

**ASSP II Project- Zambia**  
**Activities planned for period, from 01 January 2020 to 31 December 2020**

<b>Activity 4</b>	<b>Trainings/Workshops</b>
Sub-activity 4.4.10.c	AOC OPS Specs Certification workshop III
<b>Background / action</b>	
<p>The <b>air operator certificate (AOC)</b> is the approval granted by the ZCAA to aircraft operators to allow to use aircraft for commercial purposes. This requires the operator to have met a number of formal requirements as per Zambian legislation and ICAO SARPS.</p> <p>There are plans in Zambia to launch new operators in the near future.</p>	
<b>Expert short code/initials/description/Employer</b>	
<p>Texp4.4.5/PRO/ AOC expert /EASA-Contractor</p> <p>Name of the expert: Mr Miguel Vaz Pinto</p> <p>First mission from 6 to 10 January 2020.</p> <p>All other missions had to be cancelled.</p> <p>Contingency plan due to COVID-19:</p> <p>The team agreed to continue with the support for the implementation of this activity until end of 2020. Due to the outstanding situation the support will need to be provided via distance with Video Conferences, calls, etc.</p> <p>The expert is having regular meetings with the ZCAA staff every Friday</p>	
<b>Objective</b>	
<p>As the Zambian aviation sector continues to grow, consequently the ZCAA will soon face applications of prospective operators and will have to issue new AOCs including OPS Specs. The purpose of this workshop is to support to understand and strengthen the AOC certification and oversight process within the ZCAA for its the implementation by the Zambian aviation</p>	
<b>Envisaged results</b>	
<p>This is a follow up of the previous activities held in the domain of AOC certification and OPS Specs.</p> <p>The outcomes of this follow up activity are:</p> <ul style="list-style-type: none"> <li>- To continue to facilitate obtaining knowledge on the related, Requirements (ZCARS), Regulations and internal CAA processes and EASA certification and Oversight regulations and best practices;</li> <li>- To continue to facilitate obtaining knowledge on the main international regulation (ICAO Annex 6, ICAO Doc 8335, etc.) and best practices;</li> <li>- To learn the approval processes and normal timelines needed for its performance;</li> </ul>	

- To continue to support the forum created for dialogue among the interested stakeholders;
- To support the CAA to implement the roadmap for a Certification process.

**Target group**

ZCAA staff

**Sources and means of verification**

- Steering Committee Meetings
- Progress reports (Operational)

**Priority**

2- Medium

**Methodology**

1 Presential workshop was delivered in January 2020.

Due to the outstanding situation, it was agreed to continue the activity with distance meetings using Webex, Teams, etc.

**Outcomes and achievements**

- Staff from the ZCAA will review the latest best practices in the domain
- Practical cases will be presented and delivered
- Several documents drafted
- Continuous support to the ZCAA staff on day-to-day issues

Expert's report and feedback from participants will be available after the activity.

<b>Activity 5</b>	<b>State Safety Programme</b>
Sub-activity 5.1	Support to implement SSP
<b>Background / action</b>	
Zambia has reached a 62% of effective implementation and thus becomes a candidate requested by ICAO to implement a SSP.	
<b>Expert short code/initials/description/Employer</b>	
Texp5.1/SSP1/ SSP expert /EASA-Contractor	
Name of the Expert: Hazel Courtney	
Dates:	
Initial plan in January 2020	
3 <sup>rd</sup> mission: 2 to 10 March 2020	

4<sup>th</sup> mission: 1 to 12 June 2020  
5<sup>th</sup> mission: 4 to 14 August 2020  
6<sup>th</sup> mission: 5 to 16 October 2020  
7<sup>th</sup> mission: 9 to 20 November 2020

Contingency plan due to COVID-19.

The team agreed to continue with the support for the implementation of the SSP in the country until end of 2020. Due to the outstanding situation the support will need to be provided via distance. The expert is having meetings with the ZCAA staff every two weeks.

### Objective

The overall objective is to continue to support the country to achieve a full implementation of the SSP in the country.

