



**AFI-CIS**  
**POLICY AND PROCEDURE MANUAL**

**May 2012**

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## CHAPTER 1 - INTRODUCTION

### 1.1 BACKGROUND

1.1.1 ICAO Universal Safety Oversight Audit Programme (USOAP) audit results of many AFI States have revealed significantly high percentages of lack of effective implementation (LEI) of the critical elements of a safety oversight system. As a result, AFI States form the majority of States currently under consideration by the ICAO Audit Results Review Board (ARRB) due to a significant lack of effective implementation of the critical elements of a safety oversight system. At the time of their audits, their respective percentage LEI ranged from 50.53% to 96.10%. The average percentage LEI for this group of States was 76%. In addition, more than 70% of States that have been referred to the ARRB with significant safety concerns are AFI States. Over the years, little or no progress has been made in the implementation of their corrective action plans to resolve identified safety related deficiencies. This situation is mainly due to the States' inability to recruit and retain sufficient numbers of qualified and experienced inspectors combined with the unavailability of the tools required for carrying out inspections and other tasks related to certification and surveillance.

1.1.2 The AFCAC/ICAO Joint Meeting on the Improvement of Aviation Safety in Africa, held on 13 May 2010 in N'Djamena, Chad, expressed concern over the state of aviation safety in the AFI region and resolved to take concrete actions aimed at improving the situation. To this end, the meeting adopted a list of objectives, to be achieved within the next two years. The agreed objectives were stated as follows:

- A target of a minimum of 10% unit reduction annually in the lack of effective implementation of the critical elements of a States safety oversight system, over the next two years; and,
- To remove all African States from the ICAO Audit Results Review Board (ARRB) list within the next two years.

1.1.3 The meeting was cognizant of the challenges in actualizing the stated objectives and mindful of the difficulties faced by individual States especially in the area of recruitment and retention of a sufficient number of qualified Inspectors. In an effort to circumvent this situation, which could be a possible obstacle in the realization of these objectives, the AFCAC/ICAO Joint Ad hoc Meeting on Improvement of Aviation Safety in Africa held in Dakar, Senegal, 17–19 August 2010, endorsed the establishment of an AFI Cooperative Inspectorate Scheme (AFI-CIS).

1.1.4 The AFI-CIS is expected to be established by the creation of a pool of available qualified inspectors, selected from within the AFI Region, to assist AFI States to resolve their safety oversight deficiencies and, as the case may be, their significant safety concerns (SSCs) particularly with respect to certification and surveillance.

1.1.5 The Scheme is also aimed at closing many of the gaps identified by the gap analyses carried out under the AFI Plan. The implementation of the AFI-CIS is expected to provide States with access to a pool of qualified and experienced safety inspectors that would

assist in the resolution of many of the safety related deficiencies and significant safety concerns. This would therefore facilitate the removal of AFI States from the ARRB list.

1.1.6 The AFI-CIS will be composed of inspectors selected from within the AFI Region. As a result, the programme will enable the development and retention of a better-trained and experienced cadre of inspectors from within the Region. Other benefits include improved incentives for inspectors by offering them opportunities to apply their knowledge and experience in a wider scope while supporting optimum use of inspector training programmes.

1.1.7 A formal Agreement in the form of a Memorandum of Understanding (MOU) signed by all States participating in the project details the duties, responsibilities and inputs of each stakeholder. The MOU serves as an agreement between AFCAC and States, both donating and receiving Inspectors. It also provides the basis for utilization of National Inspectors selected under the scheme. AFI-CIS inspectors will remain in the employment of their States. However, States will undertake to make available for AFI-CIS missions those of their inspectors selected under the Scheme. Those States requiring assistance under the project also undertake to cover the costs of services provided without undue delay.

1.1.8 The Agreement also specifies the responsibilities of AFCAC as the implementing agency and ICAO Regional Offices in providing the technical support to AFCAC in the implementation of the project. In addition, the Agreement outlines the responsibilities of each of the regional bodies (COSCAPs and RSOOs) participating in the project.

## **1.2 SCOPE**

1.2.1 The AFI-CIS Project adopted the targets agreed to by the ICAO/AFCAC Joint Meeting on Aviation Safety held in Ndjamena, Chad, on 13 April 2010 as its immediate objective. In that respect, the project aims to assist the AFI States to achieve a 10% annual reduction in their LEIs over a period of two years. A maximum of two years has been set by AFCAC for the removal of all AFI States from the ARRB list of States. With this in mind, the project aims to achieve the stated objectives by prioritizing its work programme. Initially, the project aims to assist those States currently on the ARRB with particular attention to States with significant safety concerns (SSCs).

1.2.2 With respect to the approach to be used for resolving safety oversight deficiencies and significant safety concerns, the project intends to apply a prioritized action plan in the following order: resolve SSC findings; remove AFI States from the ARRB list; and resolve safety oversight deficiencies in general and reduce LEIs. The services of the project will eventually be made available to all other AFI States requiring assistance.



### 1.3 DEFINITIONS AND TERMINOLOGY

**Assessment.** An appraisal of procedures or operations based largely on experience and professional judgment.

**Audit.** A systematic and objective review of a State's safety oversight system to verify compliance with the provisions of the Chicago Convention or national regulations, conformance with or adherence to ICAO Standards and Recommended Practices (SARPs), procedures and good aviation safety practices.

**Audit area.** One of eight audit areas pertaining to USOAP, i.e. primary aviation legislation and civil aviation regulations (LEG), civil aviation organization (ORG); personnel licensing and training (PEL); aircraft operations (OPS); airworthiness of aircraft (AIR); aircraft accident and incident investigation (AIG); air navigation services (ANS); and aerodromes and ground aids (AGA).

**Compliance Checklist (CC).** Assists the State in ascertaining the status of implementation of ICAO Standards and Recommended Practices (SARPs) and in identifying any difference that may exist between the national regulations and practices and the relevant provisions in the Annexes to the Convention.

**Critical elements (CEs).** The eight critical elements of a safety oversight system encompass the whole spectrum of civil aviation activities. They are the building blocks upon which an effective safety oversight system is based. The level of effective implementation of the CEs is an indication of a State's capability for safety oversight. (See 2.3.1.1 for the list of CEs.)

**Deficiency.** A condition where the State's safety oversight system does not meet a Protocol Question (PQ) used to measure the effective implementation of the eight critical elements. One or more related deficiencies may be grouped together to identify a finding. A PQ marked as "not satisfactory" may also be referred to as a deficiency.

**Finding and Recommendation (F&R).** A finding is generated as a result of a lack of compliance with Articles of the Chicago Convention, safety-related provisions in the Annexes to the Convention, Procedures for Air Navigation Services (PANS) or a lack of application of ICAO guidance material or good aviation safety practices. The lack of compliance is expressed in terms of one or more deficiencies. For every finding, ICAO recommends measures to be taken by the State for its resolution.

**Inspection.** An examination of an aviation licence, certificate, approval or authorization holder (or applicant) performed by aviation safety inspectors to confirm compliance with requirements for the licence, certificate, approval or authorization already issued (or being issued) by the State.

**Lack of Effective Implementation (LEI).** A measure of the State's safety oversight capability, calculated for each critical element or for each audit area. The overall Lack of Effective

Implementation (LEI) published in the USOAP audit reports is the average of the eight LEIs for each critical element.

**Mission.** An activity requiring one or more persons to travel to a State and conduct on-site tasks.

**Objective evidence.** Information that can be verified, supporting the existence of a documented system and indicating that the system generates the desired results.

**Oversight.** The active control of the aviation industry and service providers by the competent regulatory authorities to ensure that the State's international obligations and national requirements are met through the establishment of a system based on the eight critical elements.

**Procedure.** A series of steps followed in a methodical manner to complete an activity or a process, describing what should be done, when and by whom; where and how each step should be carried out; what information, documentation and resources should be used; and how it should all be controlled.

**Process.** A set of interrelated or interacting activities that transforms inputs into outputs. Processes within an organization or programme are generally planned and carried out under controlled conditions to add value.

**Protocol Questions (PQs).** The primary tool used in USOAP for assessing the level of effective implementation of a State's safety oversight system based on the eight critical elements, the *Convention on International Aviation*, ICAO SARPs, PANS and related guidance material.

**Recognized organizations.** Entities including national, regional, supranational and international organizations, committees or bodies with which ICAO has signed a Memorandum of Understanding (MOU) for the sharing of information under the USOAP CMA.

**Safety.** The state in which the possibility of harm to persons or property damage is reduced to, and maintained at or below, an acceptable level through a continuing process of hazard identification and risk management.

**Significant Safety Concern (SSC).** Occurs when the audited State allows the holder of an authorization or approval to exercise the privileges attached to it, although the minimum requirements established by the State and by the Standards set forth in the Annexes to the Chicago Convention are not met, resulting in an immediate safety risk to international civil aviation.

**Validate.** To confirm submitted information in order to determine either the existence of a finding or the progress made in resolving the finding.

## 1.4 ACRONYMS AND ABBREVIATIONS

<b>AOC</b>	Air Operator Certificate
<b>AFCAC</b>	African Civil Aviation Commission
<b>AFRAA</b>	African Airlines Association
<b>AGA</b>	Aerodromes and ground aids
<b>AIG</b>	Aircraft accident and incident investigation
<b>AIR</b>	Airworthiness of aircraft
<b>ANB</b>	Air Navigation Bureau
<b>AOC</b>	Air operator certificate
<b>ARRB</b>	Audit Results Review Board
<b>CAA</b>	Civil Aviation Authority
<b>CAP</b>	Corrective Action Plan
<b>CBT</b>	Computer-based training
<b>CC</b>	Compliance Checklist
<b>CE</b>	Critical element
<b>CMA</b>	Continuous Monitoring Approach
<b>CMO</b>	Continuous Monitoring and Oversight Section
<b>COSCAP</b>	Cooperative Development of Operational Safety and Continuing Airworthiness Programme
<b>CSA</b>	Comprehensive Systems Approach
<b>DGCA</b>	Director General of Civil Aviation
<b>DSA</b>	Daily subsistence allowance
<b>EFOD</b>	Electronic Filing of Differences
<b>ESAF</b>	Eastern and Southern African Office
<b>F&amp;R</b>	Finding and Recommendation
<b>GASP</b>	Global Aviation Safety Plan
<b>HLSC</b>	High-level Safety Conference
<b>HQ</b>	Headquarters
<b>ICAO</b>	International Civil Aviation Organization
<b>iSTARS</b>	Integrated Safety Trend Analysis and Reporting System
<b>ICVM</b>	ICAO Coordinated Validation Mission
<b>LEG</b>	Primary aviation legislation and civil aviation regulations
<b>LEI</b>	Lack of Effective Implementation
<b>OPS</b>	Aircraft operations
<b>ORG</b>	Civil aviation organization
<b>MARB</b>	Monitoring and Assistance Review Board
<b>MIR</b>	Mandatory Information Request
<b>MOU</b>	Memorandum of Understanding
<b>NCMC</b>	National Continuous Monitoring Coordinator
<b>OJT</b>	On-the-job training
<b>PEL</b>	Personnel licensing and training
<b>PQ</b>	Protocol Question
<b>RO</b>	Regional Office

<b>RSOO</b>	Regional safety oversight organization
<b>SAAQ</b>	State Aviation Activity Questionnaire
<b>SARPs</b>	Standards and Recommended Practices
<b>SMS</b>	Safety management system
<b>SSC</b>	Significant Safety Concern
<b>SSP</b>	State safety programme
<b>TCB</b>	Technical Co-operation Bureau
<b>TL</b>	Team leader
<b>TM</b>	Team member
<b>USOAP</b>	Universal Safety Oversight Audit Programme
<b>WACAF</b>	Western and Central African Office

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## **CHAPTER 2 - MANAGEMENT OF THE AFI-CIS PROJECT**

### **2.1 GENERAL**

2.1.1 In order to effectively manage the AFI-CIS, all components of the Scheme including roles and responsibilities, requiring resources and procedures must be clearly defined.

2.1.2 The effective implementation of the AFI-CIS depends on the partnership, communication and exchange of information between AFCAC, ICAO, AFI States, and regional organizations, COSCAPs/RSOs. Therefore, the clear definition of the essential roles and responsibilities of each of these entities is important in ensuring the success of the AFI-CIS.

2.1.3 The aim of these procedures is to provide the mechanisms for implementation, monitoring and review of the different components of the AFI-CIS, determining the need for correction and identifying opportunities for improvement.

### **2.2 ROLES AND RESPONSIBILITIES**

#### **2.2.1 AFCAC**

2.2.1.1 AFCAC has overall responsibility for the AFI-CIS project. The specific responsibilities of AFCAC include, but are not limited to:

- a) overall management of the the AFI-CIS project;
- b) providing timely notification to States regarding scheduled activities;
- c) selection of Team Leaders (TLs) and Team Members (TMs), in close consultation with ICAO, for the conduct of AFI-CIS missions and activities;
- d) follow up actions with States and relevant stakeholders on high level outcomes of CIS missions and recommendations thereof;
- e) providing periodic reports to the ICAO/AFCAC Adhoc committee on the implementation of AFI-CIS facilitating and coordinating support functions, including funding, for all AFI-CIS activities; and
- f) providing the necessary logistical support and making administrative arrangements for the conduct of AFI-CIS activities including training and missions.

## **2.2.2 ICAO**

2.2.2.1 ICAO, through the WACAF Office(supported by HQ and ESAF Offices) and the AFI-Plan, to provide implementation and technical support to the AFI-CIS, including but not limited to :

- a) development of the AFI-CIS Memorandum of Understanding (MOU);
- b) development of guidance materials in the form of Policy and Procedures Manual for the AFI-CIS;
- c) assisting AFCAC in the evaluation/selection of AFI-CIS Inspectors;
- d) coordinating and delivering of training, seminars/workshops related to the AFI-CIS;
- e) planning, scheduling and deployment of initial AFI-CIS missions and follow-up missions where required;
- f) complementing the efforts of AFCAC in mobilizing resources under the SAFE fund for project activities;
- g) carrying out, in conjunction with AFCAC, monitoring and evaluation activities, including evaluation missions where required;
- h) Preparing periodic reports on the progress made in resolving identified deficiencies and improvement of the global LEI following implementation of AFI-CIS project.

## **2.2.3 AFCAC AFI-CIS FOCAL POINT**

2.2.3.1 The AFCAC Director of Safety serves as the main focal point for all matters relating to the AFI-CIS Project. Key responsibilities of the AFCAC AFI-CIS focal n point include, but are not limited to:

- a) participate in the evaluation/selection of inspectors candidates for the AFI-CIS;
- b) collection of safety information provided by the State requesting assistance;
- c) reviewing the acceptability of AFI-CIS mission reports prior to transmission to the recipient State;
- d) coordination and preparation of the required supporting information package for AFI-CIS on-site activities;
- e) providing pertinent and available information to the TLs for preparation of AFI-CIS on-site activities;

- f) preparing for, and participating in AFI-CIS activities either as TL or TM;
- g) arranging for, and/or coordinating with ICAO, on-the-job training to newly selected AFI-CIS Inspectors;
- h) regularly communicating with AFI-CIS Inspectors, as required, to promote standardization;
- i) coordinating with ICAO, training on seminars and workshops for AFI-CIS activities;
- j) providing timely support to States by communicating with the focal contact designated by each State;
- k) coordinating actions and communicating with staff from ICAO Regional Offices, COSCAPs/RSOs and other relevant organizations; and
- l) Keeping records in relation to all AFI-CIS activities

## **2.2.4 ICAO FOCAL POINTS**

2.2.4.1 ICAO provides implementation and technical support to the AFI-CIS Project, specifically in providing information on States Lack of Effective Implementation of the eight critical elements of a State safety oversight system, the ICAO USOAP audit reports and the analysis of results and assistance in the training of selected AFI-CIS Inspectors. To this end, one AFI-CIS focal point has been designated in each of the AFI Regional Offices, ESAF and WACAF.

2.2.4.2 The key responsibilities of the ICAO focal points with respect to the AFI-CIS Project include, but are not limited to:

- a) assisting AFCAC efforts to develop appropriate legal and guidance materials in the form of a Memorandum of Understanding (MOU) and Policy and Procedures Manual for the AFI-CIS;
- b) providing AFCAC with relevant safety information, including areas of concern;
- c) facilitating the exchange of information between AFCAC, ICAO and States;
- d) providing support to AFCAC in guiding States that require assistance, in facilitating the development of CAPs acceptable to ICAO;
- e) providing information to AFCAC to assist it to select and prioritize AFI-CIS missions/activities;
- f) assisting in the provision of training of the selected AFI-CIS Inspectors; and

- g) monitoring the status of the LEI of AFI States for improvement as a result of the AFI-CIS Project interventions.

