




ORGANISATION DE L'AVIATION  
CIVILE INTERNATIONALE

INTERNATIONAL CIVIL  
AVIATION ORGANIZATION

Report on the Evaluation  
of  
The Comprehensive Regional Implementation  
Plan for Aviation Safety in Africa (AFI Plan)

EV/2023/01

Office of Internal Oversight



Prepared by: Gugsu Yimer Farice, ICAO Evaluation Specialist  
Umm e Zia, Evaluation Consultant

Reviewed and approved by: Tuncay Efendioglu, C/OIO

Draft issued: 21 November 2022

Action plan completed: 2 February 2023

Final report issued: 6 February 2023

## ACRONYMS

AAMAC	Autorités Africaines et Malgaches de l'Aviation Civile
AATO	Association of African Aviation Training Organizations
ACAO	Arab Civil Aviation Organization
ACIP	AFI Comprehensive Implementation Programme
AFCAC	African Civil Aviation Commission
AFDB	African Development Bank
AFI	Africa-Indian Ocean Region
AFI-CIS	Africa-Indian-Ocean Cooperative Inspectorate Scheme
AGA	Aerodrome and Ground Aids
AIG	Aircraft Accident and Incident Investigation
AIM	Aeronautical Information Management
AIR	Airworthiness of Aircraft
ANB	Air Navigation Bureau
ANP	Air Navigation Plan
ANS	Air Navigation Services
ANSP	Air Navigation Service Providers
APEX	ACI Airport Excellence for Safety
APIRG	AFI Planning and Implementation Regional Group
APO	Associate Programme Officer
ASECNA	Agency for Air Navigation Safety in Africa and Madagascar
ASTs	Abuja Safety Targets
BAGASOO	Banjul Accord Group Aviation Safety Oversight Organization
CAA	Civil Aviation Authority
CAP	Corrective Action Plan
CART	Council Aviation Recovery Task Force
CASSOA	Civil Aviation Safety and Security Oversight Agency
CE	Critical Elements
CEMAC	Communauté Economique et Monétaire de l'Afrique Centrale
CIS	Cooperative Inspectorate Scheme
DGCA	Director General of Civil Aviation
DRD	Deputy Regional Director
EI	Effective Implementation
EASA	European Union Aviation Safety Agency
ESAF	Eastern and Southern African Office
FAA	Federal Aviation Administration

GASP	Global Aviation Safety Plan
GAT	Global Aviation Training
GANP	Global Air Navigation Plan
GSI	Government Safety Inspector
HRDF	Human Resource Development Fund
ICVM	ICAO Coordinated Validation Mission
IOSA	IATA Operational Safety Audit
iSTRI	Integrated Staffing and Training Roadmap for Inspectors
LDC	Least Developed Countries
MID	ICAO Middle East Regional Office
OECD/DAC	Organization for Economic Cooperation and Development/Development Assistance Committee
OPS	Flight Operations/Aircraft Operations
PEL	Personnel Licensing
PMP	Performance Monitoring Plan
PIRG	Planning and Implementation Regional Group
RAIO	Regional Accident and Incident Investigation Organizations
RASG	Regional Aviation Safety Group
RBM	Results Based Management
REC	Regional Economic Communities
RO	Regional Office
ROST	Regional Office Safety Team
RSOO	Regional Safety Oversight Organization
SARP	Standards and Recommended Safety Practices
SAR	Search and Rescue
SEC/FAL SECFAL	Security and Facilitation
SG	ICAO Secretary General
SMS	Safety Management System
SSC	Significant Safety Concern
SSP	State Safety Program
TA	Technical Assistance
TCB	Technical Cooperation Bureau
TET	Technical Experts Team
USOAP	Universal Safety Oversight Audit Program
WACAF	Western and Central African Officer

**TABLE OF CONTENTS**

ACRONYMS .....	2
TABLE OF CONTENTS .....	5
EXECUTIVE SUMMARY .....	6
INTRODUCTION AND CONTEXT .....	8
Introduction.....	8
Context.....	8
EVALUATION PURPOSE AND METHODOLOGY .....	10
Evaluation Purpose .....	10
Evaluation Scope .....	10
Evaluation Stakeholders .....	10
Evaluation Methodology.....	10
Data Collection.....	10
Data Analysis and Quality Assurance .....	11
Ethical Considerations.....	11
Limitations.....	12
EVALUATION FINDINGS .....	13
AFI Plan Approaches to Planning and Implementation.....	13
Relevance .....	22
Coherence.....	24
Effectiveness .....	26
Efficiency.....	38
Sustainability .....	47
CONCLUSIONS, LESSONS LEARNED, AND RECOMMENDATIONS .....	48
Conclusions.....	48
Lessons Learned.....	49
Recommendations .....	49
Annex 1. Methodology.....	i
Annex 2. Evaluation Matrix.....	iii
Annex 3. List of Consulted Stakeholders (to be updated).....	viii
Annex 4. Interview Checklists .....	x
Annex 5. Trainings Conducted with the Support from AFI Plan .....	xv
Annex 6. List of Documents Reviewed.....	xvi
Annex 7: Management Action Plan.....	xxi

## EXECUTIVE SUMMARY

---

1. In line with its Annual Work Plan of 2022 (C-WP/15270), the Office of Internal Oversight (OIO) evaluated the Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan) between May 2022 and October 2022. The purpose of the evaluation is to provide evidence of institutional performance and make forward-looking recommendations for improvement. The intended users of the evaluation are the WACAF, ESAF, MID and EUR/NAT Regional Offices, OSG, ANB and the ICAO Council. The evaluation findings and lessons learnt could also be used by Member States, Regional Aviation Safety Groups (RASGs), Planning and Implementation Regional Group (PIRGs), and TCB.

### Key Findings and Conclusions

2. Despite improvements in Aviation Safety since 2008, the relevance of AFI Plan is still high as the average Effective Implementation (EI) of AFI region is significantly lower than the global average, and many States need technical assistance for improvements. Similarly, Significant Safety Concerns (SSCs) occasionally resurface, thereby necessitating the need for ongoing assistance.
3. The AFI Plan Programme Document is aligned with major global and regional priorities. However, Member States have not been adequately involved in the planning process; it has therefore not always been aligned with the aviation safety plans and priorities of individual Member States. This, combined with an exclusive focus on assessing States based on audit Protocol Questions (PQs) without sufficient hands-on implementation support, limited the utility of technical assistance provided by the AFI Plan to Member States. Furthermore, the involvement of ANB, EUR/NAT and MID Regional Offices in the AFI Plan was very limited.
4. The AFI Plan Programme Document lacks clarity in key elements necessary for effective planning and implementation, including implementation strategy, partnership approach and resource requirements. A problem analysis considering the changing context of aviation in the continent has also not been conducted since the inception of the AFI Plan programme document in 2008.
5. Targets set for the AFI Plan, based on the Abuja Declaration, are ambitious, without considering the capacity of States and ICAO's resources to support Member States to achieve them. Inadequate application of result-based monitoring system and insufficient documentation made also the assessment of the effectiveness of the AFI Plan difficult.
6. Due to large membership of the AFI Plan Steering Committee (SC) and the limited time committed for discussions during meetings, the SC was not able to provide effective guidance and take timely decisions for implementing the plan. While members of the AFI Group who have delegations in Montreal are represented on the SC, this precludes AFI States that do not have delegations at ICAO Headquarters.
7. Although the initial targets for 2017-2020 fell short of achieving targets, implementation progress has been relatively better for a number of initiatives and projects for programme targets set for the 2021-2024. However, the planned support to Regional Safety Oversight Organizations (RSOOs) was not adequate. In addition, the Human Resource Development Fund (HRDF), which was expected to complement the AFI Plan objectives by improving the capacity of AFI Member States was not realized.
8. AFI Plan activities were adapted during COVID-19 and Member States were getting remote assistance. However, activities requiring on-site presence faced delays. Internet connectivity has been a major challenge in some Member States to benefit from remote assistance.

9. The achievement of the AFI Plan objectives is adversely impacted on the one hand by inefficient use of the existing funds but also by shortage of financial resources to respond to the demands of Member States which was exacerbated by the sharp decline of the AFI Plan Fund since 2019. WACAF and ESAF Regional Office's staff who are involved in the planning of AFI Plan do not have full information about available financial resources for the AFI Plan to be able to properly prepare and contribute to the annual work programme.
10. Counterpart organizations appreciated AFI Plan's role in coordinating activities in the AFI region. In addition, there has been active collaboration between the AFI Plan Secretariat and ESAF/WACAF ROs. However, a formal and effective coordination mechanism between AFI Plan Secretariat and ROs covered by the Plan has been absent.

## Recommendations

Based on the findings and conclusions, the evaluation outlined six recommendations that include:

- i. Revamping the AFI Plan planning processes by preparing a costed programme document with clear Theory of Change (TOC), implementation strategies, implementation plan and phase-out strategies.
- ii. Strengthening AFI plan monitoring and reporting systems to measure progress and establish the contribution of AFI Plan to the progress made by Member States.
- iii. Strengthening the Steering Committee to improve its guidance, follow-up and support to the AFI Plan.
- iv. Improving the AFI Plan management structure. This could include but not limited to establishing a formal coordination mechanism between AFI Plan Secretariat and participating ROs in implementing the AFI Plan.
- v. Reviewing the Human Resource Development Fund (HRDF) implementation modalities for better alignment with the needs of Member States and to complement the AFI plan and other programmes.
- vi. Improving resource mobilization efforts for the AFI Plan and devising a mechanism to improve the utilization of the available funds.

## INTRODUCTION AND CONTEXT

---

### Introduction

11. The Evaluation of the Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan) is included in the approved Work Programme of the Office of Internal Oversight (OIO) for 2022 (C-WP/15270). The evaluation was carried out between May 2022 and October 2022 and conducted in accordance with the OIO Charter (C-WP/15115), the ICAO Evaluation Policy (C-DEC 203/3), and the Norms and Standards of the United Nations Evaluation Group (UNEG).
12. The evaluation of the AFI Plan aimed to enhance accountability by providing evidence of institutional performance and assess ICAO's assistance to Member States in improving aviation safety. As such, the evaluation contributed towards organizational learning and decision making by providing lessons learned and recommendations for improvement of the AFI Plan.
13. This report describes the methodology, data collection methods, and data analysis approach of the evaluation. The report also presents main findings, lessons learned and recommendations for improvement. The draft evaluation report was reviewed by WACAF and ESAF Regional Offices and all evaluation processes followed United Nations Evaluation Group (UNEG) and ICAO confidentiality standards.

### Context

14. The AFI Plan was initiated in response to the challenges of high accident rates and overall weakness in the aviation safety oversight capabilities of States in the AFI region. The AFI Plan was adopted in September 2007 by the 36th Session of the ICAO Assembly<sup>1</sup>. Resultantly, in 2008 the programme was launched for an initial period of four years. Moreover, to implement the plan, the AFI Comprehensive Implementation Plan (ACIP) was established in the same year.
15. The Programme objectives focus on: i) Establish sustainable safety oversight systems; ii) Addressing safety oversight deficiencies with emphasis resolution of Significant Safety Concerns (SSCs); iii) Enhance aviation safety and information exchange among African regulators and services providers; and iv) Assistance to States in improving the aviation infrastructure planning. Major implementation strategies include: i) Assistance to Member States through Regional Office Safety Teams (ROSTs); ii) Trainings and Workshops; and iii) Partnership with the African Civil Aviation Commission (AFCAC) through the Africa-Indian-Ocean Cooperative Inspectorate Scheme (AFI-CIS) of AFCAC<sup>2</sup>.
16. The AFI Plan Steering Committee (SC) is responsible for overseeing and providing advice and guidance to the Secretary General related to the implementation of activities. Whereas, the WACAF Regional Director (RD) is the Secretary of the AFI Plan at present, and responsible for overall supervision of the Plan; and serves as the Secretary of the AFI Plan Steering Committee. In addition, the ESAF RD is also responsible for implementation and coordination of activities of the AFI Plan in his region.
17. AFI Plan is implemented by ROSTs with support from stakeholders, such as the AFCAC, RSOOs, State Civil Aviation Authorities (CAAs), and other similar organizations.

---

<sup>1</sup> Assembly Resolution A36-1

<sup>2</sup> While the 2017 AFI Plan Programme Document had three objectives, including: a) safety oversight system establishment, b) resolution of identified issues, and c) enhanced safety culture and information exchange; a fourth objective on infrastructure planning was added in 2021.



18. An evaluation of the AFI Plan was conducted in 2015. The evaluation report was presented to the ICAO Council. The previous evaluation found the AFI Plan relevant to improve the aviation safety, and put forward recommendations for the programme to continue beyond 2016.

## EVALUATION PURPOSE AND METHODOLOGY

---

### Evaluation Purpose

19. This evaluation serves the dual objectives of evaluation in ICAO: accountability and learning.
- Accountability refers to an independent assessment of the progress of AFI Plan since 2016; assessing performance as per the foreseen objectives/targets and indicators of achievement; strategies and implementation modalities chosen; partnership arrangements, constraints, and opportunities.
  - Organizational learning identifies good practices and lessons learned and provide recommendations to improve performance and delivery of results.

### Evaluation Scope

20. The Evaluation covered the major activities and outputs delivered by the AFI Plan, with focus on key results undertaken from January 2016 until June 2022. Moreover, the Evaluation assessed results both at the country and regional levels.

### Evaluation Stakeholders

21. The primary clients of the Evaluation include the Office of the Secretary General, ANB, WACAF, and ESAF Regional Offices and the ICAO Council. Whereas, other entities can potentially make use of the evaluation findings and lessons learnt, including Member States, AFI RASG, PIRG, and TCB.

### Evaluation Methodology

22. The evaluation used a mixed-methods approach combining quantitative and qualitative research elements to triangulate findings and provide a comprehensive understanding of the relevance, coherence, effectiveness, efficiency, and sustainability of AFI Plan. Annex 1 provides a detailed description of the methodology.
23. The evaluation was guided by 22 evaluation questions based on the five Organization for Economic Cooperation and Development/ Development Assistance Committee (OECD/DAC) evaluation criteria. The evaluation team identified indicators, data sources, and methods for data collection for each of the evaluation questions, as presented in the Evaluation Matrix in Annex 2.
24. The evaluation adopted a participatory approach, involving key stakeholders—such as the ICAO Council, the AFI Secretariat, implicated Regional Office management and staff, ANB, TCB, etc., Member States, and other relevant stakeholders—during the inception, data collection and report review phases of the evaluation.

### Data Collection

25. The evaluation employed the following data sources:
- Evaluators reviewed a wide range of reports documenting AFI Plan work. These documents included:
    - AFI Plan Programme Document
    - AFI Plan Steering Committee Minutes
    - AFI Plan Annual Work Plans
    - AFI Plan Project Documents
    - ROST Mission Reports

- Documents related to AFI CIS, HRDF, and AFI AVSEC/FAL Plan
- Other Relevant Documents

A list of documents reviewed is presented in Annex 6.

- Interviews: The evaluation team conducted 52 semi-structured individual interviews with key stakeholders engaged in the AFI Plan. Stakeholders included Member States, Council Members, ICAO Secretary General, Directors and Deputy Directors of Regional Offices, key staff of ICAO Bureaus, ROST Members, Representatives of AFCAC, and RSOO Staff. Table 1 shows the number of interviews by type of stakeholder. Annex 3 includes the list of stakeholders interviewed and Annex 4 includes the questionnaires that guided these interviews.
- Online survey: The evaluation administered an online survey targeting all Member States to gather their views on the AFI Plan support. The response rate to the survey was 30%, as 16 out of the 54 Member States responded.
- Secondary data: The evaluation team requested the Monitoring and Oversight Unit of the ANB to share historical data on Effective Implementation (EI) rates and Critical Elements (CEs) across the AFI region. In addition, data on training and workshops was provided by AFI Plan Secretariat and AFCAC. Whereas, finance and budget data provided by ICAO Financial Unit (FIN) was also analyzed.

Table 1: Stakeholder Consultations

Stakeholders	Consultation Method	
	In-depth Interviews	Online Survey
Member States	8	16
Council / SC Members	3	-
ICAO Staff (HQ)	11	-
ICAO Staff (ROs)	23	-
Regional Safety Organizations/AFCAC	6	-
Donors	1	-
Total	52	16

### Data Analysis and Quality Assurance

26. The evaluation team conducted descriptive and content analysis to identify and validate findings. Descriptive analysis was specifically used for online survey responses and data obtained on EI rates, CEs, training, and finance. Content analysis was employed on the information collected through the desk review and in-depth interviews to identify major themes, categorized under relevance, cohesion, effectiveness, efficiency, and sustainability.
27. The information collected through primary and secondary sources was systematically analyzed and cross-referenced to arrive at findings. Similar questions on AFI Plan design, planning, implementation, monitoring, benefits, and limitations were asked across stakeholders to compare responses, verify information, and identify lessons learned.
28. In addition, a Theory of Change (TOC) for the AFI Plan was developed as part of the Inception report.

### Ethical Considerations

29. The evaluation abided by the UNEG Ethical Guidelines for Evaluation. Special care was given to the storage of documents, interview notes, and the confidentiality of the data collected for this evaluation. The identity of evaluation participants has been preserved in the presentation of results, as only aggregate-level results are reported.

30. This evaluation was independently carried out by the OIO, with the assistance of an independent evaluation consultant. All evaluation team members declared no conflict of interest.

#### Limitations

31. Due to the absence of results based monitoring, an evaluation data/information extra effort and time had to be spent to systematically analyse information from various sources and offices.

## EVALUATION FINDINGS

---

This section presents the main evaluation findings, focusing on relevance, coherence, effectiveness, efficiency, and sustainability of ICAO's response to COVID-19. As a preamble to the evaluation findings by the evaluation criteria, the following sub-section provides a detailed evaluation assessment of the AFI Plan Approaches to Planning and Implementation.

### AFI Plan Approaches to Planning and Implementation

32. The AFI Plan Programme Document<sup>3</sup> serves as the foundational resource for planning and has been updated every three years by the AFI Plan Secretariat and approved by the AFI Plan Steering Committee. The AFI Plan Programme Document has been updated within the framework of the original AFI Plan designed in 2008, while progressively adding or/modifying initiatives and targets based on developments in the ICAO priorities and operational changes, such as the introduction of the ICAO Training Policy, and incorporating evolving GASP, GANP and Abuja Safety Targets, etc.
33. The AFI Plan document has not clearly presented its implementation strategies and how the strategies would have helped to achieve the four AFI Plan objectives. However, based on progress made so far, OIO assessed that the following were AFI Plan strategies: i) Assistance through Regional Office Safety Teams (ROSTs); ii) Trainings and Workshops; and iii) Partnership with AFCAC through the Africa - Indian-Ocean Cooperative Inspectorate Scheme (AFI-CIS) of AFCAC. It was expected that by using the above strategies and specific projects, the AFI plan would achieve the following four objectives:
- Enabling States to establish, implement and maintain effective, resilient, and sustainable safety oversight systems;
  - Assisting States to resolve identified safety oversight deficiencies within a reasonable time
  - Enhance aviation safety culture and information exchange among African regulators and service providers;
  - Assisting States in improving the aviation infrastructure planning.
34. Based on the key objectives, initiatives and performance targets outlined in the AFI Plan Programme Document, an Annual Work Programme (AWP) has been jointly developed by the WACAF and ESAF ROs and approved by the AFI Plan Steering Committee. This annual work programme includes the planned activities and allocated budget. Starting from 2016, seven separate projects linked to the four objectives/initiatives of the AFI Plan have been prepared and implemented. These have been in the areas of: i) Aerodrome Certification, ii) Search and Rescue (SAR), iii) Air Navigation Service Providers (ANSPs) peer review, iv) State Safety Programme - Safety Management System (SSP-SMS) implementation, v) Aircraft Accident and Incident Investigation (AIG), vi) the Fundamentals of Safety Oversight (FSO), and vii) Aeronautical Information Management (AIM).

Finding 1: The AFI Plan Programme Document has been the key planning tool of AFI Plan and serves as a foundation for all other planning documents. It however doesn't clearly explain the implementation strategies, partnership approaches including the role of key stakeholders such as AFCAC. An adequate problem analysis considering the changing context of aviation in the

---

<sup>3</sup> Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan) – Updated 2017, and Comprehensive Regional Implementation Plan for Aviation Safety In Africa (AFI Plan) - Updated For The Period 2021-2024

continent has also not been conducted since the initial AFI programme document was developed in 2008.

35. The AFI Programme Document has briefly presented the background and context, AFI objectives and results, programme development and implementation as well as performance measure and targets for the Plan. However, the programme document hasn't adequately explained the implementation strategy of the AFI Plan, the baseline/situation, the partnership strategy, the resource required to achieve the four AFI Plan objectives.
36. Good practice in programme/project management requires proper problem analysis at programme planning stage. The justification for any action or intervention is to address a problem or constraint affecting Member States to achieve their goals and the global/regional targets. The key to successful programme or project design is therefore to understand the cause(s) of the problem or constraint as good programme/project is formulated to tackle the causes rather than the problem itself. It is important, therefore, that before formulating/revising key objectives and major activities, programme designers should not only understand and reflect the root cause of the problem in the document but also align key activities with the new realities. For longer term programmes like AFI Plan, such analysis should be done after the end of each phase. However, the AFI Plan has not done a thorough problem analysis after 2008. As shown in the updated programmes in 2017 and 2021, it was building on the programme designed in 2008 without in-depth analysis of the situation and the problem associated with programme.

Finding 2: The AFI Plan Programme Document targets were found to be unrealistically ambitious and determined without properly analyzing and presenting the required human and financial resources.

37. Another gap observed was the basis on which AFI Plan project targets were set. The Plan does not consider the adequacy of available resources including a budget or staffing plan, the capacity and work plans of Member States in setting targets. In the absence of such resource planning, there has been a significant risk of miscalculating the Secretariat's capacity for implementation and has therefore consistently resulted in the establishment of less than optimal targets.
38. The targets and indicators in the AFI Plan Project Documents were established based on results of the ICAO Universal Safety Oversight Audit Program (USOAP), ICAO Plans of Action, findings of previous ROST missions, and Integrated Safety Trend Analysis and Reporting Systems (iSTARS) data, ICAO Online Framework (OLF), etc. However, due to the limited frequency of USOAP audits, delays in ICAO Coordinated Validation Missions (ICVMs), Integrated Validation Activities (IVAs), and incomplete OLF data, etc., these benchmark figures are not always up to date.
39. While programming targets have been set in accordance with GASP, GANP and Abuja Safety Targets, the AFI Plan Programme Document does not provide baseline figures at output level against which progress can be monitored and measured. In addition, targets have been copied and set from the Abuja safety targets in the main AFI Plan document without adequate analysis of the capacity of Member States, the resource required to achieve the targets and a detailed analysis of the gaps (e.g. which critical elements to focus on and why and in which country, agreements and plans of Member States, etc.) and the contribution of other stakeholders in achieving the targets.
40. Despite significant underperformance against established Programme targets and limited capacities of Member States, subsequent programme targets have been set high without analysing lessons learned or addressing the root causes of the underperformance. For instance,

the targets for EI improvement in 2017-2020 Programme Document<sup>4</sup> for '95% of the States to achieve an EI of above 60%' is repeated in the 2021-2024 work plan of the Programme Document<sup>5</sup> without offering any alternate implementation approach or additional resources. Similarly, although the Fundamentals of Safety Oversight (FSO) project was extended in 2022<sup>6</sup> due to non-achievement of project objectives<sup>7</sup>, the geographic project scope targets in the extended project document have been set even higher than the original project without sound justification or supporting resources. During the evaluation process, WACAF RO indicated that the rationale for increasing the EI threshold from 40% to 50% for States' eligibility to be included in the new proposed revised FSO project was to take into account the new revised GASP EI target increase from 60% to 75% and the lessons learned during the implementation of the FSO project.

