AFI Plan-SC/20/2017-DP/07
24/11/2017
English only

COMPREHENSIVE REGIONAL IMPLEMENTATION PLAN FOR AVIATION SAFETY IN AFRICA (AFI PLAN)

TWENTIETH AFI PLAN STEERING COMMITTEE MEETING (Montreal, Canada, 07 December 2017)

Agenda Item 3: Consideration of Proposed New AFI Plan Projects

(Presented by AFI Plan Secretariat)

EXECUTIVE SUMMARY

This paper presents information related to the proposed new projects and related activities to be considered for implementation and funding under the AFI Plan.

Action: *The Steering Committee is invited to:*

a) Note the information contained in this paper; and
b) Consider and approve the implementation of the proposed projects.

1. INTRODUCTION

1.1. This paper presents proposed new additional projects and related activities for implementation and funding consideration under the AFI Plan for the year of 2018 and beyond. The projects were prepared on the basis of the decision of the 19th AFI Plan SC meeting (SC19/DEC 06).

2. SUMMARY OF PROGRESS

2.1 During its nineteenth meeting, the Steering Committee (SC) reviewed the progress made in the implementation of the programme of activities under the AFI Plan including the implementation of projects approved during its 17th meeting.

2.2 Accordingly, in order to meet the goals set and to accelerate implementation of the programme, the Steering Committee requested the Secretariat to develop and propose at least two additional projects, including Fundamentals of Safety Oversight (FSO) and Accident Investigation (AIG), for the consideration of the 20th meeting.

2.3 In October 2017, the AFI Plan Secretariat briefed the 4th RASG-AFI meeting on ongoing AFI Plan projects and sought feedback on possible areas of interest and priority for new projects. The RASG-AFI/4 meeting commended the AFI Plan initiative to fund and implementation safety and air navigation projects, and supported the idea of having new projects in FSO and AIG .

3. NEW PROPOSED PROJECTS FOR 2018 AND BEYOND

3.1 The formulation of the proposed projects takes into account the Decision of the 38th Assembly on the expansion of the AFI Plan activities to cover all safety-related areas including aircraft accident and incident investigation (AIG), including the Goals set by the Steering Committee in subsequent years . It would be recalled that the 2017 Goals of the AFI Plan include the removal of all Significant Safety Concerns (SSCs), increase to 80% of the number of AFI States with at least 60% EI, and certification of 45% of international aerodromes in the AFI Region. Therefore the assistance to be provided to the AFI States through these projects are guided by these broad goals set by the Steering Committee. Details of each proposed project is provided as an Attachment to this Discussion Paper.

3.2 Accordingly, in the order of priority, the projects involve the following areas:

- Fundamentals / Establishment of Safety Oversight Systems — Attachment A
- Aircraft Accident Investigation (AIG) — Attachment B

3.3 The objectives, strategies, key activities and specific targets to be achieved at the end of each project are clearly defined and properly justified within the project documents, which are attached to this DP. Below is a summary of the projects objective and related costs being submitted for consideration of the Steering Committee.

Project Title	Objective	Estimated Cost (USD)	Beneficiaries
Fundamentals of Safety Oversight (FSO)	To assist eleven (11) AFI States to enhance establish the fundamentals of a State safety oversight system,	204,887.00	11 AFI States
AIG	To provide assistance to AFI States in the development of harmonized AIG legislation, regulations and associated procedures required for the establishment critical elements (CE) of a State Safety Oversight system with respect to AIG	50,000.00	48 AFI States
Estimated Total Cost (USD)		**254,887.00**	

3.4 Implementation of the projects will rely on Regional Office Staff, AFI CIS, COSCAPs/RSOOs, Donor States and Regional experts

3.5 The Steering Committee is invited to:

a) Note the information contained in this paper; and
b) Consider and approve the implementation of the proposed projects

-END-

Attachment A

Project Proposal on Fundamentals of Safety Oversight (FSO)

1.	**Beneficiary States:**	Burundi, Central African Republic, Comoros, Djibouti, Eritrea, Guinea, Guinea-Bissau, Lesotho, Liberia, Sao Tome and Principe, and Seychelles
2.	**Project No.:**	AFI Plan/2018/002
3.	**Project Title:**	Fundamentals of Safety Oversight (FSO) Project
4.	**Project Duration:**	24 Months (starting in January 2018)
5.	**Executing Agencies:**	ICAO, Civil Aviation Authorities, RSOOs, AFCAC
6.	**Source of Funding:**	ICAO AFI Plan
7.	**Project Cost:**	USD 204,887

A. Project justification

1. The AFI Region has achieved steady continuous improvements in the effective implementation of the critical elements of a State's safety oversight system in the last few years since 2010. However, significant challenges still remain, including the need to resolve the remaining Significant Safety Concerns (SSCs) in two States (Eritrea and Malawi), increase the EI for each State to at least 60%, and increase the AFI States' group average currently at 53.85% to at least the world average currently 64.99%.

2. In this regard, the AFI Plan will support States to enhance their effective safety oversight capability and work towards reducing the incident and accident rates locally in their respective countries, regionally and globally.

3. Consequently, the AFI Plan has established a project named Fundamentals of Safety Oversight (FSO) that aims to prioritize, assist and support the eleven (11) States within the AFI Region. The FSO beneficiary States have not yet established the fundaments of a State safety oversight system as a precursor to the attainment of the 60% EI threshold target, which is one of the Abuja safety targets, to increase their respective scores and achieve the target by the end of 2019. The current average USOAP score for these States stands at 17.71%, which is below the current world average of 64.99%.

4. The targeted group of States is comprised of Burundi, Central African Republic, Comoros, Djibouti, Eritrea, Guinea, Guinea-Bissau, Lesotho, Liberia, Libya, Sao Tome and Principe, and Seychelles

5. The safety oversight capability performance of the eleven (11) States is illustrated in Appendix 1 (Figures 1 to 14) on USOAP Audit results by Area and Critical Element, whereas Appendices 2, and 3 present the major activities, and budget of the project, respectively.

B. Project overall objectives and targets

The purpose of this project is to assist the above identified eleven (11) States to enhance establish the fundamentals of a State safety oversight system, as a precondition towards the capacity to achieve the Abuja Safety target of at least 60% EI, by the end of 2019.

C. Implementation strategy

1. ICAO will conduct high level State and ROST missions to gather prevailing factual information and to provide advice and assistance. Technical experts from other States, AFCAC (under AFI-CIS) and Regional Safety Oversight Organizations (RSOOs) will also be engaged for the execution of the project, as and when necessary.

2. The project will initially focus on the establishment CEs to ensure that fundamental safety oversight systems are put in place in the beneficiary States by the end of 2019 by prioritizing the following:

   a) the rulemaking process, including development and/or amendment of primary aviation legislation (CE-1) and specific operating regulations (CE-2);

   b) establishment of an appropriate State civil aviation system and its safety oversight functions (CE-3);

   c) establishment and implementation of an appropriate system to ensure competent technical personnel, including development and implementation of an adequate training programme and associated plans that address initial, recurrent and specialized as well as on-job-training (OJT) training for national technical/inspectorate staff (CE-4); and

d) availability and adequacy of technical guidance, tools and the provision of safety-critical information (CE-5).

3. Subject to the availability of funds and duration of the project, the scope of the project may also provide assistance with the implementation CEs, including licensing, certification, authorization and approval (CE-6), surveillance (CE-7) and resolution of safety concerns (CE-8) related processes.

4. The ICAO Regional Offices in Dakar and Nairobi will be responsible for the supervision of the project for States under their respective areas of accreditation and will also establish and maintain coordination with all the stakeholders during the course of the project, including at high level in Governments. The experts will be responsible for submission of periodic progress reports and for preparation of the terminal reports prior to the termination of their assignments. These reports will be submitted to ICAO for review and subsequently submitted to the Governments of the respective countries.

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

a) using the OLF and information obtained through other means, including previous ROST missions, ICAO assistance projects 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) monitoring remotely (by OLF) and by correspondence with State NCMCs and analyzing progress achieved and providing guidance and support, as necessary;

c) conducting on-site ROST missions to assess and verify actual implementation and providing support, as needed;

d) conducting appropriate courses in accordance with ICAO Training Policy, as well as seminars and workshops, preferably in collaboration with champion States that have demonstrated robust safety oversight systems in order to benchmark and share best practices; and

e) coordinating with ICAO HQ with the view to recommending conduct of CMA activities, including ICVM, off-site validation, or IVAs, when appropriate, in order to formally validate progress achieved and update EI accordingly.

D. Major Elements (for each State)

The major elements of the Project are scheduled as shown in Appendix 2.