## **2.2.5 AFI STATES**

2.2.5.1 AFI States are required to sign an MOU with AFCAC to indicate their full support and commitment to the AFI-CIS project and to actively participate in all AFI-CIS activities, including the provision of Inspectors, and, for the recipient State, in accepting an AFI-CIS mission, using Inspectors from other AFI States. As signatories to the AFI-CIS MOU, AFI States undertake to participate in the AFI-CIS Project either as Recipient and/or Providing State, in line with the terms of the MOU. Each State shall facilitate the work of the AFI-CIS mission team by providing all necessary resources, documents, information, administrative and technical support as may be required.

2.2.5.2 AFI-CIS missions will be conducted on a cost-recovery basis. States requesting for AFI-CIS missions are required to cover all costs related to travel including local transportation and Daily Subsistence Allowance (DSA) at the approved UN rate.

2.2.5.3 AFI States should therefore secure adequate resources to fulfill all the terms of the AFI-CIS MOU.

## **2.2.6 STATE DESIGNATED AFI-CIS FOCAL POINT**

2.2.6.1 In order to support the AFI-CIS, each participating State is responsible for designating one AFI-CIS focal point for the coordination of all AFI-CIS processes and activities.

2.2.6.2 The AFI-CIS focal point in a Providing State is required to maintain records on those of its inspectors used for AFI-CIS missions and facilitate the coordination with AFCAC on the availability, arrangements and use of the State's inspectors under the AFI-CIS.

2.2.6.3 The AFI-CIS focal point in a Recipient State is responsible for maintaining and updating the information to be provided by the State to AFCAC on an ongoing basis, including, but not limited to:

- a) State legislation and regulations including all updates;
- b) State procedures and guidance materials developed for Inspectors;
- c) State's request for AFI-CIS assistance missions with details and nature of work requested;
- d) Agreement with AFCAC on the mission work plan and schedule of mission activities; and
- e) other relevant information, as requested by AFCAC.



2.2.6.4 Should follow-up action be necessary to resolve findings and recommendations, the AFI-CIS focal contact shall coordinate the development and submission of a follow-up mission request to the AFCAC.

### **2.2.7 RSOOs (including COSCAPs)**

2.2.7.1 For the AFI-CIS to be effective t, it should coordinate and collaborate its activities with the activities undertaken by RSOOs (including COSCAPs) in the AFI region. Through agreements with AFCAC, the RSOOs may agree to the following:

- a) mutual cooperation between AFCAC and ICAO in order to ensure the optimum use of human resources (inspectors) within the AFI Region;
- b) designation of COSCAP/RSOO personnel as AFI-CIS mission Team Leaders or Team Members when necessary;
- c) sharing of information and materials such as legislation, regulations and procedures with the aim of facilitating harmonization of regulations and development of comprehensive and detailed procedures;
- d) assisting in the provision of training of selected national inspectors under the AFI-CIS Project;
- e) coordination on development of schedules of activities to facilitate and eliminate unnecessary duplication of efforts; and
- f) the designation of an AFI-CIS focal contact in the RSOO to act as the primary point of contact for all AFI-CIS processes and activities.

### **2.3 AFI-CIS MEMORANDUM OF UNDERSTANDING (MOU)**

2.3.1 A Memorandum of Understanding (MOU) is required to be signed between each AFI State and AFCAC and serves as an official agreement between the two parties which outlines the responsibilities of the States and AFCAC with the aim of ensuring effective implementation of the AFI-CIS Project.

2.3.2 The AFI-CIS MOU represents an instrument of agreement for the conduct of AFI-CIS activities. The MOU outlines the terms under which AFI-CIS activities will be conducted. No AFI-CIS activities will be undertaken in a State, unless that State has returned a signed copy of the MOU to AFCAC.

2.3.3 Any AFI State that has not signed and submitted a copy of the MOU cannot take part in the Scheme and therefore can neither provide nor receive Inspectors from other participating States under the AFI-CIS project.

## 2.4 PLANNING AND SCHEDULING OF AFI-CIS MISSIONS

2.4.1 AFCAC shall publish an annual work schedule, in accordance with Appendix A of this document, identifying the States that will receive AFI-CIS missions. The schedule shall be established in coordination with all relevant stakeholders including AFCAC, the States, ICAO and COSCAPs/RSOOs.

2.4.2 The scope of a scheduled AFI-CIS mission, identifying the areas that will be covered, is determined based on an assessment, by audit area, of:

- a) the level of progress made in the implementation of the State's Corrective Action Plan following an ICAO USOAP audit;
- b) the amount of work required to be completed on-site (as opposed to activities that can be performed off-site) and
- c) the request received from the recipient State on the details/nature of assistance being requested.

2.4.3 AFCAC determines the duration of the mission through a review of the information submitted by the State. The nature and size of the AFI-CIS mission team selected will be based on the scope and the amount of work to be performed on-site.

2.4.4 The programme of activities and any subsequent amendments thereto must be provided to all Stakeholders by AFCAC. AFCAC will also notify selected States of the scheduled AFI-CIS on-site activity through a Notification Letter.

2.4.5 AFI-CIS missions will be conducted on a cost-recovery basis. States requesting AFI-CIS missions are expected to provide assistance in making travel arrangements for the AFI-CIS team of inspectors and to cover all costs related to travel, local transportation and the Daily Subsistence Allowance (DSA).

*Note – The DSA is based on rates established by the United Nations and includes accommodation, meals and incidental expenses.*

2.4.6 States are required to acknowledge receipt of the State Notification letter and confirm their acceptance of the AFI-CIS activity within the specified timeline.

2.4.7 According to the MOU, States are urged to accept scheduled AFI-CIS activities without any changes, unless there are compelling reasons. However, should changes be required, adjustments and amendments may be made to the programme schedule to ensure the overall effectiveness and efficiency of the AFI-CIS.

2.4.8 Although every effort would be made to maintain the activity schedule, once agreed upon, changes may occur for reasons outside the control of the AFCAC necessitating changes to activity dates. Additionally, once a TL and TMs are assigned to an activity, all efforts are made to avoid changes to the composition of the AFI-CIS team, and specifically to avoid a change of TL.

2.4.9 AFCAC will submit requests for release of Inspectors by States and supporting organizations such as COSCAPs/RSOOs, at least one-month prior to the date of the mission. In an effort to facilitate planning and scheduling, all Inspectors will be requested to provide their non-availability dates as far in advance as possible.

## **2.5 AFI-CIS RECORDS**

2.5.1 AFCAC will establish and maintain a controlled system for obtaining, managing and filing State-specific support documentation, correspondence, notes, records and other information relating to AFI-CIS activities of States.

2.5.2 During an AFI-CIS on-site activity, TMs shall not make personal copies of any document provided to them by the State, nor shall information contained therein be shared with any person other than the TL, concerned TMs, State officials and counterparts, and then only for the purpose of facilitating the AFI-CIS mission.

2.5.3 At the end of each mission, all TMs shall hand over all supporting documentation and notes from the mission to the TL. All TMs shall also ensure that at the end of the mission and before their departure, all information in electronic format is deleted from their computers.

2.5.4 TMs are responsible for their own material until it is handed over to the TL or directly to the AFCAC. The TL is responsible for his/her notes and materials from the AFI-CIS activity, and those handed over by TMs, as applicable, until they are submitted to the AFCAC.

2.5.5 At the end of the mission, the TL and/or TMs shall submit the following documents and records to AFCAC (preferably in electronic version, if available) for processing and filing according to established procedures:

- a) all checklists duly completed by the TL and TMs;
- b) draft copy of the on-site activity report (relevant portions completed);
- c) summary of proposals and guidance provided in response to the F&Rs resulting from the ICAO audit reports;
- d) supporting documentation for each F&R, if applicable;

- e) completed TL Mission Feedback Form;
- f) completed TM Mission Feedback Form, if applicable;
- g) completed State feedback form;
- h) copies of the State basic aviation law(s) and regulations; and
- i) any other relevant documents used in the preparation and conduct of the mission.

2.5.6 AFCAC maintains support documents, notes and records pertaining to AFI-CIS activities for a minimum period of 5 years. AFI-CIS activity reports are retained electronically and for an indefinite period.

## **2.6 STATE FEEDBACK ON AFI-CIS MISSIONS AND ACTIVITIES**

2.6.1 As a means of evaluating and monitoring effectiveness of the AFI-CIS project, AFCAC shall assess the satisfaction of AFI States that have received AFI-CIS missions by using a State feedback form that allows States to provide comments, complaints and suggestions for improvement regarding the planning, coordination and conduct of the AFI-CIS mission they have received. The TL shall provide a confidential State Feedback Form to the State AFI-CIS focal contact at the end of the AFI-CIS activity and the State is requested to complete and return the form to AFCAC.

2.6.2 AFCAC also obtains feedback on AFI-CIS activities through the Team Leader and Team Member Mission Feedback Forms. These feedback forms provide comments and information on the conduct of AFI-CIS activities and assist AFCAC in improving AFI-CIS procedures and processes. AFCAC will maintain a record of all Team Leader and Team Member Mission Feedback Forms, related recommendations and actions taken by AFCAC to address concerns raised.

## **2.7 CONFIDENTIALITY**

2.7.1 All material used during AFI-CIS missions and activities shall remain confidential, including personal notes and draft reports prepared by the team. TMs shall be careful not to leave printed or handwritten notes behind when performing on-site activities and dispose of them appropriately.

2.7.2 During AFI-CIS missions, TMs shall not make personal copies of any of the documents provided to them by the State, nor share any of the information contained therein with any person other than the concerned parties.

## **2.8 LANGUAGE AND DISSEMINATION OF FINAL MISSION REPORT**

2.8.1 AFI-CIS activities will be conducted either in English or in French. AFI States shall indicate which of these languages they wish to be used for the conduct of the scheduled AFI-CIS activities and for communicating with the designated focal contact.

2.8.2 AFI-CIS activities in AFI States whose language is not one of the two languages identified in 2.8.1 shall be conducted with the assistance of an interpreter, with the mission report provided in English.

2.8.3 Interpretation and translation support during the conduct of AFI-CIS on-site activities shall be provided by the Recipient State.

2.8.4 To facilitate timely and effective review, any documentation provided by a State to AFCAC, including aviation legislation and operating regulations should be, as the case may be, in French or English.

2.8.5 The final report of an AFI-CIS activity will be transmitted to the State, the accredited ICAO Regional Office and the COSCAP/RSOO of which the State is a member.

## **2.9 RESOLUTION OF DISPUTES**

2.9.1 In performing duties related to AFI-CIS, all assigned personnel shall aim to prevent disputes by working closely with their State counterparts as transparently and fairly as possible.

2.9.2 Disputes encountered throughout the AFI-CIS process that cannot be resolved by the assigned personnel shall be reported to AFCAC.

## **CHAPTER 3 - IMPLEMENTATION**

### **3.1 INTRODUCTION**

3.1.1 The Co-operative Inspectorate Scheme is comprised of a cadre of highly qualified and experienced aviation safety inspectors that is available as a resource to Civil Aviation Authorities, within the AFI region, that have signed up to participate in the AFI-CIS Project. These inspectors are either current staff members of, or are available to one of the AFI-CIS member authorities.

### **3.2 PROVIDING AND RECIPIENT STATES**

3.2.1 The AFI State that regularly employs the CIS Inspector is considered as the “Providing State”. The AFI-CIS Member State receiving the services of the CIS Inspector shall be considered as the “Recipient State”.

3.2.2 Conclusion and signing of the Memorandum of Understanding (MOU) between AFCAC and AFI States on the implementation of the AFI-CIS provides for the basis for the use of Inspectors appointed under the Scheme. This applies to both ‘Providing’ and ‘Recipient’ States. For ‘Providing’ States, the MOU serves as consent for the utilization of its inspectors in performing tasks and functions on behalf of the ‘Recipient’ State under the Scheme. On the other hand, for the ‘Recipient State’, signing of the MOU signifies willingness to accept CIS inspectors to perform work on its behalf. In which case, delegations of tasks and functions are made to the AFI-CIS, with the understanding that the performance of those delegated tasks may require a variety of resources, including the use of inspectors appointed under the AFI-CIS.

### **3.3 TECHNICAL STAFF TO BE DESIGNATED TO CONDUCT INSPECTIONS IN THE AFI REGION**

3.3.1 The MOU on the establishment of the AFI-CIS requires AFCAC to coordinate with the AFI States, on the designation of aviation safety inspectors and on their assignments as required to conduct inspections. The inspectors meeting the qualification and experience requirements shall be made available for use by AFCAC in supporting AFI States safety oversight obligations.

3.3.2 The aviation safety inspectors will remain employees of their respective civil aviation authorities, but are available to AFCAC for AFI-CIS related duties, when meeting the qualification and experience requirements as stated in the Appendices to the MOU for use in the conduct of safety oversight functions on behalf of AFI State requiring such service.

3.3.3 AFCAC, in collaboration with AFI States, will maintain current records of all registered CIS inspectors. AFI States shall therefore ensure that data on their inspectors appointed to the AFI-CIS are made available to AFCAC on a timely and regular basis.

### **3.4 RESPONSIBILITIES OF THE RECIPIENT STATE**

3.4.1 The Recipient State will be responsible for:

- travel and living expenses of the inspector at the prevailing UN DSA rates; and
- issuing a formal delegation of authority document authorizing the CIS Inspector to enter, to inspect, to require production of documents and to conduct inspections and furnish reports or participate in investigations;

3.4.2 The inspector deployed to a Recipient State is deemed to be an Inspector of that State for the tasks and functions delegated. The Recipient State will be responsible to implement the guidance provided and the recommendations made by AFI CIS inspectors once a report is finalized and presented. Details of actions taken shall be provided to AFCAC.

### **3.5 RESPONSIBILITIES OF THE PROVIDING STATE**

3.5.1 The inspectors remain employees of the Providing State, which remains responsible for their salaries and benefits.

3.5.2 The Providing State will be responsible for the ab-initio and continuation/recurrent training of the inspector. AFCAC, with support from ICAO, may supplement the training as necessary and wherever possible.

3.5.3 The Providing State will ensure the availability of the inspector when requested by the AFCAC.

### **3.6 BASIS FOR RESOURCE SHARING AND MANAGEMENT OF THE PROJECT**

3.6.1 The AFI CIS MOU signed between AFI States and AFCAC provides the basis for the former to share technical resources. The signatories of the agreement, being the Directors General of Civil Aviation, have been duly accredited by their respective States to enter into such cooperative arrangements. The AFI-CIS agreement document constitutes an international agreement between the AFCAC and the AFI States for the establishment and implementation of the AFI-CIS Project.

### **3.7 APPOINTMENT OF THE AFI-CIS INSPECTOR**

3.7.1 AFCAC has established criteria for qualification and selection of AFI-CIS Inspectors. When an Inspector is nominated by the respective State, his/her qualifications and experience are assessed against the established criteria. Where AFCAC has identified an individual as having met the established selection criteria, the name and details of such individual are entered on the register of AFI-CIS Inspectors. All Providing States are required to

maintain records of qualifications and training for their inspectors with copies of such records made available to the AFCAC Secretariat.

3.7.2 AFCAC determines which inspectors are qualified to be used as AFI-CIS inspectors, following nomination by the providing State and a pledge that such inspectors will be made available for AFI-CIS duties as and when required. Such determination is made by a thorough review, by AFCAC, of the qualification, experience and training records which forms part of the assessment of the suitability of the candidate. Ideally, all inspectors within the AFI Region could be selected. However, actual qualifications, currency, and experience may vary widely, as may also, personal suitability for such deployment. In essence, decision on suitability of candidates is made in accordance with the selection criteria that cover the qualifications and competencies expected of the candidate.

3.7.3 Once AFCAC has determined the suitability of an inspector, his/her name shall be added to the list of qualified AFI-CIS inspectors. AFCAC reserves the right not to accept any inspector deemed unqualified or otherwise unsuitable for inclusion on its roster as an AFI-CIS inspector.

### **3.8 ROSTER OF AFI-CIS INSPECTORS**

3.8.1 AFCAC shall maintain a roster of all CIS inspectors and make an up-to-date copy of that roster available to all AFI States participating in the AFI-CIS Project. The roster shall show the name, licenses and ratings of each inspector and shall state the inspector's delegated authority in his/her home State (Providing State) and the delegated authority issued to the inspector by the AFCAC on behalf of the Recipient State(s). AFCAC shall review the roster of AFI-CIS inspectors on a quarterly basis.

