



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

### SIXTEENTH STEERING COMMITTEE MEETING

Montreal, Canada, 26 November 2015

#### Proposal on U.S. FAA Assistance in the Area of Air Traffic Safety Oversight

(Presented by United States of America)

#### EXECUTIVE SUMMARY

This paper presents a proposal for continuing support of the Region's efforts to enhance the level of effective implementation of ICAO standards with respect to air traffic safety oversight.

**Action:** The Steering Committee is invited to:

- a) Note the information contained in the paper;
- b) Endorse the proposal to add two air traffic safety oversight workshops to the AFI plan; and
- c) Provide additional instructions and guidance for the deployment of the workshops as appropriate.

## 1. INTRODUCTION

1.1 The Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan) was developed to address the concerns expressed by the ICAO Council on the safety status of aircraft operations in the AFI Region. The AFI Plan was adopted by the 36th ICAO Assembly (Assembly Resolution A36-1). To implement the AFI Plan, the ICAO Secretary General established on 1 January 2008 the AFI Comprehensive Implementation Programme (ACIP). ACIP developed its work programme around three focus areas to give effect to the objectives of the AFI Plan:

1. Enabling States to establish and maintain a sustainable safety oversight system (infrastructure and capacity building);
2. Assisting States to resolve identified deficiencies within a reasonable time; and
3. Enhancing aviation safety culture of African aviation service providers.

1.2 This paper proposes two workshops to be held in 2016 aimed at developing air traffic safety oversight capabilities to comply with the applicable ICAO Standards and Recommended Practices (SARPs). As such, these activities relate to the first of the three focus areas of the ACIP, i.e., enabling States to establish and maintain a sustainable safety oversight system, and therefore this paper recommends that the seminar and workshop be included in the AFI plan.

## 2. BACKGROUND

2.1 During the ICAO AFI Aviation Safety Symposium held in Dakar, Senegal in May 2014, the AFI delegation met with the U.S. delegation to discuss ways to enhance the Region's level of effective implementation of ICAO SARPs as they relate to the State's responsibilities for safety oversight of Air Navigation Service Providers (ANSPs). The U.S. delegation proposed a series of seminars, which were discussed again on September 8, 2014 when the two delegations held a follow-up meeting in Montreal, Canada. The AFI Plan Steering Committee approved the seminars during its Fourteenth Meeting in October 2014.

2.2 Earlier this year, the United States conducted both an air traffic safety oversight seminar and workshop in Tanzania. Seminar participants received an overview of ICAO's Eight Critical Elements of safety oversight, as well as strategies for applying these concepts to the oversight of ANSPs. Workshop attendees completed air traffic safety oversight organizational self-assessments, received basic instruction in audit skills, participated in developing a mock air traffic safety oversight audit, and completed action plans to address gaps identified through the self-assessment activity. The self-assessments and action plans were intended to assist participants in identifying air traffic safety oversight deficiencies within their organizations, and in creating plans to address at least one of those deficiencies.

2.3 Although initially focused on East Africa, both the seminar and workshop drew participants from a variety of sub-Saharan African States. Content outlines for the 2015 seminar and workshop are included in ATTACHMENT A. A summary of participant feedback is included in ATTACHMENT B.

2.4 Based on the seminar and workshop conducted in 2015, the United States is proposing the following over the next 12 months:

- To conduct two workshops addressing select topics critical to an effective air traffic safety oversight framework. Both workshops will include a one-day overview of air traffic safety oversight responsibilities and strategies for applying concepts contained in the ICAO Safety Oversight Manual to the oversight of air navigation services and ANSPs. The workshops will also include practical exercises intended to provide participating regulators and ANSPs with customizable tools and strategies to improve the effective implementation of international standards. An outline of the notional content for the first workshop is included in ATTACHMENT C.
- The notional content outline for the first workshop to be presented in 2016 is based on topic suggestions put forward by participants in August 2015 workshop. We may also follow-up with participants from the 2015 workshop regarding the status of their action plans to assist in further developing content for 2016 events.
- In order to be responsive to the needs of the Region, we will gather input from the participants in the first workshop for use in designing the second 2016 workshop.

2.5 The United States, through the Department of Transportation's Safe Skies for Africa program, will provide air traffic safety oversight experts to travel to Africa to conduct the workshops. Participants would be expected to fund their travel expenses.

