

**COSCAP SA - SOUTH ASIA CAPACITY BUILDING MATRIX (SACBM)
PROCEDURES MANUAL**

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GENERAL

PURPOSE

The purpose of this manual is to provide guidance to Member States on how to use the South Asia Capacity Building Matrix (SACBM).

BACKGROUND

With the approval of the 24th COSCAP SA SCM, the South Asia Capacity Building Matrix (SACBM) work was launched in January 2016. The objective of the SACBM was to identify inspectors/officers within South Asia Civil Aviation Authorities/DGCAs who could provide support in terms of expertise/training and technical assistance to other Member States within the sub region (South Asia). In addition, the SACBM would also identify retired inspectors/officers who could continue to provide support to member States (COSCAP SA would employ them). Note: At a later stage, it is also intended to include South Asian experts within **the industry** on the SACBM.

The SACBM was not designed for “the developed world”. It was specifically designed for **South Asia** where inspectors/ officers could participate at sharing their experiences (in their area of expertise) and also learn and develop from the other States "best practices" based purely on **cooperation**. The main goal is for the SACBM to mature and evolve as States progress in the development of their aviation, both regulatory and industry. Eventually, SACBM Qualification Criteria for the South Asian " experts” will move a lot closer to the expertise we find (for example) in Europe, North America, and Australia. However the progression to this goal must be done incrementally as the aviation industry and regulators matures in this sub region. Culture also plays an important role and must be taken into consideration too.

METHODOLOGY

1) Phases

The project was initiated in several phases as such:

PHASE ONE:

Six SACBM Qualification Criteria (QC) were developed within the areas of Flight Operations, Cabin Safety, Personnel Licensing, Airworthiness, Aerodromes and Air Navigation Service. Note that more areas may be added at a later time once the project/Matrix matures.

These six Qualification Criteria were initially developed by the CTA taking into consideration various factors such as:

- What currently exists in terms of QC internationally (i.e. ICAO, EASA, FAA, TC etc.)
- How do they measure vis a vis the realities of South Asia
- What would be considered “reasonable” in terms of the years of experience with the CAA/DGCA within their area of expertise **in a South Asian context**
- What “State current practices” and *cultural aspects* must be considered

Once draft QCs were developed, the CTA distributed them to Member State National Coordinators (NCs) so that they could provide comments and revise as necessary. Note that the NCs would coordinate internally to ensure that proper feedback was received from their own specific/specialized areas of expertise.

During the National Coordinator meeting in June 2016, the SACBM QCs were finalized (in Draft format) and then presented to the 25th Steering Committee in July 2016 for approval.

All of the member State DGCA/Chairmen were present during the 25th Steering Committee Meeting, which was an essential element in getting a standardized approach across the **entire** sub region. In addition to approving the QCs, several critical decisions in the administration of the SACBM were unanimously agreed upon and approved as such:

- The home State (of the expert) would pay their expert's regular salary.
- The home State would not request any extra nominal fees from the hosting State.
- The hosting state (requesting assistance) would be responsible for all of the expert's related traveling expenses (i.e. Airfare, and applicable DSAs).
- The United Nations DSA rates would be used by all hosting states in order to ensure standardization and fairness across the sub region.
- At the end of the expert mission, the hosting state would submit a completed evaluation report to the CTA for analysis and record keeping and also to the home state for information

PHASE TWO:

Once approved, the CTA started the assessment process by visiting each State accordingly. In order to ensure efficiency, in most cases, the CTA combined multiple missions in various States to conduct the assessments.

Inspectors/officers who had at least 3 years or more with the CAA/DGCA were assessed. Those who had 5 years or more and who met the qualification criteria were placed on the matrix.

PHASE THREE:

The SACBM was implemented in March 2017 on a trial basis with Bhutan being the first host state to request assistance through the SACBM. An expert from Sri Lanka was deployed by the home State accordingly. The mission was very successful. The host state submitted a performance report to the CTA for analysis and record keeping. In addition, the CTA forwarded a copy of the performance report to the DGCA of Sri Lanka. An evaluation form with a rating scale has been developed accordingly.

2) Changes to the SACBM Qualification Criteria (QC):

During the last National Coordinator meeting on August 22-23, 2017, it was decided to introduce a few amendments to the SACBM Qualification Criteria. In addition, the CTA has also suggested some additional amendments to be more realistic as specified below:

AIRWORTHINESS EXPERT:

- Move the requirement for an ICAO Type II License or AME/AML CAT B1, B2, C AME license from Experience CORE to Experience OPTION
- Under Specialized Qualifications remove the following:
 - Crew Resource Management
 - Threat and Error Assessment
 - Safety Management Systems Specialist
 - Enforcement Investigator
 - Accredited Quality System Auditor
 - Digital Data Analyst
- Under “Experience Assets” change a minimum of 10 years experience in maintenance and quality control/assurance to 5 years experience (period).
- Under “Experience Assets”, add the following: Experience in developing legislation, regulations, requirements and/or guidance material

PEL EXPERT:

- Move from Experience CORE to Experience OPTION, the requirement for a PEL officer to have experience in the development of examinations and conducting written examinations for all types of Licenses.