41. Since the gradual shift to a project-based approach starting in 2016, there has been some improvement in defining the scope of activities. For instance, the FSO support is to be provided to States with EIs < 40%, etc. Though, such underlying details are not comprehensively available in the AFI Plan Programme Document. Furthermore, planning processes have been flexible to target any additional States that might qualify such targeting criteria over time.
42. A closer assessment of the AWP revealed that a number of activities in the AWPs still remain with vague or no targets. For example, in the 2022 AWP, there are no specific annual targets for the number of States to be provided assistance 'to establish safety oversight systems' under the FSO initiative. Similarly, under the RSOOs initiative the number of 'MOUs/Agreements to be signed between States and RSOOs on delegation of certain oversight functions' was not set.
43. Moreover, activities in the AWPs have been proposed by the ROST members, each expert proposing activities within their own area of work. As most ROST members do not know the available budget, interviews revealed that instead of being actively responsive to the needs at hand, proposed activities were generally in line with those of the previous year's work plan. Additionally, until 2018, the AWPs presented to the SC were not accompanied by an associated annual budget.
44. The seven stand-alone projects (mentioned above) that are linked to individual objectives /initiatives listed in the AFI Plan Performance Monitoring Plan (PMP)<sup>8</sup>, reflect the implementation plan to varying degrees, such as the rationale for State selection and proposed activities, etc. For instance, the SSP support is to be provided to States with EIs > 60%, etc. This is changed in the revised project document.
45. Despite good practices in strategic planning dictating that the scope of the overarching programme be broader than that of individual projects/activities under it, at times the initiatives, approaches, or targets provided in the Programme Document do not align with those in the corresponding stand-alone projects. For instance, while the Programme Document specifies support to CE 1 - CE 5 under the Fundamentals of Safety Oversight (FSO) initiative, the corresponding FSO project document approved in 2022 also includes a focus on CE 6, 7, and 8 for States that may attain the initial CEs.

---

<sup>4</sup> Comprehensive Regional Implementation Plan For Aviation Safety In Africa (AFI Plan) – Updated 2017

<sup>5</sup> Comprehensive Regional Implementation Plan For Aviation Safety In Africa (AFI Plan) - Updated For The Period 2021-2024

<sup>6</sup> Revised Fundamentals of Safety Oversight (FSO) Project; Project AFI Plan/2018/003, Revision 1

<sup>7</sup> The fundamental issue with respect to non-achievement of the FSO project objectives is due to the lack of/limited validation activities in FSO eligible/assisted States.

<sup>8</sup> Listed as 'PERFORMANCE MEASURE AND TARGETS FOR AFI PLAN PROGRAMME ACTIVITIES' in the AFI Plan Programme Document

46. In addition, it was observed that as the stand-alone projects do not cover all the initiatives listed in the AFI Plan Programme Document, an implementation plan has been altogether missing for some major programme objectives/initiatives. For instance, there have been no specific projects for key areas of intervention, such as: i) RSOO/RAIO strengthening and integration; and ii) Assistance to States in Infrastructure Planning, etc. Instead, some recent situation assessments have been conducted with the objective to implement the resulting recommendations.

Finding 3: Member States have not been adequately involved in planning process. Similarly, MID and EUR/NAT ROs were not involved in the planning process.

47. Good practice in programme management also requires consultation of all relevant stakeholders at each planning stage (major programme development, updating in different phases and annual work planning). Programme planning is a consultative process that concerns all partners. Relevant technical units at Headquarters should be consulted on issues such as technical feasibility and alignment with Global Plans and similar work carried out elsewhere. Consultation is also essential in building a national ownership and joint responsibility for the programme.

48. However, AFI Plan Programme Document and AWP have been developed without adequate input from concerned Member States, thereby giving States little control over planning or voicing their priorities. For instance, a Member State may not have the required financial or technical capacity to absorb the support planned by AFI Plan based on the identified deficiencies. Similarly, while a Member State may have an overall low EI, due to availability of resources such as in-country technical expertise, its CAA might prioritize only specific elements such as AGA or ANS, etc. As such, only 39% of the Member States responding to the evaluation survey reported that they were highly satisfied with their participation in planning activities under the AFI Plan. The participation of ANB in the programming process is found to be low.

“There is a need for active joint planning and coordination among the different stakeholders. Despite being the recipients of AFI Plan support, Member States do not have much say in planning.”

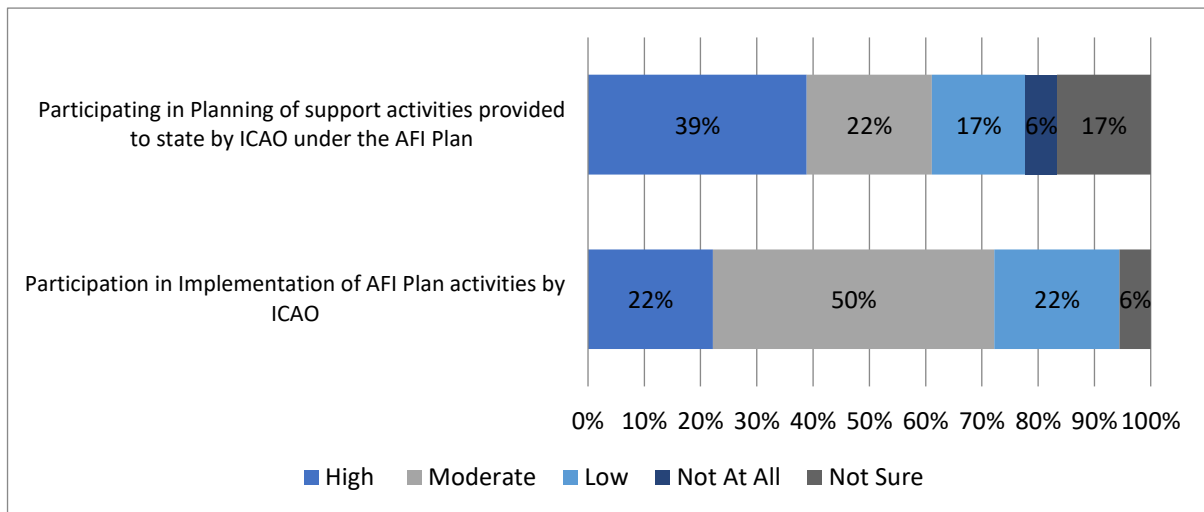
(Member State Representatives)

49. At the outset, the AFI Plan was intended to cover all ICAO Member States in the African continent. However, six African countries<sup>9</sup> that are covered by the MID and EUR/NAT ROs were almost not covered by the AFI Plan. This was despite the fact that the EI for two of the three EUR/NAT has declined since 2016; and the average EI for one of the three States in MID has remained very low (33.5%) during the same period. Interviews also revealed that the MID and EUR/NAT ROs were not actively involved in the development of AFI Plan Programme Document or the AWP.

<sup>9</sup> MID (Egypt, Libya, Sudan) and EUR/NAT (Algeria, Morocco, Tunisia)



Figure 1: Level of Satisfaction with State's Participation in Planning and Implementation



50. Likewise, no mechanism exists to solicit feedback on implementation from Member States. Key recommendations for improved implementation provided by Member States in the Evaluation Survey include: strengthening participation of States in strategic planning/activities of the AFI Plan (46.7%), improved communication about the AFI Plan (40%), need for additional budget (40%), and tailored assistance and capacity building (26.7%).

#### AFI Plan Implementation Strategies

51. As indicated above, though not explicitly mentioned in the Programme document as strategies, the AFI Plan Secretariat has used three key implementation strategies/mechanisms to achieve its objectives and deliver the associated outputs. These strategies include: i) ROST Assistance; ii) Trainings and Workshops; and iii) Partnership with AFCAC through the Africa-Indian Ocean Cooperative Inspectorate Scheme (AFI-CIS) of AFCAC. However, as detailed below, the AFI Plan Secretariat had tended to rely more on ROST missions as the primary strategy for implementation.

#### Regional Office Safety Teams (ROSTs)

52. The ROSTs have been instrumental in implementing the AFI Plan activities. ROSTs further coordinate the ICAO Plans of Action in collaboration with other entities such as the AFCAC and CAAs, etc. According to ROST TORs, ROST missions to Member States are to be conducted with the objective to assist States in the implementation of CAPs and to improve EIs. ROSTs are also responsible for developing and facilitating implementation of specific projects funded under the AFI Plan and conducting seminars and workshops. However, a review of the AFI Plan Annual Work Plans (AWPs) disclosed that in addition to their role mandated in the ROST TORs, ROST missions have been also undertaken to assess State readiness for USOAP Audits and conduct ICVMs.

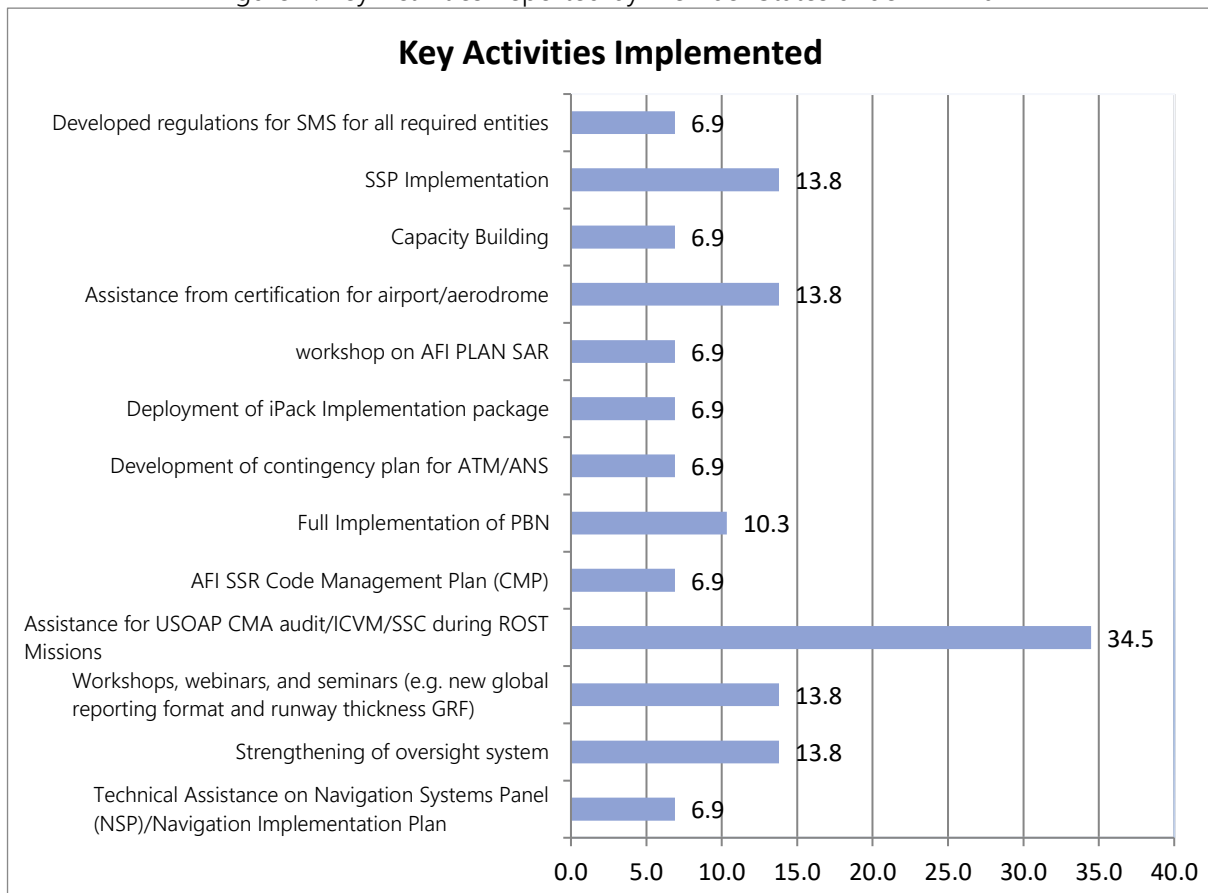
53. ROST assistance to Member States has been generally prioritized in the following order: i) presence of SSC; ii) upcoming audit/ICVM; iii) low hanging fruit (States on the verge of reaching EI targets); and iv) States with weak capacity.

**Finding 4:** Although ROST assistance has been the foremost implementation strategy of the AFI Plan, there have been no proper implementation and monitoring guidelines for ROST member to follow similar approaches. As a result the support provided by ROST missions has been subject to the judgment of the assigned ROST member. Moreover, ROST missions have largely focused to support Member States to pass safety audits' and were often prescriptive since they focus on

PQs and checklists instead of providing hands-on technical assistance to resolve identified deficiencies.

54. On average, about 14 ROST missions were undertaken by the two Regional Offices per year, since 2016. There was also excessive focus on passing audits and achieving higher EI rather than improving the general aviation safety and air navigation in the countries. Some interviews indicated that the commitment of Member States will increase for audit preparation and improvements and will go back to the 'usual practice' after the audit. Member States responding to the evaluation survey reported (Figure 2) that the majority of activities (34.5%) that they benefited under AFI Plan were related to Assistance for USOAP/ICVM, etc., followed by Aerodrome Certification, SSP implementation, and Strengthening of Oversight Mechanisms. However, the list could include supports provided by other ICAO source as Member States do not have a means to check whether the support is provided by AFI Plan or other ICAO support activities.
55. ROST missions have been generally prescriptive as they mostly focus entirely on assessment of Member States status based on audit PQs and checklists instead of providing hands on technical assistance to resolve identified deficiencies. In fact, interviews with a number of ROST members revealed that they consider the provision of such hands-on guidance beyond their mandate as this can result in conflict of interest. Instead, they expect that such hands on Technical Assistance (TA) should be provided by other sources, such as AFI-CIS and RSOOs. However, the evaluation team found that this perception was not in line with ROST TOR and ICAO's TA mandate.

Figure 2: Key Activities Reported by Member States under AFI Plan



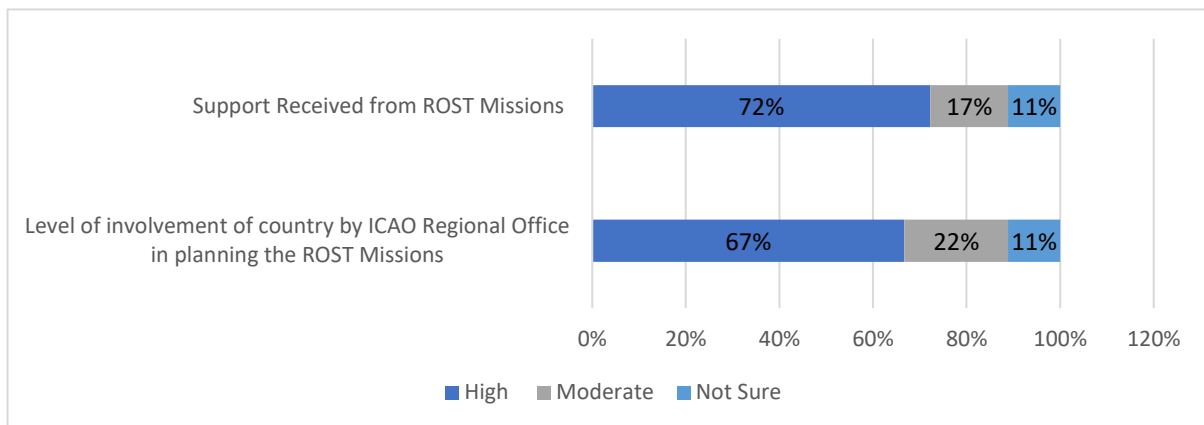
56. Some interviewed States shared their reluctance to share information with ROST Missions or provide candid feedback, as the combination of the approach to technical assistance that has

been primarily based on review of audit PQs and ROST missions being undertaken to conduct functions such as ICVMs blur the lines between technical assistance and audit.

57. States with higher EIs and capacity as well as those with significant political buy intend to benefiting better from ROST missions than those with low EIs and limited capacity/buy in. In particular, the former have more control over planning of ROST missions, and also benefit from learning and exchange about ICAO standards as well as guidance on allocation of required resources to meet the standards. These States primarily prefer getting guidance on self-assessment/audit preparation. Conversely, Member States with low EIs and limited capacity/buy in receive ROST missions with modest contribution to mission planning, and also have little absorption capacity for the guidance provided by the missions.

“Instead of providing hands on technical assistance, ROST Missions generally focus on assessing audit PQs.”  
(Member State Representatives)

Figure 3: Level of Satisfaction of Respondent Member States with ROST Missions



58. The Evaluation observed that the roles and responsibilities of ROST have evolved and expanded over time. For instance, on the one hand, ROSTs have been no longer delivering training due to the ICAO’s change in training policy, on the other hand, ROST teams are supporting States to make them ready for audits. The integration of the AFI Plan in the Regional Office regular programmes in 2011 through participation of Experts from other Air Navigation disciplines, enabled ROSTs to fully cover its intended all-inclusive scope as per the first AFI Plan Programme Document. The initial Team of Experts recruited by the AFI Plan programme could only cover the areas of PEL, OPS and AIR in line with the first USOAP audit cycle focused on Annexes 1, 6 and 8 to the Chicago Convention. Thereafter, the programme had evolved to the Comprehensive Systems Approach (USOAP CSA) encompassing all Air Navigation areas in terms of the Convention (PEL, OPS, AIR, AGA, ANS, AIG), before the current Continuous Monitoring Approach (CMA). This helped to ensure the alignment of the AFI Plan with the Abuja Declaration and Safety Targets. Furthermore, in 2021 an assistance to States in Infrastructure Planning was added. WACAF reported that the first AFI Plan Aviation Infrastructure Gap Analysis for Africa was conducted in 2019, which recommended additional Gap Analysis that started in 2021. However, these justification were not clearly documented in the programme document.
59. Furthermore, the Evaluation found that in the absence of agreed and documented methodology and approach of a ROST mission, the type and extent of support provided by ROST missions has been subject to the judgment of the assigned ROST member. Some ROST members provide direct technical assistance support while others just inform the gaps found by the mission and let the Member States address the issues. Although, the AFI Plan Secretariat devised draft ROST guidelines in 2018, they have not been generally put into practice. The AFI Plan Secretariat has to

finalize the ROST guidelines to standardize the approach of ROST members in providing support to Member States.

### Training and Capacity Building

Finding 5: Despite significant demand for capacity building and availability of certified training institutions, provision of such activities under the AFI Plan has remained limited since 2016. Nevertheless, a gap analysis and forecast study on the training needs of aviation sector professionals in Africa is currently being undertaken and the results will be used to implement tailored training activities.

60. Capacity building for sustainable aviation safety has been one of the three key implementation strategies of the AFI Plan. Towards this end, major activities undertaken since 2016 include workshops, support, and referrals to training organizations, and support to the AFI CIS.
61. A number of workshops have been organized as part of various AFI Plan projects, mostly with the purpose of awareness raising and capacity building. For instance, workshops were held in 2018 and 2019 under the AIG project and attended by 157 personnel representing at least 22 countries and one RSOO. Similarly, during 2017, four aerodrome certification workshops were conducted in Accra, Lomé, Nairobi, and Brazzaville to benefit regulatory and airport personnel of both supporting and beneficiary States<sup>10</sup>. Whereas, a series of workshops were also held under the SAR project, including a 'wrap up' workshop in 2017<sup>11</sup>, and a workshop on SAR establishment with support from the ICAO HQ and Aeronautical and Maritime SAR Joint Working Group in 2020/21. However, due to inadequate implementation of result-based monitoring and reporting mechanisms, the information on most of these workshops, such as frequency of events, number of participants, and outcomes, etc. are generally not readily available.
62. The AFI Plan has coordinated with Member States and training centers on planning and organization of aviation safety trainings. In particular, the AFI Plan Secretariat has provided support to the creation of African Aviation Training Organizations (AATO) and in the establishment of its Headquarters by facilitating an agreement; and contributed to the development of the Aviation Training Roadmap for Africa by facilitating information sharing events attended by GAT, training organizations, and other stakeholders.
63. Moreover, with support from AFI Plan, trainings in safety management, public health, and GSI (air operator and air worthiness) were conducted by the ICAO GAT for 141 personnel from approximately 26 countries. Annex 5 provides a list of trainings conducted under the AFI Plan between 2016 and June 2022. However, no pre- and post - training data is available to assess the effectiveness of these activities. Furthermore, these 141 trainees constitute only a small fraction (6.2%) of the 2,260<sup>12</sup> aviation personnel having been trained under the AFI Plan since 2008; and the majority (104; 75%) were trained remotely during COVID-19 on topics related to health safety.

---

<sup>10</sup> *Twenty-Third AFI Plan Steering Committee Meeting (29 July 2020)*; Virtual Meeting; Agenda Item 2: Review the Implementation Status of Ongoing AFI Plan Projects; AFI Plan-SC/23/2020-Dp/02 29/07/2020

<sup>11</sup> *Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan) Twentieth AFI Plan Steering Committee Meeting (Montreal, Canada, 07 December 2017)*; Agenda Item 1: Review of The Status of Implementation of AFI Plan Projects; AFI Plan-Sc/20/2017-Dp/02 21/11/2017

<sup>12</sup> AFI Plan Programme Document (2021-24)

64. These low training numbers are partially reflective of the change in ICAO Training Policy, under which training can only be provided through accredited training institutions. Resultantly, the AFI Plan Secretariat had to discontinue its training activities and has to instead rely on referring Member States to the said institutions. Since 2018, the AFI Plan has focused on providing training sponsorship to personnel of priority needy States with CE4<40% and EI<30%.

“Under the AFI Plan, training has been provided without assessing its impact. Also, only basic level training is provided under AFI Plan, while there is need for more advanced/ On the Job Training (OJT).

(Member State Representative)

65. However, interviews with Member States and RSOOs revealed that the training support currently provided through the AFI Plan, such as the number of referrals to training organizations, is not sufficient in comparison to their extensive capacity needs. Accordingly, they tend to rely on the limited support available through other sources, such as the FAA and the Government of Singapore. It was unclear why, despite budget surpluses, the AFI Plan funds have not been used to support such Member States in order to ensure that their training needs were met. In addition, the Evaluation observed that although the AFI Plan aims to strengthen RSOOs as one of its initiatives listed in the Performance Measurement Plan (PMP), there is no evidence indicating that the trainings were tailored to the needs of these organizations.

66. Other major challenges reported by the AFI Plan Secretariat with regard to training have been the non-availability of standard course material, e.g., for AGA and ANS GSI training, and the reluctance of States to send personnel to long duration trainings.

67. Overall, the Evaluation determined that training and capacity building activities facilitated/ supported under the AFI Plan have been implemented without having a capacity building strategy or training master plan in place. Realizing this and in line with the current AFI Plan Programme Document (2021 – 2024), the AFI Plan Secretariat has hired a consultant in 2022 to undertake a gap analysis and carry out a forecast study of the needs of the aviation sector professionals in Africa. The study is planned to be followed by the development of a database on aviation professionals by ICAO Strategic Objectives.

