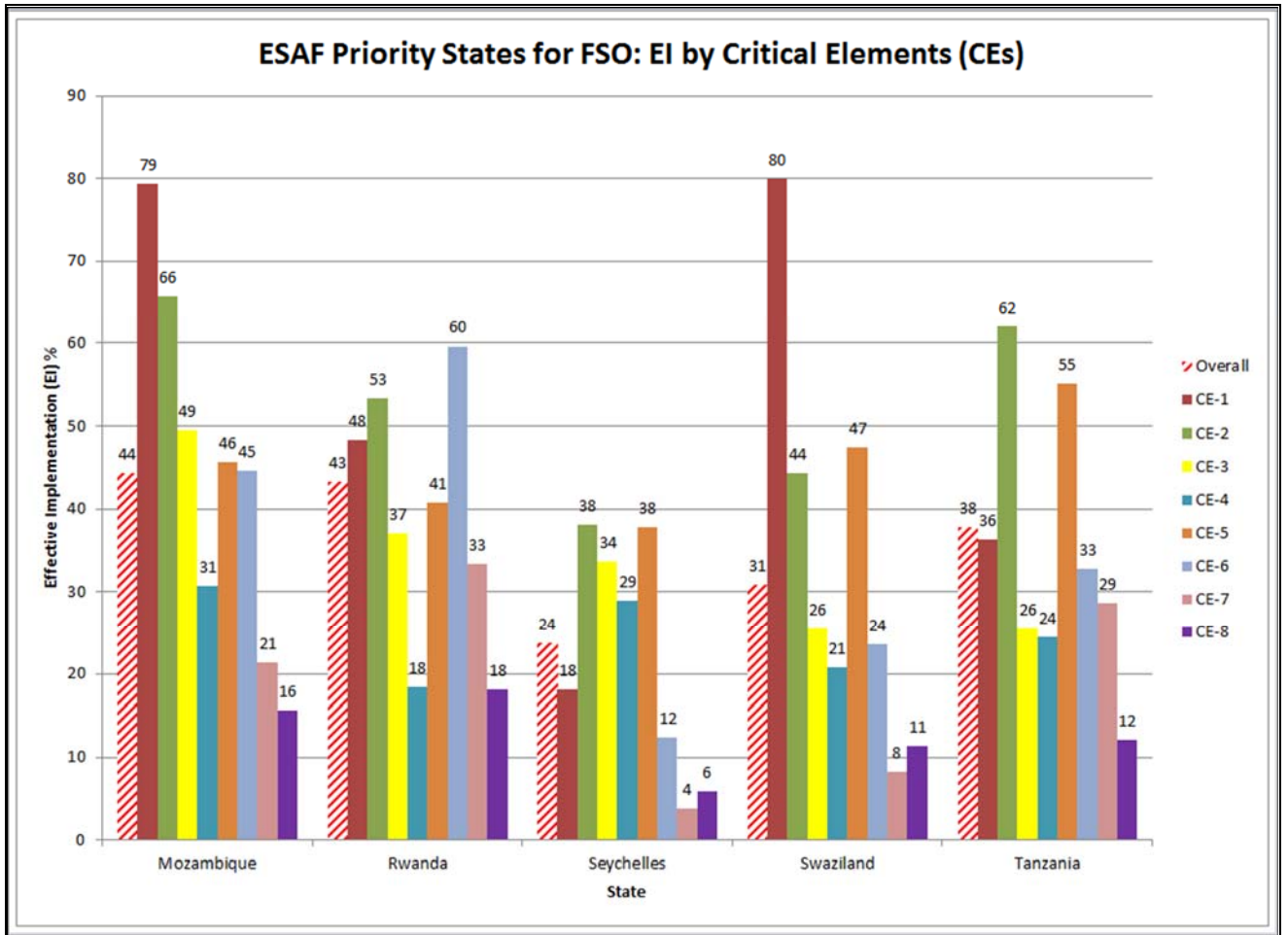


Figure 2. USOAP Audit results (by critical elements) by EI, displaying comparisons amongst the State