2.6 The workshops will be open to individuals engaged in the design, development, implementation or execution of oversight of an ANSP, such as: heads of CAA safety offices and air

traffic oversight units and air traffic safety inspectors, as well as decision-makers at ANSPs, nominated by their organizations to attend. We encourage organizations to nominate individuals who attended this year's seminar and workshop for continued participation in air traffic safety oversight events.

2.7 The workshops and electronic copies of the materials will be presented in English. Electronic copies of the materials may also be provided in French subject to the availability of ICAO translation services.

2.8 Depending on the response to the workshops, as well as evidence of measurable progress in implementing the covered concepts, the United States intends to seek Steering Committee approval, advice, and support for further seminars and workshops to be held in additional AFI States in 2017 and beyond.

-END-

## ATTACHMENT A

### Seminar Content Outline: Improving the Safety of Air Traffic Services through Independent Oversight March 2015

#### TUESDAY

<b>Registration</b>
<b>Welcome and Introductions</b>
<b>Laying the Groundwork</b>
<b>Basic Safety Oversight of an Air Navigation Service Provider</b>
<b>Establishing a Baseline: Effective Implementation of the ANS Protocol Questions</b>

#### WEDNESDAY

<b>Critical Element 1: Primary Aviation Legislation</b>
<b>Critical Element 2: Specific Operating Regulations</b>
<b>Critical Element 3: State Civil Aviation System and Safety Oversight Functions</b>
<b>Discussion and Q&amp;A</b>
<b>Special Emphasis Activity: PQs 7.003, 7.031, 7.131, and 7.057</b>
<b>Critical Element 4: Qualified Technical Personnel and Training</b>
<b>Discussion and Q&amp;A</b>

#### THURSDAY

<b>Critical Element 5: Technical Guidance, Tools and Provision of Safety Critical Information</b>
<b>Critical Element 6: Licensing, Certification, Authorization and Approval Obligations</b>
<b>Special Emphasis: PQs 7.085, 7.087, and 7.091</b>
<b>Discussion and Q&amp;A</b>
<b>Critical Element 7: Surveillance Obligations</b>
<b>Critical Element 8: Resolution of Safety Concerns</b>
<b>Special Emphasis: PQ 7.187</b>
<b>Discussion and Q&amp;A</b>

#### FRIDAY

<b>Air Traffic Safety Oversight in the State Safety Program</b>
<b>Oversight of a Service Provider's Safety Management System</b>
<b>Safety Risk Management</b>
<b>Moving the Dial: ICAO iStars Database and Tracking Achievements</b>
<b>Discussion and Q&amp;A</b>
<b>Conclusions</b>
<b>Presentation of Certificates</b>
<b>Closing Remarks</b>
<b>End</b>

**Workshop Content Outline: Developing and Implementing an Air Traffic Safety Oversight Program  
August 2015**

MONDAY

<b>Registration</b>
<b>Welcome and Introductions</b>
<b>Participant Introductions</b>
<b>Activity: Air Traffic Safety Oversight Self-Assessment</b>
<b>Review: Applying the Eight Critical Elements to Air Traffic Safety Oversight</b>
<b>Discussion: Outcomes from March 2015 Seminar</b>
<b>Workshop Goals</b>
<b>EGNOS/SBAS-Africa Services Provision and ANSP Certification</b>

TUESDAY

<b>Challenges to Implementing Critical Elements 4, 7, and 8, and Possible Solutions</b>
<b>Achieving Success: Critical Element 4</b>
<b>Workshop: Training and Guidance for Air Traffic Safety Inspectors</b>
<b>Discussion/Q&amp;A/Wrap-Up</b>

WEDNESDAY

<b>Achieving Success: Critical Element 7</b>
<b>Banjul Accord Group Aviation Safety Oversight Organization Surveillance of ANS</b>
<b>Workshop: Developing an Air Traffic Safety Audit</b>
<b>Discussion/Wrap-Up</b>

THURSDAY

<b>Workshop: Developing an Air Traffic Safety Audit</b>
<b>Achieving Success: Critical Element 8</b>
<b>Workshop: Develop An Air Traffic Safety Oversight Action Plan</b>

FRIDAY

<b>Workshop: Develop an Air Traffic Safety Oversight Action Plan</b>
<b>Presentation of Certificates</b>
<b>Closing Remarks</b>
<b>End</b>

## ATTACHMENT B

### Summary of Participant Feedback from 2015 Seminar and Workshop

Seminar, “Improving the Safety of Air Traffic Services through Independent Oversight”