#### AFI Cooperative Inspectorate Scheme (AFI-CIS)

68. The AFI Plan also provided technical support to the AFI Cooperative Inspectorate Scheme (AFI-CIS) managed by AFCAC, a program launched in 2012. The AFI-CIS was initiated to form a pool of qualified inspectors to provide Technical Assistance (TA) to States in the resolution of oversight deficiencies/SSCs and improve Effective Implementation (EI). Under this scheme, inspectors referred by AFCAC were to be provided induction/refresher workshops by AFI Plan Secretariat in consultation with AFCAC. The trained inspectors were then fielded to States by AFCAC with support from donors such as European Union Aviation Safety Agency (EASA), etc.

69. As of June 2022, the AFI CIS is comprised of 71 inspectors who attended refresher training since 2016 and/or an induction training was conducted in 2020. The AFI CIS inspectors have undertaken 43 missions to 19 countries since 2012. Interviews with key stakeholders revealed that the Secretariat staff initially undertook some monitoring of these missions but has discontinued since then. Furthermore, it was observed that the periodic reporting by AFCAC to the ICAO/AFCAC ad

hoc committee on the implementation of AFI CIS, is not undertaken regularly as outlined in the AFI CIS Policy and Procedure Manual<sup>13</sup>.

## Relevance

70. This section examines the extent to which the AFI Plan has been relevant to the needs of Member States (MS) and other key stakeholders since 2016; the relevance of projects to the ICAO's Business Plans (2016-2019 and 2020-2022); and the Operating Plans of the two Regional Offices. In addition, the extent to which AFI Plan adapted and responded to the needs of the Member States during the COVID-19 pandemic was also examined.

Finding 6: AFI Plan aligns with the ICAO Business Plan and is in line with the 'No Country Left Behind' initiative. Due to its continued contribution to aviation safety in Africa, including resolution of Serious Safety Concerns (SSCs) and improvement in Effective Implementation (EI) rates, the AFI Plan has remained relevant. However, some Member States with low EIs reported that the AFI Plan's relevance to their needs is compromised by an exclusive focus on Protocol Questions (PQs) reviews instead of providing hands on technical assistance to address identified safety oversight deficiencies or corrective action plans (CAPs) and other needs.

71. The Evaluation determined that the AFI Plan has been closely aligned with and relevant to the Strategic Objectives of ICAO and the expected results of the Business Plans<sup>14</sup>. In particular, the AFI Plan contributed to Expected Result 1- Improved Aviation Safety and Result 2 - Strengthened Regulatory Capacity as it aims to enhance capabilities of States to manage risks, fulfil their mandates, and reduce level of risk posed. Moreover, the Evaluation found that the AFI Plan provides support to Member States in line with the No Country Left Behind initiative of ICAO as the Plan aims to enhance capabilities of States; improve air connectivity; and develop capacity to implement aviation related projects.

72. Review of documents and stakeholder interviews also revealed that over the years, the AFI Plan has contributed significantly to improvement in aviation safety in Africa and has therefore remained relevant. In particular, between 2016 and 2022, the number of SSCs has dropped from 4 to 1. As a number of other international development stakeholders have been operational in the AFI region for improvement in aviation safety, evaluation interviews revealed that the specific contribution of the AFI Plan, although unquantifiable, has been highly recognized towards the development of aviation safety in the AFI region. In fact, 67% of the respondent Member States to the evaluation survey rated uniqueness of support provided under AFI Plan as compared to other organizations as High/Moderate. Nevertheless, it is important to note that the current average EI of 57.6% in the region continues to be significantly lower than the current global average of about 69%.

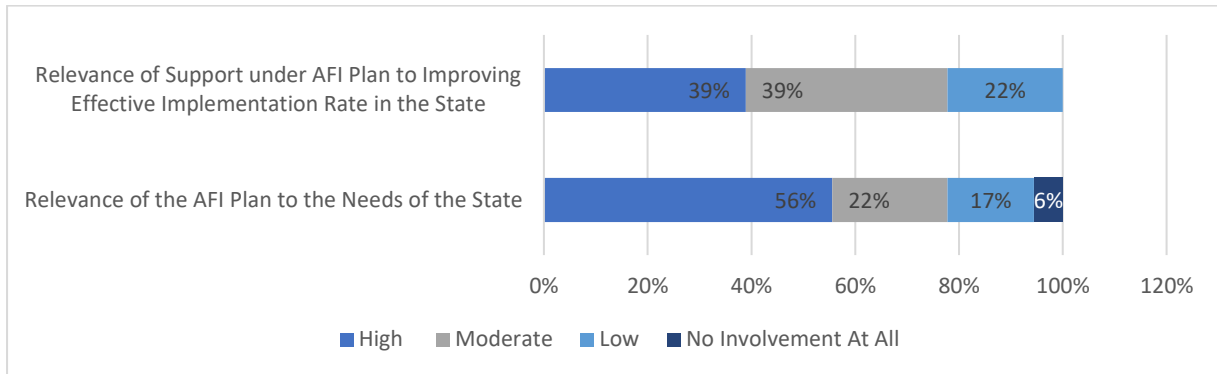
73. Further, interviewed States reported that in addition to technical assistance/guidance for improvement in EI, they value the AFI Plan support with other technical issues, such as audit preparation reviews and guidance on changes in ICAO policies, etc. The Member States Survey further revealed that 56% of the respondent States find the relevance of the AFI Plan to their needs to be high and 22% find the AFI Plan to be moderately relevant. Comparatively, only 39% Member States reported that support from the AFI Plan was highly relevant to improving their EI rate.

---

<sup>13</sup> AFI-CIS Policy and Procedure Manual; AFCAC 2012 (<https://ncaa.gov.ng/media/wwwntvep/afi-cis-policy-and-procedures.pdf><https://www.afcac.org/legacy/fr2/documents/aficis/afi.pdf>)

<sup>14</sup> ICAO Business Plan (2017-2019) and ICAO Business Plan (2020-2022)

Figure 4: Relevance of the AFI Plan and its Activities to the Needs of the State, Member States Survey, 2022



74. Nevertheless, as elaborated in the sections on Effectiveness and Efficiency, Member States with low EIs reported that the AFI Plan’s relevance to their needs has been compromised by an exclusive focus on the review of Protocol Questions of the USOAP audit instead of providing hands on technical assistance to resolve identified safety oversight deficiencies. On the other hand, Regional Offices reported limited human and financial resources as factors that prevent them from providing hands on support, and were also of the view that as such, the responsibility of finding and implementing solutions to resolve safety issues resides with the Member States.

**Finding 7:** During COVID-19, AFI Plan activities were adapted by gradually replacing assistance missions with remote guidance and workshops. However, the pandemic has affected the AFI Plan annual planning cycle. Moreover, activities that required in-country visits during the pandemic had to be delayed.

75. With regards to COVID-19, the Evaluation team found that AFI Plan activities were adapted to the implementation realities of the pandemic. In particular, mission assistance during this time was progressively replaced with remote/virtual guidance. This switch also eventually led to the realization of benefits of remote pre-planning for ROST missions.

76. States were provided remote assistance on aspects such as review/update and guidance on CAP implementation, PQ self-assessment reviews, etc. Similarly, some capacity building activities such as workshops and training of AFI CIS inspectors were also conducted remotely. Nevertheless, the AFI Plan progress on some assistance activities that required on ground presence, such as aerodrome certifications, etc. suffered delays during the pandemic. Another challenge for the AFI Plan to undertake activities during COVID-19 was limited internet connectivity in some LDC Member States, thereby hampering the level of remote support.

77. COVID-19 has also interrupted the planning cycle of AFI Plan. Traditionally, the Plan’s AWP was approved in November of the prior year; however, due to change in SC meeting schedules, the AWP for 2022 was approved in May 2022. In the meantime, the Secretariat continued carrying out activities that were budgeted in the 2021 plan.



## Coherence

78. This section provides an assessment of the coherence of the AFI Plan design, including alignment with the Member States' Civil Aviation Master Plans/Safety Plans and the Region's and partners' priorities and plans, alignment with ICAO Implementation Support Policy, and complementarity between AFI Plan and other ongoing ICAO programmes and projects in the region.

**Finding 8:** The AFI Plan is aligned with major global priorities and regional plans/targets, such as GASP, GANP and Abuja Safety Targets. Efforts to align the AFI Plan with the recently approved ICAO implementation support policy are also planned. However, the Human Resource Development Fund's (HRDF) was not able to complement the AFI plan and contribute to improve the capacity of AFI Member States.

79. A review of the AFI Plan document 2017-2020 and 2021-2024 revealed that the expected results are aligned with the performance indicators/metrics of the Global Aviation Safety Plan (GASP), Global Air Navigation Plan (GANP), the revised Abuja Safety Targets (ASTs), the AFI ANS Performance Indicators, as well as other metrics derived from ICAO standards. Hence, the AFI Plan was found to be aligned with Regional and Global priorities. The AFI Plan's approach also aligns well with the previous ICAO Implementation Assistance Policy (2012)<sup>15</sup>, as it aims to support States in resolving safety deficiencies and implementation of ICAO SARPs through Technical Assistance (TA), Technical Cooperation (TC), and Training in partnership and coordination with other stakeholders in the region. However, the AFI Plan has yet to be harmonized with the newly developed ICAO Implementation Support Policy (2022)<sup>16</sup> as efforts in this regard were pending the development of an associated strategy by the ICAO HQ.
80. The Human Resource Development Fund (HRDF), an initiative established in 2014 to build capacity of African Member States to better meet their human resources needs required for operational efficiency and continuous implementation of ICAO's Standards and Recommended Practices (SARPs) and other ICAO programme activities. The Fund was expected to complement the AFI Plan in building the capacity of States. However, the Fund has had limited uptake by Member States. Interviews revealed that major reasons for stagnated MS interest in HRDF is the Fund's design, including the high qualification criteria that often cannot be met by aviation experts in Member States, the high financial and opportunity cost to Member States for sending any qualified experts, as well as the limited opportunities available for secondment at the ICAO HQ due to the high demand by Member States globally. Accordingly, several stakeholders advised a review of the HRDF implementation modalities for better alignment with needs of the Member States.
81. The AFI Plan was developed in 2008 to augment the capacity of the ICAO Regional Offices in order to improve the significant gaps in aviation safety in Africa, and since 2011, the AFI Plan has been integrated into the regular programmes of the ESAF and WACAF ROs. The AFI Plan activities also occasionally complement other ICAO programmes, such as initiatives under ICAO's SAFE (Safety Fund) or Technical Cooperation Bureau (TCB) projects and activities. For instance, the AFI Plan Secretariat has provided financial support of US\$60,000 to cover the shortfall in SAFE support to Sierra Leone. Nevertheless, a review of the AFI Plan Programme Document and discussions with key stakeholders revealed that there has been no conscious approach designed on how the AFI Plan would complement/harmonize with the work of other ICAO programmes. In the absence of a clear plan/approach and in the view of the broad extent of the AFI Plan planned activities, it

<sup>15</sup> Council – 196th Session; Subject No. 42: Technical Co-Operation; Policy on Technical Assistance; C-WP/13850 (26/04/12)

<sup>16</sup> ICAO Implementation Support Policy; C-WP 15295; 04/02/22 (Presented at the Council – 225<sup>th</sup> Session)

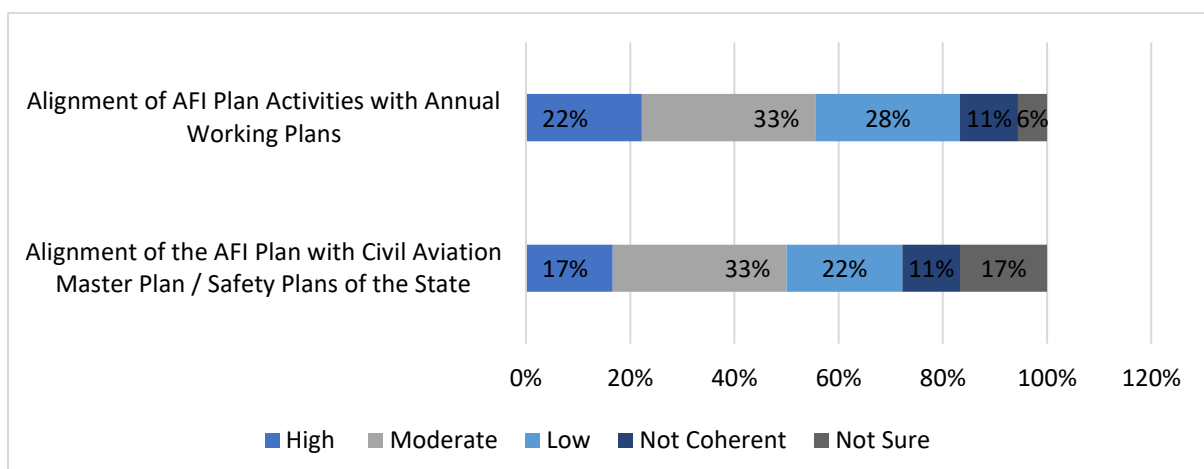


was also difficult to differentiate between the regular work of the ROs and activities of the AFI Plan.

**Finding 9:** Due to inadequate and timely state-specific needs assessment and involvement of Member States in the planning process, the alignment of AFI Plan with specific needs of individual Member States has been limited.

82. Further, there was limited AFI Plan alignment with the aviation priorities of Member States, as the planning process has lacked solicitation of input from Member States and review of State-specific priorities. Resultantly, survey results of Member States showed that only 50% respondent Member States reported alignment of the AFI Plan with their individual needs to be high/moderate, and 55% reported alignment of AFI Plan activities with their annual working plans as high/moderate.

Figure 5: Alignment of the AFI Plan to the needs of the Respondent Member States (Evaluation Survey)



## Effectiveness

83. This section provides an assessment of the AFI Plan achievements against its four planned objectives and respective targets, quality of implementation, adherence to schedules, monitoring mechanisms, as well as the extent to which recommendations of the previous evaluation have been implemented. An overview of progress towards AFI Plan targets since 2016 is provided in Table 4 at the end of this section.

Finding 10: Overall, the AFI Plan has recorded some progress towards each target set in the AFI Plan Programme document. However, while there was good progress in achieving the targets set for 2021-2024 initiatives, the initial AFI Plan targets for 2017-2020 have not been fully attained partly due to unrealistic target/plan.

Objective 1 - Enabling States to establish, implement and maintain effective, resilient, and sustainable safety oversight systems

84. To achieve this objective, AFI plan set targets for its initiatives of 2017-2020 and 2021- 2024 (Table 2). The initiatives were to support Member States for enhancement of oversight capability and b) support to RSOOs. Overall, AFI Plan has provided support to at least 41 of the 54 Member States (76%) through activities for the achievement of this objective, as detailed below.

Finding 11: AFI Plan supported 14 Member States against a target of supporting 8 States with EI less than 40% with safety oversight systems by 2022. The average USOAP score for the assisted States has increased from 20.47% to 30.1%.

85. As a plan to assist at least 20 Member States (8 States in 2022), AFI Plan has thus far supported 14 Member States to enhance their safety oversight capability with an emphasis on CE1 through CE5, as assistance was provided to all targeted States through ROST missions as well as remote assistance during the COVID-19 pandemic. The States were selected based on EI 40% or below, as well as those States that have not yet been audited under USOAP.

86. The evaluation determined that as of 2021, the overall average USOAP score for the States assisted on safety oversight capabilities went up from 20.47% to 30.1%.<sup>17</sup> However, only five of the assisted States have increased their individual EI, although this limited progress could be partly attributed to limited USOAP validation activities conducted in the targeted States. Nevertheless, none of the project assisted States was able to achieve the targeted EI of 60%. Furthermore, it was determined that despite one Member State from MID falling within the selection criteria for assisted States, having EI ranging from 29.21% (2016) to 40.16% (2022), it was not targeted for FSO assistance in the 2018 FSO project document (AFI Plan/2018/003)<sup>18</sup>.

Finding 12: Although the AFI Plan targeted 50% African States lacking safety oversight capacity to delegate some oversight functions to RSOO, no State has delegated the functions to RSOOs so far. Support for the integration and enlargement of RSOOs/ RAIOS was also limited.

87. AFI Plan had a plan to support RSOOs and encourage States to delegate their oversight functions to the RSOOs. A regional RSOO Forum organized in March 2017 recommended a gap assessment study on RSOOs be conducted for strengthening RSOOs in Africa through AFI Plan. However, the

<sup>17</sup> Report On the Implementation of The 2020/21 AFI Plan Work Programme And Projects; *Twenty-Fourth AFI Plan Steering Committee Meeting Virtual Meeting, 15 July 2021*; AFI Plan-SC/24/2021-DP/01

<sup>18</sup> However, the recently approved FSO Project Document (2022) includes the country under MID as one of the beneficiary States.

study and an accompanying Strategic Plan and Roadmap were delayed, partly due to COVID 19, finalized only in September 2021.

88. Despite their obvious specialized needs for capacity building, adequate targeted support such as training have not been provided under the AFI Plan to RSOOs. The results of the RSOO study that took over four years are awaited to initiate support to RSOOs. In fact, after much delay, major gaps revealed by the RSOO study<sup>19</sup> include the expected themes, including: human resource capacity, coordination, legal and institutional frameworks, funding, and multiple memberships.
89. Nevertheless, some supports related to RSOOs are reported in AFI Plan Implementation Progress Reports including: dialogue with relevant stakeholders to encourage African States to delegate certain oversight functions to RSOOs, joint State missions with RSOO experts under the FSO project, and WACAF's assistance to CEMAC in the recruitment of Technical Director and a Training Director, and inclusion of RSOOs in the AFI Plan's annual coordination meetings. However, as opposed to a goal of 50% States, none of the States have reported delegation to the RSOOs. Moreover, although efforts were undertaken to revive the initiative of setting up an RSOO for the Seven Member States in 2013, these were thwarted by non-cooperation among States due to inter-State.

Table 2: AFI Plan Progress Towards Targets (2017-2022): Key Objective 1 - Enabling States to establish and maintain effective and sustainable safety oversight systems

Initiative (2017-2020)	Initiative (2021-2024)	Progress
Support all States to establish the Fundamentals of Safety Oversight (FSO) system (CE1-CE5) (Target: all Member States)	Support at least 20 States to establish the Fundamentals of Safety Oversight (FSO) system (CE1-CE5) (Target: at least 20 Member States; 8 States by 2022)	14 States with EI < 50 assisted to establish FSO system <sup>20</sup> Average USOAP score for the States assisted on safety oversight capabilities went up from 20.47% to 30.1%
Encourage at least half of African States lacking safety oversight capacity to delegate certain oversight functions to RSOO (Target: 27 States to delegate to RSOOs)	-	Dialogue with Champion DGs Annual Coordination Meetings with participation of stakeholders, including RSOOs <sup>21</sup> (No evidence of delegation of oversight functions (e.g. MOUs, agreements, etc.))
Support the integration and enlargement of RSOOs/RAIOs for effective and sustainable functioning	Develop and implement the AFI RSOO Strengthening Strategy (Target: Strategy Developed Strategy Implemented by 2022)	RSOO Study finalized in 2021 <sup>22</sup> (Implementation of RSOO Study recommendations not yet initiated)

Objective 2 - Assisting States to resolve identified safety oversight deficiencies within a reasonable time:

90. For the attainment of this objective, the AFI Plan has focused on a) development of ICAO Plans of Action; b) resolution of SSCs; c) improvement in EI; d) certification of international aerodromes; e) development and implementation of SSPs; f) establishment of Search and Rescue (SAR) services; and g) capacity building for AIG.

<sup>19</sup> Final Report AFI Regional Safety Oversight Organization (RSOO) Study; Mam Sait Jallow; September 2021

<sup>20</sup> Comprehensive Regional Implementation Plan For Aviation Safety In Africa (AFI Plan) - *Twenty-Third AFI Plan Steering Committee Meeting (29 July 2020)* Virtual Meeting; AFI Plan-SC/23/2020-DP/02

<sup>21</sup> Ibid

<sup>22</sup> Comprehensive Regional Implementation Plan For Aviation Safety In Africa (AFI Plan) - *Twenty-Fifth AFI Plan Steering Committee Meeting (Abuja, Nigeria, 17 And 18 May 2022)*; AFI Plan-SC/25/2022-DP/01

91. With the help of ROST members, by 2020-21, the AFI Plan had developed ICAO Plans of Action for all States under ESAF and WACAF regions. However, the presentation of these plans to Member States was delayed due to COVID-19 and was eventually planned for Q3 of 2022.

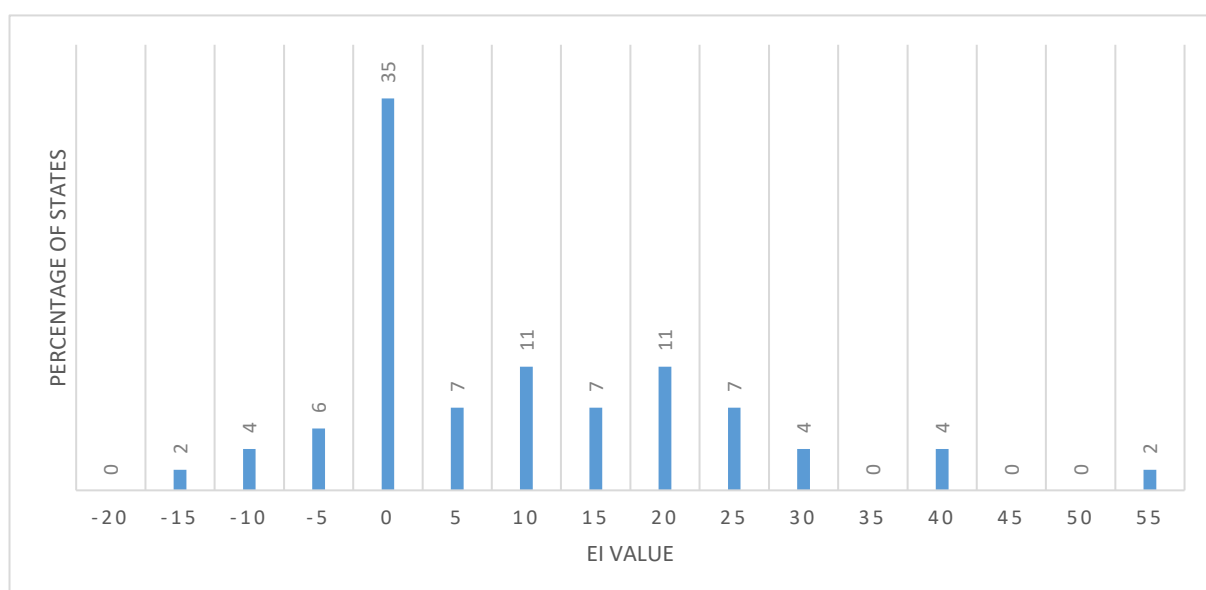
**Finding 13:** SSCs in the AFI Region have gradually declined from four in 2016 to only one in 2022. This longstanding SSC in the country was resolved in October 2022. In the meantime, an SSC was observed in one additional State and was soon resolved.