E. Project Inputs

1. Government Inputs

a) Signing of the Project Document and any other Document/Agreement between ICAO and respective States. This may include alignment of existing ICAO Plans of action for the concerned States, as necessary.
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 expert
d) Aircraft Accident Investigations expert
e) Air Navigation experts (covering ATS, PANS-OPS, AIS/MAP, CNS, MET, SAR)
f) Aerodrome and Ground Aids expert

3. Other Inputs

Short term experts from other stakeholders, including States, RSOOs and AFI-CIS to complement the efforts of ICAO, 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 24 months, as per Appendix 4.

Appendix 1 USOAP Audit results of the Project Beneficiary States

Table 1: USOAP Audit results by audit area and by Critical Element (CE)

NAME	STATE	EI_YEAR	OVERALL	LEG	ORG	PEL	OPS	AIR	AIG	ANS	AGA	CE1	CE2	CE3	CE4	CE5	CE6	CE7	CE8
Burundi	BDI	2013	26.74	38.10	25.00	21.21	22.95	38.10	30.39	null	19.86	46.67	51.96	17.78	27.03	39.37	6.50	4.88	2.44
Central African Republic	CAF	2007	7.29	25.00	0.00	1.30	3.42	14.85	2.15	8.88	7.69	34.48	9.18	11.11	1.45	4.96	5.53	9.09	0.00
Comoros	COM	2008	20.30	68.18	50.00	18.99	5.93	41.51	10.75	26.25	5.97	62.50	50.00	13.33	1.45	12.00	17.62	17.39	4.55
Djibouti	DJI	2008	4.22	0.00	30.00	2.44	0.00	4.95	0.00	12.26	0.79	3.13	1.06	10.81	1.45	0.00	7.69	3.08	2.22
Eritrea	ERI	2010	20.83	23.81	11.11	14.08	22.31	36.19	18.28	15.12	20.30	46.88	48.98	18.92	4.48	22.58	17.45	6.76	2.27
Guinea	GIN	2016	22.39	52.38	20.00	34.15	20.33	50.98	22.83	4.17	13.67	61.29	57.73	24.66	11.59	34.68	7.17	5.33	2.22
Guinea-Bissau	GNB	2013	11.28	55.00	50.00	8.64	7.32	26.97	8.60	4.71	7.46	61.29	28.87	20.00	1.45	8.20	3.38	1.37	0.00
Lesotho	LSO	2007	21.81	27.27	9.09	39.29	21.30	46.53	0.00	24.43	4.41	22.58	23.47	22.78	8.70	10.74	30.05	29.73	13.64
Liberia	LBR	2016	18.10	33.33	20.00	24.72	13.49	1.92	15.05	37.79	5.63	33.33	17.48	20.78	24.64	8.73	19.28	15.66	19.57
Sao Tome and Principe	STP	2014	18.17	35.00	25.00	30.00	14.75	25.00	23.66	14.94	6.52	74.19	39.80	17.11	7.14	18.55	10.86	9.09	2.17
Seychelles	SYC	2014	23.70	13.64	41.67	25.53	9.35	49.15	29.41	19.54	16.55	21.21	38.26	32.50	32.00	37.78	13.08	6.25	5.88

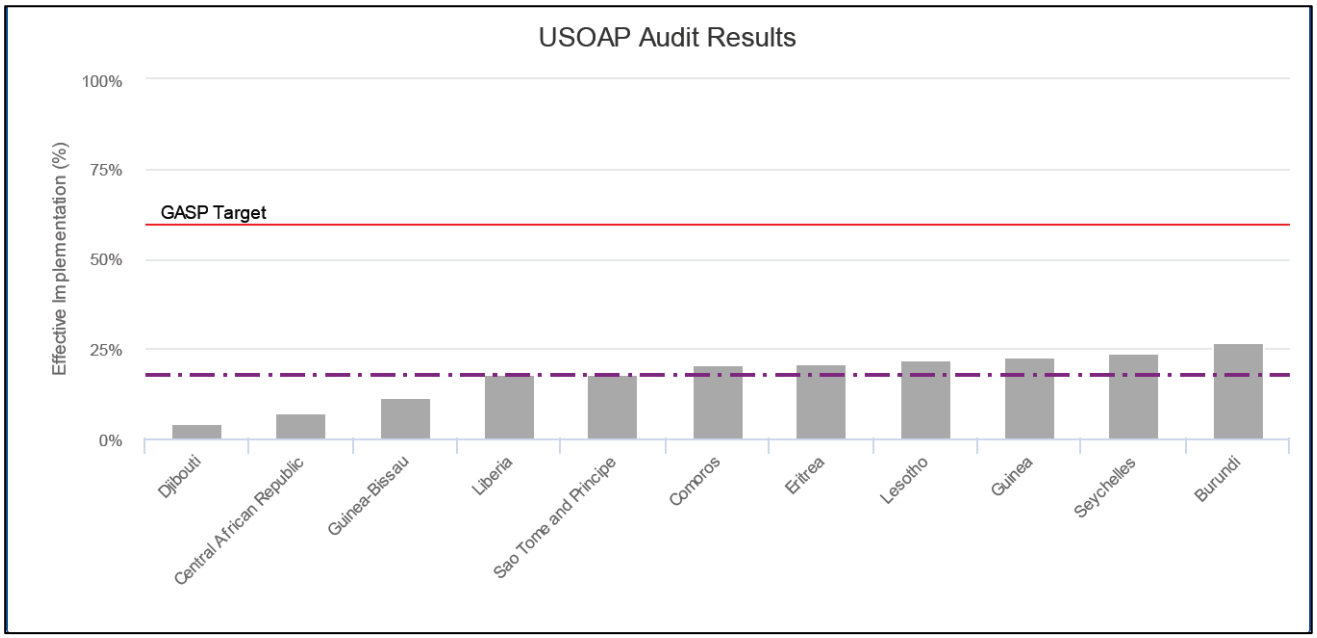


Figure 1. USOAP Audit results (overall) by EI

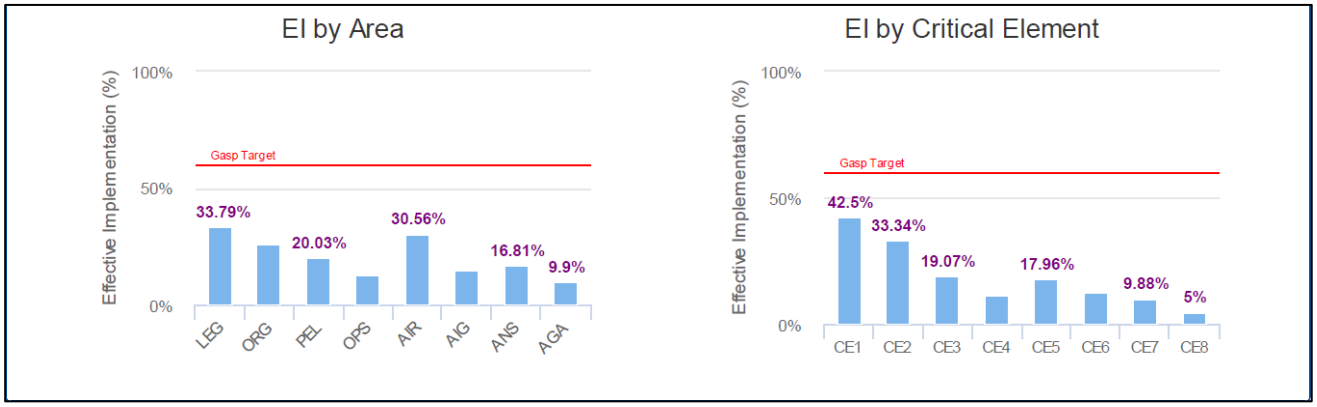
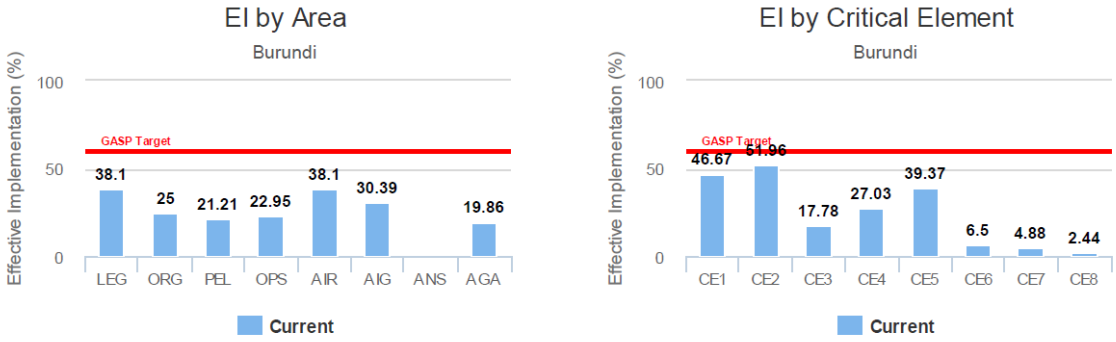