ANS and AGA EXPERT:

- Replace a minimum of **10 years to 5 years** of experience in a civil aviation regulatory authority in ANS or AGA. This will standardize with the other areas.
- Under Experience CORE, remove “a minimum of 5 years”...experience in Certification and Surveillance to “experience in Certification and Surveillance”. This is to standardize with other areas.

FOR ALL AREAS:

- Under Specialized Qualifications remove:
 - Safety Management Specialist
 - Enforcement Investigator
 - Accredited Quality System Auditor

SINCE THE SACBM IS A “LIVE” DOCUMENT, FURTHER CHANGES ARE ANTICIPATED AS IT GAINS MATURITY.

3) Computerization of the SACBM:

The SACBM is currently constructed in the Excel format. The format allows for any changes to be easily incorporated. The SACBM will be computerized for easy access to Member States. It will be accessible through the COSCAP SA Website but with restricted access. Each Member State will designate a SACBM administrator who will receive a User ID and password for access accordingly. Note that the information on the SACBM is confidential and can only be accessed by authorized personnel.

PROCEDURES

DEFINITIONS:

Home State: The home State is the State who is providing an expert to the hosting State

Hosting State: The hosting State is the State who is requesting assistance

Expert: An expert is a person who has been declared eligible to be placed on the SACBM after being assessed satisfactory vis a vis the SACBM Qualification Criteria.

UN DSA: Daily Substance Allowance rate used by the United Nations

Terms of Reference (ToR): A document containing the details of what work (and duration) is expected out of the expert

D) HOW TO REQUEST ASSISTANCE THROUGH THE SACBM

Host States who wish to request assistance through the SACBM shall follow the following procedures:

- 1) Develop a Terms of Reference (ToR) for the SACBM mission. The ToR shall include the following as a minimum:
 - Type of Expert requested (i.e. Flight Operations, PEL, Airworthiness, Aerodromes etc)
 - Areas to be worked on (i.e. PEL: development of a PEL division within the Authority)
 - Description of the work required (i.e. Provide guidance and assistance in the development of a PEL division within the authority which will include developing a filing system, various PEL forms, licenses for Flight Crews and Air Traffic Controllers, medical certificates, tracking systems and guidance material for PEL inspectors.
 - Duration of the mission (i.e. two weeks)
 - Dates and hours of work (i.e. February 5-16, 2018 – 0900-1700 hrs)
 - Location of the mission (i.e. Paro, Bhutan)
 - Facilities (i.e. Bhutan Civil Aviation Authority PEL offices)
- 2) The host State will discuss and provide the COSCAP SA CTA a copy of the ToRs.
- 3) The CTA will review the ToR and obtain any clarifications from the hosting State as required.
- 4) Once satisfactory, the CTA will examine and identify those SACBM experts who could offer the requested assistance.
- 5) The CTA will then contact the **home State** CAA/DGCA and determine availability of the expert(s) to conduct the mission.
- 6) The home State DGCA/CAA will then confirm availability of an expert.
- 7) If there is more than one expert available from different Home States, the CTA will select the expert who is at the highest SACBM level (reference to SACBM QC Grading System)
- 8) At its discretion, the hosting State may request an interview with a proposed

- expert(s) to determine suitability and qualifications accordingly.
- 9) Once an expert has been confirmed, his/her DGCA shall confirm his appointment to the mission.

II) FINANCIAL AND VISA ARRANGEMENTS BETWEEN THE HOME AND HOSTING STATES:

As per the Record of Conclusions of the 25th COSCAP SA SCM, all member States have agreed to the following financial arrangements when using the SACBM:

- The home State (of the expert) would pay their expert's regular salary.
- The home State will not request any extra nominal fees from the hosting State.
- The hosting State (requesting assistance) will be responsible for all of the expert's related traveling expenses (i.e. Airfare, and applicable DSAs).
- The applicable (i.e. most current) United Nations DSA rates will be used by all hosting states
- The hosting State will contact the expert to make arrangements for the payment of the airline ticket and appropriate UN DSA.
- The hosting State will facilitate any VISA and Hotel arrangements for the expert.