92. AFI Plan support, including ROST Missions and capacity building, has been provided to Member States to improve EI and resolve SSCs. It was observed that SSCs in the AFI Region have gradually declined from four in 2016 to only one in 2022 which was resolved this October. However, the risk of Member States reporting new SSCs still remains. For instance, in 2020, an SSC was identified in Cote d'Ivoire, which albeit was quickly resolved.
93. As compared to the AFI Plan 2022 target of 31% States reporting EI > 75% and 70% States reporting EI > 60% by 2022, thus far only 11 Member States (20%) have attained EI > 75 and 27 Member States (50%) have attained EI > 60%. However, average EI across the AFI region during 2016-2022 has only improved from 49.07% to 57.61% (Table 3).

**Finding 14:** Though there has been an improvement in average EI rate from 49.07% to 57.61% across the AFI region during in the 2016-2022 programming period, AFI Plan was not able to achieve its set target.

94. Since 2016, as a result of assistance to and engagement with States, 27 Member States (50%) have seen an average improvement of 17 points in their EI, the highest improvement being recorded was +52. Conversely, 23 Member States (43%) have seen a reduction in EI, with the highest decline observed in seven States; whereas, EI in the remaining 17 States has declined by an average of only (-2). Finally, four Member States (7%) have not seen any change in their EI.

Figure 6: Percentage Change in EI of AFI Region Since 2016



95. However, average progress on EI across the AFI region during 2016-2022 has slightly improved from 49.07 to 57.61. A more in-depth analysis of the EI rates in AFI region also revealed wide disparities in EI, with Member State-wise EIs ranging from 8% to 87%. As shown in Table 3, as compared to the AFI Plan target of 52% States reporting EI >75% and 95% States reporting EI > 60%, only 11 Member States (20%) have attained EI >75 and 27 Member States (50%) have attained EI > 60%.

Table 3: Average EIs in AFI Region

El Ranges	No. of Member States	Percentage Member States in AFI Region	Average EI
>=75	11	20%	82.27
>=60	27	50%	73.05
41 – 59	12	22%	52.46
20- 40	9	17%	29.69
< 20	4	7%	12.66
N/A	2	4%	N/A
Overall Average			57.61

Finding 15: The AFI Plan hasn't achieved the 95% target set in 2017 to Certify All International Aerodrome. However, support from the AFI Plan has progressed well against the 2021 – 2024 target. Overall there is an increase in the percentage of certified aerodromes in Africa from 22.05% in 2016 to 31.78% in 2022.

96. The AFI Plan had a plan to support 20 African States to certify at least one of their international aerodromes<sup>23</sup>. For this initiative, targeted States were those that have not certified any of their aerodromes and have attained an overall EI rate of above 60%; or those below 60% overall EI but have already started the process of an aerodrome certification. Major activities undertaken to achieve results included certification workshops<sup>24</sup>, support to action plans developed by States, and ROST assistance/ progress monitoring missions. This support has resulted in the certification of 14 aerodromes in 13 Member States<sup>25</sup>, thereby resulting in raising the percentage of certified aerodromes in Africa from 22.05% in 2016 to 31.78% in 2022. Interviews revealed that a major achievement under this initiative has also been the capacity of State-level stakeholders and developing linkages among Member States for technical assistance and cooperation. Resultantly, after receiving initial assistance from AFI Plan, three States have certified additional aerodromes based on the newly built capacity and linkages.
97. Major challenges affecting progress to certify aerodromes were cited as the lack of resources and support required to resolve deficiencies found on the airports, including financial resources,

<sup>23</sup> Although, in the AFI Plan Programme Document, Aerodrome Certification is an initiative planned under Objective 2, due to the higher relevance of this initiative to Safety Oversight, the evaluation has provided its assessment under objective 1 in this evaluation report.

<sup>24</sup> Four aerodrome certification workshops were conducted in Accra, Lomé, Nairobi, and Brazzaville for the benefit of Regulatory and airport personnel of both supporting and eligible States

<sup>25</sup> *Twenty-Fourth AFI Plan Steering Committee Meeting Virtual Meeting, 15 July 2021; Agenda Item 1: - Report On The Implementation Of The 2020/21 AFI Plan Work Programme And Projects; AFI Plan-Sc/24/2021-Dp/01*

commitment from States (CAAs and airport operators management), as well as unavailability of trained technical personnel<sup>26</sup>. Progress has also been affected due to the COVID-19 pandemic.

Finding 16: Against a target of 21 States in 2022, the AFI Plan has assisted 24 Member States in implementing effective State Safety Programs (SSP). This includes the completion of SSP gap analysis for 73% targeted States and SSP implementation development for 46% of the targeted States. In addition, one State (Rwanda) has also achieved full SSP implementation.

Table 4: AFI Plan Progress Towards Targets (2017-2022): Key Objective 2 - Assist States to Resolve Identified Deficiencies within a reasonable time

Initiative (2017-2020)	Initiative (2021-2024)	Achievements made so far /Progress
Assist States to Improve EI (Target: 95 % States above 60% EI)	Assist States to Improve EI (Target: 95% States above 60% EI (70% States by 2022) & 52% States above 75% EI (31% States by 2022))	60% Audited States EI > 60% <sup>27</sup> (Average EI = 73.05) 22% States EI > 75% (Average EI = 82.27)
Assist States to Resolve SSC (s) (Target: Zero States with SSCs)	Assist States to Resolve SSC (s) (Target: Zero States with SSCs by 2022)	1 SSC <sup>28</sup>
Assist States to Certify All International Aerodromes (Target: 95% international aerodromes certified)	Assist States to Certify All International Aerodromes (Target: 75% international aerodromes certified (55% by 2022))	65% assisted States (13 States) with 14 certified Aerodromes <sup>29</sup>
Assist States to establish a mechanism to ensure independent Aircraft Accident & Serious Incident Investigation (Target: States with independent Aircraft accident & incident investigation entity)	Assist 17 States to establish independent Aircraft Accident and Serious Incident Investigation mechanism (Target: 17 States; 50% States to be assisted by 2022)	Three workshops conducted on AIG (attended by at least 22 Member States and one RSOO) Follow up project designed in 2022 to implement recommendations of workshops <sup>30</sup>
Assist all States above 60% to start Implementing SSP (Target: 95% of States implementing SSP)	Assist 21 States to Implement effective SSP (Target : 21 Member States; 33% States assisted by 2022)	24 Member States with EI > 60% assisted, as follows: SSP gap analysis completed for 73% targeted States; SSP implementation plan accomplished for 46% of the targeted States; and Full SSP implementation has been accomplished by only one State (Rwanda) <sup>31</sup>
Assist States to establish effective SAR organization (Target: 48 States Assisted)	Assist States to establish effective SAR organization (Target:	ESAF Region 10 of the 12 targeted States (83%) have developed SAR legislation; only 50% of these

<sup>26</sup> Twenty-Second AFI Plan Steering Committee Meeting Kampala, Uganda, 15 May 2019; Agenda Item 3: Review the Implementation Status Of Ongoing AFI Plan Projects And Consideration Of New Proposals; AFI Plan-Sc/22/2019-Dp/02 15/05/2019

<sup>27</sup> Ibid

<sup>28</sup> Ibid

<sup>29</sup> Comprehensive Regional Implementation Plan For Aviation Safety In Africa (AFI Plan) - Twenty-Fifth AFI Plan Steering Committee Meeting (Abuja, Nigeria, 17 And 18 May 2022); AFI Plan-SC/25/2022-DP/01

<sup>30</sup> Comprehensive Regional Implementation Plan For Aviation Safety In Africa (AFI Plan) - Twenty-Third AFI Plan Steering Committee Meeting (29 July 2020) Virtual Meeting; AFI Plan-SC/23/2020-DP/02

<sup>31</sup> Ibid

Initiative (2017-2020)	Initiative (2021-2024)	Achievements made so far /Progress
	<a href="#">75% States with SAR Manuals developed/updated by 2022;</a> and <a href="#">50% States with signed SAR Agreements)</a>	targeted States actually promulgated their legislation 23 new SAR agreements have been established. WACAF Region 11 targeted sates (46%) developed national SAR plans; one State signed SAR agreements with all neighboring States; and nine signed agreements with some but not all neighboring States; another 12 have drafted SAR agreements that are pending finalization and signatures <sup>32</sup>
Assist States to Implement ICAO Plans of action (Target: 100% Member States Meeting Timelines)		ICAO Plans of Action developed for all (100%) States Presentation of plans to Member States delayed due to COVID-19 and planned for Q3 2022 <sup>33</sup> .
Facilitate Safety Inspector Training Courses 1. Airworthiness Inspector 2. Operations Inspector 3. Personnel licensing Inspector 4. Air Navigation Services Inspector 5. Aerodrome certification (Target: 2 of each course)	Assist States to build aviation professionals capacity (Target: <a href="#">Final and Approved Study;</a> and <a href="#">Implement Recommendations of Study starting in 2022)</a>	104 trainees from 26 States trained; Of 7 States with internet connection challenges training provided to 2 (Burundi and Niger) One PHC iPACK Training with support of an SME identified by HQ conducted for Angola and Mozambique <sup>34</sup>
	Assist States in implementing CART recommendations (Target: <a href="#">No. Assisted States and professionals in various area of profession)</a>	<ul style="list-style-type: none"> <li>No progress reported</li> </ul>

98. Twenty four (24) Member States which had attained EI > 60% were assisted for State Safety Program (SSP) implementation. This is a higher number than the initially planned assistance to 21 States of which only 33% were to be assisted by 2022. The AFI Plan supported Member States through ROST missions by: conducting SSP gap analysis, review of Foundation PQs, safety management training for their relevant regulatory and service provided staff, developing SSP implementation plans in accordance with USOAP guidelines, and SSP implementation assistance missions.

99. Thus far, SSP gap analysis has been completed for 73% targeted States and SSP implementation plan has been accomplished for 46% of the targeted States. However, full SSP implementation has been accomplished by only one State<sup>35</sup>. To improve progress against targets, the technical experts associated with this initiative now aim to intensify technical assistance to States with special emphasis on assistance for development and execution of SSP implementation plans,

<sup>32</sup> Comprehensive Regional Implementation Plan For Aviation Safety In Africa (AFI Plan) - Twentieth AFI Plan Steering Committee Meeting (Montreal, Canada, 07 December 2017); Agenda Item 1: Review Of The Status Of Implementation Of AFI Plan Projects (AFI Plan-SC/20/2017-Dp/02 21/11/2017)

<sup>33</sup> Comprehensive Regional Implementation Plan For Aviation Safety In Africa (AFI Plan) - *Twenty-Fifth AFI Plan Steering Committee Meeting (Abuja, Nigeria, 17 And 18 May 2022)*; AFI Plan-SC/25/2022-DP/01

<sup>34</sup> Ibid

<sup>35</sup> Report On The Implementation Of The 2020/21 AFI Plan Work Programme And Projects; *Twenty-Fourth AFI Plan Steering Committee Meeting Virtual Meeting, 15 July 2021*; AFI Plan-SC/24/2021-DP/01



perform self-assessment of SSP Foundation Protocol Questions, and when applicable, develop and implement corresponding corrective action plans (CAPs).

Finding 17: In ESAF, 12 States (83% of the target) assisted by the AFI Plan for establishment of Search and Rescue (SAR) organizations have developed SAR legislation. In WACAF 11 States (46% of the target) developed national SAR plans.

100. Thirty (30) Member States (12 ESAF and 18 WACAF) were assisted in the establishment and provision of effective and operational Search and Rescue (SAR)<sup>36</sup> services. Implemented by Technical Experts Team (TET) assigned by ESAF and WACAF ROs, this support was based on an initial gap analysis on SAR implementation in Member States followed by assistance missions to States and support for the development of SAR documentation.
101. So far 10 of the 12 targeted States (83%) in ESAF region have developed SAR legislation and 23 new SAR agreements have been established; however, only 50% of these targeted States actually promulgated their legislation. Comparatively, in the WACAF region, limited buy-in and awareness of States has resulted in limited success on SAR. Consequently, only 11 targeted States (46%) in WACAF region developed national SAR plans, one State signed SAR agreements with all neighboring States; and nine signed agreements with some but not all neighboring States; whereas another 12 have drafted SAR agreements that are pending finalization and signatures. Furthermore, the TET conduct monthly COSPAS-SARSAT Alert checks in collaboration with ICAO HQ to assess State/RCC responses. However, it was observed that the response from ESAF States/RCCs were significantly better compared to the relative lack of response from many WACAF States/RCCs.
102. A major challenge with regard to establishment of SAR agreements at the national level has been with regard to high-level coordination of the Letter of Agreements (LoAs) with other entities responsible to support SAR operations. Consequently, the TET is assisting in the establishment of National SAR Committees (NSARC) as a standing interagency group to oversee the National Search and Rescue Plan (NSP) and to act as a coordinating forum for national SAR matters<sup>37</sup>. However, subsequent challenges have included the unavailability of TET members to assist and conduct missions, low response rate of States to correspondence, and COVID-19, resulting in implementation delays.
103. In view of the low effectiveness in WACAF region on establishment of regional agreements, the WACAF RO in collaboration with AFCAC sought the support of the ECOWAS Commission to coordinate with sister Regional Economic Communities (RECs) in the region to facilitate cooperation among States towards the signing of SAR agreements and multilateral MOUs. In addition, ESAF and WACAF ROs and the AFI SAR Technical Experts Team are also working on a continent-wide SAR Plan to be submitted to APIRG for review and adoption. Finally, ICAO TCB in collaboration with WACAF RO and in partnership with AFCAC, has submitted a draft project proposal to seek funding assistance from the African Development Bank through the RAF19805 PASTA-CO ECOWAS SAR project to support the ongoing SAR activities in the region which were initiated and funded by the AFI Plan. However, this funding has not materialized.

---

<sup>36</sup> Search and Rescue Organization – ESAF Region (AFI Plan-SC/17/2016 – DP/02); WACAF Region (AFI Plan-SC/17/2016 – DP/02)

<sup>37</sup> Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan); *Twenty-Third AFI Plan Steering Committee Meeting 29 July 2020*; Virtual Meeting; Agenda Item 2: Review The Implementation Status of Ongoing AFI Plan Projects; AFI Plan-Sc/23/2020-Dp/02 29/07/2020



104. In addition, during the evaluation period, three workshops have been conducted on Aircraft Accident and Incident Investigation (AIG)<sup>38</sup> under the AFI Plan in 2018, with participation from at least 22 Member States and one RSOO. These workshops were facilitated by two AIG Experts from HQ with the support of one WACAF and one ESAF RO and provided participants with guidance on the development and implementation of harmonized legislative frameworks, regulations, and associated procedures required for the establishment of a state aircrafts accident and incidents investigation system, in conformance with ICAO SARPs and other relevant ICAO Publications.

105. The workshops led to the recommendations of further assistance to States for capacity building and the establishment of a collaborative scheme with the support of RSOOs and the facilitation of ICAO Regional Offices to undertake the development of model harmonized regulations, investigation procedures manuals, and necessary processes and tools to enable or facilitate States to delegate civil aviation accidents investigating tasks; and the establishment of a Regional Accident and Incidents Investigation Organization (RAIO). A follow up project has now been designed in 2022 to implement these recommendations<sup>39</sup>.

Objective 3 - Enhance aviation safety culture and information exchange among African regulators and service providers

106. AFI Plan Secretariat provided support to airports and African Air Navigation Services Providers (ANSPs), and an Airport Excellence for Safety (APEX) review of 47 airports in Africa was undertaken in collaboration with Airports Council International (ACI). However, it is important to note that this activity was reprioritized in the 2021-24 AFI Plan Document as per the Decision of the 19th SC meeting and instead, AIG and FSO projects were given priority<sup>40</sup>.

Table 5: AFI Plan Progress Towards Targets (2017-2022): Key Objective 3 – Enhance aviation safety culture and information exchange among African States and service providers

Initiative (2017-2020)	Initiative (2021-2024)	Progress
Aviation Service Providers to Develop and Implement their Respective Safety Management System (SMS) International Airlines (Target: 100% IOSA certified international Airlines) International Airports (Target: 100% Airports with SMS) Air navigation (Target: 100 % Air navigation service providers with SMS)		APEX reviews of 47 airports in AFI region <sup>41</sup>
Assist to establish and conduct ANS peer review mechanism (Target: No. of Review Reports)	Assist to conduct ANS peer review mechanism (Target: 2 Peer Reviews among Member States)	The peer review mechanism established, pilot peer review conducted and the membership increased to 35 Pioneer Peer Review sessions were successfully conducted by ASECNA in

<sup>38</sup> Establishment of Basic Aircraft Accident and Incident Investigation (AIG) Oversight Systems in AFI States project; ICAO AFI Plan

<sup>39</sup> Report On The Implementation Of The 2020/21 AFI Plan Work Programme And Projects; *Twenty-Fourth AFI Plan Steering Committee Meeting Virtual Meeting, 15 July 2021*; AFI Plan-SC/24/2021-DP/01

<sup>40</sup> Twentieth AFI Plan Steering Committee Meeting (*Montreal, Canada, 07 December 2017*); Agenda Item 1: - Review of The Progress Report On The Implementation of The AFI Plan Since The Nineteenth Meeting of The Steering Committee And Status Of Implementation of The 2017 Work Programme; AFI Plan-Sc/20/2017-Dp/01 20/11/2017

<sup>41</sup> Comprehensive Regional Implementation Plan For Aviation Safety In Africa (AFI Plan) - *Twenty-Third AFI Plan Steering Committee Meeting Virtual Meeting, 29 July 2020* (AFI Plan-SC/23/2020-DP/01 29/07/2020)

		Madagascar, Botswana, Eswatini, Ghana, and Nigeria <sup>42</sup>
Conduct at least annual aviation safety conference in the region	Conduct annual aviation safety conference in the region (Target: 1 Safety Conference per year)	AFI Aviation Week Conducted
Publish and disseminate safety Report (Target: 1 Report per year)	Publish and disseminate safety Report (Target: 1 Report per year)	RASG-AFI Annual Safety Report launch during AFI Aviation Week events in May 2022, and published

107. An important activity conducted to achieve this objective has been support to the ANSPs Peer Review Programme that was launched by the ICAO Council President in 2015 with the objective to establish a regional framework of cooperation and peer review mechanism to improve air navigation operational performance in Africa. In follow up, an AFI ANSPs Coordination Meeting chaired by ICAO Council President was held in 2016 in Montreal to formulate recommendations concerning the way forward. A follow up meeting on these recommendations was held in May 2017 to develop and endorse a Programme Reference Manual as well as a Cooperation Framework and a Roadmap for 2017-2018 to govern the implementation of the African ANSP Peer Review Programme.

108. As part of the Cooperation Framework and Roadmap 2017-18, ASECNA<sup>43</sup> and Civil Air Navigation Services Organisation (CANSO) signed a Memorandum of Cooperation (MoC) for the improvement of air navigation services on the African Continent, thereby bringing the membership of the ANSP Peer Review Programme from 18 to 35 African States' ANSPs. Furthermore, the guidance material developed by ICAO has been used in the region for coordination of implementation of ANSP peer review activities. For instance, in 2019 pilot reviews were conducted using the harmonized guidance developed under the AFI Plan Project, whereas, in 2022 pioneer Peer Review sessions were conducted by ASECNA, ATNS, GCAA, NAMA and the Roberts FIR. Furthermore, revised AFI safety/ANS targets were reportedly also incorporated into the ICAO Plans of Action and support to States for the implementation of these targets has been provided through ROST and AFI CIS, whereas the AFI Plan also coordinates with AFCAC for the monitoring of the revised Abuja Safety Targets.

109. Another approach to facilitate information exchange among regulators and service providers and partners has been a meeting organized by AFI Plan to coordinate annual implementation plans in the region, as elaborated in the section on Coordination. The meeting has been attended by entities such as ICAO ROs, RSOOs, RECs, and AFCAC, etc. Furthermore, updates on the project have been occasionally provided to the annual review meetings of the African ANSPs.

#### Objective 4 - Assisting States in improving the aviation infrastructure planning

**Finding 18:** An aviation infrastructure Gap Analysis has been conducted for Africa. However, the recommendations have not been implemented yet.

110. Thus far, major activities undertaken by the Secretariat for improvement in aviation infrastructure planning have been support to the 'Aviation Infrastructure for Africa Gap Analysis' study and dissemination of results. The Gap Analysis exercise covering Airports, Air Navigation Services, and

<sup>42</sup> Comprehensive Regional Implementation Plan For Aviation Safety In Africa (AFI Plan) - *Twenty-Fifth AFI Plan Steering Committee Meeting (Abuja, Nigeria, 17 And 18 May 2022)*; AFI Plan-SC/25/2022-DP/01

<sup>43</sup> Agency for Air Navigation Safety in Africa and Madagascar

Aircraft fleet capacity and equipage was conducted in Member States. Key dissemination activities have included presentation of the study results in a workshop held in Abuja, Nigeria from 19 to 21 March 2019, and discussion on the implementations of the various recommendations of the Infrastructure Gap Analysis during the joint Multidisciplinary meeting between AU-ICAO scheduled in fourth quarter of 2021.

Table 6: AFI Plan Progress Towards Targets (2017-2022): Key Objective 4: Assist States in aviation infrastructure Planning

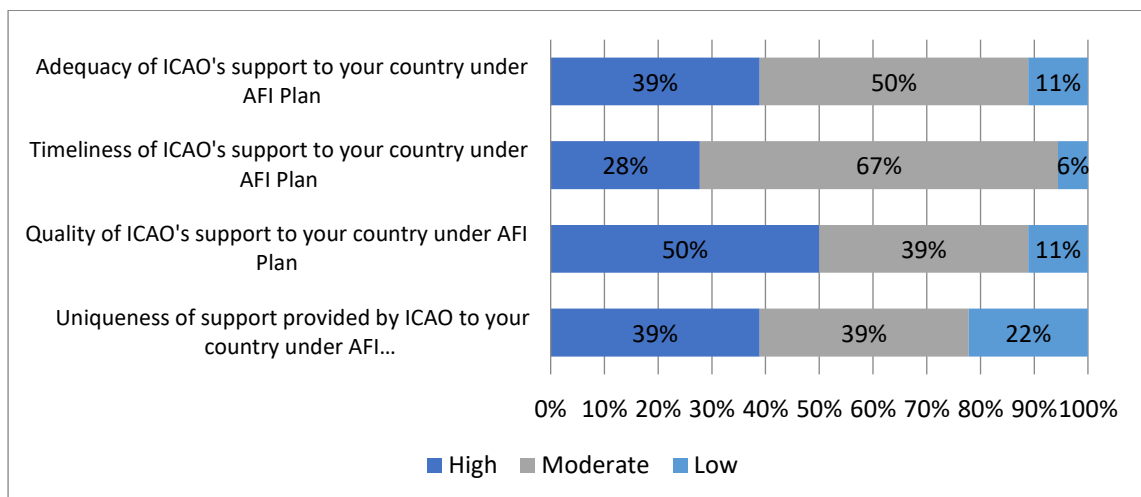
Initiative (2017-2020)	Initiative (2021-2024)	Progress
	Assist States in aviation infrastructure Planning (Target: Organize 3 workshops/seminars)	Aviation Infrastructure for Africa Gap Analysis conducted Study results presented <sup>44</sup>
	Develop a tool and indicators that shows the overall level of progress of States (Target: Tools and indicators developed and available to States)	

111. In summary, the Evaluation determined that the AFI Plan has made some progress towards each target established in the AFI Plan Programme document. Of these, activities pertaining to FSO, aerodrome certification, and ANS Peer Review have either achieved or surpassed the targets set until 2022. However, the objectives of these initiatives have still not been fully met. For instance, while the FSO project has surpassed the number of planned States, their EI continues to remain well below the target. Furthermore, RSOO support, AIG, SSP implementation, SAR (in WACAF), capacity building, and infrastructure planning activities have been behind on achieving progress targets and intended objectives. To accomplish the remaining targets and objectives, new project documents for Aerodrome certification, Search and Rescue (SAR) coordination, State Safety Programme (SSP) establishment, Air Navigation Service Provider (ANSP) peer reviews, the Fundamentals of Safety Oversight (FSO) and Aeronautical Information Management (AIM) have been designed and approved by the 25<sup>th</sup> AFI Plan SC in 2022<sup>45</sup>.
112. The Member States survey also revealed that only 50% respondent States reported that ICAO's support under AFI Plan was of high quality, 39% found the support to be adequate, and 28% found the support to be timely.