Figure 2. USOAP Results by Area and Critical Element by EI (group average)

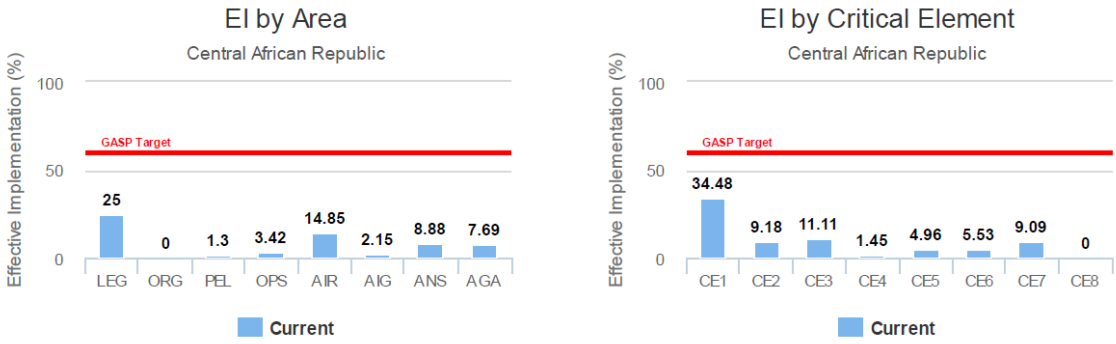


Burundi currently has 400 open USOAP protocol findings. The highest number of protocol findings (55) concern Licensing, Certification, Authorization and Approval Obligations (CE-6) in the area of Aerodromes (AGA).

	LEG	ORG	PEL	OPS	AIR	AIG	ANS	AGA
CE-1	7	1				8		
CE-2	4		6	9	17	5		8
CE-3		8	4	5	5	10		5
CE-4			4	4	5	7		7
CE-5	2		7	17	15	27		9
CE-6			39	4	17			55
CE-7			10	3	3			23
CE-8			8	5	3	14		10

Protocol findings by Area and Critical Element intersection

Figure 3. USOAP Results by Area and Critical Element by EI (Burundi)

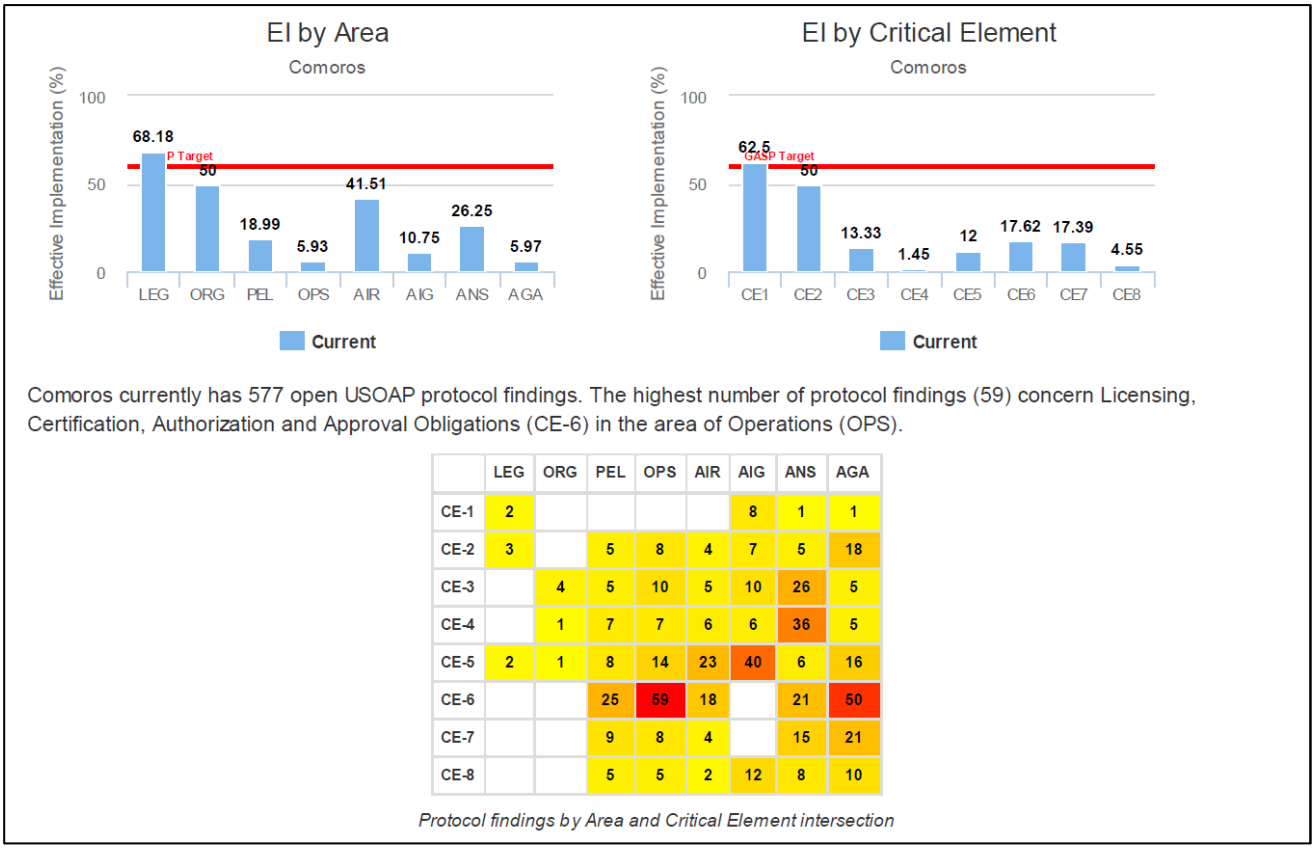


Central African Republic currently has 674 open USOAP protocol findings. The highest number of protocol findings (60) concern Licensing, Certification, Authorization and Approval Obligations (CE-6) in the area of Operations (OPS).

	LEG	ORG	PEL	OPS	AIR	AIG	ANS	AGA
CE-1	9			1		8		1
CE-2	4		11	10	27	10	9	18
CE-3		4	5	10	4	11	25	5
CE-4		2	7	6	6	6	36	5
CE-5	2	1	9	13	23	44	6	17
CE-6			32	60	19		42	52
CE-7			6	8	4		28	24
CE-8			6	5	3	12	8	10

Protocol findings by Area and Critical Element intersection

Figure 4. USOAP Results by Area and Critical Element by EI (Central African Republic)

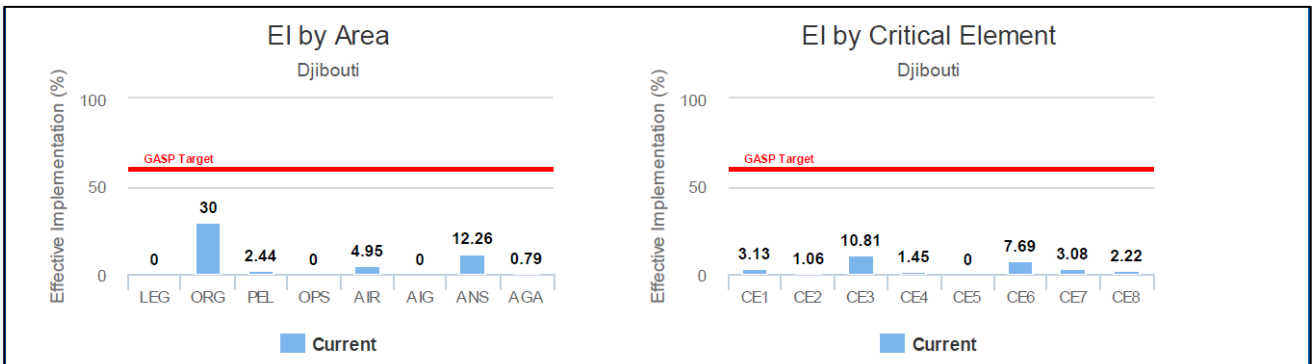


Comoros currently has 577 open USOAP protocol findings. The highest number of protocol findings (59) concern Licensing, Certification, Authorization and Approval Obligations (CE-6) in the area of Operations (OPS).