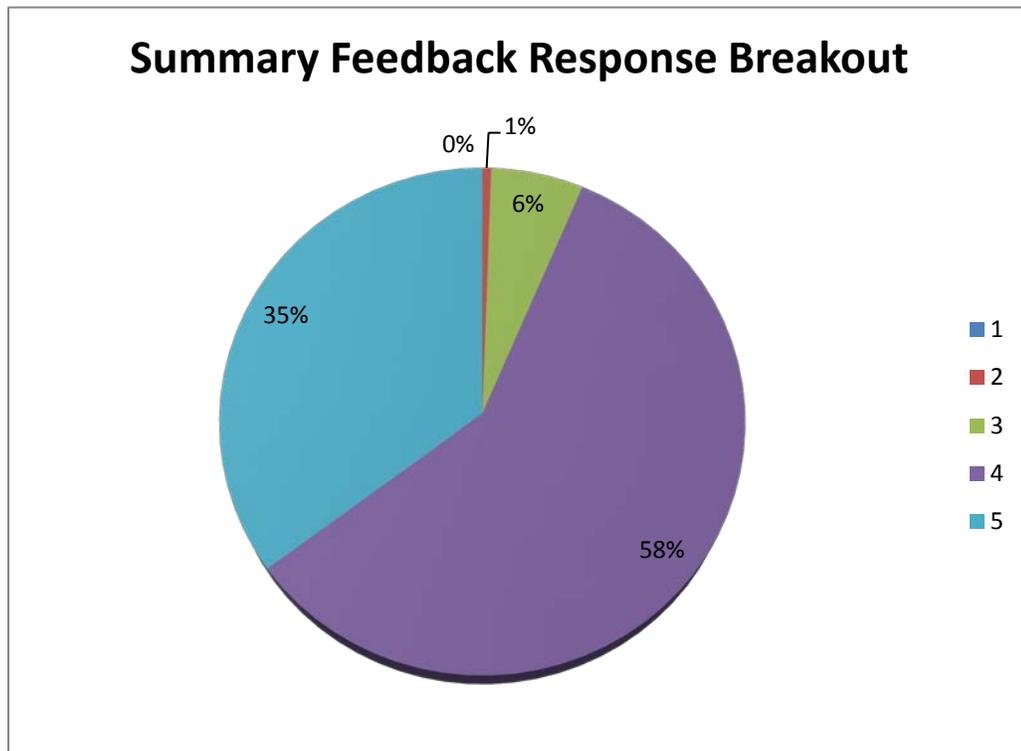
**Sub-Saharan Africa States in attendance: 17**

**Number of participants: 67**

**Number of feedback forms received: 60**

#### Evaluation Questions

	Poor	Good			Excellent
	1	2	3	4	5
1. How would you rate the structure of the Seminar (length of seminar, length of individual presentations, order of presentation)?	0	1	4	38	17
2. Please circle the number to the right that best describes how well the speakers did in presenting the material.	0	0	7	30	22
3. How would you rate the Seminar content?	0	0	3	25	33
4. How would you rate the Activities? How helpful were the activities in encouraging discussion?	0	0	4	43	13
5. How would you rate the supplemental Handout materials?	0	1	0	36	22
6. Overall, how well did the Seminar meet your expectations?	0	0	3	37	19
	<b>0</b>	<b>2</b>	<b>21</b>	<b>209</b>	<b>126</b>



Workshop. “Developing and Implementing an Air Traffic Safety Oversight Program”