### **3.9 REVOCATION OF AFI-CIS INSPECTOR STATUS**

3.9.1 Where incompetence, improper conduct, negligence is determined to exist on the part of an AFI-CIS inspector, that inspector shall be suspended from the AFI-CIS roster pending resolution of the allegations. Resolution of all allegations made against an AFI-CIS inspector shall be the responsibility of AFCAC. Resolution shall include a formal process by which inspectors may appeal their suspension and/or revocation of their status as an AFI-CIS inspector.

### **3.10 REMUNERATION OF AFI-CIS INSPECTORS**

3.10.1 Providing States shall be responsible for all salary and other emoluments for their inspectors who are assigned to perform AFI-CIS duties. Recipient States shall be responsible for all travel expenses including ground and air transportation, accommodation, and per diem allowances, airport departure taxes or fees and the costs of the inspector obtaining a visa, where applicable. AFCAC shall facilitate the arrangements with respect to the use of AFI-CIS



inspectors and recover the cost of the mission from the Recipient State where such arrangements are mutually agreeable.

### **3.11 INDEMNIFICATION OF AFI-CIS INSPECTORS**

3.11.1 Indemnity is granted to any inspector carrying out duties while assigned to the AFI-CIS on the basis of the Memorandum of Understanding signed by all AFI-CIS participating States.

### **3.12 ISSUANCE OF IDENTIFICATION AND ACCESS PASSES TO AFI-CIS INSPECTORS**

3.12.1 Recipient States shall issue appropriate identification and secure area access passes as required and these shall be carried by AFI-CIS Inspectors when on assignment to the Recipient State.

### **3.13 REPORTING RELATIONSHIPS FOR AFI-CIS INSPECTORS**

3.13.1 Inspectors assigned to AFI-CIS duties shall report to the Team Leader for the duration of the assignment to the Recipient State. Where there is an issue regarding instruction or tasks to be performed, during such an assignment the AFI-CIS inspector shall bring the concern to the attention of the Team Leader who will make all efforts to resolve the issue in discussion with the Providing and Recipient State. Recipient States shall make every effort to ensure that task assignments are clear and the deliverables are clearly described in the work requests. Based on the request submitted by the Recipient State, a mission work plan will be developed and agreed to by both the State and AFCAC. The AFI-CIS team's local reporting relationship in the Recipient State shall be described in the work plan in order to avoid confusion and facilitate communications and accomplishment of tasks and activities.

### **3.14 RIGHT TO REFUSE DANGEROUS OR HAZARDOUS WORK**

3.14.1 AFI-CIS inspectors shall have the right to refuse dangerous or hazardous work when on AFI-CIS missions.

### **3.15 PROCEDURES FOR ARRANGING FOR THE SERVICES OF AFI-CIS INSPECTORS**

3.15.1 The State requesting the services of an AFI-CIS inspector (termed a Recipient State) shall make a written request to the Secretary General of the AFCAC. The request shall give a detailed description of the type of work required and of any special qualifications desired, the dates, duration and location(s) of the work and the names of the operators/organizations

involved and the name and contact numbers of the Receiving authority/State responsible manager to whom the AFI-CIS inspector will report during the assignment. The deliverables, outputs and outcome expected by the Recipient State from the work of the AFI-CIS inspectors shall be described in the work request.

3.15.2 Based on the request received from the State, AFCAC will prepare a work plan that will describe the nature and scope of the assistance to be provided, to include specific timelines, deliverables and expected outcomes. As determined by the nature and scope of the activities to be carried out, AFCAC shall determine the numbers and types of inspectors needed for the mission. Upon selection of suitably qualified inspectors from the AFI-CIS roster their respective Providing States will be contacted in order to determine the availability of the inspectors. Once availability has been confirmed by AFCAC, AFCAC shall provide the Recipient State with details of the inspectors to be assigned to the mission. If that inspector is acceptable to the Recipient State, AFCAC shall prepare the assignment instructions in writing and provide copies to both the Recipient and Providing States.

3.15.3 The Providing State shall make a copy of the assignment instructions available to each assigned inspector. The Providing State, the Inspector assigned and the Recipient State shall accept the assignment in writing and provide copies of their acceptance to the Secretary General of AFCAC. The signed copy of the acceptance shall constitute formal tasking process and agreement to the terms and conditions of the assignment by all parties. Amendment of the terms and conditions of the assignment must, in similar fashion, be done in writing and must be agreed to by all parties.

3.15.4 The assignment of an AFI-CIS inspector may be terminated without cause at any time by the Recipient State. The Providing State shall not terminate the assignment of an AFI-CIS inspector without giving sufficient notice for alternative arrangements to be effected.

## **CHAPTER 4 - TRAINING**

### **4.1 INTRODUCTION**

4.1.1 Upon selection of national inspectors for inclusion on the AFI-CIS roster in accordance with minimum established qualification and experience criteria, AFCAC will then need to establish the additional types of training required in order for the inspectors to become fully operational. At a minimum, some level of indoctrination training will have to be provided before inspectors are issued with the relevant credentials. This requires that AFI-CIS have a mechanism to ensure that its inspectors are properly qualified to perform the assigned tasks. A training policy, an adequate training budget, a programme that details different types of training, training plans and schedules and a system for keeping the training records of CIS inspectors shall normally constitute that mechanism. Although this chapter will present an overview of the training to be provided to AFI CIS inspectors and introduce each of the major components of the AFI-CIS training mechanism, the contents of the training programme and other details are to be found in the AFI-CIS Training Manual.

### **4.2 TRAINING POLICY AND OBJECTIVES**

4.2.1 AFI-CIS is committed to the development of a highly skilled and qualified cadre of Inspectors through a comprehensive training programme. It is required that all Inspectors appointed to the AFI-CIS will be fully trained in the essential knowledge, and skills that are required to fulfill ICAO requirements, obtain industry compliance, and safeguard the traveling public and above all accomplish AFI-CIS objectives. In order to satisfy this commitment, AFCAC will ensure that adequate funding will, at all times, be made available for implementing the AFI-CIS training programme.

4.2.2 The Training Manual provides the training requirements for both Operations and Airworthiness Inspectors. These requirements include both formal classroom training courses and on-the-job training. All AFI-CIS inspectors must complete the applicable training requirements specified in the manual.

### **4.3 IDENTIFICATION AND FUNDING OF AFI-CIS INSPECTOR TRAINING**

4.3.1 AFCAC will identify the need, if required, for special qualifications and/or training on receipt of a request for the services of a AFI-CIS inspector. A search of the AFI-CIS inspector roster will be made for the type of inspector and the qualifications required; where a close match is found AFCAC shall advise the Recipient State of any need for additional training and shall identify the cost of such training. AFCAC shall advise the Providing State of the request for their inspector's services and the need to send that inspector on training. Approval from the Recipient State to pay for the training and approval from the Providing State to provide their inspector for the task and training are required before the assignment may proceed.

4.3.2 The Recipient State shall be responsible for payment for training since the AFI-CIS does not budget for specialist training of AFI-CIS inspectors. To expedite the arrangements for such training, AFCAC may pay for such training and recover the costs from any Recipient State that benefit from the training.

4.3.3 Where all AFI States benefit equally from additional specialist training of any AFI-CIS inspector(s) then the cost of such training may be paid for by AFCAC and shall be identified in AFCAC budget where such training is of a recurring nature.

4.3.4 AFCAC has determined the minimum qualification and experience requirements for AFI-CIS Inspectors. In cases where the need for supplemental training is identified during the selection process, ICAO will assist AFCAC in developing and arranging for such training to be provided. However, in general, the Providing State will be responsible for the *ab-initio*, continuation and/or recurrent training of the inspector. AFI-CIS personnel are expected to have had initial and specialized training as inspectors. However the dynamics of the aviation industry may require the continuing development of the knowledge and skills of the inspectors as they relate to their respective responsibilities. This shall be accomplished through periodic training and refresher courses in all the disciplines of the inspectors.

4.3.5 Participation in seminars and workshops organized by ICAO, AFCAC and other international and regional aviation-related organizations is essential as this will enable AFI-CIS inspectors to widen their horizons and share experience with experts from other regions. AFI-CIS shall also take advantage of external training programmes provided by the aviation industry and international or regional organizations such as the United States Federal Aviation Administration, the European Aviation Safety Agency, and aircraft manufacturers.

4.3.6 Training of inspectors shall not be limited to strictly maintaining competency and currency in the technical aspects of their work. It is essential that inspectors should also be provided, as a minimum, with training on subjects such as applicable harmonized aviation regulations of the Recipient State; Operator certification courses as may be required, the establishment and management of a State safety oversight system, ICAO CMA/ICVM, inspector skills, knowledge, duties and responsibilities; and the process of enforcement of requirements. Every AFI-CIS Inspector is required to first undergo an indoctrination training course, organized by AFCAC, that will include a detailed briefing aimed at familiarizing inspectors with the contents of the AFI-CIS Policy and Procedures Manual.

4.3.7 In recognition of the above, AFI-CIS shall adopt a single integrated, systematic and structured programme that provides oversight and management of inspector development from the time they are newly hired and throughout their careers.

4.3.8 This chapter outlines the objectives of and requirements for, the operation of the AFI-CIS Inspector Training System (ITS). These requirements include both formal classroom training courses and on-the-job training. Detailed requirements and procedures incorporating Inspector Training Profiles and Positions Descriptions are discussed in the AFI-CIS Training Manual.

#### **4.4 TRAINING PROGRAMME**

4.4.1 AFCAC shall have overall responsibility for ensuring the successful development and implementation of the AFI-CIS inspector training programme. AFCAC shall periodically evaluate the training needs of the AFI-CIS inspectors assigned to functions and responsibilities related to the certification and supervisory processes carried out in the AFI States to determine the need for adjustments to the training programme as may be required. ICAO shall, as is required, assist AFCAC in the development and implementation of the training programme.

4.4.2 Different levels of training will be needed for safety inspectors under the AFI-CIS and within the respective civil aviation authorities (CAAs) of AFI States. During the initial implementation of the training programme, specific training in safety oversight, such as in the establishment and management of a State safety oversight system, will have to be provided to the inspectors. Once AFI-CIS is fully established, the training needs of national experts in the CAAs should be assessed and addressed in order to also strengthen the safety oversight capability of the national CAAs.

4.4.3 An analysis of training needs should be conducted on the basis of the job description of each inspector, and training addressing those needs should be developed and delivered to the inspectors concerned.

4.4.4 The training programme, indoctrination, initial and on-the-job training, of newly selected AFI-CIS Inspectors, in addition to their specific qualifications and experience shall ensure that AFI-CIS inspectors are aware of the relevance and importance of their activities within the system and that they completely understand how they contribute to the overall achievement of the AFI-CIS objectives.

4.4.5 When training is provided through the services of an external training service provider, AFCAC shall continually monitor the quality of the training provided to AFI-CIS inspectors. The success of the training activities will depend in part on the effectiveness of the interactions and coordination between AFCAC, ICAO, any training service providers used and the AFI-CIS inspectors.

#### **4.5 TRAINING PROCESS**

4.5.1 In order to close the gap between the existing and required competence of Inspectors, when developing and implementing the AFI-CIS training programme, AFCAC shall closely monitor the following stages of the training process:

- a) determination of training needs during the selection of AFI-CIS Inspectors;
- b) design and planning of training;
- c) provision of training; and
- d) evaluation of training outcomes.

4.5.2 Through their participation in the training process, AFI-CIS inspectors will develop a sense of ownership of the process, resulting in their assuming greater responsibility to ensure success of the training programme. The AFI-CIS training process shall be monitored on an ongoing basis and improved or amended as deemed necessary.

#### **4.6 TRAINING AND COMPETENCE REQUIREMENTS**

4.6.1 Competency requirements shall be developed, documented and reviewed periodically or whenever necessary, in accordance to any changes made to the tasks and functions of the inspectors or any re-assessments of their performance. The definition of the AFI-CIS's future needs, relative to its training objectives, including the required competence of AFI-CIS inspectors may be derived from a variety of internal and external sources, as follows:

- a) technological changes that affect work processes or impact on the nature of services provided by the AFI-CIS;
- b) training objectives reviewed and amended, as identified during the selection of AFI-CIS inspectors;
- c) data recorded from past and current training;
- d) AFI-CIS's appraisal of the competence of each Inspector for performing specified tasks and responsibilities;
- e) internal and external certification needed for the performance of specific tasks of functions;
- f) feedback received from AFI States' civil aviation authorities
- g) identification or anticipation of new customer requirements (e.g. introduction of new equipment)

4.6.2 AFCAC shall conduct a regular review of the documents that indicate the competence required for every process and of the records that list the competence of each inspector. The review should be related to task requirements and task performance. Different methods can be used to review the competence of inspectors, such as:

- a) interviews/questionnaires with technical personnel, supervisors and managers;
- b) observation;
- c) group discussions; and
- d) input from subject matter experts

## **4.7 MAINTENANCE OF TRAINING RECORDS**

4.7.1 Records of the training history of all AFI-CIS inspectors shall be maintained at all times. Training records of all inspectors shall be stored in a secure place where their confidentiality would be maintained at all times. AFCAC is responsible for ensuring that training records are kept up to date and that their confidentiality is ensured at all times.

4.7.2 Maintenance of training records shall be accomplished using both hard-copy paper system and computer software program.

## **4.8 TRAINING EVALUATION**

4.8.1 The purpose of the training evaluation is to confirm that the AFI-CIS training objectives have been met. Input used to evaluate training outcomes shall include the specifications for training needs and for the AFI-CIS training programme, and the records from the delivery of the training. It should be recognized that the results of the training often cannot be fully analyzed and validated until the trainee can be observed and tested on the job.

4.8.2 Evaluations shall be carried out on both a short-term and long-term basis as follows:

- a) In the short-term, trainees' feedback shall be obtained regarding the training methods used, as well as the knowledge and skills gained as a result of the training.
- b) In the long-term, improvement in the trainees' job performance and productivity shall be assessed.

4.8.3 Training evaluation/monitoring shall be conducted on the basis of established criteria. The main purpose of monitoring is to ensure that the AFI-CIS training programme is being managed and implemented as required, so as to provide objective evidence that the programme is effective in meeting AFI-CIS training requirements. Monitoring involves reviewing the entire training process at each of the four steps previously described 4.5.1

4.8.4 Input for monitoring shall include all records from all stages in the training programme. Based on these records, a review of the different stages can be performed to detect nonconformity issues for corrective and/or preventive actions. Such input is to be collected on an ongoing basis to provide the basis for validating the training programme and for making recommendations for improvement.

## **CHAPTER 5 - PLANNING, CONTROL AND MANAGEMENT OF AFI-CIS MISSIONS**

### **5.1 PURPOSE**

5.1.1 The purpose of the procedures in this Chapter of the manual is to govern the activities in the various phases of implementation of AFI-CIS missions. Adherence to these procedures ensures that all AFI-CIS missions are conducted in a uniform and standardized manner.

### **5.2 SCOPE**

5.2.1 These procedures apply to the conduct of all AFI-CIS missions.

### **5.3 RESPONSIBILITY**

5.3.1 AFCAC has the overall responsibility to ensure that these procedures are effectively implemented.

5.3.2 All AFI-CIS Inspectors are responsible for complying with and following these procedures.

### **5.4 PROCEDURES**

#### **5.4.1 MISSION PHASES**

5.4.1.1 **The pre-mission phase:** During this phase, a work plan specific to the State to be visited will be prepared by AFCAC, to include copies of the State legislation, regulations, procedures, and details of assistance needed as described in the request submitted by the Recipient State. The work plan will also be based on information and data obtained from other sources, including the ICAO safety oversight reports and reports of other audits or inspections conducted in the State by other organizations,

5.4.1.2 Furthermore, ICAO will assist the development of State specific work plans by making available to AFCAC the results of any safety analyses that it conducts on States within the AFI Region, and to which AFI-CIS missions are being planned.

5.4.1.3 The work plan will be drafted by AFCAC, in coordination with the Recipient State, and will describe the nature and scope of the tasks to be accomplished. The plan will then be used to determine the types and number of inspectors and the length of time needed for the assistance mission. Identification of suitable inspectors and confirmation of their availability for the mission will also take place during this phase of the mission.