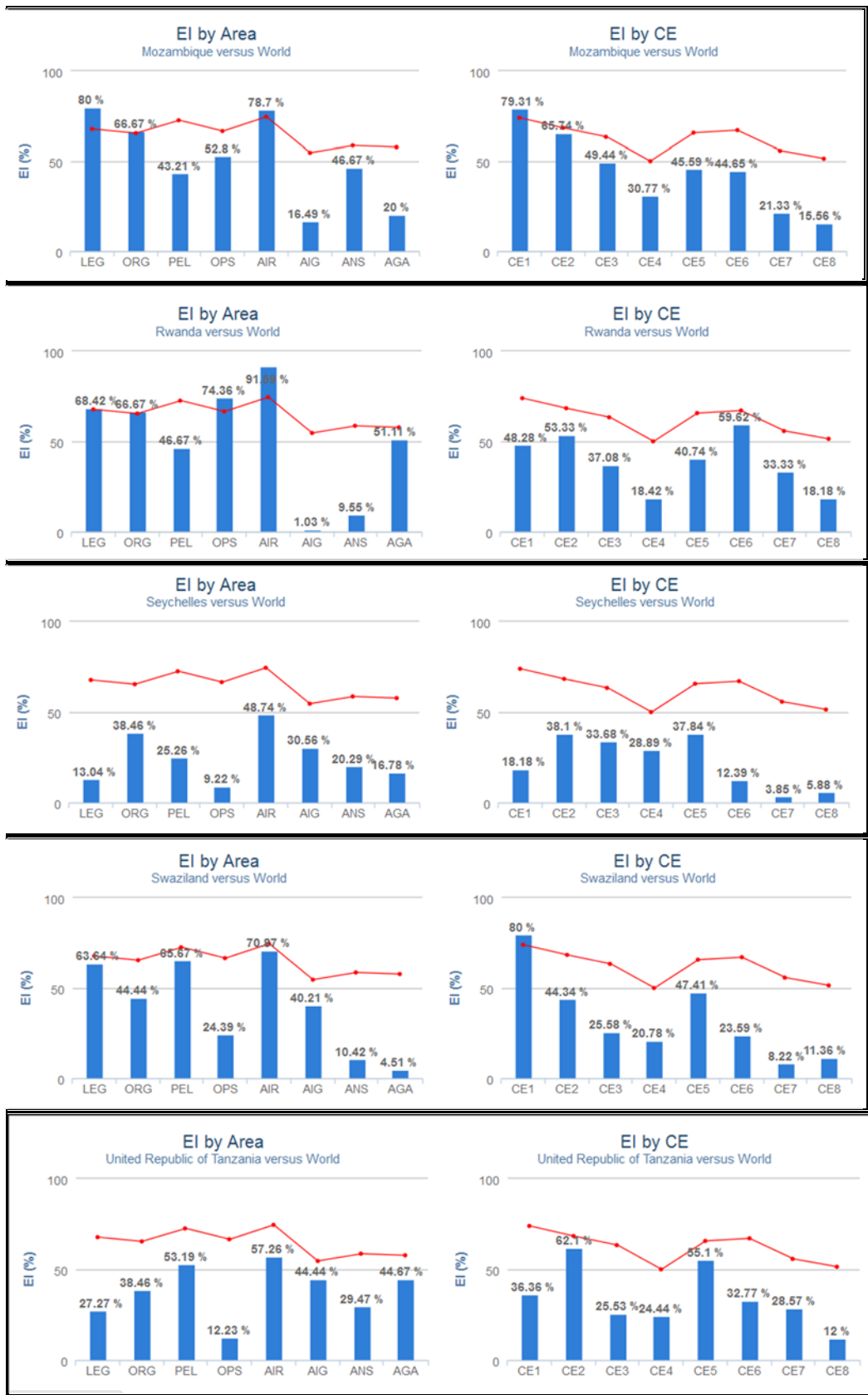


Figure 3. ISOAP Audit results (by audit area and CE) by EI, displaying comparisons against the World averages