	LEG	ORG	PEL	OPS	AIR	AIG	ANS	AGA
CE-1	2					8	1	1
CE-2	3		5	8	4	7	5	18
CE-3		4	5	10	5	10	26	5
CE-4		1	7	7	6	6	36	5
CE-5	2	1	8	14	23	40	6	16
CE-6			25	59	18		21	50
CE-7			9	8	4		15	21
CE-8			5	5	2	12	8	10

Protocol findings by Area and Critical Element intersection

Figure 5. USOAP Results by Area and Critical Element by EI (Comoros)

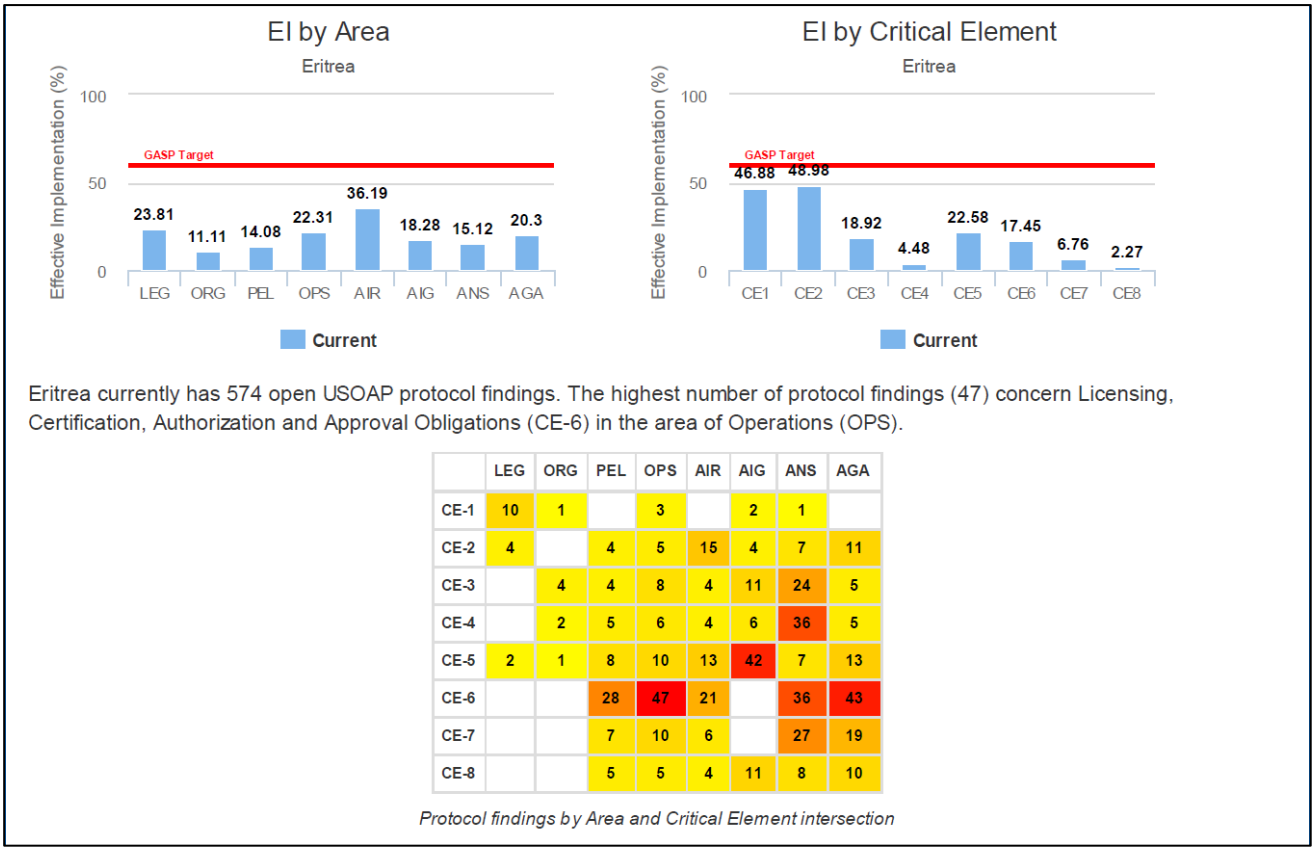


Djibouti currently has 681 open USOAP protocol findings. The highest number of protocol findings (61) concern Licensing, Certification, Authorization and Approval Obligations (CE-6) in the area of Operations (OPS).

	LEG	ORG	PEL	OPS	AIR	AIG	ANS	AGA
CE-1	14			3		10	3	1
CE-2	5		12	10	30	10	8	18
CE-3		5	4	10	6	11	25	5
CE-4		1	7	7	6	6	36	5
CE-5	2	1	9	17	26	44	8	17
CE-6			34	61	21		28	48
CE-7			8	9	4		20	22
CE-8			6	5	3	12	8	10

Protocol findings by Area and Critical Element intersection

Figure 6. USOAP Results by Area and Critical Element by EI (Djibouti)

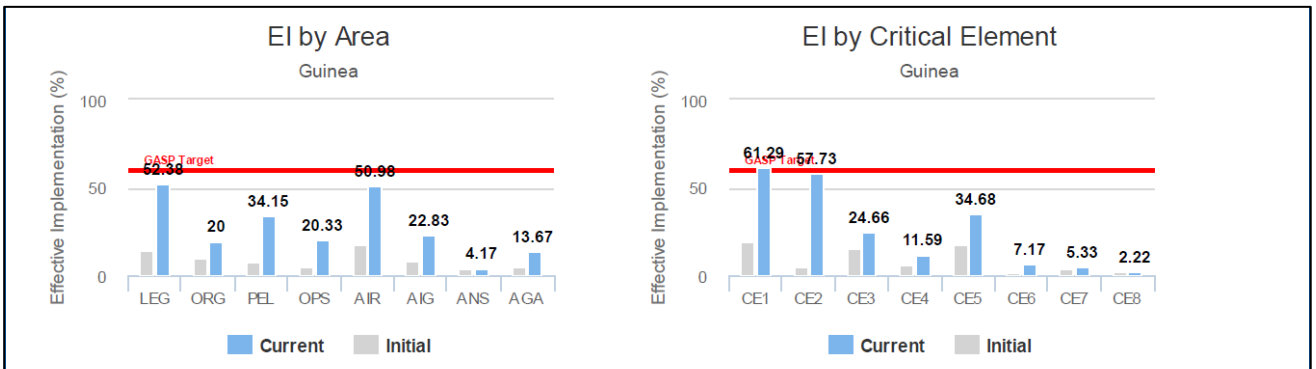


Eritrea currently has 574 open USOAP protocol findings. The highest number of protocol findings (47) concern Licensing, Certification, Authorization and Approval Obligations (CE-6) in the area of Operations (OPS).

	LEG	ORG	PEL	OPS	AIR	AIG	ANS	AGA
CE-1	10	1		3		2	1	
CE-2	4		4	5	15	4	7	11
CE-3		4	4	8	4	11	24	5
CE-4		2	5	6	4	6	36	5
CE-5	2	1	8	10	13	42	7	13
CE-6			28	47	21		36	43
CE-7			7	10	6		27	19
CE-8			5	5	4	11	8	10

Protocol findings by Area and Critical Element intersection

Figure 7. USOAP Results by Area and Critical Element by EI (Eritrea)