### Envisaged results

During the missions in 2020, envisaged results are:

- Continue to review and update the SSP implementation programme (for the duration of the assignment) described in the report “SSP Building Blocks for the State of Zambia”, drafted by EASA with the ZCAA, with the support of the EASA team and the coordination with the person in charge for SSP within the ZCAA.
- Deliver On-the-job trainings to the local relevant staff to fulfil the plan for the implementation of the SSP.
- Coordinate with industry and SMS expert implementation in operators and service providers
- Provide support to the ZCAA and the MoT in drafting/updating their SSP related manuals (SMM) and processes when necessary, through distance and on-the-spot support, using dedicated working sessions. (Long term action to be implemented during several missions).
- Propose changes to the local regulations through dedicated working sessions. (Long term action to be implemented during several missions).
- Propose procedures to ZCAA for effective oversight of related stakeholders’ SMS. (Long term action to be implemented during several missions).
- Deliver SSP training (Safety Promotion Activities) to ZCAA, MoT and other key staff from industry (this will include SSP principles for the industry to have a guidance on how to comply with the local requirements).
- Provide support to the other project experts deployed (if any) when they have tasks linked to the implementation of the SSP in their areas of competence.
- Support ZCAA and MoT to draft a roadmap to be completed by the beneficiary when the expert is not on location (between missions and after the end of the assignment) for sustainability reasons;
- Provide support while the expert is not on mission through means of tele or video conferences, e-mail exchange and/or use of other suitable means during the entire duration of the contract.

- Liaise with the EASA project and/or operations manager regularly as per their request to provide feedback and discuss the status of the activity. This may include the preparation of appropriate reports/papers.

### Target group

Main target group:

CAA  
MoTC

Secondary target groups (will be benefitted from the action through the ZCAA)

ZASTI  
ZACL  
Industry

### Sources and means of verification

- Steering Committee Meetings
- Progress reports (Operational)
- EASA internal audits to the project

### Priority

1

### Methodology

Presential workshops until March 2020

Distance meetings using Webex, Teams, etc., were set every two weeks to support the implementation of the SSP, from March to end November 2020.

Expert's report and feedback from participants will be available after the activity.

### Activity 12.1

### Workshops/trainings

#### Sub-activity 12.1

#### Security On-the-job-training

### Background / action

The processes related to the certification and oversight of Aviation security in Zambia belongs to the Civil Aviation Authority and its performance is assessed by ICAO (as main reference). Most aviation stakeholders have a responsibility in this area what makes the coordination complex. Threats are continuously evolving and increasing. The Project aim to support the beneficiary to improve the Security levels in the country.

Note: Information of the Effective Implementation of the Security levels in a given country is restricted.

### Expert short code/initials/description/Employer

Texp4.5/HF/Security expert /Contractor  
 Name: José Manuel Puente Rios (AESA)  
 Dates: 10 to 14 February 2020 (Mission)  
 Mission to Lusaka and Siavonga, Zambia

### Objective

- ✓ Identifying gaps in the framework policies and procedures in place for the regulation and implementation of Security related requirements at various levels for the ZCAA and service providers complying with the principles of ICAO Annex 17.
- ✓ Support the ZCAA to draft a roadmap (Corrective Action Plan) to overcome the possible findings arising from the last audit from ICAO in the domain of security.
- ✓ Support the ZCAA and service providers in the implementation of the CAP by showing best practices and possible examples.

### Envisaged results

- Deliver on-the-spot support to the local staff
- Visit facilities managed by the local service providers to provide advice to overcome implementation issues

The experts should plan the activities following the next outline:

- Analysis of the need
- Evaluate the state of maturity
- Aspects to be checked
- Check-list verification
- Consulting Phase
- Implantation

### Target group

CAA  
 MoTC  
 ZASTI  
 ZAFL  
 Industry

### Sources and means of verification

- Steering Committee Meetings

- Progress reports (Operational)
- Progress reports (Financial)
- Mid-term verification audit
- EASA internal audits to the project

**Priority**

2-Medium

**Justification of priority**

Non-critical activity

**Methodology**

Workshop and On-the-job-training

One mission was performed in February 2020 where Mr Puente had the opportunity to visit two locations in the country and delivered practical support for the implementation of Security processes following international best practices.

Expert's report and feedback from participants.

**Activity 4 Workshops/Trainings**

Sub-activity 4.4.12.a/b Safety Management Systems

**Background / action**

There are mandatory technical trainings that can be delivered by project experts such as SMS, Human Factors, etc.

**Expert short code/initials/description/Employer**

Texp5/SMS/ Safety Management Systems /Contractor  
 Name: Alberto Gonzalez  
 Dates for the webinar: 1, 2, 8, 9 July 2020 from 0900 to 1200

**Contingency plan due to COVID-19:**

Due to the outstanding situation the support was provided via distance. The team agreed with the beneficiary and the EUD to deliver this activity with a series of webinars during July 2020

**Objective**

The overall objective of this activity is to assist the Civil Aviation Authority in Zambia to understand the components and elements of a SMS mandatory for Service Providers in aviation. The activity will have a strong focus on how the service providers document and implement a SMS in the organisation. This approach will help the regulator to better understand the certification and oversight processes over service providers. This is part of the support to the Zambian regulator to have a strong SSP in place.