<sup>44</sup> Comprehensive Regional Implementation Plan For Aviation Safety In Africa (AFI Plan) - *Twenty-Fourth AFI Plan Steering Committee Meeting Virtual Meeting, 15 July 2021* ( AFI Plan-SC/24/2021-DP/01)

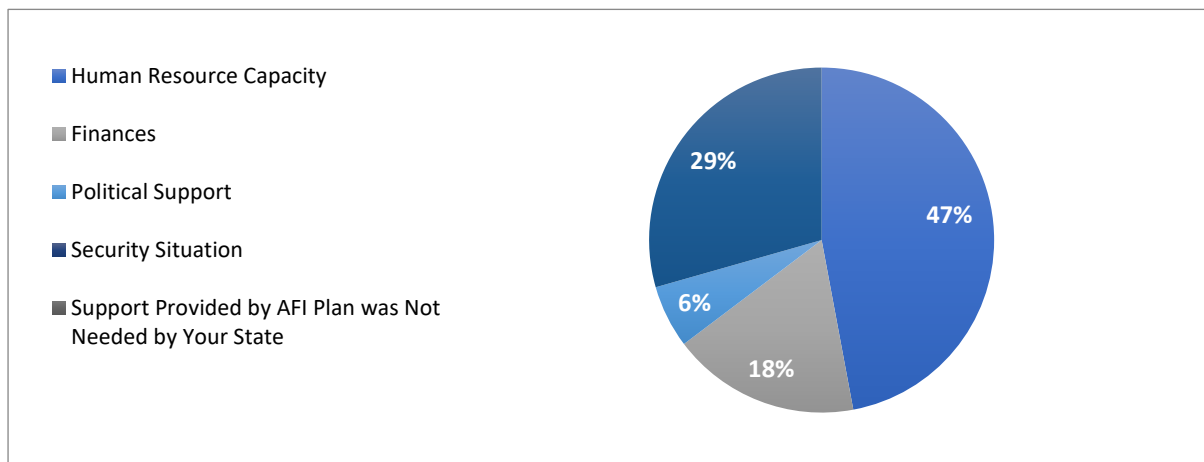
<sup>45</sup> AFI Plan-SC/25/2022-DP/01

Figure 7: ICAO's Support to Member States



113. Interviews with Member States also revealed that most of them faced common hurdles to utilize AFI Plan support since 2016, in particular regarding: human resource capacity, finance, political support, and security situation. In addition, inadequate Member State participation in planning and prescriptive support that has been confined to audit PQ reviews also account for limited effectiveness. Figure 8 provides major challenges faced by Member States to utilize AFI Plan support.

Figure 8: Major challenges for Member States in utilizing support available through the AFI Plan



### Implementation of Recommendations of Previous Evaluation

**Finding 19:** The recommendations of the previous evaluation, conducted in 2015, have not been fully implemented. Of the 11 recommendations, only three were fully implemented and five have not been implemented, whereas there has been partial progress on the remaining.

114. The last evaluation of the AFI Plan was conducted in 2015 by the Evaluation and Internal Audit Office of ICAO. However, most of the recommendations were not adequately implemented (Table 7).

Table 7: Action Taken on Recommendations of Previous Evaluation

S. No.	Recommendation of Previous Evaluations	Actions Taken	Recommendations Implemented		
			Fully	Partially	No
1.	AFI Plan activities continue in order to build on the results that were achieved so far and to ensure they are sustained.	AFI Plan Extended (2017-2020 and 2021-2024)			
2.	The planning document should be updated to reflect the progress, milestones and lessons learned, as well as the key policy and operational changes that occurred since its inception.	The revised plan consider the change in the training policy. Though not largely realistic, it set targets and milestones. It hasn't adequately used monitoring data for improvement.			
3.	ICAO continues to find additional ways to encourage State engagement and commitment to improve their levels of aviation safety oversight.	Project Documents developed since 2016. However, RSOOs were not adequately used as planned.			
4.	ICAO develops guidelines for effective practices to attract and retain personnel in CAAs, in particular those that have recently received training.	A gap analysis and forecast study on the needs of aviation sector professionals in Africa is currently being undertaken			
5.	The evaluation recommends that the ROST Terms of Reference should be revised.	ROST Terms of Reference Revised			
6.	Periodic evaluations of ROST assistance missions be conducted.	No evaluation of ROST Assistance Missions			
7.	Steering Committee reports regularly include consolidated financial information in relation to the results and performance are reported.	Steering Committee reports do not include financial information in relation to the results and performance			
8.	Co-ordination with new and existing implementing and resource partners be more proactive.	Co-ordination with new and existing implementing and resource partners is more proactive and			

		annual coordination meetings being conducted			
9.	Expand on the potential uses of the HRDF to enhance its capacity-development potential.	Utilization of HRDF is low by Member States			
10.	Improvements in the ICAO training policy, delivery, evaluation, and monitoring in relation to the training delivered under the AFI Plan.	Limited opportunities for training available under AFI Plan			
11.	Train-the-trainer programmes, on-the-job training, and training in the additional technical areas in which the AFI Plan activities have been expanded (e.g., air navigation services).	Limited opportunities for training available under AFI Plan			

## Efficiency

115. The AFI Plan's Efficiency was assessed based on the adequacy of the management, governance, and monitoring, and coordination arrangements, as well as allocation and use of resources, including human resources, expertise, funds, and timeliness of interventions.

### Governance and Implementation Arrangements

Finding 20: AFI Members States that have no delegation in ICAO HQ have not been adequately represented in the Steering Committee (SC). On the other hand, the attendance of a wide range of stakeholders in the SC meetings also make it challenging to undertake in-depth dialogue and proper follow-up and guidance.

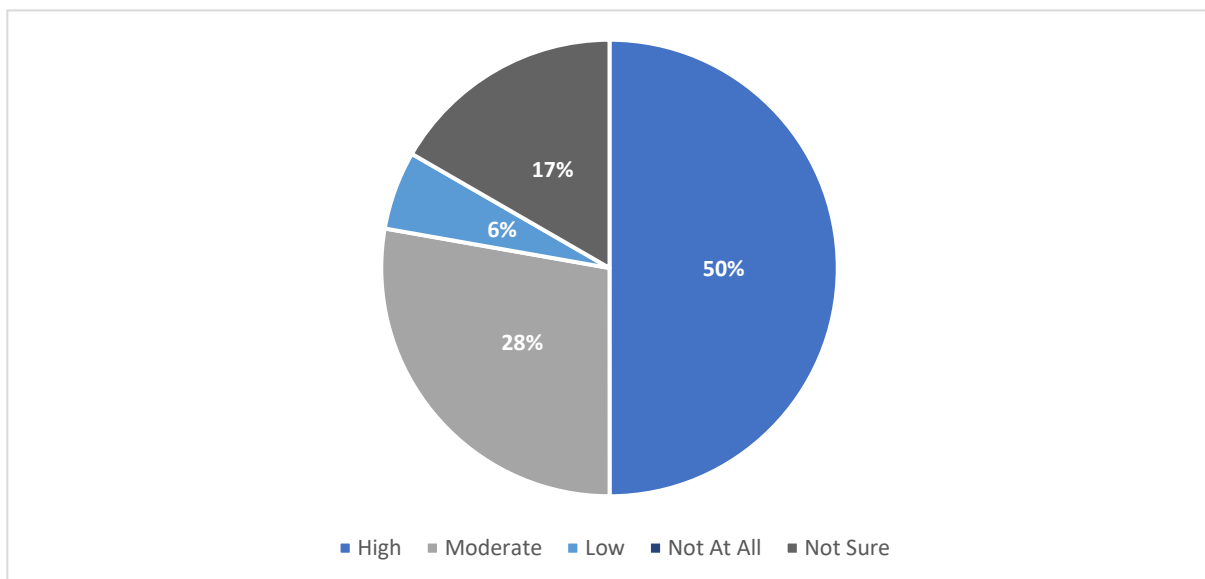
116. Although, the AFI Plan activities have been integrated into the regular work programme of the ICAO Regional Offices since 2010, the AFI Plan continues to function as a specific Africa-wide ICAO project with its own Steering Committee. The AFI Plan SC is responsible for overseeing implementation and providing advice and guidance to the Secretary General (SG) on implementation of AFI Plan activities. The Secretary General delegates the role of AFI Plan implementation to the Senior Regional Director of the two RDs WACAF and ESAF as the 'manager of the Plan and the account holder'. The assigned RD is responsible for the overall supervision of the Plan and also serves as the Secretary of the AFI Steering Committee. The SC meets twice a year, once in Montreal and once in Africa.

117. In accordance with approved Steering Committee TORs, Members are appointed by the SG, the total membership being capped at 25 Members. SC Members are drawn from States, the ICAO Council, African Members of the Air Navigation Commission (ANC), international organizations, the donor community, and other stakeholders. Specifically, all African States represented on ICAO Council may nominate a Member to the SC, while AFI States with representation in Montreal may also assign a representative to the SC. In 2022, 17 States were represented on the AFI Plan SC, including 11 States from AFI region. A comprehensive list of the SC members is provided in the

AFI Plan SC TORs<sup>46</sup>. The Chairperson of the SC is elected by the Committee Members, who in turn reports on the activities and progress of the AFI Plan implementation to the Council.

118. The Evaluation noted that although the AFI region is managed by four ROs, namely WACAF, ESAF, MID, and EUR/NAT, only the RDs of WACAF and ESAF are represented on the SC, thereby excluding the other two RDs representing six countries in the region from important decision making. Member States who do not have delegation in ICAO are not included from SC membership. Similarly, critical stakeholders who were closest to the issues in the field, such as AFCAC and the Directors - General of CAAs, were not represented on the SC and only have observer status. The evaluation survey also revealed that only 42% respondent Member States are Highly Satisfied and 17% were Moderately Satisfied with the Governance Structure of the AFI Plan.

Figure 9: Member State Satisfaction with Governance mechanism of AFI



119. Although the number of appointed SC members is 25, since the ToRs allow for invitations to external stakeholders, the actual number of those in attendance can reach 50 or more in Montreal and as many as 300 when the SC meeting was held in Africa. For instance, the 22<sup>nd</sup> SC meeting held immediately before the COVID-19 was attended by 298 participants from States, regional and international organizations, and industry representatives, etc.

120. Interviews with stakeholders revealed that the meeting of such a large group makes it rather ineffective for the SC to undertake an in-depth discussion and decision making, thereby compromising the SC mandate outlined in the TORs. These challenges have been further exacerbated by the fact that the SC meeting duration of two days has been reduced to half-day in the recent AFI weeks.

121. The AFI Plan Programme Document was approved without adequate budgetary information to guide the extent of support available under the Plan. Consequently, evaluation interviews and review of SC meeting minutes suggest that the SC meetings were often a simple endorsement to plans presented by the Secretariat without adequate discussion.

122. The SC TORs recommended an annual review of the SC Terms of Reference. However, these TORs have not been reviewed since the establishment of the AFI Plan SC in 2008, rendering the current

<sup>46</sup> AFI Plan Steering Committee, Terms of Reference; AFI Plan-SC/2011/7-DP/01 Attachment D 15/03/2011

document outdated. For example, while the SC TORs identify the RD of ESAF who is also the Secretary of the AFI SECFAL Plan to be the AFI Plan Secretary, in fact the RD of WACAF holds that position at present. Nevertheless, evaluation interviews revealed that the Steering Committee is currently reviewing its TORs in the interest of improved performance.

Finding 21: The management structure of the AFI Plan lacks a formal coordination and accountability mechanism between AFI Plan Secretariat and ROs in implementing the AFI Plan. The Associate Regional Programme Officer (ARPO) of the AFI Plan based in ESAF Office should also report directly to the Secretary of the AFI Plan.

123. In accordance with the AFI Plan Programme Document, Regional Director WACAF is Secretary of the AFI Plan and is supported by the WACAF and ESAF ROs in planning, implementation, and monitoring of AFI Plan activities. In addition, the Secretary is assisted by the Associate Regional Programme Officer.

124. However, despite being responsible for six Member States in the AFI region, the MID and EUR/NAT ROs do not have any active involvement in the AFI Plan management. Furthermore, the evaluation team found that the management arrangements of the AFI Plan have not been well documented and were unclear. While the AFI Plan Programme Document states that the SG is responsible for the overall management and execution of the AFI Plan and the ICAO Regional Directors accredited to African States are responsible for their part of the Plan, the evaluation determined that there is no elaboration on the respective roles and responsibilities of these individuals or the coordination mechanism of the respective ROs with the AFI Plan Secretariat.

125. Furthermore, the AFI Programme Officer (APO) is a P-2 level post and responsible for planning and following up of the implementation of AFI Plan-related activities, requiring significant collaboration with RO Technical Experts who are above this grade level, which could result in a coordination challenges for the APO. In addition, the APO, who is based in ESAF, does not report directly to the Secretary of the AFI Plan and is also assigned duties outside of his job description from time to time. Similarly, since the Team Leader of ROST is a Deputy Regional Director (DRD), the ROST Team Lead in ESAF does not report directly to the current AFI Plan Secretary who is the budget holder of the AFI Plan.

#### Monitoring

Finding 22: As the AFI Plan lacks a results-based monitoring and reporting system, it has been difficult to clearly identify the contribution of the AFI Plan to the progress made by an assisted Member State.

126. In accordance with the Monitoring and Evaluation framework, the AFI Plan Secretariat presents periodic progress reports to the Steering Committee, the Council, ICAO Assembly, DGCA-AFI, RASG-AFI, and APIRG, as detailed in Table 8.



Table 8: Reporting Plan of AFI Plan<sup>47</sup>

Report	Prepared By	Individual or group reported to	Frequency
Report on the Implementation Status of AFI Plan	RD/Secretary of AFI Plan	Steering Committee, ANC and Council	Twice a year — one Virtual
AFI Plan Progress Report to the Council	RD/Secretary of AFI Plan	Chairperson of the Steering Committee	Every six months
Report to the ICAO Assembly	RD/Secretary of AFI Plan	Steering Committee, Council and Assembly	3 Years (2022)
Report to DGCA-AFI	RD/Secretary of AFI Plan	DGCA-AFI	2 Years
Report for APIRG and RASG-AFI	RD/Secretary of AFI Plan	RASG-AFI and APIRG	once annually

127. However, as seen in the table above, there have been some redundancies in the reporting plan provided in the AFI Plan Programme Document. In particular, while a progress report is to be submitted to the SC twice a year, the Chairperson of the SC is also to be provided a report every six months.

128. A further review of the reporting process revealed the absence of a results-based monitoring and reporting system, based on output and outcome level indicators. In addition, due to the lack of a central monitoring and reporting system to record progress information, each reporting cycle, the Associate Programme Officer has to gather information from various sources involved in the AFI Plan implementation and monitoring. Hence, data has been collected from individual ROST experts and AFCAC, as well as from sources such as ROST reports, and collated for presentation to the two RDs (ESAF and WACAF). This approach not only introduced inefficiencies in the data collection process but was also likely to lead to non-uniformity of reporting and errors, as information recorded and shared has been based on individual discretion instead of agreed/standardized formats. Similarly, audit or ICVM results used to monitor progress is often outdated.

129. Some past efforts by the AFI Plan Secretariat to introduce a central reporting system have been met with limited success due to lack of buy in from RO experts and limited functionality, etc. For instance, a current attempt by WACAF RO to create a Safety Oversight tracking tool developed in house in MS Excel is available only to WACAF experts and needs to be further refined to allow real-time data entry and analysis.

130. In addition, the AFI Plan progress reports (Implementation Status Reports) presented to SC do not provide any assessment of the challenges and risks faced during implementation or associated mitigation measures. Similarly, while AFI Plan AWP's have been accompanied by associated budgets since 2018, the Implementation Status Reports do not present expenditure against allocated budget, thereby limiting information and accountability.

<sup>47</sup> Comprehensive Regional Implementation Plan for Aviation; Safety In Africa (AFI Plan); 2021-2024.

131. The other reports generated for the AFI Plan were ROST mission reports. These reports, developed by ROST mission members, were two types: a) executive summary to be submitted to the ICAO HQ; and b) detailed report to be sent to the State. However, the evaluation team observed that the detailed reports were not being consistently developed and shared with Member States. Some reasons provided by interviewed participants for this inconsistency were: a) Limited staff, b) States might ask for postponement of audit missions based on deficiencies pointed out in the mission report; and c) Executive summaries have become extensive and detailed over time, thereby undermining the need for detailed reports. Furthermore, in the absence of a centralized database/repository accessible to all staff, ROST reports are submitted by ROST team leaders to the concerned RD and available to other AFI Plan staff, including the Associate Regional Programme Officer, only upon request.

“Reporting is activity based and not against targets. Therefore, issues such as adherence to timelines and lack of progress on established targets is not reflected in the final reporting.”

(Regional Office Staff)

132. Although ROST missions and capacity building have been the major methods to implement AFI Plan, in the absence of a results-based Monitoring and Evaluation Plan, the progress made by an assisted State cannot be directly traced back to these activities. Instead, ICAO Online Framework (OLF) and audit data has been used by AFI Plan to assess overall progress. However, as the OLF data is voluntarily provided by States and is subject to State discretion and capacity, the data available through this source is not always complete.

#### Coordination

Finding 23: The AFI Plan Secretariat’s effort in coordinating with regional partners through annual coordination meeting was appreciated and collaboration and coordination between the two Regional Offices (ESAF and WACAF) was also efficient. Member States have expressed the need for more communication and country-specific planning.

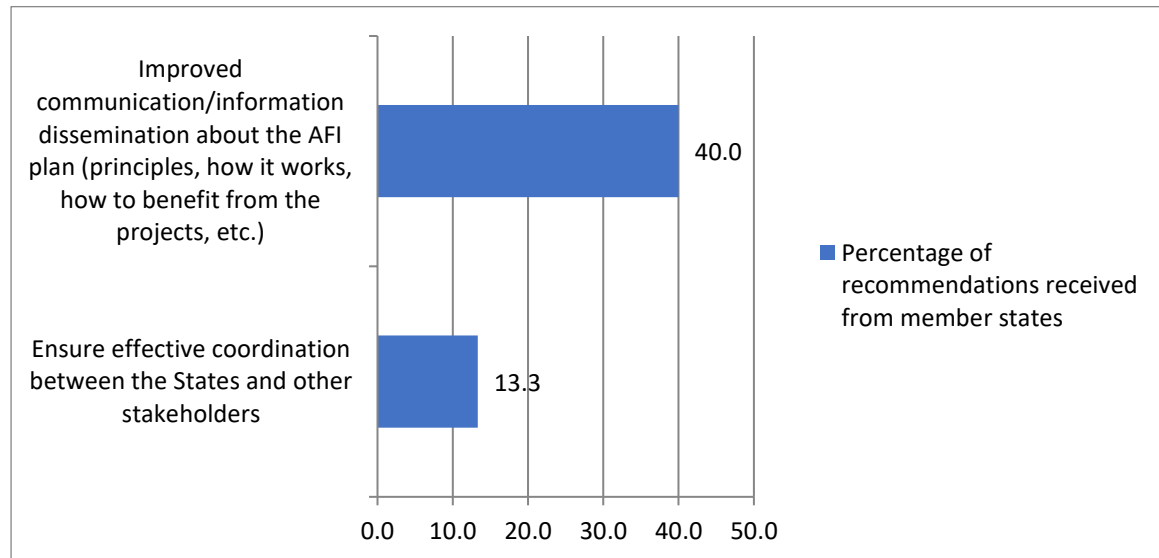
133. Coordination of stakeholders for improved aviation safety in Africa is a key function of the AFI Plan Secretariat, incorporated both into its long-term goals as well as expected results. This includes a wide range of internal and external stakeholders, including the ICAO HQ; the AFI Plan Steering Committee; ICAO ROs in Africa; RSOOs; Training organizations (e.g. AATO and GAT); other ICAO Programmes (AFI SEFCAL and HRDF); regional programmes (e.g. AFCAC); industry organizations; and 54 Member States, etc. Inconsistent with ICAO Policy and Framework for Cooperation with Regional Organizations and regional civil aviation bodies, the main objective of this coordination is improved planning to avoid duplication of effort by parallel development initiatives, improve program implementation efficiency, and promote aviation safety improvement in the continent.

134. A key approach to partner coordination has been the organization of an annual coordination meeting at the start of each year by the Secretariat. The meeting has been attended by key stakeholders, such as AFCAC, RSOOs, RECs, and ESAF and WACAF Regional Offices. During the meeting, all partners presented their annual work plans to ensure that overlaps were avoided. Interviews with stakeholders revealed that this exercise was found useful and has progressively led to more efficient planning. However, the evaluation team observed that a major omission has been the absence of MID and EUR/NAT ROs in the annual coordination meetings. Further, although Member States have been the primary recipients of these programs, there was no representation from the States in these meetings.

135. Alternatively, States were represented at the DGCA meeting held every two years. DGCA also participate in AFI Plan Steering Committee meeting held back to back with their biennial meeting

during annual AFI Aviation Week events, which include Aviation Safety Symposiums. During these meetings, the WACAF and ESAF ROs present the AFI Plan progress to States and key stakeholders. However, while at the DGCA meeting there is some opportunity for States to provide planning input, the agenda at the AFI Safety Symposium is led by multiple agencies supporting aviation safety, and States do not have much say. Furthermore, as this venue has been used for information sharing, only broad outlines of plans have been shared; whereas interviewed States expressed the need for communication on country-specific planning through focused means, such as State Letters.

Figure 10: Key Recommendations Provided by Surveyed Member States for Improved Coordination



136. In addition, the Evaluation ascertained that the AFI Plan Secretariat based in WACAF RO also actively coordinates the programme's activities with ESAF RO. This coordination takes the form of day to day coordination between the two RDs and DRDs, joint annual planning, and at times participation of ROST mission experts from WACAF to support Francophone countries in ESAF, etc. Furthermore, coordination with the SC has been in the form of presenting annual work plan and progress report for overview and following up on the instructions of the SC. Although, the coordination between the two ROs has been smooth, there is inadequate clarity in the AFI Plan management structure.

137. On the other hand, it was not clear how the AFI Plan coordinates with the ICAO's Technical Cooperation Bureau (TCB), as both are mandated to provide technical assistance to Member States. The new Implementation Support Policy is expected to address such coordination issues.

#### Finance

**Finding 24:** Between 2016 and 2022, the AFI Plan utilized only 53% of the total average annual budget of USD 2.66 Million. In addition, important stakeholders of the AFI Plan such as RO staff and Steering Committee members do not have adequate information about the availability of AFI Plan Fund resources, which has serious consequences for planning. There was a sharp decline in AFI Plan resources mobilized through the Voluntary Fund since 2019.

