



COSCAP– **South Asia**



(under Technical Cooperation Programme – International Civil Aviation Organization)

INSTITUTIONAL FRAMEWORK AND ADMINISTRATIVE PROCEDURES MANUAL

**May 2008 Edition
(to be approved by the Steering Committee)**



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DEFINITIONS AND ABBREVIATIONS

Sec : x

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ABBREVIATIONS


ACSTE	Aerodrome Certification and Safety Training Expert
ASFP	Agency Security Focal Point
ATS	Air Traffic Services
CAST	Commercial Aviation Safety Team
COSCAP-SA	Cooperative Development of Operational Safety and Continuing Airworthiness Programme- South Asia
EASA	European Aviation Safety Agency
FAA	Federal Aviation Administration
FOE	Flight Operations Expert
ICAO	International Civil Aviation Organization
IUSOAP	ICAO Universal Safety Oversight Audit Programme
JAA	Joint Aviation Authorities
JSSI	Joint Strategic Safety Initiative
MOU	Memorandum of Understanding
OJT	On-the-Job Training
PC	Programme Coordinator
PLE	Personnel Licensing Expert
RAI	Regional Airworthiness Inspector
RFOE	Regional Flight Operations Expert
RFOI	Regional Flight Operations Inspector
RFSI	Regional Flight Safety Inspectors

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SARAST	South Asia Regional Aviation Safety Team
SARPs	Standards and Recommended Practices
SC	Steering Committee
SCM	Steering Committee Meeting
TCB	Technical Cooperation Bureau (of ICAO)
UNDP	United Nations Development Programme

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A. INTRODUCTION

A.1 GENERAL

A.1.1 The Institutional Framework and Administrative Procedures Manual (IFAPM) contains the current policies and procedures of the COSCAP-South Asia as approved and or adopted by its Steering Committee (SC).

A.1.2 The members of COSCAP-South Asia are the respective civil aviation administration of Bangladesh, Bhutan, India, Maldives, Nepal, Pakistan and Sri Lanka.

A.1.2 The policies described in this Manual are based on the decisions taken by the Steering Committee (SC) of the COSCAP-South Asia, which includes the heads of civil aviation administrations in the COSCAP-SA member States. The administrative principles and procedures are based on ICAO TCB guidelines and associated practices that have proven to be appropriate and effective in the operation of such programme.

A.1.3 Reference has been made in the Manual, where required, to relevant ICAO Technical Cooperation Bureau (ICAO/TCB) Rules, Manuals, Standing Orders and/or Instructions concerning field staff without duplicating any contents thereof.


A.2 IDENTIFICATION AND CLASSIFICATION OF CONTENTS

A.2.1 The format of this Manual will permit incorporation of amendments in the form of additions or deletions or substitution.


A.2.2 Contents are segregated by subject headings, reference serial number and date of issue

A.3 AMENDMENT PROCEDURE FOR THE MANUAL

A.3.1 Amendments to the Manual shall be incorporated on the authority of the COSCAP-SA Steering Committee (SC). The established rules and administrative procedures of the ICAO Technical Cooperation Programme under which its services are provided will, however, not be amended unless specifically agreed upon by ICAO/TCB.

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B. OVERVIEW OF COSCAP-SOUTH ASIA

B.1 EVOLUTION OF COSCAP-SOUTH ASIA

B.1.1 Background

B.1.1.1 The ICAO Assembly, by Resolution A29-13 - *Improvement of Safety Oversight*, recognized that many Contracting States may not have the regulatory framework or financial or technical resources to carry out the minimum requirements of the Chicago Convention and its Annexes. Having noted that many Contracting States might experience difficulties in carrying out their responsibilities under international law for safety oversight of air carrier operations, the Assembly called upon all Contracting States to reaffirm their safety oversight obligations, to review their safety oversight procedures to ensure effective implementation and, with respect to those States able to do so, to provide requesting States with assistance in the form of financial and technical resources to enable such requesting States to fulfill their responsibilities for safety oversight of air carrier operations.

B.1.1.2 The ICAO Assembly, by Resolution A32-11 – *Establishment of an ICAO universal safety oversight audit programme* resolved that such a USOAP programme be established comprising regular, mandatory, systematic and harmonized safety audits, to be carried out by ICAO.


B.1.1.3 By Resolution A33-8 – *Continuation and Expansion of the ICAO Universal Safety Oversight Audit Programme*, the Assembly resolved, *inter-alia*, to expand the ICAO USOAP to Annex 11 – *Air Traffic Services* and Annex 14 – *Aerodromes* as of 2004.

B.1.1.4 By Resolution A33-9 – *Resolving deficiencies identified by the Universal Safety Oversight Audit Programme and encouraging quality assurance for technical cooperation projects*, the Assembly, *inter-alia*, requested the Secretary General to support, foster and facilitate the use of bilateral and multilateral agreements for projects between States and international or regional organizations.

B.1.1.6 By Resolution A32-15 – *ICAO Global Aviation Safety Plan*, the Assembly, *inter-alia*, endorsed the establishment of the ICAO Global Aviation Safety Plan (GASP) and urged all Contracting States to provide the needed support for its various elements and encouraged States to foster regional and sub-regional safety groups, and to take measures to ensure that human resources in civil aviation obtain and maintain the appropriate level of competency.

B.1.1.7 By Resolution A 33-16 – *ICAO Global Aviation Safety Plan*, the Assembly, *inter-alia*, urged the Contracting States to adopt the GASP objectives to reduce aircraft accidents and to reduce the worldwide accident rate.

B.1.1.8 The Directors General of Civil Aviation of seven South Asian States (Bangladesh, Bhutan, India, Maldives, Nepal, Pakistan and Sri Lanka), with the intent to co-operate in removing the deficiencies in their flight safety oversight capabilities in association with ICAO, constituted a Steering Committee to consider the possibility of participating in an ICAO

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Technical Cooperation Bureau proposed Programme for the co-operative development of operational safety and continuing airworthiness of aircraft in the region

B.1.1.9 The Steering Committee, at its meeting at the ICAO Regional Office, Bangkok on 7 and 8 January 1997, considered and approved the Project Document for the Cooperative Development of Operational Safety and Continuing Airworthiness Programme – South Asia (COSCAP-SA).

B.1.1.10 Following up on ICAO Assembly Resolution A33-8, the Steering Committee at its 7th Meeting decided to include aerodrome safety oversight in the Programme. This decision was followed subsequently by the decision to include air traffic services safety in the Programme as was reflected in project document, revision II. The 12th Steering Committee Meeting emphasized however that the main focus of the Programme will remain on flight safety (ICAO Annexes 6 and 8)

B.1.1.11 Following up on the ICAO Assembly resolutions on the subject of GASP, the Steering Committee at its 9th meeting approved the formation of the South Asia Regional Aviation Safety Team (SARAST).


B.1.1.12 The Steering Committee all along recognized that, as envisaged in the COSCAP-SA Programme Document, the Programme should be strengthened gradually with the goal of evolving it finally into a Regional Safety Oversight Organization as enunciated by ICAO, depending on the needs and will of the States participating in the Programme.

B.1.1.13 The major achievements of the COSCAP- SA Programme since establishment includes:

- Theoretical and on-the-job training for regional flight safety inspectors assigned to the Programme and a large number of national inspectors and other personnel ;
- Development of a vast array of manuals, handbooks, guidance material and other relevant documents for adoption or adaptation by the Member States ;
- Providing on-site technical assistance on various technical fields to Member States with the help of Regional Experts, and
- Establishment of a regional team of experts to recommend and oversee the implementation of accident prevention measures (SARAST).

B.1.2 Institutionalization of COSCAP-SA

- (i) **Considering** that through the implementation of the COSCAP-SA Programme:
- adequate experience had been gained by the regionally recruited experts on the COSCAP-SA Programme in the operation and management of the Programme;
 - good experience had been gained by a number of national experts in the COSCAP-SA member States whose expertise would henceforth be available for sharing in the region and
 - each COSCAP-SA State had instituted a system in place for inclusion in its annual budgets, of its financial contribution to the COSCAP-SA Programme Trust Funds maintained by ICAO,

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The Steering Committee, at its 12th meeting held at Lahore, Pakistan, on 9-12 December 2003, confirmed its decision to institutionalize the COSCAP- SA Programme, retaining the ICAO Trust Funds arrangements for the continuation of its management and operation of the programme for the period 2004-2007.

(ii) The “Institutional Framework” for COSCAP-SA was drafted and subsequently adopted by the Steering Committee at its 14th meeting in June 2005. This document provided for COSCAP-SA having its own work programme, its own budget and its own staff, but not being incorporated as a legal entity under international or national law. It is therefore a co-operative, unincorporated institution. Funding is provided partly through contributions from Participating States, and partly through grants from third-party multilateral and bi-lateral donors.


(iii) It was considered that:

- generally the existing institutional structure is adequate to serve the objectives of the Programme and is not considered advisable to increase its complexity and costs, by e.g. setting it up as a formal international organization under a formal treaty or by incorporating it under national law, as these avenues are considered unnecessary and too costly;
- in view of the evolving needs of the Participating States, coupled with the requirements of donors and following the evolution of other regional aviation safety organizations, it may be advisable to further update and enhance the “Institutional Framework”, considering, in particular:
 - the need for change in Programme structure;
 - the need for change in funding structure;
 - harmonization of certain standards and procedures, and
 - Some States being in need of assistance in carrying out certain functions, in particular, certification/recertification of air operators, of maintenance organizations, personnel licensing, aerodrome certification, ATS and airport safety management planning and implementation, and there being a continuing need in a number of Member States for further enhancement of national capabilities through continuation of the existing Programme activities, the need for the institution of a mechanism for the use of the available capability in certain Member States in carrying out specific tasks in other Member States on a non-commercial cost-compensation basis, in the spirit of regional cooperation.


The Steering Committee, at its Discussion Paper 8 titled “Review of COSCAP-SA Institutional Framework in Light of the Evolving needs of its Participating States”.

15th meeting held at Kandy, Sri Lanka on 7-9 February 2006 considered the proposed Articles of the Institutional Framework for COSCAP-SA presented under Discussion

(iv) The revised Institutional Framework was finalized following a written consultative process with Member States and is included in this Manual in Chapter B.2. All Member States participating in the COSCAP-South Asia have

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placed their signature for a Memorandum of Understanding that was developed based on the revised Institutional Framework.

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B.2 INSTITUTIONAL FRAMEWORK OF THE COSCAP SOUTH ASIA

The Member States participating in the COSCAP-South Asia have signed a Memorandum of Understanding as follows, in regard to the functioning of the programme.

MEMORANDUM OF UNDERSTANDING BETWEEN STATES PARTICIPATING IN THE COSCAP-SOUTH ASIA

WHEREAS the Civil Aviation Authorities/Directors General of Civil Aviation of the States participating in the COSCAP - SA Programme, hereinafter the “COSCAP - SA Members”, have established the COSCAP - SA;

WHEREAS it is the mission of the COSCAP - SA Programme to enhance the safety and efficiency of air transport operations in a cost-effective manner, by enhancing the safety oversight capabilities of COSCAP-SA Members and providing a regional forum for addressing aviation safety issues, in order to establish and maintain a safe civil aviation environment in South Asia and beyond;

WHEREAS the cooperation and partnership of industry, other States and their regional organizations as well as the donor community at large having stakes and interest in promoting aviation safety is crucial to the successful functioning of COSCAP-SA;

WHEREAS the COSCAP - SA Members have approved an “Institutional Framework” for the operation of COSCAP - SA;


WHEREAS it is desirable to document the terms and conditions of the Institutional Framework of COSCAP-SA in a Memorandum of Understanding accordingly;

NOW THEREFORE it is understood as follows:

Article I Objectives

The objectives of COSCAP-SA shall be:

- 1.1 Strengthen the regional institutional framework for aviation safety and assist in the development of a harmonized regulatory framework amongst Member States;
- 1.2 Promote a comprehensive system approach to the conduct of safety oversight activities, focusing on the effective implementation of Standards and Recommended Practices (SARPs), the efficient oversight capability of Member States and assist the Member States in the effective implementation of the critical elements of safety oversight as identified by ICAO;

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- 1.3 Develop a regional information sharing system in order to improve access to safety-related information;
- 1.4 Assist the Civil Aviation Administrations of the Member States in their efforts to comply with international and national civil aviation safety standards; and
- 1.5 Support the human resource development requirements of the civil aviation administrations of the Member States in the field of civil aviation.

Article II Functions

- 2.1 The objectives stated in Article I are to be achieved through undertaking tasks for the common benefit of all COSCAP - SA Members – the “core services”, on the one hand, and undertaking tasks for the benefit of Members or groups of Members – the “services on request”, on the other hand, as follows:
 - 2.1.1 **Core services:** undertaking tasks for the common benefit of all COSCAP - SA Members:
 - (a) improving the proficiency of regional and national inspectors and other professional staff of the Member States by participation in training workshops, seminars, meetings, events or courses and on-the-job training;
 - (b) developing and establishing a common regulatory framework, based on ICAO regulations and SARPS, for aviation safety oversight for the Member States and at a pace to be determined by the Steering Committee;
 - (c) developing a harmonized set of standards, procedures manuals and other guidance material, and fostering their application;
 - (d) accident prevention in line with the Global Aviation Safety Plan (GASP);
 - (e) assisted / harmonized implementation of new SARPS;
 - (f) assistance with the implementation of Regional Air Navigation Plans;
 - (g) mobilizing technical resources from stakeholders in aviation safety with the assistance of ICAO;
 - (h) organizing the meetings and activities of the South Asian Regional Aviation Safety Team (SARAST); and
 - (i) any other common benefit task determined by the Steering Committee for the enhancement of safety, efficiency or regularity in civil aviation in the region.


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2.1.2 **Services on Request:** undertaking tasks for the benefit of a Member or groups of Members, on “as required” basis and in accordance with the funding requirements of Article III 3.7 below:

- (a) providing assistance in the implementation of national regulations, standards, procedures, manuals and other guidance material;
- (b) execution of suitable safety oversight functions on behalf of members, e.g. in the areas of annual safety inspections/audits, certification/recertification of air operators, maintenance organizations, airports and ATS systems, establishment and implementation of Safety Management Systems;
- (c) assisting the national inspectors in specific safety oversight tasks and provision of specific classroom training or on-the-job training to the national inspectors;
- (d) providing assistance in resolving safety-related deficiencies identified through audits and provision of quality assurance functions including the provision of necessary assistance for the Member State or group of Member States to prepare for the ICAO USOAP;
- (e) any other tasks falling within the scope of the objectives of COSCAP-SA requested by a Member or group of Members as decided by the Steering Committee.