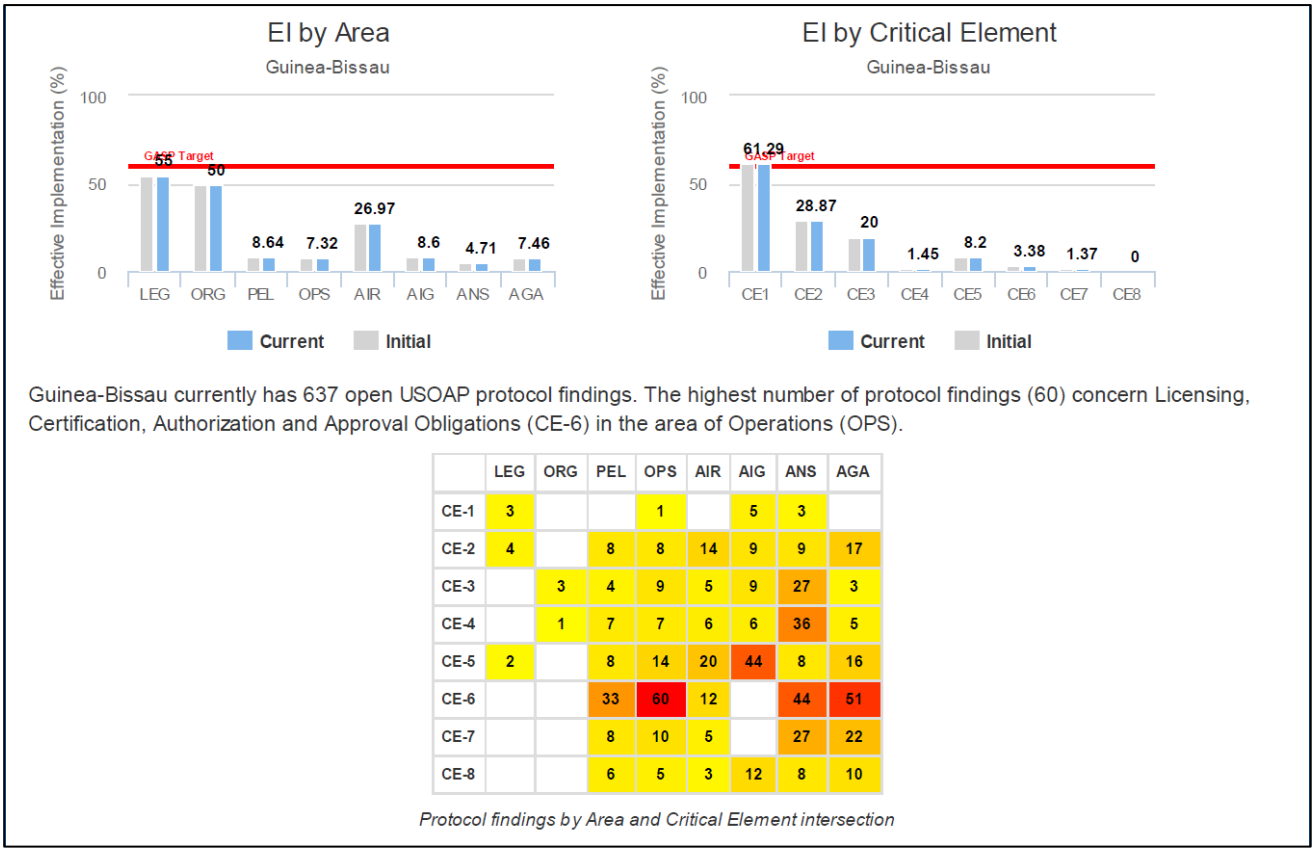


Guinea currently has 572 open USOAP protocol findings. The highest number of protocol findings (57) concern Licensing, Certification, Authorization and Approval Obligations (CE-6) in the area of Operations (OPS).

	LEG	ORG	PEL	OPS	AIR	AIG	ANS	AGA
CE-1	7					3	2	
CE-2	1		3	6	6	3	9	13
CE-3		6	2	7	1	9	26	4
CE-4		2	5	5	3	5	36	5
CE-5	2		3	8	10	40	8	10
CE-6			28	57	20		46	56
CE-7			7	10	6		26	22
CE-8			6	5	4	11	8	10

Protocol findings by Area and Critical Element intersection

Figure 8. USOAP Results by Area and Critical Element by EI (Guinea)

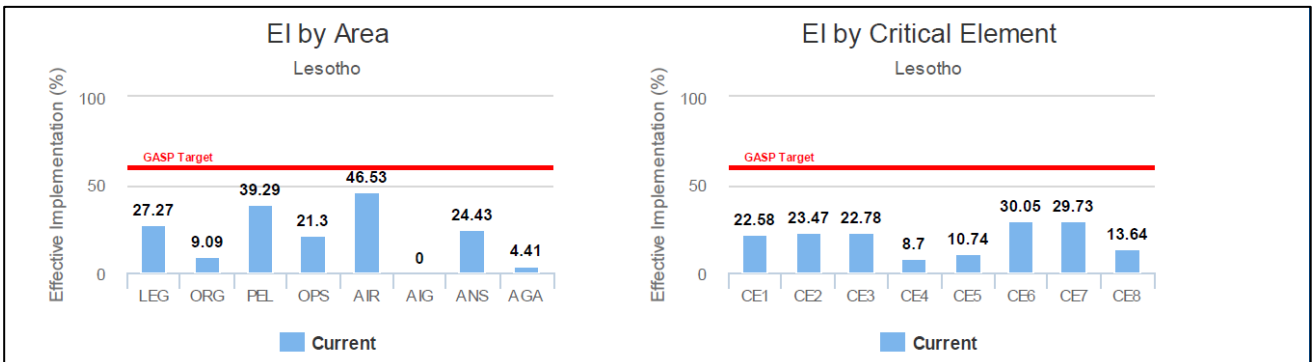


Guinea-Bissau currently has 637 open USOAP protocol findings. The highest number of protocol findings (60) concern Licensing, Certification, Authorization and Approval Obligations (CE-6) in the area of Operations (OPS).

	LEG	ORG	PEL	OPS	AIR	AIG	ANS	AGA
CE-1	3			1		5	3	
CE-2	4		8	8	14	9	9	17
CE-3		3	4	9	5	9	27	3
CE-4		1	7	7	6	6	36	5
CE-5	2		8	14	20	44	8	16
CE-6			33	60	12		44	51
CE-7			8	10	5		27	22
CE-8			6	5	3	12	8	10

Protocol findings by Area and Critical Element intersection

Figure 9. USOAP Results by Area and Critical Element by EI (Guinea Bissau)

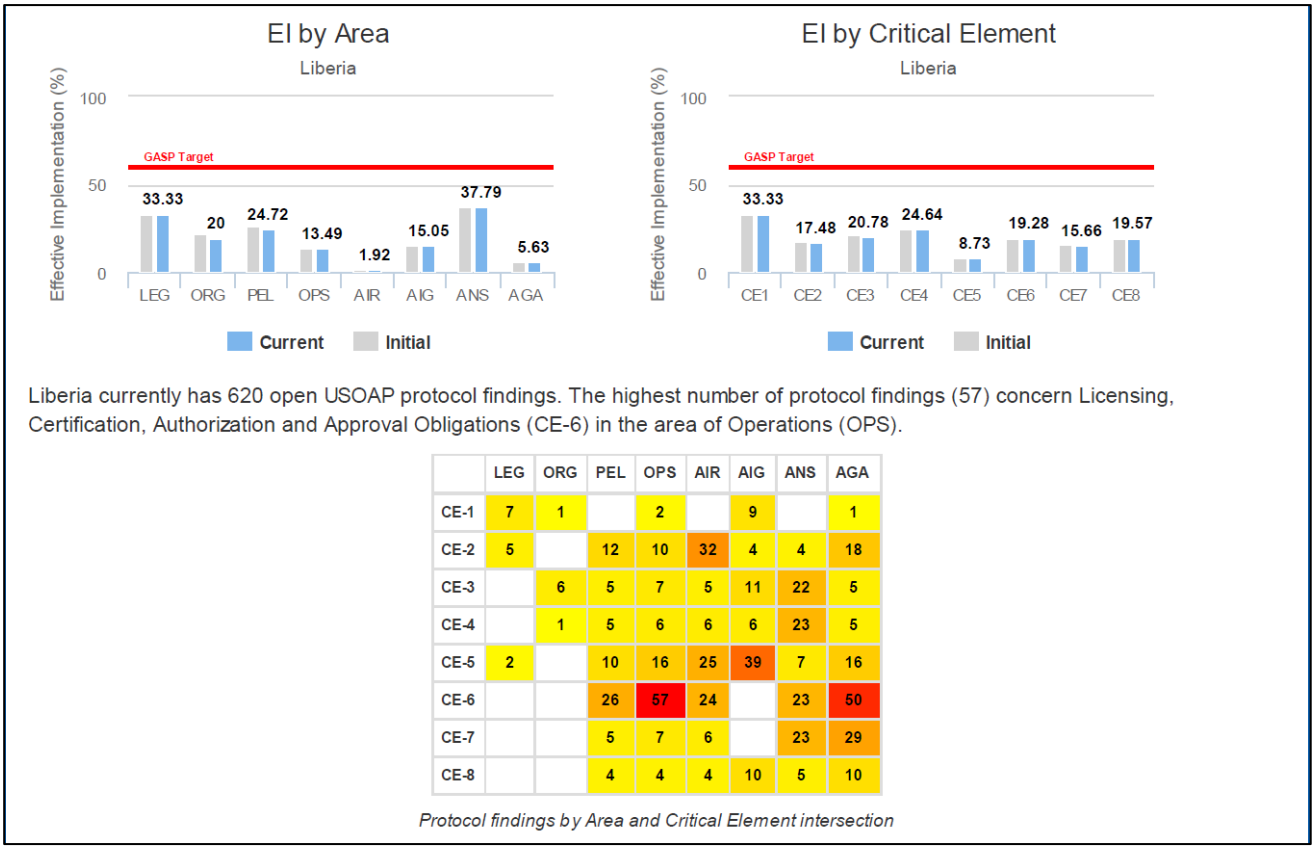


Lesotho currently has 570 open USOAP protocol findings. The highest number of protocol findings (51) concern Licensing, Certification, Authorization and Approval Obligations (CE-6) in the area of Aerodromes (AGA).