A series of events in the framework of the safety promotion activities, with the aim to foster technical discussion on the SSP and SMS principles, obligations and benefits, will be initiated with the CAA.

This activity will be followed by a QMS (Quality Management Systems) and HF (Human Factors) Webinars as an integrated activity.

Due to the relevance of an appropriate implementation of these systems in the service providers, there will be seats available for representatives of the Service Providers in the QMS and HF sessions and a dedicated SMS session.

This represents an ideal opportunity to create a forum where the regulator will have a better view of the processes to be implemented by the industry.

The presentations can be found on the project website: <https://www.eu-assp-z.org/2020-sms-safety-management-systems>

Content of the SMS webinar

## MODULE 1: SMS

TIME	TITLE, SPEAKER
0.5 H	1.1 Introduction to SMS
1 H	1.2 Justification and concept: Safety and Production; Legal framework; SMS Components; Safety culture.
1.5 H	1.3 Safety Policy and objectives: Management commitment; Accountability; SMS staff; SAG & SRB; ERP; SMS Documentation.

## MODULE 2: Risk management

TIME	TITLE, SPEAKER
0.5 H	2.1 Hazard Identification
0.5 H	2.2 Risk (concept & measurement)
2 H	2.3 Tools explanation: BowTie

## MODULE 3: Safety Assurance

TIME	TITLE, SPEAKER
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1 H	3.1 Risk assessment and mitigation
0.5 H	3.2 Monitoring and performance measurement
1.5 H	3.3 Change management 3.4 Continuous improvement

## MODULE 4: Safety Promotion

TIME	TITLE, SPEAKER
1 H	4.1 Training and Education- Training Programs
1 H	4.2 Safety communication 4.3 Internal reporting
1 H	4.4 Occurrence data base management 4.5 Safety information distribution

### Envisaged results

Train relevant staff  
Streamline vision of SMS among stakeholders

### Target group

CAA  
MoTC  
ZASTI  
ZACL  
Industry

### Sources and means of verification

- Steering Committee Meetings
- Progress reports (Operational)
- Progress reports (Financial)
- Mid-term verification audit
- EASA internal audits to the project

### Priority

2

### Methodology

- Distance work. A series of Webinars were delivered. Two sessions a week of two to three hours each were scheduled.
- Slides are available at the Project website available for self study of the delegates, questions and proposals were discussed with the trainer during the webinar or online.



Activity 4	Workshops/Trainings
Sub-activity 4.4.11.a/b	Quality Management System and Auditing Workshops
<b>Background / action</b>	
<p>The Authority started to build up a strong Management System to ensure efficient management of the day-to-day activities.</p> <p>The project stated the support in 2008 to the CAA to document and implement specific actions to finalise the implementation.</p> <p>To provide sustainability to the actions previously established the project will launch punctual activities, such as this series of webinars to review the main QMS and auditing principles following the main International Standards.</p>	
<b>Expert short code/initials/description/Employer</b>	
<p>Texp4.1/ORG1/ Quality Management Systems/Contractor</p> <p>Name: Alberto Gonzalez</p> <p>Dates: 15, 16, 22, 23 July from 0900 to 1200</p> <p>Contingency plan due to COVID-19:</p> <p>Due to the outstanding situation the support was provided via distance. The team agreed with the beneficiary and the EUD to deliver this activity with a series of webinars in July 2020.</p>	
<b>Objective</b>	
<p>The main objective is to deliver a workshop for the Authority to have a better understanding of the main international best practices, requirements and examples in use by the aviation industry in general. The Webinar will have a very strong practical side providing examples of the implementation of these systems in the industry and how the Authority can use this information to better implement the Oversight system.</p> <p>The Webinar material and slides are available through the project website. <a href="https://www.eu-assp-z.org/2020-quality-management-systems-wor">https://www.eu-assp-z.org/2020-quality-management-systems-wor</a></p> <p>Contents of the Webinar:</p>	
<b>MODULE 1</b>	
<b>TIME</b>	<b>TITLE, SPEAKER</b>
1 H	<b>1.1 Objectives and Needs of the Audit System in the Aeronautical Sector: Need Framework</b> <b>1.2 General Concepts on Quality and Quality Management Systems</b>
1 H	<b>1.3 Definitions, objectives, standardization bodies. ISO 9001, Justification and Concept</b> <b>1.4 Quality Systems Audits: General Concepts and Definitions</b>

1 H	1.5 Concept, objective, fundamental elements (quality policy, organization, responsible, training), system documentation (quality manual, procedures, instructions and records) 1.6 Policy and Objectives
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## MODULE 2