Article III Organs and Funding

- 3.1 The Annual Work Programme of COSCAP-SA shall be decided upon by the Steering Committee.
- 3.2 The COSCAP-SA Programme shall be implemented by the Technical Co-operation Bureau of ICAO within the existing ICAO legal regime applicable to the ICAO Technical Cooperation Programme.
- 3.3 The core services of COSCAP-SA as defined in Article II 2.1.1 above shall primarily be funded by the Member States through annual contributions in accordance with a cost-sharing formula approved by the Steering Committee. The funds shall be placed by ICAO in a Trust Fund account for the COSCAP-SA Programme.
- 3.4 Contributions in the form of grant funds and / or contributions in kind from external donors such as international organizations (public and private) in the field of aviation or associated with it, regional organizations of States, individual donor States, aircraft, aircraft component or aerospace manufacturers, airlines, airports, air navigation services providers, other members of the aero-space industry and any other stakeholders in aviation safety, or international banks supporting infrastructure development in the region, will be welcomed. ICAO


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shall enter into agreements with the different donors for the use of such grant funds, the conditions for which shall be agreed between the specific donors and ICAO. These grant funds shall be considered as supplemental resources, the primary source of funds being the Member States themselves in accordance with 3.3 above.

- 3.5 The non-public sector stakeholders in aviation safety will be considered as Programme donors by the Steering Committee (Article VII refers) after satisfying itself on the background of such organizations and their compatibility with the Programme objectives defined in Article I above.
- 3.6 Member States' annual contributions, supplemented, as available, by donor funds for the general pool of the COSCAP-SA Trust Fund in ICAO, will be used for common benefit functions defined in Article II, paragraph 2.1.1.
- 3.7 For functions described in Article II, paragraph 2.1.2, the respective Member or group of Member States, air operators, aircraft maintenance organizations, airport operators or ATS service providers receiving the service shall deposit the estimated cost of the service in the COSCAP-SA Trust Fund in ICAO; the service recipient may also request ICAO, through the respective CAA of the Member State, to approach the donor community to contribute in full or in part to the service cost.
- 3.8 COSCAP-SA shall hold ICAO, including its field staff, harmless with regard to any claims, demands or legal actions by third parties which are arising from or relating to the operation of COSCAP-SA.
- 3.9 Nothing set down in this Memorandum of Understanding or related thereto shall be considered as constituting renunciation of the privileges and immunities of ICAO, as a specialized agency of the United Nations.

Article IV COSCAP –SA Programme Management

- 4.1 The ICAO Technical Co-operation Bureau shall provide the services specified in the latest applicable revision of the COSCAP-SA Programme Document in accordance with established ICAO rules, policies, procedures and practices. In general, the services shall include but not limited to:
 - (a) Recruitment, contracting, fielding, and administration of international and regional experts, as approved by the Steering Committee;
 - (b) Recruitment, contracting, fielding and administration of additional short-term international experts and such national experts available and offered by Members on a non-commercial basis for deployment in another Member or group of Members for the provision of specific services;
 - (c) Procurement of Programme equipment and specific equipment required by a Member or Group of Member States as the case may be;

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- (d) Arrangement and administration of fellowship training, study tour or similar activities for the participants of the Member or group of Member States offered by donors or a Member or group of Member States;
- (e) Maintenance and administration of Programme funds according to applicable ICAO regulations, rules, directives, procedures and practices;
- (f) Financial and budgetary control to ensure that Programme expenditures, obligations and commitments are within the limitation of the available funds;
- (g) Preparation and submission of periodic financial statements;
- (h) Technical back-stopping and support to the field operations;
- (i) Preparation and submission of Working and Discussion Papers to the Steering Committee Meeting;
- (j) Review and finalization or *ab-initio* preparation of Programme reports;
- (k) Project monitoring, progress reviews and follow-up actions;
- (l) Other miscellaneous programme management functions;
- (m) Membership in the Steering Committee and participation in its meetings; and
- (n) any other matter which the Steering Committee may assign by resolution, in co-ordination and concurrence with the ICAO Technical Co-operation Bureau.

Article V Location

- 5.1 COSCAP-SA is currently based in Colombo, Sri Lanka; the Director General of Civil Aviation, Civil Aviation Authority of Sri Lanka provides administrative support to the Office. The Steering Committee may, however, at any time decide to rotate the office as mutually agreed upon.

Article VI Operation

- 6.1 The core services of COSCAP-SA as defined in Article II 2.1.1 above shall be carried out by a core team of internationally and/or regionally recruited safety oversight experts, supplemented, as required, by regionally or internationally recruited short term consultants. One of these experts shall be assigned the additional task of Programme Coordinator or there can be a full time Programme Coordinator, as may be determined by the Steering Committee by resolution.
- 6.2 A balanced approach shall be applied in the use of regionally recruited, internationally recruited and national experts for Programme implementation.


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- 6.3 COSCAP-SA shall maintain a roster of suitably qualified and experienced national experts which may be drawn upon to be recruited as members of the regional team for carrying out assigned activities in their respective fields of specialization.
- 6.4 The “services on request” as referred to in Article II 2.1.2 above shall be provided through deployment of the services of additional international or regional experts in the Programme core team on a cost recovery basis, or through mobilization of such resources available and offered by any other Member on a non-commercial basis, as warranted.
- 6.5 Annual work plans shall be prepared by the Programme Coordinator based upon the decisions taken and priorities determined by the Steering Committee, taking into account the immediate needs of the Member States and the availability of funds.
- 6.6 The Member States will ensure full participation of their relevant national staff in the Programme activities and if a Member States so wishes, it may attach one or more its national inspectors to work with the technical staff of COSCAP-SA, for additional training or exposure, at its own cost.

Article VII

Governing Body – The Steering Committee

- 7.1 The Steering Committee shall be composed of:
- (a) the heads of civil aviation administrations responsible for regulatory functions in the COSCAP- SA Member States (Directors General of Civil Aviation/ Chairmen of Civil Aviation Authorities) or their designated representatives of the Member States;
 - (b) the Director, ICAO Technical Cooperation Bureau or his representative and ICAO Regional Director, Bangkok or his representative.
 - (c) the Programme Coordinator who will act also as the Secretary of the Steering Committee.
- 7.2 Representatives from organizations, States, agencies or entities mentioned in Article III 3.4 above may be invited to participate in meetings as observers. Donor States, agencies, organizations and industry having made a financial contribution or contribution-in-kind may be recognized as “Partners” in the implementation of the Programme.
- 7.3 The Chairmanship of the Steering Committee shall be rotated annually among the heads of the civil aviation administrations responsible for regulatory functions in the COSCAP-SA Member States, unless otherwise resolved by the Steering Committee.
- 7.3 The COSCAP-SA Steering Committee shall meet, at least once a year, normally in the country of its current Chairman. If, for any reason, it is not possible for the

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meeting to be held in the country of its current Chairman, it shall be held in another Member State offering to host it.

- 7.4 The Steering Committee shall:
- a. Monitor and evaluate the Programme activities since the previous meeting;
 - b. Formulate policies and assign priorities for the activities of COSCAP-SA, taking into account the requirements of this Memorandum of Understanding, and the provisions in the current phase of the COSCAP - SA Programme document and the availability of funds;
 - c. Review and approve the annual work programme and budget of COSCAP-SA; and
 - d. review and direct the work of SARAST.

Article VIII Joining COSCAP-SA


- 8.1 Subject to such terms and conditions which the Steering Committee may prescribe, any ICAO Contracting State in the sub-region shall be eligible to join COSCAP-SA by notifying a request to the Steering Committee, which shall decide on the matter at its next meeting. However, this shall not preclude consideration by the Steering Committee of the request of any other ICAO Contracting State to join COSCAP-SA.

Article IX Amendments

- 9.1 This Memorandum of Understanding may be amended by the Steering Committee by unanimity. The established rules and administrative procedures of the ICAO Technical Cooperation Programme under which ICAO services are provided will, however, not be amended unless specifically agreed upon by ICAO.

Article X Dissolution

- 10.1 COSCAP-SA shall operate and retain validity and effect until dissolved by the Steering Committee. Upon dissolution, disbursement of any funds remaining in the Trust Fund account of the COSCAP-SA after liquidation of all obligations and commitments entered into by ICAO shall be made in accordance with the principles to be established by the Steering Committee.


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Article XI Settlement of Disputes

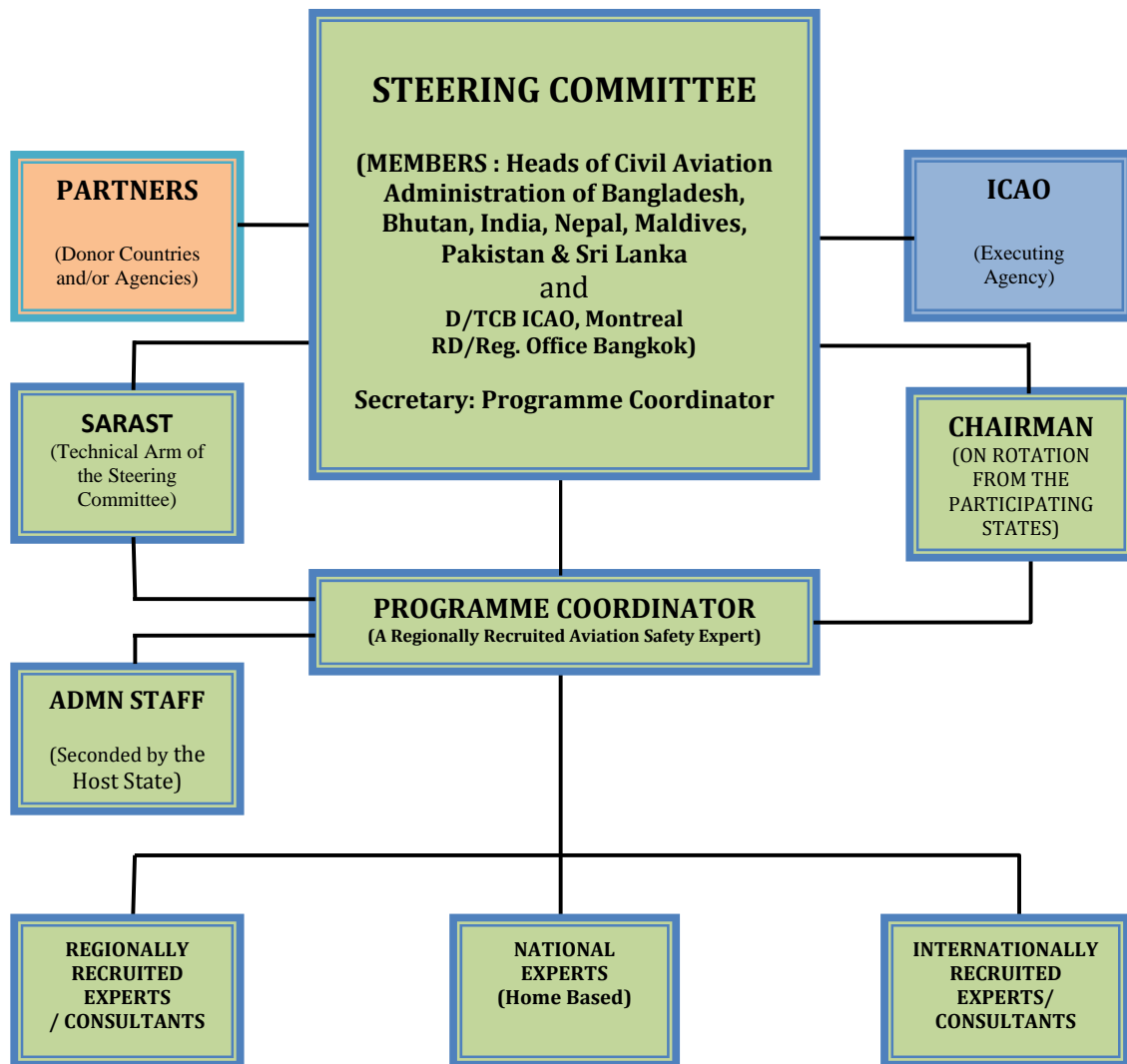
- 11.1 Any dispute or difference relating to the interpretation or application of this Memorandum of Understanding, or the termination or invalidity thereof, shall be settled in the first instance by direct negotiations between the Parties. In case such direct negotiations are unsuccessful, the Steering Committee of COSCAP-SA may render any assistance likely to further the negotiations, including the designation of a person or group of persons to act as conciliator during the negotiations.


In witness whereof, the undersigned Civil Aviation Authorities/Directors General of Civil Aviation have signed this Memorandum of Understanding.

Chairman, Civil Aviation Authority of Bangladesh
 Director, Department of Civil Aviation Bhutan
 Director General of Civil Aviation, Directorate of Civil Aviation India
 Executive Director, Civil Aviation Department Maldives
 Director General of Civil Aviation, Civil Aviation Authority Nepal
 Director General of Civil Aviation, Civil Aviation Authority Pakistan
 Director General of Civil Aviation, Civil Aviation Authority Sri Lanka
 Director – Technical Cooperation Bureau, ICAO, Montreal, Canada
 Regional Director – ICAO Regional Office (Asia and Pacific), Bangkok, Thailand

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B.3 COSCAP – SA INSTITUTION – ORGANIGRAM



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B.4 SOUTH ASIAN REGIONAL AVIATION SAFETY TEAM (SARAST)

1. Introduction

1.1 In the 8th Steering Committee Meeting an initial discussion paper on the formation of SARAST was presented and discussed. In the 9th Steering Committee Meeting the formation of SARAST was approved.

1.2 The formation of SARAST was a instituted in the South Asia sub- region in response to the ICAO Global Aviation Safety Plan (GASP) endorsed by the 33rd Assembly of ICAO that stressed the need for a reduction in the rate of fatal accidents in air transport operations.

1.3 SARAST work constitutes now an important activity of the COSCAP-SA Programme.


1.4 In its formation, SARAST benefited from the experience of the US Federal Aviation Administration (FAA) and the European Joint Aviation Authorities (JAA) in the formation and work of the Commercial Aviation Safety Team (CAST) and the JAA Safety Strategy Initiative (JSSI). Both CAST and JSSI draw upon a broad base of experts from government agencies, airlines, manufacturers, aviation associations, labour unions and other stakeholders in aviation safety. The focus of their efforts has been on rigorous analyses of accidents that occurred over the most recent ten year period for which significant data was available. These initiatives identified and categorized the major causes of accidents and assigned priorities for the purpose of pursuing remedial actions. Top accident causal categories being examined by these groups are:

- Controlled flight into terrain
- Approach and Landing
- Loss of control
- Uncontained engine failure
- Runway incursions
- Weather

1.4 CAST and JSSI work in close co-operation to analyze significant worldwide accidents/incidents, develop recommendations for improvement actions and commit/monitor the implementation thereof. Members from each group participate in the activities of the other group on a regular basis.