	LEG	ORG	PEL	OPS	AIR	AIG	ANS	AGA
CE-1	9	1		2		9	2	1
CE-2	5		9	7	17	10	9	18
CE-3		6	5	8	4	11	21	6
CE-4		2	6	6	6	6	32	5
CE-5	2	1	6	11	19	44	8	17
CE-6			16	42	6		34	51
CE-7			4	5	2		19	22
CE-8			5	4		11	8	10

Protocol findings by Area and Critical Element intersection

Figure 10. USOAP Results by Area and Critical Element by EI (Lesotho)

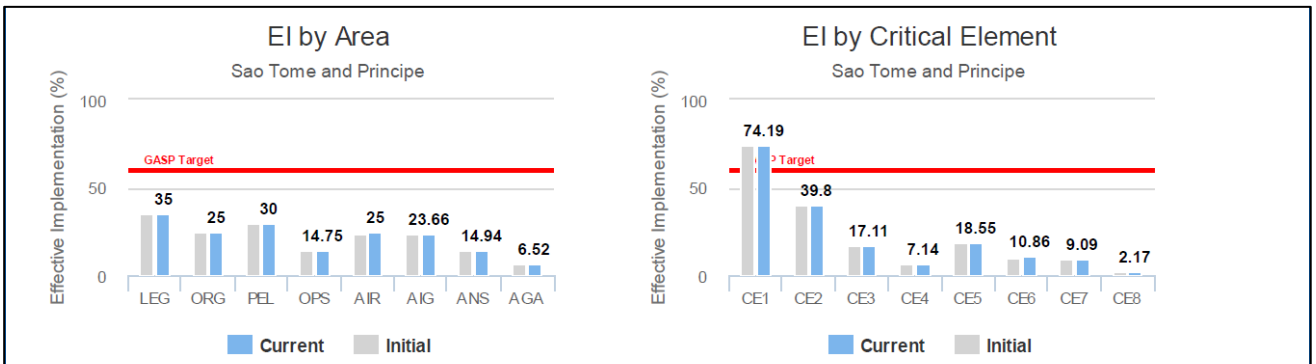


Liberia currently has 620 open USOAP protocol findings. The highest number of protocol findings (57) concern Licensing, Certification, Authorization and Approval Obligations (CE-6) in the area of Operations (OPS).

	LEG	ORG	PEL	OPS	AIR	AIG	ANS	AGA
CE-1	7	1		2		9		1
CE-2	5		12	10	32	4	4	18
CE-3		6	5	7	5	11	22	5
CE-4		1	5	6	6	6	23	5
CE-5	2		10	16	25	39	7	16
CE-6			26	57	24		23	50
CE-7			5	7	6		23	29
CE-8			4	4	4	10	5	10

Protocol findings by Area and Critical Element intersection

Figure 11. USOAP Results by Area and Critical Element by EI (Liberia)

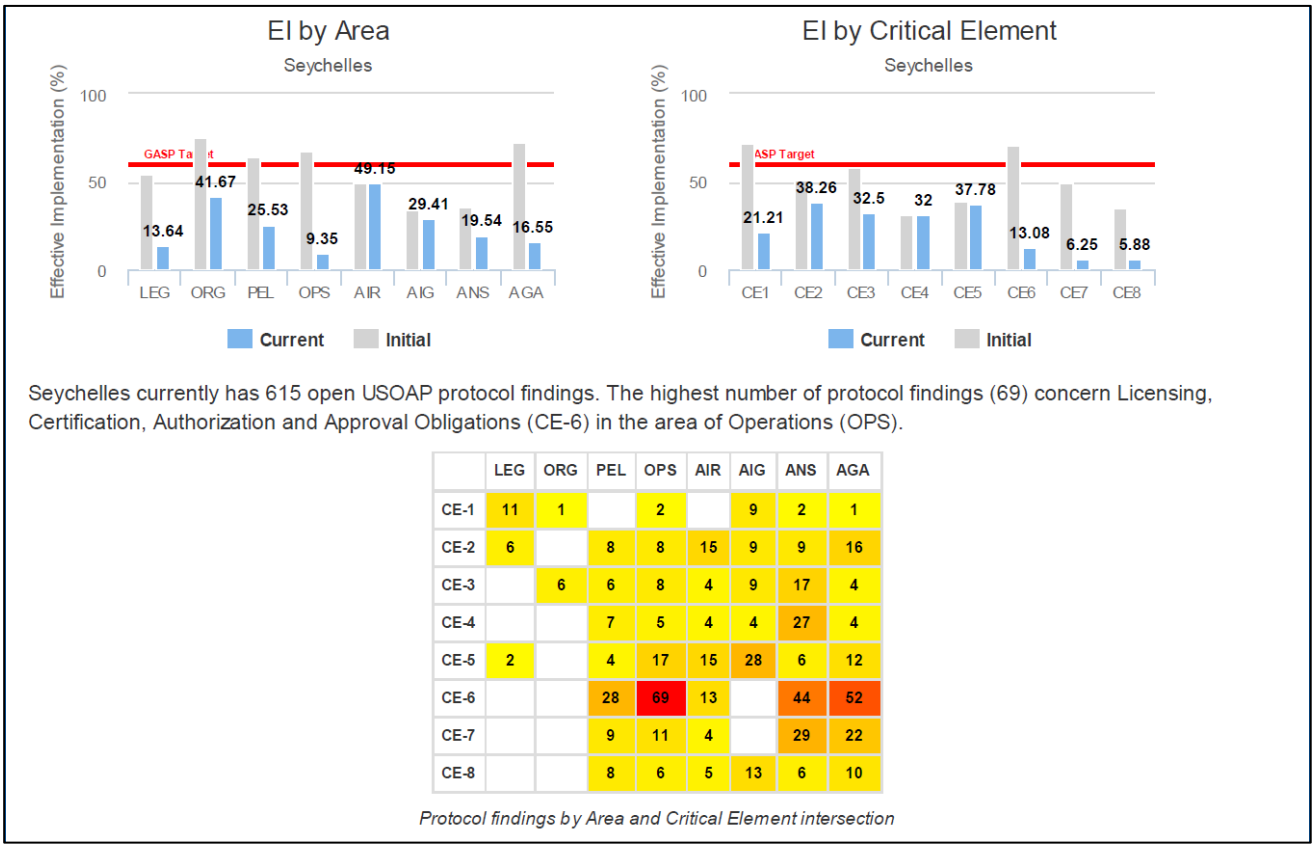


Sao Tome and Principe currently has 608 open USOAP protocol findings. The highest number of protocol findings (55) concern Licensing, Certification, Authorization and Approval Obligations (CE-6) in the area of Operations (OPS).

	LEG	ORG	PEL	OPS	AIR	AIG	ANS	AGA
CE-1	7					1		
CE-2	4		4	9	14	5	7	16
CE-3		4	3	9	6	10	26	5
CE-4		2	6	5	5	6	36	5
CE-5	2		5	11	23	38	7	15
CE-6			26	55	21		40	55
CE-7			6	10	7		24	23
CE-8			6	5	5	11	8	10

Protocol findings by Area and Critical Element intersection

Figure 12. USOAP Results by Area and Critical Element by EI (Sao Tome and Principe)



Seychelles currently has 615 open USOAP protocol findings. The highest number of protocol findings (69) concern Licensing, Certification, Authorization and Approval Obligations (CE-6) in the area of Operations (OPS).