138. The AFI plan is funded by the ICAO regular budget and Voluntary AFI Plan Fund (3204). Table 9 provides an overview of the budget and utilization. As shown in the Table, the AFI Plan has received a total average budget of USD 2.66 million since 2016 and spent only 53%. Of this, the average Regular Budget contribution has been USD 1.47 million per year of which an average 77% is spent; whereas, only 26% of the average voluntary contributions of USD 1.19 million has been

utilized. However, the utilization of the budget and resource mobilization for AFI are partly affected by COVID-19 pandemic which took about two and half years.

Table 9: Detailed Budget AFI Plan (2016-2022)

YEAR	VOLUNTARY BUDGET (USD)			REGULAR (USD)			TOTAL (USD)		
	Available Fund	Expenditure	% expenditure	Allocated Budget	Expenditure	% Expenditure	Available fund	Expenditure	% Expenditure
2016	1,653,011	38,000	2.3%	1,662,906	1,229,841	74%	3,315,917	1,267,841	38%
2017	1,896,338	463,000	24.4%	1,230,907	1,175,901	96%	3,127,245	1,638,901	52%
2018	1,622,546	543,000	33.5%	1,141,608	1,052,087	92%	2,764,154	1,595,087	58%
2019	1,165,531	451,000	38.7%	1,282,919	1,105,810	86%	2,448,450	1,556,810	64%
2020	720,513	100,000	13.9%	1,128,614	1,035,746	92%	1,849,127	1,135,746	61%
2021	687,513	103,000	15.0%	2,274,371	1,106,003	49%	2,961,884	1,209,003	41%
2022 <sup>48</sup>	584,001	-		1,589,002		-	2,173,003	-	-
Average <sup>49</sup>	1,189,922	283,000	26.0%	1,472,904	1,117,565	77%	2,662,826	1,400,565	53%

Source: Compiled from the data provided by FIN

<sup>48</sup> Available fund as of July 2022

<sup>49</sup> Percentage expenditure data does not include 2022 expenditures due to unavailability of data

139. In the absence of active resource mobilization, a sharp decline was observed in the annual voluntary contribution since 2020, with average annual contributions of USD 639,334, which is less than half of the previous annual average. Conversely, the ICAO budget has increased during this period.
140. While the Regular Budget is used for overheads and logistics, such as staff salaries, the Voluntary Fund is spent towards activities like ROST missions and workshops, etc. In addition, AFI Plan budget has been occasionally used to support other ICAO initiatives such as complementing the SAFE Fund.
141. In view of the high demand for AFI Plan support, the Evaluation team found the limited fund utilization significantly concerning. This is barring the 49% utilization in 2021 due to COVID-19 slowing down implementation. In fact, most interviewed ROST members reported concerns of budget constraints and were unaware of the unused AFI voluntary fund. The AFI Plan Programme Documents (2017-2020 and 2021-2024)<sup>50</sup> were developed largely in isolation from any budgetary planning and resource allocation to the AFI Plan annual work plans has also been based on assumptions instead of actual available budget. Also, key management staff reported not being aware if the budget is equally divided between the two ROs and also which portion of the budget was sourced from the Regular Budget vs. Voluntary Funds. Moreover, relevant management staff were not clear if unspent budget can be carried over to next fiscal year.

---

<sup>50</sup> Comprehensive Regional Implementation Plan for Aviation Safety In Africa (AFI Plan) – Updated (2017); and Comprehensive Regional Implementation Plan For Aviation Safety In Africa (AFI Plan) – Updated (2021)

## Sustainability

142. The AFI Plan's Sustainability was assessed by exploring whether the AFI Plan has an appropriate phase out strategy, the achievement of long-term results so far, and the AFI Plan's contribution towards individual, national, and institutional capacities.

Finding 25: Sustainability has been integrated into the AFI Plan Programme Document through planned support to capacity building. However, the AFI Plan lacks a phase out strategy and has been designed with the implicit expectation of perpetual extension.

143. Major aspects of sustainability factored into the AFI Plan Programme Document include: institutional capacity building, technical assistance, and training. However, the AFI Plan lacks an overall phase out strategy and thus far seems to have been designed in three-year cycles, with the implicit intent of extension.

144. With respect to institutional capacity building, major activities have been: collaboration with AFCAC on the AFI CIS, collaboration with training organizations such as AATO, and support to RSOOs. The strengthening of these institutions is expected to result in availability of support to aviation safety in the AFI region over the long run.

145. In this regard, the AFI CIS has been provided relatively more focused support, resulting in the training of 71 inspectors where there was limited progress in building the capacities of RSOOs. This could result with weak RSOOs to provide meaningful support to Member States in the region. Similarly, where there has been some management support to training organizations by AFI Plan, e.g., AATO, the limited referrals to these organizations represents a lost chance of sustainably building technical capacities within Member States.

146. While SSCs have gradually declined from four in 2016 to only one in 2022, the risk of Member States reporting new SSCs remains, as evidenced from the surfacing of an SSC in Côte d'Ivoire in 2020. Similarly, despite steady gains in EI in some countries, 23 Member States (43%) have seen a reduction in EI, thereby affecting sustainability of AFI Plan interventions.

147. It was also observed that at the Member State-level, States to which a mix of assistance is provided, including training, technical assistance, and referrals, etc., are likely to sustain the results of the assistance provided. For instance, the technical guidance, capacity building, and linkage development under the Aerodrome Certification project has enabled several States to undertake the certification of additional aerodromes on their own.

148. Sustainability of results by Member States depend on the commitment of the respective State by allocating adequate human and financial resources as well as political and legislative support for civil aviation in the country. States with strong commitment are likely to sustain results of the AFI Plan support. Hence, the participation of States in planning and monitoring of the AFI Plan and alignment of AFI support with their priority and aviation plan (e.g. Civil Aviation Master Plan) is particularly important to improve Member States commitment in achieving sustained results.

149. In summary, institutional capacity building, buy in from assisted Member States, combining guidance with capacity building and linkage development, and the availability of financial and technical resources would be key to ensuring sustainability of the AFI Plan support to Member States.

## CONCLUSIONS, LESSONS LEARNED, AND RECOMMENDATIONS

---

### Conclusions

150. Conclusion 1: Despite improvements in Aviation Safety since 2008, the AFI Plan remains relevant as the average EI in the AFI region is significantly lower than the world average, and many States require technical assistance for improvement. Furthermore, while EIs have increased in some States, 43% States have also seen minimal to drastic reduction in their EIs since 2016. Similarly, SSCs having almost disappeared, occasionally resurface, thereby necessitating the need for ongoing assistance. (Linked to Findings 6, 8, 9, 10, 13, 14, 15, 16, 17 and 18)
151. Conclusion 2: The AFI Plan document development process does not include consultations with States and has therefore not always been aligned with the aviation safety priorities of individual Member States. Instead, activities and targets are selected based on USOAP audit results, OLF, etc. The limited engagement of Member States in planning as well as exclusive focus on audit PQs also limit the utility of technical assistance provided by the AFI Plan. (Linked to Findings 3,4, 6, 9, 22 and 23)
152. Conclusion 3: The AFI Plan Programme Document is aligned with major global and regional priorities, such as GASP and ASTs. In addition, since the development of stand-alone projects under the AFI Plan starting in 2016-2017, the geographic targeting has somewhat improved, as projects focus on a sub-group of States. However, the Programme Document lacks key elements necessary for effective planning and implementation, such as: detailed situation assessment, costed implementation plan, stakeholder roles, and an exit strategy. (Linked to Findings 1, 2, 3 6, 8, 9 and 10)
153. Conclusion 4: The AFI Plan Programme Document targets were found to be unrealistically ambitious and determined without properly analyzing and presenting the required human and financial resources. In addition, due to inadequate result-based monitoring system and lack of proper guidelines for ROST missions, it is difficult to assess the contribution of the AFI Plan to the achievements made by Member States. (Linked to Findings 1, 2, 3 4, 19, 21 and 22)
154. Conclusion 5: The wide membership of the SC prevents it from making adequate planning and implementation decisions. While African Member States who have delegation in Montreal are represented in the SC, this precludes AFI State that does not have a representative at ICAO in Montreal. Furthermore, the involvement of the ANB and the EUR/NAT and MID regions in the AFI Plan has been limited; whereas, key implementation partners/stakeholders such as AFCAC only have observer status in the SC. (Linked to Findings 3 and 20)
155. Conclusion 6: Though the initial implementation targets for 2017-2020 fell short of reaching intended objectives, programme targets set for the 2021-2024 plan are progressing relatively better for a number of initiatives and projects. Nevertheless, while the focus of activities has been on assistance to States, support to RSOOs, though planned in the AFI Plan, has been nominal. Programme components contributing to sustainability, such as institutional capacity building and training have received limited support under AFI Plan. (Linked to Findings 10,11,12,13,14, 15, 16, 17, 18 and 25)
156. Conclusion 7: Counterpart organizations appreciate AFI Plan's role in coordinating activities in the AFI region. In addition, there has been active collaboration between the AFI Plan Secretariat and ESAF/WACAF ROs. However, a formal coordination mechanism between AFI Plan Secretariat and ROs was lacking. Similarly, Member States feel the need for improved coordination and strategic engagement by the Secretariat. (Linked to Findings 21, 23 and 24)



157. Conclusion 8: The effectiveness and efficiency of the AFI Plan is affected by shortage of financial resources (in relation to the demand for support) and inadequate use of existing resources. In addition, Resources mobilized using the Voluntary AFI Plan Fund have sharply declined since 2019. Concerned Regional Office staff has inadequate information about available financial resources for the AFI Plan. This has affected proper planning of activities of the AFI annual plan. (Linked to Finding 10 and 24)

### Lessons Learned

1. There is significant potential for the AFI Plan to improve aviation safety in Africa through improved partnerships and collaboration with a variety of stakeholders, including AFCAC, RSOOs, and AATO, etc. To leverage this potential, it would be critical for the AFI Plan to improve the capacity of these organizations and develop joint programs with them.
2. Member States prioritize aviation safety based on political will and available resources. Therefore, it would be critical to consult Member States when planning AFI Plan activities.
3. AFI Plan has contributed to the aviation safety in Africa. However, the lack of strategic planning based on RBM does not allow tracing these results back to interventions by the AFI Plan.

### Recommendations

In light of the evaluation findings, the following recommendations are presented for improved implementation of the AFI Plan:

Recommendation 1: The AFI Plan Secretariat should revamp its planning processes by preparing a costed programme document with clear Theory of Change (TOC), implementation strategies, implementation plan and phase-out strategies. The Programme Document should be developed in consultation with key stakeholders, including Member States, the four ROs and other relevant stakeholders. (Linked to all Conclusions and Findings)

Priority	Time Implication	Resource Implication
High	30 June 2024	Low

### Closing Criteria

- Costed AFI Plan Programme Document with clear Theory of Change (TOC), implementation strategies, implementation plan and phase out strategies adopted by the AFI Plan Steering Committee.

Recommendation 2: The AFI Plan Secretariat should improve its result based monitoring and reporting system in order to monitor its progress and establish the contribution of AFI Plan to progress made by Member States. In this regard, it should:

- Prepare a monitoring and evaluation plan
- Develop and use a database to follow progress of key outcome and output indicators as well as key activities
- Finalize ROST guidelines with the necessary templates linked to the monitoring and reporting plan and database

(Linked to Conclusions 2, 3 and 4; and Findings 4, 19, 21, 22, 23 and 24)

Priority	Time Implication	Resource Implication
High	31 Dec 2023	Medium

#### Closing Criteria

- A functional AFI Plan monitoring and evaluation plan and database developed, and staff trained in implementation of the framework; and
- ROST guidelines

Recommendation 3: The ICAO Secretariat should strengthen the Steering Committee to improve its guidance, follow-up and support to the AFI Plan in consultation with relevant Member States. This could include but not limited to improving the Terms of Reference of the SC, limiting membership size to support effective discussion, and guidance, and involving DGCA's and other key stakeholders. (Linked to Conclusion 5, and Findings 3 and 20).

Priority	Time Implication	Resource Implication
Medium	31 December 2023	Low

#### Closing Criteria

- Improved TORs of the AFI Plan Steering Committee.

Recommendation 4: The Secretariat should improve the AFI Plan management structure. This could include but not limited to establishing a formal coordination mechanism between AFI Plan Secretariat and participating ROs in implementing the AFI Plan. The Associate Regional Programme Officer (APO) of the AFI Plan should also report directly to the Secretary of the AFI Plan. (Linked to Conclusion 7 and Findings 21, 22, 23 and 24).

Priority	Time Implication	Resource Implication
High	31 December 2023	Low

#### Closing Criteria

- Improved management structure of the AFI plan

Recommendation 5: The ICAO Secretariat, in collaboration with relevant stakeholders, should review the Human Resource Development Fund (HRDF) implementation modalities to align with the needs of Member States and ensure that it complement the AFI Plan human resource capacity building efforts. (Linked to Finding 8).

Priority	Time Implication	Resource Implication
Medium	31 December 2024	Low

#### Closing Criteria

- Revised implementation arrangement of HRDF

Recommendation 6: The ICAO Secretariat should review the existing process of managing the AFI Plan Fund and address the current low level usage. In addition, AFI Plan Secretariat should devise a mechanism to improve its resource mobilization effort by diversifying its donor base through advocacy and partnership with other States, the industry, Multilateral Development Banks, etc.

(Linked to Conclusion 8; and Findings 25).

Priority	Time Implication	Resource Implication
High	31 December 2024	Low

Closing Criteria

- Procedure that will improve the use of AFI Plan Funds
- Resource mobilization mechanism developed.

## Annex 1. Methodology

---

1. This section presents the approach and multi-stage methodology employed to undertake the evaluation of AFI Plan.
2. In undertaking the evaluation, the proposed methodology adopted a consultative and participatory approach and employed mixed methodologies, combining qualitative interviews and quantitative data analysis to capture information relating to its objectives. The methodology involved key stakeholders during the inception, data collection, and report review phases. The evaluation obtained information from both primary and secondary data sources and ensured a robust triangulation of findings using various content analysis techniques according to the study framework to validate information. The evaluation is utilization-focused by responding to the needs of key stakeholders, as identified in preliminary interviews during the inception phase.
3. The evaluation was carried out through a desk review, face to face and virtual interviews and field visits to the two Regional Offices and Member States in Dakar and Nairobi for consultations with WACAF and ESAF Regional Offices management and staff, the Senegalese and Kenyan Civil Aviation Authorities as well as other relevant stakeholders. Consultations with officials in participating Member States and with other stakeholders were done through Zoom or Teams.
4. The evaluation methodology comprised of three phases, namely Stage 1: inception, Stage 2: data collection and analysis, and Stage 3: report writing  
Stage 1: Inception Activities
5. The major activities during the inception phase included:
  - Consultations with key stakeholders;
  - Preliminary document review;
  - Development of Theory of Change;
  - Analysis of data availability;
  - Development of an Evaluation Matrix that lists indicators, data sources, and methods for data collection for each of the evaluation questions and
  - Development of data collection tools, in particular interview protocols and survey questionnaires for various stakeholder groups.
6. Consultation: During the inception phase, a meeting was held between the Evaluation Team and the AFI Plan Associate Regional Programme Officer. In addition, meetings were requested with SC Members from Cameroon, South Africa, Uganda, and Senegal. The meeting with the ICAO representative of Cameroon was conducted. The major purpose of these meetings was to consult on the expectations about key deliverables as well as other associated responsibilities of the Evaluation Team. The meetings also served as an opportunity to discuss management approach and coordination mechanisms, scope, and timeline of the evaluation.
7. Desk Review: As part of the Inception activities, the Evaluation Team carried out a detailed desk review of relevant documents, which informed the development of stakeholder analysis, overall evaluation methodology, data collection instruments, effective design of the evaluation and facilitate in understanding the design and scope of the Project. A list of key documents reviewed thus far includes:
  - AFI Plan (2008, 2017, 2021)
  - Final Evaluation Report: AFI Plan 2015
  - AFI Work Plan and Program Implementation Reports (2016, 2017, 2018, 2019, 2020, 2021, 2022)
  - AFI Plan Steering Committee Meeting Minutes/reports
  - Rules of Procedure for the African Group at ICAO (AFI Group)
  - AFI Plan Guidelines for 2018 ROST Assistance Activities

- Council Working Papers
  - Council Decisions
  - AFI Plan SC TOR
  - ROST TOR
8. Development of Data Collection Tools: The Desk Review and Document Analysis and Inception Meetings/Consultations provide an informed foundation for the development of the evaluation tools and interview protocols. These tools were
  9. Based on the evaluation questions and evaluation matrix as well as the principles of participatory techniques and comprise of Key Informant Interviews (KIIs), secondary data collection sheet and Survey Questionnaires. Draft Evaluation Tools are provided in Annex 2 of this Inception Report.
  10. Development of Theory of Change: The Evaluation Team developed the Theory of Change that is provided in this report.
  11. In addition, an Evaluation Matrix was designed in line with the evaluation questions to provide indicators, data sources, and methods for data collection for each of the evaluation questions. The Evaluation Matrix is provided in Annex 2.

## Stage 2: Data Collection and Analysis

12. To undertake the Evaluation, the Evaluation Team ensured the collection and analysis of both quantitative and qualitative information through a combination of primary and secondary sources. Data collected from one source has been triangulated with the other to ensure reliability, accuracy, and validity. An intelligent mix of mixed methodological approaches will lend more quality and depth to ensure greater understanding of the relevance, effectiveness, efficiency, coherence, impact, and sustainability of the Plan, as well as an assessment of the achievement of the outputs and outcome of the Plan.
13. The Evaluation Team undertook field visits to the two Regional Offices and Member States in Dakar and Nairobi for consultations with WACAF and ESAF Regional Offices management and staff, the Senegalese and Kenyan Civil Aviation Authorities, AFCAC as well as other relevant stakeholders. Consultations with officials in participating Member States were through Zoom or Teams.
  - A proposed list of interviewees is provided in Annex 4. Criteria used to select stakeholders for consultation include:
    - Effective Implementation rate (mix those above 75% and below)
    - History of SSCs (three countries (one in 2014 during the previous programme period and two who resolved SSC between 2016-21 included))
    - Regional distribution
    - Language and
    - Recommendations of the Regional Offices
14. Online survey: An online survey was developed to cover the view of all Member States and gather their perspective on the AFI Plan, including achievements, challenges, suggestions, and lessons learned.

## Annex 2. Evaluation Matrix

EVALUATION QUESTIONS	INDICATORS/CRITERIA	SOURCES OF DATA/ INFORMATION	DATA COLLECTION METHODS
Evaluation Criteria: RELEVANCE			
1. To what extent has the AFI Plan been relevant to the needs of Member States and other key stakeholders?			
1.1. To what extent has the recent AFI Plan been relevant to the needs of Member States and other key stakeholders?	<ul style="list-style-type: none"> <li>Level of relevance and usefulness of the assistance provided under AFI Plan</li> </ul>	<ul style="list-style-type: none"> <li>SC Members</li> <li>HQ and RO staff</li> <li>Member States</li> <li>Partners</li> </ul>	<ul style="list-style-type: none"> <li>Desk Review</li> <li>Interviews</li> <li>Survey</li> </ul>
1.2. Are the projects relevant to the achievements of ICAO's Business Plans (2016-19 and 2020 - 22) and the Operating Plans of the two Regional Offices?	<ul style="list-style-type: none"> <li>Level of relevance and usefulness of AFI Plan to ICAO's Business Plan and Operating Plans of the two ROs</li> </ul>	<ul style="list-style-type: none"> <li>HQ and RO staff</li> </ul>	<ul style="list-style-type: none"> <li>Desk Review</li> <li>Interviews</li> </ul>
1.3. To what extent has AFI Plan adapted and responded to the needs of Member States during the Covid-19 pandemic?	<ul style="list-style-type: none"> <li>Level of relevance and usefulness of AFI Plan to challenges faced during COVID-19</li> </ul>	<ul style="list-style-type: none"> <li>Partners</li> <li>HQ and RO staff</li> <li>Member States</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> <li>Document review</li> <li>Survey</li> </ul>
Evaluation Criteria: COHERENCE			
2. How aligned has the AFI Plan been with Member States' needs/priorities, the industry, and relevant stakeholders' plans?			
2.1. Are the outputs and activities of the AFI Plan aligned with Member States Civil Aviation Master Plans/ Safety Plans and the Regions priorities?	<ul style="list-style-type: none"> <li>Level of coherence and complementarity of AFI Plan with Member States' Civil Aviation Plans/Priorities and Regional Priorities, etc.</li> </ul>	<ul style="list-style-type: none"> <li>Document</li> <li>HQ and ROs</li> <li>Member States</li> <li>Other stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> <li>Survey</li> <li>Document review</li> </ul>
2.2. Do outputs causally link to the intended outcomes that in turn link to the broader development objective(s)? Are there defined performance indicators with baselines and targets?	<ul style="list-style-type: none"> <li>Level of coherence and complementarity of ICAO's support to Member State and inter-linkages of activities/actions</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>SC</li> <li>HQ and ROs</li> <li>Member States</li> <li>Other stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> <li>Survey</li> <li>Document review</li> </ul>

EVALUATION QUESTIONS	INDICATORS/CRITERIA	SOURCES OF DATA/ INFORMATION	DATA COLLECTION METHODS
2.3. How well does the AFI Plan approach and work align with the ICAO Implementation Support Policy?	<ul style="list-style-type: none"> <li>▪ Level of alignment of ICAO's existing programs/projects/Funds and with ICAO Implementation Support Policy</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document</li> <li>▪ SC</li> <li>▪ HQ and ROs</li> <li>▪ Member States</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interviews</li> <li>▪ Survey</li> <li>▪ Document review</li> </ul>
2.4. How well do the projects complement and fit with other ongoing ICAO programmes and projects in the regions?	<ul style="list-style-type: none"> <li>▪ ICAO's response actions were well coordinated amongst Bureaus and Offices to have coherent results</li> <li>▪ Effectiveness and clarity of internal coordination, decision-making, communication, and information sharing processes</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document</li> <li>▪ Council Members</li> <li>▪ HQ and ROs</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interviews</li> <li>▪ Document review</li> </ul>
Evaluation Criteria: EFFECTIVENESS			
How effective has ICAO been in supporting Member States in provision of infrastructure and capacity building for sustainable safety oversight; resolution of identified safety oversight deficiencies; and Enhancement of aviation safety culture of aviation service providers			
2.5. To what extent have the expected outputs and outcomes been achieved or are likely to be achieved?	<ul style="list-style-type: none"> <li>▪ Level of progress of Member States towards accomplishment of AFI Plan indicators</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document</li> <li>▪ HQ and ROs</li> <li>▪ Member States</li> <li>▪ Other stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Secondary data</li> <li>▪ Survey</li> <li>▪ Interviews</li> </ul>
2.6. Were outputs produced and delivered so far in accordance with the work plan? Has the quantity and quality of these outputs been satisfactory?	<ul style="list-style-type: none"> <li>▪ Levels of effectiveness of Regional Offices in providing assistance to States</li> <li>▪ Progress against regional priorities</li> <li>▪ Levels of satisfaction with capacity building programs</li> <li>▪ Capacity demonstrated by RSOOs, etc.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document</li> <li>▪ Steering Committee</li> <li>▪ ICAO HQ and ROs</li> <li>▪ Member States</li> <li>▪ Other stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document Review</li> <li>▪ Survey</li> <li>▪ Interviews</li> </ul>
2.7. How effective were the backstopping support provided to the AFI Plan so far by ICAO (Regional Office, HQ Bureaus/Offices as relevant) and national partners/implementing partners?	<ul style="list-style-type: none"> <li>▪ Usefulness of tools and manuals prepared and used to implement AFI Plan</li> <li>▪ Usefulness of trainings/workshops organized by ICAO to implement AFI Plan</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document Review</li> <li>▪ SC</li> <li>▪ ICAO HQ and ROs</li> <li>▪ Member States</li> <li>▪ Other stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document Review</li> <li>▪ Survey</li> <li>▪ Interviews</li> </ul>