2. Objective of SARAST

- (a) The objective of SARAST is to recommend accident prevention interventions to the Steering Committee. Additionally, the Team members will serve as the focal points for introducing the interventions within their respective States / Administrations and for coordinating their efforts with the service providers, airlines, and aircraft manufacturers.

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- (b) The focus and priority of SARAST is to introduce, support and develop actions which have the potential to effectively and economically reduce the regional accident rate

3. SARAST activities

- (i) Review safety interventions which have already been developed by ICAO and the existing safety groups such as CAST and JSSI and advise the Steering Committee which of these are appropriate for implementation in the South Asia region.
- (ii) Review regional accidents / significant incident trends and other matters of local concern and identify specific areas of concern to flight safety within the region (such as aging aircraft, air rage incidents etc.) which require emphasis, preparation of data and interventions to address these concerns.
- (iii) Work closely with service providers, airlines, manufacturers, other relevant industries, labour associations and other relevant organizations to ensure that interventions are implemented through coordinated efforts.
- (iv) Review outputs from ICAO safety oversight audits and the issues identified by Member States.

4. Regional Aviation Safety Team

- (i) At the 17th Steering Committee held in Bangkok from 06-08 November 2008, it was decided that subject to the decisions of the relevant Steering Committees of the COSCAP-NA and COSCAP-SEA, the SARAST should join with NARAST and SEARAST to form a combined Regional Aviation Safety Team (RAST) which will be designated as 'Asia Regional Aviation Safety Team (ARAST)' which may meet for the usual period of days with an additional day to deliberate on sub-regional issues specific to COSCAP-South Asia.

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B.5 ASSEMBLY RESOLUTIONS RELATED TO THE ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP)

A29-13: Improvement of Safety Oversight

The Assembly:

Recalling that Contracting States are responsible both for safety oversight of air carriers based in their territory and for safety oversight of aircraft on their national registries;

Recognizing that, while not all Contracting States have air carriers based in their territory, those that do differ substantially in their degree of development and national resources;

Recognizing that many Contracting States may not have the regulatory framework or financial and technical resources to carry out the minimum requirements of the Chicago Convention and its Annexes;

Noting that many Contracting States might experience difficulty in carrying out their responsibilities under international law for safety oversight of air carrier operations;

Recognizing that some Contracting States cannot implement effective oversight without drawing badly needed resources from some other public use, that many others operate substantial fleets but still lack all the resources necessary to provide effective oversight, and that even the most highly developed Contracting States are unable to undertake oversight of every aircraft that flies into their territory;

Noting that these oversight shortcomings are complicated by the increasing movement of the operational bases of aircraft across national boundaries and the increasingly multinational character of many air carrier operations;

Recognizing that the safety standards drawn up under the Chicago Convention require effective government oversight for their effective implementation;

Decides to:

1. Reaffirm that individual State's responsibility for safety oversight is one of the tenets of the Convention;
2. *Call* on Contracting States to reaffirm their safety oversight obligations, especially the important safety provisions contained in Annexes 1 and 6 of the Chicago Convention;
3. *Urge* Contracting States to review their national legislation implementing those obligations and to review their safety oversight procedures to ensure effective implementation;
4. *Call* on all States able to do so to provide requesting States with technical cooperation in the form of financial and technical resources to enable those States to carry out their responsibilities for safety oversight of air carrier operations.

A32-11: Establishment of an ICAO Universal Safety Oversight Audit Programme

Whereas the primary objective of the Organization continues to be that of ensuring the safety of international civil aviation worldwide;

Whereas Article 33 of the *Convention on International Civil Aviation* requires Contracting States to recognize as valid certificates of airworthiness and personnel licenses issued by another Contracting State, provided that the requirements under which such

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documents were issued are equal to or above the minimum standards established from time to time under the Convention;

Whereas Article 37 of the Convention requires each Contracting State to collaborate in securing the highest practicable degree of uniformity in regulations and practices in all matters in which such uniformity will facilitate and improve air navigation;

Recalling Assembly Resolution A29-13 concerning the improvement of safety oversight;

Recalling the objectives of the ICAO safety oversight programme, which seeks to ensure that Contracting States are adequately discharging their responsibility for safety oversight over aircraft operations, the licensing and training of personnel, and aircraft airworthiness;

Recalling that ultimate responsibility for safety oversight rests with Contracting States, who shall continuously review their respective safety oversight capabilities;

Considering the recommendations of the Directors General of Civil Aviation Conference on a Global Strategy for Safety Oversight, relating to the enhancement of the ICAO safety oversight programme, and which called for a universal safety oversight audit programme comprising regular, mandatory, systematic and harmonized safety audits to be carried out by ICAO, and for greater transparency in the release of audit results;

Recognizing the Assembly's decision on the disposition of cash surpluses contained in Assembly Resolution A32-24; and

Considering that, as recommended by the DGCA Conference, the Council of ICAO endorsed the establishment of such a universal safety oversight audit programme;

The Assembly:

1. *Resolves* that a universal safety oversight audit programme be established, comprising regular, mandatory, systematic and harmonized safety audits, to be carried out by ICAO; that such universal safety oversight audit programme shall apply to all Contracting States; and that greater transparency and increased disclosure be implemented in the release of audit results;

2. *Directs* the Council to bring into effect, from 1 January 1999, a universal safety oversight audit programme accordingly, including a systematic reporting and monitoring mechanism on the implementation of safety-related Standards and Recommended Practices;


3. *Urges* all Contracting States to agree to audits to be carried out upon ICAO's initiative, but always with the consent of the State to be audited, by signing a bilateral Memorandum of Understanding with the Organization, as the principle of sovereignty should be fully respected;

4. *Urges* all Contracting States to ensure that the results of the audits be used for safety-related purposes only;

5. *Directs* the Council to apply the resources made available in order to implement the ICAO universal safety oversight audit programme; and

6. *Requests* the Council to report to the next ordinary session of the Assembly on the implementation of the programme, to review its progress and the experience gained, and to present to that session proposals for funding the programme on a long-term basis.

A33-8: Continuation and expansion of the ICAO Universal Safety Oversight Audit Programme

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Whereas the ICAO Universal Safety Oversight Audit Programme (USOAP) has been successful in meeting the mandate given by Resolution A32-11;

Whereas the primary objective of ICAO continues to be that of ensuring the safety of international civil aviation;

Whereas promoting the implementation of international standards contributes to this objective;

Recalling the responsibility of Contracting States for safety oversight;

Recalling that the 32nd ordinary session of the Assembly resolved that a universal safety oversight audit programme be established, comprising regular, mandatory, systematic and harmonized safety oversight audits to be carried out by ICAO;

Recalling that Assembly Resolution 32-11 requested the Council to present proposals for the funding of the programme on a long-term basis;

Recognizing that the implementation of the USOAP had been instrumental in the identification of safety concerns and in providing recommendations for their resolution;

Recognizing that the continuation and expansion of the USOAP is essential to ensure the adequate implementation of safety-related Standards and Recommended Practices;

The Assembly:

1. *Expresses* its appreciation to the Secretary General on the successful implementation of the ICAO Universal Safety Oversight Audit Programme;

2. *Requests* the Secretary General to continue the USOAP and to complete the remaining audits relating to Annex 1 — *Personnel Licensing*, Annex 6 — *Operation of Aircraft* and Annex 8 — *Airworthiness of Aircraft*, as soon as practicable;

3. *Requests* the Secretary General to complete the validation of the implementation of the action plans through the conduct of follow-up missions or other means, as applicable;

4. *Requests* the Secretary General to adopt a more flexible approach in the implementation of the Programme on a long-term basis, including the strengthening of the Regional Offices;

5. *Requests* the Secretary General to restructure the safety oversight audit reports to reflect the critical elements of a safety oversight system, as presented in ICAO Doc 9734 — *Safety Oversight Manual, Part A — The Establishment and Management of a State's Safety Oversight System*;


6. *Requests* the Secretary General to undertake a study on the establishment of an independent quality assurance mechanism to monitor and assess Programme quality and report to the Council;

7. *Resolves* that the ICAO Universal Safety Oversight Audit Programme be expanded to Annex 11 — *Air Traffic Services* and Annex 14 — *Aerodromes* as of 2004;

8. *Instructs* the Secretary General to undertake a study regarding the expansion of the Programme to other safety-related fields, and in particular on the conduct of audits of the core elements of Annex 13 — *Aircraft Accident and Incident Investigation*, as soon as possible, without significantly increasing the cost of the expansion;

9. *Requests* the Council to ensure the long-term financial sustainability of the USOAP, phasing in all of its activities into the Regular Programme Budget, in due course;

10. *Requests* the Secretary General to continue to develop safety oversight-related guidance material to be used by Contracting States as reference manuals;

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11. *Urges* Contracting States to accept and respect the primacy of USOAP audit results as meeting the established international Standards, Recommended Practices and Procedures, when considering the need for additional or supplementary safety oversight audits by States; and

12. *Requests* the Council to report to the next ordinary session of the Assembly on the overall implementation of the Programme.

A33-9: Resolving deficiencies identified by the Universal Safety Oversight Audit Programme and encouraging quality assurance for technical cooperation projects

Whereas the ICAO Universal Safety Oversight Audit Programme (USOAP) has been successful in meeting the mandate given by Resolution A32-11;

Whereas the primary objective of ICAO continues to be that of ensuring the safety of international civil aviation;

Whereas promoting the implementation of international standards contributes to this objective;

Whereas the findings of the audits conducted under USOAP have indicated that several States experience difficulties in the implementation of ICAO SARPs and the critical elements of a State's safety oversight system;

Whereas the audit findings have also indicated that several of the States experiencing problems require assistance to overcome the safety concerns identified by the audits;

Recalling that Assembly Resolution A29-13 called on all States able to do so to provide requesting States with technical cooperation in the form of financial and technical resources to enable those States to carry out their responsibilities for safety oversight of air carrier operations;

Recalling that the 29th Session of the Assembly reaffirmed that Contracting States are responsible both for safety oversight of air carriers based in their territory and for safety oversight of aircraft on their national registries;

Recognizing that some States do not have the available resources, financial or human, to resolve their deficiencies without assistance;

Recognizing that the Technical Co-operation Bureau (TCB) can provide the required assistance to States in need;


Recognizing that ICAO can provide valuable assistance to States and international organizations in organizing bilateral and multilateral cooperative agreements to remedy deficiencies;

Recognizing that States which plan to carry out remedial projects with the assistance of third parties, would like to have an independent quality assurance over the project activities in order to achieve a high probability of success;

Recognizing that ICAO has developed the required expertise and experience to provide a quality assurance function; and

Recognizing that, where assistance is to be provided to States by parties other than TCB, ICAO can play a significant role by providing a quality assurance function;

The Assembly:

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1. Requests the Secretary General to ensure that all the expertise of the Organization be used, to the extent possible within budgetary constraints, to provide assistance to States in need. This would include, but not be limited to:

- a) the provision of appropriate information and guidance on possible financial and technical sources of assistance;
- b) the fostering, in particular at the Regional Office level, of the implementation of ICAO SARPs, with whatever assistance is appropriate;
- c) the utilization of the operational and technical expertise resident in ICAO to conduct seminars on safety oversight;
- d) the continuation of the development of material to be used in the training of officials within the framework of TRAINAIR; and
- e) the development of guidance material to rectify deficiencies that would be acceptable to all Contracting States;

2. *Urges* the Secretary General to ensure that ICAO provides, when requested, reasonable assistance within available resources, to help States to obtain the necessary financial resources to fund assistance projects by Contracting States, industry organizations or independent consultants;

3. *Requests* the Secretary General to support, foster and facilitate the use of bilateral and multilateral agreements for projects between States and international or regional organizations;

4. *Requests* the Secretary General to ensure that the Technical Co-operation Bureau utilizes, to the extent possible, contributions to their projects of useful material, such as manuals and other training material, and human resources to facilitate completion of a project;

5. *Requests* the Secretary General to develop the concept of a Quality Assurance Function with regard to large-scale ICAO technical cooperation projects provided to States and to all technical cooperation projects related to deficiencies identified by USOAP audits;

6. *Requests* the Secretary General to consider that the Quality Assurance Function be carried out by an independent competent Office of ICAO;

7. *Requests* the Secretary General to make available the Quality Assurance Function to States with regard to safety oversight-related implementation projects performed by parties other than ICAO, on request of States on a reimbursement basis; and

8. *Requests* the Secretary General to solicit information from States that have successfully resolved major deficiencies and publish the results, so that other Contracting States may benefit from each other's experience.

A35-6: Transition to a comprehensive systems approach for audits in the ICAO Universal Safety Oversight Audit Programme (USOAP) (supersedes A33-8)

Whereas the primary objective of the Organization continues to be that of ensuring the safety of international civil aviation worldwide;

Whereas promoting the implementation of international standards contributes to this objective;

Whereas Article 37 of the Convention requires each Contracting State to collaborate in securing the highest practicable degree of uniformity in regulations and practices in all matters in which such uniformity will facilitate and improve air navigation;

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Recalling that the 32nd ordinary session of the Assembly resolved that a universal safety oversight audit programme be established, comprising regular, mandatory, systematic and harmonized safety oversight audits to be carried out by ICAO;

Whereas the ICAO Universal Safety Oversight Audit Programme (USOAP) has been successful in meeting the mandate given by Resolution A32-11;

Recalling the objectives of the ICAO Universal Safety Oversight Audit Programme, which seeks to ensure that Contracting States are adequately discharging their responsibility for safety oversight;

Recalling that ultimate responsibility for safety oversight rests with Contracting States, who shall continuously review their respective safety oversight capabilities;

Recalling that Assembly Resolution 32-11 requested the Council to present proposals for the funding of the programme on a long-term basis;

Recalling that Assembly Resolution 33-8 instructed the Secretary General to undertake a study regarding the expansion of the Programme to other safety-related fields;

Recalling that Assembly Resolution 33-8 requested the Council to ensure the long-term financial sustainability of the USOAP, phasing in all of its activities into the Regular Programme budget, in due course;

Recognizing that the implementation of the USOAP has been instrumental in the identification of safety concerns and in providing recommendations for their resolution;

Recognizing that the effective implementation of State action plans is essential to enhance the overall safety of global air navigation;

Recognizing that the continuation and expansion of the USOAP to cover all safety-related Annex provisions is essential to promote the adequate implementation of safety-related Standards and Recommended Practices;

Recognizing that the Secretary General has taken appropriate steps to ensure the establishment of an independent quality assurance mechanism to monitor and assess Programme quality.