	LEG	ORG	PEL	OPS	AIR	AIG	ANS	AGA
CE-1	11	1		2		9	2	1
CE-2	6		8	8	15	9	9	16
CE-3		6	6	8	4	9	17	4
CE-4			7	5	4	4	27	4
CE-5	2		4	17	15	28	6	12
CE-6			28	69	13		44	52
CE-7			9	11	4		29	22
CE-8			8	6	5	13	6	10

Protocol findings by Area and Critical Element intersection

Figure 13. USOAP Results by Area and Critical Element by EI (Seychelles)

Appendix 2 Major Elements (for each State)

Objective 1	**Establish Fundamental Safety Oversight system and Increase EI to 60% and above**	
Key Performance indicator (s)	Fundamentals of safety oversight system established and EI increased to at least 60%	
Result 1.1	All eleven (11) States will establish fundamentals of a safety oversight system and aim to achieve 60% or above EI by the end of 2019	
Activity	Conduct a desktop analysis to identify areas of priority and greater need	
1.1.1	Identify objectives	
1.1.2	Develop a strategy to achieve objectives	
1.1.3	Develop a roadmap tailored to each State, taking into account their actual performance and the need for synergies with on-going and/or anticipated projects / initiatives as appropriate	
Objective 2	**Update the ICAO USOAP CMA Online framework (OLF)**	
Key Performance indicator (s)	Enhanced Safety information exchange with ICAO	
	Updated OLF modules, including CAP and self-assessment	
Activity #	*Description*	*Actors*
2.1.1	Update of project experts (ROs, AFI-CIS and RSOOs) and NCMCs on USOAP CMA through a workshop	ICAO/States/RSOOs/ AFI CIS
2.1.2	Assist the State review, the CAP and self-assessment on the OLF	ICAO/States/RSOOs/ AFI CIS
2.1.3	Assist the State to amend and/or develop the self-assessment and the CAP to fully address the deficiencies	ICAO/States/RSOOs/ AFI CIS
2.1.4	Assist the State to update the CAP and self-assessment through the online framework	ICAO/States/RSOOs/ AFI CIS
Objective 3	**Establish an effective legal and regulatory framework**	
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 revising specific operating regulations; and 2) identifying and notifying to ICAO differences between ICAO Standards and	ICAO/States/RSOOs/ AFI CIS

	national regulations, if any	
3.1.2	Assist the State to review the aviation legislation and regulations to address related deficiencies	ICAO/States/RSOOs/ AFI CIS
3.1.3	Assist the State to amend and/or develop the aviation legislation and regulations as required	ICAO/States/RSOOs/ AFI CIS
3.1.4	Assist the State to submit the final draft legislation and regulations for State adoption and publication	ICAO/States/RSOOs/ AFI CIS
3.1.5	Assist the State to follow-up throughout adoption and publication process within the timeframe of the project	ICAO/States/RSOOs/ AFI CIS
3.1.6	Assist the State to develop a policy and associated procedures for the granting of exemptions	ICAO/States/RSOOs/ AFI CIS
3.1.7	Assist the State to establish investigation and enforcement policy and associated procedures	ICAO/States/RSOOs/ 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/RSOOs/ 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/RSOOs/ 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 obligations as well as resolution of safety issues in the areas of PEL, OPS, AIR, AIG, ANS and AGA**	
Key Performance indicator (s)	Increase of the EI for CE5 in PEL, OPS, AIR. AIG, ANS and AGA	
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 in the areas of PEL, OPS, AIR, AIG, ANS and AGA.	
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/RSOOs/ AFI CIS
4.1.2	Assist the State to review, update and/or develop guidelines for the industry.	ICAO/States/RSOOs/ AFI CIS
4.1.3	Assist the State to submit the final draft procedures and TGM for State adoption and publication.	ICAO/States/RSOOs/ 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/RSOOs/ 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/RSOOs/ AFI CIS

Objective 5	**Establish an effective and efficient State civil aviation system and safety oversight functions**	
Key Performance indicator (s)	Increase of the EIs for CE3 in all 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/RSOOs /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/RSOOs /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/RSOOs /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 all the technical areas**	
Key Performance indicator (s)	Increase of the EIs for CE4	
Result 6.1	Training policy, programme and plan approved for the State CAA	
Activity #	*Description*	*Actors*
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/RSOOs /AFI CIS
6.1.2	Assist the State to assess training needs	ICAO/States/RSOOs /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/RSOOs /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/RSOOs /AFI CIS
6.1.5	Assist the State to submit for approval, the final draft training policy, programme and plan	ICAO/States/RSOOs /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/RSOOs /AFI CIS
6.2.2	Assist the State as required, in the recruitment of technical personnel within the project timeframe	ICAO/States/RSOOs /AFI CIS
6.2.3	Assist the State in the selection of candidates for training programmes	ICAO/States/RSOOs /AFI CIS
6.2.4	Assist the State in providing on-the-job training for technical staff	
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/RSOOs /AFI CIS
6.3.2	Report the progress of implementation of the training plan within the project timeframe	ICAO/States/RSOOs /AFI CIS
Objective 7	**Establish an effective certification, licensing, authorization and/or approval and surveillance obligations as well as resolution of safety issues capability in all the technical areas**	
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/RSOOs /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/RSOOs /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/RSOOs /AFI CIS
7.2.2	In an advisory capacity, assist the State conduct inspections of holders of certificates, approvals or authorizations	ICAO/States/RSOOs /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/RSOOs /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/RSOOs /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/RSOOs /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/RSOOs /AFI CIS

Appendix 3 Project Budget

Fundamentals of a State Safety Oversight System (FSO): Budget

STATE/ACTIVITY	COST Head	High Level	ROST (initial)	ROST (Follow-Up)	Total	Sub-Total
High Level and ROST Missions						
Per State	Number of experts	1	4	4		
	Duration	2	6	3		
	DSA rate (average)	$ 250	$ 250	$ 250		
	Fare (average)	$ 761	$ 761	$ 761		
	Terminal costs per trip per per person	$ 152	$ 152	$ 152		
	Travel expenses	$ 913	$ 3,652	$ 3,652	$ 8,217	
	Subsistance allowance	$ 500	$ 6,000	$ 3,000	$ 9,500	
	Sub-Total					**$ 17,717**
11 FSO States						**$ 194,887**
WORKSHOP: Establishment of a State's safety oversight system						
	Two workshops to be hosted in Dakar and Nairobi				10,000	
	Number of experts				4	
	Duration				7	
	DSA rate				$ -	
	Fare: Nairobi/Joburg/Nairobi				$ -	
	Terminal costs per trip per per person				$ -	
	Travel expenses				$ -	
	Subsistance allowance				$ -	
	Sub-Total				**$ 10,000**	**$ 10,000**
	Contingency 5% of total					
	GRAND TOTAL COST					**204,887**

Figure 14. Schedule of Costs

------ END ------

Attachment B

INTERNATIONAL CIVIL AVIATION ORGANIZATION

PROJECT TITLE: Establishment of Basic Aircraft Accident and Incident Investigation (AIG) Oversight Systems in AFI States

Project proposed by:	RASG-AFI Safety Support Team for Aircraft Accident and Incident Investigation (AIG)
Secretary of SST (AIG)	Mr. Ali Ousmane, Regional Officer – Airworthiness, ICAO WACAF, Dakar
Safety Targets	To progressively reduce the African accident rate to the world average
Project Champion States:	Ethiopia and Cape Verde
Project Champion base:	Addis Ababa, Ethiopia
Project Champion Phone number:	Accident Investigation Bureau Ministry of Transport Federal Democratic Republic of Ethiopia Tel 251- 116-650-273 Email caa.airnav@ethionet.et
Project Sponsor(s)	ICAO AFI Plan , States and relevant Aviation Safety Partners
Relevant RASG-AFI Safety Support Team Champions	Ethiopia, Cape Verde and IFALPA
Date / Duration	Mar 2018 – Aug 2019 (18 Months)
Estimated Cost	US$50,000

1 Project Justification

The responsibility for the conduct of aircraft accident investigation, as stipulated in Article 26 to the Chicago Convention lies with the State in which the accident occurs (State of Occurrence). The State of Occurrence is therefore obligated, to conduct the investigation in accordance with ICAO provisions with the sole objective of the investigation being the prevention of accidents and incidents and not for the purpose of apportioning blame or liability.

The provisions of Annex 13 – Aircraft Accident and Incident Investigation further stipulates that the State of Occurrence shall institute an investigation into the circumstances of the accident and be responsible for the conduct of the investigation, but it may delegate the whole or any part of the conduct of such investigation to another State or a regional accident investigation organization by mutual arrangement and consent. In any event, the State of Occurrence shall use every means to facilitate the investigation.

The African region currently has the highest rate of aviation accident occurrences in the world and to help address this issue, the Ministerial meeting held in Abuja in July 2012 identified the need for actions to be taken to progressively reduce the African accident rate to be in line with the global average. Indirectly, safety recommendations, lessons learnt, data analyzed from properly conducted investigations, as well as preventive and mitigation measures taken after such investigations, have contributed towards the prevention of accident occurrences.
This is in line with the near term objectives of the Global Aviation Safety Plan (notably the implementation of an effective State safety oversight system; prioritizing reduction of the global aviation accident rate). Furthermore, as the State's safety oversight system matures with the introduction of proactive and predictive methods of managing safety as prescribed by the State Safety Programme (SSP) and Safety Management Systems (SMS) framework, the need for proper conduct of accident investigations with sound data collection and analysis systems becomes increasingly relevant.