## Appendix 2 Project Budget

PROJECT: Establishment of Fundamentals of a State Safety Oversight System (FSO)						
Project Budget						
STATE/ACTIVITY	COST Head	High Level	ROST (initial)	ROST (Follow-Up)	Total	Sub-Total
<b>MOZAMBIQUE</b>						
	Number of experts	1	4	4		
	Duration	4	6	4		
	DSA rate	\$ 319	\$ 319	\$ 319		
	Fare: Nairobi/Maputo/Nairobi	\$ 761	\$ 761	\$ 761		
	Terminal costs per trip per per person	\$ 134	\$ 134	\$ 134		
	Travel expenses	\$ 895	\$ 3,580	\$ 3,580	\$ 8,055	
	Subsistence allowance	\$ 1,276	\$ 7,656	\$ 5,104	\$ 14,036	
	<b>Sub-Total</b>					<b>\$ 22,091</b>
<b>RWANDA</b>						
	Number of experts	1	4	4		
	Duration	4	6	4		
	DSA rate	\$ 213	\$ 213	\$ 213		
	Fare: Nairobi/Kigali/Nairobi	\$ 349	\$ 349	\$ 349		
	Terminal costs per trip per per person	\$ 134	\$ 134	\$ 134		
	Travel expenses	\$ 483	\$ 1,932	\$ 1,932	\$ 4,347	
	Subsistence allowance	\$ 852	\$ 5,112	\$ 3,408	\$ 9,372	
	<b>Sub-Total</b>					<b>\$ 13,719</b>
<b>TANZANIA</b>						
	Number of experts	1	4	4		
	Duration	4	6	4		
	DSA rate	\$ 223	\$ 223	\$ 223		
	Fare: Nairobi/Dar es Salaam/Nairobi	\$ 404	\$ 2,471	\$ 2,471		
	Terminal costs per trip per per person	\$ 134	\$ 134	\$ 134		
	Travel expenses	\$ 538	\$ 10,420	\$ 10,420	\$ 21,378	
	Subsistence allowance	\$ 892	\$ 5,352	\$ 3,568	\$ 9,812	
	<b>Sub-Total</b>					<b>\$ 31,190</b>
<b>SWAZILAND</b>						
	Number of experts	1	4	4		
	Duration	4	6	4		
	DSA rate	\$ 148	\$ 148	\$ 148		
	Fare: Nairobi/Joburg/Manzini/Joburg/Nairobi	\$ 1,040	\$ 1,040	\$ 1,040		
	Terminal costs per trip per per person	\$ 134	\$ 134	\$ 134		
	Travel expenses	\$ 1,174	\$ 4,696	\$ 4,696	\$ 10,566	
	Subsistence allowance	\$ 592	\$ 3,552	\$ 2,368	\$ 6,512	
	<b>Sub-Total</b>					<b>\$ 17,078</b>
<b>SEYCHELLES</b>						
	Number of experts	1	4	4		
	Duration	4	6	4		
	DSA rate	\$ 333	\$ 333	\$ 333		
	Fare: Nairobi/Mahe/Nairobi	\$ 788	\$ 788	\$ 788		
	Terminal costs per trip per per person	\$ 134	\$ 134	\$ 134		
	Travel expenses	\$ 922	\$ 3,688	\$ 3,688	\$ 8,298	
	Subsistence allowance	\$ 1,332	\$ 7,992	\$ 5,328	\$ 14,652	
	<b>Sub-Total</b>					<b>\$ 22,950</b>
<b>WORKSHOP: Establishment of a State's safety oversight system</b>						
	Will be hosted by a State has previously successfully resolved an SSC or one with an SSC				5,000	
	Number of experts				4	
	Duration				7	
	DSA rate				\$ 223	
	Fare: Nairobi/Joburg/Nairobi				\$ 1,200	
	Terminal costs per trip per per person				\$ 134	
	Travel expenses				\$ 5,336	
	Subsistence allowance				\$ 6,244	
	<b>Sub-Total</b>				<b>\$ 16,580</b>	<b>\$ 16,580</b>
	<b>Contingency 5% of total</b>					
	<b>GRAND TOTAL COST</b>					<b>123,608</b>