The Assembly:


1. *Expresses* its appreciation to the Secretary General on the successful implementation of the ICAO Universal Safety Oversight Audit Programme;

2. *Resolves* that the ICAO Universal Safety Oversight Audit Programme be further expanded to include the safety-related provisions contained in all safety-related Annexes to *the Convention on International Civil Aviation* as of 2005;

3. *Requests* the Secretary General, from 1 January 2005, to restructure the ICAO Universal Safety Oversight Audit Programme to adopt a comprehensive systems approach in conducting safety oversight audits in all Contracting States;

4. *Directs* the Secretary General to ensure that the comprehensive systems approach maintains as core elements the safety provisions contained in Annex 1 — *Personnel Licensing*, Annex 6 — *Operation of Aircraft*, Annex 8 — *Airworthiness of Aircraft*, Annex 11 — *Air Traffic Services*, Annex 13 — *Aircraft Accident and Incident Investigation* and Annex 14 — *Aerodromes*; to minimize the time intervals between audits, resources permitting; to make all aspects of the auditing process visible to Contracting States; and to validate the accuracy of statements made by Contracting States;

5. *Requests* the Secretary General to restructure the safety oversight audit reports to reflect the critical elements of a safety oversight system, as presented in ICAO Doc 9734 —

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Safety Oversight Manual, Part A - The Establishment and Management of a State's Safety Oversight System;

6. *Requests* the Secretary General to adopt a more flexible approach in the implementation of the Programme on a long-term basis;

7. *Directs* the Secretary General to make the final safety oversight audit reports available to all Contracting States and also to provide access to all relevant information derived from the Audit Findings and Differences Database (AFDD) through the secure website of ICAO;

Note.— The audit final report contains the audit findings, recommendations, State's action plan and comments, as well as the comments of the Safety Oversight Audit Section on the State's action plan.

8. *Requests* the Secretary General to continuously ensure the maintenance of the quality assurance mechanism established to monitor and assess Programme quality, and transparency of all aspects of the audit process;

9. *Calls* on all Contracting States able to do so to second qualified and experienced technical staff to ICAO on a long- or short-term basis, with a view to enabling the Organization to continue to successfully implement the Programme;

10. *Urges* all Contracting States to submit to ICAO, in a timely manner, and keep up-to-date, all the information and documentation associated with the preparation and conduct of an audit, to ensure the effective and efficient implementation of the Programme;

11. *Urges* all Contracting States to cooperate with ICAO and as much as practicable to accept audit missions as scheduled by the Organization in order to facilitate the smooth functioning of the Programme;

12. *Urges* all Contracting States to accept the primacy of USOAP audit results as meeting the established international Standards, Recommended Practices and Procedures, when considering the need for additional or supplementary safety oversight audits by States;

13. *Declares* that Resolution A33-8: *Continuation and expansion of the ICAO Universal Safety Oversight Audit Programme* has been superseded by this Resolution;

14. *Requests* the Council to report to the next ordinary session of the Assembly on the overall implementation of the Programme.

A35-7: Unified strategy to resolve safety-related deficiencies (A35-7; [this Resolution is now superseded by Resolution A36-2](#))


Whereas a primary objective of the Organization continues to be that of ensuring the safety of international civil aviation worldwide;

Whereas ensuring the safety of international civil aviation is also the responsibility of Contracting States both collectively and individually;

Whereas in accordance with Article 37 of the Convention on International Civil Aviation each Contracting State undertakes to collaborate in securing the highest practicable degree of uniformity in regulation, standards, procedures and organization in relation to aircraft, personnel, airports, airways and auxiliary services in all matters in which uniformity will facilitate and improve air navigation;

Whereas the improvement of the safety of international civil aviation on a worldwide basis requires the active collaboration of all stakeholders;

Whereas the Convention and its Annexes provide the legal and operational framework for Contracting States to build a civil aviation safety system based on mutual trust and recognition, requiring that all Contracting States implement the SARPs as far as practicable and adequately perform safety oversight;

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Whereas the results of the Universal Safety Oversight Audit Programme (USOAP) indicate that several Contracting States have not yet been able to establish a satisfactory national safety oversight system;

Whereas the ICAO Technical Cooperation Bureau (TCB) can provide the required assistance to States in need;

Whereas the International Financial Facility for Aviation Safety (IFFAS) has been established to assist Contracting States in financing safety-related projects to correct deficiencies primarily identified through USOAP and for which they cannot otherwise provide or obtain necessary financial resources;

Recognizing that not all Contracting States have the requisite human, technical and financial resources to adequately perform safety oversight;

Recognizing that the establishment of regional and sub-regional safety oversight organizations has great potential to assist States in complying with their obligations under the Chicago Convention through economies of scale and promotion of uniformity on a larger scale;

Recognizing that the assistance available to Contracting States experiencing difficulties in correcting deficiencies identified through the safety oversight audits would be greatly enhanced by a unified strategy involving all Contracting States, ICAO and other concerned parties in civil aviation operations;

Recognizing the safety enhancement contributions resulting from audits conducted by international and regional organizations such as the IATA Operational Safety Audit (IOSA) Programme and Eurocontrol ESARR Implementation Monitoring and Support (ESIMS) Programme;

Recognizing that transparency and sharing of safety information is one of the fundamental tenets of a safe air transportation system;

The Assembly:

1. *Urges* all Contracting States to share with other Contracting States critical safety information which may have an impact on the safety of international air navigation and to facilitate access to all relevant safety information;

2. *Encourages* Contracting States to make full use of available safety information when performing their safety oversight functions, including during inspections as provided for in Article 16 of the Convention;

3. *Directs* the Council to further develop practical means to facilitate the sharing of such safety information among Contracting States;


4. *Reminds* Contracting States of the need for surveillance of all aircraft operations, including foreign aircraft within their territory and to take appropriate action when necessary to preserve safety;

5. *Directs* the Council to develop a procedure to inform all Contracting States, within the scope of Article 54 j) of the Chicago Convention, in the case of a State having significant compliance shortcomings with respect to ICAO safety-related SARPs;

6. *Directs* the Council to promote the concept of regional or sub-regional safety oversight organizations;

7. *Requests* the Secretary General to continue to foster coordination and cooperation between USOAP and audit programmes of other organizations related to aviation safety, and specifically with IATA and Eurocontrol;

8. *Urges* Contracting States to further develop regional and sub-regional cooperation and, whenever feasible, partnership initiatives with other States, industry, air navigation service providers, financial institutions and other stake holders to strengthen safety oversight

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capabilities in order to foster a safer international civil aviation system and to better discharge their individual responsibilities;

9. *Encourages* States to foster the creation of regional or sub-regional partnerships to collaborate in the development of solutions to common problems to build their individual safety oversight capability;

10. *Encourages* all States able to do so to participate in, or provide tangible support for, the strengthening and furtherance of regional safety oversight organizations;

11. *Invites* Contracting States to use the services of the ICAO Technical Cooperation Bureau (TCB) to resolve deficiencies identified by the USOAP;

12. *Invites* Contracting States experiencing difficulties in financing measures necessary to correct safety-related deficiencies identified through USOAP to take advantage of the funding opportunity offered by the International Financial Facility for Aviation Safety (IFFAS);

13. *Requests* the Council to implement a unified strategy based on the principles of increased transparency, cooperation and assistance and to foster, where appropriate, partnership among States, users, air navigation service providers, industry, financial institutions and other stake holders to analyse causes, establish and implement sustainable solutions in order to assist States in resolving safety-related deficiencies;

14. *Directs* the Council to adopt a flexible approach for the provision of assistance through the ICAO Regional Offices to support regional and sub-regional organizations responsible for safety oversight tasks and to implement an efficient system to monitor implementation of the unified strategy.

15. *Requests* the Secretary General to investigate ways in which the identification of measures may be undertaken at national and regional levels to support States' development of ATM safety oversight capabilities and procedures.

Associated Practice

1. The Council should develop ways in which all relevant information from the Audit Findings and Differences Database (AFDD) could be made available to all Contracting States through the use of the ICAO secure website.

A36-4: Application of a continuous monitoring approach for the ICAO Universal Safety Oversight Audit Programme (USOAP) beyond 2010

Whereas the primary objective of the Organization continues to be that of ensuring the safety of international civil aviation worldwide;


Whereas promoting the implementation of international standards contributes to this objective;

Recalling that the 32nd ordinary Session of the Assembly resolved that a universal safety oversight audit programme be established, comprising regular, mandatory, systematic and harmonized safety oversight audits to be carried out by ICAO;

Whereas the ICAO Universal Safety Oversight Audit Programme (USOAP) has been successful in meeting the mandate given by Resolutions A32-11 and A35-6;

Recalling that the ultimate responsibility for safety oversight rests with Contracting States, who shall continuously review their respective safety oversight capabilities; and

Recognizing the need to address the future nature and direction of the USOAP following the completion of the current audit cycle in 2010;

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The Assembly:

1. *Expresses* its appreciation to the Secretary General on the continuing success in the implementation of the comprehensive systems approach for the USOAP;

2. *Directs* the Council to make appropriate changes to USOAP to incorporate the analysis of safety risk factors including the corresponding guidance material, and apply them on a universal basis, following the completion of the current audit cycle in 2010, to assess, on an on-going basis, States' compliance with their oversight obligations and adapt the audit planning and scope accordingly;

3. *Directs* the Council to examine the feasibility, among the various options that could be considered, of a new approach based on the concept of continuous monitoring, to be implemented at the end of the current audit cycle in 2010. In so doing, the Council shall continue to maintain as core elements the key safety provisions contained in Annex 1 – *Personnel Licensing*, Annex 6 – *Operation of Aircraft*, Annex 8 – *Airworthiness of Aircraft*, Annex 11 – *Air Traffic Services*, Annex 13 – *Aircraft Accident and Incident Investigation*, and Annex 14 – *Aerodromes*; and

4. *Requests* that the Council report to the next ordinary Session of the Assembly on the overall implementation plan for this new auditing approach to commence after 2010.

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B.6 THE GLOBAL AVIATION SAFETY PLAN (GASP) AND GLOBAL AIR NAVIGATION PLAN

B.6.1 The Steering Committee, at its 17th meeting held in November 2007 decided that COSCAP-South Asia shall undertake tasks or activities, that may be needed to conform to GASP or GANP in congruence with ICAO GASP and associated Global Safety Initiatives (GSI), to the extent possible and as far as it relates to the objectives of COSCAP-South Asia and within the resources available

B.6.2 The Programme Management will ensure that components of ICAO GASP and GANP are utilized for planning, designing, implementation and prioritizing the future technical work of the COSCAP-South Asia, to the extent possible, in addition to activities or tasks that the Steering Committee may decide to entrust upon the Programme from time to time;


B.6.3 The relevant control documents and guidance material of the COSCAP-South Asia such as Memorandum of Understanding for Phase-III, Programme Document – Phase III or Institutional Framework and Administrative Procedures Manual etc. will be updated to reflect the the GASP and GANP objectives and GSIs.

B.6.4 SUMMARY OF GLOBAL AVIATION SAFETY PLAN

Introduction

ICAO introduced the first version of the Global Aviation Safety Plan (GASP) in 1997 by formalizing a series of conclusions and recommendations developed during an informal meeting between the Air Navigation Commission and industry. The plan was used to guide and prioritize the technical work programme of the Organization. It was updated regularly until 2005 to ensure its continuing relevance.

In May 2005, another meeting between the Air Navigation Commission and industry identified a need for a broader plan that would provide a common frame of reference for all stakeholders. Such a plan would allow a more proactive approach to aviation safety and help coordinate and guide safety policies and initiatives worldwide to reduce the accident risk for commercial aviation. It was then decided that industry representatives, the Industry Safety Strategy Group ¹(ISSG), would work together with ICAO to develop a common approach for aviation safety. The Global Aviation Safety Roadmap that was developed by the ISSG provided the foundation upon which the Global Aviation Safety Plan is based. In March 2006, ICAO held the Directors General of Civil Aviation Conference on a Global Strategy for Aviation Safety (DGCA/06), which welcomed the development of the Global Aviation Safety Roadmap and recommended that ICAO develop an integrated approach to safety initiatives based on the Global

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Aviation Safety Roadmap which would provide a global framework for the coordination of safety policies and initiatives.

A Global Strategy for Aviation Safety

The attainment of a safe system is the highest priority in aviation. However, safety actions are not only driven by facts and data but also by the perception of safety needs by the public. Acceptable safety risk is related to the trust attributed to the aviation safety system, which is undermined every time an accident occurs. Therefore the challenge is to drive an already low accident rate even lower. To guide its work, ICAO has established the following safety target.

ICAO Safety Target for 2008-2011


1. Reduce the number of fatal accidents and fatalities worldwide irrespective of the volume of air traffic.
2. Achieve a significant decrease in accident rates, particularly in regions where these remain high.
3. No single ICAO region shall have an accident rate* more than twice the worldwide rate by the end of 2011.

** Based on a five-year sliding average*

The Global Aviation Safety Roadmap

The Global Aviation Safety Roadmap² prepared by the Industry Safety Strategy Group in close cooperation with ICAO is the basis from which the Global Aviation Safety Plan has been developed. The roadmap recognizes that all stakeholders of the aviation system need to be involved and clearly identifies the roles played by the regulatory and industry elements while emphasizing their complementary nature, promotes a proactive approach to safety and provides a means to ensure that safety initiatives throughout the world deliver improved safety by the coordination of effort, thus reducing inconsistency and duplication.

The roadmap is based upon high-level principles that have been accepted by all aviation stakeholders as vital to the enhancement of safety levels within global commercial aviation. It was not developed to replace data-driven regional initiatives such as the United States Commercial Aviation Safety Team (CAST), Europe's ESSI (European Safety Strategy Initiative) or the Pan-American Aviation Safety Team Initiative (PAAST). Rather, it builds on these valuable programmes, highlighting key areas that governments and industry must act on. Above all, it tackles those areas that currently are not effectively addressed.

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The Global Aviation Safety Roadmap provides a common frame of reference for all stakeholders including States, regulators, aircraft and airport operators, air traffic service providers, aircraft manufacturers, international organizations and safety organizations. It does so by defining the twelve following focus areas and providing guidance on how to address them:

- States
 1. Consistent implementation of international
 2. Standards Consistent regulatory oversight
 3. Effective errors / incidents reporting
 4. Effective incident and accident investigation

- Regions
 5. Consistent coordination of regional programmes

- Industry
 6. Effective reporting and analysis of errors and incidents
 7. Consistent use of Safety Management Systems
 8. Consistent compliance with regulatory requirements
 9. Consistent adoption of industry best practices
 10. Alignment of global industry safety strategies
 11. Sufficient number of qualified personnel
 12. Effective use of technology to enhance safety

Part 2 of the roadmap provides detailed guidance on the implementation of the twelve focus areas by providing a set of objectives for each focus area that are each supported by a set of best practices and metric and a maturity model. The roadmap also includes a step-by-step process to help develop Safety Enhancement Plans at the regional or sub-regional level.