EVALUATION QUESTIONS	INDICATORS/CRITERIA	SOURCES OF DATA/ INFORMATION	DATA COLLECTION METHODS
	<ul style="list-style-type: none"> <li>▪ Usefulness and effectiveness of high level linkages and coordination</li> </ul>		
2.8. How effective was the support coming through the Human Resource Development Fund?	<ul style="list-style-type: none"> <li>▪ Contribution of the HRDF towards progress</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document Review</li> <li>▪ SC</li> <li>▪ HQ and ROs</li> <li>▪ Member States</li> </ul>	<ul style="list-style-type: none"> <li>▪ Desk Review</li> <li>▪ Survey</li> <li>▪ Interviews</li> </ul>
2.9. Are the management and governance arrangements for the projects adequate and appropriate (i.e. fit for purpose)?	<ul style="list-style-type: none"> <li>▪ Extent and quality of support provided by ICAO Headquarters/Regional Offices to Member States as assessed by them</li> <li>▪ Extent and quality of support provided by the SC and WACAF RD</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document Review</li> <li>▪ HQ and ROs</li> <li>▪ Member States</li> </ul>	<ul style="list-style-type: none"> <li>▪ Desk Review</li> <li>▪ Survey</li> <li>▪ Interviews</li> </ul>
2.10. Has the AFI Plan management carried out a proper consultation of Member States and relevant regional actors during planning, implementation and monitoring?	<ul style="list-style-type: none"> <li>▪ Participation of Member States in AFI Plan formulation and review</li> <li>▪ Participation of Member States in annual planning and coordination events and activities</li> <li>▪ Participation of Member States in implementation and monitoring of activities</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document Review</li> <li>▪ Steering Committee</li> <li>▪ ROs Staff</li> <li>▪ Member States</li> </ul>	<ul style="list-style-type: none"> <li>▪ Desk Review</li> <li>▪ Survey</li> <li>▪ Interviews</li> </ul>
2.11. How effective is the monitoring mechanisms of the AFI Plan?	<ul style="list-style-type: none"> <li>▪ Approaches and methods of monitoring</li> <li>▪ Availability and accessibility of monitoring database</li> <li>▪ Critical decisions made as a result of monitoring data/information</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document Review</li> <li>▪ Steering Committee</li> <li>▪ ICAO HQ and ROs</li> <li>▪ Member States</li> <li>▪ Other stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Desk Review</li> <li>▪ Survey</li> <li>▪ Interviews</li> </ul>
2.12. Has the AFI Plan management implemented the recommendations of the previous evaluation?	<ul style="list-style-type: none"> <li>▪ Modifications in Training program under the AFI Plan</li> <li>▪ Modifications in Implementation arrangements of the AFI Plan, etc.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document Review</li> <li>▪ HQ and ROs</li> <li>▪ Other stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Desk Review</li> <li>▪ Interviews</li> </ul>



EVALUATION QUESTIONS	INDICATORS/CRITERIA	SOURCES OF DATA/ INFORMATION	DATA COLLECTION METHODS
3. How effective has ICAO's partnership and coordination with stakeholders been in achieving the Key objectives of the AFI Plan?			
3.1. How effective has ICAO been in improving/developing cooperation and synergies between ICAO and its partners to build synergies and avoid duplication of efforts in implementing the AFI Plan.	<ul style="list-style-type: none"> <li>• Evidence of results achieved through increased cooperation/collaboration with stakeholders as reported by stakeholders</li> <li>• Evidence related to avoidance of duplication of efforts</li> </ul>	<ul style="list-style-type: none"> <li>▪ Document review</li> <li>▪ HQ and RO staff</li> <li>▪ Member States</li> <li>▪ Other stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Desk Review</li> <li>▪ Survey</li> <li>▪ Interviews</li> </ul>
3.2. How effective have the ROs been in developing partnership and coordination among similar programs	<ul style="list-style-type: none"> <li>▪ Level of effectiveness of ROs in building partnerships and support networks with similar entities</li> </ul>	<ul style="list-style-type: none"> <li>▪ ICAO Secretariat</li> <li>▪ Regional Offices</li> <li>▪ Member States</li> <li>▪ Other stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Desk Review</li> <li>▪ Survey</li> <li>▪ Interviews</li> </ul>
Evaluation Criteria: EFFICIENCY			
4. How well has ICAO adapted its organizational assets and capacities to implement the AFI Plan?			
4.1. Are resources (human resources, time, expertise, funds etc.) allocated and used strategically to provide the necessary support and to achieve the broader objectives of the AFI Plan?	<ul style="list-style-type: none"> <li>▪ Adequacy of resources</li> <li>▪ Use of resources as planned to implementation of the AFI Plan</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documents</li> <li>▪ ICAO HQ</li> <li>▪ Regional Offices</li> </ul>	<ul style="list-style-type: none"> <li>▪ Desk Review</li> <li>▪ Interviews</li> </ul>
4.2. How efficient were the AFI Plan in utilizing project allocated resources to deliver the planned results?	<ul style="list-style-type: none"> <li>▪ How were synergies explored and utilized among the work of different stakeholders engaged in implementation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documents</li> <li>▪ ICAO's reports</li> <li>▪ ICAO HQ</li> <li>▪ Regional Offices</li> </ul>	<ul style="list-style-type: none"> <li>▪ Desk Review</li> <li>▪ Interviews</li> </ul>

EVALUATION QUESTIONS	INDICATORS/CRITERIA	SOURCES OF DATA/ INFORMATION	DATA COLLECTION METHODS
4.3. Are/were the activities/operations in line with the schedule of activities as defined in the AFI work plan?	<ul style="list-style-type: none"> <li>• Level of efficiency of ICAO in organizing its human resource to respond to the demands of the AFI Plan activities</li> <li>• The adequacy of the budget allocated to the implementation of the AFI Plan</li> <li>• The sufficiency and use of resources (human, material and financial) available for effective implementation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documents</li> <li>▪ ICAO's reports</li> <li>▪ ICAO HQ</li> <li>▪ Regional Offices</li> </ul>	<ul style="list-style-type: none"> <li>▪ Desk Review</li> <li>▪ Interviews</li> <li>▪ Survey</li> </ul>
Evaluation Criteria: SUSTAINABILITY			
5. How sustainable are the support mechanisms and tools provided by ICAO to its Member States?			
5.1. Has the AFI Plan integrated an appropriate strategy for phase out and sustainability?	<ul style="list-style-type: none"> <li>▪ The level of technical support, capacity, institutional development, and networks developed to make the work sustainable</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documents</li> <li>▪ Member States</li> <li>▪ Other stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Desk Review</li> <li>▪ Survey</li> <li>▪ Interviews</li> </ul>
5.2. Are the strategies and outcomes steered towards impact and sustainability?	<ul style="list-style-type: none"> <li>▪ The extent to which ICAO's response can be sustained</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documents</li> <li>▪ Member States</li> <li>▪ Other stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Desk Review</li> <li>▪ Survey</li> <li>▪ Interviews</li> </ul>
5.3. What are the long-term results achieved so-far?	<ul style="list-style-type: none"> <li>▪ Reported influences/changes in plans, behavior and practices by Member States aided by ICAO' support</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documents</li> <li>▪ Member States</li> <li>▪ Other stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documents</li> <li>▪ Interviews</li> <li>▪ Survey</li> </ul>
5.4. Have the projects built up the capacity of people and national institutions or strengthened an enabling environment (laws, policies, people's skills, attitudes etc.)?	<ul style="list-style-type: none"> <li>▪ The extent to which ICAO support are helpful to build safe civil aviation sector in the AFI region</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documents</li> <li>▪ Member States</li> <li>▪ Other stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Desk Review</li> <li>▪ Interviews</li> <li>▪ Survey</li> </ul>

### Annex 3. List of Consulted Stakeholders

No.	Name	Title/Member State
<b>ICAO HQ</b>		
1	Juan Carlos Salazar	Secretary General
2	Stephen P. Creamer	Air Navigation Bureau
3	Denis Guindon	Deputy Director Office of Monitoring Oversight
4	Jimena Blumnkron	Office of Monitoring Oversight
5	Marco Merens	Air Navigation Bureau
6	Miguel Ramos	Air Navigation Bureau
7	Soo-Ho Jun	Air Navigation Bureau
8	Chris Dalton	Air Navigation Bureau
9	Jorge Vargas	Technical Cooperation Bureau
10	Alessandra Ardrade	Technical Cooperation Bureau
11	Michiel Vreedenburgh	Office of the Secretary General
<b>Members of AFI Plan Council/Steering Committee</b>		
1	Levers Mabaso	Council Member and Chair of AFI Plan Steering Committee (South Africa)
2	Englebert Zoa Etundi	Council and SC Member (Cameroon)
3	Kabbs Twijuke	Council Member and SC Member (Uganda)
<b>Regional Offices</b>		
1	Prosper Zo'o Minto'o, RD	Regional Director (WACAF)
2	Nika Mèhèza Manzi,	DRD and ROST Team Leader (WACAF)
3	Iphygenie Mbengue	Finance Assistant (WACAF)
4	Ousman Manjang	Airworthiness Regional Officer, WACAF
5	Kebba Lamin Jammeh	Flight Safety PEL/OPS Regional Officer, WACAF
6	Francois Xavier Salambanga	ANS Regional Officer, WACAF
7	Safety Implementation	Sonia Freitas Regional Officer, WACAF
8	Rene Tavarez	Flight Safety PEL/OPS Regional Officer, WACAF
9	Goama Ilboudo	MET Regional Officer, WACAF
10	Prisca Nkolo	AGA Regional Officer, WACAF
11	Fanfe Bamba	AIM Regional Officer, WACAF
12	Komla Adonko	AVSEC/FAL Regional Officer, WACAF
13	Barry Kashambo	Regional Director (ESAF)
14	Arthemon Ndikumana	Deputy Regional Director (ESAF)
15	Eyob Estifanos	Associate Regional Programme Officer
16	Milton Tumusiime	Flight Safety Regional Officer, ESAF
17	Papa Issa Mbengue	Flight OPS Regional Officer, ESAF
18	Elisha Omuya	AGA Regional Officer, ESAF
19	Keziah Ogutu	ATM Regional Officer, ESAF
20	Harvey Gabriel Lekamisy	CNS Regional Officer, ESAF
21	Justus Nyunja	AVSEC Regional Officer, ESAF
22	Chinga Mazhetese	ENV/MET Regional Officer, ESAF

<b>23</b>	Mashhor Alblowi	Senior Safety Officer, MID
<b>Member States</b>		
<b>1</b>	Gueye Sidy	D.G CAA Senegal
<b>2</b>	Moses Baio	D.G CAA Sierra Leone
<b>3</b>	Atchou Kossi Amah	Director Planning and Oversight, Togo
<b>4</b>	Nicholas Mohoyo and Lawrence Amukono	CAA Kenya
<b>5</b>	Biggie Zimvumi and	CAA Rwanda
<b>6</b>	Andrew Mutaba	
<b>7</b>	Daoud Ali Abdou (DG);	CAA Djibouti
<b>8</b>	M. Abdallah M ;	Director Flight Safety and Standards
<b>9</b>	Bilan M	Director Air Navigation
<b>10</b>	Frederick Chisepeya (Asst. Chief ATS Officer) and	CAA Malawi
<b>11</b>	Mr. Haris (Air Traffic Controller)	Kenya
<b>12</b>	Atchou Kossi Amah (Director Planning and Oversight)	CAA Togo
<b>Regional Safety Organizations</b>		
<b>1</b>	Louis Bakienon (Air Navigation OPS Director)	ASECNA
<b>2</b>	Arouna Toure	Safety Director
<b>3</b>	Tidiane Ba (Executive Director)	BAGASOO
<b>4</b>	Kragbe (Coordinator) & Pascal Yaro (Regional Airworthiness Inspector)	URSAC
<b>5</b>	Marafa Sadou (Executive Secretary)	AAMAC
<b>AFCAC</b>		
<b>1</b>	Angelina Simana	Interim Secretary General and Director Air Transport
<b>2</b>	James Danga	Airworthiness Regional Officer
<b>Donors</b>		
<b>1</b>	Junrong Liang	Peoples Republic of China

## Annex 4. Interview Checklists

### 1. SC Members

1. Have there been any significant changes in SC structure since 2016? If yes, what are these? What have been the implications of these changes for implementation? E.g. opportunities and challenges resulting from the change.
2. How relevant is the AFI plan for Member States to address underlying aviation safety issues?
3. What factors does the SC consider when approving the Annual Work Plan (AWP)?
4. To what extent has AFI Plan adapted and responded to the needs of Member States during the Covid-19 pandemic?
5. To what extent have AFI Plan outputs / activities been coherent and complementary with other partners' plans/programs (e.g., RASGs/PIRGs works/Plans, relevant stakeholders' plans (AFCAC, RSOOs/ industry, COSCAP)? What mechanisms are used to make it coherent with stakeholders' plans and programmes?
6. What have been the major achievements of the AFI Plan since 2016? Similarly, what if any have been the major shortcomings in achievement of the AFI Plan objectives?
7. How do you monitor the implementation of the AFI Plan? Have any decisions been made by the SC that have contributed to course correction during implementation? If yes, what have those been?
8. Are the management and governance arrangements of AFI adequate and appropriate (i.e. fit for purpose, meet timely/adequately, monitor the implementation adequately)?
9. How has the SC contributed to the Plan's effective implementation and sustainability? E.g., enhanced promoting the Plan for increased adoption by Member States and improved funding contributions, etc.?
10. How efficient was the AFI Plan in utilizing project resources to deliver the planned results?
11. What are the major opportunities and challenges to the sustainability of the AFI Plan's activities in the future?
12. Have the AFI Plan integrated an appropriate strategy for phase-out? Until when should the AFI Plan implemented?
13. What challenges does the SC face in delivering its functions?
14. What have been the major lessons learned from implementation of the AFI Plan being evaluated?
15. What are your recommendations for improving the AFI plan's design and implementation in the future?

### 2. AFCAC/A/RSOOs

1. What are the main roles and responsibilities of your organization to deliver the AFI Plan since 2016? (AFCAC and RSOOs)
2. How have these functions evolved over time since the development of the AFI Plan in 2008?
3. To what extent has the recent AFI Plan been relevant to the needs of key stakeholders in the region, including Member States, relevant institutions, etc.?
4. Are the outputs and activities of the AFI Plan aligned with the Member States Civil Aviation Master Plans/Safety Plans and the Regions' priorities?
5. To what extent has AFI Plan adapted and responded to the needs of Member States during the COVID-19 pandemic?
6. What have been the major achievements of the AFI Plan thus far?
7. To what extent have the activities of the plan contributed to the Abuja Safety Targets (ASTs)?

8. How is your organization involved in the planning of projects/activities under the AFI Plan? What have been the challenges and opportunities in this regard, if any?
9. What programme and operational challenges has your organization faced in implementation and monitoring of the AFI Plan? E.g. COVID-19, Member State support and compliance, fulfilling reporting obligations, availability of sufficient staff and financing, etc. What measures have been undertaken to overcome some of these issues? What support have you received from the ICAO HQ in resolving these challenges?
10. What other similar projects have been operational in your region since 2016?
11. What have been the comparative advantages of the AFI Plan?
12. What support does this team/your organization receive from the ICAO HQ and other relevant stakeholders in implementation?
13. How do you coordinate with the various stakeholders of the AFI Plan? How has the ICAO developed to cooperation and synergies between ICAO and its partners to build synergies and avoid duplication of efforts in implementing the AFI plan?
14. How efficient were the AFI Plan in utilizing project resources to deliver the planned results?
15. Has the AFI Plan integrated an appropriate strategy for phase out and sustainability?
16. What are the major opportunities and challenges to the sustainability of the AFI Plan's activities in the future?
17. What have been the major lessons learned from implementation of the AFI Plan being evaluated?
18. What are the challenges and your recommendations for improving the AFI Plan's design and implementation in the future?

### 3. ROST and other ICAO Staff

1. To what extent has the recent AFI Plan been relevant to the needs of key stakeholders in the region, including Member States, relevant institutions, etc.?
2. Is the AFI Plan and its activities/projects relevant to the achievements of ICAO's Business Plans (2016-19 and 2020-22) and the Operating Plans of the two ROs?
3. To what extent has AFI Plan adapted and responded to the needs of Member States during the COVID-19 pandemic?
4. How well does the AFI Plan approach and work align with the ICAO Implementation Support Policy?
5. How are Member States and stakeholders involved in the project planning, implementation, and monitoring?
6. What have been the major achievements of the AFI Plan thus far?
7. To what extent have the activities of the plan contributed to the Abuja Safety Targets (ASTs)?
8. How is your office involved in the planning of projects/activities under the AFI Plan? What have been the challenges and opportunities in this regard, if any?
9. Are the management and governance arrangements for the Plan adequate and appropriate?
10. What monitoring mechanism do you use for the AFI Plan? How useful it is?
11. What program and operational challenges has your office faced in implementation and monitoring of the AFI Plan? E.g. COVID-19, Member State support and compliance, fulfilling reporting obligations, availability of sufficient staff and financing, etc. What measures have been undertaken to overcome some of these issues? What support have you received from the ICAO HQ in resolving these challenges?
12. What other similar projects (ICAO and non-ICAO) have been operational in your region since 2016? What have been the comparative advantages of the AFI Plan?
13. What support does your office receive from the ICAO HQ and other relevant stakeholders in implementation?

14. In addition, how do you coordinate with the various stakeholders of the AFI Plan? How has the ICAO developed cooperation and synergies between ICAO and its partners to build synergies and avoid duplication of efforts in implementing the AFI plan?
15. How efficient were the AFI Plan in utilizing project resources to deliver the planned results?
16. Has the AFI Plan integrated an appropriate strategy for phase out and sustainability?
17. What are the major opportunities and challenges to the sustainability of the AFI Plan's activities in the future?
18. What have been the major lessons learned from implementation of the AFI Plan being evaluated?
19. What are the challenges and your recommendations for improving the AFI Plan's design and implementation in the future?

#### 4. MEMBER STATES

1. Since when has your government endorsed the AFI Plan?
2. To what extent has the AFI Plan been relevant to the needs of your state?
3. Are the outputs and activities of the AFI Plan aligned with the Civil Aviation Master Plan/Safety Plan of your state/region?
4. What activities of the AFI Plan has your country benefitted from since 2016? E.g. training, resolution of identified deficiencies, linkage development, etc.?
5. How did the AFI Plan contribute to resolving the COVID-19 related challenges in your country?
6. What have been the major outcomes for your country resulting from participation in the AFI Plan activities since 2016? Has the quality and quantity of these outputs been satisfactory?
7. What have been the challenges faced by your country in participating in these activities?
8. How does your country participate in the planning, implementation, and monitoring of the ICAO/AFI-Plan? E.g. funding, names of any high level meetings, task forces, working groups, etc. that your country chairs or attends, etc.
9. How did COVID-19 affect your participation in the AFI Plan?
10. What other similar projects have been operational in your country/region since 2016, focusing on civil aviation/safety, etc.? What have been the comparative advantages of the AFI Plan?
11. How does the ICAO coordinate and collaborate with these other programs?
12. Are resources (human, time, expertise, funds, etc.) allocated and used strategically to provide the necessary support and to achieve the broader objectives of the AFI Plan?
13. Has the AFI Plan integrated an appropriate strategy for phase out and sustainability?
14. What are the major opportunities and challenges to the sustainability of the AFI Plan's activities in the future?
15. What have been the major lessons learned from implementation of the AFI Plan being evaluated?
16. What are your recommendations for improving the plan's design and implementation in the future?

#### 5. ICAO WACAF RD/DRD

1. What is the role of your office in the implementation and monitoring of the AFI Plan?
2. How has the AFI Plan evolved over time? What have been the implications of this evolution?
3. How has the AFI Plan governance and management structure evolved over time? Have there been any significant changes in this management structure since 2016? If yes, what are these?
4. What have been the implications of these changes for implementation? E.g. opportunities and challenges resulting from the change.

5. What have been the major achievements of the AFI Plan since 2016? Similarly, what if any have been the major shortcomings in achievement of the AFI Plan objectives?
6. How has your office contributed to the Plan's effective implementation and sustainability? E.g., enhanced promoting the Plan for increased adoption by Member States and improved funding contributions, etc.?
7. What monitoring mechanism do you use for the AFI Plan? How useful it is?
8. Have any decisions been made by your office that have contributed to course correction during implementation? If yes, what have those been?
9. What are the key partnerships developed under the AFI Plan since 2016? What is the nature of these partnerships?
10. How are activities planned and coordinated with partners?
11. How has your office contributed to improving/developing cooperation and synergies between ICAO and its partners, as well as partnership and coordination among similar programs, to build synergies and avoid duplication of efforts in implementing the AFI Plan?
12. What challenges does your office face in delivering its functions?
13. What challenges did COVID-19 pose in execution of the AFI Plan? What mitigation measures have been undertaken?
14. What are the major opportunities and challenges to the sustainability of the AFI Plan's activities in the future?
15. What have been the major lessons learned from implementation of the AFI Plan being evaluated?
16. What are your recommendations for improving the AFI plan's design and implementation in the future?

#### 6. AFI Plan Associate Regional Programme Officer

##### Management

1. How has the AFI Plan governance and management structure evolved over time?
2. Have there been any significant changes in this management structure since 2016? If yes, what are these?
3. What have been the implications of these changes – IF ANY - for implementation? E.g. opportunities and challenges resulting from the change.

##### Design

1. How has the AFI Plan and its activities evolved over time?
2. What is the role of the HQ/ANB in relation to the AFI Plan?
3. How were the recommendations from the 2015 evaluation incorporated into the design and implementation of the Plan? E.g. those related to improvement/modification of the training program strategy and activities, TORs and evaluation of ROST missions; Human Resource Development Fund (HRDF), etc.

##### Training and Capacity Building

1. Is there a training master plan/framework/roadmap for the AFI Plan? If yes, when was it developed? What are the main features?
2. What methods are in place to monitor the delivery and effectiveness of training?
3. What have been the accomplishments against this training plan?



4. How often is the training content reviewed and updated?
5. What have been the challenges in implementing this plan and what attempts have been made to resolve these?

#### M&E

1. Who is responsible for M&E of the AFI Plan?
2. How is monitoring data collected and recorded for key activities?
3. How is the impact of key activities undertaken under the plan assessed? E.g. impact/implications of training activities, etc.
4. If so, have the results of these and other monitoring activities been used to modify/design new activities?

#### Finance

1. What is the distribution of financial contributions since 2016? What are the different categories against which these funds are disbursed? Please provide details since 2016
2. Who is responsible for managing the AFI Plan's finances?
3. How is the financial progress reported? To whom? And how frequently?
4. What have been some of the challenges with financial management and reporting? And how have these been resolved?