III) HOW TO PREPARE FOR AN SACBM MISSION

The following procedures will be followed when preparing for a SACBM mission:

- 1) Once the expert has been selected, confirmed and assigned to the mission, the **host State shall assign a person who will be the expert's primary Point of Contact (POC) throughout the mission.**
- 2) The POC will initiate contact the expert to discuss the mission accordingly.
- 3) The POC shall provide all the required material (i.e. link(s) to their regulations/requirements/manuals) and any other information and/or assistance that will allow the expert to prepare for the mission.
- 4) Depending on the magnitude, scope and depth of the mission, the expert shall be allowed adequate time to prepare for the mission **beforehand**. This time shall not be less than 5 working days.

IV) ON-SITE

Once the expert has arrived on-site, the following procedures will be followed:

- 1) The hosting State shall arrange for transportation of the expert throughout the mission.
- 2) The expert shall carry out the mission as specified within the ToRs. Adjustments may be made as necessary, at the discretion of the **hosting State**.

V) END OF MISSION AND EVALUATION REPORTS

- 1) At the end of the mission, the expert shall provide a Mission Report as outlined in Appendix A.
- 2) The mission report shall cover all activities conducted on a **daily basis**.
- 3) A copy of the mission report shall be provided to the DGCA of the Hosting and Home States and the COSCAP SA CTA
- 4) The hosting State shall complete a SACBM Expert Evaluation Report (SEER) using the form in Appendix B

- 5) A copy of the SEER shall be provided to the expert, DGCA of the expert and the COSCAP SA CTA

VI) COSCAP SA SACBM RECORD KEEPING AND TRACKING

The following Record and tracking procedures shall be followed:

- 1) The COSCAP SA CTA shall maintain records of all SACBM missions conducted.
- 2) The records shall include the following:
 - Host State's Terms of Reference for the mission
 - Contact information of assigned expert
 - Mission Reports
 - SACBM Expert Evaluation Reports (SEER)
- 3) The SACBM Expert Evaluation Report rating scores for each expert shall be tracked for future reference purposes.
- 4) The CTA shall report to the Steering Committee the progress and status of the SACBM during the SCM.

VII) ADMINISTRATIVE PROCEDURES ON HOW TO KEEP THE SACBM CURRENT

The following procedures shall be followed in order to keep the SACBM current:

- 1) The SACBM shall be revised on an annual basis as follows:
 - Member State assigned SACBM administrators shall review the list of their respective State inspectors/officers on an annual basis. They will determine if the following condition(s) has occurred for each inspector/officer:
 1. Other than years of experience, did the inspector/officer acquire an additional qualification (i.e. New aircraft type training; RVSM; PBN, Train the Trainer, Training on USOAP CMA, SMS, SSP etc)
 2. Which inspector/officers have since retired/resigned from the CAA/DGCA
 3. Since retired/resigned inspectors/officers may remain on the SACBM, obtain **contact information** where the retired/resigned expert may be reached;
 4. The above information may be submitted to the Member State **National Coordinator** who will brief and submit all the changes to the CTA during the **annual NC meeting**.
 5. The CTA will update the SACBM accordingly.
- 2) The COSCAP will conduct assessments on inspectors/officers (who are not on the SACBM) every **two years** so that qualified ones may be added onto the SACBM
- 3) The COSCAP will encourage and support States to continue to develop inspectors on the matrix to optimize capacity building. A grading system will be introduced in 2019 to identify inspectors who are maximizing their capacities. (i.e. grade 1= 5 years of experience with CAA; grade 2=7 years of experience with CAA)

- 4) The COSCAP will encourage and support retired inspectors to maintain a level of currency as deemed feasible.
- 5) Once the SACBM has been computerized/automated and accessible to all Member States (via the COSCAP SA Website), SACBM State administrators shall update the SACBM directly on an annual basis.

VIII) Certified SACBM Expert Levels

In order to attain and maximize the level of knowledge and experience of SACBM inspectors/officers a system has been established to recognize this as such:

- Level 1: Junior Expert who has established the minimum of 5 years experience in his/her area of expertise within a CAA/DGCA +USOAP
- Level 2: Intermediate Expert who has established a minimum 8 years experience in his/her area of expertise within a CAA/DGCA + USOAP + TT + 10 SACBM Missions
- Level 3: Senior Expert who has established 10 years or more experience in his/her area of expertise within a CAA/DGCA + USOAP + TT + AIG + 20 SACBM Missions
- In addition to the above, other requirements may be required in order to graduate from one level to another

VIX) COSCAP SA WEBSITE – SACBM

- 1) The SACBM will be posted on the COSCAP SA Website. Member State SACBM administrators will be given access to their respective State SACBM for purpose of updating.
- 2) Once the SACBM is fully mature, Member States (through their administrators) will have access to the entire SACBM (all Member States). This will allow the Member States to access experts independently from their COSCAP SA.

Appendices for standardized forms for mission report writing and performance reviews. In addition it will contain instructions on how to use the computerized version of the SACBM (once established)