Relation between the Global Aviation Safety Plan and the Global Aviation Safety Roadmap

The Global Aviation Safety Roadmap constitutes the basis on which the Global Aviation Safety Plan is built and is an integral part of it. From a practical point of view, GASP can be seen as the ICAO strategy for States, regions and industry to address the focus areas identified in the roadmap. GASP also establishes a coordination mechanism to ensure that the roadmap and the plan are kept up-to-date in a coordinated way

Need for Partnership

A proactive approach to aviation safety requires that all concerned stakeholders are involved. The very close relationship between the Global Aviation Safety Plan and the Global Aviation Safety Roadmap is an example of the partnership that shall permeate all safety initiatives. Although both the roadmap and the safety plan identify a primary stakeholder for each focus area, it needs to be emphasized that this grouping is not intended to be exclusive. The roadmap and the safety plan are built on the principle of


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partnership, and as such, it is essential that all relevant stakeholders are involved in the development and implementation of any activities aimed at improving safety under the focus areas. Their commitment is fundamental for success. Together with ICAO, the chief shareholders in the civil aviation sector are States,³ airlines/operator, airports, air navigation service providers, aircraft and equipment manufacturers, maintenance and repair organizations, regional organizations international organizations, and industry representatives. The commitment of all stakeholders is fundamental for success in improving safety.


Planning Process

The objective of the planning process is to collaboratively develop an action plan that defines the specific activities that should take place in order to improve safety. It begins with an analysis of what the situation is today, and then compares it to where the organization would like to be. This “gap analysis” identifies specific steps that can be taken to reach the desired goal. The developers of the plan then decide what specific actions will be taken and in what order — in other words, generating a prioritized action list. From that list, the developers build an action plan, which in addition to identifying the actions to be taken, determines who is responsible for them. The process — and each step — is illustrated in the flow chart below. **Planning process**

step Step 1 Determine the subject for analysis: A subject may be an ICAO region, one of the regions described in the roadmap, a subset of these regions (e.g. COSCAPs, of similar States within a region), or even an individual State. **Step 2 Identify key stakeholders:** In order to assure that any plan will be able to instil changes intended to improve aviation safety, it is essential that the perspective of all key stakeholders be considered. Therefore, those stakeholders need to be identified early. A stakeholder can be any party — e.g. Regulatory Authority, operator, or organization — that could be involved in implementing or influencing changes, or which is significantly affected by these changes. These stakeholders will constitute a safety team that will perform the **Step 3 Outline the safety strengths and enablers:** There is a need to develop an understanding of the general environment of the subject targeted for safety enhancement efforts. Inherent in every subject is a collection of factors that support the safety of aviation within that subject. The identification of these strengths and enablers is critical in order to find ways to build upon this safety foundation. **Step 4 Identify the existing and merging risks:** The process requires the identification of those risks that can create an environment which will weaken overall aviation safety within that subject, either currently or in the foreseeable future. Accurate and comprehensive listings of these risks are essential in performing a meaningful gap analysis in Step 5. **Step 5 Perform a gap analysis:** A gap analysis is simply an evaluation that compares the existing situation to the desired one. There are a variety of methods that can be used to perform a gap analysis. Using data from a number of existing sources (ICAO USOAP, IATA IOSA, safety deficiencies identified by PIRGs or other sources, analysis of available safety data) or from the detailed knowledge derived from a group of knowledgeable experts, the gap analysis will describe the difference

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between the *current situation* (utilizing information captured in Steps 3 and 4), and the *target*, the highly evolved situation in which the global safety initiatives of the GASP have been implemented. The gap analysis summary should identify the organizations or entities responsible for correcting the deficiency. Multiple gaps will require assessment so that priorities can be established and appropriate implementation plans can be developed. **Step 6 Develop prioritized recommended actions:** By reviewing the gaps and the associated best practices, a list of potential safety enhancement actions can be identified. However, it should be recognized that it is sometimes impractical to implement an action plan that addresses each and every deviation from the mature (highly evolved) level. Each gap identified in the gap analysis should be reviewed in the following manner: **Safety impact** – evaluate the safety enhancement that would result from the elimination of the gap. Ideally, a *quantitative* approach using various methodologies such as those developed by the United States’ Commercial Aviation Safety Team (CAST) can be used. Where quantitative assessment is difficult, reliance on the knowledge and expertise of the evaluation team will allow ordering the list of potential actions having the greatest impact on safety. **Implementation** – although the impact on safety should be the primary method of prioritizing the list of potential actions, the ability to make the changes must also be considered. This evaluation should include the existence of the political will to change and the availability of technology and resources necessary to implement the change. A conclusion that implementation is not practical should be arrived at only as a last resort. If such a conclusion is reached, aviation activities need to be adjusted to remove the impact of the identified safety gap. **Step 7 Develop an action plan:** Once a list of potential prioritized actions has been developed, the implementation action plan must be defined. The plan should include a manageable set of actions that represent those steps necessary to move to the next level of maturity. Once the plan is finalized, a responsible party or organization must be identified to lead the implementation of each action item. It should be recognized that there are already many regional activities and organizations working around the world that may be able to provide implementation strategies and support. For example, the various ICAO COSCAPs forming in that area could be helpful in defining and coordinating State actions. **Monitoring Continuous improvement – what to do next:** The work is not complete, even after the plan has been defined and turned over to the organizations or individuals responsible for leading the implementation. The implementation activities should be continuously monitored to ensure that action is being accomplished, any roadblocks to implementation are removed and the plan accommodates any newly identified gaps. This safety enhancement process is best accomplished in a step-wise fashion to move to the next level of maturity. Once the initial action plan has been completed, repeat the process in order to identify the next safety enhancement actions to implement. **Global Safety initiatives** Global safety initiatives are designed to support the implementation of the ICAO Safety Strategic Objective and other safety objectives that might be established by regions, States or industry. Planning and implementation should be started in the near-term and progressed in an evolutionary manner. Long-term initiatives necessary to guide the evolution to a safer civil aviation

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system will be added to the Global Aviation Safety Plan as they are developed and agreed to. The initiatives described in the following pages are provided to facilitate the planning process and should not be viewed as stand-alone work items, but rather, in many cases, as interrelated. Therefore, initiatives are quite capable of integrating with, and supporting each other. Each GSI identifies the corresponding Focus Areas of the Global Aviation Safety Roadmap and include references to the Roadmap Best Practices as guidance for the development of implementation activities under each GSI. ICAO will organize its own work programme under the Safety Strategic Objective in line with the GASP and its GSIs to facilitate an effective global implementation.

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C. FUNDING AND COST-SHARING

C.1 GENERAL INFORMATION ON TRUST FUNDS MODALITY

- (a) Trust Funds are funds deposited directly with ICAO to meet specific, defined technical cooperation requirements, usually but not always those of the country providing the funds.
- (b) When a government requests assistance, which is to be financed through the establishment of a Trust Fund, a Programme is formulated. However, as there is no funding reserve within ICAO, it is required that the contributors to the trust fund pay ICAO (as monies to be administered on its behalf) sufficient funds to cover the estimated cost of the assistance for the duration of the Programme or for at least one year, plus a charge for ICAO's support costs at the percentage rate established by the ICAO Council for application to trust fund arrangements.
- (c) Trust funds are normally payable in convertible currency. Any interest accruing on the deposited funds is credited to the Trust Fund account.

C.2 INSTITUTIONAL FRAMEWORK PROVISIONS ON FUNDING

- (a) Paragraph 3.3 of Article III of the COSCAP- SA Institutional Framework stipulates that the Programme shall primarily be funded by the Member States through annual contributions in accordance with a cost-sharing formula approved by the Steering Committee. Paragraph 3.4 stipulates mobilization of grant funds from the donor community to supplement the Programme funds. Paragraph 3.5 of the said Article III stipulates that such Member States' annual contributions supplemented, as available, by donor- provided funds, shall constitute the general pool of the COSCAP-SA Trust funds to be maintained by ICAO and shall be used for common benefit functions defined in Article II, paragraph (i) and paragraphs (ii) (a) and (b).
- (b) Paragraph 3.6 of Article III stipulates that for functions described in Article II, paragraph (ii) (c), the party to receive the service shall deposit the estimated cost thereof in the COSCAP-SA Trust Fund maintained in ICAO. The service recipient may also request ICAO through the CAA to approach the donor community to contribute in full or in part to the service cost.

C.3 INSTITUTION FUNDING PROCESS

- (a) ICAO/ TCB shall prepare the COSCAP-SA Programme Budget and present it to the Steering Committee at its annual Meetings for consideration /approval.

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- (b) Exact funding requirements for the Institute’s Programme activities shall be worked out on the basis of an evolved cost-sharing formula (refer paragraph C.4). Individual member States are advised on the amount of the contribution they have to pay in sufficient time to enable them to initiate administrative action in advance. Member States are expected to pay their annual contributions to the ICAO as early as possible with the beginning of a new year but not later than the end of 3rd quarter of the respective financial year.
- (c) COSCAP-SA shall keep a record of the in kind assistance received from donors and Member States including airlines registered in the Member States.
- (d) Member States are required to adjust their share of funding to meet any revised requirements.
- (e) The Director, Technical Cooperation Bureau and/ or Chairman of the Steering Committee shall write to the states to take necessary action on the revised funding requirements.
- (f) Member States’ or donors’ financial contributions to the Programme may be remitted to Account No. CC000305101, Royal Bank of Canada, Ste Catherine & Stanley Branch, Montreal, Quebec Canada, H3B 1H7 for credit to 05101 404 6892, ICAO Pool Account.

C.4 COST-SHARING FORMULA

C.4.1 Basic Principle

The formula for sharing the cost by the COSCAP Programme Member States as mentioned in paragraph C.2.(a) should take into account the premise that the cost to a State should, to the extent possible and practicable to assess, be apportioned in accordance with the benefit it receives from the institution’s activities.

It is noteworthy that development of a cost sharing formula that will accurately tally with the return benefits to a State is a difficult task, especially in a cooperative arrangement. It is also not practical to revise the formula with each change in the number of aircraft on the register of individual State or their capability to provide surveillance of operators. The member States, however, recognize that the corner stone of this regional institution is the spirit of mutual co-operation and the concept of sharing of resources on non-commercial basis in their resolve to elevate the level of flight safety oversight and to provide the safest possible air transportation system within the region as a whole.

There are also intangible benefits associated with the Programme. Some of them are, establishment of closer and friendly relationships directly with respective officials of the Member States facilitating sharing of information and experience, harmonization of rules and procedures, creation of a regional forum to discuss matters connected with aviation leading to formation of a regional groupings etc.

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C.4.2 Assessment of Cost Sharing Percentages

- (i) The COSCAP-SA activities fall into two main categories:
- (a) Activities of common benefit to all Member States and
 - (b) State-specific activities carried out by the COSCAP-SA personnel or other resources mobilized through COSCAP-SA by offering on-site technical assistance and on-the-job training to local staff and expert advice.
- (ii) From experience in the operation of the programme, it is deemed that 30 ~ 40 % of the programme professionals' time is devoted to activities that are of common benefit to all member States. This includes arranging regional training programmes, conducting regional seminars and workshops, development /review of written procedures / inspector manuals ect.
- (iii) The cost share of each State therefore of the common benefit activities is approximately 3.0 % of the total cost. The balance 60 % of the programme professionals' time is used for State specific activities. It is calculated per expert as follows.
- | | | |
|--|---------------------------|--|
| (A) - No. of days per year | = 365 | |
| (B) -No. of week-end days per year | = 104 | |
| (C) - No. of UN holidays per year | = 10 | |
| (D) - No. of days of leave per year | = 30 | |
| (E) -Total Number of days available for assistance | = (A) - (B + C + D) = 221 | |
| (G) - Expert days for State specific assistance | = (E) x (60%) = 141 | |
| (H) - Expert days for common activities | = (E) x (30%) = 60 | |
| (I) - Days set apart for Expert's update | = (E) x (10%) = 20 | |
- (iv) The State specific activities are related to the requirement for operator surveillance in the State. States with significant aviation activity and a large number of inspectors require relatively more support from COSCAP than the States with lesser activity.


TABLE - I

COSCAP -SA MEMBER STATES' PERCENTAGE CONTRIBUTIONS

STATE	PER CENTAE OF CONTRIBUTION
Bangladesh	14.0%
Bhutan	09.0%
India	20.0%
Maldives	12.5%
Nepal	14.0%
Pakistan	16.3%
Sri Lanka	14.2%

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D. ADMINISTRATIVE AND OPERATIONAL PROCEDURES


D.1 COSCAP-SA STEERING COMMITTEE

D.1.1 Preparatory Actions for Steering Committee Meetings (SCM)

- (i) A Letter of invitation together with an annotated agenda will be prepared by the Programme Coordinator and shall be sent to all Member States and Observers under the signatures of the Chairman of the Steering Committee at least two months before the scheduled meeting date.
- (ii) In addition to the Steering Committee members, representatives of donors, air operators, airport organizations and air traffic service providers will usually be invited to participate in Steering Committee meetings as observers. Other stakeholders in aviation safety such as JAA/EASA and FAA, and its groups may also be invited subject to the approval of the Chairman of the Steering Committee.
- (iii) ICAO/TCB assisted by the Programme Coordinator shall prepare Discussion Papers (DPs) and/or Information Papers (IPs) on the record of progress on the decisions taken at the previous SC Meetings, as well as the budgetary situation and the next annual work programme.
- (iv) Information Papers and Discussion Papers prepared by Member States and other participants shall be submitted by them to the Chairman of the Steering Committee at least four weeks before the meeting.
- (v) The papers shall be forwarded to all SC Members and participants at least two weeks before the meeting date by the Chairman.

D.1.2 SCM Proceedings and Records

- (i) The Programme Coordinator shall act as the Secretary of the meetings.
- (ii) The subjects covered by the meetings are described in [Para 7.4 of Article VII](#) of the Institutional Framework
- (iii) The Programme Coordinator shall record the decisions adopted at the meetings.
- (iv) The Programme Coordinator shall record the minutes of the meeting; these shall be forwarded by the Chairman to the Steering Committee Members and donors participating in the meeting for their concurrence within fifteen days from the last day of the meeting.
- (v) The final minutes shall be issued to all participants at the earliest convenience of the Chairman.

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D.1.3 Functions of the Steering Committee Chairman

- (i) To convene the Steering Committee Meetings.
- (ii) To chair the meetings of the Steering Committee and conduct such meetings in accordance with the agenda and programme of the meeting as approved by the Steering Committee.
- (iii) To monitor the functioning of the Programme and Institution and apprise the members of any difficulties or problems faced.
- (iv) Consult with other members of the Steering Committee when significant issues arise that have not been identified in the annual work plan or which may negatively impact on the implementation of the work plan.
- (v) Represent the Steering Committee in discussions with ICAO/TCB concerning funding issues or any other matter or with any other outside organizations/agencies.
- (vi) Meet with the Programme Coordinator as and when required.
- (vii) Consult with other members of the Steering Committee, as required, concerning staffing and other matters for the smooth functioning of the Programme.
- (viii) Organize Steering Committee meetings in consultation with the Programme Coordinator.
- (ix) Careful review of matters which are not spelt out in the IF&APM and presented by Programme Coordinator and, make decisions on such matters for and on behalf of the Steering Committee subject to the final approval of the Steering Committee at its immediate next meeting.
- (x) Make necessary adjustment / alterations in the approved Annual Work Programme to meet contingency requirements or unforeseen circumstances in order to ensure unimpeded execution of the Programme.
- (xi) Monitor Programme funding and its utilization.