5.4.1.4 Once the Team Leader (TL) and Team Members (TM) have been selected, they will review the work plan as part of their pre-mission preparations and briefings. No team is to be deployed to a State until they have been briefed on the work plan, and the work plan itself has been signed off by all parties, including the Providing State, the Team Leader, the Recipient State and AFCAC. The work plan shall govern the conduct of any mission undertaken under the AFI-CIS. In this respect, it shall contain a clear description of the deliverables, outputs and expected outcome of the mission, and deadlines as to their achievement.

5.4.1.5 Any outstanding training requirements on the part of the Mission Team Members will need to be catered for during the pre-mission phase. The intent will always be to select inspectors who are qualified for the tasks contained in the work plan. However, there will be need for orientation training and, where required, refresher safety inspector training in the areas of certification and continued surveillance. In addition, during this phase, all arrangements with respect to the logistical support of the mission need to be completed. These will include travel arrangements, visas, payment of DSA, establishing insurance coverage for inspectors and ensuring that inspectors are provided with the credentials required for conducting their work.

5.4.1.2 **The on-site mission phase:** during the on-site mission phase, the AFI-CIS Mission Team will carry out its work in accordance with its work plan. This will include assistance with tasks and functions associated with on-going certification projects, and other activities as agreed between the Recipient State and AFCAC, to include the review and/or development of any related State regulations and related procedures and guidance materials and guidance material.

5.4.1.3 **The post-mission phase:** the post-mission phase follows the on-site mission and comprises activities such as the production of the end-of-mission report. The end-of-mission report will be reviewed against the work plan in order to establish the extent to which the desired deliverables, outputs and outcome of the project have been realized.

5.4.1.4 Figure 1 below illustrates the Mission phases and key activities within each phase.

**Figure 1**

Pre Mission Phase

- Development, review and approval of State specific work plan
- Selection and assignment of mission Team Leader and Team Members
- Training and briefing Team Leader and Members
- Completion of logistical and administrative arrangement

The On-site Mission Phase

- Conduct Opening meeting with Recipient State officials
- Carry out certification and/or other tasks as specified in the mission work plan.
- Prepare routine progress reports
- Prepare any request for change to the work plan for the approval of AFCAC
- Conducting Closing meeting

The Post Mission phase

- Preparing the draft mission report
- Handing over all mission-related materials to AFCAC
- Submission of Final report by AFCAC to State and accredited ICAO Regional Office.

## 5.4.2 AFI-CIS WORK-PLAN

5.4.2.1 The process of developing an AFI-CIS State specific work plan should begin with a thorough review of the ICAO safety oversight audit final report and the most current, updated version of the Corrective Action Plan (CAP) submitted by the State. Development of the work

plan should also comply with the decision taken by AFCAC, whereby assistance to a State is prioritized in such manner that a significant safety concern (SSC) is first addressed. Subsequently, the other deficiencies identified by the audit, and which have not yet been resolved by the State need to be rectified. Overall, the twin aims of assistance provided under the AFI-CIS are to resolve significant safety concerns where they exist in AFI States and reduce the overall lack of Effective Implementation by 10% within a period of two years.

5.4.2.2 A comprehensive review of the safety oversight audit report of the State should take account of the findings contained in the report. As mentioned above, in the case of an SSC (or SSCs) all the findings that constitute the SSC(s) should be reviewed. Review of the findings entails identifying all the protocol numbers addressed by the finding and determining the number of unsatisfactory protocol questions (i.e. protocol questions that have not yet been addressed in the State's CAP. Upon resolution of the SSC in this manner, the same process may be applied to other priority areas where findings have been identified until a number of protocol questions addressed by the work plan is sufficient to ensure at least a 10% reduction in the overall LEI of the critical elements by the State. This approach provides for a work plan with clearly defined, measurable targets that the AFI-CIS assistance mission, in collaboration with the recipient State, must work towards.

5.4.2.3 The following example of a State in which an SSC was identified may serve as an example of the approach to be adopted in the development of a State specific work plan:

- The total number of applicable protocol questions (PQs) covered by the audit is 788;
- The total number of unsatisfactory PQs (or PQs that still need to be resolved) is 511;
- This results in a total LEI of 64.85%;
- The total number of PQs in SSC (OPS/01) finding is 37;
- Reduction in the LEI resulting from resolving the SCC would therefore be 4.70%;
- Since the resolution of the SSC would therefore not result in achieving an overall reduction of the LEI of 10%, additional PQs in other priority areas would also have to be resolved. In this case, a gap analysis carried out under the AFI Plan had already identified air navigation services (ANS) as another area of priority. The total number of unsatisfactory PQs in the area of ANS is 54;
- The reduction of LEI reduction that would result from resolving the ANS findings would be 6.85%;
- Resolving the unsatisfactory PQs in the SSC finding and in the ANS findings would result in an overall reduction in LEI of 11.55%, thus enabling the State not

only to resolve its SSC but also to achieve the 10% reduction of LEI targeted by AFCAC;

5.4.2.4 It is important to note that it might not be possible to address both an SSC and other safety oversight findings during a single mission and work plan. Assistance to be provided under the AFI-CIS may entail several missions over a period of one or two years and may include preparation of a number of work plans. It is also important that the Recipient State plays an active role in the preparation of the work plan and in facilitating the assistance provided by AFCAC by meeting its obligations under the MOU signed with AFCAC and other requirements stated in the work plan.

### **5.4.3 SELECTION OF MISSION TEAM LEADER (TL) AND TEAM MEMBERS (TM)**

5.4.3.1 A mission TL is assigned for each AFI-CIS mission and approved by the AFCAC Secretary General.

5.4.3.2 AFCAC informs Team Leaders about their assignment.

5.4.3.3 The AFCAC AFI-CIS Focal Points identifies the mission team composition for each mission, selects mission TMs and their respective specialties, and determines the number of days needed for each mission.

5.4.3.4 AFCAC requests the release of inspectors (as TL and TMs) from their respective organizations and informs them of their assignment at least two weeks prior to the commencement of the mission. AFCAC informs each Recipient State about the TL assigned to their mission.

5.4.3.5 The functions and responsibilities of the TL, including communication and coordination with the Recipient State and mission TMs, are contained in the briefing package for the mission.

### **5.4.4 DOCUMENT REVIEW PRIOR TO AFI-CIS MISSIONS**

5.4.4.1 AFCAC is responsible for reviewing all documentation provided by the Recipient State and may be assisted by the TM and other TMs assigned to the AFI-CIS mission. AFCAC is also responsible for ensuring that all documentation relevant to the mission is provided to the TL.

5.4.4.2 AFCAC may request States to provide other relevant documentation (e.g. national aviation legislation, regulations/orders/directives, procedures manuals, etc.), as deemed necessary for the proper preparation for the mission. Requests for additional documentation are communicated and coordinated with the AFI-CIS focal contact designated by the State.

5.4.4.3 The TL is responsible for ensuring that TMs review all available material and documents, including the primary aviation legislation and civil aviation regulations and related procedures of the State.

#### **5.4.5 AFI-CIS MISSION PACKAGE**

5.4.5.1 Prior to commencing an AFI-CIS mission, the AFCAC prepares a mission package for each team member. This includes all relevant ICAO Annexes and guidance materials and all the information and documentation needed by each TM.

5.4.5.2 The mission package will also include a copy of the State-specific work plan and briefing notes, to include details of the length of the mission, the schedule of activities to be followed, and travel and logistic arrangements, including arrangements for accommodation, etc.

#### **5.4.6 MISSION TEAM BRIEFING**

5.4.6.1 A preparatory briefing is conducted by the TL. This takes approximately one working day and is normally held on-site, the day before the actual commencement of the mission.

5.4.6.2 All TMs are required to participate in the briefing.

5.4.6.3 The objective of the mission team briefing is to build team synergy and to ensure that all team members are aware of all pertinent information. The team, among other things, reviews:

- a) the mission work plan and schedule;
- b) team members' assignments;
- c) the mission package provided by the TL;
- d) coordination required for draft report production;  
and
- e) the staff regulations regarding the conduct of international civil servants, confidentiality of information, and guidelines on dealing with reporters and labour unions.

#### **5.4.7 ON-SITE MISSION PHASE**

##### **5.4.7.1 OPENING MEETING**

5.4.7.1.1 The TL conducts an opening meeting with the Recipient State Authorities, including State officials and counterparts, and all TMs on the first day of the mission. The purpose of the meeting is to brief the State's Civil Aviation Authority (CAA) on the process and scope of the mission and to confirm mission schedule arrangements. The opening meeting is included in the work schedule.

5.4.7.1.2 The opening meeting may be jointly chaired by the TL and a senior executive of the Receiving State, who may also wish to provide a briefing and information to the team.

5.4.7.1.3 The opening meeting agenda includes the following items, at a minimum:

- a) introduction of TMs, State officials and counterparts;
- b) presentation of the AFI-CIS objectives and principles;
- c) a short summary of the methods and procedures for conducting the AFI-CIS mission and documentation of actions taken/proposed by the mission in an effort to resolve the findings and recommendations resulting from the ICAO audit reports;
- d) official communication links between the mission team members and the State officials;
- e) facilities and administrative arrangements;
- f) review of the State-specific work plan, including activities involving the industry; and
- g) details of the closing meeting, and any other scheduled meetings between the team and the State's senior management.

## **5.4.7.2 CONDUCTING THE MISSION**

5.4.7.2.1 Missions are conducted under the leadership of the TL. The TL is responsible for ensuring that TMs review all available material contained in the mission package, including all relevant mission-related records and documents generated by both AFCAC and the State.

5.4.7.2.2 Depending on the nature of the assistance mission, the inspectors will carry out the activities specified in the work plan, in accordance with the requirements of the Recipient State and the Standards and Recommended Practices (SARPs) and associated guidance material of ICAO and international best practice.

5.4.7.2.3 In conducting the mission, national inspectors and other counterparts will work alongside the AFI-CIS inspectors in carrying out the tasks specified in the work plan. AFI-CIS will carry out their activities with full accreditation by the Recipient State, allowing unrestricted access to all aviation locations and installations in the State. AFI-CIS will wear their credential cards at all times while carrying out activities in line with their duties and responsibilities.

### **5.4.7.3 GENERATING MISSION RECOMMENDATIONS**

5.4.7.3.1 Team members keep comprehensive notes which are used to develop any mission recommendations in respect to further action required for the purpose of rectifying deficiencies or completing tasks related to the certification or approval of operators, aviation personnel, aircraft, training organizations or approved maintenance organizations.

5.4.7.3.2 TMs will submit to the TL their draft critical elements summary and their recommendations, based on the notes they have taken and the information they have collected during the mission.

5.4.7.3.3 At the conclusion of the mission and prior to the departure of the TMs, the TL reviews individual submissions and discusses them with the concerned TM to ensure that the quality of the report is maintained at the desired level and that there is a flow to the report as a whole. Team members are expected to prepare their inputs for the report on a daily basis with the objective of having a first draft addressing their area at the time of the consolidation and review.

5.4.7.3.4 All Mission recommendations are submitted to the TL who compiles all inputs in a standardized report format. After reviewing and agreeing on the submissions by each TM, the draft recommendations are submitted to the State at the closing meeting.

### **5.4.7.4 CLOSING MEETING**

5.4.7.4.1 The TL conducts a closing meeting with the State officials and all TMs at the end of the mission. The purpose of the meeting is to review the State-specific work plan and to confirm, with the State officials, that the AFI-CIS mission has completed all the tasks specified in the work plan and achieved the related deliverables, outputs and outcomes. In the event that the work plan has not been completed, agreement should be reached on the recommendations submitted by the mission team for further work required.

5.4.7.4.2 At the closing meeting, each TM presents a briefing relating to his/her assigned area. A State feedback form on the planning and execution of the AFI-CIS mission is required to be completed by the Recipient State and forwarded to AFCAC Secretariat. This document will remain confidential.

## **5.4.8 POST-MISSION PHASE**

### **5.4.8.1 HAND-OVER OF MISSION DOCUMENTATION AND RECORDS**

5.4.8.1.1 Once the mission is completed, TMs hand over all mission documents, records and information, in any format, to the TL who hands them over to the AFCAC AFI-CIS Focal Point.

5.4.8.1.2 At the minimum, the TL provides AFCAC with the following documents:

- a) Checklists duly completed by the TL and TMs;
- b) A draft copy of the AFI-CIS mission report;
- c) Summary of work completed with respect to findings and recommendations of ICAO audit reports and additional recommendation (if any) generated by the mission;
- d) supporting documentation for each finding and recommendation, if applicable;
- e) basic aviation law(s); and
- f) any other documents that were used during the preparation for and conduct of the mission.

#### **5.4.8.2 PREPARATION AND SUBMISSION OF MISSION REPORTS**

5.4.8.2.1 AFI-CIS mission reports are based on the findings and recommendations and Critical Element summaries prepared and submitted by TMs, and compiled by the TL.

5.4.8.2.2 Each AFI-CIS mission will generate a report.

5.4.8.2.3 The TL remains responsible for the technical accuracy of the report until the final AFI-CIS mission report is sent by the AFCAC.

5.4.8.2.4 The AFI-CIS mission report should be submitted by AFCAC to the State's civil aviation authorities within 15 calendar days of the closing meeting. A copy is also made available to the Regional Director of the accredited ICAO Regional Office.



## **CHAPTER 6 - DUTY TRAVEL OF AFI-CIS INSPECTORS**

### **6.1 GENERAL**

6.1.1 The AFI-CIS Project is designed to eventually cover the entire AFI States. Extensive travel is required by AFI-CIS Inspectors who are assigned to work on behalf of the Project. Travel may be for inspections, for provision of technical assistance during certification projects and audits of the State oversight capability or may be for the conduct of training courses.

6.1.2 Travel in the AFI region is primarily by air due to the geography. This Chapter sets forth policies and procedures for the various aspects of duty travel.

6.1.3 AFCAC, in implementing the AFI-CIS Project must be conservative in its approach to travel, and must seek to achieve its goals at the least possible cost to AFI States.

6.1.4 Therefore, travel will be by economy class air travel unless business class travel is the only means available and urgency dictates its use. Ground transport will utilize the most economical means possible but will not include public buses or minibuses. The Daily Subsistence Allowance (DSA) shall be paid at the applicable UN rate for the State being visited. Where applicable, a Hazard Pay shall be paid at the appropriate UN rate.

6.1.5 Where feasible, the CAA utilizing the services of the AFI-CIS inspectors shall provide ground transportation.

6.1.6 Duty travel by inspectors shall attempt to incorporate airborne inspection activity with the travel to the extent possible.

6.1.7 Where no additional costs will be incurred, vacation may be authorized between periods of travel and duty while on AFI-CIS Missions.

### **6.2 REIMBURSEMENT OF TRAVEL COSTS**

6.2.1 To facilitate the work of CIS Inspectors, the AFCAC will advance or reimburse such persons the specific travel costs at the applicable UN Daily Subsistence Allowance (DSA) rate. DSA includes meals and incidental allowances.

### **6.3 TRAVEL INSURANCE COVERAGE**

6.3.1 AFCAC shall arrange adequate travel insurance coverage for each AFI-CIS Mission that must cover each of the CIS Inspectors. This coverage may be arrangement with a reputable local insurance company.

## **6.4 MISSION TRAVEL BY AFI-CIS INSPECTORS**

6.4.1 The CIS Inspectors are considered as AFCAC staff during the performance of duties under the AFI-CIS Project.

6.4.2 All AFI-CIS Inspector travel must be approved by the AFCAC Secretary General.

6.4.3 AFCAC, in consultation with the AFI-CIS Focal Point in each State, is responsible for arranging for all AFI-CIS inspector travels including purchase of tickets, payment of DSA. AFCAC will assist inspectors, when required, to apply for the necessary travel visas. Based on the planning of a mission, a Travel Authorization shall be issued by AFCAC and copies provided to the selected inspectors and the Providing State. The Travel Authorization will indicate the reason for the travel, the duration of the travel, the means of travel; the requirement for hotel reservations and/or ground transportation, and will note the party responsible for the travel costs (i.e. either AFCAC or the Recipient State as the case may be. Where travel requires payment of DSA and/or purchase of tickets, the usual AFCAC financial procedures shall be followed.

6.4.4 Tickets and DSA should be received at least two working days prior to the travel commencement date and confirmation of bookings should be made at least one working day prior to travel commencement.