1.1 PROJECT BACKGROUND

The main objective of the RASG-AFI AIG Project is to provide assistance to RASG-AFI States in the development of harmonized AIG legislation, regulations and associated procedures required for the establishment critical elements (CE) of a State Safety Oversight system with respect to AIG. Furthermore, the Project aims to familiarize States with available relevant ICAO model documents and encourage their adoption for increased harmonization as an impetus to promoting regional cooperation.

Specifically, the Project is envisaged to assist States:

- improve their legislative/regulatory framework with the availability of harmonized tools to update/amend legislation, regulations and procedures relevant to accident/incident investigations in accordance with Annex 13 to the Chicago Convention and associated documents;
- clearly identify the entity responsible for accident investigation, and to designate a focal point to be responsible for coordinating AIG issues within the State;
- develop appropriate training policy and programme for personnel in charge of managing and/or conducting aircraft accident and incident investigations;
- identify the necessary tools and protective equipment required to conduct accident and incident investigations;
- provide guidance for the establishment of an effective data collection and reporting system;
- identify appropriate mechanisms (through bilateral agreements with States with advanced accident/incident investigations systems or entering into collaborative regional agreement such as Regional Accident and Incident Investigations Organization (RAIO)) to fulfill their obligations.

To accomplish the above targets, active involvement of ICAO HQ, regional entities (RAIOs, RSOOs, RECs and partners) will be required. The Project comprises three (3) main steps as outlined below:

Step 1 (Immediate): Conduct of AIG SARPs implementation Seminars for the purpose of providing better understanding and knowledge of ICAO SARPS and guidance material on the subject of AIG, followed by:

- Conduct of gap analysis on AIG legal and organizational systems within the respective AFI States.
- Adoption or adaption of the generic material (ICAO support documents) into national provisions with the ultimate objective of realizing regional harmonization of regulations and related procedures.

Step 2 (Short term): Assistance in the development of acceptable Corrective Action Plans aimed at rectifying deficiencies identified by the USOAP activities in the area of AIG in AFI States;

Step 3 (Medium term): Monitoring the implementation of corrective action plans for resultant positive impact on the overall aviation system .

1.2 REGIONAL STRATEGIC VALUE

Key Performance Indicators will be evaluated against:

- Adoption and harmonization of ICAO Model documents
- %EI improvement in the area of AIG leading to higher overall EI score of States;
- Availability of a more accurate source of accident/incident data;
- Effective reporting of accidents and serious incidents;
- Effective implementation of and follow-up on safety recommendations derived from properly investigated occurrences;
- States building capacity to effectively participate and contribute to investigations and also to oversee investigation tasks when delegated to another entity or under regional body such as a Regional Accident and Incidents Investigation Organization (RAIO).

This Project is critical in terms of priority as it will positively impact on several regional safety targets such as the progressive increase of the rate of effective implementation (EI) of the Critical Elements of a State's safety oversight system and, the progressive reduction of African accident/incident rate towards the world average.

1.3 PROVISIONAL TIMESCALES

Project duration: 18 months:

- *March 2018*: Project Start with 09 days back to back seminars focused on AIG SARPs implementation to be hosted in two AFI States (ESAF and WACAF);
- *July 2018 to December 2018*: AFI States AIG Entities survey and ICAO USOAP AIG assistance for developing acceptable Corrective Action Plans;
- *January 2019 to July 2019*: Development of harmonized AIG related provisions, procedures and MOUs aimed at achieving aircraft accidents investigation collaboration within AFI States;
- *August 2019:* End of *Project to be* followed by a Post Impact Evaluation in December 2019: Effective Implementation % (EI) monitoring and iSTARS review of the number of AFI States as members of Regional Accident and Incidents Investigation Organization.

In coordination with States in ESAF and WACAF regions for the hosting of the implementation seminars to be conducted by AIG Experts from ICAO HQ (Safety Oversight Audit (OAS) and Accident Investigation (AIG) Sections), assisted by Regional Officers from ESAF and WACAF Offices.

The seminars are expected to be attended by a maximum of two experts from each State and invited regional aviation safety entities and Regional Economic Communities (REC) in the AFI region.

Locations : Lagos (Nigeria) and Addis Ababa (Ethiopia)		
Seminar/ AIG SARPs Implementation	2	
Language	English	Simultaneous French translation
Date	First semester of 2018	
Number of participating States	Open to all AFI States	
Participating regional entities	BAGAIA, ACSA-AC; ACSA-UEMOA, SADC, CASSOA, ECOWAS,UEMOA (8)	
Number of potential participants per State (2)	100	

1.4 RISKS

- Lack of adequate funding to fully implement the Project;
- Challenge in securing sponsorship from RAIOs and Regional Economic Communities for the development of harmonized regulations and guidance as part of their mandate as an outcome of the Global RSOO Forum held in Swaziland (22 to 24 march 2017);
- Challenge in having appropriate facilitators to conduct the training in both languages (French and English).

1.5 MITIGATION OF RISKS/CONSTRAINTS

- Active involvement of States by encouraging them to send participants as well as hosting of the training events;
- Active involvement of national, regional and international entities, ANS providers and Airports managers.

1.6 KEY STAKEHOLDERS

ICAO as RASG-AFI Secretariat

- RASG-AFI Safety Support Team on Accident Investigation;
- Ethiopia, as the Champion of the SST- AIG;
- RASG-AFI Steering Committee (RASC);
- Safety Partners namely, ICAO, NTSB, BEA, IFALPA, Boeing, Airbus etc.;
- States (CAAs), RSOOs, RAIOs;
- AFCAC as the custodian of the Regional safety dashboard.

1.7 WHAT WOULD BE THE IMPACT OF NOT IMPLEMENTING THIS PROJECT?

- Failure to meet GASP Targets;
- Failure to meet Abuja Safety Targets;
- States' failure to meet their obligations under Art. 26 and 37 of Chicago Convention;
- States failure to improve AIG EI %

1.8 ENVISAGED FINANCIALS

- Cost of travel of the ICAO HQ facilitators (2);
- Cost of travel for RASG-AFI Safety Support Team AIG Staff (2);
- DSA for 9 days for ICAO HQ facilitators (2);
- DSA for 8 days for RASG-AFI Safety Support Team AIG Staff (2);
- Logistics for delivering the seminars: tea/coffee breaks for the participants
- Translation fees and possible transportation of aviation specialist translators.

Staff	Duration	Nbr	Transport	Daily Subsistance Allowance (DSA)	Translation Fees	Sub - Total
AIG &OAS Sections ICAO HQ	9 days	2	15000	3890		18890
AFI Regional Officers	8 days	2	6000	3890		9890
Translators	8 days	2	6000	3890	11340	21230
Sub-Total			27000	11670	11340	50010
TOTAL US Dollars						**50000**

Global AIG Project Implementation milestones

Step 1: Seminars on AIG SARPS implementation: 50,010 USD.

- *Airbus Industries has provided 8,000 USD.*
- *Ethiopia, as State Champion for the RASG-AIG SST, has offered meeting to host the seminar for the ESAF region*
- *Nigeria Accident Investigation Bureau (AIB) has been contacted and willing to host the same seminar for the WACAF region.*

Step 2: AIG entities survey and USOAP monitoring carried out by ICAO Regional Offices for monitoring the amendement or adaption of national regulatory and implementing provisions in conformance with the ICAO SARPS and guidance material.

Step 3: Subsequent harmonization of AIG regulations and procedures through regional workshops to be supported by relevant Regional Aviation Organizations and/or safety partner with guidance from ICAO regional offices.

1.9 ADDITIONAL COMMENTS

- Project endorsed by the RASG-AFI/3 Meeting, Dec. 2015 and is being submitted for AFI Plan approval and funding consideration.
- The ICAO reference materials in support of the AIG Seminar have not been entirely translated into French, the first seminars will be conducted in English with a simultaneous French translation, at suitable locations in the AFI Region.
- Depending on the outcome and success, the same event will be taken over by AFI/Regional Officers and repeated elsewhere within AFI region.
- Selected States in collaboration with the accredited regional entities, safety partners, AFCAC will be tasked to lead the development of harmonized regulations and guidance material under ICAO guidance.
- Implementation performance indicators will be derived from USOAP/CMA activities.

- End -