D.2 COSCAP –SA PROGRAMME MANAGEMENT BY ICAO

D.2.1 In addition to those services listed in Article IV of the COSCAP-SA Institutional Framework, ICAO TCB also assists in approaching the external donor community for the mobilization of supplemental funds for the Programme (refer Article III paragraphs 3.4 to 3.6 of the Institutional Framework)

D.2.2 ICAO services are provided in accordance with established ICAO TCB rules, policies, procedures and practices. The TCB publications on the subject include

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- ICAO Field Staff Services Rules (FSSR);
- Procurement Code;
- Field Operation Manual,
- Technical Cooperation Bureau Administrative Manual.

Copies of these documents are available to the ICAO technical cooperation field personnel.

Additionally, the full range of ICAO material listed in the printed Catalogue of ICAO Publications and Audio-Visual Aids issued every year are also available as required to technical cooperation field personnel.

D.2.3 Financial management of the Institution's Programme is provided by ICAO in accordance with the ICAO Financial Regulations.

D.2.4 The Technical Cooperation Programme is managed by the Director of TCB with the Assistance of the Field Operations Section (Asia and Pacific), which plays the key coordinating role in the management of ICAO services to COSCAP – SA.

D.3 COSCAP-SA PERSONNEL

D.3.1 Professional personnel charged to the Trust Fund budgets

Professional personnel, recruited by ICAO, will belong to either of the following two broad categories:

(i) **Regional Experts**

(a) **Long -Term or Intermediate -Term Regional Experts (Programme-Based)**

These experts will be based at the Programme Headquarters. The minimum duration of these experts who constitute the core of the Programme's professional manpower resource will be 12 months.

One regional expert shall have the task of Programme Coordinator.


(b) **Short-Term Regional Consultants (Programme-Based)**

These consultants will be based at the Programme Headquarters.

The duration of these posts will be 6 months or less.

(c) **Regional Experts (Home-Based)**

These experts will remain based at their respective places of posting in their countries and their services will be utilized on the Programme as and when required.

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(ii) **International Consultants**

Short-term consultants recruited from the roster of experts maintained by ICAO/TCB. The duration of these posts will generally be 6 months or less.

[Note: The services of internationally recruited experts will be utilized if the required level of expertise in specific areas is not available within the COSCAP-SA Member States or if it is a specific requirement of an external donor in the case of a specific activity funded by it]

The professional personnel, their post durations and job-descriptions will have been identified in the current version / revision of the COSCAP- SA Programme Document and their cost of mobilization will have been included in the trust fund budget. However, these may be modified by the Steering Committee to keep the Programme expenditure within the available financial resources.

D.3.2 National Experts provided free of cost to the Programme

The services of experienced professionals currently in the employment of the civil aviation regulatory administrations, airport authorities / administrations and air traffic services providers as made available voluntarily by the COSCAP-SA member States, free of cost to the Programme , shall be used to supplement the services of the Programme professional personnel.

Duty air travel of such national experts shall be arranged free of cost to the Programme trust fund budget by the member State requesting their services. Their daily subsistence allowance shall, however, be charged to the Programme trust fund budget.


D.3.3 National Experts/ Inspectors provided by one Member State to another on non-commercial cost basis

As stipulated in [Article II \(ii\) 2.1.2 \(a\) and \(c\)](#) of the Institutional Framework, a Member State may make available the services of its qualified national experts/inspectors to another Member State under a mutually acceptable arrangement, facilitated by the COSCAP-SA Programme Coordinator, on non-commercial cost basis.[Refer to Paragraph C.2.(b) above].

D.3.4 Requirement of Letter of Authority from Member State CAA

The State Administration receiving assistance from the COSCAP-SA personnel or from national experts/inspectors of assistance-providing Member States referred to in paragraph D.1.3.3 above shall include in its notification to any entity to be inspected/ audited/ assisted the names of such foreign experts/inspectors in the list of officials assigned by it to carry out the said inspection/ audit/ assistance functions.

State Administration receiving such assistance shall also organize at no cost to the Programme requisite credentials / access permits etc as may be necessary for the experts/inspectors to perform the assigned duties without any let or hindrance.

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D.3.5 Recruitment Procedure of Regional Experts


- (i) A roster of regional experts will be drawn up and maintained following a defined selection process that will involve development of qualification requirements for respective expert titles, advertisement, screening and vetting of the applicants by State administrations;
- (ii) this will be followed by an evaluation by the COSCAP-SA office and by the Steering Committee and then in the Field Recruitment Section of Technical Cooperation Section at ICAO Headquarters. The roster will be displayed on the COSCAP-SA website (www.coscapsa.org)
- (iii) The emoluments and entitlements in respect of each experts/consultant position shall be determined by D/TCB following a process of consultations with the Steering Committee. For candidates belonging to the COSCAP-SA office, host State UNDP specified emoluments/entitlements for national professionals will apply.
- (iv) For specific posts graded lists with a recommended candidate will be submitted by the Programme Coordinator to the Chairman of the Steering Committee for recruitment by ICAO.
- (v) All Regional Experts serving the COSCAP-South Asia shall have the written consent for employment with the COSCAP-South Asia from the respective Civil Aviation Administration where he/she is domiciled at the time of initial employment and subsequently on renewal of the period of service contract. Such written consent shall be organized by the Programme Coordinator for all Regional Experts serving the COSCAP-South Asia. For the Regional Programme Coordinator, the written consent for employment shall be obtained by Director /Technical Cooperation from the respective State.

D.3.5 Sharing of Human Resources amongst COSCAPs or Regional Organizations

In situations when the COSCAP-South Asia requires assistance of technical personnel to implement part of its approved work programme or to provide country specific assistance at the request of a Member State, but the requisite technical expertise is not available within the existing Regional Experts (Programme Based) or Regional Experts (Home Based) pool, the COSCAP-South Asia may obtain technical assistance from another COSCAP or similar regional programme, provided that there will not be extra cost to the Programme other than payment of DSA to the personnel whose services are hired and cost of their air passage and that the particular arrangement has received prior approval of the Chairman.

Also the COSCAP-South Asia may offer short term technical assistance from its own complement of Regional Experts to other COSCAPs or Regional Organization on request, provided

- i. that the release of COSCAP South Asia Regional Expert(s) will not have any adverse impact on the execution of its approved Annual Work Programme
- ii. that there will not be any cost to the Programme arising out of such arrangement.

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- iii. that the requisite sanction from the Chairman has been obtained for the release of the expert(s).
- iv. that such offer of assistance is in reciprocation of the good-will created by or the potential future benefits of the other COSCAP or Regional Organization seeking such assistance.

D.4 DUTY TRAVEL OF PROGRAMME PROFESSIONAL PERSONNEL

- D.4.1 All duty travels on missions by professional personnel shall be planned well in advance to give adequate time to the States to plan for the officials' visits and to avoid any problem in making travel arrangements.
- D.4.2 Necessary authorizations for travel shall be obtained on the recommendation of the Programme Coordinator, from Director TCB ICAO, before the commencement of journey. ICAO may authorize payment of the necessary advance DSA from the Accounts section of the UNDP office or issue necessary authorizations directly to the Programme Coordinator to defray DSA out of the Imprest Account . Upon completion of the mission, a statement of expenditure shall be filled up in the prescribed Travel Claim form. Same provisions apply to the Programme Co-ordinator's own missions.
- D.4.3 Before embarking on the mission, the officials will carefully examine the relevant documents/reports/correspondence and be professionally prepared to take up the mission.
- D.4.4 Transportation of Programme professional personnel for COSCAP activities will be provided to the extent possible by air operators of the State(s) to be visited. Recognizing the need to reduce cost of the Programme, the DGCA of the Programme host State may, on request provide gratis transportation for COSCAP-SA staff for missions where transportation is not available from other member States. This contribution and free transportation provided by all Member States is tracked and noted as contribution in kind to the Programme by the States. Details of these contributions will be presented at the Steering Committee Meetings.
- D.4.5 Missions shall be planned in a manner to minimize cost to the programme and provide maximum benefits to the States.
- D.4.6 For any missions that may be required for liaison with training organizations or resource centers or for further donor mobilization, Director TCB ICAO shall make a proposal to the Chairman of the Steering Committee for his approval.
- D.4.7 After a mission, a mission report shall be prepared in the prescribed format and necessary follow up action shall be taken. Performance based Mission Reports are encouraged and these Reports will be placed in the secured space of the COSCAP-South Asia official website.

D.5 OFFICE MANAGEMENT – FILING SYSTEM

D.5.1 Function of a file

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The main purpose of maintaining a file is to collect and preserve in one cover the complete history of a particular aspect of a subject, in a chronological sequence, which would facilitate reference and related action.


D.5.2 General Principles for opening and maintaining files

The following general principles shall be observed:

- (a) A new file shall be opened for each distinct aspect of a subject. Care shall be exercised to confine the file to its primary subject and not to allow it to develop into an all-covering file.
- (b) Only one file shall be opened for each aspect of a subject. Duplication shall be strictly avoided.
- (c) The title of each file shall be very carefully selected and correspondence on that file shall be restricted to the subject of its title. If, however, during normal process the scope of the subject is changed, the title of the file shall be suitably amended to reflect the new scope of its subject.
- (d) In order to keep the number of current files to the absolute minimum, new files shall not be opened for papers received merely for information. If the retention of these papers is considered necessary after circulation, they shall be kept in a separate jacket.
- (e) In order to preserve the correspondence from mutilation, the note sheets and the enclosures shall be properly punched and kept in proper array.
- (f) The number of single sheet enclosures on each file shall not exceed 100. When this number is reached or the file becomes unwieldy due to bulky enclosures before reaching the number 100, it should be closed and another volume of the file shall be opened and the old volume should be appropriately archived, depending on the importance of the subject matter
- (g) E-mails exchanged in the process of performing duties form part of official documents of COSCAP- South Asia and they be preserved enabling retrieval depending on the situations.

D.5.3 Opening of Files and working on files

- (a) **Block Number of Files**

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Files shall be opened and maintained, on the basis of block numbers allotted as per Annexure 2.

(b) **Main & Sub-File or Policy & Correspondence Files**

A file shall deal only with one subject and duplication shall be avoided with the view to achieving efficiency. To avoid confusion in correspondence the number of files shall be kept to the bare minimum. All policy matters relating to the main subject will be processed on the file which bears the master number i.e., one of the numbers out of the blocks allotted called the policy files. Sub-files are those which are opened for dealing with particular aspects, or off-shoots of the main policy subject. These shall be identified from the subject headings as also from their own numbers: sub-files shall be given consecutive sub-numbers serially, followed by the master number (given to the policy file), and separated by an oblique stroke. All policy letters and normal routine correspondence shall not be mixed up or filed wrongly. Both the subjects shall be dealt with separately without causing any confusion.

(c) **Prefixes & Suffixes**

The relevant file number shall be prefixed by the identifying letters of COSCAP-SA. For instance a file opened shall be prefixed by the letters "COSCAP". Further, the identifying letter of the related activity shall be signified by relevant abbreviated letters suffixed to the file number.

Illustration: **COSCAP/1/5/SC**


(d) **Filling up the File Cover**

The important blank spaces provided on the file cover for filling up while opening a new file are the File No; Date of Opening and Connected files. The File No. and the title of subject shall require care in filling up. For example, if a Training File has to be opened as a parent file on the subject of "Training of COSCAP Inspectors - Policy" a sub-file on individual inspector i. e. "RAI-Training or RFOI-Training" shall also be opened.

Illustrations:

Title	File Ref. No.
(a) Training: COSCAP Inspectors (Policy)	COSCAP/17/hisp
(b) RAI – Training	
(c) RFOI - Training	COSCAP/17/1/RAIT COSCAP/17/2/RFOIT

NOTE The policy or parent file bears the master number from the allotted block of numbers as shown in (a) whereas sub-files are given additional sub-

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numbers signifying clearly that these are sub-files as in examples at (b) & (c) .

(e) **Part Cases /Files**

No part case files shall be opened/processed unless it is considered extremely essential. The cover of this part case/file shall be prepared exactly as for the parent file, but the words "PART CASE" shall be written prominently in the blank space on the right top corner of the cover. Care shall be taken that the correspondence on the 'Part Case' file is merged with the parent file at the first possible opportunity and the 'Part Case' file discontinued thereafter.

NOTE: In no case shall the parent and the part files be maintained concurrently.

(f) **Method of Merging Part Case Files with Parent File**

While merging the file, all notes and enclosures available on the 'Part Case' file shall be transferred to the 'Parent File' as enclosures and given appropriate enclosure numbers. This action shall be suitably reflected in the form of a note on

the parent file. A note shall be recorded on the note sheet of the regular file where enclosures have been transferred, reading for example, "Please see N. 6" or "N. 10", as applicable. The part case file cover should be kept safely for its possible use again, in future, instead of wasting it.


(g) **Continuation of file - Opening New Volumes.**

When a file has about 100 enclosures or has otherwise become bulky, a fresh volume of the same file shall be opened with the same reference number and other particulars as on the original file. The relevant volume number will be indicated on the right top corner of the file cover in bold letters.

D.5.4 **Filing and marking correspondence**

Besides other considerations, to keep the file tidy and to save correspondence from mutilation, the following shall be ensured:

- (a) Correspondence is placed on the right side and the note sheets on the left side of the jacket.
- (b) Enclosures and note sheets are punched evenly on the top center. A double punch will be used for this purpose and holes will not be perforated by pushing the clip through the paper.
- (c) Two separate clips are used to secure both the correspondence and note sheets.

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- (d) Correspondence is arranged in a chronological order so that the earliest communication received remains at the bottom and the latest, on top.
- (e) Enclosures are numbered consecutively i.e. 1A, 2A, 3A
- (f) Appendices of enclosures are similarly numbered with the exception that instead of the letter 'A' which is meant exclusively for the main enclosure, they carry the letter 'B' for the first appendix; "C" for the second appendix and 'D' for the third, and so on. In such cases the main enclosure should be numbered as 1A to D or as the case may be indicating that the letter consists of three appendices, or more as the case may be.
- (g) When an enclosure has to be filed between two enclosures i. e. between 2A and 3A it will be added over 2A and under 3A and will be numbered as 2A, 2A (i) , 3A to ensure that future numbers and cross references are not disturbed.
- (h) The title of each file is selected carefully and the correspondence on that file restricted to the scope of the subject heading. Should the scope of the subject be expanded or changed, the heading is also appropriately amended to ensure that all enclosures on the file positively relate to the subject heading and the file does not become an all inclusive one.