6.4.5 Upon completion of the mission and return to the Providing State, the inspector shall, within fourteen days, complete a Travel Claim form and send it to AFCAC, along with receipts, hotel bills, boarding passes and ticket stubs. In some cases where travel may be necessary without DSA advance, a refund shall be processed as quickly as possible following submission of the Travel Claim for reimbursement of travel expenses.

## **6.5 TRAVEL ARRANGEMENTS**

6.5.1 When an AFI State requests the use of a AFI-CIS inspector, the arrangements for such an inspector's travel may be managed in one of two ways:

### **6.5.1.1 THE RECIPIENT STATE CAA:**

- Air tickets, accommodation and ground transportation shall be arranged and purchased by the Recipient State CAA.
- The Recipient State shall pay the DSA at the applicable UN rate for the destination. DSA shall be provided by the CAA of the Recipient State upon the arrival of the AFI-CIS inspector.

- AFCAC shall provide copies of all receipts, hotel bills, boarding passes, and ticket stubs to the recipient State, along with a copy of the inspector's Travel Claim.

#### **6.5.1.2 AFCAC:**

- The air tickets and accommodation and/or DSA shall be arranged and purchased by AFCAC and ground transportation shall be arranged by the requesting CAA.
- DSA shall be paid by AFCAC at the applicable UN rate for the destination.
- Inspectors shall retain copies of all receipts and boarding pass stubs and tickets and shall provide these to AFCAC along with their Travel Claim form.
- All cost of the mission, including DSA and travel of the inspectors shall be invoiced by AFCAC to the CAA in the Recipient State on completion of the mission of the AFI-CIS inspector(s).

### **6.6 CANCELLATION OF TRAVEL**

6.6.1 When travel is canceled for any reason all tickets and DSA are to be returned forthwith to the issuing organization (i.e. the Recipient State CAA or the AFCAC Office) via the most appropriate means.

### **6.7 POSTPONEMENT OF TRAVEL**

6.7.1 When travel is postponed for any reason, the CAA in the Recipient State and AFCAC shall be advised and alternative dates shall be arranged. Any DSA already issued may be retained by the inspector if the period of duty is likely to be the same duration, and if the postponed mission is likely to take place within a thirty day period of the originally scheduled date.

6.7.2 AFCAC and/or the CAA of the Recipient State shall make necessary arrangements for rescheduling air tickets and hotels, and shall be responsible for any additional fares or penalties as a result of the change.

### **6.8 SICKNESS WHILE TRAVELLING**

6.8.1 AFI-CIS inspectors who become ill or unable to travel or perform duties for any medical reason shall immediately inform AFCAC and/or the CAA of the Recipient State. A determination shall then be made as to what actions shall be taken.

## **6.9 TRAVEL ON FLIGHTS OPERATED BY AFI STATES' AIR OPERATORS**

6.9.1 AFCAC will work with African Airlines Association (AFRAA) to impress upon airlines of the AFI States to assist AFCAC with duty travel for CIS inspectors while on missions of the AFI-CIS Project.

6.9.2 Travel, depending on the individual airline agreement, may be for either no-charge with payment of taxes only or for, at least, a 25% discount of the applicable economy fare plus applicable taxes.

6.9.3 All such duty travel must be arranged by the AFCAC and must be approved by the Secretary General.

6.9.4 AFCAC will, in the case of any travel at discounted prices, pay for tickets and then invoice the Recipient State for the expenses.

6.9.5 In cases where tickets are to be picked up at the local check-in counter, the inspector traveling must carry proper photo identification and should have the AFCAC authorization and ticket locator numbers or airline authorization number with them.

6.9.6 Travel on discounted tickets is non-refundable and it may be difficult to change schedules when on this type of travel. If a schedule change is necessary for any reason, the ticket holder may approach the airline for the change. There may be a cost involved and where this is the case, AFCAC should be advised.

6.9.7 Duty travel for inspectors may also be arranged as inspection travel where feasible and where such inspections are needed as part of the relevant CAA oversight system. This type of travel must be coordinated with both AFCAC and the relevant CAA of the Recipient State.

6.9.8 Unless specifically tasked to conduct an inspection on that flight or at that airline's facility, any inspector traveling on AFI-CIS duty is not to engage in inspection activity with airline staff, although they may report observed discrepancies to AFCAC and/or the CAA of the Recipient State if the airline operates on an AOC issued by that State. In cases where only AFCAC has been informed of any discrepancies, it must provide the information to the relevant CAA for necessary action. The only exception is if a safety breach is observed in flight in which case the inspector shall identify himself to the pilot-in-command following the completion of that sector of the flight and shall make him aware of the safety breach informing him that it will be reported to the State of the Operator CAA and AFCAC. If the safety breach is noted on the ground prior to flight and is likely to affect the safety of the flight the inspector shall report it to the pilot-in-command prior to departure.

6.9.9 Under no circumstances are the airlines to be directly approached by individuals with regard to arranging flights under the AFCAC/airline agreements as this would very likely have a deleterious effect on the agreement. In order to maintain these benefits, AFCAC must

ensure that appropriate levels of control and authorization are exercised over the programme, in order to avoid abuse.

## **6.10 TRAVEL OUTSIDE THE AFI REGION**

6.10.1 There may be occasions where the AFI-CIS inspectors are required to travel outside the AFI Region. Travel outside the AFI region may be required for training, surveillance and inspection activities. Where such travel is under the AFI-CIS Project, it may be funded by the AFCAC following the necessary approval and authorization.

6.10.2 Where such travel is for a CAA of a Recipient State and involves CIS inspector duties, the travel may be organized by AFCAC or by the requesting CAA. In cases where such travel is organized by AFCAC, the mission Recipient State shall refund all related costs to AFCAC.

6.10.3 AFI-CIS Inspectors are required to ensure that their passports are valid and will not expire during the course of the mission. They are also responsible for ensuring that they have the required visas for their destination State or to permit them to enter any States they have to transit through en-route to their destination. Some States require appropriate vaccinations and immunizations and these may be checked with their consulates or embassies prior to travel.

## **6.11 ACCOMMODATION, MEALS AND DSA POLICY**

6.11.1 Daily Subsistence Allowance (DSA) shall be calculated once for each duty night the AFI-CIS inspector spends away from home and includes accommodation, meals and incidental allowances. The DSA is not intended to include any air or ground transportation costs, travel or airport taxes or insurance.

6.11.2 DSA will be advanced in USD when AFCAC is funding the travel. Recipient States are encouraged to do the same when funding AFI-CIS duty travel.

6.11.3 DSA and tickets should be issued no later than two working days prior to the travel and where they are issued by a Recipient State upon arrival. They should be issued as soon as practicable following the CIS inspector's arrival.

6.11.4 Where travel is cancelled or delayed, unused DSA should be returned to the issuing organization immediately. Under the AFI-CIS, where the travel will be delayed but completed within thirty calendar days, it will be acceptable for the CIS Inspector to hold the DSA advanced. Delays beyond thirty days will require the AFI-CIS inspector to return the DSA advance to AFCAC as soon as the delay is determined and AFCAC will then re-issue the advance prior to the next travel date. Recipient States that have provided DSA advances for any travel that is subsequently delayed should advise the AFI-CIS Inspectors according to their own practices.

## **6.12 GROUND TRANSPORTATION POLICY**

6.12.1 Ground transportation for AFI-CIS duty travel shall be via the most economical means, except that public bus transportation or minibus shall not be used except where a bus shuttle is provided from airport to hotel and return, or where bus or van transportation is provided by the host organization.

6.12.2 Where rental vehicles are the most economical mode of transportation as opposed to taxis these may be used provided a standard economy car is rented. It will be the AFI-CIS Inspector's responsibility to ensure that adequate insurance coverage covers the vehicle. Approval in advance is required where rental vehicles will be funded by the Recipient State. Where vehicle damage is not due to the carelessness or negligence of the person driving it while on duty travel, the Recipient State may reimburse the deductible amount to that person if they have had to pay the rental company.

6.12.3 Recipient State CAAs are responsible for providing ground transportation for CIS inspectors who are deployed to provide services for them.

## **CHAPTER 7 - PERSONNEL MANAGEMENT POLICY AND PROCEDURES**

### **7.1 CONFLICT OF INTEREST**

7.1.1 It might happen that inspectors are confronted with a question entailing a conflict of interest; such questions can be very sensitive and need to be treated with care. Conflict of interest includes circumstances in which inspectors, directly or indirectly, appear to benefit improperly, or allow a third party to benefit improperly, from their association in the management or the holding of a financial interest in an enterprise that engages in any business or transaction with the AFI-CIS Project or AFCAC.

7.1.2 There can be no question that Inspectors should avoid assisting private organizations or persons in their dealings with the AFI-CIS Project or AFCAC where this might lead to actual or perceived preferential treatment. This is particularly important in making recommendations leading to the issuance of certificates, authorizations and approvals. Inspectors should also voluntarily disclose in advance any possible conflicts of interest that could arise in the course of carrying out their duties. They should perform their duties and conduct their private affairs whilst on an AFI-CIS mission in a manner that preserves and enhances public confidence in their own integrity and that of the AFI-CIS Project, thus preserving the integrity of AFCAC.

#### **7.1.1.1 GUIDELINES**

7.1.1.1.1 A conflict of interest arises whenever an individual's personal interests are at variance with the objectives of the AFI-CIS mission, interest of the Recipient State, or the industry in general. A conflict might exist if an AFI-CIS inspector or his/her immediate family (i.e. spouse and/or children) has a direct or indirect personal interest in an assignment involving the AFI-CIS mission, especially if that interest could affect the result of the assignment. The policy of the AFI-CIS is that such situations are to be avoided. This applies not only to actual conflict of interest but also to situations where there might be a perceived conflict.

7.1.1.1.2 Major areas of potential conflict of interest are considered below and the policy of the AFI-CIS is defined. However, conflict can arise in areas without guidelines. In such cases, the individual is expected to take an objective look at his/her actions. Ask the question whether or not a reasonable, disinterested observer - a customer, a supplier, an acquaintance, an auditor, or government representative - would be satisfied that fair dealing and the good reputation of the AFI-CIS or the Recipient State had been the primary motivation of those actions.

- Business communications, whether written or oral, should be handled in a prompt, courteous, efficient way. This is particularly important when dealing with complaints or other sensitive issues. Anyone receiving complaints, or who is approached on a sensitive issue outside the immediate scope of his or her job, has the responsibility to refer such approaches to the Team Leader promptly.
- Except for customary gifts of nominal value, no gifts, gratuities or favours that

might influence, or appear to influence, the performance of the recipient's duties can be accepted.

- If an AFI-CIS inspector assigned to the AFI-CIS has to entertain clients, suppliers, or agents, as part of the performance of his or her duties, such entertainment is to be limited to what is reasonable and necessary.
- AFI-CIS inspectors must avoid business dealings involving a relative or close associate, or a business owned or managed by a relative or close associate. The handling of such business could affect objectivity. An example would be the provision of a special authorization, or approval, to a company owned by a relative. Such a case must be referred immediately to the attention of the Team Leader for assignment to another Inspector.

7.1.1.1.3 Situations that may influence, or may appear to influence, unduly an inspector's relationship with host State and operator personnel outside the AFI-CIS must be avoided. Reciprocal arrangements are not acceptable.

## **7.2 CODE OF ETHICS FOR AFI-CIS INSPECTORS**

### **7.2.1 DEFINITION**

7.2.1.1 In this document, the term "*ethics*" is understood to mean a code of morally acceptable behavior that guides the AFI-CIS Project and its inspectors in all dealings with Officials of AFI States and third parties, with the industry and the general public.

### **7.2.2 POLICY**

7.2.2.1 The AFI-CIS performance in this area establishes the foundation of its reputation. The purpose of this 'Code of Ethics' is to establish practices that will apply to all AFI-CIS inspectors working under the aegis of the AFI-CIS Project.

7.2.2.2 Ethical behavior goes beyond strict observance of the law, in that it not only rejects practices which may be defined as illegal but also considers those acts such as passing on, or acting on, confidential information for personal benefit, or for that of others, to be violations of the Scheme's policy. The activities of all AFI-CIS inspectors must therefore be able to withstand close scrutiny at all times.

7.2.2.3 In all dealings with the aviation industry, should there be any doubt about the interpretation of a particular regulation, rule, or guideline, or in ascertaining its applicability, then the guidance of a responsible local CAA Official should be sought. Where necessary, or appropriate, the local AFI-CIS coordinator and/or CAA Legal Officer should be consulted and/or external professional advice obtained.



## **7.3 STANDARDS OF CONDUCT AND PERFORMANCE**

### **7.3.1 PROFESSIONALISM, INTEGRITY AND ETHICS IN THE WORKPLACE**

7.3.1.1 The Standards of Conduct for the AFI-CIS Inspectors contained in this manual are modeled on the principles adopted by the United Nations for International Civil Servants. These standards of conduct were developed based on the great traditions of public administration that have grown up in UN member States: competence, integrity, impartiality, independence and discretion. But over and above this, AFI-CIS inspectors have a special calling: to contribute positively towards changing the aviation safety record of the AFI region by assisting States in reducing their percentage of lack of effective implementation of the Critical Elements of a safety oversight system. It is therefore incumbent on inspectors to adhere to the highest standards of conduct during the performance of their duties in States in order to achieve this objective.

7.3.1.2 The AFI-CIS must be recognized as having the highest possible professional standards since AFI-CIS inspectors are selected for having appropriate knowledge, skills and experience. They are expected to use these for the benefit of AFI States and the aviation industry in general. Professionalism is expected to be shown in every aspect of work conduct, including behavior, language, appearance and attire. It is expected that those who choose to drink alcohol at external events will do so in moderation. Inspectors of the AFI-CIS are expected to observe the highest standards of personal conduct both on and off the job.

7.3.1.3 Personal and organizational integrity should be above reproach: the highest levels of honesty and fairness should characterize the inspector's dealings at all times, and all must ensure that trust is developed by maintenance of the highest ethical practices.

7.3.1.4 The AFI-CIS inspectors should give other Team Members the same respect and service that is given to Recipient States and that they would expect for themselves. Communication among the Team Members must be open and honest. Abusive, threatening or violent behavior is not acceptable.

7.3.1.5 Each Recipient State will strive to provide a safe and healthy work environment for all AFI-CIS missions and this involves the co-operation and support of every CAA officer and employee. Each person has a responsibility to comply with health, safety and environmental laws and regulations by reporting accidents, potential hazards and other concerns immediately to the Team Leader.

7.3.1.6 The AFI-CIS inspectors must treat all officials of the Recipient State with high standards of honesty, fairness and courtesy. These officials must be able to voice their concerns easily, while complaints and disputes must be dealt with fairly, transparently, and quickly.

7.3.1.7 AFI-CIS inspectors must be careful not to mislead the Recipient State in any way. For example, they must never make promises that they cannot keep, and no inspector should take unfair advantage of an operator. Taking unfair advantage can include manipulation, concealment, abuse of privileged information, misrepresentation of material facts, or any other unfair practice.

## **7.3.2 GUIDING PRINCIPLES**

7.3.2.1 The values that are enshrined in the United Nations organizations must also be those that guide AFI-CIS inspectors in all their actions: fundamental human rights, social justice, the dignity and worth of the human person and respect for the equal rights of men and women and of nations great and small.

7.3.2.2 Inspectors should share the vision of the AFI-CIS. It is loyalty to this vision that ensures the integrity and international outlook of Inspectors; it guarantees that they will place the interests of the AFCAC above their own and use its resources in a responsible manner.

7.3.2.3 The concept of integrity embraces all aspects of behavior of an Inspector, including such qualities as honesty, truthfulness, impartiality and incorruptibility. These qualities are as basic as those of competence and efficiency.

7.3.2.4 Tolerance and understanding are basic human values. They are essential for inspectors, who must respect all persons equally, without any distinction whatsoever. This respect fosters a climate and a working environment sensitive to the needs of all. To achieve this respect in a multicultural setting, calls for a positive affirmation that goes well beyond passive acceptance.

7.3.2.5 International loyalty means loyalty to AFCAC during AFI-CIS missions and not only to the organization for which one works. Inspectors have an obligation to understand and exemplify this wider loyalty. The need for a cooperative and understanding attitude towards other inspectors from other States is obviously most important where inspectors from other States are serving as team members in the same mission.

7.3.2.6 If impartiality is to be maintained, AFI-CIS inspectors must remain independent of any authority outside the AFI-CIS mission; their conduct must reflect that independence. In this regard, they should not seek nor should they accept instructions from any other person or entity external to AFCAC or the Director General of the receiving State. It must be emphasized that AFI-CIS inspectors are not, in any sense, representatives of their CAAs during CIS missions.