TIME	TITLE, SPEAKER
1 H	2.1 Guidelines for conducting Audits: Conducting Audits
1 H	2.2 Quality audits in the aeronautical sector
1 H	2.3 Concepts, Types, Programming, Methodology and Auditor practices. Phases of an Audit: planning, initial and final meeting Phases of an Audit: realization, treatment of nonconformities Phases of an Audit: and Audit report Monitoring of an Audit

## MODULE 3

TIME	TITLE, SPEAKER
1 H	3.1 Quality audits in the aeronautical sector Auditors' Competencies
2 H	3.2 Case Study

### Envisaged results

- Enable discussion and coordination between authority and industry
- Provide delegates with best practices and examples for implementation
- Resolve questions from the participants

### Target group

CAA  
MoTC

### Sources and means of verification

- Steering Committee Meetings
- Progress reports (Operational)
- Progress reports (Financial)
- Mid-term verification audit
- EASA internal audits to the project

### Priority

2-Medium

**Methodology**

- Distance work. A series of Webinars were delivered. Two sessions a week of two to three hours each were scheduled.
- Slides are available at the Project website available for self study of the delegates, questions and proposals were discussed with the trainer during the webinar or online.

**Activity 4 Workshops/trainings**

**Sub-activity 4.4.3.a/b Human Factors Training**

**Background / action**

There are mandatory technical trainings that can be delivered by project experts such as SMS or Human Factors.

There will be two similar sessions to cope with the demand and create smaller groups and enable participation.

**Expert short code/initials/description/Employer**

Texp4.5/HF/ Human Factors expert /Contractor  
 Expert: Albert Gonzalez  
 Initial dates: 23, 29, 30 July and 5 August

Contingency plan due to COVID-19:  
 The team agreed to continue with the support for the implementation of this Activity in the country until end of 2020. Due to the outstanding situation the support will need to be provided via distance.

**Objective**

The purpose of this activity is to enhance the knowledge of the CAA inspectors and the local industry of Zambia in the area of Human Factors based on ICAO SARPS, local Regulations and CAA/Industry procedures and to provide practical examples to be used in their actual work environment. The EU-EASA standards will be taken as an important reference. The best practices developed by industry and authorities will also need to be presented. Other sources can also be used as required.

The work to be done should reflect the latest and upcoming developments of the international standards and local Regulations. The expert will take into account the local procedures, manuals, of the different domains to set up further objectives to the delegates to draft their processes by applying the latest HF principles.

The presentations of the webinar can be found on the project's website: <https://www.eu-assp-z.org/copy-of-2019-5th-scm-1>

## Module 1: Introduction to Human Factors

TIME	TITLE, SPEAKER
1 H	1.1 Presentation
	1.2 Human Factors objectives
0.5 H	1.3 Need to address Human Factors
1.5 H	1.4 Human Error

## Module 2: Human Factors Main Items

TIME	TITLE, SPEAKER
1.5 H	2.1 Human Performance and Limitations
1 H	2.2 Communication
0.5 H	2.3 Teamwork

## MODULE 3: Safety Culture vs Human Factors

TIME	TITLE, SPEAKER
1.5 H	3.1 Safety Management System
	3.2 Organizational factors and environment
0.5 H	3.3 Professionalism and integrity
0.5 H	3.4 Procedures and documentation

## MODULE 4: Human Factors Implementation

TIME	TITLE, SPEAKER
1.5 H	4.1 Human Factors Team
	4.2 Reporting and preventive action
1.5 H	4.3 Incidents and accident analysis
	4.4 Implementation

### Envisaged results

Trained relevant staff

Streamlined vision of human factors amongst stakeholders

### Target group

CAA  
MoTC  
ZASTI  
ZACL  
Industry

### Sources and means of verification

- Steering Committee Meetings
- Progress reports (Operational)
- Progress reports (Financial)
- Mid-term verification audit
- EASA internal audits to the project

### Priority

2-Medium

### Justification of priority

Non-critical activity

### Methodology

Workshop

Expert's report and feedback from participants will be available after the activity.

## Activity 11 Accident and Incident Investigation

Sub-activity 11.1	Accident and Incident Investigation expert
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### Background / action

Accident and Incident Investigation is an area to be developed within the Ministry of Transport and Communications as an independent body.

The CAA aims to provide technical advice when necessary.

Related to this activity coordination with the ICAO ESAF Regional Office is essential.