#### COVID-19

1. What major challenges did the Plan face due to COVID-19?
2. What has been the impact of these on the Plan's outcomes/activities?
3. What mitigation measures were/have been adopted to overcome these?

## Annex 5. Trainings Conducted with the Support from AFI Plan

Name of Training	Name of Training Organization	Year	Total Number of Countries in Attendance	Total Number of Personnel Trained	Pre and Post Training Assessment Available (Yes/No), If Yes, please provide link to source
ICAO Government Safety Inspector Operations – Air Operator Certification Course (GSI-OPS-18700)	ICAOGAT	2018	17	23	No
ICAO Government Safety Inspector Airworthiness Air Operator and Approved Maintenance Organization Certification (GSI AIR 18701) Course	ICAO GAT in collaboration with Ethiopian Academy	2019	16	14	No
Public Health Corridor (Online)	ICAO GAT	2021	26	26	No
Safety Management (Online)	ICAO GAT	2021	26	26	No
COVID-19 Aviation Safety Risk Management for CAAs (Virtual Classroom)	ICAO GAT	2021	26	26	No
Safety Management for Practitioners (SMxP) (Virtual Classroom)	ICAO GAT	2021	26	26	No

## Annex 6. List of Documents Reviewed

---

- ICAO. (2011). *AFI Plan Steering Committee. Terms of Reference*. AFI Plan-SC/2011/7-DP/01.
- AFCAC. (2012). *Draft Policy & Procedures Manual AFI-CIS*.
- ICAO. (2013). *Associate Programme officer. Job Description*.
- ICAO. (2014). *Rules of Procedure for the African Group at ICAO (AFI-Group)*.
- ICAO. (2015). *Review of the Progress Report on the Implementation of the AFI Plan Since the Sixteenth Meeting of the Steering Committee and Status of Implementation of the 2016 Work Programme*. Sixteenth AFI Plan Steering Committee Meeting. AFI Plan-SC/16/2015-DP/02. Montreal, Canada.
- ICAO. (2015). *Proposed Programme of Activities under the AFI Plan in 2016*. Sixteenth AFI Plan Steering Committee Meeting. AFI Plan-SC/16/2015-DP/02.
- ICAO. (2015). *Report on the Evaluation of the Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan)*. Evaluation and internal Audit office. EV/2015/2.
- ICAO ESAF. (2016). *Mission Report, Executive Summary*. Lilongwe, Malawi.
- ICAO. (2016). *Aerodrome Certification – ESAF Region. Project Proposal*. AFI Plan-SC/17/2016 – DP/02: Attachment B2.
- ICAO. (2016). *Aerodrome Certification – WACAF Region. Project Proposal*. AFI Plan-SC/17/2016 – DP/02: Attachment B1.
- ICAO. (2016). *African Air Navigation Service Providers Peer Review Programme. Project Proposal Summary*. AFI Plan-SC/17/2016 – DP/02: Attachment D.
- ICAO. (2016). *Report of the Sixth Meeting of Directors General of Civil Aviation of the ICAO Africa-Indian Ocean Region (AFI DGCA/6)*. Brazzaville, Congo.
- ICAO. (2016). *Search and Rescue Organization – ESAF Region. Project Proposal*. AFI Plan-SC/17/2016 – DP/02: Attachment F2.
- ICAO. (2016). *Search and Rescue Organization – WACAF Region. Project Proposal*. AFI Plan-SC/17/2016 – DP/02: Attachment F1.
- ICAO. (2016). *Progress Report on Implementation of Human Resources Development Fund (HRDF)*. Working Paper. Assembly – 39th Session. A39-WP/299.
- ICAO ESAF. (2016). *Mission Report. Executive Summary*. Luanda, Angola.
- ICAO. (2016). *Proposed Programme of Activities under the AFI Plan in 2016*. Seventeen AFI Plan Steering Committee Meeting. AFI Plan-SC/17/2016-DP/01. Montreal, Canada.
- ICAO. (2016). *Review of the Progress Report on the Implementation of the AFI Plan Since the Eighteenth Meeting of the Steering Committee and Status of Implementation of the 2016 Work Programme*. Eighteenth AFI Plan Steering Committee Meeting. AFI Plan-SC/18/2016-DP/01 Montreal, Canada.
- ICAO. (2016). *Proposed Programme of Activities under the AFI Plan in 2017*. Eighteenth AFI Plan Steering Committee Meeting. AFI Plan-SC/18/2016-DP/06. Montreal, Canada.
- ICAO. (2017). *Comprehensive Regional Implementation Plan for Aviation Safety in Africa*.
- ICAO. (2017). *Comprehensive Regional Implementation Plan for Aviation*

- ICAO. (2017). *Review of the Progress Report on the Implementation of the AFI Plan Since the Nineteenth Meeting of the Steering Committee and Status of Implementation of the 2017 Work Programme*. Twentieth AFI Plan Steering Committee Meeting. AFI Plan-SC/20/2017-DP/01. Montreal, Canada.
- ICAO. (2017). *Review of the Status of Implementation of AFI Plan Projects*. Twentieth AFI Plan Steering Committee Meeting. AFI Plan-SC/20/2017-DP/02. Montreal, Canada.
- ICAO. (2017). *Project Proposal on Fundamentals of Safety Oversight (FSO)*. Attachment A.
- ICAO. (2017). *Terms of Reference for the Development and Implementation of A Strategic Plan for Supporting and Strengthening RSOOs in the AFI Region*. AFI Plan-SC/19/2017-DP/06.
- ICAORD. (2017). *Executive Summary Report on the ROST Assistance Mission to Djibouti (12-16 December 2016)*. Letter. Ref.: ES MS 5 DJI- 0006. Nairobi.
- ICAORD. (2017). *Executive Summary Report on the ROST Assistance Mission to Rwanda (09-13 January 2017)*. Letter. Ref.: ES MS 5 RWA- 0076. Nairobi.
- ICAORD. (2017). *Executive Summary Report on Mission to Juba, South Sudan, (16-18 May 2017)*. Letter. Ref.: ES MS 5 SSD – 0395. Nairobi.
- ICAO ESAF. (2017). *Report on Mission to Rwanda. Report*.
- ICAO. (2017). *State Safety Briefing*. Djibouti in RASG-AFI. ICAO/ANB 2022-06-17.
- Working Paper*. Assembly — 40th Session. A40-WP/153.
- Ease & ICAO. (2017). *Ezulwini Declaration on Regional Safety Oversight Organizations in Africa*. Ezulwini, Kingdom of Swaziland.
- ICAO. (2017). *Review of the Progress Report on the Implementation of the AFI Plan Since the Eighteenth Meeting of the Steering Committee and Status of Implementation of the 2017 Work Programme*. Nineteenth AFI Plan Steering Committee Meeting. AFI Plan-SC/19/2017-DP/01. Montreal, Canada.
- ICAO. (2017). *Proposed 2018 AFI Plan Programme of Activities and Budget*. AFI Plan-SC/20/2017-DP/08. Montreal, Canada.
- ICAO. (2018). *Summarized Reports*.
- ICAO ESAF WAQAF. (2018). *AFI Plan Guidelines for 2018 ROST Assistance Activities*.
- ICAO. (2018). *AFI-DGCA/7 Meeting – Preliminary Report*. Niamey, Niger
- ICAO. (2018). *Project Title: Establishment of Basic Aircraft Accident and incident investigation*
- ICAO ESAF. (2018). *Mission Report. Executive Summary*. Gaborone, Botswana.
- ICAO. (2018). *Regional Cooperation Regional Safety Oversight Organizations RSOO Cooperative Platform*.
- ICAO. (2018). *Review of the Follow Up Actions on the Decisions and Recommendations of the Twentieth Meeting of the AFI Plan Steering Committee*. Twenty-First AFI Plan Steering Committee Meeting. AFI Plan-SC/21/2018-DP/01. Niamey, Niger.
- ICAO. (2018). *Review of the Status of Implementation of the 2018 AFI Plan Work Programme*. Twenty-First AFI Plan Steering Committee Meeting. AFI Plan-SC/21/2018-DP/02. Niamey, Niger.
- ICAO. (2018). *Review of the Status of Implementation of AFI Plan Projects*. Twenty-First AFI Plan Steering Committee Meeting. AFI Plan-SC/21/2018-DP/03. Niamey, Niger.
- ICAO. (2018). *Review of the Status of Implementation of AFI Plan Projects*. Twenty-First AFI Plan Steering Committee Meeting. AFI Plan-SC/21/2018-DP/03. Niamey, Niger

- ICAO. (2019). *Proposed 2019 AFI Plan Programme of Activities and Budget*. Twenty-Second AFI Plan Steering Committee Meeting. AFI Plan-SC/20/2019-DP/07. Kampala, Uganda.
- ICAO. (2019). *Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan)*. Twenty-Second AFI Plan Steering Committee Meeting. AFI Plan-SC/22/2019-DP/02. Kampala, Uganda.
- ICAO. (2019). *Report on Mission to Windhoek, Namibia, 20-24 May 2019*. Letter. Ref.: ES MS 5 Nam – 0376. Windhoek, Namibia.
- ICAO. (2019). *Report on Mission to Mauritius 16-20 September 2019*. Letter. Ref.: ES MS 5 Mau – 0671. Megnien, Mauritius.
- ICAO ESAF. (2019). *Mission Report. Executive Summary*. Mauritius.
- ICAO. (2019). *Aviation Safety and Air Navigation Regional Implementation Coordination Mechanisms*.
- ICAO. (2019). *Follow Up Actions on the Decisions and Recommendations of the Twenty-First Meeting of the AFI Plan Steering Committee and the Status of Implementation of the 2018 AFI Plan Work Programme*. Twenty-Second AFI Plan Steering Committee Meeting. AFI Plan-SC/22/2019-DP/01. Kampala, Uganda.
- ICAO. (2019). *Review the Implementation Status of ongoing AFI Plan Projects and Consideration of New Proposals*. Twenty-Second AFI Plan Steering Committee Meeting. AFI Plan-SC/22/2019-DP/02. Kampala, Uganda.
- ICAO. (2019). *Proposed 2020 AFI Plan Programme of Activities and Budget*. Extraordinary- AFI Plan Steering Committee Meeting. AFI Plan-SC/Extraordinary-DP/01. Montreal, Canada.
- Safety in Africa (AFI Plan) – Updated.*
- ICAO. (2019). *Strategies for the Implementation of the Revised Abuja Safety Targets and Performance indicators*. Assembly Working Paper A40-WP/154.
- ICAO. (2020). *Follow-Up Actions on the Decisions and Recommendations of the Twenty-Second Meeting of the AFI Plan Steering Committee and the Status of Implementation of the 2020 AFI Plan Work Programme*. Twenty-Third AFI Plan Steering Committee Meeting. AFI Plan-SC/23/2020-DP/01. Virtual Meeting.
- ICAO. (2020). *Report of the WACAF Directors-General of Civil Aviation Virtual Meeting on the ICAO Cart Report*. WACAF-ESAF DGCA.CART. Video Teleconference.
- ICAORD. (2020). *Executive Summary Report on the ROST Assistance Mission to Uganda (6-10 January 2020)*. Letter. Ref.: ES MS 5 UGA – 0036. Nairobi
- ICAO. (2020). *Report on Mission to Uganda, 23-29 February 2020*. Letter. Ref.: ES MS 5 UGA – 0190. Uganda.
- ICAO. (2020). *Report on Mission to Uganda, 6-10 January 2020*. Letter. Ref.: ES MS 5 UGA – 0075. Entebbe, Uganda.
- ICAO. (2020). *Review the Implementation Status of ongoing AFI Plan Projects*. Twenty-Third AFI Plan Steering Committee Meeting. AFI Plan-SC/23/2020-DP/02. Virtual Meeting.
- ICAO. (2021). *Annual ICAO ESAF-WACAF/AFAC Coordination Meeting With Regional Aviation Organizations and Partners*. Report
- ICAO. (2021). *Report on the Virtual Meeting of the Directors General of Civil Aviation of Africa-Indian Ocean Region (AFI-DGCA) on COVID 19 Related Matters and ICAO Cart Iii Implementation*. Virtual Meeting.

- ICAO. (2021). *ICAO ESAF Regional office Organogram*.
- ICAO. (2021). *Report on the Implementation of the 2020/21 AFI Plan Work Programme and Projects*. Twenty-Fourth AFI Plan Steering Committee Meeting. AFI Plan-SC/24/2021-DP/01
- ICAO. (2021). *Proposed 2021 AFI Plan Programme of Activities and Budget*. Twenty-Fourth AFI Plan Steering Committee Meeting. AFI Plan-SC/24 /DP/4. Virtual Meeting.
- ICAO. (2021). *Report on the Evaluation of Technical Assistance to Member States*. Office of internal Oversight. EV/2021/1.
- ICAO. (2021). *Voluntary Fund Resource Utilization by Type of Fund from 2016 – 2021*.
- ICAO. (2021). *Strategic Plan and Implementation Roadmap for the Strengthening of Regional Safety Oversight Organizations (RSOOs) in the AFI Region*. Final Draft.
- ICAO. (2021). *AFI Regional Safety Oversight Organization (RSOO) Study*. Final Report.
- ICAO. (2021). *Strategic Plan and Implementation Roadmap for the Strengthening of Regional Safety Oversight Organizations (RSOOs) in the AFI Region*.
- ICAO. (2021). *RASG-AFI. Annual Safety Report 2020*. Seventh Edition.
- ICAO. (2021). *Report on the Implementation of the 2020/21 AFI Plan Work Programme and Projects*. Twenty-Fourth AFI Plan Steering Committee Meeting. AFI Plan-SC/24/2021-DP/01. Virtual Meeting.
- ICAO. (2021). *Comprehensive Regional Implementation Plan for Aviation*
- AFCAC. (2022). *Implementation Status of the Revised Abuja Safety Targets and Air Navigation Services Performance indicators and AFI CIS Implementation Status Report*. DP/04.
- AFCAC. (2022). *Updated List of AFI CIS inspectors*.
- ICAO. (2022). *Implementation Status of the Revised Abuja Safety Targets and Air Navigation Services Performance indicators and AFI CIS Implementation Status Report*. DP/04.
- ICAO. (2022). *Evaluation of the Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan)*. Letter Ref. T 11/19 – 0264.
- Safety in Africa (AFI Plan) - Updated for the Period 2021-2024*.
- ICAO. (2022). *Comprehensive Regional Implementation Plan for Safety in Africa (AFI Plan) – Briefing to OIO Evaluation Team*.
- ICAO. (2022). *AFI Plan – Evaluation (Survey for Member States)*.
- ICAO. (2022). *Proposed 2022 AFI Plan Programme Activities and Budget*. Twenty-Fifth AFI Plan Steering Committee Meeting. AFI Plan-SC/25 /DP/03. Abuja, Nigeria.
- ICAO. (2022). *Follow Up Actions on the Decisions and Recommendations of the 24th AFI Plan Steering Committee Meeting & Status of Implementation of the 2021 AFI Plan Work Programme*. Twenty-Fifth AFI Plan Steering Committee Meeting. AFI Plan-SC/25/2022-DP/01. Abuja, Nigeria.
- ICAO. (2022). *Report on the Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan)*. Assembly Working Paper. C-WP/15428.
- ICAO. (2022). *SC Meeting Minutes Progress*.
- ICAO. (2022). *Report of the Eleventh Meeting of the AFI SECFAL Plan Steering Committee (AFI SECFAL Plan SC/11)*. Oral Report. Council — 226th Session.

- ICAO. (2022). *Oral Report of the Eleventh Meeting of the AFI SECFAL Plan Steering Committee*. 226th Council Session.
- ICAO. (2022). *Joint Work Program ICAO Partners*.
- ICAO. (2022). *Annual ICAO ESAF-WACAF-AFCAC Coordination Meeting*. Draft Report.
- ICAO. (2022). *Report on the Twenty-Fifth AFI Plan Steering Committee Meeting*. Oral Report. Council 226th Session.
- ICAO. (2022). *Mission Report. Executive Summary. Kinshasa, Democratic Republic of Congo (DRC)*.
- ICAO. (2022). *Actions A Mener Par La Rdc Récapitulatif Des Actions À Mener Par La Rdc*.
- ICAO. (2022). *inter-office Memorandum*. Réf. T11-18-0335. Dakar.
- ICAO. (2022). *Mission D'assistance Du Bureau Régional À L'autorité D'aviation Civile (AAC) De La République Démocratique Du Congo (RDC)*. Letter. Réf.: T 11/18-033.
- ICAO. (2022). *Activités D'assistance Du Bureau Régional À La République Démocratique Du Congo, Conduites Du 6 Au 13 Mai ET Du 6 Au 10 Juin 2022*.
- ICAO. (2022). *Evaluation of ICAO's Response to COVID-19. Report*. Office of internal Oversight. EV/2022/02.
- ICAO. (2022). *ICAO Implementation Support Policy*. Oral Report. Council — 225 the Session. C-WP/15295.
- ICAO. (2022). *AFI Plan (RP) Expenses and Budget 2016-2022 Matrix for OIO*.
- ICAO & AFCAC. *Implementation Arrangements. Human Resources Development Fund (HRDF)*.
- ICAO. (2022). *Aim Results-Based Implementation Support (RBIS) for the AFI Region. Project Plan*.
- ICAO. (2022). *African Air Navigation Service Providers Peer Review Programme*. Project Proposal. AFI/2016/006 Rev. April 2022.
- ICAO. (2022). *Revised Fundamentals of Safety Oversight (FSO)*. Project Document. AFI Plan/2018/003, Revision 1.
- ICAO. (2022). *Enhance the Level of Implementation of State Safety Programme (SSP)*. RAFXXXXX – Revision 2.
- ICAO. (2022). *Regional office Safety Team (ROSTs)*. Revised Terms of Reference.
- ICAO. (2022). *Audit Programmes – Continuous Monitoring Approach*. Working Paper. Assembly — 41st Session. A41-WP/7.
- (AIG) *Oversight Systems in AFI States*. Project Proposal.
- ICAO. *Establishment of Aim Results-Based Implementation Support (RBIS) Process for the AFI Region*. Technical Assistance Proposal Outline. Attachment A to DP-02.
- ICAO. *State Safety Programme (SSP) Project*. Project Proposal. DP 02 - Attachment E.
- ICAO. *Training Data*.
- ICAO. *Training Data- AFI Plan (AFCAC inputs)*.
- ICAO. *AFI Plan Evaluation Field Work Proposed interview and Discussion with ICAO Regional offices and Stakeholders*.



## Annex 7: Management Action Plan

Ref	Recommendation	Priority Rating	Accepted (Y/N)	Management Comments	Agreed Actions	Office/ Section Responsible	Target Date
1.	The AFI Plan Secretariat should revamp its planning processes by preparing a costed programme document with clear Theory of Change (TOC), implementation strategies, implementation plan and phase out strategies. The Programme Document should be developed in consultation with key stakeholders, including Member States, the four ROs and other relevant stakeholders.	High	Y	<p>The current programme cycle of the AFI Plan will end by the 2024.</p> <p>Considering the depth of the work to be performed as well as associated time factor and approval processes, the following steps are proposed:</p> <p>a) Costing of the approved work programme until 2024</p> <p>b) Development of a costed Programme Document with a wider consultation of key stakeholders, States and ROs for the next programme cycle (2025-30)</p> <p>Consultation is required with the AFI Plan Steering Committee/Chairperson.</p>	<p>In coordination with ISG, AFI Plan Secretariat to:</p> <p>a) Prepare the costing of the SC approved work programme until 2024</p> <p>b) Prepare a costed programme with a clear Theory of Change, implementation strategies and monitoring matrix for the next cycle of the AFI Plan (2025-30)</p>	AFI Plan Secretariat	<p>31 Dec 2023</p> <p>30 June 2024</p>
2.	<p>The AFI Plan Secretariat should improve its result based monitoring and reporting system in order to monitor its progress and establish the contribution of AFI Plan to progress made by Member States. In this regard, it should:</p> <ul style="list-style-type: none"> <li>Prepare a monitoring and evaluation plan</li> </ul>	High	Y		<p>In coordination with ISG, AFI Plan Secretariat to:</p> <p>a) Develop a framework to monitor the planning, implementation</p>	AFI Plan Secretariat	31 Dec 2023



Ref	Recommendation	Priority Rating	Accepted (Y/N)	Management Comments	Agreed Actions	Office/ Section Responsible	Target Date
	<ul style="list-style-type: none"> <li>Develop and use a database to follow progress of key outcome and output indicators as well as key activities</li> <li>Finalize ROST guidelines with the necessary templates linked to the monitoring and reporting plan and database</li> </ul>				and reporting of AFI Plan activities.  b) Finalize the ROST guidelines with the necessary templates linked to the monitoring and reporting plan and database.		
3.	The ICAO Secretariat should strengthen the Steering Committee to improve its guidance, follow-up and support to the AFI Plan in consultation with relevant Member States. This could include but not limited to improving the Terms of Reference of the SC, limiting membership size to support effective discussion, and guidance, and involving DGCA's and other key stakeholders.	High	Y	There is a need to strike a balance between the recommendation to have a limited membership size while ensuring the representation of all African States in the Steering Committee.  Council Members of the AFI Group represent African Union regions, and the AFI Group Coordinator is a Member of the AFCAC Bureau.  Consultation with the AFI Plan Steering Committee/Chairperson is therefore required.	In coordination with ISG, AFI Plan Secretariat to review the AFI Plan SC TOR taking into consideration the recommendation and current practices.	ICAO AFI Plan Secretariat	31 Dec 2023
4.	The Secretariat should improve the AFI Plan management structure. This could include but not limited to establishing a formal coordination mechanism between AFI Plan Secretariat and participating ROs in implementing the AFI Plan. The Associate Regional Programme Officer (APO) of the AFI	High	Y	Consultation with the AFI Plan Steering Committee/Chairperson is required.	In coordination with ISG, AFI Plan Secretariat to:  a) Revise the AFI Plan management structure, including	AFI Plan Secretariat	31 Dec 2023

Ref	Recommendation	Priority Rating	Accepted (Y/N)	Management Comments	Agreed Actions	Office/ Section Responsible	Target Date
	Plan should also report directly to the Secretary of the AFI Plan.				the coordination mechanism between the AFI Plan Secretariat and concerned ROs. b) Revise the JD of the Associate regional Programme Officer in consistence with the recommendation.		
5.	The ICAO Secretariat, in collaboration with relevant stakeholders, should review the Human Resource Development Fund (HRDF) implementation modalities to align with the needs of Member States and ensure that it complements the AFI Plan human resource capacity building efforts.	Medium	Y	After noting the status of implementation of HRDF for the period 2016 to 2018, the 30 <sup>th</sup> AFCAC Plenary (4-5 December 2018) directed AFCAC Secretariat to facilitate and establish an HRDF Task Force to develop new ToRs of the HRDF, aimed to determine the views of member States and craft the way forward to ICAO Council for final decision.  The HRDF Task Force has completed its work in 2021. However, AFCAC has not yet submitted the report to the ICAO Secretary General.  Consultation with the HRDF Management Committee is required.	In coordination with ISG: a) Coordinate with AFCAC the submission of the report the HRDF Task Force Report  b) Review the HRDF scope, objective and implementation modalities in consistency with the recommendation.	ADB	31 Dec 2023  31 Dec 2024
6.	The ICAO Secretariat should review the existing process of managing the AFI Plan Fund and address the current low-level usage.	Medium	Y	Coordination is required with resource mobilization efforts made by Council Members of	In coordination with ISG:	AFI Plan Secretariat	