7.3.2.7 Impartiality implies tolerance and restraint, particularly in dealing with officials of the receiving/host States. This can mean that, in certain situations, personal views should only be expressed with tact and discretion.

7.3.2.8 This does not mean that inspectors have to give up their personal views however, what it means is that they must at all times maintain a broad international outlook and an understanding of the international community as a whole.

7.3.2.9 The independence of AFI-CIS Inspectors does not conflict with, or obscure, the fact that the AFI-CIS was established to serve the interest of the AFI States. Conduct that furthers good relations with individual States and that contributes to their trust and confidence in the AFCAC and the AFI-CIS in particular.

7.3.2.10 AFI-CIS inspectors will undertake missions to particular States within the AFI region and will receive instructions from the Director General of the Recipient State. In carrying out these instructions, inspectors must exercise care in maintaining their independence. If at any time they consider that such instructions threaten their independence, they must consult their Team Leaders and/or AFCAC immediately.

7.3.2.11 An international outlook stems from an understanding of the objectives of the AFI-CIS and the work of the AFCAC, as set forth in its legal instruments. It implies, *inter alia*, respect for the right of others to hold different points of view and follow different cultural patterns. It requires a willingness to work without bias with persons of all nationalities, religions and cultures; it calls for constant sensitivity to how proposals, events and statements may look to others. It requires conscientious avoidance of any expressions that could be interpreted as biased or intolerant. Working methods can be different in different cultures. Inspectors should not be wedded to the attitudes, working methods or work habits of their own country or CAA.

7.3.2.12 Freedom from discrimination is a basic human right. Inspectors are expected to respect the dignity, worth and equality of all people without any distinction whatsoever. Assumptions based on stereotypes must be assiduously avoided.

### **7.3.3 WORKING RELATIONS**

7.3.3.1 Team Members and Team Leaders are in positions of leadership and it is their responsibility to ensure a harmonious workplace based on mutual respect; they should be open to all views and opinions. They need to provide support to each other and especially to the Team Leader; this is particularly important when they are subject to criticism arising from the carrying out of their duties. Team Leaders are also responsible for guiding and motivating their Team Members thus contributing positively towards the success of the mission.

7.3.3.2 It is natural for Team Leaders to be seen as role models and they have therefore a special obligation to uphold the highest standards of conduct. It would be quite improper for them to solicit favors, gifts or loans from their staff; they must act impartially while dealing with each Team Member.

7.3.3.3 It is naturally incumbent on Team Leaders to communicate effectively with other Team Members and to share information with them. Team Members have a reciprocal responsibility to provide all pertinent facts and information to their Team Leaders and to abide by and defend any decisions taken, even when these do not accord with their personal views.

7.3.3.4 Inspectors have to follow the instructions they receive in connection with their official functions and if they have doubts as to whether an instruction is consistent with the objectives of the AFI-CIS they should first consult their Team Leaders. If they cannot agree, the inspectors may ask for written instructions. Inspectors may also record their views in official files. They should not follow verbal or written instructions that are manifestly inconsistent with the mission objectives or that threaten their reputation or that of Project.

7.3.3.5 It must be the duty of Inspectors to report any inconsistencies with the mission objectives to the Team Leader, whose responsibility it is to take appropriate action. An inspector who makes such a report in good faith has the right to be protected against reprisals or sanctions.

#### **7.3.4 HARASSMENT**

7.3.4.1 Harassment in any shape or form is an affront to human dignity and inspectors must avoid it. They should not engage in any form of harassment and must be above any suspicion of it. Inspectors have the right to an environment free of harassment.

#### **7.3.5 STAFF MANAGEMENT RELATIONS**

7.3.5.1 It is the duty of all inspectors to maintain the best possible relations with officials of the Recipient State and avoid any action which might impair this; their role is solely to assist, guide and make appropriate recommendations to the Recipient State in carrying out their safety oversight obligations. It is unacceptable for the team or its individual members to criticize or try to discredit the Recipient State's CAA. At the same time, it is understood that Inspectors may speak freely in support of the objectives of the AFI-CIS.

7.3.5.2 Inspectors are not representatives of their States, nor do they have authority to act as liaison agents between the Recipient State and their respective CAAs. AFCAC may, however, request the Team Leader to undertake a liaison function between the recipient State and AFCAC.

#### **7.3.6 RELATIONS WITH THE PUBLIC**

7.3.6.1 For the AFI-CIS to function successfully, it must have both the support and trust of the AFI States. All inspectors therefore have a continuing responsibility to promote a better understanding of the objectives and work of the AFI-CIS. This requires them to be well informed of the objectives of the Scheme and of AFCAC. The opportunity to provide such information to States can arise at any time.

7.3.6.2 There is a risk that on occasion, inspectors may be subject to external criticisms; in keeping with their responsibility as inspectors, they should respond with tact and restraint. They have the right to be defended by AFCAC against criticism for actions taken in fulfillment of their duties and they should be confident that this will be done.

7.3.6.3 It would not be proper for inspectors to air personal grievances or criticize the AFI-CIS and/or AFCAC in public. Inspectors should endeavor at all times to promote a positive image of the AFI-CIS and that of AFCAC.

### **7.3.7 RELATIONS WITH THE MEDIA**

7.3.7.1 Openness and transparency in relations with the media are effective means of communicating the objectives of the AFI-CIS and must be conducted within these guidelines. The following principles should apply: Inspectors should regard themselves as speaking in the name of AFCAC and avoid personal references and views; in no circumstances should they use the media to further their own interests, to air their own grievances, to reveal unauthorized information.

7.3.7.2 The media plays an important role in helping inform the public about the AFI-CIS, its responsibilities, functions and services. Public statements, or statements which may be construed as official policy, are to be made only by the Team Leader of the AFI-CIS mission. While this authority may be delegated under certain circumstances, no Team Member should provide any information to the media without prior authorization from the Team Leader or AFCAC.

7.3.7.3. Communication with the media is an unavoidable reality and a necessity for creating awareness of the AFI-CIS. Official communications may be in the form of in-person, telephone or on camera or on-line radio or taped interviews for radio, television and newspaper or magazine publications. The AFI-CIS inspectors are normally expected to obtain prior written authorization from AFCAC for any media communication. AFI-CIS inspectors should avoid dealing with the media and should refer all such dealings to the Team Leader or AFCAC.

7.3.7.4 As official authorization may not always be possible under all circumstances it is important that all AFI-CIS inspectors use tact and discretion when dealing with the media. They are, at all times, to respect and maintain the confidentiality of State's information and are to deal with facts and not personal opinions or hearsay. When an inspector is faced with a question to which they are unsure if they should respond or comment on, that question should be deflected with the response that they are unable to answer the question and it would best be referred to the Team Leader or AFCAC.

### **7.3.8 USE AND PROTECTION OF INFORMATION**

7.3.8.1 The disclosure of confidential information may seriously jeopardize the efficiency and credibility of the AFI-CIS and AFCAC. Inspectors are responsible for exercising discretion in all matters of official business. They must not divulge confidential information without prior authorization. Nor should Inspectors use information that has not been made public and is known to them by virtue of their official position to private advantage. These are obligations that do not cease upon separation from the project. It is necessary to maintain guidelines for the use and protection of confidential information, and it is equally necessary for such guidelines to take into account developments in communications technology. It is understood that these provisions do not affect established practices governing the exchange of information between AFCAC and States, which ensure the fullest participation of States in the work of AFCAC.

### **7.3.9 PROPRIETARY RIGHTS**

7.3.9.1 No AFI-CIS inspector is permitted to market for his/her own account any product developed for the benefit of the Scheme. Such products include computer software, documents, and special procedures, all of which become the property of AFCAC.

### **7.3.10 RESPECT FOR DIFFERENT CUSTOMS AND CULTURES**

7.3.10.1 The world is home to a myriad of different peoples, languages, cultures, customs and traditions. It is self-evident that a genuine respect for them all is fundamental for an inspector. Any behavior that is not acceptable in a particular cultural context must be avoided. Inspectors should avoid an ostentatious lifestyle and any display of an inflated sense of personal importance.

### **7.3.11 SECURITY AND SAFETY**

7.3.11.1 While AFCAC can assign teams of inspectors in accordance with the exigencies of the service, it is the responsibility of AFCAC to make sure that the health, well-being and lives of Inspectors, without any discrimination whatsoever, will not be subject to undue risk. AFCAC should take measures to protect their safety. On the other hand, it goes without saying that it is incumbent on inspectors to comply with all instructions designed to protect their safety.

### **7.3.12 PERSONAL CONDUCT**

7.3.12.1 The private life of inspectors is their own concern and AFCAC should not intrude upon it. There can be situations, however, in which the behavior of an inspector can reflect on the image of AFCAC. Inspectors must therefore bear in mind that their conduct and activities outside the workplace, even if unrelated to official duties, can compromise the image and the interests of AFCAC.

7.3.12.2 The privileges and immunities that inspectors enjoy are conferred upon them solely in the interests of AFCAC. They do not exempt inspectors from observing local laws, nor do they provide an excuse for ignoring private legal or financial obligations.

### **7.3.13 EXTERNAL EMPLOYMENT AND ACTIVITIES**

7.3.13.1 The primary obligation of inspectors is to devote their energies to the work of the AFI-CIS and AFCAC during missions. It is therefore improper for inspectors to engage, without prior authorization, in any outside activity, whether remunerated or not, that interferes with that obligation or is incompatible with their status or conflicts with the interests of AFCAC. Any questions about this should be referred to AFCAC.

7.3.13.2 Other employment includes full or part-time employment with another entity, self-employment activities and private practice. Potentially, such employment presents the same problems as do outside directorships. In practice, however, the major problem is the time, energy and focus required for these activities. Other employment activities should be declared to AFCAC and approval requested.

7.3.13.3 Approval for other employment is based on the following guidelines:

- a.) The employment must be outside normal working hours, and the AFI-CIS time or resources are not to be used in carrying out such employment.
- b.) There should be no obvious conflict of interest e.g. in working for an air operator, or service provider within the AFI States.

7.3.13.4 Other employment may be approved on the understanding that:

- a.) The AFI-CIS inspector's first loyalty is to the AFCAC during AFI-CIS missions.
- b.) All possible situations of conflict will be avoided: e.g. giving legal advice to a person or company in litigation with the AFI-CIS or a member State.

#### **7.3.14 GIFTS, HONOURS AND REMUNERATION FROM EXTERNAL SOURCES**

7.3.14.1 To protect inspectors from any appearance of impropriety, inspectors must not accept, without authorization from the Team Leader, any honour, decoration, gift, remuneration, favour or economic benefit of more than nominal value from any source external to AFCAC; it is understood that this includes Recipient States as well as operators and other entities.

7.3.14.2 It is not proper for inspectors to accept supplementary payments or other subsidies from the Recipient State or any other source prior to, during or after their assignment with the AFI-CIS Project if the payment is related to that assignment. Balancing this requirement, it is understood that Recipient States or other entities should not make or offer such payments, recognizing that any such action could compromise the attainment of the objectives of the AFI-CIS and constitute a breach of these guidelines.

#### **7.3.15 GOVERNMENT AND POLITICAL DEALINGS**

7.3.15.1 In dealings with Officials of Government agencies and representatives, special care must be taken to use official positions responsibly. This is especially true in relation to the political process. It is important to take reasonable steps to become familiar and comply with all laws and regulations that apply when offering to provide entertainment, meals, gifts, gratuities and other items of value to any employee or representative of governments or when accepting such items of value from any employee or representative of any government.

### **7.3.16 BREACHES OF THE CODE OF ETHICS**

7.3.16.1 If there are doubts about a particular situation, questions or concerns about a business practice, questions about a potential conflict of interest, or concerns about potential or suspected illegal or unethical behaviour, guidance must be sought from the Team Leader, or from AFCAC.

7.3.16.2 Where a breach involving an AFI-CIS inspector has occurred or is perceived to have occurred, it should be promptly reported to the Team Leader who will bring it to the attention of AFCAC. They will attempt to gather facts and investigate the circumstances with the provider and receiver authorities and attempt to reach appropriate resolution of the issue. If the breach did not happen in a providing or Recipient State while on duty the providing State shall be responsible for the investigation and shall report its findings and conclusions to AFCAC, to be confined to whether or not that AFI-CIS inspector should be retained on the roster of AFI-CIS inspectors.

### **7.3.17 CONCLUSION**

7.3.17.1 The attainment of the standards of conduct for the AFI-CIS inspectors requires the highest commitment of all parties. Inspectors must be committed to the values, principles and standards set forth herein. They are expected to take a positive and active approach in upholding them. They should feel responsible for contributing to the broad ideals to which they dedicated themselves in joining the AFI-CIS. For their part, AFI States are expected, on the basis of signing the MOU on the AFI-CIS, to preserve the independence and impartiality of the AFI-CIS inspectors.

7.3.17.2 For these standards to be effectively applied, it is essential that they be made available to every AFI-CIS inspector, and that measures be taken to ensure that their scope and importance are understood by all concerned parties.

7.3.17.3 Respect for these standards will ensure a smooth operation of the AFI-CIS which will ultimately contribute towards its success.



## **CHAPTER 8 – PERFORMANCE EVALUATION**

### **8.1 BACKGROUND AND PURPOSE**

8.1.1 Many organizations today, more than ever before, are now using performance evaluation programmes. The reason for this is that they are not only extremely beneficial to the employer but also to the employees as well. In fact such programmes have become a necessary part of being able to manage an organization and/or project more effectively. It was for this reason that a system for tracking and monitoring the effectiveness of the AFI-CIS Project against its stated objectives has been adopted.

8.1.2 Performance evaluation is an effective tool in properly managing performance. Managing performance is the procedure of measurement of progress, of an organization/project, towards a coveted goal. It is the measuring through performance evaluation, analysis and optimization of resources with a view to achieving the agreed objectives. The purpose of this chapter is to provide guidance on the process of managing performance by ensuring effective delivery of services by the AFI-CIS Project.

8.1.3 The underlying idea behind performance management is an operation through which the AFCAC, as the agency responsible for administration and management of the AFI-CIS Project works with States (i.e. both the Providing and Recipient States) and to increase effectiveness and efficiency so as to deliver the desired results.

8.1.4 An effective performance management for the AFI-CIS Project means the promotion of good leadership skills that can be enhanced alongside mental attitudes, interpersonal skills and behaviour. This is a fundamental prospect of managing performance as it portrays the underlying significance of human capital as the key component required to meet the objectives of the AFI-CIS.

8.1.5 The main reason for Performance Management under the AFI-CIS Project is to increase the effectiveness of AFI-CIS inspectors, which in turn will contribute towards the attainment of the objectives of the project and therefore assure its overall success.

### **8.2 PRINCIPLE OF MANAGEMENT BY OBJECTIVES**

8.2.1 Management by objectives involves formulation of objectives, for an entire organization, which are then broken down into divisional, departmental and finally individual objectives. Objectives are decided on the basis of mutual consultation between managers and employees at the departmental and divisional levels and thus it can be appropriately called an integration of top down and bottom up approaches in management. The specific aim is to make the employees participate in decision making and thus motivate them to perform better.

8.2.2 The AFI-CIS Project, in line with the targets adopted for its implementation, shall follow the principles of management by objectives. This doctrine follows a step-by-step procedure that ensures the feasibility of the State-specific plans as set in the approved AFI-CIS Project work programme.

- Realistic and achievable plans;
- Activities to be preformed are identified.
- Logical relationship between the sequences of activities.
- Time frame and cost frame are fixed.
- Resources to be allocated are agreed upon.

### **8.3 SALIENT FEATURES OF THE PROCESS**

- **SELF CONTROL AND SELF DIRECTION:**

8.3.1 The AFI-CIS inspectors must exhibit keen self control in that, they will self appraise their performance that results in intrinsic motivation. Setting short term goals as approved in the individual mission programmes and conducting periodic reviews to match the current performance with the expected standards will greatly boost the performance of each and every inspector and will provide the necessary drive to accomplish the assigned tasks.

- **PERIODIC PROGRESS REVIEW:**

8.3.2 The purpose is to help correct errors and deviations if any and will be done by AFI-CIS Focal contacts in AFCAC and ICAO in consultation with Team Leaders. The scope of the review will cover mission reports and completed feedback forms from Recipient States. It must be done in a constructive way and adequate counseling and guidance will be given to the TLs/TMs to bridge the shortfall, if any, in performance. This will be possible only when there exists a mutual understanding between the TL and TMs, to find reasons and solve problems together. Reviews need not necessarily pinpoint errors but must provide adequate information required to make a determination on the need for revision and/or adjustments to future plans and actions. The major emphasis of management by objectives lies in its result oriented approach.