### Expert shot code/initials/description/Employer

Texp11.1/AIG/ Accident and Incident Investigation expert /Contractor

Expert: Mr Mario Colavita

Dates Q2/Q3 2020

Contingency plan due to COVID-19:

Due to the outstanding situation the support was provided via distance. The team agreed with the beneficiary and the EUD to deliver this activity with a series of webinars during July and August 2020. The expert has meeting every Friday.

### Objective

The expert will be the main reference for the MoTC and the CAA for the implementation of the roadmap.

- Support the analysis of open ICAO ICVM findings and provision of recommendations and technical support to enable the closure of these findings;
- Deliver on-the-job training for the MoTC and the CAA key functions.
- Provide advice and follow up on the implementation of the USOAP CMA corrective actions;

### Envisaged results

Implementation of the roadmap  
Support in closure of the open PQs  
Development of a sustainability plan

### Target group

MoTC, AIB  
ZCAA  
Other stakeholders when expertise is needed

### Sources and means of verification

- Steering Committee Meetings
- Progress reports (Operational)
- Progress reports (Financial)
- Mid-term verification audit
- EASA internal audits to the project

### Priority

1-High

### Justification of priority

Low level of effective implementation

### Methodology

- Distance work.

Expert's report and feedback from participants will be available after the activity.

<b>Activity 4</b>	<b>Trainings and workshops</b>
Sub-activity 4.4.4	Workshop gender equality

**Background / action**

The topic to be addressed is stated in the revised version of the National Gender Policy (NGP) of 2000. Since the adoption of the first Policy in 2000, Zambia has made progress in the advancement of gender equality and empowerment of women in some sectors, though critical challenges still remain.

**Expert short code/initials/description/Employer**

Texp4.4.4/GE/ expert /EASA  
Expert Elena Garcia Sanchez  
Dates: 1 to 2 December 2020

**Objective**

This activity will focus on how the Zambian aviation sector can benefit from gender equality.

Contents of the workshop:

- Benefits and feasibility of balance (use the talent of 50% of population, company success stories);
- Barriers (e.g. typical bias);
- Enablers (awareness and empowerment actions);
- Gather mil local actors to contribute to implement best practices in the topic;
- Exercise to draft a plan of action.

**Envisaged results**

- Create awareness raising within the local community;
- Provide the local stakeholders with tools and best practices implemented within the EU/EASA;
- Create opportunities for women in the Zambian aviation sector.

**Target group**

- ZCAA;
- Stakeholders from the local industry.

**Sources and means of verification**

- Steering Committee Meetings;
- Progress reports from the expert.

**Priority**

2-Medium

**Methodology**

- Workshop
- Meetings

**Outcomes and achievements**

- To be filled in after the assignment has been completed.

Expert's report and feedback from participants will be available after the activity.

<b>Activity 1.3</b>	<b>Meetings</b>
<b>Sub-activity 1.3.8</b>	<b>EU-EASA/ICAO RSOO Meeting</b>
<b>Background / action</b>	
RSOOs (Regional Safety Oversight Organisations) are a means through which a group of States collaborate, share best practices, safety oversight tasks and resources, with the aim to establish and maintain an effective aviation safety oversight system.	
<b>Expert short code/initials/description/Employer</b>	
Participants: From the ZCAA. To be nominated Dates: November 2020	
<b>Location</b> TBD	
<b>Objective</b>	
The major objectives of the forum include, but are not limited to: identify various joint capabilities and facilities (functions) that RSOOs can provide to its Members, define a Roadmap and Action Plan for improvement of RSOOs (functionality & sustainability), with time line and champions/leaders identified, clarify the relationship between States and RSOOs – effects on State oversight, delegation, responsibilities, accountability and sovereignty, consider initiating a wide and detailed study on RSOOs, looking at central issues like establishing sustainable funding mechanisms, delegation of responsibilities, accountability, sovereignty.	
<b>Envisaged results</b>	
The forum will also underpin issues related to the identification of involving RSOOs in ICAO work and procedures, cognition by ICAO of RSOO accountability where it exercises State responsibilities and activities, creation of a RSOO collaborative forum and review of other forms of cooperative State safety oversight mechanisms such as a regional CAA, delegation to another State, contracting specialist service providers, etc.	
Speakers at the forum will include high level officials from leading international, regional and national aviation organisations, as well as governments, industry and institutional stakeholders	
<b>Target group</b>	
Representatives from EASA, NAAs, RSOOs, ICAO, Industry, etc.	
<b>Sources and means of verification</b>	
<ul style="list-style-type: none"> <li>- Steering Committee Meetings</li> <li>- Progress reports (Operational)</li> <li>- Activity report</li> </ul>	
<b>Priority</b>	
2- Medium	



Methodology

Workshop