D.5.6 Putting up a file for action


(a) **Cross-Reference**

Whenever a communication is received for action or information, the dealing person shall put it up on file and mark the appropriate enclosure number on it at the right top corner within a hand-drawn or a stamped circle and shall mark on it any previous reference quoted therein. Reference to a document in the same file shall be made by its enclosure number; if the document is in another file, that file number as well as the relevant enclosures number it bears shall be quoted. At the same time, in the blank space provided on the file cover followed by the words "CONNECTED FILES", the file number of each file shall be recorded on the other, for ease of future reference.

(b) **Flagging of Files**

Printed flags reading "IMMEDIATE" or "PRIORITY" may be attached to a file to indicate the speed with which the subject on the file deserves to be disposed off.

D.5.7 Transmission / booking out of files

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(a) **Within Office**

When the file has thus been readied for submission to the concerned officer, the dealing person shall then fill up the relevant columns on the top of the file cover provided for this purpose. This action is called "Charging of the file" or "making the charging entries".

Illustration:

Referred to	Note or Encl.	Date	Initials of Sender
AWE	N3 or E12	15 Jul	XYZ

(b) **Outside COSCAP (To Chairman COSCAP)**

The transit of a file shall normally to be arranged by the receipt/dispatch person or the P. A. / Secretary of the concerned officer.

(c) **File Movement Register**

It shall be ensured that all movements of files are recorded so that their exact location can be easily traced. This shall be done by recording appropriate entries on the "Movement Register" to be maintained by the receipt/dispatch person. When the file is booked out the same addresses shall be recorded on the register and the register kept at a place where file is stored. The 'return entry' shall be annotated in the register when the file is received after action and is not in circulation. The "Movement Register" shall indicate the whereabouts of the file and facilitate its recovery.

(d) Entry (in red ink) in the appropriate column on the file cover shall be made if a particular note or enclosure is required for action on a future date. The Secretary/dealing person shall make an entry on the "BRING FORWARD REGISTER" of the particular day of the month.


NOTE: Thirty one BF pages shall be maintained to cater for the requirement of each day of the month, round the year.

(e) **Definition of Note**

Notes are the written and informal means of conveying instructions, passing opinions, conducting correspondence and recording conversations that constitute the general run of business of a staff in any organization.

(f) **Note Sheets**

Notes sheets are the foolscap pages on the left hand side of a file. The margin is marked on the left side along the page. The file reference number is typed / written on the top right corner of each page. Notes shall be written on one side of the sheet only, the reverse side is not to be used. Notes for the perusal of COSCAP –SA

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Chairman shall be written on a fresh sheet. In case of lengthy comments separate note sheets shall be used instead of writing overleaf.

D.5.8 Note writing

(a) Addressing of Notes

Notes shall be written in a chronological order and marked consecutively in Arabic numerals, in the middle of the page. The addressee shall be indicated on the top left side flushed with the supposed margin. The text shall begin with paragraph No. 1; succeeding paragraphs shall be serially numbered in each note - and not counted towards paragraphs in the following notes.

(b) Subscription

On conclusion of the text, the originator shall append his signature followed by his initials and name (in capital letters within brackets) and appointment/abbreviated designation. The date shall be written on the left hand side, flushed with the supposed margin and in line with the appointment.

Illustration:

HQ COSCAP/1/5/ SC

N. 2

Chairman

1. Reference Encl 24-A and N. 1
2. Please indicate your concurrence to the Provisional Agenda for the 5th Steering Committee Meeting so that the same may be forwarded to the member States for their views/comments.

15 Jul.99'


(X Y Z)

PC

NOTE: In notes abbreviations are used in the text, as well as while writing the following:

- (a) Appointment of addressee
- (b) Appointment of originator
- (c) Date of origin.

(c) Action on Notes by the Addressee

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The addressee may put his/ her initials or write one or two words of the decision. Should it be necessary to write a lengthy note a new note shall be written recording cross references.

(d) **Importance of Notes**

Properly kept note sheets provide a complete and useful record of action taken on a particular subject with which a file deals. Great care shall, therefore, be exercised in securing them.

D.5.9 Record, custody and disposal of files

(a) **Functions**

The objective of the filing system is to control the receipt and dispatch of correspondence. The process normally includes identification, classification, circulation and custody of correspondence. Also, a record is kept of all incoming and out going correspondence.

(b) **File Index Registers**

The Secretary shall maintain a File Index Register where in the allocated block of file numbers will be recorded. All policy and sub-files and part cases opened shall be listed in the Register subject-wise and in a serial order, leaving sufficient space for recording additional entries for subsequent files to be opened under particular serial numbers. It shall be ensured by the Secretary that no file remains in circulation without its proper recording in the File Index Register and File Movement Register.

(c) **Safe custody of files**


The dealing officers shall be responsible for safe custody and security of the files in their possession. They shall ensure that they leave important files at a safe place and under lock.

(d) **Not in action files**

When not in action, files shall be kept safely away in the filing cabinet so that they may be pulled out when needed. "Not in action" means that no action is pending on any enclosure or minute and that all charging entries are crossed out; all flags and other slips should also have been removed.

(e) **Closing of Files.**

When no further action is required on a certain file, nor is any action expected in the near future, it may be closed. However, it would generally be better to "Bring Forward" the file after a reasonable period to re-examine its likely use. This action

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may be repeated two or three times and when it becomes reasonably clear that the file will not be required for action, the competent officer (CTA) may decide to have it "put away"; this is done by putting the date and signature of the officer concerned on the file cover for "PUT AWAY ACTION". A record of the file numbers and subjects of all 'Put Away' files should be kept in the office.

(f) **Quarterly Inspection of Files**

An officer shall be detailed to inspect quarterly all the available files with a view to ensuring that:

- Files are in a neat and presentable condition.
- All enclosures are serially numbered.
- No file is missing / untraceable.
- Action has not been pending for an unduly long period on any minute or enclosure.
- BF system is being followed properly.
- Files in action have not become too bulky.
- No file has become "omnibus" and subject titles of files are in order.
- File Index Register is clean and maintained properly.
- Movement Register is being properly maintained.
- Entries with regard to incoming and outgoing correspondence are promptly made in the Receipt/Dispatch Register.
- Incoming correspondence is put on the relevant file without delay and not kept un-actioned in loose folders.


A certificate by the officer, covering the above points and/or other observation/recommendation shall be submitted to the Programme Co-ordinator, on conclusion of the inspection.

(g) **Survey**

A survey shall be undertaken each year, for the purpose of surveying all "put away" files, and to recommend their retention or destruction. This survey may be ordered by the Programme Co-ordinator.

(h) **Action on Loss of Files**

Periodic checks of file movement shall be carried out by the Secretary to locate and retrieve the files. If any file is untraceable, an inquiry shall be made to find circumstances under which the file was misplaced or lost. Responsibility of the loss may be affixed and action as considered necessary may be taken against the individual(s).

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D.6 SECURITY OF STAFF

D.6.1 Arrangements for the protection of personnel and property of the Family of organizations of the United Nations have been made by the UN Secretary General. He has designated a senior UN official in each country (usually the Resident Representative) to ensure security in emergency situations arising from political and other crises, including national disasters. Should the occasion arise, ICAO COSCAP-SA personnel must cooperate fully with the designated official and follow his instructions.

D.6.2 The Programme Coordinator of COSCAP-SA is required to review the security plan with the Resident Representative (or any other designated official). They should keep the ICAO field staff informed of planned procedures and advise them of any particular duties they must assume should security action be required.

D.6.3 A nominated official of the COSCAP-SA Programme shall attend UN Security Office meetings as Agency Security Focal Point (ASPF) and will advise the Programme Coordinator and other Programme staff of the important security issues discussed in the meetings. UN Security Office instructions with regard to security shall be followed. All international / regional staff and their dependents shall be issued with UN security ID cards. The staff members shall keep such ID cards in their possession at all times.

D.6.4 For security of the office premises and office vehicles, norms laid down by the local UN Security Office shall be followed. The officers shall carry a VHF radio set, when issued, as required by the UN Security Office and used as appropriate.


D.7 COSCAP –SA OPERATIONAL PROCEDURES

D.7.1 Planning of Operational Activities

D.7.1.1 Work Plan Development

- (a) The Programme Coordinator will develop a draft Work Plan (Tentative Calendar) in consultation with ICAO/TCB and the Steering Committee, taking into account the outputs planned in the current revision of the COSCAP-SA Programme document and the actual availability of funds and other resources.
- (b) The draft Work Plan will be based on the agreed formula on apportionment of Programme time as follows:

State Specific Activity	:	60 % (140 days/expert)
Programme Specific Activity	:	30 % (61 days / expert)
Programme Staff training and update	:	10 % (20 days / expert)
- (c) The proposed Work Plan will take into account the availability of funds .
- (d) The Programme Coordinator will forward the Tentative Calendar to SC Members for review not later than 1 December of the year preceding the plan year and on

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receipt of the concurrence of SC Members forward it to all States not later than 1st December of the same calendar year. The Draft Programme shall include to the extent possible the programme of missions planned for the year

- (e) The Programme Coordinator will provide the Chairman COSCAP-SA with an outline of the proposed missions.


D.7.1.2 **Planning of State - Specific Activities**

Based on the 60% time allocated for State-specific activities, technical assistance will be provided to States generally in accordance with the following considerations:

- (a) States will notify the Programme Coordinator of their requirement for missions and the purpose thereof.
- (b) Each State should receive in-country safety oversight missions at least once every six months.
- (c) Under the Core services identified in the Memorandum of Understanding signed between States, the Member States are assured with in-country technical assistance in ‘expert days’ as per the following table in respect of each area where the Programme has experts. The allocation of ‘expert days’ has been worked out based on the States’ contributions to the Programme. Member States may accordingly prepare their annual surveillance and inspection programme taking into account the availability of experts to the States in the field of Airworthiness, Aircraft Operations, Airworthiness, Air Traffic Management and Aerodromes. It is recommended that the Member States may enter into bilateral agreement with the COSCAP-South Asia in regard to use of experts’ assistance to perform the safety oversight functions for and on behalf of the State, under their supervision. A Specimen Bilateral Agreement that the States may sign with the COSCAP-South Asia is given at [Appendix-A](#).

	Country	No of days of in-country assistance assured under ‘core’ activities
1	Bangladesh	20
2	Bhutan	10
3	India	30
4	Maldives	15
5	Nepal	20
6	Pakistan	25
7	Sri Lanka	20

- (d) Additional in-country technical missions will be based on the actual needs of the State and the additional contribution that it provides to the COSCAP-SA Programme.
- (e) DGCAs may wish to authorize an official in their administration the task of coordinating with COSCAP missions directly with the Programme Coordinator.

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- (f) COSCAP-SA experts/consultants will assist States in preparations for ICAO USOAP audits and in development of corrective action plans on as required basis.
- (g) COSCAP-SA would respond to requests from States to provide assistance outside the State's entitlement under COSCAP-South Asia. If costs to provide this additional assistance would be borne by the State.

D.8 TRAINING

D.8.1 Training is a high priority of the COSCAP-SA Programme. The Training programme will cover both Programme-specific and State-specific Training.

D.8.2 The Programme Coordinator will prepare a tentative training programme for the year. The programme shall show the breakdown between training to be provided by COSCAP-SA Staff, Donors and the training that will be required to be funded by a specific State to meet its exclusive requirement. The programme will be sent to the States at the earliest but not later than 31st December of every year. The training programme will subsequently be amended by the Programme Management depending on the training opportunities that will be available to the programme after finalization of the annual training programme


D.8.3 To facilitate development of the Annual training programme and to meet State-specific requirements, DGCA's will forward their requirements to the Programme Co-ordinator in the month of November every year. Unforeseen training may be requested as the need arises.

D.8.4 The Steering Committee may prioritize the requirement of Programme-specific Training based on actual needs which will be determined at the Steering Committee Meetings

D.8.5 Donor agency provided training programme will be agreed with the agency concerned. If training in each COSCAP-SA Member State is not feasible, efforts will be made to plan it in at least two locations where trainees from all States will participate. In situations, when it is found feasible and cost effective to join hands with other COSCAPs in the Asia region to offer important and rate training opportunities to States, the COSCAP-South Asia may co-sponsor such activities with other COSCAPS for the Member States and the venue would be selected taking into account the conference facilities available and the ease of accessibility.

D.8.6 COSCAP-South Asia will also offer training and recurrent training to Regional Experts (Programme based) with a view to upgrading their knowledge with the change of technology and associated SARPS and to ensuring their technical competency in the respective fields so that they could serve the States better and effectively.

D.8.9 COSCAP-South Asia will entertain applicants outside the Civil Aviation Administrations of the Member States at the training activities which will be organized by the Programme subject to a payment by such applicants provided that there will be vacant seats after entertaining Member States' requests for seats. A fee of US \$ 300/= would be charged per person for a course of five days from outside participants so entertained and money collected through this means will be credited to the Trust Fund account.

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D.8.10 Programme Coordinator will maintain a detailed list of training activities containing information relating to the number of participants from each State, venue, course value, sponsor if any, trust area etc. which are conducted by the Programme during a calendar year and it will be placed before the Steering Committee meeting for review.

D.8.11 Participants attending the training activities conducted by COSCAP-South Asia will be issued with a Certificate to confirm the status of training. For class room training, certificate will indicate that the participant attended the ‘theoretical part’ of the training and for trainings which include ‘on-the-job training’ certificate will indicate that the participant completed the theoretical part of the training as well. COSCAP-South Asia will not issue any certificate to a participant if his or her attendance at the training activity is below 80%. The training certificates will bear the logos of both ICAO and COSCAP-South Asia and be counter signed by the Programme Coordinator, Chief Instructor and the Steering Committee Member of the State in which the Training Activity takes places. For training activities conducted at the Regional Office, Certificates will be signed by the Regional Director in lieu of the Steering Committee Member.

D.9 OPERATION OF SARAST

D.9.1 The Programme Coordinator of COSCAP-SA will serve as the SARAST Team Leader till such time that the Steering Committee assigns a Team Leader from the member States.

D.9.2 Each COSCAP - SA member State will designate one flight operation, one airworthiness and/or representative from other functional areas as members of the Team. It was agreed at the 17th Steering Committee held from 06-08 November 2008, that the Head of Flight Safety Division of the respective Civil Aviation Administration be nominated the SARAST Team Leader to represent the respective CAA at the SARAST meetings.

D.9.3 The SARAST Team will meet as necessary, generally not more than twice each year.

D.7.4 Appropriate industry groups shall be invited to the SARAST meetings; representatives of CAST and JSSI would also be invited.