- **RELATIONSHIP BETWEEN MANAGEMENT BY OBJECTIVES AND MOTIVATION:**

8.3.3 Motivation of an individual can be brought about by financial incentives such as bonus, increments, pay and perks or non-financial incentives such as recognition, appreciation and additional responsibilities. However, nothing can replace self-motivation which makes an individual perform with aplomb. As management by objectives is directly linked with goal-setting, performance is enhanced where goals are set in a clear and concise manner. This will involve participation by AFI-CIS Inspectors when specific goals are being set or revised.

## **8.4 PERFORMANCE MANAGEMENT AS A MANAGERIAL TOOL**

8.4.1 Managing performance is a managerial tool and the AFI-CIS focal contacts and mission Team Leaders have a large role to play, in order to achieve better performance. A lot depends on the quality of the State-specific work plan, the quality of the TM and level of interaction between TL and TMs during the course of the assignment.

## **8.5 MEASURING ACHIEVEMENTS**

8.5.1 With implementation of performance management comes performance evaluation as a measure of the performance of the TL and TMs during the conduct of the mission and above all as a measure of the achievement of the objectives of the project. To this end, performance evaluation under the AFI-CIS will be conducted at two levels – at the level of individual AFI-CIS Inspectors and at the mission level.

8.5.2 Performance evaluation is an important process which will be used to provide feedback on AFI-CIS missions. This evaluation is meant to inform AFCAC about the effectiveness of the TL, TMs and the AFI-CIS mission in general.

8.5.3 It is in the best interest of both the AFI-CIS and its inspectors that the performance evaluation system recognizes and appreciates hard-working and dedicated inspectors. On the other hand, low productive inspectors must be made aware of their weaknesses and the need for a corrective plan of action to be followed to overcome the same. It is through these evaluations that a determination could be made as to how effectively an inspector is working within the project and what if anything needs to be done to further improve their effectiveness.

8.5.4 In addition, performance evaluations will provide inspectors with a chance to learn just how effective they are performing and will provide them with guidance in relation to the advancement of their careers. It also provides the inspectors with an opportunity to air any grievances or problems they may be having in relation to their performance as AFI-CIS inspectors.

8.5.5 Therefore, it can be concluded that the performance evaluation system is an important tool to measure the effectiveness of the inspectors towards the attainment of the objectives of the AFI-CIS, increasing the Scheme's influence while maintaining its credibility.

## **8.6 PERFORMANCE EVALUATION – INDIVIDUAL AFI-CIS INSPECTORS**

8.6.1 In conducting a performance evaluation of an inspector, AFCAC will request feedback from Recipient States on the following areas.

1. The completed tasks of the inspectors at the end of the mission.

2. Observations on their relationships and interaction with counterparts from the Recipient State, other TMs and the TL.
3. The manner in which inspectors performed their assignments.

8.6.2 Once the evaluation has been carried out, the inspector at all times will have the right to make comments in a written form in relation to what has been provided on the feedback form as part of the performance evaluation. They may, if they wish, include information that they feel is pertinent to their evaluation and which has been omitted. This information is collected and put into the inspector's personnel file held with the AFCAC, where it can be referred back to in the future. The same information may be shared with the Providing State as the employer of the Inspector.

## **8.7 PERFORMANCE EVALUATION – AFI-CIS MISSIONS**

8.7.1 Organizational performance is the term that is often used with respect to the organizations. However, in this context the term refers to the deliverables, outputs and the outcome of the assistance rendered to the State that are measured against the AFI-CIS's goals or objectives.

8.7.2 Organizational performance will help the AFI-CIS Project to increase its effectiveness and at the same time maintain its credibility. Besides, this will also help the Scheme to meet its deadlines and produce quality work. Therefore, the AFI-CIS will make every effort to increase its organizational performance by continually reviewing its activities against its stated objectives and set targets. In so doing, AFCAC may use tools, such as the ICAO audits conducted under the ICAO Continuous Monitoring Approach and the ICAO Coordinated Validation Missions (ICVMs) to measure the results of each AFI-CIS mission against the objectives set for the AFI-CIS Project. AFCAC can, in such manner, continuously monitor the progress of implementation of the AFI-CIS, in order to ensure that it is achieving its set goals and objectives.

8.7.3 Constant monitoring and periodic reviews may also be conducted through holding periodic evaluation meetings between focal contacts in AFCAC and the ICAO Regional Offices, ESAF and WACAF. The evaluation meetings will conduct a review of the completed feedback forms from Recipient States and the reports of recently held ICAO CMA audits and ICVMs and CMA reports.

# **APPENDICES**

## APPENDIX 1 – AFI CIS PROJECT PROPOSAL

### Establishment and Management of a Cooperative Inspectorate Scheme (CIS) for the AFI Region

#### A. Title Page

<b>Participating States:</b>	All AFI States.
<b>Beneficiary States:</b>	Initially all AFI States currently under consideration by the Audit Results Review Board (ARRB).  Eventually all AFI States.
<b>Project No.:</b>	ISD/Regional/.....
<b>Proposed Title:</b>	Establishment and management of a Cooperative Inspectorate Scheme for the AFI Region.
<b>Project Duration:</b>	Initial period of two years.
<b>Implementing Agency:</b>	AFCAC, with technical support from ICAO Regional Offices and regional safety oversight bodies (BAGASOO, CASSOA, COSCAP-CEMAC, COSCAP-SADC, COSCAP-UEMOA, etc.).
<b>Source of Funding:</b>	State funding, AFCAC, ICAO, other sources of funding to be determined.

#### B. Problem Statement

1. All the AFI States identified as immediate beneficiaries of this project are currently under consideration by the ICAO Audit Results Review Board (ARRB) due to a significant lack of effective implementation (LEI) of the critical elements of a safety oversight system. In addition, a number of the States have significant safety concerns (SSCs) that have been identified by the USOAP audits. An SSC occurs when the audit findings reveal that the State grants authorizations and/or approvals without following the necessary procedures and without regard to the minimum requirements established by the State and the standards set forth in the ICAO Annexes thus resulting in an immediate safety risk to international civil aviation.

2. With respect to all these States, little or no progress has been made in the implementation of their corrective action plans to resolve identified safety related deficiencies. At the time of their audits, their respective percentage LEI ranged from 50.53% to 96.10%. The average percentage LEI for this group of States was 76%. In addition, out of the thirteen States that have been referred to the ARRB with significant safety concerns, ten are AFI States that have been included as beneficiaries in this project.

3. ICAO encourages States that have limited resources to pool both their financial and human resources and establish a common regional or sub-regional body capable of carrying out safety oversight tasks and functions on their behalf. This resulted in the establishment of four COSCAP (Cooperative Development for Operational Safety and Continuing Airworthiness Programme) projects under the ICAO

Technical Co-operation Programme. These included the COSCAP-BAG (that has now transitioned into the Banjul Accord Group Aviation Safety Oversight Organization (the BAGASOO)), COSCAP-CEMAC, COSCAP-SADC and COSCAP-UEMOA. The Civil Aviation Safety and Security Oversight Agency (CASSOA), that serves five East African States, is the second Regional Safety Oversight Organization (RSOO) so far established in the AFI Region.

4. All the beneficiary States included in this project (with the exception of Comoros and Djibouti) are currently members of either a COSCAP or an RSOO. However, in spite of being members of a regional safety oversight body, all these States have not been able to resolve their safety related deficiencies and/or serious safety concerns. The regional bodies concerned lack the necessary resources that would enable them to effectively carry out their mandate, particularly in respect to assisting those of their members that need help most. Although in principle, these States should have benefited from their membership of a regional safety oversight body, in practice, this has so far not been the case. Regional cooperation in the area of safety oversight is a sound concept. However, its implementation in the form of COSCAPs or RSOOs will continue to face challenges unless these bodies are properly resourced.

5. As borne out by the safety oversight deficiencies and the significant safety concerns identified by the ICAO audits, this is particularly evident in the areas of licensing, certification authorization and/or approval, surveillance and the resolution of safety concerns (effectively the safety oversight critical elements 6, 7 and 8). Regional bodies, like the States that they serve, continue to face challenges in actualizing their objectives, due to the inability to recruit and retain sufficient numbers of qualified and experienced inspectors and to the unavailability of the tools required for carrying out inspections and other tasks related to certification and surveillance.

### **C. End of Project Status**

6. This project will lead to the establishment of a Cooperative Inspectorate Scheme (CIS) for the AFI Region, for the purpose of resolving the safety related deficiencies and significant safety concerns identified by the ICAO safety oversight audits. The project is also aimed at closing many of gaps identified by the AFI Comprehensive Implementation Programme (ACIP) in its analyses of AFI States. At the end of the project, the inspectors selected for the AFICIS would have assisted States in completing tasks related to the certification and surveillance of aviation activities. This will result in the resolution of many of the safety related deficiencies and significant safety concerns of those States referred to the ARRB.

7. The CIS will be composed of inspectors selected from within the AFI Region. As a result, the CIS will enable the development and retention of a better trained and experienced cadre of inspectors from within the Region. Other benefits will be improved incentives for inspectors, to include better opportunities for inspectors to use their qualifications and experience, and optimum use of inspector training programmes.

8. The regional safety oversight bodies (COSCAPs and RSOOs), through their technical coordinators and other technical staff are expected to play an active and direct role in the implementation of the AFI-CIS project. Essentially, their technical staff will be responsible for coordinating and monitoring activities of the CIS and leading teams of inspectors within their geographical areas of responsibility. The completion of this project should therefore enable the more effective use of regional safety oversight bodies within the region.

## **D. Major Elements**

### **9. Immediate Objectives**

9.1 The project adopts the targets agreed to by the ICAO/AFCAC Joint Meeting on Aviation Safety held in Ndjamena, Chad, on 13 April 2010 as its immediate objective. In that respect, the project aims to assist the AFI States to achieve a 10% annual reduction in their LEIs over a period of two years. A maximum of two years has been set by AFCAC for the removal of all AFI States from the ARRB list of States.

9.2 A target 10% reduction in the LEIs over a period of two years will result in a significant reduction of the accident rate. In order for AFCAC States to achieve a significant decrease in the average accident rate (which currently stands at 5.8 accidents per million flights), it must, after two consecutive years drop below 4.4 accidents per million flights. If AFCAC States reduce their LEIs by 10% in 2011, and again by 10% in 2012, the accident rate is expected to drop below 4.4 accidents per million flights in 2012. If the rate remains below 4.4 accidents per million flights throughout 2013, then AFCAC States would have achieved a significant reduction in the accident rate.

9.3 The project aims to:

- assist States to develop and effectively implement safety oversight corrective action plans;
- assist States to carry out certification and surveillance activities; and
- provide on-the-job-training for national inspectors.

9.4 The project will achieve its objectives through the establishment and management of an AFI CIS and the development and implementation of a two-year work programme aimed at strengthening the certification and surveillance capabilities of States.

### **10. Inputs**

10.1 Inputs (human and financial resources, etc.) will be required from:

- AFI States;
- Regional Economic Communities;
- regional bodies (COSCAPs and RSOOs);
- ICAO;
- AFCAC; and
- other Stakeholders and financial bodies

10.2 All the AFI States that undertake to provide technical personnel for selection as inspectors under the CIS will, within reason, have to agree to the unimpeded availability of inspectors when required. AFI States in the project will continue to pay the salaries of their national inspectors participating in the CIS.

10.3 Any beneficiary State that requests the services of the CIS for the conduct of certification, inspections, audits, etc. will cover the cost of travel and the Daily Subsistence Allowance (DSA) of the inspectors. The States will also undertake to provide the office space and equipment required by the inspectors for carrying out their work.



10.4 The regional bodies will be responsible for coordinating and monitoring the activities of the CIS inspectors working in their areas of responsibility. Regional bodies will therefore ensure the availability of technical staff (Advisers, Experts and regional Inspectors) required for coordinating the CIS within their respective geographical areas of responsibility. The technical staff will be expected to participate actively in the CIS, to include leading teams of inspectors on missions to States for the conduct of certification and surveillance activities.

10.5 The regional bodies will provide office space and equipment for the use of CIS inspectors when required.

10.6 AFCAC will be responsible for the overall management of the AFI CIS. ICAO, through its Regional Offices and under the AFI Plan, will support the implementation of the AFI-CIS by AFCAC. It will monitor the selection and qualification of inspectors. ICAO will develop, in collaboration with AFCAC, the two-year work programme of the CIS and, in collaboration, with each regional body (COSCAP or RSOO), annual work plans for the conduct of inspections, etc. Overall, ICAO will, in collaboration with AFCAC, monitor the implementation of the CIS. ICAO will therefore be required to make available sufficient resources for carrying out its responsibilities under the CIS.

10.7 ICAO, in collaboration with AFCAC, shall arrange and provide initial orientation training, on-the-job training and regular refresher and specialist training when required for the selected inspectors.

10.8 AFCAC will be required to make available resources for the purpose of fulfilling its responsibility for monitoring the implementation of the AFI CIS in collaboration with ICAO.

10.9 Other stakeholders and financial institutions may provide assistance, both financial and in kind, for the establishment and implementation of the AFI CIS.

## 11. **Activities**

11.1 A timeline for the completion of activities resulting in the establishment of an AFI CIS and a list of the accountable entities for each activity is at Appendix 1.

11.2 Activities to be carried include the following:

- the selection and qualification (and training where required) of CIS inspectors from within the AFI Region;
- support the development and implementation of harmonized processes and procedures for the conduct of certification and surveillance activities;
- the development of an inspectorate tracking and monitoring system;
- the implementation of the CIS annual work plans of inspections, etc. in support of the certification and surveillance of aviation activities; and
- the overall monitoring and evaluation of the CIS and the project

11.3 With respect to the approach to be used for resolving safety oversight significant safety concerns and deficiencies, it is proposed that the following actions be applied:

- prioritize action plan in the following order:
  - ✓ resolve SSC findings;
  - ✓ remove AFI States from the ARRB list; and
  - ✓ resolve safety oversight deficiencies in general and reduce LEIs.
- use prioritized list of recommendations as prepared by ICAO Regional Offices and endorsed by States;
- complete all actions within the two-year deadline as targeted by AFCAC;
- establish and implement the AFI CIS; and
- work with existing AFI RSOOs and COSCAPs where possible

## 12. **Outputs**

### 12.1 Outputs will include:

- a Cooperative Inspectorate Scheme for the AFI Region
- completed inspections, audits and other activities in support of certification and surveillance of aviation activities.
- a 10% annual reduction in the LEI of the safety oversight critical elements, over a period of two years;
- resolution of outstanding significant safety concerns;
- removal of States from the ARRB list; and
- a significant improvement in the average accident rate of AFI States

## E. **AFI States' Commitment**

13. A formal Agreement in the form of a Memorandum of Understanding (MOU) will be signed by all States participating in the project detailing their duties, responsibilities, and inputs. AFI CIS inspectors will remain in the employment of their States. However, States must undertake to make available for CIS missions those of their inspectors selected under the Scheme. Those States receiving assistance under the project must undertake to cover the costs of services provided without delay.

14. The Agreement will also specify the responsibilities of ICAO Regional Offices and AFCAC for managing and monitoring the implementation of the project. In addition, the Agreement will outline the responsibilities of each of the regional bodies (COSCAPs and RSOOs) participating in the project, in respect to the implementation of their respective CIS work plans.

## F. **Risks**

15. The risks associated with the implementation of the project may include the following:

- a. Failure of some States to participate in the project;
  - Risk level: Low
  - Mitigation: AFCAC and ICAO to promote the CIS as an effective means for AFI States to enhance safety oversight capabilities

- b. Failure of States to commit to the project  
Risk level: Low  
Mitigation: MOU binding on all participant States
- c. Failure of recipient States to cover costs of missions undertaken by the CIS inspectors  
Risk level: Moderate  
Mitigation: MOU to contain terms of reference for payment of DSA and travel  
Routine surveillance missions to be supported by the advance of 100% of mission costs
- d. Lack of funding to support the project  
Risk level: Low  
Mitigation: Secure AFCAC member States and Bureau commitment  
Secure management commitment from ICAO  
AFCAC/ICAO to promote project to stakeholders

**G. Estimated Cost**

16. Preliminary costing of the AFI CIS

Description	Unit cost (US\$) (Monthly)	Number. of units (US\$)	Total Cost (US\$)
Regional Officer (eq. third time of a P4/I Officer)	2,600	24	62,400
AIR CIS Coordinator	8,000	24	192,000
Ops CIS Coordinator	8,600	24	206,400
Mission cost/officer	3,500	24	84,000
Total		24	544,800

17. It has been assumed that:

- the CIS Coordinator would be recruited from within the Region but not from the State where the RSOO is based. So a foreign allowance of 20% has been included;
- a Regional Officer would be involved for up to 1/3rd of his/her time in the project; and
- the mission cost is an average cost for a 5-day mission in the Region including Ticket, DSA and TA;

18. Other cost elements include Regional Office facilities and the training of the CIS inspectors are still to be determined.