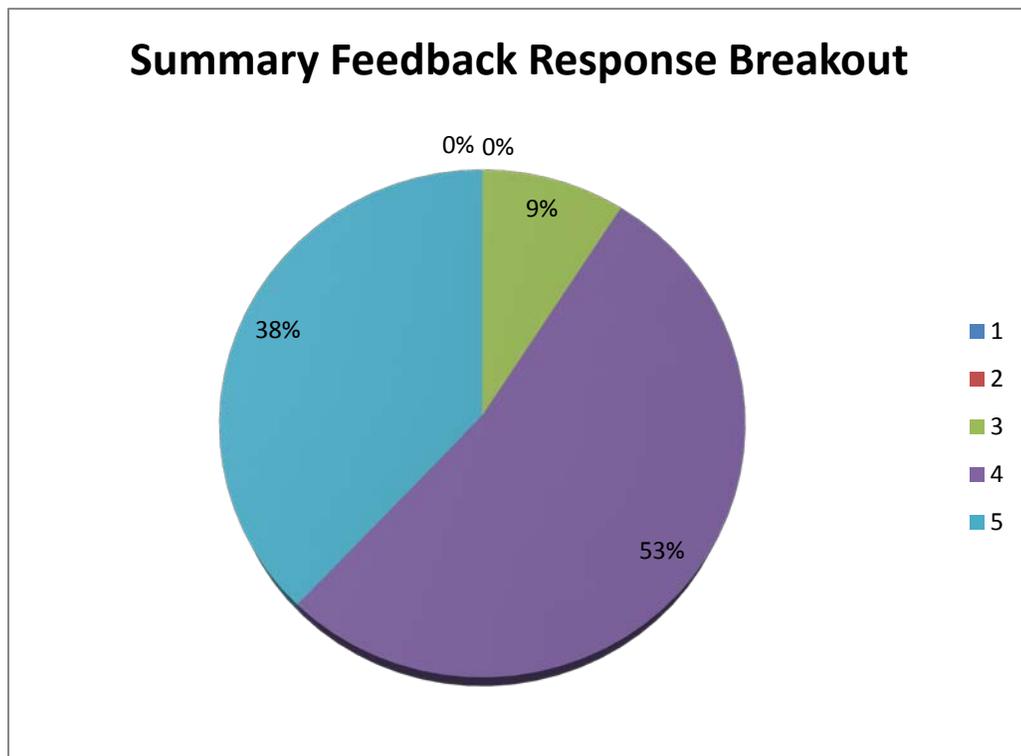
**Sub-Saharan Africa States in attendance:** 16 States and 8 organizations

**Number of participants:** 70 (45 returnees from the Seminar held in March 2015)

**Number of feedback forms received:** 57

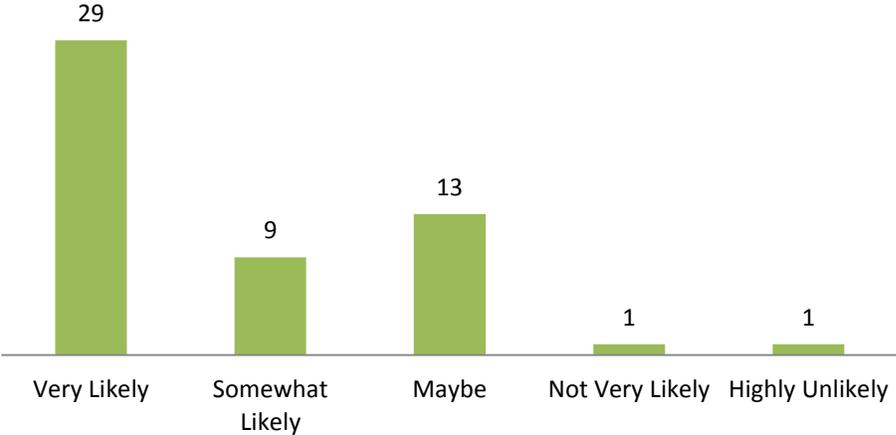
**Evaluation Questions**

	Poor	Good			Excellent
	1	2	3	4	5
1. How would you rate the structure of the Workshop (length of Workshop, length of individual presentations, and order of presentation)?			3	38	16
2. Please circle the number to the right that best describes how well the speakers did in presenting the material.			2	32	22
3. How would you rate the Workshop content?			4	27	26
4. How would you rate the Activities?			14	24	18
5. How would you rate the supplemental Handout materials?			3	26	28
6. Overall, how well did the Workshop meet your expectations?			5	33	19
	0	0	31	180	129



# Likelihood of Attending Another Event

■ Series1



## ATTACHMENT C

### Air Traffic Safety Oversight Workshop #1: Notional Content Outline

#### MONDAY

**Registration**

**Welcome and Introductions**

**Workshop Goals**

**Aviation Safety Oversight Responsibilities**

**ICAO Eight Critical Elements of Safety Oversight**

**Applying the Eight Critical Elements to Air Traffic Safety Oversight**

#### TUESDAY

**Safety Management System (SMS) and Safety Risk Management (SRM) Overview**

**Safety Oversight of an Air Navigation Service Provider's (ANSP) SMS**

**Workshop Activity: Assessing an ANSP's SMS**

#### WEDNESDAY

**Best Practices for Reviewing a Safety Case**

**Workshop Activity: Reviewing an ANSP Safety Case**

#### THURSDAY

**Workshop Activity: Reviewing Proposed Changes to the SMS Manual**

**Applying SRM to the Surveillance Program**

#### FRIDAY

**Collaboration and Sharing of Safety Work**

**Presentation of Certificates**

**Closing Remarks**

**End**