D.9.5 The SARAST Team Leader shall maintain close liaison with ICAO to benefit from its advice and to this effect he will provide regular feedback to ICAO on SARAST activities and on the emerging accident prevention interventions.

D.9.6 The SARAST Team Leader will liaise with other regional safety teams to benefit from their efforts.

D.9.7 The Steering Committee will monitor the activities of SARAST and promote the implementation of those interventions that are considered appropriate for South Asia region.

D.10 NATIONAL COORDINATORS


D.10.1 At its 17th Meeting, the Steering Committee decide to appoint National Coordinators to enhance communication and liaison requirement between the Member Administrations and the COSCAP-South Asia Programme Management.

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D.10.2 The National Coordinator will be functioning subject to the direction, guidance and close supervision of the Steering Committee Member of the respective Civil Aviation Administration which nominates the National Coordinator, and in close liaison with the relevant civil aviation staff of the civil aviation administration, industry personnel, service recipients or beneficiaries of COSCAP^{South Asia} who are domiciled in the Member State.

D.10.3 The National Coordinator of a Member State is expected to;


- i. liaise with the Regional Programme Coordinator COSCAP^{South Asia} on all matters that are connected with or incidental to the planning, implementation and monitoring of the tasks, work programmes and activities undertaken by COSCAP^{South Asia}.
- ii. establish and maintain a close and harmonious working relationship with the National Aviation Safety Team of the respective Member State and provide a feedback to COSCAP^{South Asia} in regard to its activities and functioning.
- iii. coordinate and /or follow up as may be required, the level of implementation of Steering Committee Resolutions and Recommendations of the SARAST or ARAST for Safety Enhancements in the respective Civil Aviation Administration and provide a feedback to the COSCAP^{South Asia}.
- iv. coordinate and facilitate the conduct of in-country Technical Missions of International / Regional Experts which may be programmed by COSCAP^{South Asia}, take necessary follow up actions on the Experts' Mission Reports and provide feedback on such activities to the COSCAP^{South Asia}.
- v. coordinate with the Regional Programme Coordinator, COSCAP^{South Asia} in regard to preparation and implementation of the Annual Work Plan and Annual Work Programme for the respective Member State, which may require assistance from COSCAP^{South Asia}.
- vi. coordinate with the Regional Programme Coordinator, COSCAP^{South Asia} in regard to preparation and implementation of the General or Specific Training Programmes for the respective Member State, which may require assistance from COSCAP^{South Asia}.
- vii. coordinate with the Regional Programme Coordinator, COSCAP^{South Asia} in regard to providing assistance to the respective Member State for the conduct of internal audits for the preparation of IUSOAP audits, development Remedial Action Plan or implementation of the Action Plan depending on the requirements and decisions of the respective Civil Aviation Administration.
- viii. Supply and frequently update the necessary data, statistics and other relevant

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information on behalf of the respective Civil Aviation Administration to COSCAP^{South Asia} to support the work, functions and activities of the Programme.

- ix. Monitor the fulfillment of the obligations of the Member States towards the operation of the COSCAP^{South Asia} by ensuring timely completion of signatory requirements of the applicable Programme Documents and payment of the annual contributions.
- x. Keep the respective Steering Committee Member adequately briefed and constantly updated in regard to all on-going and planned activities of the COSCAP^{South Asia} which has relevance to the particular civil aviation administration and which is known to the National Coordinator.
- xi. Assist the Steering Committee Member to prepare for the Steering Committee Meetings or similar meetings and activities by providing the relevant data and information in liaison with the Regional Programme Coordinator.
- xii. Perform any other task that may be assigned by the Steering Committee Member

D.10.4 The National Coordinator of a Member State is required to enter into a Special Service Agreement with the International Civil Aviation Organization which executes the programme and is paid a honorarium of USD 100/= per month.

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E. PROGRAMME MONITORING, REPORTING AND EVALUATION

E.1 INTRODUCTION

E.1.1 The general requirements of programme (project) monitoring, reporting and evaluation are described in detail in ICAO TCB Field Operations Manual. Specific requirements of Monitoring and Reporting in respect of COSCAP-SA Programme are described in the Programme document.

E.1.2 General Principles

Monitoring and Evaluation shall be integrated into the Programme cycle to enhance the implementation and achievement of results from current programmes as well as evaluate the need for future Programme activity. They shall be results-oriented and include assessments of the relevance, performance and success. While mainly persons involved in managing a Programme do monitoring, evaluation shall be done by persons who have not been involved in managing it.

E.2 MONITORING


E.2.1 General

E.2.1.1 Monitoring shall be undertaken on a continuous basis; it shall aim primarily to provide all parties participating in the Programme with early indications of progress or lack thereof in the achievement of Programme objectives; while reporting it in a systematic and timely manner and providing essential information needed for decision-making by the competent authority.

E.2.1.2 Reporting is an integral part of the monitoring function. Monitoring aims at correcting problems relating to the effective utilization of the results of the Programme.

E.2.1.3 Monitoring of the Programme shall specially address the following:

- (a) the extent of progress of Programme activities and sub-activities and the production of outputs as envisaged in the Programme Document against established schedules and indicators of progress;
- (b) identification and assessment of the factors affecting the progress of Programme activities and sub-activities and the production of outputs;
- (c) assessment of prospects of the Programme achieving its immediate objectives;
- (d) identification of actions necessary, and the deadlines by which they should be carried out in order to utilize opportunities for improving or correcting problems relating to the implementation of the Programme.

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E.2.1.4 Monitoring shall normally result in immediate actions to promote the timely implementation of a Programme and the utilization of its results within the framework of established objectives and work plans. It may, however, result in a modification of the work plan or even in a revision of the Programme document.

E.2.2. COSCAP-SA Programme Monitoring

E.2.2.1 Programme Monitoring and review by Director TCB

The Director, Technical Cooperation Bureau, ICAO shall monitor the Programme continuously through on-going correspondence on project implementation issues with the Programme Co-ordinator.

E.2.2.2 Programme Monitoring and review by the Steering Committee

The Steering Committee shall monitor the project through the working papers prepared for its regular meeting and during the meeting. The Steering Committee shall review the progress of the Programme, adjust the Work plan methodology and apportionment of costs as necessary.

E.3 PROGRAMME REPORTS

E.3.1 Progress reporting to ICAO/TCB

E.3.1.2 Brief Annual Report

The Programme Coordinator shall prepare and submit Annual Reports to the Director TCB for inclusion in the Annual Report of the Council of ICAO.


E.3.2 Progress reporting to the Steering Committee

E.3.2.1 The Programme Coordinator shall draft Working Papers for each Steering Committee Meeting which will include, *inter-alia*, a paper on the progress of the project. After review by the Director, TCB, the papers will be submitted to the SC members and other participants in the meeting.

E.3.2.2 For all Steering Committee Meetings an Implementation Report on the decisions taken in previous meetings shall be prepared by the Programme Coordinator.

E.3.3 Technical Reports

Technical reports shall be prepared – one for each of the technical specialties upon completion of the activities related to the specialty by the assigned expert/consultant. All technical reports, whole or in parts, shall be treated as confidential and shall not be made available to non-member States without the consent of the participating States concerned.

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E.3.4 Experts' End-of-Assignment Reports


At the end of his/her assignment each expert will prepare a debriefing report in accordance with the requirement of the ICAO TCB Field Operations Manual.

E.3.5 Experts' Mission Reports


Mission reports shall be prepared after each mission outside the home base of the Institute. The reports shall be prepared conforming to the prescribed format and shall bring out the mission objective and the outputs in a precise manner. Any follow-up required shall be indicated in the report. After the approval of the Programme Coordinator, the report shall be forwarded to the TCB and a copy of the same shall be filed. It will be the responsibility of the expert to take the necessary follow-up action wherever required. If an Expert comes across a significant aviation safety concern during his or her mission to a State, it shall be immediately notified to the respective Steering Committee Member of the State in writing with copy to the Programme Coordinator. Likewise, The Programme Coordinator will submit his own Mission Reports to the, TCB. Mission Reports will also be placed at the secured space allotted fro each Member States in the Programme's official website.

E.4 PROGRAMME EVALUATION

The Steering Committee may undertake evaluation of the Programme at its discretion. ICAO may also undertake a detailed evaluation of the Programme as part of its functions. Similarly, a major donor agency may also undertake evaluation of the outcome of its contribution to the Programme.

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APPENDICES

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Specimen Bilateral Agreement

Agreement between the Civil Aviation Authority of (Insert Name of the State) and COSCAP-South Asia for obtaining Services of Technical Experts from COSCAP-South Asia to perform Safety Oversight functions of the Civil Aviation Authority of (Insert Name of the State)

Whereas, the Civil Aviation Authority of (Insert Name of the State) is a Member Civil Aviation Administration participating in the COSCAP-South Asia Programme having become a signatory to the Memorandum of Understanding (MoU) signed between Civil Aviation Administrations of the COSCAP-South Asia Member States and associated the Project Document – Phase III (2008-2012); and,


Whereas, the COSCAP-South Asia has human resources specialized in such technical areas as Airworthiness, Flight Operations, Aerodromes and Air Traffic Services in its regular staff and has the potential of enlisting regional and international experts depending on the needs of the Member States subject to the decisions of its Steering Committee; and,

Whereas, the Civil Aviation Authority of (Insert Name of the State) is entitled to obtain the services of Technical Staff employed by the COSCAP-South Asia under the ‘Core services’ of the MoU in accordance with the resource allocation criteria to be determined by COSCAP-South Asia, in pursuance of the policies and directives of its Steering Committee ; and,

Whereas, the Civil Aviation Authority of (Insert Name of the State) desires to achieve enhanced capability in the performance of its Safety Oversight activities by obtaining the services of technical experts employed by the COSCAP-South Asia; and,

Whereas, the MoU aforementioned in the first paragraph has not provided for the direct engagement and involvement of the technical experts of the COSCAP-South Asia to perform specific States’ safety oversight activities for or on behalf of the States but does not preclude expanding its scope of services to include such activities;


Now therefore , the Civil Aviation Authority of (Insert Name of the State) which is hereinafter referred to as **(INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION)** and the COSCAP-South Asia which is hereinafter referred to as **COSCAP-SA** enter into a bilateral Agreement to supplement the MoU without prejudice to its general

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intent, making provisions for the following, so long as the validity of the MoU remains current.

Accordingly, until such time that this Agreement remains in force the parties to the Agreement will honour and perform the following.

1. COSCAP-South Asia will;
 - a. grant its consent to the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION) to obtain services of the COSCAP-SA Technical Experts (CTE) when they are formally released by the Programme Management, COSCAP-SA to provide technical assistances to the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION) in accordance with the resource allocation criteria of COSCAP-SA mentioned in its IF&APM, which shall ensure fair share of resources amongst the Member States.
 - b. inform the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION) periodically and/or whenever requested by (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION) the periods of availability of Technical Experts for use by the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION) to perform its Safety Oversight functions under this arrangement.
 - c. authorize the CTEs to abide by the published Rules, Regulations, Procedures and Guidance Material of (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION) and written instructions issued by or on behalf of the Director General of Civil Aviation (DGCA) of (Insert Name of the State) when performing the Safety Oversight functions of the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION) . The CTEs may wear the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION) Inspector uniform while attending to inspection functions at airlines, airports or elsewhere, if so required and supplied by the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION) .
 - d. instruct the CTEs to maintain strict confidentiality of information that is revealed or may come to their knowledge during the course of working with the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION) under the this Agreement. Except in situations where significant safety concerns exists, the CTEs will not disclose any such matter to the Programme Management, unless authorized by the DGCA, (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION).


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- e. authorize the CTEs to respect and follow the established channels of communication within the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION), whilst providing technical assistance under this Agreement and follow normal channel of communications between the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION) and COSCAP-SA, when providing services outside this Agreement .
 - f. not alter, suspend or cancel any work programmes that has been worked out in consultation with the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION) in regard to providing services of the CTEs under this Agreement , unless for exceptional circumstances or reasons beyond the control of COSCAP-SA.
 - g. reserve the right of advising the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION) in regard to all matters that exist or are likely to come under the general purview or mandate of COSCAP-SA or on matters that would directly affect the safety or security in civil aviation.
 - h. not insist on any additional payment for the services to be rendered by the CTEs under this Agreement , provided such services are within the allotted share of technical assistance entitled by the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION).
2. Civil Aviation Authority of (Insert Name of the State) will;
- a. obtain services or assign duties to the CTEs of COSCAP-SA only when they may be spared for such services or duties as deemed by the Programme Management, and with its written consent.
 - b. not hold any CTE personally responsible, institute legal action against or summon before any court of inquiry for any commission or omission connected with or incidental to any of the Safety Oversight activities or functions performed by him for or on behalf of the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION).
 - c. treat the CTEs whose services are made duly available to the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION) by COSCAP-SA under this Agreement as part of the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION) its technical staff when performing its Safety Oversight activities and accord due

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respect, status and protection as provided to its own staff in accordance with the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION)'s established rules, procedures and practices without discrimination whatsoever.

- d. not require the CTEs to perform any duty or function which is against or not in conformity with the published civil aviation rules, regulations or procedures of (Insert Name of the State) or written instructions issued by DGCA and not assign any duty/activity/function to the CTEs which compromise safety or is not consistent with the objectives or principles of either COSCAP-SA or (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION).
- e. provide the CTEs with all facilities and services needed to perform the assigned duties and functions including the Inspector Handbooks, guidance materials, inspector credentials/airport access passes, uniforms, logbooks, stationeries, transport etc.
- f. deal directly with the Programme Management of COSCAP-SA on all administrative matters connected with, arising out of or incidental to the implementation of the provisions in the Agreement .
- g. absorb all costs, at home and/or abroad, (except the monthly salaries of CTEs) to be incurred for the implementation of all activities under this Agreement , for the performance of safety oversight duties/functions of the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION).
- h. issue necessary instructions to the CTEs in writing in regard to the performance of tasks, activities or functions to be attended to by them for or on behalf of the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION) prior to the execution of such tasks etc.
- i. take full responsibility for the work, tasks or activities to be performed by the CTEs at the behest of the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION), for or on behalf of the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION) and hold the COSCAP-SA, any of its staff or ICAO harmless, not-labile and/or not responsible against potential third party action arising out of such work, tasks or activities.
- j. permit CTE s to disclose significant aviation safety concerns that may come across during their interactions with the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION), to the notice of the COSCAP-SA Programme Management.

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- k. extend the insurance cover that is applicable to the CAA inspectors to cover CTEs when performing the (INSERT ABBREVIATION FOR THE CIVIL AVIATION ADMINISTRATION) duties and functions.

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Director General of Civil Aviation	Chairman
Civil Aviation Authority of (Insert Name of the State)	COSCAP – South Asia
Date :	