Figure 4. Schedule of Costs

### Appendix 3 Project Schedule

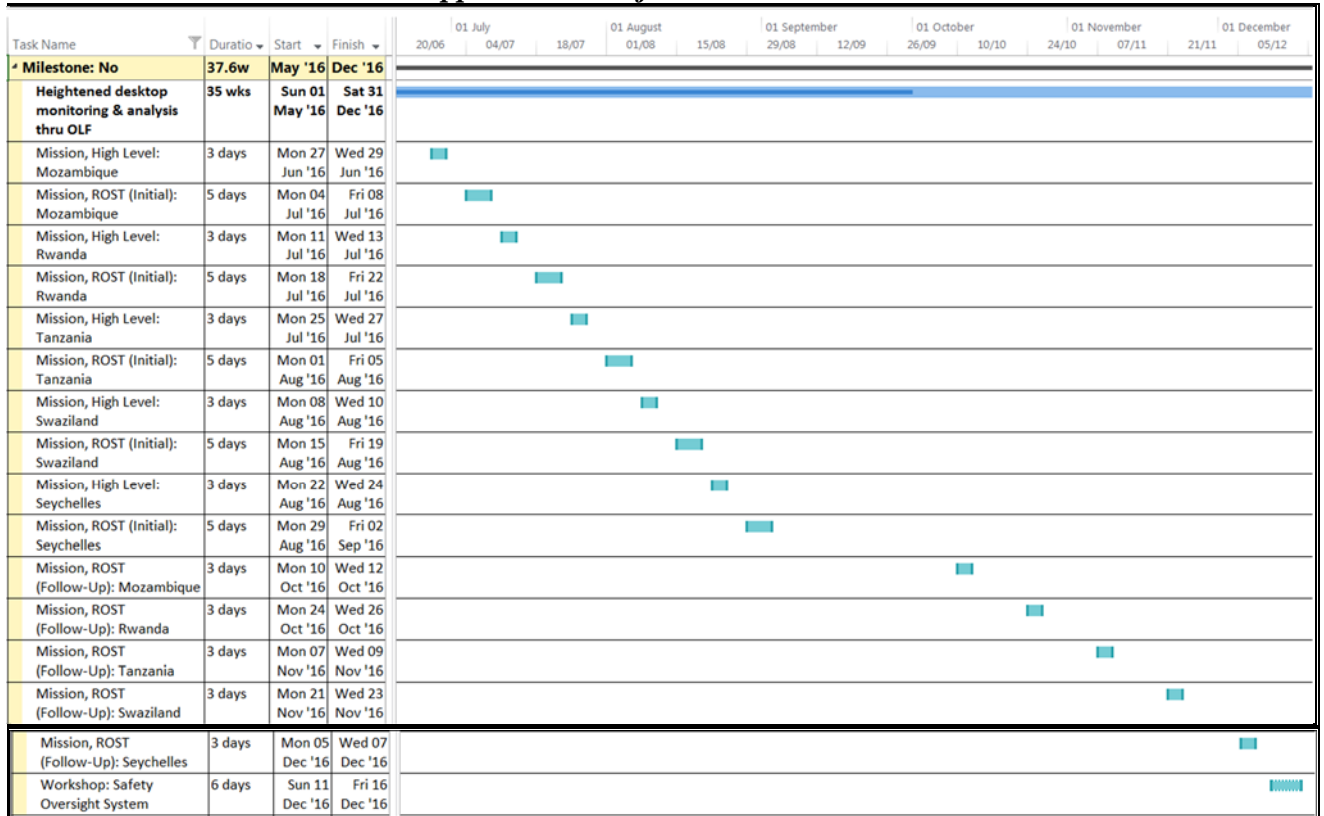


Figure 5. Project Schedule

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