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## APPENDIX 2 – AFI CIS MEMORANDUM OF UNDERSTANDING (MOU)

**MEMORANDUM OF UNDERSTANDING (MOU)  
BETWEEN  
THE AFRICAN CIVIL AVIATION COMMISSION (AFCAC)  
AND  
AFRICAN STATES  
FOR THE USE OF NATIONAL INSPECTORS  
UNDER THE AFI COOPERATIVE INSPECTORATE SCHEME (AFI-CIS)**

This memorandum of understanding (MOU) is made on this **date month year** between the African Civil Aviation Commission (AFCAC) whose office is situated at 15 Boulevard de la République, Dakar, Senegal and the Civil Aviation Authority of **the State** for the use of the State's Government Safety Inspectors under the AFI Cooperative Inspectorate Scheme (CIS).

**THE CIVIL AVIATION AUTHORITY OF **(name of State):****

*Recognizing* African States' commitment as an ICAO Contracting States and signatory to the Convention on international civil aviation (Chicago Convention);

*Mindful* of certain principles and arrangements agreed upon in order that international civil aviation may be developed in a safe and orderly manner;

*Concerned* by the state of aviation safety in the AFI region and *mindful* of the joint AFCAC-ICAO meeting held in N'Djamena, Chad on 13 May 2010 that agreed on a list of objectives to be achieved within the next two years;

*Realizing* the challenges in actualizing the objectives of the AFCAC-ICAO joint meeting and *mindful* of the difficulties faced by individual States especially in the area of recruitment and retention of sufficient number of qualified Inspectors and its obvious negative impact on the achievement of the stated objectives;

*Mindful* of the agreement to endorse the establishment of an AFI Cooperative Inspectorate Scheme (AFI-CIS) for the use of a pool of national inspectors from the African States for the purpose of complementing the efforts of inspectors with the individual States in carrying out inspections and technical assessments on behalf of their States as agreed at the AFCAC-ICAO Joint Ad hoc Meeting on Improvement of Aviation Safety in Africa held in Dakar, Senegal, 17 – 19 August 2010;

*Hereby* consents to the general agreement addressing all African States as presented below:

### **1. GENERAL PROVISIONS**

- a. **The State** shall recommend to AFCAC appropriately qualified Inspectors for consideration and selection into the AFI Cooperative Inspectorate Pool;
- b. **The State** agrees to make its appropriately qualified National Inspectors available for the inspectorate scheme and agrees to the conditions developed and accepted for their use;

- c. The services to be provided by the National Inspectors under this Cooperative Inspectorate Scheme shall be in line with the scope of services herein contained in this MOU.

## **2. QUALIFICATION FOR ENGAGEMENT AS NATIONAL INSPECTOR/SCOPE OF DUTIES**

The criteria for eligibility for selection as a National Inspector under the Cooperative Inspectorate Scheme shall be as prescribed in attachment “A” (Airworthiness Inspector) and attachment “B” (Flight Operations Inspector) to this MOU.

## **3. TRAINING**

The ICAO/ACIP shall arrange and provide initial orientation training, on-the-job training and regular refresher and specialist training when required for the selected national inspectors. The training shall be provided free of charge; however, any travel or living cost that may be necessary shall be borne by the State.

## **4. STATUS OF THE NATIONAL INSPECTOR**

At all time material during the performance of his duties under this cooperative inspectorate programme, the National Inspector shall be deemed an official of AFCAC working under the authority of the Director General of the Civil Aviation Authority of the host State and shall have a credential issued to him to that effect and endorsed by the Director General of the Civil Aviation Authority. The certificate shall indicate that the individual has been endorsed by the Secretary General of AFCAC as a member of the Cooperative Inspectorate Scheme. The host State remains responsible for the issuance of any document, certificate or license issued as a result of the activities and recommendations of the AFI CIS Inspectors.

## **5. REMUNERATION**

The Inspectors are seconded to AFCAC when on assignment under the CIS system. However, the State shall be responsible for covering all costs related to the payments of salary and associated employment benefits. AFCAC shall be responsible for all matters relating to relevant insurance cover for Inspectors while serving under the CIS.

## **6. ALLOWANCES OF NATIONAL INSPECTORS**

African States that are provided with the support of an Inspector under the CIS system shall be responsible for mission travel expenses and daily subsistence allowance (DSA) of the CIS Inspectors, based on the most current United Nations (ICAO) rate. However, in a situation where the inspectors' own State pays per diem allowance is higher than the allocated DSA, then the State of the Inspector shall pay the difference of the per diem allowance. All CIS Inspectors under this scheme shall be entitled to a return air ticket on economy class. However, where the inspector is entitled to a higher class of ticket, his home State shall make adequate and timely provisions for his upgrade.

## **7. DUTY OF STATES TO MAKE AVAILABLE NATIONAL INSPECTORS**

Each African State agrees to make available to AFCAC on request Inspectors registered under this Cooperative Inspectorate Scheme for at least two missions per year, with each mission covering a period of approximately one (1) week, excluding preparation time.

**8. COMPENSATION**

AFCAC agrees to take responsibility for the payment of compensations (if any) to AFI CIS inspectors or the next of kin in the event of death, injury or illness that may occur during the performance of duties under this Cooperative Inspectorate Scheme.

**9. DURATION/AMENDMENT OF MOU**

This MOU shall commence from the date it has been signed by the two parties (The State and AFCAC) and shall remain in-force until amended and/or terminated by the parties. This agreement may be terminated at any time by any of the two parties by giving a 60-day written notice.

**10. CONFIDENTIALITY**

Any information made available to the National Inspector by any State or any unpublished publication made known to him by AFCAC in the course of performance of his obligations under the terms of this MOU shall not be communicated to any person or other entity unless with the expressed authorization of AFCAC.

**11. TITLE RIGHTS**

The title rights, copyrights, and all other rights of whatsoever nature in any material produced under the provisions of this MOU shall be vested exclusively in the AFCAC. AFCAC shall not give title credits to the Inspectors and it reserves the right to alter or change the whole or parts of the material without prior consultation with the Inspectors.

**12. LANGUAGE OF THE MOU**

This MOU shall be prepared in the English and French languages, as agreed upon by the parties.

**IN WITNESS WHEREOF**, the parties hereby sign this Memorandum of Understanding:

For and on behalf of the **Civil Aviation Authority of the State**

Signature: ..... Date .....

Name: .....

Title: .....

For and on behalf of the **African Civil Aviation Commission (AFCAC)**

Signature: ..... Date .....

Name: .....

Title: **Secretary General**

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### **APPENDIX 3 - QUALIFICATION REQUIREMENTS FOR AFI-CIS (AIRWORTHINESS) INSPECTORS AND SCOPE OF DUTIES**

#### **Qualifications Requirements:**

1. University degree in aeronautical engineering or equivalent recognized professional qualification including a maintenance engineer's/mechanic/technician license.
2. Considerable experience in airworthiness, overhaul and maintenance, preferably of large, modern aircraft. Airline experience relating to governmental procedures of the inspection and approval of such organizations would be an asset; or
3. Experience at the inspectorate level of government regulatory practices in airworthiness administration, certification, inspection, overhaul and repair, implementation of acceptable means of compliance would be an asset.
4. Sound knowledge of ICAO Standards and Recommended Practices and related documentation.
5. Knowledge of legal responsibilities and administrative procedures for the issuance of documents under State of Registry approval relating to supervision of airworthiness will be an asset.
6. Reasonable level of knowledge of the requirements of personnel licensing, training, and maintenance of competency of ground crews concerned with airworthiness.
7. Knowledge of aircraft inspection and airworthiness certification requirements is required.
8. Experience in the preparation, review, approval and use of maintenance-related Operator Manuals i.e. MCM, MEL, aircraft maintenance programs etc.
9. Experience in the preparation and approval of ground crew training and checking programmes would be an asset.

#### **Competencies:**

1. **Judgment/decision –making:** Proven ability to take ownership of all responsibilities and to honour commitments, to exercise mature judgment, to recognize key issues and analyze relevant information, to make feasible recommendations and to take sound decisions.
2. **Communication:** Ability to write clearly and concisely and to present articulate verbal reports in English. Knowledge of French and Portuguese would be an asset.
3. **Teamwork:** Ability to work with colleagues to achieve the project goals and maintain harmonious working relationships in a multinational environment.

4. **Leadership, vision and management of performance:** Demonstrated ability to plan and guide the work of a technical team in a multinational environment, to identify priorities and adjust them as required.
5. **Client Orientation:** Ability to establish and maintain partnerships with external collaborators, to work and advocate effectively in a consensus-based system and to successfully manage and resolve conflict.
6. **Commitment to continuous learning:** Willingness to keep abreast of new developments in professional field.
7. **Technological awareness:** Ability to use contemporary office automation equipment, software, databases.

**Duties:**

Under the coordination and direction of the AFCAC focal contact responsible for the AFI CIS Project:

1. Assistance in the implementation of State-specific recommendations on the resolution of safety oversight deficiencies for AFI States currently on the ICAO Audit Results Review Board (ARRB) list.
2. Assist in the arrangement of workshops, seminars and training programmes for inspectors within the AFI States.
3. Assist inspectors in the performance of certification of air operators and maintenance organizations and perform continuing airworthiness oversight functions including the conduct of inspections and other surveillance activities.
4. Provide on-the-job-training to airworthiness inspectors during certification and inspection missions to AFI States or when requested to conduct a safety audit, from those States.
5. Perform any other relevant duty assigned in the field of specialization.



## APPENDIX 4 - QUALIFICATION REQUIREMENTS FOR AFI-CIS NATIONAL (OPERATIONS) INSPECTORS AND SCOPE OF DUTIES

### Qualifications Requirements:

1. Experience at the inspectorate level with Civil Aviation Administration, directly associated with the preparation and responsibility for implementation of rules, regulations, operating manuals and flight and ground procedures deemed necessary for flight safety, inspection and certification.
2. Knowledge of legal responsibilities and administrative procedures for the issuance of documents under State of Registry approval relating to supervision of flight operations.
3. Considerable flight crew experience as Pilot-in-Command (PIC) preferably on modern, heavy turbojet aircraft or substantial experience as a Government Flight Operations Inspector preferably with ratings on modern, heavy turbojet aircraft.
4. Knowledge of the requirements for personnel licensing systems, and of the training and maintenance of competency of flight and ground crews concerned with flight operations.
5. Experience in the preparation, review, approval and use of Flight Operations Manuals and other documentation.
6. Experience in the preparation and approval of flight training and checking programmes.
7. Sound knowledge of ICAO Standards and Recommended Practices and related documentation.

### Competencies:

8. **Judgment/decision –making:** Proven ability to take ownership of all responsibilities and to honour commitments, to exercise mature judgment, to recognize key issues and analyze relevant information, to make feasible recommendations and to take sound decisions.
9. **Communication:** Ability to write clearly and concisely and to present articulate verbal reports in English. Knowledge of French and Portuguese would be an asset.
10. **Teamwork:** Ability to work with colleagues to achieve the project goals and maintain harmonious working relationships in a multinational environment.
11. **Leadership, vision and management of performance:** Demonstrated ability to plan and guide the work of a technical team in a multinational environment, to identify priorities and adjust them as required.
12. **Client Orientation:** Ability to establish and maintain partnerships with external collaborators, to work and advocate effectively in a consensus-based system and to successfully manage and resolve conflict.
13. **Commitment to continuous learning:** Willingness to keep abreast of new developments in professional field.

14. **Technological awareness:** Ability to use contemporary office automation equipment, software, databases.

**Duties:**

Under the coordination and direction of the AFCAC focal contact for the AFI CIS Project:

- 1 Assistance in the implementation of State-specific recommendations on the resolution of safety oversight deficiencies for AFI States currently on the ICAO Audit Results Review Board (ARRB)
- 2 Assist in the arrangement of workshops, seminars and training programmes for inspectors within the AFI States.
- 3 Assistance to States in the development/amendment of regulations on Operation of Aircraft and Personnel Licensing.
- 4 Assistance to States in the development/amendment of procedural manuals on Operation of Aircraft and Personnel Licensing.
- 5 Assistance to States in the certification and annual surveillance activities.
- 6 Perform any other duty assigned/required in the field of specialization for achieving the Project's objectives.

**APPENDIX 5 – SAMPLE AFI-CIS INSPECTOR IDENTIFICATION/CREDENTIAL**

DRAFT

**INSERT PICTURE**

The Director General of the [host State] Civil Aviation Authority hereby delegates, in accordance with Article XX of the Civil Aviation Act and paragraph 4 of the Memorandum of Understanding (MoU) signed between the [host State] and the African Civil Aviation Commission (AFCAC) on [Date], to the holder of this credential whose name, picture and signature appears herein, the authority to:

**Name:**

**Address:** [Host State] Civil Aviation Authority

Address

**Title:** AFI-CIS Inspector (Specialty)

- (a) Enter the buildings, offices and premises of all Civil Aerodromes in [host State] for the purpose of inspecting aviation licenses, certificates and documents;
- (b) Enter the offices, hangars, and aircraft of all civil aircraft operators, and other places for investigation of aircraft incidents/accidents;
- (c) Proceed on all flights of commercial aircraft on the [host State] Civil Aircraft Register or operated within the [host State], on condition not subject to load, with right of entry into the flight deck and cockpit of such aircraft;
- (d) Make recommendation to ground, detain or suspend the operations of an aircraft registered in the [host State] or operated within the [host State] for safety reasons or public interest;
- (e) Make recommendation to prohibit any person from exercising the privileges of any aviation license, certificate or document for just cause;

.....  
**Signature of Holder**

In all cases for the purpose of performing duties relating to the discharge of responsibilities lawfully assigned to the [host State] Civil Aviation Authority in the [host State]

This credential is issued to the person named herein upon endorsement by the Secretary General of the AFCAC as a member of the AFI Co-operative Inspectorate Scheme (AFI-CIS). This certificate is not transferable and shall be valid for the period [Date] to [Date] or shall cease to be valid if the holder is no longer a member of the AFI CIS.

.....  
**Signature of Issuing Authority**

.....  
**Date and Stamp**

**By the Authority of the Director General of  
The [host State] Civil Aviation Authority**

.....  
**Signature of endorsing Authority**

.....  
**Date and Stamp**

**By the Authority of the Secretary General of  
The African Civil Aviation Commission**

**APPENDIX 6 - FEEDBACK / CRITIQUE FORM**

**AFI- COOPERATIVE INSPECTORATE SCHEME (AFI - CIS)  
TECHNICAL ASSISTANCE MISSION TO (        )**

**A= EXCELLENT, B = VERY GOOD, C = GOOD , D= FAIR, E = POOR**

**1. PERFORMANCE EVALUATION – INDIVIDUAL INSPECTORS**

**NAME OF INSPECTOR:** .....

1.1 In conducting a performance evaluation of an inspector, AFCAC requests feedback from Recipient States in the following areas:

1.2. Completed tasks at the end of the mission.                    **A   B   C   D   E**

1.2. Observations on relationships and interaction with counterparts and other team members                    **A   B   C   D   E**

1.3. The manner in which the inspector performed His/her assignment                    **A   B   C   D   E**

**2. HOW DO YOU RATE THE PROGRAMME IN TERMS OF:**

2.1 Presentation                    **A   B   C   D   E**

2.2 Content meeting your requirement                    **A   B   C   D   E**

2.3 Time adequacy                    **A   B   C   D   E**

2.4 Helpfulness in resolving                    **A   B   C   D   E**

2.5 Protocol Questions                    **A   B   C   D   E**

2.6 Mission Objectives achieved                    **A   B   C   D   E**

**3. OVERALL RATING OF THE AFI CIS PROJECT    A   B   C   D   E**

**4. COMMENTS**

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**5. COMPLETED BY**.....  
**DESIGNATION**.....  
**DATE**.....

DRAFT